



# NYSERDA

**KATHY HOCHUL**  
Governor

**RICHARD L. KAUFFMAN**  
Chair

**DOREEN M. HARRIS**  
President and CEO

December 1, 2022

Honorable Kathy Hochul  
Governor  
Executive Chamber  
NYS Capitol  
Albany, NY 12224

Dear Governor Hochul,

Pursuant to the Public Authority Law Section 1867(7), as amended in 2015, attached is NYSERDA’s semi-annual report regarding specified contracting actions for the period from April 1, 2022, through September 30, 2022. The report is broken into sections to meet the statute’s reporting requirements, summaries of which are provided below.

- **Requirement 1** is for the revenues collected by the Authority in the reporting period. A report that details the revenues collected during the period is attached.
- **Requirement 2** is a list of requests for proposals, program opportunity notices, or similar solicitations that have been issued in the reporting period. A report that details the solicitations issued is attached.
- **Requirement 3** is a description of the criteria and standards utilized for assessing proposals made in response requests for proposals, program opportunity notices, or similar solicitations. The criteria and standards utilized for award selection and project eligibility are included in each solicitation. Please note that requirements 2 and 3 are contained in one section of the report.
- **Requirement 4** is a report on all projects selected for funding by the Authority during the reporting period broken down by region, including the county and utility service territory in which the project is located and the total value of these projects statewide and by region. Both a summary by regional economic development council (REDC) and details for each REDC are provided. The region “Statewide” includes projects that do not have a distinct project location and provide benefits across New York State.
- **Requirement 5** is a report of all disbursements or expenditures of revenues pursuant to requests for proposals, program opportunity notices, or similar solicitations. A report that details these disbursements is included.
- **Requirement 6** is a list of all contracts executed and completed during the reporting period including a description of each project. A report that details the executed contracts is attached.

This semi-annual report for the reporting period is also currently available on NYSERDA’s website at <https://www.nyserda.ny.gov/-/media/Files/Publications/Annual-Reports-and-Financial-Statements/2022-december-nyserda-semi-annual-report.pdf>

If you have any questions on this information, please contact me.

Sincerely,

Doreen M. Harris  
President and CEO

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## New York State Energy Research and Development Authority

**Albany**  
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**New York City**  
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19th Floor  
New York, NY  
10018-7842  
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**West Valley Site  
Management Program**  
9030-B Route 219  
West Valley, NY  
14171-9500  
(P) 716-942-9960  
(F) 716-942-9961

NYSERDA

Revenues Collected - April 1, 2022 through September 30, 2022

<b>Revenue Source</b>	<b>Amount (\$000's)</b>
State Appropriation	12,000
Utility Surcharge Assessments	239,193
Clean Energy Standard Proceeds	315,189
Allowance Proceeds	147,372
Third-party reimbursements	16,809
Federal grants	5,062
Interest subsidy	135
Project repayments	62
Rentals from leases	503
Fees and other income	4,111
Loans and financing receivables interest	17,421
Investment income	6,200
<b>Total revenues</b>	<b>764,057</b>

NYSERDA

Public Authority Law Report

April 1, 2022 to September 30, 2022

Section Break

## Solicitation Summary April 1, 2022 to September 30, 2022

Solicitation No.	Title of Solicitation	Solicitation Description	Issue Date	Due Date/Round	Funding Available
PON 4987	Empire Building Challenge (Real Estate Partnerships - Cohort 2)	NYSERDA is recruiting a second cohort of Empire Building Challenge (EBC) partners ("Cohort 2") to establish partnerships with a select group of building owners and MEP engineers who are willing to work together to test new thermal system designs and implementation approaches in their buildings. threshold criteria to become a Qualified Empire Building Challenge Partner will be eligible to receive up to \$100,000 in technical assistance funding to develop a carbon neutrality roadmap for their building(s).	4/1/2022	5/24/2022	\$1,000,000.00
RFP 3928	Buildings of Excellence Competition Demonstration Projects	NYSERDA seeks proposals for demonstration projects that will achieve carbon neutral performance while being beautiful and functional, providing healthy, safe, comfortable, and resilient living spaces for their occupants that will be profitable for the project's developers and owners.	4/7/2022	7/14/2022	\$8,000,000.00
RFP 5079	Investment Advisory Services	NYSERDA is seeking proposals from Qualified Financial Investment Firms to provide annual Investment Advisory and Consulting Services for NYSERDA and the NYSERDA Other-Post-Employment-Benefits Trust (OPEB Trust) for an initial one-year term with four one-year options to renew.	4/13/2022	5/18/2022	\$135,000.00
RFP 3928-Rd3-D	Building of Excellence Competition Early Design Support	The Buildings of Excellence Competition Early Design Support Request for Proposal (the "Early Design Support RFP") seeks proposals for qualified design firms that will provide early-stage design support for new construction and adaptive reuse projects that will achieve carbon neutral-ready performance while being beautiful and functional, providing healthy, safe, comfortable, and resilient living spaces for their occupants, and will be profitable for the project's developers and owners. The Early Design Support RFP is part of and in support of the larger Buildings of Excellence Competition (the "Competition").	4/7/2022	12/30/2022	\$2,000,000.00

RFP 4924	P-12 Schools - Clean Green Schools Initiative	The P-12 Schools: Clean Green Schools Initiative is available to help public schools that traditionally lack resources to invest in infrastructure improvements become healthier, more productive learning environments. The program provides funding for professional services such as energy studies, on-site energy manager, and fiscal advisors to help schools evaluate, plan for, and facilitate comprehensive energy reduction, decarbonization, environmental sustainability, and indoor air quality projects.	4/22/2022	Track 1 - 12/30/2025 and Track 2 - 07/27/2022	\$65,100,000.00
RFI 5034	Build Ready Program Auction	he Build-Ready Program is issuing an RFI to gather feedback from solar PV developers, owners, operators, and investors to: Better understand the most attractive time in the development process to auction a Build-Ready project. Develop and run a competitive auction process that results in significant interest from the private sector and successful construction and operation of Build-Ready projects.	4/26/2022	6/14/2022	No value was stated in solicitation
PON 4630 - Rd 2	Regional Clean Energy Hubs	NYSERDA is seeking qualified organizations, in the Mohawk Valley economic development region in the state, to serve as the Mohawk Valley Regional Clean Energy Hub. The proposer must be prepared to provide uninterrupted services for the program period.	4/26/2022	5/26/2022	\$3,302,944.00
RFP 5064	Implementation Contractor to Support the Agriculture Energy Audit Program	NYSERDA is requesting proposals from contractors to implement the Agriculture Energy Audit Program (AEAP) by providing outreach, enrollment and installation support to NYSERDA and eligible customers. This service includes only the energy audit portion of the AEAP. The goal of the AEAP is to assist eligible farms and growers in becoming more energy efficient.	5/2/2022	6/29/2022	\$1,125,000.00
RFP 4120	Commercial & Industrial Carbon Challenge 2022	The Commercial and Industrial Carbon Challenge program provides grant funding between \$500k and 5 million to fund single projects or project portfolios that reduce carbon emissions for large commercial and industrial customers.	5/02/2022	7/29/2022	\$15,000,000.00

RFP 5037	Expanded Solar for All	NYSERDA will competitively select up to 300 MWdc of community solar projects to participate in this program which will provide electric bill savings to over 160,000 low-income National Grid electric customers. Selected projects will be compensated directly by National Grid, eliminating the need for customer acquisition, management, and administration.	5/3/2022	6/23/2022	\$21,130,000.00
OREC RFI 22-2	Purchase of Offshore Wind Renewable Energy Certificates	The purpose of this Request for Information (RFI) is to invite external stakeholder review and comment on proposed updates to the draft version of ORECRFP22-1 to provide feedback that will assist NYSERDA in finalizing the ORECRFP22-1 prior to its release.	5/13/2022	5/27/2022	No value was stated in solicitation
PON 5039	Clean Energy Siting Technical Assistance Contractors	NYSERDA seeks to engage contractors with experience and expertise in each of five categories (Land Use and Engineering; Planning and Zoning; Battery Energy Storage Fire Safety; Code Enforcement; and Project Economics) to develop resources and provide technical assistance to NYSERDA program staff and Authorities Having Jurisdiction (AHJ) for the siting and development of projects consisting of solar photovoltaic, battery energy storage, wind energy, and other tier 1 eligible renewable energy systems.	5/17/2022	6/16/2022	\$1,000,000.00
RFP 5040	Facilitation Services in Support of the West Valley Citizen Task For	NYSERDA is seeking proposals for facilitation services to support the West Valley Citizen Task Force. The Task Force is a citizen advisory group that has been meeting for 25 years, providing advice to the New York State Energy Research and Development Authority and the U.S. Department of Energy regarding cleanup, management, and decision making for facilities located at the Western New York Nuclear Service Center.	5/26/2022	6/30/2022	\$450,000.00
RFP 21	NY Green Bank Eligible Purchaser Pool	NY Green Bank Eligible Purchaser Pool (EPP) – join a pool of pre-approved investors that can bid to purchase NYGB's ESG investments. Send a proposal to join the Eligible Purchaser Pool. Once a member of the EPP, your firm will be able to make bids to purchase NYGB-originated loans and investments through a streamlined sales process, as NYGB chooses to sell its investments from time to time. To join the EPP, your firm must demonstrate that it meets the Eligibility Criteria described in the RFP.	6/3/2022	6/10/2035	No value was stated in solicitation

LSR RFI 22-1	Purchase of Offshore Wind and Tier 1 Renewable Energy Certificates	The purpose of this Request for Information (RFI) is to invite external stakeholder review and comment on NYSEERDA's proposed Index formula modifications to reflect the New NYISO Capacity Accreditation Rules. The feedback provided will assist NYSEERDA in finalizing the proposed approach.	7/7/2022	8/4/2022	No value was stated in solicitation
RFQL 4922	Disadvantaged Communities (DAC) Stakeholder Services Pool	NYSEERDA establish a pool of qualified community based organizations (CBOs) that represent New York State's disadvantaged communities (DACs) to work with NYSEERDA staff on a variety of services and be compensated for their time and expertise. Qualified CBOs will have experience in one or more of the following five Service Area categories: Advisor; Policy and Program Co-Design; Public Engagement, Community Capacity Building & Meeting Facilitation; Inclusive Program Outreach & Marketing to Disadvantaged Communities; and Community Assessment.	7/14/2022	9/12/2022	No value was stated in solicitation
RFQL 5147	Labor Liaison Service Providers	NYSEERDA is issuing this Request for Qualifications (RFQL) to establish a pool of labor liaison service providers who have expertise in NYS labor law, labor relations and communications, project labor agreements, wage laws / guidelines, labor best practices and feasibility studies. Qualified proposers should be known, trusted and well-versed in the NYS labor industry with existing relationships in place with unions and other labor representatives.	7/15/2022	9/27/2022	\$1,000,000.00
ORECRFP22-1	Purchase of Offshore Wind Renewable Energy Certificates	NYSEERDA seeks to procure Offshore Wind Renewable Energy Certificates associated with 2,000 megawatts to 4,640 megawatts of offshore wind generation coordinated with local and private investments in New York-based offshore wind supply chain infrastructure.	7/27/2022	1/26/2023	\$30,500,000.00

PON 5109	Transit Tech Lab Partnership Program	Transit Tech Lab Partnership Program (PON 5109) - Provides an opportunity for technology companies who have been competitively selected to participate in the New York Metropolitan Transportation Authority's (MTA) Transit Tech Lab. 2022 Transit Tech Lab (TTL) Finalists who demonstrate innovative public transportation technologies and strategies that have the potential to reduce greenhouse gas (GHG) emissions and associated energy consumption of the existing transit bus, rail and connected intermodal transit systems in New York State, will be considered for NYSERDA funding.	8/1/2022	8/1/2022	\$3,000,000.00
RFQL 5147	Labor Liaison Service Providers	NYSERDA is issuing this Request for Qualifications (RFQL) to establish a pool of labor liaison service providers who have expertise in NYS labor law, labor relations and communications, project labor agreements, wage laws / guidelines, labor best practices and feasibility studies. Qualified proposers should be known, trusted and well-versed in the NYS labor industry with existing relationships in place with unions and other labor representatives.	8/11/2022	9/27/2022	\$1,000,000.00
T2RFP22-1	Purchase of New York Competitive Tier 2 Eligible Renewable Energy Certificates	NYSERDA is procuring Tier 2 eligible Renewable Energy Certificates (RECs) from wind and non-state-owned run-of-river hydroelectric generating facilities located within New York State that entered commercial operation prior to January 1, 2015.	8/16/2022	9/15/2022	\$200,000,000.00
RFI 5182	Innovative Bioeconomy and Nature-based Solutions for New York's Climate Goals	Seeking input in relation to an upcoming funding opportunity from potential applicants, solutions providers, and other stakeholders. This motivation is to catalyze the bioeconomy to help achieve New York's Climate goals, by decarbonizing multiple sectors, with benefits to rate payers, the environment and resilience, increasing carbon sequestration, lowering methane emissions, and conserving energy.	8/16/2022	11/30/2022	No value was stated in solicitation
PON 4393 - Rd3	Electric Power Transmission and Distribution (EPTD)	NYSERDA is investing in innovative grid solutions that directly address stakeholders' operational challenges that enable the goals of the Climate Leadership and Community Protection Act. Up to \$3 million is available per challenge for product development and demonstration projects.	8/17/2022	11/2/2022	\$40,000,000.00



RFP 5123	Implementation Contractor for Workforce Development and Training Programs	NYSERDA's Workforce Development and Training Team seeks to secure a contractor to provide essential program design and implementation support and other related services for the full portfolio of workforce programs across a host of program activities, including program design and direct project management.	8/29/2022	9/29/2022	\$4,000,000.00
RFI 5166	Offshore Wind Cable Corridor Constraints Assessment	Through this Request for Information (RFI), NYSERDA seeks to provide an opportunity for the public and interested stakeholders to evaluate the draft Assessment (Attachment A). The responses to the Draft Assessment RFI will inform the Final Offshore Wind Cable Corridor Constraints Assessment.	8/30/2022	10/28/2022	No value was stated in solicitation
PON 5163	Insurance Innovation for Climate Technology Solutions Program	The Insurance Innovation for Climate Technology Solutions Program is focused on the research and development necessary to facilitate the creation of new insurance products to enable increased deployment and adoption of climate technology solutions across New York State. To support this program, NYSERDA seeks an experienced Program Administrator to manage the operations of the program, assist with mobilizing the ecosystem, design a competitive process to recruit top insurance innovators who will work on specific insurance product development projects and provide ongoing support to insurance innovators throughout the duration of the program.	9/2/2022	10/12/2022	\$6,500,000.00
PON 5179	Long Duration Energy Storage Technology and Product Development	NYSERDA seeks to stimulate and grow long duration energy storage solutions in hydrogen, electrical, mechanical, chemical, and thermal-electric energy storage innovation portfolios in New York State by by making up to \$17 million in funds available. This funding is to support innovative and under-utilized long duration energy storage solutions, devices, software, controls, and other complimentary technologies that decrease energy storage total hardware and installation costs, improve performance, and demonstrate integration with the power grid. Submissions must demonstrate significant statewide public benefits and quantify all energy, environmental and/or economic impact	9/8/2022	10/17/2022	\$17,000,000.00

RESRFP22-1 □	RESRFP22-1 Purchase of New York Tier 1 Eligible Renewable Energy Certificates	NYSERDA seeks to procure approximately 4.5 million Tier 1 eligible Renewable Energy Certificates (RECs) from Bid Facilities that meet the eligibility requirements described in this Request for Proposals.	9/21/2022	11/30/2022	\$3,000,000,000.00
RFI 5198	Fleet Transportation As-A-Service	NYSERDA seeks responses from market participants, including service providers and end users, to a series of questions described further in the RFI document. This RFI will inform NYSERDA's program development and considerations of new market models that reduce the financial and non-financial hurdles of zero emission transportation adoption for medium- and heavy-duty vehicles. The findings will be particularly relevant to NYSERDA's school bus electrification work, for which as-a-service business models show particular promise.	9/27/2022	10/12/2022	No value was stated in solicitation
RFP 5200	Routine Sampling of Adirondack Long Term Monitoring (ALTM) Lakes and Streams	NYSERDA seeks proposals from knowledgeable and experienced organizations or teams interested in conducting the routine sampling of Adirondack lakes and streams as part of the ALTM Program. The selected contractor(s) will be responsible for the field activities, which includes: Collecting water samples; Measuring field parameters; Documenting all field and sampling activities; Packing and delivering samples for analysis; Maintenance of field equipment; and Communicating with private and public entities to schedule and gain access to sampling locations.	9/29/2022	11/1/2022	\$1,000,000.00

### Revised Solicitations

Solicitation No.	Title of Solicitation	Solicitation Description	Issue Date	Due Date/Round	Funding Available
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Revised PON 4089	New York Truck Voucher Incentive Program (NYTVIP)	The New York Truck Voucher Incentive Program (NYTVIP) helps make it easier for fleets to adopt clean vehicle technologies while removing the oldest, dirtiest diesel engines from New York roads. NYTVIP provides vouchers, or discounts, to fleets across New York State that purchase or lease all-electric (BEV), hydrogen fuel cell electric (FCEV) plug-in hybrid electric (PHEV), conventional hybrid electric (HEV), compressed natural gas (CNG), or propane medium- and heavy-duty vehicles (weight class 3 through 8) and scrap a similar older diesel vehicle that is part of their fleet.	4/1/2022	Continuous	\$70,778,000.00
Revised PON 3519	NextGen HVAC Innovation Challenges	The NextGen HVAC Program supports the development of energy efficient building technologies and new business models for New York's building industry. This funding opportunity focuses on cutting edge HVAC systems including new renewable heating and cooling systems and the integration of advanced controls.	5/10/2022	7/7/2022	\$30,000,000.00
Revised PON 2112	NY-Sun Residential/Nonresidential Incentive Program	The New York State Energy Research and Development Authority (NYSERDA) provides cash incentives and/or financing for the installation by Contractors and Builders of new grid-connected electric photovoltaic (PV) systems for residential sites in any region that are 25kW or less, for nonresidential sites in Upstate and PSEG Long Island regions that are up to 750kW, and for nonresidential sites in Con Ed region that are up to 7.5MW.	6/7/2022	12/31/2030	\$7,020,000.00

Revised PON 3082	NY-Sun Commercial / Industrial Incentive Program	The New York State Energy Research and Development Authority (NYSERDA) provides performance-based incentives for the installation by Contractors of new grid-connected electric photovoltaic (PV) systems that are ranging from 750kW to 7.5MW in Upstate region. Incentives for residential sites in all regions, nonresidential sites 750kW or less in Upstate and PSEG Long Island regions, and nonresidential sites 7.5MW or less in Con Ed region are available through the NY-Sun Residential/ Nonresidential Program (PON 2112).	6/7/2022	12/31/2030	\$1,473,896,187
Revised PON 3981	Energy Efficiency and Clean Technology Training	NYSERDA is seeking proposals for training initiatives focused on advancing skills and preparing workers for jobs in New York's energy efficiency and clean technology industry. Funding is available for proposals that meet the requirements of one or both of two categories: (1) Training for Existing Workers and Individuals in Formal Training Programs; (2) Career Pathways for New Workers/New Entrants in Clean Energy.	8/10/2022	11/16/2023	\$7,000,000.00
Revised PON 3715	Workforce Training - Building Operations & Maintenance	NYSERDA's Building Operations and Maintenance Workforce Development and Training Program seeks to reduce energy use and associated carbon emissions while saving building operators and owners money by developing and strengthening the skills of operations and maintenance (O&M) staff and managers across the state. In particular, the program is intended to equip building O&M workers with the skills to operate increasingly energy-efficient, grid-flexible, and electrified building systems that reduce buildings' contribution to climate change.	8/12/2022	11/14/2023	\$10,000,000.00

Revised PON 3982	On-the-Job Training for Energy Efficiency and Clean Technology Program	<p>NYSERDA is seeking applications to advance the goals of the Clean Energy Fund (CEF) by developing a workforce equipped to perform jobs in energy efficiency and clean technology. NYSERDA will provide incentives to eligible energy efficiency and clean technology businesses throughout the supply chain to hire and provide on-the-job training for new workers.</p>	8/18/2022	12/31/2024	\$5,500,000.00

**Note: Only revised Solicitations with substantial changes/or monetary changes are listed.**



**NYSERDA**

**Large Scale Renewables Program  
Purchase of Offshore Wind and Tier 1  
Renewable Energy Certificates  
Request for Information LSRRFI22-1 (Capacity Accreditation)  
RFI Release Date: July 7, 2022**

**SUMMARY OF REVISIONS:**

The following changes have been made to Request for Information LSRRFI22-1:

- Comment period has been extended from July 28, 2022, to August 4, 2022 3:00pm ET
- New URL link has been provided to NYISO materials related to capacity accreditation

**Responses Due: Thursday, August 4, 2022 by 3:00 PM Eastern Prevailing Time**

NYSERDA is actively monitoring the ongoing actions following the revisions to the Market Administration and Control Area Services Tariff proposed by the New York Independent System Operator, Inc. (NYISO) recently approved by the Federal Energy Regulatory Commission (FERC) to adopt a marginal capacity accreditation market design (the New NYISO Capacity Accreditation Rules). Understanding the impacts that the New NYISO Capacity Accreditation Rules will have on Intermittent Power Resources' participation in the NYISO Capacity Markets,<sup>1</sup> NYSERDA in consultation with the Department of Public Service (DPS) intends to address existing and future Index REC and Index OREC contracts to account for any changes to long-term capacity revenue expectations. The purpose of this Request for Information (RFI) is to invite external stakeholder review and comment on NYSERDA's proposed Index formula modifications to reflect the New NYISO Capacity Accreditation Rules to provide feedback that will assist NYSERDA in finalizing its proposed approach. NYSERDA continues to monitor the implementation of the New NYISO Capacity Accreditation Rules and may also adjust the approach described herein based on how the New NYISO Capacity Accreditation Rules are implemented.

Through this RFI, NYSERDA is seeking information from interested stakeholders, including existing and prospective Index REC and Index OREC contract holders, large-scale renewable energy project developers and owners, other public or private stakeholders and members of the public. Stakeholders responding to this RFI are referred to throughout as "Respondents." Stakeholders holding existing Index contracts are referred to throughout as "Suppliers." Stakeholders intending to respond to future Tier 1 and Offshore Wind RFPs are referred to throughout as "Proposers." Index REC contracts based on Unforced Capacity Deliverability Rights (UDRs) that are part of the Tier 4 program will be handled separately as NYISO rules on controllable lines continue to evolve.

NYSERDA does not intend to publish responses; however, responses are subject to the New York State Freedom of Information Law (FOIL), Article 6 of Public Officers Law. FOIL provides for public access to information NYSERDA possesses, and as such, consideration should be given before confidential information is submitted to NYSERDA. Respondents should consider and review whether information is critical to disclose for the intended response, and whether general, non-confidential information may be adequate instead. The Public Officers Law includes exceptions to disclosure, including Section 87(2)(d) which provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Additional information submitted to NYSERDA that Respondent wishes to have treated as proprietary, and/or confidential trade secret information, should be identified and labeled "Confidential" and/or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the

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<sup>1</sup> An "Intermittent Power Resource" is defined in the NYISO Open Access Transmission Tariff as "[a] device for the production of electricity that is characterized by an energy source that: (1) is renewable; (2) cannot be stored by the producing device; and (3) has variability that is beyond the control of the facility owner or operator. In New York, resources that depend upon wind, or solar energy or landfill gas for their fuel have been classified as Intermittent Power Resources."

procedures set forth in 21 NYCRR Part 501 <http://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>.

Notwithstanding the above, NYSEDA cannot guarantee the confidentiality of any information submitted.

Responding to this RFI is optional, and failure to respond will not affect any Supplier's agreement or any Proposer's ability to respond to future RFPs. Respondents to this RFI are not required to answer all questions and should focus on questions relevant to their field of expertise.

Comments are due by Thursday, **August 4, 2022 at 3 p.m. ET**, and should be sent to [res@nyserda.ny.gov](mailto:res@nyserda.ny.gov) with the subject line "LSRRFI22-1 Comments" or submitted via the following Seamless Docs link:

[NYSEDA LSRRFI22-1 Response Seamless Doc Form](#)

NYSEDA reserves the right to reach out to respondents to seek clarifications. Any questions about this RFI or requests to discuss this RFI should be directed to the primary contacts or other designated contacts listed below in writing through the email address noted above.

Primary Contacts: Abbey DeRocker, Tom King, Greg Lampman, and Alex Stein.

Other Designated Contacts: Dave Crudele, Laila El-Ashmawy, Mac Farrell, Liz Hanna, Doreen Harris, Brian Newton, Bram Peterson, Georges Sassine, and Jeremy Wyble.

## **1. Content of Responses**

Responses should be concise and focus on areas in which the Respondent has a particular interest or expertise. Please limit your response to 5 pages.

The following information and items must be included in every response to this RFI:

- Respondent's name, affiliation, title, and primary contact information.
- Each page of the response should include a header stating the name of the Respondent.
- Each response should include the RFI question number and the page number.
- Respondents should designate information intended to remain confidential as "Confidential" or "Proprietary." Respondents are discouraged from marking their entire response as "Confidential" or "Proprietary."

Stakeholders are encouraged to respond to the questions stated below, however, Respondents are free to provide any information deemed pertinent.

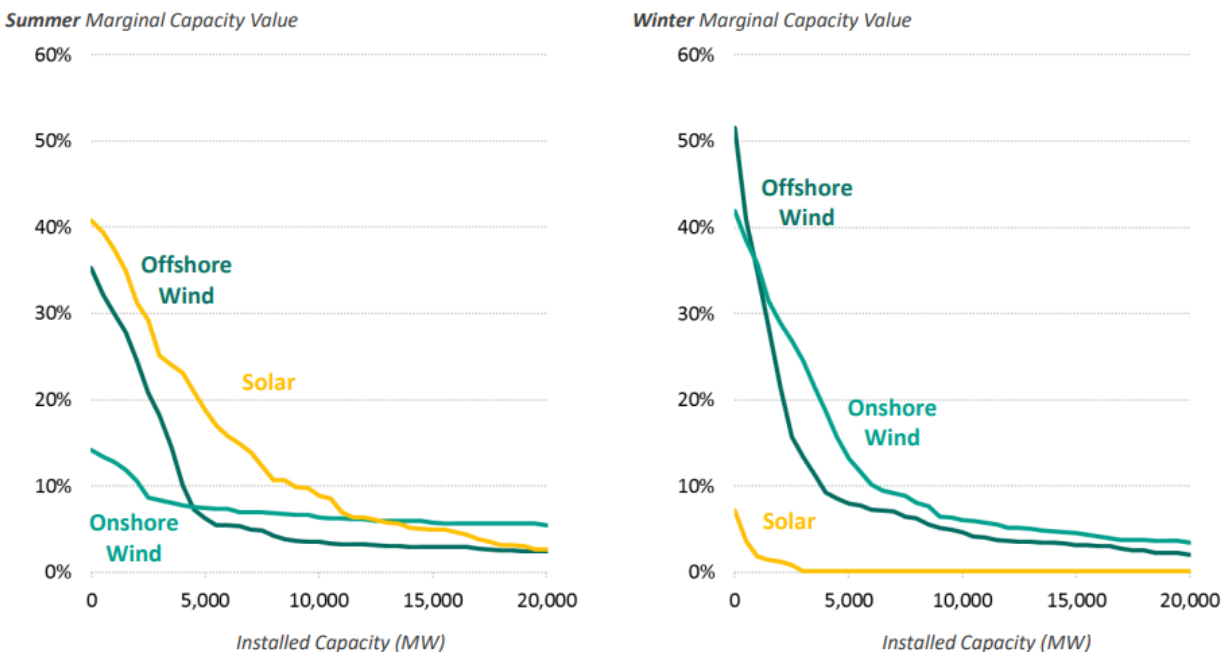
## **2. Background on New NYISO Capacity Accreditation Rules**

On May 10, 2022, FERC approved NYISO's January 2022 petition in Docket No. ER22-772 to adopt a marginal capacity accreditation market design, among other proposals. This will change how resources are paid for capacity by NYISO starting with the Capability Year that begins May 1, 2024. Respondents are encouraged to review NYISO materials related to capacity accreditation, which can be found at the ICAP Working Group link here: <https://www.nyiso.com/icapwg> **A link with consolidated sources is available here: <https://www.nyiso.com/accreditation>.**



To provide a preliminary context for the potential long-term trend in the marginal capacity value of Intermittent Power Resources as market penetration of each technology increases, NYSERDA refers Respondents to page 111 of The Brattle Group’s study for NYISO on “[New York’s Evolution to a Zero Emission Power System](#),” reproduced below.

### Marginal Capacity Value of Solar and Wind



#### a. Current Rules (Applicable until May 1, 2024)

The current rules governing the quantity of capacity eligible for capacity market revenue are described in NYISO’s [Installed Capacity Manual](#) and Attachment J in NYISO’s [Installed Capacity Manual Attachments](#). Additional background on capacity quantity calculation, including resource-specific derating factors, is provided in a [March 16, 2022 presentation to NYISO’s ICAP Working Group](#). **The following summary is provided for Respondents’ convenience only; Respondents should refer to the NYISO documentation for full details.**

Under current NYISO market rules, the quantity of capacity eligible for capacity market revenue (known as Unforced Capacity or UCAP) for wind and solar resources is calculated based on an Available Installed Capacity (ICAP) value that is the lesser of the nameplate capacity and the Capacity Resource Interconnection Service (CRIS):

$$\text{Available ICAP} = \text{Minimum}(\text{CRIS}, \text{Nameplate Capacity})$$

Available ICAP is multiplied by a Duration Adjustment Factor to calculate Adjusted ICAP:<sup>2</sup>

<sup>2</sup> The Duration Adjustment Factor for Intermittent Power Resources is 100% because these resources cannot have a duration limitation.

$$\text{Adjusted ICAP} = \text{ICAP} \times \text{Duration Adjustment Factor}$$

For all NYISO resources, UCAP is calculated by multiplying Adjusted ICAP by a resource-specific derating factor:

$$\text{UCAP} = \text{Adjusted ICAP} \times (1 - \text{Resource Specific Derating Factor})$$

For Intermittent Power Resources, the resource-specific derating factor is:

$$\text{Resource Specific Derating Factor} = 1 - \text{Applicable Production Factor}$$

The Applicable Production Factor is calculated by dividing the resource's actual output performance over a specified peak period by the nameplate capacity, to account for the historic availability or performance of the resource.

Specifically, the Applicable Production Factor is calculated as the sum of the hourly weighted production during the specified Peak Load Windows (PLW) for the months of June, July and August (for Summer) or December, January and February (for Winter) during the previous like-Capability Period divided by the product of the nameplate capacity and the number of PLW hours. Functionally, resources are paid for capacity based on their performance during these peak hours during the previous summer or winter. The duration of the PLW on a given day can be six hours or eight hours and is dependent on penetration of generation from resources with Energy Duration Limitations. Under the current NYISO market rules, the weighting percentages for the PLW hours are reevaluated through a study done every four years and will be updated accordingly.

The full UCAP formula for Intermittent Power Resources is thus:

$$\text{UCAP} = \text{Minimum (CRIS, Nameplate Capacity)} \times \text{Duration Adjustment Factor} \\ \times (1 - (1 - \text{Applicable Production Factor}))$$

which simplifies to:

$$\text{UCAP} = \text{Minimum (CRIS, Nameplate Capacity)} \times \text{Duration Adjustment Factor} \\ \times \text{Applicable Production Factor}$$

#### **b. New Rules (Effective Starting May 1, 2024)**

The New NYISO Capacity Accreditation Rules are described in [NYISO's petition to FERC](#). Information on the proposed approach to resource-specific derating factors is available in the [April 19, 2022](#) and [May 24, 2022](#) presentations to the NYISO ICAP Working Group. **The following summary is provided for Respondents' convenience only; Respondents should refer to the NYISO documentation for full details.**

The New NYISO Capacity Accreditation Rules are designed to improve the validity and accuracy of capacity values from a resource adequacy perspective. Starting with the Capability Year that begins on May 1, 2024, each resource will be assigned to a Capacity Accreditation Resource Class (CARC) based on technology type and location. Each CARC will be assigned a Capacity Accreditation Factor (CAF) that determines the Adjusted ICAP for resources in that CARC. The CAF for a CARC will reflect the marginal

reliability contribution of a representative unit and will be updated annually.<sup>3</sup> A resource's Adjusted ICAP value will thus reflect the expected capacity contribution and be calculated by multiplying its Available ICAP by the applicable CAF:

$$\text{Adjusted ICAP} = \text{ICAP} \times \text{CAF}$$

As is the case under the current market rules, Adjusted ICAP will then be converted to UCAP using a resource-specific derating factor:

$$\text{UCAP} = \text{Adjusted ICAP} \times (1 - \text{Resource Specific Derating Factor})$$

On April 19, 2022, NYISO presented proposed adjustments to resource-specific derating factors to the ICAP Working Group. Under the new rules, resource-specific derating factors will capture only differences in availability that are specific to an individual resource and not captured in the CAF of the resource's CARC. For Intermittent Power Resources, the resource-specific derating factors would need to be adjusted to avoid double-counting of unavailability. The NYISO's proposed solution is to replace the current resource-specific derating factor (one minus the Applicable Production Factor) with one minus an Average PLW Capacity Factor Ratio, calculated as follows:

$$\text{Average PLW Capacity Factor Ratio} = \frac{\text{Average PLW Capacity Factor of Resource}}{\text{Average PLW Capacity Factor of Representative Unit}}$$

Resource-specific derating factors would be calculated annually based on prior performance. The measurement window for calculating an individual resource's average capacity factor would be all PLW hours over the two previous like-Capability Periods. The measurement window for calculating the average capacity factor of the representative unit of the resource's CARC would be all PLW hours over the same like-Capability Periods of the representative unit's production profile used for CAF modeling.<sup>4</sup> The NYISO's presentation does not specify whether or how the average capacity factors will be hourly-weighted. On June 28, 2022, NYISO presented a [proposal for its annual PLW review](#) process.

The revised UCAP formula under the New NYISO Capacity Accreditation Rules will therefore be:

$$\text{UCAP} = \text{Minimum}(\text{CRIS}, \text{Nameplate Capacity}) \times \text{Capacity Accreditation Factor} \\ \times \left( 1 - \left( 1 - \frac{\text{Average PLW Capacity Factor of Resource}}{\text{Average PLW Capacity Factor of Representative Unit}} \right) \right)$$

which simplifies to:

$$\text{UCAP} = \text{Minimum}(\text{CRIS}, \text{Nameplate Capacity}) \times \text{CAF} \\ \times \frac{\text{Average PLW Capacity Factor of Resource}}{\text{Average PLW Capacity Factor of Representative Unit}}$$

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<sup>3</sup> NYISO has retained GE Energy Consulting to support the selection of the technique used to determine the capacity credit or capacity value for different resource types, using GE MARS.

<sup>4</sup> Information from NYISO indicates that the resource-specific derating factors will be established seasonally, consistent with current practice. It has not yet been determined whether CAF values will be established seasonally or annually, but this would not change NYSERDA's proposed adjustment mechanism.

### 3. NYSERDA's Proposed Revised Reference Capacity Price Formula

In Appendix C of its July 12, 2018, Order Establishing Offshore Wind Standard and Framework for Phase 1 Procurement that defined the Index OREC construct, the New York State Public Service Commission (PSC) defined the calculation of the Monthly OREC Price paid to the generator under an Index OREC contract to be in general concept as follows:

$$\text{Index OREC Strike Price} - \frac{\text{Reference Energy Price and } \$/\text{MWH Equivalent Reference Capacity Price}}{\text{Reference Capacity Price}} = \text{Monthly OREC Price}$$

The Reference Capacity Price component of the above calculation was further defined as a megawatt hour (MWh) equivalent price based on the zonal load weighted average NYISO spot market UCAP (Unforced Capacity) prices of the included zones for the delivery month.

In its January 16, 2020, [Order Modifying Tier 1 Renewable Procurements](#), the PSC approved the use of an Index REC approach analogous to the Index OREC approach described above in Tier 1 Renewable Energy Standard procurements, and in its November 20, 2020, Order Authorizing Voluntary Modification of Certain Tier 1 Agreements, the PSC further approved the conversion of existing Tier 1 contracts with fixed REC prices to the Index REC structure.

The Reference Capacity Price formula has been defined consistently in NYSERDA Tier 1 and offshore wind solicitations as follows:

$$RCP = \frac{RUP \times UPF \times IC \times 1,000}{MDE}$$

where:

*RUP* = Reference UCAP Price (\$/kW-month)

*UPF* = UCAP Production Factor (decimal fraction)

*IC* = Installed Capacity (ICAP) of the generator (MW)<sup>5</sup>

*MDE* = Metered delivered energy

1,000 = kW to MW conversion factor

Proposers submitting Index REC or Index OREC offers into NYSERDA Tier 1 and offshore wind solicitations are required to provide fixed Summer and Winter UCAP Production Factors which are 1) used in NYSERDA's price evaluation of the proposals in each applicable solicitation, and 2) for Suppliers, included in the Index REC and Index OREC Agreements and used as an input to the Reference Capacity Price formula set forth above for monthly settlement over the contract tenor. Each Supplier whose contract was revised as part of NYSERDA's Voluntary Conversion (RESVCO2021) to incorporate the Index REC formula also provided UCAP Production Factors that were used by NYSERDA to calculate the Index

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<sup>5</sup> Offer Capacity for evaluation purposes, Operational Installed Capacity or CRIS for settlement purposes.

REC Strike Price offered to the Supplier. In all cases, Proposers were and are permitted to select any UCAP Production Factor value between 0 and 1. In accord with the PSC’s [Order Authorizing Offshore Wind Solicitation in 2020](#), the seasonal UCAP Production Factors are fixed for the term of the contract.

The UCAP Production Factors selected by Proposers (or Suppliers, in the case of the voluntary Index REC modifications) represent a proxy for the Applicable Production Factor, or capacity factor during Capability Period PLW hours, under the current market rules. The resource’s capacity factor during Capability Period PLW hours is also part of the new UCAP calculation for Intermittent Power Resources, appearing as the numerator of the proposed resource-specific derating factor.

NYSERDA is therefore considering revising the Reference Capacity Price formula to include a multiplier representing the new terms in NYISO’s UCAP formula, as follows:

$$RCP = \frac{RUP \times UPF \times IC \times 1,000}{MDE} \times \frac{CAF}{Average\ PLW\ Capacity\ Factor\ of\ Representative\ Unit}$$

where:

*RUP* = Reference UCAP Price (\$/kW-month)

*UPF* = UCAP Production Factor (decimal fraction)

*IC* = Installed Capacity (ICAP) of the generator (MW)

*MDE* = Metered delivered energy

1,000 = kW to MW conversion factor

*CAF* = Capacity Accreditation Factor for the resource’s CARC

*Average PLW Capacity Factor of Representative Unit* = Capacity Factor during Capability Period Peak Load Window hours of the Representative Unit for the resource’s CARC.

The Proposer’s selected UCAP Production Factors will be included in the Reference Capacity Price formula described above for purposes both of 1) price evaluation by NYSERDA and 2) settlement and payments over the term of the Agreement. A lower UCAP Production Factor leads to a lower Reference Capacity Price and thus a higher REC or OREC price and higher monthly payments would be evaluated less favorably in the price evaluation as it would make the project more expensive than if it had submitted higher UCAP Production Factors. Conversely, a higher UCAP Production Factor leads to a higher Reference Capacity Price and thus a lower REC or OREC price (and lower monthly payments) which will be evaluated more favorably in price evaluation, but if during operation capacity revenue is not received in the quantity represented by the UCAP Production Factors, this could put a Proposer at risk of a revenue shortfall. NYSERDA purposely ties price evaluation to settlement to ensure a fair evaluation of Proposals but, at the same time, designed the settlement mechanism to be an imperfect hedge. It is important to note that Proposers will be permitted to submit UCAP Production Factors that do not necessarily perfectly reflect the resource’s actual NYISO capacity revenues.

The following table, reproduced from RESRFP21-1, illustrates how the choice of UCAP Production Factors affects the Proposer’s monthly payment for a solar resource under the current NYISO rules,

based on an Index REC Strike Price of \$60.00/MWh, a Reference Energy Price of \$15.00/MWh, a Reference UCAP Price of \$5.00/kW-month, an installed capacity of 20 MW, and monthly REC production of 7,200 MWh (equivalent to production in a 30-day month at a 50% capacity factor).<sup>6</sup>

UCAP Production Factor	Reference Capacity Price (\$/MWh)	Monthly REC Price (\$/MWh)	Monthly Payment for RECs (\$000)
0%	\$0.00	\$45.00	\$324
25%	\$3.47	\$41.53	\$299
50%	\$6.94	\$38.06	\$274
75%	\$10.42	\$34.58	\$249
100%	\$13.89	\$31.11	\$224

Adjusting this table to the proposed new Reference Capacity Price formula, assuming the same inputs as the above table and additionally assuming a CAF of 20% and a Representative Unit PLW capacity factor of 46%,<sup>7</sup> results in the following table:

UCAP Production Factor	Reference Capacity Price (\$/MWh)	Monthly REC Price (\$/MWh)	Monthly Payment for RECs (\$000)
0%	\$0.00	\$45.00	\$324
25%	\$1.51	\$43.49	\$313
50%	\$3.02	\$41.98	\$302
75%	\$4.53	\$40.47	\$291
100%	\$6.04	\$38.96	\$281

#### a. Price Evaluation

Price evaluation and scoring for Tier 1 is described in Sections 5.3 and 5.4 on pages 39-41 of [RESRFP21-1](#). Price evaluation and scoring for offshore wind is described in Sections 4.3 and 4.4 on pages 33-36 of [ORECRFP20-1](#). The discount rates and inflation rates used in evaluation are the most recent values established by the New York State Department of Public Service Office of Accounting, Audits and Finance at the time of RFP issuance, which are published in each RFP.

For purposes of evaluation, NYSERDA will utilize forecasts of CAFs and Representative Unit PLW capacity factors, in addition to the forecasts of Reference UCAP Prices that have been utilized in prior evaluations. On [April 28, 2022](#), NYISO presented preliminary and estimated CAF values for the current system, [as indicated by the reported effective load-carrying capability \(ELCC\) and marginal reliability improvement \(MRI\) capacity percentages](#), and will continue to refine the methodology and analysis results in the coming months. NYISO presented updated modeling results on [June 28, 2022](#). In parallel, NYSERDA will use the information published by NYISO as the basis for developing forecasts to be used for evaluation purposes. While this process is not likely to be completed prior to the issuance of the

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<sup>6</sup> This 50% capacity factor is representative of average resource performance during all hours of the settlement month.

<sup>7</sup> This 46% capacity factor is representative of average Representative Unit performance during the PLW hours of the previous year's Summer Capability Period and is consistent with the current Summer UCAP Percentage for tracking solar resources in the NYISO ICAP Manual.

2022 offshore wind and Tier 1 RFPs, updated values are expected to be available prior to Proposal submission deadlines.

#### **b. Settlement Mechanism**

NYSERDA will continue to calculate the Reference Energy Price (the calculation of which is not affected by the changes described herein) and Reference Capacity Price (modified as described above once the New NYISO Capacity Accreditation Rules take effect) for each month.

Values reported or otherwise provided by the NYISO for the CAFs and Representative Unit PLW capacity factors for the relevant Capacity Accreditation Resource Classes will be used in the monthly settlement calculations.

#### **4. Next Steps**

In future RFPs, NYSERDA intends to implement the adjusted Reference Capacity Price formula described in this RFI for both price evaluation of Index REC and Index OREC Proposals and monthly REC settlement. NYSERDA will continue to review new information made available by NYISO, including additional CAF results, proposed CAF sensitivity scenarios and the proposed methodology for annually establishing the PLW that was presented to the ICAP Working Group on [June 28, 2022](#). Additional sensitivity scenario requests, an updated resource specific derating factor proposal for performance-based resources, and an updated project schedule are expected to be presented to the ICAP Working Group in July, with sensitivity scenario results to be made available in the coming months. NYSERDA encourages prospective Proposers to review the NYISO materials to support their selection of UCAP Production Factors.

NYSERDA also may submit a petition to the PSC regarding revisions to existing Index REC and Index OREC Agreements in response to the New NYISO Capacity Accreditation Rules. Prior to the implementation of the New NYISO Capacity Accreditation Rules in May 2024, NYSERDA intends to work with Suppliers to apply a standardized adjustment to the Agreements that implements the change to the Reference Capacity Price formula described in this RFI.

#### **5. Questions to Stakeholders**

1. Is there additional context that NYSERDA can provide to support Proposer selection of UCAP Production Factors?
2. Are there other factors NYSERDA should consider for inclusion in the proposed revised Reference Capacity Price formula?
3. Is there a more efficient or effective mechanism that NYSERDA should consider to address the New NYISO Capacity Accreditation Rules?
4. What factors should NYSERDA consider in developing the forecast of location-specific and technology-specific Capacity Accreditation Factors for use in evaluation?
5. What factors should NYSERDA consider in developing the forecast of technology-specific Representative Unit Peak Load Window (PLW) hours capacity factors for use in evaluation?
6. How does the preliminary nature of the proposed resource-specific derating factor formulation for Intermittent Power Resources affect Proposer selection of UCAP Production Factors?
7. In both the Tier 1 and offshore wind RFPs, Proposers may submit Proposals that include eligible Energy Storage, which can be co-located with the resource, or located separately from the resource.

How should NYSERDA evaluate Proposals that include Energy Storage, from a capacity accreditation perspective?

8. How should NYSERDA evaluate Proposals from resources using different technologies than those studied to-date by NYISO? Other eligible Tier 1 technologies include solar thermal, geothermal electric, geothermal ground source heat, tidal energy, wave energy, ocean thermal and fuel cells which do not utilize a fossil fuel resource in the process of generating electricity. If a Respondent is considering submitting a Proposal in 2022 using one of these technologies, please indicate this in your response for NYSERDA's planning purposes.
9. For existing Agreements, are there other changes NYSERDA should consider in addition to replacing the Reference Capacity Price formula? If so, what sections of the Agreement should NYSERDA consider modifying and why?
10. What is the timing, prior to Proposal submission deadlines, by which Proposers would ideally receive additional information regarding the forecasting methodology and granularity of Reference Capacity Price inputs to be used in Proposal evaluation?
11. Noting that New York's ratepayers will bear the cost of the resources constructed and built through NYSERDA's solicitations, what more can NYSERDA do to ensure that Proposers submit UCAP Production Factors that are reasonably representative of expected resource performance in response to upcoming OREC and Tier 1 RFPs?
12. Please provide any additional feedback that you believe will be helpful to NYSERDA in developing a response to the New NYISO Capacity Accreditation Rules.





**NYSERDA**

**Purchase of Offshore Wind Renewable Energy  
Certificates  
Request for Information ORECRFI22-2  
RFI Release Date: May 13, 2022**

**Responses Due: Friday, May 27, 2022 by 3:00 PM Eastern Prevailing Time**

The purpose of this Request for Information (RFI) is to invite external stakeholder review and comment on proposed updates to the draft version of ORECRFP22-1 (the Draft [RFP](#)) to provide feedback that will assist NYSERDA in finalizing the RFP prior to its release. The draft version of ORECRFP22-1 and all appendices are available on NYSERDA’s solicitation website at <https://www.nyserderda.ny.gov/offshore-wind-2022-solicitation>.

This RFI is a follow up to ORECRFI22-1, which was published on March 11, 2022 with due date of April 8, 2022 and includes adjustments to the Draft RFP that NYSERDA is considering based on comments received in ORECRFI22-1.

NYSERDA does not intend to publish responses. However, if you intend that your responses are to remain confidential, please mark them “Confidential” or “Proprietary,” in accordance with the procedure described below. If NYSERDA receives a request from a third party for responses received that have been marked “Confidential” or “Proprietary,” NYSERDA will process such request under the procedures provided by New York State’s Freedom of Information (FOIL) regulations as detailed below (see [foil@nyserderda.ny.gov](mailto:foil@nyserderda.ny.gov) for additional information). The FOIL provides exceptions to disclosure, including Section 87(2)(d) which provides for exceptions to disclosure for records or portions thereof that “are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise.” Information submitted to NYSERDA that the disclosing party wishes to have treated as proprietary and confidential trade secret information should be identified and labeled “Confidential” or “Proprietary” on each page at the time of disclosure. This information should include a written request to exempt it from disclosure, including a written statement of the reasons why the information should be exempted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501.

Respondents to this RFI (“Respondents”) are not required to answer all questions and should focus on questions relevant to their field of expertise.

Comments are due by Friday, May 27, 2022 at 3 p.m. ET, and should be sent to [NYSERDA-OSW@levitan.com](mailto:OSW@levitan.com) with the subject line “Draft ORECRFP22-1 Comments”, or may be provided by filling out a [comment form](#). NYSERDA may reach out to Respondents to seek clarifications. Any questions about this RFI or the Draft RFP or requests to discuss this RFI or the Draft RFP should be directed to Laila El-Ashmawy, Thomas King, Gregory Lampman, Peter Lion, Carl Mas, Georges Sassine, Alex Stein and/or Doreen Harris (the Designated Contacts) in writing through the email address above or [offshorewind@nyserderda.ny.gov](mailto:offshorewind@nyserderda.ny.gov).

# I. Content of Response

Responses should be concise and focus on areas in which the Respondent has a particular interest or expertise. Please limit your response to 5 pages.

The following information and items must be included in every response to this RFI:

- Respondent's name, affiliation, title, and primary contact information.
- Identify and provide general background about your organization, including a summary of any previous experience that could be relevant to this RFI.
- Responses should begin with an overview in which Respondent identifies the subject areas that are addressed in the submission.
- Each page of the response should include a header stating the name of the Respondent.
- Each response should include the RFI question number and the page number.
- Respondents should designate information intended to remain confidential as "Confidential" or "Proprietary." Respondents are discouraged from marking their entire response as "Confidential" or "Proprietary."

The Adjustments Under Consideration section below highlights certain changes to the Draft RFP that NYSERDA is currently considering based in part on stakeholder responses to ORECRFI22-1. For clarity, the adjustments described below are not the only adjustments being considered. Feedback is primarily sought from potential bidders, supply chain participants and labor stakeholders, but other stakeholders are welcome to provide feedback as well.

## II: Adjustments Under Consideration

### 1. U. S. Iron and Steel (Buy-American)

NYSERDA has conducted additional review and is considering new measures to include in ORECRFP22-1 as further described in the [ORECRFP22-1 Buy American Additional Review and Proposed Measures](#). NYSERDA encourages all interested stakeholders to submit comments on the review and proposed measures described in that document. In particular, stakeholders are encouraged to provide feedback on whether \$114,000 per megawatt of capacity is an appropriate minimum dollar amount of steel components that are manufactured with U.S. iron and steel to be used in each Project.

### 2. Meshed Ready

In response to stakeholder feedback, NYSERDA has substantially [revised Appendix G \(Meshed Ready Technical Requirements\)](#). NYSERDA encourages prospective bidders and any other interested stakeholders to submit comments on the revised document.

### 3. Inflation Adjustment

In response to stakeholder feedback noting uncertainty regarding inflation and the potential for risk premiums to be built into bid pricing as a result, NYSERDA is considering establishing an optional inflation-based OREC price adjustment mechanism in ORECRFP22-1.

The adjustment mechanism would be targeted to address inflation that affects the Project's required capital expenditure and therefore would be based on inflation that occurs after the bid date but prior to the time at which capital expenditure costs have substantially settled and become known.

As further noted below, NYSERDA is requesting stakeholder feedback on whether this point of time should be fixed at the Project's Final Investment Decision (FID), notice to proceed with construction (NTP), the commercial operation date (COD), or some other point in time. NYSERDA is also seeking feedback on what index or indices would be most appropriate to use for purposes of calculating inflation relevant to capital expenditures costs.

**a. Proposed Optional Inflation-based OREC Price Adjustment:**

All Proposals would be required to provide an Index OREC Strike Price or Fixed OREC Price that is not indexed to inflation. In that required price, future inflation would be absorbed fully by the Project and would not change the Index OREC Strike Price or Fixed OREC Price.

In addition, Proposers would be permitted to submit Inflation Risk-Adjusted Proposals (IRAPs) as Alternate Proposals. Under the IRAP structure, the Index OREC Strike Price or Fixed OREC Price would be subject to a one-time adjustment that would take place at a milestone to be established in ORECRFP22-1 that reflects the closure of construction capital costs. NYSERDA is considering what milestone to utilize for this purpose and is seeking stakeholder feedback. The adjustment to the Index OREC Strike Price or Fixed OREC Price would be calculated as set forth in the formula below:

$$OREC_{adj} = \left( OREC_{bid} \times \frac{Index_T}{Index_B} \times P \right) + \left( OREC_{bid} \times (1 - P) \right)$$

where:

$OREC_{adj}$  is the adjusted price after the milestone (e.g., FID, NTP or COD)

$OREC_{bid}$  is the as-bid OREC price at the time of ORECRFP22-1 bid submission

$Index_T$  is the value of the inflation index at time of the adjustment milestone (e.g., FID, NTP or COD)

$Index_B$  is the value of the inflation index at the time of bid submission

$P$  is the percentage of the as-bid OREC price subject to the adjustment, between 0-100%, chosen by Proposer

As noted above, the percentage of the as-bid Index OREC Strike Price or Fixed OREC Price that would be modified by the adjustment would be determined by the Proposer in its Proposal.

IRAPs would be evaluated using a risk-adjusted price adder.

**Questions to Stakeholders**

- i. Would this approach be expected to reduce ratepayer costs by eliminating a risk premium in OREC bid pricing, and if so, by how much?
- ii. Describe how an inflation adjustment mechanism could affect the project development timeline and/or viability of an offshore wind project.

- iii. Please comment on your expectations for near-term and long-term inflation and the impact on your proposal pricing.
- iv. What publicly available index or indices are most suitable to capture developers' exposure to inflation during the project development period? Please explain the relevance of the index or indices you suggest.
- v. Should the adjustment mechanism be based on a single defined index or multiple indices? Please provide any suggestions on how multiple indices should be weighed for purposes of tracking key component costs, including calculation examples.
- vi. What is an appropriate way to set  $Index_B$ , the value of the inflation index at the time of bid submission? Could this be an annual average, discrete monthly value, or other?
- vii. Should the adjustment mechanism be based on a single defined index? In the alternative, are there commercial advantages associated with an adjustment formula with multiple indices that track key drivers of total project cost? If yes, please provide general guidance how weighting factors may be established for purposes of tracking key component costs, including calculation examples.
- viii. Is an option of 0-100% for Proposers to choose appropriate, or should a certain factor be fixed in the RFP?
- ix. What is the optimal milestone for determining the price adjustment date? Should the milestone be a fixed calendar date, or the date of a defined event?
  - a. If a date defined event, should it be FID (in which case, how should that be defined), NTP, the COD or some other point in time and why?
- x. What would the impact on OREC pricing and ratepayers be if the amount by which the OREC price could be adjusted were capped at a certain percentage? What, if any, maximum adjustment percentage could be appropriate to impose?
- xi. Will a contract with an inflation risk adjustment clause be sufficient to support executing binding agreements with primary OEMs, and ultimately project financing?

#### **4. Approach to Supply Chain Investment Plans**

NYSERDA is considering several adjustments to the approach to Investment Plans (referred to here as "Supply Chain Investment Plans" or "SCIPs") laid out in the draft of ORECRFP22-1 published in conjunction with ORECRFI22-1. For clarity, the adjustments described below are to the SCIP portion of ORECRFP22-1 and not SUPPLYCHAINRFP22-1 or SUPPLYCHAINRFP22-2. The eligibility requirements of SUPPLYCHAINRFP22-1 are expected to be modified to allow more flexibility in the types of facilities that can be proposed, but further details will be provided separately.

##### **a. Changes to SCIP Eligibility and Minimum Requirements**

1. The approach described in the Draft RFP allowed Proposals to include multiple Investment Plans, each representing a single facility. With the adjustments further described below, each non-Standalone Proposal would include a single SCIP, potentially including more than one supply chain facility.
2. Given the unique benefits to New York State that the establishment of a nacelle or blades facility would unlock in terms of additional local investment in subcomponents and suppliers, NYSERDA

intends – subject to sufficient investment-worthy proposals being received through the Request for Qualifications (RFQL) process described below – to require that each SCIP include one blade or nacelle facility.

3. In addition to including a blade or nacelle facility, each SCIP would be permitted to also propose that New York State Funding be provided to one or more other offshore wind supply chain facilities, including but not limited to port upgrades, cable manufacturing facilities, offshore wind subcomponent facilities, foundation manufacturing facilities or steel manufacturing facilities that serve the offshore wind industry. SCIP proposals should demonstrate how an investment will serve the regional offshore wind market. SCIP proposals to develop facilities that serve a single offshore wind developer or Project may not be deemed investment worthy.
4. To accommodate the inclusion of more than one facility in each SCIP, the \$125 million per SCIP funding cap in ORECRFP22-1 will be increased to \$300 million. NYSERDA anticipates awarding up to \$300 million in ORECRFP22-1 but reserves the right to award more if SCIPs are sufficiently compelling.
5. The minimum number of long-term direct jobs required to be supported by a cable manufacturing facility or port improvement will be reduced from 200 to 150. NYSERDA recognizes that for port facility upgrades, this may require ports to team with prospective tenants or port users, and NYSERDA encourages such teaming.
6. The SCIP in the aggregate would be required to support at least 3 long-term direct jobs per \$1 million of New York State Funding.
7. Proposed projects should also demonstrate estimated indirect and induced jobs and describe the typical components or services that localize with such an investment. Proposals that would lead to significant long term job creation will be evaluated favorably in NYSERDA’s assessment of investment worthiness.
8. The minimum funding ratio will be set at 2:1 (non-New York State Funding to New York State Funding). Any funding (whether public or private) other than New York State Funding will count towards the numerator of the ratio.
9. The expected schedule of disbursements of New York State Funding described in Section C.2.A.1 would be adjusted to:
  - 50% at commencement of construction works.
  - 25% at final completion of the Proposed Site Investment.
  - 5% at the end of each of the first five years of the facility’s operation, subject to the achievement of target metrics as further described in Section C.2.B.7.

### **Questions to Stakeholders**

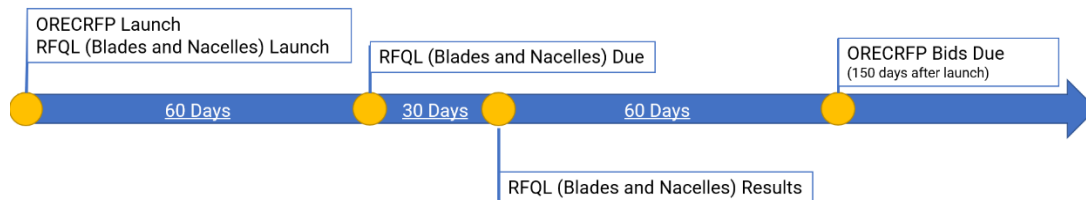
- i. Is \$300 million an appropriate maximum amount of New York State Funding for a Proposer’s SCIP?
- ii. Are the minimum jobs thresholds (including the minimum ratio of 3 long-term direct jobs per \$1 million of New York State Funding) clear and attainable?

## b. Request for Qualifications and Purchase Commitment Process

Stakeholder feedback has highlighted the importance of obtaining commitments to purchase the components manufactured in a facility as a key factor in making a blade or nacelle facility viable. Indeed, the minimum amount of committed purchases that a blade or nacelle facility requires may exceed the amount that one particular Proposer is able to commit to because of the size of the offshore wind project.

Accordingly, NYSERDA is considering implementing the following multi-step approach designed to ensure that any blade or nacelle facility awarded New York State Funding will be more likely to secure the minimum purchase commitments needed to support investment in the facility.

Figure 1: ORECRFP and RFQL Sequence



1. A Request for Qualifications (RFQL) for potential SCIP Funding Recipients would be launched within and at the same time as ORECRFP22-1. The respondents to the RFQL would be SCIP Funding Recipients rather than offshore wind project Proposers.

To be eligible for inclusion in a SCIP, any proposed blade or nacelle facility would need to be pre-qualified through this RFQL. Funding Recipients that propose facilities other than blade or nacelle facilities would be permitted but not required to pre-qualify through the RFQL.

- a. Funding Recipients would be required to include enough information in their RFQL submissions to allow NYSERDA to evaluate that the proposal is eligible to be integrated into a SCIP and Purchase Commitment Proposal (described below). This required information would include, but would not be limited to, the minimum blade/nacelle purchase commitment (denominated in MW) required for the Funding Recipients to commit to building the facility. Further requirements would be broadly similar to those included in Appendix C.2 of the draft ORECRFP22-1.
- b. Submission to the RFQL would be due within 60 days after the launch of ORECRFP22-1. After reviewing submissions, NYSERDA would announce the set of Funding Recipient-proposed blade and/or nacelle facilities (Qualified Blade/Nacelle Facilities) and/or other facilities that are deemed eligible for use by Proposers in ORECRFP22-1. Evaluation of blade and nacelle facilities would include an assessment of whether the minimum purchase commitment is reasonable, given NYSERDA's need for flexibility in establishing the size of an award group for ORECRFP22-1.
- c. Proposers would then have another 60 days after NYSERDA's announcement of qualified facilities to finalize and submit their ORECRFP22-1 Proposals, including SCIPs.

2. Subject to NYSERDA determining that sufficient Qualified Blade/Nacelle Facilities are qualified through the RFQL:
  - a. Each submitted SCIP would be required to incorporate one of the Qualified Blade/Nacelle Facilities and include a commitment to purchase blades/nacelles from that facility. The key metrics (e.g., long-term direct jobs and dollars) of the Qualified Blade/Nacelle Facilities would set a minimum starting point for the SCIP, but Proposers would be allowed to add other features to the SCIP such as investments in other facilities.
  - b. Proposers would also be required to submit an additional “Purchase Commitment Proposal” corresponding to each Qualified Blade/Nacelle Facility (including the one included in the Proposer’s SCIP). These Purchase Commitment Proposals would not include a SCIP but would include a firm commitment to purchase blades/nacelles from the Qualified Blade/Nacelle Facility, if such facility is awarded New York State Funding. Given their mandatory nature, submittal of Purchase Commitment Proposals would not require payment of additional Proposal Fees.

These Purchase Commitment Proposals would be given priority over Proposals without commitments in awards until sufficient Purchase Commitment Proposals have been awarded such that any awarded Qualified Blade/Nacelle Facility’s minimum purchase commitment has been met.

### **Questions to Stakeholders**

- i. What information would need to be included in the description of Qualified Blade/Nacelle Facilities to allow for Proposers to incorporate Qualified Blade/Nacelle Facilities into SCIPs and Purchase Commitment Proposals?
- ii. What should be viewed as reasonable minimum purchase commitment needs for a blade facility and a nacelle facility, balancing the needs of facilities with NYSERDA’s need for flexibility to award a reasonably sized portfolio of awarded offshore wind projects in ORECRFP22-1?
- iii. What measures should NYSERDA consider taking to ensure that SCIP facilities awarded New York State Funding are competitive and available to serve regional offshore wind projects?
- iv. Is 60 days an appropriate amount of time following the announcement of the RFQL results for Proposers to finalize and submit Proposals into ORECRFP22-1?

### **c. Clarifications to Exclusivity Prohibition**

The Draft RFP included the following language:

*“Proposers are prohibited from entering into any arrangement with any Funding Recipient, landowner, developer or proposed end-user of the Eligible Investment Site that materially restricts the ability of such parties to collaborate with other Proposers in developing Investment Plans, and Proposers are required to certify in the Proposer Certification Form that no such arrangement exists.”*

NYSERDA’s policy objective in providing funding to SCIPs is to promote a competitive and open New York-based supply chain. To that end, NYSERDA intends to include the following additional clarifications regarding the above-referenced prohibition in ORECRFP22-1:

- NYSERDA reserves the right to disqualify any arrangement that would, as determined by NYSERDA in its reasonable discretion, violate antitrust laws.
- The above-described prohibitions are not intended to prohibit Proposers from negotiating exclusive or priority financial, pricing or business arrangements with Funding Recipients so long as such arrangements do not prohibit such Funding Recipients from negotiating separate and distinct deals with other Proposers.
- The above-described prohibitions are not intended to prohibit proposed Funding Recipients from negotiating exclusive options for land or locations for the facilities included in SCIPs (unless such arrangements would otherwise violate antitrust laws).
- An arrangement would violate the above-described prohibition if it bars a proposed Funding Recipient from (1) seeking other state funding or grants, (2) partnering with other Proposers in the event the Proposer’s bid is not selected or (3) communicating directly with NYSERDA either during or after this RFP process.
- Proposers should provide enough information about their business arrangement with proposed Funding Recipients for NYSERDA to confirm compliance with the terms of this RFP and Section 2.1.2.

**Questions to Stakeholders**

- i. Is the exclusivity prohibition (as clarified in this ORECRF22-2) clear and consistent with market needs?

**5. Approach to Interconnection Costs and Brooklyn Clean Energy Hub**

In response to stakeholder feedback on the approach to interconnection cost sharing described in the draft ORECRFP22-1, and in light of the [Petition](#) submitted to the New York Public Service Commission (PSC) by Consolidated Edison Company of New York, Inc. for Approval to Recover Costs of Brooklyn Clean Energy Hub (the ConEd Hub) on April 15, 2022, notice of which was filed in the State Register on May 11, 2022 soliciting public comments, NYSERDA is considering adjusting ORECRFP22-1 to adopt the approach described below.

**Approach to the ConEd Hub:**

1. As was the case in ORECRFP20-1, submission of a valid Large Facility Interconnection Request with the NYISO would be an eligibility requirement for Required Base and Standalone Proposals. However, Proposers would also be permitted (or potentially required) to submit Alternate Proposals proposing to interconnect at Phase 1 of the ConEd Hub<sup>1</sup> (ConEd Hub Proposals). ConEd Hub Proposals would be evaluated and eligible for award only if the PSC approves the ConEd Hub Petition referenced above prior to awards being made in ORECRFP22-1.
2. ConEd Hub Proposals would be evaluated on the same basis as all other Proposals, such that they could potentially receive lower viability scores if the scoring committee concludes that the interconnection plans, cable routing and/or converter station siting in the ConEd Hub Proposals are less developed or certain than plans in other Proposals.

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<sup>1</sup> Phase 1 of the ConEd Hub was proposed to accommodate 4.5 GW with expected completion in 2027, whereas Phase 2 would accommodate an additional 1.5 GW with expected completion in 2032.



### Establishing Interconnection Cost and Savings Sharing Parameters:

3. Each Proposer will be required to submit its P50 expected NYISO Class Year Cost Allocation (“Expected CY Cost”), along with a detailed explanation of how it came to this expectation, including transmission interconnection studies conducted by third parties, along with its Proposals.<sup>2</sup>
4. All Proposals will be subject to the following mandatory “Savings Sharing” clause:
  - a. If the NYISO Class Year Cost Allocation that is ultimately assigned to the project (“Actual CY Cost”) is lower than the Expected CY Cost, the greater of (i) 90% or (ii) all but \$50 million of Net CY Savings (defined below) would be applied to a reduction in the OREC price. Seller would retain the lesser of (1) 10% or (2) \$50 million of Net CY savings.
  - b. “Net CY Savings” would be defined as Actual CY Cost minus Expected CY Cost, minus, if the project switches its point of interconnection (“POI”) (e.g., to a POI made preferable due to PPTN/PPTP), (i) any additional costs (e.g., a longer radial export cable) incurred as a result of the switch and (ii) any reasonably-incurred development costs (e.g., NYISO interconnection study fees) spent on the as-proposed POI.
5. Each Proposer must submit the Required Base and Standalone Proposals, in which 100% of any positive difference between the Actual CY Cost and the Expected CY Cost will be borne entirely by the Proposer.
6. Each Proposer will also be permitted to submit an Alternate Proposal (“Cost-Sharing Proposal”) in which X% of the difference between the Actual CY Cost and the Expected CY Cost would be applied to an increase in the OREC price.
  - a. The Proposer will submit in its Proposal what X% would be, provided that X% cannot exceed 90%.<sup>3</sup>
  - b. This price increase would not apply if the project uses a different POI from the one proposed in its Proposal. In this case, the reduction as described in Savings Sharing above would be applied instead.
7. NYSERDA-engaged experts will review the Proposer-submitted Expected CY Cost and supporting materials. NYSERDA will inform the Proposer of whether NYSERDA (i) agrees with the Proposer-submitted Expected CY Cost or (ii) is adjusting the Expected CY Cost.
8. If NYSERDA adjusts the Expected CY Cost, the Proposer will be given a one-time opportunity to change its bid price and/or its X% factor, taking the adjusted Expected CY Cost into account, or to withdraw its Cost-Sharing Proposal.

### Proposal Evaluation:

9. Proposals would be evaluated based on their proposed POIs, with the understanding that if an awarded project subsequently changed interconnection location, the OREC price could be reduced via the “Savings Sharing” mechanism described above.

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<sup>2</sup> Proposers will also be required to provide high (P10 Case) and low (P90 Case) estimates of the Project’s NYISO Class Year Cost Allocation, along with supporting documentation.

<sup>3</sup> Proposers will be allowed to select different percentage splits at different tiers of interconnection cost amounts. For example, one Proposer could opt for costs to be split 50-50 from \$100m to \$150m and 75-25 above \$150m, while another Proposer could opt for costs to be split 60-40 from \$125m to \$175m and 40-60 above \$175m.

10. Cost-Sharing Proposals would be evaluated head-to-head with other Proposals by applying a risk-adjusted adder to the OREC Price calculated based on how the Actual CY Cost would be shared using the Proposer-selected X% factor described above.
11. For these evaluation purposes only, a confidential risk adjustment would be applied to the Expected CY Cost by NYSERDA to take into account the possibility that the Actual CY Cost could be higher than the Expected CY Cost. The determination of the risk adjustment will be at NYSERDA's discretion and will be informed by the Expected CY Cost, high and low interconnection cost estimates, and other supporting documentation provided by the Proposer.

Potential Reduced Cost POI Implementation:

12. If a POI is made preferable due to a Public Policy Transmission Need project, another public investment project or any other reason, a project chooses to switch its POI to that other POI, and Net CY Savings accrue as a result, the Savings Sharing clause above would apply.
13. The OREC Purchase and Sale Agreement will include a provision requiring the Project to use commercially reasonable efforts to switch its POI to any POI that would reduce the OREC price due to the Savings Sharing clause.

Questions to Stakeholders

- i. Is the proposed approach clear, or are there aspects that require further clarification?
- ii. Should Proposers be required, or only permitted, to submit ConEd Hub Proposals, and why?
- iii. Should relief from the Outer Limit Date (currently set as 1/1/2051 for 20-year proposals and 1/1/2056 for 25-year proposals) be provided to awarded ConEd Hub Proposals in the event that implementation of the ConEd Hub is delayed?
- iv. Does the Savings Sharing clause appropriately balance ratepayer interests with the need for Projects to have a commercial incentive to seek savings reduction?
- v. Does the 90% limitation on the NYSERDA-borne share of interconnection costs appropriately balance protecting long-term interests of ratepayers with the goal of reducing risk premium in bid pricing?

### **III: General Conditions**

The information gathered by NYSERDA will be advisory only and is not binding on NYSERDA or any other state agency, office, commission, or public authority. Responses will become the property of NYSERDA. Any actions recommended by NYSERDA will be subject to all applicable laws, including procedural, regulatory and environmental review requirements.

This RFI is neither a contract offer, nor a request for proposals and does not commit NYSERDA to award a contract, pay any costs incurred in preparing a response, or to procure or contract for services or supplies. Respondents are encouraged to respond to this RFI; however, failure to submit a response will not impact a Respondent's ability to respond to any future competitive solicitation process (if any) for projects, or influence the selection of a service provider going forward or affect its rights and obligations under any applicable laws or in any legal proceeding. NYSERDA reserves the right to discontinue or modify the RFI process at any time, and makes no commitments, implied or otherwise, that this process

will result in a business transaction or negotiation with one or more Respondents. All costs associated with responding to this RFI will be solely at Respondents' expense.



**NYSERDA**

**Purchase of Offshore Wind Renewable Energy  
Certificates  
Request for Proposals ORECRFP22-1  
Release Date: July 27, 2022  
Revised Date: November 4, 2022**

**Updates to ORECRFP22-1**

RFP Designated Contacts

Nate Chumley and Janna Herndon have been added as Other Designated Contacts.

List of Appendices

Appendix C.3 (Disadvantaged Community Benefits) has been added.

Appendix O (Standard Form Capital Commitment Agreement) has been added.

Acronyms and Definitions

ConEd Hub definition has been revised to provide clarification.

Disadvantaged Communities definition has been revised to clarify that the criteria are expected to be finalized at the end of 2022, that the interim criteria have been specified by NYSERDA and that commitments to a community that meets either the interim or final definition will be eligible as a Disadvantaged Community commitment under the RFP.

Expected Total Dollars definition has been revised to remove Category 2 Incremental Economic Benefits.

Incremental Economic Benefits definition has been revised to add “or an anticipation of the potential for such an award.”

Interconnection Cost Allocation definition has been revised to add “as memorialized in the Project’s interconnection agreement.”

New York Economic Benefits definition has been added.

Project Qualifying Federal Support definition has been revised.

Verified Total Dollars definition has been revised to remove Category 2 Incremental Economic Benefits.

Section 1.3 (Schedule)

NYSERDA Portal Open for Registration has been changed to November 4, 2022.

Deadline for NYSERDA Portal Registration and NYSERDA Portal Open for Submission has been changed to January 19, 2023.

Proposal Submission Deadline has been changed to January 26, 2023.

#### Section 1.4 (Notice of Intent to Propose)

Footnote has been added with the option for Funding Recipients to submit Executive Order No. 16 certifications directly to NYSERDA.

#### Section 2.1.1 (ORECs Offered)

Clarification regarding contractual commitment to another entity has been added.

#### Section 2.1.4 (Required and Alternate Proposals)

Requirement for Alternate Proposals that include Energy Storage to correspond to a Proposal that is consistent in all other respects, except for pricing and/or other modifications directly related to Energy Storage has been added.

Footnote has been added indicating how the Energy Storage Component Price Reduction Amount will be calculated for purposes of the Agreement.

Requirement for Alternate Proposals that include an Offshore Wind Generation Facility that is not Meshed Ready, with the exception of Upgrade Capacity, to correspond to a Proposal that is consistent in all other respects, except for pricing and/or other modifications directly related to all Offshore Wind Generation Facilities being Meshed Ready, has been added.

Locational restrictions on HVAC cables have been added.

Language around the ConEd Hub has been revised to specify that Proposals must not assume or be contingent on the ConEd Hub unless and until the Commission approves the petition to recover costs of the ConEd Hub.

#### Section 2.1.5 (Pricing)

Footnote has been added regarding Qualifying Federal Support.

#### Section 2.1.7 (Interconnection and Deliverability)

Language related to the ConEd Hub, including regarding submission of a Large Facility Interconnection Request, has been clarified.

Option to present a plan for alternate uses of a Project's electrical output in excess of the Annual OREC Cap and/or during curtailments has been added.

Locational restrictions on HVAC cables have been added.

#### Section 2.1.8 (Repurposing Downstate Fossil Fuel Generation Infrastructure)

Language related to Affected Resources has been revised.

#### Section 2.1.9 (Energy Storage)

Reference to Article 10 has been removed.

Information regarding the application of the Energy Storage Component Price Reduction Amount has been added.

Section 2.2.7 (Support for Monitoring Key Commercial Fish Stocks and Wildlife)

Requirements related to funding commitments have been revised.

Section 2.2.9 (Lighting Controls)

Clarification that lighting controls minimize nighttime visibility “from shore and risk to wildlife” has been added.

Section 2.2.10.3 (Stakeholder Engagement)

Requirements around ongoing stakeholder and community engagement if awarded a contract have been added.

Section 2.2.14 (Embodied Carbon)

New section has been added.

Section 2.2.15 (Disadvantaged Community Commitments)

New section has been added.

Section 3.2.6 (Interconnection and Deliverability)

Locational restrictions on HVAC cables have been revised.

Guidance around favorable evaluation of Interconnection and Deliverability Plans has been updated.

Section 3.2.8.3 (Disadvantaged Community Impacts)

Climate Action Council’s Draft Scoping Plan has been added as a guidance document for designing Projects and associated investments to provide benefits to and reduce burdens on Disadvantaged Communities.

A reference to the new Appendix C.3 has been added.

Section 3.2.10 (Repurposing Downstate Fossil Fuel Generation Infrastructure)

Language related to consideration of how the relevant fossil fuel generation will be replaced has been moved to Section 3.2.10.1.

Section 3.2.10.1 (Repurposing Downstate Fossil Fuel Generation Infrastructure)

Language related to Affected Resources has been revised.

Language related to consideration of how the relevant fossil fuel generation will be replaced has been moved from Section 3.2.10.

### Section 3.3.1 (Prioritizing Disadvantaged Communities)

A reference to the new Appendix C.3 has been added.

### Section 3.3.4 (Economic Benefits Categories)

Figure 1 has been updated to show that Category 2 is now only included in the SCIP Facility Funding Agreement and not in the Agreement

### Section 3.3.5 (Economic Benefits Evaluation Considerations)

Updated to reflect that only Category 1 will be normalized by Offer Capacity as part of the evaluation.

A reference to the new Appendix C.3 has been added.

A reference to Chapter 7 of the Climate Action Council's Draft Scoping Plan has been added to provide guidance on linking Economic Benefits Claims to a just workforce transition.

Figure 2 has been updated to show that for SCIP Proposals Category 2 will only be included in the scoring of up to 5 points for Economic Benefits linked to SCIPS and not in the scoring of up to 15 points for Economic Benefits.

The organization of Figure 4 has been updated to reflect the updated Category alignment but the linkages between the Jobs and Workforce Plan and Economic Benefits categories have not changed.

### Section 4.1.2 (Index OREC Pricing)

The reference to potentially updating the Reference Capacity Price formula based on responses to LSRRFI22-1 has been removed. NYSERDA reserves the right to further revise the RFP and/or to provide Proposers with an opportunity to submit updated pricing if new relevant material becomes available prior to or after the Proposal Submission Deadline.

### Section 4.2.2 (Inflation Adjustment)

Table 2 has been revised to add links to public sources for indices which did not previously include a link,

Table 3 has been revised to reflect commodity inflation index values as of the issuance date of the revised RFP and to provide additional links to public data sources.

### Section 4.5 (Offer Price Scoring)

Language related to Authorized Agent has been clarified.

### Section 5.1.1 (Preliminary SCIP Rank Order)

Clarification that a SCIP Facility that is conditional on a minimum offtake volume will only be included in the award group if the minimum offtake volume is met has been added.

### Section 6.2.1 (Organization of the Submission)

Requirement that the Submission include both Confidential and Public versions of the Jobs and Workforce Plan has been added.

### Section 6.2.2 (Submission Instructions)

Dates related to the Salesforce Portal have been updated.

Alternative method for Funding Recipients to submit sensitive or confidential information directly to NYSERDA has been added.

### Section 6.3.2 (Offer Data Form)

Requirements to enter the Offer Capacity for each Offshore Wind Generation Facility in the Proposal and whether each Offshore Wind Generation Facility is Meshed Ready have been added on Part I.

Requirement to enter the corresponding Proposal that is fully Meshed Ready has been added if the Proposal includes an Offshore Wind Generation Facility that is not Meshed Ready.

Requirement to enter Bid Storage Capacity values and the location of the Energy Storage for Proposals that include Energy Storage has been added on Part I.

Clarification that expenditure values for New York iron and steel and non-New York U.S. iron and steel are entered separately on Part V, Table V-1 has been added.

Table V-2 has been removed from Part V.

Table VI-2 has been removed from Part VI.

Part VI has been expanded to require the entry of FTE-Years for line items entered using the Total compensation structure.

Category 2 has been removed from Part VII.

### Section 6.3.3 (Supply Chain Investment Plan Data Form)

Selection of long-term job type for each SCIP Facility has been added to Part I.

Requirement to align entries in Table II-2 of the SCIPDF with Table V-2 of the ODF has been removed from Part II.

Requirement to enter the applicable SCIP Facility for each line item has been added to Part II-5.

Requirement to align entries in Table III-2 of the SCIPDF with Table VI-2 of the ODF has been removed from Part III.

Artifact reference to Category 1 and Category 2 entries from the Offer Data Form has been removed.



#### Section 6.4.1 (Executive Summary)

Required forms and disclosure in accord with Section 8 of the RFP have been added to clarify where they should be addressed in the Proposal Narrative.

#### Section 6.4.3 (Proposer Qualifications)

Requirement to provide demographic information has been clarified.

#### Section 6.4.4 (Project Description and Site Control)

Language around site plan requirements has been clarified.

#### Section 6.4.8 (Interconnection and Deliverability Plan)

Requirement to provide a justification for exclusion from the Meshed Ready system has been added to clarify where this justification, as required in Section 2.1.4, should be included in the Proposal.

#### Section 6.4.18 (Disadvantaged Community Impacts)

“[t]hrough documented engagements” has been added.

A reference to the new Appendix C.3 has been added.

#### Section 6.4.19.1 (Economic Benefits Plan)

Reference to the description of Economic Benefits Plan supporting documentation has been corrected to point to Appendix C.1.

#### Section 6.4.19.3 (New York Jobs and Workforce Plan)

Requirement that the Submission include both Confidential and Public versions of the Jobs and Workforce Plan has been added.

#### Section 6.6 (Exceptions to Agreements)

The Capital Commitment Agreement has been added to the list of Agreements to which Proposers can submit requested changes.

#### Section 7.2 (Provision of Supply Chain Investment Plan Contracts for Execution)

Quarterly progress reporting requirements have been added.

#### Section 8.12 (Executive Order No. 192)

New section has been added.

#### Appendix B (Proposer Certification Form)

Signer has been clarified to be the Authorized Agent.

Language referencing the ConEd Hub Large Facility Interconnection Request has been revised.

Certification that Proposer will comply with Tax Law Section 5-a prior to contracting with NYSERDA has been added.

#### Appendix C.1 (Economic Benefits Claims and Verification)

Clarification for how 5 points associated with SCIPs for SCIP Proposals will be awarded has been added.

Guidance for Category 2 has been removed and a pointer to Category 2 information in Appendix C.2 has been added.

#### Appendix C.2 (Supply Chain Investment Plan Requirements)

Quarterly progress reporting requirements have been added.

Funding plan requirements related to federal financial support have been revised.

Clarification that the thresholds apply to each SCIP Facility has been added in Section C.2.A.1.b.

Clarification that the long-term direct jobs thresholds apply specifically to the SCIP Facility's operations phase has been added in Section C.2.A.1.b.

Clarification that jobs on vessels operating out of the port are included toward the thresholds for port infrastructure investments has been added in Section C.2.A.1.b.

The requirement for other supply chain activities to support Primary Component manufacturing has been removed from Section C.2.A.1.b.

An alternative approach to meeting the jobs threshold for SCIP Facilities with intermittent staffing requirements has been added in Section C.2.A.1.b.

A reference to the new Appendix C.3 has been added.

Relative weighting for annual average FTE equivalent jobs claims in evaluation has been added.

Requirements regarding the provision of financial statements and credit ratings for the Funding Recipient have been clarified in Section C.2.C.7.

Annual average FTE equivalents have been added as an alternative metric in Table C.2.3.

#### Appendix G (Meshed Ready Technical Requirements)

Clarification regarding the level of detail required at Proposal submission has been added in Section G.2.3 and Table G.2.

#### Appendix I (Agreement)

See posted redline for changes.

#### Appendix J (SCIP Facility Funding Agreement)

See posted redline for changes.

#### Appendix K (Offer Data Form)

User Guide has been updated to align with changes throughout the workbook and to clarify instructions for submitting Labor Expenditures on Part V-1 and Part VI-1.

Part I has been updated to add entries for whether each Offshore Wind Generation Facility is Meshed Ready.

Part I has been updated to add an entry for the corresponding fully Meshed Ready Proposal if the Proposal includes an Offshore Wind Generation Facility that is not Meshed Ready and does not represent Upgrade Capacity.

Part I has been updated to add entries for Bid Storage Capacity in MW and MWh and Energy Storage location if the Proposal includes Energy Storage.

Part V-1 has been revised to include entry of the applicable Offshore Wind Generation Facility for each line item.

Part V-2 has been removed.

Part V-3 has been revised to include entry of the applicable Offshore Wind Generation Facility for each line item.

Part VI-1 has been revised to include entry of the applicable Offshore Wind Generation Facility for each line item.

Part VI-1 has been revised to add new columns for entering FTE-Years by line item if compensation is entered on a Total basis.

Part VI-2 has been removed.

Part VII has been updated to remove Category 2.

Part VII has been updated to include separate entries for each Offshore Wind Generation Facility.

#### Appendix L (Master Offers Form)

New York Jobs and Workforce Plan file type has been adjusted to require both Confidential and Public versions.

#### Appendix M (SCIP Data Form)

User Guide has been updated to align with changes throughout the workbook and to clarify instructions for submitting Labor Expenditures on Parts II-2 and II-4 and Parts III-2 and III-4.

Part I has been updated to add the requirement to identify whether the long-term jobs for a SCIP Facility are year-round or intermittent.

Part II-5 has been updated to add a column for entry of the applicable SCIP Facility.

Part III-2 has been revised to add new columns for entering FTE-Years by line item if compensation is entered on a Total basis.

Part III-4 has been revised to add new columns for entering FTE-Years by line item if compensation is entered on a Total basis.

Part IV has been expanded to require entries by SCIP Facility.

#### Appendix N (Proposal Submission Guide)

Requirement that the Submission include both Confidential and Public versions of the Jobs and Workforce Plan has been added.

#### Other Corrections

Corrections and typos have been fixed in Sections 1.4 (“Required Alternate Proposal” replaced with “Required Standalone Proposal”), Section 2.1.7 (“Delivery” replaced with “Deliverability”), Section 2.1.9 links corrected), Section 8.1 (link corrected), Section 8.2 (link corrected), Section 8.11 (link corrected), Appendix E (heading numeration) and Appendix H (links corrected).



**NYSERDA**

**Purchase of Offshore Wind Renewable Energy  
Certificates  
Request for Proposals ORECRFP22-1  
Release Date: July 27, 2022  
Revised Date: November 4, 2022**

The New York State Energy Research and Development Authority (NYSERDA) seeks to procure Offshore Wind Renewable Energy Certificates (ORECs)<sup>1</sup> as authorized by the New York State Public Service Commission's [Order Establishing Offshore Wind Standard and Framework for Phase 1 Procurement](#), issued on July 12, 2018, [Order Adopting Modifications to the Clean Energy Standard](#) issued on October 15, 2020 in Case No. 15-E-0302, and most recently in the [Order on Power Grid Study Recommendations](#) issued on January 20, 2022 in Case Nos. 20-E-0197, 18-E-0071, and 15-E-0302. All Proposers are advised to review the Orders and their Appendices before participating in this Request for Proposals (RFP).

**Notices of Intent to Propose are due on December 1, 2022, by 3:00 p.m. ET.**

**Proposals are due on January 26, 2023, by 3:00 p.m. ET.**

**Proposals must be held firm and valid for 180 days from January 26, 2023.**

All relevant documents pertaining to this RFP are available on NYSERDA's solicitation website at <https://www.nyserda.ny.gov/offshore-wind-2022-solicitation>. Proposers are advised to check this website regularly for updates. A [Proposers' Conference](#) will be held on August 23, 2022.

Questions about this RFP should be directed to the Primary Contacts or Other Designated Contacts listed below in writing to [offshorewind@nyserda.ny.gov](mailto:offshorewind@nyserda.ny.gov).

- Primary Contacts: Laila El-Ashmawy, Gregory Lampman and Alexander Stein
- Other Designated Contacts: Nate Chumley, Jessica Dealy, Doreen Harris, Janna Herndon, Thomas King, Peter Lion and Georges Sassine

No communication intended to influence this procurement is permitted except by contacting the Primary Contacts or Other Designated Contacts. Contacting anyone other than the Primary Contacts or Other Designated Contacts (either directly by Proposer or indirectly through a lobbyist or other person acting on Proposer's behalf) to influence the procurement may result in: (1) a Proposer being deemed a non-responsive offeror, and (2) Proposer not receiving an award. NYSERDA may contact Proposers at any stage with requests for clarifications and questions.

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<sup>1</sup> Please note that while the Orders use the generic term "credits," the term "certificates" is used here, as successful Proposers will be required to participate in NYGATS, and NYGATS uses the term "certificates." NYGATS Certificates are minted on a one per MWh basis. Each NYGATS OREC Certificate will include a unique serial number.

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## ACRONYMS AND DEFINITIONS

**Actual Production** – The amount of electric energy production from the Project, in MWh delivered to the Injection Point, for which NYSERDA is obligated to purchase the associated ORECs under Article II of the Agreement.

**Affected Resource** – An electric generation resource defined in Section 2.1.8.

**Agreement** – Offshore Wind Renewable Energy Certificate Standard Form Purchase and Sale Agreement.

**Alternate Proposal** – A Proposal defined in Section 2.1.4.

**Alternate SCIP Proposal** – A Proposal defined in Section 2.1.4 that includes a Supply Chain Investment Plan.

**Alternate Standalone Proposal** – A Proposal defined in Section 2.1.4 that does not include a Supply Chain Investment Plan.

**Annual OREC Cap** – The amount of ORECs equal to the product of 1.1 and the P10 Annual OREC Exceedance.

**Applicable OREC Price Method** – The method employed by NYSERDA in each month for determining the Monthly OREC Price as determined in Section 4.01 of the Agreement.

**Award Notification Date** – The date upon which NYSERDA provides written confirmation to a Proposer indicating that a Proposal has been selected for contract negotiations.

**Benchmark LNOC** – The confidential maximum price levels for the Fixed OREC and Index OREC offers that NYSERDA will employ in its determination of potential OREC award(s).

**BOEM** – The Bureau of Ocean Energy Management within the U.S. Department of the Interior.

**ConEd Hub** – The facilities for offshore wind energy interconnection described as the “Brooklyn Clean Energy Hub” in the [Petition](#) submitted to the New York Public Service Commission (PSC) by Consolidated Edison Company of New York, Inc. for Approval to Recover Costs of Brooklyn Clean Energy Hub on April 15, 2022,(or any modification thereof approved by the PSC).**CES** – Clean Energy Standard.

**Clean Electrolytic Hydrogen** – Hydrogen produced from water through electrolysis, utilizing renewable electricity to electrochemically split water into hydrogen and oxygen.

**Climate Act** – [Climate Leadership and Community Protection Act](#).

**Commercial Operation** – A state of operational readiness under which (i) generating capacity is available and physically producing electric energy, and (ii) all rights, abilities, permits and approvals to schedule and deliver energy to the Injection Point have been obtained.

**Commercial Operation Date** – The date upon which the Project or a phase of the Project enters Commercial Operation.

**Contract Delivery Term** – The period of performance under the Agreement. The Contract Delivery Term for each Project phase will commence on the first day of the month after any portion of the Project phase commences Commercial Operation and end at the earlier of (i) the date upon which the Contract Tenor has elapsed, or (ii) the Outer Limit Date.

**Contract Quarterly Report** – Quarterly written progress reports provided by Seller to NYSERDA in accord with Section 6.02 of the Agreement.

**Contract Tenor** – The maximum duration of the Contract Delivery Term. The Contract Tenor shall be stated in years.

**Contract Year** – A 12-month period commencing with the beginning of the Contract Delivery Term and each anniversary thereof during the Contract Delivery Term. The phrase “Contract Year” followed by a number shall refer to a discrete Contract Year within the Contract Delivery Term such that “Contract Year 1” refers to the first 12-month period commencing with the beginning of the Contract Delivery Term, “Contract Year 2” refers to the second such 12-month period, and so on.

**Delivery Point** – For Projects that inject energy directly into the New York Control Area, the generator bus or location where (a) the administrator of the wholesale power market, or (b) the operator of the transmission/distribution utility, public authority or municipal electric company, measures, or otherwise determines, energy production from the Project. For Projects that inject energy outside of the New York Control Area, the generator bus or location where the NYISO measures energy delivery from the Project into the New York Control Area.

**Disadvantaged Communities** – The Climate Act directs [the Climate Justice Working Group](#) (CJWG) to establish criteria for identifying disadvantaged communities. The disadvantaged communities criteria are expected to be finalized at the end of 2022; until then, NYSERDA has specified interim criteria for disadvantaged communities, which includes two types of communities, those: (i) located within census block groups that meet the U.S. Housing and Urban Development (HUD) 50% area median income (AMI) threshold of the top quartile of census block groups in New York, ranked by the percentage of low and moderate income (LMI) households, defined as households with annual incomes at or below 50% of the AMI of the county or metro area where the census block group resides, that are also located within the [DEC Potential Environmental Justice Areas](#); or (ii) located within [New York State Opportunity Zones](#). Commitments to a community that meet the definition of Disadvantaged Community under either the interim criteria or the final criteria will be eligible as a Disadvantaged Community commitment under ORECRFP22-1 (even if a community meets either the interim or final criteria but not both). See <https://www.nyserdera.ny.gov/ny/disadvantaged-communities> for more information including updates and links to GIS maps. Projects proposed prior to the finalization of the disadvantaged communities criteria shall reference the interim criteria when considering impacts for disadvantaged communities. NYSERDA will provide updates on the status of the disadvantaged communities criteria, including when the final disadvantaged communities criteria will be adopted.

**Economic Benefits Plan** – A plan submitted as part of a specific Proposal, inclusive of an associated Supply Chain Investment Plan (other than in Standalone Proposals) and New York Jobs and Workforce Plan, as further described in Section C.1.B.2 of Appendix C.1.

**Economic Benefits Report** – An independently audited report, documenting the total dollar amount of actual Incremental Economic Benefits accrued to New York and associated activities and commitments undertaken from the Economic Benefits Start Date through the end of the first three (3) years of the Contract Delivery Term, as further described in Appendix C.1 and Section 12.01 of the Agreement.

**Economic Benefits Start Date** – January 1, 2022.

**Eligible Expenses** – Expenses which are eligible to receive New York State Funding through a Supply Chain Investment Plan, including certain types of tangible assets required for the development of infrastructure to support the offshore wind industry. Expenses eligible for funding must be critical for the Supply Chain Investment Plan, be for areas located within the Site, and should align with the categories listed in Section C.2.A.2 in Appendix C.2.

**Environmental Attributes** – All environmental characteristics, claims, credits, benefits, emissions reductions, offsets, allowances, allocations, howsoever characterized, denominated, measured or entitled, attributable to the generation of Actual Eligible Production by a Project, consistent with the delineation of attributes set forth in the Agreement.

**Environmental Mitigation Plan** – A plan submitted as part of a specific Proposal, as further described in Appendix E.

**Energy Storage** – A commercially available resource capable of receiving electric energy and storing that energy or a portion of that energy for later electrical discharge, regardless of where that resource is located within NYISO Zones J and K. The storage facility need not be co-located with the Offshore Wind Generation Facility's Delivery Point nor exclusively be charged by energy from the Offshore Wind Generation Facility. However, as further described in Section 2.1.9, discharged energy generates ORECs, and is able to receive OREC payments, only if the charging energy is directly from the Project. The Energy Storage must be constructed and operated in accordance with Article VI, Article VII, and Article IX of the [NYSERDA Bulk Storage Incentive Program Manual](#) except for the requirement to be physically located within New York State, as further described by the terms in Section 2.1.9.

**Expected Labor Dollars** – The Expected Total Dollars associated with labor expenditures described in the New York Jobs and Workforce Plan that fall into the applicable categories set forth in Appendix C.1 and Exhibit I of the Agreement. The full cost of employment contributes to Expected Labor Dollars, including benefits and payroll taxes.

**Expected MWBE and SDVOB Dollars** – The Expected Total Dollars expected to accrue specifically to MWBEs and SDVOBs.

**Expected Total Dollars** – The total dollar amount of Incremental Economic Benefits in Category 1 as presented in the Proposal and accepted by NYSERDA, expected to accrue to New York State as a result

of the development, construction, modification, interconnection, and operation of the Project, optional Energy Storage and associated Supply Chain Investment Plans from the Economic Benefits Start Date through the end of the first three (3) Contract Years.

**Expected U.S. Iron and Steel Dollars** – The Expected Total Dollars associated with expenditures for iron and steel manufactured in the United States.<sup>2</sup>

**Financing Plan** – A plan submitted as part of a specific Proposal, as further described in Section 6.4.7.

**Fisheries Mitigation Plan** – A plan submitted as part of a specific Proposal, as further described in Appendix D.

**Fixed OREC Price** – A fixed, as-offered price in dollars per OREC as described in Section 4.02 of the Agreement.

**FOIL** – New York’s Freedom of Information Law, Public Officers’ Law Article 6.

**Fossil Repurposing Proposals** – Proposals that propose to repurpose existing fossil-based electric generation infrastructure in Zones J and/or K as further described in Section 2.1.8.

**Funding Recipient** – An entity that receives New York State Funding, will be responsible for execution of a SCIP Facility within the Supply Chain Investment Plan and will be evaluated for creditworthiness, as described in Section C.2.B in Appendix C.2. A Funding Recipient should be the entity that will actually be responsible for execution of activities at a SCIP Facility within the Supply Chain Investment Plan, whether that is the Proposer itself, the entity that owns or operates the SCIP Facility, a manufacturer that utilizes the SCIP Facility or another entity. A Supply Chain Investment Plan can have multiple Funding Recipients.

**Incremental Economic Benefits** – Those financial expenditures benefiting New York State (for this purpose, expenditures for iron and steel manufactured in the United States shall be deemed to benefit New York State even if incurred outside of New York State) within the categories specified in Appendix C.1 that a Proposer can demonstrate: (1) accrue after the Economic Benefits Start Date; (2) would not have accrued but for the award of a contract under this current RFP or an anticipation of the potential for such an award; (3) do not represent any economic benefits accrued pursuant to an award under any prior New York State RFP; and (4) do not include any New York State Funding. Incremental Economic Benefits associated with Supply Chain Investment Plans shall be calculated as set forth in Appendix C.1.

**Index OREC Price** – An adjustable price in dollars per OREC that nets a fixed, as-offered strike price monthly against a reference price expressed in a market index as determined by NYSERDA pursuant to Section 4.03 of the Agreement.

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<sup>2</sup> This amount will be based on \$114,000 per MW unless the Proposal commits to a higher amount.

**Inflation Adjustment** – A one-time adjustment to the Fixed OREC Price or Index OREC Strike Price as further described in and Sections 2.1.5.2 and 4.2.2 and in Section 5.03 of the Agreement.

**Injection Point** – For Projects that interconnect directly into the NYCA, the Injection Point is the Delivery Point. For Projects that interconnect outside of the NYCA, the Injection Point shall be the generator bus or the location where the administrator of the local Control Area measures energy delivery from the Project into the local market.

**4.2.2 Interconnection and Deliverability Plan** – A plan submitted as part of a specific Proposal, as further described in Section 6.4.8.

**Interconnection Cost Allocation** – The total costs actually allocated to and borne by a Project pursuant to NYISO interconnection requirements, as memorialized in the Project’s interconnection agreement.

**Interconnection Cost Allocation Baseline** – Estimated Interconnection Cost Allocation for a Project used for purposes of Interconnection Cost Sharing calculations as further described in Sections 2.1.5.1 and 4.2.1 and in Section 5.04 of the Agreement.

**Interconnection Cost Sharing** – A modification to the price structure that allows for the costs associated with a Project’s NYISO interconnection to be shared through an adjustment in pricing, as further described in Sections 2.1.5.1 and 4.2.1 and in Section 5.04 of the Agreement.

**Interconnection Cost Sharing Adder** – The adder to the Index OREC Strike Price or the Fixed Index Price that represents NYSEERDA’s share of the Interconnection Cost Allocation, applicable to Proposals that include Interconnection Cost Sharing.

**Interconnection Net Savings** – Difference between Interconnection Cost Allocation Baseline and final Interconnection Cost Allocation, less any costs the Project has already expended on the initial Injection Point and that the Project has incurred as a result of changing its Injection Point from that submitted in the Proposal.

**Interconnection Savings Share** – A means of sharing savings in the event that there are Interconnection Net Savings as described in Section 4.2.1 and in Section 5.04 of the Agreement.

**Labor Peace Agreement (LPA)** – An agreement between the owner of an Offshore Wind Generation Facility and a bona fide labor organization that, at a minimum, protects the State’s proprietary interests by prohibiting labor organizations and their members from engaging in picketing, work stoppages, boycotts, and any other economic interference with the Offshore Wind Generation Facility in accordance with Public Service Law § 66-r (3).

**Levelized Net OREC Cost (LNOC)** – A means of comparing Proposals with different pricing structures, OREC quantity schedules, Commercial Operation Dates, and Contract Tenors, as described in Section 4.44.4.

**Long-Term Jobs** – Jobs lasting three or more years.

**LSE** – Load-serving entity.

**Major Supplier** – A supplier of goods and services to the Proposer with an anticipated minimum contract value of \$1 million. Proposers must utilize the New York Offshore Wind Supply Chain Database, as described in Section 2.2.13 when choosing Major Suppliers.

**Maximum Project Capacity** – The product of the Offer Capacity and 1.10.

**Meshed Network** – Offshore transmission configuration in which individual Offshore Wind Generation Facility substations are linked to one-another via HVAC lines, as defined in Appendix G.

**Meshed Ready** – An Offshore Wind Generation Facility which is radially connected to the New York electric grid and satisfies the requirements set forth in Appendix G, including control, interface, performance, functional and physical requirements.

**Monthly OREC Price** – A price in dollars per OREC determined by NYSERDA for each month of the Contract Delivery Term. If the Applicable OREC Price Method is the Fixed OREC Price, the Monthly OREC Price shall be calculated pursuant to Section 4.02 of the Agreement. If the Applicable OREC Price Method is the Index OREC Price, the Monthly OREC Price shall be calculated pursuant to Section 4.03 of the Agreement.

**MWBE** – Minority and/or Women-Owned Businesses, such term is as defined under New York State Law. New York State Certified MWBEs are searchable in the [MWBE Certified Database maintained by Empire State Development \(ESD\)](#).

**New York Control Area (NYCA)** – The geographic bounds of the electricity system that is under the control of the NYISO, which includes transmission facilities listed in the ISO/Transmission Owner Agreement Appendices A-1 and A-2, as may be amended from time to time.

**New York Economic Benefits** – The evaluation criterion based on Incremental Economic Benefits, as further described in Section 3.3 and Appendix C.1.

**New York Generation Attribute Tracking System (NYGATS)** – The tracking system that records electricity generation attribute information within New York State, and processes generation attribute information from energy imported and consumed within New York State, as a basis for creating generation attribute certificates, including ORECs. NYGATS will create exactly one OREC per MWh of generation attributable to the Project and delivered to the Delivery Point.

**New York Jobs and Workforce Plan** – A plan submitted as part of a specific Proposal, as further described in Appendix H.

**New York State Funding** – Public grant funding for Eligible Expenses associated with Supply Chain Investment Plans, available for draws as critical Supply Chain Investment Plan milestones are met.

**Non-Eligible Expenses** – Expenses which are not eligible to receive New York State Funding through a Supply Chain Investment Plan, including but not limited to historic expenses for work already

performed, financing costs, land acquisition costs, wetland mitigation, due diligence costs, legal costs, and operational costs.

**NY Green Bank Financing** – Competitively-priced, market-based debt financing issued by the NY Green Bank. NY Green Bank is a State-sponsored specialized financial entity that works with the private sector to identify, address, and alleviate market barriers preventing the widespread deployment of clean energy projects across New York State. More information on NY Green Bank can be found at <https://www.greenbank.ny.gov>.

**NYISO Capacity Market** – Collectively, the wholesale markets for capacity administered by NYISO.

**NYISO Energy Market** – Collectively, the wholesale markets for electric energy administered by NYISO.

**NYSERDA Consultants** – Consultants engaged by NYSERDA to assist with the evaluation of Proposals.

**Offer Capacity** – The electric generating capacity of the Project as submitted in the Proposal, measured as the installed (nameplate) capacity in alternating current of an Offshore Wind Generation Facility.

**Offshore Wind Generation Facility** – The installed wind turbine generators and all other associated offshore equipment and infrastructure located within a BOEM lease area delivering energy to a single Injection Point. Multiple Offshore Wind Generation Facilities can be located within a BOEM lease area.

**Offshore Wind Orders** – The New York Public Service Commission’s [Order Establishing Offshore Wind Standard and Framework for Phase 1 Procurement](#), issued and effective on July 12, 2018, the [Order Authorizing Offshore Wind Solicitation in 2020](#) issued on April 23, 2020 in Case No. 18-E-0071, the [Order Adopting Modifications to the Clean Energy Standard](#) issued on October 15, 2020 in Case No. 15-E-0302, and the [Order on Power Grid Study Recommendations](#) issued on January 20, 2022 in Case No. 20-E-0197, Case No. 18-E-0071 and Case No. 15-E-0302.

**Offshore Wind Renewable Energy Certificate (OREC)** – The electronic record of generation data created by NYGATS and representing all of the attributes, including all Environmental Attributes, of one MWh of electric generation from an Offshore Wind Generation Facility delivered into the New York Control Area and registered with the NYGATS tracking system. The attributes represented in each OREC include all environmental characteristics, claims, credits, benefits, emissions reductions, offsets, allowances, allocations, howsoever characterized, denominated, measured or entitled, attributable to the generation of Actual Eligible Production by a Project, including but not limited to: (i) any direct emissions or any avoided emissions of pollutants to the air, soil or water including but not limited to sulfur oxides (SO<sub>x</sub>), nitrogen oxides (NO<sub>x</sub>), carbon monoxide (CO), particulate matter and other pollutants; (ii) any direct or avoided emissions of carbon dioxide (CO<sub>2</sub>), methane (CH<sub>4</sub>) and other greenhouse gases (GHGs) that have been or may be determined by the United Nations Intergovernmental Panel on Climate Change to contribute to the actual or potential threat of altering the Earth’s climate by trapping heat in the atmosphere; (iii) all set-aside allowances and/or allocations from emissions trading programs made unnecessary for compliance in such program as a result of performance under the Agreement, including but not limited to allocations available under 6 NYCRR §§ 204, 237 and 238; and (iv) all credits,



certificates, registrations, recordations, or other memorializations of whatever type or sort, representing any of the above.

**Operational Installed Capacity** – The gross generating capacity, in MW, of the Selected Project that has achieved Commercial Operation and for which an Independent Engineer’s report has been submitted to NYSERDA pursuant to Section 2.01(c) of the Agreement.

**OREC Scoring Committee** – Members of NYSERDA Staff, New York State Department of Public Service Staff, and independent evaluators responsible for evaluating Proposals received through this RFP.

**Outer Limit Date** – A backstop date upon which the Contract Delivery Term ends regardless of whether the full Contract Tenor has elapsed. If the Contract Tenor is 20 years, the Outer Limit Date is January 1, 2052. If the Contract Tenor is 25 years, the Outer Limit Date is January 1, 2057.

**P10 Annual OREC Exceedance** – An amount of electrical energy (in MWh), such that the estimated probability in any given year that generation from the Project delivered to the Delivery Point would exceed that amount is 10 percent.

**Primary Component** – The main parts of an offshore wind turbine structure, including the foundation, substructure, transition piece, tower, nacelle and rotor blades, and offshore substation bottom side and topside, electrical equipment, inter array and export cables.

**Project** – An Offshore Wind Generation Facility and the associated equipment including Meshed Ready requirements, infrastructure, and support facilities necessary to deliver energy to the designated Injection Point, and (if applicable) subsequently to the Delivery Point if the Injection Point is outside of NYCA, excluding facilities and infrastructure associated with a Supply Chain Investment Plan, Energy Storage, or other clean energy industry or energy transition investments.

**Project Labor Agreement (PLA)** – A collective bargaining agreement (including a pre-hire agreement) satisfying the requirements set forth in Section 2.2.2 covering contractors in the construction industry working on the Project, and a bona fide building and construction trade labor organization representing craft workers on the Project.

**Project Qualifying Federal Support** – Any direct federal financial support to the Selected Project (as defined in the Agreement) in the form of renewable tax benefits (as further defined in the Agreement) or direct financial benefits expressly intended to incentivize (i) the development and operation of (x) energy infrastructure (including electrical transmission, storage and/or generation and/or the production of fuels from electrical energy) and/or (y) facilities that manufacture equipment or components used for such purposes, and (ii) which either (A) arises from a law enacted by the U.S. Congress after the Proposal Submission Deadline or (B) arises from Section 45(b)(9) , Section 45(b)(11), Section 48(a)(12) or Section 48(a)(14) of the Internal Revenue Code in existence on the Bid Submission Date. Project Qualifying Federal Support shall not include ordinary course tax deductions, federal loans, federal loan guarantees, or federal research and development grants that are awarded competitively.

**Project Team** – Proposer personnel and contractors who have primary responsibility for Project development.

**Proposal** – An offer to sell ORECs from up to three<sup>3</sup> Offshore Wind Generation Facilities for a given Offer Capacity, Index REC or Fixed REC pricing structure, Delivery Point, associated Economic Benefit Plan and Supply Chain Investment Plan, optional Energy Storage, optional Fossil Repurposing Proposal, and other clean energy industry or energy transition investments that conforms to the requirements of this RFP. A Proposal may contain either or both 25- and 20-year Contract Tenors, each with an associated level nominal Strike Price (for Index OREC offers) or Price (for Fixed OREC offers), with the exception of the Required Base Proposal and Required Standalone Proposal, which must include a 25-year Contract Tenor.

**Proposed SCIP Facility Activity** – Proposed long-term use of a SCIP Facility as related to offshore wind, such as manufacturing, staging or operation and maintenance.

**Proposed SCIP Facility Investment** – Scope of planned development, physical upgrades, new construction or substantial renovation to enable a SCIP Facility to be used for the Proposed SCIP Facility Activity.

**Proposer** – The business entity that submits a Proposal in response to this RFP.

**Purchase Commitment Proposal** – A Standalone Proposal that includes in its Economic Benefits Plan the purchase of goods or services from a specific SCIP Facility (SCIP Related Purchases) contingent on a Supply Chain Investment Plan that includes the applicable SCIP Facility being awarded.

**Reference Capacity Price** – An index of NYISO Capacity Market prices as set forth in Section 4.03 of the Agreement.

**Reference Energy Price** – An index of zonal NYISO Energy Market prices as set forth in in Section 4.03 of the Agreement.

**Required Base Proposal** – A Proposal defined in Section 2.1.4.

**Required Standalone Proposal** – A Proposal defined in Section 2.1.4.

**SDVOB** – Service-Disabled Veteran Owned Businesses as defined under the Service-Disabled Veteran-Owned Business Act of New York State. New York State Certified SDVOBs are searchable in [Directory of New York State Certified Service-Disabled Veteran Owned Business \(SDVOB\)](#) maintained by the Office of General Services (OGS).

**Seller** – A Proposer awarded in this RFP who has executed an Agreement to sell ORECs to NYSEDA.

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<sup>3</sup> If a Proposer would like to include more than three Offshore Wind Generation Facilities in a Proposal or overall Submission, please contact [offshorewind@nyserda.ny.gov](mailto:offshorewind@nyserda.ny.gov).

**Short-Term Jobs** – Jobs lasting less than three years.

**Specialist Reviewer** – Any individual, third party, or entity engaged or otherwise mobilized by NYSERDA to support the evaluation of Proposals submitted in response to ORECRFP22-1 through relevant subject matter expertise.

**Stakeholder Engagement Plan** – A plan submitted as part of a specific Proposal, as further described in Appendix F.

**Standalone Proposal** – A Proposal that does not include a Supply Chain Investment Plan.

**Sub-component** – Articles, materials, and supplies incorporated directly into Primary Components at any level of manufacture, fabrication, or assembly.

**Submission** – Package of all files representing all Proposals submitted by a Proposer in response to this RFP.

**Supply Chain Investment Plan (SCIP)** – A plan submitted as part of the Proposal in support of the Economic Benefits Plan, as further described in Appendix C.2. A Supply Chain Investment Plan may include local manufacturing of Primary Components, Sub-components, or any additional port, manufacturing, or supply chain infrastructure in New York State that hosts any activity or combination of activities supporting offshore wind project development.

**Supply Chain Investment Plan (SCIP) Facility** – Port, manufacturing, or other supply chain facility that is fully located in New York State and hosts any activity or combination of activities supporting the offshore wind industry and proposed to receive New York State Funding as part of a Supply Chain Investment Plan. A SCIP Facility may be an existing facility requiring reinvestment or rehabilitation, or a new facility in New York State. A Supply Chain Investment Plan can include multiple SCIP Facilities.

**Supply Chain Investment Plan (SCIP) Facility Funding Agreement** – Standard Form SCIP Facility Funding Agreement.

**Supply Chain Investment Plan (SCIP) Proposal** – A Proposal that includes a Supply Chain Investment Plan.

**Supply Chain Investment Plan (SCIP) Facility Qualifying Federal Support** – Certain direct federal financial support of SCIP Facilities, as further defined in the SCIP Facility Funding Agreement.

**Supply Chain Investment Plan (SCIP) Related Purchase** – Any purchase of goods or services from a SCIP Facility.

**Supply Chain Investment Plan (SCIP) Scoring Committee** – Members of NYSERDA Staff, representatives of other New York State agencies and technical experts responsible for reviewing Supply Chain Investment Plans included with Proposals received through this RFP.

**TWG** – Technical Working Group.

**Upgrade Capacity** – Capacity that is an upgrade to an existing Offshore Wind Generation Facility, where the upgrade does not require a separate export cable from the existing facility, and the upgrade adheres to all other eligibility criteria outlined in Sections 2.1 and 2.2 and Proposal submission requirements listed in Section 6.

**Verified Labor Dollars** – The Verified Total Dollars associated with labor expenditures described in the New York Jobs and Workforce Plan that fall into the applicable categories set forth in Appendix C.1 and Exhibit I of the Agreement.

**Verified MWBE and SDVOB Dollars** – The Verified Total Dollars that accrue specifically to MWBEs and SDVOBs.

**Verified Total Dollars** – The total dollar amount of Incremental Economic Benefits in Category 1 verified by NYSERDA to have accrued to New York as a result of the development, construction, modification, interconnection, and operation of the Project, optional Energy Storage and associated Supply Chain Investment Plan from the Economic Benefits Start Date through the end of the first three (3) Contract Years. Depending on the nature of the Proposers' economic benefits claims, the dollars may be required to be reported based on their applicability to benefitting Disadvantaged Communities.

**Verified U.S. Iron and Steel Dollars** – The Verified Total Dollars associated with expenditures for iron and steel manufactured in the United States.

# 1 INTRODUCTION

NYSERDA is seeking to procure ORECs that constitute, in aggregate, an anticipated 2,000 MW minimum and, if the submitted Proposals justify procurement of a larger quantity, NYSERDA may procure through this solicitation up to the remaining capacity authorized by the Offshore Wind Orders and the September 17, 2020, Final Supplemental Generic Environmental Impact Statement (SGEIS) in Case No. 15-E-0302.

## 1.1 New York's Clean Energy Standard and Offshore Wind Standard

Since adopting some of the most ambitious clean energy goals in the nation – reducing greenhouse gas emissions by 85% by 2050, 100% emissions free electricity generation by 2040, and net-zero emissions economy wide by 2050 – New York State has been assiduously expanding its offshore wind portfolio. Currently, New York State has the nation's largest offshore wind goal to install 9,000 MW by 2035 and a contracted pipeline of five offshore wind projects totaling over 4,300 MW with five ports in active development. NYSERDA demonstrates unparalleled demand for clean energy and growing momentum in establishing major ecosystems for workforce development, manufacturing, and operations and maintenance to support the region's growing pipeline of offshore wind projects and the development of a green economy. Through its competitive solicitations, NYSERDA is building a portfolio guided by principles of just energy transition and equity set forth in the Clean Energy Standard (CES) and the Climate Act.

New York's efforts are reinforced at the federal level, where President Biden's administration has set goals of deploying 30 GW of offshore wind in the United States by 2030 and 110 GW by 2050. In support of these historic targets, on October 13, 2021, Department of the Interior Secretary Haaland announced plans for the Bureau of Ocean Energy Management (BOEM) to hold up to seven new offshore lease sales by 2025. The first of these lease auctions occurred on February 23, 2022, for six lease areas in the New York Bight with roughly 7,000 MW of resource potential. On February 25, 2022, BOEM announced results of the auction, with the six winning bids totaling \$4.37 billion.<sup>4</sup>

In January 2018, NYSERDA published the [New York State Offshore Wind Master Plan](#) (Master Plan), which included more than 20 studies that gathered data on environmental, social, economic, regulatory, and infrastructure issues relevant to offshore wind energy development, and reflected the State's extensive outreach efforts with interested agencies, entities, communities, and individuals in the responsible and cost-effective development of offshore wind.

NYSERDA also filed an [Offshore Wind Policy Options Paper](#) in January 2018 that launched the regulatory proceedings that culminated in the Commission's issuance of the [Phase 1 Order](#) on July 12, 2018. In the Phase 1 Order, the Commission adopted the goal of procuring 2,400 MW of offshore wind capacity by

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<sup>4</sup> <https://www.doi.gov/pressreleases/biden-harris-administration-sets-offshore-energy-records-437-billion-winning-bids-wind>

2030. NYSERDA launched its inaugural solicitation for offshore wind ([ORECRFP18-1](#)) on November 8, 2018.

In July 2019, the Climate Act was signed into law. The Climate Act mandates the Green New Deal’s nation-leading clean energy targets: 9 GW of offshore wind by 2035, 6 GW of distributed solar by 2025, and 3 GW of energy storage by 2030. Beyond resource targets, the Climate Act calls for an orderly and just transition to clean energy that creates jobs and continues fostering a green economy. The Climate Act also directs New York State agencies and authorities to collaborate with stakeholders to develop a plan to reduce greenhouse gas emissions by 85 percent from 1990 levels by 2050 and aim to invest at least 40 percent of clean energy and energy efficiency program resources to benefit Disadvantaged Communities, achieving 70 percent renewable electricity generation by 2030, 100 percent renewable electricity by 2040, and economy wide decarbonization by 2050. To this effect, the law created the Climate Action Council, charged with developing a scoping plan of recommendations to meet these targets and place New York on a path toward carbon neutrality.

Simultaneously with enshrining the Climate Act, New York State [announced](#) the single largest renewable energy procurement by any state in U.S. history—nearly 1,700 MW—with the selection of two offshore wind projects for contract awards resulting from NYSERDA’s Phase 1 offshore wind solicitation (ORECRFP18-1). On October 23, 2019, NYSERDA finalized contracts with Equinor Wind US LLC for its 816 MW Empire Wind Project and Sunrise Wind LLC (a joint venture of Ørsted A/S and Eversource Energy) for its 880 MW Sunrise Wind Project. NYSERDA filed its comprehensive report, “[Launching New York’s Offshore Wind Industry: Phase 1 Report,](#)” (Phase 1 Report) with the Commission on that same date.

On April 23, 2020, the Commission published an [Order Authorizing Offshore Wind Solicitation in 2020](#) which instructed NYSERDA to procure at least 1,000 MW of additional offshore wind capacity. NYSERDA launched its second offshore wind solicitation (ORECRFP20-1) on July 21, 2020, to procure up to 2,500 MW of offshore wind and included a complementary multi-port infrastructure investment backed by \$200 million in New York State funding which ultimately unlocked more than \$644 million in public and private dollars for port infrastructure—the largest infrastructure commitment to offshore wind in the nation.

On October 15, 2020, the Commission issued its [Order Adopting Modifications to the Clean Energy Standard](#) (CES Modification Order) in Case 15-E-0302. In the CES Modification Order, the Commission adopted several modifications to the CES to align it with the Climate Act mandates. Modifications affecting the offshore wind solicitations included authorizing NYSERDA to issue future solicitations at its strategic discretion of timing and capacities.

An Initial [Report of the Power Grid Study](#) was published by the New York State DPS on January 19, 2021. The study sought to identify distribution upgrades, local transmission upgrades, and bulk transmission investments necessary or appropriate for the power grid for the State of New York to achieve the state’s 70 by 30 goals and beyond. Proposers are strongly encouraged to familiarize themselves with the Power Grid Study, including the “Offshore Wind Integration Study” (OSW Study) identifying possible grid

interconnection points and offshore transmission configurations and assessing onshore bulk transmission needs relating to the integration of at least 9,000 MW of offshore-wind generation.

In January 2022, NYSERDA finalized [contracts](#) with Empire Offshore Wind LLC and Beacon Wind LLC for the development of Empire Wind 2 (1,260 MW) and Beacon Wind (1,230 MW), selected through NYSERDA's second offshore wind solicitation. Upon completion, the two offshore wind farms will yield a combined 2,490 MW of carbon-free energy, bring another \$8.9 billion in investment, and create more than 5,200 jobs. The contracts include significant work to build resilient port facilities to support the industry in the state's Capital Region and Brooklyn. These investments will establish the nation's first offshore wind tower manufacturing facility to serve both offshore and onshore wind farms in the region at the Port of Albany and a cutting-edge staging facility and operations and maintenance hub at the South Brooklyn Marine Terminal.

On January 5, 2022, New York Governor Hochul announced in her first State of the State Address a nation-leading \$500 million investment proposal for offshore wind ports, manufacturing, and supply chain infrastructure with continued prioritization of benefits to Disadvantaged Communities, close relations with New York's labor force, and enabling a local supply chain that will cement New York as an offshore wind hub for the region. This funding amplifies New York's 2020 offshore wind solicitation which included \$200 million in New York State funding.

On December 20, 2021, the Climate Action Council [voted](#) to release the draft scoping plan for a 120-day public comment period, which began on January 1, 2022. The public comment period will support the Council in development and release of a final scoping plan by January 1, 2023. The draft scoping plan noted that approximately 20 GW of offshore wind may be necessary to achieve the Climate Act's greenhouse gas emissions limits and carbon neutrality goals. In line with this guidance and under Governor Hochul's leadership, the Offshore Wind Master Plan 2.0 has been initiated in 2022 to explore unlocking deepwater offshore wind resources for New York State.

On January 20 2022, the New York Public Service Commission published the [Order on Power Grid Study Recommendations](#) (Power Grid Study Order) in Case Nos. 20-E-0197, 18-E-0071, and 15-E-0302, instructing NYSERDA to procure HVDC technology for radial connections, prioritize grid benefits and advanced technologies in project evaluation, and include a carve out for storage projects to be evaluated under both economic benefits and project viability in future offshore wind procurements. The Order elaborated on the benefits of a meshed offshore grid as presented in the Power Grid Study and authorized NYSERDA to contemplate procurements that preserve the optionality for a future offshore grid, which may be necessary to reach the zero emissions goals set forth in the Climate Act.

In line with the trajectory of Commission Orders, availability of new BOEM leases, local, state and federal targets, NYSERDA is issuing this third Offshore Wind Renewable Energy Certificate (OREC) solicitation.

## 1.2 Background on NYSERDA

NYSERDA was created in 1975 by the New York State Legislature as a public authority and public benefit corporation. The Offshore Wind Orders authorize NYSERDA to act as the central administrator of the Offshore Wind Standard program, in a manner similar to NYSERDA's role in solicitations issued under the CES and the former Renewable Portfolio Standard Main Tier.<sup>5</sup>

Pursuant to the Commission Orders regarding offshore wind, NYSERDA will purchase ORECs from the contracted Project(s) on behalf of the jurisdictional and voluntarily-complying Load Serving Entities (LSEs) in New York State within the Public Service Commission's jurisdiction, as well as the non-jurisdictional New York Power Authority and Long Island Power Authority that may opt to use NYSERDA as a purchasing entity, and will then sell the ORECs to the LSEs for compliance with the LSEs' offshore wind obligations. Each LSE will be obligated to purchase a percentage of ORECs acquired by NYSERDA in a year that represents the portion of the electric energy load served by the LSE in relation to the total electric energy load served by all LSEs operating in New York State during that period.

## 1.3 Schedule

The schedule for ORECRFP22-1 is as follows (all times ET):

RFP Release Date	July 27, 2022
<a href="#">Proposers' Conference</a>	August 23, 10:00 a.m.
Deadline for Submission of Written Questions	September 16, 2022, 3:00 p.m.
Responses to Written Questions Posted	October 7, 2022
NYSERDA Portal Open for Registration	November 4, 2022
<b>Deadline for Notice of Intent to Propose</b>	<b>December 1, 2022, 3:00 p.m.</b>
<b>Deadline for NYSERDA Portal Registration</b> <b>NYSERDA Portal Open for Submissions</b>	<b>January 19, 2023, 3:00 p.m.</b>
<b>Proposal Submission Deadline</b>	<b>January 26, 2023, 3:00 p.m.</b>
NYSERDA Award Notification Date	Est. Q1 2023
Contract(s) Executed	Est. Q2 2023

Please note that the above dates are subject to change. Notification of any changes to the RFP process or documents will be posted on the [NYSERDA Offshore Wind 2022 Solicitation](#) website and sent via email to those parties who have submitted a Notice of Intent to Propose.

## 1.4 Notice of Intent to Propose

Prospective Proposers are **required** to submit a Notice of Intent to Propose, which is attached as Appendix A to this RFP. A Certification Under Executive Order No. 16, as published by the Office of General Services and available here: <https://ogs.ny.gov/EO-16>, must be submitted for the Proposer and

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<sup>5</sup> Under the CES and former Renewable Portfolio Standard Main Tier, NYSERDA has supported the development of approximately 2,000 MW of operating land-based wind projects; additional renewable capacity of approximately 8,400 MW of land-based wind and solar projects are contracted and under development.



each Funding Recipient with the Notice of Intent to Propose.<sup>6</sup> NYSERDA will email updates regarding this RFP to prospective Proposers who submit a Notice of Intent to Propose. This does not relieve prospective Proposers of their responsibility to check the [NYSERDA Offshore Wind 2022 Solicitation](#) for news and updates. Prospective Proposers who submit a Notice of Intent to Propose are not obligated to submit a Proposal.

The Notice of Intent to Propose form should be sent to [offshorewind@nyserda.ny.gov](mailto:offshorewind@nyserda.ny.gov) by the date indicated in Section 1.3 using the subject line: Notice of Intent to Propose ORECRFP22-1.

## **1.5 Proposal Fee**

Each Proposer's Submission must be accompanied by a Proposal Fee which will be used by NYSERDA to offset the cost of the evaluation of Proposals. The base Proposal Fee of \$500,000 will cover the Required Base Proposal and Required Standalone Proposal, as defined in Section 2.1.4, and one Supply Chain Investment Plan as further discussed in Section 2.1.2. There will be an additional \$100,000 Proposal Fee for each additional Offshore Wind Generation Facility, either from a different lease area, or delivered to a second Injection Point from the same lease area, included in the Proposer's Submission beyond the first one.<sup>7</sup> Each additional Supply Chain Investment Plan included in the Proposer's Submission will require an additional \$50,000 Proposal Fee. Alternate Proposals, as defined in Section 2.1.4, are permitted. Each Alternate Proposal that has a different Offer Capacity, Delivery Point, Injection Point, technical configuration, pricing structure (such as Interconnection Cost Sharing and/or Inflation Adjustment), and/or expected Commercial Operation Date(s) will require an additional \$25,000 Proposal Fee. Inclusion of a second Contract Tenor in the Required Base Proposal, Required Standalone Proposal, or an Alternate Proposal will be accepted without incurring additional Proposal Fees. Alternate Proposals that differ from another submitted Proposal only due to the inclusion of Energy Storage will be accepted without incurring additional Proposal Fees.

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<sup>6</sup> Certifications for Funding Recipients can be submitted by the Proposer with the Notice of Intent to Propose or by the Funding Recipient directly to NYSERDA with a note regarding which Proposer(s) the certification applies to.

<sup>7</sup> An Offshore Wind Generation Facility is limited to a single lease area and a single Injection Point. If the same Offshore Wind Generation Facility is offered with multiple Injection Point options, but each Proposal includes a single Injection Point for that Offshore Wind Generation Facility within a specific Proposal, each Injection Point option would represent an Alternate Proposal.

Submission Component	Proposal Fee
Required Base Proposal (including one Supply Chain Investment Plan) and Required Standalone Proposal, each including up to two Contract Tenors. One Offshore Wind Generation Facility (either Upgrade Capacity or a new Project) is included in the base price.	\$500,000
Each additional Offshore Wind Generation Facility (including Upgrade Capacity) in the Submission (up to total of three)	\$100,000
Each Alternate Proposal (either with a SCIP or Standalone)	\$25,000
Each additional Supply Chain Investment Plan beyond the one associated with the Required Base Proposal	\$50,000

The Proposal Fee will automatically be computed within the Master Offers Form. The Proposal Fee and the Contract Security amounts set forth in Article XV of the Agreement are the only fees or monetary obligations of the Proposer.

Detailed instructions for the payment of the Proposal Fee will be sent from NYSERDA’s finance department to Proposers who submit a Notice of Intent to Propose on any date prior to the Deadline for NYSERDA Portal Registration (see above). The instructions will also be available by emailing [offshorewind@nyserda.ny.gov](mailto:offshorewind@nyserda.ny.gov) with the subject line: ORECRFP22-1 Request for Proposal Fee Payment Instructions.

The Proposal Fee is non-refundable unless NYSERDA cancels this RFP prior to evaluation of Proposals. If this RFP is canceled by NYSERDA prior to evaluation of Proposals, uncommitted Proposal Fees will be returned. **In no other event will any portion of the Proposal Fee be refunded, regardless of whether or not a Proposal is selected by NYSERDA.**

### **1.6 Proposers’ Conference and Communications with NYSERDA**

A Proposers’ Conference for interested persons will be held via Webinar on August 23, 2022 at 10 am E.T. Proposers are encouraged to [register](#) for this event as early as possible. The purpose of the Proposers’ Conference is to provide Proposers with the opportunity to clarify their understanding of any aspect of this RFP. Prospective Proposers may ask questions during the Proposers Conference, and NYSERDA may respond orally. However, only written answers that are provided by NYSERDA in response to questions and posted on the [NYSERDA Offshore Wind 2022 Solicitation website](#) by the deadline for responses listed in the schedule in Section 1.3 constitute official responses.<sup>8</sup> Questions and responses will be anonymized.

With the exception of the Proposers’ Conference, all pre-Proposal contacts with NYSERDA by prospective Proposers and interested parties regarding this RFP or related matters must be the Primary

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<sup>8</sup> Questions solely regarding the calculation or payment of the Proposal Fee may be directed to the Designated Contacts at [offshorewind@nyserda.ny.gov](mailto:offshorewind@nyserda.ny.gov) and will be answered confidentially to Proposer.

Contacts or Other Designated Contacts. Prospective Proposers are encouraged to submit written questions about this RFP with the subject line “ORECRFP22-1 Question” on or before the date indicated in Section 1.3.

Prospective Proposers can also submit requested changes to the Standard Form Agreement (Appendix I) and Standard Form SCIP Facility Funding Agreement (Appendix J) for NYSERDA consideration on or before the deadline for submission of written questions indicated in Section 1.3. NYSERDA will consider the requested changes and may provide feedback at its discretion about whether specific changes may or may not be acceptable through the written answers posted to the Solicitation website as noted above.

### **1.7 Modification or Cancellation of the RFP and Solicitation Process**

The terms and conditions of this RFP may, at any time, be changed, postponed, withdrawn, and/or canceled, including any requirement, term or condition of this RFP, without any liability to NYSERDA (other than the return of uncommitted Proposal Fees if this RFP is canceled by NYSERDA prior to evaluation of Proposals, as described in Section 1.5), NYSERDA’s Consultants, Specialist Reviewers or members of the OREC Scoring Committee or SCIP Scoring Committee. Any changes to this RFP will be posted on the [NYSERDA Offshore Wind 2022 Solicitation](#) website and an email will be sent to all prospective Proposers who have submitted a Notice of Intent to Propose. Prospective Proposers are encouraged to check the website frequently to be advised of any RFP changes or other news.

### **1.8 Proposal Completeness and Eligibility Review**

Following submission, Proposals will first be examined to determine that they meet the eligibility requirements and include all required components. To be eligible for evaluation, Projects and Proposals must meet all eligibility requirements and Proposals must be complete, *i.e.*, contain all required contents listed in Section 6. NYSERDA will contact Proposers regarding any instances where it is unclear if an eligibility requirement is met or where the Proposal contents are deficient when compared to the Submission requirements. Proposers will be provided with a short, one-time opportunity to cure the deficiency prior to removing the Proposal from consideration.

### **1.9 Updates to Proposals**

If, prior to the Proposal Submission Deadline, a Proposer wishes to modify a Proposal that was submitted before the Proposal Submission Deadline, Proposer should contact NYSERDA’s Designated Contacts. Proposers will not have an opportunity to refresh or restate Proposals after the Proposal Submission Deadline unless requested by NYSERDA to do so. If Proposers provide new information that was not available at the time of their Proposal submission or the Proposal Submission Deadline, these updates are for informational purposes only and will not be treated by the OREC Scoring Committee or SCIP Scoring Committee as a change or revision to the terms of the Proposal unless the information is provided at NYSERDA’s request under Section 1.10. If there are any material events that affect the validity of the Proposal, Proposers must promptly notify NYSERDA in writing. NYSERDA reserves the right to consider these material events during Proposal evaluation.

### **1.10 Requests for Additional Information**

Following the submission of Proposals, NYSERDA, the OREC Scoring Committee and the SCIP Scoring Committee may request clarification and additional information from Proposers at any time throughout the duration of the evaluation process. Such information will be subject to protection of proprietary information as described in Section 8.1, consistent with other Proposal submission materials. If the Proposer does not respond promptly to such information requests or does not provide adequate information, the affected Proposal(s) will be evaluated based on the information as originally submitted.

NYSERDA also reserves the right to request clarification directly from potential Funding Recipients regarding Supply Chain Investment Plans. To that end, Supply Chain Investment Plans must include contact information for the Funding Recipients (including any manufacturers or other proposed end-users of the site) to accommodate NYSERDA engaging in direct contact.

### **1.11 Interviews with Proposers**

NYSERDA may request in-person and/or videoconference interviews with any Proposer or Funding Recipient, to be scheduled at a mutually convenient time.

## **2 PROJECT ELIGIBILITY REQUIREMENTS**

### **2.1 Eligibility**

To participate in this RFP, Proposers must submit a Notice of Intent to Propose as described in Section 1.4, pay the appropriate Proposal Fee as described in Section 1.5 and follow the instructions for Submission of Proposals as described in Appendix N. All Proposals must demonstrate compliance with each of the eligibility requirements enumerated in Sections 2.1.1 through 2.1.9 and include all contents listed in Section 6.

To be eligible for evaluation, Proposals must meet the following requirements, as described in the remainder of this Section 2:

- Located in the ocean waters of the United States (Section 2.1.1)
- Commercial Operation Date on or after January 1, 2015 (Section 2.1.1)
- Minimum Offer Capacity for each Offshore Wind Generation Facility in the Proposal is the lesser of 1,000 MW or the maximum capacity available from the Proposer's lease area (Section 2.1.1)
- Not contractually committed to any other entity and not conditional on other Proposals or solicitation outcomes, with the exception of conditions related to Supply Chain Investment Plan volumes as specifically allowed herein (Section 2.1.1)
- Include at least one Supply Chain Investment Plan that utilizes up to \$300 million in New York State Funding if localization of nacelles or blades is included, or up to \$150 million in New York State Funding if localization of nacelles or blades is not included (requirement does not apply to Proposals that include only Upgrade Capacity) (Section 2.1.2)
- HVDC and Meshed Ready for Required Base Proposal and Required Standalone Proposal (requirement does not apply to Upgrade Capacity) (Section 2.1.4)
- Demonstrate site control of Lease Area and Injection Point (Section 2.1.6)
- Deliverable into the NYCA, with a Zone J or K Injection Point for Required Base Proposal and Required Standalone Proposal (Section 2.1.4, Section 2.1.7)
- Fossil Repurposing Proposals must identify the facility to be repurposed, demonstrate usage rights and submit an implementation plan and a contingency plan (Section 2.1.8)
- Electrical Energy Storage for electrical discharge must be located in Zone J or K
- Submit a complete Proposal Narrative that addresses all required content (Section 2.1.9)
- Be free from, or commit to eliminating or preventing, conflicts of interest, in each case as determined by NYSERDA in its sole discretion (Section 2.10)

NYSERDA will review submitted Proposals to determine whether they meet each of the eligibility requirements. Proposals that fail to meet these requirements will be ineligible for an award.

#### **2.1.1 ORECs Offered**

Each Proposal must be for ORECs produced from up to three Offshore Wind Generation Facilities located in the ocean waters of the United States that become operational on or after January 1, 2015. Each Offshore Wind Generation Facility included in a Proposal must represent a minimum Offer Capacity

of either 1,000 MW or the maximum capacity available from the Proposer's lease area if less than 1,000 MW.<sup>9</sup> A separate Agreement will be executed for each Offshore Wind Generation Facility. As built, the Operational Installed Capacity of each Offshore Wind Generation Facility cannot exceed the Maximum Project Capacity, calculated as the Offer Capacity multiplied by 1.10.

A Proposal may include capacity that is an upgrade to an existing Offshore Wind Generation Facility (Upgrade Capacity) if the upgrade does not require a separate export cable from the existing facility, and the upgrade adheres to all other eligibility criteria outlined in Sections 2.1 and 2.2 and Proposal submission requirements listed in Section 6, with the exception of a Supply Chain Investment Plan. Proposals for Upgrade Capacity may submit a Supply Chain Investment Plan but are not required to do so. For example, even if a Proposal includes only Upgrade Capacity, the Proposal must include a Stakeholder Engagement Plan and a New York Jobs and Workforce Plan. Upgrade Capacity can be submitted alone in a Proposal or in combination with up to two new Offshore Wind Generation Facilities. If Upgrade Capacity is submitted in combination with another Offshore Wind Generation Facility, a separate Agreement will be executed for the Upgrade Capacity. Proposals that include Upgrade Capacity will be evaluated using the same criteria and process as Proposals including only new Offshore Wind Generation Facilities.

The OREC production from an Offshore Wind Generation Facility offered to NYSERDA through this RFP, up to the Annual OREC Cap, may not be contractually committed to any other entity over the proposed Contract Delivery Term, except as described in Section 2.1.7 and in Section 3.04 of the Agreement. Awardee will retain ownership and all rights to ORECs that exceed the Annual OREC Cap. For avoidance of doubt, NYSERDA seeks to acquire ORECs only, and will not have any claim to associated electric energy, capacity, or ancillary services associated with the ORECs.

A Proposer may not condition the acceptance of one Proposal on the withdrawal or acceptance of any other Proposal, with the exception of conditions related to Supply Chain Investment Plan minimum offtake volumes. All Proposals using overlapping lease area space will be mutually exclusive: that is, NYSERDA will not award more than one Proposal from a given lease area unless the included Projects can both be accommodated within the given lease area. By submitting a Proposal, the Proposer commits the Project to this RFP, and no Proposal may be conditional on the result of offshore wind procurement activities of any other state. Project eligibility requirements do not preclude the option to propose two or more Delivery Points in New York City and/or Long Island as may be necessary to reasonably minimize the Project's Interconnection Cost Allocation. Project eligibility requirements do not preclude external Injection Points in neighboring Control Areas, provided the Proposer submits an Interconnection and Deliverability Plan that addresses compliance with the relevant Open Access Transmission Tariff, transmission from the Injection Point to the Delivery Point and delivery to NYCA at the Delivery Point, the Electricity Delivery Requirements contained in Article III of the Agreement, and accord with the NYGATS tracking system that records generation attribute information.

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<sup>9</sup> The Proposal Offer Capacity may reasonably deviate to within  $\pm 5$  percent of the design capacity of individual Primary Components of the Offshore Wind Generation Facility.

### **2.1.2 Supply Chain Investment Plans**

This solicitation seeks to deliver a coordinated solution to the priorities of enabling offshore wind projects in New York and advancing those activities, expenditures, and investments that serve to improve New York State's offshore wind-supporting infrastructure – including, specifically, the investment of up to \$300 million (nominal) in New York State Funding toward New York offshore port and supply chain infrastructure. The New York State Funding is intended to prioritize the staging and/or manufacturing of offshore wind and related activities and to foster the development of a New York-based supply chain. To maximize the set of eligible investments and enable open-source infrastructure, this solicitation requires that the entity or entities responsible for execution of the development of the Supply Chain Investment Plan (e.g., the owner of the SCIP Facility or a manufacturer that intends to locate there) be designated as the Funding Recipient(s) of New York State Funding.

Proposers are prohibited from entering into any arrangement with any potential Funding Recipient that materially restricts the ability of such parties to collaborate with other Proposers in developing Supply Chain Investment Plans, and Proposers are required to certify in the Proposer Certification Form that no such arrangement exists. For further clarity:

- NYSERDA reserves the right to disqualify any arrangement that would, as determined by NYSERDA in its reasonable discretion, violate antitrust laws.
- The above-described prohibitions are not intended to prohibit Proposers from negotiating exclusive or priority financial, pricing or business arrangements with Funding Recipients that would take effect if the applicable Proposer is awarded under this solicitation so long as such arrangements do not prohibit such Funding Recipients from negotiating separate and distinct deals with other Proposers (for example, separate arrangements could be negotiated by a single Funding Recipient with multiple Proposers, each of which is contingent on the applicable Proposer's Supply Chain Investment Plan being awarded in this solicitation). However, for the avoidance of doubt, such exclusive arrangements are also not required.
- The above-described prohibitions are not intended to prohibit proposed Funding Recipients acquiring land or from negotiating exclusive options for land or locations for the facilities included in Supply Chain Investment Plans (unless such arrangements would otherwise violate antitrust laws). However, for the avoidance of doubt, such exclusive options are also not required.
- An arrangement would violate the above-described prohibition if it bars a proposed Funding Recipient from (1) seeking other state funding or grants, (2) partnering with other Proposers in the event the Proposer's bid is not selected or (3) communicating directly with NYSERDA either during or after this RFP process.
- Proposers should provide enough information about their business arrangement with proposed Funding Recipients for NYSERDA to confirm compliance with the terms of this RFP and this Section 2.1.2.

New York State is offering up to \$300 million (nominal) of New York State Funding for Eligible Expenses, available for draws as critical Supply Chain Investment Plan milestones are met. If selected for conditional award, Proposers will be expected to work with NYSERDA to enter into one or more

agreements with NYSERDA under which the Proposer will make a contractual capital commitment (which may be in the form of a cash investment, anchor order or other type of capital) to the Supply Chain Investment Plan. Simultaneously, NYSERDA will work with the Funding Recipient(s) to enter into a SCIP Facility Funding Agreement with each Funding Recipient covering the terms and conditions of the New York State Funding. Further details regarding New York State Funding are included in Appendix C.2.

Each Proposal, with the exception of (i) Proposals that include only Upgrade Capacity, (ii) the Required Standalone Proposal and (iii) any Alternate Standalone Proposals, must include a Supply Chain Investment Plan to be eligible for an award. Further details regarding Supply Chain Investment Plan eligibility are included in Appendix C.2.

- Each Supply Chain Investment Plan is limited to \$300 million in New York State Funding if the Supply Chain Investment Plan includes localizing the manufacturing of blades or nacelles, and otherwise is limited to \$150 million of New York State Funding if the Supply Chain Investment Plan does not include localizing blades or nacelles. Supply Chain Investment Plans requesting amounts outside of this range will be considered only if the Supply Chain Investment Plan demonstrates an extraordinary need for a different amount of New York State Funding. Supply Chain Investment Plans may be considered for New York State Funding at any SCIP Facility as defined and described by the Proposer.
- Each Proposal can only include one Supply Chain Investment Plan, but each Supply Chain Investment Plan may include multiple SCIP Facilities and/or multiple Funding Recipients. Alternate Proposals can include Supply Chain Investment Plans different from the one included with the Required Base Proposal.
- Supply Chain Investment Plans that utilize New York State Funding to localize blades or nacelles manufacturing will be evaluated favorably to the extent the Supply Chain Investment Plan can demonstrate follow-on local supply chain growth opportunities or other unique economic benefits to New York State. Supply Chain Investment Plans may also include other Primary Components, or other offshore wind industry activity supporting a minimum number of jobs based on the Supply Chain Investment Plan activity. See Appendix C.2 for further details on Supply Chain Investment Plans including their evaluation.
- Supply Chain Investment Plans may be conditional upon the award of one or more Purchase Commitment Proposals that comprise an aggregate minimum total offtake quantity. Proposers will indicate in the SCIP Data Form whether the Supply Chain Investment Plan is conditional on the award of any Purchase Commitment Proposals and what the minimum required offtake represented by SCIP Related Purchases in awarded Purchase Commitment Proposals would need to be in order for the Supply Chain Investment Plan to be selected. Proposals with conditional Supply Chain Investment Plans will be eligible for selection only if the conditions are met through the selection of other Proposals in this solicitation. See Appendix C.2 for additional information.



- Requests for New York State Funding must be matched with non-New York State Funding investment in the same SCIP Facilities at the highest level of non-New York State Funding investment possible. At a minimum, for the Supply Chain Investment Plan as a whole, New York State Funding must be matched by at least \$2.00-for-\$1.00 (\$2.00 of non-New York State Funding for every \$1.00 of New York State Funding).
- As described in Section 5.1.2, Proposals that do not include Supply Chain Investment Plans (*i.e.*, Standalone Proposals) will be considered for award once NYSERDA has concluded its selection of Proposals that include a Supply Chain Investment Plan or decided at its sole discretion not to award any Proposals with Supply Chain Investment Plans.

Each Supply Chain Investment Plan will be reviewed by the SCIP Scoring Committee to determine whether the Supply Chain Investment Plan is “fundable” or “not fundable.” This determination will be based on whether a Supply Chain Investment Plan meets the eligibility criteria and performs well under the evaluation criteria further described in Appendix C.2.

**The Supply Chain Investment Plan included in a particular Proposal must be determined to be “fundable” in order for that Proposal to be eligible for award.**

Proposals for which the included Supply Chain Investment Plan is considered “fundable” in accordance with the evaluation criteria detailed in Appendix C.2 will be evaluated for an OREC award, based upon the Commission’s evaluation criteria of 70% price, 20% economic benefits, and 10% viability, as further described in this RFP. If a Supply Chain Investment Plan is considered “not fundable,” the associated Proposal(s) will be deemed ineligible for an OREC contract award.

For Supply Chain Investment Plans that include multiple SCIP Facilities, each SCIP Facility will be determined to be “fundable” or “not fundable.” Any SCIP Facility that is determined to be “not fundable” will be removed from the Supply Chain Investment Plan.

If after such removal of the SCIP Facility, the Supply Chain Investment Plan still meets the threshold requirements listed in Section C.2.A of Appendix C.2 (including the minimum aggregate investment amount), NYSERDA will provide the Proposer a short, one-time opportunity to provide an updated Index OREC Strike Price or Fixed OREC Price that reflects such removal. If an awarded Proposal includes a Supply Chain Investment Plan with one or more SCIP Facilities that are ultimately not realized, NYSERDA may request that the Seller incorporate an alternate SCIP Facility that was deemed fundable by the SCIP Scoring Committee or otherwise approved by NYSERDA.

NYSERDA plans to fully leverage Governor Hochul’s \$500 million offshore wind supply chain commitment through this RFP and subsequent supply chain procurement rounds. Supply Chain Investment Plans not selected under this ORECRFP may be eligible for other New York State funding through those other processes. New York State Funding not awarded through this RFP is intended to be reallocated and available through the subsequent supply chain solicitations.

Proposers are also encouraged to seek NY Green Bank Financing in connection with their Supply Chain Investment Plan(s). NY Green Bank is a State-sponsored specialized financial entity that works with the private sector to identify, address, and alleviate market barriers preventing the widespread deployment of clean energy projects across New York State. NY Green Bank is generally able to make competitively-priced, market-based debt financing available to offshore wind supply chain projects in New York State in an amount of approximately \$25 million to \$100 million per project. More information on NY Green Bank can be found at <https://www.greenbank.ny.gov>.

### **2.1.3 Contract Delivery Term**

Each Proposal must specify an expected Commercial Operation Date and Contract Tenor. Proposers may elect to divide Project Offer Capacity into multiple phases, with each phase subject to a Contract Delivery Term specific to that phase as further described below. For a multi-phase Proposal, the Proposer must specify the expected Commercial Operation Date and Offer Capacity of each phase.

The Contract Delivery Term for each phase of a Project will commence on the first day of the month after the actual Commercial Operation Date for the phase and end at the date upon which the Contract Tenor has elapsed for the phase or at the Outer Limit Date, whichever occurs first. If less than twenty-five percent (25%) of a phase of the Project has commenced Commercial Operation (as determined on an Operational Installed Capacity basis as compared to the Offer Capacity), Seller may elect to delay the commencement of the phase's Contract Delivery Term for a period not to exceed one year after any portion of the Project has achieved Commercial Operation.

### **2.1.4 Required and Alternate Proposals**

All Proposers must submit a Required Base Proposal and a Required Standalone Proposal but may also submit an uncapped number of Alternate Proposals with varied parameters as described below.

- The **Required Base Proposal** may use either the Index OREC or Fixed OREC pricing structure, must include pricing for a 25-year Contract Tenor, and may additionally include pricing for a 20-year Contract Tenor, must reflect energy delivered through a direct HVDC marine cable interconnection from each Offshore Wind Generation Facility to an Injection Point in NYISO Zone J or K, and must be Meshed Ready per the specifications in Appendix G. Only Required Base Proposals for Upgrade Capacity are not required to be Meshed Ready. The Required Base Proposal must include a Supply Chain Investment Plan unless it is a Proposal that includes only Upgrade Capacity. The Required Base Proposal must include pricing without Energy Storage, Interconnection Cost Sharing, or Inflation Adjustment.
- The **Required Standalone Proposal** must not include a Supply Chain Investment Plan. As described in Section 5.1, Required Standalone Proposals will be considered once NYSERDA has concluded its selection of Proposals that include a Supply Chain Investment Plan. In all other respects the Required Standalone Proposal is subject to the same requirements as the Required Base Proposal, as set out above.

- **Alternate Proposals** may be for ORECs delivered from Offshore Wind Generation Facilities of other technical configurations, other Offer Capacity, other Injection Point(s) and/or Delivery Point(s), other economic benefit packages (including Supply Chain Investment Plans different from the one submitted in the Required Base Proposal), or other expected Commercial Operation Dates. Alternate Proposals may be for either a 20-year or 25-year Contract Tenor (or both Contract Tenors) and must offer either an Index OREC Strike Price or a Fixed OREC Price as described in Section 2.1.5.

Any Alternate Proposal with Energy Storage, Interconnection Cost Sharing and/or Inflation Adjustment must correspond to a Proposal without Energy Storage, Interconnection Cost Sharing or Inflation Adjustment that is consistent in all other respects, except for pricing and/or other modifications directly related to Energy Storage, Interconnection Cost Sharing and/or Inflation Adjustment. Each Alternate Proposal with Energy Storage must correspond to a Proposal that is consistent in all other respects, except for pricing and/or other modifications directly related to Energy Storage.<sup>10</sup> However, there is no requirement to submit additional Alternate Proposals with only Interconnection Cost Sharing and only Inflation Adjustment.

Alternate Proposals that consider deviation from the HVDC and Meshed Ready configuration described in the Required Base Proposal and Required Standalone Proposal must (i) show that the undersea radial cable route from the Offshore Wind Generation Facility to shore does not cross the Lower Bay, Raritan Bay, Arthur Kill, the Narrows, the Upper Bay (New York Harbor), the East or Hudson Rivers, Block Island Sound or the Long Island Sound (collectively, the “Constrained Areas”); and (ii) provide a justification for the exclusion from the Meshed Ready system. Each Alternate Proposal that includes an Offshore Wind Generation Facility that is not Meshed Ready, with the exception of Upgrade Capacity, must correspond to a Proposal that is consistent in all other respects, except for pricing and/or other modifications directly to all Offshore Wind Generation Facilities in the Proposal being Meshed Ready.

All Required and Alternate Proposals are prohibited from siting HVAC cables of any kind whatsoever (including connecting a converter station to a point of interconnection) through the Narrows, in the East River between the Brooklyn and Throgs Neck Bridges, and in the Hudson River north of Battery Park (the “Prohibited Areas”). Proposals that contemplate siting any HVAC cables (connecting a converter station to a point of interconnection) in any Constrained Areas other than the Prohibited Areas must demonstrate that there is adequate remaining right of way to install at least two additional marine HVDC cables, beyond any cabling already planned under existing contracts to NYSEDA, in the same location(s) as the proposed HVAC cable(s).

It is possible that more than one Proposer may select the same Delivery Point, resulting in (i) increased costs of interconnection to accommodate both Proposals or (ii) mutually exclusive

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<sup>10</sup> The Energy Storage Component Price Reduction Amount entered in the Agreement will be calculated as the difference between the Index OREC Strike Prices or Fixed OREC Prices for the Proposals with and without Energy Storage.

Proposals if the Delivery Point cannot accommodate both Proposals. Accordingly, NYSERDA encourages Proposers to submit at least one Alternate Proposal that reflects an alternative Delivery Point and at least one Alternate Proposal that includes Interconnection Cost Sharing.

In light of Consolidated Edison Company of New York, Inc.'s Petition filing, it is possible that Offshore Wind Generation Facilities included in Proposals submitted in response to this RFP may be able to utilize Injection Points made available through the ConEd Hub. However, unless and until the Commission approves the petition to recover costs of the ConEd Hub, Proposals must not assume or be contingent upon interconnection costs being covered by New York State except as provided in an Interconnection Cost Sharing Proposal as further described in Section 2.1.5.1. NYSERDA may make revisions to the RFP if needed to accommodate future Commission Orders.

Proposers may submit Alternate Proposal(s) in the form of a SCIP Proposal (with a Supply Chain Investment Plan) and/or in the form of a Standalone Proposal (without a Supply Chain Investment Plan).

Proposers may submit Alternate Standalone or Required Standalone Proposals that contemplate the purchase of goods or services from specific SCIP Facilities (SCIP Related Purchases). These "Purchase Commitment Proposals" would be considered for award only if a Supply Chain Investment Plan that includes the applicable SCIP Facilities is awarded.

Purchase Commitment Proposals should include the Incremental Economic Benefits associated with the SCIP Related Purchase(s), and if the Purchase Commitment Proposal is awarded, the Incremental Economic Benefits would be included in Total Expected Dollars in the Agreement. Purchase Commitment Proposals should also indicate the date by which the applicable SCIP Facilities would need to be available for the Proposer to make SCIP Related Purchases. In the event that the SCIP Related Purchases in a Purchase Commitment Proposal cannot be realized due to the applicable SCIP Facilities not being available by such date for reasons wholly beyond the control of the Seller and its affiliates, the Expected Total Dollars would be reduced by the amount of the applicable SCIP Related Purchases that can no longer be realized as described in Section 12.01(e) of the Agreement. Due to this conditional nature of Incremental Economic Benefits associated with SCIP Related Purchases in Purchase Commitment Proposals, such Incremental Economic Benefits will be given a lower weight in scoring. Each Purchase Commitment Proposal must expressly indicate in the Economic Benefits Plan narrative and in the description field of the Offer Data Form whether the entire Purchase Commitment Proposal, or only a portion of the Incremental Economic Benefits claimed therein, is conditional on award of a particular SCIP Facility through a SCIP. Treatment of SCIP Related Purchases is further explained in Section 3.3.5.

### **2.1.5 Pricing**

Each Proposal must include a firm offer price using either the Index OREC pricing structure or the Fixed OREC pricing structure as described in Section 4.1. If a Proposal includes multiple Offshore Wind Generation Facilities that have different Delivery Points, separate pricing may be submitted for each.

Offer prices for each Proposal are all-inclusive, that is, for all components of the Project, optional Energy Storage, and any Proposer costs related to the implementation of the associated Supply Chain Investment Plan (if applicable). Under the Index OREC pricing structure, the OREC price varies monthly. It equals the Index OREC Strike Price minus the monthly Reference Price. The monthly Reference Price is the sum of the Reference Energy Price and the monthly Reference Capacity Price, as described in Section 4.1.2.

Each Proposal should be priced assuming that the Project will operate in a dedicated radial configuration. Section 4.3.1 describes modifications to be made to the Agreement if and when a Meshed Network is implemented.

If a Project becomes eligible for and obtains Project Qualifying Federal Support, there will be an adjustment to the Fixed OREC Price or to the Index OREC Strike Price, as appropriate, to provide for a sharing of the Project Qualifying Federal Support between NYSERDA and Seller. The price adjustment will be computed as described in Section 5.07 of the Agreement such that 75%<sup>11</sup> of the net benefit of the Project Qualifying Federal Support would be applied to a reduction in the Fixed OREC Price or the Index OREC Strike Price, as appropriate. The net benefit of the Project Qualifying Federal Support will account for increased costs related to development, construction or operation that the Project must incur in order to qualify for a higher level of Project Qualifying Federal Support, including costs related to new U.S. content or similar sourcing requirements, prevailing wage requirements or apprenticeship requirements.

For all Projects, in the event that the Interconnection Cost Allocation that is ultimately assigned to the Project is lower than the Interconnection Cost Allocation Baseline as submitted in the Offer Data Form or as adjusted by NYSERDA during the Proposal evaluation process, 80% of the Interconnection Net Savings or the Interconnection Net Savings less \$50 million (whichever is greater) will be applied to a reduction in the Index OREC Strike Price or Fixed OREC Price. Additional details on this adjustment mechanism are provided in Section 4.2.1 and in Section 5.04 of the Agreement.

### **2.1.5.1 Interconnection Cost Sharing (optional)**

Alternate Proposals may include a price structure that contemplates an Interconnection Cost Sharing approach wherein the Interconnection Cost Allocation would be absorbed fully by the Proposer up to a certain level, but above that level incremental Interconnection Cost Allocations would be shared between the Proposer and NYSERDA (with NYSERDA's cost share to be added to the Index OREC Strike

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<sup>11</sup> With respect to Qualifying Federal Support that arises from Section 45(b)(9), Section 45(b)(11), Section 48(a)(12) or Section 48(a)(14) of the Internal Revenue Code in existence on the Proposal Submission Deadline and is realized other than through, for domestic content requirements, a waiver process as described in 49 C.F.R. § 661.7 (or similar process) offered by the U.S. Department of Treasury, the Internal Revenue Service or other federal authority under which the steel, iron, or manufactured products of the Selected Project were not produced in the United States and did not meet the requirements of 49 C.F.R. § 661.5(b)-(d), or for energy communities, a waiver or exception process, 75% will be replaced with 50%.

Price or Fixed OREC Price). Additional details on this adjustment mechanism are provided in Section 4.2.1 and in Section 5.04 of the Agreement. Proposals that include this adjustment will be evaluated using a risk-adjusted price adder as further described in Section 4.4.

4.4 If Interconnection Cost Sharing is proposed in combination with Energy Storage, the Interconnection Cost Sharing applies only to the interconnection of the Project, unless the Energy Storage is included in the Project's Large Facility Interconnection Request to NYISO. If the Energy Storage has a different point of interconnection or has a separate interconnection request to connect at the Delivery Point, its interconnection costs cannot be included in the Interconnection Cost Sharing mechanism.

#### **2.1.5.2 Inflation Adjustment (optional)**

Alternate Proposals may include a price structure where the Index OREC Strike Price or Fixed OREC Price would be subject to a one-time adjustment to reflect changes in certain price indices subsequent to the Proposal Submission Deadline. Additional details on this adjustment mechanism are provided in Section 4.2.2 and in Section 5.03 of the Agreement. Proposals that include this adjustment will be evaluated using a price adder reflecting NYSERDA's inflation expectation as further described in Section 4.4.

#### **2.1.6 Site Control**

Proposer must hold (a) an irrevocable right or option to develop the entire Offshore Wind Generation Facility site footprint within a federal BOEM commercial wind energy lease area; or (b) demonstrate the existence, within or as a part of the Proposal, of a fully-executed lease for the BOEM commercial wind energy lease area within which the Offshore Wind Generation Facility is to be sited; or (c) demonstrate that it is a provisional winner of a BOEM wind energy area lease sale pursuant to 30 C.F.R. 585 and is proceeding toward lease execution. Proposers must notify NYSERDA promptly upon the execution of such lease. Section 9.01(c) of the Agreement requires Seller to warrant that it "has, or reasonably expects to have prior to the time needed, all real property rights to construct, interconnect, and operate the Selected Project."

Proposers must identify the proposed Delivery Point(s), and, if interconnecting to another Control Area, Injection Point(s), describe what rights Proposer has to the Injection Point(s), and provide a detailed plan and timeline for the acquisition of any additional rights necessary for the interconnection(s) and for the right-of-way for transmission radial line to the Injection Point(s) and (if applicable) transmission from the Injection Point to the Delivery Point. Such rights may be held by Proposer directly or indirectly via partnership with a transmission developer. Proposers may enter into contract arrangement with a transmission developer to support evidence of site control, which NYSERDA may consider in its evaluation of Project Viability.

#### **2.1.7 Interconnection and Deliverability**

Proposers must demonstrate that energy generated by the Offshore Wind Generation Facility can be delivered into the NYCA. The Required Base Proposal and Required Standalone Proposal must incorporate an Injection Point in NYISO Zone J or K. Project eligibility requirements do not preclude the option to propose multiple Injection Points in NYCA as may be necessary to reasonably minimize interconnection costs.

Alternate Proposals may interconnect in an adjacent Control Area. Such Proposals must demonstrate that the Project will fulfill the Electricity Delivery Requirements contained in Article III of the Agreement. NYSERDA will not be responsible for any wheeling charges or any other transmission or administrative related cost levied by an adjacent Control Area associated with delivery of energy to the NYCA at the Delivery Point, other than payment of the contractually determined OREC Price.

For the Required Base Proposal, Required Standalone Proposal and for any Proposal including a direct interconnection to the NYCA, Proposers must have submitted a valid Large Facility Interconnection Request with the NYISO. Alternate Proposals using the ConEd Hub must certify that they would submit the Large Facility Interconnection Request with the NYISO promptly upon the ConEd Hub becoming available through the NYISO interconnection process. For Offshore Wind Generation Facility Proposals that would interconnect in an adjacent Control Area, Proposers must have submitted a similar interconnection request to ISO New England or PJM, as applicable. By submitting this RFP with such interconnection request, the Proposer agrees that NYSERDA is authorized to solicit and receive status and other technical details of the Proposer's interconnection request from the relevant Control Area. Proposer agrees to execute such authorizations and documentation as may be required to allow NYSERDA access so such information.

Proposals may present a plan for alternate uses of a Project's electric output (i) in excess of the Annual OREC Cap or (ii) generated at times during which the delivery and sale of such electrical output at the Delivery Point is not possible due to curtailment of the Project by the NYISO. For example, the Interconnection and Deliverability Plan may propose to use curtailed electricity to serve an adjacent facility which produces Clean Electrolytic Hydrogen. Any such plan must include specific mechanisms for measuring and allocating electric output to ensure that the alternate use is associated only with electric output falling within the two categories referenced in this paragraph and shall be subject to NYSERDA's approval or denial in NYSERDA's reasonable discretion.

The Required Base Proposal and Required Standalone Proposal are required to utilize HVDC radial export cable design, except for Proposals for Upgrade Capacity from Offshore Wind Generation Facilities with radial export cables using HVAC technology. Alternate Proposals that include undersea cable routes through the Lower Bay, Raritan Bay, Arthur Kill, the Narrows, the Upper Bay (New York Harbor), the East or Hudson Rivers, Block Island Sound or the Long Island Sound are required to utilize HVDC radial design, pursuant to the PSC Order on Power Grid Study Recommendations.

All Required and Alternate Proposals are prohibited from siting HVAC cables of any kind whatsoever (including connecting a converter station to a point of interconnection) through the Prohibited Areas, as described in Section 2.1.4. Proposals that contemplate siting any HVAC cables (connecting a converter station to a point of interconnection) in any Constrained Areas (as described in Section 2.1.4) other than the Prohibited Areas must demonstrate that there is adequate remaining right of way to install at least two additional marine HVDC cables, beyond any cabling already planned under existing contracts to NYSERDA, in the same location(s) as the proposed HVAC cable(s).

All Projects with export cables using HVDC technology, excluding Proposals for Upgrade Capacity, must be built Meshed Ready in accordance with the specifications prescribed in Appendix G.

In further support of the eventual delivery of at least 6,000 MW of offshore wind into New York City in alignment with Power Grid Study findings, the sum capacity of projects awarded through this RFP, with Zone K Injection Points, will not exceed 1,330 MW, equating to a New York State contracted portfolio totaling 3,600 MW which allows for a 20% margin of increased delivery to Zone K beyond the 3,000 MW identified in the Power Grid Study.

To evaluate the interconnection status and deliverability of a Project, as stated in Appendix B, Proposer must grant to NYSERDA the right to share with NYISO, adjacent RTOs, and owners of transmission facilities, as applicable, confidential information about any Proposal submitted by the Proposer. Proposer must also authorize NYISO, adjacent RTOs, and owners of transmission facilities, as applicable, to release information to NYSERDA that may otherwise be considered confidential under the relevant rules or policies of such organizations. NYSERDA understands that certain aspects of the confidential information that may be requested from NYISO, adjacent RTOs, and owners of transmission facilities may be deemed to be Critical Energy Infrastructure Information (CEII). NYSERDA will adhere to all requirements with respect to access to and distribution of CEII information as may be required by NYISO, adjacent RTOs, or owners of transmission facilities. Proposers may be required to cooperate with NYSERDA and to execute waivers or other documentation necessary for NYSERDA to acquire such information from the relevant RTO. In submitting a Proposal via this RFP, the proposer affirms NYSERDA's right to engage with the NYISO, adjacent RTOs and owners of transmission facilities, as applicable to support the evaluation of its Proposal.

### **2.1.8 Repurposing Downstate Fossil Fuel Generation Infrastructure (optional)**

Proposals are not required to include a proposal to repurpose existing downstate (*i.e.*, Zones J and K) fossil-based electric generation infrastructure for use by the Project ("Fossil Repurposing Proposal"). However, Proposals that include a Fossil Repurposing Proposal must: (i) identify the specific facility or asset(s) within a facility proposed to be repurposed, (ii) demonstrate usage rights and authority to carry out such a repurposing, (iii) submit a plan for implementing the Fossil Repurposing Proposal, including obtaining regulatory approvals, prior to the Project's commencement of operations, and (iv) submit a contingency plan in case some or all of the Fossil Repurposing Proposal is delayed or unable to be completed prior to the Project's commencement of operations.

In addition, as set forth in Section 12.16 of the Agreement, as a condition to NYSERDA's commitment to purchase ORECs from any Project that contemplates a Fossil Repurposing Proposal that would cause changes in the operations or deactivation of any fossil-based electric generation resource ("Affected Resource"), the owner(s) of the Affected Resource must contractually commit to continuing to operate the Affected Resource in compliance with all applicable laws and regulations, including NYISO tariffs, until such time that (i) a determination has been made by NYISO, the applicable local transmission operator(s) and any other relevant regulatory authorities that the change in generation profile or deactivation will not lead to a violation of the Reliability Rules as defined in the NYISO tariff, or any other reliability, wholesale market, or other applicable criteria, standards, laws or rules ("Generation Rules")



and (ii) such deactivation or change in generation profile will not cause a net increase in air pollutant emissions.

Fossil Repurposing Proposals may, but are not required to, be linked to the Project's interconnection plan. For example, a Fossil Repurposing Proposal could propose to repurpose available space at a downstate fossil-based electric generation facility for siting energy transition activities that do not interact with the electric grid such as O&M activities, offices, or training facilities.

NYSERDA encourages Proposers with a Required Base Proposal and/or Required Standalone Proposal that includes a Fossil Repurposing Proposal to consider submission of an Alternate Proposal which does not include a Fossil Repurposing Proposal.

### **2.1.9 Energy Storage (optional)**

Proposals do not need to include Energy Storage to be eligible. However, for a Proposal that includes Energy Storage to be eligible for favorable evaluation under Project Viability and Economic Benefits, the Energy Storage must meet the eligibility requirements described in this section. Any Proposal that includes Energy Storage must be submitted as an Alternate Proposal that corresponds to another Proposal without Energy Storage. The Proposer can own the Energy Storage or partner with the developer who will own the Energy Storage. Adding Energy Storage to a previously selected Offshore Wind Generation Facility would not represent Upgrade Capacity, and Energy Storage capacity does not contribute to the 1,000 MW minimum Offer Capacity.

Other energy storage applications not covered in the Energy Storage definition of this RFP, such as Clean Electrolytic Hydrogen production, may be included in the Proposal as decarbonization, clean energy industry or energy transition investments and will be evaluated as New York Economic Benefits as further described in Section 3.3 and Appendix C.1. New storage technologies using Clean Electrolytic Hydrogen production making use of offshore wind generation will not be subject to Energy Storage eligibility and viability criteria as described below or in Section 3.2.11.

Energy Storage facilities do not need to be registered in NYGATS. All Energy Storage facilities must be electrically located in NYISO Zone J or K and have a minimum capacity of 20 MW and a minimum duration of 4 hours.

To be eligible, the Energy Storage must be constructed consistent with Section VI, "Quality Assurance" (including the [Battery Energy Storage System Guidebook](#) referenced therein), Section VII, "Measurement and Verification," and Section IX, "Technical Requirements" of NYSERDA's [Bulk Storage Incentive Program Manual](#), including any changes to the Technical Requirements, which are expected to evolve as the industry develops. Notwithstanding this requirement, the Energy Storage need not be physically located in New York State so long as it adheres to the electrical location requirements described below.

Energy Storage must adhere to NYISO's definitions per the latest NYISO OATT and may be either:

1. Electrically located in Zone J or K adjacent to the Project's Delivery Point or the onshore route of the generator lead line to the Project's Delivery Point and behind the Project's wholesale or retail meter
2. Electrically located in Zone J or K adjacent to the Project's Delivery Point or the onshore route of the generator lead line to the Project's Delivery Point and behind a separate wholesale or retail meter, or
3. Electrically located in Zone J or K separately from the Project's Delivery Point.

In addition:

- The Energy Storage equipment must consist of commercial products carrying a manufacturer's warranty. The warranty must cover the entire energy storage system including ancillary equipment and power electronics. Experimental, beta, or prototype equipment is not eligible.
- The Energy Storage system must be certified to meet minimum safety requirements by a Nationally Recognized Testing Laboratory as evidenced by specific UL listings defined in the Program Manual. These will evolve to meet current best practices in the storage industry. These UL listings must be received by the time that the system enters commercial operation.
- Energy Storage systems and components must comply with all manufacturers' installation requirements, applicable laws, regulations, codes, licensing, and permit requirements. This includes, but is not limited to, SEQR; the Accelerated Renewables Act, the International Building Code Series as amended by the New York State Uniform Code Supplement; the National Electric Code; New York State's Standard Interconnection Requirements; and all applicable State, city, town, or local ordinances or permit requirements, and any additional requirements of the local authority having jurisdiction (AHJ), and demonstrate compliance with the requirements in the [New York Battery Energy Storage System Guidebook](#).
- Energy Storage systems must be installed as proposed and remain in place for at least 10 years. Successful Proposers must, prior to the commencement of construction, provide an executed Energy Storage operations and maintenance agreement for a term which is greater than or equal to the proposed Energy Storage term.

Note that, under the Agreement, NYSERDA will make payment only for ORECs delivered to NYSERDA's NYGATS Account, which requires that the energy associated with such ORECs be delivered to the grid. If the Energy Storage is charged from an electrically co-located Offshore Wind Generation Facility, the energy discharged from the Energy Storage onto the grid will generate ORECs that will be eligible for payment under the Agreement. Should a Proposal with electrically co-located Energy Storage receive an award, the Proposer will be required, at the time of contracting, to demonstrate to NYSERDA's satisfaction that the Project and Energy Storage will be configured and metered in a way that will ensure that ORECs are created only based on energy generated by the Offshore Wind Generation Facility. Energy Storage facilities that are not electrically co-located with the Offshore Wind Generation Facility may store energy from the grid but will not create ORECs and therefore the associated stored energy will not be eligible for payment under the Agreement.

Awarded Proposers not including Energy Storage in the selected Proposal may add an Energy Storage facility in the future, subject to fulfilling all existing terms of the Agreement. However, the addition of an Energy Storage component will not be used to re-price a Project that initially lacks Energy Storage. Energy storage advanced after the time of an award may participate in other NYSERDA incentive programs or competitive procurements run by New York State utilities.

If a Proposal includes Energy Storage, and the Energy Storage has not reached commercial operation at the full capacity in MWh on or before the Project's first Commercial Operation Date, the Index OREC Strike Price or Fixed OREC Price will be reduced by the Energy Storage Component Price Reduction Amount. If the Energy Storage subsequently reaches commercial operation at the full capacity, the Index OREC Strike Price or Fixed OREC Price will revert to its original value. See Section 5.05 of the Agreement. This clause will also apply if the Energy Storage becomes Ineligible Energy Storage (as defined in the Agreement).

The following Energy Storage projects are not eligible for an award under this solicitation:

- An Energy Storage project that is owned by a regulated utility, the New York Power Authority, or the Long Island Power Authority;
- An Energy Storage project that has been awarded a utility Bulk Dispatch Rights Contract;
- An Energy Storage project that receives a NYSERDA Retail Storage Incentive, or a NYSERDA Bulk Storage Incentive;
- An Energy Storage project electrically located outside of NYCA Zones J or K;
- An Energy Storage project subject to a previous NYSERDA award or contract;
- Pumped hydroelectric storage.

Energy Storage projects participating in a utility Bulk Dispatch Rights solicitation or other utility-managed competitive offer are eligible to participate in ORECRFP22-1; however, no facility is eligible for award under ORECRFP22-1 if it is selected by a utility-managed solicitation or other competitive offer. NYSERDA will coordinate with the manager of any other active solicitation prior to issuing final awards under ORECRFP22-1 to ensure that projects participating in multiple offers are not prematurely deemed ineligible.

#### **2.1.10 Conflicts of Interest**

Proposers must be free from, or commit to eliminating or preventing, conflicts of interest, in each case as determined by NYSERDA in its sole discretion, in accord with Section 8.8.

## **2.2 Contract Commitments Relating to Considerations Identified in the Offshore Wind Orders and New York State Public Service Law**

The Offshore Wind Orders authorize NYSERDA to include, at its discretion, certain contract requirements in agreements resulting from this solicitation. The following sections highlight selected requirements that NYSERDA has adopted and incorporated into the Agreement. Proposers should carefully review the Agreement to gain a full understanding of all contractual commitments.

### **2.2.1 Prevailing Wage Requirement**

In accordance with Labor Law § 224-d(2), and NYSERDA's requirements as contained in the Agreement or any agreement for New York State Funding, and unless otherwise provided in a Project Labor Agreement (PLA) covering the construction of the Project, or any facilities constructed in whole or in part with New York State Funding, all laborers, workmen and mechanics (within the meaning of those terms under NYS Labor Law Article 8) performing construction activities within the United States (including federal waters) with respect to the Project, including, but not limited to, the assembly, staging, installation, erection, and placement of the Project and its electrical interconnection as well as those construction activities related to start-up and commissioning of the Project, whether through long-term or short-term employment, must be paid wages and benefits in an amount not less than the Prevailing Rates (as determined under NYS Labor Law Section 220 for construction activities in New York, or pursuant to the Agreement for construction activities elsewhere as determined by analogous state law) that would be applicable to a public work in the area where the subject Project construction activities occur. Unless provided otherwise in any negotiated PLA, it is generally expected that that covered construction, for these purposes, will include United States-based offsite fabrication traditionally performed on-site by construction craft when that fabrication produces items specifically designed for construction of the Project, fabrication occurs off-site for the convenience of the contractor, and the fabrication is part of a single integrated construction process. For construction activities in federal waters, the rates shall be those applicable at the location of the port or ports from which the laborers, workmen or mechanics are based for purposes of that offshore work. In the event that workers for a Project are based from multiple ports, Sellers must come to agreement with NYSERDA on uniform rates to apply to the Project. For the avoidance of doubt, in the event that Labor Law § 224-d(2) does not apply as a matter of law to work performed in federal waters, NYSERDA nonetheless requires the payment of Prevailing Rates as a matter of contract. This requirement applies: (1) to all laborers, workmen and mechanics performing construction activities, whether direct employees of the Seller or of Seller's subcontractor(s), and (2) regardless of whether or not such employment was claimed as an Incremental Economic Benefit in its Proposal. No less than six months prior to the start of Construction, Seller must notify NYSERDA of its intent to commence construction activities, and in cooperation with the New York State Department of Labor, generate a prevailing wage determination for the Project, as will be updated from time to time. Unless relieved of such requirements by entering into a duly executed PLA in accordance with NYS Labor Law § 222, Seller will be responsible for complying with all prevailing wage requirements (including but not limited to reporting requirements) under New York State Labor Law §§ 220, 220-b, and 224-d. In addition, Seller may be called upon to report compliance with the Prevailing Wage Requirement throughout the Term of the Agreement. See Section 18.10 of the Agreement.

### **2.2.2 Project Labor Agreement**

As referenced herein, a PLA refers generally to a single collective bargaining agreement (including a pre-hire agreement) covering both contractors in the construction industry working on a Project and a bona fide building and construction trade labor organization representing the craft workers on that Project.

After consideration of the potential impact of a PLA, NYSERDA has concluded that a PLA, with appropriate terms, could serve the State's and public's interest. Accordingly, as is described more fully in Section 18.11 of the Agreement, each awardee will be required to present to NYSERDA for its review a plan outlining its intentions with respect to the negotiation of one or more PLAs to cover all construction activities on the Project, as defined in Section 2.2.1, within the United States (including in federal waters). NYSERDA should thereafter be kept apprised of negotiations as they proceed, and NYSERDA shall have the right to have one or more representatives attend negotiation sessions as it determines is in its best interests. Additional guidance regarding PLAs and how they should be represented in New York Jobs and Workforce Plans is described in Appendix H.

Such negotiations are to cover, at a minimum, the topics described below.

Each PLA should contain:

1. Provisions that appropriately limit applicability of the PLA to United States-based (including federal waters) covered work on the Project (and not extending to any other work performed by Project contractors and subcontractors, or to the work of their affiliated entities), ensuring that Project contractors or subcontractors are not required to become a signatory to any other labor agreement, and appropriately providing for the supremacy of the PLA over any potentially conflicting labor agreements that might otherwise apply to contractors and subcontractors. The PLA must apply to all covered construction and all contractors and subcontractors, of whatever tier, performing construction work on the Project (subject to appropriate exceptions), and the PLA should be available to all contractors and subcontractors, of whatever tier, regardless of their union affiliation;
2. Provisions for appropriate union recognition and security (limited to Project work) and the referral of skilled craft workers, including provisions for staffing in the event qualified referrals are not reasonably available and for the reasonable use of a number of core employees by contractors and subcontractors (regardless of union affiliation and referral practices that might otherwise exist);
3. Comprehensive labor harmony provisions to ensure against Project disruption as a result of worksite disputes or other labor disputes of any kind;
4. Comprehensive provisions for the resolution of workplace disputes through third party resolution, including provisions for the resolution of jurisdictional disputes (without Project disruption), and appropriate provisions for labor management cooperation;
5. Appropriate provisions to allow the cost effective and efficient coordination of multiple trades and contractors and subcontractors (notwithstanding any local labor agreements that might otherwise be applicable to contractors and subcontractors), as well as other appropriate management rights (such as adequately ensuring the Contractors'/subcontractors' choice of materials, techniques, methods, technology or design, or, regardless of source or location; use and installation of equipment, machinery, package units, pre-cast, pre-fabricated, pre-finished, or pre-assembled materials, tools, or other labor-saving devices; the installation or use of materials, supplies or equipment regardless of their source (including as may be required by a

vendor and/or to ensure warranty coverage); and to perform off-site work, subject to any restrictions imposed by law);

6. Appropriate provisions promoting MWBE and SDVOB employment, as well as the employment of New York workers and low-income workers;
7. Appropriate provisions for the use of apprentices; and
8. Appropriate provisions for rules governing worksite access and conduct.

Awardees may appoint or delegate to a contractor or third party the authority to conduct such negotiations and/or to execute the PLA(s); however, the responsibility to deliver the PLA(s) and to ensure its sufficiency and compliance with its terms will remain with awardee. Each final PLA consistent with this section shall be presented to NYSERDA for review and approval within 180 days of BOEM's approval of the COP for the Project. Seller will be required to address all eight items required in the PLA in their Contract Quarterly Reports, such as number of in-state jobs provided, MWBE and SDVOB employment statistics, education and apprenticeship programs, quantitative and qualitative data regarding engagement with New York labor groups, among others as outlined in the Agreement and reflective of ongoing compliance with the PLA. Section 18.11 of the Agreement provides further procedures should the awardee fail to reach agreement on a final PLA within that timeline.

NYSERDA's review of any agreed-upon PLA will be based on the specific terms of the negotiated PLA and will take into account the best interests of NYSERDA and the public it serves with respect to the Project, and will include consideration of Project viability, the cost-effectiveness of the PLA, and the need for timely Project completion.

SCIP Facilities that receive New York State Funding pursuant to this RFP will enter a separate Funding Agreement with NYSERDA (SCIP Facility Funding Agreement). In light of the State's interest in timely and cost-effective completion of both the development of SCIP Facilities and the Offshore Wind Generation Facility, any such separate SCIP Facility Funding Agreement will include provisions that mirror Sections 18.10 and 18.11 of the Agreement and that would apply to construction work on the SCIP Facilities. Each such separate SCIP Facility will include a timing requirement that will require adherence to a PLA negotiation schedule, with milestones and requirements similar to those listed above related to the construction of the Project, commencing upon execution, or prior to execution, of the separate SCIP Facility Funding Agreement. For public entities awarded New York State Funding, the public entities must initiate a PLA feasibility study upon execution, or prior to execution, of the separate SCIP Facility Funding Agreement; such PLA feasibility study will be conducted in cooperation with NYSERDA, and pursuant to the terms of the separate SCIP Facility Funding Agreement. Proposers are advised that efforts to ensure the timely completion of development work, costs savings from use of a PLA, and the commitment to avoid labor strife through a PLA will be considered factors that mitigate project-on-project risk.

### **2.2.3 Labor Peace Agreement**

New York State Public Service Law 66-r (3) requires that the Agreement include a stipulation that the owner of the Project, or a third party acting on the owner's behalf, stipulate to entering into a Labor Peace Agreement (LPA) with a bona fide labor organization representing, or attempting to represent,

employees providing operations and maintenance services for the Project. As described more fully in Section 18.11-a of the Agreement, pursuant to and to the extent legally required by New York State Public Service Law 66-r(3), the maintenance of such an LPA shall be an ongoing material condition of any continuation of payments under the Agreement.

#### **2.2.4 U. S. Iron and Steel (Buy-American)**

New York State Public Service Law (PSL) § 66-r (4) (a) (the Buy-American Act) requires public entities to include within the terms and conditions of any covered contracts a contractual requirement that “iron and structural steel used or supplied in the performance of the Contract or any subcontract thereto[,] and that is permanently incorporated into the public work, [be] produced or made in whole or substantial part in the United States, its territories or possessions.” However, PSL § 66-r (4) (b) provides that the Buy-American requirement “shall not apply if the head of the department or agency constructing the public works, in his or her sole discretion, determines that the provisions would not be in the public interest, would result in unreasonable costs, or that obtaining such steel or iron in the United States would increase the cost of the contract by an unreasonable amount, or such iron or steel, including without limitation structural iron and structural steel cannot be produced or made in the United States in sufficient and reasonably available quantities and of satisfactory quality.” The Buy-American Act requires the soliciting agency to make such determination in each RFP.

For this RFP (ORECRFP22-1), NYSERDA has determined that “structural” iron or steel components are load bearing, necessary to create the structure of the installation, are comprised of steel or iron, and do not include components that are core to the function of producing electricity (i.e., wind turbine nacelle and internal components. These structural components that are “permanently incorporated” into the Project (“Covered Components”) include: (1) the tower supporting the turbine, inclusive of any platforms, transition pieces, or other similar structural elements permanently affixed to the tower; (2) elements incorporated into or comprising the foundation supporting the tower, including a steel monopile or reinforcing iron or steel; (3) reinforcing iron or steel incorporated into or supporting the foundation of any offshore substation; and (4) reinforcing iron or steel incorporated into the offshore substation topside which houses the electrical equipment.

NYSERDA has determined that the following components are operational by nature and are **NOT** “structural” iron or steel components that are “permanently incorporated” into the Project, and therefore are **NOT** “Covered Components” subject to the Buy-American Act: (1) rotor hub; (2) main shaft; (3) main frame (transition from nacelle to tower; (4) yaw system; (5) rotor blades; (6) rotor bearings; (7) gearbox; (8) generator; (9) pitch system; (10) power converter (11) transformer; (12) brake system; (13) nacelle housing; (14) electrical equipment; and (15) cables, screws, and other fasteners.

In accordance with the objectives of the Buy-American Act, NYSERDA has undertaken a study to examine the implications of the Buy-American Act as applied to the Offshore Wind Generation Facilities and associated Project components anticipated to be the subject of Proposals submitted in response to this RFP (ORECRFP22-1). On the basis of this study, and in consideration of the factors set forth in the Buy-American Act, NYSERDA has determined that steel plate with the necessary thickness, dimension, and strength properties used to manufacture monopile foundations cannot be produced or made in the

United States in sufficient and reasonably available quantities without incurring unreasonable expense. Furthermore, for other Covered Components, NYSERDA has determined that requiring all structural iron or steel to be sourced domestically would not be in the public interest, as it may result in unreasonable increased costs and schedule delays, and the limited availability of large-dimensioned (length, width, and thickness) heavy steel plate and may negatively impact Project cost and schedule. The study also examined the feasibility of a contractual requirement to use domestic structural iron and steel. The study found that a contractual requirement for reasonable minimum amount of U.S. iron and steel to be used in each Project would align with New York State's policy goals to incentivize utilization and growth of the offshore wind supply chain, including the U.S. steel industry that supports it, and reduce embodied carbon.

For this RFP (ORECRFP22-1), and in accordance with the Buy-American Act, the President and CEO of NYSERDA has determined that requiring all structural iron or steel to be produced in the United States would not be in the public interest for the reasons stated above; however, use of iron and steel that is produced in New York, and in the United States, is valued by NYSERDA. Accordingly, as a matter of procurement policy in promoting the intent of the New York Buy American Act, any Project awarded a contract in ORECRFP22-1 is required to establish that it procures a minimum of \$114,000 per MW of Offer Capacity of steel components that are manufactured with U.S. iron and steel for use in the Project. In addition to the minimum requirement of \$114,000/MW of Offer Capacity to be spent on U.S. iron and steel components, Proposers who commit to additional U.S. iron and steel spending will be evaluated favorably in the Economic Benefits evaluation, as described in Section 3.3.5. Claimed expenditures associated with purchasing commitments for U.S. Iron and Steel will be entered in the Agreement as Expected U.S. Iron and Steel Dollars.

To the extent a Project falls short of the minimum dollar requirement determined for the project, any shortfall will be addressed through the remedy provided in Section 12.02 of the Agreement. For more information on U.S. Iron and Steel commitments, please see Sections 12.02 and 12.11 of the Agreement.

Proposers must commit to consultation with the U.S. Steel Industry and include a description of proposed engagement as part of the Stakeholder Engagement Plan in Appendix F, and if awarded a contract, Proposers must agree to provide U.S. iron and steel component manufacturers the opportunity to supply the Project and use the New York Offshore Wind Supply Chain Database as further described in Section 2.2.13.

### **2.2.5 Consultation with New York State Agencies**

Proposers must agree, if awarded a contract, to consult with certain New York State agencies during planning and development of the Offshore Wind Generation Facility, including the transmission radial line to the on-land Injection Point, and the Energy Storage, if included. The intention of these consultations is to provide the agencies with a greater understanding of the Project and inform the contract awardee about important resource considerations and the permitting approach early in the process, and to inform the approach with feedback from stakeholders and New York State agencies in an effort to reduce uncertainty, improve transparency, and minimize conflicts. Earlier, periodic informal consultations are advised to narrow issues and streamline the formal process. This requirement will be



accomplished in parallel with the federal process, recognizing that BOEM has primary jurisdiction over the offshore aspects of a Project.

At a minimum, contract awardees will be required to consult with the following agencies relating to agency goals and responsibilities on the following topics:

1. The New York State Department of State (DOS) with respect to a Project's consistency with the policies set forth in the State's Coastal Management Program;
2. The New York State Department of Environmental Conservation (DEC) with respect to assessment and mitigation of potential environmental impacts, including but not limited to, water quality, air quality, benthic communities, fish, fisheries and wildlife impacts of the Project;
3. The New York State Office of Parks, Recreation and Historic Preservation (OPRHP) with respect to the assessment and mitigation of effects on sites of historic or archeological significance;
4. The New York State Department of Public Service (NYDPS) with respect to a Project's electrical interconnection and any applicable regulatory requirements under the Public Service Law;
5. The New York State Office of General Services (OGS) with respect to a Project's electrical interconnection involving State land;
6. NYSERDA as a point of contact with respect to a Project's general consistency with the New York State Offshore Wind Master Plan and stakeholder feedback; and
7. NYSERDA with respect to identifying and delivering benefits to Disadvantaged Communities.

More specifically, the required consultation will consist of the following steps:

1. At the time it submits a proposed Site Assessment Plan (SAP) to BOEM, a contract awardee will also submit the proposed SAP to DOS, DEC, OPRHP, NYDPS, OGS, NYSERDA, and any other state agency that NYSERDA notifies contract awardee to include (each, a "Consulting State Agency"), so that each such Consulting State Agency may provide input on the SAP concurrently with BOEM's review. Each Consulting State Agency will provide to the contract awardee the agency's initial comments on the proposed SAP – either jointly or individually – within 60 calendar days of receipt. The contract awardee then must meet or engage with each Consulting State Agency that requests a meeting at reasonable times and intervals in an effort to attempt to resolve any issues.

If a contract awardee has already submitted its SAP to BOEM at the time of its Proposal under this RFP, the contract awardee should so state in its Proposal and propose an alternative process for consultation with the Consulting State Agencies.

2. At the time it submits a proposed COP to BOEM, a contract awardee will also submit the proposed COP to the Consulting State Agencies, so that each Consulting State Agency may provide input on the SAP concurrently with BOEM's review. Each Consulting State Agency will provide to the contract awardee that agency's initial comments on the proposed COP – jointly or individually – within 60 days of receipt. The contract awardee then must meet or engage with those Consulting State Agencies that request such a meeting, at reasonable times and intervals

in order to attempt to resolve any issues. If a contract awardee has already submitted to BOEM a COP at the time of its Proposal under this RFP, the contract awardee should so state in its Proposal and propose an alternative process for consultation with the Consulting State Agencies with respect to the COP.

3. The requirements and processes set forth in paragraphs 1 and 2 above will apply to any component, or resubmittal of a SAP or a COP, respectively, that a contract awardee submits to BOEM, including, but not limited to, any required surveys or documentation required under the National Environmental Policy Act. Thus, the contract awardee will submit all SAP and COP components and revisions to the Consulting State Agencies concurrent with submission to BOEM.
4. Proposers are directed to reference Section 8.1, where the treatment of confidential information is discussed. The Consulting State Agencies will not disclose information generated by those agencies (such as comments on draft materials) that they determine contains confidential trade secret information provided by a contract awardee to third parties. Notwithstanding an assertion by a contract awardee that particular information constitutes confidential trade secret information exempt from FOIL, the Consulting State Agencies will make their own determinations as to how to comply with the law and whether a FOIL exemption applies. In order to do so, the Consulting State Agencies may request further information from a contract awardee about contract awardee's asserted justification for withholding designated information. Any agreement on the part of any Consulting State Agency to exempt certain information from FOIL disclosure shall not bind any other agency and shall not diminish a contract awardee's obligation to make non-proprietary Site and Environmental Data available to the public.
5. The consultation requirements set forth above in this Section 2.2.5 do not obviate or replace the federal Coastal Zone Management Act regulatory requirement in 15 CFR Part 930 and in the event of conflicting timeframes, the federal regulations will prevail.
6. Contract awardees will provide NYSERDA updates on these consultations in their Contract Quarterly Reports. More details on reporting requirements are set forth in Section 6.4.16 (Stakeholder Engagement Plan).

### **2.2.6 Participation in Technical Working Groups**

Proposers must agree, if awarded an Agreement, to reasonably participate in the Environmental, Commercial and Recreational Fishing, Maritime, and Jobs and Supply Chain Technical Working Groups (TWGs), as well as any other TWGs formed in the future covering other topics relevant to this RFP such as a Transmission, Energy Storage, or Environmental Justice TWG, in each case as directed by NYSERDA. This includes participation in TWG meetings and engaging with the relevant stakeholder groups within the TWG regarding the proposed Project.

### **2.2.7 Support for Monitoring Key Commercial Fish Stocks and Wildlife**

Proposers must agree, if awarded an Agreement, to provide financial and technical support to regional monitoring of wildlife and fish and invertebrates that support economically important fisheries through a minimum contribution of \$10,000 per MW of Offer Capacity. Within one year of the Effective Date, Proposer will provide a plan for the commitment of the funding (“Monitoring Plan”). The Monitoring Plan shall require the commitment of fifty percent of the funding within two years of the award, and the remaining fifty percent within three years of the award. Of that amount, no less than five thousand dollars (\$5,000) per MW of Offer Capacity shall be allocated to support regional monitoring of fish and invertebrates that support economically important fisheries to better understand how offshore wind energy development is potentially altering the biomass and/or distribution of these stocks, and no less than five thousand dollars (\$5,000) per MW of Offer Capacity shall be allocated to support regional monitoring of wildlife of conservation concern to better understand how offshore wind energy development effects distribution and abundance of sensitive species. These monitoring efforts may be committed via regional monitoring organizations (*e.g.*, Regional Wildlife Science Collaborative for Offshore Wind or Responsible Offshore Science Alliance) or independently by the Proposer (or some combination) upon NYSERDA approval. In any case, such funding shall be directed to advance the responsible development of the offshore wind energy industry, and not limited exclusively to the Project. The financial support required by this Section 2.2.7 may be provided by any combination of (i) disbursement to a not-for-profit organization with the capacity for undertaking the monitoring work described herein, and (ii) direct expenditure to finance the monitoring work described. Seller will report the specific spending activity, including amount, purpose and result of investment, in their quarterly progress reports required by Section 6.02 of the Agreement.

### **2.2.8 Site and Environmental Data Transparency**

If awarded a contract, Proposers must agree to make publicly available any information or data and supporting metadata that is developed in furtherance of a Project and relates to environmental characteristics, or use by wildlife, of any offshore, nearshore or onshore areas, as well as any data sponsored or developed by a contract awardee relating to the potential impacts of the construction, operation, or decommissioning of a Project on the environment and wildlife of such areas (separately and collectively, “Site and Environmental Data”). Contract awardees will be required to provide NYSERDA, within 90 days of contract execution, a “Data Management and Availability Plan” detailing how Site and Environmental Data will be made available on an ongoing basis as soon after collection as is practicable for use by third parties in decision making around adaptive management. The “Data Availability Plan” must follow the guidelines in [Wildlife Data Standardization and Sharing: Environmental Data Transparency for New York State Offshore Wind Development](#). The Plan must include a list of relevant data expected to be collected with commitments to submit raw data to appropriate database(s) as soon as feasible, but not more than two years, after internal QA/QC. All data should include comprehensive metadata using Federal Geographic Data Committee standards, or others, as appropriate. After consultation with NYSERDA, updates to the Plan should be submitted with Quarterly Reports. Data typically classified as proprietary, such as met-ocean data and geophysical/geotechnical data, will not be considered Site and Environmental Data for purposes of this requirement.

Real- or near real-time reporting of marine mammal sighting and detections may be required and the timing of the availability of other data will be determined through consultations with DOS, DEC or NYSERDA, either individually or as a group. Other environmental data must be made available as soon after collection as is reasonable, on an ongoing and routine basis as appropriate to the collection method and as discussed with DOS, DEC, NYDPS, or NYSERDA, either individually or as a group.

Contract awardees may choose to use existing publicly accessible data repositories and/or developer sponsored websites as venues to host the data and metadata. The intention of this requirement is to allow independent data users the opportunity to develop an understanding of the environmental characteristics of potential offshore wind energy development areas, including areas within which Projects may be located, and to independently assess the impacts of offshore wind energy development on those characteristics in a timely manner. Site and Environmental Data includes information that a contract awardee develops before, during, and after this RFP process, and includes, but is not limited to, information relating to the following topics:

1. Air quality and emissions
2. Water quality
3. Fish and fish habitats
4. Birds and bats
5. Marine mammals and sea turtles
6. Benthic communities

Proposers must agree, if awarded an Agreement, to (i) not unreasonably withhold site accessibility (including vessels buoys and other structures) for the advancement of third-party scientific and technological study, including installation of cellular capabilities, near-real time data sharing functionality, power sources for platform or benthic monitoring equipment, weather reporting equipment for increased navigational safety, use of other navigational aids beyond current regulations (such as AIS) and environmental sensors and (ii) work with state, federal and other stakeholders to assess the most appropriate means of third-party scientific monitoring plan development and implementation including addressing potential health and safety requirements.

### **2.2.9 Lighting Controls**

If awarded a contract, Proposers must agree to install lighting controls to minimize nighttime visibility from shore and risk to wildlife. NYSERDA will require that any wind turbines installed by a contract awardee in furtherance of such Contract employ aircraft detection lighting systems (ADLS) in order to meet Federal Aviation Administration obstruction lighting requirements while minimizing lighting-related visual impact and impacts on avian species. In the event that ADLS systems do not meet Federal Aviation Administration Requirements, or another technology produces a better outcome, the best available approved technology may be used upon consultation and approval of NYSERDA. Inclusion of ADLS, or an alternative approved by NYSERDA, in a contract awardee's COP submitted to BOEM will also be a requirement of any Contract.

### **2.2.10 Required Plans**

The Standardized Components of the following plans will be appended to the executed Agreements of awarded Projects. Proposers awarded a contract must consult with NYSERDA before and during the implementation of these plans and will be required to update NYSERDA on their progress and plans in their Contract Quarterly Reports. Separate versions of Required Plans should be included in the Supply Chain Investment Plans where noted in Appendix C.2 or otherwise applicable to the SCIP Facility Funding Agreement.

#### **2.2.10.1 Fisheries Mitigation**

Proposers must submit with their Proposal, and subsequently develop and implement a Fisheries Mitigation Plan, further described in Section 6.4.14 and Appendix D.

#### **2.2.10.2 Environmental Mitigation**

Proposers must submit with their Proposal, and subsequently develop and implement an Environmental Mitigation Plan, further described in Section 6.4.15 and Appendix E. A separate Environmental Mitigation Plan must be submitted for consideration under the Supply Chain Investment Plan and as described in Appendix C.2.

#### **2.2.10.3 Stakeholder Engagement**

Proposers must submit with their Proposal, and subsequently further develop and implement a Stakeholder Engagement Plan, as further described in Section 6.4.16 and Appendix F. Proposers are strongly encouraged to reference the [Guiding Principles for Offshore Wind Stakeholder Engagement](#) published by NYSERDA. In coordination with BOEM lease stipulations, Proposers must also submit an Agency Communication Plan, as further described in Section 6.4.16 and Appendix F. A separate Stakeholder Engagement Plan must be submitted for consideration under the Supply Chain Investment Plan and as described in Appendix C.2.

If awarded a contract, Proposers must agree to conduct ongoing stakeholder and community engagement to inform the public about activities being undertaken by the Proposer, gain community and stakeholder input on how these activities can benefit communities, and connect residents and communities to these benefits. These engagement activities will be focused on Disadvantaged Communities and other communities directly affected by the Project and will include, but not necessarily be limited to:

- Convening of regular and ongoing stakeholder meetings and regular and ongoing engagement and participation in public meetings and briefings of local officials and stakeholders to keep communities and residents apprised of the Project's progress; to identify opportunities for Disadvantaged Communities and other affected communities and residents to benefit from activities being undertaken by the Proposer;
- Formation of one or more advisory or working groups with representation from Disadvantaged Communities and other affected communities to inform community benefit investments, including workforce development activities, made as part of the Project;

- Maintenance of a website and social media channels through which residents and communities may stay apprised of the Project’s progress and submit questions and comments during the development, construction, and operation of the Project;
- Making reasonable efforts to hire from within communities directly affected by the Project, including through the publicizing of job opportunities within Disadvantaged Communities and other affected communities;
- Coordinating closely with NYSERDA prior to scheduling public events to avoid redundancy and facilitate appropriate outreach; and
- Documenting the input and feedback received from stakeholder and community engagement activities and making reasonable attempts to address feedback received through these activities.

#### **2.2.10.4 New York Jobs and Workforce**

Proposers must submit with their Proposal, and subsequently further develop and implement a New York Jobs and Workforce Plan, as further described in Section 6.4.19.3 and Appendix H. Proposers are strongly encouraged to review the latest New York Clean Energy Industry Report in conjunction with preparing the New York Jobs and Workforce Plan. A separate New York Jobs and Workforce Plan must be submitted for consideration under the Supply Chain Investment Plan and as described in Appendix C.2.

#### **2.2.11 Specific Fisheries and Environmental Mitigation Measures**

- Fisheries Compensation.* Proposers must agree, if awarded an Agreement, to follow the guidance developed by BOEM for the mitigation of impacts from offshore wind energy projects on commercial and recreational fishing communities as further described in its November 22, 2021 Request for Information on Reducing or Avoiding Impacts of Offshore Wind Energy on Fisheries (<https://www.boem.gov/renewable-energy/request-information-reducing-or-avoiding-impacts-offshore-wind-energy-fisheries>).
- Responsible Offshore Science Alliance and Regional Wildlife Science Collaborative Membership.* Each Proposer must agree, if awarded an Agreement, to become an active Advisory Council Member of Responsible Offshore Science Alliance and an active Caucus Member of the Regional Wildlife Science Collaborative in good financial standing. The Seller may change or opt out of these memberships only with the prior approval of NYSERDA.
- Noise Mitigation.* Each Proposer must agree, if awarded an Agreement, that the Project shall not commence activities that generate significant noise, including geophysical survey work and impact pile driving, during poor visibility conditions such as darkness, fog, and heavy rain, unless an alternative mitigation monitoring plan that does not rely on visual observation has been determined to be effective, to the extent compatible with practicability and worker safety.
- Monitoring Acoustic Attenuation.* If awarded a contract, Proposers that use pile driving or other methods of installation that result in high underwater noise levels, must agree to monitor underwater acoustics during foundation installation in order to: 1) measure changes in sound pressure levels (SPLs); 2) record sound levels in the water column and vibrations in the sediment; 3) detect particle motion; and 4) assess the effectiveness of a noise mitigation system

to reduce underwater noise generated during pile installation. Contract awardees will be required to provide NYSEDA, six (6) months prior to Construction and Operation Plan submission, a “Underwater Acoustic Monitoring Plan” detailing how data will be collected to and made available as soon after collection as is practicable for use by third parties. The Plan must include commitments to allow raw and metadata to be publicly available no more than six months after installation completion.

- E. *Commercial Fishing Gear Loss*. The Proposer shall report the number and value of claims submitted, number and value of claims paid, and a general description of each incident and resolution in the Contract Quarterly Report.
- F. *Regional Collaboration*. Proposers must agree, if awarded an Agreement and requested by NYSEDA, to participate with NYSEDA in any multi-state or regional coordination and/or collaboration efforts.

### **2.2.12 Conformance with NYGATS Operating Rules**

If awarded a contract, Proposers must obtain a valid NYGATS ID for the Offshore Wind Generation Facility and operate in conformance with the NYGATS Operating Rules. Delivery of electricity during the Contract Delivery Term that complies with the Electricity Delivery Requirement contained in Article III of the Agreement will be sufficient to support the creation of ORECs by NYGATS and the implementation of the Forward Certificate Transfer of ORECs, up to the Annual OREC Cap, into NYSEDA’s NYGATS Account. NYSEDA will make payment for ORECs from the Offshore Wind Generation Facility delivered to NYSEDA’s NYGATS account.

### **2.2.13 New York State Supplier Opportunities**

If awarded a contract, Proposers must agree to provide New York companies with the opportunity to offer to provide goods and services for which there is capability in New York State to developers, their contractors and other suppliers of the Project and optional Energy Storage. Proposer must communicate all opportunities for supplier contracts for the Project with an anticipated contract value of \$1 million or greater not already committed at the time of offer submission to New York State companies through using the [New York Offshore Wind Supply Chain Database](#) maintained by NYSEDA and provided to contract awardees, except for the provision of goods and services that cannot practically be performed by the New York State supply chain at such time. Developers, their contractors and other suppliers are encouraged to reference and review this database regardless of the contract value.

If selected for an award, Proposer will be required to report on New York State Supplier Opportunity activities for direct contracts and for sub-contracts associated with the Project as a part of the progress reports to be provided under Section 6.02 of the Agreement. The Proposer shall agree to utilize the New York Offshore Wind Supply Chain Database as maintained by NYSEDA or its designee on an ongoing basis and as it may be updated periodically. Reporting would cover the opportunity and associated marketing through the Supply Chain Database.

Proposers must also utilize the New York Offshore wind Supply Chain Database for enabling domestic U.S. Iron and Steel supplier contracts.

To help facilitate U.S. Iron and Steel (Buy American) requirements outlined in Section 2.2.4, the NYSERDA Offshore Wind Supply Chain Database has incorporated additional “opportunity types,” “good and services,” and an enabling self-certification that a supplier can use to fulfill the NYSERDA Buy American certification. The inclusion of these new fields for a supplier to self-certify domestic steel fabrication will act as a resource to proposers and suppliers to identify opportunities that help fulfill project requirements related to steel components that are manufactured with U.S. iron and steel for use in the Project. In utilizing the Offshore Wind Supply Chain Database, an entity searching for iron or steel (*i.e.*, plate steel, bar stock, channel) material that is that is manufactured in the United States should search for supply chain partners located anywhere in the United States. Primary Components or Sub-components (towers, secondary steel items, etc.) that are fabricated with iron or steel manufactured in the United States should search for supply chain partners located in New York. All Verified U.S. Iron and Steel Dollars will require and independent manufacturing certification for the particular components furnished to the Seller on the certification form provided in the U.S. Iron and Steel Certification Form in Exhibit O of the Agreement.

The Proposer, and any Major Suppliers, must agree to communicate supplier opportunities to MWBE and SDVOB using the [MWBE Certified Database maintained by Empire State Development \(ESD\)](#) and the [Directory of New York State Certified Service-Disabled Veteran Owned Business \(SDVOB\)](#) maintained by the Office of General Services (OGS) for goods with anticipated contract value of over \$250,000, and for services with contract value expected over \$100,000.

Proposer must agree to consult the New York Offshore Wind Supply Chain Database, the ESD MWBE Database, and the OGS SDVOB Database for sub-contracting goods and services associated with Project development, manufacturing, construction, maintenance and operations as described in Sections 12.11 and 12.17 of the Agreement. Proposers must agree to undertake efforts to maximize contract and subcontract opportunities for MWBEs and SDVOBs. Proposers shall include within their Stakeholder Engagement Plan a section outlining their outreach efforts and their strategy to enhance the participation of New York companies, including MWBE and SDVOB firms in the renewable energy sector. Proposers must agree to report commitments and expenditures to MWBE and SDVOB firms as part of the Contract Quarterly Report in an electronic format designated by NYSERDA.

#### **2.2.14 Embodied Carbon**

Upon commissioning of the Selected Project, Proposer will agree to make commercially reasonable efforts to work with NYSERDA to validate a final accounting of the Selected Project’s (i) carbon footprint and (ii) energy and carbon payback periods. Proposer will further agree to public disclosure of NYSERDA's determination of the Selected Project's carbon footprint, and energy and carbon payback periods. These requirements are found in Section 12.07(f) of the Agreement.

#### **2.2.15 Disadvantaged Community Commitments**

Proposers must include in their proposal specific, quantifiable commitments to providing benefits to Disadvantaged Communities. These commitments will be included in Section 6.05 of the Agreement. Proposers should refer to Appendix C.3 for a description of categories of benefits to Disadvantaged Communities.



If awarded a contract, Proposers must agree to coordinate with NYSERDA throughout implementation of the Project to reasonably align the investments and associated benefits claimed with NYSERDA's broader approach for the delivery, measurement, tracking, and reporting of benefits to Disadvantaged Communities, pursuant to the provisions of the Climate Act.

## **3 NON-PRICE EVALUATION**

### **3.1 Overview**

Proposals that meet the eligibility requirements will be scored and ranked with respect to three components as defined in the Offshore Wind Orders.

This RFP employs a scoring system that weights price and non-price factors, for a total of 100 points, as follows:

1. Project Viability: 10 points – Non-Price Evaluation (Section 3.2)
2. New York Economic Benefits: 20 points – Non-Price Evaluation (Section 3.3)
3. Offer Prices: 70 points – Price Evaluation (Section 4.5)

The OREC Scoring Committee will award points for the non-price evaluation components of each Proposal (Project Viability and New York Economic ). In conducting this evaluation, NYSERDA and the OREC Scoring Committee will consult with Specialist Reviewers, including representatives of other New York State agencies.

### **3.2 Project Viability**

The Project Viability evaluation considers a series of factors that demonstrate whether each proposed Project(s) can reasonably be expected to be in service on or before the proposed Commercial Operation Date(s) and continue to operate effectively and reliably through the Contract Delivery Term.

To maximize the score received under this scoring component, Proposers must provide evidence that Project development plans are sufficiently mature, technically and logistically feasible, that Proposers have sufficient experience, expertise, and financial resources to execute the development plans in a commercially reasonable and timely manner, that the proposed Project can be developed in a responsible manner, and that Project design considers the goals of New York’s Offshore Wind Standard program as prescribed in Sections 3.2.1 through 3.2.11. Consistent with the terms of the Offshore Wind Orders, receipt of a raw score of zero for Project Viability will render the Project unviable overall and result in rejection of the Proposal. Viability concerns raised by the OREC Scoring Committee may be the subject of counteroffers by NYSERDA proposing modifications to a Proposal in order for the Proposal to avoid a zero score.

Specific categories to be evaluated by the OREC Scoring Committee are described in the following sections. Each Proposal will be scored under each criterion and these scores will be used to assign up to 10 Project Viability points to each Proposal.

#### **3.2.1 Permitting Plan and Status**

Proposers must demonstrate a complete, credible and achievable plan for successfully obtaining necessary permits within the proposed Project milestones. All required federal, regional, state and local permits and approvals must be identified, and the status of each permit or approval must be provided.

Proposers must also describe the extent to which support or opposition to the Project may materially affect the Project's permitting approval timelines.

Proposals will be evaluated based on the degree of certainty offered by the Proposer in securing the necessary permits and approvals, the comprehensiveness of their plan and the reasonableness of the timeline for securing permits and approvals. Projects that already have permits and approvals in hand or have applied for major permits or approvals or have otherwise begun the regulatory filings will be evaluated favorably.

### **3.2.2 Financing Plan**

Proposers must submit a financing plan that demonstrates that they have sufficient scale, financial resources, and insurance for developing the Project, and a credit rating sufficient for Project development. Proposers must demonstrate that they have completed sufficient due diligence regarding the formulation of a credible Financing Plan.

Proposals will be evaluated based on the feasibility and conformance of the Financing Plan to the realities of the current market and whether the Proposer has a debt and equity financing commitment for the Project that will be provided by a creditworthy entity that is likely to be acceptable in form and substance to NYSERDA. A demonstration of recent experience in successfully financing like technology of comparable size and complexity will be evaluated favorably.

### **3.2.3 Developer Qualifications**

The Proposal should describe the Project Team's experience in developing generation and transmission facilities of similar size, technology and complexity and ability to work together effectively to bring the Project to commercial operation in a timely fashion. Proposers must demonstrate that the development team, including the management team, staff, consultants, lawyers, financial advisors and any other named parties that have been retained to develop the project, has sufficient relevant experience and expertise to successfully finance, develop, construct, operate and maintain the Project.

Proposals will be evaluated based on the degree to which the Proposer and principals of the development team have undertaken relevant project management responsibilities, including: (1) successful development, construction, and operation of a similar type of project within or outside of the U.S.; or (2) successful development, construction, and operation of one or more projects of similar size or complexity or requiring similar skill sets, including experience in New York State and experience with development of HVDC transmission. Proposers with more demonstrated experience in these areas will be evaluated favorably.

### **3.2.4 Proposed Technology**

Proposers must demonstrate that the proposed technology is technically viable, and that the Primary Components can be procured to meet the required development schedule. Technical viability may be demonstrated by showing that the technology is commercially available, is reasonably expected to be commercially available prior to the commencement of Project construction or has been used successfully on other similar projects in commercial operation within or outside the U.S. The Proposal

must also provide a reasonable timeline and plan for procuring the Primary Components from identified suppliers.

Proposals that demonstrate how climate impact assumptions, including both direct and indirect impacts, have been used to inform the selected technologies, designs, construction and operational features of the Project, including both offshore and onshore assets, will be evaluated favorably. This could include use of scenario exercises to identify potential system weaknesses that could result in cascading negative impacts. Proposers should clarify how specific features strengthen any or all of the following attributes of resilience: robust, integrated, redundancy and flexibility. Proposers may also demonstrate how selected resilience features provide value to the Project. Proposers are encouraged to reference the [Offshore Wind Climate Adaptation and Resiliency Study](#).

### **3.2.5 Development and Logistics Plan**

Proposers must demonstrate the logistical viability of the Project through a construction plan covering the necessary specialized construction equipment (e.g., vessels), and applicable maritime law (e.g., Jones Act compliance) to complete Project development. Proposer must demonstrate that it has a plan to secure marine terminal facilities necessary for staging and deployment of Primary Components to the Project site.

Proposals that include more detail, including identification and contracting status of vendors, marine terminal facilities and specialized vessels, will be evaluated favorably.

### **3.2.6 Interconnection and Deliverability**

Proposers must demonstrate that the proposed interconnection plan is technically viable and can be implemented on a timeline that is consistent with meeting the overall development schedule and proposed Commercial Operation Date(s). Proposals that have a more advanced interconnection status will be evaluated favorably.

NYSERDA requires HVDC and Meshed Ready Proposals for the value of future optionality and grid flexibility as described in Appendix G and further elaborated on in the PSC Order on Power Grid Study Recommendations. Alternate Proposals that utilize these design elements even when not required due to cable routing (as described in Section 2.1.7) will be evaluated favorably. All Required and Alternate Proposals are prohibited from using HVAC cables of any kind whatsoever, including connecting a converter station to a point of interconnection through the Narrows. HVAC cables of any kind, including connecting a converter station to a point of interconnection are prohibited in the section of the East River between the Brooklyn and Throgs Neck Bridges, and the section of the Hudson River north of Battery Park, except in cases where the Proposer demonstrates that there is adequate remaining right of way to install at least two more marine OSW HVDC cables, beyond those already planned under existing NYSERDA contracts at the time of Proposal submission, in the same restricted areas as the proposed HVAC cable.

To enable the evaluation of the Interconnection and Deliverability Plan, as stated in Appendix B, Proposer must grant to NYSERDA the right to share with NYISO, adjacent RTOs, and owners of transmission facilities, as applicable, confidential information about any Proposal submitted by the

Proposer. Proposer must also authorize NYISO, adjacent RTOs, and owners of transmission facilities, as applicable, to release information to NYSERDA that may otherwise be considered confidential under the relevant rules or policies of such organizations. NYSERDA understands that certain aspects of the confidential information that may be requested from NYISO, adjacent RTOs, and owners of transmission facilities may be deemed to be Critical Energy Infrastructure Information (CEII). NYSERDA will adhere to all requirements with respect to access to and distribution of CEII information as may be required by NYISO, adjacent RTOs, or owners of transmission facilities. Proposers may be required to cooperate with NYSERDA and to execute waivers or other documentation necessary for NYSERDA to acquire such information from the relevant RTO. In submitting a Proposal via this RFP, the proposer affirms NYSERDA's right to engage with the NYISO, adjacent RTOs and owners of transmission facilities, as applicable to support the evaluation of its Proposal.

In support of the State's goals to minimize project-on-project risk and achieve the broader Climate Act goals including 100% clean electricity by 2040 and economy-wide decarbonization by 2050, the following elements of Interconnection and Deliverability Plans will be evaluated favorably (where applicable):

- Cable routing and the associated underwater and overland footprint of the radial export cable and cabling between converter stations and points of interconnection that minimizes risks and impacts in support of the eventual delivery of at least 6,000 MW of wind into New York City,
- Implementation of advanced technologies mentioned in the Power Grid Study,
- Maximizing the carrying capacity of each cable routed through constrained areas, and designing cable routing to encourage or not preclude future cabling options,
- Choosing interconnection points that do not exacerbate existing congestion,
- Displacing a higher proportion of emissions due to the proximity to large fossil fuel generators,
- Incorporating Energy Storage, and
- Avoiding onshore cable routing through Disadvantaged Communities.

### **3.2.7 Proposed Commercial Operation Date(s)**

The Proposal must demonstrate that the Project can reasonably be permitted, developed, financed, and constructed within the proposed Project schedule. Proposers must submit reasonable milestones that are achievable, thereby placing the Project on an achievable milestone schedule to support the proposed Commercial Operation Date(s).

Proposals with an earlier proposed Commercial Operation Date for the first (or only) phase of the Project will be evaluated favorably, as long as the proposed Commercial Operation Date is determined to be reasonable and is supported by the overall Proposal, including the Project Schedule submitted by Proposers in accordance with Section 6.4.12.

### **3.2.8 Responsible Development and Stakeholder Engagement**

Proposers must demonstrate a full understanding of the potential impact of the Project on affected stakeholders and present plans to mitigate such impacts.

### **3.2.8.1 Fisheries and Environmental Mitigation**

Proposals will be evaluated based on the completeness of the Fisheries and Environmental Mitigation Plans, the degree to which the Plans demonstrate an understanding of the potential adverse impacts on commercial and recreational fishing and the environment during construction and operation of the Project and how the Plans incorporate best management practices.

Proposals that commit to the use of acoustically “quiet” foundation design or foundation installation technology solutions that reduce acoustic stress to sensitive marine life, beyond the current regulatory standards, will be evaluated favorably.

Proposers with a past performance of superior stewardship with respect to environmental and/or fisheries resources affected by offshore wind development or development of other projects with similar environmental and/or fisheries impacts will be evaluated favorably.

### **3.2.8.2 Stakeholder Engagement**

Proposers must demonstrate, to the extent practical, that they will take specific measures to foster collaboration and cooperation among Project developers, contractors and suppliers, impacted communities, marine users, labor organizations, State and local officials and other stakeholders.

Proposers with a past performance of cultivating productive relationships with stakeholders in the offshore wind industry or industries with similar types of stakeholders and demonstrated excellence in stakeholder reputation, in New York or in other markets, will be evaluated favorably. Proposers who have already conducted stakeholder outreach in regard to the Project will be evaluated favorably.

### **3.2.8.3 Disadvantaged Community Impacts**

Proposers must demonstrate a detailed understanding of the benefits and burdens associated with the Project's development on any hosting and/or proximate Disadvantaged Communities, as identified through engagement with Disadvantaged Communities, and in accordance with the most recent relevant guidance per the [Climate Action Council](#) and [Climate Justice Working Group](#). All Proposers are expected to explore how they can design their Project and associated investments to provide benefits to and reduce burdens on Disadvantaged Communities in accordance with the 2020 CES Modification Order and the Climate Action Council's [Draft Scoping Plan](#).

Proposals will be evaluated based on the level of understanding of impacts on Disadvantaged Communities and the Proposer's approach to minimizing impacts and delivering benefits to Disadvantaged Communities.

Proposers are encouraged to reference Appendix C.3, which describes categories of benefits to Disadvantaged Communities.

### **3.2.8.4 Visibility and Viewshed Impacts**

Proposers must demonstrate an understanding of the Project's visibility from shore and how potential adverse effects on local stakeholders will be addressed, with more stringent approaches expected for Projects proposed to include turbines less than 20 statute miles from the nearest shoreline point.

Proposals that do not include turbines less than 20 statute miles from shore or that provide more comprehensive mitigation of adverse effects will be evaluated favorably.

### **3.2.9 Energy Resource Assessment**

The Proposal must demonstrate the credibility of the energy resource assessment and production and delivery profiles, sufficient to demonstrate the Project's financeability and to support the purported environmental and reliability benefits.

Proposals will be evaluated based on the methodology for collection of the wind data, the completeness of the data, and the consistency with the proposed energy production profile.

### **3.2.10 Repurposing Downstate Fossil Fuel Generation Infrastructure**

Fossil Repurposing Proposals must demonstrate that they can be implemented, including obtaining any applicable regulatory approvals, on the proposed timeline. Fossil Repurposing Proposals must demonstrate how the repurposing improves the timeline, costs, performance, or technical viability of the Proposal as a whole (compared to reasonably available alternative approaches) and aligns with the Project's Commercial Operation Date. The inclusion of a Fossil Repurposing Proposal will impact how Proposals are scored across the Project Viability subcategories, but the Fossil Repurposing Proposal will not be directly scored as its own subcategory.

The Fossil Repurposing Proposal will be evaluated by the OREC Scoring Committee, taking into account analysis that may be conducted by the OREC Scoring Committee, Specialist Reviewers and/or NYSDA Consultants.

The required Fossil Repurposing Proposal contingency plans will also contribute to scoring, in case some or all of the Fossil Repurposing Proposal is delayed or unable to be completed prior to the Project's commencement of operations (for example, if regulatory approvals are not obtained by such time).

#### **3.2.10.1 Fossil Repurposing Proposals that Include Affected Resources**

Any Fossil Repurposing Proposal that includes an Affected Resource must demonstrate that the timeline of the proposed change in generation operations or deactivation is reasonable and aligns with the expected timeline of implementing the Proposal as a whole. For Proposals that rely on such changes or deactivations as a critical element of achieving the overall Proposal timeline, the reasonableness of the proposed timeline for any such changes or deactivations will be closely scrutinized.

As noted in Section 2.1.8, implementation of any Fossil Repurposing Proposal that includes an Affected Resource will be subject to determination by NYISO, the applicable local transmission operator(s) and any other applicable regulatory authorities that the change in generation profile or deactivation does not (i) lead to a violation of the Reliability Rules as defined in the NYISO tariff or other Generation Rules or (ii) cause a net increase in air pollutant emissions, as set forth in Section 12.16 of the Agreement. Accordingly, evaluation of any Fossil Repurposing Proposal that includes an Affected Resource will consider the reasonableness of the timeline for obtaining these determinations from applicable regulatory authorities and the ability to ensure that the repurposing will not cause a net increase in air pollutant emissions.

Any Fossil Repurposing Proposal that includes an Affected Resource will be considered in the context of how the relevant fossil fuel generation is reasonably expected to be replaced. For example, if the repurposing of a fossil fuel plant is reasonably expected to result in additional demand on other downstate fossil generators, Project Viability scoring may be impacted unfavorably.

In the context of rapidly evolving energy infrastructure and technology, it is impossible to predict with certainty what the state of the electric system will be at the time the Fossil Repurposing Proposal is scheduled to be implemented and whether or not the Generation Rules in place at such time will allow an Affected Resource to change its operational profile or deactivate at the time contemplated in the Proposal. Recognizing this uncertainty, and in order to assess the reasonableness of proposed timelines to implement changes in operational profile and deactivation in different Proposals on the same basis, the evaluation will be based on uniform assumptions about the future state of the electric system based on a reasonable assessment of the likely development timelines for new large scale renewable energy generation and storage projects contracted with NYSERDA and other New York State entities and relevant electric transmission and distribution system upgrades.

### **3.2.11 Energy Storage**

As authorized by the Public Service Commission in its Order on Power Grid Study Recommendations, the inclusion of electrical Energy Storage for electrical discharge located in Zone J or K will enable a Proposal to receive additional Project Viability points.

Energy Storage that, through strategic siting and grid location in Zone J or K, provides reliability, resilience, economic, or decarbonization benefits to the electric grid, or improves the utilization of the Project will be evaluated favorably.

## **3.3 New York Economic Benefits**

The New York Economic Benefits evaluation criterion reflects the importance of positive impacts of this OREC procurement on New York State's economy as well as the long-term benefits that a mature, locally-based industry can provide.

This solicitation seeks Incremental Economic Benefits associated with the development of a proposed Project, offshore wind industry activities, optional Energy Storage, and other clean energy and decarbonization investments, as further described in Appendix C.1. Investments may include pilot and demonstration projects that complement proposed offshore wind Projects, including innovative storage projects that are not otherwise eligible as Energy Storage. Specifically, NYSERDA encourages Proposals that provide economic benefits from Clean Electrolytic Hydrogen and play a role in achieving New York's Climate Act obligations.

NYSERDA encourages Proposers to invest in programs that support the development of local businesses and provide quantifiable metrics to assess the Proposer's capacity building efforts, including number and value of contracts completed, number of employees, wages/salaries paid, increase in trade specialties, customer base, and increased revenue.



Economic benefits will be evaluated for purposes of allocating up to a maximum of 20 points. Further detail regarding Economic Benefits Plan submission and evaluation is set forth below and in Appendix C.1.

### **3.3.1 Prioritizing Disadvantaged Communities**

Through this solicitation, NYSERDA seeks to actively support designing the relevant investments made as a result of the awarded Project(s) to provide benefits to and reduce burdens on Disadvantaged Communities in accordance with the 2020 CES Modification Order.

Economic benefits associated with Disadvantaged Communities will receive greater weight in scoring, as described in Section 3.3.5, particularly to the extent that they are included in the Disadvantaged Community Commitments that will be recorded in Section 6.05 of the Agreement. Proposers are encouraged to consult Appendix C.3, which describes categories of benefits to Disadvantaged Communities.

### **3.3.2 Prioritizing MWBE and SDVOB Partnerships**

Proposers are encouraged to recognize NYSERDA's commitment to foster the economic development of New York MWBE and SDVOB suppliers or service providers in the renewable energy industry and clean energy economy.

Economic benefits associated with MWBEs and SDVOBs will receive greater weight in scoring, as described in Section 3.3.5, particularly to the extent that they occur prior to the end of the third year of Project operation and thus are included in the Agreement.

### **3.3.3 New York Jobs and Workforce Plan**

Proposers are encouraged to source labor and build clear career pipelines for job growth in New York State, as well as identify partnerships with workforce partners such as labor unions and labor-management joint training programs.

Economic benefits associated with labor will receive greater weight in scoring, as described in Section 3.3.5, particularly to the extent that they occur prior to the end of the third year of Project operation and thus are included in the Agreement.

### **3.3.4 Economic Benefits Categories**

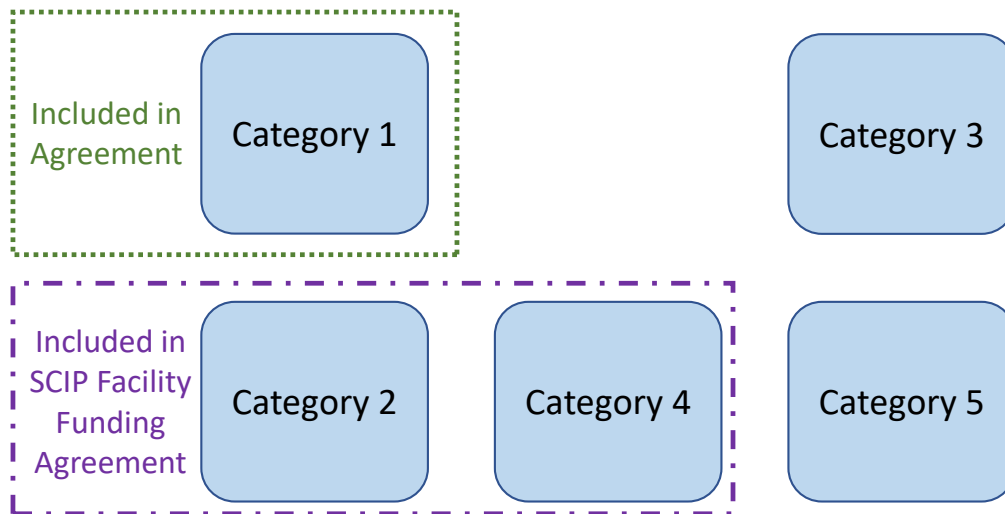
Each Proposal's Economic Benefits Plan will be evaluated for Economic Benefits scoring purposes based on the Economic Benefits within the following categories:

- Category 1: Incremental Economic Benefits associated with Offshore Wind Generation Facilities (including SCIP Related Purchases) and any associated investments (such as Energy Storage) other than capital investments in SCIP Facilities;
- Category 2: Incremental Economic Benefits associated with development and construction of SCIP Facilities; and

- Category 3: Other Economic Benefits not associated with Supply Chain Investment Plans that the Proposer reasonably expects to accrue but does not include in Category 1 and therefore are not included as contractual commitments in the Agreement.
- Category 4: Incremental Economic Benefits associated with operation and maintenance of SCIP Facilities (this category shall be incorporated in the SCIP Facility Funding Agreement(s) but not the Agreement); and
- Category 5: Other Economic Benefits that the Proposer reasonably expects to accrue in connection with the Supply Chain Investment Plan but are not included in Category 2 or Category 4 and therefore are not included as contractual commitments in the SCIP Facility Funding Agreement(s).

Figure 1 illustrates how the Economic Benefits Categories will be incorporated in the Agreement and SCIP Facility Funding Agreements, and the metrics that will form the basis of commitments in each contract. Evaluation of the economic benefits categories is discussed in Section 3.3.5.

*Figure 1: Contracting of Economic Benefits Categories*



**Proposers should note that the definitions of these Economic Benefits Categories have changed from the Category definitions used in ORECRFP20-1.**

### **3.3.5 Economic Benefits Evaluation Considerations**

In conducting its evaluation, the OREC Scoring Committee will consider the detailed descriptions and supporting documentation associated with each claim provided in the Economic Benefits Plan submitted with the Proposal. For evaluation purposes, the OREC Scoring Committee will view favorably those expenditures that are firm, credible and that create persistent and sustainable institutional and/or worker capabilities in New York State.

To facilitate a standardized comparison by the OREC Scoring Committee among Proposals with larger or smaller Offer Capacities, for Category 1 the total of such adjusted claimed expenditures will be unitized by dividing each Proposal’s eligible claims by the Offer Capacity set forth in the Proposal.

For this RFP (ORECRFP22-1), as discussed in Section 2.2.4, NYSDERDA requires a minimum of \$114,000/MW of Offer Capacity worth of iron or steel purchased for the Project to be manufactured in the United States. Accordingly, the minimum amount of Expected U.S. Iron and Steel Dollars that will be entered in the Agreement will be calculated based on \$114,000/MW of Offer Capacity. Commitments to utilize domestic (but not necessarily New York) iron or steel above this minimum will also receive New York Economic Benefits scoring credit.

Claims associated with iron and steel manufactured elsewhere in the United States are the only non-New York economic benefits that will be included in scoring. Claims associated with labor, MWBE and SDVOBs and iron and steel manufactured in New York State will receive greater weight in scoring than claims that do not fall in these subcategories. Claims associated with Disadvantaged Communities will also receive greater weight in scoring, particularly to the extent that they are included in the Disadvantaged Community Commitments that will be recorded in Section 6.05 of the Agreement. Proposers are encouraged to consult Appendix C.3, which describes categories of benefits to Disadvantaged Communities. Claims associated Energy Storage will also receive greater weight in scoring.

Claims that enable job creation and job retention in existing manufacturing, supply chain or associated industries that can support offshore wind or clean energy transition activities will receive greater weight in scoring. Claims that contribute to a just workforce transition should be explicitly identified in the Economic Benefits Plan, New York Jobs and Workforce Plan and Offer Data Form. Proposers should specifically describe commitments to existing workforce retraining, and engagement of New York's skilled labor force in accord with Appendix H. Proposers are encouraged to link support for just workforce transition Economic Benefits Claims with strategies listed in Chapter 7, sections 7.1 and 7.2 of the Climate Action Council's [Draft Scoping Plan](#). Proposals that offer Incremental Economic Benefits ascribable to a Fossil Repurposing Proposal may qualify as part of the just workforce transition. In order to be considered to receive greater weight in scoring, the Fossil Repurposing Proposal must demonstrate the ability to maintain or augment economic benefits otherwise lost due to the Fossil Repurposing Proposal. Such demonstration must address supporting the transition of existing plant workers through retraining and/or retention as further described in Appendix H and may also address preservation of all or a portion of existing PILOT agreements over the Contract Tenor.

Lower scoring weight will be given to claims in Categories 3 and 5 and those occurring after the third year of the Contract Delivery Term, and thus not memorialized in the Agreement as Expected Labor Dollars, Expected MWBE and SDVOD Dollars and Expected U.S. Iron and Steel Dollars. As further described in Section 2.1.4, SCIP Related Purchase claims in Purchase Commitment Proposals will be given a lower weight in scoring because of their conditional nature in the event that an awarded SCIP Facility is ultimately not realized. Each Proposal must indicate if any claims are conditional, or if the Proposer will contractually commit to the associated dollars even if the awarded SCIP Facility is ultimately not realized, in which case the claims will receive full scoring credit.

Table 1 summarizes the types of economic benefits claims which will receive greater or lower scoring weight. All other New York Economic Benefits and U.S. Iron and Steel will receive a baseline scoring

weight. If a specific claim falls under multiple criteria, such as a labor claim benefitting a Disadvantaged Community or a MWBE and SDVOB claim occurring after the third year of the Contract Delivery Term, both weights will be applied.

*Table 1: Economic Benefits Scoring Hierarchy*

<b>Greater Scoring Weight</b>	<b>Lower Scoring Weight</b>
Labor	Not Contractually Committed <ul style="list-style-type: none"> <li>• After third year of Contract Delivery Term or after fifth year of SCIP Facility operation</li> <li>• Conditional SCIP Related Purchases in Purchase Commitment Proposals</li> <li>• Category 3 or Category 5</li> </ul>
MWBEs and SDVOBs	
New York Iron and Steel	
Disadvantaged Communities	
Energy Storage	
Support for Just Workforce Transition	

In Categories 3 and 5, Proposals will be assessed on the scale of the likely impact of the proposed activities and the firmness of the commitments. The OREC Scoring Committee will also recognize and weigh benefits which have long term impacts to reduce cost of electricity to ratepayers or offer decarbonization benefits, particularly in communities disproportionately affected by adverse effects of fossil fuel generation. In evaluating Categories 3 and 5, the OREC Scoring Committee will consider the:

1. nature, quantity and importance of the proposed claims;
2. effectiveness of the approach to developing the proposed claims;
3. supporting documentation to substantiate the nature, firmness and maturity of the commitments;
4. magnitude of potential benefits of proposed claims on a protracted time frame.

For SCIP Proposals, up to 5 out of the 20 Economic Benefits points will be awarded based on the overall strength of the Supply Chain Infrastructure Plan, evaluated as described in Section C.2.B of Appendix C.2, with an emphasis on economic benefits.

Figure 2 and Figure 4 illustrate how the Economic Benefits Categories are incorporated in scoring to award up to 20 New York Economic Benefits points to each Proposal.

Figure 2: Scoring Contribution of Economic Benefits Categories for SCIP Proposals

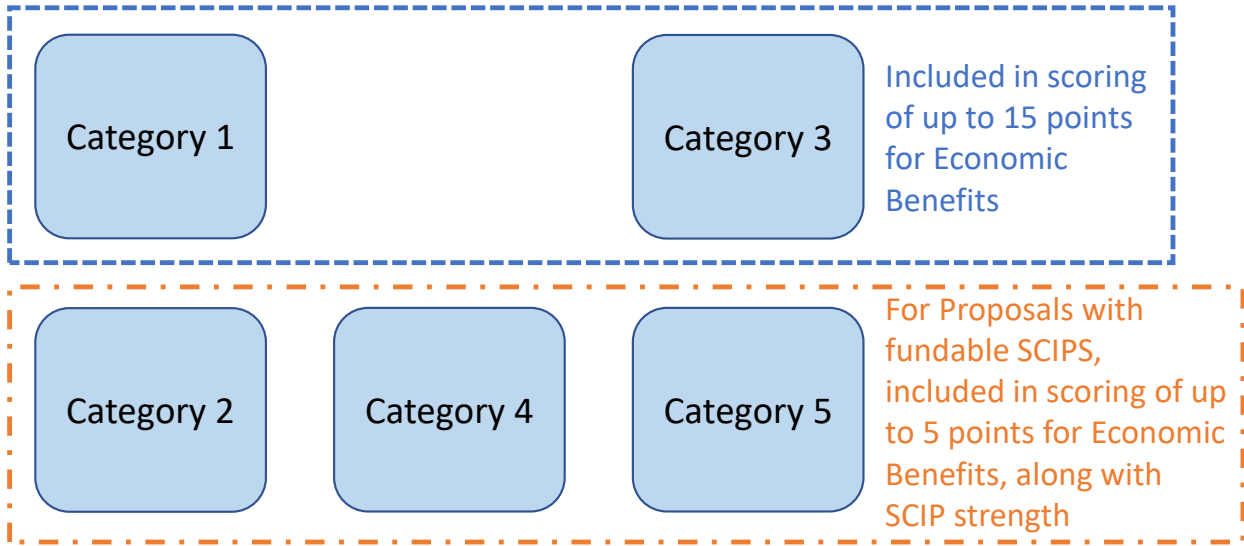


Figure 3: Scoring Contribution of Economic Benefits Categories for Standalone Proposals

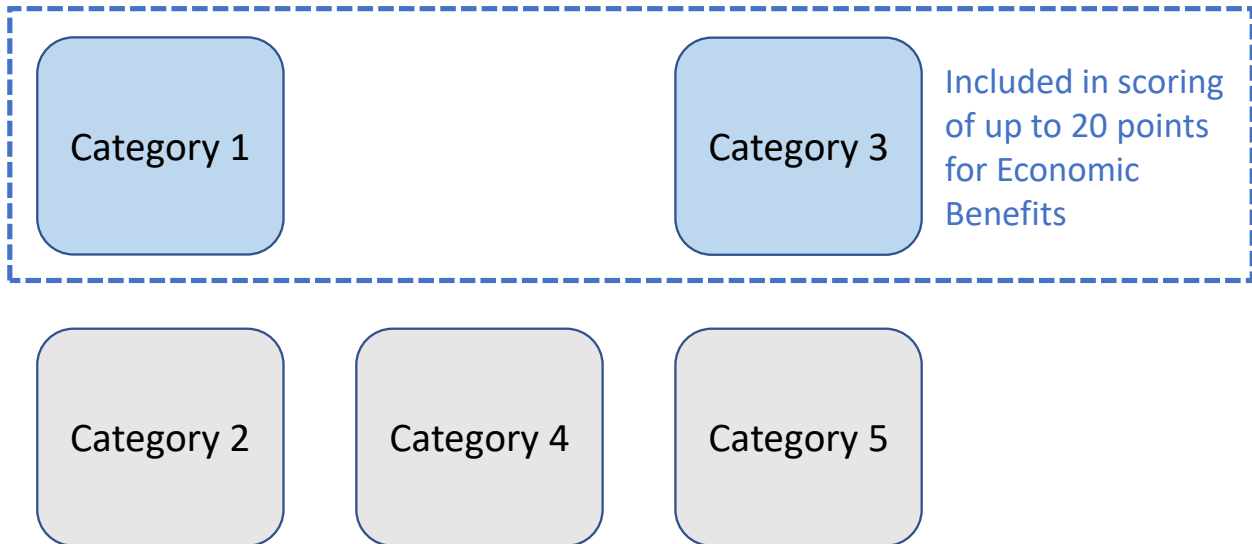
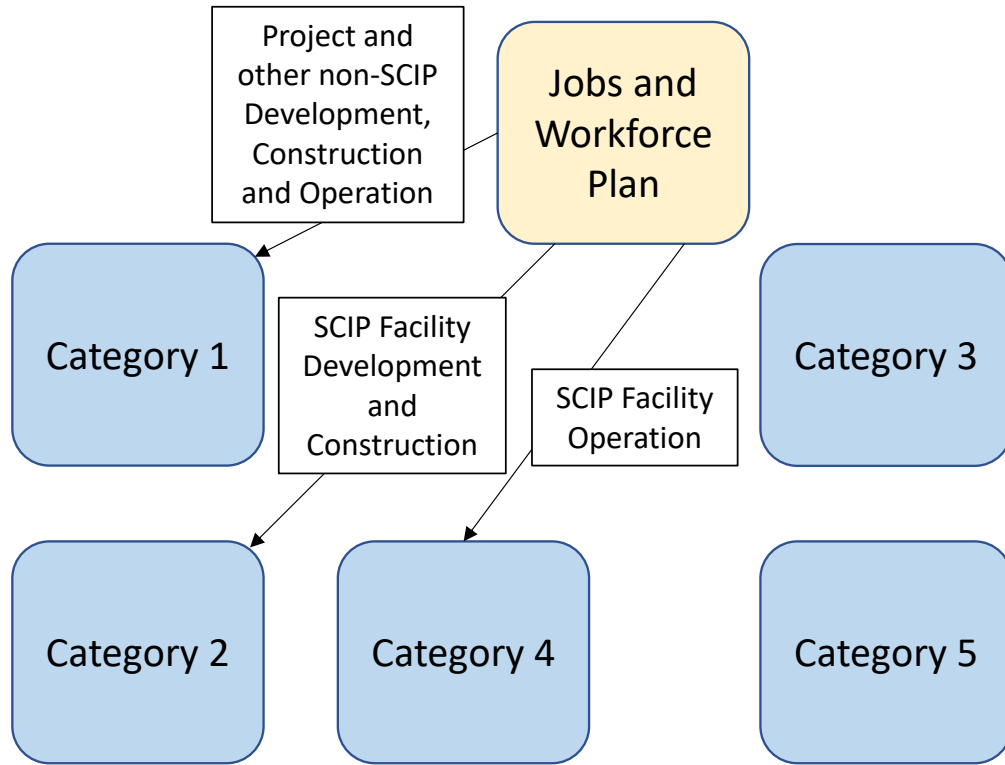


Figure 4: Jobs and Workforce Plan Inclusion in Economic Benefits Categories for SCIP Proposals



## 4 OFFER PRICING STRUCTURE AND PRICE EVALUATION

The offer price required for each Proposal must conform to either the Index OREC or Fixed OREC pricing structure, consistent with Section 2.1.5. Under both pricing structures, the Proposer will submit a level nominal offer price for each Contract Tenor offered. If a Proposal includes multiple Offshore Wind Generation Facilities with different Delivery Points, a separate Index OREC Strike Price or Fixed OREC Price must be submitted for each.

The pricing structure offered in the Proposal, whether the Index OREC or the Fixed OREC, shall remain the Applicable OREC Price Method for the entire Contract Delivery Term, subject to any adjustments provided for in the Agreement.

### 4.1 OREC Products Pricing

#### 4.1.1 Fixed OREC Pricing

Under the Fixed OREC pricing structure, the Monthly OREC Price is equal to the Fixed OREC Price.

$$\text{Monthly OREC Price} = OP^{\text{Fixed}}$$

where:

$$OP^{\text{Fixed}} = \text{Fixed OREC Price (\$/MWh)}$$

#### 4.1.2 Index OREC Pricing

Under the Index OREC pricing structure, the Monthly OREC Price varies monthly during the Contract Delivery Term and is calculated according to the following equation:

$$\text{Monthly OREC Price} = OSP^{\text{Index}} - REP - (RCP \times MF)$$

where:

$$OSP^{\text{Index}} = \text{Index OREC Strike Price (\$/MWh)}$$

$$REP = \text{Reference Energy Price (\$/MWh)}$$

$$RCP = \text{Reference Capacity Price (\$/MWh)}$$

$$MF = \text{Mitigation Factor (\%), defined in Section 4.03 of the Agreement}$$

NYSDA will calculate the Reference Energy Price and Reference Capacity Price for each month according to Section 4.03 of the Agreement. The Monthly OREC Price will be calculated during a settlement period following the conclusion of each month according to Section 4.04 of the Agreement.

The calculation of each month's Reference Capacity Price will be based on a Reference UCAP Price, as defined in Section 4.03 of the Agreement. The Reference UCAP Price is converted to its \$/MWh equivalent, the Reference Capacity Price, through the following equation:

$$RCP = \frac{RUP \times UPF \times IC \times 1,000}{MDE} \times \frac{CAF}{\text{Average PLW Capacity Factor of Representative Unit}}$$

where:

*RUP* = Reference UCAP Price (\$/kW-month)

*UPF* = UCAP Production Factor (decimal fraction)

*IC* = Installed capacity (ICAP) of the generator (MW)<sup>12</sup>

*MDE* = Metered delivered energy

*1,000* = kW to MW conversion factor

*CAF* = Capacity Accreditation Factor for the resource's Capacity Accreditation Resource Class

*Average PLW Capacity Factor of Representative Unit* = Capacity Factor during Capability Period Peak Load Window hours of the Representative Unit for the Project's Capacity Accreditation Resource Class

The UCAP Production Factor multiplied by the Project's installed capacity and the ratio of the Capacity Accreditation Factor to the Peak Load Window capacity factor of the Representative Unit in the Project's Capacity Accreditation Resource Class is a proxy for the NYISO UCAP in MW. The Capacity Accreditation Factor(s) and the Representative Unit Peak Load Window Capacity Factor(s) will be specified annually by NYISO over the contract term. The UCAP Production Factor will be specified separately for a Winter Capability Period (November through April) and a Summer Capability Period (May through October). These fixed seasonal UCAP Production Factors will be utilized for the duration of the contract tenor. Any winter and summer UCAP Production Factor values between 0 and 1 are allowed.

NYSERDA is actively monitoring NYISO's implementation of the capacity accreditation rules described in the petition filed with the Federal Energy Regulatory Commission on January 5, 2022 (Docket No. ER22-772) and approved on May 10, 2022. NYSERDA's approach to implementation of NYISO's new capacity accreditation rules, which will go into effect on May 1, 2024, is reflected in the Reference Capacity Price formula presented above and included in the Agreement, the rationale for which is described in Request for Information [LSRRFI22-1](#). However, NYSERDA reserves the right to revise ORECRFP22-1 and/or to provide Proposers with an opportunity to submit updated pricing if new relevant material information becomes available prior to or after the Proposal Submission Deadline.

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<sup>12</sup> Offer Capacity for evaluation purposes, Operational Installed Capacity for settlement purposes.



## **4.2 Price Adjustments**

Section 5 of the Agreement describes a number of potential adjustments to the Index OREC Strike Price or the Fixed OREC Price. This section describes the adjustments that will be reflected in the price evaluation of submitted Proposals.

### **4.2.1 Interconnection Cost Adjustment**

There are two components to the adjustment of the Index OREC Strike Price or the Fixed OREC Price related to interconnection costs: savings sharing and cost sharing.

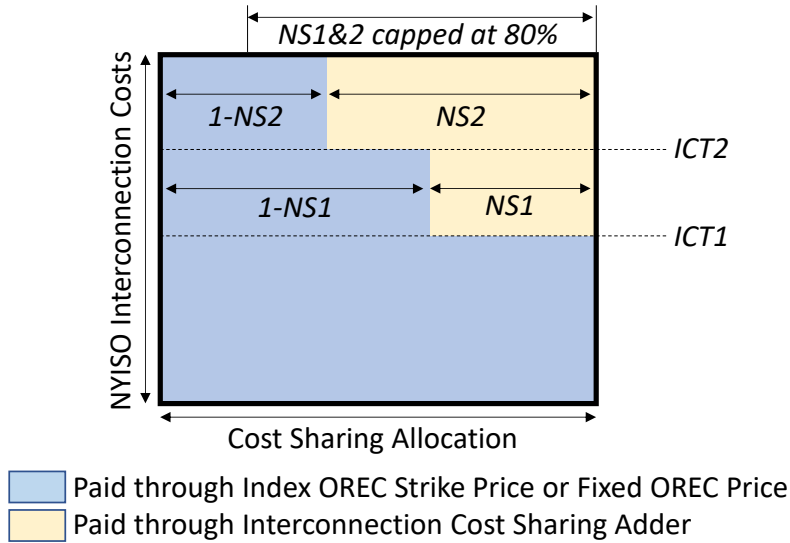
The value for the Interconnection Cost Allocation Baseline that will be reflected in Section 5.04 of the Agreement will be the estimated expected value for the NYISO Interconnection Cost Allocation submitted by the Proposer for the Project as entered in the Offer Data Form, unless modified as further described below.

NYSERDA's Specialist Reviewers and subject matter experts will review the submitted value, associated confidence intervals and any supporting information regarding the derivation of those values in conjunction with other available information. NYSERDA may modify the Interconnection Cost Allocation Baseline value based on the results of this review. In such case, NYSERDA will inform the Proposer of the revised Interconnection Cost Allocation Baseline value that will be reflected in Section 5.04 of the Agreement, and the Proposer will have a one-time opportunity to update its Index OREC Strike Price or Fixed OREC Price in accord with the final Interconnection Cost Allocation Baseline value.

All Proposals are subject to Interconnection Savings Sharing in the event that Interconnection Net Savings occur as further described in Section 5.04 of the Agreement. Interconnection Net Savings are calculated as the difference between the Interconnection Cost Allocation Baseline and the Interconnection Cost Allocation, less any costs the Project has already expended on the initial Injection Point and that the Project has incurred as a result of changing its Injection Point from that submitted in the Proposal. The Index OREC Strike Price or Fixed OREC Price will be reduced based on unitization of NYSERDA's Interconnection Savings Share, calculated as the greater of (i) 80% of the Interconnection Net Savings and (ii) Interconnection Net Savings minus \$50,000,000. This adjustment will be applied only following the finalization of the Project's Interconnection Cost Allocation; it is not relevant for evaluation purposes.

For Alternate Proposals in which Proposers opt to include Interconnection Cost Sharing, the Index OREC Strike Price or Fixed OREC Price will be increased to account for NYSERDA's Interconnection Cost Share as determined by applying the Interconnection Cost Sharing inputs selected by the Proposer in the Offer Data Form to the Interconnection Cost Allocation. Proposers will select two Interconnection Cost Threshold values (ICT1 and ICT2) and two NYSERDA Share values (NS1 and NS2), as illustrated in Figure 5.

Figure 5: Interconnection Cost Sharing Illustration



The adder to the Index OREC Strike Price or the Fixed Index Price will be calculated as follows:

ICSA = Interconnection Cost Sharing Adder (Nominal \$/MWh)

$$= \frac{AICSR}{AOQP_{50}}$$

AOQP<sub>50</sub> = P50 Annual OREC Exceedance (MWh/year)

AICSR = Annual Interconnection Cost Sharing Recovery (Nominal \$/year)

$$= NSIC \times AF(DR, CT)$$

AF(DR,CT) = Annuity factor using the DDR (5.98%, nominal) for the Contract Tenor

NSIC = NYSERDA Share of Interconnection Cost paid through the ICSA (Nominal \$)

$$= \min(\max(0, IC - ICT1), ICT2 - ICT1) \times NS1 \\ + \max(0, IC - ICT2) \times NS2$$

IC = Interconnection Cost Allocation (Nominal \$)

ICT1 = Interconnection Cost Threshold 1 (Nominal \$, up to which Proposer absorbs 100% and NYSERDA absorbs 0% of the interconnection cost up to this value)

ICT2 = Interconnection Cost Threshold 2 (Nominal \$, Proposer absorbs (1-NS1) and NYSERDA absorbs NS1 of the interconnection cost greater than ICT1 up to this value, Proposer absorbs (1-NS2) and NYSERDA absorbs NS2 of the interconnection cost greater than this value)

NS1 = NYSERDA Share (via the ICOSA) of interconnection cost between ICT1 and ICT2 (capped at 80%)

NS2 = NYSERDA Share (via the ICOSA) of interconnection cost greater than ICT2 (capped at 80%)

#### 4.2.2 Inflation Adjustment

For Alternate Proposals in which Proposers opt to include Inflation Adjustment, the Index OREC Strike Price or Fixed OREC Price will be adjusted to account for inflation between the Proposal Submission Deadline and BOEM approval of the Project’s Construction and Operations Plan (COP). The adjustment, governed by Section 5.03 and Exhibit Q of the Agreement, will be based on a composite index comprised of values for labor, fabrication materials, steel, fuel and copper. The weighting for each commodity or component in the composite index is fixed and cannot be adjusted by the Proposer. The Index OREC Strike Price or Fixed OREC Price for the Inflation Adjusted Proposal will be calculated as:

$$\begin{aligned}
 OREC_{adj} = OREC_{bid} & \\
 & \times \left( 0.2 + 0.3 \times \frac{Index_{T,Labor}}{Index_{B,Labor}} + 0.25 \times \frac{Index_{T,Fabrication}}{Index_{B,Fabrication}} \right. \\
 & \left. + 0.10 \times \frac{Index_{T,Steel}}{Index_{B,Steel}} + 0.10 \times \frac{Index_{T,ULSD}}{Index_{B,ULSD}} + 0.05 \times \frac{Index_{T,Copper}}{Index_{B,Copper}} \right)
 \end{aligned}$$

where:

$OREC_{adj}$  is the Index OREC Strike Price or Fixed OREC Price after adjustment

$OREC_{bid}$  is the Index OREC Strike Price or Fixed OREC Price as submitted with the Proposal

$Index_B$  (for each commodity or component) is the price or unitless index at the time of the Proposal Submission Deadline

$Index_T$  (for each commodity or component) is the price or unitless index at the time of the Project’s COP approval

Table 2 identifies the publicly available US Bureau of Labor Statistics (BLS) Producer Price Index (PPI), Employment Cost Trend Index, or transparent market price that will be used for each commodity or component.

Table 2: Indices Used in Inflation Adjustment

Commodity or Component	Units, Frequency	Data Source
Labor	Unitless index, quarterly	U.S. BLS, Employment Cost Trends, Data Series CIU2020000000000I, Wages and salaries for Private industry workers in All industries and occupations, Index, not seasonally adjusted <a href="https://beta.bls.gov/dataViewer/view/timeseries/CIU2020000000000I">https://beta.bls.gov/dataViewer/view/timeseries/CIU2020000000000I</a>
Fabrication and machinery materials	Unitless index, monthly	U.S. BLS, PPI, Data Series PCU811310811310, Commercial machinery repair and maintenance <a href="https://beta.bls.gov/dataViewer/view/timeseries/PCU811310811310">https://beta.bls.gov/dataViewer/view/timeseries/PCU811310811310</a>
Steel	Unitless index, monthly	U.S. BLS PPI, Data Series PCU331110331110, Iron and steel mills and ferroalloy mfg, not seasonally adjusted <a href="https://beta.bls.gov/dataViewer/view/timeseries/PCU331110331110">https://beta.bls.gov/dataViewer/view/timeseries/PCU331110331110</a>
New York Harbor Ultra-Low Sulfur No 2 Diesel Spot Price	\$/gal, daily	U.S. Energy Information Administration, Petroleum & Other Liquids Data <a href="https://www.eia.gov/dnav/pet/PET_PRI_SPT_S1_D.htm">https://www.eia.gov/dnav/pet/PET_PRI_SPT_S1_D.htm</a> , daily price for last trading day of the month
Copper	Cents per lb, daily	COMEX, spot price on last trading day of month for prompt month <a href="https://comexlive.org/copper/">https://comexlive.org/copper/</a>

For each commodity or component,  $Index_B$  is the average of the last six months or two quarters of published data available prior to the Proposal Submission Deadline. For informational purposes only, Table 3 presents the values for  $Index_B$  with data available as of the issuance of ORECRFP22-1. NYSERDA will publish the final  $Index_B$  values that will be used in the Agreement prior to the Proposal Submission Deadline.

Table 3: Commodity Inflation Indices as of ORECRFP22-1 Revised Issuance Date

Commodity Index	Value
$Index_{B,Labor}$	153.000
$Index_{B,Fabrication}$	169.791
$Index_{B,Steel}$	353.730
$Index_{B,ULSD}$	3.873
$Index_{B,Copper}$	380.283

$Index_T$  for each commodity or component will be calculated as the average of the monthly or quarterly values for the six-month period comprising the three months prior to and following the COP Approval.

OREC<sub>adj</sub> will therefore be calculated when the published monthly prices or indices become available, but no earlier than 6 months after the selected Proposer's receipt of COP Approval.<sup>13</sup>

### **4.3 Settlement Mechanism**

To calculate the amount payable to Seller, the Monthly OREC Price will be multiplied by the number of ORECs produced from Actual Eligible Production in the prior month and delivered into NYSERDA's NYGATS account. These payments will be calculated after the close of each calendar month during the Contract Delivery Term. During each month's settlement period, NYSERDA will only purchase ORECs such that the cumulative ORECs purchased in the active Contract Year do not exceed the Annual OREC Cap. The Annual OREC Cap is 1.1 multiplied by the P10 Annual Exceedance Estimate, which may be adjusted prior to Commercial Operation, per Section 2.01(e) of the Agreement.

In the case of a negative Monthly OREC Price, the associated payment from Seller to NYESRDA will not be cash-settled on a month-by-month basis. Instead, the amount owed from Seller to NYSERDA will accrue as a debit to be deducted from each subsequent monthly payment until fully recovered. If, due to sustained negative OREC prices, any such debit goes unrecovered for twelve months, Seller shall pay the unrecovered amount to NYSERDA in cash as described in Section 4.05 of the Agreement.

#### **4.3.1 Meshed Network Integration and Adjustment**

OREC pricing and contract terms for this solicitation are based on a singular Delivery Point for Projects designed with radial interconnection and a Meshed Ready design. NYSERDA acknowledges the potential need for changes to the existing OREC settlement mechanism as a result of a Project being recommended for Meshed Network interconnection by the New York State Public Service Commission. NYSERDA agrees to implement changes to the Agreement if and when such interconnections are confirmed. Projects awarded in this solicitation will be part of New York's growing portfolio and will inevitably be part of an evolving transmission system, including the option to integrate offshore wind projects into a Meshed Network or other transmission system that supports potential multiple injections.

As set forth in Section 5.06 of the Agreement, prior to a Project being connected to a Meshed Network, NYSERDA and the Proposer shall negotiate to amend the pricing provisions of the Agreement to ensure that the Project's economic value is not reduced for reasons attributable to the implementation of the Meshed Network and that any additional economic value that accrues from Meshed Network implementation are passed through to ratepayers. Section 5.06 of the Agreement also includes provisions related to: (1) schedule and/or pricing changes to account for delays or reasonably expected increases or decreases in Project cost due to design changes determined to be necessary by NYSERDA, (2) extension of the Outer Limit Date if commencement of Project operation is delayed by Meshed

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<sup>13</sup> There is a lag of two months or more from the end of a month to the issuance of a BLS PPI index. The PPI indices are considered preliminary and may be updated by BLS up to four months after publication. The adjusted Index OREC Strike Price or Fixed OREC Price will not be finalized until the final PPI values are published by BLS.

Network implementation, and (3) compensation for downtime resulting from Meshed Network implementation.

#### 4.4 Offer Price Evaluation Metric

The offer pricing evaluation will be conducted by NYSERDA and NYSERDA Consultants. A quantitative method will be applied to all offers in order to screen and rank the pricing offers using a uniform cost metric. For evaluation purposes, each Index OREC Strike Price and Fixed OREC Price offer will be converted to a Levelized Net OREC Cost (LNOC) in base year \$/MWh. The LNOC price measure allows for an equitable comparison among Proposals with different expected OREC quantities over time.

The LNOC for Proposal  $p$  using pricing structure  $s$  is the quotient of the cumulative present value of the annual net OREC costs for each calendar year over the proposed Contract Tenor, divided by the cumulative present value of the projected annual number of ORECs produced from Actual Eligible Production over the same calendar years. The annual quantities are discounted at a real discount rate. The resulting quotient is expressed in base year dollars per OREC or MWh.

$$LNOC_p = PVNOC_p / PVOQ_p$$

where:

$PVNOC_{p,Fixed}$  = PV of Net OREC Cost for Proposal  $p$ , pricing structure Fixed (\$ PV)

$$= \sum_{y=COD_p}^{y=COD_p+CT_p} \left\{ \sum_{m=1}^{m=12} OP_{p,m,y}^{Fixed} \times OQ_{p,m,y} \right\} \div (1 + NDR)^{(y-Y_b)}$$

$PVNOC_{p,Index}$  = PV of Net OREC Cost for Proposal  $p$ , pricing structure Index (\$ PV)

$$= \sum_{y=COD_p}^{y=COD_p+CT_p} \left\{ \sum_{m=1}^{m=12} (OSP_{p,m,y}^{Index} - RPE_{m,y}^{Pred} - RPC_{m,y}^{Pred}) \times OQ_{p,m,y} \right\} \div (1 + NDR)^{(y-Y_b)}$$

$PVOQ_p$  = PV of OREC delivery quantities for Proposal  $p$  (MWh)

$$= \sum_{y=COD_p}^{y=COD_p+CT_p} \left\{ \sum_{m=1}^{m=12} OQ_{p,m,y} \right\} \div (1 + RDR)^{(y-Y_b)}$$

$OQ_{p,m,y}$  = OREC delivery quantity for Proposal  $p$  applicable to month  $m$  of calendar year  $y$  (OREC or MWh)

$RPE_{m,y}^{Pred}$  = Predicted Reference Energy Price index for month  $m$  in calendar year  $y$  (nominal \$/MWh)

$RPC_{m,y}^{Pred}$  = Predicted Reference Capacity Price index for month  $m$  in calendar year  $y$  (nominal \$/MWh)

$COD_p$  = Calendar year associated with the expected Contract Delivery Term commencement date for Proposal  $p$  (for multi-phase Projects, this calculation will be applied to each phase)

$CT_p$  = Contract Tenor for Proposal  $p$

$NDR$  = Nominal Discount Rate (decimal)

$INF$  = Inflation Rate (decimal)

$RDR = (1 + NDR) / (1 + INF) - 1$  = Real Discount Rate

$Y_b$  = Base year for cost and PV

A nominal discount rate of 5.98%<sup>14</sup> per year and a long-term inflation rate assumption of 2.40% per year will be used in the LNOC calculation procedure.

For price evaluation purposes only, regardless of the Proposal's proposed Commercial Operation Date, all phases of all Proposals will be evaluated with a Contract Delivery Term commencement year of 2028, and therefore a  $COD_p$  of 2028. For purposes of the price evaluation, the MF value is assumed to be 100%. If a Proposal includes multiple Offshore Wind Generation Facilities with separate prices, the LNOC will be calculated based on the combined PVNOC and PVOQ.

For the Index OREC pricing structure, Index OREC Strike Prices will be converted into expected annual OREC values by subtracting a forecast of expected Reference Energy Prices and Reference Capacity Prices from the strike prices, based on NYSERDA's forecasts of energy and capacity prices. Neither the price forecasts nor details of the modeling procedures will be disclosed to Proposers.

For evaluation of Alternate Proposals that include Interconnection Cost Sharing, the Proposer's Interconnection Cost Sharing parameters and other information available to NYSERDA will be used to determine a risk-adjusted estimate of the Project's Interconnection Cost Allocation that will result in an adder to the Index OREC Strike Price or Fixed OREC Price. This risk-adjusted estimate will be determined by NYSERDA based on the estimate of expected NYISO Interconnection Cost Allocation and confidence intervals submitted by the Proposer and associated Specialist Reviewer evaluation, and the expected Interconnection Cost Allocation for purposes of Proposal evaluation may not be the same as the Interconnection Cost Allocation Baseline value.

For evaluation of Alternate Proposals that include Inflation Adjustment, a multiplier representing NYSERDA's expectation of the inflation for the identified indices between the Proposal Submission Deadline and the estimated date of COP Approval for a Project with a  $COD_p$  of 2028 will be applied to the Index OREC Strike Price or Fixed OREC Price to determine the total price used in the evaluation.

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<sup>14</sup> The discount rate for Offer Price evaluation (DISCO Discount Rate or DDR) was established by the New York State Department of Public Service Office of Accounting, Audits and Finance, revised February 8, 2022.

If a Proposal includes both Interconnection Cost Sharing and Inflation Adjustment, the Inflation Adjustment multiplier will be applied before the Interconnection Cost Sharing Adder to determine the total price used in the evaluation.

#### **4.5 Offer Price Scoring**

For purposes of cost containment, Benchmark LNOCs will be derived for both the Index OREC and the Fixed OREC. NYSERDA will employ Benchmark LNOCs in the offer evaluation process that support the consideration of and potential disqualification for award of all Proposals that exceed the applicable Benchmark LNOC. For purposes of this procurement, the Benchmark LNOC is synonymous with the “Maximum Acceptable Offer Price Metric” used in NYSERDA’s Tier 1 procurements. The calculation method will materially differ, however. NYSERDA retains the right to reject any and all Proposals that exceed the applicable Benchmark LNOC. Use of the Benchmark LNOCs will support a reasonable balance between encouraging investment in new offshore wind projects and protecting ratepayer interests from the incurrence of any deadweight costs associated with accepting a Proposal at any price.

In deriving the Benchmark LNOC, NYSERDA will consider a number of factors, both positive and negative, which may include: different hedge efficiency attributes related to the PPA structure used in New England versus the Index or Fixed OREC structure; geotechnical and physical considerations; local spend considerations in New York State, including labor; transmission interconnection and deliverability criteria; the market value of energy and/or capacity; environmental mitigation costs; Project size; and Project timing. In formulating benchmark prices, NYSERDA may add or subtract from the list of additional cost considerations.

Proposals with a Fixed or Index LNOC higher than the applicable Benchmark LNOC will not be eligible for an award. NYSERDA has the authority to reject any or all Proposals, at any time, taking into account not only the Benchmark LNOCs but also recent auctions and market conditions.

Eligible Proposals with a Fixed or Index LNOC below the applicable Benchmark LNOC will have their LNOC values converted into points. The Proposal with the lowest LNOC will receive the maximum 70-point score and higher LNOC offers will receive lower scores. NYSERDA will implement a method designed to cause the scores of Proposals with higher LNOCs to be sufficiently dispersed below the maximum of 70 points such that the final score that aggregates price, viability, and economic benefits retains the intended scoring emphasis on price to a reasonable extent.

NYSERDA also reserves the right to solicit revised Offer Prices and/or to make counteroffers as it deems appropriate. In such case, NYSERDA will provide written notice to Proposer’s Authorized Agent(s), as identified in the Proposal and Appendix B, Proposer Certification Form. Proposer’s Authorized Agent(s) must have executed the Proposer Certification Form to respond and to commit to counteroffers on behalf of Proposer.



## **5 PRELIMINARY RANKING, PORTFOLIO EVALUATION, AND FINAL AWARD GROUP**

### **5.1 Preliminary Rank Order**

Proposals will be separated into two groups, based on whether or not each Proposal includes a Supply Chain Investment Plan. Proposals that consist only of Upgrade Capacity will be included in the same two groups, depending on whether they do or do not include a SCIP, and considered on the same basis as Proposals that include new Projects.

#### **5.1.1 Preliminary Rank Order for Required Base Proposal and Alternate SCIP Proposals (Preliminary SCIP Rank Order)**

All SCIP Proposals will be compared in the Preliminary SCIP Rank Order.

Any Proposal for which the associated Supply Chain Investment Plan is determined to be “not fundable” will be deemed ineligible for an OREC contract award and not included in the Preliminary SCIP Rank Order. Based upon the terms of evaluation detailed in Sections 3 and 4, the calculated scores for the Project Viability, New York Economic Benefits, and Offer Pricing components of the Proposal scoring system will be summed. The Proposals will then be ranked by their total scores as a preliminary step in selection. NYSERDA expects that one Proposal will be selected for award from the Preliminary SCIP Rank Order, as described in Sections 2.1.2 and 2.1.4. NYSERDA may conclude, however, in its sole discretion, that awarding a Proposal that includes a Supply Chain Investment Plan submitted through this RFP is not the preferred way for New York State to meet its supply chain investment targets, or that selection of more than one Supply Chain Investment Plan through this RFP is the preferred way to meet New York State’s supply chain investment needs. If two or more Proposals in the Preliminary SCIP Rank Order are mutually exclusive, for example because they include overlapping lease area space or have the same Injection Point and/or Delivery Point which cannot accommodate both Proposals, the lower ranking Proposal will be removed from consideration, subject to Section 5.2.

If a SCIP Proposal selected for award includes a SCIP Facility that is conditional on a minimum offtake volume and the minimum offtake volume is not met after Proposals are selected from the Preliminary Standalone Rank Order (see Section 5.1.2), the conditional SCIP Proposal will be removed from the award group.

#### **5.1.2 Preliminary Rank Order for Required Standalone Proposal and Alternate Standalone Proposals (Preliminary Standalone Rank Order)**

Standalone Proposals will be compared in the Preliminary Standalone Rank Order that will be considered for award after, as described in Section 5.1.1, NYSERDA has concluded its selection of Proposals that include a Supply Chain Investment Plan or NYSERDA concludes, in its sole discretion, that awarding a Proposal that includes a Supply Chain Investment Plan submitted through this RFP is not the preferred way for New York State to meet its supply chain investment targets.

Only those Purchase Commitment Proposals that align with the attributes of SCIP Facilities that are included in an awarded SCIP Proposal (whether specific SCIP Facilities or SCIP Facilities with specific Proposed SCIP Facility Activities) will be considered for award.

For clarity, the Standalone Proposals will be evaluated subject to the terms of Sections 3 and 4, excluding those elements that pertain to the evaluation of Supply Chain Investment Plans.

If a Standalone Proposal is mutually exclusive with either (i) a SCIP Proposal included in the Preliminary SCIP Award Group or (ii) a higher-ranking Standalone Proposal, for example because they include overlapping lease area space or have the same Injection Point and/or Delivery Point which cannot accommodate both Proposals, the Standalone Proposal that conflicts with the SCIP Proposal or higher-ranked Standalone Proposal will be removed from consideration, subject to Section 5.2.

Proposals selected for award from the Preliminary SCIP Rank Order and the Preliminary Standalone Rank Order shall constitute the Preliminary Award Group. NYSERDA reserves the right to determine the size of the Preliminary Award Group in its sole discretion.

## **5.2 Consideration of Commission and New York State Guidance and Policy**

NYSERDA may elect to modify the Preliminary Award Group in the event that the makeup of the Preliminary Award Group is materially inconsistent with Commission or other New York State guidance or policy (such as the New York State Power Grid Study's Offshore Wind Study and Zero Emissions Study) published prior to the receipt of bids regarding the following program policy factors:

- The efficient utilization of transmission points of interconnection and Project selections that will promote the cost-efficient integration of at least 9 GW of offshore wind;
- Preservation of future pathways to integrate at least 9 GW of offshore wind with efficient use of limited ocean rights of way;
- Reduction of execution risk through portfolio diversity;
- System benefits with respect to grid reliability and optimization.

**Proposers are encouraged to address the above program policy factors in their Proposals to the extent applicable.** NYSERDA reserves the right, at its discretion, to contact Proposers regarding the above program policy factors and to potentially seek clarifications and/or adjustments to Proposals that would avoid removing a Proposal from the award group on this basis.

## **5.3 Award Group**

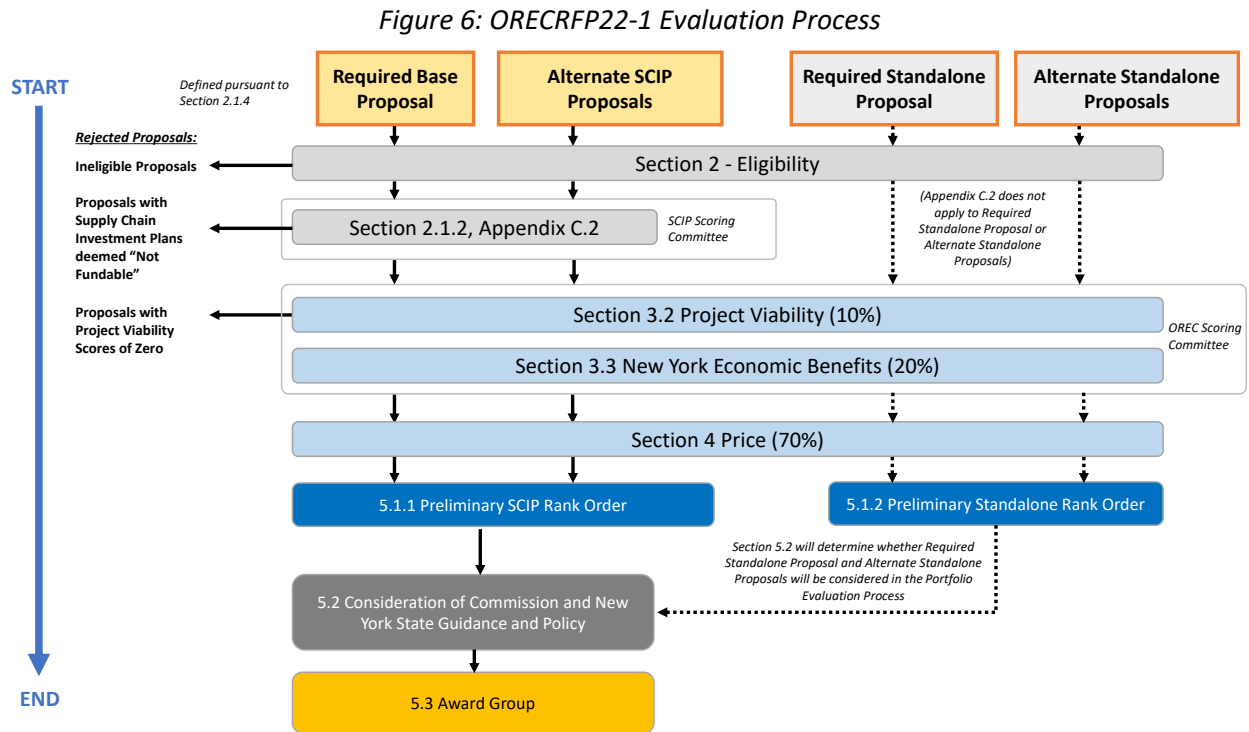
The initial award group will be comprised of the Preliminary Award Group determined in accordance with Section 5.1 as modified (if at all) in accordance with Section 5.2. NYSERDA reserves the right to determine the size of the award group in its sole discretion.

NYSERDA will notify the initial awardees in writing and may also provide notification via phone call or videoconference. The date upon which NYSERDA provides such written notification shall be the initial Award Notification Date.

Selection for an initial award does not give the Proposer any legal right or entitlement. Once selected for initial award, Proposers must negotiate a final version of the Agreement with NYSERDA. See Sections 6.6 and 7.

NYSERDA may also establish a waitlist of Proposals beyond those Proposals offered an initial award. Proposals represent offers to contract and must remain open for a period of at least 180 days from the Proposal Submission Deadline indicated in Section 1.3.

The foregoing evaluation process is summarized in Figure 6 below.



**NYSERDA RESERVES THE RIGHT TO REJECT OR ACCEPT ANY OR ALL PROPOSALS.**

## 6 INSTRUCTIONS TO PROPOSERS

### 6.1 Preparation of Proposals

Each Proposer shall have sole responsibility for reviewing this RFP and all attachments hereto and for investigating and informing itself with respect to all matters pertinent to this RFP, including the [NYGATS Operating Rules](#) and NYISO's Open Access Transmission Tariff (OATT) and market rules, and those of the Control Area into which the Project may interconnect.

Proposers should rely only on information provided in this RFP and any associated written updates posted on the on the [NYSERDA Offshore Wind 2022 Solicitation website](#) when preparing their Proposals. Each Proposer shall be solely responsible for and shall bear all of its costs incurred in the preparation of its Proposal and/or its participation in this RFP. Submission of Proposals including confidential information shall be treated in accordance with Section 8.1.

### 6.2 Organization and Submission of the Proposals

#### 6.2.1 Organization of the Submission

Proposers are required to organize their Proposals consistent with the instructions provided herein. Each Submission, which includes the Required Base Proposal, Required Standalone Proposal and any Alternate Proposals, must include the following separate files:

1. **Master Offers Form**, a provided Excel workbook template, calculates the Proposal Fee, includes framework for providing Proposal summary information and identifies mapping of submitted files to Proposals, common Project descriptive information and a listing of Offer Data Form files. The Master Offers Form must be submitted as a working Excel file. Only one Master Offers Form can be included in the Submission.
2. **Offer Data Form**, a provided Excel workbook template, contains pricing, technical, and operational information for the proposed Offshore Wind Generation Facility and optional Energy Storage, and claimed Incremental Economic Benefits of the Project. The Offer Data Form allows separate pricing to be submitted for each of up to two Contract Tenors. Each Offer Data Form must be submitted as a working Excel file. At least two Offer Data Forms must be included in the Submission: one for the Required Base Proposal and one for the Required Standalone Proposal. An additional Offer Data Form must be submitted for each Alternate Proposal.
3. **SCIP Data Form**, a provided Excel workbook template, contains funding request / financing plan, financial model, including sources and uses of funds, key assumptions and financial projections through a duration at least equal to the requested term of New York State Funding, proposed financing terms, budget, economic benefits, and construction schedule information for Infrastructure Sites or facilities in alignment with the corresponding Supply Chain Investment Plan. Each SCIP Data Form must be submitted as a working Excel file. At least one SCIP Data Form must be included in the Submission. A SCIP Data Form must be included in the Submission for each Supply Chain Investment Plan in the Submission.

4. **Proposal Narrative**, a description of the proposed Project including the Offshore Wind Generation Facility or Facilities and optional Energy Storage, information required to demonstrate the eligibility, viability, claimed Incremental Economic Benefits of the Project, and other relevant information and supporting documentation required to evaluate the Proposal. The organization and contents of the Proposal Narrative *must* be organized in the order presented in Section 6.4, with section numbers that correspond to the numeration in Section 6.4, e.g., the Executive Summary must be Section 1 of the Proposal, and must include the following appendices as discrete, required files, named in accordance with the conventions established in Appendix N. If a Proposal does not include an optional Fossil Repurposing Plan or optional Energy Storage, the corresponding numbered section of the Proposal Narrative should simply be left blank or with a note that the section is not applicable. Each Proposal Narrative file and attachment, unless otherwise noted, must be submitted as a fully searchable PDF file with numbered pages. Only one Proposal Narrative, inclusive of all Proposals offered, can be submitted. The Submission must include both Confidential and Public versions of the Proposal Narrative. If a Proposal includes multiple Offshore Wind Generation Facilities, the required information must be provided for each and clearly delineated by Facility.
  - 4.1. **Wind Resource Data** (see Section 0)

Must be submitted as a working Excel file. At least one Wind Resource Data attachment must be included in the Submission. If the Wind Resource Data varies among Proposals, the additional information may be provided in the same file, as long as the datasets are clearly labeled for Proposal correspondence, or in separate files.
  - 4.2. **Financing Plan** (see Section 6.4.7)

At least one Financing Plan attachment must be included in the Submission. If the Financing Plan varies among Proposals, the additional information may be provided in the same file, as long as the variances are clearly labeled for Proposal correspondence, or in separate files.
  - 4.3. **Interconnection and Deliverability Plan** (see Section 6.4.8)

At least one Interconnection and Deliverability Plan attachment must be included in the Submission. If the Interconnection and Deliverability Plan varies among Proposals, the additional information may be provided in the same file, as long as the variances are clearly labeled for Proposal correspondence, or in separate files.
  - 4.4. **Fossil Repurposing Proposal** (see Section 10)

If applicable, the Fossil Repurposing Proposal must be included as a separate document within the Submission. If more than one Fossil Repurposing Proposal is included in the Submission the additional information can be included in the same file, as long as the variances are clearly labeled for Proposal correspondence, or in separate files.
  - 4.5. **Project Schedule** (see Section 6.4.12)

At least one Project Schedule attachment must be included in the Submission in the form

of a Gantt chart equivalent in a working Excel file. If the Project Schedule varies among Proposals, the additional information may be provided in the same file, as long as the variances are clearly labeled for Proposal correspondence, or in separate files.

4.6. **Fisheries Mitigation Plan** (see Section 6.4.14 and Appendix D)

At least one Fisheries Mitigation Plan attachment must be included in the Submission. If the Fisheries Mitigation Plan varies among Proposals, the additional information may be provided in the same file, as long as the variances are clearly labeled for Proposal correspondence, or in separate files. The Submission must include both Confidential and Public versions of each Fisheries Mitigation Plan attachment.

4.7. **Environmental Mitigation Plan** (see Section 6.4.15 and Appendix E)

At least one Environmental Mitigation Plan attachment must be included in the Submission. If the Environmental Mitigation Plan varies among Proposals, the additional information may be provided in the same file, as long as the variances are clearly labeled for Proposal correspondence, or in separate files. The Submission must include both Confidential and Public versions of each Environmental Mitigation Plan attachment. A separate Environmental Mitigation Plan is required for the Supply Chain Investment Plan as described in Appendix C.2.

4.8. **Stakeholder Engagement Plan** (see Section 6.4.16 and Appendix F) At least one Stakeholder Engagement Plan attachment must be included in the Submission. If the Stakeholder Engagement Plan varies among Proposals, the additional information may be provided in the same file, as long as the variances are clearly labeled for Proposal correspondence, or in separate files. The submission must include both Confidential and Public Versions of each Stakeholder Engagement Plan attachment. A separate Stakeholder Engagement Plan is required for the Supply Chain Investment Plan as described in Appendix C.2.

4.9. **Letters of Support for the Proposal** (see Section 6.4.16)

At least one attachment with Letters of Support for the Proposal must be included in the Submission. If the Letters of Support for the Proposal vary among Proposals, the additional information may be provided in the same file, as long as the variances are clearly labeled for Proposal correspondence, or in separate files.

4.10. **Economic Benefits Plan** (see Appendix C.1)

At least one Economic Benefits Plan attachment must be included in the Submission. If the Economic Benefits Plan varies among Proposals, the additional information may be provided in the same file, as long as the variances are clearly labeled for Proposal correspondence, or in separate files.

4.11. **New York Jobs and Workforce Plan** (see Appendix H)

At least one New York Jobs and Workforce Plan attachment must be included in the Submission. If the New York Jobs and Workforce Plan varies among Proposals, the

additional information may be provided in the same file, as long as the variances are clearly labeled for Proposal correspondence, or in separate files. The Submission must include both Confidential and Public versions of each New York Jobs and Workforce Plan attachment. A separate New York Jobs and Workforce Plan is required for the Supply Chain Investment Plan as described in Appendix C.2.

**4.12. Supply Chain Investment Plan(s)** (see Appendix C.2)

At least one Supply Chain Investment Plan attachment must be included in the Submission. A Supply Chain Investment Plan must be included in the Submission for each SCIP Data Form included in the submission.

- 5. Proposer Certification Form**, the form in Appendix B, must be signed by Proposer's authorized representative to certify the validity of the offer and attest to other representations. Only one Proposer Certification Form can be included in the Submission.

Proposers may also submit an unlimited number of supporting attachments (each file size capped at 100MB) to provide information or studies related to the Proposal. Each supporting attachment must be a fully searchable PDF file, unless a different file type such as Excel is necessary for presentation of the information.

A separate Offer Data Form must be submitted for each Proposal. To the extent that other items from the above list of required files are different than the file submitted for the Required Base Proposal, additional versions of each should be attached, or if the information should be clearly labeled by Proposal, if included within a single file. The Master Offers Form must be comprehensive of all submitted Proposals and offer insight into the organization of the entire Submission to facilitate its complete review and any distinguishing factors among individual Proposals. To the extent that a required file or attachment is applicable to more than one submitted Proposal, the Master Offers Form will allow this to be indicated in order to avoid multiple submissions of the same file. A Proposer may submit the same marked up Agreement for all Proposals, or a Proposer may submit separate marked up Agreements for each Proposal if there are reasons for material differences.

### **6.2.2 Submission Instructions**

NYSERDA uses a secure Salesforce site to accept Proposal submissions. The Salesforce Portal will open for registration on **November 1, 2022**, and close for registration on **January 19, 2023 at 3:00 PM ET**.

For detailed instructions toward submission and interfaces with this site refer to Appendix N, Proposal Submission Guide. Proposers must submit two versions for each Proposal: a complete, unredacted version of the Proposal and a public version of the Proposal Narrative, as described below. Both versions of the Proposal must be uploaded to NYSERDA's secure Salesforce site which will open for Proposal submission on **January 19, 2023**.

Links will be available on the above-mentioned dates.

Technical support for NYSERDA's Salesforce application may be reached by emailing [offshorewind@nyserda.ny.gov](mailto:offshorewind@nyserda.ny.gov). Proposers are encouraged to submit their files as early as possible to avoid bandwidth issues with simultaneous uploads to NYSERDA's Salesforce application.

Only fully searchable files will be accepted under this RFP.

Funding Recipients that have sensitive or confidential information that cannot be shared with Proposers, and thus cannot be included in the Submission uploaded through Salesforce, should email [offshorewind@nyserda.ny.gov](mailto:offshorewind@nyserda.ny.gov) to request a secure upload link as an alternative submission pathway. Information submitted through this method should be limited in scope to the extent possible, must be clearly marked with the Proposal and SCIP IDs to which it applies and must be submitted prior to the Proposal Submission Deadline indicated in Section 1.3.

#### **6.2.2.1 Confidential Version of Proposals**

A Proposer must submit an unredacted complete version of the Proposals. The confidential version of the Submission must include the Master Offers Form, Offer Data Forms and SCIP Data Form(s) as working Excel files, with all required information included. The Proposal Narrative and all required attachments must be submitted as searchable PDF files, with the exception of the Wind Resource Data and Project Schedule, which must be submitted as working Excel files. The confidential version of the Proposal will be treated as confidential and sensitive information, **subject to the treatment of confidential information discussed in Section 8.1.**

#### **6.2.2.2 Public Version of Proposal Narrative**

The Proposal Narrative, each Fisheries Mitigation Plan, Environmental Mitigation Plan, and Stakeholder Engagement Plan must be also submitted to NYSERDA in a version that can be made publicly available as a searchable PDF file. The public version must include descriptive information on all categories described in Section 6.4, but Proposers may redact information where there is a reasonable basis to assert that the information constitutes trade secrets or if disclosed would cause substantial injury to the competitive position of the Proposer or other commercial enterprise from which the information was derived. See Section 8.1.

This public versions of the Proposal Narrative, Fisheries Mitigation Plan(s), Environmental Mitigation Plan(s), and Stakeholder Engagement Plan(s) will be posted on the [NYSERDA Offshore Wind 2022 Solicitation website](#) shortly after the Proposal Submission Deadline. The file name of the submitted file should include the word "Public" as noted in Section N.3.3 of Appendix N. NYSERDA will not further redact the public versions of Proposal Narrative and associated attachments. Anything submitted in the public versions will be made available to the public.

### **6.3 Offer Data Forms**

The Master Offers Form, Offer Data Form (ODF) and SCIP Data Form (SCIPDF) documents are Microsoft Excel workbooks that can be downloaded from the [NYSERDA Offshore Wind 2022 Solicitation website](#). Each Proposer must submit a single Master Offers Form. A separate ODF is required for the Required Base Proposal, Required Standalone Proposal and each Alternate Proposal. Up to two Contract Tenors



for Proposals with the same non-price aspects are included within a single ODF document. A separate SCIPDF is required for each Supply Chain Investment Plan. Instructions for completion are included in each form.

### **6.3.1 Master Offers Form**

The Master Offers Form (Appendix L) has three parts, listed below, and a User Guide. If Proposer provides information in the Master Offers Form that conflicts with the information provided within other submitted documents, the Proposal Narrative, ODF, or SCIPDF shall be considered to contain the governing and binding information.

#### **Part I Proposal Fee Calculation**

Proposer name, Proposer ID, number of Offshore Wind Generation Facilities included in the Submission, Offshore Wind Generation Facility name(s), BOEM renewable energy lease number(s), list of Supply Chain Investment Plans included in the Submission, list of Proposals included in the Submission, Offer Capacity for each Proposal,, whether each Proposal is Standalone and the applicable Supply Chain Investment Plan(s), whether each Alternate Proposal includes Energy Storage, Interconnection Cost Sharing or Inflation Adjustment, and if so, which Proposal without Energy Storage, without Interconnection Cost Sharing or without Inflation Adjustment such Proposals correspond to.

#### **Part II Quantitative Summary of Proposals**

Enter summary information about each Proposal from the Proposal Narrative (e.g., distance from shore, foundation technology, turbine model, inclusion of a Fossil Repurposing Proposal).

#### **Part III Submission Map**

List of all files included in Submission, including file category (e.g., Offer Data Form, Proposal Narrative, Supply Chain Investment Plan, Economic Benefits Plan, Interconnection and Deliverability Plan, Fisheries Mitigation Plan, Stakeholder Engagement Plan, etc.), file name, and the Proposals to which each file applies. The Submission Map should offer clarity to NYSERDA of any individual files that service multiple Proposals (e.g., a Fisheries Mitigation Plan that is common throughout) and/or where specific files are applicable only to certain Proposals. For Submission files that represent additional supporting information beyond the required file types, a description of each file is required.

### **6.3.2 Offer Data Form**

The ODF (Appendix K) has seven parts, listed below, and a User Guide. If Proposer provides information in other sections of its Proposal(s) that conflicts with the information provided in the ODF, the ODF shall be considered to contain the governing and binding information for both the evaluation and any resulting Agreement.

**Part I Identification Worksheet**

Proposer name, number of Offshore Wind Generation Facilities included in Proposal, Offshore Wind Generation Facility name(s), BOEM renewable energy lease number(s), whether each Offshore Wind Generation Facility represents Upgrade Capacity, available lease area capacity, Offer Capacity for each Offshore Wind Generation Facility, whether each Offshore Wind Generation Facility is Meshed Ready, total Offer Capacity, number of phases in which Offer Capacity will enter Commercial Operation, Proposal type, whether the Proposal is Standalone (if an Alternate Proposal), the applicable Supply Chain Investment Plan, whether the Proposal is a Purchase Commitment Proposal, unique Proposal name (if not the Required Base Proposal or Required Standalone Proposal), Proposal Code (from the Master Offers Form), pricing structure, contract tenor(s), whether the Proposal includes Energy Storage, Interconnection Cost Sharing or Inflation Adjustment, and if so, which Proposal without Energy Storage, without Interconnection Cost Sharing or without Inflation Adjustment the Proposal corresponds to. If the Proposal includes Energy Storage, the Bid Storage Capacity in MW and MWh and location of the Energy Storage (co-located or not co-located) are entered. If the Proposal includes an Offshore Wind Generation Facility that is not Meshed Ready, the corresponding Proposal that is fully Meshed Ready is entered.

**Part II Project Definition Worksheet**

The expected Commercial Operation Date and capacity of each phase, the P10 Annual OREC Exceedance value(s), the summer and winter UCAP Production Factors (if Proposal uses the Index OREC pricing structure), and Injection Point and Delivery Point descriptive information.

**Part III Expected Performance Worksheet**

Table III-1. P50 Generation (before outages and land-based transmission and curtailment losses) as a fraction of installed capacity by month and hour of day. For Alternate Proposals with co-located Energy Storage, this Table should reflect Energy Storage deployment if that changes the delivery profile.

Table III-2. Delivered energy as a fraction of P50 Generation by month and calendar year.

A separate Part III must be filled out for each Offshore Wind Generation Facility in the Proposal.

**Part IV Pricing Worksheet**

Indicate whether a Proposal with multiple Offshore Wind Generation Facilities has separate pricing for each Facility and enter Offer level nominal Strike Prices (if Index OREC) or Prices (if Fixed OREC) for each Contract Tenor selected. Up to two pricing offers can be submitted in each ODF, for the 25- and 20-year Contract Tenors. The ODFs

for the Required Base Proposal and Required Standalone Proposal must include an offer for the 25-year Contract Tenor.

NYISO Interconnection Cost Allocation parameters are entered, including an estimate of the expected value and confidence intervals. If the Proposal includes Interconnection Cost Sharing, indicate whether each Offshore Wind Generation Facility will include Interconnection Cost Sharing. If Interconnection Cost Sharing is included, identification of the interconnection cost level up to which the Proposer will absorb 100% of the interconnection cost in the Index OREC Strike Price of Fixed OREC Price, and two additional interconnection cost levels with percentages allocable to NYSERDA within the Interconnection Cost Sharing Adder is required.

**Part V Economic Benefits Worksheets (See 6.4.19 and Appendix C.1)**

Each line item listed in Tables V-1, V-2 and V-3 must be cross-referenced in the Economic Benefits Plan using the template provided in Appendix C.1.

***Table V-1. Category 1, Incremental Economic Benefits associated with Offshore Wind Generation Facilities and associated investments other than in SCIP Facilities.*** Data are entered by ID number, including Project phase, time period, first calendar year and last calendar year in which the benefit is expected to accrue, description, and the net expenditures (stated in nominal dollars). Net expenditures associated with Labor, Disadvantaged Communities, MWBEs and SDVOBs, New York iron and steel and non-New York U.S. iron and steel can be entered where applicable. Net expenditures associated with SCIP Related Purchases, whether associated with an included SCIP or a Purchase Commitment Proposal, must be clearly indicated in the description field. Net expenditures associated with the Jobs and Workforce data entered in Table VI-1 will be automatically populated in Table V-1.

***Table V-3. Category 3, Other Economic Benefits.*** Data are entered by ID number, first calendar and last calendar year in which the benefit is expected to accrue, description, Proposer's planned measurement metric and quantity of the input activity or benefit.

**Part VI Jobs and Workforce Worksheets (See 6.4.19.3 and Appendix H)**

Each line item listed in Tables VI-1 and VI-2 must be cross-referenced in the New York Jobs and Workforce Plan using the template provided in Appendix H.

***Table VI-1. Category 1 Jobs and Workforce Data associated with Offshore Wind Generation Facilities and associated investments other than in SCIP Facilities.*** Data for labor-related claims are entered by ID number including Project phase, time period, industry code, location, job category, job description, start date, end date, total positions and compensation structure. For jobs with an hourly compensation structure,

data are entered for new hire hours,<sup>15</sup> incumbent worker hours,<sup>16</sup> regular pay rate, fringe benefits rate, overtime hours and overtime pay rate. For jobs with a total compensation structure (or jobs with an hourly compensation structure through a subcontractor where sufficiently granular data is not available), total FTE-Years and compensation are required. Total training cost for each job is also required, regardless of compensation structure. The total claims will be populated in Table V-1. Jobs commitments allocable to Disadvantaged Communities and MWBEs and SDVOBs can also be entered if applicable.

**Part VII Summary of Annual Economic Benefits**

Incremental Economic Benefits entries from Category 1 (Table V-1 and Table VI-1) restated on an annual total basis based on the years in which the benefits are expected to accrue.

**6.3.3 Supply Chain Investment Plan Data Form**

Each Supply Chain Investment Plan must be accompanied by a Supply Chain Investment Plan Data Form (SCIPDF) (Appendix M). The SCIPDF has six parts, listed below, and a User Guide. If the Proposer provides information in the narrative Supply Chain Investment Plan that conflicts with the information provided in the SCIPDF, the SCIPDF shall be considered to contain the governing and binding information for both the evaluation and any resulting Agreement and SCIP Facility Funding Agreement. In the case of conflicting information between the ODF and SCIPDF, the ODF shall govern.

**Part I Identification and Financial Model Worksheet**

Proposer name, Supply Chain Investment Plan name, Supply Chain Investment Plan ID, number of SCIP Facilities, SCIP Facility name(s), Proposed SCIP Facility Activity for each SCIP Facility, conditionality around minimum offtake volumes, type of long-term jobs, New York State Funding amount(s) and the proposed non-New York State Funding investment sources for each SCIP Facility.

**Part II Economic Benefits Worksheets**

Each line item listed in Tables II-2 and II-4 must be cross-referenced in the Supply Chain Investment Plan using the template provided in Appendix C.2.

***Table II-2. Category 2, Incremental Economic Benefits associated with development and construction of SCIP Facilities.*** Data are entered by ID number, SCIP Facility, SCIP Facility phase, time period, first calendar year and last calendar year in which the benefit is expected to accrue, description, and the net expenditures (stated in nominal dollars). Net expenditures associated with Labor, Disadvantaged Communities and MWBEs and SDVOBs can be entered where applicable. Net expenditures associated with

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<sup>15</sup> New hires are employees whose first day of employment is on or after January 1, 2022.

<sup>16</sup> Incumbent workers can include jobs retained through training programs.

the Jobs and Workforce data entered in Table III-2 will be automatically populated in Table II-2.

**Table II-4. Category 4, Incremental Economic Benefits associated with operation and maintenance of SCIP Facilities.** Data are entered by ID number, SCIP Facility, Operation Phase Period, first calendar and last calendar year in which the benefit is expected to accrue, description and the net expenditures (stated in nominal dollars). Net expenditures associated with Labor, Disadvantaged Communities and MWBEs and SDVOBs can be entered where applicable. Net expenditures associated with the Jobs and Workforce data entered in Table III-4 will be automatically populated in Table II-4.

**Table II-5. Category 5, Other economic benefits that are reasonably expected to accrue in connection with New York State Funding of SCIP Facilities.** Data are entered by ID number, first and last calendar year in which the benefit is expected to accrue, description, Proposer's planned measurement metric and quantity of the input activity or benefit.

### **Part III Jobs and Workforce Worksheets**

Each line item listed in Table III-2 must be cross-referenced in the New York Jobs and Workforce Plan using the template provided in Appendix H.

**Table III-2. Category 2 Jobs and Workforce Data associated with development and construction of SCIP Facilities.** Data for labor-related claims are entered by ID number including SCIP Facility, SCIP Facility phase, industry code, location, job category job description, start date, end date, total positions and compensation structure. For jobs with an hourly compensation structure, data are entered for new hire hours, incumbent worker hours, regular pay rate, fringe benefits rate, overtime hours and overtime pay rate. For jobs with a total compensation structure (or jobs with an hourly compensation structure through a subcontractor where sufficiently granular data is not available), total FTE-Years and compensation are required. Total training cost for each job is also required, regardless of compensation structure. The total claims will be populated in Table II-2. Jobs commitments allocable to Disadvantaged Communities and MWBEs and SDVOBs can also be entered if applicable.

**Table III-4. Category 4 Jobs and Workforce Data associated with operation and maintenance of SCIP Facilities.** Data for labor-related claims are entered by ID number including SCIP Facility, Operation Phase Period, industry code, location, job category, job description, start date, end date, total positions and compensation structure. For jobs with an hourly compensation structure, data are entered for new hire hours, incumbent worker hours, regular pay rate, fringe benefits rate, overtime hours and overtime pay rate. For jobs with a total compensation structure (or jobs with an hourly compensation structure through a subcontractor where sufficiently granular data is not available), total FTE-Years and compensation are required. Total training cost for each job is also

required, regardless of compensation structure. The total claims will be populated in Table II-4. Jobs commitments allocable to Disadvantaged Communities and MWBEs and SDVOBs can also be entered if applicable.

**Part IV Summary of Annual Economic Benefits Worksheet**

Economic benefits entries from Category 2 (Table II-2 and Table III-2) and Category 4 (Table II-4 and Table III-4) re-stated on an annual total basis based on the years in which the benefits are expected to accrue for each SCIP Facility.

**Part V Budget and Identification of Eligible Expenses Worksheet**

Enter line items associated with capital expenditures for each proposed SCIP Facility in nominal dollars in the period (calendar month) in which each expense is expected to be incurred. Operational expenses are not included.

**Part VI Schedule Worksheet**

Enter key milestones in the development and construction of each proposed SCIP Facility.

## **6.4 Proposal Narrative**

Only one Proposal Narrative can be included in the Submission, with both confidential and public versions. Each section of the Proposal Narrative must therefore address all Proposals included in the Submission and the variations among them. The role of each Proposal Narrative section in the evaluation is summarized in Table 4.

Table 4: Proposal Narrative Sections Use in Evaluation

<b>Narrative Section</b>	<b>Use in Evaluation</b>
1. Executive Summary	Eligibility
2. Impacts of COVID-19 on Proposer and Project Development	Informational
3. Proposer Qualifications	Project Viability – Developer Qualifications
4. Project Description and Site Control	Eligibility
5. Energy Resource Assessment and Plan	Project Viability – Energy Resource Assessment
6. Operational Parameters	Informational
7. Business Entity and Financing Plan	Project Viability – Financing Plan
8. Interconnection and Deliverability Plan	Project Viability – Interconnection and Deliverability
9. Fossil Repurposing Proposal	Project Viability – Repurposing Downstate Fossil Fuel Generation Infrastructure
10. Environmental Assessment and Permit Acquisition Plan	Project Viability – Permitting Plan and Status
11. Engineering and Technology	Project Viability – Proposed Technology
12. Project Schedule	Project Viability – Proposed Commercial Operation Date(s)
13. Construction and Logistics	Project Viability – Development and Logistics Plan
14. Fisheries Mitigation Plan	Project Viability – Responsible Development and Stakeholder Engagement
15. Environmental Mitigation Plan	Project Viability – Responsible Development and Stakeholder Engagement
16. Stakeholder Engagement Plan	Project Viability – Responsible Development and Stakeholder Engagement
17. Visibility and Viewshed Impacts	Project Viability – Responsible Development and Stakeholder Engagement
18. Disadvantaged Community Impacts	Project Viability – Responsible Development and Stakeholder Engagement New York Economic Benefits
19.1 Economic Benefits Plan	New York Economic Benefits
19.2 Supply Chain Investment Plan	Supply Chain Investment Plan Fundability New York Economic Benefits
19.3 Jobs and Workforce Plan	Eligibility New York Economic Benefits
20. Energy Storage Reducing Carbon Emissions and Embodied Carbon	Project Viability – Energy Storage
21. Reducing Carbon Emissions and Embodied Carbon	Informational

#### 6.4.1 Executive Summary

Proposers are required to provide an executive summary that documents the eligibility of the proposed Offshore Wind Generation Facility, and the array of Proposals included in the Submission, including the proposed Contract Tenor(s), the overall Project schedule(s) including expected Commercial Operation Date(s), and other factors Proposers deem to be important.

A disclosure statement regarding whether the Proposer has been found non-responsible under Section 139-j of the State Finance Law within the previous four years must be provided (see Section 8.2).

If Proposer has any required disclosures, in accord with Section 8.5, they should be stated in this section. If Proposer has no required disclosures, that should be stated.

If Proposer has any conflicts of interest, in accord with Section 8.8, they should be disclosed in this section. If Proposer has no conflicts of interest, that should be stated.

A completed Vendor Responsibility Checklist must be submitted with the Proposal for the Proposer and each Funding Recipient, in accord with Section 8.12.

#### **6.4.2 Impacts of COVID-19 on Proposer and Project Development**

Proposers are required to describe how the ongoing COVID-19 pandemic has affected and/or continues to affect their business operations, the process of developing the Project, and the content of the Submission. For the avoidance of doubt, the content of this section of the Proposal Narrative is informational only and will not affect the Project Viability scoring of any of the submitted Proposals.

#### **6.4.3 Proposer Qualifications**

Proposers are required to provide the following information with their Proposal:

1. Describe the business entity structure of Proposers' organization from a financial and legal perspective, including all general and limited partners, officers, directors, managers, members and shareholders and any persons who the Proposer knows will become officers, board members or trustees, and involvement of any subsidiaries supporting the Project. Provide any Diversity, Equity, and Inclusion plan to be used in selecting new officers, board members or trustees.
2. An organizational chart for the Project that lists the Project participants, including parent companies and joint ventures transacting business in the energy sector, identifies the corporate structure, including general and limited partners, and shows the relationship among the different Project participants.
3. For joint ventures, identify all owners and their respective interests and document Proposer's right to submit a binding Proposal.
4. For all Proposers, provide the race and gender of the members of the governing body of the Proposer and its owner(s).
5. Statements that list the specific experience each of the Project participants (Proposer and any development partners) in developing, financing, owning, and operating generation and transmission facilities, other projects of similar type, size and technology, and any evidence that the Project participants have worked jointly on other projects.
6. A listing of projects the Project sponsor has successfully developed or that are currently under construction, or that the Proposer has secured financing for. Provide the following information for each project as part of the response:



- a. Name of the project
  - b. Location of the project
  - c. Project type, size and technology
  - d. Date of construction and permanent financing
  - e. Form of debt and equity financing
  - f. Current status of the project
  - g. Commercial Operation Date
  - h. Estimated and actual capacity factor of the project for the past three years
  - i. Availability factor of the project for the past three years
  - j. References, including the names and current addresses and telephone numbers of individuals to contact for each reference
  - k. Specific members of the Project team that worked on the project
7. A management chart that lists the key personnel dedicated to this Project, and resumes of the key personnel, and a description of key personnel experience successfully developing and/or operating one or more projects of similar size or complexity or requiring similar skill sets.
  8. With regard to Proposer's Project Team, identify and describe, including relevant experience, the entity responsible for the following, as applicable:
    - a. Construction Period Lender, if any
    - b. Diversity, Equity, and Inclusion Officer
    - c. Environmental Consultant
    - d. EPC Contractor (if selected)
    - e. Facility Operator and Manager
    - f. Financial Advisor
    - g. Labor Liaison
    - h. Legal Counsel
    - i. Operating Period Lender and/or Tax Equity Provider, as applicable
    - j. Owner's Engineer
    - k. Transmission Consultant
  9. Identify the entity that will assume the duties of NYISO Market Participant for your proposed Offshore Wind Generating Facility. Provide a summary of Proposer's or Market Participant's experience with the wholesale market administered by NYISO as well as transmission services performed by Con Edison, NYPA, and PSEG-LI/LIPA.
  10. Disclose any pending (currently or in the past three years) litigation or disputes related to projects planned, developed, owned or managed by Proposer or parent companies in the United States, or related to any energy product sale agreement.
  11. Describe any material litigation, disputes, claims or complaints, or events of default or other failure to satisfy contract obligations, or failure to deliver products, involving Proposer or a

parent company, and relating to the purchase or sale of energy, capacity or RECs or other electricity products.

12. Confirm that Proposer, and the directors, employees and agents of Proposer and any parent company of Proposer are not currently under investigation by any governmental agency and have not in the last four years been convicted or found liable for any act prohibited by State or Federal law in any jurisdiction involving conspiracy, collusion or other impropriety with respect to offering on any contract or have been the subject of any debarment action (detail any exceptions).

#### **6.4.4 Project Description and Site Control**

Identify the BOEM wind energy area where the proposed Offshore Wind Generation Facility will be located. Provide documentation that Proposer has a valid lease or irrevocable lease option to develop the leased area within this wind energy area over the entire Contract Tenor.

Provide a site plan (or plans) including a map (or maps) that clearly identifies the location of the proposed Offshore Wind Generation Facility, collection facilities, offshore substation and Meshed Ready facilities, offshore and onshore route of the generator lead line to the interconnection point, converter station(s), and the assumed right-of-way width. Identify the anticipated Injection and Delivery Point(s), support facilities, and the relationship of the Injection and Delivery Point(s) to other local infrastructure, including transmission facilities, roadways, and waterways.

Identify any rights that Proposer or its development partner has at the Injection and Delivery Point(s) and for the generator lead line right of way. Identify any additional rights that are necessary for interconnection and for the generator lead line right-of-way.

The site plan should also illustrate the location of all onshore and offshore equipment and facilities and clearly delineates the turbine array and perimeter of the area in which offshore wind turbines will be placed.

For Offshore Wind Generation Facilities that contribute less than 1,000 MW to the Proposal's Offer Capacity, provide the turbine capacity density assumptions used to arrive at the Offer Capacity as representing the maximum available capacity from the lease area.

#### **6.4.5 Energy Resource Assessment and Plan**

Provide a summary of all collected wind data for the proposed Offshore Wind Generation Facility site. Identify when and how (e.g., meteorological mast or LiDAR – for "Light Detection and Ranging") the data was collected and by whom.

Indicate where the data was collected and its proximity to the proposed Offshore Wind Generation Facility site. Include an identification of the location and height for the anemometers and/or "range gate" heights for sensing by LiDAR that were used to arrive at an assessment of the site generation capability. Describe any additional wind data collection efforts that are planned or ongoing. Provide at least one year of hourly wind resource data in a working Excel file (the required Wind Resource Data

attachment). Data collected from the site is preferred, though projected data is permissible. The method of data collection must also be included.

Provide a wind resource assessment report for the Proposed Offshore Wind Generation Facility site. Include an analysis of the available wind data which addresses the relationship between wind conditions and electrical output. Provide a site-adjusted power curve. Each curve should list the elevation, temperature and air density used.

Provide a justification for the selected P10 Annual OREC Exceedance value based in the Wind Resource Data for the Project. Provide the basis for the delivered energy profile presented in Part III of the Offer Data Form relative to the P50 generation profile, including a reasonable assessment of potential/expected curtailment in addition to losses. Describe measures to identify and control the regulatory and operational risks related to the delivery of energy from the Offshore Wind Generation Facility.

#### **6.4.6 Operational Parameters**

Provide partial and complete planned outage requirements in weeks or days for the Offshore Wind Generation Facility. Also, list the number of months required for the cycle to repeat (e.g., list time interval of minor and major overhauls, and the duration of overhauls).

Provide all the expected operating constraints and operational restrictions for the Project, the reason for the limitation, and characterize any applicable range of uncertainty.

#### **6.4.7 Business Entity and Financing Plan**

Proposers are required to demonstrate the financial viability of their proposed Project. A narrative description of the financing plan should be included in the Proposal Narrative. Detailed supporting information, including financial statements and other documents, should be included in the required Financing Plan attachment.

Proposers should provide the following information in the Financing Plan:

1. Submit information and documentation that demonstrates that a long-term contract resulting from this RFP process would either permit Proposers to finance Proposals that would otherwise not be financeable or assist Proposers in obtaining financing of its Proposal.
2. Provide a description of the Financing Plan for the Project, including construction and term financing. The Financing Plan should address the following:
  - a. Who will finance the Project (or are being considered to finance the Project) and the related financing mechanism or mechanisms that will be used (i.e., convertible debenture, tax or contingent equity, other) including repayment schedules and conversion features
  - b. Project's existing initial financial structure and projected financial structure
  - c. Expected sources of debt and equity financing

- d. Describe how any such agreements would differ, contingent on NYERDA's selection of a specific Proposal (e.g., Fixed OREC vs. Index OREC, SCIP or Standalone, Inflation Adjusted or not Inflation Adjusted)
  - e. Estimated construction costs, including identification of the costs associated with Meshed Ready design, and identification of costs associated with transmission
  - f. Projected capital structure during construction and operation
  - g. Describe any agreements, both pre and post Commercial Operation Date, entered into with respect to equity ownership in the proposed Project and any other financing arrangement.
3. Provide evidence that Proposer has the financial resources and financial strength to complete and operate the Project as planned.
4. Describe the planned insurance program, including how climate-related physical risks are factored into the insurance deductible and if added resilience measures or design and construction features taken to strengthen the ability of the Project to handle climate shocks or stresses may act to lower insurance premiums or deductibles.
5. Proposer's estimate of inflation using an index or indices that are relevant to the Project's construction and operations costs.
6. Describe the role of the Federal Production Tax Credit or Investment Tax Credit (or other incentives) on the financing of the Project, including presumed qualification year and percentage and estimated eligible capital expenditures. Provide an explanation for the assumed ability or inability to qualify for the Federal Production Tax Credit or Investment Tax Credit. The Proposal may not be contingent on receipt of the Production Tax Credit or Investment Tax Credit. Refer to Section 2.1.5 and to Section 5.07 of the Agreement for the Bid Price adjustment related to receipt of Project Qualifying Federal Support.
7. Provide complete copies of the most recent audited financial statement and annual report for each Proposer for each of the past three years; including parent companies of Proposer (if audited statements are not available, reviewed or compiled statements are to be provided). Also, provide the credit ratings from Standard & Poor's and Moody's (the senior unsecured long-term debt rating or, if not available, the corporate rating) of Proposer and any parent companies and development partners.
8. Demonstrate Proposer's ability (and/or the ability of its credit support provider) to provide the required security, including its plan for doing so.
9. Provide a description of any current or recent credit issues/ credit rating downgrade events regarding Proposer or parent companies raised by rating agencies, banks, or accounting firms. Provide information regarding any exposure of the Proposer and/or parent companies including joint ventures to adverse events related to investments and other activities in Russia. Discuss corporate withdrawals from investments in Russia, the impact of write-offs, write-downs and/or

related impairment charges and government sanctions arising from the conflict in Ukraine affecting the Proposer, parent companies and/or joint venture participants, including limited liability corporations.

10. Provide the expected operating life of the proposed Project and the depreciation period for all substantial physical aspects of the offer, including generation facilities, generator lead lines to move power to the grid, and transmission system upgrades.
11. Details of any events of default or other credit/financial issues associated with all energy projects (other than those under contract with NYSERDA) in which the Proposer (and other equity partners), its parent companies, and directors, officers, and senior managers of those entities, participated over the past three years.

#### **6.4.8 Interconnection and Deliverability Plan**

Proposers are required to demonstrate the Offshore Wind Generation Facility's interconnection status and deliverability capabilities. A narrative description of the Interconnection and Deliverability Plan should be included in the Proposal Narrative. Detailed supporting information should be included in the required Interconnection and Deliverability Plan attachment.

Proposers should provide the following information in the Interconnection and Deliverability Plan:

1. Provide documentation to show evidence of the interconnection request to NYISO or any neighboring Control Area for Capacity Resource Interconnection Service (CRIS) or for Energy Resource Interconnection Service, or similar interconnection standards in the neighboring Control Areas. Evidence that Proposer has a pending, valid interconnection request is sufficient for eligibility under this RFP, but further detail will add to the viability of the proposed plan. Describe the status of any planned interconnection to the grid.
2. Proposer must provide a detailed plan and a reasonable timeline to complete the interconnection process with NYISO for direct interconnection(s) to the NYCA and, if applicable, for any other interconnecting authority (Regional Transmission Organization, "RTO," or Independent System Operator, "ISO") in an adjacent Control Area, i.e., ISO-NE or PJM. The timeline must be consistent with meeting the overall development schedule and proposed Commercial Operation Date(s).
3. Provide a copy of an electrical one-line diagram showing the interconnection facilities and the relevant facilities of the transmission provider.
4. Identify and provide an estimate of the expected NYISO Interconnection Cost Allocation, which will be used as the Interconnection Cost Allocation Baseline in Section 5.04 of the Agreement unless revised by NYSERDA as described in Section 4.2.1, and associated confidence intervals for all proposed or anticipated interconnection and transmission system upgrades, including any transmission system upgrades beyond the point of interconnection that are needed to ensure delivery of energy from the Offshore Wind Generation Facility into NYCA. Provide an

explanation of how these values were developed, along with any available supporting information. NYSERDA understands that these values will be imperfect and seeks to understand the Proposer's view on interconnection risks. Any additional information that will support this review will be accepted, including further narrative information describing a range of estimates, confidence intervals, or scenarios.

5. For an Offshore Wind Generation Facility interconnecting in an adjacent Control Area, describe how Proposer intends to fulfill the Electricity Delivery Requirements contained in Article III of the Agreement.
6. Proposals must provide any information they are aware of regarding the available capacity, at the time of submission, of the proposed Injection Point(s), such as through the [Utilities' Revised Headroom Calculations](#) as filed with the PSC.
7. Provide detailed maps that show the proposed off- and on-shore cable route(s) from the offshore project to the proposed Injection Point including (if applicable) the converter station location and landfall point(s). Include as much supportive detail and information of relevance for an actual or eventual Article VII filing as available at the time of submission.
8. Describe any specific power grid benefits brought by the selection of the interconnection and delivery points such as reduced curtailments, congestion relief, or ability to integrate Energy Storage capacity.
9. Describe any Alternate Proposals which contemplate different Delivery Points. Give details on relative merits of each considering cable routing, interconnection cost, local system upgrades, or other benefits or burdens associated with siting the Project.
10. Describe the components that will be installed to meet the Meshed Ready requirements set forth in Appendix G and enable future operability if recommended by the New York State Public Service Commission for interconnection to the Meshed Network.
11. Provide drafts of the required Meshed Ready deliverables listed in Section G.2.3 of Appendix G.
12. For any Alternate Proposals that will be excluded from the Meshed Ready system, provide a clear and detailed justification for the exclusion.

#### **6.4.9 Fossil Repurposing Proposal**

Fossil Repurposing Proposals must demonstrate usage rights and authority to carry out such a repurposing as further described in Section 2.1.8. A narrative description of the Fossil Repurposing Proposal should be included in the Proposal Narrative. Proposers are required to submit a plan for conversion of the existing facility explaining what the new purpose or function of the infrastructure would be as a separate file.

To demonstrate usage rights and authority to carry out the repurposing, the Proposer of any Fossil Repurposing Proposal must provide an executed agreement or letter of intent with the owner(s) of the relevant fossil-based electric generation infrastructure.

The Fossil Repurposing Proposal must lay out a clear plan and timeline for implementation, including obtaining regulatory approvals, prior to the Project's commencement of operations. Given uncertainties with respect to the rapidly evolving energy industry and regulatory environment, as further described in Section 3.2.10, NYSERDA requires Proposers to include contingency plans in the event that the proposed Affected Resource is retained for reliability needs or any of the Fossil Repurposing Proposal is delayed or unable to be completed prior to the Project's commencement of operations (for example, if regulatory approvals are not obtained by such time). Contingency plans for Fossil Repurposing Proposals should include a clear plan and timeline, including obtaining regulatory approvals. Due to the complexities and uncertainties around Affected Resources, Proposers are encouraged to submit an Alternate Proposal which does not include a Fossil Repurposing Proposal.

Proposers should consider and explain the impact of state and federal interconnection requirements on their proposal, including applicable generator interconnection requirements contained in the NYISO's tariffs and PSC regulations (including, to the extent applicable, Attachments P S, X and Z of the NYISO Open Access Tariff and the Transmission Expansion and Interconnection Manual).

To facilitate evaluation, any Fossil Repurposing Proposal that includes an Affected Resource should:

1. Provide a detailed and specific description of and timeline for the repurposing of the Affected Resource, including any expected conditions precedent to implementation.
2. Identify whether the Affected Resource is subject to the DEC Peaker Rule. If it is, the Fossil Repurposing Proposal should demonstrate how the timeline for implementation is consistent with DEC Peaker Rule requirements. If it is not, the Fossil Repurposing Proposal should include an expected timeline for obtaining reviews and approvals from any applicable NYISO and PSC processes and any other applicable regulatory authorities for the proposed change to operating profile or deactivation. Proposers are encouraged to reference [the NYISO Reliability Planning Process Manual](#).
3. Include any electric system studies or assumptions relied on in developing the timeline for the repurposing of the Affected Resource, including consideration of the potential for reliability mitigation measures to be required. Proposers are encouraged to reference the [New York State Power Grid Study](#), [the NYISO Gold Book](#) and Proposed Generator Status Changes to comply with the DEC Peaker Rule.

Further information regarding the required contents of Fossil Repurposing Proposals is set forth in Sections 2.1.82.1.8 and 3.2.10 and Section 12.16 of the Agreement.

#### **6.4.10 Environmental Assessment and Permit Acquisition Plan**

Proposers are required to demonstrate a plan for environmental assessment and permit acquisition for the Offshore Wind Generation Facility. Proposers should provide the following information:

1. Provide a comprehensive list of all the permits, licenses, and environmental assessments and/or environmental impact statements required to construct and operate the Project. Along with this list, identify the governmental agencies that are responsible for issuing approval of all the permits, licenses, and environmental assessments and/or environmental impact statements. If a Proposer has secured any permit or has applied for a permit, please indicate this in the response.
2. Provide the anticipated timeline for seeking and receiving the required permits, licenses, and environmental assessments and/or environmental impact statements. Include a Project approval assessment which describes, in narrative form, each segment of the process, the required permit or approval, the status of the request or application and the basis for projection of success by the milestone date. All requirements should be included on the Project Schedule as described in Section 6.4.12.
3. Provide the SAP and COP, if completed. If the SAP and/or COP are not completed, provide the status of development of these plans and a proposed plan and timeline for completion.

#### **6.4.11 Engineering and Technology**

Provide information about the specific technology or equipment including the track record of the technology and equipment and other information as necessary to demonstrate that the technology is viable.

1. Provide a preliminary engineering plan which includes at least the following enumerated information. If specific information is not known, identify manufacturers, vendors, and equipment that will be considered.
  - a. Type of foundation, Offer Capacity, and generator lead line transmission technology
  - b. Primary Components to be used
  - c. Manufacturer of each of the Primary Components as well as the location where each Primary Component will be manufactured
  - d. Status of acquisition of the Primary Components
  - e. Status of any contracts for the Primary Components that Proposer has secured or Proposer's plan for securing equipment and the status of any pertinent commercial arrangements
  - f. Equipment vendors selected/considered
  - g. Track record of equipment operations
  - h. How climate-related physical risks across the different components and asset classes of the Project have been considered
  - i. Design considerations (technology selection, layout) for climate adaptation and resiliency such as sea level rise and dynamic flooding events, potential impacts from increased frequency and severity of storms (e.g., superstorms, hurricanes, seismic



activity, etc.) and features that will strengthen the Project's ability to handle shocks and stresses

- j. Design considerations that help to support responsible disposal and or recycling of Primary Components after the end of their useful life and equipment plans that generally aim to consider the precepts of the circular economy.
  - k. In the event the Primary Components or Sub-component manufacturers have not yet been selected, identify in the equipment procurement strategy the factors under consideration for selecting the preferred equipment, including alignment with the considerations above, as well as the anticipated timing associated with the selection of the equipment manufacturer, including the timing for binding commercial agreement(s).
2. Describe the lighting controls that will be utilized on the Offshore Wind Generation Facility and explain how these controls comply with the minimum contract standards and the Offshore Wind Orders.

#### **6.4.12 Project Schedule**

A Proposer must demonstrate that its Project can be developed, financed, and constructed within a commercially reasonable timeframe. Proposer is required to provide sufficient information and documentation showing that Proposer's resources, process, and schedule are adequate for the acquisition of all rights, permits, and approvals for the financing of the Project consistent with the proposed milestone dates that support the proposed Commercial Operation Date(s).

Proposers are required to provide a complete critical path schedule for the Project from the notice of award to the start of commercial operations. Provide a detailed Gantt chart equivalent in a working Excel file (the required Project Schedule attachment) For each Project element listed below, provide the start and end dates:

1. Identify the elements on the critical path. The schedule should include, at a minimum, preliminary engineering, financing, acquisition of real property rights, Federal, state and/or local permits, licenses, environmental assessments and/or environmental impact statements (including anticipated permit submittal and approval dates), completion of interconnection studies and approvals culminating in the execution of the NYISO Interconnection Service Agreement, financial close, engineer/procure/construct contracts, start of construction, construction schedule, and any other requirements that could influence the Project schedule.
2. Describe the anticipated permissible offshore construction windows, and how the construction milestones will be accommodated within these windows.
3. Detail the status of all critical path items, such as receipt of all necessary siting, environmental, and NYISO approvals.

Provide a detailed plan and timeline for the acquisition of any additional rights necessary for interconnection and for the generator lead line right-of-way.

#### **6.4.13 Construction and Logistics**

This section of the Proposal addresses necessary arrangements and processes for outfitting, assembly, storage, and deployment of Primary Components. Please provide a construction and logistics plan that captures the following objectives:

1. List the major tasks or steps associated with deployment of the proposed Project and the necessary specialized equipment (e.g., vessels, cranes).
2. List the party or parties responsible for each deployment activity and describe the role of each party. Describe the status of Proposer's contractual agreements with third-party equipment/service providers.
3. Identify the marine terminals and other waterfront facilities that will be used to stage, assemble, and deploy the Project for each stage of construction.
  - a. If available, evidence that Proposer or the equipment/service provider have right(s) to use a marine terminal and/or waterfront facility for construction of the Project (e.g., by virtue of ownership or land development rights obtained from the owner).
  - b. If not available, describe the status of acquisition of real property rights for necessary marine terminal and/or waterfront facilities, any options in place for the exercise of these rights and describe the plan for securing the necessary real property rights, including the proposed timeline. Include these plans and the timeline in the overall Project Schedule in Section 6.4.12.
  - c. Identify any joint use of existing or proposed real property rights for marine terminal or waterfront facilities.
4. Describe the proposed approach for staging and deployment of Primary Components to the Project site. Include a description and discussion of the laydown facility/facilities to be used for construction, assembly, staging, storage, and deployment.
5. Indicate the number, type and size of vessels that will be used, their respective uses, and how vessels will be secured for the required construction period. Explain how Proposer's deployment strategy will conform to requirements of the Merchant Marine Act of 1920 (the Jones Act).

#### **6.4.14 Fisheries Mitigation Plan (See Appendix D)**

Proposers must include in their Proposal a Fisheries Mitigation Plan in as much detail as possible that describes how Proposer will mitigate adverse impacts on the commercial fishing industry that may be caused by the Project. A narrative description of the Fisheries Mitigation Plan should be included in the Proposal Narrative. The Elements of the Fisheries Mitigation Plan should be submitted as the required Fisheries Mitigation Plan attachment. Both confidential and public versions of the Fisheries Mitigation Plan must be included in the Submission. The public version of each Fisheries Mitigation Plan will be made publicly available upon Proposal submission and should therefore utilize language accessible to the public that demonstrates an understanding of New York's diverse stakeholders, unique coastal and marine resources, and local communities.

Elements of the Fisheries Mitigation Plan are described in detail in Appendix D. Proposers are advised to review the Fish and Fisheries Study prepared for the New York State Offshore Wind Master Plan with respect to the potential impacts of offshore wind energy development on the fishing industry, and also are advised to include in their mitigation plan the appropriate Best Management Practices described in the Master Plan, its supporting studies and more recent relevant work. NYSERDA recognizes that after submission to the agency, the Proposer may change and update the Fisheries Mitigation Plan to reflect findings during the environmental reviews conducted by BOEM or New York State.

#### **6.4.15 Environmental Mitigation Plan (See Appendix E)**

Proposers must include in their Proposals a detailed Environmental Mitigation Plan that describes how Proposer will mitigate adverse environmental impacts that may be caused by the Project. A narrative description of the Environmental Mitigation Plan should be included in the Proposal Narrative. The Elements of the Environmental Mitigation Plan should be submitted as the required Environmental Mitigation Plan attachment. Both confidential and public versions of the Environmental Mitigation Plan must be included in the Submission. The public version of each Environmental Mitigation Plan will be made publicly available upon Proposal submission and should therefore utilize language accessible to the public that demonstrates an understanding of New York's diverse stakeholders, unique coastal and marine resources, and local communities.

Elements of the Environmental Mitigation Plan are described in detail in Appendix E. Proposers are advised to review the environmental studies prepared for the New York State Offshore Wind Master Plan with respect to the potential impacts of offshore wind energy development on the environment, and also are advised to include in their mitigation plan the appropriate Best Management Practices described in the Master Plan, its supporting studies and more recent relevant work. As with the Fisheries Mitigation Plan, NYSERDA recognizes that after submission to the agency, the Proposer may change and update the Environmental Mitigation Plan to reflect findings during the environmental reviews conducted by BOEM or New York State. NYSERDA encourages Proposers to consider mitigation measures beyond those that may be legally required by environmental reviews completed under NEPA, SEQRA or other review laws.

#### **6.4.16 Stakeholder Engagement Plan (See Appendix F)**

Proposers must include in their Proposals a detailed Stakeholder Engagement Plan that describes stakeholder engagement activities and commitments during the planning, construction, operation, and decommissioning phases of the Project and associated investments (except for SCIP Facilities, which will be included in the Supply Chain Investment Plan Stakeholder Engagement Plan). A narrative description of the Stakeholder Engagement Plan should be included in the Proposal Narrative. The Stakeholder Engagement Plan itself should be submitted as the required Stakeholder Engagement Plan attachment. Both confidential and public versions of the Stakeholder Engagement Plan must be included in the Submission. The public version of each Stakeholder Engagement Plan will be made publicly available upon Proposal submission and should therefore utilize language accessible to the public that demonstrates an understanding of New York's diverse stakeholders, unique coastal and marine resources, and local communities.

Elements of the Stakeholder Engagement Plan are described in detail in Appendix F.

#### **6.4.17 Visibility and Viewshed Impacts**

Proposers must address a Project's visibility from shore. Identify the distance in statute miles between the nearest shoreline point and the nearest Offshore Wind Generation Facility turbines. If a Project is proposed to include turbines less than 20 statute miles from the nearest shoreline point of any state, Proposers must explain (i) how the Project will minimize adverse impacts related to visibility of turbines, including potential impacts on the local and state economy and historic and visual resources, such as publicly-accessible viewsheds, and (ii) how consideration of economic and environmental concerns contributed to the proposed distance from shore.

Additionally, all Proposals, regardless of distance from the nearest shoreline, must include a visibility study that presents visual simulations of the proposed Offshore Wind Generation Facility. Visibility studies must include a map or maps along with supporting GIS shape files that depict the nearest coastline, the boundary of the proposed site to be developed and any other reasonable reference points (e.g., coastal cities, historic sites, other wind energy areas). Simulations must be single frame, photographic images with superimposed simulations of the proposed wind turbine technology configured to represent a commercially-scaled and technically feasible scenario that is consistent with the proposed Project including operating capacity, wind turbine size, and generic spacing and configuration. Viewing instructions must be included on each simulation.

Visual simulations must represent, at a minimum, clear, partly cloudy, and overcast conditions during early morning, mid-afternoon, and late day, as well as one simulation at night with the turbines lit under clear conditions. Visual simulations must be provided from a minimum of two representative vantage points which represent the closest points to shore from any turbine within the Offshore Wind Generation Facility and, if applicable, any sensitive or historic viewpoints within 20 statute miles of the nearest turbine. The visibility study must also include analysis of the percentage of time during which different visibility conditions are expected to occur based on past meteorological data.

The simulations must be provided in a format suitable to be printed or electronically viewed by the public and/or the OREC Scoring Committee.

#### **6.4.18 Disadvantaged Community Impacts**

All Proposers are required to fully detail the benefits and burdens associated with the impacts of the Project's development on any hosting and/or proximate Disadvantaged Communities, as identified through engagement with Disadvantaged Communities, and in accordance with the most recent relevant guidance per the [Climate Action Council](#) and [Climate Justice Working Group](#). Benefits of project development may include establishment of education and training opportunities for members of Disadvantaged Communities, the hiring of residents from Disadvantaged Communities, or other investments identified as priorities for the community through documented engagements.

All Proposers are expected to explore how they can design their investments to provide benefits to and reduce burdens on Disadvantaged Communities in accordance with the 2020 CES Modification Order.

Commitments to Disadvantaged Communities must be described explicitly and will be incorporated in Section 6.05 of the Agreement. Proposers are encouraged to reference Appendix C.3, which describes categories of benefits to Disadvantaged Communities.

#### **6.4.19 New York Economic Benefits**

The Proposal Narrative should include a high-level summary of the Economic Benefits Plan for each Proposal included in the Submission, each Supply Chain Investment Plan included in the Submission, and the New York Jobs and Workforce Plan.

##### **6.4.19.1 Economic Benefits Plan (See Appendix C.1)**

The purpose of the Economic Benefits Plan is (i) to allow Proposer to document its approach to fulfilling the claims that are provided in the Offer Data Form, (ii) to allow Proposer to explain and justify its Incremental Economic Benefits claims, (iii) to help NYSERDA assess the credibility of the Incremental Economic Benefits claimed in the Offer Data Form, and (iv) to allow the Proposer to capture and explain perceived broader impacts and causal sequence of economic benefits that are otherwise not captured in the Offer Data Form.

The Economic Benefits Plan for each Proposal should be submitted in a separate required Economic Benefits Plan attachment. The Economic Benefits Plan attachments must include descriptions and supporting documentation for the included Incremental Economic Benefits claims, as described in provided in Appendix C.1, specifically Section C.1.B.2.

##### **6.4.19.2 Supply Chain Investment Plan(s) (See Appendix C.2)**

The Supply Chain Investment Plan should describe plans to leverage New York State Funding to support offshore wind staging, manufacturing, and/or other miscellaneous offshore wind related uses of port or manufacturing facilities that create real, persistent and sustainable institutional or labor capabilities in New York State, and that lower the cost of future offshore wind projects.

The Supply Chain Investment Plan(s) included in the Submission must align with the Proposer's Economic Benefit Plan(s) and associated claims of Incremental Economic Benefits in each Proposal as described in Appendix C.1 above; specifically, those claimed Incremental Economic Benefits associated with Category 2 that are predicated on New York State Funding. For the avoidance of doubt, New York State funds cannot themselves be counted as part of a Proposal's Incremental Economic Benefits.

Each Supply Chain Investment Plan must be submitted in a separate required Supply Chain Investment Plan attachment. The organization and contents of the Supply Chain Investment Plan should align with the structure outlined in Appendix C.2. If a Proposer's submission includes multiple Supply Chain Investment Plans, a separate SCIPDF must be submitted for each Supply Chain Investment Plan.

##### **6.4.19.3 New York Jobs and Workforce Plan (See Appendix H)**

Proposers must include a detailed New York Jobs and Workforce Plan that describes the Project's impact and benefit to New York's offshore wind workforce with specific focus on recruiting and collaborating with skilled trades / labor unions, members of Disadvantaged Communities, MWBEs and SDVOBs.

The New York Jobs and Workforce Plan itself should be submitted as the required New York Jobs and Workforce Plan attachment. Elements of the New York Jobs and Workforce Plan are described in detail in Appendix H. Both confidential and public versions of the New York Jobs and Workforce Plan must be included in the Submission. The public version of each New York Jobs and Workforce Plan will be made publicly available upon Proposal submission. It is strongly encouraged that Proposers review the latest [New York Clean Energy Industry Report](#).

#### **6.4.19.4 MWBE and SDVOB Economic Benefits**

Proposals will be required to state the amount of Incremental Economic Benefits that will accrue to MWBE and SDVOB contractors and subcontractors. These values will be indicated in the Offer Data Form and SCIPDF and should also be noted in the narrative Economic Benefits Plan. These Incremental Economic Benefits will receive greater weight in scoring and will be included in the Agreement as further described in Appendix C.1.

#### **6.4.20 Energy Storage**

For Proposals that include Energy Storage, the Proposer must provide a complete description and overview of the Energy Storage, describing the area included in and surrounding the Energy Storage site, local zoning, other applicable ordinances and municipal laws, the existing land use (e.g., woodlands, brownfield, agriculture, other) and setting (e.g., rural, urban, suburban, other) and what the Energy Storage site has been used for in the recent past. Provide a map indicating the proposed location of the Energy Storage. Describe how the Proposer or Energy Storage developer has or will have obtained site control for the proposed Energy Storage location.

The Proposer must identify the proposed Energy Storage interconnection point, and if different than the Offshore Wind Generation Facility Injection Point(s), describe what rights the Proposer or Energy Storage developer partner has to the Energy Storage interconnection point and provide a detailed plan and timeline for the acquisition of any additional rights necessary to utilize the Energy Storage interconnection point. If the Energy Storage has a separate NYISO interconnection request from the Project, the Proposer must provide a detailed plan and a reasonable timeline to complete the Energy Storage interconnection process with NYISO.

Describe the Proposer's or Energy Storage developer's prior experience with Energy Storage development. Describe any community engagement that the Proposer or Energy Storage developer has undertaken related to the Energy Storage. The Proposer must provide a complete description of the benefits and burdens associated with the development of the Energy Storage on any host communities or proximate communities designated as Disadvantaged Communities.

Include and describe the status and development stage of Energy Storage (development, construction, or operation). Describe the financing plan for the Energy Storage. Identify the required permits and plan to acquire them and provide a development schedule. Include information about the specific technology or equipment considered or selected, major equipment to be used, manufacturer or vendors considered or selected, equipment acquisition status, and equipment contract/agreement status.

Confirm that the Energy Storage will be included in the carbon accounting and treatment of embodied carbon utilized for the Project, or describe the different approach to carbon to be utilized for the Energy Storage.

The Proposer must provide a complete description and overview of the planned interconnection of the Energy Storage, including how the Proposer or Energy Storage developer plans to gain interconnection site control and any rights that must be obtained by the Proposer or interconnecting utility for the Energy Storage interconnection and a timeline for acquiring such rights. If applicable, fully describe the relationship of the site to other adjacent infrastructure, including planned or alternate points of interconnection. If the Proposer is planning on using an adjacent parcel or if the right of way is controlled by or assignable to the interconnecting utility that will own the interconnection facilities, clearly explain this in the narrative. Specify and describe the current or new interconnection facilities (lines, transformers, switching equipment, system control protection, etc.) that the Proposer owns or is intending to construct or have constructed.

Provide all assumptions used in preparing the energy profile provided in Part III of the Offer Data Form, and explain how the energy profile relates to the intended deployment strategy. The Proposer must provide the following:

1. System operating parameters
  - Manufacturer and model for major components (battery and inverter units, etc.), if known
  - Maximum continuous power (MW or kW, AC)
  - Total energy (MWh or kWh, AC)
  - Duration (hours)
  - Round trip efficiency (%)
2. Available specification sheets from manufacturer
3. Expected system degradation over the proposed operating period, schedule for re-racking if applicable, and expected useful life (must be at least 10 years)
4. If Energy Storage will be located at the Offshore Wind Generating Facility's Delivery Point, provide a diagram showing the arrangement of storage unit(s), inverter(s), meter(s), and interconnection.

Proposers should describe how the placement of the Energy Storage contributes to reducing carbon emissions through displacing fossil fuel generation. Proposer must fully describe the intended deployment and dispatch of the storage system over the contract term, and how the deployment will provide benefits to the downstate electric grid, including advancement of New York State's decarbonization goals. Example deployments may include:

- Dispatched to provide renewable integration and firm up a variable renewable energy resource
- Dispatched dynamically to reduce system peak demand or energy cost to load
- Available to provide ancillary services, e.g., reserves, voltage control, frequency regulation
- Available to provide distribution system support

Proposers should provide information that demonstrates the reliability, resilience, economic, and decarbonization benefits to the electric grid of including Energy Storage in the Proposal. Proposers are strongly encouraged to provide an assessment of the Energy Storage's impacts on regional transmission constraints and any benefits to local congestion and/or curtailment that is observed today or estimated due to the operation of future proposed generators. Proposers should also describe how the Energy Storage will improve utilization of the Project if applicable.

If an award includes Energy Storage, the Proposer must agree to reasonably participate in an Energy Storage Technical Working Group (ES TWG) and its associated activities.

#### **6.4.21 Reducing Carbon Emissions and Embodied Carbon**

Proposals should discuss how the Project will offset emissions in further contribution toward New York State's decarbonization goals, whether through Fossil Repurposing Proposals, integration of Energy Storage in strategic grid locations that support system reliability, or otherwise. The Proposal should demonstrate a commitment to understanding the carbon footprint of the Project overall and a description of how, by design, the Project is actively seeking opportunities to reduce the amount of embodied carbon.

To begin to provide some basic accountability for embodied carbon, the Proposal must describe the efforts undertaken by the Proposer, including any tools or methodologies used, to better understand and consider carbon intensity in design, sourcing and construction, and the steps that have been taken to minimize carbon emissions, including embodied carbon, from the proposed Project. The Proposer should also propose the methodology by which such reduction activities will be considered and integrated into the Project's design as the project evolves. Finally, the Proposer should include the proposed process by which the Proposer will validate, following commissioning of the Project, a final accounting of the Project's embodied carbon, including any methodology and certifiable environmental product declarations, to promote disclosure of the Project's ultimate carbon footprint and relatedly, the Project's energy and carbon payback periods.

NYSDERDA requires that Proposers describe the efforts undertaken by the Proposer to better understand and consider carbon intensity in design, sourcing and construction, and the steps that have been taken to minimize embodied carbon, from the proposed Project. Proposals must also describe the process by which the Proposer will account for embodied carbon on an ongoing basis as the Project evolves. This could include the sourcing and manufacturing of Primary Components such as platforms, turbines, cables, and substations, but should also consider associated activities such as construction, operation & maintenance, and decommissioning. This could also include opportunities to support carbon mitigation efforts in collaboration with New York State manufacturing sources.

### **6.5 Proposer Certification**

Proposer must complete and submit the Proposer Certification Form in Appendix B. The Proposer Certification Form must be signed by an authorized officer or other duly authorized representative of Proposer.



## **6.6 Exceptions to Agreement, SCIP Facility Funding Agreement and Capital Commitment Agreement**

If Proposer is proposing any exceptions to the Agreement, included as Appendix I, the SCIP Facility Funding Agreement, included as Appendix J, and/or the Capital Commitment Agreement, included as Appendix O, Proposer must provide a redlined markup of the Agreement, SCIP Facility Funding Agreement and/or Capital Commitment Agreement and provide an explanation and justification for each requested change. Proposers are encouraged to submit a description of any potential proposed exceptions in written questions as further described in Section 1.6.

Note that ORECRFP22-1 is a competitive procurement. Competitive procurement rules and the Offshore Wind Orders limit NYSERDA's ability to alter the terms of the Agreement, SCIP Facility Funding Agreement and Capital Commitment Agreement. Should the Project receive an award, NYSERDA will contact the Proposer to schedule a discussion regarding the terms identified in the redlined markup of the Agreement and/or Capital Commitment Agreement. Should a selected Project include a Supply Chain Investment Plan, NYSERDA will contact the Proposer and Funding Recipient(s) to schedule a discussion regarding the terms identified in the redlined markup of the SCIP Facility Funding Agreement.

## **7 POST-AWARD PROCESS**

### **7.1 Provision of Contract for Execution**

Upon successful completion of negotiations regarding the terms and conditions, NYSERDA will prepare a conformed copy of the Agreement (Appendix I) which will be delivered to the awarded Proposer, in a manner to be agreed upon, for Proposer's execution and return. NYSERDA may rescind an award should negotiations with the Proposer fail or should such negotiations continue unsuccessfully beyond a reasonable time, in NYSERDA's discretion, beyond the initial Award Notification Date.

### **7.2 Provision of Supply Chain Investment Plan Contracts for Execution**

If selected for conditional award, Proposers will be expected to work with NYSERDA to enter into one or more agreements with NYSERDA under which Proposer or its affiliate will make a contractual capital commitment (which may be in the form of a cash investment, anchor order or other type of capital depending on the approach taken in the Proposal) to the Supply Chain Investment Plan. This contractual commitment by the Proposer will be unconditional and will provide that to the extent the applicable Supply Chain Investment Plan is not available due to reasons beyond the Proposer's control, the Proposer will be required to make an alternative investment of equal or greater value reasonably acceptable to NYSERDA. If the counterparty to the Capital Commitment Agreement is not an Acceptable Guarantor (as defined in the Agreement), a letter of credit meeting the requirements described in the Agreement in the amount of the commitment must be provided.

Simultaneously, NYSERDA will work with the Funding Recipient(s) to finalize the form of a SCIP Facility Funding Agreement for each SCIP Facility covering the terms and conditions of the New York State Funding, based on the form of the SCIP Facility Funding Agreement attached hereto as Appendix J. Quarterly progress reporting is required during the design and construction phases of the SCIP Facility as described in Section V of the SCIP Facility Funding Agreement. If selected for award, Funding Recipients will be expected to provide preliminary quarterly reports prior to the execution of the SCIP Facility Funding Agreement.

### **7.3 Provision of Contract Security**

Upon successful completion of negotiations, Awardees will be required to provide Contract Security as described in Article XV of the Agreement.

If a SCIP is awarded, each Funding Recipient associated with a SCIP Facility included in that SCIP must, within 10 business days, issue "SCIP Award Security" to NYSERDA in the form of a letter of credit for an amount equal to 2% of the New York State Funding awarded to that Funding Recipient. For example, if a Funding Recipient is awarded \$100 million of New York State Funding, the SCIP Award Security for that Funding Recipient would be for \$2 million.

The SCIP Award Security letter of credit must be unconditional and provide that it can be drawn by NYSERDA if the SCIP Facility Funding Agreement is not executed on or before the date that is 30 calendar days following the date stated in the SCIP as the latest expected time of completion of the State Environmental Quality Review Act permitting for the SCIP Facility, unless (i) such deadline is

extended by NYSERDA in its sole discretion, (ii) there is a delay in execution of the SCIP Facility Funding Agreement that is solely attributable to NYSERDA or (iii) there is a delay in the execution of the SCIP Facility Funding Agreement caused by a Force Majeure (as such term is defined in the Agreement). Upon execution of the SCIP Facility Funding Agreement, (i) the SCIP Award Security will be released and (ii) the Funding Recipient will be required to provide "SCIP Contract Security" in the form of a letter of credit for an amount equal to 4% of the New York State Funding awarded to that Funding Recipient, as further described in the SCIP Facility Funding Agreement. The SCIP Contract Security will be released upon commencement of construction of the SCIP Facility.

## **8 GENERAL CONDITIONS**

### **8.1 Proprietary Information**

Consideration should be given before confidential information is submitted to NYSERDA as part of any Proposal. Proposers should consider and review whether information is critical for evaluation, and whether general, non-confidential information may be adequate for review and evaluation purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. The Public Officers Law includes exceptions to disclosure, including Section 87(2)(d) which provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Additional information submitted to NYSERDA that Proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to exempt it from disclosure, including a written statement of the reasons why the information should be exempted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 (<https://www.nyserda.ny.gov/about/new-york-state-regulations>).

However, NYSERDA cannot guarantee the confidentiality of any information submitted. NYSERDA reserves the right to make public, after the fifth anniversary of the award date, the Agreement executed with any awarded Proposal.

### **8.2 State Finance Law Sections 139-j & 139-k**

NYSERDA is required to comply with State Finance Law Sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <https://ogs.ny.gov/acpl>

Proposer must certify that he/she will comply with State Finance Law Sections 139-j and 139-k and provide a disclosure statement regarding whether Proposer has been found non-responsible under Section 139-j of the State Finance Law within the previous four years.

### **8.3 Tax Law Section 5-a**

NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the Department) whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf)). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department. The Department has created a second form that must be completed by a prospective contractor prior to contracting and filed with NYSERDA. See, ST-220-CA (available at

[http://www.tax.ny.gov/pdf/current\\_forms/st/st220ca\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

#### **8.4 Omnibus Procurement Act of 1992**

It is the policy of New York State to maximize opportunities for the participation of New York State business enterprises, including minority- and women-owned business enterprises, as Proposers, subcontractors, and suppliers on its procurement Agreements.

Information on the availability of New York subcontractors and suppliers is available from:

Empire State Development  
Division for Small Business  
30 South Pearl Street  
Albany, NY 12245

A directory of certified minority- and women-owned business enterprises is available from:

Empire State Development  
Minority and Women's Business Development Division  
30 South Pearl Street  
Albany, NY 12245

#### **8.5 Disclosure Requirement**

Proposer shall disclose any indictment for any felony, or any conviction for a felony within the past five years, under the laws of the United States or any state or territory of the United States and shall describe circumstances for each. When a Proposer is an association, partnership, corporation, or other organization, this disclosure requirement includes the organization and its officers, partners, and directors or members of any similarly governing body. If an indictment, investigation, enforcement proceeding, or conviction should come to the attention of NYSERDA after the award of a contract, NYSERDA may exercise its stop-work right pending further investigation, or terminate the agreement; the contractor may be subject to penalties for violation of any law which may apply in the particular circumstances. Proposers must also disclose if they have ever been debarred or suspended by any agency of the U.S. Government or the New York State Department of Labor.

#### **8.6 Press Releases and Media Contact**

Proposer shall not distribute any press release or contact the media until after the Agreement is executed by both parties and any New York State press releases regarding the awards have been issued. If Proposer wishes to contact the press regarding the award, Proposer must collaborate with NYSERDA's Designated Contacts and Director of Communications to prepare any press release and/or to plan for any announcement. NYSERDA reserves the right to make public, after the fifth anniversary of the Award Notification Date, the Agreement executed with any awarded Project.

### **8.7 Independent Entities/Limitation of Liability**

Neither this RFP nor any other aspect of this solicitation shall create an agency, partnership, joint venture, or co-tenancy relationship among the members of the Evaluation Team or any other individuals or entities involved in the development or administration of this RFP (collectively, the “RFP Parties”), nor any other relationship or liability beyond those (if any) explicitly adopted in writing and executed by authorized representatives of the applicable RFP Parties. None of the RFP Parties shall be liable for any act or omission of any other RFP Party. Neither this RFP nor any other aspect of this solicitation creates or is intended to create third-party beneficiaries hereunder. In no event will an RFP Party be liable to any person for special, incidental, punitive, exemplary, indirect or consequential damages or lost profits, whether by statute, in tort or contract or otherwise.

### **8.8 Vendor Assurance of No Conflict of Interest or Detrimental Effect**

The proposer shall disclose any existing or contemplated relationship with any other person or entity, including any known relationships with any member, shareholders of 5% or more, parent, subsidiary, or affiliated firm, which would constitute an actual or potential conflict of interest or appearance of impropriety, relating to other clients/customers of the proposer or former officers and employees of NYSERDA, in connection with proposer’s rendering services as proposed. If a conflict does or might exist, please describe how your company would eliminate or prevent it. Indicate what procedures will be followed to detect, notify NYSERDA of, and resolve any such conflicts.

The proposer must disclose whether it, or any of its members, or, to the best of its knowledge, shareholders of 5% or more, parents, affiliates, or subsidiaries, have been the subject of any investigation or disciplinary action by the New York State Commission on Public Integrity or its predecessor State entities (collectively, the “Commission on Public Integrity”), and if so, a brief description must be included indicating how any matter before the Commission on Public Integrity was resolved or whether it remains unresolved.

### **8.9 Public Officers Law**

For any resulting awards, the Contractor and its subcontractors shall not engage any person who is, or has been at any time, in the employ of the State to perform services in violation of the provisions of the New York Public Officers Law, other laws applicable to the service of State employees, and the rules, regulations, opinions, guidelines or policies promulgated or issued by the New York State Joint Commission on Public Ethics, or its predecessors (collectively, the “Ethics Requirements”). Proposers are reminded of the following Public Officers Law provision: contractors, consultants, vendors, and subcontractors may hire former NYSERDA employees. However, as a general rule and in accordance with New York Public Officers Law, former employees of NYSERDA may neither appear nor practice before NYSERDA, nor receive compensation for services rendered on a matter before NYSERDA, for a period of two years following their separation from NYSERDA service. In addition, former NYSERDA employees are subject to a “lifetime bar” from appearing before any state agency or authority or receiving compensation for services regarding any transaction in which they personally participated, or which was under their active consideration during their tenure with NYSERDA.

Any awardee will be required to certify that all of its employees, as well as employees of any subcontractor, whose subcontract is valued at \$100,000 or more who are former employees of the State and who are assigned to perform services under the resulting contract, shall be assigned in accordance with all Ethics Requirements. During the term of any agreement, no person who is employed by the contractor or its subcontractors and who is disqualified from providing services under the contract pursuant to any Ethics Requirements may share in any net revenues of the contractor or its subcontractors derived from the contract. NYSEDA may request that contractors provide it with whatever information the State deems appropriate about each such person's engagement, work cooperatively with the State to solicit advice from the New York State Joint Commission on Public Ethics, and, if deemed appropriate by the State, instruct any such person to seek the opinion of the New York State Joint Commission on Public Ethics. NYSEDA shall have the right to withdraw or withhold approval of any subcontractor if utilizing such subcontractor for any work performed would be in conflict with any of the Ethics Requirements. NYSEDA shall have the right to terminate any contract at any time if any work performed is in conflict with any of the Ethics Requirements.

### **8.10 Due Diligence**

NYSEDA, at its discretion, may conduct broad due diligence to validate any or all elements of an application and to assess applicants' prospects of success, including gathering information to assess a proposal relative to any of the topics listed in evaluation criteria, whether or not such topic is explicitly addressed in a proposal. NYSEDA may conduct due diligence on some or all proposals based on NYSEDA's current guidelines at the time of a review. NYSEDA Staff may follow up with proposers to request additional information or clarification regarding applicant's proposal, including questions regarding applicant's business prospects and resources, whether or not those questions are specifically related to the elements of the proposal. Additionally, customized due diligence may be conducted by internal or external staff or contractors based on questions on any Proposal raised by NYSEDA Staff, the OREC Scoring Committee and/or the SCIP Scoring Committee. Due diligence may include (but is not limited to): interviews of independent references and background checks of team members; assessment of prior business experience of any team member associated with a proposal; research on intellectual property claims; customer and partner reference checks; market research on the applicants' target market and any other related or possibly competitive technology or market area; research to validate any assumptions on current or future revenues, costs, capital needs, and financing prospects for proposers' business, including similar (or unrelated) technologies, processes, or competitive solutions; or any other research that could reasonably inform the evaluation of a proposal, or the prospects for commercial success of the proposers' business (whether directly related to, or unrelated to the specific elements in a proposal). Due diligence may include discussions with proposers' former and current business partners, employees, investors, customers, and competitors. Due diligence may be conducted by NYSEDA personnel or contractors including members of the OREC Scoring Committee and/or the SCIP Scoring Committee, before, during, or after a scoring process, and prior to finalization of a contract award, any information gleaned in diligence may be used to score or re-score a proposal or apply a program policy factor.

### **8.11 Executive Order No. 16**

Pursuant to Executive Order No. 16 issued on March 17, 2022, all vendors responding to bids or contracting with New York State must certify, using the form noted in Section 1.4 and in Appendix A, their status with regard to conducting business operations in Russia, and that any such business operations in Russia conducted on behalf of the vendor are determined to be permitted under any of the allowable exemptions. The term vendor is intended to encompass bidders prior to contract award, contractors who have received a contract award, contract assignees, or contractors for whom an extension to an existing contract is being pursued. Exemption decisions are in NYSERDA's sole discretion and are final decisions. NYSERDA reserves the right to solicit additional materials or information regarding the responses or materials provided by a vendor.

Pursuant to Executive Order No. 16, all vendors will be vetted to ensure that they are not on the federal sanctions list at <https://sanctionssearch.ofac.treas.gov/>. There is no waiver or exemption process for vendors appearing on the federal sanctions list.

The Executive Order remains in effect while sanctions imposed by the federal government are in effect. Accordingly, vendors who may be excluded from award because of current business operations in Russia are nevertheless encouraged to respond to solicitations to preserve their contracting opportunities in case sanctions are lifted during a solicitation, or after award in the case of some solicitations.

### **8.12 Executive Order No. 192**

As per Executive Order 192, NYSERDA is required to do business only with responsible entities. As a result, a Vendor Responsibility Review will be conducted for all ORECRFP22-1 Proposers. Proposers and Funding Recipients are required to complete the [Vendor Responsibility Checklist](#) and submit it with the Proposal. The Vendor Responsibility Checklist requires that the entity answer a series of questions regarding the entity, and the directors, employees and agents of the entity and any affiliate of the entity with respect to: (1) current investigation(s) by any governmental agency; (2) convictions or established liability for any act prohibited by State or Federal law in any jurisdiction involving conspiracy, collusion or other impropriety with respect to offering on any contract; or (3) any debarment action (detail any exceptions), within the last 4 years.

The Vendor Responsibility Checklist will also include the Proposer's or Funding Recipient's attestation regarding the accuracy and truthfulness of the information and documentation provided. NYSERDA will review the responses to the Vendor Responsibility Checklist and reserves the right to make a determination of vendor responsibility if a non-responsibility concern is noted.





**NYSERDA**

**Electric Power Transmission and Distribution (EPTD)  
Future Grid Challenges  
Program Opportunity Notice (PON) 4393  
Round 3**

*All, some, or none, of the available funds may be awarded  
NYSERDA reserves the right to extend and/or add funding to the  
Solicitation should other program funding sources become available.*

Round 3 Proposals Due: **November 2, 2022** by 3:00 PM EST

The New York State Energy Research and Development Authority (NYSERDA) will issue a series of challenges through 2023 that have been defined in collaboration with the Joint Utilities of New York and NYSERDA internal teams. Each challenge presents an opportunity to improve the performance and validate value propositions for the electric power delivery system as it evolves with increasing renewable penetration. The projects also help establish a pathway for products and services to gain market entry by addressing existing technical and economic barriers. This PON will target the recommendations made by the Advanced Technology Working Group (ATWG) that were issued by the Department of Public Service (DPS) Case 20-E-0197, Order on Transmission Planning Pursuant to the Accelerated Renewable Energy Growth and Community Benefit Act.

Each round of this solicitation may have one or more challenges with available funding caps set per challenge. Program updates can be found on NYSERDA’s Smart Grid website:

<https://www.nyserdera.ny.gov/All-Programs/Programs/Smart-Grid-Program>

Submissions must demonstrate significant improvements over the current state addressed by the challenges. The primary objective of the program is to accelerate the stakeholder’s operational goals that promote a high performing smart grid with a diverse supply of clean energy generation resources, enhanced overall electric grid performance and enable customers to reduce their energy costs, energy consumption, and environmental impacts. Additional objectives include the development of smart grid technologies and their commercialization and deployment in New York State.

<b>Round</b>	<b>Future Grid Challenge</b>	<b>Proposal Due Date<sup>1</sup></b>
<b>3</b>	<b>Open</b>	<b>November 2, 2022</b>
<small>1 - Dates are subject change. Proposers should check NYSERDA’s website for the latest updates</small>		

**Proposal Submission** – Online submission is preferable. Proposers may submit Word, Excel, or PDF files (file formats include csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls,xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For

ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. NYSERDA will also accept proposals by mail or hand-delivery if online submission is not possible. For detailed instructions on how to submit a proposal (online or paper submission), click the link "[Application Instructions and Portal Training Guide](#) [PDF]" located in the "Current Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted except by contacting Christopher Cheng (Designated Contact), (518) 862-1090 ext 3436 or Michael Razanousky (Designated Contact) (518) 862-1090 ext 3245 or by e-mail [smartgrid@nyserda.ny.gov](mailto:smartgrid@nyserda.ny.gov). If you have contractual questions concerning this solicitation, contact Venice Forbes, (518) 862-1090 ext 3507 or by email [venicesolicitations@nyserda.ny.gov](mailto:venicesolicitations@nyserda.ny.gov). Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

**\* All proposals must be received by 3 p.m. Eastern Time on the date noted above. Late, faxed, or emailed proposals will not be accepted.** Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal. Please note for online submission, there are required questions that you will have to answer in addition to uploading attachments and you should allot at least 60 minutes to enter/submit proposals. The online proposal system closes promptly at 3 p.m. Eastern Time, files in process or attempted edits or submission after 3 p.m. Eastern Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on the "Current Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

## ***I. INTRODUCTION***

The future transmission and distribution system will be dramatically different from that which is in place today. Systematic improvements to grid investments and operations are possible at all levels of the grid and are an essential element of the transformation of the grid and enable market development envisioned by the Climate Leadership and Community Protection Act. In 2016, the Joint Utilities of New York filed their first Distributed System Implementation Plan (DSIP) that describes current capabilities and future goals. Each utility has since filed DSIP updates that include their unique system challenges. This solicitation seeks to make investments that accelerate the realization of an advanced, digitally enhanced and dynamically managed high-performing electric grid for New York State. The focus of this solicitation will enable innovative solutions that directly address the areas of technology development that the ATWG<sup>1</sup> recommend among others. Additionally, there are other stakeholders such as building, EV, EV charger and storage owners that can influence the performance of the grid. These stakeholders also face challenges to effectively manage their assets for customers while optimally operating with the grid.

Projects that promote high performing smart grid technologies, components and/or systems within the New York regulated electric service territories (Consolidated Edison, Orange and Rockland, New York State Electric and Gas (Avangrid), Rochester Gas and Electric (Avangrid), Central Hudson Gas and Electric, and

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<sup>1</sup> Case 20-E-0197

National Grid) and meet the Program Requirements are eligible for funding under this solicitation. The program strives to coordinate its activities with the Climate Leadership and Community Protection Act. **All projects must demonstrate broad public benefits to New York State.**

Proposals will be evaluated in three distinct project categories listed below in Section III and scored on the evaluation criteria listed in Section VI of this solicitation. All the submissions will be reviewed by a scoring committee comprised of both internal NYSERDA staff and outside experts. All Proposals will be evaluated according to the quality and level of detail provided within page limits. Proposals must include substantive documentation addressing all scoring criteria items. NYSERDA, at its sole discretion, may ask for an in-person presentation of a Proposal before making a funding decision.

## ***II. CHALLENGE AREAS***

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This program will have multiple rounds. Each round will have a challenge area from one or more utility, other stakeholder segment, and/or open to specific technologies of interest. Proposers should check each round for the specific challenge area or areas. NYSERDA reserves the right to add, delete, or modify any of the challenges over the course of the solicitation. Proposals in Round 3 should address one or more of the following challenge areas.

### **Round 3**

1. **Improved transmission utilization**
2. **Power flow control devices**
3. **Energy storage for Transmission and Distribution services**
4. **Tools for improving operator situational awareness**
5. **Transformer monitoring**
6. **Advanced high-temperature, low sag conductors**
7. **Compact tower design**
8. **Distribution Energy Management Systems (DERMS)**
9. **Grid impacts from offshore wind integration**

[Proposals for topics not listed should contact the Designated Contact to determine eligibility.](#)

[Topics that are excluded from this solicitation are: Microgrids and Dynamic Line Rating.](#)

Questions regarding this round should be directed to the Designated Contacts, Michael Razanousky, 518-862-1090 ext. 3245, or Christopher Cheng, 518-862-1090 ext. 3436 or email [smartgrid@nyserda.ny.gov](mailto:smartgrid@nyserda.ny.gov)

## ***III. PROJECT CATEGORIES***

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This solicitation includes three project categories. **Proposers must indicate under which category they are proposing.** Proposers should give careful consideration under which category to propose, as Proposal requirements differ, so inappropriate choices could negatively affect project selection results. Proposers are encouraged to contact NYSERDA (see cover page for instructions) with technical questions to promote complete understanding of the project categories as described below. One or all project categories may be utilized in a single proposal.

**Cost Sharing** - The proposal should show non-NYSERDA funding that meets the minimum requirement of the total project cost. Cost sharing can be from the proposer, other team members, and other government or private sources. Contributions of direct labor (for which the laborer is paid as an employee) and purchased materials may be considered "cash" contributions. Unpaid labor, indirect labor, or other general overhead may be considered "in-kind" contributions. NYSERDA will not pay for efforts which have already been undertaken. The proposer or proposing team cannot claim as cost-share any expenses that have already been incurred.

Category	Maximum NYSERDA Funding Per Award	Total Project Cost Share
Category A: Product Development	\$ 3,000,000	50%
Category B: Demonstration	\$ 3,000,000	50%
Category C: Study	\$ 400,000	25%

### Category A: Product Development

- Includes any work focused on bringing a new or improved product or service to market, including technical feasibility, business case feasibility, market analysis, proof of concept, product design, engineering, scale up, and field testing. Field testing is the stage in which a technology, not yet commercially available with a warranty, is operated in real world conditions with results used for product iteration, market validation, or customer engagement. Projects under this category include the development and commercialization of technologies and products for improving the resiliency, reliability, quality and efficiency of the electrical power delivery system. Note that bench-scale testing and field verification or testing may be included in Category A projects. Product Development projects may lead to a project proposal under Category B: Demonstration Projects to prove out the potential product or technology at a New York State site. **Note: Product Development projects are subject to NYSERDA’s recoupment terms described in Section VIII.**

### Category B: Demonstration

- A project intended to increase sales or usage of a commercialized product already in the marketplace, with results used to generate objective performance information for customers or policymakers. At this stage, the product is available for commercial sale and warranted. While incremental improvements may be incorporated based on the demonstration results, the final product design is essentially complete. Projects in this category **should not** include technology or product development tasks. If technology or product development tasks are necessary, consider proposing in Category A. Projects in Category B should demonstrate innovative new or under-utilized products or technologies in pioneering applications. Proposers must clearly identify whether the demonstration project will support either transmission or local distribution operations.

### Category C: Study

- Projects under this category may explore effects and feasibility of new technology deployment, public policies, business models, planning methods, cost recovery models or other areas of analysis. Additionally, under this category studies that assess the design and effectiveness of demonstrating new or under-utilized technologies at a New York site.

NYSERDA reserves the right to negotiate the project category, scope of work, budget and funding levels on all awarded projects. Funding requests exceeding \$250,000 from NYSERDA shall be funded in phases separated by Go/No-Go decision points that will be evaluated by NYSERDA staff and the host utility.

Projects using multiple categories must also incorporate phases with Go/No-Go decision points. For example, a proposer may request consideration of a project that involves a Category A, Phase I Product Development, for product design of a new technology, then a Go/No-Go Decision into Phase II Category B, Demonstration, to validate performance.

- a. Projects with multiple categories shall briefly describe how it will complete the initial phase(s) and the following phase(s) along with significant milestones and provide an estimate of the total cost and schedule for each phase.
- b. Any contract awarded to fund projects with multiple categories does not in any way obligate NYSERDA to fund any more than the first phase. NYSERDA reserves the right to negotiate project Categories if it determines the project's efforts are a better fit for a different project Category.
  - i. NYSERDA anticipates issuing a contract with a maximum, "not-to-exceed" amount with subsequent phases only being awarded on a contingent basis as described below.
  - ii. NYSERDA reserves the right not to move forward with subsequent phases dependent on project success and availability of funding. Later phases may be funded if, in NYSERDA's sole discretion, milestones from the previous phase have been satisfied, there is still significant potential market impact, and sufficient program funds remain.
  - iii. NYSERDA expects it may award more contingent funding, due to project attrition, than is available for this program.
  - iv. At the end of each phase, project outcomes will be evaluated to determine if the project will continue to be funded.

Winning proposers will be expected to conduct review meetings for all Go/No-Go Decisions and completion of phases.

NYSERDA encourages teaming arrangements that compliment core competencies to increase probability of success and commercialization of technologies that yield New York State benefits. Teams may include commercial firms, manufacturers, large original equipment manufacturers (OEM), industry associations, research organizations, universities, government agencies, corporate strategic partners, strategic investors, end-users, and other stakeholders. Include letters of commitment from each identified team member in the appendix to the proposal. To the extent possible, the team member responsible for commercializing the technology should be the proposer.

If teaming arrangements cannot be accommodated to fulfill the entire scope of a challenge, NYSERDA will accept proposals that address the area of expertise of the proposer.

#### ***IV. PROGRAM REQUIREMENTS***

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Projects proposed for funding must:

1. Address an innovative technology that improves the resiliency, reliability, performance, efficiency and provide new services for the electric power grid while meeting or exceeding the requirement for the challenge area.
2. Provide direct and quantifiable energy, environmental, and/or economic benefits to New York State such as emissions reductions (such as greenhouse gases and criteria air pollutants), job creation, product manufacturing and sales, increased resiliency and reliability, higher efficiency, and reduced electric costs.

3. Include a project budget using the Attachment E, Budget Form, showing total project cost and proposer cost share. Include a cost-sharing breakdown by project task in the Statement of Work (Sample Statement of Work included as Attachment B).
4. Satisfy recoupment obligations to NYSERDA for any new technology or product development effort requesting cumulative NYSERDA funding over \$75,000 upon product commercialization (see terms and conditions in Attachment F, Sample Agreement).
5. Demonstrate that the proposer and/or team of proposers are qualified to carry out the submitted project proposal.
6. Provide a strong rationale as to how the project will overcome barriers impeding the implementation or adoption of any new or under-utilized technology.
7. For projects that develop technologies or products, emphasize development and/or applications of marketable products for near-term commercialization, rather than basic research, and provide an assessment of the addressable market, and discuss an appropriate commercialization path and potential for manufacturing in New York State. Note that even in early-stage projects, initial activities focusing on commercialization (or technology deployment) paths and challenges are essential to assessing benefits, risks, and future resource requirements.
8. For demonstration projects, clearly identify how this project will increase sales or usage of a commercialized product already in the marketplace, generate objective performance information for customers or policymakers, and how such demonstration will lead to increased use of the product in New York State. **Demonstration projects must be installed within New York State. See additional requirements for Demonstration Projects below.**
9. Provide a letter of commitment from all funding sources and partners.
10. Demonstrate that the project and funding request addresses the challenge with technology advancements that are not being addressed adequately by current industry practices and/or federal and/or other state research priorities and funding. Include a cost and New York statewide public benefit analysis to justify allocation of funds.
11. Conduct technology transfer meetings to the stakeholders in the state including the Joint Utilities of New York and the Department of Public Service Staff, industry and other utilities without disclosing utility-specific trade-secrets and/or intellectual property.

#### **Other Considerations**

- A proposal may be considered non-responsive if it fails to comply with the requirements of this solicitation.
- Prior to an award being made, potential contractors may be required to demonstrate access to financial resources sufficient to perform the proposed work, technical experience and adequate facilities (or the ability to access them), a good performance record, and the ability to qualify for an award under applicable laws and regulations.
- Preference will be given to proposers that provide higher cash contributions towards project costs.
- External funding partnerships are encouraged to leverage limited New York State resources. Proposers are encouraged to develop projects that leverage funding with external resources partners such as other research and development organizations.
- Proposers may be required to make an in-person presentation, at any time during the open solicitation period, to NYSERDA and/or host utility prior to a final decision being made.

#### ***ADDITIONAL PROGRAM REQUIREMENTS FOR CATEGORY B DEMONSTRATION PROJECTS ONLY***

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Projects selected for funding **must**:

1. Be installed within an appropriate timeframe that aligns with the challenge's schedule, but no longer than 24 months after contract execution unless a longer period is approved by the NYSERDA Project Manager.
2. Address safety issues, including public safety, that are applicable to the demonstration project.
3. Comply with all applicable building, fire, electrical, and interconnection codes, standards, and requirements.
4. Provide equipment sensors, instrumentation, and a complete data acquisition system for remote monitoring and reporting as specified below.
5. Demonstrate the technology viability and monitor the performance, characteristics, and benefits for a period adequate to meet project goals. If the period is under 18 months, the proposer must discuss why the proposed time is adequate. Unless the proposer demonstrates a compelling reason otherwise, at least 365 operating days of data will be required after commissioning.
6. Present an economic analysis of the proposed technology demonstration including an estimated benefit/cost analysis (BCA), and a plan to measure the actual BCA during the demonstration based on the host utility's BCA handbook. The ability to translate the results to other utilities' BCA handbooks. Commercially available proof of technology and its warranty is required.

#### Data Acquisition Requirements

NYSERDA intends to provide system level operation and performance information, including economic performance information, to all interested stakeholders (ex. New York electric utilities) and the general public on each of the demonstration projects funded under this solicitation. In order to meet this objective, each demonstration project must provide sufficient instrumentation and data transmittal, and analytical capabilities to allow the collection and analysis of technical and economic performance data.

The demonstration project proposal should include system operating data to be used for evaluation and generation of reports on the overall performance of the technology being demonstrated. Data acquisition sampling rates must be adequate to characterize the benefits and the value proposition of the proposed application. For example, sampling rates for applications designed to enhance power quality or system stability would be much higher than sampling rates for peak shaving or arbitrage applications. In the event that the demonstration system performs multiple activities, the system must provide for the collection of data for all activities. All raw and summary data collected at the project sites must be archived and protected from loss on permanent media.

#### Benefits Data Tracking and Reporting

Data sufficient to demonstrate the energy, environmental, and/or economic benefits defined in the proposal must be measured, collected, analyzed, and recorded. For applications that claim multiple benefits, the proposed data and analysis methods must adequately support the claimed benefit for each of the benefits specified in the proposal.

#### Reporting Requirements

The proposal must identify the project team member who will be responsible for the preparation and delivery of periodic written project reports. System operational summary information must be generated regularly and be included in progress reports. At a minimum, the system operational summary information must include the following:

- Raw data.
- System performance summary.

- Summary of system reliability and failure rates.
- A written summary of the economic benefit derived for the time period.
- A written summary of all operations and maintenance activities for the time period.
- System dispatch information and use patterns associated with the project, as appropriate.
- Energy consumption breakdown of parasitic loads introduced by the demonstration system, as appropriate.
- System performance under typical utility fault conditions, e.g., lightning strikes, primary phase to ground faults, voltage sags/spikes, electric outages, etc., as appropriate.
- System performance under user fault conditions, e.g., fault in customer plant, as appropriate.

Reports must be generated that consolidate all the information from the reports and summarize demonstration system performance for the preceding year.

#### Historical Performance Data Reporting

Where appropriate to document project benefits, historical utility system operational data prior to the installation of the demonstration system is required in order to provide credible baseline data on electrical system performance before and after the installation of the demonstration system. Information concerning load profiles, peaks, overloads, faults, power quality events, and any other information required to fully characterize the operation of the electrical utility at the demonstration site prior to installation of the demonstration system must be collected by the proposer for a reasonable period of time. Comparison information must be made part of the progress reports.

## ***V. PROPOSAL REQUIREMENTS***

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### **Prior to Submission**

Prior to submitting a Proposal to this solicitation, any proposers may communicate with NYSERDA's Designated Contact to discuss a concept and its potential responsiveness to this solicitation. Communication with NYSERDA staff prior to submission is entirely optional and is not required prior to submission.

### **Submissions and Review**

Proposals determined to be compliant with application procedures and responsive to the solicitation will be subject to review by a scoring committee comprising NYSERDA, the host utility (for utility challenges) and external technical experts in accordance with Section VI, Proposal Scoring Criteria. Only the most technically meritorious Proposals will be awarded an invitation from NYSERDA to enter into a contract. Proposals not meriting an award for contracting may be debriefed.

To submit a Proposal, complete the Proposal Narrative form-fillable document as part of the PON (Attachment A). The Funding Category must be clearly indicated. The Proposal Narrative contains the following sections:

- Executive Summary
- Problem Statement and Proposed Solution
- State of Research and Technology Targets
  - Attachment C: Technology Readiness Level/Commercial Readiness Level Calculator
- Commercialization Potential of Proposed Product
  - Attachment D: Three-Year Financial Projections Worksheet



- Demonstration Project Information (Category B)
- Statement of Work (Attachment B) and Schedule
- Project Benefits
- Budget Form (Attachment E)
- Proposer Qualifications
- Letters of Support
- Attachments

**Proposers must carefully review the Proposal Narrative to ensure that all required sections are completed. Failure to do so may result in the proposal being rejected as non-responsive.**

**Note: The proposer’s goal should be to concisely present the information needed to fully address the scoring criteria (see Section VI). Proposals that grossly exceed the word limits or fail to follow the format guidelines may be rejected as non-responsive. Proposals deemed non-responsive will not be eligible for awards. If you believe proprietary information must be submitted to provide an adequate proposal, you must comply with the Section VIII instructions for submitting proprietary material. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective proposal may reduce, rather than increase, a proposal’s standing per the scoring criteria. Each page of the proposal should state the name of the proposer, the PON number (PON 4393), and the page number.**

## ***VI. PROPOSAL SCORING CRITERIA***

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Proposals will be reviewed by a Scoring Committee and will be scored and ranked according to the following criteria. After the submissions are reviewed, NYSERDA will issue a letter to each proposer indicating its Proposal evaluation results. Proposers receiving favorable evaluations will be invited to enter into contract negotiations with NYSERDA. After initial review of the Proposal, the Proposer, at NYSERDA’s sole discretion, may be asked to address specific questions or provide additional information, either in writing or through an interview, as part of the Proposal scoring process. The Proposer will be required to submit a detailed Statement of Work, Budget, and Schedule, and may also be asked to address specific recommendations of the Scoring Committee before contract award.

### **PROPOSAL SCORING CRITERIA:**

#### **Proposed Solution –**

- Does the proposed project specifically address the problem or opportunity identified in the challenge area and does it show potential to make significant progress towards the goals?
- Is the proposed work technically feasible, innovative, and superior to alternatives?
- Is the solution likely to be effective in advancing the technology to market?
- How appropriate are the cost, technical, performance and commercialization goals for the proposed technology or product?
- Does the proposer exhibit an understanding of the state-of-the-art, competing products and alternative designs?
- Does the proposed solution have a high potential for commercialization, addressing demonstrated customer needs and significant markets?
- Is an appropriate performance monitoring and data analysis effort included in the proposal?
- How much of a commitment has been made for the field demonstration, if applicable?

**Proposer / Team Qualifications –**

- Has the proposer provided evidence of being qualified to perform the proposed work based on the qualifications of the organization(s) and the involved individual(s)?
- To what degree does the proposer and team have the necessary technical and business background and experience?
- Has the proposer's team previously commercialized any products?
- How firm are the commitments and support from essential participants: hardware/software vendors, end users/customers, developers etc.?
- Has the proposer provided evidence of good past performance on other relevant projects and quantified benefits to end-users?
- Are the team member's roles and responsibilities defined and reasonable?

**Statement of Work and Schedule –**

- Are the proposed tasks reasonable and complete in details to fully understand the execution plan and how they will achieve the goals of the challenge?
- Does the Statement of Work include a benefit cost analysis (BCA) of the technology based on the sponsor utility(ies)'s approved handbook?
- Is the Statement of Work well organized, complete, and appropriate for the technical performance identified?
- How realistic is the schedule for achieving the goals of the proposed project?
- Are Go/No-Go decision points incorporated at between logical task/phase completion and funding requests.

The following criteria apply to Category B projects only:

- Are the data acquisition, monitoring, and reporting plans reasonable and do they meet the requirements in Section IV, ADDITIONAL PROGRAM REQUIREMENTS FOR CATEGORY B DEMONSTRATION PROJECTS ONLY?
- Is the benefits tracking plan reasonable and does it meet the requirements in Section V, ADDITIONAL PROGRAM REQUIREMENTS FOR CATEGORY B DEMONSTRATION PROJECTS ONLY?
- If monitoring baseline utility system operation is necessary to document system benefits, does the Statement of Work include a provision to adequately gather baseline utility operational data and economics?

**New York State Impact and Project Benefits –**

- To what extent does the project support Climate Leadership and Community Protection Act and grid modernization in general for New York State?
- Will there be economic benefits in New York State in the form of subsequent manufacturing or technical service activity, intellectual property creation, revenue-generation, or job creation?
- How well are the potential benefits to New York State quantified?
- How likely is it that the projected benefits will be realized?
- Will the benefits be realized by disadvantaged communities in New York State?
- How significant are the potential reductions in GHG emissions or energy use resulting from the project?
- Are the technical risks identified, appropriately addressed, and balanced by project benefits?
- Does the proposal address an innovative technology that improves performance, quality or reliability / resiliency of the electric power system?

### **Project Cost and Value –**

- Is the overall project cost justified and reasonable based on the level of effort proposed and the expected outcome and benefits?
- How significant is the potential market opportunity relative to the project cost?
- How appropriate are the proposer's co-funding contributions (sources and amounts) with respect to the degree of risk, potential to benefit from the work, and financial status of the organization?
- How firm are the commitments and support from essential participants, co-funders, and related businesses and other organizations?
- Are the overhead rates reasonable and supported with appropriate documentation?
- Are equipment, facility, material, and travel costs based on reasonable estimates?
- Are the labor rates reflective of the industry?

### **Business/Commercialization Plan –**

- Does the proposed project scope show a clear path to widescale adoption by New York utilities, including development of rate cases for additional investment or other appropriate actions?
- How widely deployed can the technology be, both in New York and globally if successfully demonstrated?
- Does the proposer demonstrate a clear understanding of the steps required to overcome the barriers the challenge addresses?
- Does the proposal identify competing and alternate solutions, and clearly show why the solution is superior to, price competitive with, or provides value compared to alternative solutions or the current status quo?
- Is this the first application of the proposer's solution or is it expanding upon previous experience?

**Other Program Policy Factors** – In addition to considering how project Proposals satisfy the Scoring Criteria listed above, NYSERDA reserves the right to make funding decisions on the basis of other Program Policy Factors, including but not limited to:

#### **New York State Energy Mission Alignment**

- The degree to which the proposed project will advance the goals of the State Energy Plan / Clean Energy Fund / REV.
  - The State Energy Plan / Clean Energy Fund / REV goals include improving resilience and reducing greenhouse gas emissions. <https://rev.ny.gov/>
  - Project continues to contribute to one or more of NYSERDA's key statutory goals. <https://www.nyserda.ny.gov/About>

#### **Program Portfolio Value and Optimization**

- The degree to which NYSERDA ongoing funding, (incl. cost shares), will make a difference in the technology impact, acceleration of transformational advances and project success.
- The degree of overlap with other state and federal programs.
- The degree to which there are technical, market, organizational and/or environmental risks associated with the projects that outweigh the potential benefits.
- The past performance of the proposer on other technical and business endeavors, including NYSERDA and DOE, ARPA-E, NSF, (if the performance history is available).
- The degree of NYSERDA portfolio balance/optimization. The project(s) balance(s) and enhances the NYSERDA portfolio in one or more of the following areas:
  - Technological diversity

- Organizational diversity
- Geographic diversity
- Technical or commercialization risk
- Stage of technology development
- Complimentary efforts to balance risk.

#### Project Diversity, Leverage and Collaboration

- The consideration of the impact on, and benefits to, a diversity of communities/locations, including low-income and rural communities, partnerships with minority serving and/or owned businesses.
- The degree of ongoing leverage; attracting other funding sources: building on the NYS capabilities: linking technologies and/or companies.
- The degree to which the applicant has enabled the resources (human, financial and physical) to be able to complete the project.
- The degree to which the project enables collaboration with nongovernmental and industry entities for demonstration of technologies and research applications to successfully facilitate technology transfer, leading to robust technology development and subsequent scaling and market adoption.
- The degree to which a proposer could attract investor funding as the project progresses, including seed, Series A, high net worth individuals and beyond.

## ***VII. RECOUPMENT AND METRICS***

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**Recoupment** - For any new projects exceeding \$100,000 in NYSERDA funding that involve product development, including business development, NYSERDA will require a royalty based on sales and/or licensing of the new product developed (Please see Attachment F, Sample Agreement for specific recoupment obligations). Recoupment is not required for demonstration projects. Please see the definitions below to determine if your project will be subject to recoupment. Please note that NYSERDA will make final determinations as to whether proposals fit within the demonstration or product development categories.

- Product Development: Includes any work focused on bringing a new or improved product or service to market, including technical feasibility, business case feasibility, market analysis, proof of concept, product design, engineering, scale up, and field testing. Field testing is the stage in which a technology, not yet commercially available with a warranty, is operated in real world conditions with results used for product iteration, market validation, or customer engagement. Projects under this category include the development and commercialization of technologies and products for improving the resiliency, reliability, quality and efficiency of the electrical power delivery system. Note that bench-scale testing and field verification or testing may be included in Category A projects. Product Development projects may lead to a project proposal under Category B: Demonstration Projects to prove out the potential product or technology at a New York State site.
- Demonstration: a project intended to increase sales or usage of a commercialized product already in the marketplace, with results used to generate objective performance information for customers or policymakers. At this stage, the product is available for commercial sale and warranted. While incremental improvements may be incorporated based on the

demonstration results, the final product design is essentially complete. Note: pilot deployments or other field demonstrations that will inform additional product development will be considered as a Product Development project and therefore subject to recoupment.

Projects where NYSERDA's share of funding is \$75,000 or less will generally not require recoupment. Please note: NYSERDA may decline to contract with awardees that are delinquent with respect to recoupment payments or sales reporting for any previous NYSERDA agreement.

**Annual Metrics Reports** – If awarded, the proposer will be required to submit to NYSERDA's Project Manager on an annual basis, a prepared analysis and summary of metrics addressing the anticipated energy, environmental and economic benefits that are realized by the project. All estimates shall reference credible sources and estimating procedures, and all assumptions shall be documented. Reporting shall commence the first calendar year after the contract is executed. Reports shall be submitted by January 31st for the previous calendar years' activities (i.e., reporting period). NYSERDA may decline to contract with awardees that are delinquent with respect to metrics reporting for any previous or active NYSERDA agreement.

## ***VIII. GENERAL CONDITIONS***

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**Confidential and Proprietary Information** - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <https://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

**Omnibus Procurement Act of 1992** - It is the policy of New York State to maximize opportunities for the participation of New York State business enterprises, including minority- and women-owned business enterprises, as bidders, subcontractors, and suppliers on its procurement Agreements.

Information on the availability of New York subcontractors and suppliers is available from:

Empire State Development  
Division for Small Business  
625 Broadway  
Albany, NY 12207

A directory of certified minority- and women-owned business enterprises is available from:

Empire State Development  
Minority and Women's Business Development Division  
625 Broadway  
Albany, NY 12207

**State Finance Law sections 139-j and 139-k** - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx> . Proposers are required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility (this includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years).

**Tax Law Section 5-a** - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf)). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department. The Department has created a second form that must be completed by a prospective contractor prior to contacting and filed with NYSERDA. See, ST-220-CA (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220ca\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>

**Contract Award** - NYSERDA anticipates making multiple awards under this solicitation. NYSERDA anticipates a contract duration of up to three (3) years, unless NYSERDA management determines a different structure is more efficient based upon proposals received. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each proposal should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement (Attachment F) to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately six (6) weeks from the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

**Recoupment** - For any new product research and/or development, NYSERDA will generally require a royalty based on sales of the new product developed. NYSERDA's standard royalty terms are 1% of sales/ten percent (10%) of all license revenue accruing to the Contractor for products produced (for a period of fifteen years or until the Contractor pays NYSERDA an amount equal to the amount of funds paid by NYSERDA to the Contractor, whichever comes first).

**Accessibility Requirements** - If awardees from this solicitation will be posting anything on the web, or if the awardee will produce a final report that NYSERDA will post to the web, the following language must be included. NYSERDA requires contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSERDA's Accessibility Requirements](#).

**Limitation** - This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement. NYSERDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information and the presence of a material possibility of any reputational or legal risk in making of the award.

**Disclosure Requirement** - The proposer shall disclose any indictment for any alleged felony, or any conviction for a felony within the past five years, under the laws of the United States or any state or territory of the United States and shall describe circumstances for each. When a proposer is an association, partnership, corporation, or other organization, this disclosure requirement includes the organization and its officers, partners, and directors or members of any similarly governing body. If an indictment or conviction should come to the attention of NYSERDA after the award of a contract, NYSERDA may exercise its stop-work right pending further investigation or terminate the agreement; the contractor may be subject to penalties for violation of any law which may apply in the particular circumstances. Proposers must also disclose if they have ever been debarred or suspended by any agency of the U.S. Government or the New York State Department of Labor.

**Vendor Assurance of No Conflict of Interest or Detrimental Effect** - The proposer shall disclose any existing or contemplated relationship with any other person or entity, including any known relationships with any member, shareholders of 5% or more, parent, subsidiary, or affiliated firm, which would constitute an actual or potential conflict of interest or appearance of impropriety, relating to other clients/customers of the proposer or former officers and employees of NYSERDA, in connection with proposer's rendering services as proposed. If a conflict does or might exist, please describe how your company would eliminate or prevent it. Indicate what procedures will be followed to detect, notify NYSERDA of, and resolve any such conflicts.

The proposer must disclose whether it, or any of its members, or, to the best of its knowledge, shareholders of 5% or more, parents, affiliates, or subsidiaries, have been the subject of any investigation or disciplinary action by the New York State Commission on Public Integrity or its predecessor State entities (collectively, "Commission"), and if so, a brief description must be included indicating how any matter before the Commission was resolved or whether it remains unresolved.

**Public Officers Law** – For any resulting awards, the Contractor and its subcontractors shall not engage any person who is, or has been at any time, in the employ of the State to perform services in violation of the provisions of the New York Public Officers Law, other laws applicable to the service of State employees, and the rules, regulations, opinions, guidelines or policies promulgated or issued by the New York State Joint Commission on Public Ethics, or its predecessors (collectively, the "Ethics Requirements"). Proposers

are reminded of the following Public Officers Law provision: contractors, consultants, vendors, and subcontractors may hire former NYSERDA employees. However, as a general rule and in accordance with New York Public Officers Law, former employees of NYSERDA may neither appear nor practice before NYSERDA, nor receive compensation for services rendered on a matter before NYSERDA, for a period of two years following their separation from NYSERDA service. In addition, former NYSERDA employees are subject to a "lifetime bar" from appearing before any state agency or authority or receiving compensation for services regarding any transaction in which they personally participated, or which was under their active consideration during their tenure with NYSERDA.

Any awardee will be required to certify that all of its employees, as well as employees of any subcontractor, whose subcontract is valued at \$100,000 or more who are former employees of the State and who are assigned to perform services under the resulting contract, shall be assigned in accordance with all Ethics Requirements. During the term of any agreement, no person who is employed by the contractor or its subcontractors and who is disqualified from providing services under the contract pursuant to any Ethics Requirements may share in any net revenues of the contractor or its subcontractors derived from the contract. NYSERDA may request that contractors provide it with whatever information the State deems appropriate about each such person's engagement, work cooperatively with the State to solicit advice from the New York State Joint Commission on Public Ethics, and, if deemed appropriate by the State, instruct any such person to seek the opinion of the New York State Joint Commission on Public Ethics. NYSERDA shall have the right to withdraw or withhold approval of any subcontractor if utilizing such subcontractor for any work performed would be in conflict with any of the Ethics Requirements. NYSERDA shall have the right to terminate any contract at any time if any work performed is in conflict with any of the Ethics Requirements.

**Due Diligence** – NYSERDA, at its discretion, may conduct broad due diligence to validate any or all elements of an application and to assess applicants' prospects of success, including gathering information to assess a proposal relative to any of the topics listed in evaluation criteria, whether or not such topic is explicitly addressed in a proposal. NYSERDA may conduct due diligence on some or all proposals based on NYSERDA's current guidelines at the time of a review. NYSERDA staff may follow up with proposers to request additional information or clarification regarding applicant's proposal, including questions regarding applicant's business prospects and resources, whether or not those questions are specifically related to the elements of the proposal. Additionally, customized due diligence may be conducted by internal or external staff or contractors based on questions on any proposal raised by NYSERDA staff and/or the Scoring Committee. Due diligence may include (but is not limited to): interviews of independent references and background checks of team members; assessment of prior business experience of any team member associated with a proposal; research on intellectual property claims; customer and partner reference checks; market research on the applicants' target market and any other related or possibly competitive technology or market area; research to validate any assumptions on current or future revenues, costs, capital needs, and financing prospects for proposers' business, including similar (or unrelated) technologies, processes, or competitive solutions; or any other research that could reasonably inform the evaluation of a proposal, or the prospects for commercial success of the proposers' business (whether directly related to, or unrelated to the specific elements in a proposal). Due diligence may include discussions with proposers' former and current business partners, employees, investors, customers, and competitors. Due diligence may be conducted by NYSERDA personnel or contractors including members of the scoring committee, before, during, or after a scoring process, and prior to finalization of a contract award, any information gleaned in diligence may be used to score or re-score a proposal.



## ***IX. ATTACHMENTS***

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**Attachment A – Proposal Narrative Format**

**Attachment B – Statement of Work Template**

**Attachment C – TRL-CRL Calculator Workbook**

**Attachment D – 3 Year Financial Projection Worksheet**

**Attachment E – Budget Form & Instructions**

**Attachment F – Sample Agreement**



**P-12 Schools – Clean Green Schools Initiative**

Program Opportunity Notice PON 4924

*NYSERDA reserves the right to extend and/or add funding to the Solicitation should other funding be available.*

- **Track I: Applications will be accepted on a first come, first served basis dependent on resource availability until December 30, 2025, by 3:00 PM Eastern Time.\***
- **Track II: Proposals Round 1 Due: July 27, 2022, by 3:00 p.m. Eastern Time and Proposals**
- **NYSERDA anticipates issuing additional annual rounds of Track II**

The goal of NYSERDA’s Clean Green Schools Initiative (“the Program”) is to help public schools that traditionally lack resources to invest in infrastructure improvements become healthier, more productive learning environments. This Program aims to improve the environmental sustainability of those schools by reducing school energy loads, decarbonizing their building portfolio, improving indoor air quality (IAQ) and providing clean energy educational opportunities.

**Eligibility:** All existing public school buildings across NYS that are designated as High-Needs by the [New York State Education Department](#) or located in a [disadvantaged community](#).

**Funding:** There are two Tracks for participation in the Program. Both Tracks also provide funding to Applicants for services that will engage students, faculty, staff and the surround communities in Clean Energy Educational and Professional Development Activities.

- Track I will provide funding on an open enrollment basis, first come first served, to support a variety of professional services which will help schools evaluate, plan for, and facilitate energy reduction projects, clean energy projects, and indoor air quality projects.
- Track II will provide funding on a competitive basis to implement construction projects which will help schools decarbonize their buildings, leading to improved air quality, reduced emissions, and a pathway towards electrification.

**New York State Building Aid:** Through a provision in the enacted 2022/2023 NYS Budget, this program incentivizes school districts to invest in clean energy and energy efficient projects that will improve indoor air quality and reduce emissions by eliminating the reduction in Building Aid that districts would otherwise face for projects receiving a grant through NYSERDA's Clean Green Schools Initiative.

**Resources:** Visit the Clean Green Schools Initiative [website](#) to see the most current list of Program resources, specific to eligibility, template documents, guidance documents and more.

**Application and/or Proposal Submission:**

- Track I - Completed application packages will be accepted via email to [P12Schools@nyserda.ny.gov](mailto:P12Schools@nyserda.ny.gov) through December 30, 2025, or until funds are fully committed.
  - For ease of identification, all electronic files should be named using the schools’ name in the title of the document. Application PDFs should be searchable. Files should not be scanned. NYSERDA will also accept Applications by mail or hand-delivery if online submission is not possible.
- Track II - NYSERDA has created an online portal submission platform for use. Please complete and submit your proposal [here](#).

- Applicants may submit Word, Excel, or PDF files (file formats include csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the school's name in the title of the document. NYSERDA will also accept proposals by mail or hand-delivery if online submission is not possible. For detailed instructions on how to submit a proposal (online or paper submission), click the link "[Application Instructions and Portal Training Guide](https://www.nyserderda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx) [PDF]" located in the "Current Opportunities" section of NYSERDA's website (<https://www.nyserderda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).
- Please note: For **Track II** online submission, there are required questions that you will have to answer in addition to uploading attachments and you should allot at least 60 minutes to enter/submit proposals. The online proposal system closes promptly at 3 p.m. Eastern Time, files in process or attempted edits or submission after 3 p.m. Eastern Time on the Track II Due Date, will not be accepted. NYSERDA reserves the right to close or extend the solicitation at any time and/or add funding to the solicitation should funding be available. If changes are made to this solicitation, notification will be posted on the "Current Opportunities" section of NYSERDA's website (<https://www.nyserderda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

**Questions:** No communication intended to influence this procurement is permitted except by contacting Hannah Morgan (Designated Contact) at (518) 862-1090, ext. 3606 or by e-mail [HannahP12@nyserderda.ny.gov](mailto:HannahP12@nyserderda.ny.gov) or Tim Gilroy (Secondary Contact) at (518) 862-1090, ext. 3523 or by e-mail [TimP12@nyserderda.ny.gov](mailto:TimP12@nyserderda.ny.gov). If you have contractual questions concerning this solicitation, contact Venice Forbes at (518) 862-1090, ext. 3507 or [Venicesolicitations@nyserderda.ny.gov](mailto:Venicesolicitations@nyserderda.ny.gov). Contacting anyone other than the Designated Contacts (either directly by the Applicant or indirectly through a lobbyist or other person acting on the Applicant's behalf) in an attempt to influence the procurement: (1) may result in a Applicant being deemed a non-responsible offerer, and (2) may result in the Applicant not being awarded a contract.

**\* All Applications must be received by 3 p.m. Eastern Time on the date noted above. Late or faxed Applications will not be accepted.** Incomplete Applications may be subject to disqualification. It is the Applicant's responsibility to ensure that all pages have been included in the Application. If changes are made to this solicitation, notification will be posted on the "Current Opportunities" section of NYSERDA's website (<https://www.nyserderda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

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## I. INTRODUCTION

The goal of the Program is to help under-resourced public schools decarbonize their building portfolio and improve indoor air quality (IAQ) across their buildings. Schools participating in the program may also receive funding to support eligible activities that create or further clean energy educational opportunities for students, faculty, staff, and the surrounding community. These activities will help to create healthy, safe, productive and energy efficient learning environments for schools across New York State. This program supports the Climate Leadership and Community Protection Act (Climate Act) by providing funding to schools located in under-resourced communities to reduce their greenhouse gas emissions.

The Program consists of the following:

**Track I Planning** – Track I is open-enrollment and provides funding for professional services, such as energy studies, on-site energy manager, and fiscal advisors, to help schools evaluate, plan for, and facilitate comprehensive energy reduction, decarbonization, environmental sustainability and indoor air quality projects. Funding caps are dependent on a school district aggregated annual energy spend. See Table 1 for funding caps and details. Track I may be used towards project planning associated with Track II. Participation in Track I is not a requirement to participate in Track II.

**Track II Installation** – Track II is competitive and provides funding for schools to implement construction projects that decarbonize their building portfolio, such as comprehensive retrofits that impact energy consumption and overall building load, electrification readiness projects, and conversion of central heating and/or cooling plants to clean energy technologies such as heat pumps. See Section V for funding amounts. Interested Applicants must highlight carbon reduction, resulting improved indoor air quality and a path towards decarbonization. NYSERDA is interested in sharing best practices, lessons learned and showcasing final projects and will work with the Applicant to develop a plan to accomplish this.

**Clean Energy Educational and Professional Development Opportunities** – NYSERDA is also interested in engaging students, faculty, staff and the surrounding communities in clean energy educational opportunities. This is an optional service in Track I and Track II.

As such, NYSERDA will provide funding to support a range of workforce development and student educational activities for P-12 students that explore, support or promote decarbonization efforts in their schools and communities. These opportunities will help:

- Educate students about clean energy topics and explore clean energy careers.
- Empower faculty to support the integration of clean energy concepts into the curriculum.
- Increase staff understanding of the clean energy systems installed in their buildings.
- Generate awareness in communities and educate them on the clean energy principles taught at the under-resourced school.
- Eligible activity costs include, but are not limited to:
  - Curriculum development, program/license fees, software subscription fees, project supplies/tools/equipment, field trips, promotional material, speakers, teacher stipends, internship wages, textbooks, signage, clean energy toolkits, registration/entrance fees (conferences, camps, workshops), space rental, consultants/trainers fees, professional development fees, food, travel and lodging.

## II. PROGRAM DEFINITIONS

- **Applicant** – A school, school district, or representative authorized to act on behalf of the school.
- **Clean Energy** – Energy efficiency, energy conservation and renewable energy.
- **Clean Heating and Cooling Technologies** – Clean heating and cooling technologies can co-produce space and/or water heating or cooling without the use of fossil fuels and include, but are not limited to:
  - **Ground Source Heat Pump System (GSHP)** – Ground-source heat pump systems (also referred to as geothermal heat pumps) provide space heating and cooling, as well as domestic hot water in some cases. The indoor heat pump unit and underground (or underwater) heat exchanging loop transfers thermal energy between and amongst the ground and the building.
  - **Air Source Heat Pump System (ASHP)** – Air source heat pumps provide space heating and cooling, as well as domestic hot water in some cases. These systems transfer heat between inside and outside air while creating a more comfortable indoor environment.
  - **Variable Refrigerant Flow System (VRF)** – Variable refrigerant flow heat pump systems modulate refrigerant flow as needed to maximize compressor efficiency. Where an ASHP systems requires separate refrigerant lines for each indoor unit, VRF systems allows multiple indoor units to connect to a single compressor.
- **Decarbonization** – Reducing or eliminating carbon dioxide emissions from school buildings through Electrification, Energy Load Reduction, and/or the following:
  - Energy efficiency and conservation (e.g., improved building controls, more efficient building shell and insulation)
  - Switching to low carbon fuels (e.g., biofuels)
  - Installation of renewable technologies (e.g., solar)
- **Disadvantaged Community (DAC)** – The Climate Leadership and Community Protection Act (Climate Act) sets a goal for New York State to direct clean energy and energy efficiency investments in a manner for disadvantaged communities to receive 40% of the benefit of those investments. The Climate Act also established the Climate Justice Working Group and charged the Working Group with establishing criteria for defining disadvantaged communities, however until the criteria are established, New York State has identified interim criteria for disadvantaged communities, which includes communities:
  - Located within census block groups that meet the HUD 50% AMI threshold, that are also located within the DEC Potential Environmental Justice Areas; or
  - Located within New York State Opportunity Zones
  - For the most up-to-date definition and eligibility, including an interactive map, see the “Disadvantaged Communities” page on the [NYSERDA website](#).
- **Electrification** – A building whose end uses are served entirely by electricity. A core component of decarbonization is a widespread shift to electrification in buildings. Please also see “Clean Heating and Cooling Technologies” listed above.
- **Energy Load Reduction** – Energy load reduction refers to reducing the base amount of energy required for regular operation of a facility to meet occupant needs. A focus on energy load reduction serves as a precursor to cost-effective decarbonization.
- **High-Need** – [New York State Education Department](#) categorization of school districts using a need-to resource capacity (N/RC) index. The N/RC index is a measure of a school district’s ability to meet the needs of its students with local resources, based on a ratio of the estimated poverty percentage to the combined

wealth ratio. High-Need categories include High N/RC: New York City, High N/RC: Large City Districts, High N/RC: Urban-Suburban Districts, and High N/RC: Rural Districts.

- **Indoor Air Quality (IAQ) Services** – The services as defined in Section IV that address the quality of indoor breathing air. Good indoor air quality affects occupant health, well-being, productivity, and learning by reducing the risk of infectious disease transmission, asthma/allergens, sickness and increases the amount of clean air and is paramount to achieving the goals of this Program. For purposes of this Program, IAQ evaluation is focused on ensuring ventilation is considered when recommending or installing decarbonization measures as part of a project and that the resulting conditions will provide adequate outdoor air exchanges and filtration levels.
- **Resiliency** - Strategies to ensure the project, the school itself, and its occupants are resilient to future climate impacts; including strategies ensuring adequate passive survivability; installing new critical system components above flood levels; creating areas of refuge within the building for occupants to shelter in place during heat events, or flooding; or other resilience-enhancing strategies.
- **Under-Resourced Schools** – Schools designated as High-Needs or located in a Disadvantaged Community (DAC).

### III. SCHOOL ELIGIBILITY

- All existing public-school buildings across NYS that meet the definition of an under-resourced school per this Program. A list of the schools eligible to participate in the Program is available on the Clean Green Schools Initiative documents and resources [website](#).
- If a school district has a mix of eligible and non-eligible school buildings, only the eligible school buildings can participate in the program.

### IV. PROGRAM AND APPLICATION REQUIREMENTS – TRACK I

Applications can be for one school or multiple schools in the same district. There is no limit to the number of schools included in an application. There are building and district fund caps that can be seen in Table I. All Track I projects shall submit a Program Application (Attachment A), a Scope of Work, and itemized Budget. Further detail is provided below.

- **Eligible Project Types** – Applicants may include one or more of the services listed below in their **Scope of Work. Comprehensive building studies are encouraged.** To see a full list of eligible activities along with definitions, visit the documents and resources [website](#) (see Track I - Eligible Activities).

**Eligible services, include, but are not limited to:**

- Engineering & Architecture Services
  - Energy Benchmarking
  - Energy Studies \*
  - Clean Heating and Cooling Technology Studies (new and existing systems)\*
  - Energy Efficiency and Clean Heating and Cooling Design Services\*
  - Energy Master Planning and Decarbonization Roadmaps\*
  - Energy Performance Contracting Support

- Community Presentations
- Sustainability and Resiliency Consulting
- Clean Transportation Studies
- Community Solar and Clean Energy Purchasing
- Indoor Air Quality Evaluation and Management
  - **Studies must predominantly focus on developing solutions that improve the performance of energy related building systems.** Analysis shall ensure that there is adequate ventilation, and that ventilation is compliant with applicable code requirements and building system best practices, such as [ASHRAE Epidemic Task Force Core Guidance](#). Examples include but are not limited to:
    - Baselineing
    - Retrocommissioning
    - Continuous Monitoring
    - IAQ Certification Program Participation
- On-Site Energy Manager
  - Building or district level or across districts.
  - On-Site Energy Manager services may be performed by a new permanent hire, contracted staff, or a hybrid arrangement of supplementing permanent staff with contracted staff.
  - On-Site Energy Manager staff must have:
    - Relevant qualifications such as licensed Professional Engineer (P.E.), Certified Energy Manager (CEM), Certified Energy Auditor (CEA), or comparable.
    - Past experience related to energy advisor tasks.
    - Demonstrated business acumen and leadership skills to be able to sell energy projects to upper management.
- Clean Energy Educational and Professional Development Activities
  - See Section VII for examples of eligible activities.
  - These activities must be paired with an eligible Track I service above and are ineligible as a standalone project.
  - Clean Energy Educational and Professional Development services may be performed by consultants, existing school employees, contracted staff, P-12 educational organizations or a hybrid arrangement of existing school employees with contracted staff and/or P-12 educational organizations.
- Services Associated with Clean Energy Projects
  - Grant Writer
  - Fiscal Advisor

**\*Studies, design and planning services that include envelope and/or HVAC systems are required to evaluate the impacts on infectious disease transmission related to the envelope and/or HVAC improvements and the optimal strategies for mitigating infectious disease transmission in accordance with the current [ASHRAE Epidemic Task Force Core Guidance](#).**

- **Funding Caps** – Applicants may apply to receive a suite of services through Track I up to the caps included in Table 1. In order to know a school building cap, the district’s annual energy spend must be known. The total annual energy spend is the sum of the annual electricity cost, annual natural gas cost and/or annual fuel cost. The following funding caps apply to Track I:



**Table 1: Track I Funding Caps**

Track I NYSEDA Caps	District Annual Energy Spend Less than \$500,000	District Annual Energy Spend More than \$500,000
<b>Building Caps</b>	\$150,000	
Energy Benchmarking <sup>1</sup>	\$500	
Metering (hardware costs only) <sup>1</sup>	not to exceed 10% of Track I services	
Fiscal Advisor and/or Grant Writer <sup>2</sup>	\$30,000	\$60,000
<b>On-Site Energy Manager <sup>3</sup></b>	\$100,000	\$200,000
<b>Building Clean Energy Educational and Professional Development Activities Cap<sup>4</sup></b>	\$10,000	
<b>Maximum Building Caps</b>	\$260,000	\$360,000
<b>District Caps</b>	\$300,000	\$500,000
<b>District Clean Energy Educational and Professional Development Activities Cap<sup>4</sup></b>	\$50,000	
<b>Maximum District Caps</b>	\$450,000	\$750,000
1. The cap is included in the Track I NYSEDA Cap of \$150,000.		
2. The cap is included in the Track I NYSEDA Cap of \$150,000. This is the Building and District Cap.		
3. This is a standalone cap and is in addition to funding for other Track I services. This is the Building and District Cap.		
4. This is a standalone cap and is in addition to funding for other services.		

When reviewing and negotiating the Scopes of Work and Budgets, NYSEDA reserves the right to:

- Adjust the building or district level cap based on the services requested in Track I and their potential impact.
- Review and request additional information to support proposed staffing titles and their associated hourly rates to ensure appropriate alignment of staff to task complexity.
- Utilize comparable NYSEDA-funded projects and contracts to confirm reasonableness of hourly rates commensurate with geographical location, staff titles, and the individual tasks proposed.
- Provide less than 100% funding on a project scope if the scope includes ineligible tasks or if the overall budget exceeds the caps.
- Allow in-kind contributions from the school staff to be part of the Scope of Work on the following:
  - Benchmarking
  - Building Clean Energy Educational and Professional Development Activities
  - Energy studies and On-site Energy Manager, to a limit of 10%

**• Consultant Requirements**

- Schools must utilize a third-party independent consultant to complete the Scope of Work, with the exception of the On-Site Energy Manager, Energy Benchmarking and Clean Energy Educational and Professional Development services (additional details below).
  - For projects where schools are providing in-kind contributions, tasks to be completed in house must be clearly stated in the project’s Scope of Work and NYSEDA may request verification of staff qualifications.
- Schools in need of a consultant may choose from NYSEDA’s FlexTech Consultant [list](#).

- Consultants may undergo additional review before being approved to perform certain services. Examples of such services may include but are not limited to Clean Heating and Cooling Design, Indoor Air Quality (IAQ), On-Site Energy Manager and Financial Services.
    - Consultants not currently qualified under relevant NYSERDA or utility program lists, for example NYS Clean Heat Contractors GSHP [designer lists](#), may be required to submit examples of two previous successful projects of similar scope as part of the Scope of Work. Project examples must demonstrate experience, detail the quality of work and evaluation methodology, and include sector served and customer references.
    - Consultant qualifications may be also demonstrated through industry accepted credentials specific to appropriate services or design technologies as approved by NYSERDA on a case-by-case basis.
  - Teaming arrangements may be acceptable, but a primary contractor responsible for the team’s work must be named.
  - NYSERDA reserves the right to limit the number of projects a consultant can have at any given time.
- **Application and Scope of Work Requirements: Open Enrollment** - Applicants may submit completed Track I application packages to [P12Schools@nyserda.ny.gov](mailto:P12Schools@nyserda.ny.gov). In addition to the Program Application (Attachment A), a Scope of Work, and itemized Budget must be provided for all Track I projects. Applicants may submit one Application on behalf of multiple school buildings within a district. Work completed prior to NYSERDA’s receipt of an application is ineligible for funding. A complete application package shall include the following:
    - Track I Program Application (Attachment A)
    - Scope of Work
      - Scope of Work – The Scope of Work must provide justification for the funding request based on tasks and deliverables included in the project. Multiple sites, studies, and activities may be included in one Scope of Work if objectives and site similarities and/or differences are clearly accounted for. The Scope of Work must follow the requirements for the program, which includes the project description, environmental justice stakeholder engagement, tasks and deliverables, and schedule. A sample Scope of Work Template is available on the Clean Green Schools Initiative documents and resources [website](#) (see Track I - Scope of Work Template). While the exact format of the Scope of Work Template is not required, all information requested within the Scope of Work Template must be included in some form in the project Scope of Work.
    - Budget
      - Budget - The Applicant must provide a Budget broken down by individual line-items by task for materials, labor (personnel title and hourly rate), and other costs. A sample Budget Template is available on the Clean Green Schools Initiative documents and resources [website](#) (see Track I - Budget Template). While the exact format of the Budget Template is not required, all information requested within the Budget Template must be included in some form in the project Budget.
- **Deliverable Requirements and Submission** – A final report encompassing all deliverables with an executive summary and lessons learned will be required at project completion. Submit draft and final deliverables as attachments to [P12Schools@nyserda.ny.gov](mailto:P12Schools@nyserda.ny.gov). For ease of identification, all electronic files should be named using the school’s name in the title of the document. Do not include utility account numbers within or attached to email submission. NYSERDA reserves the right to perform technical review on

all submittals. Deliverables found by NYSERDA to not fulfill the approved Scope of Work and/or deliverable requirements may receive a reduced cost-share or may not be reimbursed by NYSERDA.

- **Payment, Procurement and Schedule** - Program funding will be distributed to the Applicant based on time and material invoices in accordance with the Exhibit E in Attachment C – Sample Agreement. Applicants will work with their designated NYSERDA Project Manager to approve interim payments. Interim payment requests may be made in accordance to approved budget and timeline outlined in the NYSERDA approved Scope of Work. Upon approval of final deliverables, the Applicant must submit an invoice from the Applicant to NYSERDA, including a copy of the third-party consultant’s invoice(s) to the school(s) indicating the total billed cost and a copy of metering equipment invoice(s), if applicable. The third-party consultant’s invoice(s) will include labor and nonlabor costs, staff titles, hourly rates, dates and hours for each task. All invoices complete with the required reimbursement documentation must be submitted through <https://services.nyserda.ny.gov/Invoices/>.

School districts must adhere to their own procurement requirements. Unless otherwise negotiated, all work funded under Track I must be completed and invoiced within three (3) years of issuance of the purchase order (PO) which shall include the final agreed to Scope of Work, Budget, and Terms and Conditions (Attachment C).

A high-level overview of the Track I Participation Process is available on the Clean Green Schools Initiative documents and resources [website](#).

## V. PROGRAM AND PROPOSAL REQUIREMENTS – TRACK II

- **Overview** – Track II offers funding for schools to improve their environmental sustainability and decarbonize their buildings via capital construction projects, leading to improved air quality, reduced emissions, and a pathway towards electrification. In addition, Track II requires the incorporation of sharing of best practices and lessons learned regarding the project, through technology transfer activities. Schools are encouraged to incorporate Clean Energy Educational and Professional Development Activities into their proposal, but it is not a requirement. **Participation in Track I is not a requirement to participate in Track II.**
- **Eligible Project Types** - Any project(s) that meets the objectives of the Overview section above.

Eligible activities include, but are not limited to the following:

- Clean Heating and Cooling Projects:
  - Ground Source Heat Pump (GSHP), Air Source Heat Pump (ASHP) and Variable Refrigerant Flow (VRF) installations that provide space heating and/or cooling.
  - Fossil fuel (heating oil, natural gas, steam generated by fossil fuel, etc.) energy consumption must be reduced by the new electric technology or application. The new electric technology or application shall:
    - Be market ready and can meet or exceed applicable minimum utility program efficiency specifications.
  - Additional incentives may be available through your local utility. Visit <https://cleanheat.ny.gov/> to learn more about the NYS Clean Heat initiative.

- Capital Projects to Move Towards Decarbonization:
  - Comprehensive retrofits that impact energy consumption and overall building load
  - Electrification of building systems (e.g., kitchen equipment & domestic hot water heaters)
  - Building electrification readiness projects:
    - High performance building envelope (e.g., air sealing, insulation, window film)
    - Heating/cooling projects
    - Conversion of distribution systems (e.g., steam to hot water) to support potential future electrification
  - Transition to low carbon fuels (e.g., biofuel blends)
  - Ineligible Projects:
    - System conversion to natural gas or other fossil fuel is ineligible.
    - Full system replacements to new fossil fuel-based systems are ineligible.
  
- The following supporting upgrades/efforts are eligible when completed in combination with any eligible activities shown above:
  - Building Automation Systems
  - Energy storage systems
  - Renewable energy technologies
  - Clean electricity purchase with emphasis on the use of community solar or “Green” energy service provider
  - Window replacement
  - Upgrading existing electrical infrastructure (e.g., electrical panel upgrades & equipment service infrastructure)
  - Building ventilation system and filtration system capital projects
  - Lighting upgrades
  - Resiliency measures
  - Clean transportation projects
    - Purchasing a zero-emission (battery-electric or hydrogen fuel cell) school bus can be included as part of a project.
      - Requirements for funding can be found [here](#). These requirements include, but are not limited to:
        - New all-electric school buses must average no less than 8,000 miles per year over the first five years of service and must be depoted in or run routes in a NYSERDA-designated disadvantaged community.
        - Fleets must scrap a currently operational diesel-powered vehicle with a model year 1992 through 2009 engine of similar size and vocation to the Eligible Vehicle being purchased.
        - If a fleet is located in one of 30 CMAQ-eligible counties, it may choose to not scrap an older diesel bus but will be eligible for a lower incentive amount.
  
- For Projects that include envelope or HVAC system improvements:
  - Infectious disease transmission impacts as a result of the proposed improvements shall conform with [ASHRAE Epidemic Task Force Core Guidance](#).
  
- Projects must utilize replicable and commercially viable products and solutions that have already been accepted by the market.

- Proposed projects are expected to be informed with input from representatives of local/regional environmental justice or disadvantaged communities, as outlined in the Track II Proposal Template (Attachment D).
- **Funding** – Applicant project costs are up to 100% funded, net of funding from investor-owned utilities, state aid, federal funding, or any other funding source, with a minimum award of \$500,000. NYSERDA expects projects to seek applicable utility incentives, federal funding, and grants to reduce costs. Participation in other programs does not exclude an application to this Program. The following funding is available to propose for:

Per Building:

- \$500,000 - \$3,000,000 for eligible project types and
- Up to \$30,000 for Clean Energy Educational and Professional Development Activities (see Section VII) and
- Up to another \$1,000,000 for projects that either propose to install ground source heat pumps or that propose to fully electrify both space and domestic hot water equipment with any of the Clean Heating and Cooling Technologies listed above.
- Total max funding per school building is \$4,030,000

Per District:

- \$500,000 - \$5,000,000 for eligible project types and
- Up to \$100,000 for Clean Energy Educational and Professional Development Activities (see Section VII) and
- Up to another \$1,000,000 for projects that either propose to install ground source heat pumps or that propose to fully electrify both space and domestic hot water equipment in at least one school with any of the Clean Heating and Cooling Technologies listed above.
- Total max funding per district is \$6,100,000

If you're interested in exploring competitively-priced, market-based financing options, contact NY Green Bank at [info@greenbank.ny.gov](mailto:info@greenbank.ny.gov) or visit <https://greenbank.ny.gov/> for more information.

- **Proposal Requirements** – Applicants may submit completed Track II proposal packages [here](#), no later than 3:00 pm for the applicable Track II Due Date. Applicants must not have entered into a contract with a construction firm prior to applying.

A complete Track II proposal package shall include the following:

- Completion of the series of questions presented in NYSERDA's online portal submission platform.
- School Authorization Form, if applicable (Attachment B)
- Track II Proposal Template (Attachment D)
- Track II Budget Template (Attachment E)

Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not positively influence the proposal evaluation.

Proposals that grossly exceed what is necessary to describe the project or fail to meet all requirements and format guidelines may be rejected as non-responsive. Each page of the proposal should state the name of the proposing school in the header and the page number in the footer.

- **Awarded Projects Deliverable Requirements** – A final report encompassing all deliverables, with an executive summary and lessons learned will be required at project completion. NYSERDA reserves the right to perform technical review on all deliverables. Deliverables found by NYSERDA to not fulfill the awarded Proposal and/or deliverable requirements may receive reduced funding or may not be reimbursed by NYSERDA.
- **Payment, Procurement and Schedule** - NYSERDA plans to issue milestone-based contracts to awarded proposals in accordance with the Attachment C – Sample Agreement. This means that structured lump sum payments will be made by NYSERDA upon completion and approval of a Task(s). NYSERDA reserves the right to issue milestone payments that differ from what has been outlined in Attachment E – Track II Budget Template. All invoices complete with the required documentation must be submitted through <https://services.nyserda.ny.gov/Invoices/>.

**In order to receive final payment, proof of purchase, installation, and execution of the project are required.** Proof of purchase may include, but not be limited to, a copy of a paid in full dated work order, invoice, or receipt including equipment or measures installed, material costs, paid in full or zero balance, quantity installed, manufacturer, installer name (if contractor installed), labor costs, and model number. NYSERDA reserves the right to request additional documentation as needed. Proof of installation and project execution may include photographs of newly installed equipment, demonstration of system operation, as-built construction documents, and/or completion documentation from the commissioning of the new equipment. Upon completion, NYSERDA reserves the right to visit the project site for proof of installation.

School districts must adhere to their own procurement requirements and requirements of the New York State Education Department Facilities Planning Office or the NYC School Construction Authority. NYSERDA understands and assumes that this work will consist of Public Work and therefor shall be subject to the requirements of Article 8 of the NYS Department of Labor Law. Unless otherwise negotiated, all work funded under Track II must be completed and invoiced within five (5) years of contract execution. Extensions to this timeline must be submitted to NYSERDA for approval. If an awarded project is not able to show substantial progress or commitment within 180 days of grant contract execution, the award may be forfeited at NYSERDA’s discretion. Substantial progress includes, but is not limited to:

- Contractually bound agreement with the architecture and engineering firm designing the project.
- Letter of Intent (LOI) filed with the State Education Department.
- Environmental review process has started for project (e.g., State Environmental Quality Review).

## VI. TRACK II – PROPOSAL EVALUATION:

Prior to review by a scoring committee, proposals will be reviewed for completeness and to ensure they meet General Eligibility requirements as detailed below. Proposals that do not meet the listed requirements will not be reviewed by the scoring committee.

The General Eligibility requirements include:

- The school meets the under-resourced definition of this Program.
- The project identified in the proposal is for an existing building.
- The project conforms with the Track II Eligibility Criteria.
- All components of the proposal package requirements have been completed.

Following the initial review, proposals will be evaluated by a Scoring Committee based on their overall responsiveness and specifically based on the Evaluation Criteria below, which are listed in order of importance. Evaluation and scoring of each proposal will ultimately be determined in comparison with and relative to the other proposals submitted. After proposals are reviewed, NYSERDA will issue a letter to each Applicant indicating the proposal evaluation results. Applicants receiving favorable evaluations will be invited to enter contract negotiations with NYSERDA.

### **Evaluation Criteria**

#### **Project Impact (40 Points)**

##### **The extent to which the proposal demonstrates the following:**

- Reduces or eliminates fossil fuel consumption (e.g., by reducing thermal load and/or demand, improving equipment efficiency, electrification of certain loads).
- Methodology to quantify energy impacts is clear, well-defined, and sound.
- Includes activities that will lead to reduced long-term dependence on fossil fuels.
- Appropriate ventilation and filtration as a result of the decarbonization project.
- Viability of the proposed project.
- Project includes installation of clean heating and cooling system(s) that will supply a portion of the school building's heating and cooling load.
- Resiliency is discussed as it relates to the project which will help the school adapt to climate-related risks.
- Project has added context to the technology transfer plan.
- Project has added context to the engagement of or a plan to engage with environmental justice or disadvantaged communities. If applicable, stakeholder input is incorporated into or addressed by the project plan.

#### **Project Team and Stakeholder Commitment (20 Points)**

##### **The extent to which the proposal includes or demonstrates the following:**

- The extent to which the Project Team meets the necessary background and experience to ensure project success and likelihood of installation of project as proposed.
- Preference will be given to projects implemented by contractors that are participating in New York State Department of Labor (NYS DOL) recognized pre-apprenticeship programs or NYS DOL registered apprenticeship programs.
- Preference will be given to projects occurring at schools that are both High-Needs and located in a Disadvantaged Community (DAC).
- Letters of support demonstrating stakeholder support for the project from the school, community, NYSED Facilities Planning Office and other relevant stakeholders.

#### **Project Scope of Work (SOW) (20 Points)**

##### **The extent to which the proposal demonstrates the following:**

- SOW has well-defined Tasks and Deliverables and demonstrates clear and thoughtful understanding of how the proposed project will be implemented.
- Tasks cover activities needed to complete the proposed project.

## Clarity of Budget (15)

### The extent to which the proposal demonstrates the following:

- Budget demonstrates total project cost, including breakdown of funding from investor-owned utilities, state aid, or any other funding source anticipated to be utilized, including the timeframe for securing the funding.
- Budget is broken down by Task and includes granularity on each cost, as required in the Track II Budget Template (Attachment E).
- Budget appears to be reasonable in cost and align with the SOW.
- Budget section includes description of other funding sources.

## Clean Energy Educational and Professional Development Activities (5)

### The extent to which the proposal demonstrates the following:

- Student educational engagement, professional development, and/or career pathway opportunities.

#### **Program Policy Factors**

A Scoring Committee will review and rank all Track II proposals. NYSERDA will review this evaluation and ranking and may consider the following program policy factors in making award selections.

The degree to which:

- A proposal optimizes the use of available funding to achieve programmatic and [Climate Act](#) objectives.
- There is diversity in geographic location of awardees.
- There is diversity of project types, technologies, approaches, methods, and districts.

## VII. CLEAN ENERGY EDUCATIONAL AND PROFESSIONAL DEVELOPMENT ACTIVITIES

The Educational and Professional Development Activities Pathway document, which is located on the Clean and Green Schools Initiative documents and resources [website](#) should be consulted for assistance in designing these activities. If a school is looking to leverage existing programs, tools or resources, an example list of these items is included on the Clean Green Schools Initiative documents and resources [website](#) (see Educational and Professional Development Existing Activities excel).

The following are example activity types that would be supported:

- Activity Type #1: Engage in a Clean Green Schools Initiative Project
  - Activities for K-12 students which explore, support or promote decarbonization efforts in their school and community. For example, a school could form a green team who would identify baseline conditions of their school, and then identify, and implement a project, if practical, to improve and/or educate the school and community about the health, safety, and environmental sustainability of their school. Additional eligible activities include, but are not limited to:
    - Develop a new clean energy course.
    - Coordinate a clean energy research project.
    - Host a faculty training workshop focused around integrating clean energy into the curriculum.
    - Coordinate a series of clean energy field trips.



- Host a clean energy career fair.
  - Identify existing community-based clean energy education opportunities and leverage these activities through student and staff involvement.
- Activity Type #2: Support Career Pathway Activities
    - Career pathway activities for 11<sup>th</sup> and 12<sup>th</sup> graders which explore, support or promote decarbonization efforts in their school and community. A team consisting of, for example, students, staff and business partners could propose to develop a program to support a Track II project or leverage the Track II project for project-based learning. Additional eligible activities include, but are not limited to:
      - Participate in activities towards a clean energy certificate or degree credit.
      - Participate in a clean energy internship.
      - Participate in a clean energy pre-apprenticeship program.
    - Offer scholarships to students to support education and professional development in a clean energy field.

## VIII. GENERAL CONDITIONS

**Proprietary Information** - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the Applicant wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <https://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

**Omnibus Procurement Act of 1992** - It is the policy of New York State to maximize opportunities for the participation of New York State business enterprises, including minority- and women-owned business enterprises, as bidders, subcontractors, and suppliers on its procurement Agreements.

Information on the availability of New York subcontractors and suppliers is available from:

Empire State Development  
 Division for Small Business  
 625 Broadway  
 Albany, NY 12207

A directory of certified minority- and women-owned business enterprises is available from:

Empire State Development  
 Minority and Women's Business Development Division  
 625 Broadway  
 Albany, NY 12207

**State Finance Law sections 139-j and 139-k** - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx> . Applicants are required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility (this includes a disclosure statement regarding whether the Applicant has been found non-responsible under section 139-j of the State Finance Law within the previous four years).

**Tax Law Section 5-a** - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf)). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department. The Department has created a second form that must be completed by a prospective contractor prior to contracting and filed with NYSERDA. See, ST-220-CA (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220ca\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf> .

**Contract Award** - NYSERDA anticipates making multiple award(s) under this solicitation. For Track I, NYSERDA anticipates a contract duration of **up to three (3) years**, unless NYSERDA management determines a different structure is more efficient based upon proposals received. For Track II, NYSERDA anticipates a contract duration of **up to five (5) years**, unless NYSERDA management determines a different structure is more efficient based upon proposals received. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each proposal should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. For Track I and Track II, NYSERDA will issue a Purchase Order and Agreement to contract successful applications and/or proposals. Please see Attachment C – Sample Agreement. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Applicants should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. For Track I, NYSERDA expects to notify applicants in approximately **three (3) weeks** from the receipt of an application whether your application has been selected to receive an award. For Track II, NYSERDA expects to notify Applicants in approximately **four (4) weeks** from the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

**Accessibility Requirements** - NYSERDA requires contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSERDA's Accessibility Requirements](#).

**Limitation** - This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement. NYSERDA reserves the right to disqualify Applicants based upon the results of a background check into publicly available information or the presence of a material possibility of any reputational or legal risk in making of the award.

**Disclosure Requirement** - The Applicant shall disclose any indictment for any alleged felony, or any conviction for a felony within the past five years, under the laws of the United States or any state or territory of the United States and shall describe circumstances for each. When an Applicant is an association, partnership, corporation, or other organization, this disclosure requirement includes the organization and its officers, partners, and directors or members of any similarly governing body. If an indictment or conviction should come to the attention of NYSERDA after the award of a contract, NYSERDA may exercise its stop-work right pending further investigation or terminate the agreement; the contractor may be subject to penalties for violation of any law which may apply in the particular circumstances. Applicants must also disclose if they have ever been debarred or suspended by any agency of the U.S. Government or the New York State Department of Labor.

**Vendor Assurance of No Conflict of Interest or Detrimental Effect** - The Applicant shall disclose any existing or contemplated relationship with any other person or entity, including any known relationships with any member, shareholders of 5% or more, parent, subsidiary, or affiliated firm, which would constitute an actual or potential conflict of interest or appearance of impropriety, relating to other clients/customers of the Applicant or former officers and employees of NYSERDA, in connection with Applicant's rendering services as proposed. If a conflict does or might exist, please describe how your company would eliminate or prevent it. Indicate what procedures will be followed to detect, notify NYSERDA of, and resolve any such conflicts.

The Applicant must disclose whether it, or any of its members, or, to the best of its knowledge, shareholders of 5% or more, parents, affiliates, or subsidiaries, have been the subject of any investigation or disciplinary action by the New York State Commission on Public Integrity or its predecessor State entities (collectively, "Commission"), and if so, a brief description must be included indicating how any matter before the Commission was resolved or whether it remains unresolved.

**Public Officers Law** – For any resulting awards, the Contractor and its subcontractors shall not engage any person who is, or has been at any time, in the employ of the State to perform services in violation of the provisions of the New York Public Officers Law, other laws applicable to the service of State employees, and the rules, regulations, opinions, guidelines or policies promulgated or issued by the New York State Joint Commission on Public Ethics, or its predecessors (collectively, the "Ethics Requirements"). Applicants are reminded of the following Public Officers Law provision: contractors, consultants, vendors, and subcontractors may hire former NYSERDA employees. However, as a general rule and in accordance with New York Public Officers Law, former employees of NYSERDA may neither appear nor practice before NYSERDA, nor receive compensation for services rendered on a matter before NYSERDA, for a period of two years following their separation from NYSERDA service. In addition, former NYSERDA employees are subject to a "lifetime bar" from appearing before any state agency or authority or receiving compensation for services regarding any transaction in which they personally participated, or which was under their active consideration during their tenure with NYSERDA.

Any awardee will be required to certify that all of its employees, as well as employees of any subcontractor, whose subcontract is valued at \$100,000 or more who are former employees of the State and who are assigned to perform services under the resulting contract, shall be assigned in accordance with all Ethics Requirements. During the term of any agreement, no person who is employed by the contractor or its subcontractors and who is disqualified from providing services under the contract pursuant to any Ethics Requirements may share in any net revenues of the contractor or its subcontractors derived from the contract. NYSERDA may request that contractors provide it with whatever information the State deems appropriate about each such person's engagement, work cooperatively with the State to solicit advice from the New York State Joint Commission on Public Ethics, and, if deemed appropriate by the State, instruct any such person to seek the opinion of the New York State Joint Commission on Public Ethics. NYSERDA shall have the right to withdraw or withhold approval of any subcontractor if utilizing such subcontractor for any work performed would be in conflict with any of the Ethics Requirements. NYSERDA shall have the right to terminate any contract at any time if any work performed is in conflict with any of the Ethics Requirements.

**Due Diligence** – NYSERDA, at its discretion, may conduct broad due diligence to validate any or all elements of an application and to assess applicants’ prospects of success, including gathering information to assess a proposal relative to any of the topics listed in evaluation criteria, whether or not such topic is explicitly addressed in a proposal. NYSERDA may conduct due diligence on some or all proposals based on NYSERDA’s current guidelines at the time of a review. NYSERDA staff may follow up with Applicants to request additional information or clarification regarding applicant’s proposal, including questions regarding applicant’s business prospects and resources, whether or not those questions are specifically related to the elements of the proposal. Additionally, customized due diligence may be conducted by internal or external staff or contractors based on questions on any proposal raised by NYSERDA staff and/or the Scoring Committee. Due diligence may include (but is not limited to): interviews of independent references and background checks of team members; assessment of prior business experience of any team member associated with a proposal; research on intellectual property claims; customer and partner reference checks; market research on the applicants’ target market and any other related or possibly competitive technology or market area; research to validate any assumptions on current or future revenues, costs, capital needs, and financing prospects for Applicants’ business, including similar (or unrelated) technologies, processes, or competitive solutions; or any other research that could reasonably inform the evaluation of a proposal, or the prospects for commercial success of the Applicants’ business (whether directly related to, or unrelated to the specific elements in a proposal). Due diligence may include discussions with Applicants’ former and current business partners, employees, investors, customers, and competitors. Due diligence may be conducted by NYSERDA personnel or contractors including members of the scoring committee, before, during, or after a scoring process, and prior to finalization of a contract award, any information gleaned in diligence may be used to score or re-score a proposal or apply a program policy factor.

**IX. ATTACHMENTS:**

- Attachment A – Track I Program Application
- Attachment B – Track II School Authorization Form
- Attachment C – Sample Agreement
- Attachment D – Track II Proposal Template
- Attachment E – Track II Budget Template

**Empire Building Challenge (Real Estate Partnerships - Cohort 2)**  
Program Opportunity Notice (PON) 4987 - **Up to \$1,000,000 available**  
*NYSERDA reserves the right to extend and/or add funding to the Solicitation should other program funding sources become available.*

**Applications accepted through May 24, 2022 by 3:00 p.m. Eastern Time\***

The Empire Building Challenge (EBC) is a multi-phase initiative designed to support replicable and scalable low carbon retrofit approaches to achieving carbon neutrality in existing high-rises. EBC is a public-private partnership between leading real estate portfolio owners; mechanical, electrical and plumbing (MEP) engineering firms; solution providers; and New York State Energy Research and Development Authority (NYSERDA), with the following goals: 1) overcome the barriers to achieving carbon neutrality in existing high-rises; 2) drive innovation and product development to meet the needs of high-rises; and 3) spur economic development by making New York a global hub for low carbon retrofits.

In September 2020, NYSERDA launched the Empire Building Challenge and selected an initial cohort of ten real estate partners (“Cohort 1”). All Cohort 1 partners made public commitments to achieve carbon neutrality in at least one of their buildings, while several partners committed to portfolio-wide carbon neutrality. Collectively, Cohort 1 partners committed to achieving carbon neutrality in over 52 million square feet of high-rise commercial office and multifamily buildings by no later than 2035. Funded projects from Cohort 1 demonstrate innovative, low carbon retrofit projects that reduce buildings' energy consumption and greenhouse gas emissions and are scalable and replicable across New York State. They were announced in Governor Hochul’s 2022 State of the State address. More information on the [first cohort of EBC partners](#) can be found on the [EBC website](#), as well as information about the current [funded EBC projects](#).

Through this solicitation, NYSERDA is recruiting a second cohort of real estate partners (“Cohort 2”) to establish partnerships with a select group of real estate owners and MEP engineers who are willing to work together to test new thermal system designs and implementation approaches in their buildings. Cohort 2 will focus on deploying innovative thermal solutions (including but not limited to heat recovery, thermal storage, advanced heat pumps, low temperature hydronics, advanced system integrations, etc.) in high-rises (20 stories or higher for commercial and multifamily properties). Applicants that meet the minimum threshold criteria to become a Qualified Empire Building Challenge Partner will be eligible to receive up to \$100,000 in technical assistance funding to develop a carbon neutrality roadmap for their building(s). They will also be eligible to submit proposals to receive up to \$3,000,000 for low carbon retrofit project implementation through a competitive funding opportunity expected to be released by early October 2022.

**Informational Webinar:** NYSERDA will host an informational webinar on Thursday, April 7, 2022 starting at 11:00 am. [Register to participate](#) in advance, or log into the webinar [by signing in](#) just prior to 11 am. Questions may be submitted ahead of the webinar by emailing questions to [EBC@nyserda.ny.gov](mailto:EBC@nyserda.ny.gov) until 5pm on Wednesday, April 6, 2022.

**Application Submission:** Online submission is strongly encouraged. Complete and [submit your Application here](#). For ease of identification, all electronic files must be named using the Applicant’s entity name in the title of the document. For detailed instructions on how to submit an Application (online or paper submission), click the link [“Application Instructions and Portal Training Guide \[PDF\]”](#) located in the [“Current Opportunities” section of NYSERDA’s website](#).

**Questions:** For technical questions, contact Sophie Cardona and Rachel Morris (designated contacts) at [EBC@nyserda.ny.gov](mailto:EBC@nyserda.ny.gov). For contractual questions, contact [VeniceSolicitations@nyserda.ny.gov](mailto:VeniceSolicitations@nyserda.ny.gov). No

communication with NYSERDA staff intended to influence this procurement is permitted. Contacting anyone other than the designated personnel (either directly by the Applicant or indirectly through a lobbyist or other person acting on the Applicant's behalf) in an attempt to influence the procurement may disqualify the Applicant from consideration.

**\* All Applications must be received by 3pm Eastern Time on the date noted above. Late or faxed applications will not be accepted.** Incomplete Applications may be subject to disqualification. It is the Applicant's responsibility to ensure that all submission requirements have been met. *Please note the following: for electronic submissions, there are required fields that need to be filled in, in addition to uploading attachments. Be sure to allot ample time to submit Applications. The electronic Application system closes **promptly** at 3pm (ET) on the date above, and files in process or attempted edits past that time will not be accepted.*

NYSERDA reserves the right to close or extend the solicitation at any time and/or add funding to the solicitation should other program funding sources become available. If changes are made to this solicitation, notification will be posted on NYSERDA's website at <https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>.

## Terminology

Term	Definition
Applicant/Applicant Team	The Applicant is the MEP engineering firm and Real Estate Partner that are applying together to become an EBC Partner.
Real Estate Partner	The Real Estate Partner may be a building owner, portfolio owner, manager, developer, or operator applying to the program with the MEP engineering firm.
Affordable Housing	NYSERDA defines affordable projects in which at least 25% of the units are, or are expected to be, occupied by households earning not more than 80% of the Area or State Median Income, whichever is higher. All other properties are considered market-rate.
Design Charrette	A design charrette is a collaborative, design-oriented session held to explore technical and financial solutions to critical decarbonization issues.
EBC Partner	The Applicant that is qualified through the present solicitation and becomes eligible to submit Application to the next funding round (EBC Funding Round 2)
Carbon Neutral Building	In New York, for existing buildings, a carbon neutral building is a highly energy efficient building whose operations do not contribute to emissions of carbon and other greenhouse gases (GHG) that cause climate change.
EBC Funding Round 2	The second round of funding for low carbon retrofit projects scheduled to be launched by early October 2022.
High-rise (commercial)	An existing commercial office building 20 stories or higher.
High-rise (multifamily)	An existing multifamily building 20 stories or higher.
Summary Carbon Neutrality Roadmap (“Roadmap”)	A high-level summary and description of a phased approach taken to achieve carbon neutrality at the proposed building, highlighting individual Energy Conservation Measures (ECMs) or building electrification strategies and their implementation order and general timeline.

## Section I: Overview of Empire Building Challenge

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The Empire Building Challenge is an initiative that supports **replicable and scalable low carbon retrofit approaches to achieving carbon neutrality** in existing High-rises. EBC is a public-private partnership between NYSERDA and leading commercial and multifamily real estate portfolio owners to:

- Develop and demonstrate low carbon retrofit approaches that can be replicated across the State’s High-rise commercial office and multifamily Buildings.
- Recruit best-in-class equipment manufacturers, solution providers and other businesses to invest in business development, innovation and product development, to overcome the barriers preventing High-rises in New York State from achieving carbon neutrality.

- Establish New York State as a global hub for low carbon retrofits, through public-private partnerships that maximize private sector investments in building retrofits, create good jobs and promote local economic development, while reducing greenhouse gas emissions.

This initiative was launched in September 2020 as a competitive solicitation process to establish partnerships between NYSERDA and leading real estate owners with the ability to publicly commit to carbon neutrality for one or more of their buildings in their portfolios by 2035. The 10 selected real estate partners, collectively referred to as EBC Cohort 1, can be found on the [NYSERDA Empire Building Challenge webpage](#). These Partners were eligible to submit funding requests for their proposed low carbon retrofit projects through a multi-round, competitive solicitation process which opened in October 2021. Four projects were selected from the first funding round; summaries of these first four demonstration projects can be found [here](#). Another funding round is expected to open in the second half of 2022.

To build on lessons learned from the first cohort and capitalize on the decarbonization-focused technical analyses and retrofit models that emerged from by Cohort 1, NYSERDA now seeks to build a second cohort, with the goal of widely replicating successful low carbon retrofit models in one of the toughest-to-decarbonize market segments: high rise buildings.

## Section II: Introduction

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By funding replicable and scalable retrofit approaches that can put High-rises on a path towards carbon neutrality, NYSERDA and its EBC Partners are demonstrating what is feasible, both economically and technically, with respect to decarbonizing High-rises, with a particular interest in retrofit projects that support decarbonization of heating loads, increase flexibility of a building's energy demand, and reduce tenant-driven consumption. Through this solicitation, NYSERDA is **emphasizing portfolio-scale replication opportunities**, and building on important lessons learned that emerged from fruitful collaborations with Cohort 1 Partners over the last 18 months, namely:

- Decarbonizing heating loads in most High-rises requires well-planned, long-term deployment of highly efficient, in-building thermal networks, which integrate and connect low carbon technology, and facilitate the efficient delivery of thermal energy throughout -- or to and from -- a building.
- Transitioning away from current high-temperature thermal distribution systems for building heating requires MEP engineering firms with capacity to understand disaggregated heating and cooling loads, and the incoming and outgoing thermal flows of a building. Innovation from the design team is critical, and there is a significant market need for MEP engineering firms that can develop and sell next generation, low carbon design approaches to building owners.
- Proper analysis of such approaches to building decarbonization, and their thoughtful, phased implementation, are necessary to spur near-term action and avoid business-as-usual scenarios.
- Buildings with key capital events such as major energy system(s) replacements, or a building re-positioning with significant tenant turnover represent an ideal opportunity to demonstrate low carbon alternatives to providing heating, cooling, ventilation, and hot water for High-rises.

For information on the successful decarbonization frameworks that have emerged from Cohort 1, refer to the following resources. All applicants are **highly** encouraged to review these materials:

1. [Building Decarbonization Insights](#)
2. [EBC Knowledge Base](#)
3. [Resource Efficient Electrification](#)



## What types of projects will be supported?

Moving forward, the Empire Building Challenge will work with Real Estate Partners who can focus on deploying innovative thermal solutions, including but not limited to: heat recovery, thermal storage, advanced heat pumps, low temperature hydronics and other innovative thermal distribution, and advanced system integrations in High-rises (over 20 stories for multifamily and commercial properties).

Preference will be given to projects that:

1. Decarbonize heating and domestic hot water (DHW) loads with a well-planned, phased deployment of a highly efficient, in-building thermal network, integrating and connecting low carbon technology; and facilitate the efficient delivery of thermal energy throughout or to and from a building.
2. Projects that transition major loads away from current high-temperature thermal distribution systems for building heating, including a plan for linking disaggregated heating and cooling loads and all building incoming and outgoing thermal flows.

To receive funding from Empire Building Challenge for implementation of retrofits, projects should propose major changes to heating systems and/or DHW plants or distribution systems. No other measures will be considered, including building controls, lighting, and other fossil fuel reduction measures. The current focus of the program is exclusively on building thermal systems, integrating heating, air-conditioning and DHW systems, and enhancing building envelope thermal performance through innovative means. Integrated design solutions are highly desirable. Successful Real Estate Partners should be willing to test novel thermal system design and implementation approaches to drive decarbonization in their buildings.

## Section III: Eligibility Criteria

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For the second EBC cohort, NYSERDA is seeking Real Estate Partners and MEP engineering firms (MEPs) who are interested in forming partnerships to drive building decarbonization at a broad scale. ***To be considered, Applicants must have a decarbonization project ready to be implemented and completed before the end of 2026.*** Only Applicants who meet all the criteria listed below are eligible to apply.

*Applicants to this solicitation must consist of a Team made up of a real estate owner, developer or manager of High-rises **AND** an MEP engineering firm.*

### Eligibility criteria for Applicants

- A Real Estate Partner must apply to the program in partnership with an MEP engineering firm.
- The Real Estate Partner must own or manage a High-rise, or a portfolio of buildings that contains High-rise multifamily and/or commercial buildings (20 stories or higher).
- The Real Estate Partner must make a public commitment to achieve carbon neutrality in one or more buildings in their NYS building portfolio by 2030-2035.
- An MEP engineering must apply to the program in partnership with one or more Real Estate Partners that have made a public commitment to carbon neutrality as noted above.

## Eligibility criteria for buildings

- Eligible buildings are multifamily buildings 20 stories or taller, and commercial buildings 20 stories or taller. Other building types including dormitories, healthcare, institutional, industrial and hospitality, are not eligible.
- Proposed building(s) must have a major capital event occurring within the next four years, such as a heating/DHW system replacement, or a building repositioning.
- All buildings that are included in the Application must be located in New York State and contribute to the System Benefit Charge on a common area electric utility bill.

## Section IV: Partnership Benefits and Responsibilities

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### EBC Partner Benefits

- Each Partner is eligible to receive up to \$100,000 for technical planning work necessary to develop and refine detailed plans and roadmaps for low carbon retrofit proposals.
- Each Partner will be eligible to participate in a competitive funding round for up to \$3 million in funding, for replicable and scalable low carbon retrofit proposals.
- Partners have access to industry-leading decarbonization experts who will work with Partners to help them craft cost effective decarbonization plans.
- NYSERDA will promote EBC Partners and their work on NYSERDA's website, associated marketing and communications materials, including via State press releases, as well as through other industry-facing events.

### EBC Partner Commitments and Responsibilities

In addition to their commitment to carbon neutrality, EBC Partners must commit to the following:

- By the end of 2022, develop a roadmap to complete at least one significant low carbon retrofit project with a focus on decarbonizing thermal loads in at least one building by the end of 2026.
- Make public the process and results of the low carbon retrofit(s) funded through this effort, including retrofit project economics, carbon and energy impacts of the retrofits, and case studies related to the Partner's activity in the Empire Building Challenge.
- Participate fully in the EBC Program Process (refer to *Attachment B: The EBC Process and Timeline*)

EBC Partners will also be asked to support the Program's supply chain engagement and market development efforts by:

- Actively supporting NYSERDA's efforts to recruit leading manufacturers and solution providers from around the globe to serve the New York low carbon building retrofit market.
- Allowing low carbon retrofit projects to be included in NYSERDA's promotional efforts and collaborate with NYSERDA in the creation and implementation of those efforts, including but not limited to case studies, exhibitions, articles, electronic media and lectures, among other things, to promote the Empire Building Challenge and its outcomes.
- Participating in events and public forums to disseminate the EBC message to target audiences.

## Section V: Application Requirements

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Applications should not be longer than 12 pages, excluding Attachment A. Applicants may include appendices as needed but are encouraged to limit appendices. Applicants should note that the evaluation of Applications will focus on the answers to the requirements listed below. Incomplete Applications will not be evaluated. NYSERDA reserves the right to request additional information to support an Applicant's submission.

### Required Information:

- **Applicant Team (~2 pages):** Describe the organizations that make up the Team. What is each organization's role? Who are the primary people from each organization that will work on the Empire Building Challenge? Briefly describe each organization's interests and results to date working on building decarbonization, and how the proposed teaming arrangement brings value to the proposed project. How will New York State investment in this team accelerate market adoption of building decarbonization solutions?
- **Portfolio (~1 page):** Describe the Team's portfolio, including square footage, location, building typology, and height.
- **Proposed Building(s) (~2 pages):** Describe the building(s) that are being advanced through the Empire Building Challenge to reach carbon neutrality, including age, building systems, and areas of opportunity for building decarbonization. What are the primary heating, cooling, ventilation and domestic hot water systems located in the Building and how do they interconnect? Specifically highlight major thermal systems that are nearing end of useful life, and provide a timeline for major system upgrades, or timeline of an upcoming repositioning plan. For multifamily buildings, please include the proportion of units that meet NYSERDA's definition of Affordable Housing (refer to *Terminology* section).

❖ The identified building(s) must have a major capital event occurring within the next four years, such as a heating/DHW system replacement, or building repositioning.

- **Carbon Neutrality Roadmap and project concepts (~6 pages):**
  - Provide a Summary Carbon Neutrality Roadmap: This is a high-level summary and description of the Applicant's phased approach to achieve carbon neutrality at the proposed building(s), highlighting individual Energy Conservation Measures (ECMs) and/or building electrification strategies, their implementation order, and general timeline.
  - Provide a Conceptual Project Overview: Describe the Applicant's anticipated low carbon retrofit projects that will be advanced through Empire Building Challenge, including requested funding from NYSERDA and level of potential private investment that will be brought to bear. The overview should include highlights of the phased approach outlined in the Roadmap. What is novel or new that this Team seeks to achieve through this project, if it receives funding support from the Empire Building Challenge?

❖ Applicants should refer to *Section II: Introduction* for information about the types of projects NYSERDA is interested in supporting through the Empire Building Challenge.

- **Public commitment (~1 page):** All members of the Applicant Team must clearly state their commitments to carbon neutrality, and whether the commitment applies to just the proposed Building(s) or a broader portfolio. The public commitment will be posted on the NYSERDA website. The commitment should include the following:
  - Site Energy Use Intensity (EUI) target, below 2010 baseline year:
    - While a 2010 baseline year is preferred, NYSERDA will accept a different baseline year if and only if the Applicant provides a compelling reason for using another baseline.
    - Specify target year if different than carbon neutrality target year. Both baseline and target year EUI should be broken out by fuel
  - Carbon neutrality target year (no later than 2035)
  - Commitment to transparency and sharing of project information for knowledge transfer and education purposes.
  - Name and address of building(s) committed to carbon neutrality
- **Attachment A: Data Collection Form.** All Applicants must complete this attachment.

### Application submission

- All Applications [must be submitted online](#), **by 3pm** on May 24, 2022.
- Application must be uploaded to the NYSERDA electronic application system [located here](#).
- **NOTE:** The electronic application system closes promptly at 3pm. Files that are in the process of being edited or submitted after 3pm ET on May 24, 2022 will not be accepted. Applicants should allot sufficient time to enter and submit Applications.

## Section VI: Evaluation Criteria

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Applications will be evaluated based on 1) the Team make up, the level of commitment made to carbon neutrality, and the level of cost-share from the Applicant, 2) the types of buildings and projects being advanced, and 3) the extent to which proposed strategies can be deployed across a portfolio.

### Overview of Evaluation Criteria

Criteria
<b>1. Team, Commitments, and Investment</b>
Proposing Team
Carbon neutrality commitment
Commitment to eliminating fossil fuels on site
Private investment / cost-share
<b>2. Roadmap, Buildings, and Projects</b>
Summary Roadmap to carbon neutrality
Technology focus areas of potential low carbon retrofits, and complexity of decarbonization challenge and solutions
Height and location of buildings
<b>3. Portfolio</b>
Replication and market scaling potential
Size of portfolio

**1. Evaluation of the Team, its Commitments and Applicant Cost-Share.** *Applications will be rated based on their team make up, their level of commitment to carbon neutrality and the elimination of on-site fossil fuels, and the level of the Applicant’s private investment and cost-share. NYSERDA seeks creative teaming arrangements and project management models.*

**1.1. Proposing Team.** Does the proposing Team have the potential to deliver an innovative project that meets the evaluation criteria listed in this section? Has the Real Estate Partner made a convincing commitment to carbon neutrality, and does the MEP engineering firm have the know-how to advance cost-effective, novel models for high-rise decarbonization? Does the MEP firm have experience designing resource efficient, thermal-oriented approaches to decarbonization, including elimination of fossil fuel heating systems? What is the Team’s track record on building decarbonization and energy efficiency?

- ❖ NYSERDA is open to, and interested in, creative teaming arrangements with owners, equipment manufacturers and solution providers, as well as system integrators, to help finance thermal solutions. NYSERDA also encourages innovation with Design-Build-Own-Operate-Manage (DBOOM) models for project development and finance, or a portion thereof (Design-Build).

**1.2. Carbon neutrality commitment.**

- Has the Real Estate Partner committed to carbon neutrality portfolio-wide, and how is the Team proposing to reach that commitment? What is the level of carbon neutrality achieved through reduction or electrification of on-site energy use versus reliance on RECs or carbon offsets? What is the total square footage of New York real estate covered by the Applicant’s public commitment to carbon neutrality?
- Has the MEP engineering firm signed on to the [MEP 2040 Challenge from the Carbon Leadership Forum?](#)

**1.3. Level of commitment to address on-site fossil fuels in the building(s).** NYSERDA seeks Applications with buildings that are aiming to dramatically reduce or preferably eliminate on-site fossil fuel consumption, and/or reduce the building’s dependency on fossil fuels (i.e. district steam). What is the potential of such on-site fossil fuel reductions in the proposed Building?

**1.4. Private investment** What is the level of private investment that an Applicant is willing to commit to this work, and does that amount signal a true commitment to carbon neutrality in their building(s)/portfolio, and the goals of the EBC? What is the Applicant’s cost-share?

**2. Evaluation of the Roadmap, the Building(s) and Low Carbon Retrofit Concepts.** *Applications will be rated based on the technology focus areas included in the proposed project(s), and the level of complexity of the challenges and solutions being addressed. NYSERDA seeks Teams that can submit a Summary Carbon Neutrality Roadmap for their proposed building(s), as well as proposed Projects that have a clear focus on thermal solutions.*

**2.1. Summary roadmap to carbon neutrality.** Is the Roadmap clear, thoughtful and well-conceived? Does it provide enough information about the decarbonization challenges the Team is trying to overcome?

- What key decarbonization barriers does the Team seek to address?

- Is the scope of proposed projects comprehensive and integrated with other portfolio-wide efforts?

**2.2. Technology focus area(s) of proposed conceptual retrofits.** Do the conceptual low carbon retrofit projects include district thermal strategies, thermal networks (low temperature, ambient temperature distribution, hydronic focus), thermal storage, heat recovery, and/or thermal efficiency concepts? Through this solicitation, NYSERDA seeks to demonstrate the feasibility and replicability of these types of solutions in High-rises.

**2.3. Height of building and complexity of the decarbonization challenge.** How many stories is the building? Have solutions for decarbonizing this type of building already been demonstrated in the New York retrofit market? Is there a strong potential for a demonstrable focus on heating systems and the elimination of on-site fossil fuels?

**2.4. Location of building(s).** Where is the High-rise located? Is it located in a disadvantaged community, in the outer-boroughs of New York City, in Upstate New York? Or in mid-town Manhattan? (Applicants can refer to the [NYSERDA map of disadvantaged communities](#) to pinpoint their building's location).

**3. Evaluation of the Portfolio and Market Scaling Opportunities.** *Applications will be rated based on the size of an Applicant's portfolio, the readiness with which an Applicant is willing to commit to project implementation and replication, and the potential for deploying strategies tested under the EBC program across a portfolio of buildings.*

**3.1. Replication.** How well does the Applicant articulate the strategies that can be replicated across a portfolio, after success has been proven through EBC? Does the Applicant make a compelling argument for how those strategies will be deployed throughout their committed portfolio, or more broadly in the New York marketplace? How many square feet of existing buildings in New York State are similar, enabling broad scale replication of the proposed solutions?

**3.2. Size of portfolio.** How much square footage is covered by the Applicant's portfolio in New York State, nationally, and globally, for multifamily and commercial buildings? What is the proportion of High-rises within the portfolio?

## Section VII: General Conditions

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**Proprietary Information** - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your Application. Review should include whether it is critical for evaluating an Application, and whether general, non-confidential information, may be adequate for review purposes.

The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the Applicant wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501

<https://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

**Omnibus Procurement Act of 1992** - It is the policy of New York State to maximize opportunities for the participation of New York State business enterprises, including minority- and women-owned business enterprises, as bidders, subcontractors, and suppliers on its procurement Agreements.

Information on the availability of New York subcontractors and suppliers is available from:

Empire State Development  
Division for Small Business  
625 Broadway  
Albany, NY 12207

A directory of certified minority- and women-owned business enterprises is available from:

Empire State Development  
Minority and Women's Business Development Division  
625 Broadway  
Albany, NY 12207

**State Finance Law sections 139-j and 139-k** - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx>. Applicants are required to answer questions during Application submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility (this includes a disclosure statement regarding whether the Applicant has been found non-responsible under section 139-j of the State Finance Law within the previous four years).

**Tax Law Section 5-a** - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf)). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department. The Department has created a second form that must be completed by a prospective contractor prior to contacting and filed with NYSERDA. See, ST-220-CA (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220ca\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

**Contract Award** - NYSERDA anticipates making multiple awards under this solicitation. NYSERDA anticipates a contract duration of two (2) years, unless NYSERDA management determines a different structure is more efficient based upon Applications received. A contract may be awarded based on initial Applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each Application should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support Applications. NYSERDA will use the Attachment C, Sample Agreement to contract successful Applications. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms

and conditions in Attachment C, Sample Agreement, to those specifically identified in the checklist questions. Applicants should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify customers in approximately four (4) weeks from the receipt of a complete project package whether the submission has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

**Accessibility Requirements** - If awardees from this solicitation will be posting anything on the web, or if the awardee will produce a final report that NYSERDA will post to the web, the following language must be included. NYSERDA requires contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSERDA's Accessibility Requirements](#).

**Limitation** - This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing an Application, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all Applications received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest. NYSERDA reserves the right to reject Applications based on the nature and number of any exceptions taken to the standard terms and conditions of the Attachment C, Sample Agreement. NYSERDA reserves the right to disqualify Applicants based upon the results of a background check into publicly available information and the presence of a material possibility of any reputational or legal risk in making of the award.

**Disclosure Requirement** - The Applicant shall disclose any indictment for any alleged felony, or any conviction for a felony within the past five years, under the laws of the United States or any state or territory of the United States, and shall describe circumstances for each. When an Applicant is an association, partnership, corporation, or other organization, this disclosure requirement includes the organization and its officers, partners, and directors or members of any similarly governing body. If an indictment or conviction should come to the attention of NYSERDA after the award of a contract, NYSERDA may exercise its stop-work right pending further investigation, or terminate the agreement; the contractor may be subject to penalties for violation of any law which may apply in the particular circumstances. Applicants must also disclose if they have ever been debarred or suspended by any agency of the U.S. Government or the New York State Department of Labor.

**Vendor Assurance of No Conflict of Interest or Detrimental Effect** - The Applicant shall disclose any existing or contemplated relationship with any other person or entity, including any known relationships with any member, shareholders of 5% or more, parent, subsidiary, or affiliated firm, which would constitute an actual or potential conflict of interest or appearance of impropriety, relating to other clients/customers of the Applicant or former officers and employees of NYSERDA, in connection with Applicant's rendering services as proposed. If a conflict does or might exist, please describe how your company would eliminate or prevent it. Indicate what procedures will be followed to detect, notify NYSERDA of, and resolve any such conflicts.

The Applicant must disclose whether it, or any of its members, or, to the best of its knowledge, shareholders of 5% or more, parents, affiliates, or subsidiaries, have been the subject of any investigation or disciplinary action by the New York State Commission on Public Integrity or its predecessor State entities (collectively, "Commission"), and if so, a brief description must be included indicating how any matter before the Commission was resolved or whether it remains unresolved.

**Public Officers Law** – For any resulting awards, the Contractor and its subcontractors shall not engage any person who is, or has been at any time, in the employ of the State to perform services in violation of the provisions of the New York Public Officers Law, other laws applicable to the service of State employees, and the rules, regulations, opinions, guidelines or policies promulgated or issued by the New York State Joint Commission



on Public Ethics, or its predecessors (collectively, the “Ethics Requirements”). Applicants are reminded of the following Public Officers Law provision: contractors, consultants, vendors, and subcontractors may hire former NYSERDA employees. However, as a general rule and in accordance with New York Public Officers Law, former employees of NYSERDA may neither appear nor practice before NYSERDA, nor receive compensation for services rendered on a matter before NYSERDA, for a period of two years following their separation from NYSERDA service. In addition, former NYSERDA employees are subject to a “lifetime bar” from appearing before any state agency or authority or receiving compensation for services regarding any transaction in which they personally participated, or which was under their active consideration during their tenure with NYSERDA.

Any awardee will be required to certify that all of its employees, as well as employees of any subcontractor, whose subcontract is valued at \$100,000 or more who are former employees of the State and who are assigned to perform services under the resulting contract, shall be assigned in accordance with all Ethics Requirements. During the term of any agreement, no person who is employed by the contractor or its subcontractors and who is disqualified from providing services under the contract pursuant to any Ethics Requirements may share in any net revenues of the contractor or its subcontractors derived from the contract. NYSERDA may request that contractors provide it with whatever information the State deems appropriate about each such person’s engagement, work cooperatively with the State to solicit advice from the New York State Joint Commission on Public Ethics, and, if deemed appropriate by the State, instruct any such person to seek the opinion of the New York State Joint Commission on Public Ethics. NYSERDA shall have the right to withdraw or withhold approval of any subcontractor if utilizing such subcontractor for any work performed would be in conflict with any of the Ethics Requirements. NYSERDA shall have the right to terminate any contract at any time if any work performed is in conflict with any of the Ethics Requirements.

**Due Diligence** – NYSERDA, at its discretion, may conduct broad due diligence to validate any or all elements of an Application and to assess Applicants’ prospects of success, including gathering information to assess a Application relative to any of the topics listed in evaluation criteria, whether or not such topic is explicitly addressed in an Application. NYSERDA may conduct due diligence on some or all Applications based on NYSERDA’s current guidelines at the time of a review. NYSERDA staff may follow up with Applicants to request additional information or clarification regarding Applicant’s Application, including questions regarding applicant’s business prospects and resources, whether or not those questions are specifically related to the elements of the Application. Additionally, customized due diligence may be conducted by internal or external staff or contractors based on questions on any Application raised by NYSERDA staff and/or the Scoring Committee. Due diligence may include (but is not limited to): interviews of independent references and background checks of team members; assessment of prior business experience of any team member associated with an Application; research on intellectual property claims; customer and partner reference checks; market research on the applicants’ target market and any other related or possibly competitive technology or market area; research to validate any assumptions on current or future revenues, costs, capital needs, and financing prospects for Applicants’ business, including similar (or unrelated) technologies, processes, or competitive solutions; or any other research that could reasonably inform the evaluation of an Application, or the prospects for commercial success of the Applicants’ business (whether directly related to, or unrelated to the specific elements in a Application). Due diligence may include discussions with Applicants’ former and current business partners, employees, investors, customers, and competitors. Due diligence may be conducted by NYSERDA personnel or contractors including members of the scoring committee, before, during, or after a scoring process, and prior to finalization of a contract award, any information gleaned in diligence may be used to score or re-score a Application or apply a program policy factor.

## **VIII. Attachments**

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Attachment A – Data Collection Form  
Attachment B – The EBC Process and Timeline  
Attachment C – Sample Agreement

**Clean Energy Siting Technical Assistance Contractors**

**PON 5039**

**\$1,000,000 Available**

*NYSERDA reserves the right to extend and/or add funding to the Solicitation should other program funding sources become available.*

Proposals Due: June 16, 2022, 3:00 PM Eastern Time

The New York State Energy Research and Development Authority (NYSERDA) is issuing this solicitation to competitively select contractors with demonstrated technical expertise and resources to assist local governments in safely and expediently permitting clean energy resources. The Climate Leadership Community Protection Act (CLCPA) mandate to achieve 70% renewable energy by 2030 and substantial participation in the Large Scale Renewables, NY-Sun, Distributed Energy Resources, and Offshore Wind programs will ensure a continued growth of the state's clean energy infrastructure. NYSERDA expects to select contractor(s) to assist local jurisdictions with managing siting these projects by providing technical assistance in the following categories:

- 1. Planning and Zoning**
- 2. Land Use and Engineering Review**
- 3. Code Enforcement**
- 4. Energy Storage and Fire Safety**
- 5. Clean Energy Project Economics**

Proposers may submit a proposal to provide support in one, multiple, or all the above categories. Proposers should submit separate proposals for each category, with the proposing firm's name and the proposal category must appear on every page of the proposal. All proposals must be in one PDF file. Additionally, proposers may submit a proposal that makes a compelling case for additional areas of support to local jurisdictions in clean energy siting not listed above. NYSERDA anticipates entering into Task Work Order Umbrella Agreements with the selected proposers in each support area to provide services. The expected start date for work under this program is July 18, 2022.

**Proposal Submission:** Online submission is preferable. Proposers must submit separate proposals for each category in a single PDF file. The proposing firm's name and proposal category from those listed above must appear on every page of the proposal. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. NYSERDA will also accept proposals by mail or hand-delivery if online submission is not possible. For detailed instructions on how to submit a proposal (online or paper submission), click the link "[Application Instructions and Portal Training Guide \[PDF\]](#)" located in the "Current Opportunities" section of NYSERDA's website (<https://www.nyserdera.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted except by contacting Bill Oberkehr at (212) 971-5342, ext. 3623 or by e-mail [sitingcontractorpool@nyserdera.ny.gov](mailto:sitingcontractorpool@nyserdera.ny.gov) or Jen Manierre at (518) 862-1090, ext. 3406 or by e-mail [sitingcontractorpool@nyserdera.ny.gov](mailto:sitingcontractorpool@nyserdera.ny.gov). If you have contractual questions concerning this solicitation, contact Nancy Marucci at (518) 862-1090 or [Nancysolicitations@nyserdera.ny.gov](mailto:Nancysolicitations@nyserdera.ny.gov). Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person

acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offeror, and (2) may result in the proposer not being awarded a contract.

**\* All proposals must be received by 3 p.m. Eastern Time on the date noted above. Late, faxed, or emailed proposals will not be accepted.** Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal in a single file. Please note: for online submission, there are required questions that you will have to answer in addition to uploading the proposal and you should allot at least 60 minutes to enter/submit proposals. The online proposal system closes promptly at 3 p.m. Eastern Time, files in process or attempted edits or submission after 3 p.m. Eastern Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on the "Current Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

## I. Introduction

In support of the Climate Leadership and Community Protection Act and the Accelerated Renewable Energy Growth and Community Benefit Act; through NYSERDA, New York State is seeking to streamline permitting processes and reduce soft costs associated with clean energy development. NYSERDA currently provides direct technical assistance to AHJs for clean energy siting issues across a wide variety of subject areas, including but not limited to technical, legal, and property tax assistance. As a result, NYSERDA is seeking to select one or more contractor(s) to assist NYSERDA staff and AHJs with clean energy siting issues by providing technical assistance as needed in each of the seven following categories of expertise. \$1 million will be allocated among all categories for an initial 5-year term, and NYSERDA reserves the right to increase funding pending successful performance of the selected contractors. The estimated budget and schedule associated with this solicitation (or Task Work Plan) reflects NYSERDA's best information at the time of bid release. NYSERDA, in its sole discretion, reserves the right to negotiate related or follow-on tasks, commensurate funds, and needed schedule extensions as the project progresses to completion.

## II. Proposer Requirements

### A. Categories

Proposers are invited to submit, in the format described in Section IV, proposals for one or more of the below categories describing their skills, expertise, qualifications, and personnel rates. Separate proposals are required for each category. Proposers to Category 2 and Category 3 must be New York State Licensed Professional Engineers.

- **Category 1: Planning and Zoning:** Proposers may be asked to provide technical assistance to local jurisdictions on a variety of planning and zoning issues including agricultural and clean energy colocation practices, creating or updating zoning resolutions, reviewing local laws, and reviewing project applications. Proposers may be asked to conduct primary and secondary research tasks and develop or contribute to additional resources for NYSERDA's solar, energy storage, and wind energy guidebooks. Proposers may be asked to advise jurisdiction on creating or amending their comprehensive plan. Jurisdictions may seek technical assistance at each step of the comprehensive planning process to form the basis of zoning laws that will affect clean energy siting. Proposers may be asked to fill information gaps among comprehensive planning, zoning, and clean energy siting.
- **Category 2: Land Use and Engineering Review:** Proposers may be asked to review site plans and develop and provide trainings, toolkits, technology specific clean energy guidebook additions and/or updates, and technical reference documents relating to structural, mechanical, and electrical building codes and standards, in addition to broader engineering considerations for siting clean energy technologies. Proposers may be asked to provide technical assistance to local jurisdictions on a variety of land use issues including agricultural and clean energy colocation practices, reviewing clean

energy site plans for environmental impacts, and additional land use issues. Proposers may be tasked with engineering reviews of system design on behalf of permitting jurisdictions for solar, energy storage, and wind energy projects of all sizes. Proposers may also be asked to provide assistance in the SEQR process where local government planning boards, or alternatively NYSERDA, serve as the leading agency responsible for the application and site plan review. Proposers to this category must be New York State Licensed Professional Engineers.

- **Category 3: Code Enforcement:** Proposers may be asked to review site plans and develop and provide trainings, toolkits, and technical reference documents relating to structural, mechanical, and electrical building codes and standards. Proposers may be asked to provide regulation and field level support in accordance with applicable building, electric, energy fire codes and local ordinances. This support may span across clean energy technologies' project planning, design, and construction phases and cover activities supporting project permitting and inspecting. Proposers may be asked to conduct primary and secondary research tasks and develop or contribute to additional resources for NYSERDA's solar, energy storage, and wind energy guidebooks. Proposers to this category must be New York State Licensed Professional Engineers.
- **Category 4: Energy Storage and Fire Safety:** Proposers may be asked to assist local code enforcement officers with inspecting and permitting energy storage systems, review energy storage system plans for fire safety hazards and code compliance, review manufacturing specifications of proposed energy storage systems, and advise the municipality on issues related to energy storage fire safety, insurance, and disposal. Proposers also may be asked to design, update, and/or deliver energy storage guidebook resources and updates in addition to fire safety courses for energy storage systems to fire departments and code officials throughout the state.
- **Category 5: Clean Energy Project Economics** Proposers may be asked to advise local jurisdictions on clean energy project economics. Proposers should be able to generate a model pro forma and present it to local officials to illuminate and contextualize the revenue streams of proposed projects in a particular jurisdiction. Proposers may be asked to review pro forma for proposed projects and advise local jurisdictions on host community benefit agreements, PILOTs and other issues related to clean energy project economics. Proposers may also be asked to conduct primary and secondary research tasks and develop or contribute to additional resources for NYSERDA's solar, energy storage, and wind energy guidebooks.

## **B. Funding and Schedule**

Up to \$1,000,000 may be committed over approximately seven years for services provided through Task Work Order Umbrella Agreements (see Attachment B) resulting from this PON (an initial 5-year term with additional 2-year option to renew; subject to NYSERDA discretion). NYSERDA reserves the right to extend and/or add funding should other program funding sources become available. Task Work Order Umbrella Agreements will be negotiated soon after the notification of selection is delivered to successful proposers.

The estimated budget and schedule associated with this solicitation reflects NYSERDA's best information at the time of bid release. NYSERDA, in its sole discretion, reserves the right to negotiate related or follow-on tasks, commensurate funds, and needed schedule extensions as the project progresses to completion.

## **C. Services Requested**

As a result of this PON, NYSERDA expects to retain qualified contractors to provide services in the Categories outlined in Section II A. The number and type of services requested from the selected contractors will depend on NYSERDA's need for services, contractor expertise and performance. Proposers are permitted, but not required, to team with partners (subcontractors) they consider necessary.

## **D. Task Order Agreements**

NYSERDA will enter into general Task Work Order Umbrella Agreements with up to three successful proposers in each category, with the flexibility to request services for a variety of activities. Task Work Order Umbrella Agreements will not guarantee any specific amount of work and may contain a maximum not-to-exceed dollar amount. The amount assigned to each contractor will depend on their expertise, anticipated amount of work requested in the contractor's categories, past performance, current workload, deadline requirements, and contractor's ability to provide high quality, cost effective, and timely services. NYSERDA reserves the right to negotiate among finalists to ensure access to specific categories.

Once a contractor(s) enters into a Task Work Order Umbrella Agreement through this PON, when services are required, NYSERDA will assign a project and request the contractor to prepare a written TWO Plan. NYSERDA will have the option to use the top-ranked bidder for TWOs or, if multiple contractors are selected with overlapping areas of expertise, NYSERDA may also issue mini bids to qualified contractors for proposals and bids on specific assignments. If the top-ranked contractor is unable to perform work on a specific task due to workload, timeliness, or expertise, NYSERDA will issue a mini bid to all qualified contractors for the work.

All projects will be assigned and initiated through the written TWO Plan, which will become a binding agreement for all parties. The TWO Plan will be prepared by the contractor in cooperation with NYSERDA. TWO Plans shall include:

- project goals and objectives
- approach and tasks
- defined deliverables
- project schedule
- names and titles of individuals who will work on the project
- project budget broken out by task and by title including hourly rate, hours, and non-labor cost entries, and the total not-to-exceed cost
- metrics to track project success

The level of details of any TWO plan shall be proportional to the complexity of the proposed project and services. Hourly rates shall be consistent with those established in the general Task Work Order Umbrella Agreement. TWO plans are expected to be 1-5 pages each, and NYSERDA must review and approve all TWO Plans before work commences.

## **E. Contractor Responsibilities**

For each service request, the selected contractors shall:

- Prepare a TWO Plan with budget for each project for NYSERDA review and approval
- Negotiate the scope and cost of the support services with NYSERDA
- Upon receiving an executed TWO Plan, provide the required services within specified timeframe
- Submit any deliverables to NYSERDA for review and approval
- Provide required documentation of expenditures by task in invoices to NYSERDA

## **F. Compensation**

Compensation will be based on the contractor's direct and indirect personal services costs (included in the proposal) plus allowable expenses. Fees will be based on the contractor's hourly rates for the appropriate level of staff. NYSERDA will negotiate each Task Work Order Agreement on the basis of demonstrated competence and qualifications, at fair and reasonable fees. Fee schedules shall be included in each proposal that identify rates for each member of the team by title. Proposers are asked to consider the duration of the five-year contract period when proposing fee schedules in the Project and Personnel Rates form (Attachment A). Should the Agreement be extended after the five-year contract period, rates may not escalate by more than 3% in each additional year.

Contractor time spent on preparing TWO Plans is considered overhead and will not be compensated. Contractor who spend hours beyond those established in the TWO Plan do so at their own risk.

### III. Proposal Requirements

Proposals must be received by NYSERDA by the due date. Proposers are invited to submit a response for one, multiple, or all of the categories. All proposals must be submitted in one PDF file with the proposing firm's name and the proposal category appearing on every page of the proposal.

#### A. Submittal

Proposers must submit a complete bid package for each category to which the proposer is applying and agree to the terms and requirements of the PON. Electronic submission is preferable. Proposers are strongly encouraged to use NYSERDA's online electronic proposal submission portal. NYSERDA will also accept proposals by mail or hand-delivery. Faxed or e-mailed proposals will not be accepted.

#### B. Proposal Format

Please prepare a written proposal (up to 9 pages) that incorporates, at a minimum, the following items. The name of the proposing firm and the category to which the firm is applying must appear on every page of the proposal. If the proposer is submitting to more than one category, separate proposals are required for each. The page numbers in parentheses below represent the maximum number of pages allowed for each section of the proposal. For the purposes of this solicitation, a page is considered to be a single 8.5"x11" document with normal margins and at least 11 point font. Pages submitted in excess of these limits will not be considered. Proposals must be submitted as a single .pdf file including all of the following items.

1. **Summary.** Proposal summary describing your overall experience, approach, and understanding of the goals and objectives of the project/category(ies). (1 page)
2. **Potential Conflicts of Interest.** Briefly describe any potential real or perceived conflicts of interest that would need to be considered in the assignment of work under this program. (1-2 page)
3. **Approach.** Brief description of the proposed approach to providing technical assistance and developing resources of varied complexity associated with the proposer's selected category, including the proposer's ability to manage multiple tasks simultaneously and sporadic work demands based on changing NYSERDA needs. (1 page)
4. **Relevant Experience.** Description of past relevant experience with the proposing category for large-scale solar, energy storage, and/or wind projects. Proposers should demonstrate experience working with AHJs, state agencies, and/or other relevant clean energy industry stakeholders. Provide at least 3 brief examples of relevant work, preferably in New York State, with references, and approximate costs NYSERDA would expect to incur for similar services. (up to 3 pages)
5. **Key Personnel.** Your proposal should provide a confirmation of your firm's commitment and staffing plan to accomplish the tasks. Specifically identify the personnel to be assigned to this project, including proposed roles, titles, related qualifications, fully loaded rates, and past relevant experience. A primary contact who will lead the effort for the proposer must be identified and their experience relevant to the project must be described along with how they will make use of other staff to support their work. (1 page)
6. **Budget.** Please provide a fully loaded hourly rate sheet complete with titles and qualifications for all relevant project staff. (1 page)
7. **Resumes.** Provide one-page (max) resumes for key personnel. (not included in page count)

Proposals should not exceed 9 pages, excluding resumes. Additional pages or attachments beyond those requested will not be reviewed or considered in the evaluation of the proposal.

#### IV. Proposal Evaluation

Proposals that meet submission requirements will be reviewed by a Scoring Committee consisting of NYSERDA staff and selected outside reviewers. Responses to this PON will be reviewed and assigned scores based on the criteria highlighted below, as well as other programmatic and management factors deemed appropriate by NYSERDA. At NYSERDA's discretion, proposers may be requested to interview with all or part of the Scoring Committee to address any potential questions or clarifications outlined in the proposals. Proposers will be notified if they are requested to attend an interview.

The following weighted criteria will be used in selecting the winning proposal:

1. Contractor's experience (35 Points)– Relevant expertise and appropriate staffing plan.
2. Bid quality (20 Points) –Contractor's understanding of the requirements of the project as outlined in the proposal, proposed approach, and relevant project experience.
3. Timing (10 Points) - Contractor's ability to manage multiple tasks simultaneously and sporadic work demands.
4. Cost (35 Points) –Contractor's cost competitiveness using appropriate staff.

#### V. GENERAL CONDITIONS

**Proprietary Information** - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <https://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

**Omnibus Procurement Act of 1992** - It is the policy of New York State to maximize opportunities for the participation of New York State business enterprises, including minority- and women-owned business enterprises, as bidders, subcontractors, and suppliers on its procurement Agreements.

Information on the availability of New York subcontractors and suppliers is available from:

Empire State Development  
Division for Small Business  
625 Broadway  
Albany, NY 12207

A directory of certified minority- and women-owned business enterprises is available from:

Empire State Development  
Minority and Women's Business Development Division  
625 Broadway  
Albany, NY 12207

**State Finance Law sections 139-j and 139-k** - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx> . Proposers are required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility (this includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years).

**Tax Law Section 5-a** - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf)). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department. The Department has created a second form that must be completed by a prospective contractor prior to contacting and filed with NYSERDA. See, ST-220-CA (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220ca\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf> .

**Contract Award** - NYSERDA anticipates making multiple awards under this solicitation. A contract may be awarded based on initial applications without discussion or following limited discussion or negotiations pertaining to the Statement of Work. Each proposal should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately 6 weeks from the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

**Accessibility Requirements** - If awardees from this solicitation will be posting anything on the web, or if the awardee will produce a final report that NYSERDA will post to the web, the following language must be included. NYSERDA requires contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSERDA's Accessibility Requirements](#).

**Limitation** - This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement. NYSERDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information and the presence of a material possibility of any reputational or legal risk in making of the award.

**Disclosure Requirement** - The proposer shall disclose any indictment for any alleged felony, or any conviction for a felony within the past five years, under the laws of the United States or any state or territory of the United States, and shall describe circumstances for each. When a proposer is an association, partnership, corporation, or other organization, this disclosure requirement includes the organization and its officers, partners, and directors or members of any similarly governing body. If an indictment or conviction should come to the attention of NYSERDA after the award of a contract, NYSERDA may exercise its stop-work right pending further investigation, or terminate the agreement; the contractor may be subject to penalties for violation of any law which may apply in the particular circumstances. Proposers must also disclose if they have ever been debarred or suspended by any agency of the U.S. Government or the New York State Department of Labor.



**VI. ATTACHMENTS**

Attachment A – Budget

Attachment B – Sample Agreement



**Transit Tech Lab Partnership Program**  
Program Opportunity Notice (PON) 5109  
**Up to \$ 3,000,000**

*NYSERDA reserves the right to extend and/or add funding to the Solicitation should other program funding sources become available.*

Proposals Due: **August 23, 2022** by 3:00 p.m. Eastern Time\*

**Program Summary:** The New York State Energy Research and Development Authority (NYSERDA) seeks proposals from 2022 Transit Tech Lab (TTL) Finalists to demonstrate innovative public transportation technologies and strategies that have the potential to advance clean transportation solutions for existing transit bus, rail and connected intermodal transit systems in New York State. The New York Metropolitan Transportation Authority’s (MTA) Transit Tech Lab (TTL) is an accelerator program to identify promising technologies that can help improve MTA and other transportation agencies’ operations and performance.

The 2022 TTL program focused on two challenges related to sustainability and ridership recovery. As transit agencies seek innovative ways to serve riders more efficiently through wider adoption of technological advancements and capitalization of industry expertise through public private partnerships, opportunities exist to rethink public transportation operations and to help transit agencies improve energy efficiency and to improve transit ridership in transit deserts. NYSERDA aims to support innovative transit solutions like those identified through the TTL that could potentially generate sustainable environmental, social and economic benefits through reduced greenhouse gas (GHG) emissions, improved quality of commute for riders and recurring annual cost savings. Proposals should demonstrate a feasible path to economic viability and be replicable and transferrable throughout the State by different size transit agencies.

NYSERDA’s Transit Tech Lab Partnership Program (PON 5109) provides an opportunity for technology companies that have been competitively selected in the TTL to be considered for NYSERDA funding. Technology companies seeking funding through this solicitation must demonstrate that their project(s) supports NYSERDA’s Clean Energy Fund goals and falls within one or more of the Challenge and Focus Areas outlined herein. Companies will be eligible for funding through this solicitation if they: (1) were competitively selected during the Transit Tech Lab application evaluation; (2) participated in the TTL accelerator program; and (3) were selected as a proof-of-concept finalist with the MTA or New York transportation agency.

**Proposal Submission:** Online submission is preferable. Proposers may submit Word, Excel, or PDF files (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer’s entity name in the title of the document. NYSERDA will also accept proposals by mail or hand-delivery if online submission is not possible. For detailed instructions on how to submit a proposal (online or paper submission), click the link “[Application Instructions and Portal Training Guide \[PDF\]](#)” located in the “Current Opportunities” section of NYSERDA’s website (<https://www.nyserdera.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted except by contacting Richard Mai (Designated Contact) at (212) 971-5342, ext. 3476 or Adam Ruder at (518) 862-1090, ext. 3411 (Designated Contact). If you have contractual questions concerning this solicitation, contact Nancy Marucci (Designated Contact) at (518) 862-1090, ext. 3335 or email at [nancysolicitations@nyserdera.ny.gov](mailto:nancysolicitations@nyserdera.ny.gov). Contacting anyone other than the Designated Contacts (either directly by the

proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

**\* All proposals must be received by 3 p.m. Eastern Time on the date noted above. Late, faxed, or emailed proposals will not be accepted.** Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal. Please note: for online submission, there are required questions that you will have to answer in addition to uploading attachments and you should allot at least 60 minutes to enter/submit proposals. The online proposal system closes promptly at 3 p.m. Eastern Time, files in process or attempted edits or submission after 3 p.m. Eastern Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on the "Current Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

## I. Introduction

The New York State Energy Research and Development Authority (NYSERDA) seeks proposals from 2022 Transit Tech Lab (TTL) Finalists to demonstrate innovative public transportation technologies and strategies that have the potential to reduce GHG emissions and associated energy consumption of the existing transit bus, rail and connected intermodal transit systems in New York State. The New York Metropolitan Transportation Authority's (MTA) Transit Tech Lab (TTL) is an accelerator program to identify promising technologies that can help improve MTA and other transportation agencies' operations and performance. The 2022 accelerator focused on two challenges related to sustainability and ridership recovery. As transit agencies seek innovative ways to serve riders more efficiently through wider adoption of technological advancements and capitalization of industry expertise through public private partnerships, opportunities exist to rethink public transportation operations and to help transit agencies improve energy efficiency and to improve transit ridership in transit deserts. NYSERDA aims to support innovative transit solutions like those identified through the TTL that could potentially generate sustainable environmental, social and economic benefits through reduced greenhouse gas (GHG) emissions, improved quality of commute for riders and millions of dollars in annual cost savings. Proposals should demonstrate a feasible path to economic viability and be replicable and transferrable throughout the State by different size transit agencies.

NYSERDA's Transit Tech Lab Partnership Program (PON 5109) provides an opportunity for technology companies that have been competitively selected in the TTL to be considered for NYSERDA funding. Technology companies seeking funding through this solicitation must demonstrate that their project(s) supports NYSERDA's Clean Energy Fund goals and falls within one or more of the Challenge and Focus Areas outlined herein. Companies will be eligible for funding through this solicitation if they: (1) were competitively selected during the Transit Tech Lab application evaluation; (2) participated in the TTL accelerator program; and (3) were selected as a proof-of-concept finalist with the MTA or New York transportation agency.

Companies will be required to submit a Budget and Statement of Work as described herein, along with their TTL application/proposal submission materials. TTL Finalists being considered for NYSERDA funding are subject to NYSERDA executive management approval.

Note: Only companies that have been selected as a 2022 Transit Tech Lab Finalist are eligible to apply.

Projects must address one or more of the following Challenges and Focus Areas, which should be identified in the proposal. Proposals that do not address one or more of the Challenges and Focus Areas may be considered unresponsive.

### Innovation Challenges

Goal: To develop and demonstrate new products and strategies that can reduce energy use from rail traction power, increase efficiency of transit bus service, and improve transit agency operations and ridership statewide.

Challenge 1 – Improve Efficiency and Reliability of Rail Traction Power

- Innovations that advance the state of technology for energy efficiency improvements to electrified rail transit that address one or more of the following focus areas:
  - Rail equipment
  - Advances in energy management and harvesting
  - Train equipment innovations
  - Improvements to train operations

Sample Target Metrics: Peak demand (MW), Percentage of traction energy recovered through regeneration, Greenhouse Gas (GHG) emissions per Passenger Mile Traveled (PMT), Third rail voltage

#### Challenge 2 – Expand Electrification and Improve Efficiency of Buses and Fleets

- Innovations that advance the state of technology for energy efficiency improvements to transit buses, paratransit, and non-revenue vehicle operations that address one or more of the following focus areas:
  - Innovations that facilitate bus and paratransit electrification
  - Innovative approaches to bus operations
  - Technologies or strategies to reduce energy use from non-revenue fleets

Sample Target Metrics: Miles per gallon gasoline equivalent (MPGe), Gallons of diesel/gasoline saved, GHG emissions per PMT, Electricity dispensed by EV chargers, Total cost of ownership

#### Challenge 3 – Improve the Transit Experience

- Innovations that serve to expand transit ridership and improve the efficiency of transit facilities that address one or more of the following focus areas:
  - Innovative approaches to improve customer experiences using data to improve route planning, information sharing, and decision-making tools for riders
  - Demonstration of technologies, strategies, or partnerships to improve first and last-mile connections to public transit hubs, especially in disadvantaged communities, rural areas or transit deserts
  - Innovations that reduce energy use in transit facilities through improvements in operations or maintenance procedures

Sample Target Metrics: Vehicle Miles Traveled (VMT) avoided, GHG emissions per PMT avoided, Annual ridership

## **II. Program Requirements**

### **Funding**

Only projects categorized as Demonstration type will be considered for this solicitation. A Demonstration project is defined below.

Demonstration: a project intended to increase sales or usage of a commercialized product already in the marketplace, with results used to generate objective performance information for customers or

policymakers. At this stage, the product is available for commercial sale and warranted. While incremental improvements may be incorporated based on the demonstration results, the final product design is essentially complete.

This solicitation is aimed at demonstrating emerging public transportation related technologies, services, or strategies that are commercially available but have not yet been significantly deployed in NYS. This includes hardware, software, policies, and market development initiatives.

NYSERDA's share of funding for any project of this type will be limited to a maximum of \$1,000,000. All projects are required to provide at least 50% of total project costs in non-NYSERDA matching funds.

NYSERDA reserves the right to modify a project's Statement of Work and may offer to fund any of the proposal's phases therein at a lower level than that requested.

### **Project Scope**

To qualify for funding, proposals must:

- Show a potential to reduce GHG emissions by improving or expanding public transportation use in NYS
- Address an innovative, under-utilized technology that would benefit from public exposure using credible performance metrics
- Provide quantifiable benefits to NYS with respect to the public transportation market
- Emphasize development of marketable products, services or strategies rather than basic research that is not replicable
- Provide products or strategies that minimize excessive customization tailored to one transit agency
- Identify a clear value chain and provide products or strategies that can be easily inserted into a transit agency's own value chain or operating/capital processes
- Show a potential to reduce a transit agency's operating or capital costs

### **Project Schedule, Phasing and Teaming**

The following guidelines should be considered when developing proposals:

- Projects are expected to begin within three months of the proposal due date. Generally, the project schedule should not exceed 12 months.
- Teaming Agreements are strongly encouraged, where appropriate, to enhance the likelihood of project success. Teams may include commercial firms, industry associations, research organizations, universities, government agencies, end-users, or other stakeholders.

### **III. Proposal Requirements**

Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal.

#### **Proposal**

If a proposer is selected as a proof-of-concept finalist with the TTL, the proposer will be eligible to submit a Proposal using the instructions and attachments listed below.

The proposer's goal should be to concisely present the information needed to fully address the Proposal evaluation criteria. Proposals that grossly exceed the word limits or fail to follow the format guidelines may be rejected as non-responsive. If proposers believe proprietary information must be submitted to provide an adequate proposal, they must comply with the instructions for submitting proprietary material.

Each page of the proposal should state the name of the proposer, the PON number, and the page number. All proposers are required to submit, at a minimum, the following documents:

- Attachment A - Statement of Work
- Attachment B - Budget Form
- Attachment C - TTL Application
- Attachment D - Proof of TTL Finalist Selection

Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. The proposal must be in the following format: .doc, .docx, .pdf, .xls, .xlsx, .ppt, .pptx, compressed version of file types in .zip format.

In compliance with §139-j and §139-k of the State Finance Law (see Section V, General Conditions below for additional information), proposers will be required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility.

**Cost Sharing**

The proposal should show non-NYSERDA funding of at least 50% of the total cost of the project. Cost sharing can be from the proposer, other team members, and other government or private sources. Contributions of direct labor (for which the laborer is paid as an employee) and purchased materials may be considered "cash" contributions. Unpaid labor, indirect labor, or other general overhead may be considered "in-kind" contributions. NYSERDA will not pay for efforts which have already been undertaken. The proposer or proposing team cannot claim as cost-share any expenses that have already been incurred. Show the cost-sharing plan in the following format (expand table as needed):

	<b>Task 0</b>	<b>Task 1</b>	<b>...</b>	<b>Task X</b>	<b>Cash</b>	<b>In-kind Contribution</b>	<b>Total</b>
<b>NYSERDA</b>					\$	\$	\$
<b>Proposer</b>					\$	\$	\$
<b>Others (list individually)</b>					\$	\$	\$
<b>Total</b>					\$	\$	\$

A payment based on the final deliverable will be reserved until project completion. If awarded, NYSERDA may choose to negotiate the amount of such payment.

**IV. Proposal Evaluation**

Proposals that meet solicitation requirements will be reviewed by a Scoring Committee using the Evaluation Criteria below. At NYSERDA's discretion, proposers may be requested to interview with all or part of the Scoring Committee to address any potential questions or clarifications outlined in the proposals. Proposers will be notified if they are requested to attend an interview.

#### Proposed Solution/Scope

- The proposal identifies a core problem pertinent to NYS that is essential to the advancement of Public Transportation technical solutions.
- The proposed project is feasible, innovative, and superior to alternatives, and will make significant progress toward solving the identified problem.
- The approach is testable and flexible, and the work schedule is reasonable.

#### Project Benefits

- The proposed solution has the potential to significantly reduce GHG emissions or energy use from public transportation, or by helping more people use public transportation in NYS.
- There are sizable economic benefits to NYS in the form of innovation, manufacturing, or technical services, and there will be NYS jobs created and/or retained because of this project.
- There are additional significant benefits, such as increased resiliency to disasters or air quality improvements.
- A significant portion of the work will take place in NYS.

#### Market Potential

- The proposed solution addresses a core public transportation problem that is not being addressed by others and provides the potential for wide-scale replicability.
- The implementation strategy is well-conceived, appropriate for the current stage of development, and there is a sound plan for measuring progress and success.
- The proposer has exhibited a strong market demand for this solution and has already identified target customers or end-users.

#### Project Team/Support

- The project team has both a strong technical and business background with the relevant and necessary expertise to complete the proposed work.
- The proposer has successfully commercialized one or more products or deployed services.
- The proposer has secured strong commitments from all essential team members and partners, including cost sharing, and has demonstrated strong support from necessary market actors.

#### Project Value

- The cost of the project is strongly justified with respect to the expected benefits and the potential market or deployment opportunity.
- The proposer has met or exceeded the recommended cost share amount, and these contributions are appropriate given the financial resources of the team and the degree of risk.
- The proposal outlines a plan for pursuing additional funding and development support, if necessary, to bring the proposed solution to full commercialization.
- The proposal shows a strong potential to reduce a transit agency's operating and capital costs.

NYSERDA reserves the right to accept or reject proposals based on the following program policy factor(s):

- The degree to which pricing and hourly rates are in line with the rest of the market
- Whether the proposed project will advance the goals of the State Energy Plan and the Clean Energy Fund, which include improving resilience and reducing GHG emissions.
- The degree to which the proposed project contributes to a diversity of technical approaches and methods that best achieve the overall goals and objectives of NYSERDA.

- The degree to which there is industry involvement and demonstrated ability to accelerate the adoption of energy or related technologies.
- Whether the proposed project will accelerate transformational technology advances in areas that industry by itself is not likely to undertake because of technical and financial uncertainty.
- The degree to which the expected benefits are commensurate with the size and risk profile of the proposed project and are aligned with the program objectives.
- The degree to which the amount and type of proposed cost share is appropriate to the size and risk profile of the proposed project.
- Past performance of the proposer on other NYSERDA projects
- The degree to which the applicant has the resources (human and financial) to be able to complete the project.

## V. GENERAL CONDITIONS

**Proprietary Information** - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <https://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

**Omnibus Procurement Act of 1992** - It is the policy of New York State to maximize opportunities for the participation of New York State business enterprises, including minority- and women-owned business enterprises, as bidders, subcontractors, and suppliers on its procurement Agreements.

Information on the availability of New York subcontractors and suppliers is available from:

Empire State Development  
Division for Small Business  
625 Broadway  
Albany, NY 12207

A directory of certified minority- and women-owned business enterprises is available from:

Empire State Development  
Minority and Women's Business Development Division  
625 Broadway  
Albany, NY 12207

**State Finance Law sections 139-j and 139-k** - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx>. Proposers are required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose



any Prior Findings of Non-Responsibility (this includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years).

**Tax Law Section 5-a** - NYSEDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSEDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf)). Prior to contracting with NYSEDA, the prospective contractor must also certify to NYSEDA whether it has filed such certification with the Department. The Department has created a second form that must be completed by a prospective contractor prior to contracting and filed with NYSEDA. See, ST-220-CA (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220ca\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf> .

**Contract Award** - NYSEDA anticipates making one or multiple award(s) under this solicitation. NYSEDA anticipates a contract duration of 12 months, unless NYSEDA management determines a different structure is more efficient based upon proposals received. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each proposal should be submitted using the most favorable cost and technical terms. NYSEDA may request additional data or material to support applications. NYSEDA will use the Sample Agreement to contract successful proposals. NYSEDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSEDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSEDA expects to notify proposers in approximately 3-4 weeks from the proposal due date whether your proposal has been selected to receive an award. Upon receipt of this notification, a proposer can request to schedule a debrief on the selection process and the strengths and weaknesses of its proposal by contacting Richard Mai. NYSEDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSEDA agreement.

**Accessibility Requirements** - NYSEDA requires contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSEDA's Accessibility Requirements](#).

**Limitation** - This solicitation does not commit NYSEDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSEDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSEDA's best interest. NYSEDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement. NYSEDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information or the presence of a material possibility of any reputational or legal risk in making of the award.

**Disclosure Requirement** - The proposer shall disclose any indictment for any alleged felony, or any conviction for a felony within the past five years, under the laws of the United States or any state or territory of the United States and shall describe circumstances for each. When a proposer is an association, partnership, corporation, or other organization, this disclosure requirement includes the organization and its officers, partners, and directors or members of any similarly governing body. If an indictment or conviction should come to the attention of NYSEDA after the award of a contract, NYSEDA may exercise its stop-work right pending further investigation or terminate the agreement; the contractor may be subject to penalties for violation of any law which may apply in the particular circumstances. Proposers must also disclose if they have ever been debarred or suspended by any agency of the U.S. Government or the New York State Department of Labor.

**Vendor Assurance of No Conflict of Interest or Detrimental Effect** - The proposer shall disclose any existing or contemplated relationship with any other person or entity, including any known relationships with any member, shareholders of 5% or more, parent, subsidiary, or affiliated firm, which would constitute an actual or potential conflict of interest or appearance of impropriety, relating to other clients/customers of the proposer or former officers and employees of NYSERDA, in connection with proposer's rendering services as proposed. If a conflict does or might exist, please describe how your company would eliminate or prevent it. Indicate what procedures will be followed to detect, notify NYSERDA of, and resolve any such conflicts.

The proposer must disclose whether it, or any of its members, or, to the best of its knowledge, shareholders of 5% or more, parents, affiliates, or subsidiaries, have been the subject of any investigation or disciplinary action by the New York State Commission on Public Integrity or its predecessor State entities (collectively, "Commission"), and if so, a brief description must be included indicating how any matter before the Commission was resolved or whether it remains unresolved.

**Public Officers Law** – For any resulting awards, the Contractor and its subcontractors shall not engage any person who is, or has been at any time, in the employ of the State to perform services in violation of the provisions of the New York Public Officers Law, other laws applicable to the service of State employees, and the rules, regulations, opinions, guidelines or policies promulgated or issued by the New York State Joint Commission on Public Ethics, or its predecessors (collectively, the "Ethics Requirements"). Proposers are reminded of the following Public Officers Law provision: contractors, consultants, vendors, and subcontractors may hire former NYSERDA employees. However, as a general rule and in accordance with New York Public Officers Law, former employees of NYSERDA may neither appear nor practice before NYSERDA, nor receive compensation for services rendered on a matter before NYSERDA, for a period of two years following their separation from NYSERDA service. In addition, former NYSERDA employees are subject to a "lifetime bar" from appearing before any state agency or authority or receiving compensation for services regarding any transaction in which they personally participated, or which was under their active consideration during their tenure with NYSERDA.

Any awardee will be required to certify that all of its employees, as well as employees of any subcontractor, whose subcontract is valued at \$100,000 or more who are former employees of the State and who are assigned to perform services under the resulting contract, shall be assigned in accordance with all Ethics Requirements. During the term of any agreement, no person who is employed by the contractor or its subcontractors and who is disqualified from providing services under the contract pursuant to any Ethics Requirements may share in any net revenues of the contractor or its subcontractors derived from the contract. NYSERDA may request that contractors provide it with whatever information the State deems appropriate about each such person's engagement, work cooperatively with the State to solicit advice from the New York State Joint Commission on Public Ethics, and, if deemed appropriate by the State, instruct any such person to seek the opinion of the New York State Joint Commission on Public Ethics. NYSERDA shall have the right to withdraw or withhold approval of any subcontractor if utilizing such subcontractor for any work performed would be in conflict with any of the Ethics Requirements. NYSERDA shall have the right to terminate any contract at any time if any work performed is in conflict with any of the Ethics Requirements.

**Due Diligence** – NYSERDA, at its discretion, may conduct broad due diligence to validate any or all elements of an application and to assess applicants' prospects of success, including gathering information to assess a proposal relative to any of the topics listed in evaluation criteria, whether or not such topic is explicitly addressed in a proposal. NYSERDA may conduct due diligence on some or all proposals based on NYSERDA's current guidelines at the time of a review. NYSERDA staff may follow up with proposers to request additional information or clarification regarding applicant's proposal, including questions regarding applicant's business prospects and resources, whether or not those questions are specifically related to the elements of the proposal. Additionally, customized due diligence may be conducted by internal or external staff or contractors based on questions on any proposal raised by NYSERDA staff and/or the Scoring Committee. Due diligence may include (but is not limited to): interviews of independent references and background checks of team members; assessment of prior business experience of any team member associated with a proposal; research on intellectual property claims; customer and partner reference checks; market research on the applicants' target market and any other related or possibly competitive technology or market area; research to validate any assumptions on current or future revenues, costs, capital needs, and financing prospects for proposers' business, including similar (or unrelated) technologies, processes, or competitive solutions; or any other research that could reasonably inform the evaluation of a proposal, or the prospects for commercial success of the proposers' business (whether directly related to, or

unrelated to the specific elements in a proposal). Due diligence may include discussions with proposers' former and current business partners, employees, investors, customers, and competitors. Due diligence may be conducted by NYSERDA personnel or contractors including members of the scoring committee, before, during, or after a scoring process, and prior to finalization of a contract award, any information gleaned in diligence may be used to score or re-score a proposal or apply a program policy factor.

**EO 16 Protocols** – Pursuant to Executive Order No. 16 issued on March 17, 2022, all vendors responding to bids or contracting with New York State must certify, using the form provided as part of this solicitation, their status with regard to conducting business operations in Russia, and that any such business operations in Russia conducted on behalf of the vendor are determined to be permitted under any of the allowable exemptions. The term vendor is intended to encompass bidders prior to contract award, contractors who have received a contract award, contract assignees, or contractors for whom an extension to an existing contract is being pursued. Exemption decisions are in NYSERDA's sole discretion and are final decisions. NYSERDA reserves the right to solicit additional materials or information regarding the responses or materials provided by a vendor.

Pursuant to Executive Order No. 16, all vendors will be vetted to ensure that they are not on the federal sanctions list at <https://sanctionsearch.ofac.treas.gov/>. There is no waiver or exemption process for vendors appearing on the federal sanctions list.

The Executive Order remains in effect while sanctions imposed by the federal government are in effect. Accordingly, vendors who may be excluded from award because of current business operations in Russia are nevertheless encouraged to respond to solicitations to preserve their contracting opportunities in case sanctions are lifted during a solicitation, or after award in the case of some solicitations.

## **VI. Attachments:**

- Attachment A – Statement of Work
- Attachment B – Budget Form
- Attachment C – TTL Application
- Attachment D – Proof of TTL Finalist Selection
- Attachment E – Sample Agreement



**NYSERDA**

## Insurance Innovation For Climate Technology Solutions Program

Program Opportunity Notice (PON) 5163

Up to \$6,500,000.00 Available

*NYSERDA reserves the right to extend and/or add or reduce funding to the Solicitation should other program funding sources become available.*

Proposal Due:  
October 12, 2022 by 3:00 PM Eastern Time

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## Program Summary

Through this Program Opportunity Notice (PON) 5163, the New York State Energy Research and Development Authority (NYSERDA) seeks to fund an experienced eligible Program Administrator to co-develop and run the Insurance Innovation For Climate Technology Solutions Program (Program). The Program Administrator will be responsible for managing operations of the Program, designing and implementing a Request for Proposals (RFP) to deploy grants to Insurance Innovators in the climate insurance space, and providing ongoing support to said innovators throughout the duration of the Program. The Program will be focused on the development of new insurance products that will increase the deployment and adoption of climate technology and will continue NYSERDA's nation-leading work towards accelerating the use of clean energy while promoting novel business models, commercial service or product offerings, and tools that enable scaling of climate solutions through customer acquisition or increased capital flows. Up to \$6,500,000 of funding will be available for this Program. NYSERDA intends to make one award under this PON. The selected awardee will enter into a two-year contract with NYSERDA, with a one year option to renew at NYSERDA's discretion.

## Proposal Submission

Online submission is preferable. Proposers may submit Word, Excel, or PDF files (file formats include csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. NYSERDA will also accept proposals by mail or hand-delivery if online submission is not possible. For detailed instructions on how to submit a proposal (online or paper submission), click the link "[Application Instructions and Portal Training Guide \[PDF\]](#)" located in the "Current Opportunities" section of NYSERDA's website (<https://www.nyserdera.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>)

No communication intended to influence this procurement is permitted except by contacting Katie MacDonald (Designated Contact) at (518) 862-1090, ext. 3016 or Flore Fourret (Designated Contact) at (518) 862-1090, ext. 3145 or by email [climatetech.insurance@nyserdera.ny.gov](mailto:climatetech.insurance@nyserdera.ny.gov). If you have contractual questions concerning this solicitation, contact Venice Forbes (Designated Contact) at (518) 862-1090, ext. 3507 or [venicesolicitations@nyserdera.ny.gov](mailto:venicesolicitations@nyserdera.ny.gov). Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offeror, and (2) may result in the proposer not being awarded a contract.

**\* All proposals must be received by 3 p.m. Eastern Time on the date noted above. Late, faxed, or emailed proposals will not be accepted.** Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal. Please note: for online submission, there are required questions that you will have to answer in addition to uploading attachments and you should allot at least 60 minutes to enter/submit proposals. The online proposal system closes promptly at 3 p.m. Eastern Time, files in process or attempted edits or submission after 3 p.m. Eastern Time on the date above, will not be accepted. If changes are made to this solicitation,

notification will be posted on the “Current Opportunities” section of NYSERDA’s website (<https://www.nysesda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>)

## Introduction

Risk—identifying, modeling, and managing it—is at the core of the insurance industry. Today, there is no greater long-term risk than the one posed by climate change. The insurance industry has an important role to play to help catalyze the deployment of climate solutions, as the insurance sector can assess and provide third party validation around the features and potential risks of new climate solutions, which may enable customer adoption and encourage private sector investment in these solutions. The insurance industry is in a prime position to combat climate change from insurer engagement with clients during the underwriting process, to the way insurers manage their investment portfolios.

Discussion on climate change and business topics has always included the insurance industry, as insurance products can help alleviate customer fears and de-risk the products that fight the impacts of a changing climate. Until recently, much of the conversation has focused on the impact of rising global temperatures on insurance risk. Less attention has been paid to how insurers can advance efforts to address climate challenge.

The development of new insurance product offerings to de-risk climate solutions is a strategic area where insurers can drive change across the customer base and ensure products and services that support climate action are adopted and deployed.

## Problem Statement

Innovation and new product creation within the insurance market comes from organizations called ‘Managing General Underwriters’ (MGUs) and/or ‘Managing General Agents’ (MGAs). These entities can qualify market demand for products and leverage it to assess the potential for new insurance products and policies. Their role is to evaluate new and little-known risks, and design insurance products that can be sold.

There are key barriers for MGAs and MGUs seeking to bring new climate insurance products to market. These barriers include:

- Lack of research and development funding to explore non-established climate-related business models
- Limited data on the long-term impact of climate on existing infrastructure and the environment
- Limited data relevant to the design of climate-related insurance products, such as incurred losses
- Lack of climate domain expertise, or unfamiliarity with decision makers and solution providers within the climate eco-system

## Supporting Insurance Innovation

Numerous climate technologies and solutions can benefit from financial protection, either to accelerate their growth or to protect against climate-driven damage. The objective of this Program is to develop new insurance offerings which can make products and solutions that mitigate climate change quantifiable and insurable.

Through this PON, NYSERDA is seeking a Program Administrator to co-design the Insurance Innovation For Climate Technology Solutions Program (Program), an initiative to support Insurance Innovators, MGAs and MGUs, to develop new insurance products that will have an impact on investment in climate products and solutions in New York State. See the 'Key Qualifications' section for more information on required experience.

#### Program Overview

The Program will address the barriers enumerated above by:

- Developing and mapping the climate insurance eco-system and convening climate/insurance stakeholders
- Finding and recruiting Insurance Innovators that have the capability of creating new climate specific insurance products
- Collaborating with and supporting said groups during the creation of their insurance products
- Facilitating a framework around data sets dedicated to insurance products creation
- Documenting Program successes, best practices and lessons learned

*Proposers are permitted to subcontract where necessary to meet these qualifications.*

Once a Program Administrator is selected, NYSERDA will work closely with the selected contractor to convene strategic Program partners, develop Program and grant parameters, and establish an execution plan.

Up to \$6,500,000 will be available under this solicitation, of which up to \$1,500,000 will be available for program administration purposes, and up to \$5,000,000 will be made available for competitively awarded grants. All, some, or none, of the \$6,500,000 available under this Program may be awarded through PON 5163. NYSERDA reserves the right to add or reduce time and/or funding to awarded contract(s).

#### Target Outcomes

The anticipated results of this Program include the following outcomes:

- Near Term Vision:  
The development of select insurance products, piloting these products in the field, and facilitation of information and data sharing among key parties to support underwriting.
- Long Term Vision:  
The creation of an efficient and private climate insurance market that addresses initial adoption barriers and risk management that could (i) extend the reach of climate products, services, and solutions to customers, (ii) increase the flow of capital to clean energy and climate technologies,

and (iii) drive positive impact towards New York's ambitious climate change mitigation and emissions reductions goals.

### Definitions.

**Program Administrator:** An entity that will, alongside NYSERDA, co-develop and operate the Program. The Program Administrator will ensure the delivery and quality of the Program activities described in the Services Requested paragraph herein.

**Climate Technology / Solutions:** An innovation that supports decarbonization of the economy through hardware, software, technology-enabled services, data analytics, or processes that broadly reduce energy consumption, increase resource efficiency, reduce greenhouse gas emissions and/or enables the transition to a sustainable and decarbonized economy.

**Climate Insurance Products:** A risk-oriented solution with a climate overlay. It can cover areas such as "parsing the impact of emissions on health or life insurance risk" or "utilizing better data and AI to generate more precise flood insurance coverage due to climate-driven changes in flood maps / zones" or "insuring energy efficiency solutions with maintenance and impact on equipment liability coverage" or "premium discounts to electric vehicle owners and people who own energy-efficient homes", or "corporate insurance products for owners of energy-efficient commercial buildings". These Insurance solutions should take a climate lens for risk assessment and modeling in ways that enable companies and customers to develop, access, and benefit from climate technology and solutions.

**Climate Solutions Ecosystem:** Actors and key stakeholders composing the whole climate value chain. It includes, but is not limited to:

- **Solution Providers:** companies with climate tech products or climate solutions that require insurance for deployment and/or scaling
- **Project Developers:** companies that will seek financing, build, improve or sell a new or existing assets that have a positive impact on climate. These could include, but are not limited to, energy efficiency assets, energy storage, smart grid infrastructure, EV charging, etc.... They are critical parties to the process and need to (1) provide data points and work with MGAs to support risk assessment; (2) offer insurance as a solution to either their customers or banking partners; and 3) include the cost of insurance in their pricing and/or in their capital stack
- **Insurance Innovators:** MGAs, MGUs, insurtech startups, and entrepreneurial teams that address high-priority problems and high-impact solutions
- **Insurance Companies** ('primary insurer' or 'insurance carrier') and re-insurance companies ('re-insurers')
- **Technology Users:** buyers and/or users of the climate solutions
- **Data or Analytics Providers**
- **Capital Providers:** institutional and bank lenders, non-bank finance companies
- **Utilities**
- **Regulators**

**Insurance Carrier:** A company that sells insurance and provides coverage. Alternate name: Insurance company, insurer, or insurance provider. Insurance carriers sell policies directly to consumers. The insurance carrier underwrites the policy and issues payments for the claims.

**Binding Policy:** In the insurance industry, policy binding refers to insurance coverage, and means that coverage is in place even if the policy has yet to be issued by the insurer.



**Covered Losses:** the financial losses that an insurance company will provide financial reimbursement for, as per the terms of an insurance policy.

## Program Requirements

### Opportunity Summary

The Program Administrator will be tasked with creating and executing an Insurance Innovation for Climate Technology Solutions Program to identify and support the development of new climate insurance products that can support New York's climate goals. This role will entail:

- Convening climate technology solutions providers, insurers, customers, and financial institutions to identify opportunities where insurance can speed the deployment of climate technology
- Creating a selective process designed to recruit top Insurance Innovators with the capabilities of achieving high leverage by deploying new insurance products
- Selecting the applicants to be part of the Program and develop new insurance products focusing on specific areas
- Soliciting new insurance product ideas and managing product development projects
- Supervising the insurance product development projects
- Managing the disbursement of product development funding
- Facilitating the development and communication of data to support underwriting

In implementing the Program, NYSERDA seeks a Program Administrator that can identify high-impact opportunities for new climate insurance products and developing an agile and repeatable process for speeding such products to market.

### Available Funding, Awards, and Terms

The Insurance Innovation For Climate Technology Solutions Program will include up to \$6,500,000 available through this PON. Of the \$6,500,000 available to be awarded to a Program Administrator under this solicitation, up to \$5,000,000 must be allocated for direct grants to Insurance Innovators for the purpose of product development. Any remaining funding may be used for the administration of the Program.

Preference will be given to proposers who can demonstrate the ability to raise additional funding for product development grants or enhancements to the Program through cost share.

Available Budget Summary

Activity	NYSERDA Funding	Available to
<p><b>Program Administration:</b>  <i>Program structure and organization, Advisory Board set-up and activation, execute industry outreach, support climate innovation within the Program by deploying grants, guide product development, and facilitate data access and sharing.</i></p>	<p>Up to \$1,500,000</p>	<p>Program Administrator will be awarded these funds to support operation of the Program, create a climate insurance platform by acting as an ecosystem facilitator and a convener of all stakeholders, and facilitate data sharing among participants.</p>
<p><b>New Insurance Product Development:</b>  <i>Fund development of new climate insurance products by the Insurance Innovators.</i></p>	<p>Up to \$5,000,000</p>	<p>Program Administrator will be awarded these funds and then it will allocate to Insurance Innovators through a competitive application process. See below for further details.</p>

Program Impact

- 1) NYSERDA invests funds with the goal of realizing climate impact. NYSERDA is interested in working with a Program Administrator capable of maximizing NYSERDA investment to ensure impact in the following areas:
  - Climate Impact: NYSERDA seeks to support the development of solutions that have a high emissions reduction potential (ERP) and a realistic path to market impact on a timeline that is material to addressing the climate crisis and the goals of the New York’s Climate Leadership and Community Protection Act. NYSERDA has existing ERP frameworks and will work with the Program Administrator to implement these appropriately for evaluating and assessing the prospective climate impact of climate technology deployments or climate solutions facilitated by new risk transfer products.
  - Increased Pace of Climate Solutions Uptake: NYSERDA expects the Program to generate innovative, privately underwritten climate insurance solutions that will bolster the speed of deployment and adoption of climate solutions by their users.
  - Demonstrated Benefit to New York: NYSERDA is interested in supporting programs that deliver benefit to New York climate markets. Proposers should outline how this Program and its constituent parts will generate economic benefit to New York and support the development of new climate insurance products in the State. All entities receiving grant funds under this Program must have a demonstrated benefit to New York.
- 2) The Program Administrator will work with NYSERDA to design monitoring & evaluation (M&E) metrics that can best determine attribution effects of the Program.

- 3) Relevant Metrics: NYSERDA seeks to make the insurance markets more efficient by activating insurance innovation, and measuring how much NYSERDA capital catalyzed the market. The new climate insurance products will address the climate solutions first adoption barriers and risk management to unlock private capital.
- 4) Program Leverage: Proposers must outline how they plan to achieve a strong leverage rate on NYSERDA's capital. NYSERDA calculates leverage by the following equation:

**Leverage Rate** = [Non-NYSERDA funding (3<sup>rd</sup> Party Investments, Non-NYSERDA Grants, and Cost Share) + NYSERDA funding] / NYSERDA funding : 1

*Non-NYSERDA Funding* is the sum of 3<sup>rd</sup> Party Investments; Non-NYSERDA Grants; and Cost-Share.

- 3<sup>rd</sup> Party Investments in this context, it will be characterized as the risk, i.e. loss coverage being offered by the policy. *Loss Coverage* is the amount of risk insured by the primary carriers.
- Non-NYSERDA Grants represents cash grants or small donations from third parties and can also account for in-kind contributions such as talent contributions.
- Cost Share is not mandatory in this PON but preference will be given to proposers with the ability to raise money outside of NYSERDA.

#### Eligibility and Proposer Qualifications

Proposers may be a single organization or team of organizations but must, in their response, clearly identify the key employees, subcontractors, or relevant affiliates of all entities who are proposing to fulfill the requirements of this PON and must identify who will be the lead proposer (this will be the entity who signs the NYSERDA contract). Proposers applying with partners must also outline the roles of each organization in the fulfillment of the 'Services Requested'. If proposers lack a Key Qualification listed below, they may provide a clear plan to how they will subcontract or otherwise obtain the necessary expertise to fulfill it. Any subcontractor added after the proposal period must be reviewed and approved by NYSERDA and be selected in accordance with New York State procurement law.

#### Eligibility Criteria

The Proposer must:

- Be in 'good standing' with respect to all requirements of past or current NYSERDA projects, if any, including the delivery of required reporting and recoupment
- Be a registered for-profit or non-profit entity
- Demonstrate economic benefits to New York State
- Be a standalone organization, a joint venture or partnership between organizations to cover all required qualifications

### Key Qualifications

Proposers interested in administering this Program should have demonstrated capacity to perform the following:

- **Industry Experience within Finance or Insurance:** NYSERDA seeks a Program Administrator with experience running or supervising new product development for insurance. This entity should have experience in convening finance and/or insurance experts, evaluating the quality of finance and/or insurance focused proposals and solutions, assessing the impact of new financial products, and building cross-industry partnerships in finance and/or insurance. While experience in finance innovation is essential, preference will be given to proposers with experience working in the insurance sector, and/or with a letter a support from an insurance carrier or broker.
- **Experience Facilitating Strategic Partnerships within the Climate Solutions Ecosystem:** Proposers must have experience curating complex programs that engage a diverse range of stakeholders. NYSERDA is looking for an organization with the experience and staff capacity to design and host targeted convenings, conversations, Advisory board meetings, workshops, and other events that are outcomes driven and highly engaging for a diverse set of organizations within the Climate Solutions ecosystem.
- **Experience in Management and Strategic Consulting:** The Proposer should have demonstrated ability to write case studies and final reports that capture Program progress, impacts, and best practices. These assessments should include information collected on the climate solution ecosystem, analysis of successes and failures of the Program, insights and best practices applied by Program participants, and best practices relevant to the ultimate replicability and deployment of datasets needed for the development of climate insurance products.
- **Organizational Capacity and Commitment:** At the time of application, Proposers should have some dedicated staff identified and available to begin the administration of the Program. In addition to this existing staff capacity, the awardee may also hire staff as part of this contract. Proposers should also have the systems and tools in place to accept applications from prospective Program participants. If this infrastructure does not exist internally, NYSERDA can work with a successful Proposer to build out these systems as part of their Program contract.

### Services Requested

The Program Administrator will be responsible for multiple activities in order to implement the Program, select Insurance Innovators that can create new insurance products, and address a set of insurance needs.

The following activities will be core to the Program Administrator's contracted activities under this PON:

- **PROGRAM EXECUTION STRATEGY:** The Program Administrator will work on a multi-year plan outlining how the entity plans to develop and execute program plans between time of award and early 2025. This plan will include an outline of what type(s) of insurance solutions the Program will focus on, which eligibility criteria will govern which grantees are selected, and what

grantees are subsequently offered. The Program Administrator will work in close coordination with NYSERDA to develop Program goals.

- **LEAD PROGRAM ADMINISTRATION:** With NYSERDA's oversight, the Program Administrator will be expected to set up and manage operations of the Program, including recruiting an Advisory Board and any necessary additional team members or subcontractors, reporting, securing collection and management of applications from Insurance Innovators, application review and scoring, providing participant services, awarding grants, and tracking participant progress.
- **CREATE AN ADVISORY BOARD:** The Program Administrator will convene an expert and industry-focused committee to guide the funding opportunities, to help innovators reach their product development milestones, and to provide climate solutions industry expertise around insurance needs. The Advisory Board will provide guidance on sector focus, funding, and other matters to be finalized between NYSERDA and the Program Administrator. This Advisory Board will participate in scoring meetings with the Program Administrator and NYSERDA to select the Insurance Innovators. The Advisory Board will also support the ongoing success of the Insurance Innovation Program by providing market insight to the Insurance Innovators during the product development phase.
- **EXECUTE INDUSTRY OUTREACH:** The Program Administrator will develop and execute a stakeholder engagement strategy to build and manage relationships between key industry players, increase the reach and network of climate insurance sector, cultivate a database and eventually a map of the climate insurance space. The Program Administrator will lead and facilitate engagement across the full value chain of ecosystem stakeholders: Insurance Innovators, solution providers, project developers, insurance companies, capital providers (lenders, investors), industry representatives, public sector representatives, and other entities. Potential activities of interest to NYSERDA include:
  - Online Presence: The Program Administrator will create a dedicated web site or another appropriate outlet such as a webpage on a relevant website and communications platform to disseminate valuable information about Program, general advancements in the sector, industry news, and Program funding opportunities for potential awardees. The goal of this online presence will be to facilitate the development and coordination of a climate insurance ecosystem and accelerate innovation and industry progress.
  - Educational Workshops: The Program Administrator will organize at least 2 relevant events to raise awareness on how to best support insurance innovation for catalyzing the deployment of climate technology solutions, such as a project showcase at an industry-sponsored event, a webinar, a dedicated session, and/or roundtable discussions.
- **DESIGN INNOVATION CHALLENGE:** The Program Administrator will design an Innovation Challenge that will select Insurance Innovators to participate in the Program, and will then contract with the selected Insurance Innovators to develop new climate insurance products, through deployment of grants to accelerate product design. This process will likely require additional research on the Program Administrator's part, leading to the design of suggested grantee use of funds (and set pricing for different activities), expected timelines, and support

activities for grantees. The Innovation Challenge will be written, along with a detailed, yet flexible, plan on selecting grantees and supporting them. It will include:

- **FOCUS AREAS AND SECTOR STRATEGY RECOMMENDATION:** The Program Administrator will issue recommendations on the Innovation Challenge focus areas for which the Insurance Innovators would need to work on their product development. This will include a description of the kinds of risk to be addressed, the relevant technology types, or the climate technology focus areas for the Innovation Challenge. These insurance solutions should take a climate lens for risk assessment and modeling in ways that enable companies and customers to develop, access, and benefit from climate technology and solutions to be eligible. The Program Administrator will work with the support of the Advisory Board, to prioritize how to best address the context of how climate risk can be assessed and quantified across the various segments of the insurance market (e.g. P&C, Life, Health, Title, Financial Guaranty, and other specialty lines).
- **DESIGN FUNDING OPPORTUNITIES FOR NEW PRODUCT DEVELOPMENT:** The Program Administrator will design the performance criteria for grant funding allocation (such as milestone-based payment) during the insurance product design phase. It will include the kinds of insurance solutions that will be eligible, grantee eligibility criteria, and the amount of funding supplied to grantees.
- **SELECTION PROCESS FOR INSURANCE INNOVATORS:** The Program Administrator will be awarded funds to manage a robust competitive process, in collaboration with NYSERDA, and with the support of the Advisory Board, that identifies top Insurance Innovators to be part of the Program. The Program Administrator will be responsible for developing a selection committee to score and identify grant awardees, and will include at least one NYSERDA representative. The selection committee will be subject to NYSERDA's conflict of interest rules.
  
- **ADMINISTER GRANT FUNDING:** The Program Administrator will manage the contract of each selected innovator awardee and will provide milestone-based funding to each of the selected innovators to develop and deploy new insurance products in this Program.
  
- **RUN NEW PRODUCT DEVELOPMENT SUPPORT:** The Program Administrator will evaluate and assess the prospective success of new insurance products, either through its own domain knowledge or by convening experts. The Program Administrator will leverage the Advisory Board whose role is to advise the MGAs during product development and to facilitate relevant introductions to key stakeholders.
  
- **FACILITATE DATA SHARING AND ACCESS:** NYSERDA's intent is for the Program Administrator to utilize open-source sample datasets<sup>1</sup> to support the insurance product development with the

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<sup>1</sup> Data sharing models and framework can use [de-identification](#) methodology that meets [NIST](#) criteria as set in its De-identification tools. Or leverage open-source data standards for better accessibility, transparency and data management such as [Oasis Hub](#), or the [Orange Button](#) project developed by the DOE.

selected innovators and make this framework available to the ecosystem to experiment. The Program Administrator will implement an operating model and a contributory data repository (a.k.a. sandbox) to support the creation of insurance prototypes. It will collectively support data collection, preparation, analysis, validation and visualization exposure data (e.g. policy data, loss data, historical).

- **DELIVER STRATEGIC REPORTING AND RECOMMENDATIONS:**

- Case Studies & Analysis: The Program Administrator will be asked to provide comprehensive information on awardees to complete outcomes case studies once the final phase of the Program has completed. The Program Administrator will work with the NYSERDA Project Manager to determine the type of studies performed and can leverage the Advisory Board for insight. Options include, but are not limited to, product development/demonstration impact studies, historic tracing case studies, and/or macroeconomic impact analyses to quantify emissions, technology uptake enabling, and other climate and economic impacts associated with NYSERDA investment.
  - Data and Insurance: The Program Administrator will design a set of recommendations and lessons learned around data sharing and transparency during this pilot Program.
  - Impact Measurement Reporting: The Program Administrator will evaluate and assess the prospective climate impact of climate technology deployments facilitated by new risk transfer products, either through its own domain knowledge or by convening experts.
- **OPERATIONS**: The Program Administrator will be expected to manage operations of the Climate Insurance Innovation Program, including awardees' support as requested, management of the Board interaction with the awardees, reporting, application review, selection process, and tracking participant progress.

### Scope of Work Requirements

The Proposer will have to submit as part of its application, a scope of work as defined in Section III 'Proposal Requirements.'

The Program Administrator will be responsible for catalyzing the creation of new insurance products by supporting Insurance Innovators that are building new insurance products that can accelerate market uptake for climate solutions in New York. A successful Insurance Innovation For Climate Technology Solutions Program will result in the creation of new insurance products that transfer financial risks that hinder the purchase or financing of climate solutions.

The following Program elements will guide the development of the Scope of Work:

- Timeline: The Program Administrator contract is expected to last for a total duration of two years from the time of execution with a one-year option to renew at NYSERDA's discretion. NYSERDA expects to commence payments to the selected Project Administrator in early 2023.

NYSERDA will work with the Program Administrator to design an ambitious schedule for Program development and execution.

- **Ambitious and Achievable Execution Plan:** NYSERDA will review proposals and score them based on how effective their execution plan and scope of work is. NYSERDA has outlined example Program phases and key performance milestones in the Example of Program Activities table below.
- **Subcontractors:** Teaming arrangements and the use of subcontractors are permitted, where appropriate, to enhance the likelihood of project success and overall impact. When developing these arrangements, proposers should be mindful of cost efficiency, which is a key criterion NYSERDA will apply when selecting proposers.

### Intended Program Schedule

The following is an example schedule of activities for the Program. Proposers should do their best to propose a schedule like this, or a more ambitious schedule.

#### **Phase 1. Program Set-Up – First 6 months**

NYSERDA will work closely with the Program Administrator to develop and grow a successful Program.

NYSERDA will closely coordinate with the awardee in the areas described in Section F (Governance Steps).

During the Phase 1, the Program Administrator will have to:

- Set up the implementation roadmap for the Program and recruit the Advisory Board
- identify specific insurance attributes, that will inform the innovation challenge by defining specific focus areas to drive insurance innovation, and challenge innovators to develop solutions that deliver on those attributes
- design an Innovation Challenge process to select Insurance Innovators into the Program to support them in developing new climate insurance products. This support will come through hands on expertise and training from the Program Administrator and through grants funding
- select up to 7 Insurance Innovators

The end of Phase 1 will be marked by the launch of a competitive process to select participating Insurance Innovators that will participate to the innovation challenge. The Program Administrator will focus the Innovation Challenge around the most salient focus areas recommended.

#### **Phase 2. Product Design & Deployment Phase – Approximately 12 Months**

The Program Administrator will competitively select up to 7 Insurance Innovators to develop new insurance products and services related to the focus areas defined by the Program Administrator during Phase 1. NYSERDA will award the Program Administrator \$5,000,000 for allocation to the selected participants on a milestone basis, up to \$1 million for each selected participant. These funds will be for insurance product development, creation and testing, including, but not limited to:



- Research and customer discovery
- Conducting due diligence on climate tech companies
- Collecting data points to characterize risks
- Creating risks and actuarial models
- Working with insurance carriers to develop product underwriting process and pricing

The Program Administrator will administer the grant funding and run the product development support, by advising the Insurance Innovators in their insurance product development, creation and testing, under the supervision of NYSERDA.

This phase is completed upon expiration of the grantees contracts.

*Example of Program Activities Table*

#	Program Phase	Examples Key Performance Milestones
PHASE 1	<b>PROGRAM SET UP</b> <i>Approximately 2 - month period</i>	<ul style="list-style-type: none"> <li>• Program Execution Strategy developed</li> <li>• Staff Hired</li> <li>• Advisory Board Formation</li> </ul>
	<b>INNOVATION CHALLENGE</b> <i>Approximately 4- month period</i>	<ul style="list-style-type: none"> <li>• Prioritized Focus Areas for request for proposals</li> <li>• Solicitation design completed               <ul style="list-style-type: none"> <li>○ Launch a competitive process to select participating Insurance Innovators, including scoring process for Insurance Innovators</li> <li>○ Design the innovation challenge by establishing performance criteria for grant funding allocation to Insurance Innovators (such as prototype, demonstration with technology provider, Letter of support from Insurance Carriers...)</li> </ul> </li> <li>• Applicants submit proposals</li> <li>• Review and Selection Process, Scoring Committee</li> <li>• Contracting with selected applicants</li> <li>• Announcement of selected participants</li> </ul>
PHASE 2	<b>PRODUCT DESIGN &amp; DEPLOYMENT</b> <i>Approximately up to 12-month period</i>	<ul style="list-style-type: none"> <li>• Support MGAs with new product development through activities</li> <li>• Deploy grant funding to selected Insurance Innovators (milestones-based payment, up to \$1 million per Insurance Innovator)</li> <li>• Manage Advisory Board</li> </ul>

**Reporting Requirements:**

In addition to the reporting requirements referenced in the Outcomes and Impact Section below, awardees will be responsible for completing comprehensive reports every six (6) months to ensure NYSERDA is aware of Program Administrator use of funds and progress against key milestones, contract milestones, and performance targets (most of which will be negotiated with the Program Administrator during contracting at the time of award). The Program Administrator also will be required to submit a

Final Report to NYSERDA at the end of the contract period. The NYSERDA Program Manager will schedule meetings with the Program Administrator on a regular basis to ensure alignment.

### Program Governance

NYSERDA will work with the Program Administrator to develop processes and procedures necessary to ensure that the execution of this Program is aligned with the goals and policies of NYSERDA. These processes and policies will be memorialized in the contract between NYSERDA and the Program Administrator. The following governance steps will be taken:

- Program Design: The NYSERDA Project Manager will work with the Program Administrator to ensure the contract comports with the standards and expectations of NYSERDA as outlined in this PON.
- Sector Strategy: NYSERDA will work with the Program Administrator to co-develop a Program structure that incorporates lessons learned from the relevant insights from the Advisory Board. NYSERDA and the Program Administrator will work together to define the scope of the Program, how best to address the context of how climate risk can be assessed and quantified across the various segments of the insurance market (e.g. P&C, Life, Health, Title, Financial Guaranty, and other specialty lines).
- Grant Product Creation: The Program Administrator will work with NYSERDA to agree on the most efficient use of funds to address the climate insurance gaps.
- Grantee Eligibility and Evaluation Criteria: The Program Administrator and NYSERDA will collaborate, and collect input from the Advisory Board, on the definition of eligibility and evaluation criteria for Program applicants seeking grants within the innovation challenge. NYSERDA will sign off on the specific requirements presented by the Program Administrator for application review, certification, and contract development. NYSERDA will define contractual requirements between NYSERDA and the Program Administrator that reflect these expectations and standards. All standards must comply with NYSERDA's competitive procurement requirements.
- Advisory Board: NYSERDA will work with the Program Administrator to develop an Advisory Board for the governance of the Program as further described below.

For the expenditure of NYSERDA funding, NYSERDA will work with the Program Administrator to develop processes and procedures necessary to ensure the execution of this Program is aligned with the goals and policies of NYSERDA. These processes and policies will be memorialized in the contract between NYSERDA and the Program Administrator. The following governance steps will be taken:

- **PROGRAM EXECUTION STRATEGY**: The Program Administrator will be asked to complete a Program Execution Strategy in partnership with NYSERDA. This plan will be a multi-year outline of how the entity plans to develop and execute Program plans between time of award and 2025. This plan will include a description of what kinds of risk to be addressed, and the kinds of insurance solutions that will be eligible, as well as Insurance Innovators eligibility criteria, and the amount of funding supplied to grantees.

- **ADVISORY BOARD:** NYSERDA will work with the Program Administrator to develop an Advisory Board for providing climate solutions industry expertise around insurance needs. This Board will include NYSERDA representation, along with key stakeholders of the climate insurance ecosystem and will support the ongoing success of the Program by providing market insight to the Insurance Innovators during Phase 2. The Advisory Board responsibilities will include at least:
  - Providing perspective on data sets, sector focus, technical expertise, design process, due diligence process, and other matters to be finalized between NYSERDA and the Program Administrator
  - Providing regular input during the design phase of product development, and supporting Insurance Innovators as they participate in relevant ecosystem to sustain innovation
  - Playing an advisory role during the product creation cycle to support ongoing product refinement
  - Reviewing and providing feedback on applications to select MGAs, milestones definition, development of criteria for insurance product eligibility to access the loss reserve, and other general activities
  
- **AWARDEE SELECTION PROCESS:** The Program Administrator will be asked to design an innovation challenge for selecting Insurance Innovators to participate in the Program, subject to NYSERDA participation in the selection process, NYSERDA final approval, and Advisory Board consultation. At a minimum, final approval by NYSERDA will be required for Insurance Innovators selection, grant funding deployment, and execution of grant award contracts issued by the Program Administrator and at least two representatives from NYSERDA will be included in all decisions on awarding of funds.
  
- **CONTRACTING:** NYSERDA and the Program Administrator will articulate standards for payment, milestones, and deliverables, and standard terms and conditions for contracts between the Program Administrator and the Insurance Innovators and any other subcontractors or funding recipients. These standards will be developed for grants administered to Insurance Innovators. NYSERDA will reserve the right to have these contracts reassigned from the Program Administrator to NYSERDA at any time during the duration of the Program. All grant sub-contracts issued by the Program Administrator to MGA must be signed off by NYSERDA.
  
- **EVENTS AND COMMUNICATIONS:** NYSERDA will work with the Program Administrator to design events and will play an active role setting the agenda for, and structuring the content of, such events. NYSERDA will retain sign-off on event plans. NYSERDA will review and sign off on marketing and communication plans for the Program. In particular, the Program Administrator's communication strategy with potential applicants while the Innovation Challenge is posted and available, including the designated contacts that will manage inquiries and provide guidance to applicants, will require approval from NYSERDA.
  
- **MEDIA:** The Program Administrator will manage the development of the website(s) (if any) and software platform(s) used for publicity, media, funding opportunities, application intake, contracting, and invoicing. Branding and marketing will be subject to NYSERDA review and approval. The website(s) and software will be subject to NYSERDA's cyber security and accessibility requirements.

- **OUTCOMES AND IMPACT:** The Program Administrator will be required to comport with NYSERDA's reporting requirements, including quarterly progress reports and ongoing communications in order to capture notable outcomes and track progress across key areas of Program impact.
- **DOCUMENT MANAGEMENT:** The Program Administrator will be expected to collect and store applications from Insurance Innovators. Documents must be maintained by the Program Administrator and all document storage policies must comport with NYSERDA's FOIL rules as articulated in section H. NYSERDA reserves the right to handle the collection and management of applications if it chooses.

### Potential Conflict of Interest

Identify the nature of any potential conflicts of interest among team members and partners in providing services to NYSERDA under this PON. Fully discuss possible conflicts of interest, actual and perceived, which could arise in connection with performance by team members and partners of the proposed contract. Describe how your firm would resolve conflicts of interest. In the event that NYSERDA determines that a team member may have a conflict of interest or the appearance of such, NYSERDA may: (1) take this into consideration in evaluating the proposal; (2) exclude the proposer from consideration for an award; (3) adjust the scope of work to avoid the conflict or appearance of conflict; or (4) negotiate other appropriate actions with the team member to avoid the conflict or appearance of conflict. The Program Administrator, and any entity associated with the team selected under this PON, will not be eligible for awards issued by the Insurance Innovation for Climate Technology Solutions Program pursuant to its contract with NYSERDA. Independent scoring board members will also be recused from evaluating proposals when a conflict of interest is disclosed.

### Freedom of Information Law

The intake and processing of records under this Program by the Program Administrator will be subject to New York's Freedom of Information Act Law (FOIL), and as such, NYSERDA-approved processes will be required to manage records, particularly regarding confidential information or trade secrets. NYSERDA's legal department will provide guidance and support to the PON awardee at time of contract negotiation to ensure sufficient record keeping and document management processes are established at the start of the NYSERDA contract.

### Proposal Requirements

Proposers should rely on Attachment A to develop a Proposal Narrative and Budget. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal.

The proposer's goal should be to concisely present the information needed to fully address the Proposal Evaluation criteria (see Section IV). Proposals that exceed the page limits or fail to follow the format

guidelines in Attachment A may be rejected as non-responsive. If the proposer believes that proprietary information must be submitted to provide an adequate proposal, the proposer must comply with the 'V. General Conditions' section for submitting proprietary material. Proposals should not be excessively long or submitted in an elaborate format.

All application materials must be submitted as part of one single PDF document or a .ZIP file. Unnecessary application materials beyond those sufficient to present a complete, comprehensive, and effective proposal may reduce, rather than increase, a proposal's standing per the evaluation criteria. Each page of the proposal should state the name of the proposer, the PON number, and the page number. The proposal must be in the following format, with items in the sequence shown.

### Proposal Narrative

Complete the Proposal Narrative form-fillable document as part of the PON Attachment A. The Proposal Narrative contains the following sections:

- I. Executive Summary
- II. Project Description
- III. Statement of Work, Milestone Payment Plan, and Schedule
- IV. Team and Organization
- V. Financial Plan
- VI. [Project Impact]
- VII. [Letters of Support and Commitment]
- VIII. Attachments

Proposers must carefully review the Proposal Narrative to ensure that all required sections are completed. Failure to do so may result in the proposal being rejected as non-responsive.

### State Finance Law

In compliance with §139-j and §139-k of the State Finance Law (see Section V, General Conditions below for additional information), proposers will be required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility.

### Proposal Evaluation

Proposals that meet solicitation requirements will be reviewed by a Scoring Committee using the Evaluation Criteria below. At NYSERDA's discretion, proposers may be requested to interview with all or part of the Scoring Committee or provide further information to address any potential questions or clarifications required by the Scoring Committee. Proposers will be notified if they are requested to provide more information or attend an interview.

The proposer selected for funding will be invited to enter into contract negotiations with NYSERDA. The proposer's Statement of Work and budget will form the basis of contract negotiations and the proposer may also be asked to address specific questions or recommendations of the Scoring Committee prior to any contract award.

### Eligibility Requirements

A negative response to any one of the questions below may eliminate the proposal from further consideration.

Does the proposer:

- Exist in 'good standing' with respect to all requirements of past or current NYSERDA projects, if any, including the delivery of required reporting and recoupment?
- Qualify as a for-profit or non-profit entity?
- Propose staff operations within New York State as part of their proposal?
- Have existing experience managing financial or insurance product development activities?

### Evaluation Criteria

#### **Evaluation Criteria in Order of Importance**

##### *Management Structure, Team Qualifications, and Institutional Capabilities*

- Does the proposer have the finance and industry experience necessary to successfully implement this Program? Has the proposer demonstrated its staff capacity and organizational experience in finance, or insurance?
- Has the proposer identified, or does it have existing relationships with Insurance Innovators? With entities that work with potential Insurance Innovators?
- Does the proposer have experience working with the insurance industry? MGAs/MGUs? Both?
- Does the proposer have staff with domain expertise in financial and/or insurance product development? In climate solutions or innovative product development? both?
- Does the proposer have a proven track record in Program design and implementation? How much of this track record involves climate specific solution support?
- Does the proposer have any experience in designing competitive award programs or done RFP recruitment and selection in the past?
- Has the proposer clearly identified existing team members with the skills and experience needed to lead and/or support this Program?
- Does the proposer have experience in building and managing boards of highly qualified experts and executives?

- Does the proposer have experience successfully collaborating with any of the stakeholder groups within the climate solutions ecosystem? If so, has that collaboration led to notable outcomes?
- Does the proposer have knowledge and expertise on insurance exposure data?
- How much experience and success has the proposer had in executing the various elements of the strategy they have proposed?
- If the Proposer is missing any of the above expertise, have they identified how they plan to fill gaps?

#### *Implementation Strategy and Plan*

- Does the proposed project define a clear and compelling value proposition and an executable strategy that has been validated with stakeholders?
- Has the proposer clearly thought through each phase of this Program and provided a detailed summary of how they would implement each phase?
- Does the proposed strategy show the proposer's understanding of the market landscape and key stakeholders?
- Can the Program execution strategy presented be tested, measured, and adjusted with ease? Has the proposer identified reasonable checkpoints at which they could adjust course if necessary?
- Has the proposer indicated how they would handle back-office operations? To what degree has the proposer demonstrated their capacity to manage a process for the secure collection and storage of applications, in line with NYSERDA FOIL requirements?

#### *Budget and Performance Payment Plan*

- Does the budget proposed map to the strategy and work plan proposed?
- Is the budget proposed reasonable and ambitious? Does it apply NYSERDA's funding in an efficient way to reach key program outcomes?
- How meaningful and impactful are the proposed milestones proposed? How aligned with the importance of each milestone is the proposed milestone payment plan?
- To what extent are milestones correlated with Program outputs?
- If the Proposer requires additional budget to execute this program, do they propose tangible and likely sources of cost share?

#### *Program Policy Factors*

NYSERDA reserves the right to accept or reject proposals based on the following factor(s):

The degree to which the proposed project optimizes the use of available funding to achieve programmatic objectives.

The degree to which the proposer has the resources (human and financial) to be able to complete the project.

## V General Conditions

**Proprietary Information** - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to exempt it from disclosure, including a written statement of the reasons why the information should be exempted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <https://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

**Omnibus Procurement Act of 1992** - It is the policy of New York State to maximize opportunities for the participation of New York State business enterprises, including minority- and women-owned business enterprises (MWBE), as bidders, subcontractors, and suppliers on its procurement Agreements.

Information on the availability of New York subcontractors and suppliers is available from:

Empire State Development  
Division for Small Business  
625 Broadway  
Albany, NY 12207

A directory of certified minority- and women-owned business enterprises is available from:

Empire State Development  
Minority and Women's Business Development Division  
625 Broadway  
Albany, NY 12207

**State Finance Law sections 139-j and 139-k** - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx>. Proposers are required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility (this includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years).



**Tax Law Section 5-a** - NYSEDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSEDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf)). Prior to contracting with NYSEDA, the prospective contractor must also certify to NYSEDA whether it has filed such certification with the Department.

The Department has created a second form that must be completed by a prospective contractor prior to contracting and filed with NYSEDA. See, ST-220-CA (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220ca\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

**Contract Award** - NYSEDA anticipates making one award under this solicitation. NYSEDA anticipates a contract duration of two years with a one-year option to renew at NYSEDA's discretion, unless NYSEDA management determines a different structure is more efficient based upon proposals received. Contracts may be awarded based on initial applications without discussion or following limited discussion or negotiations pertaining to the Statement of Work. Each proposal should be submitted using the most favorable cost and technical terms. NYSEDA may request additional data or material to support applications. NYSEDA will use the Sample Agreement to contract successful proposals. NYSEDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSEDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSEDA expects to notify proposers in approximately four weeks from proposal due date whether your proposal has been selected to receive an award. NYSEDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSEDA agreement.

**Accessibility Requirements** - NYSEDA requires contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSEDA's Accessibility Requirements](#).

**Limitation** - This solicitation does not commit NYSEDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSEDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSEDA's best interest. NYSEDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement. NYSEDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information or the presence of a material possibility of any reputational or legal risk in making of the award.

**Disclosure Requirement** - The proposer shall disclose any indictment for any alleged felony, or any conviction for a felony within the past five years, under the laws of the United States or any state or

territory of the United States and shall describe circumstances for each. When a proposer is an association, partnership, corporation, or other organization, this disclosure requirement includes the organization and its officers, partners, and directors or members of any similarly governing body. If an indictment or conviction should come to the attention of NYSERDA after the award of a contract, NYSERDA may exercise its stop-work right pending further investigation or terminate the agreement; the contractor may be subject to penalties for violation of any law which may apply in the particular circumstances. Proposers must also disclose if they have ever been debarred or suspended by any agency of the U.S. Government or the New York State Department of Labor.

**Vendor Assurance of No Conflict of Interest or Detrimental Effect** - The proposer shall disclose any existing or contemplated relationship with any other person or entity, including any known relationships with any member, shareholders of 5% or more, parent, subsidiary, or affiliated firm, which would constitute an actual or potential conflict of interest or appearance of impropriety, relating to other clients/customers of the proposer or former officers and employees of NYSERDA, in connection with proposer's rendering services as proposed. If a conflict does or might exist, please describe how your company would eliminate or prevent it. Indicate what procedures will be followed to detect, notify NYSERDA of, and resolve any such conflicts.

The proposer must disclose whether it, or any of its members, or, to the best of its knowledge, shareholders of 5% or more, parents, affiliates, or subsidiaries, have been the subject of any investigation or disciplinary action by the New York State Commission on Public Integrity or its predecessor State entities (collectively, "Commission"), and if so, a brief description must be included indicating how any matter before the Commission was resolved or whether it remains unresolved.

**Public Officers Law** – For any resulting awards, the Contractor and its subcontractors shall not engage any person who is, or has been at any time, in the employ of the State to perform services in violation of the provisions of the New York Public Officers Law, other laws applicable to the service of State employees, and the rules, regulations, opinions, guidelines or policies promulgated or issued by the New York State Joint Commission on Public Ethics, or its predecessors (collectively, the "Ethics Requirements"). Proposers are reminded of the following Public Officers Law provision: contractors, consultants, vendors, and subcontractors may hire former NYSERDA employees. However, as a general rule and in accordance with New York Public Officers Law, former employees of NYSERDA may neither appear nor practice before NYSERDA, nor receive compensation for services rendered on a matter before NYSERDA, for a period of two years following their separation from NYSERDA service. In addition, former NYSERDA employees are subject to a "lifetime bar" from appearing before any state agency or authority or receiving compensation for services regarding any transaction in which they personally participated, or which was under their active consideration during their tenure with NYSERDA.

Any awardee will be required to certify that all of its employees, as well as employees of any subcontractor, whose subcontract is valued at \$100,000 or more who are former employees of the State and who are assigned to perform services under the resulting contract, shall be assigned in accordance with all Ethics Requirements. During the term of any agreement, no person who is employed by the contractor or its subcontractors and who is disqualified from providing services under the contract pursuant to any Ethics Requirements may share in any net revenues of the contractor or its subcontractors derived from the contract. NYSERDA may request that contractors provide it with whatever information the State deems appropriate about each such person's engagement, work cooperatively with the State to solicit advice from the New York State Joint Commission on Public Ethics, and, if deemed appropriate by the State, instruct any such person to seek the opinion of the New York State Joint Commission on Public Ethics. NYSERDA shall have the right to withdraw or withhold approval

of any subcontractor if utilizing such subcontractor for any work performed would be in conflict with any of the Ethics Requirements. NYSERDA shall have the right to terminate any contract at any time if any work performed is in conflict with any of the Ethics Requirements.

**Due Diligence** – NYSERDA, at its discretion, may conduct broad due diligence to validate any or all elements of an application and to assess proposer’s prospects of success, including gathering information to assess a proposal relative to any of the topics listed in evaluation criteria, whether or not such topic is explicitly addressed in a proposal. NYSERDA may conduct due diligence on some or all proposals based on NYSERDA’s current guidelines at the time of a review. NYSERDA staff may follow up with proposers to request additional information or clarification regarding proposer’s proposal, including questions regarding proposer’s business prospects and resources, whether or not those questions are specifically related to the elements of the proposal. Additionally, customized due diligence may be conducted by internal or external staff or contractors based on questions on any proposal raised by NYSERDA staff and/or the Scoring Committee. Due diligence may include (but is not limited to): interviews of independent references and background checks of team members; assessment of prior business experience of any team member associated with a proposal; research on intellectual property claims; customer and partner reference checks; market research on the proposers’ target market and any other related or possibly competitive technology or market area; research to validate any assumptions on current or future revenues, costs, capital needs, and financing prospects for proposers’ business, including similar (or unrelated) technologies, processes, or competitive solutions; or any other research that could reasonably inform the evaluation of a proposal, or the prospects for commercial success of the proposers’ business (whether directly related to, or unrelated to the specific elements in a proposal). Due diligence may include discussions with proposers’ former and current business partners, employees, investors, customers, and competitors. Due diligence may be conducted by NYSERDA personnel or contractors including members of the scoring committee, before, during, or after a scoring process, and prior to finalization of a contract award, any information gleaned in diligence may be used to score or re-score a proposal.

**EO 16 Protocols** – Pursuant to Executive Order No. 16 issued on March 17, 2022, all vendors responding to bids or contracting with New York State must certify, using the form provided as part of this solicitation, their status with regard to conducting business operations in Russia, and that any such business operations in Russia conducted on behalf of the vendor are determined to be permitted under any of the allowable exemptions. The term vendor is intended to encompass bidders prior to contract award, contractors who have received a contract award, contract assignees, or contractors for whom an extension to an existing contract is being pursued. Exemption decisions are in NYSERDA’s sole discretion and are final decisions. NYSERDA reserves the right to solicit additional materials or information regarding the responses or materials provided by a vendor.

Pursuant to Executive Order No. 16, all vendors will be vetted to ensure that they are not on the federal sanctions list at <https://sanctionsearch.ofac.treas.gov/>. There is no waiver or exemption process for vendors appearing on the federal sanctions list.

The Executive Order remains in effect while sanctions imposed by the federal government are in effect. Accordingly, vendors who may be excluded from award because of current business operations in Russia are nevertheless encouraged to respond to solicitations to preserve their contracting opportunities in case sanctions are lifted during a solicitation, or after award in the case of some solicitations.

**Attachments:**

Attachment A – Proposal Narrative

Attachment B – Budget Template

Attachment C – Sample Agreement



**LONG DURATION ENERGY STORAGE TECHNOLOGY AND PRODUCT DEVELOPMENT**

PROGRAM OPPORTUNITY NOTICE (PON) 5179

**UP TO \$17 MILLION AVAILABLE**

*All, some, or none, of the available funds may be awarded.*

*NYSERDA reserves the right to extend and/or add funding to this Solicitation should other program funding sources become available.*

**Proposals Due: October 17, 2022, by 3:00 PM Eastern Time**

The New York State Energy Research and Development Authority (NYSERDA) announces the availability of up to \$17 million in funds to support innovative and under-utilized long duration energy storage solutions, devices, software, controls, and other complimentary technologies that decrease energy storage total hardware and installation costs, improve performance, and demonstrate integration with the grid. Submissions must demonstrate significant statewide public benefits and quantify all energy, environmental and/or economic impacts. PON 5179 will be issued with one (1) due date (October 17, 2022) requiring 10+ to 100+ hour duration at rated power solutions with the following long duration energy storage focus areas:

1. Electrochemical
  - a. Electrochemical Energy Storage including Flow Batteries and innovative advanced battery solutions
  - b. Hydrogen Energy Storage and Flexibility Solutions
  - c. Electrofuels manufactured from captured carbon dioxide and stored hydrogen from clean electrolytic electrolysis including nuclear and renewable sources
2. Mechanical
  - a. Innovative Pumped Hydro and Compressed Air/Gas Solutions
  - b. Mechanical/Gravity Energy Storage
  - c. Geomechanical Energy Storage
3. Thermal
  - a. Pumped Heat Electrical Energy Storage
  - b. Thermophotovoltaic (TPV) Storage
  - c. Innovative liquid or solid storage medium (e.g., water, sand, molten salts, rocks)

Proposals to each focus area will be accepted on the October 17<sup>th</sup> due date.

NYSERDA is accepting Full Proposals in the following categories:

Category	Maximum NYSERDA Funding Per Award	Total NYSERDA Cost Share
Category A : Product Development	No limit	50% of total project cost
Category B : Demonstration Projects	No limit	50% of total project cost
Category C : Federal Cost Share Projects	No limit	50% of total project cost

**Proposal Submission:** Online submission is preferable. Proposers may submit Word, Excel, or PDF files (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer’s entity name in the title of the document. NYSERDA will

also accept proposals by mail or hand-delivery if online submission is not possible. For detailed instructions on how to submit a proposal (online or paper submission), click the link "[Application Instructions and Portal Training Guide](https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx) [PDF]" located in the "Current Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted except by emailing [pon5179@nyserda.ny.gov](mailto:pon5179@nyserda.ny.gov) or by contacting Scott Larsen, 518-862-1090 ext.: 3208. If you have contractual questions concerning this solicitation, contact Nancy Marucci, (518) 862-1090 ext.: 3335 or by email [nancysolicitations@nyserda.ny.gov](mailto:nancysolicitations@nyserda.ny.gov). Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

**\* All proposals must be received by 3 p.m. Eastern Time on the date noted above. Late, faxed, or emailed proposals will not be accepted.** Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal. Please note: for online submission, there are required questions that you will have to answer in addition to uploading attachments and you should allot at least 60 minutes to enter/submit proposals. The online proposal system closes promptly at 3 p.m. Eastern Time, files in process or attempted edits or submission after 3 p.m. Eastern Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on the "Current Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

## I. INTRODUCTION

NYSERDA seeks to stimulate and grow long duration energy storage solutions in hydrogen, electrical, mechanical, chemical, and thermal-electric energy storage innovation portfolios in New York State. Despite advances in these storage technologies, and ever-increasing numbers of deployments, several technological optimization opportunities still exist including initial pilots and demonstrations, hardware cost reductions, enhanced system performance (efficiency, life cycle and thermal stability), and demonstration of effective integration with the grid. Improving and optimizing these areas will accelerate growth of long duration electrical energy storage deployments.

As New York's electrification of transportation and building application increases, long duration electrical energy storage solutions will become critical in meeting times of reduced renewable generation.

Long Duration Electric Energy Storage solutions can reduce the intermittency of solar and wind energy, helping these resources to be flexible assets deployed when needed. Long duration electric energy storage is also needed to avoid the need for new electric system infrastructure, increase system efficiency and resiliency, and reduce requirements for fossil fuel plants to meet periods of peak electric demand or reduced renewable generation. Technology innovations in long duration electric energy storage solutions will accelerate their market adoption, effectively integrate large scale solar PV and wind power with the grid and will have a large impact on greenhouse gas reduction, improve grid resiliency, and contribute to New York's renewable generation objectives.

## II. PROGRAM REQUIREMENTS

This solicitation is focused on advancing, developing and field testing those hydrogen, electric, chemical, mechanical, and thermal to electric storage technologies that will address cost, performance, and integration challenges in New York State. Only innovative long duration energy storage technologies which are yet to be commercialized will be considered in this PON. Long Duration Energy Storage Solutions (10+ hours duration) of interest for PON 5179 include, but are not limited to:

1. Electrochemical

- a. Electrochemical Energy Storage including Flow Batteries and innovative advanced battery solutions (greater than 10 hours duration at rated power)
  - b. Hydrogen Energy Storage and Flexibility Solutions
  - c. Electrofuels manufactured from captured carbon dioxide and stored hydrogen from clean electrolytic electrolysis including nuclear and renewable sources
2. Mechanical
    - a. Innovative Pumped Hydro and Compressed Air/Gas Solutions
    - b. Mechanical/Gravity Energy Storage
    - c. Geomechanical Energy Storage
3. Thermal
    - a. Pumped Heat Electrical Energy Storage
    - b. Thermophotovoltaic (TPV) Storage
    - c. Innovative liquid or solid storage medium (e.g., water, sand, molten salts, rocks)

New York-based clean energy companies and university researchers that apply for ARPA-E, DOE or U.S. National Lab funding that aligns with NYSERDA's long duration energy storage solution goals can submit a full proposal to PON 5179 to receive cost-share funding from NYSERDA. If the proposal to NYSERDA is approved and the complementary federal proposal is selected by ARPA-E, DOE or a U.S. National Lab, the awardee will receive NYSERDA cost-share funding to help achieve ARPA-E, DOE or U.S. National Lab cost-share requirements.

PON 5179: Long Duration Energy Storage Technology & Product Development seeks to support the transition away from fossil fuel generated peaker plants, which are disproportionately sited in or near disadvantaged communities and are potential sources of particulate matter and other airborne pollutants. The PON supports development of long duration energy storage solutions paired with renewable energy generation in disadvantaged communities, resulting in reduced emissions and improved health outcomes for residents. Demonstration projects are also expected to improve resiliency and grid reliability in disadvantaged, remote indigenous and rural communities, lessening climate related impacts and grid constraints.

### **III. PROPOSAL REQUIREMENTS**

Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. To submit a Proposal, complete the Proposal Narrative form-fillable document part of the PON 5179 (Attachment A).

Proposers must carefully review the Proposal Narrative to ensure that all required sections are completed. Failure to do so may result in the proposal being rejected as non-responsive.

Note: The proposer's goal should be to concisely present the information needed to fully address the scoring criteria (see Section VI). Proposals that grossly exceed the word limits or fail to follow the format guidelines may be rejected as non-responsive. Proposals deemed non-responsive will not be eligible for awards. If you believe proprietary information must be submitted to provide an adequate proposal, you must comply with the Section V instructions for submitting proprietary material. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective proposal may reduce, rather than increase, a proposal's standing per the scoring criteria. Each page of the proposal should state the name of the proposer, the PON number (PON 5179), and the page number.

Proposals determined to be compliant with application procedures and responsive to the solicitation will be subject to review by a scoring committee comprising NYSERDA and external technical experts in accordance with Section IV, Proposal Evaluation. Only the most technically meritorious Proposals will be awarded an invitation from NYSERDA to enter into an agreement. Proposals not meriting an award for contracting may be debriefed as requested.

In compliance with §139-j and §139-k of the State Finance Law (see Section V, General Conditions below for additional information), proposers will be required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility.

**Cost Sharing** - The proposal should show non-NYSERDA funding of at least 50% of the total cost of the project. Cost sharing can be from the proposer, other team members, and other government or private sources. Contributions of direct labor (for which the laborer is paid as an employee) and purchased materials may be considered "cash" contributions. Unpaid labor, indirect labor, or other general overhead may be considered "in-kind" contributions. NYSEDA will not pay for efforts which have already been undertaken. The proposer or proposing team cannot claim as cost-share any expenses that have already been incurred.

A payment based on the final deliverable will be reserved until project completion. If awarded, NYSEDA may choose to negotiate the amount of such payment.

**Recoupment** - For any new projects exceeding \$100,000 in NYSEDA funding that involve product development, including business development, NYSEDA will require a royalty based on sales and/or licensing of the new product developed (Please see Attachment F, Sample Agreement for specific recoupment obligations). Recoupment is not required for demonstration projects. Please see the definitions below to determine if your project will be subject to recoupment. Please note that NYSEDA will make final determinations as to whether proposals fit within the demonstration or product development categories.

- **Product Development:** efforts to bring a new or improved product to market including business case development, product design, scale, and field testing, but not including earlier stage technical feasibility or proof of concept development. Technologies with a Technology Readiness Level (TRL) exceeding 3 are to be considered Product Development (see Attachment C for additional guidance on TRLs). Field testing or pilot deployments of a non-commercial, non-warranted technology are considered Product Development.
- **Demonstration:** a project intended to increase sales or usage of a commercialized product already in the marketplace, with results used to generate objective performance information for customers or policymakers. At this stage, the product is available for commercial sale and warranted. While incremental improvements may be incorporated based on the demonstration results, the final product design is essentially complete. Note: pilot deployments or other field demonstrations that will inform additional product development will be considered as a Product Development project and therefore subject to recoupment.

Projects where NYSEDA's share of funding is \$100,000 or less will generally not require recoupment. Please note: NYSEDA may decline to contract with awardees that are delinquent with respect to recoupment payments or sales reporting for any previous NYSEDA agreement.

**Annual Metrics Reports** – If awarded, the proposer will be required to submit to NYSEDA's Project Manager on an annual basis, a prepared analysis and summary of metrics addressing the anticipated energy, environmental and economic benefits that are realized by the project. All estimates shall reference credible sources and estimating procedures, and all assumptions shall be documented. Reporting shall commence the first calendar year after the contract is executed. Reports shall be submitted by January 31st for the previous calendar years' activities (i.e. reporting period). The Contractor shall provide metrics in accordance with a web-based form, which will be distributed by NYSEDA. Please see Attachments E, E1 and E2): Sample Metrics Reporting Guides for the metrics that you will be expected to provide and the reporting duration. NYSEDA may decline to contract with awardees that are delinquent with respect to metrics reporting for any previous or active NYSEDA agreement.

Resubmission of Proposals that are not selected in an earlier round may be resubmitted only one more time,



with changes after a debriefing of the strengths and weaknesses from the first proposal. This resubmittal may occur in a subsequent round of this solicitation that remains open to Full Proposals.

## **PROJECT CATEGORIES**

### **Category 'A' – Product Development**

Development of eligible technologies leading to the commercialization of products in New York State. There is NO NYSERDA funding cap for this category, however Category A projects requesting over \$250,000 must be phased with no phase exceeding \$250,000. NYSERDA will provide up to 50% of the total project cost.

### **Category 'B' – Demonstration Projects**

Innovative demonstrations of under-utilized eligible technologies that are near the commercial stage, demonstrate application opportunities, and lead to increased use of the technology in New York State. There is NO NYSERDA funding cap for this category, however Category B projects requesting over \$250,000 must be phased with no phase exceeding \$250,000. NYSERDA will provide up to 50% of the total project cost.

### **Category 'C' ; - Federal Cost Share Projects:**

Cost-sharing for New York-based clean energy companies that receive ARPA-E, DOE or U.S. National Lab award funding. Specifically, NYSERDA will establish a cost-sharing program, subject to applicable contracting laws, rules, and regulations, for New York-based clean energy companies and university researchers that receive ARPA-E, DOE or U.S. National Lab award funding. This program will be intended to help awardees achieve ARPA-E, DOE or U.S. National Lab cost-share requirements, and to increase the likelihood of successful New York company development and technology commercialization, furthering NYSERDA's goals. This Program provides an opportunity for the submittal of Full Proposals requesting a NYSERDA funding commitment for inclusion in a proposal submission to a competitive Advanced Research Projects Agency (ARPA-E), DOE or U.S. National Lab opportunity. Full Proposals submitted for this purpose must support the objectives of this PON and the identified focus areas within the long duration energy storage solutions and must also support the N.Y. Clean Energy Fund and N.Y. Climate Act goals. Full Proposals seeking NYSERDA funding and/or endorsement letter for this purpose must include a link to the relevant ARPA-E, DOE, or U.S. National Lab opportunity and draft or submitted federal opportunity proposal.

### **Additional information required for Full Proposal submission for ARPA-E, DOE, National Lab cost share:**

- a. **Federal Funding Status:** Have you secured or are you seeking or plan to seek APRA-e, U.S. Department of Energy or U.S. National Lab funding for this project? If yes, please provide additional details describing your existing or planned engagement with ARPA-E, U.S. DOE or U.S. National Lab.
- b. **Plan** for collaboration between Proposer, ARPA-E, DOE or U.S. National Lab and NYSERDA in research, development, demonstration, and deployment of clean energy technologies of mutual interest. The collaborations shall be enhanced through such mechanisms as meetings, workshops, annual conferences/events, exchange of publicly available technical or market information, data and reports, and public webcasts.

**NOTE:** NYSERDA reserves the right to negotiate the project category, scope of work, budget, and funding levels on all awarded projects. Efforts requesting more than \$250,000 from NYSERDA shall be funded in phases separated by go/no-go milestones.

## **IV. PROPOSAL EVALUATION**

Proposals that meet solicitation requirements will be reviewed by a Scoring Committee using the Evaluation Criteria below. At NYSERDA's discretion, proposers may be requested to interview with all or part of the Scoring Committee to address any potential questions or clarifications outlined in the proposals. Proposers will be notified if they are requested to attend an interview.

Full Proposals will be reviewed by a Scoring Committee and will be scored and ranked according to the following criteria. After the submissions are reviewed, NYSERDA will issue a letter to each proposer indicating its Full Proposal evaluation results. Proposers receiving favorable evaluations will be invited to enter contract negotiations with NYSERDA. The proposer will be required to submit a detailed Statement of Work, Budget, and Schedule, and may also be asked to address specific contingencies and recommendations of the Scoring Committee before contract award.

#### **FULL PROPOSAL SCORING CRITERIA:**

##### **Proposed Solution/Scope**

- How significant is the problem or opportunity to New York State?
- Is the proposed work technically feasible, innovative, and superior to alternatives?
- Are the commercialization tasks likely to be effective in advancing the technology to market?
- Does the proposal address an eligible technology?
- How well does the proposed solution address the problem or opportunity?
- Are fundamental scientific principles well understood and clearly presented?
- How appropriate are the cost, technical, performance and commercialization goals for the proposed technology or product?
- Does the proposer exhibit an understanding of the state-of-the-art, competing products and alternative designs?
- If the proposed work is a follow-on project to a previously funded NYSERDA project, what was the outcome of the earlier project?
- Is the proposed project addressing a current challenge or opportunity that is not being addressed adequately by current industry practices and/or federal and/or other state research priorities and funding?
- Does the proposed solution have a high potential for commercialization, addressing demonstrated customer needs and significant markets?
- Does the proposed project demonstrate an effective strategy and strong potential for the project to lead to future use of the technology in New York?
- Does the proposed technology address market needs?

##### Category B - Demonstration Projects:

- How significant is the demonstration opportunity to New York State?
- Is the proposed demonstration innovative and is it appropriate that the proposed demonstration be funded under this program as opposed to a NYSERDA program that provides incentives to install certified, commercially ready technologies?
- Is the proposed demonstration well-conceived, technically feasible, and superior to alternatives?
- What is the level of commitment of a New York State site?
- Does the proposal include a New York State demonstration site?
- Does the proposed technology have commercial applications at other New York State sites?
- Is an appropriate performance monitoring and data analysis effort included in the proposal?
- If the proposed work is follow-on to a previously funded NYSERDA project, what was the outcome of the earlier project?

##### **Project Benefits**

- To what extent does the project support the Climate Leadership and Community Protection Act (CLCPA) goals, grid flexibility and modernization in general, the Clean Energy Standard, and the Clean Energy Fund goals in New York State?
- To what extent will there be economic benefits in New York State in the form of subsequent commercial activity and economic growth?
- How well are the potential benefits to New York State quantified?
- How likely is it that the projected benefits will be realized?
- Does the proposed project have favorable energy, efficiency, environmental and/or economic impacts in New York State? How significant are these impacts?
- Are the technical risks identified, appropriately addressed, and balanced by project benefits?
- Does the proposal address an innovative technology that improves performance, quality, or reliability / resiliency of the electric power system?

### **Business/Commercialization Plan**

- Is the proposed product or concept likely to be successful?
- Are there sufficient markets or needs for the concept/technology?
- How significant is the commercial potential of this technology?
- How widely deployed can the technology be, both in New York and globally?
- Are the business and commercialization or replication plans appropriate for the type of project and stage of development?
- How significant are the barriers to market entry?
- Does the proposer demonstrate a clear understanding of the steps required to overcome these barriers?
- Have customers been identified and consulted regarding the value of the technology or solution?"
- Is the value proposition of the technology well matched to the expressed needs of the customer segments being targeted?
- Does the proposal identify competing and alternate solutions, and clearly show why this product or concept is superior to, price competitive with, or provides value compared to alternative products or solutions?
- If follow-on financial resources are necessary, are plans to raise necessary financial resources likely to be successful?
- How well are the project tasks directed at identifying and fulfilling customer requirements? How far will execution of the work plan take the product to full commercialization?
- Would achievement of technical and business goals position the company to raise capital or realize revenue from the product before NYSERDA funding is exhausted?

### **Project Plan, Risks and Challenges - Statement of Work and Schedule**

- How appropriate are the technical, performance and commercialization goals for the proposed project?
- Do the proposed technical and performance goals adequately allow for measurement and verification of the success of the proposed project?
- Does the proposed strategy in the Statement of Work include technical and business development tasks and are those tasks likely to achieve the technical, performance and commercialization goals?
- Does the Statement of Work include an economic analysis of the technology based on performance measurements?
- Is the Statement of Work well organized, complete, and appropriate for the technical, performance and commercialization goals identified?
- How realistic is the schedule for achieving the goals of the proposed project?
- Is the proposed level of effort reasonable to complete the proposed project?

- Are the proposed milestones and tasks reasonable and complete in details?
- Are project risks and challenges identified with appropriate mitigation plans?
- Are the appropriate letters of support and/or commitments included in the proposal?

Category B - Demonstration projects:

- Are the data acquisition, monitoring, and reporting plans reasonable and do they meet the requirements in Section V, ADDITIONAL PROGRAM REQUIREMENTS FOR CATEGORY B DEMONSTRATION PROJECTS ONLY?
- Are the benefits tracking plan reasonable and does it meet the requirements in Section V, ADDITIONAL PROGRAM REQUIREMENTS FOR CATEGORY B DEMONSTRATION PROJECTS ONLY?
- If monitoring baseline utility system operation is necessary to document system benefits, does the Statement of Work include a provision to adequately gather baseline utility operational data?

**Project Team/Support**

- Has the proposer provided evidence of being qualified to perform the proposed work based on the qualifications of the organization(s) and the involved individual(s)?
- Were resumes of key individuals included in the proposal?
- To what degree does the proposer and team have the necessary technical and business background and experience?
- Has the proposer provided evidence of good past performance on other relevant projects?
- Is the proposing team appropriately organized?
- Are staff allocations and responsibilities reasonable?
- Applicant has enabled the resources (human, financial and physical) to be able to complete the project?

**Project Cost and Value**

- Is the overall project cost justified and reasonable based on the level of effort proposed and the expected outcome and benefits?
- How significant is the potential market opportunity relative to the project cost?
- How appropriate are the proposer's co-funding contributions (sources and amounts) with respect to the degree of risk, potential to benefit from the work, and financial status of the organization?
- How firm are the commitments and support from essential participants, co-funders, and related businesses and other organizations?
- Are the overhead rates reasonable and supported with appropriate documentation?
- Are equipment, facility, material, and travel costs based on reasonable estimates?
- Are the labor rates reflective of the industry?

**Other Program Policy Factors** – In addition to considering how project Full Proposals satisfy the Scoring Criteria listed above, NYSERDA reserves the right to make funding decisions based on other Program Policy Factors, including but not limited to:

1. Whether the proposed project will accelerate technology advances in areas that industry by itself is not likely to undertake.
2. The degree to which the proposed project optimizes the use of available funding to achieve programmatic objectives.
3. The degree to which the proposal expands the technical portfolio of the program.
4. The degree to which the proposed project has leveraged award funds to expand their project scope and value attained with non-award resources.
5. The degree to which there are technical, market, organizational and/or environmental risks associated

- with the projects that outweigh the potential benefits.
6. Past performance of the proposer on other projects with NYSERDA.
  7. The degree to which project expenses are in line with market rates.
  8. The past performance of the proposer on other technical and business endeavors, including NYSERDA and DOE, ARPA-E, NSF, (if the performance history is available).
  9. The degree to which NYSERDA ongoing funding, (incl. cost shares), will make a difference in the technology impact, acceleration of transformational advances and project success.
  10. The degree of NYSERDA portfolio balance/optimization. The project(s) balance(s) and enhances the NYSERDA portfolio in one or more of the following areas:
    - Technological diversity
    - Organizational diversity
    - Geographic diversity
    - Technical or commercialization risk
    - Stage of technology development
    - Complimentary efforts to balance risk
  11. The degree of ongoing leverage; attracting other funding sources: building on the NYS capabilities: linking technologies and/or companies.
  12. The consideration of the impact on, and benefits to, a diversity of communities/locations, including low-income and rural communities, partnerships with minority serving and/or owned businesses.
  13. The degree to which the project enables collaboration with nongovernmental and industry entities for demonstration of technologies and research applications to successfully facilitate technology transfer, leading to robust technology development and subsequent scaling and market adoption.
  14. The degree to which a proposer could attract investor funding as the project progresses, including seed, Series A, high net worth individuals and beyond.

## V. GENERAL CONDITIONS

**Proprietary Information** - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <https://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

**Omnibus Procurement Act of 1992** - It is the policy of New York State to maximize opportunities for the participation of New York State business enterprises, including minority- and women-owned business enterprises, as bidders, subcontractors, and suppliers on its procurement Agreements.

Information on the availability of New York subcontractors and suppliers is available from:

Empire State Development  
Division for Small Business

625 Broadway  
Albany, NY 12207

A directory of certified minority- and women-owned business enterprises is available from:

Empire State Development  
Minority and Women's Business Development Division  
625 Broadway  
Albany, NY 12207

**State Finance Law sections 139-j and 139-k** - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx>. Proposers are required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility (this includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years).

**Tax Law Section 5-a** - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf)). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department.

The Department has created a second form that must be completed by a prospective contractor prior to contracting and filed with NYSERDA. See, ST-220-CA (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220ca\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

**Contract Award** - NYSERDA anticipates making multiple milestone-based payment awards under this solicitation. NYSERDA anticipates a contract duration of up to three (3) years, unless NYSERDA management determines a different structure is more efficient based upon proposals received. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each proposal should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Attachment F, Sample Agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately 8 weeks from the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

**Accessibility Requirements** - NYSERDA requires contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSERDA's Accessibility Requirements](#).

**Limitation** - This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Attachment F, Sample Agreement. NYSERDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information or the presence of a material possibility of any reputational or legal risk in making of the award.

**Disclosure Requirement** - The proposer shall disclose any indictment for any alleged felony, or any conviction for a felony within the past five years, under the laws of the United States or any state or territory of the United States and shall describe circumstances for each. When a proposer is an association, partnership, corporation, or other organization, this disclosure requirement includes the organization and its officers, partners, and directors or members of any similarly governing body. If an indictment or conviction should come to the attention of NYSERDA after the award of a contract, NYSERDA may exercise its stop-work right pending further investigation or terminate the agreement; the contractor may be subject to penalties for violation of any law which may apply in the particular circumstances. Proposers must also disclose if they have ever been debarred or suspended by any agency of the U.S. Government or the New York State Department of Labor.

**Vendor Assurance of No Conflict of Interest or Detrimental Effect** - The proposer shall disclose any existing or contemplated relationship with any other person or entity, including any known relationships with any member, shareholders of 5% or more, parent, subsidiary, or affiliated firm, which would constitute an actual or potential conflict of interest or appearance of impropriety, relating to other clients/customers of the proposer or former officers and employees of NYSERDA, in connection with proposer's rendering services as proposed. If a conflict does or might exist, please describe how your company would eliminate or prevent it. Indicate what procedures will be followed to detect, notify NYSERDA of, and resolve any such conflicts.

The proposer must disclose whether it, or any of its members, or, to the best of its knowledge, shareholders of 5% or more, parents, affiliates, or subsidiaries, have been the subject of any investigation or disciplinary action by the New York State Commission on Public Integrity or its predecessor State entities (collectively, "Commission"), and if so, a brief description must be included indicating how any matter before the Commission was resolved or whether it remains unresolved.

**Public Officers Law** – For any resulting awards, the Contractor and its subcontractors shall not engage any person who is, or has been at any time, in the employ of the State to perform services in violation of the provisions of the New York Public Officers Law, other laws applicable to the service of State employees, and the rules, regulations, opinions, guidelines or policies promulgated or issued by the New York State Joint Commission on Public Ethics, or its predecessors (collectively, the "Ethics Requirements"). Proposers are reminded of the following Public Officers Law provision: contractors, consultants, vendors, and subcontractors may hire former NYSERDA employees. However, as a general rule and in accordance with New York Public Officers Law, former employees of NYSERDA may neither appear nor practice before NYSERDA, nor receive compensation for services rendered on a matter before NYSERDA, for a period of two years following their separation from NYSERDA service. In addition, former NYSERDA employees are subject to a "lifetime bar" from appearing before any state agency or authority or receiving compensation for services regarding any transaction in which they personally participated, or which was under their active consideration during their tenure with NYSERDA.

Any awardee will be required to certify that all of its employees, as well as employees of any subcontractor, whose subcontract is valued at \$100,000 or more who are former employees of the State and who are assigned to perform services under the resulting contract, shall be assigned in accordance with all Ethics Requirements. During the term of any agreement, no person who is employed by the contractor or its

subcontractors and who is disqualified from providing services under the contract pursuant to any Ethics Requirements may share in any net revenues of the contractor or its subcontractors derived from the contract. NYSEDA may request that contractors provide it with whatever information the State deems appropriate about each such person's engagement, work cooperatively with the State to solicit advice from the New York State Commission on Ethics and Lobbying in Government, and, if deemed appropriate by the State, instruct any such person to seek the opinion of the New York State Commission on Ethics and Lobbying in Government. NYSEDA shall have the right to withdraw or withhold approval of any subcontractor if utilizing such subcontractor for any work performed would be in conflict with any of the Ethics Requirements. NYSEDA shall have the right to terminate any contract at any time if any work performed is in conflict with any of the Ethics Requirements.

**Due Diligence** – NYSEDA, at its discretion, may conduct broad due diligence to validate any or all elements of an application and to assess applicants' prospects of success, including gathering information to assess a proposal relative to any of the topics listed in evaluation criteria, whether or not such topic is explicitly addressed in a proposal. NYSEDA may conduct due diligence on some or all proposals based on NYSEDA's current guidelines at the time of a review. NYSEDA staff may follow up with proposers to request additional information or clarification regarding applicant's proposal, including questions regarding applicant's business prospects and resources, whether or not those questions are specifically related to the elements of the proposal. Additionally, customized due diligence may be conducted by internal or external staff or contractors based on questions on any proposal raised by NYSEDA staff and/or the Scoring Committee. Due diligence may include (but is not limited to): interviews of independent references and background checks of team members; assessment of prior business experience of any team member associated with a proposal; research on intellectual property claims; customer and partner reference checks; market research on the applicants' target market and any other related or possibly competitive technology or market area; research to validate any assumptions on current or future revenues, costs, capital needs, and financing prospects for proposers' business, including similar (or unrelated) technologies, processes, or competitive solutions; or any other research that could reasonably inform the evaluation of a proposal, or the prospects for commercial success of the proposers' business (whether directly related to, or unrelated to the specific elements in a proposal). Due diligence may include discussions with proposers' former and current business partners, employees, investors, customers, and competitors. Due diligence may be conducted by NYSEDA personnel or contractors including members of the scoring committee, before, during, or after a scoring process, and prior to finalization of a contract award, any information gleaned in diligence may be used to score or re-score a proposal.

**EO 16 Protocols** – Pursuant to Executive Order No. 16 issued on March 17, 2022, all vendors responding to bids or contracting with New York State must certify, using the form provided as part of this solicitation, their status with regard to conducting business operations in Russia, and that any such business operations in Russia conducted on behalf of the vendor are determined to be permitted under any of the allowable exemptions. The term vendor is intended to encompass bidders prior to contract award, contractors who have received a contract award, contract assignees, or contractors for whom an extension to an existing contract is being pursued. Exemption decisions are in NYSEDA's sole discretion and are final decisions. NYSEDA reserves the right to solicit additional materials or information regarding the responses or materials provided by a vendor.

Pursuant to Executive Order No. 16, all vendors will be vetted to ensure that they are not on the federal sanctions list at <https://sanctionsearch.ofac.treas.gov/>. There is no waiver or exemption process for vendors appearing on the federal sanctions list.

The Executive Order remains in effect while sanctions imposed by the federal government are in effect. Accordingly, vendors who may be excluded from award because of current business operations in Russia are nevertheless encouraged to respond to solicitations to preserve their contracting opportunities in case sanctions are lifted during a solicitation, or after award in the case of some solicitations.



**Recoupment** - For any new product research and/or development, NYSERDA will generally require a royalty based on sales of the new product developed. NYSERDA's standard royalty terms are 1% of sales/ten percent (10%) of all license revenue accruing to the Contractor for products produced (for a period of fifteen years or until the Contractor pays NYSERDA an amount equal to the amount of funds paid by NYSERDA to the Contractor, whichever comes first).

### **Attachments**

- 1. Attachment A – Proposal Narrative Format**
- 2. Attachment B - Statement of Work Format**
- 3. Attachment C – TRL-CRL Calculator Workbook**
- 4. Attachment C1 – 3 Year Financial Projection Worksheet**
- 5. Attachment D – Budget Format**
- 6. Attachment E – Sample Metrics Form (Product Development)**
- 7. Attachment E1 – Sample Metrics Form (Demonstration)**
- 8. Attachment E2 – Sample Metrics Form (Info Dissemination)**
- 9. Attachment F - Sample Agreement**



**Facilitation Services in Support of the West Valley Citizen Task Force**  
Request for Proposal (RFP) 5040

*The New York State Energy Research and Development Authority reserves the right to extend and/or add funding to the Solicitation should other program funding sources become available.*

Proposals Due: **June 30, 2022**, by 3:00 p.m. Eastern Time\*

The New York State Energy Research and Development Authority (NYSERDA) is seeking proposals for facilitation services to support the West Valley Citizen Task Force associated with the Western New York Nuclear Service Center and West Valley Demonstration Project in West Valley, New York. The Task Force is a citizen advisory group that has been meeting for 25 years, providing advice to NYSERDA and the U.S. Department of Energy (DOE) regarding cleanup, management, and decision making for facilities located at the Western New York Nuclear Service Center. Continued success of the Citizen Task Force will be, in part, dependent on securing the services of a highly qualified, professional facilitator with experience in group facilitation and familiarity with sites and issues similar to West Valley. The facilitator will assist the West Valley Citizen Task Force in its deliberations, communications with the site managers, and work toward its Mission goals (see Attachment B – Citizen Task Force Mission and Ground Rules). This RFP seeks proposals from individuals or firms with facilitation expertise interested in managing the Citizen Task Force meetings and interactions with NYSERDA, DOE, and Citizen Task Force stakeholders as specifically outlined in Attachment A (Statement of Work). Work under this contract is expected to begin October 1, 2022 and continue through September 30, 2027 (a period of 5 years).

**Proposal Submission:** Online submission is preferable. Proposers may submit Word, Excel, or PDF files (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer’s entity name in the title of the document. New York State Energy Research and Development Authority will also accept proposals by mail or hand-delivery if online submission is not possible. For detailed instructions on how to submit a proposal (online or paper submission), click the link “[Application Instructions and Portal Training Guide](#) [PDF]” located in the “Current Opportunities” section of New York State Energy Research and Development Authority’s website (<https://www.nyserderda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>). Also see Attachment C – Sample Agreement.

No communication intended to influence this procurement is permitted except by contacting Lee Gordon, PhD. (designated contact) at (716) 942-9960, ext. 4963 or by e-mail to: [LeeGordonSolicitation@nyserderda.ny.gov](mailto:LeeGordonSolicitation@nyserderda.ny.gov) or Brad Frank – designated contact) at (716) 942-9960, ext. 4378 or by e-mail to: [BradFrankSolicitation@nyserderda.ny.gov](mailto:BradFrankSolicitation@nyserderda.ny.gov). If you have contractual questions concerning this solicitation, contact Venice Forbes (designated contact) at (518) 862-1090, ext. 3507 or by email at: [VeniceSolicitations@nyserderda.ny.gov](mailto:VeniceSolicitations@nyserderda.ny.gov). Contacting anyone other than the designated contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer’s behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

**\* All proposals must be received by 3 p.m. Eastern Time on the date noted above. Late, faxed, or emailed proposals will not be accepted.** Incomplete proposals may be subject to disqualification. It is the proposer’s responsibility to ensure that all pages have been included in the proposal. Please note: for online submission, there are required questions that you will have to answer in addition to uploading attachments and you should allot at least 60 minutes to enter/submit proposals. The online proposal system closes promptly at 3 p.m. Eastern Time, files in process or attempted edits or submission after 3 p.m. Eastern Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on the “Current Opportunities” section of NYSERDA’s website (<https://www.nyserderda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

**I. Introduction**

## A. Background

In March 1996, NYSERDA and DOE issued a Draft Environmental Impact Statement for public comment which focused on evaluating closure options for the future management of facilities at the Center. During the development of the Draft Environmental Impact Statement, NYSERDA perceived a need for broader public participation, above and beyond the public comments on the Draft Environmental Impact Statement, to help in the development of a closure option for the Center. Forming a community advisory group seemed to be the best way to ensure that the issues and concerns of the community were understood. To make this a reality, NYSERDA, with DOE's support, initiated the formation of the West Valley Citizen Task Force. The Citizen Task Force currently has 14 members and five (5) alternate members. An independent facilitation contractor was hired to assist NYSERDA in convening the group and to provide facilitation and coordination of its deliberations.

The West Valley Citizen Task Force held its first meeting in late January 1997. In July 1998, the New York State Energy Research and Development Authority and U.S. Department of Energy received the Task Force's Final Recommendations Report on its policies, priorities, and guidelines for the decommissioning, closure, or long-term management of the Center (available at [https://westvalleyctf.org/1998\\_Report/CTF\\_Final\\_Report.pdf](https://westvalleyctf.org/1998_Report/CTF_Final_Report.pdf)). Since 1998, the Task Force has met regularly to discuss a variety of issues regarding facility cleanup, management and decision making. During the 2000s, the group was actively involved in review and discussion of the Draft and Final Environmental Impact Statements and associated Phase 1 Decommissioning Plan, including the development of the Preferred Alternative in the Final Environmental Impact Statement. Since 2010, the group has received updates on the Phase 1 Studies and path to Phase 2 Decisions, including the preparation of a Probabilistic Performance Assessment and Supplemental Environmental Impact Statement. Since its inception, the Citizen Task Force has monitored the deactivation and decommissioning of site facilities. The Citizen Task Force is currently preparing to review and comment on the Draft Supplemental Environmental Impact Statement, which is scheduled for publication in 2023-2024. It is expected that the six-month public comment period on the Draft Supplemental Environmental Impact Statement will involve increased Citizen Task Force activity and engagement.

Over the years, the mission of the Task Force has expanded into other areas including future site use, long-term stewardship, and regulatory issues. The group has provided several sets of comments to the U.S. Nuclear Regulatory Commission on its policy statement on the decontamination and decommissioning criteria for West Valley. The Task Force is also active in keeping the Congressional Representatives from the Western New York Region informed about the ongoing issues at the West Valley Site and has worked with Congressional Representatives to advocate for increased funding for West Valley .

Responsibilities of the independent facilitator have included coordinating and facilitating Citizen Task Force meetings, preparing written meeting summaries, convening, and maintaining Citizen Task Force membership, and fostering good working relationships with, and between, each Citizen Task Force member and with Citizen Task Force stakeholders and constituencies. The independent facilitator will also assist Citizen Task Force members with outreach, communications, and advocacy.

Additional information about the Citizen Task Force can be found on the Task Force website ([www.westvalleyCitizenTaskForce.org](http://www.westvalleyCitizenTaskForce.org)).

## II. Program Requirements

### A. Services Requested

The attached **Statement of Work (Attachment A)** is being circulated to solicit proposals from firms interested in performing the work outlined by this RFP. Work under this contract is expected to begin October 1, 2022

and continue through September 30, 2027 (a period of 5 years).

## **B. Scope of Services to Be Provided**

NYSERDA seeks proposals for the services of a highly qualified, professional facilitator with experience in group facilitation and, if possible, familiarity with the West Valley Site or similar sites around the country. Minimal ancillary staff would be expected to support this work by performing administrative duties such as communications, note taking, etc. The contract is expected to start on October 1, 2022.

Services under this contract include the following Tasks. Additional detail on each task is provided in **Attachment A – Scope of Work**. Listed here are number of hours per task, per month that proposers should assume and use for cost proposal purposes.

- **Task 1 - Pre-meeting activities**, including logistical support, arrangement of meetings and preparation and distribution of meeting materials. For cost proposal purposes, assume 10 hours (facilitator) per month.
- **Task 2 – Meeting management**, including professional facilitation of Citizen Task Force meetings, implementation of ground rules (**See Attachment B – Citizen Task Force Mission and Ground Rules**), fostering group collaboration and consensus, managing audience expectations, note taking, and active management of discussions, questions, and responses. For cost proposal purposes, assume 7 hours (facilitator) and 3 hours (qualified note taker) per month. Proposers should assume Citizen Task Force meetings will be held monthly.
- **Task 3 - Post-meeting activities** including logistical support, compilation of meeting summaries and action items and coordinating work group discussions (as needed). For cost proposal purposes, assume 4 hours (facilitator) and 2 hours (qualified note taker) per month.
- **Task 4 – Coordination of the Citizen Task Force**, including management of Citizen Task Force membership, organization, and coordination of Citizen Task Force Work Groups, maintaining schedules and communications lists, managing a Citizen Task Force Work Plan, develop annual surveys and work summaries. For cost proposal purposes, assume 10 hours (facilitator) per month.
- **Task 5 – Communication with U.S. Department of Energy and New York State Energy Research and Development Authority**, including maintaining contact with agency representatives and updating DOE and NYSERDA on new developments or issues as identified by the Citizen Task Force. For cost proposal purposes, assume 2 hours (facilitator) per month.
- **Task 6 – Management of the Citizen Task Force website** including posting of membership information, schedules, calendars, meeting materials and summaries, and ensuring the website meets all NYSERDA and New York State information security and accessibility requirements. For cost proposal purposes, assume 5 hours (facilitator) per month.

## **C. Proposer Qualifications**

Qualified proposers will be those that demonstrate:

- **Relevant education** including degrees, training certificates, and other accredited education focused on, but not limited to, facilitation, consensus building, collaboration, organizational behavior, interpersonal relations, mediation, group dynamics, and communications.
- **Relevant expertise** including demonstrated expertise providing facilitation services and successfully managing stakeholder collaboration and consensus building

- **Organizational resources** necessary to provide the full breadth of services described in Attachment A – Statement of Work.
- **Relevant Experience** with (1) facilitation involving environmental cleanup sites with similarly complex environmental issues to those at West Valley Site or sites of similar complexity involving state and federal intergovernmental relationships, and (2) facilitation experience with community advisory groups similar in scope to that of the Citizen Task Force.

### III. Proposal Requirements

#### A. Proposal Content

Proposals should not be excessively long or submitted in an elaborate format that includes expensive binders or graphics. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. Each page of the proposal should state the name of the proposer, the RFP number, and the page number. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal.

A complete response to this Request for Proposals shall include two parts:

#### Part I - Technical and Management:

- Current Qualifications Statement that clearly presents the education and expertise training and experience for the primary and backup facilitators. Proposals shall identify a single key person, a dedicated facilitation expert, to provide all work Tasks outlined in Attachment A – Statement of Work. Proposals should also include the participation of a qualified note-taker who can be dedicated to actively taking notes during meetings and to compiling such notes after meetings. (2-page maximum per person)
- Services to be provided which should be responsive to all tasks described in the **Statement of Work – Attachment A** and should describe specific approaches to the work, including facilitation philosophy and styles, group and meeting management approach(es), approach(es) for meeting the Citizen Task Force’s mission (**see Attachment B – Citizen Task Force Mission and Ground Rules**), and any organizational resources that will be drawn upon to provide all services. Any teaming or subcontracting arrangements should be described herein. (4-page maximum)
- A description of Facilitation experience involving familiarity with the West Valley site if present, and experience with environmental cleanup sites with similarly complex environmental, or state/federal issues to those at the West Valley Site and Facilitation experience involving community advisory groups similar in scope to that of the Citizen Task Force (5-page maximum).
- Letters of commitment from all team members or sub-contractors (if applicable).

#### Part II - Cost and Disclosures:

A cost proposal including a total cost for all tasks, with an annual breakdown of costs, including cost options for the two meeting approaches described in Task 2 (**see Attachment A – Statement of Work**) for the 5-year contract period. Labor rates should be provided for each year of the contract and total costs should include any anticipated annual rate escalations. Proposers shall include proposed labor rates for all individuals who they propose will perform work under this contract. Given the proposed labor rates, Proposers shall submit a proposed total cost for all tasks, with an annual breakdown of costs, including cost options for the two meeting approaches described in Task 2 of Attachment A – Statement of Work for the 5-year contract period. The proposed total project cost shall include all expected travel costs

(specifically for the primary facilitator to attend monthly Citizen Task Force meetings in West Valley, NY) and ancillary expenses expected to support all tasks listed above. Labor rates should be provided for each year of the contract and total costs should include any anticipated annual rate escalations.

- Costs including labor rates for key personnel and any other applicable costs or rates included should be identified in Attachment D - Contract Budget Form.

In compliance with §139-j and §139-k of the State Finance Law (see Section VI, General Conditions below for additional information), additional forms must be completed and filed with proposals: (1) a signed copy of the Proposal Checklist including required certifications under the State Finance Law; and (2) a completed Disclosure of Prior Findings of Non-Responsibility form. Failure to include a signed copy of the Proposal Checklist referenced in this solicitation may disqualify your proposal.

Attach supporting documentation to support indirect cost (overhead) rate(s) included in your proposal as follows:

1. Describe the basis for the rates proposed (i.e., based on prior period actual results; based on projections; based on federal government or other independently approved rates).
2. If rate(s) is approved by an independent organization, such as the federal government, provide a copy of such approval.
3. If rate(s) is based on estimated costs or prior period actual results, include calculations to support proposed rate(s). Calculation should provide enough information NYSERDA to evaluate and confirm that the rate(s) are consistent with generally accepted accounting principles for indirect costs.

NYSERDA reserves the right to audit any indirect rate presented in the proposal and to make adjustment for such difference. Requests for financial statements or other needed financial information may be made if deemed necessary.

## **B. Proposal Evaluation Criteria**

Proposals that meet solicitation requirements will be reviewed by a Scoring Committee using the five primary Evaluation Criteria below **each of equal importance**. At NYSERDA's discretion, proposers may be requested to provide additional information, and/or to interview with all or part of the Scoring Committee to address any potential questions or clarifications outlined in the proposals. Proposers will be notified if they are requested to attend an interview. New York State Energy Research and Development Authority will consider the following criteria to evaluate RFP proposals:

1. Relevant education and expertise of Facilitator
  - Education and training specific to facilitation practices and skills
  - Demonstrated expertise in successfully facilitating stakeholder/advisory groups with diverse backgrounds and interests and in building consensus amongst such stakeholders
  - Experience facilitating public meetings
  - Experience with remote meeting technology
  - Experience managing simple websites with group membership information, calendars/schedules, meeting documentation, etc.
2. Approach to all work tasks described in Attachment A – Statement of Work (proposals should be specifically responsive to each work task);
  - Facilitation philosophy and style(s) and group management approach
  - Unique approaches to help the Citizen Task Force meet its mission
3. Facilitation experience
  - Demonstrated experience in and understanding of
    - Environmental or other similar or analogous issues of interest to public stakeholders

- State and federal interaction pertaining to complex issues
  - One or more methods of communicating complex technical issues to groups with diverse knowledge bases
  - Governmental decision-making processes which may impact community advisory roles and strategies
  - The National Environmental Policy Act (NEPA) and State Environmental Quality Review Act (SEQRA) Environmental Impact Statement (EIS) processes and their public input components
4. Facilitation experience involving community advisory groups similar in scope to that of the Citizen Task Force
- Demonstrated experience in and understanding of
    - Facilitation of groups dealing with complex and potentially contentious environmental or similar/analogous issues
    - The breadth of issues addressed by community advisory groups
    - Helping groups set goals and define milestones
    - Working through the consequences of achieving or not achieving group objectives
    - Building consensus within such groups and between such groups and their partner organizations, agencies, tribes, stakeholders, constituents, etc.
5. Cost
- Reasonableness of proposed labor rates and travel costs for all individuals who will perform work under this contract
  - The degree to which labor rates are justified with respect to the facilitator's experience and expertise
  - Cost estimates use assumption of hours for each task as described herein

NYSERDA reserves the right to accept or reject proposals based on the following program policy factor(s):

- The degree to which pricing and hourly rates are in line with the rest of the market.

## GENERAL CONDITIONS

**Proprietary Information** - Careful consideration should be given before confidential information is submitted to New York State Energy Research and Development Authority as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information New York State Energy Research and Development Authority possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to New York State Energy Research and Development Authority that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 [https://www.nyscrda.ny.gov/About/-/media/Files/About/Contact/New\\_York\\_State\\_Energy\\_Research\\_and\\_Development\\_Authority-Regulations.ashx](https://www.nyscrda.ny.gov/About/-/media/Files/About/Contact/New_York_State_Energy_Research_and_Development_Authority-Regulations.ashx). However, New York State Energy Research and Development Authority cannot guarantee the confidentiality of any information submitted.

**Omnibus Procurement Act of 1992** - It is the policy of New York State to maximize opportunities for the participation of New York State business enterprises, including minority- and women-owned business enterprises, as bidders, subcontractors, and suppliers on its procurement Agreements.

Information on the availability of New York subcontractors and suppliers is available from:

Empire State Development  
Division for Small Business  
625 Broadway  
Albany, NY 12207

A directory of certified minority- and women-owned business enterprises is available from:

Empire State Development  
Minority and Women's Business Development Division  
625 Broadway  
Albany, NY 12207

**State Finance Law sections 139-j and 139-k** - NYSEDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx> . Proposers are required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility (this includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years).

**Tax Law Section 5-a** - NYSEDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSEDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf)). Prior to contracting with NYSEDA, the prospective contractor must also certify to NYSEDA whether it has filed such certification with the Department. The Department has created a second form that must be completed by a prospective contractor prior to contracting and filed with NYSEDA. See, ST-220-CA (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220ca\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf> .

**Contract Award** - NYSEDA anticipates making one award under this solicitation. NYSEDA anticipates a contract duration of five years with one option to renew unless NYSEDA management determines a different structure is more efficient based upon proposals received. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each proposal should be submitted using the most favorable cost and technical terms. NYSEDA may request additional data or material to support applications. NYSEDA will use the Sample Agreement to contract successful proposals. NYSEDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSEDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSEDA expects to notify proposers in approximately 4-6 weeks from the proposal due date whether your proposal has been selected to receive an award. Upon receipt of this notification, a proposer can request to schedule a debrief on the selection process and the strengths and weaknesses of its proposal by contacting [lee.gordon@nyserda.ny.gov](mailto:lee.gordon@nyserda.ny.gov). NYSEDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSEDA agreement.

**Accessibility Requirements** - NYSEDA requires contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [New York State Energy Research and Development Authority's Accessibility Requirements](#).



**Limitation** - This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement. NYSERDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information and the presence of a material possibility of any reputational or legal risk in making of the award.

**Disclosure Requirement** - The proposer shall disclose any indictment for any alleged felony, or any conviction for a felony within the past five years, under the laws of the United States or any state or territory of the United States and shall describe circumstances for each. When a proposer is an association, partnership, corporation, or other organization, this disclosure requirement includes the organization and its officers, partners, and directors or members of any similarly governing body. If an indictment or conviction should come to the attention of NYSERDA after the award of a contract, NYSERDA may exercise its stop-work right pending further investigation or terminate the agreement; the contractor may be subject to penalties for violation of any law which may apply in the particular circumstances. Proposers must also disclose if they have ever been debarred or suspended by any agency of the U.S. Government or the New York State Department of Labor.

**Vendor Assurance of No Conflict of Interest or Detrimental Effect** - The proposer shall disclose any existing or contemplated relationship with any other person or entity, including any known relationships with any member, shareholders of 5% or more, parent, subsidiary, or affiliated firm, which would constitute an actual or potential conflict of interest or appearance of impropriety, relating to other clients/customers of the proposer or former officers and employees of NYSERDA, in connection with proposer's rendering services as proposed. If a conflict does or might exist, please describe how your company would eliminate or prevent it. Indicate what procedures will be followed to detect, notify NYSERDA of, and resolve any such conflicts.

The proposer must disclose whether it, or any of its members, or, to the best of its knowledge, shareholders of 5% or more, parents, affiliates, or subsidiaries, have been the subject of any investigation or disciplinary action by the New York State Commission on Public Integrity or its predecessor State entities (collectively, "Commission"), and if so, a brief description must be included indicating how any matter before the Commission was resolved or whether it remains unresolved.

**Public Officers Law** – For any resulting awards, the Contractor and its subcontractors shall not engage any person who is, or has been at any time, in the employ of the State to perform services in violation of the provisions of the New York Public Officers Law, other laws applicable to the service of State employees, and the rules, regulations, opinions, guidelines or policies promulgated or issued by the New York State Joint Commission on Public Ethics, or its predecessors (collectively, the "Ethics Requirements"). Proposers are reminded of the following Public Officers Law provision: contractors, consultants, vendors, and subcontractors may hire former NYSERDA employees. However, as a general rule and in accordance with New York Public Officers Law, former employees of NYSERDA may neither appear nor practice before NYSERDA, nor receive compensation for services rendered on a matter before NYSERDA, for a period of two years following their separation from NYSERDA service. In addition, former NYSERDA employees are subject to a "lifetime bar" from appearing before any state agency or authority or receiving compensation for services regarding any transaction in which they personally participated, or which was under their active consideration during their tenure with NYSERDA.

Any awardee will be required to certify that all of its employees, as well as employees of any subcontractor, whose subcontract is valued at \$100,000 or more who are former employees of the State and who are assigned to perform services under the resulting contract, shall be assigned in accordance with all Ethics Requirements. During the term of any agreement, no person who is employed by the contractor or its subcontractors and who is disqualified from providing services under the contract pursuant to any Ethics Requirements may share in any net revenues of the contractor or its subcontractors derived from the contract. NYSERDA may request that contractors provide it with whatever information the State deems appropriate about each such person's engagement, work cooperatively with the State to solicit advice from the New York State Joint Commission on Public Ethics, and, if deemed appropriate by the State, instruct any such person to seek the opinion of the New York State Joint Commission on Public Ethics. NYSERDA shall have the right to withdraw or withhold approval of any subcontractor if utilizing such subcontractor for any work performed would be in conflict with any of the Ethics

Requirements. NYSERDA shall have the right to terminate any contract at any time if any work performed is in conflict with any of the Ethics Requirements.

**Due Diligence** – NYSERDA, at its discretion, may conduct broad due diligence to validate any or all elements of an application and to assess applicants' prospects of success, including gathering information to assess a proposal relative to any of the topics listed in evaluation criteria, whether or not such topic is explicitly addressed in a proposal. NYSERDA may conduct due diligence on some or all proposals based on NYSERDA's current guidelines at the time of a review. NYSERDA staff may follow up with proposers to request additional information or clarification regarding applicant's proposal, including questions regarding applicant's business prospects and resources, whether or not those questions are specifically related to the elements of the proposal. Additionally, customized due diligence may be conducted by internal or external staff or contractors based on questions on any proposal raised by NYSERDA staff and/or the Scoring Committee. Due diligence may include (but is not limited to): interviews of independent references and background checks of team members; assessment of prior business experience of any team member associated with a proposal; research on intellectual property claims; customer and partner reference checks; market research on the applicants' target market and any other related or possibly competitive technology or market area; research to validate any assumptions on current or future revenues, costs, capital needs, and financing prospects for proposers' business, including similar (or unrelated) technologies, processes, or competitive solutions; or any other research that could reasonably inform the evaluation of a proposal, or the prospects for commercial success of the proposers' business (whether directly related to, or unrelated to the specific elements in a proposal). Due diligence may include discussions with proposers' former and current business partners, employees, investors, customers, and competitors. Due diligence may be conducted by NYSERDA personnel or contractors including members of the scoring committee, before, during, or after a scoring process, and prior to finalization of a contract award, any information gleaned in diligence may be used to score or re-score a proposal or apply a program policy factor.

- **Attachments:**

- Attachment A – Statement of Work
- Attachment B – Citizen Task Force Mission and Ground Rules
- Attachment C – Sample Agreement
- Attachment D – Contract Budget Form

**Update to Renewable Energy Standard Purchase of New York Tier 1 Eligible Renewable Energy  
Certificates Request for Proposals (RFP) No. RESRFP22-1 RFP**

**Original Release Date: September 21, 2022**

**UPDATE EFFECTIVE: November 4, 2022**

**Summary of Revisions**

1. The Step One Eligibility Application due date has been extended from November 16, 2022 to November 30, 2022. The Notice of Qualification Determination response date has also been extended from November 30, 2022 to December 14, 2022. The RFP has been updated to reflect these changes to the solicitation schedule.
2. Language regarding domestic iron or steel eligibility for non-New York economic benefits claims in Section 4.2 of the RFP has been removed in alignment with the Clean Energy Standard Orders.
3. Language has been added to Section 8.3.5 to clarify that Short-term economic benefits with defined dollar amounts can be included as Category 2 Short-Term Economic Benefits to New York State if they will directly benefit the host community but are not linked to the Bid Facility.
4. Language related to the Agricultural Co-Utilization Plan process has been updated in Appendix 2 and in the Definitions and Section 6.11 of the RES Standard Form Agreement ([Attachment A to RESRFP22-1](#)).



Purchase of New York Tier 1 Eligible  
Renewable Energy Certificates (RECs)  
Request for Proposals (RFP) No. RESRFP22-1  
RFP Release Date: September 21, 2022

**Step One Eligibility Applications Due:  
November 30, 2022, by 3:00 p.m. Eastern Time (ET)**  
**Step Two Bid Proposals Due:  
February 9, 2023, by 3:00 p.m. ET**

**NYSERDA SEEKS TO ACQUIRE APPROXIMATELY 4.5 MILLION NEW YORK TIER 1 ELIGIBLE  
RENEWABLE ENERGY CERTIFICATES ANNUALLY**

The New York State Energy Research and Development Authority (NYSERDA) seeks to procure approximately 4.5 million Tier 1 eligible Renewable Energy Certificates (RECs) from Bid Facilities that meet the eligibility requirements described in this Request for Proposals (RFP or RESRFP22-1).

RESRFP22-1 will be implemented through a two-step process, consisting of:

1. **Step One Eligibility Application:** A qualifying step through which the Proposer must provide evidence that the Bid Facility is Tier 1 eligible and other general information about the Proposer and the Bid Facility.
2. **Step Two Bid Proposal:** A competitive Bid Proposal step, through which NYSERDA will: (1) examine Bid Proposals to determine whether they demonstrate that the Bid Facility and Proposer meet the Minimum Threshold Requirements; and (2) for Bid Proposals that meet those Minimum Threshold Requirements, a competitive evaluation based on price and non-price factors.

Only those Proposers found eligible under Step One will be permitted to submit a Step Two Bid Proposal. Only those Proposals found to have met all Minimum Threshold Requirements will be evaluated under Step Two.

**Step One Eligibility Application:** Step One Eligibility Applications must be **received by NYSERDA by 3:00 p.m. ET on Wednesday, November 30, 2022 via electronic submission**. NYSERDA staff will be available to support Proposer inquiries regarding Step One Eligibility Applications prior to the deadline.

NYSERDA will open the [solicitation website](#) and the Step One Eligibility Application submission process on October 12, 2022 (see Section 1.3) following the Proposers' Webinar. Applications may be submitted electronically by following the link for electronic submissions found on [NYSERDA's Solicitations for Large-scale Renewables webpage](#)<sup>1</sup> or [NYSERDA's Current Funding Opportunities website](#),<sup>2</sup> located in the "Current Funding Opportunities" section of NYSERDA's website at that time.

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<sup>1</sup> <https://www.nyserdera.ny.gov/ces/rfp>

<sup>2</sup> <http://www.nyserdera.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>

NYSERDA intends to notify all prospective Proposers as to their eligibility status by Wednesday, December 14, 2022. Eligible Proposers will receive a Notice of Qualification and will be provided with detailed instructions for submitting a Step Two Bid Proposal.

**Step Two Bid Proposal:** Step Two Bid Proposals must be **received by NYSERDA by 3:00 p.m. ET on Thursday, February 9, 2023, via electronic submission.** Instructions for submitting electronically and the link for electronic submissions will be included in a Proposer's Notice of Qualification. Additional information regarding NYSERDA's Renewable Energy Solicitations can be found on [NYSERDA's Renewable Energy Solicitations Standard \(RES\) Tier 1 website](#).<sup>3</sup>

**NYSERDA recommends that Proposers set aside ample time, well in advance of each deadline, to gather the required information and documentation and to understand the requirements to complete the above processes. NYSERDA recommends that Proposers mark any commercially sensitive materials as "Confidential" or "Proprietary" in any submission made to NYSERDA pursuant to this RFP.**

Each Proposer has sole responsibility for reviewing this RFP and all attachments hereto and for investigating and informing itself with respect to all matters pertinent to this RFP, including the [NYGATS Operating Rules](#) and NYISO's Open Access Transmission Tariff (OATT) and market rules, or those of the control area into which the Bid Facility may interconnect. Each Proposer is solely responsible for informing itself regarding all transmission wheeling and scheduling provisions set forth in the OATT of relevance in any external control area, including Canada, the NYGATS rules as they apply to Tier 1 imports,<sup>4</sup> and the External Facility Electricity Delivery Requirements in the RES Standard Form Agreement.

**Prior to the opening of the [solicitation website](#) and the Step One Eligibility Application, all questions regarding RESRFP22-1 must be directed to [res@nyserda.ny.gov](mailto:res@nyserda.ny.gov).**

All general questions about this RFP may be submitted in writing via email to [res@nyserda.ny.gov](mailto:res@nyserda.ny.gov) or via the Q&A feature of the solicitation website.<sup>5</sup> Project-specific questions may be addressed to [res@nyserda.ny.gov](mailto:res@nyserda.ny.gov) or to the Messages feature on the solicitation website (preferred once registration is opened), which will be available following the Proposers' Webinar.

No communication intended to influence this procurement is permitted except by contacting the Designated Contacts. Questions about this solicitation should be directed to the RESRFP22-1 Designated Contacts: Abbey DeRocker, Bram Peterson, Marci Brunner, Brian Newton, Jeremy Wyble, Liz Hanna, Mac Farrell, Jenn Phelps, Georges Sassine, Thomas King, Alex Stein, and Nate Chumley. Contacting anyone other than the Designated Contacts (either directly by the Proposer or indirectly through a consultant or lobbyist or other person acting on the Proposer's behalf) to influence the procurement: (1) may result in a Proposer being deemed a non-responsible offeror, and (2) may result in the Proposer not receiving an award.

Proposers should rely only on information provided in this RFP and any associated written updates posted on [NYSERDA's Renewable Energy Standard website](#) and the [solicitation website](#) when preparing

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<sup>3</sup> <https://www.nyserda.ny.gov/ces/rfp>

<sup>4</sup> See Section 11 of the [NYGATS Operating Rules](#).

<sup>5</sup> The Q&A page is intended for general questions which are suitable for public review.

Proposals. Each Proposer shall be solely responsible for and shall bear all costs incurred in the preparation of its Proposal and/or participation in this RFP.

Incomplete submittals will be subject to disqualification. It is the Proposer's responsibility to ensure that all required forms and attachments have been completed and submitted. Late Step One Eligibility Applications and Step Two Bid Proposals will not be accepted and those lacking a completed and signed Step Two Bid Proposal form may be returned. Faxed, mailed, or e-mailed packages will not be accepted.<sup>6</sup> RFP responses will not be accepted by hand delivery at any NYSERDA location.

If changes are made to this solicitation, notification will be posted on [NYSERDA's Renewable Energy Standard website](#), the [solicitation website](#) under the Announcements tab, and provided to those that provide their email address to NYSERDA via the [solicitation website](#) or [NYSERDA's Large-Scale Renewables Email List Sign-Up Page](#).<sup>7</sup>

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<sup>6</sup> Unless otherwise agreed to by NYSERDA. Contact a Designated Contact for more information if needed.

<sup>7</sup> <https://www.nysERDA.ny.gov/all-programs/clean-energy-standard/renewable-generators-and-developers/large-scale-renewables-email-list>

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## ACRONYMS AND DEFINITIONS

**94-c** – Section 94-c of the New York State Executive Law, which consolidates the environmental review and permitting of major renewable energy facilities in New York State under the Office of Renewable Energy Siting (ORES).

**Active Agricultural Production** – Total amount of Cultivated Crops, Hay Land and Pasture on the Facility Area as assessed using the two most recent available updates to the National Land Cover Database (NLCD) datasets (e.g., 2022 if available, 2019, 2016).

**Actual Annual Eligible Production** – The amount, in MWh, of the Actual Eligible Production that the Bid Facility produces during a Contract Year.

**Actual Eligible Production** – For new Bid Facilities, equal to the Actual Production. For Upgrade Bid Facilities, the product of (a) the Actual Production, multiplied by (b) the Incremental Upgrade Percentage. For Repowering Bid Facilities, the product of (a) the Actual Production multiplied by (b) the Tier-1 Percentage for the applicable period.

**Actual Production** – The amount, in MWh, of the total electric energy production from the Bid Facility during any period within the Contract Delivery Term, in MWh delivered to the Injection Point.,

**AGM** – New York State Department of Agriculture and Markets.

**Agreement** – RES Standard Form Agreement, provided as Attachment A, including Exhibits A – H if applicable.

**Agricultural Mitigation Payment** – Calculated payment that may be required from the Proposer to a designated fund if the Bid Facility overlaps with mineral soil groups (MSG classifications 1-4). Payment amounts may be adjusted and/or deferred pending co-agricultural opportunities and based on the final site configuration (reduced or expanded Facility Area acreage).

**Authority Having Jurisdiction (AHJ)** – The town(s) or city(ies) within which the Bid Facility is located.

**Annual REC Cap** – The maximum number of RECs that NYSERDA is obligated to purchase from Seller in any Contract Year as defined in the Agreement.

**Applicable REC Price Method** – The method employed by NYSERDA in each month for determining the Monthly REC Price as determined in Article IV of the Agreement.

**Applicable Zone** – The NYISO load zone that includes the Delivery Point.

**Award Notification Date** – The date upon which NYSERDA provides written confirmation to a Proposer indicating that a Bid Facility has been selected for contract negotiations.

**Bid Capacity** – Equal to (i) the Nameplate Capacity of the Bid Facility as bid to NYSERDA multiplied by (ii) the Bid Quantity Percentage. For Upgrade Bid Facilities, also multiplied by (iii) the Incremental Upgrade Percentage. For Repowering Bid Facilities, also multiplied by (iii) the Tier 1 Percentage.

**Bid Facility** – An electric generating station that has been submitted by the Proposer for consideration in response to this RFP.

**Bid Price** – The price per REC offered by Proposer, offered either as a Fixed REC Price or an Index REC Price.

**Bid Proposal** – An offer to sell a Bid Quantity of RECs from a Bid Facility at a proposed Price Structure and Contract Tenor.

**Bid Quantity** – The annual quantity of RECs that the Proposer proposes to deliver under an Agreement with NYSERDA.

**Bid Quantity Percentage** – The percentage of the Bid Facility's Actual Annual Eligible Production that will be committed by the Proposer to performance under the Bid Proposal. The Bid Quantity Percentage must be at least 50% and may not exceed 100% of the Annual Production and will be applied to Annual Production in any period during the Contract Delivery Term to establish compliance with contract requirements.

**Benchmark LNRC** – The confidential maximum price levels for the Fixed REC and Index REC offers that NYSERDA will employ in its determination of potential award(s).

**CES** – Clean Energy Standard.

**Climate Act** – Climate Leadership and Community Protection Act.

**Climate Justice Working Group (CJWG)** – An advisory group in the Climate Action Council process, responsible for providing strategic advice for incorporating the needs of Disadvantaged Communities.

**Commercial Operation** – A state of operational readiness under which (i) generating capacity is available and physically producing electric energy and associated Tier-1 RECs, and (ii) all rights, abilities, permits and approvals to schedule and deliver energy to the Injection Point have been obtained.

**COMD** – Commercial Operation Milestone Date.

**Commercial Timber Harvest** – The cutting or removal, or both, of timber or other solid wood Forest products for a commercial purpose.

**Committed Upgrades** – Elective upgrades or improvements to the local electrical transmission / infrastructure system, the scope and cost of which have been confirmed by a completed Facilities Study that has been approved by the interconnecting utility.

**Construction Activities** – The physical activities associated with the construction of any on-site structure or civil site works including, but not limited to, the clearing, grubbing, grading, staging, installation, erection and placement of the Bid Facility, Energy Storage Component and electrical interconnection, as well as start-up and commissioning of the Bid Facility.

**Contract Delivery Term** – The period of performance under the Agreement. The Contract Delivery Term commences on the first day of the month after the Bid Facility commences Commercial Operation. For Bid Facilities in Commercial Operation as of the Award Notification Date, the Contract Delivery Term

shall commence on the first day of the month after the Effective Date of the Agreement. The Contract Delivery Term shall extend for the term of the Contract Tenor.

**Contract Tenor** – The duration, in years, of the Contract Delivery Term.

**Contract Year** – A 12-month period commencing with the beginning of the Contract Delivery Term and each anniversary thereof during the Contract Delivery Term. The phrase “Contract Year” followed by a number shall refer to a discrete Contract Year within the Contract Delivery Term such that “Contract Year 1” refers to the first 12-month period commencing with the beginning of the Contract Delivery Term, “Contract Year 2” refers to the second such 12-month period, and so on.

**Cultivated Crops** – Land used for raising crops as assessed using the two most recent available updates to the National Land Cover Database (NLCD) datasets (e.g., 2022 if available, 2019, 2016).

**Delivery Point** – For Bid Facilities that inject energy directly into the New York Control Area, the generator bus or location where (a) the administrator of the wholesale power market, or (b) the operator of the transmission/distribution utility, public authority or municipal electric company, measures, or otherwise determines, energy production from the Project. For Projects that inject energy outside of the New York Control Area, the generator bus or location where the NYISO measures energy delivery from the Project into the New York Control Area.

**Disadvantaged Communities** – The Climate Act directs the [Climate Justice Working Group](#) (CJWG) to establish criteria for identifying Disadvantaged Communities. On March 9, 2022, [a draft set of Disadvantaged Communities criteria established by the CJWG was released for public input](#). The Disadvantaged Communities criteria is expected to be finalized in Fall 2022; until then, New York State has specified interim criteria for Disadvantaged Communities, which includes two types of communities, those: (i) located within census block groups that meet the U.S. Housing and Urban Development (HUD) 50% area median income (AMI) threshold of the top quartile of census block groups in New York, ranked by the percentage of low and moderate income (LMI) households, defined as households with annual incomes at or below 50% of the AMI of the county or metro area where the census block group resides, that are also located within the [DEC Potential Environmental Justice Areas](#); or (ii) located within [New York State Opportunity Zones](#). See <https://www.nyserda.ny.gov/ny/disadvantaged-communities> for more information including updates and links to GIS maps. Projects proposed prior to the finalization of the Disadvantaged Communities criteria shall reference the interim criteria when considering impacts to these communities. NYSERDA will provide updates on the status of the Disadvantaged Communities criteria, including when the final Disadvantaged Communities criteria will be adopted.

**Disadvantaged Community Commitments** – Shall be those commitments contained in the Seller’s Bid Proposal and described in Section 6.10 of the Agreement.

**Energy Deliverability Study** – A study provided by the Proposer to substantiate that the Bid Facility is interconnecting at point of interconnection with sufficient capability to deliver the project’s Bid Quantity without adverse impacts to deliverability and incremental curtailment to other large-scale renewable projects operating or under development and under contract with NYSERDA.

**Energy Storage Component** – A commercially available resource capable of receiving electric energy and storing that energy or a portion of that energy for later injection of electricity to the grid regardless of where the resource is located on the electrical system. The Energy Storage Component must be

constructed and operated in accordance with Article VI and Article IX of the [NYSERDA Bulk Storage Incentive Program Manual](#) (Exhibit F to the Agreement).

**Environmental Attributes** – All environmental characteristics, claims, credits, benefits, emissions reductions, offsets, allowances, allocations, howsoever characterized, denominated, measured or entitled, attributable to the generation of Actual Production by a Bid Facility, consistent with the delineation of attributes set forth in the Agreement

**EO 16** – Executive Order No. 16, Prohibiting State Agencies and Authorities from Contracting with Businesses Conducting Business in Russia, issued and effective March 17, 2022.

**Expected Dollars/MW** – The total dollar amount of Incremental Economic Benefits per MW of Bid Capacity, as presented in the Bid Proposal and accepted by NYSERDA, expected to accrue to New York as a result of the development, construction, modification, and operation of the Bid Facility from the RESRFP22-1 Release Date through the end of the first three Contract Years.

**Expected MWBE and SDVOB Dollars/MW** – The total dollar amount per MW of Bid Capacity expected to accrue specifically to New York State Certified Minority or Women-Owned Business Enterprises (MWBE) and Service-Disabled Veteran-Owned Businesses (SDVOB). MWBE businesses must be [certified by the Division of MWBE](#) and SDVOB businesses must be [certified by NYS Office of General Services](#).

**Expected U.S. Iron and Steel Dollars/MW** – The total dollar amount per MW of Bid Capacity associated with expenditures for iron and steel components of the Bid Facility manufactured in the United States using iron and steel from steel mills located in the United States.

**Facility Area** – All land occupied during the commercial operation of the generation facility, the associated interconnection equipment and, if applicable, energy storage equipment as verified through the Operational Certification process. Generally, this will include all areas within the facility's perimeter security fence(s) and the applicable facility related improvements outside of fenced areas. The Facility Area shall include the area "inside the fence" of the project including all fencing inclosing the mechanical equipment such as the solar arrays, inverters, location of any combiner boxes, fuses, switches, meters, distribution boards, monitoring systems such as Balance of Systems components, interconnection equipment, and stormwater controls. The Facility Area shall additionally include improvements of the project "outside of the fence" including access roads, parking areas, stormwater controls and other permanent facilities, or structures installed at the Facility Area, except vegetative landscape screenings or appropriately buried utilities such as electrical conductors or conduit(s).

**FEAF** – Full Environmental Assessment Form

**Fixed REC Price** – A fixed, as-bid price in dollars per REC as described in Section 4.02 of the Agreement.

**FOIL** – New York's Freedom of Information Law, Public Officers' Law Article 6.

**Forest** – Areas dominated by trees generally taller than five meters tall, and greater than 20% of total vegetation cover.

**Hay Land** – Land where grass was grown to be made into hay as assessed using the two most recent available updates to the National Land Cover Database (NLCD) datasets (e.g., 2022 if available, 2019, 2016).

**Host Community Benefit Program** – A Program providing benefits to utility customers in Host Communities in which future Major Renewable Energy Facilities are located.

**Incremental Economic Benefits** – Those economic benefits within the categories specified in Section 4.2 that a Proposer can demonstrate: (1) will accrue subsequent to an award under this RFP, and (2) would not have accrued but for the award of a contract under this RFP.

**Incremental Upgrade Percentage** – For Upgrade Bid Facilities, the percentage of the Actual Production that is Tier-1 eligible resulting from the Upgrade as initially established through the NYGATS Provisional Statement of Qualification process, and as may be updated through the submission of engineering documentation during the Statement of Qualification and Operational Certification processes, in accordance with NYSERDA’s New York State Clean Energy Standard RES Tier-1 Certification Submission Instructions and Eligibility Guidelines.

**Index REC Price** – An adjustable price in dollars per REC that nets the Index REC Strike Price monthly against a reference price expressed in a market index pursuant to Section 4.01 of the Agreement.

**Index REC Strike Price** – The fixed as-bid price in dollars per REC as described in Section 4.01 of the Agreement.

**Injection Point** – For Bid Facilities that interconnect directly into the New York Control Area, the Injection Point is the Delivery Point. For Bid Facilities that interconnect outside of the NYCA, the Injection Point shall be the generator bus or the location where the administrator of the local Control Area measures energy delivery from the Bid Facility into the local market.

**Installed Capacity** – Equal to (i) the Nameplate Capacity of a Bid Facility that receives an SoQ and achieves Commercial Operation multiplied by (ii) the Bid Quantity Percentage. For Upgrade Bid Facilities, also multiplied by (iii) the Incremental Upgrade Percentage. For Repowering Bid Facilities, also multiplied by (iii) the Tier 1 Percentage.

**Levelized Net REC Cost (LNRC)** – A means of comparing Proposals with different Bid Prices, Bid Quantities, and Commercial Operation Dates, as described in Section 5.4.

**Long-Term Jobs** – Jobs lasting three or more years.

**LSE** – Load-serving entity

**Major Renewable Energy System** – Any renewable energy system with a nameplate generating capacity of twenty-five thousand kilowatts or more, and any co-located system storing energy generated from such a renewable energy system prior to delivering it to the bulk transmission system, including all associated appurtenances to electric plants as defined under Section 2 of the New York State Public Service Law, including electric transmission facilities less than ten (10) miles in length in order to provide access to load and to integrate such facilities into the state’s bulk electrical transmission system.

**Mature Forest** – Forest and area containing trees with greater than 12-inch average diameter at breast height, not including individual standalone trees outside a Forested area or hedgerows.

**MW or MWac** – A megawatt of alternating current electric energy generating capacity.

**MWdc** – A megawatt of direct current electric energy generating capacity.

**MWh** – A megawatt-hour of electric energy.

**Mineral Soil Groups (MSG) 1-4** – To establish a uniform statewide land classification system the Department of Agriculture and Markets uses differences in soil productivity and capability as the common denominator in classifying all New York State farmland. A soil rating methodology has been developed based primarily on differences in the inherent ability of soils to support crop production. A map of MSG 1-4 is available on [NYSERDA's Solicitations for Large-scale Renewables webpage](#).

**Mitigation Fund Payment (Mitigation Payment)** – The Mitigation Fund Payment acts as the estimated benchmark that the Proposer would expect to pay based on the proposed site configuration (Facility Area), knowledge of on-site conditions and before any other action to decrease this payment amount. Payment amounts may be adjusted through consultations with the New York State Department of Agriculture and Markets (AGM) regarding co-agricultural opportunities, and based on the final site configuration (reduced or expanded facility occupied acreage).

**Monthly REC Price** – A price in dollars per REC determined by NYSERDA for each month of the Contract Delivery Term. If the Applicable REC Price Method is the Index REC Price, the Monthly REC Price shall be calculated pursuant to Section 4.01 of the Agreement. If the Applicable REC Price Method is the Fixed REC Price, the Monthly REC Price shall be calculated pursuant to Section 4.02 of the Agreement.

**Nameplate Capacity** – The gross generating capacity of the entire Bid Facility in MW. For Upgrade and Repowering Bid Facilities, this value represents the gross generating capacity of the entire Bid Facility after completion of the Upgrade or Repowering.

**New Storage Technologies** – Nonelectrical battery energy storage facilities such as electrolytic hydrogen or experimental energy storage technologies. These are differentiated from energy storage components in that they are not constructed and operated in accordance with Article VI and Article IX of the [NYSERDA Bulk Storage Incentive Program Manual](#) (Exhibit F to the Agreement).

**New York Control Area (NYCA)** – The control area that is under the control of the NYISO, which includes transmission facilities listed in the ISO/Transmission Owner Agreement Appendices A-1 and A-2, as may be amended from time to time.

**New York Generation Attribute Tracking System (NYGATS)** – The tracking system that records electricity generation attribute information within New York State, and processes generation attribute information from energy imported and consumed within New York State, as a basis for creating generation attribute certificates, including Tier 1 RECs. NYGATS will create exactly one Tier 1 REC per MWh of RES eligible generation.

**NYGATS Forward Certificate Transfer** – An automated monthly transfer of Tier 1 RECs to NYSERDA as described in Section 9.3 of the [NYGATS Operating Rules](#).

**New York Independent System Operator (NYISO)** – Administrator of the wholesale power markets in New York and manages the physical electrical operations of the NYCA.

**NYSERDA Consultants** – Consultants engaged by NYSERDA to assist with the evaluation of Bid Proposals.

**OATT** – NYISO’s Open Access Transmission Tariff.

**Operating Rules** – The NYGATS Operating Rules, the General Terms of Use and other guidelines posted to the NYGATS website at: <https://www.nyserda.ny.gov/All-Programs/nygats/registration-documents>.

**Orders** – August 1, 2016 CES Framework Order (Case No. 15-E-0302, Proceeding on Motion of the Commission to Implement a Large-Scale Renewable Program and a Clean Energy Standard, “Order Adopting a Clean Energy Standard,” issued and effective August 1, 2016), January 16, 2020 Tier 1 Modification Order (Case No. 15-E-0302, Proceeding on Motion of the Commission to Implement a Large-Scale Renewable Program and a Clean Energy Standard, “Order Modifying Tier 1 Renewable Procurements,” issued and effective January 16, 2020), October 15, 2020 CES Modification Order (Case No. 15-E-0302, Proceeding on Motion of the Commission to Implement a Large-Scale Renewable Program and a Clean Energy Standard, “Order Adopting Modifications to the Clean Energy Standard,” issued and effective October 15, 2020) and January 20, 2022 PGS Order (Case No. 15-E-0302, Proceeding on Motion of the Commission to Implement a Large-Scale Renewable Program and a Clean Energy Standard, “[Order on Power Grid Study Recommendations](#),” issued and effective January 20, 2022).

**ORES** – New York State Office of Renewable Energy Siting, website is <https://ores.ny.gov/> and the regulations can be found at <https://ores.ny.gov/regulations>.

**Quantity Obligation** – For any period during the Contract Delivery Term, the number of MWh calculated as the Bid Quantity Percentage multiplied by the Actual Production.

**Pasture** – Land where animals fed on the grass as assessed using the two most recent available updates to the National Land Cover Database (NLCD) datasets (e.g., 2022 if available, 2019, 2016).

**Plantation** – Forested areas artificially established by seeding or planting. The trees usually belong to the same specie (whether native or introduced), have the same age and are regularly spaced.

**Prevailing Wage** – Shall have the meaning set forth at and shall be interpreted in accordance with Section 18.10 of the Agreement.

**Price Structure** – Either a Fixed REC or Index REC price.

**Proposer** – The business entity that submits a Bid Proposal in response to this RFP.

**PSoQ** – NYGATS Provisional Statement of Qualification.

**Reference Capacity Price** – An index of NYISO Capacity Market prices as set forth in Section 4.01 of the Agreement.

**Reference Energy Price** – An index of zonal NYISO Energy Market prices as set forth in Section 4.01 of the Agreement.

**Renewable Energy Certificate (REC)** – The electronic record of generation data created by NYGATS and representing all of the attributes, including all Environmental Attributes, of one MWh of electric generation from a Renewable Energy System delivered into the New York Control Area and registered with the NYGATS tracking system. The attributes represented in each REC include all environmental characteristics, claims, credits, benefits, emissions reductions, offsets, allowances, allocations,



howsoever characterized, denominated, measured or entitled, attributable to the generation of Actual Eligible Production by a Project, including but not limited to: (i) any direct emissions or any avoided emissions of pollutants to the air, soil or water including but not limited to sulfur oxides (Sox), nitrogen oxides (Nox), carbon monoxide (CO), particulate matter and other pollutants; (ii) any direct or avoided emissions of carbon dioxide (CO<sub>2</sub>), methane (CH<sub>4</sub>) and other greenhouse gases (GHGs) that have been or may be determined by the United Nations Intergovernmental Panel on Climate Change to contribute to the actual or potential threat of altering the Earth's climate by trapping heat in the atmosphere; (iii) all set-aside allowances and/or allocations from emissions trading programs made unnecessary for compliance in such program as a result of performance under the Agreement, including but not limited to allocations available under 6 NYCRR §§ 204, 237 and 238; and (iv) all credits, certificates, registrations, recordations, or other memorializations of whatever type or sort, representing any of the above.

**Renewable Energy System** – As defined in the Climate Act, and for purposes of this RFP, a system that generates electricity through use of the following technologies: solar thermal, photovoltaics, on land and offshore wind, hydroelectric, geothermal electric, geothermal ground source heat, tidal energy, wave energy, ocean thermal, and fuel cells which do not utilize a fossil fuel resource in the process of generating electricity.

**Repowering** – The investments made to the existing Bid Facility associated with the improvements that meet the repowering requirements of the 2020 CES Order (as may be amended by the PSC), as proposed by Seller in the Application for Qualification and Bid Proposal in response to RESRFP22-1 and determined through the Statement of Qualification and the Operational Certification process.

**Seller** – A Proposer selected by NYSERDA who has executed an Agreement to sell Tier 1 RECs to NYSERDA pursuant to this RFP.

**SEQR** – New York State Environmental Quality Review Act.

**Short-Term Jobs** – Jobs lasting less than three years.

**SoQ** – NYGATS Statement of Qualification.

**Summer Capability Period** – The period commencing May 1 through October 31 of each year.

**Technical Evaluation Panel (TEP)** – Members of NYSERDA Staff, New York State Department of Public Service Staff, and competitively-selected Independent Evaluators (outside reviewers who possess proficiency in the evaluation of energy generation projects) responsible for evaluating Bid Proposals received through this RFP.

**Tier 1 Percentage** – For Repowering Bid Facilities, the quantity of generation from the Bid Facility, expressed as a percentage associated with specific date ranges, that meets the Repowering requirements of the CES Modification Order, as may be amended by the PSC.

**UCAP Production Factor (UPF)** – The UCAP Production Factor multiplied by the Bid Facility's installed capacity is a proxy for the NYISO UCAP in MW. The UCAP Production Factor will be specified separately for a Winter Capability Period (November through April) and a Summer Capability Period (May through October). These fixed seasonal UCAP Production Factors will be utilized for the duration of the contract

tenor. Proposers are encouraged to consider current guidance from the NYISO's [Installed Capacity Manual](#). Proposers are permitted to select any UCAP Production Factor value between 0 and 1.

**Upgrade** – The investments made to the existing Bid Facility associated with the improvements that cause an increase in renewable generation incremental to a historical baseline level of generation by the Bid Facility, as proposed by Seller in the Application for Qualification and Bid Proposal in response to RESRFP22-1 and determined through the Statement of Qualification and the Operational Certification process.

**Winter Capability Period** – The period commencing November 1 of each year through April 30 of the following year.

## NEW ITEMS & IMPORTANT NOTES

### 1. Commercial Operation Milestone Date

The initial Commercial Operation Milestone Date (COMD) for RESRFP22-1, the date by which Bid Facilities must enter commercial operation, is May 31, 2025, which may be extended through May 31, 2028.

### 2. Solicitation Target and Resource Mix

Per the CES Modification Order, NYSEDA is authorized to procure approximately 4.5 million Tier 1 RECs annually through 2026, and therefore has set a non-binding procurement target of 4.5 million Tier 1 RECs for RESRFP22-1. The RESRFP22-1 non-binding procurement target is intended to be comprised of a diverse resource mix that will complement the existing fleet of operating renewable energy generators in New York and the portfolio of under development large-scale renewable energy projects contracted by NYSEDA, with the goal of maintaining a pipeline of large-scale renewable projects that will support the goal to achieve a 70% renewable electric grid by 2030. Proposers are encouraged to review past and recent reports and Orders that detail the resource mix that will best enable to New York to achieve a 70% renewable electric grid by 2030, including the [CES White Paper Appendix](#),<sup>8</sup> the [Draft Climate Action Council Scoping Plan](#)<sup>9</sup> (see [Appendix G. Integration Analysis Technical Supplement](#)),<sup>10</sup> and the most recent draft [NYISO System & Resource Outlook Report](#).<sup>11</sup>

### 3. New Legal and Contractual Requirements

For RESRFP22-1, Proposers must adhere to several new legal and contractual requirements, including:

- Executing a certification in compliance with EO 16 (See Section 11.11);
- Sourcing a certain portion of steel for the Bid Facility from domestic sources based on the Nameplate Capacity of the facility (see Section 2.5.4);
- Paying prevailing wage, or executing a Project Labor Agreement, for the construction of the Bid Facility, pursuant to recently enacted Labor Law § 224-d (see Sections 2.5.1 and 2.5.2);
- Entering into a Labor Peace Agreement under certain circumstances for the operations and maintenance of the Bid Facility, pursuant to recently enacted Public Service Law § 66-p (see Section 2.5.3); and
- For solar PV Bid Facilities, signing the Solar Energy Industries Association (SEIA) Forced Labor Prevention Pledge and evidence this commitment as part of the Step Two Bid Proposal.

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<sup>8</sup> <https://documents.dps.ny.gov/public/Common/ViewDoc.aspx?DocRefId={DCA9763C-D2DA-4FD1-9801-D859E7ED8FE3}>

<sup>9</sup> <https://climate.ny.gov/Our-Climate-Act/Draft-Scoping-Plan>

<sup>10</sup> <https://climate.ny.gov/-/media/Project/Climate/Files/Draft-Scoping-Plan-Appendix-G-Integration-Analysis-Technical-Supplement.pdf>

<sup>11</sup> [https://www.nyiso.com/documents/20142/32663964/2021-2040\\_System\\_Resource\\_Outlook\\_Report\\_DRAFT\\_v15\\_ESPWG\\_Clean.pdf/99fb4cbf-ed93-f32e-9acf-ecb6a0cf4841](https://www.nyiso.com/documents/20142/32663964/2021-2040_System_Resource_Outlook_Report_DRAFT_v15_ESPWG_Clean.pdf/99fb4cbf-ed93-f32e-9acf-ecb6a0cf4841). Additional information on the System & Resource Outlook, including more recent drafts if available, can be found in the [meeting materials for the NYISO Electric System Planning Working Group](https://www.nyiso.com/espwg) (<https://www.nyiso.com/espwg>).

#### **4. Minimum Threshold Requirements & Non-Price Evaluation**

The Step Two Bid Proposal Minimum Threshold Requirements include updated requirements for the Interconnection, Energy Deliverability, and Permitting subcategories, and the new Agricultural Land subcategories. See Sections 4.1 and 8.3.4 for requirement-specific details. Additionally, several Minimum Threshold Requirement subcategories that were previously used for evaluation will now serve only as eligibility requirements- see Section 4.1 and Table 6 for additional detail.

#### **5. Energy Deliverability Study Requirement**

All Proposers will be required to provide as part of the Step Two Bid Proposal an Energy Deliverability Study that aligns the requirements set forth in Appendix 5 to RESRFP22-1 unless the Proposer can evidence to NYSERDA's satisfaction that the Bid Facility, at the point of interconnection depicted by the Proposer, will not pose deliverability constraints or incremental curtailment to the existing operating large-scale renewable projects in New York or the development pipeline of large-scale renewable projects under contract with NYSERDA. The requirement for each Bid Facility will be clearly detailed in the Notice of Qualification sent to eligible Proposers following the review of Step One Eligibility Applications, however Proposers are encouraged to reach out to NYSERDA (via [res@nyserdera.ny.gov](mailto:res@nyserdera.ny.gov) or the [solicitation website](#)) as soon as feasible to confirm if the subject Bid Facility will be required to provide an Energy Deliverability Study as part of the Step Two Bid Proposal.

#### **6. On-Site Wetlands Screening Requirement**

All Bid Facilities that have not yet received a final wetlands jurisdictional determination of the Bid Facility's planned Facility Area will be required to have conducted an on-site wetlands screening as described in Appendix 3 to RESRFP22-1. The wetlands and waterbodies screening will be required to employ desktop and field effort screenings, with the field effort serving as a field-verified approximation of the wetlands and waterbodies identified via the desktop screening. See Appendix 3. NYSERDA Guidance for Wetland and Stream Screenings for Large-Scale Renewable Energy Projects for the full requirements of the screening, which will be required at the time of the Step Two Bid Proposal submission.

#### **7. Agricultural Land Requirements**

NYSERDA adopted an approach starting under the RESRFP20-1 solicitation to address concerns relating to solar development on, and the protection of, agricultural lands in Agricultural Districts. Under this approach, awardees may be responsible for making an agricultural mitigation payment to a designated fund based on the extent to which the solar project footprint overlaps with Mineral Soil Groups (MSG) classifications 1-4. For the RESRFP22-1 solicitation, Proposers may indicate their intent to defer this payment to the extent that the Seller elects to adopt agricultural co-utilization measures in their Step Two Bid Proposal. Proposers are advised to reference Section 4.1 of the RFP, Section 6.11 of the Agreement, Appendix 2. Permitting Plan Requirements and Guidelines, and Appendix 4. RESRFP22-1 Smart Solar Siting Scorecard to understand the approach in full and assess the applicability of a potential Agricultural Mitigation Fund Payment to their Bid Facility(ies). As in previous solicitations, in addition to a potential Mitigation Fund Payment, all solar awardees are to adopt and employ the provisions of the [Guidelines for Solar Energy Projects - Construction Mitigation for Agricultural Lands](#) document (see Exhibit E to the Agreement).

## **8. Optional Alternate Inflation Risk Adjusted Bid Proposal**

Under RESRFP22-1, Proposers may elect to submit a new Alternate Step Two Bid Proposal type (in addition to previously permitted Alternate Bid Proposals which allow for Bid Proposals with varying Nameplate Capacity and/or Bid Proposals with and without an Energy Storage facility). Under RESRFP22-1, Proposers may elect to submit an Inflation Risk Adjusted Bid Proposal. This Alternate Bid Proposal implements a price structure mechanism where the Index REC Strike Price or Fixed REC Price would be subject to a one-time adjustment to reflect changes to a pre-determined price index subsequent to the Step Two Bid Proposal deadline. Additional details on this adjustment mechanism are provided in Sections 2.4.4 and 5.2.2 of RESRFP22-1 and in Section 5.03 of the Agreement. Proposals that include this adjustment will be evaluated using a price adder reflecting NYSERDA's inflation expectation as further described in Section 5.5.

## **9. Economic Benefits to New York State**

Proposers are strongly encouraged to explore innovative ways in which short- and long-term economic benefits can be provided to New York State. The Inflation Reduction Act of 2022 has provided tremendous opportunities for renewable energy growth and Proposers are asked to utilize this monumental investment in the clean energy transition to their creative advantage, in particular relative to New York State job creation, manufacturing, and economic growth opportunities. Economic benefits evaluation under this solicitation will include all eligible expenditures beginning from the RFP Release Date (see Section 8.3.5), which maintains the categories of eligible economic benefits claims utilized in RESRFP21-1 with several clarifications. Proposers are also encouraged to familiarize themselves with the updated requirements and guidance related to directing incremental economic benefits to Disadvantaged Communities. NYSERDA will more favorably evaluate economic benefits to New York State that will be realized in part or in full by Disadvantaged Communities as part of the development of the Bid Facility. Under RESRFP22-1, incremental economic benefits to New York State that will be realized in part or in full by MWBE and SDVOB will be more favorably evaluated. Benefits afforded to Disadvantaged Communities, MWBE, and SDVOB that are committed to as part of the Step Two Bid Proposal will be treated as a separate category of incremental economic benefits in the Agreement.

## **10. RES Standard Form Agreement**

The RES Standard Form Agreement (the "Agreement") associated with RESRFP22-1 is published as Attachment A to this solicitation. The Agreement is a legally binding document; Proposers are advised to consult with an attorney, and all Proposers should familiarize themselves with the structure, terms and conditions of the Agreement prior to participating.

# 1 INTRODUCTION

## 1.1 The New York Clean Energy Standard and Renewable Energy Standard

On July 6, 2015, the New York State Energy Planning Board issued the 2015 State Energy Plan (SEP)<sup>12</sup> which stated the goal to achieve 50% of the State's electricity generated from renewable resources by 2030 (50x30 goal).

The Public Service Commission's (PSC) [Order Adopting the Clean Energy Standard](#) (CES Framework Order) issued on August 1, 2016, along with additional orders and implementation plans issued under Case 15-E-0302, Proceeding on Motion of the Commission to Implement a Large-Scale Renewable Program and a Clean Energy Standard (Orders), established the Renewable Energy Standard (RES) as the State's principal means of achieving the 50x30 goal. A component of the RES consists of a Tier 1 obligation on load serving entities (LSE) to procure Renewable Energy Certificates (RECs)<sup>13</sup> associated with new renewable energy resources.

In furtherance of the Orders and targets established in the CES, on July 18, 2019, New York State adopted the Climate Leadership and Community Protection Act (Climate Act), which includes the goal for New York State to achieve 70% renewable energy generation by 2030, incremental to reducing 100% of the electricity sector's greenhouse gas emissions by 2040, among other clean energy targets.<sup>14</sup>

RES Tier 1 procurements were further amended on January 16, 2020 by the [Order Modifying Tier 1 Renewable Procurements](#) (Tier 1 Modification Order) ,whereby the PSC directed NYSERDA to offer bidders an Index REC price option in future RES solicitations, beginning with RESRFP20-1.

The Accelerated Renewables Act became law on April 2, 2020, and made major changes in the forum and permitting process for large-scale renewable projects. Specifically, the bill established a new renewable siting structure to be managed by a new office within the Department of State.<sup>15</sup>

On October 15, 2020, the PSC issued its [Order Adopting Modifications to the Clean Energy Standard](#) (CES Modification Order) in Case 15-E-0302. In the CES Modification Order, the PSC adopted several modifications to the CES to align it with the Climate Act mandates. Modifications affecting Tier 1 solicitations include setting annual procurement targets to achieve the 70 by 30 target, allowing rejection of projects that are not presently viable, combining of the Project Viability and Operational Flexibility and Peak Coincidence evaluation factors, approving the development of portfolio risk factors, and clarifying the CES delivery requirements.

On January 20, 2022, the PSC issued its [Order on Power Grid Study Recommendations](#) (PGS Order) in Case Nos. 20-E-0197, 18-E-0071, and 15-E-0302. The PGS Order concurs with the Power Grid Study finding that energy storage on Long Island and New York City will play an important role in integrating

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<sup>12</sup> 2015 New York State Energy Plan is available from <http://energyplan.ny.gov/>

<sup>13</sup> While the PSC's August 1, 2016 Order references renewable energy "credits," NYGATS creates renewable energy certificates, and therefore that term is used in this RFP. The NYGATS certificates are created in one MWh denominations and are in all other ways consistent with the Order.

<sup>14</sup> [New York State Senate Bill S6599](https://www.nysenate.gov/legislation/bills/2019/s6599), <https://www.nysenate.gov/legislation/bills/2019/s6599>

<sup>15</sup> [New York State Announces Passage of Accelerated Renewable Energy Growth and Community Benefit Act as Part of 2020-2021 Enacted State Budget](#)

offshore wind generation. The coordinated planning process undertaken in the Power Grid Study proceeding will allow the PSC to anticipate system needs and respond to them in a timely manner, including implementation of local transmission upgrades and invocation of the NYISO's Order 1000 process where bulk solutions are necessary.

On September 9, 2021, the PSC addressed the Utilities' proposed policy recommendations in its Order on Local Transmission and Distribution Planning Process and Phase 2 Project Proposals (Phase 2 Order).<sup>16</sup> Among other things, the Phase 2 Order found the Utilities' proposed investment criteria required certain modifications, and directed additional work to develop a coordinated grid planning process (which includes a revised benefit cost analysis framework, enhanced stakeholder engagement and a participant funding agreement to share CLCPA project costs across the state on a volumetric load ratio share basis). In addition, the Phase 2 Order adopted the Department of Public Service Staff's (Staff) recommended modifications to the calculation of headroom and directed the investor-owned utilities to provide updated headroom data to stakeholders.

The Orders authorize NYSERDA, as central procurement administrator, to offer long-term contracts to generators for the purchase of Tier 1-eligible RECs, in the form of Tier 1 NYGATS certificates. Pursuant to the Orders, NYSERDA seeks to accomplish the RES objective by contracting with suppliers, through a series of competitive RFPs, for only the RES Tier 1 RECs created by eligible generation resources.<sup>17</sup> For the avoidance of doubt, NYSERDA seeks to acquire Tier 1-eligible RECs only, and will not have any claim to associated energy, capacity, or ancillary services associated with the RECs.<sup>18</sup>

The RECs generated from the Bid Facility offered to NYSERDA through this RFP, up to the Annual REC Cap (defined in the Agreement), may not be contractually committed to any other entity over the Contract Tenor. Awardees will retain ownership and all rights to RECs generated that exceed the Annual REC Cap.

The CES/RES Orders can be accessed from the [NYS Public Service Commission's website](#).<sup>19</sup> All Proposers are strongly advised to review the Orders before participating in this RFP. Information regarding

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<sup>16</sup> LT&D Planning Proceeding, Order on Local Transmission and Distribution Planning Process and Phase 2 Project Proposals (September 9, 2021) (Phase 2 Order).

<sup>17</sup> Directives pertaining to NYSERDA's RES Central Procurement role are contained in the February 22, 2017 [Order Approving the Phase 1 Implementation Plan](#) and the [Final Phase 1 Implementation Plan](#) filed by NYSERDA on March 24, 2017, the November 17, 2017 [Order Approving the Phase 2 Implementation Plan](#) and the [Final Phase 2 Implementation Plan](#) filed by NYSERDA on December 18, 2017, and the December 14, 2018 [Order Approving the Phase 3 Implementation Plan](#) and the [Final Phase 3 Implementation Plan](#) filed by NYSERDA on January 11, 2019. The March 9, 2017 [Order on the Value of Distributed Energy Resources](#) further clarifies the treatment of certain distributed energy resources (DERs) such resources under the CES and their eligibility to participate in NYSERDA's long term procurements for RECs. The January 16, 2020 [Order Modifying Tier 1 Renewable Procurements](#) directs NYSERDA to include an additional option for bidders to offer an Index REC price. An Implementation Plan will be filed by NYSERDA in response to the January 2020 Order in April 2020.

<sup>18</sup> RECs represent the environmental attributes, including but not limited to estimated avoided carbon dioxide emissions, associated with electricity generated by facilities that meet the Tier 1 eligibility criteria established in the CES Framework Order.

<sup>19</sup> <http://documents.dps.ny.gov/public/MatterManagement/CaseMaster.aspx?MatterCaseNo=15-e-0302>

NYSERDA's implementation of the RES and prior solicitations under the RES, RESRFP17-1, RESRFP18-1, RESRFP19-1, RESRFP20-1, and RESRFP21-1, can be found on [NYSERDA's RES Solicitation website](#).<sup>20</sup>

Information on the Renewable Portfolio Standard (RPS), the precursor to the CES, and past Main Tier solicitations can be found on [NYSERDA's RPS webpage](#).<sup>21</sup>

## **1.2 Background on NYSERDA and NY Green Bank**

NYSERDA was created in 1975 by the New York State Legislature as a public authority and public benefit corporation. As designated in the CES Framework Order, NYSERDA acts as the Central Administrator of the RES program. Under the RES, each LSE is obligated to serve their retail customers by procuring new renewable resources, evidenced by the procurement of Tier 1 RECs from NYSERDA or other sources, or by making Alternative Compliance Payments (ACPs), in increasing quantities to satisfy the State's greenhouse gas emissions reduction goals. Through this RFP, NYSERDA will purchase RECs from the contracted Bid Facilities, on behalf of the LSEs in New York State, and will then sell the RECs to the LSEs for compliance with the LSEs' Tier 1 obligations.

NY Green Bank, a division of NYSERDA, is a \$1 billion specialized financial investment fund working with the private sector to increase investments into New York's clean energy markets, creating a more efficient, reliable and sustainable energy system. NY Green Bank steps in to fill gaps in the market where financing might not be available from conventional lenders, potentially due to barriers such as limited precedent, small deal sizes, challenges in evaluating technology risk, asset structures and/or business models unfamiliar to banks and institutional investors, and/or deal structuring and underwriting complexities.

Supporting the expansion of large-scale renewables in New York is a strategic priority for NY Green Bank. NY Green Bank is prepared to support project developers and investors with a range of credit products and structures through various project financing stages, including and not limited to:

- Interconnection deposit financing;
- Long lead equipment financing;
- Construction financing; and
- Term loans, including subordinated debt to increase tenor and leverage.

NYGB will evaluate contracted revenues, including various NYSERDA incentive payments, as well as wholesale power and capacity sales to support long-term financing.

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<sup>20</sup> <https://www.nyserda.ny.gov/ces/rfp>

<sup>21</sup> <https://www.nyserda.ny.gov/All-Programs/Programs/Clean-Energy-Standard/Renewable-Portfolio-Standard/Past-Main-Tier-Solicitations>



### 1.3 Schedule

The schedule for RESRFP22-1 is as follows (all times ET):

**Table 1. RFP Schedule**

RFP Release Date	Wednesday, September 21, 2022
Proposers' Webinar	Thursday, October 6, 2022
NYSERDA opens Step One Eligibility Application	Monday, October 12, 2022
<b>Deadline to complete an application requesting a Resource Eligibility Determination in NYGATS</b>	<b>Wednesday, November 2, 2022</b>
<b>Deadline for Step One Eligibility Application Submission</b>	<b>Wednesday, November 30, 2022 by 3:00 p.m.</b>
NYSERDA responds with Notice of Qualification Determinations	Wednesday, December 14, 2022
Deadline for Bid Fee Submission	Wednesday, February 8, 2023
<b>Deadline for Step Two Bid Proposal Submission</b>	<b>Thursday, February 9, 2023 by 3:00 p.m.</b>
NYSERDA notifies Proposers receiving Awards	Q2 2023

Please note that the above dates are subject to change. Notification of any changes to the solicitation schedule or documents will be posted on [NYSERDA's RES website](#) and sent via email to those parties who have submitted contact information to NYSERDA's RESRFP22-1 [solicitation website](#).

### 1.4 Eligibility & Contractual Requirements

Information on Bid Proposal eligibility and contractual requirements is detailed in Section 2 below. This includes details regarding Tier 1 eligibility guidelines, Energy Storage facility eligibility, and contractual provisions made mandatory for 2022 in New York State's FY 2022 enacted budget.

### 1.5 Bid Fee

Each Step Two Bid Proposal must be accompanied by a Bid Fee, in the form of electronic wire (preferred) or certified funds, in an amount determined by the Nameplate Capacity in megawatts (MWac) of the Bid Facility in accord with Table 2.

**Table 2. Bid Fees by Nameplate Capacity**

<b>Nameplate Capacity (MW)</b>	<b>Bid Fee</b>
Less than 5.00 MW	\$5,000
5.00 – 19.99 MW	\$20,000
20.00 – 49.99 MW	\$50,000
50.00 MW or more	\$100,000

See Section 8.4 for additional details and instructions for submitting the Bid Fee.

## 1.6 Proposers' Webinar and Inquiries

NYSERDA will [hold a webinar for Proposers](#) on Thursday, October 6, 2022 at 1:00 p.m. ET (Albany, NY time). During the webinar, NYSERDA will review the Step One Eligibility Application and Step Two Bid Proposal requirements, the Agreement, and highlight changes to the 2022 solicitation process. Questions will be taken and, to the extent possible, responses will be provided during the webinar. **Proposers who intend to participate must register prior to the webinar on NYSERDA's RES website.**<sup>22</sup>

Proposers are encouraged to submit questions prior to the webinar via email to [res@nyserdera.ny.gov](mailto:res@nyserdera.ny.gov), and during the Proposers' Webinar using the built-in Q&A feature. Written responses will be posted to the solicitation website and will supersede any responses given by NYSERDA during the Proposers' Webinar. All questions regarding the RFP documents or the process must be directed as indicated. NYSERDA will post submitted questions anonymously, along with NYSERDA's responses, on the solicitation website under the Q&A feature, which is accessible to all Proposers, following the webinar.

Questions may not be submitted directly to any individual at NYSERDA other than the Designated Contacts. Questions should not be submitted to DPS Staff, or to individuals working for or on behalf of NYSERDA that are not listed as Designated Contacts.

Bid Facility-specific questions must be submitted through the Messages feature of the solicitation website following Proposers' registration. Questions that reveal a Proposers' identity and/or commercial information should be submitted through the Messages feature of the solicitation website. Proposers must register on the solicitation website to gain access to the Messages feature. The Messages feature of the solicitation website is available only to Proposers and is a secure communication between each Proposer and NYSERDA's Designated Contacts.

## 1.7 Modification or Cancellation of the RFP and Solicitation Process

Notification of any changes in RFP process or documents will be posted on [NYSERDA's RES Tier 1 website](#), the solicitation website under the Announcements tab, and sent via email to parties that have submitted contact information to NYSERDA's RESRFP22-1 solicitation via the solicitation website. Prospective Proposers are encouraged to check the website frequently to be advised of any RFP changes or other news.

The terms and conditions of this RFP may, at any time, be changed, postponed, withdrawn, and/or canceled, including any requirement, term or condition of this RFP, without any liability to NYSERDA.

## 1.8 Updates to the Eligibility Application and/or Bid Proposal

Proposers will not have an opportunity to refresh or restate submissions after the corresponding submission deadline for each Step. If a Proposer wishes to modify an already submitted submission before the submission deadline for that Step, the Proposer should follow the posted instructions for editing a submission and may contact NYSERDA's Designated Contacts with questions or issues.

After the submission deadline, Proposers may provide information that was not available at the time of their submission at NYSERDA's request under Section 1.9. These requests are for informational purposes

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<sup>22</sup> To sign up for the Proposers' Webinar please register here: [RESRFP22-1 Proposers' Webinar](#)

only and will not be treated by NYSERDA as a change or revision to the submission. However, if there are any material events that affect the validity of a submission, Proposers must promptly notify NYSERDA in writing.

### **1.9 Requests for Additional Information and/or Interview**

Following the submission of Proposals, NYSERDA and the Technical Evaluation Panel may request clarification and additional information from Proposers at any time throughout the duration of the evaluation process. Such information will be subject to protection of proprietary information as described in Section 9, consistent with other Proposal submission materials. If the Proposer does not respond promptly to such information requests or does not provide adequate information, the affected Proposal(s) will be evaluated based on the information as originally submitted.

### **1.10 Coordination with Non-Jurisdictional Load-Serving Entities**

The Order Adopting a Clean Energy Standard provides for NYSERDA to conduct regularly scheduled solicitations for the procurement of Tier 1 RECs on behalf of the State's jurisdictional LSEs. The New York Power Authority (NYPA) and/or the Long Island Power Authority (LIPA) may choose to issue their own solicitations and/or contract with NYSERDA for a long-term commitment to purchase a percentage of the Tier 1 RECs that may be procured under this solicitation to fulfill their proportional shares of the statewide Tier 1 targets.

### **1.11 Coordination with NYSERDA's T4RFP21-1**

On January 13, 2021, NYSERDA issued T4RFP21-1, a solicitation to procure the unbundled environmental attributes in the form of Tier 4 RECs for renewable energy delivered into New York City (NYISO Zone J) pursuant to the CES Modification Order. On November 30, 2021, NYSERDA submitted contracts with the Clean Path NY and Champlain Hudson Power Express projects to the PSC for approval and public comment. The PSC approved the contracts on April 14, 2022, subject to limited contract clarification and similar requirements as laid out in its [Order Approving Contracts for the Purchase of Tier 4 Renewable Energy Certificates](#) Order. The selected projects will deliver renewable energy sourced from wind, solar and hydropower to New York City. Information about the projects is available on [NYSERDA's Tier 4 website](#).<sup>23</sup>

Facilities that do not have a Tier 1 agreement and are included as a component of an awarded Tier 4 proposal (or subsequently added to an awarded Tier 4 project through modification of the Tier 4 Agreement) may participate in RESRFP22-1 and/or future Tier 1 solicitations subject to Tier 1 eligibility requirements.

For facilities participating in RESRFP22-1 that are included in a Tier 4 contract, economic benefits claimed under the awarded Tier 4 proposal may also be claimed as part of a Tier 1 Bid Proposal. Should a Bid Facility be awarded under both solicitations, NYSERDA will work with the awarded Proposer to ensure that claims are not double counted under the contractual economic benefits claims (See Expected Dollars/MW definition in the Agreement).

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<sup>23</sup> <https://www.nyserda.ny.gov/All-Programs/Clean-Energy-Standard/Renewable-Generators-and-Developers/Tier-Four>

## **1.12 Forced Labor Prevention**

In order to ensure an ethical and sustainable supply chain for renewable energy, NYSERDA is requiring all RESRFP22-1 awardees to sign SEIA's [Forced Labor Prevention Pledge](#) (Pledge), opposing forced labor practices and heightening awareness of human rights abuses against Uighurs, an ethnic minority living in the Xinjiang region of China. Companies that sign the Pledge agree to conduct their business in an ethical manner. Proposer's will be required to evidence that they have signed the Pledge as part of their Step Two Bid Proposal submission.

## 2 STEP ONE & STEP TWO COMPONENTS; ELIGIBILITY & EVALUATION

RESRFP22-1 will be implemented through a two-step process. Submissions for both steps are required for all participating Bid Facilities and must be made via the [solicitation website](#). The solicitation website will open for submissions on October 12, 2022. The requirements for each step are summarized in the table below, consisting of:

1. **Step One: A qualifying step** through which the Proposer submits an Eligibility Application providing evidence that the Bid Facility is Tier 1 eligible and other information regarding the Proposer and the Bid Facility. See **Section 7** for detailed instructions about how to prepare and submit a Step One Eligibility Application.
2. **Step Two: A competitive Bid Proposal step**, through which the Proposer submits a Bid Proposal. NYSERDA will: (1) examine each Bid Proposal to determine whether the Proposal demonstrates that the Bid Facility and Proposer meet the Minimum Threshold Requirements; and (2) for Bid Proposals that meet those minimum requirements, perform a full competitive evaluation based on price and non-price factors. See **Section 8** for detailed instructions about how to prepare and submit a Step Two Bid Proposal.

**Table 3. Submission Requirements**

<b>Step One Eligibility Application</b>	<b>Step Two Bid Proposal</b>
<b>Due Date:</b> Wednesday, November 30, 2022 by 3:00 p.m.	<b>Due Date:</b> Thursday, February 9, 2023 by 3:00 p.m.
<p><b>Requirements for Submission:</b></p> <ul style="list-style-type: none"> <li>• Tier 1 eligibility certification (PSoQ or SoQ), obtained via NYGATS.</li> <li>• Key Proposer and Bid Facility characteristics (location, point of interconnection, capacity, energy storage, <i>etc.</i>).</li> <li>• Overview of how Bid Facility will meet all eligibility requirements by Step Two Bid Proposal deadline.</li> <li>• Executive Order No. 16 certification forms</li> <li>• Executive Order No. 192 certification forms</li> </ul>	<p><b>Requirements for Submission:</b></p> <ul style="list-style-type: none"> <li>• Expanded project characteristics and details, interconnection and environmental mitigation cost estimates.</li> <li>• Binding Bid Price and Bid Quantity data.</li> <li>• Minimum Threshold Requirements documentation (Site Control, Interconnection, <i>etc.</i>)</li> <li>• Expected benefits and burdens to Disadvantaged Communities.</li> <li>• Permitting Plan</li> <li>• Community Engagement Plan</li> <li>• Operational Flexibility and Peak Coincidence documentation (P(50) 8760, energy storage details, <i>etc.</i>).</li> <li>• If applicable, Incremental Economic Benefits claims, including identification of specific claims that will benefit Disadvantaged Communities.</li> <li>• Proof of Bid Fee payment</li> </ul>

Proposers submitting Step One Eligibility Applications that are determined to be qualified will be invited to submit a Step Two Bid Proposal. Step Two Bid Proposals that are determined to meet the Minimum

Threshold Requirements will be evaluated and scored based on: (1) the Fixed REC Bid Price or Index REC Bid Price, weighted at 70% of the overall score, and (2) non-price factors, which have a combined weight equaling 30% of the overall score.

Please note that the Minimum Threshold Requirements apply only to items within the Project Viability, Operational Flexibility and Peak Coincidence (Project Viability and OpFlex) category. There are no minimum requirements for Incremental Economic Benefits to New York State.

The 30% non-price evaluation component is divided into two categories:

- 1) 20% Project Viability, Operational Flexibility and Peak Coincidence (beyond the Minimum Threshold Requirements); and
- 2) 10% Incremental Economic Benefits to New York State.

Pursuant to the February 22, 2017, PSC [Order Approving the Phase 1 Implementation Plan](#) and the subsequent Orders, a Technical Evaluation Panel (TEP), consisting of NYSERDA staff, DPS Staff, and Independent Evaluators, all of whom will execute a non-disclosure agreement, will evaluate and award points for the non-price evaluation components of each Bid Proposal.<sup>24</sup> NYSERDA may also enlist other state agencies, authorities, and subject-matter experts to inform the non-price evaluation conducted by the TEP. The Bid Price evaluation will be conducted by NYSERDA.

Non-Price Minimum Threshold Requirements and determinations, and the Non-Price evaluation are detailed in Section 4; Price evaluation is detailed in Section 5.

Instructions and requirements on how to submit a Step One Eligibility Application and Step Two Bid Proposal are detailed in Sections 7 and 8, respectively.

## **2.1 Eligibility & Evaluation**

To be eligible, a Bid Facility must be a Tier 1 RES eligible resource technology type qualifying under the updated Clean Energy Standard Tier 1 eligibility requirements outlined in the CES Modification Order and described herein.<sup>25</sup> Pursuant to the CES Framework Order, to participate an eligible Bid Facility must also: (1) be located within the New York Control Area (NYCA) or in an adjacent control area and supply energy into New York State, in accordance with the RES Delivery Requirements in the Agreement, and (2) have first commenced Commercial Operation on or after January 1, 2015, or (3) must produce new, incremental energy and Tier 1 RECs from new Bid Capacity above a historical baseline.

Upgrade Bid Facilities are eligible to the extent that they produce incremental generation that exceeds the Bid Facility's historical generation levels as verified by a third-party engineering report.

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<sup>24</sup> The Order and subsequent Plans are available on NYSERDA's CES Orders, Reports, and Filings website: <https://www.nysERDA.ny.gov/All-Programs/Programs/Clean-Energy-Standard/Important-Orders-Reports-and-Filings/Filings-Orders-and-Reports>

<sup>25</sup> Proposers should note that the Climate Act definition of renewable energy systems as adopted by the CES Modification Order excludes certain resources previously eligible under the CES Framework Order, including biomass, biogas, liquid biofuels, fuel cells using natural gas and anaerobic digesters, among others, and should review the RFP and Agreement prior to commencing a request for a Provisional Statement of Qualification.

The full generation produced by Repowering Bid Facilities is eligible if the Bid Facility has reached the end of their useful life (e.g., 20 years for wind and solar Bid Facilities, 50 years for hydroelectric Bid Facilities) and have met the requirements to (i) replacing each prime mover,<sup>26</sup> resulting in an overall increase of 15% or more in the production of the generation unit, and (ii) making capital expenditures in excess of 80% of the Repowering Bid Facility’s tax basis (not including its property and tangible assets). Proposers are encouraged to reference Section 7.6 Repowering Project of the [New York State Clean Energy Standard RES Tier 1 Certification Submission Instructions and Eligibility Guidelines](#) to review the full scope of requirements for Tier 1-eligible Repowering Bid Facilities and the requirements for third-party engineering reports needed to demonstrate provisional Tier 1 eligibility.

Bid Facilities that have not reached the end of their useful life may be eligible for a portion of their generation to be Tier 1 eligible prior to the end of the useful life based on the results of the required third-party engineering report. Prior to the end of the Bid Facility’s useful life, the percentage increase in generation attributable to the Repowering will be Tier 1 eligible. Once the useful life of the original project is met, all generation (100%) from the Repowering Bid Facility will be Tier 1 Eligible. See Table 4 below for an illustrative example of a Repowering Bid Facility that will be partially Tier 1 eligible prior to the end of the 20-year useful life.

**Table 4. Illustrative Example of Pre-End of Useful Life Tier 1 Eligible Generation**

Calendar Date	Useful Life	Original Project (Projected Generation)	Repowering Bid Facility (Projected Generation)	% Increase in Generation	Tier 1 % Applicability	Non-Tier 1 % Applicability	Tier 1 Eligibility Applicable to Generation Dates
7/1/19-6/30/20	17	762,120	914,544	20%	20%	80%	
7/1/20-6/30/21	18	744,600	914,544	23%	23%	77%	4/1/21-6/30/21
7/1/21-6/30/22	19	727,080	914,544	26%	26%	74%	7/1/21-6/30/22
7/1/22-6/30/23	20	709,560	914,544	29%	29%	71%	7/1/22-6/30/23
7/1/23-6/30/24	21	n/a	914,544	n/a	100%	0%	7/1/23-6/30/24

The Proposer is required to submit Step One Applications and Step Two Bid Proposals for each Bid Facility with and without Energy Storage. Additional Step One Applications and Step Two Bid Proposals can be submitted for the Bid Facility at the Proposer’s option. Each Bid Proposal must utilize only one price structure (Fixed REC or Index REC), however separate Bid Proposals for the same Bid Facility may utilize different price structures if the Bid Facility has material differences among the Bid Proposals, such as for a Bid Facility bid with and without Energy Storage, and/or a Bid Facility bid with two different Bid Capacities (MW). Proposers are encouraged, but not required, to submit a Bid Proposal with Energy Storage for Bid Facilities with alternate configurations.

A Proposer may not condition the acceptance of one Proposal based on the withdrawal or acceptance of other Proposals. NYSEDA will not award more than one Bid Proposal for the same Bid Facility.

Tier 1 eligible RECs or environmental attributes that are the subject of a current NYSEDA RES contract, or that were the subject of an award under NYSEDA’s RESRFP21-1 solicitation, are not eligible under this RFP. Additionally, Proposers that are seeking or have secured funding through a separate NYSEDA

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<sup>26</sup> For purposes of this requirement, “prime mover” is defined as follows: for wind Bid Facilities, the wind turbine, including the generator, gearbox (if any), rotor and blades; and for solar PV Bid Facilities, the modules and inverters. Hydroelectric Bid Facilities are not subject to the requirement to replace the prime mover, but must meet the other Repowering eligibility requirements.

incentive program (e.g., NY-Sun for solar facilities, NYSERDA funding for geothermal facilities) are not eligible to participate under this RFP.

Proposers whose Step One Applications are found to be complete and that demonstrate eligibility will receive a Notice of Qualification, which will provide Proposers with a description of and access to the process and forms to be used to submit a Step Two Bid Proposal.

## **2.2 Subsequent Tier 1 Eligibility Changes**

Bid Facilities selected for an award under this RFP will not be subject to subsequent changes in RES eligibility rules; however, if the Bid Facility fails to maintain eligibility consistent with the RES requirements as they existed at the time of an award,<sup>27</sup> such ineligibility will extend to the RECs associated with the Bid Facility's production throughout the entire period in which the Bid Facility fails to maintain eligibility.

Bid Facilities selected for an award under this RFP will be subject to any ongoing PSC proceedings related to Tier 1 eligibility, and awards may be made to Bid Facilities conditional upon confirmation from the PSC that the resource is Tier 1 eligible.

## **2.3 Conformance with NYGATS Operating Rules**

If awarded under RESRFP22-1, Proposers must maintain a valid NYGATS ID, obtain a Statement of Qualification, achieve Operational Certification, and operate in conformance with the [NYGATS Operating Rules](#).<sup>28</sup> Proposers must implement a Forward Certificate Transfer of Tier 1 RECs in NYGATS, up to the Annual REC Cap, into NYSERDA's NYGATS Account. NYSERDA will make payment for Tier 1 RECs from the Bid Facility delivered to NYSERDA's NYGATS account.

For Bid Facilities located in adjacent control areas, Proposers must ensure that if awarded under a Tier 1 solicitation that the electricity associated with their RECs is (1) scheduled, transmitted, delivered, and settled in the NYISO energy market on an hourly basis, and (2) accompanied by documentation of a unit-specific contract path between the injection point in the control area of origin to the delivery point in New York.

Documentation of a unit-specific contract path must indicate the provision of transmission rights for delivering the generation via the NYISO using the North American Electric Reliability Corporation (NERC) tag fields "Sending and Receiving Control Areas," "Purchasing/Selling Entity Name," and "Number." For imported RECs to be flagged as eligible for Tier 1, projects located in an adjacent control area will need to continuously demonstrate the delivery of energy and RECs into New York State through the requirements laid out in the Final Phase 1 Implementation Plan. Tier 1 eligible energy scheduled and delivered from external control areas must be accompanied by the NERC tag information from an outside organization such as the Open Access Technology International (OATI) System identifying the importing project as the source for the scheduled and transmitted electricity into the NYISO, which NYSERDA uses to ensure that the requirements set forth in the Final Phase 1 Implementation Plan have been satisfied.

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<sup>27</sup> Refer to Section 1.3.

<sup>28</sup> [New York Generation Attribute Tracking System \(NYGATS\)](#)



All Import projects must apply for Provisional Eligibility and provide a sample tag. Once approved as Operational, NERC tag information must be emailed to [res@nyserdera.ny.gov](mailto:res@nyserdera.ny.gov) directly from OATI or similar system.

## **2.4 Alternate Bids**

Proposers may submit Alternate Applications and Bid Proposals for a Bid Facility that include a different configuration, energy storage, or inflation adjustment. Step Two Bid Proposals may contain one or more of the components that comprise an Alternate Application/Bid Proposal.

### **2.4.1 Bid Facility Configurations**

Bid Facility configurations representing different Nameplate Capacities may be submitted as Alternate Bids. A separate PSoQ is not required, but all Bid Facility Nameplate Capacities must be smaller than the Nameplate Capacity associated with the PSoQ.

### **2.4.2 Energy Storage Bid Proposals**

Energy Storage facilities do not need to be registered in NYGATS, regardless of whether the facility is co-located or separately located from the Bid Facility. All Energy Storage facilities must be located within the NYCA.

To be eligible, the Energy Storage must be constructed consistent with Section VI, “Quality Assurance” (including the [Battery Energy Storage System Guidebook](#) referenced therein), Section VII, “Measurement and Verification,” and Section IX, “Technical Requirements” of [NYSERDA’s Bulk Storage Incentive Program Manual](#), including any changes to the Technical Requirements, which are expected to evolve as the industry develops. Energy Storage may be either:

- 1) co-located with the generation behind a single wholesale or retail meter, or
- 2) co-located with the generation behind a separate wholesale or retail meter, or
- 3) located in a separate location from the generation.<sup>29</sup>

In addition:

- The Energy Storage equipment must consist of commercial products carrying a manufacturer’s warranty. The warranty must cover the entire energy storage system including ancillary equipment and power electronics. Experimental, beta, or prototype equipment is not eligible.
- The Energy Storage system must be certified to meet minimum safety requirements by a Nationally Recognized Testing Laboratory as evidenced by specific UL listings defined in the Program Manual. These will evolve to meet current best practices in the storage industry. These UL listings must be received by the time that the system enters commercial operation.
- Energy Storage systems and components must comply with all manufacturers’ installation requirements, applicable laws, regulations, codes, licensing, and permit requirements. This includes, but is not limited to, SEQR; Article 10; the Accelerated Renewables Act, the International Building Code Series as amended by the New York State Uniform Code Supplement; the National Electric Code 10; New York State’s Standard Interconnection

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<sup>29</sup> Separately located energy storage facilities do not require a separate Tier 1 eligibility request.

Requirements; and all applicable State, city, town, or local ordinances or permit requirements, and any additional requirements of the local authority having jurisdiction (AHJ), and demonstrate compliance with the requirements in the [New York Battery Energy Storage System Guidebook](#).

- Energy Storage systems must be installed as proposed and remain in place for the life of the Contract Tenor.

Successful Proposers awarded a Contract Tenor in excess of 10 years must, prior to the commencement of construction, provide an executed Energy Storage operations and maintenance agreement for a term which is greater than or equal to the proposed Contract Tenor.

Note that, under the Agreement, NYSERDA will make payment only for Tier 1 RECs delivered to NYSERDA's NYGATS Account. If the Energy Storage is charged from the co-located renewable generation, the energy discharged from the storage will generate Tier 1 RECs that will be eligible for payment. Should the Bid Facility/Energy Storage facility receive an award, the Proposer will be required, at the time of contracting, to demonstrate to NYSERDA's satisfaction that the project will be configured and metered in a way that will ensure that Tier 1 RECs are created only based on energy generated by the Tier 1 Bid Facility.<sup>30</sup> Energy Storage facilities that are located separate from the Bid Facility may store energy from the grid but will not create Tier 1 RECs and therefore the associated stored energy will not be eligible for payment under the Agreement.

Awarded Proposers not including Energy Storage may add an Energy Storage facility in the future, subject to fulfilling all existing terms of the Agreement, provided that such Energy Storage component will not be used to re-price a Bid Facility that initially lacks Energy Storage. Energy Storage advanced after the time of an award may participate in the NYSERDA Bulk Storage Incentive program or New York State Investor-Owned Utility competitive procurements for bulk-sited energy storage.

The following Energy Storage projects are not eligible for an award under this solicitation:

- An Energy Storage project for which either the Energy Storage or associated Bid Facility is owned by a regulated utility, the New York Power Authority, or the Long Island Power Authority;
- An Energy Storage project that has been awarded a utility Bulk Dispatch Rights Contract;
- An Energy Storage project that receives a NYSERDA Retail Storage Incentive, a NYSERDA Bulk Storage Incentive;
- An Energy Storage project with a point of interconnection outside of the NYCA;
- An Energy Storage project subject to a previous NYSERDA award or contract;
- Pumped hydroelectric storage.

Energy Storage projects that are awarded under RESRFP22-1 may not be eligible for future NYSERDA funding opportunities, when and if they become available.

Energy storage projects participating in a utility Bulk Dispatch Rights solicitation or other NYPA/LIPA/utility-managed competitive offer are eligible to participate in RESRFP22-1, however no facility is eligible for award under RESRFP22-1 if it is selected by a utility-managed solicitation or other competitive offer. NYSERDA will coordinate with the manager of any other active solicitation prior to

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<sup>30</sup> See [Intermittent Power Resources: Frequently Asked Questions](#) and the [FERC Order Accepting Co-located Storage Resources \(CSR\) Revisions](#) for additional resources.

issuing final awards under RESRFP22-1 to ensure that projects participating in multiple offers are not prematurely deemed ineligible.

Alternative energy storage applications not covered in the Energy Storage definition of this RFP may be considered under Incremental Economic Benefits to New York as decarbonization, clean energy industry or energy transition investments as further described in Section 4.2. New storage technologies, such as electrolytic hydrogen, which do not directly inject to the electrical grid will not be subject to Energy Storage eligibility and viability criteria as described in this section.

For more on how the Index REC Strike Price will be adjusted in relation to Energy Storage, please see Section 5.02 (e) of the Agreement.

### **2.4.3 Inflation Risked Adjusted Bid Proposal**

Proposers may submit an Alternate Bid Proposal with a price structure where the Index REC Strike Price or Fixed REC Price would be subject to a one-time adjustment to reflect changes in a pre-determined price index subsequent to the Step Two Deadline for Submission of Proposals. Additional details on this adjustment mechanism are provided in Section 5.2.1 of this RFP and in Section 5.03 of the Agreement. Proposals that include this adjustment will be evaluated using a price adder reflecting NYSERDA's inflation expectation as further described in Section 5.4 of this RFP.

## **2.5 Contractual Commitments**

### **2.5.1 Prevailing Wage Requirement**

In accordance with Labor Law § 224-d (2), and NYSERDA's requirements as contained in the Agreement, and unless otherwise provided in a Project Labor Agreement (PLA) covering the construction of the Bid Facility that complies with the requirements of Labor Law § 222, all laborers, workmen and mechanics (within the meaning of those terms under New York State Labor Law Article 8) performing Construction Activities with respect to the Bid Facility, including, but not limited to, the assembly, staging, installation, erection, and placement of the Bid Facility as well as those construction activities related to start-up and commissioning of the Bid Facility, whether through long-term or short-term employment, must be paid wages and benefits in an amount not less than the Prevailing Rates (as determined under New York State Labor Law § 220). No less than six months prior to the commencement of Construction Activities, Seller must notify NYSERDA of its intent to commence construction activities, and in cooperation with the New York State Department of Labor, generate a prevailing wage determination for the Bid Facility, as will be updated from time to time. Unless relieved of such requirements by entering into a duly executed PLA in accordance with New York State Labor Law § 222 & 224-d(2), Seller will be responsible for complying with all prevailing wage requirements (including but not limited to reporting requirements) under New York State Labor Law §§ 220, 220-b, and 224-d. For more, see Section 18.10 of the Agreement and New York State Labor Law § 224-d.

### **2.5.2 Project Labor Agreement**

As referenced herein, a Project Labor Agreement (PLA) refers generally to a single collective bargaining agreement (including a pre-hire agreement) covering both contractors in the construction industry working on a Bid Facility and a bona fide building and construction trade labor organization representing the craft workers on that Bid Facility. Bid Facilities constructed under a PLA that meets the requirements of Labor Law §222 and the Agreement, specifically, Exhibit J to the Agreement, are not subject to the

aforementioned prevailing wage requirements. For more, please see Sections 18.10 and 18.11 of the Agreement, Exhibit J to the Agreement, and Labor Law §§ 220, 220-b, 222 and 224-d.

### **2.5.3 Labor Peace Agreement**

New York State Public Service Law § 66-r (3) requires that the Agreement include a stipulation that the Seller, as owner of the Bid Facility, or a third party acting on the Seller's behalf, stipulate that it will enter into a Labor Peace Agreement (LPA) where a bona fide labor organization is actively representing, or attempting to represent, employees providing operations and maintenance services for the Bid Facility. As described more fully in Section 18.13 of the Agreement, pursuant to and to the extent legally required by New York State Public Service Law § 66-r (3), the maintenance of such an LPA shall be an ongoing material condition of any continuation of payments under the Agreement.

### **2.5.4 U. S. Iron and Steel (Buy-American)**

New York State Public Service Law (PSL) § 66-r (4) (a) (the Buy-American Act) requires public entities to include within the terms and conditions of any covered contracts a contractual requirement that "iron and structural steel used or supplied in the performance of the Contract or any subcontract thereto[,] and that is permanently incorporated into the public work, [be] produced or made in whole or substantial part in the United States, its territories or possessions." However, PSL § 66-r (4) (b) provides that the Buy-American requirement "shall not apply if the head of the department or agency constructing the public works, in his or her sole discretion, determines that the provisions would not be in the public interest, would result in unreasonable costs, or that obtaining such steel or iron in the United States would increase the cost of the contract by an unreasonable amount, or such iron or steel, including without limitation structural iron and structural steel cannot be produced or made in the United States in sufficient and reasonably available quantities and of satisfactory quality." The Buy-American Act requires the soliciting agency to make such determination in each RFP.

In the context of RESRFP22-1, NYSEDA finds that "structural" iron and steel subject to PSL §66-r includes the following components. For onshore wind, NYSEDA determined that the following were "structural" iron and steel components: (1) the tower supporting the turbine, inclusive of any platforms, transition pieces, or other similar structural elements permanently affixed to the tower ("tower"); and (2) elements incorporated into or comprising the foundation supporting the tower, including reinforcing iron or steel ("rebar"). Similarly, NYSEDA determined that the following components are operational by nature and are therefore not "structural" iron or steel components that are "permanently incorporated" into an onshore/land-based wind project, and therefore are not subject to the PSL §66-r: (1) rotor hub; (2) main shaft; (3) main frame (transition from nacelle to tower); (4) yaw system; (5) rotor blades; (6) rotor bearings; (7) gearbox; (8) generator; (9) pitch system; (10) power converter (11) transformer; (12) brake system; (13) nacelle housing; (14) electrical equipment; and (15) cables, screws, and other fasteners.

For utility-scale solar, NYSEDA determined that the following were "structural" iron and steel components: (1) the iron or steel piers, piles, or ground screws that are driven into the ground to provide support to the solar system racking; and (2) the solar system racking that is mounted to the system foundation and provides support to the solar photovoltaic modules and other electrical systems. Similarly, NYSEDA determined that the following components are operational by nature and are therefore not "structural" iron or steel components that are "permanently incorporated" into a utility-scale solar project, and therefore are not subject to the PSL §66-r: (1) solar modules; (2) wiring; (3)

trackers systems; (4) inverters; (5) transformers; (6) electrical equipment; and (7) cables, screws, nuts, bolts, clamps, and other fasteners.

In accordance with the objectives of the Buy-American Act, NYSERDA has undertaken a study to examine the implications of the Buy-American Act as applied to the Large-Scale Renewables Facilities and associated Bid Facility components anticipated to be the subject of Proposals submitted in response to this RFP (RESRFP22-1). On the basis of this study, NYSERDA has determined that that due to the potential for increased costs, schedule delay, current market dynamics, manufacturer availability, and steel availability, including the requirement in RESRFP22-1 would not be in the public interest.<sup>31</sup> Requiring all structural iron or steel to be sourced domestically would not be in the public interest, as it may result in unreasonable increased costs and schedule delays. The study also examined the feasibility of contractual requirements to use domestic structural iron and steel. The study found that a contractual requirement for reasonable minimum amount of U.S. iron and steel to be used in each Bid Facility would align with New York State’s policy goals to incentivize utilization and growth of the renewable energy supply chain, including the U.S. steel industry that supports it, and reduce embodied carbon.

The President and CEO of NYSERDA hereby determines to not require all structural iron or steel to be produced in the United States for utility-scale solar PV and onshore wind energy generation systems; however, use of iron and steel that is produced in New York, and in the United States, is valued by NYSERDA. Accordingly, as a matter of procurement policy in promoting the intent of the New York Buy American Act, any onshore wind Bid Facility awarded a contract in RESRFP22-1 is required to establish that it expends a minimum of \$54,000 per MWac on iron and/or steel components that are manufactured in the U.S. with iron and steel produced by U.S. steel mills for use in the Bid Facility. Any solar Bid Facility awarded a contract in RESRFP22-1 is required to establish that it expends a minimum of \$30,000 per MWdc on iron and/or steel components that are manufactured in the U.S. with iron and steel produced by U.S. steel mills for use in the Bid Facility. Claimed expenditures associated with purchasing commitments for U.S. iron and Steel per MW of Bid Capacity will be entered in the Agreement as Expected U.S. Iron and Steel Dollars/MW. For Upgrades and Repowering Bid Facilities of utility-scale solar PV and onshore wind, the Expected U.S. Iron and Steel Dollars/MW will be determined by NYSERDA in cooperation with Proposers prior to the Step Two Bid Proposal deadline.

To the extent a Bid Facility falls short of the minimum dollar requirement determined for the project, any shortfall will be addressed through the remedy provided in Section 5.02 (f) of the Agreement.

For Bid Facilities that utilize technology other than utility-scale solar PV or onshore wind, and have yet to be constructed, NYSERDA will determine the compliance obligation in advance of the Step Two Bid Proposal deadline.

### **2.5.5 Disadvantaged Communities Economic Benefit Commitments**

Proposers are encouraged to make elective commitments in their Step Two Bid Proposals that will commit the Proposer to a certain dollar amount of expenditures per MW of nameplate capacity that will

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<sup>31</sup> For more, see Appendix 3. RESRFI22-1 Preliminary Determination Memorandum, Public Service Law (PSL) § 66-r (the New York “Buy-American” law), revised September 2022, available at <https://prod-cm.nyserdera.ny.gov/-/media/Project/Nyserda/Files/Programs/Clean-Energy-Standard/NYSERDA-Buy-American-Supplemental-Study-Onshore-Wind-UtilityScale-Solar.pdf>

accrue to Disadvantaged Communities. Such commitments will be evaluated favorably and be incorporated into the Agreement as Disadvantaged Community Commitments. To the extent a Bid Facility falls short of the minimum dollar requirement set forth in the Agreement, any shortfall will be addressed through the remedy provided in Section 5.02 (f) of the Agreement.

#### **2.5.6 MWBE and SDVOB Economic Benefit Commitments**

Proposers are also encouraged to make elective commitments in their Step Two Bid Proposals that will commit the Proposer to a certain dollar amount of expenditures per MW of nameplate capacity that will accrue to MWBE and SDVOB. Such commitments will be evaluated favorably and be incorporated into the Agreement as Expected MWBE and SDVOB Dollars/MW. To the extent a Bid Facility falls short of the minimum dollar requirement set forth in the Agreement, any shortfall will be addressed through the remedy provided in Section 5.02 (f) of the Agreement.

### 3 STEP ONE: ELIGIBILITY DETERMINATION

Step One Eligibility Applications must be submitted via the [solicitation website](#) and will be examined for completeness and to determine whether the Proposer and Bid Facility meet the eligibility requirements outlined in Sections 1.4 and 2. In order to meet the eligibility criteria, the Proposer must:

- Be located within NYCA or in an adjacent control area and deliver energy into New York State in accordance with the RES Delivery Requirements in the Agreement and NYGATS Operating Rules, and have first commenced Commercial Operation on or after January 1, 2015, or must produce new, incremental energy and Tier 1 RECs from new Bid Capacity above a historical baseline;
- Provide the letter received in the Proposer’s NYGATS account from NYSERDA confirming that the application for Tier 1 eligibility (SoQ or PSoQ) has been approved;
- Complete the Step One Eligibility Application electronic form on the solicitation website providing required information about the Bid Facility and an outline of how the Proposer will substantiate that all Minimum Threshold Requirements have been achieved as part of the Step Two Bid Proposal.

Proposers are advised that the Tier 1-eligible technology types have been amended per the CES Modification Order, and include the following technologies:

**Table 5. Eligible Tier 1 Technology Types**

Technology	Source	Other Requirements
Solar Photovoltaics and Thermal		
On-land and offshore wind	Wind turbines	
Hydroelectric	Low-Impact Run-of-River Hydroelectric; Upgrades	No new storage impoundments; eligibility for Upgrades limited to the incremental production associated with the upgrade.
Fuel Cells	Solid Oxide Fuel Cells (SOFC) Molten Carbonate Fuel Cells (MCFC) Proton Exchange Membrane Cells (PEM) Phosphoric Acid Fuel Cells (PAFC)	Must utilize a non-fossil fuel resource, such as hydrogen (or other fuel), that has been produced using a “renewable energy system” <sup>32</sup> as a primary source.
Tidal/Wave/Ocean	Tidal and Ocean Wave or Current (turbines and other rotary motion devices); Ocean Thermal Pumped Storage Hydro Powered by Tidal	
Geothermal Electric		
Geothermal Ground Source Heat		

<sup>32</sup> A system that generates electricity through use of the following technologies: solar thermal, photovoltaics, on land and offshore wind, hydroelectric, geothermal electric, geothermal ground source heat, tidal energy, wave energy, ocean thermal, and fuel cells which do not utilize a fossil fuel resource in the process of generating electricity.

Proposers are advised that the Tier 1 eligibility requirements regarding Repowering have also been updated pursuant to the CES Modification Order.

Prior to the end of an existing Bid Facility's useful life (20 years for wind and solar Bid Facilities, 50 years for hydroelectric Bid Facilities), only incremental generation can qualify for Tier 1 as an Upgrade Bid Facility, to the extent it exceeds the Bid Facility's historical generation levels as verified by a third-party engineering report.

After the existing Bid Facility has reached the end of its useful life, the entire capacity can be eligible as a Repowering Bid Facility if the following requirements are met:

- The Repowering must include replacement of each prime mover, and result in an overall increase of 15% or more in the production of the generation unit compared to its projected future output. For purposes of this requirement, "prime mover" is defined as follows: for wind Bid Facilities, the wind turbine, including the generator, gearbox (if any), rotor and blades; and for solar PV Bid Facilities, the modules and inverters. Hydroelectric Bid Facilities are not subject to the prime mover replacement requirement but are subject to the 15% production increase requirement.
- The Repowering must have the result that 80% of the tax basis per Generally Accepted Accounting Principles (GAAP) from the completed Repowering Bid Facility (not including its property and tangible assets) is derived from capital expenditures made on or after October 15, 2020. An independent audit and verification will be required. Certification will be required and submitted at the time of the resource eligibility determination under Tier 1 of the RES.

Additionally, Bid Facilities that have not reached the end of their useful life may be eligible for a portion of their generation to be Tier 1 eligible prior to the end of their useful life based on the results of the required third-party engineering report. Prior to the end of the Bid Facility's useful life, the percentage increase in generation attributable to the Repowering will be Tier 1 eligible. Once the useful life of the original project is met, all generation (100%) from the Repowering Bid Facility will be Tier 1 eligible.

Proposers seeking to participate in RESRFP22-1 with an Upgrade or Repowering Bid Facility are strongly encouraged to contact the Large-Scale Renewables team at [res@nyserda.ny.gov](mailto:res@nyserda.ny.gov) prior to starting a Tier 1 request in NYGATS. NYSERDA also strongly encourages submitting a Tier 1 request as soon as possible if seeking to participate in RESRFP22-1. Proposers must submit a Tier 1 request for a Provisional Statement of Qualification (PSoQ), if under development, or Statement of Qualification (SoQ), if operational. Proposers seeking to submit a Step Two Bid Proposal for an Upgrade or Repowering Bid Facility must submit a Tier 1 request for Provisional Statement of Qualification (PSoQ) if the upgraded or repowered actions have not yet been constructed for the Bid Facility. See Section 7 for additional details on completing a Step One Eligibility Application. In Attachment E. P(50) 8760 Template, Proposers will enter the Bid Facility's full generation profile and annual Tier 1 Upgrade Percentage to calculate estimated Tier 1 RECs. Proposers should also re-submit the historical generation data submitted with the request for PSoQ with the Step Two Bid Proposal to verify the application of the Tier 1 eligibility percentage in Attachment E.

Proposers should ensure that their proposed Bid Facility(ies) meets the Tier 1 eligibility requirements to participate in RESRFP22-1, and their Bid Facility(ies) is registered in the New York Generation Attribute



Tracking System (NYGATS) as early as possible to ensure that the facility is eligible to submit a Step One Eligibility Application.

Interested Proposers may access [the Tier 1 Certification Submission Instructions and Eligibility Guidelines here](#), and are strongly encouraged to register their Bid Facility(ies) in NYGATS by following the instructions posted on the Clean Energy Standard website: [RES Tier 1 Certification](#). Interested Proposers may register their facilities in NYGATS at any time (open, rolling enrollment), including prior to the issuance of RESRFP22-1.

Incomplete Step One Eligibility Applications will be subject to disqualification. It is the Proposer's responsibility to ensure that all required forms and attachments have been completed and submitted. Late submissions will not be accepted. Proposers deemed qualified to submit a Step Two Bid Proposal will be emailed a Notice of Qualification and notified via the solicitation website.

Proposers whose Step One Eligibility Applications are found not to satisfy the eligibility requirements or to be deficient in some other respect will receive notification that they are not eligible to submit a Step Two Bid Proposal. It is incumbent upon Proposers to make their Step One Eligibility Applications as comprehensive as possible in substantiating how the Minimum Threshold Requirements will be demonstrated such that the Bid Facility will be eligible for evaluation upon submission of the Step Two Bid Proposal. NYSERDA will attempt to contact any Proposers with deficient Step One Applications prior to issuing a notice that the Bid Facility is not eligible to submit Step Two Bid Proposal.

## **4 STEP TWO: NON-PRICE EVALUATION & MINIMUM THRESHOLD REQUIREMENTS**

Step Two Bid Proposals must be submitted via the [solicitation website](#) and will first be examined to determine whether they demonstrate that the Proposer and Bid Facility meet the Minimum Threshold Requirements.

In order to be eligible for evaluation under Step Two, the Bid Proposal must demonstrate that the Proposer and the proposed Bid Facility meet all the Minimum Threshold Requirements detailed in this section. Proposers that submit a Step Two Bid Proposal that does not meet all the Minimum Threshold Requirements will be removed from consideration and will not be eligible for an award. Proposers will also be required to provide a Bid Fee payment for each Bid Facility. See Section 8.4 for additional details and instructions for submitting the Bid Fee.

NYSERDA will contact Proposers regarding any instances where it is unclear if a Minimum Threshold Requirement has been achieved and may provide the Proposer with a one-time opportunity to cure the deficiency prior to removing the Bid Facility from consideration following the submission of the Step Two Bid Proposal(s).

### **4.1 Project Viability, Operational Flexibility and Peak Coincidence**

Bid Proposals that demonstrate progress exceeding the Minimum Threshold Requirements will be eligible to receive points under the 20% Project Viability, Operational Flexibility and Peak Coincidence category (Viability & OpFlex) as well as for the other non-price component of the Bid Proposal (Incremental Economic Benefits to New York State). This category is intended to reward renewable resources that are more advanced through project development, demonstrate project feasibility/a high likelihood of bringing the project to commercial operation, provide grid services that contribute to cost minimization and/or grid reliability by addressing integration issues resulting from increased penetration of intermittent renewables, better match generation to load, and dispatchable resources to balance the electric system, optimize generation dispatch, minimize operating reserve requirements, and address grid congestion and constraints.<sup>33</sup>

Points will be awarded to Bid Proposals to the extent that they demonstrate progress exceeding the Minimum Threshold Requirements in selected subcategories, as shown in Table 6. As an example, for Interconnection, the Minimum Threshold Requirement is completion of the draft System Reliability Impact Study (SRIS) or System Impact Study (SIS). Evaluation points are available to the extent that the Bid Proposal is at a more advanced step of the interconnection process such as the Facilities Study (or equivalent) being in progress.

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<sup>33</sup> See the CES Final Phase 1 Implementation Plan: <https://www.nyserdanyny.gov/-/media/Project/Nyserda/Files/Programs/Clean-Energy-Standard/2017-03-24-Phase-1-Implementation-Plan.pdf>.

**Table 6. Project Viability, Peak Coincidence and Operational Flexibility Subcategories**

<b>Subcategory</b>	<b>Use in Evaluation</b>
Energy Deliverability	Minimum Threshold and Evaluation
Peak Coincidence	Minimum Threshold and Evaluation
Interconnection	Minimum Threshold and Evaluation
Energy Storage	Minimum Threshold and Evaluation
Permitting	Minimum Threshold and Evaluation
Agricultural Land	Minimum Threshold and Evaluation
Project Development, Financing and Creditworthiness	Minimum Threshold and Evaluation
Site Control	Minimum Threshold Only
Community Engagement	Minimum Threshold Only
Resource Assessment and Energy Production Estimate	Minimum Threshold Only
Emissions and Embodied Carbon	Minimum Threshold Only

Operating Facilities will only need to demonstrate that the Minimum Threshold Requirement for the Energy Deliverability, Peak Coincidence, Resource Assessment and Energy Production Estimate and Energy Storage (if applicable) sub-categories have been met and will otherwise receive full non-price evaluation points for the remaining scored sub-categories.

A full description of the Minimum Threshold Requirements and the considerations upon which the TEP may award evaluation points are detailed below by subcategory.

#### **4.1.1 Energy Deliverability**

Minimum Threshold: The Proposer must provide all required interconnection data as part of the Step Two Bid Proposal to enable NYSERDA to coordinate with the NYISO, Distribution Utilities, and other subject matter experts to assess each Bid Facility’s estimated energy deliverability potential for the current grid and future states of the grid based on reasonable assumptions of a 70x30 electric grid. Required interconnection data to be provided via the electronic Step Two Bid Proposal form will include the Bid Facility’s:

- Point of Interconnection (POI) name and voltage
- POI location, physical address (if available) and latitude/longitude
- Nameplate Capacity (MWac and MWdc)
- Expected Annual Generation (MWh) and Bid Quantity (MWh)
- Net Capacity Factor
- Maximum Net Export Capability at POI (MW)
- Assumed Operating Power Factor
- 20-year 8,760 hourly generation profile, provided via Attachment E. P(50) 8760 Template

As part of the Resource Assessment and Energy Production Estimate submitted with the Step Two Bid Proposal, any generation bid to NYSERDA under Step Two of RESRFP22-1 must be substantiated by the Proposer as deliverable by submitting an Energy Deliverability Study aligned with Appendix 5 to RESRFP22-1. Proposers are encouraged to review the Utilities’ Revised Headroom Calculations, filed in NYPSC Case No. 20-E-0197 on August 1, 2022, and Appendix 5 to this RFP, which additionally reflects the headroom impacts of renewable generators that are contracted by NYSERDA but not included in the utilities’ calculations.

To substantiate deliverability, all Proposers will be required to provide an Energy Deliverability Study with respect to their proposed Bid Facility as part of the Step Two Bid Proposal unless the Proposer can demonstrate to NYSERDA's satisfaction that the Bid Facility is interconnecting at point of interconnection with sufficient capability to deliver the project's Bid Quantity without adverse impacts to deliverability and the rate and/or quantity of significant incremental curtailment to other large-scale renewable projects operating or under development and under contract with NYSERDA. In general, if a Bid Facility intends to interconnect in an area that has either zero or negative headroom, or less headroom than the Nameplate Capacity of the proposed Bid Facility, the Proposer will likely not be relieved of the requirement to provide an Energy Deliverability Study evidencing that the Bid Facility is fully deliverable at the proposed Bid Quantity without causing adverse incremental curtailment to currently operating large-scale renewable projects or large-scale renewable projects under development and awarded by NYSERDA.

The Energy Deliverability Study must model all electrically local (i.e., within the same Utility District and all bordering Utility Districts of the Bid Facility's point of interconnection, as further described in Appendix 5 to RESRFP22-1), under-development projects with active NYSERDA contacts as part of the base case development, regardless of interconnection or NYISO Class Year status. NYSERDA will confirm the need for an Energy Deliverability Study as part of the Notice of Qualification sent to the Proposer if the Bid Facility is deemed eligible to submit a binding Step Two Bid Proposal. NYSERDA has made available to Proposers data associated with operating or under development large-scale renewable projects as part of Appendix 5 to RESRFP22-1.<sup>34</sup> NYSERDA will reserve the right to ask clarifying requests regarding the development and production of the Energy Deliverability Study.

Exceeding the Threshold: In this category, the TEP will evaluate and award points to Bid Proposals based on the benefits afforded to the electric grid in light of the CES goals to expand the share of renewable energy as a portion of total energy consumed in New York State to 70 percent by the year 2030 ("70x30"), including benefits to address grid congestion and delivery constraints, and the extent to which a Proposer can demonstrate that the Bid Facility can deliver firm power (e.g., Bid Quantity as proposed to NYSERDA) to the electrical system without adversely impacting the generation output profile of both existing and planned renewable generators.

Proposers should familiarize themselves with NYISO's proposed energy deliverability metric that was recently approved by FERC in tariff updates to enhance the Economic Planning Process. The energy deliverability metric "will provide information about the ability of each Resources, individually and taken collectively with other Resources, to be able to deliver its fully energy capability to the system and the degree of, and the conditions that are expected to lead to, any curtailment thereof."<sup>35</sup>

In consultation with subject matter experts, NYSERDA and the TEP will proportionally allocate points based on the modeled benefits to the grid and future estimated energy deliverability potential based on reasonable assumptions of a 70x30 electric grid. Bid Facilities that plan to interconnect to the electric grid where congestion and curtailment of renewable generators is more likely to occur on a 70x30 electric grid will receive fewer evaluation points compared to Bid Facilities that will interconnect to the electric grid in areas where congestion and curtailment is less likely to occur. The TEP will also consider

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<sup>34</sup> Large-Scale Renewable Projects Reported by NYSERDA: Beginning 2004 is available on [OPEN NY](#).

<sup>35</sup> See NYISO tariff section 31.3.1.3.5.7 as filed and approved in FERC Docket No. ER21-1074-000.

interconnection studies and/or an Energy Deliverability Study provided by Proposers as part of their Step Two Bid Proposals, if provided by the Proposer.

NYSERDA may employ analyses to identify potential impacts that proposed Bid Facilities may create on the energy deliverability of renewable energy projects that are operating, under development, and/or under contract to deliver energy for end use in New York State, including curtailments or direction from the NYISO or Scheduling Coordinator that forces a renewable generator to reduce output. These potential impacts will be assessed in part based on current conditions and in part based on the expected grid limitations that will present themselves on a 70x30 grid. NYSERDA will coordinate with NYISO and the distribution/transmission owners to employ relevant analyses to estimate potential congestion and curtailment impacts resultant from the portfolio of bids submitted to RESRFP22-1. These analyses will also inform the decision to employ Portfolio Risk Factors authorized under the CES Modification Order (See Section 6.2).

While required for certain Bid Facilities, all Proposers are strongly encouraged to demonstrate with currently available knowledge that their proposed point of delivery into the NYCA, along with their proposed interconnection and transmission and/or distribution upgrades, is sufficient to ensure full energy dispatch of the Bid Facility's expected generation output to provide the binding Bid Quantity (in Megawatt-hours) bid to NYSERDA. Please note that this includes energy and is not limited to capacity. Proposers are also strongly encouraged to submit a deliverability study or other third-party assessment of the Bid Facility's interconnection and deliverability potential as part of their Step Two Bid Proposal submission(s) to demonstrate the energy deliverability of a Bid Facility. Bid Facilities that can exhibit to NYSERDA that the project is energy-deliverable under clear and reasonable assumptions will be awarded more points by the TEP.

Proposers are strongly encouraged to familiarize themselves with all ongoing work to identify areas of current and future congestion on the electric grid, including the DPS and NYSERDA [New York Power Grid Study](#), inclusive of Distribution and Local Capital Plans and a Bulk Transmission Investment Plan, the [System & Resource Outlook study](#) and outputs,<sup>36</sup> and other similar studies conducted by the state, NYISO, and/or the transmission owners. NYSERDA and the TEP will use the most recent and pertinent modelling assumptions available for evaluation purposes to assess energy deliverability and allocate points. Updated assumptions and outputs published by DPS, NYSERDA, NYISO, and other parties may become available during the course of this solicitation, including outputs published under the Proceeding on Motion of the Commission to Implement Transmission Planning Pursuant to the Accelerated Renewable Energy Growth and Community Benefit Act (AREGCBA).<sup>37</sup>

The TEP may consider the quality of an energy deliverability study for firm power delivery and network upgrade costs, if provided by the Proposer, for evaluation. Full energy deliverability may be

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<sup>36</sup> The System & Resource Outlook study is the new name for the CARIS Phase 1 study under the proposed changes to NYISO's Economic Planning Process.

<sup>37</sup> Matter 20-00905, Case Number 20-E-0197, Proceeding on Motion of the Commission to Implement Transmission Planning Pursuant to the Accelerated Renewable Energy Growth and Community Benefit Act; <http://documents.dps.ny.gov/public/MatterManagement/CaseMaster.aspx?MatterCaseNo=20-E-0197&submit=Search>

demonstrated by upgrade costs described and included in the Bid Facility's bid price and a deliverability assessment.

The TEP may also consider the potential benefits to deliverability that are afforded by repurposing existing or retired fossil fuel facilities. Proposers that can demonstrate material energy deliverability benefits as a result of interconnecting the Bid Facility at an existing or retired fossil fuel facility may be eligible for additional points in the evaluation of Energy Deliverability.

If applicable, Proposers may also include Committed Upgrades to the transmission system that may enhance the deliverability of the Bid Facility if such upgrades have been identified as part of a Facilities Study completed by the control area operator and interconnecting utility. Committed Upgrades should be clearly identified and detailed in the Energy Deliverability Study, and Proposers will be required to submit additional data in a form designated by NYSERDA as part of the Notice of Qualification to enable NYSERDA to adequately assess the impacts of the Committed Upgrades following the submission of Step Two Bid Proposals. Proposers will be required to substantiate the estimated costs of the Committed Upgrades as part of the Step Two Bid Proposal.

Bid Facilities located outside of the NYCA or NYISO Market Zone (External Facilities) are not eligible for evaluation points in this category.

#### **4.1.2 Peak Coincidence**

Minimum Threshold: The Proposer must provide all required interconnection data as part of the Step Two Bid Proposal as noted for the Energy Deliverability Minimum Threshold Requirements.

Exceeding the Threshold: The TEP will allocate points based on how closely the Bid Facility's expected generation profile matches future estimates of NYISO load net of the portfolio of already operating and contracted, under development renewable and zero-emissions generation in New York State. Future expected load shapes (e.g., 2030, 2040) for evaluation purposes will be based on the most recent available NYISO Resource & System Outlook Study. Bid Facilities that complement the existing portfolio of operating/under development projects more significantly will receive greater scoring compared to Bid Facilities that do not afford the same level of complementary generation compared to future load.

#### **4.1.3 Interconnection**

Minimum Threshold: The Proposer must have a valid, submitted Interconnection Request with NYISO or the Bid Facility's interconnecting control area or utility and (1) have received a draft SRIS or SIS from NYISO or a third-party, or the equivalent interconnection progress with the Bid Facility's interconnecting control area or utility, or (2) have conducted a third-party interconnection study performed in alignment with the SIS/SRIS study procedures outlined in Attachment X. Standard Large Facility Interconnection Procedures (LGIP) or Attachment Z. Small Generator Interconnection Procedures (SGIP) of the NYISO Open Access Transmission Tariff (OATT), as applicable based on the Nameplate Capacity of the Bid Facility, such that an independent, third-party cost estimate for the cost to interconnect the Bid Facility has been received.

Documentation provided to NYSERDA by the Proposer of the Bid Facility's interconnection status must be consistent with the Bid Facility as proposed. Documentation that does not reflect the Bid Facility as

proposed may be rejected.<sup>38</sup> For Bid Facilities interconnecting to NYISO, the NYISO Zone of the Bid Facility should align with the zone being studied by NYISO as a planned point of interconnection. If a draft SRIS or SIS from a third party is provided to meet the Minimum Threshold Requirement, the study must be consistent with the Bid Facility's planned point of interconnection as submitted to NYISO.

The specific Minimum Threshold Requirements vary by the size and location of the Bid Facility:

- All Bid Facilities under the jurisdiction of NYISO: A draft SRIS or SIS has been received by the Proposer.
- Bid Facilities utilizing a FERC-jurisdictional interconnection process in an adjacent U.S. control area:
  - PJM Generation Interconnection: Draft System Impact Study received by the Proposer.
  - ISO-New England: Draft System Impact Study received by the Proposer.
  - Hydro-Québec: Draft Interconnection Study received by the Proposer.
  - Ontario Independent Electricity System Operator: Draft System Impact Assessment (SIA) received by the Proposer.
- Small Bid Facilities (less than or equal to 20 MW) with a Non-Federal Energy Regulatory Commission (FERC) Interconnection:<sup>39</sup> Draft Interconnecting utility company Coordinated Electric System Interconnection Review (CESIR), or equivalent, has been received by the Proposer.
- Behind-the-Meter Bid Facilities: Draft of interconnecting utility company Coordinated Electric System Interconnection Review (CESIR), System Impact Study, System Reliability Impact Study or equivalent by interconnecting utility/ISO has been received by the Proposer.<sup>40</sup>

Exceeding the Threshold: Evaluation will be based on the demonstration of progress in the relevant interconnection process beyond the Minimum Threshold Requirements, as evidenced through documentation from NYISO, Utility or other applicable interconnection authority, such as a completed final System Impact Study (or equivalent), or evidence that a Facilities Study (or equivalent) is in progress or completed.

Proposals that can describe all interconnection and transmission upgrade costs required to ensure full energy dispatch, including transmission upgrades that may need to occur beyond the point of interconnection, will be awarded more points by the TEP based on the reasonableness of the costs provided and modeled assumptions.

#### **4.1.4 Energy Storage**

Minimum Threshold (*Applicable only to Alternate Bid Proposals Including Energy Storage*): Whether co-located with the Tier 1 eligible generation or located in a separate location from the Tier 1 eligible generation, the Proposer must have at least an executed exclusivity agreement or letter of intent with

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<sup>38</sup> The Bid Facility's Bid Capacity must be at minimum the capacity submitted with the Interconnection Request.

<sup>39</sup> Connecting Transmission Owner Interconnection under state jurisdiction (typically, utility distribution less than 5 MW).

<sup>40</sup> Not all Behind-The-Meter facilities are eligible to create Tier 1 RECs. Please see the [RES Tier 1 Eligibility and Certification Guidelines](#) for full eligibility requirements.

the Energy Storage site owner(s). The full site needed for the Energy Storage must be covered by the exclusivity agreement(s) and/or letter(s) of intent.

If submitting a Bid Proposal that includes a co-located and /or separately located energy storage facility, the Proposer must demonstrate that at least one team member or partner has experience in developing at least one Energy Storage system of similar or larger scale using the same technology as proposed. To qualify, the previously developed Energy Storage facility does not yet need to be in commercial operation to meet this Minimum Threshold Requirement.

The Proposer must have discussed Energy Storage with the relevant interconnecting utility company and have identified the applicable requirements. Proposer has either: (1) submitted a valid Interconnection Request for Energy Storage and demonstrates that all initial fees have been paid, or (2) prepared drafts of all initial Energy Storage interconnection application documents such that the Interconnection Request can be submitted within 3 months following an award from NYSERDA.

Exceeding the Threshold: In this category, the TEP will evaluate and award points to Bid Proposals based on the benefits afforded to the electric grid by the Bid Facility if proposing with Energy Storage, including the Energy Storage Capacity and relative level of Energy Storage Capacity to the Bid Facility Nameplate Capacity.

Evaluation will be based in part on the amount of Energy Storage included in the Bid Proposal, and in part on the cost and benefits associated with the addition of energy storage to the Bid Proposal. Bid Facilities paired with Energy Storage may be co-located with the renewable generator or separately located in the NYCA. NYSERDA and the TEP will award more points to Bid Facilities with larger Energy Storage Capacity (MWh), and with a larger relative Energy Storage Capacity (MWh) in relation to the renewable generator Nameplate Capacity (MW).

NYSERDA's evaluation will also attribute more points to Step Two Bid Proposal packages that include Energy Storage. The evaluation will reflect the current costs of energy storage facilities and will examine the benefits afforded by energy storage facilities to transmission-constrained areas of the state's electric grid. The TEP will preferentially evaluate Energy Storage Alternate Bid Proposals that are cost competitive and appropriately sized to the size of the paired generating Bid Facility. The TEP will review the price premiums associated with Alternate Bid Proposals including Energy Storage relative to the corresponding Base Bid Proposals in comparison with current energy storage capital expenditure expectations and with funding available through NYSERDA's Bulk Storage Incentives program. Bid Proposals with lower Energy Storage premiums in dollars per REC will be awarded more points by the TEP than Bid Proposals with higher Energy Storage premiums. Bid Proposals that can be demonstrated to serve acute congestion and/or deliverability needs will be awarded more points by the TEP than Bid Proposals that do not afford similar benefits to the electric grid.

All Proposers are encouraged to explore the feasibility of pairing their Tier 1 Bid Facility with a co-located and/or separately located energy storage facility. Energy storage facilities located in NYISO Zones J and K will be given the greatest weighting increase due to the disproportionate presence of existing generators in Disadvantaged Communities in these regions and in accord with the [PGS Order](#). Energy storage facilities that are strategically sited to alleviate congestion or transmission bottlenecks are preferred and will receive greater weighting. Proposers should also consider the potential grid reliability implications of the energy storage siting and avoid adverse reliability impacts.



Tier 1 Bid Facilities that are paired with co-located and/or separately located energy storage facilities or New Storage Technologies are now eligible to submit Incremental Economic Benefits associated with the awarded energy storage facility. See section 8.3.5 for more information. Proposers are advised that New Storage Technologies are not eligible for Project Viability evaluation, which only applies to electrical energy storage, and that New Storage Technologies will only be eligible for non-price points under the Incremental Economic Benefits to New York State category.

Any Energy Storage facility that has been awarded a utility Bulk Dispatch Rights Contract is not eligible to be paired with a Tier 1 generator, however facilities actively seeking such a contract remain eligible to receive Tier 1 REC Agreement funding. NYSERDA will coordinate with any utility-led solicitations for energy storage to ensure that participating Proposers remain eligible in each solicitation prior to the final determination of awarded contracts.

Only energy storage facilities located in New York State are eligible for evaluation points in this category due to the associated Operational Flexibility benefits afforded to the electric grid.

The TEP may also consider the potential benefits to deliverability that are afforded by repurposing existing or retired fossil fuel facilities. Proposers that can demonstrate material energy deliverability benefits as a result of interconnecting the Energy Storage facility at an existing or retired fossil fuel facility may be eligible for additional points in the evaluation of Energy Deliverability.

#### **4.1.5 Permitting Viability**

Minimum Threshold: Proposers must (1) complete a minimum level of permitting studies based on the expected permitting process of the proposed Bid Facility, (2) submit a complete Permitting Plan that demonstrates awareness of all applicable permitting requirements, includes a reasonable timeline for obtaining permits and authorizations that is consistent with the development plan, and adequately addresses other expected permitting obstacles and/or input from the Bid Facility's host community, and (3) following NYSERDA, TEP, and Specialist Reviewers' assessment of the permitting studies and Permitting Plan, have proposed a Bid Facility that does not have an unreasonably low probability of receiving required permits.

The minimum level of permitting due diligence needed to meet the Minimum Threshold Requirement, determined according to the Bid Facility's expected permitting process:

- Bid Facilities proceeding through the [Office of Renewable Energy Siting](#) (ORES) must substantiate as part of the Step Two Bid Proposal that the following studies have been completed for the Bid Facility site:
  - Wildlife Site Characterization Report<sup>41</sup>
  - Draft Desktop Wetlands and Water Resources Delineation<sup>42</sup>

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<sup>41</sup> [Office of Renewable Energy Siting Regulations and Uniform Standards and Conditions](#) §900-1.3 Pre-application procedures (g) NYS threatened or endangered species.

<sup>42</sup> [Office of Renewable Energy Siting Regulations and Uniform Standards and Conditions](#) §900-1.3 Pre-application procedures (e) Wetland delineation and (f) Water Resources and Aquatic Ecology.

- Draft Field Screening for Wetlands and Water Resources Delineation<sup>43</sup>
- Phase IA Archeological Desktop Survey<sup>44</sup>
- Bid Facilities proceeding through the [New York State Environmental Quality Review Act \(SEQR\)](#)<sup>45</sup> must substantiate as part of the Step Two Bid Proposal that a 1) Full Environmental Assessment Form (FEAF)<sup>46</sup> has been completed and is prepared to be or has been submitted to the applicable lead agency and applicable New York State Department of Environmental Conservation (NYS DEC) Division of Environmental Permits office, or that 2) a finding of no jurisdiction has been provided by NYS DEC following the submission and review of the FEAF for the Bid Facility.
- For Bid Facilities in external control areas, the Proposer will be required to substantiate that an equivalent level of pre-development due diligence has been conducted for the Bid Facility site prior to the submission of a Step Two Bid Proposal. The documentation to be provided to substantiate the Permitting Minimum Threshold Requirements must be outlined by the Proposer in the Step One Eligibility Application such that NYSERDA can confirm or modify any proposed equivalent documentation prior to or as part of the Notice of Qualification.

A detailed description of permitting plan contents and other required narratives is included in Section 8.3.4 and [Appendix 2 – Permitting Plan Requirements and Guidelines](#).

Exceeding the Threshold: Evaluation will be based on the Bid Facility’s demonstrable progress through its applicable permitting process and the completeness and credibility of the Proposer’s plan for successfully obtaining necessary permits within the proposed development schedule. Bid Facilities that have secured relatively more permits needed to construct and operate, have performed more exhaustive permitting activities, and/or have greater knowledge of the Bid Facility site, its permitting requirements, and any planned and/or required mitigation activities will be awarded more points by the TEP.

Permitting Plans that respond more comprehensively to the considerations identified in Appendix 2 – Permitting Plan Impacts and Guidelines, and that provide greater detail into how these impacts will be avoided or mitigated, will be awarded more points by the TEP.

NYSERDA will coordinate with the NYS DEC, acting as a specialist reviewer to inform the evaluation, under which proposals with a more feasible pathway to securing all necessary permits to construct the Bid Facility will be favorably scored compared to proposals that have more material challenges that have not yet been addressed with planned mitigation measures.

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<sup>43</sup> Ibid, implemented through a field effort which would involve preliminary identification and a general description of wetland and water resources, spot checking of soils, shallow hydrography and vegetation at selected locations, apparent functional status, and ground-truthing of various color tones and corresponding ecotones on aerial photographs and maps.

<sup>44</sup> [New York State Historic Preservation Office, Environmental Review Archeological Surveys](#)

<sup>45</sup> [New York State Environmental Quality Review Act \(SEQR\)](#) and [SEQR Handbook](#), Fourth Edition, 2020.

<sup>46</sup> [State Environmental Quality Review Act \(SEQR\) Forms](#), Full Environmental Assessment Form (FEAF) (Appendix A to 6 NYCRR 617.20 - revised January 1, 2019).

#### **4.1.6 Agricultural Land**

Minimum Threshold: Proposers must include in their Bid Proposal a description of any agricultural land that the planned project footprint of their Bid Facility is sited on. This description should include owned, rented, or leased farmland. Proposers will also include a description of any recent agricultural activity occurring on the planned project footprint in the five years prior to the release of RESRFP22-1.

Proposers of Solar facilities will be required to complete and submit the NYSERDA Smart Solar Siting Scorecard (Scorecard), which will allow NYSERDA to score Bid Proposals based on the Bid Facilities expected impacts to active agricultural land and Mineral Soil Groups 1 through 4 (MSG 1-4) and additional measures. NYSERDA is not intending to use the Scorecard as a screening tool to preclude Proposers from receiving a NYSERDA award based on agricultural impacts, nor contractually require avoidance and/or mitigation measures submitted via the Scorecard, however NYSERDA may make the Scorecards for awarded projects publicly available such that the applicable permitting body may reference the Scorecard as part of the permitting process for the Bid Facility.

For large-scale solar Bid Facilities located in a New York State Agricultural District, Proposers are also required to provide preliminary information to estimate an Agricultural Mitigation Payment based on the Bid Facility impacts described in Appendix 2.

NYSERDA will allow Proposers to request deferral and reduction or elimination of an otherwise applicable Agricultural Mitigation Payment requirement if the Proposer is awarded under this RESRFP22-1 and elects to incorporate active agricultural uses into the operation of the Bid Facility in accordance with Section 6.11 of the Agreement and this RESRFP22-1. Proposers that intend to pursue such agricultural co-utilization will be required to (1) describe such agricultural co-utilization in their Permitting Plan and their NYSERDA Smart Solar Siting Scorecard, and (2) submit a completed Agricultural Mitigation Payment Deferral Request Form (which will be made available to eligible Step Two Proposers) with their Step Two Bid Proposal. For more details on agricultural co-utilization practices, deferred Agricultural Mitigation Payment requirements, and agricultural co-utilization plans, please see Appendix 2 to RESRFP22-1 and Section 6.11 of the Agreement.

Exceeding the Threshold: Proposed Bid Facilities will be evaluated based on their expected impacts to active agricultural land, Mineral Soil Groups 1 through 4 (MSG 1-4), and forested lands, as well as any avoidance, mitigation, and/or co-utilization measures that the Proposer is willing to commit to in their Step Two Bid Proposal. Projects that commit to co-utilization measures in their Smart Solar Siting Scorecard, Permitting Plan, and Agricultural Mitigation Payment Deferral Request Form will be viewed favorably in evaluation.

#### **4.1.7 Project Development, Financing and Creditworthiness**

Minimum Threshold: Proposers must demonstrate that they have experience in developing renewable generation facilities. Specifically, the Proposer or the principals in its development team must have developed at least one renewable generation facility of similar or larger scale to commercial operation. NYSERDA will not consider aggregated portfolios of generation facilities as a project under this criterion. For the purposes of this criterion, similar scale is defined as follows:

- A project of at least 33% of the proposed Bid Facility capacity, in MWac; or

- A project of at least 10% of the proposed Bid Facility capacity, in MWac, if the Proposer has also successfully completed the same interconnection process in the same State or Jurisdiction as the proposed Bid Facility.

The Proposer or the principals in its development team must have the required experience successfully developing at least one renewable generation project. Experience of vendors or contractors to the Proposer or the principals in its development team do not count towards this experience requirement.

Proposers must submit a detailed Financing Plan demonstrating a sufficient degree of planning and due diligence on how the Bid Facility is to be financed. Proposers must describe a plan to finance the proposed Bid Facility and if applicable, Energy Storage, including construction and term financing. A description of Financing Plan contents is included in Section 8.3.4. Proposers should include a description of their intention to own and operate the Bid Facility, or if the Proposers intends to sell the Bid Facility to another party.

Proposers must declare whether and to what extent they intend to utilize Production Tax Credit (PTC) or Investment Tax Credit (ITC) as part of their project financing. Proposer's submitting Bid Facilities with an energy storage component must separately declare whether and to what extent they intend to utilize the ITC for the energy storage facility. Proposers should include their assumption of the percentage of their energy production or project costs that will be compensated under the PTC or ITC, including any expanded tax credit eligibility afforded under the Inflation Reduction Act of 2022.

Exceeding the Threshold: Evaluation will be based on the relative level of project development and financing experience demonstrated, particularly with respect to facilities of comparable scale<sup>47</sup> and similar technology<sup>48</sup> and location.<sup>49</sup> Proposals for Bid Facilities that are similar to those projects provided and successfully brought to commercial operation by the Proposer will be awarded more points by the TEP. Aggregated portfolios of generation facilities will not be considered as a "project" under this category. Proposers with relatively higher credit ratings or with relatively more assets (or higher asset/debt ratio) will be awarded more points by the TEP.

#### **4.1.8 Generation Facility Site Control**

Minimum Threshold: The Proposer must demonstrate an executed exclusivity agreement, letter of intent, executed binding option, executed lease, and/or easement with the site owner(s) for the Bid Facility site. The exclusivity agreement(s), letter(s) of intent, or other method(s) of site control must comprise at least 50% of the site's acreage.

For all solar Bid Facilities, the Proposer must also provide a GIS Data Mapping File. Applications that do not provide complete GIS files for the Bid Facility will be deemed incomplete. The GIS data file must be in .shp or .kmz format, and .shp files are preferred. Please provide a separate and distinct file for each of the following:

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<sup>47</sup> Comparable scale is 50% or more of the proposed capacity.

<sup>48</sup> Similar technology is the same resource and prime mover, *e.g.*, solar, wind. It is not meant to distinguish between different solar technologies, for example.

<sup>49</sup> Similar location is the same interconnecting entity.

- 1) The parcel boundaries that the Bid Facility will occupy;
- 2) the Bid Facility Area boundary/impact area; and
- 3) the Bid Facility array footprint (solar), Bid Facility site plan (other technologies).

#### **4.1.9 Interconnection Right of Way Control**

Minimum Threshold: The Proposer must demonstrate full site control of the point of interconnection for the Bid Facility and demonstrate any necessary rights of way associated with reaching the POI. The Proposer must demonstrate the POI is accessible via an exclusivity agreement(s) and/or executed right of way agreement(s) for the necessary rights of way (if the generator lead facilities will be merchant-owned), or (iii) that the right of way is controlled by or assignable to the interconnecting utility that will own the interconnection facilities, or (iv) that the Proposer owns, has executed lease for, easement for, or executed binding option for the Bid Facility's point of interconnection.

#### **4.1.10 Community Engagement**

Minimum Threshold: Proposers must demonstrate that they have been in contact with the local officials for the towns the Bid Facility is sited within regarding the Bid Facility's development. The Proposer must identify the host Authorities Having Jurisdiction AHJ(s) regarding the Bid Facility and ensure local officials are informed of the Bid Facility's participation in RESRFP22-1. Proposers will also be responsible for submitting a complete Community Engagement Plan as described in Section 8.3.4, to be publicly posted following the receipt of Step Two Bid Proposal packages.

All activities undertaken by Proposers related to community engagement must adhere to the requirements outlined under Governor Hochul's phased reopening plan, [New York Forward](#), and all other State, Federal or local rules and guidance, including, without limitation, adhering to and attesting to the current NYS Department of Health (DOH) guidance.

#### **4.1.11 Resource Assessment and Energy Production Estimate**

Minimum Threshold: Proposers are required to provide a Resource Assessment and an Energy Production Estimate for the Bid Facility. The Resource Assessment must approximate the renewable resource typically available on an annual basis to power the Bid Facility. The Energy Production Estimate must estimate the Bid Facility's ability to convert the renewable resource to electric power at the P(50)<sup>50</sup> level. Detailed technology-specific requirements and evaluation criteria for the Resource Assessment and Energy Production Estimate are presented in [Appendix 1 – Resource Assessment and Energy Production Estimate Requirements](#).

The Resource Assessment and Energy Production Estimate must be consistent with and representative of the Bid Facility, long-term conditions at the site, and if applicable, co-located Energy Storage, as proposed to NYSERDA. The Bid Quantity may not exceed the P(50) long-term Energy Production Estimate. The Resource Assessment and Energy Production Estimate must detail the full extent of the

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<sup>50</sup> P(50) represents a level of resource projection or production estimate with a 50% likelihood of being exceeded in any future year. The P(50) value shall be the expected value (*i.e.*, the mean) based on the Proposer's Resource Assessment diligence in accordance with the minimum requirements listed in the section herein for the respective renewable technology.

curtailment assessments performed to demonstrate the deliverability of the Bid Facility and clarify explicitly what the degradation assumptions are for the equipment proposed for the Bid Facility. System loss factors must be detailed, and include auxiliary and parasitic loss, availability loss, curtailment, and operational loss due to Utility or Transmission Operator requirements (e.g., deliverability limitations, VAR/Power Factor support, or other losses) and grid-mandated curtailments due to congestion or emergency. If applicable, the expected efficiency as a result of bifacial panels must be detailed.

For Eligible Upgrades, provision of the Resource Assessment and Energy Production Estimate submitted to obtain a PsoQ or SoQ and the associated Tier 1 certification is sufficient to meet the minimum requirements outlined in Appendix 1 based on the resource type.

Bid Facilities including co-located Energy Storage shall include a P(50) Energy Production Estimate that considers Energy Storage for the Bid Facility, including anticipated losses resulting from the addition of Energy Storage. Solar facilities including Energy Storage must specify if the Energy Storage is AC or DC coupled. Proposers will also be required to explain if and how their P(50) Energy Production Estimate differs from their generator-only bid.

#### **4.1.12 Carbon Emissions and Embodied Carbon**

Minimum Threshold: Proposers must describe how the Bid Facility will actively support the outcomes envisioned by the Climate Act, including a description of the efforts that have or can be undertaken, including any tools or methodologies used, to better understand and consider carbon intensity in design, sourcing and construction, and the steps that have been taken to minimize carbon emissions, including embodied carbon, from the Bid Facility. To the extent discernable at the current stage of development, Proposers should describe and explain the anticipated carbon intensity in Bid Facility design, sourcing, construction, operation, and maintenance.

The Proposer should also propose the methodology by which such reduction activities will be considered and integrated into the Bid Facility's design as the project evolves. Proposers should describe and explain the proposed process by which the Proposer will account for embodied carbon on an ongoing basis through development, construction, and operation of the Bid Facility. This could include the sourcing and manufacturing of primary components such as modules, inverters, turbines, towers, other prime movers, cables, substations, energy storage facilities, and other electric equipment, but should also consider associated activities such as construction, Operation & Maintenance (O&M), and decommissioning. This could also include opportunities to support project component equipment recycling and/or carbon mitigation efforts in collaboration with New York State manufacturing sources.

For Proposals including Energy Storage, the Energy Storage must be addressed in the carbon accounting and minimization plan to the extent possible. Energy Storage projects may directly displace carbon emissions if sited in strategic grid locations which facilitate offsetting fossil fuel generation in downstate New York. The evaluation will not consider avoided emissions associated with the Bid Facility itself.

#### **4.1.13 Non-Viability Determination**

The CES Modification Order authorizes NYSERDA to reject a Bid Proposal based upon a unanimous determination by the TEP that the project is not presently viable. If a Bid Proposal is rejected based on the evaluation of viability, NYSERDA will notify the Proposer of the determination following the submission of the Step Two Bid Proposal and the receipt of responses to any clarifying questions and provide an explanation. Proposers with Bid Proposals that are rejected in this manner will remain

eligible to re-apply in future RES solicitations and will be evaluated again without prejudice. Reasons for a determination of non-viability may include:

- 1) The Bid Proposal is immature to such an extent that it would be impossible to ascertain whether it is viable;
- 2) The Bid Proposal is predicated on unrealistic economic or regulatory assumptions; or
- 3) The Bid Proposal is subject to serious economic, permitting and/or or regulatory risks without a sufficient mitigation plan.

Examples of why a Bid Proposal could be determined to be non-viable include, but are not limited to, failing to meet one or more Minimum Threshold Requirements, a Bid Facility at an early stage of development with a Bid Price that is determined to be insufficient to cover project costs, an unfounded interconnection or permitting mitigation cost estimate and/or a materially high risk of not receiving permits do the Bid Facility's site impact on natural resources.

NYSERDA may seek additional information from any Proposers deemed to have submitted a non-viable Bid Proposal prior to removing the Bid Proposal for consideration. Non-viability determinations will only be recommended for a clear, objective case that the Bid Facility is non-viable based upon the consensus of NYSERDA, TEP, and Specialist Reviewers' assessment of the Bid Facility. If NYSERDA raises a potential non-viability concern for a Bid Facility, the Proposer will be given the opportunity to respond. The time to respond will depend on the nature of the potential non-viability determination but will not be less than five business days.

#### **4.2 Incremental Economic Benefits to New York State Including Disadvantaged Communities**

The TEP will evaluate and award up to 10 points to Bid Proposals based on the degree to which each Bid Proposal demonstrates that Incremental Economic Benefits will accrue to New York because of the development, construction/modification, and operation of the Bid Facility. Incremental Economic Benefits may be claimed in three categories:

- 1) Long-Term Economic Benefits to New York State;
- 2) Short-Term Economic Benefits to New York State; and
- 3) Investments/Commitments to Local Economic and Workforce Development.

Proposers must demonstrate that the incremental economic benefits will (1) will accrue after the release date of this RFP, and (2) would not have accrued but for the issuance of this RFP or award of a contract under this RFP. Incremental Economic Benefits previously claimed with respect to a Bid Facility that is subject to a pending award under a previous solicitation or that is the subject of a current NYSERDA contract are not eligible for evaluation.

Only those Incremental Economic Benefits meeting the eligibility criteria and falling within the defined categories in Section 8.3.5. will be considered for evaluation. For RESRFP22-1, the eligibility criteria has been expanded to include Incremental Economic Benefits associated with the development of awarded New Storage Technology facilities, whether co-located with or located separately from the Bid Facility. See Section 8.3.5 for more information. The TEP will award a maximum of 10 points between the three sub-categories. For Long-Term and Short-Term Economic Benefits, points will be awarded in proportion to the level of eligible claims, normalized across all Bid Facilities by dividing each Bid Facility's eligible claims by that Bid Facility's Bid Capacity (\$/MW). For the third category, economic and workforce

development claims, the TEP will assess the scale and the likely impact of the proposed actions and the firmness of the commitments, with points awarded based on the number, range, maturity, firmness, and credibility of the commitments being made and the scale of the potential benefits. Category 3 consists of economic benefits to New York State that are expected to be provided but may not have a firm dollar value associated with the benefit at the time of the Step Two Bid Proposal. As such, Category 3 commitments should not have dollar values assigned to them, and any claims that the Proposer can commit to with a firm dollar amount to be included in an awarded Agreement as Expected Dollars/MW (See Definitions in the Agreement) should be claimed under Categories 1 and 2.

When evaluating Incremental Economic Benefits under Category 3, The TEP will consider the:

- Nature, quantity and importance of the proposed claims;
- Effectiveness of the approach to developing the proposed claims;
- Supporting documentation to substantiate the nature, firmness, and maturity of the commitments, including, for example, letters of support, memoranda of understanding, letters of intent, option agreements, or binding contracts; and
- Timeframe during which the claims will accrue; the TEP will award more points to investments/commitments related to local economic and workforce development initiatives that are to accrue sooner than to those that will accrue later in the development process.

For this RFP, as discussed in Section 2.5.4, NYSERDA requires a minimum value of iron or steel purchased for the Bid Facility to be manufactured in the United States. The minimum amount of Expected U.S. Iron and Steel Dollars that will be entered in the Agreement will be calculated based on the minimum value per MW of Offer Capacity that corresponds to the Bid Facility technology type: \$54,000/MWac for onshore wind and \$30,000/MWdc for solar.

Claims associated with MWBE and SDVOB will receive greater weight in scoring. Claims associated with Disadvantaged Communities will also receive greater weight in scoring, particularly to the extent that they are included in the Disadvantaged Community Commitments recorded in Section 6.10 of the Agreement. Lower scoring weight will be given to claims in Category 3 and those occurring after the third year of the Contract Delivery Term, and thus not memorialized in the Agreement as Expected Dollars/MW, Expected MWBE and SDVOB Dollars/MW or Expected U.S. Iron and Steel Dollars/MW.

Table 7, below, summarizes the types of economic benefits claims that will receive greater or lower scoring weight. All other New York Economic Benefits will receive a baseline scoring weight (total value of eligible claims, normalized by dividing each Bid Facility’s eligible claims by that Bid Facility’s Bid Capacity (\$/MW)). If a specific claim falls under multiple criteria, such as a MWBE/SDVOB claim benefitting a Disadvantaged Community or a MWBE/SDVOB claim occurring after the third year of the Contract Delivery Term, both weights will be applied.

**Table 7. Economic Benefits Scoring Hierarchy**

<b>Greater Scoring Weight</b>	<b>Lower Scoring Weight</b>
Disadvantaged Communities	Category 3 claims without firm dollar amount commitments
MWBE and SDVOB	Benefits occurring after the third year of the Contract Delivery Term (not contractually committed)



#### **4.2.1 Disadvantaged Communities**

Through this solicitation, NYSERDA seeks to actively support designing the relevant investments made as a result of the awarded Bid Facility(ies) to provide benefits to and reduce burdens on Disadvantaged Communities in accordance with the 2020 CES Modification Order. NYSERDA will favorably evaluate economic benefits to New York State that will be realized in part or in full by Disadvantaged Communities.

The TEP will award more points to Bid Proposals that demonstrate that the associated Incremental Economic Benefits to New York State will be realized in part or in full by Disadvantaged Communities. It is incumbent upon Proposers to clearly identify which Economic Benefits claims and to what extent the benefits will be realized by Disadvantaged Communities, how these claims meet the interim criteria for Disadvantaged Communities, and how the Proposer will substantiate that any Incremental Economic Benefits claimed as being directed to Disadvantaged Communities have accrued to those communities via interim reporting requirements and a final audit of the Proposers' Incremental Economic Benefits claims following the third of year of commercial operation of the Bid Facility. Commitments made by Proposers to benefit Disadvantaged Communities will be incorporated into the Agreement for awarded Proposers. See Section 6.10 of the Agreement.

Proposers that commit to directing economic benefits to Disadvantaged Communities will be materially preferred during the evaluation of Incremental Economic Benefits. Proposers are also strongly encouraged to work with their development partners, including NYSERDA and the NYS Department of Labor, to prioritize the hiring of laborers, working persons, mechanics, other specialized labor, and long-term operations and maintenance staff from Disadvantaged Communities. See Section 8.3.5 for a detailed description of eligibility and the scoring process for Incremental Economic Benefits, the benefits that NYSERDA views as being able to be targeted to benefiting Disadvantaged Communities, and for additional resources available to Proposers to assist in workforce development and local/Disadvantaged Community training and hiring.

The Climate Act directs the [Climate Justice Working Group](#) (CJWG) to establish criteria for defining Disadvantaged Communities. On December 13, 2021, the CJWG voted to release draft Disadvantaged Communities criteria for public comment. Should a final definition for Disadvantaged Communities be adopted prior to the Step Two Bid Proposal submission date for RESRFP22-1, NYSERDA intends to amend RESRFP22-1 to reflect the final definition of Disadvantaged Communities released by the CJWG. However, if a final definition for Disadvantaged Communities is adopted prior to the Step Two Bid Proposal Submission date, incremental economic benefits commitments to Disadvantaged Communities identified under both the interim criteria and the final definition will be accepted in Step Two Bid Proposals.

As the CJWG is working to finalize the criteria for defining Disadvantaged Communities in New York, interim Disadvantaged Communities criteria will apply to all Large-Scale Renewable projects awarded before the final Disadvantaged Communities criteria are finalized. Further resources for identifying interim Disadvantaged Communities are located on NYSERDA's Disadvantaged Communities website.

Once the final Disadvantaged Communities criteria are finalized, they will be incorporated into future solicitations, and an updated map of New York Disadvantaged Communities will be provided for reference to Proposers. Additional resources for identifying draft Disadvantaged Communities are located on the [New York Climate Act website](#).

#### **4.2.2 MWBE and SDVOB**

The TEP will award more points to Bid Proposals that demonstrate that the associated Incremental Economic Benefits to New York State will be realized in part or in full by New York State certified MWBE and SDVOBs<sup>51</sup> in the renewable energy industry and clean energy economy. It is incumbent upon Proposers to clearly identify which Economic Benefits claims and to what extent the benefits will accrue to MWBE and SDVOB and how the Proposer will substantiate that any Incremental Economic Benefits claimed as being directed to MWBE and SDVOB have accrued to those entities via interim reporting requirements and a final audit of the Proposers' Incremental Economic Benefits claims following the third year of commercial operation of the Bid Facility. Commitments made by Proposers to benefit MWBE and SDVOB will be incorporated into the Agreement. See Sections 5.02 (f) and 18.14 of the Agreement.

In evaluating proposals, the TEP will favorably consider programs that invest in the development of local businesses and provide quantifiable metrics to assess the Proposer's capacity building efforts, including number and value of contracts completed, number of employees, wages/salaries paid, increase in trade specialties, customer base, and increased revenue.

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<sup>51</sup> Businesses certified by entities other than New York State will not count toward increased points.

## 5 PRICE EVALUATION & BID PRICE STRUCTURE

### 5.1 REC Products Pricing

Each Step Two Bid Proposal must conform to either the Index REC or Fixed REC pricing structure. Offer prices for each Bid Proposal are all-inclusive; that is, for all components of the Bid Facility.

For both forms of pricing, only level nominal dollar pricing will be accepted. Proposals will be accepted with Contract Tenors of a minimum of one year and a maximum of the Bid Facility's Maximum Contract Tenor, determined by the Bid Facility's technology and vintage.<sup>52</sup>

While all Bid Proposals must employ a single pricing structure, Bid Proposals are permitted to employ different pricing structures for materially different Bid Proposals. For example, if a Proposer submits a Bid Proposal for a Bid Facility without energy storage and a Bid Proposal for the same Bid Facility with energy storage, the two Step Two Bid Proposals may employ different pricing structures, either fixed or index.

NYSDERA cannot adjust the binding Fixed or Index REC Bid Price submitted by awarded Proposers. Bid Proposals should be appropriately priced to reflect all interconnection and transmission upgrade costs required to ensure energy dispatch that is consistent with the Bid Proposal's proposed generation output profile, including transmission and/or distribution network upgrades that may need to occur beyond the point of interconnection.

#### 5.1.1 Fixed REC Pricing

Under the Fixed REC pricing, the Monthly REC Price is equal to the Fixed REC Price.

$$\text{Monthly REC Price} = P^{\text{Fixed}}$$

where:

$$P^{\text{Fixed}} = \text{Fixed REC Price (\$/MWh)}$$

Each month's Fixed REC Price shall be as offered in the Bid Proposal for the relevant Contract Year, with the same Fixed REC Price applied for all months within the Contract Year. The Fixed REC Price shall also be the same for all Contract Years.

#### 5.1.2 Index REC Pricing

Under the Index REC pricing, the Monthly REC Price varies monthly during the Contract Delivery Term and is calculated:

$$\text{Monthly REC Price} = SP^{\text{Index}} - REP - (RCP \times MF)$$

where:

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<sup>52</sup> See Section 8.3.3.

$SP^{Index}$  = Index REC Strike Price (\$/MWh)

$REP$  = Reference Energy Price (\$/MWh)

$RCP$  = Reference Capacity Price (\$/MWh)

$MF$  = Mitigation Factor (%), defined in Section 4.01 of the Agreement

Each month's Index REC Strike Price shall be as offered in the Bid Proposal for the relevant Contract Year, with the same Index REC Strike Price applied for every month of the Contract Tenor.

For Bid Facilities in New York State, each month's Reference Energy Price shall be a simple average of the hourly NYISO Day-Ahead Market (DAM) locational based marginal pricing (LBMP) for the NYISO Zone in which the Bid Facility's Delivery Point is physically located.<sup>53</sup> For Bid Facilities in external control areas, each month's Reference Energy Price shall be a simple average of the hourly NYISO Day-Ahead Market (DAM) locational based marginal pricing (LBMP) for the Proposer-identified NYISO Zone which the Bid Facility will be injecting into.

Each month's Reference Capacity Price will be based on the conversion of a Reference Unforced Capacity (UCAP) Price, equal to the spot auction price in \$/kW-month for the NYISO Zone in which the Bid Facility is located as published by NYISO.<sup>54</sup> For Bid Facilities in external control areas, each month's Reference Capacity Price will be based on the conversion of a Reference Unforced Capacity (UCAP) Price, equal to the spot auction price in \$/kW-month for the Proposer-identified NYISO Zone which the Bid Facility will be injecting into.

The Reference Capacity Price is converted to its \$/MWh equivalent through the following equation:<sup>55</sup>

$$RCP = \frac{RUP \times UPF \times IC \times 1,000}{Total\ RECs} \times \frac{CAF}{Average\ PLW\ Capacity\ Factor\ of\ Representative\ Unit}$$

where:

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<sup>53</sup> Historical daily NYISO DAM LBMPs can be downloaded from the NYISO website at <http://mis.nyiso.com/public/> or <https://www.nyiso.com/custom-reports>.

<sup>54</sup> Historical monthly capacity spot auction prices can be downloaded from the NYISO website at [http://icap.nyiso.com/ucap/public/auc\\_view\\_spot\\_detail.do](http://icap.nyiso.com/ucap/public/auc_view_spot_detail.do) or <https://www.nyiso.com/installed-capacity-market>. NYISO UCAP prices are not reported by Zone, but instead by capacity locality. Capacity localities include New York Control Area (NYCA), Southeast New York (or the G-J Locality), New York City (NYC) and Long Island (LI). Nested capacity localities, for example, New York City inside the G-J Locality, can have the same or a higher price as the capacity locality they are located within. For Zones A through F, refer to the NYCA UCAP price. For Zones G through I refer to the G-J Locality UCAP price. For Zone J, refer to the NYC UCAP price. For Zone K, refer to the LI UCAP price.

<sup>55</sup> For Bid Facilities that propose to begin delivering Tier 1 RECs to NYSERDA prior to the effective date of the new NYISO capacity accreditation tariff rules, i.e., May 1, 2024, NYSERDA will modify the Agreement to allow for the Reference Capacity Price for settlement purposes to be calculated using the formula presented in Section 5.1.2 of [RESRFP21-1](#) for RECs Transferred during the time period from the commencement of the Contract Delivery Term through April 30, 2024.

*RUP* = Reference UCAP Price (\$/kW-month)

*UPF* = UCAP Production Factor (decimal fraction)

*IC* = Installed capacity of the generator (MW)

*Total RECs* = Total number of Tier-1 RECs produced from the Bid Facility in the subject month for such month (including any Tier-1 Renewable Energy Certificates produced in excess of the Annual REC Cap or otherwise not committed for sale to NYSERDA under this Agreement)<sup>56</sup>

1,000 = kW to MW conversion factor

*CAF* = Capacity Accreditation Factor for the resource's Capacity Accreditation Resource Class

*Average PLW Capacity Factor of Representative Unit* = Capacity Factor during Capability Period Peak Load Window hours of the Representative Unit for the Bid Facility's Capacity Accreditation Resource Class

The UCAP Production Factor multiplied by the Bid Facility's installed capacity and the ratio of the Capacity Accreditation Factor to the Peak Load Window capacity factor of the Representative Unit in the Bid Facility's Capacity Accreditation Resource Class is a proxy for the Bid Facility's NYISO UCAP in MW. The Capacity Accreditation Factor(s) and the Representative Unit Peak Load Window Capacity Factor(s) will be specified annually by NYISO over the contract term. The UCAP Production Factor will be specified separately for a Winter Capability Period (November through April) and a Summer Capability Period (May through October). These fixed seasonal UCAP Production Factors will be utilized for the duration of the contract tenor.<sup>57</sup> The UCAP Production Factor can vary in alternative Bid Proposals for a Bid Facility, for example based on the inclusion of energy storage. Proposers are encouraged to consider current guidance from the NYISO's Installed Capacity Manual.<sup>58</sup> Proposers are permitted to select any UCAP Production Factor value between 0 and 1.

NYSERDA is actively monitoring NYISO's implementation of the capacity accreditation rules described in the petition filed with the Federal Energy Regulatory Commission on January 5, 2022 (Docket No. ER22-772) and approved on May 10, 2022. NYSERDA's current expected approach to implementation of NYISO's new capacity accreditation rules, which will go into effect on May 1, 2024, is reflected in the Reference Capacity Price formula presented above and discussed in NYSERDA's recently issued [2022 Large-Scale Renewables Capacity Accreditation Request for Information \(LSRRFI22-1\)](#) and associated [Questions and Answers](#) document. However, NYSERDA reserves the right to revise RESRFP22-1 and/or

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<sup>56</sup> For Upgrade Bid Facilities and Repowering Bid Facilities, the total amount of Tier-1 RECs produced by the Bid Facility, as used in this instance, is adjusted to reflect the Actual Eligible Production.

<sup>57</sup> Fixed, seasonal UCAP Production Factors allow for one fixed winter and one fixed summer UCAP production factor for the duration of the contract tenor.

<sup>58</sup> NYISO Installed Capacity Manual, published February 2021, provides default factors for different resource types and locations [https://www.nyiso.com/documents/20142/2923301/icap\\_mnl.pdf/234db95c-9a91-66fe-7306-2900ef905338](https://www.nyiso.com/documents/20142/2923301/icap_mnl.pdf/234db95c-9a91-66fe-7306-2900ef905338)

to provide Proposers with an opportunity to submit updated pricing if new relevant material information becomes available prior to or after the Proposal Submission Deadline.

## 5.2 Pricing for Alternate Bid Proposals

### 5.2.1 Inflation Risk Adjusted Bid Proposal

For Alternate Bid Proposals in which Proposers opt to include an Inflation Adjusted Bid Proposal, the Index REC Strike Price or Fixed REC Price will be adjusted to account for inflation between the Bid Proposal Submission Deadline and the commencement of Construction Activities related to the Bid Facility. This adjustment, governed by Section 5.03 and Exhibit L of the Agreement, will be based on the PPI All Commodities index.<sup>59</sup> The Index REC Strike Price or Fixed REC Price for the Inflation Adjusted Bid Proposal will be calculated as:

$$REC_{adj} = REC_{bid} \times \left( 0.25 + 0.75 \times \frac{Index_T}{Index_B} \right)$$

where:

$REC_{adj}$  is the Index REC Strike Price or Fixed REC Price after adjustment

$REC_{bid}$  is the Index REC Strike Price or Fixed REC Price as submitted with the Bid Proposal

$Index_B$  is the value of the PPI All Commodities index established prior to the Bid Proposal Submission Deadline

$Index_T$  is the value of the PPI All Commodities index established at the commencement of Construction Activities

0.75 is the share of the Index REC Strike Price or Fixed REC Price to which the inflation adjustment will be applied. The remainder of the Index REC Strike Price or Fixed REC Price (25%) will not be adjusted.

$Index_B$  will be the average of the last six months or two quarters of published data available prior to the Bid Proposal Submission Deadline. For informational purposes only, as of the date of RESRFP22-1 issuance, this value is 269.998. NYSERDA will publish the final  $Index_B$  value that will be used in the Agreement prior to the Bid Proposal Submission Deadline.

$Index_T$  will be calculated as the average of the monthly or quarterly values for the six-month period comprising the three months prior to and following the commencement of Construction Activities.  $REC_{adj}$  will therefore be calculated when the published monthly prices or indices become available, but no earlier than 6 months after the commencement of Construction Activities.<sup>60</sup>

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<sup>59</sup> U.S. Bureau of Labor and Statistics (<https://www.bls.gov/data/>), Series ID WPU00000000, PPI Commodity data for All commodities, not seasonally adjusted.

<sup>60</sup> There is a lag of two months or more from the end of a month to the issuance of a BLS PPI index. The PPI indices are considered preliminary and may be updated by BLS up to four months after publication. The adjusted Index REC Strike Price or Fixed REC Price will not be finalized until the final PPI values are published by BLS.

If a Bid Proposal using the Fixed REC price structure is submitted with inflation adjustment, the adjustment will be applied based only on the Fixed REC price.

### 5.3 Settlement Mechanism

NYSERDA will calculate the Reference Energy Price and Reference Capacity Price for each month according to the calculation outlined in the Agreement. The Monthly REC Price will be calculated during a settlement period following the conclusion of each month. Proposers should reference Article IV. Pricing and Payment of the RESRFP22-1 Standard Form Agreement for the full settlement mechanism.

The Proposer’s selection of the UCAP Production Factors will determine (1) how the project is evaluated on Bid Price and (2) the monthly Reference Capacity Price that the Proposer is paid for the Bid Facility for the Contract Tenor of the Agreement. Under the Agreement’s Settlement, the UCAP Production Factor is not adjusted over the Contract Tenor. NYSERDA encourages Proposers to carefully consider the Summer and Winter UCAP Production Factors that will be included in the Bid Proposal. A low UCAP Production Factor leads to a low Reference UCAP Price and thus a higher Monthly REC Price and higher Monthly Payment, but may be evaluated less favorably in the Bid Price evaluation as it could appear more expensive relative to projects that submit a higher UCAP Production Factor. Conversely, a high UCAP Production Factor leads to a higher Reference UCAP Price and thus a lower Monthly REC Price (and lower Monthly Payment) which will be evaluated more favorably in the Bid Price evaluation, however higher UCAP Production Factors not experienced during operation may put a Bid Facility at risk of an unexpected revenue shortfall.

Table 8 illustrates how the choice of UCAP Production Factors affects the Proposer’s monthly payment for a Solar project, based on an Index REC Strike Price of \$60/MWh, a Reference Energy Price of \$15.00/MWh, a Reference UCAP Price of \$5.00/kW-month, an Installed Capacity of 20 MW, and monthly REC production of 3,600 MWh (equivalent to production in a 30-day month at a 25% capacity factor). The table also reflects the updated Reference Capacity Price formula to accommodate the NYISO’s capacity accreditation market rule changes that will be effective May 1, 2024, additionally assuming a Capacity Accreditation Factor of 20% (an estimated value corresponding to total installed solar capacity of 5,000 MW) and an illustrative Representative Unit Peak Load Window capacity factor of 50%.

**Table 8. UCAP Production Factor Impact on Settlement**

<b>Summer UCAP Production Factor</b>	<b>Reference Capacity Price (\$/MWh)</b>	<b>Monthly REC Price (\$/MWh)</b>	<b>Monthly Payment (\$000)</b>
0%	\$0.00	\$45.00	\$162
25%	\$2.78	\$42.22	\$152
50%	\$5.56	\$39.44	\$142
75%	\$8.33	\$36.67	\$132
100%	\$11.11	\$33.89	\$122

To calculate the amount payable to Seller, the Monthly REC Price will be multiplied by the lessor of (i) the product of the number of RECs produced from Actual Eligible Production in the prior month and the Bid Quantity Percentage, and (ii) the number of RECs delivered into NYSERDA’s NYGATS account. These payments will be calculated after the close of each calendar month during the Contract Delivery Term when NYGATS or the Qualified Independent Party (QIP) provides meter data, typically 15-20 days after month-end. During each month’s settlement period, NYSERDA will only purchase RECs such that the

cumulative RECs purchased in the active Contract Year do not exceed the Annual REC Cap. The Annual REC Cap may be adjusted prior to Commercial Operation, per Article V of the Agreement.

In the case of a negative Monthly REC Price, the associated payment from Seller to NYSEDA will not be cash-settled on a month-by-month basis. Instead, the amount owed from Seller to NYSEDA will accrue as a debit to be deducted from each subsequent monthly payment until fully recovered. If, due to sustained negative REC prices, any such debit goes unrecovered for twelve months, Seller shall pay the unrecovered amount to NYSEDA in cash as described in Section 4.04(c) of the Agreement.

#### 5.4 Bid Price Evaluation

A quantitative method will be applied to all bids in order to screen and rank the pricing bids using a uniform cost metric. For evaluation purposes, bid prices will be converted to a Levelized Net REC Cost (LNRC) in base year \$/MWh for both the Fixed REC Price and Index REC Strike Price bids. The LNRC price measure allows for an equitable comparison among Proposals with different pricing structures, REC quantities, and Contract Tenors. Strike prices will be converted into expected annual REC values by subtracting a forecast of expected Reference Energy Prices and Reference Capacity Prices from the strike prices, based on NYSEDA's forecasts of energy and capacity prices. Neither the price forecasts nor details of the modeling procedures will be disclosed to Proposers.

For evaluation purposes, regardless of the proposed Commercial Operation Date, Bid Proposals for Bid Facilities not yet under operation will be evaluated with a Contract Delivery Term commencement month of January 2025 therefore a  $COMD_p$  of January 2025, and Bid Proposals for Bid Facilities currently operating will be evaluated with a Contract Delivery Term commencement month of July 2023 and therefore a  $COMD_p$  of July 2023.<sup>61</sup>

The LNRC for Proposal  $p$  using pricing form  $f$  is the quotient of the cumulative present value of the annual net REC costs over the proposed Contract Tenor, divided by the cumulative present value of the projected annual number of RECs produced from Actual Eligible Production multiplied by the Bid Quantity Percentage over the same period. The annual quantities are discounted at a real discount rate. The resulting quotient is expressed in base year dollars per REC or MWh.

$$LNRC_{p,f} = PVNRC_{p,f} / PVRQ_p$$

where:

$PVNRC_{p,Fixed}$  = PV of Net REC Cost for Proposal  $p$ , pricing form Fixed (\$ PV)

$$= \sum_{y=COMD_p}^{y=COMD_p+CT_p} \left\{ \sum_{m=1}^{m=12} P_{p,m,y}^{Fixed} \times RQ_{p,m,y} \times BQP_p \right\} \div (1 + NDR)^{(y-Y_b)}$$

$PVNRC_{p,Index}$  = PV of Net REC Cost for Proposal  $p$ , pricing form Index (\$ PV)

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<sup>61</sup> For Bid Facilities that are currently operating and will be evaluated with a COMD of 2023, for the period between July 1, 2023, and April 30, 2024, the REC cost will be calculated using the formula presented in Section 5.1.2 of [RESRFP21-1](#). This evaluation is due to the May 1, 2024, effective date of the new NYISO tariff rules related to capacity accreditation.



$$= \sum_{y=COMD_p}^{y=COMD_p+CT_p} \left\{ \sum_{m=1}^{m=12} (SP_{p,m,y}^{Index} - RPE_{m,y}^{Pred} - RPC_{m,y}^{Pred}) \times RQ_{p,m,y} \times BQP_p \right\} \div (1 + NDR)^{(y-Y_b)}$$

$PVRQ_p$  = PV of REC delivery quantities for Proposal  $p$  (MWh)

$$= \sum_{y=COMD_p}^{y=COMD_p+CT_p} \left\{ \sum_{m=1}^{m=12} RQ_{p,m,y} \times BQP_p \right\} \div (1 + RDR)^{(y-Y_b)}$$

$RQ_{p,m,y}$  = REC delivery quantity for Proposal  $p$  applicable to month  $m$  of calendar year  $y$  (REC or MWh), as provided in Attachment E – P(50) 8760 Template

$RPE_{m,y}^{Pred}$  = Predicted Reference Energy Price index for month  $m$  in calendar year  $y$  (nominal \$/MWh)

$RPC_{m,y}^{Pred}$  = Predicted Reference Capacity Price index for month  $m$  in calendar year  $y$  (nominal \$/MWh)

$BQP_p$  = Bid Quantity Percentage for Proposal  $p$

$COMD_p$  = Calendar month associated with the expected Contract Delivery Term commencement date for Proposal  $p$

$CT_p$  = Contract Tenor for Proposal  $p$

$NDR$  = Nominal Discount Rate (decimal)

$INF$  = Inflation Rate (decimal)

$RDR = (1 + NDR) / (1 + INF) - 1$  = Real Discount Rate

$Y_b$  = Base year for cost and PV

A nominal discount rate of 5.98% per year and a long-term inflation rate assumption of 2.40% per year will be used in the LNRC calculation procedure.<sup>62</sup>

For the Index REC form of pricing, strike prices will be converted into expected annual REC values by subtracting a forecast of expected Reference Energy Prices and Reference Capacity Prices from the strike prices, based on NYSERDA's forecasts of energy and capacity prices. Neither the price forecasts nor details of the modeling procedures will be disclosed to Proposers.

For evaluation of Alternate Bid Proposals that include Inflation Adjustment, a multiplier representing NYSERDA's expectation of the inflation for the identified indices between the Bid Proposal Submission

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<sup>62</sup> The discount rate (DISCO Discount Rate or DDR) and inflation rate for Bid Price evaluation were established by the New York State Department of Public Service Office of Accounting, Audits and Finance, revised February 8, 2022.

Deadline and the estimated date of Notice to Proceed for a Bid Facility with a *COMD<sub>p</sub>* of 2023 or 2025 (depending on whether the Bid Facility is existing or new) will be applied to the Index REC Strike Price or Fixed REC Price to determine the total price used in the evaluation.

NYSERDA is actively monitoring NYISO's implementation of the capacity accreditation rules described in the petition filed with the Federal Energy Regulatory Commission on January 5, 2022 (Docket No. ER22-772) and approved on May 10, 2022. NYSERDA's current expected approach to implementation of NYISO's new capacity accreditation rules, which will go into effect on May 1, 2024, is reflected in Section 5.1.2 Index REC Pricing and the rationale is described in [LSRRFI22-1](#). If the approach is modified, NYSERDA will issue an updated RFP that reflects the changes.

## **5.5 Bid Price Scoring**

For purposes of cost containment, Benchmark LNRCs will be derived for both the Index REC and the Fixed REC. NYSERDA retains the right to reject any and all Proposals that exceed the applicable Benchmark LNRC. Use of the Benchmark LNRCs will support a reasonable balance between encouraging investment in new renewable projects and protecting ratepayer interests from the incurrence of any deadweight costs associated with accepting a Proposal at any price.

All bids, including both Index REC bids and Fixed REC bids, will be sorted in ascending order per LNRC. The lowest bid per the LNRC will receive the maximum points available for the Bid Price component (70 points) and higher LNRCs will receive lower scores (less than 70 points). NYSERDA will implement a method that ensures that the scores of higher LNRCs are sufficiently dispersed below the maximum of 70 points such that the final score aggregating Bid Price, Project Viability and OpFlex, and Incremental Economic Benefits retains the intended scoring emphasis on the LNRC to the maximum reasonable extent.

## **6 PRELIMINARY RANKING, PORTFOLIO EVALUATION, AND FINAL AWARD GROUP**

### **6.1 Preliminary Rank Order**

A preliminary final ranking of Bid Proposals will be established based on the sum of the TEP scores for the non-price categories (Project Viability and OpFlex and Incremental Economic Benefits), and the points awarded for the Levelized Net REC Cost as a result of the Bid Price evaluation.

### **6.2 Portfolio Risk Factors**

Following the development of the preliminary rank order, NYSERDA may recommend modifying the award group, in consultation with DPS, to make adjustments to the final recommended award group. NYSERDA may consult with subject matter experts, including DPS Staff, NYISO, and the distribution utilities to assess the portfolio of received bids to inform the potential employment of a Portfolio Risk Factor(s).

NYSERDA, in consultation in DPS, may recommend adjustments to the final award group to (1) remove Bid Proposals from the final award group to avoid material risks to the portfolio (as described in factors 1-4 below), and/or (2) add Bid Proposals to the final award group that provide material benefits to the portfolio (as described in factors 1-4 below). Any additions will be made in accordance with the order of the initial preliminary ranking. NYSERDA, in consultation with DPS, may make such adjustments if the adjustments result in:

- 1) A decrease in a heavy concentration of renewable generation in a location within the award group and/or among previously contracted projects;
- 2) A decrease in a heavy concentration of any one technology comprising the award group;
- 3) A portfolio that results in lesser estimated levels of physical curtailment to itself and/or the existing portfolio of contracted renewable projects to New York State and/or to other proposed RESRFP22-1 awards, and/or that includes projects/project configurations with mitigation factors to address curtailment; and/or
- 4) A portfolio that results in materially lesser risk of project attrition that includes projects/project configurations with low permitting feasibility risk.

These modifications may be made if comparable projects based on price and non-price factors are available in the preliminary ranking of Bid Proposals and material benefits or avoidance of material risks to the final award group are identified.

### **6.3 Final Award Group**

After determining whether any the Portfolio Risk Factors should be employed to modify the final rank order, NYSERDA and DPS will arrive at a final award group. NYSERDA and DPS may also establish a waitlist of Bid Facilities in rank order for Bid Facilities ranked below those Bid Facilities offered an initial award. The submission of a Step Two Bid Proposal will constitute a binding offer to contract under the terms of the Agreement; such offer must remain open for a period of at least one hundred and twenty (120) days from the Step Two Bid Proposal deadline.

NYSERDA reserves the right to reject or accept any or all bids. NYSERDA may consider information provided by Proposer in response requests for additional information in accordance with Section 9 or

otherwise obtained by NYSERDA as to indictments, convictions, enforcement proceedings, investigations, and significant character or ethical questions in accepting or rejecting a bid. NYSERDA also reserves the right to solicit revised Bid Prices and/or to make counteroffers as it deems appropriate. Notification of a re-bid, counteroffer or selection will be made by voice communication and via the solicitation website to the Proposer's Project Sponsor(s). Proposer's Project Sponsor(s) must be authorized to respond and to commit to counteroffers on behalf of Proposer.

NYSERDA will then notify Proposers with Bid Facilities contained in the final award group both by voice and written communication to Proposers' Project Sponsor(s) and Authorized Representative(s). Proposers awarded a REC Agreement under RESRFP22-1 will be required to execute a Non-Disclosure Agreement affirming the confidential nature of the award prior the public announcement of the RESRFP22-1 final award group. The date upon which NYSERDA provides such written notification shall be the Award Notification Date. Once selected for an award, Proposers must negotiate a final version of the Agreement with NYSERDA. As a reminder, NYSERDA cannot adjust the Fixed or Index REC Bid Price and other settlement-related terms submitted by Proposers following the notification of an award, either upon award or during the Contract Tenor. NYSERDA will not entertain requests for material modifications to the Standard Agreement.

## 7 STEP ONE ELIGIBILITY APPLICATION

Step One is an initial qualifying step through which the Proposer must provide documentation confirming that the Bid Facility is registered in NYGATS as Tier 1 eligible and other key information about the Proposer and the Bid Facility.

A complete Step One Eligibility Application consists of the following components:

- 1) The letter received in the Proposer's NYGATS account from NYSERDA confirming that the application for Tier 1 eligibility (SoQ or PSoQ) has been approved.
- 2) An electronic form regarding general information about the Proposer and the Bid Facility for which the SoQ/PSoQ was granted. This will include Proposer contact information, and Bid Facility including name, nameplate capacity, expected annual generation, interconnection location (*e.g.*, NYISO Zone), host community or communities, intended pricing structure (Fixed REC or Index REC; not binding), and whether energy storage is to be included.

Instructions on how to submit a full Step One Eligibility Application are available on the [solicitation website](#). Proposers whose Step One Eligibility Applications are found to be complete and that demonstrate eligibility will receive a Notice of Qualification, which will provide Proposers with a description of and access to the process and forms to be used to submit a Step Two Bid Proposal.

### 7.1 NYGATS Registration and Request for NYGATS Resource Eligibility Determination; Provisional Statement of Qualification (PSoQ) or Statement of Qualification (SoQ)

All Tier 1 eligibility applications to obtain an PSoQ/SoQ must be approved in the New York Generation Attribute Tracking System (NYGATS). Proposers can access the NYGATS system at the following links:

- New User Registration: <https://nygats.ny.gov/ng/Admin/Account>
- Existing User Sign-In: <https://nygats.ny.gov/>

Requests to obtain Tier 1 certification are completed in NYGATS. To complete a request, Proposers must create a NYGATS account, complete a project registration for the Bid Facility, and once the registration is approved, complete an application requesting a Resource Eligibility Determination, in the form of either a Statement of Qualification (SoQ), for facilities in operation at the time of request, or a Provisional Statement of Qualification (PSoQ), for facilities not yet in operation at the time of request. The SoQ/PSoQ certifies that a Bid Facility has met or will meet the eligibility requirements under Tier 1 of the RES.<sup>63</sup> NYSERDA will notify the Proposer of its eligibility determination by posting a letter in the Proposer's NYGATS account associated with the Bid Facility.

The Bid Facility characteristics submitted for the NYGATS project registration must align as closely as possible with the characteristics intended to be submitted as part of a Step Two Bid Proposal (*e.g.*, Nameplate Capacity, NYISO Zone). Alternate Applications and Bid Proposals do not require a separate PSoQ in NYGATS (*e.g.*, Bid Facilities seeking to submit the project as different Nameplate Capacities).

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<sup>63</sup> See <https://www.nyserdanewyork.gov/All-Programs/Clean-Energy-Standard/Renewable-Generators-and-Developers/RES-Tier-One-Eligibility/Certification>

Step One Eligibility Applications with a different Nameplate Capacity than the Bid Facility's PSoQ must be smaller than the Nameplate Capacity associated with the PSoQ.

**The application requesting a Resource Eligibility Determination must be completed in NYGATS by 3:00 p.m. ET on Wednesday, November 2, 2022.** This will enable NYSERDA to complete the Tier 1 eligibility determination prior to the deadline for submitting the Step One Eligibility Application.

More information on the Resource Eligibility Determination process, including guidelines for documenting eligibility for certification, including the eligibility of distributed energy resources, Upgrades, relocated facilities and facilities returning to service can be found on [NYSERDA's RES Tier 1 Eligibility website](#).<sup>64</sup> Training materials for using NYGATS to apply for an eligibility determination may be found on the [NYGATS website](#).<sup>65</sup>

## **7.2 Consistency with Existing SoQ or PSoQ**

For a Bid Facility with an existing SoQ or PSoQ, a Step One Eligibility Application submitted for the Bid Facility under this RESRFP22-1 must be consistent with the existing SoQ or PSoQ. Some resource changes, for example a change in the Technology Type, Nameplate Capacity, Control System Operator, New York Independent System Operator (NYISO) Zone, Electric Utility Company, Tariff Type, Vintage Type, Bid Facility address, or other key project components will require Proposers to submit either (1) an SoQ or PSoQ revision, or (2) a request for a new SoQ or PSoQ. NYSERDA will work with the Proposer to rectify any discrepancies. If assistance is needed, please contact [res@nysesda.ny.gov](mailto:res@nysesda.ny.gov) with a subject line "SoQ/PSoQ Assistance."

## **7.3 Executive Order No. 16 Certification**

A Certification Under Executive Order No. 16, as published by the Office of General Services and available here: <https://ogs.ny.gov/EO-16>, must be submitted for the Proposer as part of the Step One Eligibility Application. See Section 11.11 for additional information on Executive Order No. 16.

## **7.4 Executive Order No. 192 Certification**

As per Executive Order 192, NYSERDA is required to do business only with responsible entities. As a result, a Vendor Responsibility Review will be conducted for all RESRFP22-1 Step One Proposers. Proposers will be required to complete the Vendor Responsibility Checklist found as part of the Step One Eligibility Application submitted on the solicitation website. The Vendor Responsibility Checklist requires that the Proposer answer a series of questions regarding the Proposer, and the directors, employees and agents of Proposer and any affiliate of Proposer with respect to: (1) current investigation(s) by any governmental agency; (2) convictions or established liability for any act prohibited by State or Federal law in any jurisdiction involving conspiracy, collusion or other impropriety with respect to offering on any contract; or (3) any debarment action (detail any exceptions), within the last 4 years.

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<sup>64</sup> <https://www.nysesda.ny.gov/All-Programs/Programs/Clean-Energy-Standard/Renewable-Generators-and-Developers/RES-Tier-One-Eligibility/Eligibility>

<sup>65</sup> <https://www.nysesda.ny.gov/All-Programs/Programs/NYGATS/Registration-Documents>

The Vendor Responsibility Checklist will also include the Proposer's attestation regarding the accuracy and truthfulness of the information and documentation provided by the Proposer. The NYSERDA Large-Scale Renewables program team will review and the responses to the Vendor Responsibility Checklist and reserves the right to make a determination of vendor responsibility if a non-responsibility concern is noted.

## **7.5 Committed Upgrades**

If a Proposer is considering submitting a Bid Proposal with Committed Upgrades, the Proposer must indicate this at the time of the Step One Eligibility Application such that NYSERDA can detail in the Notice of Qualification, if the project is deemed eligible to proceed to Step Two, what data requirements are needed by the Proposer to be submitted with the Step Two Bid Proposal to ensure the alternate Bid Proposal is eligible for evaluation.

## **7.6 Deadline for Submitting a Step One Eligibility Application**

Proposers must submit the full Step One Eligibility Application, including an approved PSoQ or SoQ, via the [solicitation website](#) by **3:00 p.m. ET on Wednesday, November 30, 2022**.

## **7.7 Upgrade and Repowering Bid Facilities**

Proposers that intend to submit bids for incremental Upgrades must utilize the Tier 1 Upgrade Percentage determined in the NYGATS SoQ or PSoQ. The Tier 1 Upgrade Percentage will be used in both the Step One Eligibility Application and Step Two Bid Proposal to ultimately determine a Bid Facility's Bid Quantity.

Upgrade Bid Facilities require a PSoQ, not an SoQ, if the proposed Upgrade Bid Facility is not yet in operation.

To obtain a PSoQ for a project already in commercial operation planning an Upgrade, the Proposer will need to register a new provisional project and submit a request for a PSoQ for the incremental production. The provisional Nameplate Capacity (MW-AC) entered by the Proposer should indicate the total capacity of the Bid Facility after the Upgrade. After the provisional project registration is approved, the applicant can submit a PSoQ request for the incremental production associated with the Upgrade. See Section 7.3 of the [New York State Clean Energy Standard RES Tier 1 Certification Submission Instructions and Eligibility Guidelines](#) for information on technology-specific PSoQ requirements for Upgrade Bid Facilities.

Repowering Bid Facilities require a PSoQ, not an SoQ, if the proposed Repowering Bid Facility has not yet undergone the required capital improvements to qualify as Tier 1. Proposers are advised to consult the CES Modification Order for the full requirements to qualify a repowered facility as Tier 1 eligible.

For all technologies except Hydroelectric, the Repowering must include replacement of each prime mover. The Repowering must result in an overall increase of 15% or more in the production of the generation unit compared to its projected future output. A third-party engineering report will be required to verify the projected generation through the Tier 1 certification process. The third-party engineering report must include:

- For the original project:

- Commercial Operation date – Month/Year
- Description of age and useful life or prime mover, equipment, and other project specific details (Nameplate Capacity in MWac, Capacity Factor, etc.)
- Useful life end date of the original project – Month/Year
- All available historical generation associated with the original project – MWh/year
- If applicable, the projected generation for each year of remaining useful life of original project – MWh/year —
- For the Repowering Bid Facility:
  - Actual or anticipated Repowering Date – Month/Day/Year
  - Description of prime mover replacement, equipment, and other project specific details (Nameplate Capacity in MWac, Capacity Factor, etc.) as planned or completed
  - Projected generation for the repowered project for each year of remaining useful life (e.g., P(50) 8760, Resource Assessment and Energy Production Estimate in MWh)

The data provided in the third-party engineering report will assist NYSERDA in determining Tier 1 Eligible generation associated with Repowering Bid Facilities on a 12-month basis, starting the first of the month after the actual or anticipated Repowering date. Generation beyond what has been projected in the engineering report for each year of remaining useful life will be Tier 1 eligible. Once the useful life of the original project is met, all generation (100%) from the Repowering Bid Facility will be Tier 1 Eligible.

Bid Facilities that have not reached the end of their useful life may be eligible for a portion of their generation to be Tier 1 eligible prior to the end of the useful life based on the results of the required third-party engineering report. Prior to the end of the Bid Facility's useful life, the percentage increase in generation attributable to the Repowering will be Tier 1 eligible. Once the useful life of the original project is met, all generation (100%) from the Repowering Bid Facility will be Tier 1 Eligible. The Repowering must have the result that 80% of the GAAP tax basis from the completed Repowering Bid Facility (not including its property and tangible assets) is derived from capital expenditures made on or after the October 15, 2020 issuance of the CES Modification Order. An independent audit and verification will be required. Certification will be required and submitted at the time of the resource eligibility determination under Tier 1 of the RES. Proposers are encouraged to reference Section 7.6 Repowering Project of the [New York State Clean Energy Standard RES Tier 1 Certification Submission Instructions and Eligibility Guidelines](#) to review the full scope of requirements for Tier 1-eligible Repowering Bid Facilities and the requirements for third-party engineering reports needed to demonstrate provisional Tier 1 eligibility.



## 8 STEP TWO BID PROPOSAL

Proposers who receive a Notice of Qualification will be invited to submit a Step Two Bid Proposal which will require the Proposer to provide additional information including a Bid Price and more detailed information about the Bid Facility and the Proposer. All Step Two Bid Proposals must be submitted electronically via the [solicitation website](#). Instructions on how to submit a Step Two Bid Proposal will be provided to eligible Proposers that are issued a Notice of Qualification. Following the submission of a Step Two Bid Proposal, NYSERDA may request in-person and/or videoconference interviews with Proposers, to be scheduled at a mutually convenient time following the Step Two submission deadline.

**Only those Proposers qualified through the Step One Eligibility Application process will be permitted to submit a Step Two Bid Proposal.**

Under Step Two, NYSERDA will: (1) examine each Step Two Proposal to determine whether the Proposal demonstrates that the Bid Facility and Proposer meet the Minimum Threshold Requirements; and (2) for Proposals that meet those minimum requirements, NYSERDA and the TEP will conduct a full competitive evaluation based on price and non-price factors.

NYSERDA may permit Proposers to cure deficiencies in Step Two Bid Proposal packages, however packages that are incomplete, non-responsive to cure requests, or that failed to complete Step One may be rejected.

A Proposer may not condition the acceptance of one Step Two Bid Proposal based on the withdrawal or acceptance of other Proposals.<sup>66</sup> A Step Two Bid Proposal may not be contingent on the receipt of any federal tax credits or incentives.

RESRFP22-1 is a competitive procurement. The Agreement is a legally binding document; it is recommended that Proposers consult with an attorney. The CES Framework Order, subsequent Implementation Plans and corresponding Orders, and NYS competitive procurement rules limit NYSERDA's ability to alter the terms of the Agreement issued with this RFP. However, as part of the Step Two Bid Proposal, Proposers may indicate terms of the Agreement that they wish to further discuss by providing an attachment in the form of a memorandum. The memorandum should specifically identify any terms and conditions that the Proposer wishes to clarify or negotiate prior to execution. When constructing the memorandum, please identify the Section in the Agreement and state the nature of the issue to be discussed. Should the Bid Facility receive an award, NYSERDA will contact Proposers to schedule a discussion regarding the terms identified in the memorandum.

The indication by a Proposer that it wishes to negotiate the terms of the Agreement will have no impact on the scoring or evaluation of the Bid Proposal.

### 8.1 Deadline for Submitting a Step Two Bid Proposal

The complete Step Two Bid Proposal package must be **received** by NYSERDA no later than **3:00 p.m. ET on Thursday, February 9, 2023**, via the [solicitation website](#). NYSERDA strongly recommends that

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<sup>66</sup> NYSERDA will award at most one Bid Proposal per Bid Facility.

**Proposers reserve ample time to address the requirements for each Bid Facility. The Step Two Bid Proposal package must be completed and submitted online, before the deadline.**

All electronic signatures must be provided as indicated. Failure to provide any attachments or information requested may result in the Step Two Bid Proposal package being declared non-responsive and rejected. NYSERDA may request additional information and materials at any time. Step Two Bid Proposal packages become the property of NYSERDA. NYSERDA recommends that Proposers use Google Chrome when accessing the solicitation website to complete a Step One Eligibility Application and Step Two Bid Proposal. Unnecessary attachments or lengthy responses beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal.

## **8.2 Alternate Bid Proposal Submission Requirements**

Should a Proposer wish to submit a Step Two Bid Proposal which 1) modifies the Nameplate Capacity of the Bid Facility, 2) includes Energy Storage, and/or 3) utilizes the Inflation Risk Adjusted Bid Proposal mechanism, the Proposer will need to complete separate Step Two Bid Proposals, one Base Proposal and one or more Alternate Bid Proposals with the applicable modification(s). The submission of Alternate Bid Proposal(s) does not require multiple Bid Fee payments- Bid Fee requirements are only based on the Bid Facility.

## **8.3 Step Two Bid Proposal Requirements**

A complete Step Two Bid Proposal package consists of:

- 1) Step Two Bid Proposal Form, to be complete on the solicitation website, with all required fields populated prior to submission;
- 2) Binding Bid Quantity, Bid Price (Fixed REC or Index REC), and Contract Tenor;
- 3) Supporting documentation for the following Project Viability and OpFlex categories:
  - a. Energy Deliverability;
  - b. Peak Coincidence;
  - c. Interconnection;
  - d. Energy Storage (if applicable);
  - e. Permitting Viability;
  - f. Agricultural Land;
  - g. Project Development, Project Financing and Creditworthiness;
  - h. Site Control;
  - i. Community Engagement;
  - j. Resource Assessment and Energy Production Estimate; and
  - k. Carbon Emissions and Embodied Carbon.
- 4) Public-facing documents to be posted to NYSERDA's website following the receipt of bids, including:
  - a. Attachment B. Public Release of Bid Facility Information;
  - b. Community Engagement Plan.
- 5) If applicable, supporting documentation to substantiate claims of Incremental Economic Benefits to New York State;
- 6) Payment and proof of the provision of a Bid Fee, such as a receipt of transfer confirmation; and,
- 7) Other information required by NYSERDA, including contain in or refenced in the Bid Proposal form

NYSERDA recommends that Proposers mark materials provided to NYSERDA as Confidential as needed (see Section 11.1). All Proposers will be required to submit their Step Two Bid Proposals via the [solicitation website](#) and will be required to use the forms shared by NYSERDA following eligibility determinations that will be shared via the Notice of Qualification, such as Attachment C. Bid Data Form.

### **8.3.1 Bid Proposal Form and Project Descriptions**

The information and supporting documentation provided with the Step Two Bid Proposal will be evaluated by NYSERDA to determine whether the Minimum Threshold Requirements have been met and/or exceeded. A completed Step Two Bid Proposal must include, but is not limited to, the information in the following sections, and must be submitted via the solicitation website prior to the Step Two Bid Proposal deadline. All required fields must be populated, and all required documents uploaded prior to submission.

#### **Minimum Threshold Requirement Descriptions**

The Proposer must provide narrative descriptions detailing how the Bid Facility, and if applicable, Energy Storage, meets and/or, if applicable, exceeds the Minimum Threshold Requirements in each applicable category. (See Section 8.3.4.)

#### **Bid Facility, Site, and Generating Equipment Descriptions**

The Proposer must provide a complete description and overview of the Bid Facility, describing the area included in and surrounding the generation site, a description of the local zoning, and other applicable ordinances and municipal laws, existing land use (*e.g.*, woodlands, brownfield, agriculture, other) and setting (*e.g.*, rural, urban, suburban, other) and describe what the site(s) has been used for in the recent past. Include and describe the status and development stage of Bid Facility (development, construction, or operation). Include information about the specific technology or equipment considered or selected, major equipment to be used, manufacturer or vendors considered or selected, equipment acquisition status, and equipment contract/equipment agreement status. Certain non-binding resource-specific details may be requested by Proposers (*e.g.*, planned module and inverter, expected production increase from bifacial/tracking modules, storage round trip efficiency losses, *etc.*).

The Proposer must identify potential fatal flaws and most critical impacts for the Bid Facility. Risks should be ranked by priority and level of impact to the Bid Facility site viability to proceed under the proposed schedule.

#### **Bid Facility Interconnection Description and Preliminary Cost Estimate**

The Proposer must identify the proposed interconnection point(s) and provide a complete description and overview of the preferred interconnection route of the Bid Facility from the generation site, including what rights the Proposer has to the interconnection point(s), what type(s) of real property agreement(s) or land agreement(s) the Proposer has entered to gain interconnection site control, and any rights that must be obtained by the Proposer or interconnecting utility for the interconnection. The Proposer will be required to provide a thorough description of the interconnection assumptions for the Bid Facility and the rationale that lead to the proposed point of interconnection configuration (*e.g.*, usage of a 'single line tap' vs. a 'three-breaker station' connection POI configuration).

Proposers must provide a preliminary estimate regarding the expected cost, pursuant to the applicable OATT Interconnection Procedure, to interconnect the Bid Facility. Estimated costs should be separated into the following categories: expected costs to obtain Energy Resource Interconnection Service (“ERIS”) rights, expected costs to obtain Capacity Resource Interconnection Service (“CRIS”), and any other associated interconnection costs (e.g., Headroom payments, elective system upgrade facilities, etc.) not captured in the previous categories and total aggregate of estimated interconnection costs.

Table 9 provides average interconnection costs by project types based on a non-exhaustive sample of interconnection costs as published in publicly available NYISO studies.<sup>67</sup>

**Table 9. Average Interconnection Costs by Project Type**

Facility Type / kV Level of POI	Sample Size	Average Nameplate Capacity (MW)	Average Interconnection Cost per MW (\$000) <sup>68</sup>
Small Generator, Local Low Voltage (13.8-46 kV)	7	19	\$106
Small Generator, Local High Voltage (69-115 kV)	20	20	\$149
Large Generator, Local High Voltage (69-115 kV)	21	101	\$123
Large Generator, Bulk Transmission (230-345 kV)	6	205	\$118
<b>Total or Average</b>	<b>54</b>	<b>72</b>	<b>\$130</b>

If land needed to access the interconnection point(s) is not controlled, provide a detailed plan and timeline for the acquisition of any additional rights necessary for the right-of-way to the interconnection point(s). Identify and describe the individual land parcels associated with the interconnection and any rights of way needed. If applicable, fully describe the relationship of the site to other adjacent infrastructure, including preferred or alternate point(s) of interconnection (POI). Please indicate whether there are known risks or uncertainty associated with the preferred POI. If the Proposer is planning on using an adjacent parcel or if the right of way is controlled by or assignable to the interconnecting utility that will own the interconnection facilities, clearly explain this in the description. Proposers should specify and describe the current or new interconnection facilities (lines, transformers, switching equipment, system control protection, etc.) that the Proposer owns or is intending to construct or have constructed in order to deliver the proposed energy (including costs), and identify the closest Bulk Power Transmission Facility (BPTF) to the Bid Facility site.

**Committed Upgrades Description (if applicable)**

Proposers will be permitted to bid with Committed Upgrade(s) that will improve the Bid Facility’s deliverability. If a proposer bids with Committed Upgrades to transmission infrastructure, the Proposer must provide a complete description of the Committed Upgrade(s), to include its location, size,

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<sup>67</sup> Costs available via <https://www.nyiso.com/regulatory-viewer>. Interconnection costs are for benchmarking purposes only- individual project interconnection costs may vary significantly from these average costs based on project- and point-of-interconnection-specific characteristics. Proposers are strongly encouraged to consult with the NYISO and connecting transmission owner (CTO) prior to estimating a Bid Facility’s interconnection costs and submitting a bid to RESRFP22-1.

<sup>68</sup> Highly variable dependent upon the project location, electrical topology (e.g., single line tap, three breaker ring bus, five breaker ring bus), and voltage level of the POI. In addition to consulting with the NYISO and CTO, additional resources including each CTO’s electrical service bulletin for the applicable generator type may be of service to Proposers.

technology, estimated impact on deliverability and expected cost of the Committed Upgrade(s). The expected cost and scope of the Committed Upgrade(s) must be confirmed by the results of Facilities Study or a more advanced interconnection study performed by the control area operator and/or interconnecting utility.

### **Impacts on Disadvantaged Communities Description**

The Proposer must provide a complete description of the benefits and burdens associated with the development of the Bid Facility on any host communities or proximate communities designated as Disadvantaged Communities.

### **Energy Storage Site and Equipment Description (if applicable)**

The Proposer must provide a complete description and overview of the Energy Storage,<sup>69</sup> describing the area included in and surrounding the Energy Storage site, a description of local zoning, other applicable ordinances and municipal laws, if the Energy Storage component is not co-located with the Bid Facility, describe the existing land use (*e.g.*, woodlands, brownfield, agriculture, other) and setting (*e.g.*, rural, urban, suburban, other) and describe what the Energy Storage site has been used for in the recent past. Include and describe the status and development stage of Energy Storage (development, construction, or operation). Include information about the specific technology or equipment considered or selected, major equipment to be used, manufacturer or vendors considered or selected, equipment acquisition status, and equipment contract/agreement status.

If an award includes Energy Storage, the Proposer must agree to reasonably participate in an Energy Storage Technical Working Group (ES TWG) and its associated activities.

### **Energy Storage Interconnection Description (if applicable)**

The Proposer must provide a complete description and overview of the planned interconnection of the Energy Storage, including how the Proposer plans to gain interconnection site control and any rights that must be obtained by the Proposer or interconnecting utility for the Energy Storage interconnection. Identify and describe the individual land parcels associated with the Energy Storage interconnection and any rights of way needed. If applicable, fully describe the relationship of the site to other adjacent infrastructure, including planned or alternate points of interconnection. If the Proposer is planning on using an adjacent parcel or if the right of way is controlled by or assignable to the interconnecting utility that will own the interconnection facilities, clearly explain this in the narrative. Specify and describe the current or new interconnection facilities (lines, transformers, switching equipment, system control protection, *etc.*) that the Proposer owns or is intending to construct or have constructed in order to deliver the proposed energy.

### **Impacts of COVID-19 on Proposer and Project Development**

The Proposer must describe how the COVID-19 pandemic and associated impacts have affected and/or continues to affect their business operations, including supply chain constraints, the process of

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<sup>69</sup> The description must include an overview of the Energy Storage component, including the Storage Unit(s), Interconnection Facilities up to the Point of Interconnection, Prevention Equipment, and Protective Apparatus together with all materials, equipment systems, structures, features and improvements necessary to safely store, charge and discharge electric energy.

developing new projects, and the content of the Bid Proposal. For the avoidance of doubt, the content of this section of the Proposal is informational only and will not affect the scoring of the Bid Proposal.

### **Department of Commerce Antidumping/Countervailing Duty Investigation (if applicable)**

Proposers bidding Solar Bid Proposals must describe how the U.S. Department of Commerce investigation<sup>70</sup> has affected the timing and expected costs of equipment for their Bid Facility. This description should include what equipment Solar bidders intend to use, and whether their original procurement plan has changed after the announcement of the U.S. Department of Commerce investigation and in what ways their procurement plan has changed. For the avoidance of doubt, the content of this section of the Proposal is informational only and will not affect the scoring of the Bid Proposal.

### **Bid Facility Project Schedule**

If the Bid Facility, and if applicable, Energy Storage, is under development, the Step Two Bid Proposal package must populate a complete Bid Facility Project Schedule, detailing key development milestones. Proposers must provide all project schedule details on the Project Schedule page of the Step Two Bid Proposal on the [solicitation website](#).

Proposers shall include a narrative that describes each segment of the process, the required permit or approval, the status of the request or application and the basis for project success by the milestone date provided. If the Bid Facility is Operational, a completed Project Schedule is not required.

### **Confidentiality**

The Step Two Bid Proposal allows the Proposer to indicate whether Proposer wishes to have the information in the Bid Proposal package treated as proprietary or confidential trade secret information. NYSERDA is subject to and must comply with the requirements of New York's Freedom of Information Law ("FOIL" see Public Officers' Law Article 6). Information in any tangible form including any document that Proposer wishes to be protected from disclosure to third parties including any information provided as a part of a proposal must be marked "Confidential" or "Proprietary" at the time such information is provided to NYSERDA.

NYSERDA reserves the right to publish the Agreements executed with awardees, including relevant terms within the Agreements. Prior to such publication, NYSERDA will redact any critical electric infrastructure information (CEII) contained in the Agreements, if any, including in the exhibits thereto, and will consider requests to redact confidential business information; provided, however that NYSERDA will not entertain any request to redact price information contained in this Agreement, specifically the Bid Price.

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<sup>70</sup> Department of Commerce, International Trade Administration, [A-570-979, C-570-980], "Crystalline Silicon Photovoltaic Cells, Whether or Not Assembled Into Modules, From the People's Republic of China: Initiation of Circumvention Inquiry on the Antidumping Duty and Countervailing Duty Orders."

### **8.3.2 Bid Quantity, Price, and Contract Tenor**

The Bid Quantity, Bid Price, and Contract Tenor section includes fields for the Proposer to calculate the annual number of Tier 1 RECs (Bid Quantity) to be offered to NYSERDA and the Contract Tenor, subject to the following restrictions:

- 1) Proposers may submit bids for any Contract Tenor of a minimum of one year and a maximum of the Maximum Contract Tenor.
- 2) For wind, solar, and hydroelectric resource types, the Expected Annual Eligible Production and Bid Quantity shall not exceed the P(50) long-term Energy Production Estimate provided under the Step Two Bid Proposal. The P(50) Energy Production Estimate must align with the 8760 hourly profile provided that is representative of the production at the Bid Facility over the proposed Contract Tenor.
- 3) The Bid Quantity Percentage shall be no less than thirty percent (30%) and no greater than one hundred percent (100%) of the Expected Annual Eligible Production, which is equal to the P(50) Energy Production Estimate multiplied by the annual Tier 1 eligibility percentage as determined in the PSoQ and entered in Attachment E (default value of 100% except in the case of Upgrade and Repowering Bid Facilities). In the case of Upgrade and Repowering Bid Facilities, see Section 7.7 for applicable guidelines.

Proposers will be responsible for submitting one Bid Price offer, using either the Fixed REC or Index REC structure, with each Bid Proposal.

- 1) For the Fixed REC structure, the Bid Price consists of a fixed REC price for the term of the Contract Tenor.
- 2) For the Index REC structure, the Bid Price consists of a Strike Price that will be entered into the calculation outlined in Section 5.45.1.2.

### **8.3.3 Maximum Contract Tenor**

Information provided with the Bid Facility's PSoQ/SoQ and Step One Eligibility Application will be used to determine the Maximum Contract Tenor available to the Bid Facility. The Contract Tenor offered in Step Two for a Bid Facility will be limited by the term of the Maximum Contract Tenor.

For all Bid Facilities not in Commercial Operation as of the RFP Release Date, the Maximum Contract Tenor will be calculated as the lesser of:

- 1) 20 years, or
- 2) the Bid Facility's Useful Life

For all Bid Facilities in Commercial Operation as of the RFP Release Date, the Maximum Contract Tenor applicable to the Bid Facility will be calculated as the lesser of:

- 1) 20 years (240 months) minus the number of years (months) between the year (month) of Commercial Operation and the RFP Release Date (rounded to the nearest full year), or
- 2) The Bid Facility's Useful Life minus the number of years (months) between the year (month) of Commercial Operation and the RFP Release Date (rounded to the nearest full year).

For a Return to Service Facility, the date of Commercial Operation for purposes of calculating the Maximum Contract Tenor shall be the original date of Commercial Operation prior to the outage. For a Relocated Facility, the date of Commercial Operation for purposes of calculating the Maximum Contract Tenor shall be the first date of Commercial Operation in the original control area.

For a Repowering Bid Facility, the maximum contract tenor shall be the 20 years from the date at which the Repowering Bid Facility re-enters commercial operation (i.e., not 20 years following the end of the original facility’s Useful Life).

Table 10 lists the Useful Life by resource for use in the calculations of Maximum Contract Tenor for this RFP. The Useful Life for Energy Storage is not included in any Maximum Contract calculation but is included for reference; the Step Two Bid Proposal should be consistent with the Resource’s Useful Life both with and without Energy Storage, as applicable.

**Table 10. Default Values for Useful Life used to determine Maximum Contract Tenor**

Resource	Useful Life (years)
Fuel Cell (non-fossil fuel)	20
Hydroelectric (New or Upgrade)	50
Geothermal Electric	20
Geothermal Ground Source Heat	20
Solar PV	20
Tidal/Ocean	10
Wind	20
Energy Storage	20

#### **8.3.4 Project Viability, Operational Flexibility and Peak Coincidence Minimum Threshold Requirements**

The supporting documentation for each Minimum Threshold Requirement should be uploaded as attachments as described in detail below. Attachments should be clearly marked with the Bid Facility Name and NYGATS ID.

The list below identifies the supporting documentation required to verify that the Bid Facility meets the Minimum Threshold Requirements for each category. **If a Bid Facility exceeds the Minimum Threshold Requirement in any category, documentation should be provided.**<sup>71</sup> Bid Facilities that have exceeded the Minimum Threshold Requirements will be awarded more points by the TEP.

#### **Energy Deliverability and Peak Coincidence**

**Proposers with Bid Facilities physically located within the NYCA must submit a P(50) 8760 schedule** consistent with the contract tenor proposed in the form requested by NYSERDA for evaluation purposes.

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<sup>71</sup> For example, for the Interconnection requirements for a 20 MW Bid Facility subject to NYISO jurisdiction, the documentation required to demonstrate achievement of the Minimum Threshold Requirement consists of a draft SRIS/SIS or equivalent in progress. If for example a Facilities Study has been executed, attach a copy and provide confirmation of associated fees paid. The study will satisfy the Minimum Threshold Requirement and will also be considered as a part of the evaluation conducted by the TEP.



Proposers should indicate whether the P(50) delivery schedule is normalized based on historical output from a given weather year.

Proposers are strongly encouraged to familiarize themselves with all ongoing work to identify areas of current and future congestion on the electric grid, including the DPS and NYSERDA [State Power Grid Study](#), inclusive of Distribution and Local Capital Plans and a Bulk Transmission Investment Plan, the [NYISO 2022 System and Resource Outlook Report study and outputs](#),<sup>72</sup> the [Draft Climate Action Council Scoping Plan](#),<sup>73</sup> including [Appendix G. Resource Integration Technical Supplement](#),<sup>74</sup> and other similar studies conducted by the state, NYISO, and/or the transmission owners. Proposers are encouraged to discuss this topic in meetings with the NYISO and/or the Connecting Transmission Operator during their interconnection process to understand the current and expected future state of the grid and the relevant impacts on the Bid Facility's local and regional transmission infrastructure.

The TEP may also consider the potential benefits to deliverability that are afforded by repurposing existing or retired fossil fuel facilities. Proposers that can demonstrate material energy deliverability benefits as a result of interconnecting the Bid Facility at an existing or retired fossil fuel facility may be eligible for additional points in the evaluation of Energy Deliverability. Proposers should provide details on the type of fossil fuel infrastructure that is being replaced or repurposed by the Bid Facility.

### **Interconnection**

The Proposer must demonstrate that the Bid Facility meets the Minimum Threshold Requirements for interconnection progress by providing a summary and other evidentiary documentation from the Interconnecting entity confirming the extent of interconnection activities. Evidentiary documentation can include:

- For large generators proceeding through the FERC-jurisdictional NYISO interconnection process or an equivalent process, evidence that the draft SIS or SRIS, or equivalent has been completed (evidence should include a document or screenshot confirming that the draft study has been completed and include a unique project identifier provided by NYISO) or a copy of the draft third-party SIS/SRIS equivalent; or
- Evidence that a study beyond the SIS/SRIS phase of the NYISO interconnection process is underway and/or complete (*e.g.*, Facilities Study, Interconnection Agreement, or equivalent studies) as described in Section 4.1 (evidence should include a screenshot or document confirming the study is underway and include a unique project identifier provided by NYISO).
- Evidence that a third-party interconnection study performed in alignment with the SIS/SRIS study procedures outlined in Attachment X. Large Generator Interconnection Procedures (LGIP) or Attachment Z. Small Generator Interconnection Procedures (SGIP), as applicable, of the NYISO Open Access Transmission Tariff (OATT) has been completed such that the Proposer has a third-party cost estimate for the cost to interconnect the Bid Facility has been received.

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<sup>72</sup> See the meeting materials for NYISO's Electric System Planning Working Group at <https://www.nyiso.com/espwg>.

<sup>73</sup> <https://climate.ny.gov/Our-Climate-Act/Draft-Scoping-Plan>.

<sup>74</sup> <https://climate.ny.gov/-/media/Project/Climate/Files/Draft-Scoping-Plan-Appendix-G-Integration-Analysis-Technical-Supplement.pdf>.

- For small generators proceeding through a Transmission Owner interconnection process, evidence that a Coordinated Electric System Interconnection Review (CESIR), or equivalent, has been commenced as described in Section 4.1.

Proposers are advised that CEII-confidential information may not be submitted to NYSERDA as part of the Step Two Bid Proposal to demonstrate that the Bid Facility has achieved the Interconnection Minimum Threshold Requirements. To demonstrate this requirement has been achieved, Proposers are encouraged to submit only the portion of their draft, completed, and/or third-party System Impact Study/System Reliability Impact Study that outlines the third-party interconnection cost estimates for the Bid Facility, and not the entire study.

Proposers must provide the anticipated interconnection cost for the Bid Facility, including utility system improvements. An estimate must be provided for each Alternate Bid Proposal associated with the Bid Facility.

If applicable and/or available, the Proposer should provide the following documents:

- Copies of associated agreements or other evidence supporting the claimed level of progress as listed above.
- If required or available if not required, a deliverability study or other analyses performed by the Proposer to demonstrate or evidence that the output of the Bid Facility is energy deliverable. See Section 4.1.14.1.1.
- If submitting a Step Two Bid Proposal with Committed Upgrades, a completed Committed Upgrade form as provided by NYSERDA.
- If available, a one-line diagram.

### **Energy Storage**

**For Bid Facilities physically located within the NYCA that are proposing with Energy Storage**, the evaluation for this category is based on the characteristics of both the Bid Facility and Energy Storage. For the intended deployment, provide an 8760 delivered energy profile with storage in use, and an 8760 profile for the system without storage. Bid Facilities co-located with Energy Storage shall include the role of the Energy Storage in reshaping the production profile in the P(50) 8760. Proposers should indicate if the P(50) delivery schedule is normalized based on historical output from a given weather year. Provide all assumptions used in preparing the energy profile and explain how the 8760 energy profile relates to the intended deployment strategy. Explain how dispatch may be managed and coordinated with NYISO, if applicable. Explain how the delivered RECs will be eligible under NYGATS rules

For each Bid Proposal that includes Energy Storage, the Proposer must provide the following:

- System operating parameters;
  - Manufacturer and model for major components (battery and inverter units, etc.)
  - Maximum continuous power (MW or kW, AC)
  - Total energy (MWh or kWh, AC)
  - Duration (hour)
  - Round trip efficiency (%)
- Available specification sheets from manufacturer.
- Expected system degradation over the contract term.

- For paired and co-located Energy Storage, provide diagram showing arrangement of generation unit(s), storage, inverter, meter(s), and interconnection.

Proposer must fully describe the intended deployment and dispatch of the storage system over the contract term. Example deployments may include:

- Dispatched to provide renewable integration and firm up a variable renewable energy resource;
- Dispatched dynamically to reduce system peak demand or energy cost to load;
- Available to provide ancillary services, *e.g.*, reserves, voltage control, frequency regulation;
- Available to provide distribution system support;
- Proposers submitting Bid Proposals paired with co-located or separately located energy storage facilities are strongly encouraged to provide an assessment of the proposed facility's impacts on regional transmission constraints and any benefits to local congestion and/or curtailment that is observed today or estimated due to the operation of future proposed generators.

### **Permitting Viability**

The Proposer must demonstrate that the Bid Facility meets the Minimum Threshold Requirements for permitting progress by providing a complete Permitting Plan as described below and in Appendix 2, and by and submitting other information for the Bid Facility that includes the following components:

#### **1) For all Bid Facilities:**

- a. A complete Permitting Plan and list of required permits, to be entered in Attachment C, including all permits at the local, state and federal level required to construct and operate the Bid Facility, and if applicable, Energy Storage. Proposers must identify all governing municipalities with jurisdiction or approval authority associated with the Bid Facility, and if applicable, Energy Storage, as proposed to NYSERDA. The complete response will include any special use/conditional use permits, air permits, FERC licenses, planning board approvals, U.S. Army Corps of Engineers (USACE) letters, SPDES permits and other applicable requirements. Proposers must identify a contact for each jurisdiction (for example, hamlet, village, town, city, county, agency, authority, State, or other) associated with the permits.
  - i. Regardless of expected permitting process, Proposers should specify the local official(s) associated with the Authority Having Jurisdiction (AHJ) for the towns, counties and/or school districts in which the Bid Facility is sited, such as the town supervisor or planning/zoning board lead/chair.
  - ii. If the Proposal includes Energy Storage, the Proposer will list all associated permits as provided for the Bid Facility. The permits associated with the Bid Facility and the Energy Storage should be delineated (*e.g.*, Building Permit, Electrical Permit, Fire Permit, *etc.*).
  - iii. If the Bid Facility overlaps with mineral soil groups (MSG classifications 1-4), the Proposer may be responsible for making an agricultural mitigation payment to a designated fund. Proposers must also detail how they plan to comply with the Guidelines for Solar Energy Projects - Construction Mitigation for Agricultural Lands document (Guidelines, Exhibit E to the Agreement). All solar Bid Facilities

seeking permits through the Office of Renewable Energy Siting (ORES) will be required to comply with all ORES requirements, which may include adherence with an amended set of the Guidelines should the final ORES regulations include such an amendment.

- b. A description of any local ordinances (including zoning prohibitions or moratoria) that would limit the Bid Facility's size, location, or schedule, and describe the plan to address these issues. If the Bid Facility or the Energy Storage are not currently zoned or permitted, identify present and required zoning and/or land use designations and provide a plan and timeline to secure the necessary approvals.
  - c. A summary of the (i) cultural, historic, archeological and natural heritage impacts, as may be required; and (ii) water bodies (*e.g.*, streams, wetlands), fish and wildlife, and other applicable environmental and/or agricultural impacts identified in Appendix 2 - Permitting Plan Impacts and Guidelines. This requirement will be primarily fulfilled by providing the required studies for projects sited in New York State, although Proposers are required to summarize all due diligence conducted to date in the Permitting Plan. Proposers should include any initial review measures that have identified strengths or weaknesses of the Bid Facility site related to long-term climate change resiliency.
  - d. If applicable, include any initial review of any physical and economic impacts that the Bid Facility's development may have on Disadvantaged Communities.
- 2) **For all Bid Facilities**, a Field Screening for Wetlands and Water Resources Delineation Report as detailed in Appendix 3 to RESRFP22-1.
- 3) **For Bid Facilities within the NYCA that are less than 20 MW**, the Proposer must substantiate that 1) a FEAF has been completed and is prepared to or has been submitted to the applicable lead agency and the applicable NYS DEC Division of Environmental Permits office, or that 2) a finding of no jurisdiction has been provided by NYS DEC following the submission and review of the FEAF for the Bid Facility. The Proposer must submit a Permitting Plan that describes its plans for advancing the Bid Facility through the SEQR process or, if eligible, another applicable permitting process. For example, a Bid Facility in the SEQR process would provide timing for SEQR (Steps 2-12 as outlined by the NYS DEC on <https://www.dec.ny.gov/permits/6189.html>). The Proposer must describe the current status and planned activities for advancing the Bid Facility through the rest of the SEQR process, including target dates for major milestones and a description of the Proposer's approach regarding conditions, negative declarations, special-use permits, landscaping permits, or other expectations.
- 4) **For Bid Facilities within the NYCA greater than 20 MW**, the Proposer must submit a Permitting Plan that describes its plans for advancing the Bid Facility through the expected applicable process.

If the Bid Facility has begun its application under Article 10 and plans to continue under that process, the Proposer must include a description of the Proposer's proposed Public Involvement Program Plan (PIP), a description of any approach regarding stipulations or other expectations, and target dates for each major step of the Article 10 process (PIP, Public Scoping Statement [PSS], and Application), the current status and planned activities for advancing the Bid Facility through the remaining milestones of the Article 10 process, including target dates for major

milestones and a description of the Proposer's approach regarding stipulations or other expectations.

If the Bid Facility is proceeding through the ORES permitting process<sup>75</sup>, the Proposer must substantiate that the following studies have been completed for the proposed Bid Facility site and provide the findings of each with the Step Two Bid Proposal:

- 1) Wildlife Site Characterization Report;
- 2) Phase IA Archeological Desktop Survey;

The Proposer must describe planned process and timeline for proceeding through the ORES process to obtain a permit to construct the Bid Facility as proposed, including the timing of any public engagement and/or planned studies. Focus on items a-d as part of the Permitting Plan as required above.

- 5) **For Bid Facilities not located in the NYCA**, Proposers must substantiate that an equivalent level of pre-development due diligence has been conducted for the Bid Facility site.
- 6) For Bid Facilities including Energy Storage, either:
  - a. include any NYS DEC EAF submissions specific to the Energy Storage facility. If applicable, provide evidence that the Lead Agency for the SEQRA process has been designated, or;
  - b. complete and submit a draft New York SEQRA Short Environmental Assessment Form specific to Energy Storage.

The Permitting Plan should also include documentation and descriptions sufficient to demonstrate progress on each of the applicable items delineated above.

Required evidentiary documentation should include:

- A complete Permitting Plan and list of required permits as described above. If available, the Permitting Plan should include as many aspects of [Appendix 2 – Permitting Plan Requirements and Guidelines](#).

If applicable and/or available, the Proposer should provide the following documents:

- Documentation filed with or received from the local governmental authority confirming that a request for a zoning change or variance has been initiated and/or the local approval process is underway.
- For Bid Facilities i) outside of the NYCA, or ii) Bid Facilities including Energy Storage, a completed New York SEQRA Short Environmental Assessment Form (SEAF).
- If applicable, evidence that the Lead Agency for the SEQRA process has been designated or is in the process of designation.

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<sup>75</sup> [ORES](#) regulations became effective on March 3, 2021 and are available here: Chapter XVIII, Title 19 of NYCRR Part 900 (Subparts 900-1 – 900-15).

- If available, applications for construction permit(s) that have been submitted to local authority(ies) with approval jurisdiction.
- If available, any applicable field studies (*e.g.*, Environmental Site Assessment<sup>76</sup> Phase 1, Archaeological Phase 1, Geotechnical) and surveys (*e.g.*, ALTA, topography, water bodies/wetlands, or other), and/or the status of un-started/not yet commenced or ongoing field studies and surveys.
- For hydroelectric facilities only, include the Bid Facility's FERC license expiry date or provide evidence that FERC licensing process has been initiated and notice of intent has been filed.<sup>77</sup>

### **Agricultural Land**

Proposers must include a description in their Bid Proposal of any agricultural land that the planned project footprint of their Bid Facility is sited on. This description should include owned, rented, or leased farmland. Proposers must also include a description of any recent agricultural activity occurring on the planned project footprint in the five years prior to the release of RESRFP22-1.

Proposers of Solar facilities must complete and submit the NYSERDA [Smart Solar Siting Scorecard](#), which will score projects based on their expected impacts to active agricultural land and Mineral Soil Groups 1 through 4 (MSG 1-4) and additional measures. NYSERDA is not intending to use the Scorecard as a screening tool to preclude Proposers from receiving a NYSERDA award based on agricultural impacts, nor contractually require avoidance and/or minimization measures submitted via the Scorecard, however NYSERDA will make the Scorecards for awarded projects publicly available such that the applicable permitting body may reference the Scorecard as part of the permitting process for the project.

Projects that include co-utilization measures will be viewed favorably in proposal evaluation. Proposers that intend to pursue such agricultural co-utilization are required to (1) describe such agricultural co-utilization in their Permitting Plan and their NYSERDA Smart Solar Siting Scorecard, and (2) submit a completed Agricultural Mitigation Payment Deferral Request Form (which will be made available to eligible Step Two Proposers) with their Step Two Bid Proposal. For more details on agricultural co-utilization practices, deferred Agricultural Mitigation Payment requirements, and agricultural co-utilization plans, please see Appendix 2 to RESRFP22-1 and Section 6.11 of the Agreement.

### **Project Development, Financing and Creditworthiness<sup>78</sup>**

The Proposer must demonstrate it meets the Minimum Threshold Requirements for Project Development, Financing and Creditworthiness by providing the following documentation:

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<sup>76</sup> ASTM International, formerly known as American Society for Testing and Materials, published a standard for conducting Phase I Environmental Site Assessments. See ASTM E1527-13, Standard Practice for Environmental Site Assessments: Phase I Environmental Site Assessment Process, ASTM International, West Conshohocken, PA, 2013, <http://www.astm.org/cgi-bin/resolver.cgi?E1527-13>.

<sup>77</sup> If applicable, identify program eligibility under FERC minor environmental effects, *e.g.*, projects that involve little change to water flow and use and are unlikely to affect threatened and endangered species. If applicable, please identify the NYS DEC classification for the dam associated with the Bid Facility, available online at the New York State Dams Inventory Database. See <https://www.dec.ny.gov/lands/4991.html> for a full dataset of NYS Dams, the NYS DEC Dams Inventory.

<sup>78</sup> Unless the proposed Bid Facility is currently in operation (*i.e.*, proposed Bid Facility is applying with an SoQ).

- An organizational chart for the Bid Facility that lists the participants and identifies the corporate structure, including general and limited partners and financial arrangements to the Proposer’s parent company or affiliate.
- A management chart that lists the key personnel dedicated to the Bid Facility.
- A list of specific projects successfully developed and/or financed, specifying the nameplate capacity, technology,<sup>79</sup> commercial operation date, and location using Attachment C. Bid Data Form.
- A Financing Plan that demonstrates the financial capability to complete construction by the proposed commercial operation date. The Financing Plan should contain if available and applicable:
  - A description of the business entity, organizational structure, and legal form, with an organization chart showing the relationship among the different equity partners, and parents;
  - A detailed description of the anticipated financing arrangements, including equity, pre-construction and development expenditures, Contract Security, construction debt, mezzanine / subordinated debt, and permanent debt;
  - A list of all committed and potential equity partners;
  - The Bid Facility development and operating responsibilities of each equity partner, and their respective funding obligations, *e.g.*, joint and several funding responsibilities, if applicable;
  - Evidence that the Proposer or its equity participant(s) possess an investment grade Credit Rating. If an equity participant does not have such Credit Rating, *e.g.*, a subsidiary, it shall provide (i) written evidence of a corporate commitment, for example, a “comfort” letter or “keepwell” agreement, to support the development and financing from its parent company and (ii) evidence of an investment grade Credit Rating from that parent company;
  - In addition to the Credit Ratings, any credit alerts or rating upgrade or downgrade for the equity partners, or their parent companies in the past three years;
  - If available, written expressions of interest from potential debt lenders sufficient to fund the full anticipated amount of project development, construction and permanent debt capitalization;
    - The anticipated total capital expenditures for the Bid Facility, including to the extent possible the anticipated capital expenditures for:
      - Solar Bid Facilities: photovoltaic modules, inverters, racks and mounting hardware, electrical collection system / transformers;
      - Wind Bid Facilities: turbines and towers / foundations;
      - All Bid Facilities: site acquisition, substation / switchyard construction, transportation / delivery, installation / labor costs, site survey and civil work, tree clearing costs, agricultural mitigation and any other installation costs;
  - The total anticipated Engineering, Procurement and Construction cost for the Bid Facility;
  - For solar Bid Facilities, the module unit price assumption, whether panels have been procured and how the Proposer plans to provide the panels at the pricing assumed;
  - Inflation rate assumptions, if not an inflation-adjusted Bid Proposal;

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<sup>79</sup> Resource and prime mover, *e.g.*, solar or wind. Not meant to distinguish between different solar technologies, for example.

- The anticipated construction and long-term capital structure for the Bid Facility ownership entity, including the Bid Facility's projected balance sheet at year-end for every construction year and at COD;
- Description of the evolution of division between shareholder equity and debt from the development period through the construction period;
- Details of the expected construction loan and permanent loan, including terms of repayment, (amount, tenor, interest rate, *etc.*), the amount each lending institution is prepared to commit (subject to credit committee approval), their debt service requirements (interest, rate swaps, letters of credit, guarantees, *etc.*), with all fees indicated clearly;
- Describe all available federal, state, and local available tax credits, financial incentives, and subsidies (*e.g.*, NY Green Bank financing), and how these will be utilized in the Financing Plan. Explain why any available tax credit, financial incentive, or subsidy will not be utilized;
- Details of any events of default or other credit/financial issues associated with all projects (other than those under contract with NYSERDA) in which the Proposer (and other equity partners), its parent company, its affiliates, and directors, officers, and senior managers of those entities, participated over the past three years;
- Disclosure of any criminal and civil lawsuits, litigation, and settlements associated with the Proposer's prior project development and commercial efforts over the last three years;
- Information concerning the Proposer's (and other equity partners) financial condition and evidence of creditworthiness; and
- If available, for the most recent accounting period and prepared in accordance with GAAP or IFRS: 1) A copy of its annual report containing audited consolidated financial statements (income statement, balance sheet, statement of cash flows and statement of retained earnings and all accompanying notes) for such fiscal year, setting forth in each case in comparative form the figures for the previous year, and 2a) for SEC reporting companies, access to financial statements certified in accordance with all Applicable Laws, including applicable SEC rules and regulations, or 2b) for non-SEC reporting companies, certification from the chief financial officer, controller, treasurer or any assistant treasurer of a Proposer/Seller or any employee of a Proposer/Seller designated by any of the foregoing, as being fairly stated in all material respects (subject to normal year-end audit adjustments). If a Party's financial statements are publicly available electronically on the website of that Party or the SEC, then the Party shall be deemed to have met the requirements of this section.

If applicable and available, the Proposer should provide the following documents via PDF or summary documents with links to publicly available PDFs (**Links to all publicly available SEC filings are preferred as opposed to the submission of full SEC filings**):

- Audited financial statements for the three most recent fiscal years;
- Audited financial statements from Proposer's parent, if Proposer does not have such financial statements and the parent is providing a corporate funding commitment; or
- Unaudited financial statements for its three most recent fiscal years if being provided for a private corporation, with an attestation from the CEO or CFO that such information is materially accurate and complete; or



- An explanation if the information above cannot be provided, and provision of alternate information to demonstrate Proposer’s financial capacity to develop and bring the proposed Bid Facility to commercial operation.
- A declaration of intended use the Production Tax Credit (PTC) or Investment Tax Credit (ITC). Proposers should include their assumption of the percentage of their energy production or project costs, including any energy storage component of the Bid, that will be compensated under the PTC or ITC and how the Bid Facility will qualify for the PTC or ITC.

**Site Control**

The Proposer must demonstrate that the proposed Bid Facility meets the Minimum Threshold Requirements for the Generation Facility and Interconnection Right of Way Site Control by providing the following documents:

- Detailed map of site plan/layout indicating the project and parcel boundaries, to scale, with parcel designation by owner. At a minimum, the map should include the preliminary layout of the Bid Facility within the parcel boundaries, including the major generating equipment and limits of disturbance. The map should indicate the (anticipated) interconnection route and the (anticipated) interconnection point(s). If applicable, indicate the relationship of the site to other adjacent infrastructure, including planned or alternate points of interconnection and proximate generators or other existing infrastructure.
- Fully populated Description of Control Status by Parcel with parcel designation within Attachment C. Bid Data Form, aligned with the submitted site map. Proposers are encouraged to carefully read all instructions contained within Attachment C.
- For solar Bid Facilities, a GIS Data Mapping Files capturing the Bid Facility parcel boundaries, the Bid Facility Area boundary, and the Bid Facility array footprint.

If applicable and/or available, the Proposer should provide the following documents:

- If proposing with Energy Storage co-located with the generator, clearly identify the location of Energy Storage on the site plan. If proposing with Energy Storage not located with the generator, provide a separate map and site plan of the Energy Storage site and (anticipated) interconnection route in the same attachment as the Bid Facility map and site plan.
- If available, a more detailed concept site plan including the locations of the generation unit, all major equipment and facilities, access roads, site work and other project components, along with existing physical features of the site (*e.g.*, wetlands, streams, topographical features, buildings, *etc.*).
- If available, GIS data containing the parcel boundaries that the project will occupy (SHP file preferred, KML/KMZ files permitted).

**Community Engagement**

The Proposer must provide documentation that it has been in contact with the host AHJ(s) regarding the proposed Bid Facility and has informed the AHJ(s) local elected officials (restricted to primary executive *e.g.*, Town Supervisor, City Mayor, Planning Board Chair, Zoning Board Chair, Code Enforcement Officer, Town Clerk) about the Bid Facility’s participation in RESRFP22-1. Documentation can include, but is not limited to,

- Correspondence between the Proposer and host AHJ(s);

- Publicly records of Town/Planning/Zoning Board meeting minutes and/or presentations;
- Communications with local elected and/or administrative officials; and/or
- Letters of Support provided by representatives of the host AHJ(s).

Documentation provided by the Proposer must be definitively demonstrate that the Proposer is communicating with the host AHJ(s) regarding the proposed Bid Facility. Proposers are encouraged to submit as much documentation as available to fulfill this eligibility requirement and are encouraged to work with all applicable stakeholders at the local level.

In [Public Service Commission Case 20-E-0249](#), In the Matter of a Renewable Energy Facility Host Community Benefit Program, the [PSC Ordered](#) that residential electric utility customers residing in a renewable Host Community receive an annual bill credit for each of the first ten years that a Major Renewable Energy Facility operates in that community. Funding for the bill credits will be provided by the owners of major solar and wind renewable energy facilities by paying an annual fee of \$500 per megawatt (MW) and \$1,000 per MW, respectively, of nameplate capacity. The fees paid by a Major Renewable Energy Facility would be distributed equally among the residential utility customers within the Host Community of the facility.

Therefore, NYSERDA directs Proposers submitting Bid Facilities 25 MW and larger sited within New York State to RESRFP22-1 to include at least a \$500 per megawatt (MWac) Host Community Benefit Program Fee (“Program Fee”) for solar projects and \$1,000 per megawatt Program Fee for wind projects, for each of the first ten years once the Bid Facility reaches Commercial Operation.<sup>80</sup>

### **Community Engagement Plan**

The public and local governments play an important role in the process of evaluating and advancing power plant siting in New York State, and in shaping developments that may be permitted in their communities. Proposers are responsible for planning and implementing a Community Engagement Plan that supports an open and inclusive public process and encourages feedback throughout the development and construction of proposed Bid Facility. An effective Community Engagement Plan reflects an understanding of local interests and concerns, provides high-quality and well-timed public education opportunities, demonstrates a commitment to partnering with the elected officials in proposed host communities, respectfully responds to opposition, and elicits input from the public and affected agencies.

Prior to and following the submission of Step Two Bid Proposals, NYSERDA’s Clean Energy Siting team will schedule and meet with local officials in the proposed host communities, in person and/or via teleconference. These meetings will be conducted without Proposer participation, but NYSERDA will notify the Proposer regarding the schedule for such meetings and provide a brief synopsis of such meetings after they conclude. NYSERDA intends to share the submitted Community Engagement Plans and Attachment B. Public Release of Information Form with local officials interested in the learning more about the project’s development.

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<sup>80</sup> PSC February 11, 2021 Order Adopting a Host Community Benefit Program, <http://documents.dps.ny.gov/public/Common/ViewDoc.aspx?DocRefId={DFD69D2F-A16F-404F-9A7C-283F0C79D1DB}>

All Proposers will also be required to complete and submit Attachment B. Public Release of Bid Facility Information to be published alongside the Bid Facility's Community Engagement Plan. A blank version of Attachment B is available for download from the [RES Solicitations webpage](#) and the [solicitation website](#).

All Proposers must provide a complete Community Engagement Plan including planned engagement activities associated with the Bid Facility, and if applicable, Energy Storage, as described below.

- 1) Identify the Authority Having Jurisdiction (AHJ) and taxing School District, including local elected officials' names, contact information and tenure.
- 2) Detail outreach strategies and activities the Proposer has implemented to date and will use to engage stakeholders and interested parties, including affected agencies, and to encourage public involvement throughout the pre-award, development, construction, and operation phases (consistent with the Project Milestone Schedule), including methods of communication and specific channels the Proposer intends to use to disseminate Bid Facility information.
- 3) Applicability of the Climate Act goals regarding benefits to Disadvantaged Communities that would be realized with the development and construction of the Bid Facility.
- 4) Planned frequency of public events and the anticipated duration, in years, of the public engagement events of community outreach, and strategies to ensure that public engagement events are widely attended by a representative cross section of host community residents.
- 5) Details of the direct benefits to the community the Proposer will advance, which may include a local ownership stake in the facility, reduced energy bills for those with homes or businesses in the Bid Facility's vicinity, and/or other direct benefits.
- 6) Details on past/planned engagement regarding payments in lieu of taxes (PILOT) agreements or host community agreements (HCAs).
- 7) Describe local interests and concerns, including identifying plans to thoughtfully build support for and respectfully responding to any opposition to the Bid Facility.
- 8) Identify strategies the Proposer will use to mitigate concerns raised by the public regarding the Bid Facility, and if applicable, Energy Storage. This may include visibility and viewshed Impact mitigation efforts, accommodations to co-locate agricultural activities, or other issues of importance to the host communities.
- 9) Method for soliciting feedback and input from the public and affected agencies and the process for sharing feedback and responses publicly.

The Community Engagement Plan will be published on NYSERDA's website following receipt of the Step Two Bid Proposal.

### **Resource Assessment and Energy Production Estimate**

The Proposer must provide a Resource Assessment and Energy Production Estimate that responds to all required information identified in Appendix 1. The Proposer must also provide a narrative description of any assumed level of curtailment built into the resource assessment and any projected impacts on the Bid Facility's energy and/or capacity deliverability. The Proposer will be required to detail the full extent of the curtailment assessments performed to demonstrate the deliverability of the Bid Facility and clarify explicitly what the curtailment and degradation assumptions are for the equipment proposed for the Bid Facility.

Detailed instructions regarding the supporting documentation required to meet the Minimum Threshold Requirements for a Resource Assessment and Energy Production Estimates, by technology, are provided in Appendix 1.

For Bid Proposals that include Energy Storage, Proposers must explain if and how the Resource Assessment and Energy Production Estimate differ from the corresponding generator-only Bid Proposal.

### **Carbon Emissions and Embodied Carbon**

The Proposer should describe the efforts that have or can be undertaken to understand the “embodied carbon” impact of renewable development and minimize the Bid Facility’s embodied carbon intensity. To the extent discernable at the current stage of development, Proposers should describe and explain the anticipated carbon intensity in Bid Facility design, sourcing, construction, operation, and maintenance.

Proposers should also describe and explain any available process by which the Proposer will be able to account for embodied carbon on an ongoing basis through development, construction, and operation of the Bid Facility. This could include the sourcing and manufacturing of primary components such as modules, inverters, turbines, towers, other prime movers, cables, substations, energy storage facilities, and other electric equipment, but should also consider associated activities such as construction, Operation & Maintenance (O&M), and decommissioning. This could also include opportunities to support carbon mitigation efforts in collaboration with New York State manufacturing sources.

### **Additional Project Viability Narrative/Supporting Data**

In addition to providing narrative descriptions detailing how the Bid Proposal meets the Minimum Threshold Requirements, the Proposer should provide any additional information that supports the viability of the Bid Proposal, including, to the extent not described elsewhere in the Bid Proposal, justification for any economic or regulatory assumptions and identification of economic, permitting and/or regulatory risks and mitigation plans. Proposers should characterize their analysis of basis risk and shape risk to estimate what the Bid Facility will receive for energy revenue relative to the Reference Energy Price.

### **8.3.5 Incremental Economic Benefits to New York State and Disadvantaged Communities**

Incremental Economic Benefits expected to accrue to New York because of the development, construction/modification, and operation of the Bid Facility will be evaluated as another non-price evaluation component. Incremental Economic Benefits are those that a Proposer can demonstrate: (1) will accrue because of an award under this RFP, and (2) would not have accrued but for the award of a contract under this RFP.

In RESRFP22-1, New Storage Technologies, including non-electrical battery energy storage facilities such as electrolytical hydrogen or experimental energy storage technologies, are eligible for incremental economic benefits when Proposers submit Bid Facilities with a co-located or separately located New Storage Technology. Incremental Economic Benefits may be included for pilot and demonstration projects that complement proposed Bid Facilities, including innovative storage projects that are not otherwise eligible as Energy Storage. These may include demonstration projects that utilize hydrogen in the energy, transportation, building, or industrial sectors, and proposals that advance the maturation of a hydrogen supply chain in New York State. Incremental Economic Benefit expenditures submitted for

New Storage Technologies must be included in the three Economic Benefits categories detailed below. Bidders should note that these types of paired energy storage facilities will not be eligible for non-price evaluation in the Project Viability and Operational Flexibility and Peak Coincidence subcategory and will be evaluated in the Incremental Economic Benefits Category only.

In RESRFP22-1, Bidders submitting alternate bids that are paired with either energy storage or New Storage Technologies will be asked to submit itemized Incremental Economic Benefits that accrue as a result of the energy storage or New Storage Technology component separately in the Economic Benefits Report. In the event that the energy storage or New Storage Technology component of the Bid Facility is not constructed, the Bidder's Incremental Economic Benefits commitment will revert to the level designated in the Economic Benefits Report for the base Bid Facility and the Bidder will be held to the Incremental Economic Benefits threshold identified in the Incremental Economic Benefits commitments for the base Bid Facility not paired with energy storage or New Storage Technologies.

Incremental Economic Benefits can be claimed as of the RFP Release Date.

Only those Incremental Economic Benefits falling within the categories defined below, as entered in Attachment C. Bid Data Form will be considered. In no instance will NYSERDA or its TEP consider any indirect benefits or those created by any "multiplier effect" or other attribution method under which the creation of peripheral spending and jobs might be credited to direct capital infused into the economy.

Note that all laborers, workmen and mechanics, within the meaning of NYS Labor Law Article 8, performing construction activities with respect to the Bid Facility and, if awarded, Energy Storage, must be paid at least the applicable Prevailing Wage applicable in the area where the Bid Facility will be situated, erected and used, as published by the [NYS Department of Labor](#) (DOL) or at least the equivalent Prevailing Wage requirements of the jurisdiction where the Bid Facility is located.

Because New York State has not yet formally defined Disadvantaged Communities, this RFP will rely on already-established criteria for communities that meet the spirit of the Disadvantaged Communities objectives of the Climate Act. Bid Proposals will be awarded more points by the TEP if the Proposer can demonstrate benefits of the project's development are afforded to communities that currently meet the interim definition of Disadvantaged Communities.

Incremental Economic Benefits previously claimed with respect to a Bid Facility that is subject to a pending award under a previous solicitation or that is the subject of a current NYSERDA contract are not eligible for evaluation.

Proposers must provide complete information along with the supporting documentation or requested data in the following three categories. The types of components of the three categories are further described below:

- 1) Long-Term Economic Benefits to New York State (evaluated based on total eligible dollars normalized by Bid Capacity);
- 2) Short-Term Economic Benefits to New York State (evaluated based on total eligible dollars normalized by Bid Capacity); and
- 3) Investments/Commitments to Local Economic and Workforce Development (evaluated based on firmness, credibility, and maturity of the commitments).

## **Disadvantaged Communities**

Proposers and their contractors/sub-contractors/other partners are strongly encouraged to pursue sourcing of laborers, workmen, mechanics, and operations and maintenance workers from Disadvantaged Communities throughout New York State as defined by the Climate Action Council in accordance with the Climate Act.<sup>81</sup>

NYSERDA will more favorably evaluate incremental economic benefits to New York State that will be realized in part or in full by Disadvantaged Communities as part of the Bid Facility's development. The Climate Act directs the [Climate Justice Working Group](#) (CJWG) to establish criteria for defining Disadvantaged Communities. On December 13, 2021, the CJWG voted to release draft Disadvantaged Communities criteria for public comment. The 120-day public comment period ended July 7, 2022. Should a final definition for Disadvantaged Communities be adopted prior to the Step Two Bid Proposal submission date for RESRFP22-1, NYSERDA intends to amend RESRFP22-1 to reflect the final definition of Disadvantaged Communities released by the CJWG.

As the CJWG is working to finalize the criteria for defining Disadvantaged Communities in New York, interim Disadvantaged Communities criteria will apply to all Large-Scale Renewable projects awarded before the final Disadvantaged Communities criteria are finalized. Further resources for identifying interim Disadvantaged Communities are located on [NYSERDA's Disadvantaged Communities website](#).

Once the final Disadvantaged Communities criteria are finalized, they will be incorporated into future solicitations, and an updated map of New York Disadvantaged Communities will be provided for reference to Proposers. Additional resources for identifying draft Disadvantaged Communities are located on the [New York Climate Act website](#).

All Proposers are required to fully detail the benefits and burdens associated with the impacts of the Bid Facility's development on any hosting and/or proximate Disadvantaged Communities, as identified through engagement with Disadvantaged Communities, and in accordance with the most recent relevant guidance per the [Climate Action Council](#) and [Climate Justice Working Group](#). Benefits of Bid Facility development may include establishment of education and training opportunities, the hiring of residents from Disadvantaged Communities, or other investments identified as priorities for the community.

All Proposers are expected to explore how they can design their investments to provide benefits to and reduce burdens on Disadvantaged Communities in accordance with the 2020 CES Modification Order.

Proposers are also encouraged to consult the following resources maintained by NYSERDA, the New York State Department of Labor (DOL), and other entities in New York State that are actively supporting the development and sourcing of trained workforce participants (including laborers, workmen, mechanics, electricians, and operations and maintenance workers) from Disadvantaged Communities.

- NYSERDA [On-the-Job Training \(OJT\) program](#) for clean technology businesses seeking to recruit new hires.

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<sup>81</sup> See the NYSERDA Disadvantaged Communities and Climate Action Council webpages for additional resources. [Climate Justice Working Group](#) webpages for additional resources.

- Browse [examples of previously supported training projects](#), including multiple partnerships that have trained workers from Disadvantaged Communities to prepare the clean energy workforce.
- For questions, contact [PONOJT@nyserda.ny.gov](mailto:PONOJT@nyserda.ny.gov)
- [NYSERDA Clean Energy Training Services](#) is available to contractors seeking to provide targeted training and workforce development resources.
  - For questions, contact [winfo@nyserda.ny.gov](mailto:winfo@nyserda.ny.gov)
- [NYSERDA Internship & Pre-Apprenticeship Program](#)
- [DOL Apprenticeship Program](#)
  - For questions, contact the appropriate [local apprenticeship representative](#) or contact [ATCO@labor.ny.gov](mailto:ATCO@labor.ny.gov)
- [DOL Career Center Events & Recruitment program](#) also supports regularly scheduled job fairs where employers can actively source workforce participants from Disadvantaged Communities.

### **MWBE and SDVOB**

Proposers and their contractors/sub-contractors/other partners are strongly encouraged to pursue partnership with MWBE and SDVOB. Proposers are required to state the amount of Incremental Economic Benefits that will accrue to MWBE and SDVDB contractors and subcontractors in Categories 1 and 2. These Incremental Economic Benefits will receive greater weight in scoring and will be included in the Agreement as further described in Section 4.2.

### **Independent Audit and Verification of Incremental Economic Benefits**

Independent audit and verification of the actual Incremental Economic Benefits of the Bid Facility and comparison to the level of claimed Incremental Economic Benefits will be required after the first three years of the Contract Delivery Term where the Proposer will submit an economic benefits report prepared by a New York State certified, independent certified public accountant, demonstrating the actual Incremental Economic Benefits that resulted from the construction and operation of the Bid Facility under the categories and within the eligibility requirements listed in the RFP. The Economic Benefits Report will be funded at the Bidder's expense. Should the Bidder fail to reasonably demonstrate that the total dollar amount of Incremental Economic Benefits divided by Installed Bid Capacity, is at least 85% of Expected Dollars/MW, NYSERDA may at its option upon Notice to Seller, modify the Agreement by reducing the Bid Price payable for the remainder of the Contract Delivery Term.

### **Long-Term Economic Benefits to New York State (Category 1)**

The Proposer should describe the degree to which the development, construction, and operation of the Bid Facility will directly create (add) long-term jobs and/or accrue long-term payments to the New York State economy, its municipalities and/or residents. Payments that will provide long-term royalties, production-based payments, land lease or land use payments or other forms of compensation are also eligible in this category. Payments for non-renewable fuels (*e.g.*, natural gas) are not eligible for consideration in this category or in any Economic Benefits category. Eligible claims can include:

- 1) Employment of workers in New York in the form of long-term jobs (jobs lasting longer than three years). These can include, but are not limited to, jobs associated with operations and maintenance, plant management, long-term project development, or similar;

- Employment of workers from Disadvantaged Communities will be given materially greater weighting in evaluation of long-term benefits. All Proposers siting projects in or near Disadvantaged Communities are strongly encouraged to explore what employment resources are available to establish targeted hiring practices to support residents of Disadvantaged Communities.
- 2) Establishment of a project office in New York State, including pre-development activities, leases/purchases, and related employment not claimed as jobs associated with operations and maintenance, plant management, long-term project development, or similar;
  - 3) New or increased local property tax payments to school districts, cities, towns, or other taxing jurisdictions;
  - 4) Payments in Lieu of Taxes (PILOT) agreements or other alternative taxing mechanisms and forms of compensation;
    - New or increased tax payments and/or PILOT agreements that will clearly benefit Disadvantaged Communities will be given materially greater weighting in evaluation of long-term benefits.
    - A percentage of new or increased tax payments and/or PILOT agreement payments will be credited in evaluation as providing incremental economic benefits to Disadvantaged Communities in proportion to the percentage of land parcels located in Disadvantaged Communities.
  - 5) Host community payments, Community Benefits agreements (separate from PILOT or Host Community Benefit utility bill credit payments), mitigation/conservation payments, or other funds that will directly benefit the host community for more than three years, such as Proposer-funded projects that will not be linked to the Bid Facility (*e.g.*, new building or infrastructure improvements to the host town(s), other capital projects indicated as desirable by the host town, funds established in the host town to benefit local residents, *etc.*);
    - Programs established in host towns or proximate communities to specifically direct benefits to Disadvantaged Communities will be given materially greater weighting in evaluation of long-term benefits.
  - 6) Land purchase payments and payments for leases of land in New York associated with securing rights to a Bid Facility site. Land purchase payments will be pro-rated for evaluation purposes to reflect the eligible time period for Economic Benefits claims.

Proposers are encouraged to work with the AHJs hosting the Bid Facility to determine if there are long-term economic benefits that could be uniquely afforded to the town/city/county/school district.

### **Short-Term Economic Benefits to New York State (Category 2)**

The Proposer should describe the degree to which both local and statewide economic activity will increase as a result of in-state purchases and short-term jobs. These can include:

- 1) Employment of workers in New York in the form of short-term jobs (jobs lasting less than three years). These can include construction, rail and port workers, contractors and laborers, engineering or environmental service providers, consultants, financial service advisors, and legal service providers in New York associated with the development and construction/modification of the Bid Facility;
- 2) Employment of workers in New York for ongoing operations and maintenance expenses which are anticipated through the first three (3) years of Commercial Operation;



- 3) Employment of workers in New York in the form of short-term jobs (jobs lasting less than three years) that will support the establishment of a project office in New York state and that are not already claimed as long-term economic benefits;
- 4) Purchases and/or consumption of local goods and services, such as, but not limited to, food, lodging, vehicles, equipment, and/or fuel;
- 5) Other funding that will directly benefit the host community for less than three years, such as Proposer-funded projects that will not be linked to the Bid Facility (*e.g.*, a renewable energy career fair, sponsorship of a community event, etc.);
  - Programs established in host towns or proximate communities to specifically direct benefits to Disadvantaged Communities will be given materially greater weighting in evaluation of short-term benefits.
- 6) Purchases of materials sourced from within New York such as, but not limited to, gravel, steel, concrete and similar materials, purchases and use of equipment and products manufactured or assembled within New York, and/or the use of rental equipment or similar supplies sourced from within New York. Bid Facility components (*e.g.*, wind turbines, solar panels) not manufactured within New York are not eligible for consideration in this category or in any Economic Benefits category.

Commitments to the employment of short-term workers from Disadvantaged Communities will be given materially greater weighting in evaluation of long-term benefits. See Section 6.10 of the RES Standard Form Agreement.

Proposers are encouraged to work with the AHJs hosting the Bid Facility to determine if there are short-term economic benefit opportunities that could be uniquely afforded to the town/city/county/school district.

### **Investments/Commitments to Local Economic and Workforce Development (Category 3)**

The Proposer should describe other commitments that can be included as part of a Step Two Bid Proposal related to economic and workforce development activities. Eligible Incremental Benefits claims in this category may be similar to those eligible claims in Long-Term economic benefits, and can include, but are not limited to:

- 1) Commitments to entering into a project labor agreement, labor peace agreement, or other good-faith labor agreement as part of the construction and operation of the Bid Facility;
- 2) Hosting of local internships and programs for students in renewable energy education in partnerships with local school systems and local NGOs/foundations;
- 3) Hosting of cleaning energy sector occupation apprenticeships or training programs in partnership with community colleges, vocational schools, and/or NGOs/foundations;
  - Commitments to fund or utilize existing workforce development programs that target Disadvantaged Communities such as workforce-to-job training, apprenticeships, pre-apprenticeships, and direct recruitment for short-term construction/operations & maintenance jobs will be given materially greater weighting in evaluation of long-term benefits.
- 4) Hosting of environmental justice programs.
  - Programs established that demonstrably benefit disadvantaged s will be given materially greater weighting in evaluation of economic benefits.

- 5) Partnering and/or hosting other on-site or proximate businesses or industries that are planned to be co-developed with the Bid Facility.
- 6) Commitments to establish an energy cost-saving Community Choice Aggregation (CCA) or bilateral power purchase agreements (PPA) with the host communities and/or regional entities.
  - Commitments to establish a CCA and/or PPA with a host community or municipality located in the region must be substantiated with a letter of coordination and support from 1) a CCA administrator describing how the project will be integrated into the CCA supply mix and, if available, 2) the host community or municipality located in the region that has expressed interest in pursuing a CCA and/or PPA structure with the Proposer.
  - CCAs or PPAs established in geographies that will demonstrably create cost-savings for Disadvantaged Communities will be given materially greater weighting in the evaluation of long-term benefits.
  - Specific questions regarding the establishment of a CCA can be directed to [cec@nyserda.ny.gov](mailto:cec@nyserda.ny.gov).

For Investments/Commitments to Local Economic and Workforce Development economic benefits claims, the TEP will assess the scale of the likely impact of the proposed actions and firmness of the commitments, with points awarded based on the number, range, maturity, firmness, and credibility of the commitments being made and the scale of the potential benefits. The TEP will consider the:

- nature, quantity and importance of the proposed claims;
- effectiveness of the approach to developing the proposed claims; and
- supporting documentation to substantiate the nature, firmness, and maturity of the commitments, including, for example, letters of support, memoranda of understanding, letters of intent, option agreements, or binding contracts.

Proposers are encouraged to work with the AHJs hosting the Bid Facility to determine if there are economic benefits opportunities that could be uniquely afforded to the town/city/county/school district/census tract.

Proposers interested in exploring new opportunities for investments/commitments to local economic and workforce development benefits are also encouraged to consult with the New York State Empire State Development (ESD) Cleantech and Renewable Energy program, which may provide other resources and information as to potential opportunities in the Proposers' region of interest. Interested Proposers are encouraged to reach out directly to ESD at: [CleanTech@esd.ny.gov](mailto:CleanTech@esd.ny.gov).

### **8.3.6 Buy American / Domestic Steel Provisions**

In order to comply with NYSERDA's determination on the Buy-American requirement, Proposers will be required to establish that it procures a minimum of \$54,000 per MWac of iron or steel components that are manufactured with U.S. iron and steel for use in the Bid Facility. Any solar Bid Facility awarded a contract in RESRFP22-1 is required to establish that it procures a minimum of \$30,000 per MWdc of iron or steel components that are manufactured in the U.S. with U.S. iron and steel for use in the Bid Facility.

To the extent a Bid Facility falls short of the minimum dollar requirement determined for the project, any shortfall will be addressed through the remedy provided in Section 5.02 of the Agreement.

## 8.4 Bid Fee Instructions

Each Step Two Bid Proposal must be accompanied by a non-refundable Bid Fee, in the form of electronic wire (preferred) or certified funds, in an amount determined by the Nameplate Capacity of the Bid Facility. **The Bid Fee is due by February 8, 2023** (see Section 1.3). Proposers must indicate that they have submitted a Bid Fee with their Step Two Bid Proposal and attach proof of the provision of a Bid Fee, such as a receipt or transfer confirmation.

A separate Bid Fee is not required for each Step Two Bid Proposals in instances of Alternate proposals for the same Bid Facility. If a Proposer wishes to submit one or more Alternate Step Two Bid Proposals for the same Bid Facility (for example, with energy storage, or for a different Bid Capacity), only one Bid Fee is required. A separate Bid Fee is not required for each alternate Step Two Bid Proposal.

Bid Fees will not be refunded to Proposers. Required Bid Fee amounts are shown in Table 11 based on the highest Nameplate Capacity in megawatts (MW) submitted for the eligible generator.<sup>82</sup>

**Table 11. Bid Fees by Nameplate Capacity**

<b>Nameplate Capacity (MW)</b>	<b>Bid Fee</b>
Less than 5.00 MW	\$5,000
5.00 – 19.99 MW	\$20,000
20.00 – 49.99 MW	\$50,000
50.00 MW or more	\$100,000

Full Bid Fee submission instructions with account and routing information can be downloaded after registering as a Proposer on the solicitation website.

All Bid Fees must be clearly labeled with a unique identifier comprised of the Bid Facility's NYGATS ID and the RFP Tracking Number, in the format: GENXXXXX\_RESRFP22-1, or PROXXXXX\_RESRFP22-1, or IMPXXXXX\_RESRFP22-1. Bid Fees provided via electronic wire must have this unique identifier included within the Payment Details/Description. Bid Fees provided via cashier's check must have this unique identifier clearly labeled within the Memo or elsewhere on the check.

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<sup>82</sup> The Nameplate Capacity is determined by the Tier-1 eligible generation in the NYGATS PSoQ or SoQ and does not include Energy Storage. Nameplate Capacity is measured in AC capacity (MWac).

## **9 POST-AWARD PROCESS**

### **9.1 Confidentiality**

The Proposer shall not distribute any press release or contact the media until after the contract is executed by both parties and any New York State press releases regarding the awards have been issued. NYSERDA may require Proposers to execute a Non-Disclosure Agreement prior to award covering the period of time between award notification and contract execution. If the Proposer wishes to contact the press regarding the award, the Proposer must collaborate with NYSERDA's Large-Scale Renewables Team and the Director of Communications to prepare any press release and/or to plan for any announcement.

### **9.2 Provision of Contract for Execution**

NYSERDA will prepare a conformed copy of the RES Standard Form Agreement (Attachment A) which will be delivered to the Proposer, in a manner to be agreed upon, for Proposer's execution and return.

NYSERDA may rescind awards to Proposers who fail to provide Contract Security within thirty (30) days of the Award Notification Date or who fail to execute the Agreement within a reasonable amount of time. If a Bid Facility is awarded a contract under RESRFP22-1 and the Proposer fails to execute NYSERDA's RES Standard Form Agreement within a reasonable time following notification of an award, the Bid Facility may not be eligible to participate in the next NYSERDA Tier 1 solicitation.

NYSERDA may publish the executed Agreements, and/or relevant terms within the Agreements, executed with awardees. Prior to such publication, NYSERDA will redact any critical electric infrastructure information contained in the Agreements, if any, including in the exhibits thereto, and will consider requests to redact confidential business information; provided, however that NYSERDA will not entertain any request to redact price information contained in the Agreement, specifically the Bid Price.

### **9.3 Provision of Contract Security**

Unless otherwise agreed to by NYSERDA in writing, Contract Security in the amount of the product of the Bid Quantity and \$10.00 will be required within thirty (30) days of the Award Notification Date. NYSERDA accepts Contract Security in the form of cash, certified funds, or a Letter of Credit. The criteria for accepting a LOC includes:

- 1) the issuing bank is a member of the New York Clearinghouse Association,<sup>83</sup> or
- 2) the issuing bank must have a credit rating of A or better by Standard and Poor's, A or better by Fitch, or A2 or better by Moody's; and
- 3) the issuing bank must be a United States bank, or a United States branch of a foreign bank, with a New York branch preferred.

NYSERDA has included a standard form of letter of credit in the RES Standard Agreement. If the issuing bank seeks modification to these terms, NYSERDA recommends that a draft letter of credit should be sent to NYSERDA for review and consideration prior to issuance.

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<sup>83</sup> Please see the owner bank membership for The Clearing House available from <https://www.theclearinghouse.org/about/owner-banks>

## 9.4 Documents Required for Contracting Purposes

NYSERDA requires the following documents prior to contract execution:

- 1) Post-Award Contracting Information Form, to be provided by NYSERDA to Seller, requesting information such as Legal Business Name, State of Incorporation, Tax Identification Number (EIN), and other contractual information; and
- 2) Pursuant to Tax Law Section 5-a, if not previously filed for the Seller, form Tax Law ST-220-TD is required. Please consult Publication 223, Questions and Answers Concerning Tax Law Section 5-1. If filing for the first time, please indicate the “Seller” under “Contractor name” on the form. This form is filed with the NYS Tax Department and NYSERDA does not need a copy. If previously filed for the Seller, a completed form Tax Law ST-220-CA. On this form, Sellers will indicate to NYSERDA that they have filed the ST-220-TD form or the Seller previously filed ST-220-TD with the Tax Department. As a reminder, please indicate the “Seller” under “Contractor name” on the form; and
- 3) Certificate of Incorporation; and
- 4) A certificate of an appropriate officer of the Seller, in form and substance certifying: (1) the names and signatures of the officers of the Seller authorized to sign any documents to be delivered to NYSERDA under the conformed RES Standard Form Agreement, and (2) the accuracy and completeness of resolutions of the Seller, authorizing and approving all matters in connection with the transactions contemplated in the conformed Agreement. NYSERDA does not have a preferred standard.
- 5) Updated EO 16 Certification and/or Vendor Responsibility Questionnaire.

## 9.5 Department of Agriculture and Markets Section 305 Notice Information

For awarded Bid Facilities with a Nameplate Capacity less than 25 megawatts and located in a New York State Agricultural District, Proposers may be required to provide to NYSERDA a report including all information required by Section 305(4)(b) of the Agriculture and Markets Law. NYSERDA reserves the right to expand this requirement to Bid Facilities greater than 25 megawatts and/or Bid Facilities sited outside of Agricultural Districts pending the applicable permitting processes in place at the time of award and contracting.

A map of the agricultural districts, by county, is available from New York State Department Agriculture and Markets (AGM).<sup>84</sup>

## 9.6 Public Release of Bid Facility Information

If Bid Facility characteristics change between Bid Proposal and Award, Proposers are required to submit an updated Attachment B Public Release of Bid Facility Information to NYSERDA within 10 Business Days of such change. The updated Attachment B will be made available to the public by NYSERDA. NYSERDA will not redact any information provided on the updated Attachment B, in order to ensure transparency with the public.

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<sup>84</sup> New York State Agriculture and Markets Agricultural Districts is available by county at <https://cugir.library.cornell.edu/?utf8=%E2%9C%93&q=nys+agriculture+districts>

### **9.7 Non-disclosure Agreement/Waiver for Interconnecting Authority**

The Proposer shall waive confidentiality with the pertinent Interconnecting Authority after the RES Agreement has been executed.

### **9.8 In the Matter of a Renewable Energy Facility Host Community Benefit Program (Case Number 20-E-0197)**

Upon Agreement execution, NYSERDA is required to inform impacted Utilities serving residential customers proximate to the Bid Facility's location and file with PSC in case 20-E-0249 pursuant to the PSC's Order in Case Number 20-E-0249. Prior to Agreement execution, Sellers will confirm the Utility(ies) for residential customers in the project area (i.e., City(ies) and Town(s)) where projects are located for the purpose of compliance with PSC Host Community Benefit Program in DPS DMM Case Number: 20-E-0249. NYSERDA will include the Facility Name, Nameplate Capacity (MWac), Utility, NYISO Queue Position, and Potential Host Community(ies) in the communication. Note that these towns are not AHJs, but the city(ies) and town(s) associated with the physical location of the project as bid to NYSERDA.

## **10 RES STANDARD FORM AGREEMENT**

NYSERDA recommends that Proposers review the Standard Form Agreement (Agreement), Attached hereto as Attachment A, and all associated Exhibits prior to participating in RESRFP22-1. The Agreement is a legally binding document; it is recommended that Proposers consult with an attorney. NYSERDA cannot adjust the binding Fixed or Index REC Bid Price or other settlement-related terms submitted by Proposers as part of a Step Two Bid Proposal.

### **10.1 Conditions/Contingencies**

NYSERDA may include conditions and/or contingencies to address matters concerning any issues regarding the viability or siting of a Bid Facility, or where the build environment is contingent or conditional on governmental rescission, modification or change in local law, temporary or permanent.

### **10.2 Material Changes to Bid Proposal/Agreement Terms**

NYSERDA will not make material adjustments or adjust any award to accommodate changes unforeseen by the developer, including the Index REC Strike Price or Fixed REC Price. Bid Facilities awarded under RESRFP22-1 that do not execute an Agreement may be barred from future participation in RES Solicitations. For Upgrades and Repowerings, depending on the scope of such Proposals, NYSERDA may require additional modifications to the Standard Form Agreement to assure consistency among the basic commercial terms contained therein.

## **11 GENERAL CONDITIONS**

### **11.1 Proprietary Information**

Consideration should be given before confidential information is submitted to NYSERDA as part of any Proposal. Proposers should consider and review whether information is critical for evaluation, and whether general, non-confidential information may be adequate for review and evaluation purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. The Public Officers Law includes exceptions to disclosure, including Section 87(2)(d) which provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Additional information submitted to NYSERDA that Proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 (<https://www.nyserda.ny.gov/about/new-york-state-regulations>).

However, NYSERDA cannot guarantee the confidentiality of any information submitted. NYSERDA reserves the right to make public, after the fifth anniversary of the award date, the Agreement executed with any awarded Proposal.

### **11.2 State Finance Law Sections 139-j & 139-k**

NYSERDA is required to comply with State Finance Law Sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <https://ogs.ny.gov/acpl>.

Proposer must certify that he/she will comply with State Finance Law Sections 139-j and 139-k and a provide disclosure statement regarding whether Proposer has been found non-responsible under Section 139-j of the State Finance Law within the previous four years.

### **11.3 Tax Law Section 5-a**

NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the Department) whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf)). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department. The Department has created a second form that must be completed by a prospective contractor prior to contacting and filed with NYSERDA. See, ST-220-CA (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220ca\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.



#### **11.4 Omnibus Procurement Act of 1992**

It is the policy of New York State to maximize opportunities for the participation of New York State business enterprises, including minority- and women-owned business enterprises, as Proposers, subcontractors, and suppliers on its procurement Agreements.

Information on the availability of New York subcontractors and suppliers is available from:

Empire State Development  
Division for Small Business  
30 South Pearl Street  
Albany, NY 12245

A directory of certified minority- and women-owned business enterprises is available from:

Empire State Development  
Minority and Women's Business Development Division  
30 South Pearl Street  
Albany, NY 12245

#### **11.5 Disclosure Requirement**

All Proposers shall disclose any indictment for any felony, or any conviction for a felony within the past five years, under the laws of the United States or any state or territory of the United States and shall describe circumstances for each. When a Proposer is an association, partnership, corporation, or other organization, this disclosure requirement includes the organization and its officers, partners, and directors or members of any similarly governing body. If an indictment, investigation, enforcement proceeding, or conviction should come to the attention of NYSERDA after the award of a contract, NYSERDA may exercise its stop-work right pending further investigation, or terminate the agreement; the contractor may be subject to penalties for violation of any law which may apply in the particular circumstances. Proposers must also disclose if they have ever been debarred or suspended by any agency of the U.S. Government or the New York State Department of Labor.

#### **11.6 Press Releases and Media Contact**

All Proposers shall not distribute any press release or contact the media until after the Agreement is executed by both parties and any New York State press releases regarding the awards have been issued. If Proposer wishes to contact the press regarding the award, Proposer must collaborate with NYSERDA's Designated Contacts and Director of Communications to prepare any press release and/or to plan for any announcement. NYSERDA reserves the right to make public, after the fifth anniversary of the Award Notification Date, the Agreement executed with any awarded Bid Facility.

#### **11.7 Independent Entities/Limitation of Liability**

Neither this RFP nor any other aspect of this solicitation shall create an agency, partnership, joint venture, or co-tenancy relationship among the members of the Evaluation Team, or any other individuals or entities involved in the development or administration of this RFP (collectively, the "RFP Parties"), nor any other relationship or liability beyond those (if any) explicitly adopted in writing and executed by authorized representatives of the applicable RFP Parties. None of the RFP Parties shall be

liable for any act or omission of any other RFP Party. Neither this RFP nor any other aspect of this solicitation creates or is intended to create third-party beneficiaries hereunder. In no event will an RFP Party be liable to any person for special, incidental, punitive, exemplary, indirect or consequential damages or lost profits, whether by statute, in tort or contract or otherwise.

### **11.8 Vendor Assurance of No Conflict of Interest or Detrimental Effect**

The proposer shall disclose any existing or contemplated relationship with any other person or entity, including any known relationships with any member, shareholders of 5% or more, parent, subsidiary, or affiliated firm, which would constitute an actual or potential conflict of interest or appearance of impropriety, relating to other clients/customers of the proposer or former officers and employees of NYSERDA, in connection with proposer's rendering services as proposed. If a conflict does or might exist, please describe how your company would eliminate or prevent it. Indicate what procedures will be followed to detect, notify NYSERDA of, and resolve any such conflicts.

The proposer must disclose whether it, or any of its members, or, to the best of its knowledge, shareholders of 5% or more, parents, affiliates, or subsidiaries, have been the subject of any investigation or disciplinary action by the New York State Commission on Public Integrity or its predecessor State entities (collectively, the "Commission on Public Integrity"), and if so, a brief description must be included indicating how any matter before the Commission on Public Integrity was resolved or whether it remains unresolved.

### **11.9 Public Officers Law**

For any resulting awards, the Contractor and its subcontractors shall not engage any person who is, or has been at any time, in the employ of the State to perform services in violation of the provisions of the New York Public Officers Law, other laws applicable to the service of State employees, and the rules, regulations, opinions, guidelines or policies promulgated or issued by the New York State Joint Commission on Public Ethics, or its predecessors (collectively, the "Ethics Requirements"). Proposers are reminded of the following Public Officers Law provision: contractors, consultants, vendors, and subcontractors may hire former NYSERDA employees. However, as a general rule and in accordance with New York Public Officers Law, former employees of NYSERDA may neither appear nor practice before NYSERDA, nor receive compensation for services rendered on a matter before NYSERDA, for a period of two years following their separation from NYSERDA service. In addition, former NYSERDA employees are subject to a "lifetime bar" from appearing before any state agency or authority or receiving compensation for services regarding any transaction in which they personally participated, or which was under their active consideration during their tenure with NYSERDA.

Any awardee will be required to certify that all of its employees, as well as employees of any subcontractor, whose subcontract is valued at \$100,000 or more who are former employees of the State and who are assigned to perform services under the resulting contract, shall be assigned in accordance with all Ethics Requirements. During the term of any agreement, no person who is employed by the contractor or its subcontractors and who is disqualified from providing services under the contract pursuant to any Ethics Requirements may share in any net revenues of the contractor or its subcontractors derived from the contract. NYSERDA may request that contractors provide it with whatever information the State deems appropriate about each such person's engagement, work cooperatively with the State to solicit advice from the New York State Joint Commission on Public Ethics, and, if deemed appropriate by the State, instruct any such person to seek the opinion of the New York

State Joint Commission on Public Ethics. NYSEERDA shall have the right to withdraw or withhold approval of any subcontractor if utilizing such subcontractor for any work performed would be in conflict with any of the Ethics Requirements. NYSEERDA shall have the right to terminate any contract at any time if any work performed is in conflict with any of the Ethics Requirements.

### **11.10 Due Diligence**

NYSEERDA, at its discretion, may conduct broad due diligence to validate any or all elements of an application and to assess applicants' prospects of success, including gathering information to assess a proposal relative to any of the topics listed in evaluation criteria, whether or not such topic is explicitly addressed in a proposal. NYSEERDA may conduct due diligence on some or all proposals based on NYSEERDA's current guidelines at the time of a review. NYSEERDA staff may follow up with proposers to request additional information or clarification regarding applicant's proposal, including questions regarding applicant's business prospects and resources, whether or not those questions are specifically related to the elements of the proposal. Additionally, customized due diligence may be conducted by internal or external staff or contractors based on questions on any proposal raised by NYSEERDA staff and/or the Scoring Committee. Due diligence may include (but is not limited to): interviews of independent references and background checks of team members; assessment of prior business experience of any team member associated with a proposal; research on intellectual property claims; customer and partner reference checks; market research on the applicants' target market and any other related or possibly competitive technology or market area; research to validate any assumptions on current or future revenues, costs, capital needs, and financing prospects for proposers' business, including similar (or unrelated) technologies, processes, or competitive solutions; or any other research that could reasonably inform the evaluation of a proposal, or the prospects for commercial success of the proposers' business (whether directly related to, or unrelated to the specific elements in a proposal). Due diligence may include discussions with proposers' former and current business partners, employees, investors, customers, and competitors. Due diligence may be conducted by NYSEERDA personnel or contractors including members of the scoring committee, before, during, or after a scoring process, and prior to finalization of a contract award, any information gleaned in diligence may be used to score or re-score a proposal or apply a program policy factor.

### **11.11 Executive Order No. 16**

Pursuant to Executive Order No. 16 (EO 16) issued on March 17, 2022, all vendors responding to bids or contracting with New York State must certify, using the form noted in Section 7.3, their status with regard to conducting business operations in Russia, and that any such business operations in Russia conducted on behalf of the vendor are determined to be permitted under any of the allowable exemptions. The term vendor is intended to encompass bidders prior to contract award, contractors who have received a contract award, contract assignees, or contractors for whom an extension to an existing contract is being pursued. Exemption decisions are in NYSEERDA's sole discretion and are final decisions. NYSEERDA reserves the right to solicit additional materials or information regarding the responses or materials provided by a vendor.

Pursuant to EO 16, all vendors will be vetted to ensure that they are not on the federal sanctions list at <https://sanctionssearch.ofac.treas.gov/>. There is no waiver or exemption process for vendors appearing on the federal sanctions list.

The Executive Order remains in effect while sanctions imposed by the federal government are in effect. Accordingly, vendors who may be excluded from award because of current business operations in Russia are nevertheless encouraged to respond to solicitations to preserve their contracting opportunities in case sanctions are lifted during a solicitation, or after award in the case of some solicitations.

# New York Truck Voucher Incentive Program

## Implementation Manual

April 2022



**Truck Voucher  
Incentive Program**

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# Definitions for NYTVIP

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**Battery Electric Vehicle (BEV):** is a An on-road, Class 3-8 gross vehicle weight rating (GVWR), zero-emission vehicle that operates solely by use of a battery pack, or that is powered primarily through the use of an electric battery pack that also stores energy produced by the electric motor or by regenerative braking to assist in vehicle operation. For NYTVIP purposes, a hydrogen fuel cell powered vehicle is not considered to be a BEV.

**Commercial Fleet** is one or more vehicles used solely as part of a commercial enterprise (i.e., not used for individual or personal activities). Vehicles cannot be registered to an individual.

**Congestion Mitigation and Air Quality Improvement Program (CMAQ)** is a source of funding apportioned by the Federal Highway Administration (FHWA) and administered by the New York State Department of Transportation. CMAQ funding supports surface transportation projects and other related efforts that contribute to air quality improvements and provide congestion relief. CMAQ must be used in areas that are or were previously classified as non-attainment for one or more of the pollutants that comprise the National Ambient Air Quality Standards (NAAQS). As of April 1, 2022, scrappage requirements do not apply to CMAQ-funded vouchers.

The counties where CMAQ funded incentives are available are:

Albany	Kings (Brooklyn)	Ontario	Saratoga
Bronx	Livingston	Orange	Schenectady
Chautauqua	Monroe	Orleans	Schoharie
Dutchess	Montgomery	Putnam	Suffolk
Erie	Nassau	Queens	Wayne
Genesee	New York (Manhattan)	Rensselaer	Westchester
Greene	Niagara	Richmond (Staten Island)	
Jefferson	Onondaga	Rockland	

**Contractor** is the vehicle dealership, Original Equipment Manufacturer (OEM), or Upfit/Retrofit Manufacturer (URM) that sells Eligible Vehicles (new medium- or heavy-duty vehicles) directly to a Vehicle Purchaser or end-user. In the case of repowers, the Contractor is the entity that sells the repower equipment to the Fleet and performs the repower on the vehicle.

**Contractor Portal** is an online system, utilizing Salesforce software, that entities selling eligible vehicles use to apply to become a Contractor in the Program.



**Disadvantaged Community (DAC)** is currently defined as a census block that is either:

1. In the top quartile of the United State Department of Housing and Urban Development (HUD) 50% area median income (AMI) thresholds, and that is also located within a DEC Potential Environmental Justice Area.<sup>1</sup>
2. Located in a New York State Opportunity Zone.<sup>2</sup>

An interactive map to determine whether a location is in a Disadvantaged Community can be accessed at [nyscrda.ny.gov/ny/disadvantaged-communities](https://nyscrda.ny.gov/ny/disadvantaged-communities).

**Domicile** is the location where the vehicle will be registered, stored, maintained, and/or generally be located, such as a fleet depot, when not performing duties.

**Electric Vehicle (EV)** is an on-road, Class 3-8 gross vehicle weight rating (GVWR), zero-emission vehicle that operates solely by use of a battery pack or hydrogen fuel cell, or that is powered primarily through the use of a hydrogen fuel cell or electric battery pack that also stores energy produced by the electric motor or by regenerative braking to assist in vehicle operation. Primary recharge energy must be drawn from a source off the vehicle, such as a connection to grid electric service or a hydrogen fuel dispenser. Under the Program rules, an EV that has received Program incentives must satisfy minimum annual usage requirements for a particular vehicle type during the entire five-year in-service period.

**Eligible Vehicle** is an electric vehicle that meets all Program rules and requirements.

**Factory Build Sheet** is contains assembly instructions according to detailed vehicle specifications for use at the manufacturing facility.

**Fleet** is the vehicle fleet of a commercial, nonprofit, or public sector entity (excluding federal governmental entities) that domiciles, registers, and/or operates class 3-8 vehicles in New York.

**Fuel Cell Electric Vehicle (FCEV)** is an on-road, Class 3-8 gross vehicle weight rating (GVWR), zero-emission vehicle that operates solely by use of a hydrogen fuel cell, or that is powered primarily through the use of a hydrogen fuel cell along with battery packs.

**Gross Vehicle Weight Rating (GVWR)** is the maximum operating weight/mass of a vehicle as specified by the manufacturer and described on the original manufacturer line setting ticket provided to the vehicle dealer. See the following table of weight classes.

Vehicle Class	Gross Vehicle Weight Range
Class 3	10,001–14,000 pounds (4,536–6,350 kg)
Class 4	14,001–16,000 pounds (6,351–7,257 kg)
Class 5	16,001–19,500 pounds (7,258–8,845 kg)
Class 6	19,501–26,000 pounds (8,846–11,793 kg)
Class 7	26,001–33,000 pounds (11,794–14,969 kg)
Class 8	≥33,001 pounds (≥14,969 kg)

**Incremental Cost** is the difference in cost between the new eligible vehicle and a comparable new diesel-fueled vehicle that would be purchased to perform the same function. For the purposes of this Program, the entire cost to repower a vehicle is considered its incremental cost.

**Line Setting Ticket** is the factory build or construction sheet created when the vehicle order is sent to the vehicle manufacturer.

**Nonprofit** is an agency or corporation that is exempt from federal income taxes under Section 501 of the Internal Revenue Code (26 U.S.C. § 501).

**Non-Road Port Cargo Handling Equipment (CHE)** is a non-road vehicle type under NYTVIP. Examples of eligible CHEs are rubber-tired gantry cranes, straddle carriers, shuttle carriers, top loaders, side loaders, skid loaders and terminal tractors, including yard hostlers and yard tractors that operate within eligible ports.

**NYSERDA Portal** is a system utilizing Salesforce software that the Contractor, once approved by the Program, can log into to apply for vouchers, check status of their voucher progress, and upload Program required documents for voucher approval and voucher redemption approval.

**Original Equipment Manufacturer (OEM)** is the company that builds or assembles, at a minimum, the completed drive train and chassis for an eligible vehicle.

**Participating Vehicle Dismantler** is a facility that will perform the Scrappage of an eligible old diesel vehicle according to NYTVIP guidelines.

**Port** is a maritime commercial facility where ships may dock to load and discharge passengers and/or cargo. Ports must be located on a seacoast, estuary, lake, or river that allows for commercial navigation. For the purposes of the NYTVIP, ports eligible for cargo handling equipment funding must be also located within, or operated within, a half-mile of a disadvantaged community within the New York Metropolitan Area (NYMA) counties (Bronx, Kings, Nassau, New York, Queens, Richmond, Rockland, Suffolk, and Westchester).

**Program** is the New York Truck Voucher Incentive Program.

**Program Website** [nyscrda.ny.gov/Truck-Voucher-Program](https://nyscrda.ny.gov/Truck-Voucher-Program).

**Replacement Vehicle** is a new eligible vehicle that replaces an existing diesel vehicle of similar weight class and vocation that has been scrapped to meet Program requirements.

**Repowered Vehicle** is an existing vehicle that had its existing diesel engine, which was dated at least six years older than the current model year, Scrapped and replaced with a new engine, motor, drivetrain, and battery.

**Scrappage (Scrapped or Scrap)** is verifiably rendering inoperable a vehicle with a diesel engine dated 1992 through 2009 by verifiably cutting a three-inch hole in the engine block and disabling the chassis by cutting the vehicle's frame rails completely in half. For repowered vehicles, the existing diesel engine block must have a three-inch hole cut into it and the engine must be at least six years old; the chassis need not be disabled. Vouchers eligible for the lower incentive amount reflected in Table 6, will not require scrappage.

**Semi-Annual Usage Report** is a required semi-annual report submitted by the Vehicle Operator that details the mileage, fuel use, maintenance, breakdown costs, and other information to NYSERDA.

**Telematics** is the technology of sending, receiving, and storing information using telecommunication devices that have been installed in an eligible vehicle by a fleet participant.

**Transit Operator** is any municipally owned or municipally contracted public transportation provider; public transportation authority; or intercity provider pursuant to Section 14(g) of New York State Transportation Law, that provides transportation service open to the public.

**Upfit/Retrofit Manufacturer (URM)** is a company that installs equipment on a truck or bus rolling chassis purchased from an OEM. The Upfit/Retrofit Manufacturer must bear full responsibility under federal law for any vehicle defects and is responsible for certifying the vehicle meets all applicable federal safety standards.

**Vehicle Operator** is the entity that will operate an eligible vehicle. This may be the vehicle purchaser or a different entity under a lease agreement with a vehicle purchaser.

**Vehicle Purchaser** is the entity that will directly purchase, own, and operate the vehicle or the leasing company that will lease an Eligible Vehicle to a Vehicle Operator. The Vehicle Purchaser may or may not be the same entity as the Vehicle Operator.

**Volkswagen Settlement** refers to the January 29, 2018 *Environmental Mitigation Trust Agreement for State Beneficiaries* in which New York State is a listed Beneficiary. New York State's subsequent Beneficiary Mitigation Plan ("CLEAN TRANSPORTATION NY") outlines the overall goals and objectives for use of funds provided by the VW Trust. See: [dec.ny.gov/chemical/109784.html](http://dec.ny.gov/chemical/109784.html)

**Voucher Application** is the process of the Contractor supplying information through the NYSERDA Portal to have a voucher incentive set aside for an eligible vehicle or repowered vehicle.

**Voucher Approval Date** is the date on which NYSERDA approved a project and set aside funding for a vehicle project. Contractors must submit all documentation for reimbursement within 12 months of the voucher approval date or within 18 months if an extension has been granted.

**Voucher Redemption** is the process of the Contractor supplying information through the NYSERDA Portal to complete the voucher process and satisfy all requirements for a payment to be made to the Contractor.

**Voucher Help Center (VHC)** is the entity that answers Program questions, takes in, reviews, and processes voucher applications and is the primary Program point of contact for OEMs, URMs, Contractors, and Fleets. The VHC can be reached at [NYTVIP@energycenter.org](mailto:NYTVIP@energycenter.org) or 866-595-7917.

# 1 Program Overview

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The New York Truck Voucher Incentive Program (NYTVIP or Program) is a voucher incentive program aimed to accelerate the deployment of electric trucks and buses (also referred to as EVs) in the medium- and heavy-duty vehicle weight classes throughout New York State. By increasing the use of cleaner vehicle technologies, the Program reduces harmful vehicle emissions, including greenhouse gases, and lessens New York's transportation sector's dependence on petroleum. In partnership with New York State Department of Transportation (DOT) and New York State Department of Environmental Conservation (DEC), the New York State Energy Research and Development Authority (NYSERDA) developed NYTVIP to reduce the cost of medium- and heavy-duty EVs to help fleets, leased vehicle operators, and vehicle owner-operators switch to vehicles that are better for the environment and often are more cost-effective than equivalent diesel-fueled vehicles.

## About the Implementation Manual

This Implementation Manual outlines the process, requirements, rules, and funding parameters of the Program to provide participants with information on how to participate in NYTVIP. NYSERDA may make changes to the Implementation Manual at any time. Changes will be applicable to all voucher applications not yet approved by NYSERDA. Program participants are bound by the version of Implementation Manual in effect at the time they submit a voucher application. In other words, voucher applications, voucher redemption protocols, and all other Program elements associated with those vouchers must follow the directions outlined in the most recent version of the Implementation Manual posted on the Program website at the time of voucher submittal. The most recent Implementation Manual, as well as all required forms and agreements, can be found on the Program website ([nyserderda.ny.gov/Truck-Voucher-Program](https://nyserderda.ny.gov/Truck-Voucher-Program)) as well as in the NYSERDA Portal through which voucher applications are submitted. Notice of all changes will be provided to Program participants via their designated email addresses, as identified in the voucher application.

## 1.1 Advancing Clean Vehicles through Voucher Incentives

Voucher incentives facilitate Fleet adoption of new EV trucks and buses by reducing the upfront prices of these vehicles, which are typically more expensive than comparable diesel vehicles. Vouchers make it more affordable for Fleets to gain experience with cleaner technologies that may cost less to operate than diesel vehicles. In addition, voucher projects result in verifiable emissions reductions and air quality improvements through new vehicle usage, and by decommissioning diesel vehicles through a Scrappage process. Fleet agrees to purchase an eligible vehicle from a vendor/dealer (Contractor) qualified to sell that vehicle through the Program, and the Contractor deducts the value of the voucher from the total sale price. Once the Vehicle Purchaser has scrapped an eligible diesel vehicle with engine model year 1992 through 2009 (if applicable) and the Contractor has supplied all required documentation to verify all steps of the process, NYSERDA reimburses the Contractor for the full voucher amount.

**Note:** Fleets located in select counties (see Table 7) that purchase battery electric vehicles and apply for the incentive amounts reflected in Table 6 (see Section 1.2.5) are not required to scrap a vehicle.

The voucher amount is provided to Fleets by the Contractor at the point of purchase in the form of a discount off the total purchase price, making EV acquisitions easier and less expensive and helping to distribute the benefits of EV deployment within New York State. NYSERDA will not make a voucher payment unless all requirements for voucher redemption are met and approved by NYSERDA. Failure to comply with all applicable scappage requirements will result in the rejection of a voucher payment request, which means the fleet must pay the full (unreduced) vehicle price to the Contractor. If the Fleet does not provide proper documentation to the Contractor for voucher redemption, NYSERDA is NOT responsible for the deficit in funding for the vehicle purchase. Partial voucher payments will not be made on individual vehicles. For multi-vehicle voucher requests, separate payments may be made for individual vehicles.

For each eligible vehicle model, NYSERDA will determine an estimated voucher amount—based on the purchase price difference between EV vehicle and a comparable diesel truck, bus, or CHE—and post that information in the [NYTVIP Eligible Vehicle List](#) on the Program website.<sup>3</sup> This allows prospective vehicle purchasers to know the estimated vehicle incentive amount prior to negotiating a vehicle price with the Contractor. NYSERDA, at its sole discretion, will determine the final value of the voucher at the time of approval and upon review of the Purchase Order for the new vehicle. The final value of the voucher may differ from the estimated voucher amount reflected in the Vehicle Eligibility list, such as in cases where an eligible vehicle model’s final incremental cost changed significantly from the approved incremental cost since it was approved for eligibility or based on the availability of funding. Project-specific information, such as domicile address and funding source, may also impact the final voucher amount and will be determined when the application is approved.

### 1.1.1 Voucher Publicity

All Program participants must collaborate with NYSERDA's Director of Communications, at least 10 business days in advance, to prepare any press release and to plan for any news conference concerning work related to the Program, if any. Program participants must notify the Voucher Help Center & NYSERDA Project Managers in advance of any media interview or press event in which work related to this Program, including vehicles for which the purchase or lease was facilitated using vouchers, is referred to or discussed. Vehicle Purchaser/Vehicle Operators must not use NYSERDA’s, New York State Department of Environmental Conservation’s (DEC), or New York State Department of Transportation (DOT) corporate name, logo, identity, any affiliation, or any related logo, without prior written consent from NYSERDA, DEC, or DOT.

## 1.1.2 Program Contacts

All Program questions can be directed to the Voucher Help Center (VHC):

NYTVIP Voucher Help Center  
866-595-7917  
[NYTVIP@energycenter.org](mailto:NYTVIP@energycenter.org)

If you are unable to contact personnel at the VHC, or if there are issues that the VHC cannot resolve, please contact the NYSERDA project manager responsible for the Program:

Patrick Bolton  
Senior Project Manager  
17 Columbia Circle, Albany, New York 12203  
(518) 862-1090 ext. 3322  
[Patrick.Bolton@nysesda.ny.gov](mailto:Patrick.Bolton@nysesda.ny.gov)

Elizabeth Markham  
Project Manager  
17 Columbia Circle, Albany, New York 12203  
(518) 862-1090 ext. 3386  
[Elizabeth.Markham@nysesda.ny.gov](mailto:Elizabeth.Markham@nysesda.ny.gov)

## 1.2 Voucher Funding Categories and Amounts

This update to the program discontinues the issuance of incentives for CNG, Propane and hybrid vehicles. Only BEVs and FCEVs are eligible for program incentives going forward. The total funding for NYTVIP incentives as of April 2022 is \$58.3 million. The Program may receive additional funds over time and may also expand to include additional vehicle types. With the exception of VW funded Non-Road Port Cargo Handling Equipment and, as of June 1, 2022, VW funded electric transit buses, no vehicle purchaser or vehicle operator may receive more than 25% of the total available funds under each of the funding categories in the NYTVIP as listed in Table 1. If additional funding is added to the Program, a vehicle purchaser or vehicle operator who has already met this threshold may request vouchers for up to 25% of the new total funding category amount.<sup>4</sup> A single vehicle purchaser or vehicle operator may receive the total available funds for Non-Road Port Cargo Handling Equipment. Incentive levels are subject to change over time, and any changes will be made with at least 30 days prior notice.

**Table 1. NYTVIP funding categories and amounts**

<b>Funding Source</b>	<b>Vehicle Types</b>	<b>Amount</b>
<b>CMAQ</b>	<b>Class 3-8 Battery Electric Vehicles</b>	<b>\$10M</b>
<b>Volkswagen Settlement</b>	<b>Class 4-7 Trucks</b>	<b>\$4.8M</b>
	<b>Class 8 Trucks</b>	<b>\$3.6M</b>
	<b>Class 4-8 Electric Transit Buses</b>	<b>\$33M</b>
	<b>Class 4-8 Electric School Buses</b>	<b>\$6M</b>
	<b>Non-road Port Cargo Handling Equipment (CHE)</b>	<b>\$0.9M</b>
<b>TOTAL</b>		<b>\$58.3M</b>

The voucher amount for a particular vehicle is calculated as the lesser of either:

1. The applicable percentage of the NYTVIP established Incremental Cost, or
2. A maximum cap that can vary by funding category, vehicle technology, weight class, and location

In all cases, a voucher can only be issued for the net eligible incremental cost percent cap of a new EV truck, bus, or CHE after all other incentives are accounted for, and after eligibility for the appropriate funding source has been established. Funding amounts may be adjusted over time pursuant to funding source requirements (see Appendix A).

The incentive amounts shown below may change over time. Once a voucher is approved, that voucher is eligible for up to the incentive amount shown in the Implementation Manual at the time of the voucher approval. Program participants will be given advance notice if Program incentive amounts change.

### 1.2.1 Truck Funding

Fleets purchasing Class 4-8 trucks domiciled anywhere in the State are eligible for the Program and can receive up to the funding amount listed in Table 2 if the Fleet scraps an eligible older vehicle. Fleets domiciled in counties listed in Table 7, or who commit to having at least 70% of the total vehicle miles of the incentivized vehicles operate in a county listed in Table 7 may receive a voucher at the funding amount listed in Table 6 if they choose not to scrap an older vehicle with the purchase of a BEV Class 3-8 truck. Trucks eligible for the NYC Clean Trucks Program ([www.nycctp.com](http://www.nycctp.com)) must use funding from that program, if available, before seeking funding through NYTVIP.<sup>5</sup> All applicants for incentive amounts listed in Table 2 must comply with scrappage requirements, as described in section 3.2.

**Table 2. Voucher amounts and caps by vehicle technology and weight class for Class 4-8 trucks**

		<b>Voucher Amounts and Caps</b>				
<b>Vehicle Technology</b>	<b>Incremental Cost %</b>	<b>Vehicle Weight Class (GVWR)</b>				
		<b>4</b>	<b>5</b>	<b>6</b>	<b>7</b>	<b>8</b>
<b>BEV / FCEV</b>	<b>95%</b>	<b>\$ 100,000</b>	<b>\$ 110,000</b>	<b>\$ 125,000</b>	<b>\$ 150,000</b>	<b>\$ 185,000</b>

### 1.2.2 Transit Bus Funding

Eligible public transit entities can access voucher incentives for Class 4-8 electric transit buses (BEV and FCEV) at the funding amounts listed in Table 3. Public transit entities located in counties listed in Table 7 may receive a voucher at the funding amount listed in Table 6 if they choose not to scrap an older vehicle with the purchase of a BEV transit bus or if they purchase a Class 3 BEV transit bus. Transit bus funding, including recipient eligibility and special terms for electric transit buses, is discussed in greater detail in Section 2.3.3.

**Table 3. Voucher amounts and caps by weight class for Class 4-8 transit buses**

		<b>Voucher Amounts and Caps</b>				
<b>Vehicle Technology</b>	<b>Incremental Cost %</b>	<b>Vehicle Weight Class (GVWR)</b>				
		<b>4</b>	<b>5</b>	<b>6</b>	<b>7</b>	<b>8</b>
<b>BEV / FCEV</b>	<b>100%</b>	<b>\$ 100,000</b>	<b>\$ 125,000</b>	<b>\$ 150,000</b>	<b>\$ 250,000</b>	<b>\$ 385,000</b>

### 1.2.3 School Bus Funding

School bus fleets can access voucher incentives for electric Class 4-8 school buses at the funding amounts listed in Table 4. School bus fleets located in counties listed in Table 7 may receive a voucher at the funding amount listed in Table 6 if they choose not to scrap an older vehicle with the purchase of a Class 3-8 BEV school bus. Funding terms for electric school buses are discussed in greater detail in Section 2.3.4.

**Table 4. Voucher amounts and caps by weight class for Class 4-8 school buses**

		<b>Voucher Amounts and Caps</b>				
<b>Vehicle Technology</b>	<b>Incremental Cost %</b>	<b>Vehicle Weight Class (GVWR)</b>				
		<b>4</b>	<b>5</b>	<b>6</b>	<b>7</b>	<b>8</b>
<b>BEV</b>	<b>100%</b>	<b>\$ 100,000</b>	<b>\$ 120,000</b>	<b>\$ 150,000</b>	<b>\$ 200,000</b>	<b>\$ 220,000</b>

### 1.2.4 Non-Road Port Cargo Handling Equipment Funding

Eligible non-road port cargo handling equipment (CHE) operators at approved New York State port facilities can access voucher incentives for all-new or repowered BEV CHE (e.g., rubber-tired gantry cranes, straddle carriers, shuttle carriers, top loaders, side loaders, skid loaders, and terminal tractors including yard hostlers and yard tractors operating within ports) at the funding amounts listed in



Table 5 below. Repowered CHE is the replacement of an existing diesel-powered engine with a new all-electric engine within an eligible CHE. The existing diesel-powered engine must be scrapped in accordance with Program requirements (see Section 2.1.2.2). Repowered CHE may re-use an existing or re-manufactured CHE chassis and cab.

**Table 5. Voucher amounts and caps for non-road port cargo handling equipment (CHE)**

Voucher Amounts and Caps			
Vehicle Technology	Incremental Cost %	New	Repowered
BEV	90%	\$ 170,000	\$ 140,000

### 1.2.5 Funding for Other Vehicle Types

Fleets seeking funding for vehicle types not covered by the above funding tables (such as Class 3 vehicles, Class 3-8 shuttle buses, or Class 3-8 repowered on-road buses and trucks) or Fleets choosing to purchase a new eligible BEV truck or bus without scrapping an older vehicle can access voucher incentives for BEVs domiciled and operated in one of the 30 New York State counties listed in Table 7 at the funding amounts listed in Table 6.

**Table 6. Voucher amounts and caps by weight class for Class 3-8 BEV trucks and buses not included above**

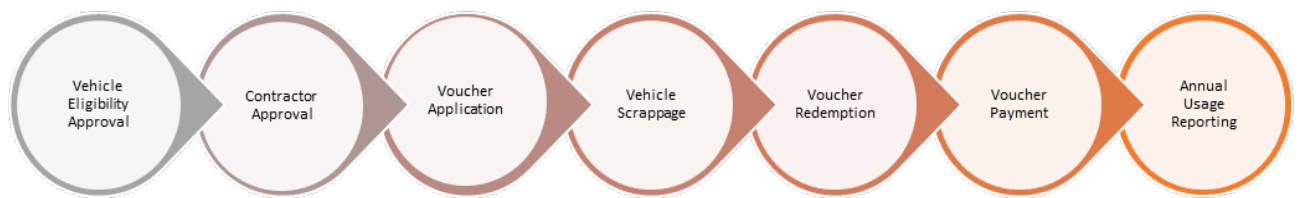
Voucher Amounts and Caps							
Vehicle Technology	Incremental Cost %	Vehicle Weight Class (GVWR)					
		3	4	5	6	7	8
New BEV	80%	\$ 60,000	\$ 90,000	\$ 100,000	\$ 110,000	\$ 120,000	\$ 150,000
Repower BEV	80%	\$ 60,000	\$ 90,000	\$ 100,000	\$ 110,000	\$ 120,000	\$ 150,000

**Table 7. New York counties eligible for CMAQ funding**

Albany	Kings (Brooklyn)	Ontario	Saratoga
Bronx	Livingston	Orange	Schenectady
Chautauqua	Monroe	Orleans	Schoharie
Dutchess	Montgomery	Putnam	Suffolk
Erie	Nassau	Queens	Wayne
Genesee	New York (Manhattan)	Rensselaer	Westchester
Greene	Niagara	Richmond (Staten Island)	
Jefferson	Onondaga	Rockland	

## 1.3 NYTVIP Process Steps

Figure 1. NYTVIP process steps



1. Vehicle Eligibility Approval – An Original Equipment Manufacturer (OEM), the OEM’s authorized dealer, or Upfit/Retrofit Manufacturer (URM) submits a completed vehicle eligibility application to the Voucher Help Center (VHC). This application provides information on the vehicle to be reviewed for eligibility and on a comparable diesel vehicle to determine the applicable Incremental Cost and related voucher amount. Once approved, vehicles are listed on the Program Website as Eligible Vehicles (See Section 2.1 for details on vehicle eligibility requirements and process).
2. Contractor Approval – A Contractor authorized to sell an eligible vehicle submits an application to NYSERDA to become an approved Contractor (requirements detailed in Section 2.2). If the Contractor is a vehicle dealer and is not the OEM or URM, the Contractor must submit proof of OEM or URM authorization to sell the vehicle as part of the approval process. Approved Contractors may then market Program incentives to prospective vehicle purchasers and submit voucher applications to NYSERDA.
3. Voucher Application – When a vehicle purchaser is ready to purchase an Eligible Vehicle from an Approved Contractor, the Contractor submits a voucher application to reserve a voucher for that specific purchase (see Section 3.1 for details on the voucher application process). The full voucher incentive amount must be deducted from the total sale price of the vehicle at the point of sale and passed on to the vehicle purchaser. The voucher amount must be disclosed in the vehicle purchase order or lease with the vehicle operator. The Contractor cannot charge fees in association with processing the voucher application or the documentation required for payment. The voucher application must also identify the vehicle designated to be scrapped by the vehicle purchaser (if applicable). The VHC and NYSERDA will review the voucher application and notify the Contractor if there are any issues or missing information, or if the application is approved. If the voucher application is approved, funds are reserved for the eligible vehicles identified in the application. Fleets located in counties listed in Table 7 that purchase BEVs may choose not to scrap a vehicle, in which case they would only be eligible to receive the incentive amount as reflected in Table 6.

4. Vehicle Scrappage– Scrappage can occur any time between the date of voucher approval and 21 days after vehicle delivery. The Scrappage process is outlined in Section 3.2 for the eligible vehicle identified to be scrapped in the voucher application. The Vehicle Purchaser must provide the Contractor with all required scrappage documentation within this timeframe, and the Contractor must upload all scrappage documentation to the NYSERDA Portal before the voucher can be redeemed.
5. Voucher Redemption – After the Vehicle Purchaser takes delivery of the new eligible vehicle, registers the new vehicle (if applicable), pays for it in full (total vehicle cost minus the voucher amount), and satisfies all applicable scrappage requirements, the contractor completes the Voucher Redemption process in the NYSERDA Portal. This consists of uploading all required documentation for final approval (see Section 3.3). This information must be uploaded for each individual vehicle for which the Contractor seeks to receive a voucher payment. Vouchers must be redeemed within 18 months of the voucher approval date. Contractors may apply for a six-month extension by emailing a request to the VHC documenting the manufacturer’s estimated dates for vehicle production and delivery. Such extensions are made at NYSERDA’s sole discretion, and in no case will the redemption process be extended beyond 24 months. Vouchers that exceed the approved time limit will be canceled; a Contractor may reapply for a voucher prior to the vehicle being delivered.
6. Voucher Payment – The VHC and NYSERDA review the voucher redemption request, and if the request is approved, NYSERDA will issue a voucher payment to the Contractor. Contractors should enroll in electronic funds transfer (EFT) payment processing to receive timely voucher payments. To sign up for payment by EFT, visit [nyserda.seamlessdocs.com/f/EFTForm](https://nyserda.seamlessdocs.com/f/EFTForm) and complete an authorization form. Vouchers that have not been redeemed within 18 months of the voucher approval date (or within 24 months of the voucher approval date if an extension has been granted) will be canceled.
7. Semi-Annual Usage Reporting – The Vehicle Purchaser is required to submit semi-annual usage reports for a minimum of three years after voucher payment. The reports are always due on December 1 and June 1 of each year. NYSERDA reserves the right to recapture the incentive funds from the Vehicle Purchaser and/or bar the Vehicle Purchaser from participating in the NYTVIP if they do not provide timely and accurate Program semi-annual usage reports as required. See Section 2.3.2 “Reporting Requirements” for additional details.

## 2 Program Eligibility

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### 2.1 Vehicle Eligibility and Requirements

To qualify for voucher incentives through NYTVIP, eligible replacement vehicles must meet the following requirements:

- A vehicle must be a Class 3-8 Battery Electric Vehicle (BEV) or a Class 4-8 Hydrogen Fuel Cell Electric Vehicle (FCEV). Personal passenger vehicles are NOT eligible for Program funding.
- A vehicle must be purchased from a Contractor approved to participate in the Program (see Section 2.2). The OEM or URM must provide documentation to NYSERDA verifying the incremental cost of the vehicle(s) relative to a comparable diesel vehicle. In cases where the incremental cost is not immediately clear, such as with low-volume or specialty vehicles, NYSERDA may request the Contractor provide documentation of incremental cost as part of the voucher application in addition to the vehicle eligibility application.
- All eligible vehicles, other than Repowered Vehicles, must be new, including the vehicle chassis and drivetrain. The model year (MY) of the new vehicle must be either one model year older, the same model year, or one model year newer compared to the calendar year in which the vehicle was purchased. For example, for a vehicle purchased (e.g., based on purchase order date) during calendar year 2022, the new vehicle's model year must be 2021, 2022, or 2023. Similarly, the new vehicle's engine model year (EMY) must be one engine model year older, the same engine model year, or one engine model year newer compared to its model year. As examples, an eligible model year 2021 truck must have an engine model year of 2020, 2021, or 2022; an eligible model year 2022 truck must have an engine model year of 2021, 2022, or 2023, etc. Vehicles and/or vehicle chassis cannot be previously registered in any state, fully paid for by the Vehicle Purchaser (other than a vehicle down payment) or have been delivered to the Vehicle Purchaser prior to the Contractor applying for a voucher. Used vehicles (including vehicles used by dealers, OEMs, or other entities or for demonstration purposes) are NOT eligible. Where applicable, repowered vehicles are exempted from these requirements.
- Repowered vehicles may be eligible for NYTVIP funding. For such projects, OEMs or URM's will provide documentation to NYSERDA that shows the cost of repowering a truck or bus relative to purchasing a new diesel-powered equivalent vehicle. For repowered vehicles, the Vehicle Purchaser must certify, in a manner approved by NYSERDA, that the vehicle has an expected operational lifespan after repowering of at least 10 years. Chassis may be reused for repowers (i.e., not destroyed in scrappage) as typically only the engine is replaced. For the purposes of repowers, the entire cost of the repower is considered the incremental cost.
- Unless required by the original equipment manufacturer, modifications that could potentially impact the vehicle's tailpipe emissions characteristics (e.g., through emissions retrofits, hardware, or software) are NOT permitted for five years from the date of vehicle delivery.

- Program funding may not be used to pay for the purchase or installation of fuel-fired heaters (although these may be installed at fleet or owner’s cost and noted within the application, Section 2.1.1). Eligible vehicles must meet all federal and New York State requirements for operation. The OEM or URM must also certify that the vehicle model complies with all applicable federal safety standards for new motor vehicles and new motor vehicle equipment issued by the National Highway Traffic Safety Administration (NHTSA). The Federal Motor Vehicle Safety Standards (FMVSS) are found in Title 49 of the Code of Federal Regulations (CFR) Part 571.
- The final assembly of eligible vehicles must take place in the United States and must consist of significant value and effort. For a vehicle to be listed as eligible, its OEM or URM must submit documentation to NYSERDA regarding the location, actions performed, and total value of final assembly. Vehicles with components assembled entirely within the United States may note the location of assembly, excluding the action performed and the value. The vehicle engine or electric motor, drive train, and battery pack (if applicable) must be covered by a manufacturer’s warranty. Prior to approving a vehicle model as an eligible vehicle to be listed on the Program website, NYSERDA may request that the OEM or URM provide copies of representative warranties for vehicle, engine, and/or powertrain components (e.g., battery pack) and documentation (such as warranty contracts) of the OEM’s or URM’s plans to provide warranty and routine vehicle service. The warranty must provide protection for a minimum of 36 months or 50,000 miles (whichever comes first); see sections 2.3.3, 2.3.4, and 2.3.5 for special warranty provisions for transit buses, school buses, and cargo handling equipment, respectively. The first 36 months or 50,000 miles of the coverage period must be a full warranty covering, at a minimum, the engine or motor (whichever is applicable), powertrain components, batteries, parts, and labor. If the warranty is extended beyond 36 months or 50,000 miles and is prorated, the percentage of the original value of the vehicle component to be covered or refunded must be at least as high as the percentage of the prorated coverage period remaining. Program funding may not be used to pay for extended warranties (although these may be purchased at fleet or owner’s expense and noted within the application).
- If an OEM, URM, or their authorized dealer, does not own a New York State repair facility or does not have a contract with a New York State entity to provide repair and warranty service (copy of contract must be provided and approved by NYSERDA), the OEM, URM, or authorized dealer must submit a written plan (including contracts) for how it intends to provide warranty service, replacement parts, and technical support in New York State. The maintenance/repair plan must be submitted to the VHC for approval. The plan must receive written approval from NYSERDA for vehicles to be eligible to receive incentives under the Program.

- OEMs, URMs, or their authorized dealers, as part of submitting documentation to the VHC for vehicle eligibility, must submit the costs of the electric vehicles they want to be included in the Program, and for each vehicle, the cost of a comparable conventional diesel vehicle with equivalent payload, vocation, and features. The difference in price between those two vehicles is the incremental cost. The applicable voucher amount may cover only a portion of the Incremental Cost up to the maximum voucher amount by weight class, vocation, and fuel type.

### 2.1.1 Vehicle Approval Process

1. The OEM, URM, or its authorized dealer downloads the vehicle eligibility application from the Program website.
2. Applicant enters general information about the vehicle for which they are requesting eligibility, including the following information, in the vehicle eligibility form:
  - Model year
  - Make and model
  - Fuel type (e.g., BEV, FCEV)
  - Gross Vehicle Weight Rating (GVWR)
  - Energy/environmental attributes (e.g., kWh/mile for BEVs)
  - Manufacturer suggested retail price (MSRP) (or Buyer's Sheet) indicating vehicle pre-tax cost and Incremental Cost of alternative fuel technology
    - Applicant must also indicate the pre-tax retail price of a comparable new diesel vehicle (i.e., a conventional diesel vehicle with equivalent payload)
  - Location and nature of activities involved in final vehicle assembly
  - Whether the vehicle uses an auxiliary fuel-fired heater (note any associated costs are not eligible under the Program)
3. Applicant emails the completed vehicle eligibility form to the VHC at [NYTVIP@energycenter.org](mailto:NYTVIP@energycenter.org), including signed checklist and certifications page, along with required documentation. Documentation shall include, at a minimum, the following items:
  - Completed vehicle eligibility application form
  - Attestation that the vehicle meets federal and State requirements
  - Documents justifying price of eligible vehicle and a comparable diesel vehicle
  - Name and contact information for a New York State repair facility under contract for servicing and repairing New York State vehicles or a written maintenance and repair plan if there are no New York State repair facilities
  - Proof of a guaranteed warranty for motor, powertrain, parts, and labor for the minimum amount of time specified

4. NYSERDA and the VHC review the vehicle eligibility application and additional documentation for accuracy and completeness. If additional information is needed, NYSERDA or the VHC will notify the applicant via email. If NYSERDA or the VHC find that the application is complete, and the vehicle(s) are eligible, the applicant will be notified of approval.
5. NYSERDA will list the newly eligible vehicle(s) on the Program website so Fleets know they can purchase the vehicle(s) through the Program.
6. The entity that sells the eligible vehicle must apply to be an approved Contractor and specify the brand of Eligible Vehicle(s) they sell to be eligible to receive voucher funds.

## 2.1.2 Special Conditions for Repowered Vehicles

A Repowered Vehicle is defined as an existing vehicle that had its diesel engine, dated six years old or older than the current model year, scrapped and replaced with a new motor, and powertrain. All-electric repowers for non-road diesel-powered cargo handling equipment equipped with Tier 0 or Tier 1 diesel engines are also permissible in accordance with the terms in Section 2.3.5. These vehicles may be eligible for NYTVIP funding even though the process of producing and registering repowered vehicles is distinct in several ways from the process of producing and registering Replacement Vehicles described in Section 2.1.1. With the exception of special terms included in this section, repowered vehicles must meet all applicable NYTVIP terms and conditions set forth in this Implementation Manual. The incentive for a repowered vehicle cannot exceed the incentive level of an equivalent new eligible truck or bus under the program. NYSERDA has the sole discretion to determine what is or is not an equivalent new truck or bus.

### *2.1.2.1 Vehicle Eligibility*

To be an eligible on-road Repowered Vehicle, the existing diesel engine must be at least six engine model years old and must be replaced with a new battery electric powertrain (i.e., must be converted to a BEV) and must be a Class 3-8 vehicle domiciled and registered in a county listed in Table 7 or must operate at least 70% of total vehicle miles in a county listed in Table 7. The Incremental Cost percentages and caps listed in Table 6 apply to Repowered Vehicles. All-electric repowers for non-road diesel-powered cargo handling equipment equipped with Tier 0 or Tier 1 diesel engines are also permissible in accordance with the terms in Section 2.3.5. URMs or repower manufacturers must provide documentation to NYSERDA showing the total cost of repowering a truck or bus, which will serve as the cost basis for determining the applicable voucher amount. Repowered Vehicles must be certified by the vehicle owner and the entity performing the repower that the vehicle, once repowered, will have an expected operational lifespan of at least 10 years. Warranty requirements apply to repowers (see Section 2.3.5 for special requirements for repowered non-road CHE).

### 2.1.2.2 *Vehicle Scrappage Requirements*

Because a Repowered Vehicle uses the frame of an existing vehicle, the Scrappage requirement to destroy the chassis by cutting or shearing both the chassis rails between the two axles does NOT apply to repowers. All other Scrappage and documentation requirements defined in Section 3.2 DO apply to repowered non-road diesel-powered cargo handling equipment funded at the incentive levels shown in Table 5 (e.g., three-inch hole in the old engine block, complete scrappage in the timeframe from the date of voucher approval to 21-days following new vehicle delivery).

### 2.1.2.3 *Repower OEM/Contractor*

For Repowered Vehicles, the entity that makes the repower kit is considered a new vehicle OEM in the Program. The Contractor for a repower can be either the manufacturer, if they also perform the repower, or a dealer/installer that is approved by the manufacturer.

## 2.2 Contractor Eligibility and Requirements

In NYTVIP, the Contractor is the entity that sells an approved Eligible Vehicle to the Vehicle Purchaser. Entities interested in becoming Contractors that are approved to sell vehicles through NYTVIP must:

- Be any of the following types of entities:
  - A truck or bus dealership that has a written agreement with a medium- and/or heavy-duty vehicle OEM, and sells or leases complete Eligible Vehicles to Fleets or vehicle owner-operators
  - An OEM that builds and sells or leases complete Eligible Vehicles directly to Fleets or vehicle owner-operators
  - A truck or bus URM that has a written agreement with a medium or heavy-duty OEM, and upfits, retrofits, or performs final equipment installations on those new Replacement or Repowered Vehicles and sells or leases the completed Eligible Vehicle to a leasing company, Fleet or vehicle owner-operator
  - A retrofit kit company that produces and installs the kits on existing vehicles, such as a BEV kit on an existing diesel-powered vehicle
- Have a valid business license for the past two years
- Be the entity that sells or leases the fully assembled and completed new Eligible Vehicle or Repowered Vehicle.
  - For example, an entity is not eligible to become a Contractor if it only sells the chassis to a URM that in turn completes the final vehicle manufacture and then sells the completed vehicle to the Vehicle Purchaser; in such a case, the entity that sells the completed vehicle to the Vehicle Purchaser would be eligible to apply to become an approved Contractor.



Contractors are required to pass on the full Program incentive to a Vehicle Purchaser by reducing the purchase cost of Eligible Vehicles by the full incentive amount. Contractors may not charge fees to the Vehicle Purchaser in association with processing vouchers. Contractors must make all Program-related records available for review by NYSERDA during the first five years after the sale of a vehicle that receives support through the Program.

### 2.2.1 Contractor Approval Process

1. To submit a Contractor application, the applicant accesses the online Contractor Portal from the Program Website.
2. Once in the Contractor Portal, the applicant enters general company information and company contact details.
3. Applicant selects at least one make of Eligible Vehicle it plans to sell as part of the Program; if the applicant is not an OEM or URM, the applicant uploads a letter from the OEM or URM authorizing the applicant to market and sell that brand's vehicles.
4. Applicant reviews and completes the Contractor application, including the OEM certification, Contractor Participation Agreement, and, if the Contractor is located outside of New York State, documentation showing how the Contractor will provide service and support to Fleets participating in the Program. The applicant submits completed Contractor application to NYSERDA for review.
5. NYSERDA and the VHC review Contractor application for completeness. If the Contractor application is incomplete or the applicant is not certified to sell the Eligible Vehicle(s), NYSERDA will notify the applicant. If the Contractor application is complete, NYSERDA will notify the applicant that they are now an approved Contractor and will email the Contractor with a form to complete to receive payment via electronic funds transfer (EFT). This approval will create an account for the Contractor in the NYSERDA Portal in Salesforce.
6. NYSERDA lists the Contractor on the list of approved Contractors on the Program Website. Once a Contractor has been approved in the Program, it is then approved to market the Program incentives to Fleets (see Section 2.3).

## 2.3 Fleet Eligibility and Requirements

Fleets eligible to participate in the Program (i.e., Vehicle Purchasers) may be commercial fleets, non-profit agencies, or public fleet entities (excluding the federal government) that operate diesel vehicles that are registered and domiciled in New York State (or diesel vehicles domiciled in New York State for eligible vehicles that do not require vehicle registrations, such as cargo handling equipment). Fleets located in counties listed in Table 7 that purchase BEVs may choose not to scrap a vehicle, in which case they would only be eligible to receive an incentive amount as reflected in Table 6. To be eligible for the incentive amounts reflected in Tables 2 through 5, Fleets must Scrap a currently operational diesel-powered vehicle with an engine model year 1992 through 2009 of similar size and vocation to the Eligible Vehicle being purchased. Existing Class 4-7 diesel trucks should generally be replaced with the same weight class, one class lower, or one class higher electric truck. Existing

Class 4-7 diesel trucks may, however, be replaced with an electric truck up to two weight classes higher with prior written approval. Class 8 trucks can only replace Class 8 diesel trucks. To be eligible for Scrappage, a diesel vehicle meeting these criteria must be owned by the Vehicle Purchaser (all NYS requirements including but not limited to title transfer and applicable sales tax must be satisfied), must be fully functional and operational at the time of Scrappage, must have been registered in NY for 24 of the previous 27 months prior to the date of the initial Voucher Application, and must satisfy minimum annual usage requirements for the applicable vehicle type during recent operation (see Table 8). Minimum annual usage requirements for Class 4-7 trucks, Class 8 trucks, and School Buses may be satisfied by a previous vehicle owner. In the case of non-road cargo handling equipment (e.g., electric yard tractors), the vehicle to be scrapped does not need to have been registered for on-road use in NY, but the fleet owner must sign a certification that the vehicle has been domiciled in NY for the previous two years.

All Voucher Applications receiving the higher incentive amounts noted in Tables 2, 3, 4, and 5 require a letter on company letterhead certifying that the vehicle(s) designated to be Scrapped is/have been registered, domiciled, and operated in New York State for at least the past two years, that the vehicle's registration will be active at the time of Scrappage, and that the minimum annual usage requirements shown in Table 8 were met.

To be eligible for Scrappage, a diesel vehicle must have been owned by the Vehicle Purchaser or another fleet that meets all eligibility requirements over the last two years. If a fleet wishes to Scrap a vehicle that has changed ownership in the last two years, the fleet must comply with the following rules:

- For Replacement Vehicles proposed for operation within the 9-county New York Metropolitan Area<sup>6</sup>, the diesel vehicle being Scrapped must have been previously registered within the 9-county NYMA for the previous two years.
- For Replacement Vehicles proposed for operation in the rest of New York State, the diesel vehicle being Scrapped must have been previously registered within New York State for the previous two years.

If scrappage-eligible vehicles have changed ownership during the last two years, all applicable NYS requirements, including but not limited to title transfer, and sales tax payment, must have been satisfied prior to application for funding under NYTVIP.

Fleets are required to own and operate vehicles purchased with support from NYTVIP for a minimum of five years after Voucher Redemption for the vehicles. This requirement applies to both new vehicles and repowered vehicles. The vehicles must be continuously registered and domiciled in New York State and must continue to be domiciled in the same county as they are originally registered for the entire five-year period. Vehicles receiving CMAQ funding must either be domiciled in a CMAQ-eligible county or must operate at least 70% of total vehicle miles in a CMAQ-eligible county for the five-year period. Vehicles receiving Program incentives must satisfy minimum annual usage requirements during the entire five-year in-service period (see Table 8). Any vehicle sold or retired before the required minimum five years, as stipulated in this Implementation Manual and agreed to in the Vehicle Purchaser Participation Agreement, is subject to prorated reimbursement penalty of 1.667% per month.

For example, a vehicle sold or retired after 30 months would have 30 months remaining. The early sale penalty would be 50% (i.e., 30/60) of the original incentive amount and must be reimbursed to NYSERDA within 60 days of the resale or retirement of the vehicle. CMAQ-funded vehicles that fail to meet the domicile or operational requirements will be subject to this prorated reimbursement penalty. Subject to NYSERDA approval, vehicles rendered inoperable by damage may be exempt from the five (5) year minimum maintenance, usage, or resale requirements.

**Table 8. Minimum usage requirements for new and Scrapped vehicles**

<b>Vehicle Type</b>	<b>Annual In-Service and Term Requirements for New Vehicle</b>	<b>Annual In-Service and Term Requirements for Scrapped Vehicle</b>
Truck	≥5,000 miles annually on average during the five-year in-service period	≥5,000 miles (or ≥1,000 hours in-service for off-road vehicles) annually over the two most recent years.
Transit Bus	≥15,000 miles annually on average during the five-year in-service period	Must be part of active fleet for at least the previous 24 months. A transit bus that is part of a contingency fleet, or considered a spare bus, is not eligible.
School Bus	≥8,000 miles annually on average during the five year-in-service period	≥2,500 miles annually over at least one of the last two years
Non-Road Port Cargo Handling Equipment	≥700 hours annually on average during the five-year in-service period (located and operated exclusively at the approved port)	≥700 hours a year for at least one of the last two years at an eligible NYS port

Fleets purchasing vehicles that will be domiciled in one of the 30 counties listed in Table 7 have a choice of either being exempt from scrappage and choosing the incentive levels listed in Table 6 or participating in the scrappage requirements and following the incentive levels listed in Tables 2, 3, 4, and 5. For all Program-eligible vehicles associated with projects including scrapped vehicles, the current registration of each vehicle to be scrapped must be provided (except in the case of non-registered, non-road CHE). The county listed on the registration of this vehicle must be in New York State. Purchasers of school buses must provide a written attestation of the county the bus will be domiciled in.

The Vehicle Purchaser must operate the vehicle or stipulate through a lease agreement that the Vehicle Operator operate the vehicle, in New York State for at least 80% of the vehicle’s operating time and for a minimum of five years from the date of Voucher Redemption unless the vehicle is an emergency response vehicle, which may be deployed out of state, or the vehicle address identified in the Voucher Application is in a county that borders another state or Canada. In these two cases only, the vehicle may operate outside of New York State for up to 25% of its mileage only if a written request is included with the Voucher Application and approved by NYSERDA or the VHC.

The Vehicle Purchaser must ensure that if the vehicle is part of a lease or rental agreement, the term of the agreement shall be no less than five years and the Vehicle Operator must agree to operate the vehicle in New York State for at least 80% of the time during the term of the lease agreement.

The Vehicle Purchaser or Vehicle Operator must register the vehicle receiving Program incentives with the New York State Department of Motor Vehicles and the vehicle registration must list **both a mailing address and a Domicile address in the State**.

Vehicle Purchasers and Vehicle Operators must make all Program-related records available for review by NYSERDA during the first five years after the purchase or lease of a vehicle that receives support through the Program.

By participating in the program, Vehicle Purchasers and Vehicle Operators allow NYSERDA to share the vehicle model and the address where the vehicle will be domiciled with the electric distribution utility serving that location, for the purpose of informing the utilities' system planning efforts.

### 2.3.1 Special Conditions for Leased Vehicles

Vehicles purchased by a leasing or rental company and leased to a fleet are eligible vehicles under the Program as long as the term of the vehicle lease is at least five years from the voucher approval date. In these circumstances, the leasing or rental company is considered the Vehicle Purchaser. Any vehicle leasing or rental company that purchases a voucher-funded vehicle must identify a Fleet that will be the vehicle operator in the voucher application and supply at least a conditional lease (signed by both the leasing company and the vehicle operator) prior to voucher approval. The only restriction that can be left for the lease to be fully finalized is receiving a voucher approval for the incentive application from the program. The lease must be fully executed within one month of voucher approval to be eligible for program incentives. A copy of this draft lease agreement, inclusive of the Vehicle Operator Addendum available on the program website, must be submitted to NYSERDA through the NYSERDA Portal as part of the voucher application process. A leasing company cannot request a voucher to purchase a demonstration vehicle with the intention of finding a prospective Fleet to lease the vehicle. The Vehicle Operator must be identified in the voucher application, and the draft lease agreement with the Vehicle Operator must be provided.

Any vehicle leasing or rental company that leases a vehicle purchased with a voucher must disclose the full voucher amount and voucher terms to the Vehicle Operator in the lease, which must reflect the full extent of capital cost reduction from the applicable voucher amount.

The Purchaser, whether acting as Operator or lessor, must sign the NYTVIP Vehicle Purchaser Participation Agreement. As part of the voucher redemption process, a copy of the vehicle purchase agreement between the Contractor and the leasing company must also be submitted, along with a signed copy of the NYTVIP Vehicle Operator Addendum.

NYSERDA reserves the right to review lease agreements to confirm appropriate disclosures are made regarding the voucher amount received and other Program requirements. Leasing or rental companies must also provide NYSERDA with all requested information related to any vehicle purchased with a Program voucher (including lease agreements) within 10 days of a written request from the VHC for such information. The Vehicle Operator is also responsible for ensuring annual usage reports are accurate and submitted to NYSERDA as required in the Vehicle Purchaser Participation Agreement and the Vehicle Operator Addendum.

All leasing projects are subject to final NYSERDA approval.

### 2.3.2 Reporting Requirements

A Semi-Annual Usage Report is a brief, online form with several basic questions about vehicle operation experience, including information on vehicle mileage, fuel use, maintenance issues, and vehicle location. Twice a year, Vehicle Purchasers, or in the case of leased vehicles, Vehicle Operators are required to submit Semi-Annual Usage Reports for NYSERDA to document the use, vehicle emissions changes due to installation of aftermarket equipment, and operating costs of NYTVIP-funded vehicles. Individual Fleets' information will not be made available to the public and is intended solely for NYSERDA's tracking of program analytics.

The reports must be submitted twice each year for three years following voucher redemption (six reporting periods) of each vehicle funded through the Program. Fleets that operate leased vehicles that have been purchased with vouchers are responsible for providing timely and accurate reports as well.

Failure to submit a Semi-Annual Usage Report in a timely manner is a violation of the terms and conditions of the NYSERDA funding and may result in the Vehicle Purchaser being subject to a prorated reimbursement penalty based on the number of missed reports as well as a ban from any further participation in the Program.

Data will be collected for the half-year periods ending May 31 and November 30, and NYSERDA will remind Fleets to submit reports by June 1 and December 1 each year. To complete the Semi-Annual Usage Report, Vehicle purchasers (or in the case of a lease, vehicle operators) will need at least:

- Vehicle Identification Numbers (VINs) for your purchased vehicles
- Drive cycle, range, and location information
- Fuel consumption and mileage information
- Maintenance cost information
- Infrastructure or capital investment information (e.g., in fueling facilities)

For leased vehicles, the Vehicle Purchaser (leasing or rental company) is responsible for ensuring the vehicle operator submits the required Semi-Annual Usage Reports. This requirement should be included in the lease agreement with the vehicle operator.

NYSERDA may require the use of telematics of NYSERDA's choice and at NYSERDA's expense. Vehicle Purchasers will be given access to the data for their vehicles with the required telematics installed. Full details can be found in the document entitled "Vehicle Purchaser Participation Agreement" and the "Vehicle Operator Addendum."

### *2.3.2.1 Special Reporting Requirements for Battery Electric Vehicles*

As part of the Semi-Annual Usage Report, for each battery electric vehicle purchased with funding under the Program, in addition to the reporting requirements previously described above in Section 2.3.2, the vehicle purchaser/vehicle operator is required to compile operational and cost information for a minimum of three years after Voucher Redemption. BEV reporting is required to include the following:

- BEVs funded under the Program must report vehicle odometer readings, or equipment hours of use, the amount of electricity used for battery charging (kWh) for the applicable reporting period, and for cumulative reporting. NYSERDA may obtain this data from network providers if applicable.
- Electric Vehicles funded under the Program must report maintenance and repair information, including associated costs, related to the all-electric vehicle for the applicable reporting period and cumulative reporting. Vehicle down time due to maintenance and repair needs shall be included. Vehicle purchasers/vehicle operators must also provide maintenance and repair reporting for similar diesel-powered vehicles in enough detail to allow a technical evaluation.
- Vehicle purchasers/vehicle operators must collect feedback from drivers/users of BEVs funded under the Program each reporting period. Feedback will include any issues, positive or negative, on the BEV driving experience.
- NYSERDA may require the use of telematics of NYSERDA's choice and at NYSERDA's expense. Vehicle Purchasers will be given access to the data for their vehicles with the required telematics installed.

*Note: Vehicles receiving Program incentives must satisfy minimum annual usage requirements during the five-year in-service period (see Table 8).*

Vehicle Purchasers should contact the voucher help center with any questions or for assistance with the Semi-Annual Usage Report.

NYSERDA reserves the right to recapture incentive funds (i.e., recovering a prorated share of the applicable voucher amount) from the Vehicle Purchaser and/or bar the Vehicle Purchaser from receiving future vouchers if it does not provide timely and accurate Program Semi-Annual Usage Reports for the required three-year term, as specified in the Vehicle Purchaser Participation Agreement.

### 2.3.3 Special Terms for Transit Buses

Eligible New York State transit bus operators that would like to participate in the Program may choose to:

- Purchase a new BEV transit bus without Scrapping an older bus, and receive a voucher incentive up to the limits listed in Table 6, or
- Scrap an existing diesel-powered transit bus with an engine model year 1992–2009 in accordance with the requirements described in Section 3.2, and replace it with a new BEV or FCEV transit bus. The eligible government entity can receive a voucher incentive up to the limits listed in Table 3.

The following conditions apply to all Transit buses:

- Transit buses eligible for replacement include diesel-powered Class 4-8 transit buses with an engine model year of 2009 or older. Diesel-hybrid Class 4-8 transit buses may be considered as a scrappage-eligible vehicle on a case-by-case basis if a transit operator no longer has scrappage-eligible diesel buses in their fleet.
- Government-owned transit buses proposed for replacement must have been owned by an eligible New York State authority or municipality (see Table 9) for at least the previous 24 months. The eligible authorities and municipalities must provide documentation (i.e., NYS registration) that this requirement is met.
- Eligible authorities and municipalities must certify that the transit bus to be replaced is in operation and has been part of the active fleet for at least the previous 24 months. A transit bus that is part of a contingency fleet, or considered a spare bus, is not eligible for funding under this program. The eligible authorities and municipalities must provide documentation (i.e., service records) that this requirement is met.
- Transit buses receiving voucher incentives must be of the same or one lower weight class, be of similar or lesser length and passenger capacity, and have similar or lower horsepower rating as the diesel-powered bus being scrapped.
- Replacement buses receiving incentive levels shown in Table 3 must be domiciled within, or within 0.5 miles of, a Disadvantaged Community (see maps at [nyscrda.ny.gov/ny/disadvantaged-communities](https://nyscrda.ny.gov/ny/disadvantaged-communities)), or the transit operator must identify proposed operational route(s) for the buses that serve one or more Disadvantaged Community.<sup>7</sup>
- Transit buses receiving voucher incentives must average no less than 15,000 miles per year during the five-year in-service period.

- NYTVIP vouchers may only be combined with additional competitive funding sources to equal a maximum of 100% of the Incremental Cost of the replacement vehicle. NYTVIP vouchers can be combined with regular, noncompetitive federal funding (e.g., FTA Formula Grant 5307 and 5311 programs) that fund ordinary vehicle replacement. Federal Low-No funds (FTA 5339(c)) cannot be used in combination with the NYTVIP voucher.
- When submitting a voucher application, Contractors must indicate whether their customer plans to combine NYTVIP funding with other funding sources, and if so, which programs. Replacement buses must be delivered to transit operators on or after August 1, 2019 to be considered eligible for funding under this program.
- Buses must have a battery warranty of at least 5 years and 300,000 miles.
- Battery leases will be considered on a case-by-case basis and will be approved at the sole discretion of NYSERDA.
- Vouchers must be redeemed within 18 months of the voucher approval date. Contractors can apply for a six-month extension, which will be approved at the sole discretion of NYSERDA. Vouchers that are not fully redeemed within a 24-month maximum period will be canceled.

*Note that the Program does not provide transit bus replacement funding for fuel types other than electricity or hydrogen (e.g., BEV or FCEV). Voucher applications for Transit Funding must be submitted on or before August 18, 2024.*

Class 4-8 Transit Bus incentives are currently available for the following 5 transit agencies. **Voucher Applications must be submitted on or before August 18, 2024** to access transit funding.

**Table 9. List of transit operators eligible for the incentive levels listed in Table 3**

See endnotes for additional information<sup>8</sup>

Capital District Transportation Authority
Niagara Frontier Transportation Authority
Rochester-Genesee Regional Transit Authority
Suffolk County Transportation
Westchester County Bee-Line Bus System

In February 2020, \$16.7 million was made available (Round 1) for 18 transit agencies to procure electric transit buses. Those agencies must have submitted voucher applications on or before August 18, 2021 to access Round 1 transit funding. In December 2020, an additional \$16.4 million was released (Round 2) for the five transit operators listed below to procure electric transit buses; **these five agencies must submit voucher applications on or before August 18, 2024 to access Round 2 transit funding.**



## 2.3.4 Special Terms for School Buses

Eligible New York State school bus owners / operators that would like to participate in the Program may choose to:

- Purchase a new BEV school bus that will be domiciled in one of the 30 counties listed in Table 7, accept the incentive levels listed in Table 6 and be exempt from the Scrappage Requirements of Section 3.2.
- Scrap an existing diesel-powered school bus with an engine model year 1992–2009 in accordance with the requirements described in Section 3.2, and replace it with a new BEV bus and receive a voucher incentive up to the limits listed in Table 4.

The following provisions govern the disbursement of all voucher funds for eligible school bus fleets:

- School buses eligible for replacement are diesel-powered Class 4-8 school buses used exclusively for transporting pupils in any grade between preschool and Grade 12 with an engine model year of 2009 or older.
- School buses must be owned by either:
  - A New York State public school district.; or
  - A contractor under contract with a New York State public school district.; or
  - An eligible private school (or contractor under contract to an eligible private school). Private schools must provide New York State Education Department-approved services for New York State resident children attending preschool to grade 12.
- School buses receiving voucher incentives must average no less than 8,000 miles per year during the five-year in-service period.
- New replacement school buses must operate 95% within New York State and 70% within the identified school district(s).
- New all-electric school buses are required to have a minimum electric range of 100 miles.
- New all-electric school buses are required to have a vendor-supplied battery warranty of at least 60 months or 75,000 miles.
- New all-electric school buses are required to include manufacturer/vendor repair support to occur within 48 hours of a repair request.
- Funding may not be used toward the purchase and/or installation of fossil-fueled auxiliary heaters. Eligible school districts, contractors, or private schools may install auxiliary heaters at their own cost; however, fuel use and estimated CO2 emissions from auxiliary heaters must be reflected within Semi-Annual reports.
- NYTVIP funds cannot be combined with funds from the U.S. EPA's Diesel Emissions Reduction Act (DERA) School Bus Rebate Program. More information on DERA is available at [nepis.epa.gov/Exe/ZyPDF.cgi?Dockey=P101030H.pdf](https://nepis.epa.gov/Exe/ZyPDF.cgi?Dockey=P101030H.pdf) (p. 27)

- NYTVIP funds cannot be combined with funds from the NYSERDA Clean Green School funding opportunity to reduce the price of a bus by more than the maximum voucher amount. More information on that program is available at <https://www.nyserda.ny.gov/funding-opportunities/current-funding-opportunities>.
- The following requirements supersede the 25% maximum use of each fund source as described in section 1.2.
  - No more than five school buses will be funded within a given school district (e.g., school district owned, contractor operated within a given school district), and no more than 20 school buses will be funded within New York City.
  - No more than two school buses will be funded within a given private school, including contractor-owned school buses operating for the private school.
  - No more than 12 school buses will be funded for a single contractor provided the requirements above are also achieved. For example, an Upstate-based school bus contractor, under exclusive contract with four school districts, can only receive funding for a maximum of 12 buses (i.e., not every school district would be able to receive incentives for five buses).

The following additional requirements must be met for eligible school bus fleets to receive incentives listed in Table 4:

- School buses proposed for replacement must be registered within New York State for at least 24 of the previous 27 months and operated for at least 2,500 miles annually over at least one of the last two years. The eligible school district, contractor, or private school must provide documentation (i.e., NYS registration(s) and service records) that these requirements have been met.
- All-electric replacement school buses must be domiciled within, or within 0.5 miles of, a Disadvantaged Community (see maps at [nyserda.ny.gov/ny/disadvantaged-communities](https://nyserda.ny.gov/ny/disadvantaged-communities)), or the transit operator must identify proposed operational route(s) for the buses that serve one or more Disadvantaged Community.<sup>9</sup> The school district, contractor, or private school must identify proposed operational route(s) for NYSERDA approval as part of the application process. Any proposed changes to NYSERDA-approved route(s) during the first five years of funded electric school bus operation must be submitted to NYSERDA and DEC for approval prior to being relocated. Applicants may propose alternate routes within the original application.
- All-electric school bus incentives will be equally (50% ±5%) distributed between the nine New York Metropolitan Area (NYMA) counties (Bronx, Kings, Nassau, New York, Queens, Richmond, Rockland, Suffolk, and Westchester) and the Upstate geographic area (non-NYMA, 53 counties).

### 2.3.5 Special Terms for Non-Road Port Cargo Handling Equipment

The following provisions govern the disbursement of voucher funds to eligible new or repowered non-road port cargo handling equipment (CHE) fleets to receive incentives listed in Table 5:

- CHE eligible for replacement include in-use, non-road diesel-powered cargo handling equipment equipped with Tier 0 or Tier 1 diesel engines.
- The applicable CHE owners/operators must certify that the existing CHE to be replaced is fully functional; has been operated for at least 700 hours a year for at least one of the last two years at an eligible New York State port; and is domiciled within, or operated within a half-mile of, a disadvantaged community.<sup>10</sup>
- The CHE owner/operator must obtain coverage under the U.S. Longshore and Harbor Workers' Compensation Act and/or Jones Act policy if the operation involves work on or near a shoreline, as applicable. (Documentation to be provided as part of the voucher redemption.)
- Unless with written approval from NYSERDA, any funded all-electric CHE must average no less than 700 hours/year during the five-year in-service period and be located and operated exclusively at the approved New York State port.
- All-electric non-road CHE replacement projects funded through the Program must be domiciled within or operated within a half-mile of a disadvantaged community and located at an eligible port within the New York Metropolitan Area (NYMA) counties (Bronx, Kings, Nassau, New York, Queens, Richmond, Rockland, Suffolk, and Westchester).<sup>11</sup>
- Electric motors associated with eligible repowered non-road CHE must have a minimum warranty of at least five years.
- Batteries for new or repowered eligible CHE must have a minimum warranty of at least five years.

## 3 Voucher Application and Redemption

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Approved Contractors are authorized to market the Program incentives to Fleets and to submit applications for voucher funds when sales of eligible vehicles are made.

### 3.1 Voucher Application Process

The voucher application process consists of three steps: voucher application, NYSERDA application review, and NYSERDA approval notification.

#### 3.1.1 Voucher Application

The Contractor works with the Vehicle Purchaser to complete the voucher application process. In the NYSERDA Portal, the Contractor will complete the following:

1. Create a new application and enter contact information for the Contractor and Fleet
2. Enter domicile address(es)
3. Select eligible vehicle(s) to be sold
4. Enter details of new vehicle(s) and vehicle(s) to be scrapped (a downloadable checklist of the required information can be found on the Program website)
5. Agree to Program terms and conditions
6. Upload the following documents:
  - Signed Vehicle Purchaser Participation Agreement
  - Signed Vehicle Operator Addendum (if the vehicle purchaser leases the vehicle to a different entity)
  - Buyer's Order for new vehicle(s) (vehicle purchase order/lease agreement) (may be provisional)
  - Copy of current vehicle registration for vehicle to be scrapped (if applicable)
  - Fleet certification letter
  - Photos of vehicle to be scrapped (minimum image size of 1200 x 1800 pixels or 4 x 6 inches)
    - Front of vehicle to be scrapped, clearly showing license plate and entire height/width of vehicle
    - Photo of engine tag for engine to be scrapped, clearly showing engine family and engine serial number and engine model year<sup>12</sup>
    - Photo of side of vehicle to be scrapped, clearly showing the official DOT federal ID number and any unique identifiers such as a truck or bus #
    - Intact chassis (side photo that shows the whole length of the truck)
7. Submit the application

### 3.1.2 NYSERDA Voucher Application Review

NYSERDA and the VHC review the voucher application for eligibility, accuracy, and completeness. If the voucher application is incomplete or inaccurate, NYSERDA or the VHC will notify the Contractor that they must resubmit the required information. The voucher application will be rejected if the information is not corrected within 30 business days after the initial request. A rejected voucher application can be resubmitted.

### 3.1.3 NYSERDA Voucher Approval Notification

Once NYSERDA determines the voucher application is complete and meets all applicable requirements, NYSERDA will notify the Contractor of voucher approval and reserve funds for the vehicle purchase. The voucher is valid for 18 months, after which it may be canceled. Prior to the expiration, the Contractor may request an extension of the voucher for six months (see Section 3.3.1) by emailing a request to the VHC at NYTVIP@energycenter.org that verifies the expected delivery date of the vehicle, such as a line setting ticket from the vehicle manufacturer that shows the expected completion date.

## 3.2 Vehicle Scrappage

To guarantee that voucher-supported vehicle projects result in material and verifiable emissions reductions and local air quality improvements, NYTVIP requires that voucher-supported vehicle purchases at the incentive levels shown in Tables 2, 3, 4, and 5 be accompanied by a corresponding scrappage of a vehicle with a diesel engine model year 1992 through 2009. Vehicles with alternative fuel powertrains, including diesel-electric hybrid powertrains, are not eligible to be scrapped. Fleets located in the counties listed in Table 7 that purchase battery electric vehicles may choose not to scrap a vehicle if they opt to receive the incentive amount as reflected in Table 6.

Scrappage must be performed by a participating vehicle dismantler; a current list of participating vehicle dismantlers is available on the Program website. Scrappage is a required step in the voucher redemption process for all projects funded at the incentive levels reflected in Tables 2, 3, 4 and 5. Failure to comply with all Scrappage requirements will result in non-payment of the voucher incentive to the Contractor. Contractors and Vehicle Purchasers should be aware that NYSERDA is not responsible for any voucher incentive payments to the Contractor if the scrappage requirements are not met. Vehicle Purchasers should also be aware that, depending on the contractual agreement between the Contractor and the Vehicle Purchaser, failure to meet the scrappage requirements may result in the Vehicle Purchaser being required to pay the full (unreduced) price of the new vehicle to the contractor.

Vehicle Purchasers must arrange for vehicle scrappage and provide the Contractor with the date of scheduled scrappage before they can take delivery of the new vehicle(s). Scrappage can occur any time after approval of a voucher application but it must be completed with all documentation submitted to the Contractor within 21 days of taking delivery of the new vehicle(s). Replacement vehicle projects

requiring scrappage must comply with the scrappage requirements as outlined in the following section. Repowered non-road diesel powered cargo handling equipment funded at the incentive levels shown in Table 5 must comply with modified scrappage requirements, which are outlined in Section 2.1.2.2.

### 3.2.1 Scrappage Definition

A vehicle is considered Scrapped when rendered inoperable and available for recycle, by cutting a three-inch hole in the engine block and disabling the chassis by cutting the vehicle's frame rails completely in half.

- To destroy the engine: Cut or drill a minimum three-inch hole through the engine block.
- To destroy the chassis: Cut or shear both the chassis rails between the two axles (not applicable to Repowered Vehicles).

The vehicle must arrive at the scrappage location with the chassis attached, the engine intact, and in drivable condition and its registration still valid. Do not remove anything from the truck except for personal items. The Program cannot process vouchers until the scrappage is satisfactorily completed and photographed. Failure to comply with scrappage requirements will result in the rejection of a voucher redemption submission. It is recommended that a fleet representative attend the scrappage event to ensure it is properly documented and that all required before and after photos are taken to avoid delay or denial of voucher payment.

### 3.2.2 Scrappage Requirements

The following documents are required to be submitted to NYSERDA as part of the scrappage process:

1. The completed NYTVIP Vehicle Scrappage Certification (to be completed by contractor, vehicle purchaser, and participating vehicle dismantler)
2. "Before" photos of the vehicle being scrapped (minimum image size of 1200 x 1800 pixels or 4 x 6 inches)
  - Side of the vehicle: A photo of the entire side of the vehicle, showing any unique identifiers like a truck or bus number.
  - Vehicle engine: A photo of the vehicle engine from a few feet back that includes some of the truck or bus color.
  - VIN plate: A photo of the Vehicle Identification Number (VIN) plate that clearly shows the entire VIN.
  - Engine tag: A photo of the engine tag that includes the engine serial number, engine family, and engine model year. The engine serial number and engine model year must be legible.
3. "After" photos of the vehicle being scrapped (minimum image size of 1200 x 1800 pixels or 4 x 6 inches)
  - Engine destruction: A close-up photo of the three-inch hole cut or drilled in the engine with the NYTVIP-supplied sticker clearly visible.

- Engine destruction: A photo of the three-inch hole cut or drilled into the engine block with the NYTVIP-supplier sticker from a few feet back that shows some of the color of the truck or bus.
- Area of the cut chassis: A close-up photo of the cut chassis that shows some of the color of the truck or bus. This step does not apply to repowered vehicles.
- Destroyed vehicle: A photo of the scrapped vehicle from the side, showing the cab, and the front and rear axle. The DOT number or unique truck/bus number should be visible in the photo, and the chassis should be clearly cut in half, with the hood open to display the destroyed engine. The engine hole does not need to be visible in this distance photo. This step does not apply to Repowered vehicles.

Scrappage must be performed by a participating vehicle dismantler. Eligible vehicle dismantler facilities may be located across New York State and adjacent states to facilitate convenient scrappage. URM's with eligible vehicle models that replace diesel engines with all-electric systems shall be considered eligible vehicle dismantlers. Additional guidance for vehicle scrappage may be found on the Program website. Both the approved participating vehicle dismantler and the vehicle owner will be required to sign and submit certifications that the scrappage was performed in accordance with Program rules.

The Vehicle Purchaser shall acknowledge that they may be responsible to the Contractor for the value of the voucher if they fail to complete the Scrappage requirement within a 21-day period after vehicle delivery and acceptance by the Vehicle Purchaser or Vehicle Operator.

### 3.3 Voucher Redemption Process

Once a vehicle has been purchased and delivered, the remaining unpaid balance (if any) has been paid by the Vehicle Purchaser, a corresponding vehicle scrappage has been completed (if required), and the purchased vehicle is ready to be placed into service, the Contractor may complete the voucher redemption process. The Contractor completes the voucher redemption process by returning to the NYSERDA Portal and submitting additional required documentation, including documentation on the vehicle that was scrapped. It is strongly encouraged that the Contractor ensure the scrappage of the old vehicle is completed prior to initiating the voucher redemption process.

#### 3.3.1 Voucher Redemption Process Steps

1. Once a voucher application has been approved, the Contractor will receive an email approving the voucher. Once the vehicle has been delivered to the Vehicle Purchaser and the old vehicle has been scrapped, the Contractor may redeem a voucher. To redeem a voucher, the Contractor returns to the NYSERDA Portal and selects the appropriate project for the voucher it wishes to redeem. A voucher may include multiple vehicle purchases for the same Fleet; each vehicle will constitute its own "milestone" within the redemption process for a given voucher.

Contractors may request payment for some or all vehicles that are part of a single voucher at a time. Contractors should review the checklist—available through the NYSERDA Portal and the Program website—of required information and documentation they will need to submit for voucher redemption and collect any required information and documentation from the vehicle purchaser they don't already have.

2. The Contractor supplies additional vehicle information:
  - New vehicle license plate number
  - New vehicle VIN
  - New vehicle engine/motor serial number
  - Date new vehicle was placed in service
  - Date of old vehicle Scrappage (if applicable)
3. The Contractor is required to upload the following documentation:
  - Signed Vehicle Operator Addendum (if the vehicle purchaser leases the vehicle to a different entity)
  - Signed final invoice/vehicle purchase order – must show the final purchase price less the voucher amount and any other additional incentive funding
  - Financial documentation (proof of payment) – copy of check, money/wire transfer, or financial arrangements identifying the lien holder and indicating terms of lease
  - NYS Department of Motor Vehicles Registration or Vehicle Registration / Title Application (form MV-82) for new vehicle
  - Factory Build Sheet, clearly indicating VIN and GVWR
  - Photos of new vehicle (vehicle from left side showing entire length and DOT federal ID number, engine/motor tag, VIN tag, odometer reading, and front showing plates and full weight/width of vehicle)
  - Copy of NYS vehicle registration for Scrapped vehicle (if applicable) showing active registration at the time of Scrappage
  - Photos of Scrapped vehicle (VIN tag, engine block with three-inch hole and NYTVIP-supplied sticker, disabled chassis cut in half) (if applicable)
  - Completed NYTVIP Vehicle Scrappage Certification (if applicable)
  - Additional documentation (see Section 3.2.2) showing full compliance with the Scrappage process (if applicable).

*Note: A significant amount of the information required to redeem a voucher will need to be supplied by the Vehicle Purchaser. The Contractor is responsible for obtaining this documentation from the Vehicle Purchaser. If the Contractor cannot provide the documentation required to redeem a voucher, even if such documentation is unavailable through no fault of the Contractor, no payment will be made on the voucher. It is recommended that Contractors consider this obligation when entering into purchase contracts with Vehicle Purchaser to ensure their ability to receive this documentation from the Vehicle Purchaser.*



4. NYSERDA and the VHC will review the submitted information for completeness and eligibility. The review includes verifying whether the Vehicle Purchaser and delivered vehicle information match those listed on the voucher. If the voucher redemption submission is deemed complete and valid, NYSERDA will approve the submission. NYSERDA will then inform the Contractor of voucher redemption approval. If the voucher redemption submission is incomplete or inaccurate, NYSERDA will inform the Contractor of incomplete or inaccurate redemption documentation and the Contractor will have seven calendar days to correct, complete, and resubmit the documents for approval.  
**If Voucher Redemption is Denied:** If a voucher redemption submission is denied, NYSERDA or the VHC will respond by email detailing the reasons that disqualify the voucher redemption submission.  
**Appeals for Voucher Redemption Denials:** NYSERDA will consider appeals to the denial of a voucher incentive application on a case-by-case basis and at its sole discretion. To submit an appeal, contact the VHC. NYSERDA is in no way obligated to consider an appeal.
5. Within 30 calendar days of NYSERDA approval of the Voucher Redemption submission, NYSERDA will pay the voucher amount to the Contractor, in accordance with the Prompt Payment Policy (see Section 3.4), also described in Exhibit B to the Contractor Participation Agreement (see Program website).

### 3.3.2 Voucher Extension

A voucher must be redeemed within 18 months of the voucher approval date as shown in the email the Contractor receives when the voucher application is approved. At any point within that period, a Contractor may request a voucher extension by sending an email, with supporting documentation such as a line setting ticket from the vehicle manufacturer that shows the expected completion date, to the VHC. The email should indicate the expected date of vehicle delivery. A copy of the current registration and DOT inspection report may also be requested to ensure the vehicle to be scrapped is still in service. Voucher extensions are available for up to an additional six months (180 days). No more than one extension will be granted per voucher. A voucher that is not extended or redeemed within 18 months will be deemed expired and canceled. Six-month extensions may be granted solely at NYSERDA's discretion and are not guaranteed to be approved. If granted, the voucher extension approval the Contractor receives via email from the VHC will contain the voucher's new expiration date, no later than 24 months from the date of original voucher approval. The Contractor is responsible for awareness of this date. If a voucher is not redeemed and is canceled, a Contractor may reapply to NYTVIP for the same vehicle with a new voucher application if the vehicle has not yet been delivered, subject to the availability of funds.

### 3.4 Voucher Payment Process

Vouchers will be issued to Contractors via electronic payment. To sign up for electronic payment, Contractors must visit [nyserda.seamlessdocs.com/f/EFTForm](https://nyserda.seamlessdocs.com/f/EFTForm) to complete the form. Per NYSERDA's Prompt Payment Policy, payments to Contractors can be expected within 30 days of voucher redemption approval.

A voucher will not be issued if the Vehicle Purchaser returns the vehicle prior to the voucher payment being issued. Contractors must notify the VHC if a vehicle is returned and request the voucher be canceled.

Furthermore, NYSERDA reserves the right to seek reimbursement from the Contractor if the Vehicle Purchaser returns the vehicle to the Contractor within 30 days of voucher payment.

# Appendix A. Funding Source Rules

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The total funding for NYTVIP as of April 2022 is \$58.3 million. The Program may add additional funds and eligible vehicle types over time. The Program is currently funded by federal Congestion Mitigation and Air Quality Improvement (CMAQ) funds administered by the DOT and the Volkswagen Settlement agreement administered by the DEC. The Program rules have been designed to be consistent with the rules established by these funding sources and apply to all projects. NYSERDA will decide the source of funding for a specific voucher at its sole discretion.

## A.1 CMAQ Funding

The CMAQ program provides funding to support air quality improvements from mobile sources in areas that are or were designated as non-attainment for certain federal air quality standards.

- CMAQ funding can currently support battery electric vehicle projects in weight classes 3 through 8, but is limited to vehicles to be domiciled in, or have at least 70% of the total vehicle miles operate in New York State counties that are either in non-attainment or maintenance status with respect to [National Ambient Air Quality Standards \(NAAQS\)](#) for any of the major criteria air pollutant categories (see Table 7).
- These funds are subject to domestic content requirements of the [Buy America provisions](#) applicable to Federal Highway Administration (FHWA) for vehicles, which require 100% of steel, iron, and manufactured products to be produced in the United States; the lone current exception, under the terms of a Buy America waiver granted to DOT for this Program, is for Class 3-8 Electric Vehicles for which final assembly is performed in the United States. Class 3-8 Electric Vehicles are subject to requirements for significant final assembly within the US.
  - All manufacturers must specify the origin of the chassis that will be used for vehicles as part of the vehicle eligibility review.
  - The location of the vehicle's Final Assembly must be provided, as well as the listing of the individual components that are installed during final assembly.
  - The listing of the final assembly components must also include the value of the components involved in final assembly to enable comparison to the total vehicle cost. NYSERDA will review the listing as well as the assembly process of each vehicle as a whole and determine whether Buy America requirements have been met.
  - For vehicles with imported chassis from a foreign country, on-site inspection of at least the first five vehicles acquired through NYTVIP will be required for manufacturers using imported chassis.

## A.2 Volkswagen Settlement Funding

The DEC VW Settlement program intends to remedy the excess air pollution emitted from Volkswagen's diesel cars in New York State as a result of their implementation of "defeat devices" to evade regulations on emissions of oxides of nitrogen (NOx), a harmful pollutant that leads to smog formation.

VW funding can support clean transportation projects that fit within nine eligible mitigation action categories established by VW Settlement and further defined within New York State's [Clean Transportation NY plan](#); currently the categories being implemented through NYTVIP are Item 1 (Class 8 Local Freight Trucks), Item 2 (Class 4-8 School and Transit Buses), Item 6 (Class 4-7 Local Freight Trucks), and Item 8 (Port Cargo Handling Equipment).

- Funding can generally be used anywhere in New York State, but vehicle projects must be matched one-for-one with the verified retirement and Scrappage of a diesel engine from 1992 through 2009 and associated vehicle chassis to ensure that NOx pollution is definitively removed from the transportation system. Scrappage vehicles must have been registered in New York for the previous two years and must satisfy the minimum usage requirements outlined in Table 8.
- Additional VW funding for diesel truck replacements operating in certain New York City Industrial Business Zones, separate from this Program, has been provided to the New York City Department of Transportation to support the NYC Clean Trucks Program.
- No more than 33% of the VW funds provided for NYTVIP truck funding could be spent on non-EV technologies (i.e., PHEV, HEV, CNG, propane). Effective April 1, 2022, NYTVIP no longer provides incentives for PHEV, HEV, CNG, or propane fueled vehicles.

NYSERDA shall allocate voucher amounts from one or both funds based on project features and at its sole discretion; Contractors are not permitted to determine which funding source will apply to a project.

With the exception of Non-Road Port Cargo Handling Equipment (effective October 2021), and Transit buses (effective June 1, 2022) no Vehicle Purchaser or Vehicle Operator may receive more than 25% of the total available funds under each of the funding categories in the NYTVIP. If additional funding is added to the Program, a Vehicle Purchaser or Vehicle Operator that has already met this threshold may request additional vouchers for up to 25% of the new total funding category amount.<sup>13</sup> A single Vehicle Purchaser or Vehicle Operator may receive the total available funds for Non-Road Port Cargo Handling Equipment.

# Endnotes

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<sup>1</sup> <https://www.dec.ny.gov/public/911.html>

<sup>2</sup> <https://esd.ny.gov/opportunity-zones>

<sup>3</sup> The final voucher amount for each Eligible Vehicle is subject to project-specific information, such as Domicile address, and the availability of funding.

<sup>4</sup> Fleets, including but not limited to entities sharing a common Taxpayer Identification Number (TIN), are considered a single Vehicle Purchaser even if they are part of different subsidiaries, divisions, or other organizational structures of a company, government agency, or other entity. NYSERDA or its designee may seek financial reimbursement or other remedies from a Vehicle Purchaser for non-disclosure or inaccurate disclosure of its TIN, ID#, or other information relating to common ownership or fiduciary control of the purchasing entity.

<sup>5</sup> For more information on the NYC Clean Trucks program, visit <https://www.nycctp.com/>.

<sup>6</sup> New York City, Suffolk, Nassau, Westchester, and Rockland Counties

<sup>7</sup> To locate Disadvantage Communities in New York State, visit [nyserdera.ny.gov/ny/disadvantaged-communities](https://nyserdera.ny.gov/ny/disadvantaged-communities).

<sup>8</sup> In February 2020, \$16.7 million was made available (Round 1) for all of the transit agencies listed below to procure electric transit buses. Agencies were required to submit voucher applications on or before August 18, 2021 to access Round 1 transit funding.

- Broome County Transit
- Capital District Transportation Authority (CDTA)\*
- Central New York Regional Transportation Authority (Centro)
- Chemung County (C Tran)
- The City of Long Beach, Department of Transportation
- Clinton County Public Transit
- Dutchess County Public Transit
- Greater Glens Falls Transit
- Huntington Area Rapid Transit
- Nassau Inter-City Express (NICE)
- Niagara Frontier Transportation Authority (NFTA)\*
- Port Authority of New York and New Jersey (PANYNJ)
- Rochester-Genesee Regional Transit Authority (RGRTA)\*
- Suffolk County Transportation\*
- Tompkins Consolidated Area Transit (TCAT)
- Transport of Rockland
- Ulster County Area Transit (UCAT)
- Westchester County Bee-Line Bus System\*

In December 2020, an additional \$16.4 million was released (Round 2) for five transit operators (indicated above by \*) to procure electric transit buses; these five agencies must submit voucher applications on or before August 18, 2024 to access Round 2 transit funding.

<sup>9</sup> To locate Disadvantaged Communities in New York State, visit [nyserdera.ny.gov/ny/disadvantaged-communities](https://nyserdera.ny.gov/ny/disadvantaged-communities).

<sup>10</sup> To locate Disadvantaged Communities in New York State, visit [nyserdera.ny.gov/ny/disadvantaged-communities](https://nyserdera.ny.gov/ny/disadvantaged-communities).

<sup>11</sup> To locate Disadvantaged Communities in New York State, visit [nyserdera.ny.gov/ny/disadvantaged-communities](https://nyserdera.ny.gov/ny/disadvantaged-communities).

- <sup>12</sup> Voucher Applications must include an engine tag photo but may still be conditionally approved if engine tag is illegible. If engine tag is illegible or missing, Fleet or Contractor must request replacement tags from the engine manufacturer in order to complete Voucher Redemption.
- <sup>13</sup> Fleets, including but not limited to entities sharing a common Taxpayer Identification Number (TIN), are considered a single Vehicle Purchaser even if they are part of different subsidiaries, divisions, or other organizational structures of a company, government agency, or other entity. NYSERDA or its designee may seek financial reimbursement or other remedies from a Vehicle Purchaser for non-disclosure or inaccurate disclosure of its TIN, ID#, or other information relating to common ownership or fiduciary control of the purchasing entity.





**NYSERDA**

**New York State  
Energy Research and  
Development Authority**

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NY-Sun Residential/Nonresidential Incentive Program  
Program Opportunity Notice (PON) 2112  
June 7, 2022

**NY-Sun Residential & Nonresidential Incentive Program  
NY-Sun Project Applications and Contractor Applications  
Accepted August 12, 2010 through December 31, 2030  
By 3:00 PM Eastern Time**

The New York State Energy Research and Development Authority (NYSERDA) provides financial incentives and financing options for the installation by Contractors and Builders of new grid-connected solar electric photovoltaic (PV) systems for residential sites in any region that are 25kW or less, for nonresidential sites in Upstate and PSEG Long Island regions that are up to 750kW, and for nonresidential sites in Con Ed region that are up to 7.5MW. Incentives for nonresidential sites in Upstate region that are ranging from 750kW to 7.5MW are available through the Commercial/Industrial Program (PON 3082). Funding for the NY-Sun Incentive Program (“Program”) has been allocated by the New York State Clean Energy Fund (CEF) and Regional Greenhouse Gas Initiative (RGGI) and the Order Authorizing the Clean Energy Fund Framework, dated January 21, 2016. An Order, dated May 14, 2020, authorized additional CEF funds to achieve the goal of 6GW by 2025. A further Order, dated April 14, 2022, authorized additional CEF funds to achieve the expanded goal of 10GW by 2030.

Incentives will be granted on a first-come, first-served basis, and PV project applications will be accepted through December 31, 2030, or until funds are fully committed, whichever comes first. For projects 1 MW-ac or greater in capacity that submit utility interconnection application after April 14, 2022, incentive will be conditioned on the developer paying prevailing wages for construction activities associated with project design and installation. Total incentives and/or financing available is subject to change. NYSERDA reserves the right to extend and/or add funding to the solicitation should other program funding sources become available.

Information on the MW block design, including real-time data on the current incentive levels for Upstate can be found by visiting [nyserderda.ny.gov/upstate-dashboard](https://nyserderda.ny.gov/upstate-dashboard) and for Long Island at [nyserderda.ny.gov/LI-dashboard](https://nyserderda.ny.gov/LI-dashboard), and for Con Edison at [nyserderda.ny.gov/coned-dashboard](https://nyserderda.ny.gov/coned-dashboard).

Additional incentives for solar PV installations are available for residential customer households who qualify as low-to-moderate income. The additional incentive provides a standard incentive of \$0.80/W in Upstate and Con Edison regions and \$0.40/W in Long Island region, if available.

Additional incentives for solar PV installations paired with an energy storage system are available for residential customer households in PSEG Long Island region. A higher incentive rate is available for residential customer households in PSEG Long Island region who qualify as low-to-moderate income.

Additional incentives for solar PV installations are available for nonresidential projects serving multifamily affordable housing properties, projects located on a brownfield or landfill, parking solar canopies, rooftop solar canopies and Community Distributed Generation (CDG) solar projects that did not qualify for a Market Transition Credit (MTC) under the Value Stack. The Inclusive Community Solar Adder (ICSA) is also available for nonresidential CDG solar projects serving low-to-moderate income (LMI) subscribers, affordable housing, and other facilities serving disadvantaged communities.

Funding for additional incentives is available until exhausted. If MW block standard funding is exhausted prior to additional incentives, the additional incentives will continue at the standard incentive amount in place at time the MW block incentive was exhausted, until the funding for the additional incentive is exhausted as well.

**PV project application submission:** Eligible Contractors and/or Builders must submit completed and signed Project Application package into the NYSERDA Portal, the Program database, as detailed in the Program Manual.

**Contractor Eligibility Application submission:** Potential Contractors and/or Builders may apply on-line at: [https://nyserda-portal.force.com/CORE\\_CONAPP\\_Program\\_Page](https://nyserda-portal.force.com/CORE_CONAPP_Program_Page), or submit one [1] clearly labeled, completed and signed Contractor Application package to:

**Contractor Application PON 2112**  
**Attn: Program Manager**  
**NYS Energy Research and Development Authority**  
**17 Columbia Circle**  
**Albany, NY 12203-6399**  
**Or by email to [PVprocessing@nyserda.ny.gov](mailto:PVprocessing@nyserda.ny.gov).**

Contractor Application questions may be sent to [PVprocessing@nyserda.ny.gov](mailto:PVprocessing@nyserda.ny.gov). Please reference PON 2112 when contacting NYSERDA with questions.

All Contractual questions should be directed to Venice Forbes at (518) 862-1090, ext. 3507 or [venicesolicitations@nyserda.ny.gov](mailto:venicesolicitations@nyserda.ny.gov). All Technical questions should be directed to [PVprocessing@nyserda.ny.gov](mailto:PVprocessing@nyserda.ny.gov).

Applications will not be accepted at any other NYSERDA location other than the address above. If changes are made to this solicitation, notification will be posted on NYSERDA's website at <a href="http://www.nyserda.ny.gov">www.nyserda.ny.gov</a> .
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## **What is the NY-Sun Incentive Program?**

The New York State Energy Research and Development Authority (NYSERDA) provides financial incentives and financing options for the installation by Contractors and Builders of new grid-connected solar electric photovoltaic (PV) systems for residential sites in any region that are 25kW or less, for nonresidential sites in Upstate and PSEG Long Island regions that are up to 750kW, and for nonresidential sites in Con Ed region that are up to 7.5MW. Incentives for nonresidential sites in Upstate region that are ranging from 750kW to 7.5MW are available through the Commercial/Industrial Program (PON 3082). Funding for the NY-Sun Incentive Program ("Program") has been allocated by the New York State Clean Energy Fund (CEF) and Regional Greenhouse Gas Initiative (RGGI) and the Order Authorizing the Clean Energy Fund Framework, dated January 21, 2016. An Order, dated May 14, 2020, authorizes additional CEF funds to achieve the expanded goal of 6GW by 2025.

Incentives will be granted on a first-come, first-served basis and applications will be accepted through December 31, 2030, or until funds are fully committed, whichever comes first.

## **How Does the Program Work?**

### **Standard Incentive**

Cash incentives and/or financing is available for qualified customers who wish to install PV systems through applications submitted by a Participating Contractor. A Participating Contractor has signed a Participation Agreement (with NYSEDA, agreeing to abide by Program terms and conditions). The Participating Contractor have established relationships with Builders. Contractors are responsible for the quality of the builders. Builders are responsible for the installation and quality of project. Builders are responsible for maintaining a credentialed person on-staff.

A detailed description of the Program and the terms and conditions under which it operates is provided in the NY-Sun Incentive Program Manual available at <http://www.nyserda.ny.gov/solar-contractor-resources>.

Incentives are paid directly to the Contractor and must be applied in full to the cost of the PV system, thereby reducing the out-of-pocket cost to the customer.

A Builder must have demonstrated technical competence in the PV field and the Contractor/Builder is responsible for preparing and submitting all necessary project application and incentive paperwork to NYSEDA. A Builder must employ an individual who meets one of the three paths. The current three eligibility paths for Individuals are:

- North American Board of Certified Energy Practitioners (NABCEP): installers choosing this path must be NABCEP certified Solar PV Installers within 24 months of entering the PON 2112 Program to retain their eligibility.
- IBEW-NECA: Installers who are Journeymen Electrician with IBEW-NECA PV training, and meet all other program requirements may gain and retain eligibility.
- UL (Underwriters Labs): Installers who choose to become credentialed through the UL must fulfill the following requirement as a prerequisite to participate in the Program: Be certified by UL as a PV System Installer

More information on how to become a Contractor can be found on the NY-Sun website at [nyserda.ny.gov/become-a-solar-contractor](http://nyserda.ny.gov/become-a-solar-contractor). In general, incentives for a typical residential or commercial system cover approximately 25-35% of the installed cost of a PV system.

In addition to financing that may be offered through a Contractor, the Program offers financing through Green Jobs-Green New York (GJGNY). Information on financing options, terms and qualification criteria can be found on NYSEDA's web site at the following link: <http://www.nyserda.ny.gov/All-Programs/Programs/Residential-Financing-Options>

## Program Requirements

The following rules apply to the Program and the payment of incentives:

### Energy Efficiency Audit.

*Residential Projects:* A clipboard energy efficiency assessment must be performed. A clipboard assessment consists of two components: an interview of the home owners to determine energy-use habits and age of the home, and a home inspection to identify energy-saving opportunities. Certification an assessment has been completed must be indicated on the project application at time of submission. The inspection component of the assessment should take no more than 60 minutes. After the assessment, the results will be reviewed with the homeowner. A copy of the report will be left with the homeowner along with a list of Home Performance contractors and informational brochures detailing NYSERDA's energy efficiency programs. Customers will not be required to implement energy efficiency upgrades.

*Nonresidential Projects:* Building owners are given information on benchmarking tools, such as ENERGY STAR's portfolio manager benchmarking tool. If requested by the building owner, the contractor or builder will help input utility bill information in the tool to calculate an energy-use index and, where applicable, an ENERGY STAR score. Customers will not be required to benchmark or implement energy efficiency upgrades as a program prerequisite. Energy assessment completion must be indicated on the project application at time of submission. Any CDG project is exempt from the energy assessment requirements.

### Incentive highlights:

- Incentives are paid directly to "Contractor" but must be passed on in the full amount to the customer, unless a payment assignment has been identified for nonresidential projects. Incentives will not be provided directly to customers purchasing or installing PV systems.
- Incentives are only available for new equipment and PV systems that have not been installed (partially or completely) prior to being submitted to NYSERDA in accordance with the terms and conditions of this Program.
- Incentives for residential projects are capped based on a PV system size that does not exceed 110% of the total kWh consumption for the previous 12 months of electric usage. For residential new construction, systems must be sized not to exceed 110% of the calculated yearly projected kWh of electric usage.
- All potential PV system output losses associated with shading, system orientation, tilt angle, etc., must be analyzed and detailed for each PV System by the Contractor/Builder. If your system is shaded by trees, faces east or west, or is installed on a flat roof, the kWh output of your PV System will be less than ideal. All impacts on system output must be quantified and are considered during the review of project applications submitted by the Contractor/Builder. Incentives are reduced in proportion to output losses when losses from factors such as shading and orientation exceed 30%.
- The Program uses a MW Block incentive structure that is designed to provide certainty and transparency to the industry regarding incentive levels, accounts for regional market differences, provides a clear signal to industry that New York intends to eliminate cash incentives in a reasonable timeframe, and allows for the elimination of those incentives sooner in regions where the market conditions can support it, based on market penetration, demand, and payback. Information on the Program progress through the MW Blocks will be provided through a Dashboard. The Dashboard is an online, publicly facing tool that shows real-time progression in the current blocks, provides incentive levels and MW targets for subsequent blocks and provide details on the progress towards the overall NY-Sun Statewide PV initiative installed capacity goal of 10 GW.

### Limitation

This solicitation does not commit NYSERDA to award a contract or to pay any costs incurred in preparing any application. NYSERDA reserves the right to accept or reject any or all applications received, and to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest.

### Additional Information

Available on the NY-Sun Website at [ny-sun.ny.gov](http://ny-sun.ny.gov).



NY-Sun Commercial/Industrial Incentive Program  
Program Opportunity Notice (PON) 3082  
June 7, 2022

**NY-Sun Commercial & Industrial Incentive Program  
NY-Sun Project Applications and Contractor Applications  
Accepted May 4, 2015 through December 31, 2030  
By 3:00 PM Eastern Time**

The New York State Energy Research and Development Authority (NYSERDA) provides performance-based incentives for the installation by Contractors of new grid-connected solar electric photovoltaic (PV) systems that are ranging from 750kW to 7.5MW in Upstate region. Incentives for residential sites in all regions, nonresidential sites 750kW or less in Upstate and PSEG Long Island regions, and nonresidential sites 7.5MW or less in Con Ed region are available through the NY-Sun Residential & Nonresidential Program (PON 2112). Funding for the NY-Sun Incentive Program ("Program") has been allocated by the New York State Clean Energy Fund (CEF) and Regional Greenhouse Gas Initiative (RGGI) and the Order Authorizing the Clean Energy Fund Framework, dated January 21, 2016. An Order, dated May 14, 2020, authorizes additional CEF funds to achieve the goal of 6GW by 2025. A further Order, dated April 14, 2022, authorized additional CEF funds to achieve the expanded goal of 10GW by 2030.

Incentives will be granted on a first-come, first-served basis, and PV project applications will be accepted through December 31, 2030, or until funds are fully committed, whichever comes first. For projects 1 MW-ac or greater in capacity that submit utility interconnection application after April 14, 2022, incentive will be conditioned on the developer paying prevailing wages for construction activities associated with project design and installation. Total incentives available is subject to change. NYSERDA reserves the right to extend and/or add funding to the solicitation should other program funding sources become available.

Information on the MW block design, including real-time data on the current incentive levels for Upstate can be found by visiting [nysesda.ny.gov/upstate-dashboard](https://nysesda.ny.gov/upstate-dashboard).

Additional incentives for solar PV installations are available for commercial & industrial projects located on a brownfield or landfill, and Community Distributed Generation (CDG) solar projects that did not qualify for a Market Transition Credit (MTC) under the Value Stack. The Inclusive Community Solar Adder (ICSA) is also available for nonresidential CDG solar projects serving low-to-moderate income (LMI) subscribers, affordable housing, and other facilities serving disadvantaged communities.

**PV project application submission:** Eligible Contractors must submit completed and signed Project Application package into the NYSERDA Portal, the Program database, as detailed in the Program Manual.

**Contractor Eligibility Application submission:** Potential Contractors may apply on-line at: [https://nysesda-portal.force.com/CORE\\_CONAPP\\_Program\\_Page](https://nysesda-portal.force.com/CORE_CONAPP_Program_Page), or submit one [1] clearly labeled, completed and signed Contractor Application package to:

**Contractor Application PON 2112**  
**Attn: Program Manager**  
**NYS Energy Research and Development Authority**  
**17 Columbia Circle**  
**Albany, NY 12203-6399**  
**Or by email to [PVprocessing@nyserda.ny.gov](mailto:PVprocessing@nyserda.ny.gov).**

Contractor Application questions may be sent to [PVprocessing@nyserda.ny.gov](mailto:PVprocessing@nyserda.ny.gov). Please reference PON 3082 when contacting NYSERDA with questions.

All Contractual questions should be directed to Venice Forbes at (518) 862-1090, ext. 3507 or [venicesolicitations@nyserda.ny.gov](mailto:venicesolicitations@nyserda.ny.gov). All Technical questions should be directed to [Commercial.IndustrialPV@nyserda.ny.gov](mailto:Commercial.IndustrialPV@nyserda.ny.gov).

Applications will not be accepted at any other NYSERDA location other than the address above. If changes are made to this solicitation, notification will be posted on NYSERDA's website at <a href="http://www.nyserda.ny.gov">www.nyserda.ny.gov</a> .
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## **What is the NY-Sun Commercial and Industrial Program?**

The New York State Energy Research and Development Authority (NYSERDA) offers performance-based financial incentives for the installation of new grid-connected solar electric photovoltaic (PV) systems that are ranging from 750kW to 7.5MW in Upstate region. Incentives for residential sites in all regions, nonresidential sites 750kW or less in Upstate and PSEG Long Island regions, and nonresidential sites 7.5MW or less in Con Ed region are available through the NY-Sun Residential & Nonresidential Program (PON 2112).

Funding for the NY-Sun Commercial & Industrial Program has been allocated as part of the Clean Energy Fund with additional funding made available through the Regional Greenhouse Gas Initiative (RGGI) for New York State (NYS) electricity customers and the Order Authorizing the Clean Energy Fund Framework, dated January 21, 2016. An Order, dated May 14, 2020, authorizes additional CEF funds to achieve the expanded goal of 6GW by 2025.

Incentives will be allocated on a first-come, first-served basis and applications will be accepted on a rolling basis through December 31, 2030, or until funds are fully committed, whichever comes first.

## **How Does the Program Work?**

The NY-Sun Commercial and Industrial Program provides incentives based upon the performance of the PV System as a function of annual energy production. A detailed description of the Program and the terms and conditions under which it operates is provided in the NY-Sun Incentive Program Manual available at <http://www.nyserda.ny.gov/solar-contractor-resources>.

In addition to performance-based incentives, the program includes additional incentives for projects located on a landfill or brownfield, and Community Distributed Generation (CDG) solar projects that did not qualify for a Market Transition Credit (MTC) under the Value Stack. Participating Contractors may invoice for project incentives in three separate increments: one invoice when the system is installed, interconnected, and commercially operational and one in each of the two subsequent consecutive years (Performance Period) based upon measured annual kilowatt hour (kWh) output of the PV system (System Actual Annual Energy Production). For details, see NY-Sun Incentive Program Manual, Metering Requirements.

Incentives are available for new customer-sited PV systems, greater than 750 kW per electric meter, that are connected to the electric distribution grid and displace utility provided electricity. Prior to submitting applications for incentives, organizations must become a Participating Contractor by registering with the NY-Sun Commercial and Industrial Program. Upon approval, the organization will be provided access to the NY-Sun Commercial and Industrial Program online applications platform.

To become a Participating Contractor in the NY-Sun Commercial and Industrial Program, interested parties must complete a Contractor Application in which they agree to abide by the terms and conditions of the NY Sun Incentive Program Participation Agreement and Program Manual. These documents are available on the NY-Sun website at [nyserda.ny.gov/become-a-solar-contractor](http://nyserda.ny.gov/become-a-solar-contractor).

Applicants to the commercial and industrial program must provide three verifiable solar electric customer references (customer name, address, phone, and email) for completed, grid-connected solar electric installations that entered commercial operation in the past three years that, in aggregate, sum to at least 3MW. System size (kilowatts), interconnection date, and the applicant's role in the project must be specified. Construction photos for the projects listed as a reference are required.

Participating Contractors are responsible for preparing and submitting all required PV Project Incentive Application documentation to NYSERDA.

## **Financial Incentives**

The incentive amounts identified on approved project applications in the NY-Sun Commercial and Industrial Program are Not-to-Exceed (NTE) values. The maximum dollar value of the NTE Incentive will be equal to the PV System Estimated Annual Energy Production for two years (Base Incentive) plus strategic location or

integration incentives, when applicable.

The Base Incentive for an eligible project is based on two years of PV System Estimated Annual Energy Production using a designated 13.4% Capacity Factor (CF) for fixed-mount systems at the incentive associated with the block in which the project application is approved by NYSERDA.

**Limitation**

This solicitation does not commit NYSERDA to award a contract or to pay any costs incurred in preparing any application. NYSERDA reserves the right to accept or reject any or all applications received, and to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest.

**Additional Information**

Forms are available on the NY-Sun Website at [ny-sun.ny.gov](http://ny-sun.ny.gov).





"NextGen HVAC Innovation Challenges"  
 Program Opportunity Notice (PON) 3519  
**Up to \$30 Million Available**  
**Round 6 of 7**

*NYSEDA reserves the right to extend, and/or add or reduce funding to this solicitation*

<b>Important Dates* by:</b> <b>Rounds 1 &amp; 2: 5:00 pm Eastern Time</b> <b>Rounds 3 - 7: 3:00 pm Eastern Time</b>				
Round	Challenge Areas	Challenge Announcement	Concept Paper Due Date(s)	Full Proposal Due Date(s) (Tentative)
1	Heat Pumps, HVAC Controls, Compressorless HVAC, GHEX	June 29, 2017	August 3, 2017	November 16, 2017
2	Heat Pumps, HVAC Controls, Compressorless HVAC	March 22, 2018	April 26, 2018	August 14, 2018
3	Heat Pumps, Thermal Distribution, Open	December 6, 2018	January 17, 2019	May 9, 2019
4	Heat Pumps, Thermal Distribution, Energy Pod, Technology Transfer	October 17, 2019	December 12, 2019	May 26, 2020
5	Heat Pumps, Refrigerants, Panelized Systems, Midrise HVAC, Thermal Storage, Building Envelope	September 23, 2020	November 17, 2020	March 17, 2021
6	Refrigerants, Panelized Systems, Midrise HVAC, Building Envelopes, Community Heat Pumps	May 10, 2022	July 7, 2022	September 7, 2022
*Dates are subject to change. Proposers should check NYSEDA's website ( <a href="https://portal.nyserda.ny.gov/CORE_Solicitation_Detail_Page?SolicitationId=a0rt0000006nDncAAE">https://portal.nyserda.ny.gov/CORE_Solicitation_Detail_Page?SolicitationId=a0rt0000006nDncAAE</a> ) for the latest updates and revisions to PON 3519.				

**I. Introduction**

In June 2019, the New York State (NYS) legislature passed the Climate Leadership and Community Protection Act (CLCPA) which codifies the requirement that New York achieve a carbon neutral economy, with at least an 85% reduction of greenhouse gasses (from a 1990 baseline) by 2050. The CLCPA sets an interim greenhouse gas (GHG) goal of a 40% reduction by 2030, along with goals of 70% renewable electricity generation by 2030, and 100% clean electricity generation by 2040. The CLCPA requires at least 35% of the funding spent on NYS's clean energy transition to benefit disadvantaged, low- and moderate-income communities. The CLCPA codifies the New Efficiency NY target of 185 trillion BTUs of on-site energy efficiency by 2025, with a sub-target of 5 trillion BTUs through heat pump conversions.

In May 2019, New York City (NYC) introduced Local Law 97 as part of the Climate Mobilization Act (CMA). The CMA sets declining carbon emissions intensity caps for 2024 and 2030 covering buildings over 25,000 square feet in NYC. Failure to meet the caps carries significant financial penalties. To avoid those penalties, carbon intensive buildings will require comprehensive energy retrofits or alternate compliance through the purchase of renewable energy credits. Meeting the CMA emission caps will reduce GHG emissions from NYC's building stock 40% by 2030. The CMA calls for an advisory council to establish lower emissions caps every 5 years beyond 2030, ultimately resulting in the reduction of GHG emissions from NYC's building stock of 80% by 2050.

Buildings are a large user of energy, a major contributor to greenhouse gas emissions (GHG) and system peak demand, and an important critical infrastructure for NYS. Heating, ventilation, and air conditioning (HVAC) equipment consumes approximately 40% of the energy used by residential and commercial buildings, making this end use responsible for approximately 25% of the total energy used and 36% of the GHG emissions in NYS. The cooling requirement for buildings is the primary contributor to the difference between peak electric system demand (>32 GW) and average base-load system demand (<18 GW).

The large capital investment and long asset life of existing HVAC equipment requires new HVAC technologies to have compelling value propositions in order to achieve market adoption. Some innovations have been technically compelling but not commercially successful. Additionally, solutions on the market today do not address NYS's diverse climate or dense urban population and are not sufficient to meet NYS's aggressive energy and GHG reduction goals.

The NYSERDA NextGen HVAC program seeks to reduce the energy use of NYS consumers through advancements in the performance and capabilities of economically viable HVAC solutions. By supporting HVAC innovations, the program will enable buildings to be more energy efficient, load flexible, and resilient. Many HVAC innovations have the additional benefit of improved indoor air quality and quality of life for consumers, providing not only economic value, but improved occupant comfort as well.

This solicitation seeks to attract solutions that directly benefit low to moderate income and disadvantaged communities across NYS and it will focus resources on the successful commercialization of HVAC innovations. In addition to articulating the technical innovation, proposers must describe their commercialization strategy, including: customer discovery and channel strategy, competitive landscape, intellectual property, fundraising needs, manufacturing and scale-up, key partners, and team qualifications and development.

Through this solicitation, NYSERDA will issue a series of innovation challenges. NYSERDA will identify attributes to drive HVAC innovation and challenge innovators to develop solutions that deliver on those attributes. Each Round of this solicitation will begin with the announcement of one or more specific innovation challenges. NYSERDA reserves the right to add, delete, or modify any of the innovation challenges over the course of this solicitation.

All Concept Papers and Proposals for Round 6 must address one of the following Innovation Challenge Areas: Refrigerants; Panelized Systems; Midrise HVAC; Building Envelopes; and Community Heat Pumps. For detailed discussion of each area, refer to Attachments E1 – E5 respectively.

**A two-step evaluation process will be used.** For each Round of the solicitation, proposers will be required to submit a Concept Paper by the indicated due date. All Concept Papers will be reviewed by a Scoring Committee (SC) based on the evaluation criteria listed in Section IV. NYSERDA may invite proposers whose Concept Papers have been selected for further consideration to submit a Full Proposal. The invitation will include the date by which Full Proposals must be received. Failure to submit a Concept Paper precludes submission of a Full Proposal. Submission of Full Proposals is by **invitation only**.

**Proposal Submission:** Online submission is preferable. Proposers may submit Word, Excel, or PDF files (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For

ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. NYSERDA will also accept proposals by mail or hand-delivery if online submission is not possible. For detailed instructions on how to submit a proposal (online or paper submission), click the link "Application Instructions and Portal Training Guide [PDF]" located in the "Current Opportunities" section of NYSERDA's website (<https://www.nyserderda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

Mailed or hand-delivered Concept Papers or Proposals must be clearly labeled and submitted to:

**Jillina Baxter, Concept Papers, PON 3519 Round 6; or  
Jillina Baxter, Proposals, PON 3519 Round 6  
NYS Energy Research and Development Authority  
17 Columbia Circle  
Albany, NY 12203-6399**

**Questions?** Please see the list of Designated Contacts below. No communication intended to influence this procurement is permitted except by contacting the Designated Contacts named herein.

- For questions concerning the specific Challenge Areas and/or Attachment A1 – Statement of Work, see Section II: Innovation Challenge Areas below for a list of Designated Contacts.
- For contractual questions concerning this solicitation, contact Venice Forbes at (518) 862-1090, ext. 3507 or by email [VeniceSolicitations@nyserderda.ny.gov](mailto:VeniceSolicitations@nyserderda.ny.gov).

Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

**\*All proposals must be received by 3 p.m. Eastern Time on the date noted above. Late, faxed, or emailed proposals will not be accepted.** Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal. Please note: for online submission, there are required questions that you will have to answer in addition to uploading attachments and you should allot at least 60 minutes to enter/submit proposals. The online proposal system closes promptly at 3 p.m. Eastern Time, files in process or attempted edits or submission after 3 p.m. Eastern Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on the "Current Opportunities" section of NYSERDA's website (<https://www.nyserderda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

## **II. Innovation Challenge Areas**

All submissions for Round 5 must address one of the following Innovation Challenge Areas:

- 1. Innovation Challenge Area 1: Refrigerants – See Attachment E1**  
Technical questions concerning Refrigerants should be directed to Michael Genovese (Designated Contact) at (518) 862-1090 ext. 3103 or by email ([MichaelNextGen@nyserderda.ny.gov](mailto:MichaelNextGen@nyserderda.ny.gov)) or Robert Carver (Designated Contact) at (518) 862-1090 ext. 3242 or by email ([RobertNextGen@nyserderda.ny.gov](mailto:RobertNextGen@nyserderda.ny.gov)).
- 2. Innovation Challenge Area 2: Panelized System – See Attachment E2**  
Technical questions concerning Panelized System should be directed to Robert Carver (Designated Contact) at (518) 862-1090 ext. 3242 or by email ([RobertNextGen@nyserderda.ny.gov](mailto:RobertNextGen@nyserderda.ny.gov)) or Saul Brown (Designated Contact) at (518) 862-1090 ext. 3028 or by email ([SaulNextGen@nyserderda.ny.gov](mailto:SaulNextGen@nyserderda.ny.gov)).
- 3. Innovation Challenge Area 3: Midrise HVAC – See Attachment E3**  
Technical questions concerning Midrise HVAC should be directed to Michael Genovese (Designated Contact) at (518) 862-1090 ext. 3103 or by email

([MichaelNextGen@nyserda.ny.gov](mailto:MichaelNextGen@nyserda.ny.gov)) or Saul Brown (Designated Contact) at (518) 862-1090 ext. 3028 or by email ([SaulNextGen@nyserda.ny.gov](mailto:SaulNextGen@nyserda.ny.gov)).

**4. Innovation Challenge Area 4: Building Envelopes** – See Attachment E4  
Technical questions concerning Building Envelopes should be directed to Robert Carver (Designated Contact) at (518) 862-1090 ext. 3242 or by email ([RobertNextGen@nyserda.ny.gov](mailto:RobertNextGen@nyserda.ny.gov)).

**5. Innovation Challenge Area 5: Community Heat Pumps** – See Attachment E5  
Technical questions concerning Community Heat Pumps should be directed to Robert Carver (Designated Contact) at (518) 862-1090 ext. 3242 or by email ([RobertNextGen@nyserda.ny.gov](mailto:RobertNextGen@nyserda.ny.gov)) or Joseph Borowiec (Designated Contact) at (518) 862-1090 ext. 3381 or by email ([JosephNextGen@nyserda.ny.gov](mailto:JosephNextGen@nyserda.ny.gov)).

### III. Program Requirements

Projects selected for funding must:

1. Show potential to reduce GHG emissions from the building sector in New York State.
2. Demonstrate benefits to electric System Benefits Charge (SBC) ratepayers (<https://www.nyserda.ny.gov/About/Funding>), regardless of the initial stage.
3. Address an opportunity to increase the energy-efficiency and/or advance the energy performance of new and/or existing buildings in the residential, multi-family, commercial, or institutional sector.
4. Provide direct and quantifiable energy, environmental, and economic benefits to NYS (including benefits to low-to moderate income and disadvantaged communities), such as energy savings, demand response, emissions reductions, job creation, product manufacturing and sales, and/or reduced energy costs.
5. Satisfy the Concept Paper requirements and, if selected, Full Proposal requirements and sufficiently address the evaluation criteria (see Sections IV and V).
6. Complete all necessary attachments, including the Concept Paper Template (Attachment B) and, if selected, the Proposal Narrative (Attachment A), Statement of Work (Attachment A1), TRL/CRL Calculator (Attachment A2) and Budget Form (Attachment C).
7. Agree to pay recoupment to NYSERDA for commercial sales or licensing revenues of new technologies, services, or products developed with NYSERDA funding (see Section VI).
8. Agree to Annual Metrics Reporting terms (see Section VI) and General Conditions (see Section VII).
9. Development activities should describe their commercialization strategy and include other commercialization activities; basic research is ineligible.
10. Demonstration projects must take place within New York State and include a letter of support from the site owner(s)/decision maker(s).
11. Provide a letter of support and commitment from all funding sources.

**Technology Stages** Proposals will consist of one or more of the following stages as defined by Technology Readiness Level (TRL). Only the following three stages will be considered for funding:

Technology Stages	TRL	Proposer Cost Share
Feasibility	1-3	20%
Development	4-7	50%
Demonstration	8-9	40%

**Proposals must articulate a plan to take the technology in its current stage through the Demonstration Stage.** In other words, if the initial technology stage is Feasibility, the proposal should also include schedules and budgets for the Development Stage and Demonstration Stage. If the initial technology stage is Development, the proposal should also include a schedule and budget for the Demonstration Stage.

All activities with a **stage** budget in excess of \$350,000 may be broken down into **phases** at NYSERDA's discretion. Funding may be awarded for multiple phases with funding for each phase beyond the initial phase conditional upon meeting predefined goals of prior phases and contingent upon the availability of funds. An additional review will be required for projects to move between **stages**. For more information regarding the stage gating process, please refer to section 3 of 'Project Schedule, Staging, and Teaming' below.

Proposers should allocate 10-25% of the project budget for commercialization-related tasks, such as customer discovery, IP protection, business plan development, and design for manufacturing.

1. **Feasibility Stage** (Proposer cost share of 20% or greater)
  - a. Applied research aimed at early development of a new product or technology, policy, business, and/or regulatory model.
  - b. The Feasibility Stage of any proposed project will be limited to \$350,000 total.
  - c. Projects beginning in this stage should have a TRL of 1-3. If the TRL is of a greater value, the proposer should apply under the Development or Demonstration Stage.
  - d. After completing the Feasibility Stage, the sub-components should be validated and testing of the complete system should be underway.
  - e. After completing the Feasibility Stage, the innovation should be validated as commercially viable through discussions with potential customers and/or users.
2. **Development Stage** (Proposer cost share of 50% or greater)
  - a. Development and commercialization of products/services for improving the energy performance of new or existing buildings in NYS. Technical and commercial feasibility of the innovation should have been demonstrated prior to submitting to this stage. If feasibility has not yet been shown, the proposer may apply under the Feasibility Stage.
  - b. Development activities may include field testing to help improve the product/service or expected performance and value proposition.
  - c. Projects beginning in this stage should have a TRL of 4-7. If the TRL is less than 4, the proposer should submit under the Feasibility Stage. If the TRL is over 7, the proposer should submit under the Demonstration stage.
  - d. After completing the Development Stage, a prototype that can reliably perform all functions that would be required in an operational system should exist.
  - e. After completing the Development Stage, the team should have a strong, market-validated commercialization strategy that addresses commercialization activities.
3. **Demonstration Stage** (Proposer cost share of 40% or greater)
  - a. Demonstrations of new or under-utilized technologies or practices that advance the energy performance of either new or existing buildings in NYS.
  - b. Proposals beginning in the Demonstration Stage should not include technology or product development activities. If technology or product development activities are appropriate, the proposer may propose under the Feasibility Stage or Development Stage.
  - c. Demonstration proposals should clearly identify how the project will bring the product, technology, or practice closer to commercial success and how the demonstration will lead to increased use of the technology or practice in NYS.
  - d. Demonstration proposals should include a detailed plan for disseminating project results to a wide audience.
  - e. Evaluation of the demonstration should be conducted by a recognized and independent third-party evaluator (i.e., evaluator has no financial interest in the outcome of the demonstration).
  - f. The demonstration must take place at a site that pays into the Clean Energy Fund (<https://www.nyserda.ny.gov/About/Funding>) through the electric SBC unless significant statewide benefits are demonstrated.
  - g. Projects submitted under the Demonstration Stage should have a TRL of 8-9. If the TRL is less than 8, the proposer should submit under the Feasibility Stage or Development Stage.

- h. After completing the Demonstration Stage, the product should be in its final form and ready for market.
- i. After completing the Demonstration Stage, the team should have a strong, market-validated commercialization strategy.

**Project Schedule, Staging, and Teaming:** All proposers should consider the following guidelines when developing their submissions:

1. Proposers must select an initial stage and indicate it in their proposal. Unless the initial stage selected is Demonstration, the proposal will be a multi-stage proposal with commercialization as the end goal.
  - a. The proposer should describe how they will complete their initial stage and any following stage along with significant milestones, total cost, and schedule for each stage.
  - b. For example, if the initial stage is Feasibility, the proposal should also include separate tasks, schedules, and budgets for the Development Stage and Demonstration Stage. If the initial stage is Development, the proposal should also include separate tasks, schedule, and budget for the Demonstration Stage.
  - c. NYSERDA reserves the right to modify a project's Statement of Work and may offer to fund part of the proposal or stage therein at a level lower than that requested, such as offering to fund only a single **stage** of a multi-stage proposal rather than a full development effort.



2. A project is expected to begin within nine months of the proposal due date. No project schedule should exceed a total of 36 months, except to indicate commercialization activities beyond those of the proposed project.
3. For multi-stage proposals:
  - a. Any contract awarded to fund one or more stage(s) of a multi-stage project does not in any way obligate NYSERDA to fund the later stages.
    - i. NYSERDA anticipates awarding contracts for either a single stage of a multi-stage project, or for multiple stages. In the case of a multi-stage award, NYSERDA anticipates issuing a contract with a maximum, "not-to-exceed" amount with subsequent stages only being awarded on a contingent basis as described below.
    - ii. NYSERDA reserves the right not to move forward with subsequent stages of a multi-stage award, dependent on project success and availability of funding.
    - iii. Later stages may be funded at NYSERDA's sole discretion, using a stage gating review process: at the completion of each stage, project outcomes will be evaluated to determine if the project will continue to be funded. The evaluation criteria will include: probability of technical and commercial success, potential market impact, leverage of resources, strategic fit within the program portfolio, and the availability of program funds.
    - iv. NYSERDA expects it may award more contingent funding than is available for this program.
  - b. The proposal must meet the minimum proposer cost share for each stage (20% feasibility, 50% development, 40% demonstration).
4. A proposal may be considered non-responsive if it fails to comply with the requirements above, the Proposal Requirements of Section IV, or the General Conditions of Section VIII.

5. Prior to an award being made, proposers may be required to demonstrate confirmation of cost share, participation of key individuals and team, commitment from demonstration site, and the ability to qualify for an award under applicable laws and regulations.
6. Preference will be given to proposers that provide attractive leverage (cash co-funding, partnerships) opportunities for NYSERDA, and proposers who have a strong path to commercialization.

A payment based on the final deliverable will be reserved until project completion. If awarded, NYSERDA may choose to negotiate the amount of such payment. If the project is a multi-stage project, a report should be delivered following the completion of each stage.

NYSERDA seeks teaming arrangements that increase probability of success and commercialization of technologies that yield NYS benefits. Teams may include commercial firms, manufacturers, large original equipment manufacturers (OEM), industry associations, research organizations, universities, government agencies, corporate strategic partners, strategic investors, end-users, and other stakeholders. **Include letters of commitment or interest from each identified team member in the appendix to the proposal.**

**Letters of Commitment or Interest** - If you are relying on any other organization to do some of the work, provide services or equipment, or share in the non-NYSERDA cost, include a letter from that organization describing its planned participation. Also include letters of interest or commitment from businesses or other organizations critical to the future commercialization, demonstration, or implementation of the project. Absence of letters of commitment or interest may be interpreted as meaning that the proposer does not have support from the subject parties. However, in the instance that a proposal is beginning in the Feasibility Stage, a letter of commitment from a Host Site may be difficult to secure. In this instance, a proposer should indicate their intention to secure the commitment and that more time is necessary to do so. Letters should not be solicited from NYSERDA personnel.

#### **IV. Concept Paper & Full Proposal Requirements**

1. **Concept Paper:** Submission of a Concept Paper is required for initial consideration under this solicitation. Failure to submit a Concept Paper precludes submission of a Full Proposal. Concept Papers must conform to the following requirements:
  - The Concept Paper Template (Attachment B) must be complete. If a required question is not answered, the Concept Paper may be deemed unresponsive and may be returned;
  - Concept Paper submitters are required to use the format of the Concept Paper Template. The intent of the template is to lead the proposer through the requirements in an organized manner without repeating or restating necessary information. **Concept Papers using a different format may be deemed unresponsive;**
  - Concept Papers must be submitted in Adobe PDF format, be written in English, be single spaced, use black 11 point Times New Roman font (except in Figures and Tables), and be formatted to fit on 8.5 inch by 11-inch paper with margins no less than 1 inch;
  - Concept Papers shall not exceed four (4) pages in length including graphics, figures, and/or tables; and
  - Concept Papers must prominently display on each page the Principle Investigator's Last Name and be completed in accordance with the Submittal Instructions.
2. **Full Proposal:** If notified by NYSERDA of a favorable Concept Paper review, the proposer will be invited to submit a Full Proposal. Full Proposals must include the following:
  - The Proposal Narrative (Attachment A) form-fillable document must be complete. The Innovation Challenge Area and initial Technology Stage must be clearly indicated. **The Proposal Narrative must have all the required questions/sections answered. If a required question is not answered, the proposal could be deemed non-responsive.**
  - The Statement of Work (Attachment A1), TRL/CRL Calculator (Attachment A2), and Budget Form (Attachment C) must be completed.

- Proposals should not be submitted in an elaborate format. Unnecessary appendices beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. Each page of the proposal should state the name of the proposer, the PON number, and the page number.
- **Cost Sharing:** The proposal should show non-NYSERDA funding of at least 20% of the Feasibility Stage, 50% of the Development Stage, and 40% of the Demonstration Stage. Cost sharing can be from the proposer, other team members, and other government or private sources. Contributions of direct labor (for which the laborer is paid as an employee) and purchased materials may be considered "cash" contributions. Unpaid labor, indirect labor, or other general overhead may be considered "in-kind" contributions. NYSERDA will not pay for efforts which have already been undertaken. The proposer or proposing team cannot claim as cost-share any expenses that have already been incurred.

In compliance with §139-j and §139-k of the State Finance Law (see Section VII, General Conditions below for additional information), proposers will be required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility.

## V. Proposal Evaluation

1. **Concept Papers:** Concept Papers determined compliant with application procedures and eligible and responsive to PON 3519 will be subject to NYSERDA review. Eligible Concept Papers will be reviewed and scored per the criteria and point system below. A score of 65 points is the minimum threshold of 100 possible points. No proposal with a score of less than 65 will be considered for an invitation to submit a Full Proposal.

### Evaluation Criteria in Order of Importance:

- **New York State Impact (20 points)**
  - Is the proposed approach an advancement over existing solutions which, if successful, will result in truly significant improvements in energy technology and in energy utilization, GHG emission reductions, building resiliency and utilization in New York State?
  - Is the proposed approach likely to enable benefits at scale, that is, if developed, could supplant existing technology and/or create entirely new marketplaces in New York State, stimulating clean technology manufacturing and business growth and improving consumer choice?
  - Is the proposed concept consistent with the innovation challenge, and NYSERDA programmatic goals and mission?
  - Does the proposed concept directly benefit disadvantaged low- and moderate-income communities?
- **Innovation (20 Points)**
  - Is the proposed approach unique and innovative?
  - Is the proposed approach technically sound?
  - Is the proposed approach aimed at the development of technology or innovative business practice, as opposed to basic research aimed at discovery and fundamental knowledge generation?
  - Does the proposal have a market-based approach? Is the proposed commercialization strategy comprehensive and practical?
- **Competitive Landscape and Market Barriers (20 Points)**
  - Does the proposer demonstrate an understanding of existing and other emerging solutions?
  - Has the market been identified and characterized and are there sufficient markets or needs for the concept/technology, project, or study?
  - To what extent has the proposer engaged the market? To what extent does the proposer understand the market?



- How significant are the barriers to market entry or adoption of the concept, product, or technology?
  - Is the value proposition sufficient that the concept or technology will likely be successful in the target market?
- **Risks and Challenges (15 Points)**
    - Does the proposal clearly identify the technical and commercial risks and challenges?
    - Have key technical and commercial challenges been identified and prioritized?
    - Is there an understanding of competitive options being developed by others?
- **Team (15 Points)**
    - Who are the key team members on the proposed effort?
    - What organizations will be involved with the proposed effort and what will each contribute?
    - Does the proposed team have the necessary expertise and resources to carry out the proposed work?
- **Project Plan (10 Points)**
    - Does the proposal clearly outline how the key risks and challenges will be addressed?
    - Do the proposed project objectives, if achieved, validate the proposed concept?
    - Do the proposed project objectives, if achieved, outline a clear path to market?
    - Can the proposed work be reasonably accomplished for the amount of time, effort, and resources proposed?
2. **Review and Selection Process:** Selected Concept Paper applicants will be invited to submit Full Proposals. Only those demonstrating significant and clear technical merit and market viability will result in an invitation from NYSERDA to submit a Full Proposal.
3. **Full Proposal:** Full Proposals will be reviewed by a Scoring Committee (SC) and will be scored and ranked according to the following criteria, **listed in order of importance**. After the Full Proposals are reviewed, NYSERDA will issue a letter to each proposer indicating the proposal evaluation results. Proposers receiving favorable evaluations may be invited to enter into contract negotiations with NYSERDA. The proposer may be required to submit additional details for the Statement of Work, budget, and schedule, and may also be asked to address specific questions or recommendations of the SC before contract award.

Proposals that meet solicitation requirements will be reviewed by a Scoring Committee using the Evaluation Criteria below.

**Evaluation Criteria in Order of Importance:**

- **Proposed Solution/Scope.** Does the proposed project specifically address a problem or opportunity identified in an Innovation Challenge Area and sub-category in the PON and does it show potential to make significant progress in support of the Innovation Challenge Area? Is the proposed project likely to solve the problem or exploit the opportunity? Is the proposed work technically feasible, innovative, and superior to alternatives? Is the work strategy sound? Is there a clear commercialization strategy that is market-based and likely to be successful? Can the technical and commercial strategies be tested, measured, and adjusted with ease?
- **Project Benefits.** How significant are the potential reductions in GHG emissions or energy use resulting from the project? Will there be economic benefits in New York State in the form of subsequent manufacturing or technical service activity, intellectual property creation, revenue-generation, or job creation? Are there additional significant benefits, such as improvement in the building sector's resiliency to disasters? Will a significant part of the work on the project take place in New York State? Will the proposed work directly benefit disadvantaged low- and moderate-income communities?

- **Market Potential.** Does the proposed project address a current challenge or opportunity that is not being addressed by others? Is the implementation or commercialization strategy well-conceived and appropriate for the stage(s) of development? Has the proposer adequately and correctly described the target customer, defined their value proposition, and identified a real demand for the proposed solution? Does the proposed solution have the potential for wide-scale replication? Is there a process or strategy in place to measure progress and success?
- **Project Value.** Is the overall project cost justified based on the expected benefits? Relative to the project cost, how significant is the potential market or deployment opportunity? How appropriate are the proposer's co-funding contributions (sources and amounts) in view of the proposer's overall financial resources, degree of risk exposure, and potential to benefit from the work? Does the proposer have a reasonable plan for pursuing any additional funding necessary for full commercialization?
- **Project Team and Support.** To what degree does the team have relevant and necessary technical and commercial background and experience? Has the proposer previously commercialized any products? How firm are the commitments and support from essential participants, co-funders, and other organizations? Has the proposer demonstrated support from necessary market actors and potential customers?

**Other Considerations.** Proposals and concept papers will be reviewed to determine if they meet all Program Requirements, fit well within the selected Innovation Challenge Area and have been submitted under the proper Stage. The proposal and concept paper's fit with NYSERDA's overall objectives will also be considered, including: risk/reward relationships; similar ongoing or completed projects; the general distribution of projects among innovation challenges, industries, and other organizations and locations in New York State; and, the degree to which there is a diversity of technologies, approaches, time-to-market, geographic locations, methods, and institutions in the existing portfolio of projects funded by NYSERDA. NYSERDA reserves the right to accept or reject proposals based on the degree to which pricing and hourly rates are in line with the rest of the market.

## VI. Recoupment and Metrics

**Recoupment** - For any new projects exceeding \$100,000 that involve product development, including business development, NYSERDA will require a royalty based on sales and/or licensing of the new product developed (Please see Attachment F – Sample Agreement for specific recoupment obligations). Recoupment is not required for demonstration projects. Please see the definitions below to determine if your project will be subject to recoupment. Please note that NYSERDA will make final determinations as to whether proposals fit within the demonstration or product development categories.

1. **Product Development:** the method of bringing a new or improved product or service to market, including technical feasibility, business case feasibility, market analysis, proof of concept, product design, engineering, scale up, and field testing. Field testing is the stage in which a technology, not yet commercially available with a warranty, is operated in real world conditions with results used for product iteration, market validation, or customer engagement.
2. **Demonstration:** a project intended to increase sales or usage of a commercialized product already in the marketplace, with results used to generate objective performance information for customers or policymakers. At this stage, the product is available for commercial sale and warranted. While incremental improvements may be incorporated based on the demonstration results, the final product design is essentially complete.

Projects where NYSERDA's share of funding is \$100,000 or less will not require recoupment. However, should subsequent funds be awarded for further product development of the same or a substantially similar product, any funds previously received under the \$100,000 threshold will be added to the future recoupment obligation. Please note: NYSERDA may decline to contract with awardees that are

delinquent with respect to recoupment payments or sales reporting for any previous NYSERDA agreement.

**Annual Metrics Reports** – If awarded, the proposer will be required to submit to NYSERDA's Project Manager on an annual basis, a prepared analysis and summary of metrics addressing the anticipated energy, environmental and economic benefits that are realized by the project. All estimates shall reference credible sources and estimating procedures, and all assumptions shall be documented. Reporting shall commence the first calendar year after the contract is executed. Reports shall be submitted by January 31st for the previous calendar years' activities (i.e. reporting period) via a web-based form, which will be provided by NYSERDA. NYSERDA may decline to contract with awardees that are delinquent with respect to metrics reporting for any previous or active NYSERDA agreement.

## **VII. General Conditions**

**Proprietary Information** - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <https://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

**Omnibus Procurement Act of 1992** - It is the policy of New York State to maximize opportunities for the participation of New York State business enterprises, including minority- and women-owned business enterprises, as bidders, subcontractors, and suppliers on its procurement Agreements.

Information on the availability of New York subcontractors and suppliers is available from:

Empire State Development  
Division For Small Business  
625 Broadway  
Albany, NY 12207

A directory of certified minority- and women-owned business enterprises is available from:

Empire State Development  
Minority and Women's Business Development Division  
625 Broadway  
Albany, NY 12207

**State Finance Law sections 139-j and 139-k** - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx>. Proposers are required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility (this includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years).

**Tax Law Section 5-a** - NYSEDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSEDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf)). Prior to contracting with NYSEDA, the prospective contractor must also certify to NYSEDA whether it has filed such certification with the Department.

The Department has created a second form that must be completed by a prospective contractor prior to contacting and filed with NYSEDA. See, ST-220-CA (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220ca\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

**Contract Award** - NYSEDA anticipates making one or multiple awards under this solicitation. NYSEDA anticipates a contract duration of a maximum of 3 years, unless NYSEDA management determines a different structure is more efficient based upon proposals received. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each proposal should be submitted using the most favorable cost and technical terms. NYSEDA may request additional data or material to support applications. NYSEDA will use the Sample Agreement to contract successful proposals. NYSEDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSEDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSEDA expects to notify proposers in approximately 7 weeks from the proposal due date whether your proposal has been selected to receive an award. Upon receipt of this notification, a proposer can request to schedule a debrief on the selection process and the strengths and weaknesses of its proposal by contacting (insert project manager or program email). NYSEDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSEDA agreement.

**Accessibility Requirements** - If awardees from this solicitation will be posting anything on the web, or if the awardee will produce a final report that NYSEDA will post to the web, the following language must be included. NYSEDA requires contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSEDA's Accessibility Requirements](#).

**Limitation** - This solicitation does not commit NYSEDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSEDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSEDA's best interest. NYSEDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement. NYSEDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information or the presence of a material possibility of any reputational or legal risk in making of the award.

**Disclosure Requirement** - The proposer shall disclose any indictment for any alleged felony, or any conviction for a felony within the past five years, under the laws of the United States or any state or territory of the United States and shall describe circumstances for each. When a proposer is an association, partnership, corporation, or other organization, this disclosure requirement includes the organization and its officers, partners, and directors or members of any similarly governing body. If an indictment or conviction should come to the attention of NYSEDA after the award of a contract,

NYSERDA may exercise its stop-work right pending further investigation or terminate the agreement; the contractor may be subject to penalties for violation of any law which may apply in the particular circumstances. Proposers must also disclose if they have ever been debarred or suspended by any agency of the U.S. Government or the New York State Department of Labor.

**Vendor Assurance of No Conflict of Interest or Detrimental Effect** - The proposer shall disclose any existing or contemplated relationship with any other person or entity, including any known relationships with any member, shareholders of 5% or more, parent, subsidiary, or affiliated firm, which would constitute an actual or potential conflict of interest or appearance of impropriety, relating to other clients/customers of the proposer or former officers and employees of NYSERDA, in connection with proposer's rendering services as proposed. If a conflict does or might exist, please describe how your company would eliminate or prevent it. Indicate what procedures will be followed to detect, notify NYSERDA of, and resolve any such conflicts.

The proposer must disclose whether it, or any of its members, or, to the best of its knowledge, shareholders of 5% or more, parents, affiliates, or subsidiaries, have been the subject of any investigation or disciplinary action by the New York State Commission on Public Integrity or its predecessor State entities (collectively, "Commission"), and if so, a brief description must be included indicating how any matter before the Commission was resolved or whether it remains unresolved.

**Public Officers Law** – For any resulting awards, the Contractor and its subcontractors shall not engage any person who is, or has been at any time, in the employ of the State to perform services in violation of the provisions of the New York Public Officers Law, other laws applicable to the service of State employees, and the rules, regulations, opinions, guidelines or policies promulgated or issued by the New York State Joint Commission on Public Ethics, or its predecessors (collectively, the "Ethics Requirements"). Proposers are reminded of the following Public Officers Law provision: contractors, consultants, vendors, and subcontractors may hire former NYSERDA employees. However, as a general rule and in accordance with New York Public Officers Law, former employees of NYSERDA may neither appear nor practice before NYSERDA, nor receive compensation for services rendered on a matter before NYSERDA, for a period of two years following their separation from NYSERDA service. In addition, former NYSERDA employees are subject to a "lifetime bar" from appearing before any state agency or authority or receiving compensation for services regarding any transaction in which they personally participated, or which was under their active consideration during their tenure with NYSERDA.

Any awardee will be required to certify that all of its employees, as well as employees of any subcontractor, whose subcontract is valued at \$100,000 or more who are former employees of the State and who are assigned to perform services under the resulting contract, shall be assigned in accordance with all Ethics Requirements. During the term of any agreement, no person who is employed by the contractor or its subcontractors and who is disqualified from providing services under the contract pursuant to any Ethics Requirements may share in any net revenues of the contractor or its subcontractors derived from the contract. NYSERDA may request that contractors provide it with whatever information the State deems appropriate about each such person's engagement, work cooperatively with the State to solicit advice from the New York State Joint Commission on Public Ethics, and, if deemed appropriate by the State, instruct any such person to seek the opinion of the New York State Joint Commission on Public Ethics. NYSERDA shall have the right to withdraw or withhold approval of any subcontractor if utilizing such subcontractor for any work performed would be in conflict with any of the Ethics Requirements. NYSERDA shall have the right to terminate any contract at any time if any work performed is in conflict with any of the Ethics Requirements.

**Due Diligence** – NYSERDA, at its discretion, may conduct broad due diligence to validate any or all elements of an application and to assess applicants' prospects of success, including gathering information to assess a proposal relative to any of the topics listed in evaluation criteria, whether or not such topic is explicitly addressed in a proposal. NYSERDA may conduct due diligence on some or all proposals based on NYSERDA's current guidelines at the time of a review. NYSERDA staff may follow up with proposers to request additional information or clarification regarding applicant's proposal, including questions regarding applicant's business prospects and resources, whether or not those questions are

specifically related to the elements of the proposal. Additionally, customized due diligence may be conducted by internal or external staff or contractors based on questions on any proposal raised by NYSERDA staff and/or the Scoring Committee. Due diligence may include (but is not limited to): interviews of independent references and background checks of team members; assessment of prior business experience of any team member associated with a proposal; research on intellectual property claims; customer and partner reference checks; market research on the applicants' target market and any other related or possibly competitive technology or market area; research to validate any assumptions on current or future revenues, costs, capital needs, and financing prospects for proposers' business, including similar (or unrelated) technologies, processes, or competitive solutions; or any other research that could reasonably inform the evaluation of a proposal, or the prospects for commercial success of the proposers' business (whether directly related to, or unrelated to the specific elements in a proposal). Due diligence may include discussions with proposers' former and current business partners, employees, investors, customers, and competitors. Due diligence may be conducted by NYSERDA personnel or contractors including members of the scoring committee, before, during, or after a scoring process, and prior to finalization of a contract award, any information gleaned in diligence may be used to score or re-score a proposal or apply a program policy factor.

**Recoupment** - For any new product research and/or development, NYSERDA will generally require a royalty based on sales of the new product developed. NYSERDA's standard royalty terms are 1% of all sales and license revenue accruing to the Contractor for products produced (for a period of fifteen years or until the Contractor pays NYSERDA an amount equal to the amount of funds paid by NYSERDA to the Contractor, whichever comes first).

## **VIII. Attachments**

[Attachment A – Proposal Narrative](#)

[Attachment A1 – Statement of Work](#)

[Attachment A2 – TRL/CRL Calculator](#)

[Attachment B – Concept Paper Template](#)

[Attachment C – Budget Form and Instructions](#)

[Attachment E1 – Refrigerants](#)

[Attachment E2 – Panelized System](#)

[Attachment E3 – Midrise HVAC](#)

[Attachment Ea – Appendix 1](#)

[Attachment Eb – Appendix 2](#)

[Attachment Ec – Appendix 3](#)

[Attachment E2d – Appendix 5 \(Panelized System\)](#)

[Attachment E3d – Appendix 5 \(Midrise HVAC\)](#)

[Attachment Ee – Appendix 6](#)

[Attachment E4 – Building Envelopes](#)

[Attachment E5 – Community Heat Pump Systems](#)

[Attachment F – Sample Agreement](#)



**NYSERDA**

**KATHY HOCHUL**  
Governor

**RICHARD L. KAUFFMAN**  
Chair

**DOREEN M. HARRIS**  
President and CEO

**Workforce Training: Building Operations and Maintenance  
Program Opportunity Notice (PON) 3715  
\$10,000,000 Available**

*NYSERDA reserves the right to extend and/or add funding to the solicitation should other program funding sources become available.*

**Proposal Due Dates:**

**September 22, 2022 (Round 12), November 16, 2022 (Round 13), February 16, 2023 (Round 14), May 18, 2023 (Round 15), August 17, 2023 (Round 16), November 14, 2023 (Round 17)**  
**Due dates beyond are subject to funding availability.**

**PROGRAM SUMMARY**

**Overview**

NYSERDA's Building Operations and Maintenance Workforce Development and Training Program seeks to reduce energy use and associated carbon emissions while saving building operators and owners money by developing and strengthening the skills of operations and maintenance (O&M) staff and managers across the state. In particular, the program is intended to equip building O&M workers with the skills to operate increasingly energy-efficient, grid-flexible, and electrified building systems that reduce buildings' contribution to climate change. The goal is to support building owners, facility managers, property management companies, business associations/trade groups, and organized labor associations in creating the talent development strategy, corporate culture, on-site training framework, and tools needed to advance building O&M workers beyond classroom training.

While a training organization or trade association may be the lead proposer, it must partner with a specified entity or entities employing building O&M workers. Proposals must be for training activities connected with specific buildings or portfolios/campuses of buildings, including partnerships of businesses with common training needs and skills gaps that have total annual energy expenditures of \$1 million or more (all fuels and uses.)

NYSERDA will support eligible projects by providing funding for programs and activities such as, but not limited to, creation of on-site training laboratories, curriculum development, in-person and virtual training, on-the-job training, coaching/mentorships, apprenticeships, training trainers within a company, and partnerships with manufacturers.

NYSERDA will provide funding of up to 90% with a cap of \$400,000 per proposal when 75% or more of the buildings employing O&M workers are located in a [Disadvantaged Community, or when the proposal is for a qualifying union-led project or qualifying pre-apprenticeship program](#). For all other proposals, NYSERDA will provide funding of up to 70% with a cap of \$400,000 per proposal. In all proposals, the majority of the cost share must be provided by employers of building O&M workers. Examples of eligible cost share include the proposer/facility's employees' wages while working on tasks defined in the Statement of Work, the proposer/facility's employees' wages during training hours, equipment that will be used exclusively for training purposes, and training fees offset by a third party.

**Projects that include training of new hires or existing employees from either [Disadvantaged Communities](#) or [Priority Populations](#) are strongly encouraged and will be evaluated more favorably.**

### **Proposal Submission**

**All proposals must be received by 3pm Eastern Time on the date noted above.** Online submission is preferred. For detailed instructions on how to submit a proposal (online or paper submission), including file requirements, click the link "[Application Instructions and Portal Training Guide \[PDF\]](#)" located on the [PON 3715 solicitation page](#). Should any changes be made to this solicitation, notification will be posted on the "[Funding Opportunities](#)" section of NYSERDA's website.

### **Contact Information**

For contractual questions regarding this solicitation, please contact Nancy Marucci at 518-862-1090 x3335 or [NancySolicitations@nyserda.ny.gov](mailto:NancySolicitations@nyserda.ny.gov).

For program questions, please contact Davetta Thacher, primary contact (Designated Contact) at (518) 862-1090, ext. 3603 or by e-mail [Wfinfo@nyserda.ny.gov](mailto:Wfinfo@nyserda.ny.gov); or Adele Ferranti, secondary contact (Designated Contact) at (518) 862-1090, ext. 3206 or by e-mail [Wfinfo@nyserda.ny.gov](mailto:Wfinfo@nyserda.ny.gov).



## I. INTRODUCTION

NYSERDA seeks proposals for comprehensive O&M training initiatives designed to help build O&M staff technical skills and reduce facility energy use, while realizing other benefits such as reduced equipment downtimes, increased occupant comfort, reduced occupant complaints and tenant turnover, increased numbers of staff with national certifications, and greater opportunities for employee retention, promotion, and career advancement.

Building O&M occupations or job titles that are targeted for hands-on and on-site training under this program may include, but are not limited to, the following: facility and property managers; operating and stationary engineers; technicians; building superintendents; repairpersons; maintenance workers; porters; mechanics and supervisors; electricians; plumbers; HVAC technicians; procurement staff; facility coordinators; and energy/sustainability managers.

Proposals should be aimed at delivering comprehensive workforce development and training initiatives to train new workers and/or advance the skills of existing workers. It is anticipated that **eligible training initiatives** funded under this PON will be equipment-based or O&M-based.

Equipment-based skills training can target categories such as, but not limited to, the following:

- Lighting and lighting controls
- Heating and hot water electrification systems
- Domestic hot water
- Air and ground-source heat pump systems
- Boilers and hot water/steam distribution systems
- Chillers and chilled water distribution systems
- Cooling towers
- Economizer/Ventilation and controls
- HVAC control systems
- Motors and drives
- Water and other fluid pumps
- Pneumatic system and controls
- Building envelope
- Solar water heating
- Photovoltaics
- Energy storage (chemical, thermal or mechanical)
- Digital monitoring and control
- Building diagnostics
- Energy management systems
- Demand management and demand response

O&M-based skills training can target general or very specific areas such as, but not limited to, the following:

- Cleaning heat exchangers and coils
- Optimizing supply air temperatures
- Equipment scheduling (boilers, pumps, fans, etc.)
- Tuning-up boilers
- Matching boiler capacity to loads
- System commissioning, recommissioning and continuous commissioning
- Chiller system optimization
- Utilizing natural ventilation
- Measuring and optimizing HVAC system performance
- Setback temperatures
- Optimizing pump performance
- Heat recovery
- Fan optimization and air distribution, including measures to mitigate viral and bacterial transmission
- Water conservation
- Environmental health and safety
- Energy accounting

Proposals should be aimed at continuously advancing the skills of new and/or existing building O&M workers beyond training that is currently available within the proposing facilities, or beyond training readily available in the market.

Following are examples of areas eligible for funding:

- Developing and implementing a new, New York State-registered apprenticeship program or modifying an existing registered apprenticeship program, including developing or modifying curriculum and training trainers.
- Developing and constructing a hands-on training lab at a building site, supported by other training elements like those mentioned below.
- Partnerships with manufacturers to develop customized training modules or develop O&M manuals.
- Using a learning management system to provide engaging and interactive, synchronous and/or asynchronous on-line trainings.
- Customizing an app-based system or learning management system for tracking O&M activities in real-time, providing training on the system, and integrating the system into on-going building operations.
- Development and implementation of a job mentoring program that includes training mentors, classroom training, on-the-job field training with a defined training plan, and/or developing O&M manuals or on-line training tools.
- Partnerships between employers with job openings and technical high schools, community colleges, or community-based organizations to encourage students with basic skills training to pursue career opportunities in building O&M through a plan that may include apprenticeships or on-the-job training.
- Initiatives from business associations/trade groups and organized labor associations to support advanced training of their memberships, resulting in improved operation and maintenance of the facilities in which their members work. (Because facility commitments must be included in a PON 3715 proposal, business associations/trade groups and organized labor associations wishing to offer training to members independent of the facilities in which they work can submit proposals to the Energy Efficiency and Clean Technology Training Program, [PON 3981](#).)

The following are examples that are not eligible for training funds under this solicitation:

- Training contractors outside of those employed by the proposer or subcontractors
- Work focused on the new construction of buildings.
- Projects that train on system installation techniques.

NYSERDA will also support measurement and verification of project impacts; foster employer partnerships with training organizations; share project results and case studies with other New York State building owners and operators; and facilitate industry partnerships to help address common barriers.

## II. PROGRAM REQUIREMENTS

### Eligibility Requirements

- While a training organization, a business association/trade group or an organized labor association may be the lead proposer, it must partner with a specified entity or entities that employ building O&M workers. Such entities may include, but are not limited to, building owners, facility managers, and property management companies.
- Qualifying union-led and pre-apprenticeship projects must:
  - Integrate clean energy training into existing New York State registered apprenticeship program(s) or journey worker training,
  - Develop a new clean energy apprenticeship program registered with the New York State Department of Labor, or
  - Be direct entry pre-apprenticeship workforce training programs recognized by the New York State Department of Labor that incorporate clean energy content.
- Buildings employing O&M workers must be New York State electricity customers of an investor-owned utility company that are paying into the System Benefits Charge (SBC)/Clean Energy Fund (CEF).
- Eligible buildings may be in the following sectors: multi-family, commercial office, commercial retail, mixed-use, colleges and universities, hospitals and health care, New York State and local government, industrial, hospitality, data centers, public and private P-12 schools, and not-for-profit and private institutions. Other building types will be evaluated on a case-by-case basis.
- Participating employers of building O&M workers must have specific buildings or portfolios/campuses of buildings, including partnerships of businesses with common training needs and skills gaps.
- The identified buildings must have total annual energy expenditures of \$1 million or more (all fuels and uses.)

### Program Budget

Total funding currently available for this solicitation is \$10,000,000. Additional funds may be added to the PON if funds become available, and it is anticipated that the PON could be re-issued with or without modifications. If changes are made to this solicitation, notification will be posted on [NYSERDA's website](#).

NYSERDA anticipates awarding multiple contracts under this solicitation with a maximum initial award of \$400,000 per contract. NYSERDA may modify/extend contracts and add funds at its sole discretion provided that additional funds are available. NYSERDA may partially fund proposals.

NYSERDA will provide funding of up to 90% with a cap of \$400,000 per proposal when 75% or more of the buildings employing O&M workers are located in a [Disadvantaged Community, or when the proposal is for a qualifying union-led project or qualifying pre-apprenticeship program](#). For all other proposals, NYSERDA will provide funding of up to 70% with a cap of \$400,000 per proposal. Cost share may include cash or in-kind services. The majority of the cost share must be provided by the employer of the O&M staff.

Cost sharing by task may vary between the proposer, the employer of the O&M staff and NYSERDA; however, the total cost share must result in no greater than a 90 percent NYSERDA/10 percent cost share split when 75% or more of the buildings employing O&M workers are located in a [Disadvantaged Community, or when the proposal is for a qualifying union-led project or qualifying pre-apprenticeship program](#). For all other proposals, NYSERDA will provide funding of up to 70% with a cap of \$400,000 per proposal.

Examples of eligible cost share include the proposer/facility's employees' wages while working on tasks defined in the Statement of Work, the proposer/facility's employees' wages during training hours, equipment that will be used exclusively for training purposes, and training fees offset by a third party. Should the project require the purchase of laptops, tablets, or cell phones, these should be designated as proposer cost share.

Funding requests should be commensurate with the project's potential impact, including the number of staff trained, energy dollars saved, and tangible non-energy benefits.

Work completed or costs incurred prior to NYSERDA's execution of a contract are ineligible for funding or for consideration as cost share.

NYSERDA will retain 5% of the total contract amount as a final payment. This retainage will be paid when all reporting requirements have been met, including the submission of impacted buildings' energy use data for a period of one year following the conclusion of NYSERDA-funded training activities, hereafter known as the "outcome monitoring period."

### **Program Policy Factors**

Additionally, NYSERDA reserves the right to accept or reject proposals based on the following factors:

- Geographical coverage across New York State to ensure that projects selected for funding optimize the use of available funding to achieve programmatic objectives.
- The degree to which the proposed project, including proposed cost shares, optimizes the use of available funding to achieve programmatic objectives;
- Institutional diversity or partnership with minority serving institutions;
- Consideration of the impact on, and benefits to, a diversity of communities, including low-income and rural communities;
- The degree to which the proposer has the resources (human and financial) to be able to complete the project;
- Diversity of awards, including multiple locations and program structures;
- The degree to which the proposed project directly addresses NYSERDA's mission and strategic goals.
- Distribution of participants across multiple sectors.
- Number of awards previously made to the proposer.
- Past performance under prior NYSERDA contracts.

### III. PROPOSAL REQUIREMENTS

Successful proposals will include or address the following on the [Application Form](#):

- Attach a list of buildings, including their addresses, market sector, square footage, annual energy costs for all fuels, and the number of O&M employees who will benefit from the proposed training. In order to qualify for 10% cost share, the list of buildings must identify which buildings are located in a [Disadvantaged Community](#) and what percent of the total buildings are located in a [Disadvantaged Community](#). Identify and define the skills gaps that will be addressed; describe the training initiatives to address those gaps, and how those training initiatives will be integrated into standard business procedures.
- Estimate annual energy savings attributable to training for building O&M staff based on the proposal's specific building(s) and training activities. Basic estimates or ranges of estimates for percent of annual energy savings are acceptable but more detailed estimates will be viewed more favorably.
- Identify the job titles and numbers of workers to be trained in each training task, as reflected in the Statement of Work, and overall.
- Describe the additional buildings potentially impacted, including number of buildings, estimate of square footage and projected number of additional building operators trained during the three (3) years after project completion.

New York State's [Climate Leadership and Community Protection Act](#) requires state agencies, authorities, and entities to direct funding in a manner designed to achieve a goal for [Disadvantaged Communities](#) to receive at least forty percent of overall benefits of spending on clean energy and energy efficiency programs.

Preference will be given to proposals that present a plan to hire new workers from [Disadvantaged Communities](#) and/or [Priority Populations](#). Partnerships could include working with technical high schools, community colleges and community-based organization to develop job placement and career pathway steps for workers needing special assistance to enter the job market.

Preference will be given to proposals that present a plan to advance the skills of existing workers from [Disadvantaged Communities](#) and/or [Priority Populations](#).

Situations where the total number of buildings within [Disadvantaged Communities](#) is less than 75% may qualify for the 10% minimum cost share if proposers can show that 75% of the O&M workers in those buildings are members of a [Priority Population](#) or reside in a [Disadvantaged Community](#) For proposals that will focus on training individuals that reside in a [Disadvantaged Community](#) or are from a [Priority Population](#), proposers are encouraged to discuss this requirement with the designated contact prior to submitting a proposal, by sending an email to: [Wfinfo@nyscrda.ny.gov](mailto:Wfinfo@nyscrda.ny.gov).

## **Statement of Work Requirements**

Proposers must include a detailed Statement of Work with their Application. The Statement of Work must include project goals, objectives, tasks, and deliverables. Proposers are encouraged to submit a Statement of Work that is innovative and shows the best potential for sustainable energy savings and strengthening of the corporate energy efficiency and conservation culture.

Attachment B contains a *Sample* Statement of Work, which outlines both required and optional tasks. Proposers are encouraged to use this document as a template when crafting their Statements of Work.

Required Statement of Work tasks include:

- Partnerships/Subcontracts (where applicable)
- Curriculum Modification/Development
- Conduct Training
- Plan to Replicate and Sustain Training After the Contract is Complete
- Monitor and Verify Energy and Non-energy Benefits
- Reporting and Invoicing

Optional Statement of Work tasks may include:

- Development and Delivery of Related Activities
- On-the-Job Training/Apprenticeships
- Other

Proposals that include and integrate several tasks are more likely to have an impact on addressing skills gaps and be sustainable. As a result, such proposals are more likely to be funded than projects that only include one discrete element.

## **Schedule Requirements**

Proposers are further required to provide an anticipated schedule for completing tasks. This schedule should be in months from date of contract execution, using the format *Month 1, Month 2...Month 24* instead of *January, February...December*. Training activities should be completed within 24 months or less from contract execution.

Projects should include a 12-month outcoming monitoring period at the conclusion of NYSERDA-funded training activities. Final project reporting must include building energy data and other training outcomes from this 12-month outcome monitoring period.

Example Schedule:

<b>Task No.</b>	<b>Title or Description</b>	<b>Month 1</b>	<b>Month 2</b>	<b>...</b>	<b>...</b>	<b>Month 23</b>	<b>Month 24</b>
<b>1</b>	<b>Partnerships / subcontracts</b>						

2	Curriculum Modification/Development						
3							
4							
5							
6							

**Budget (Attachment D) Requirements**

Proposers must complete and submit a budget with their proposal, including all information requested on Attachment D, which has tabs for the Budget Form and the Per-Task Summary Form. The budget must be reasonable and must show the funding requested from NYSERDA and the cost share that is the responsibility of (1) the proposer and/or (2) the employer of the O&M workers.

Proposers must complete one Attachment D Budget Form for the proposer and the employer of O&M workers (unless the employer is also the proposer), including costs related to proposer Labor (Element 1), Direct Materials, Supplies, Equipment, and Other Costs (Element 2), Travel (Element 3), and Facility Labor and other Subcontractors/Consultants (Element 4).

Proposers must also complete one Attachment D Budget Form for each subcontractor/consultant, including costs related to labor, direct materials (supplies, equipment, and other costs) and travel.

Based on the costs calculated in the Budget Form(s), proposers must complete the Per-Task Summary, which shows the cost breakdown for both the NYSERDA funding and the proposer’s cost share.

**IV. PROPOSAL EVALUATION**

**Evaluation Process**

Proposals that meet solicitation requirements will be reviewed by a Scoring Committee using the Evaluation Criteria below. At NYSERDA’s discretion, proposers may be requested to interview with all or part of the Scoring Committee to address any potential questions or clarify items outlined in the proposals. NYSERDA may request additional data or material to support proposals.

After the proposals are reviewed, NYSERDA will inform each proposer of the results within approximately eight weeks. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel the PON in part or in its entirety when it is in NYSERDA’s best interest.

**Successful Proposals:**

After a favorable review by the Scoring Committee, NYSERDA staff will make a final decision and will notify proposers if their proposal has been selected to receive an award. Proposers receiving favorable evaluations may be asked to address specific recommendations or

contingencies of the Scoring Committee or make modifications to the Statement of Work before being awarded funding. An award under this PON will result in a contract. NYSERDA may award a contract based on proposals without discussion or following discussion.

**Denied Applications:**

Proposers whose submissions are denied may request a debriefing from the Designated Contact and may reapply under a future round of the PON.

**Evaluation Criteria** (70 points is the minimum threshold of 100 possible points.)

- **Cost Effectiveness of the Proposal – 10 Points**
  - Is the cost (to NYSERDA) per person trained reasonable/consistent with prior successful proposals?
  - Are labor rates reasonable when viewed alongside the rates of similarly qualified proposers?
  - Is the funding requested commensurate with the impact the project will have (number trained, energy savings, non-energy benefits)?
  
- **Replicability Across the Building Portfolio – 20 Points**
  - To what extent will the project be replicated and self-sustaining, both within the identified properties and across the participating employer’s portfolio?
  - Does the proposer demonstrate a viable path to replicating the project across its portfolio of buildings?
  - Will the project result in deliverables (case studies, etc.) that can be used to share project results and lessons learned with other similar organizations or building types?
  
- **Energy Savings Goals and Verified Energy Savings – 17 Points**
  - To what extent is the project likely to have a measurable impact on energy use?
  - Does the project identify reasonable energy savings goals? (Well identified and detailed goals will be viewed more favorably than citations of industry standards.)
  - Does the Statement of Work include an effective plan to monitor and verify energy savings throughout the project term and for the 12-month outcome monitoring period?
  
- **Sustainability after NYSERDA Support Has Ended; Training Integrated into Corporate Culture - 15 Points**
  - Is the impact on building O&M staff within an organization or across partnering organizations clearly identified during the project and after it has been completed?
  - Does the project address sustainability after the project is completed and integrate or leverage complementary training elements into a comprehensive plan to continuously advance the skills of existing workers and provide a career path for new workers?
  
- **Statement of Work – 12 Points**



- Does the Statement of Work have well-defined tasks and deliverables to develop an in-house energy training culture, infrastructure, and activities that result in continuous, organization-wide training to provide targeted skills to new workers and/or advance the skills of existing workers?
  - Does the Statement of Work clearly identify skills gaps and the training initiatives to address those gaps?
  - Are the type and number of workers trained specified in each training task and overall?
- **Efforts to Hire or Advance Workers from Disadvantaged Communities and/or Priority Populations – 10 Points**
    - Is there a well-defined plan to identify and hire *new workers* from Disadvantaged Communities and/or Priority Populations?
    - Is there a well-defined plan to advance the skills and track the successes of *existing workers* from Disadvantaged Communities and/or Priority Populations?
    - Is there a well-defined plan to advance the skills and track the successes of new and existing workers whose buildings are located within Disadvantaged Communities?
- **Plan to Identify and Measure Non-Energy Benefits – 8 Points**
    - Is there a reasonable strategy for measuring or monitoring non-energy benefits and impacts (i.e., cost savings, reduced staff turnover, increased occupant satisfaction, reduced tenant turnover, reduced equipment downtime, increased number of worker certifications, other?)
- **Maximize Impact and Leverage Existing Resources - 8 Points**
    - Does the proposal leverage of available resources, such as subject matter experts, curriculum and training tools, equipment, training facilities, etc.?
    - Are the partnerships between employers, across multiple properties, and/or with training providers well-coordinated and likely to result in a successful project?

## V. GENERAL CONDITIONS

**Proprietary Information** - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from

disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <https://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

**Omnibus Procurement Act of 1992** - It is the policy of New York State to maximize opportunities for the participation of New York State business enterprises, including minority- and women-owned business enterprises, as bidders, subcontractors, and suppliers on its procurement Agreements.

Information on the availability of New York subcontractors and suppliers is available from:

Empire State Development  
Division for Small Business  
625 Broadway  
Albany, NY 12207

A directory of certified minority- and women-owned business enterprises is available from:

Empire State Development  
Minority and Women's Business Development Division  
625 Broadway  
Albany, NY 12207

**State Finance Law sections 139-j and 139-k** - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx> . Proposers are required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility (this includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years).

**Tax Law Section 5-a** - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf)). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department.

The Department has created a second form that must be completed by a prospective contractor prior to contacting and filed with NYSERDA. See, ST-220-CA (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220ca\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

**Contract Award** - NYSERDA anticipates making multiple awards under this solicitation. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify Proposers in approximately four (4) weeks from the receipt of an application whether your application has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

**Accessibility Requirements** - If awardees from this solicitation will be posting anything on the web, or if the awardee will produce a final report that NYSERDA will post to the web, the following language must be included. NYSERDA requires contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSERDA's Accessibility Requirements](#).

**Limitation** - This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement. NYSERDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information and the presence of a material possibility of any reputational or legal risk in making of the award.

**Disclosure Requirement** - The proposer shall disclose any indictment for any alleged felony, or any conviction for a felony within the past five years, under the laws of the United States or any state or territory of the United States and shall describe circumstances for each. When a proposer is an association, partnership, corporation, or other organization, this disclosure requirement includes the organization and its officers, partners, and directors or members of any similarly governing body. If an indictment or conviction should come to the attention of NYSERDA after the award of a contract, NYSERDA may exercise its stop-work right pending

further investigation or terminate the agreement; the contractor may be subject to penalties for violation of any law which may apply in the particular circumstances. Proposers must also disclose if they have ever been debarred or suspended by any agency of the U.S. Government or the New York State Department of Labor.

**Vendor Assurance of No Conflict of Interest or Detrimental Effect** - The proposer shall disclose any existing or contemplated relationship with any other person or entity, including any known relationships with any member, shareholders of 5% or more, parent, subsidiary, or affiliated firm, which would constitute an actual or potential conflict of interest or appearance of impropriety, relating to other clients/customers of the proposer or former officers and employees of NYSERDA, in connection with proposer's rendering services as proposed. If a conflict does or might exist, please describe how your company would eliminate or prevent it. Indicate what procedures will be followed to detect, notify NYSERDA of, and resolve any such conflicts.

The proposer must disclose whether it, or any of its members, or, to the best of its knowledge, shareholders of 5% or more, parents, affiliates, or subsidiaries, have been the subject of any investigation or disciplinary action by the New York State Commission on Public Integrity or its predecessor State entities (collectively, "Commission"), and if so, a brief description must be included indicating how any matter before the Commission was resolved or whether it remains unresolved.

**Public Officers Law** – For any resulting awards, the Contractor and its subcontractors shall not engage any person who is, or has been at any time, in the employ of the State to perform services in violation of the provisions of the New York Public Officers Law, other laws applicable to the service of State employees, and the rules, regulations, opinions, guidelines or policies promulgated or issued by the New York State Joint Commission on Public Ethics, or its predecessors (collectively, the "Ethics Requirements"). Proposers are reminded of the following Public Officers Law provision: contractors, consultants, vendors, and subcontractors may hire former NYSERDA employees. However, as a general rule and in accordance with New York Public Officers Law, former employees of NYSERDA may neither appear nor practice before NYSERDA, nor receive compensation for services rendered on a matter before NYSERDA, for a period of two years following their separation from NYSERDA service. In addition, former NYSERDA employees are subject to a "lifetime bar" from appearing before any state agency or authority or receiving compensation for services regarding any transaction in which they personally participated, or which was under their active consideration during their tenure with NYSERDA.

Any awardee will be required to certify that all of its employees, as well as employees of any subcontractor, whose subcontract is valued at \$100,000 or more who are former employees of the State and who are assigned to perform services under the resulting contract, shall be assigned in accordance with all Ethics Requirements. During the term of any agreement, no person who is employed by the contractor or its subcontractors and who is disqualified from providing services under the contract pursuant to any Ethics Requirements may share in any net revenues of the contractor or its subcontractors derived from the contract. NYSERDA may request that contractors provide it with whatever information the State deems appropriate about each such person's engagement, work cooperatively with the State to solicit advice from the New York State Joint Commission on Public Ethics, and, if deemed appropriate by the State, instruct any

such person to seek the opinion of the New York State Joint Commission on Public Ethics. NYSEDA shall have the right to withdraw or withhold approval of any subcontractor if utilizing such subcontractor for any work performed would be in conflict with any of the Ethics Requirements. NYSEDA shall have the right to terminate any contract at any time if any work performed is in conflict with any of the Ethics Requirements.

**Due Diligence** – NYSEDA, at its discretion, may conduct broad due diligence to validate any or all elements of an application and to assess applicants' prospects of success, including gathering information to assess a proposal relative to any of the topics listed in evaluation criteria, whether or not such topic is explicitly addressed in a proposal. NYSEDA may conduct due diligence on some or all proposals based on NYSEDA's current guidelines at the time of a review. NYSEDA staff may follow up with proposers to request additional information or clarification regarding applicant's proposal, including questions regarding applicant's business prospects and resources, whether or not those questions are specifically related to the elements of the proposal. Additionally, customized due diligence may be conducted by internal or external staff or contractors based on questions on any proposal raised by NYSEDA staff and/or the Scoring Committee. Due diligence may include (but is not limited to): interviews of independent references and background checks of team members; assessment of prior business experience of any team member associated with a proposal; research on intellectual property claims; customer and partner reference checks; market research on the applicants' target market and any other related or possibly competitive technology or market area; research to validate any assumptions on current or future revenues, costs, capital needs, and financing prospects for proposers' business, including similar (or unrelated) technologies, processes, or competitive solutions; or any other research that could reasonably inform the evaluation of a proposal, or the prospects for commercial success of the proposers' business (whether directly related to, or unrelated to the specific elements in a proposal). Due diligence may include discussions with proposers' former and current business partners, employees, investors, customers, and competitors. Due diligence may be conducted by NYSEDA personnel or contractors including members of the scoring committee, before, during, or after a scoring process, and prior to finalization of a contract award, any information gleaned in diligence may be used to score or re-score a proposal or apply a program policy factor.

**EO 16 Protocols** – Pursuant to Executive Order No. 16 issued on March 17, 2022, all vendors responding to bids or contracting with New York State must certify, using the form provided as part of this solicitation, their status with regard to conducting business operations in Russia, and that any such business operations in Russia conducted on behalf of the vendor are determined to be permitted under any of the allowable exemptions. The term vendor is intended to encompass bidders prior to contract award, contractors who have received a contract award, contract assignees, or contractors for whom an extension to an existing contract is being pursued. Exemption decisions are in NYSEDA's sole discretion and are final decisions. NYSEDA reserves the right to solicit additional materials or information regarding the responses or materials provided by a vendor.

Pursuant to Executive Order No. 16, all vendors will be vetted to ensure that they are not on the federal sanctions list at <https://sanctionsearch.ofac.treas.gov/>. There is no waiver or exemption process for vendors appearing on the federal sanctions list.

The Executive Order remains in effect while sanctions imposed by the federal government are in effect. Accordingly, vendors who may be excluded from award because of current business operations in Russia are nevertheless encouraged to respond to solicitations to preserve their contracting opportunities in case sanctions are lifted during a solicitation, or after award in the case of some solicitations.

**XI. ATTACHMENTS:**

Attachment A – Project Application

Attachment B – Sample Statement of Work

Attachment C – Sample Agreement

Attachment D – Budget and Instructions



**NYSERDA**

**KATHY HOCHUL**  
Governor

**RICHARD L. KAUFFMAN**  
Chair

**DOREEN M. HARRIS**  
President and CEO

**Energy Efficiency and Clean Technology Training  
Program Opportunity Notice PON 3981  
\$7,000,000 Available**

*NYSERDA reserves the right to extend and/or add funding to the solicitation should other program funding sources become available.*

**Concept Papers** are required as the first step in the application process. Concept Papers may be submitted until September 14, 2023. Concept Papers will be evaluated within four (4) to six (6) weeks.

**Full Proposals** (by invitation only): accepted in funding rounds with the following due dates:

Round 15 – October 27, 2022; Round 16 – January 5, 2023; Round 17 – March 9, 2023;  
Round 18 – May 11, 2023; Round 19 – July 13, 2023; Round 20 – September 14, 2023; Round 21 – November 16, 2023.

Due dates beyond are subject to funding availability.

**PROGRAM SUMMARY**

**Overview**

The New York State Research and Development Authority (NYSERDA) is seeking proposals for technical training and education, hands-on experience and job placement services that enable New York State to meet the objectives of the Clean Energy Fund and advance the climate equity and just transition goals of New York’s Climate Leadership and Community Protection Act (Climate Act). The purpose of this solicitation is to strengthen the skills of existing workers and students and build a pipeline of skilled talent for the Energy Efficiency and Clean Technology (EE&CT) labor market. Projects funded through this solicitation are intended to develop and/or deliver technical training, relevant education, and hands-on experience to ensure that both new and existing workers, apprentices, journeypersons, and students, as applicable, have the skills, experience, and qualifications required to meet industry demand.

**Total funding for this solicitation is \$7 million. It is anticipated that approximately \$2.7 million of this funding will be reserved for training activities that support building electrification. Additional funds may be added at NYSERDA’s discretion, if available.**

NYSERDA will conduct an informational webinar on Wednesday, September 7, 2022 at 11am Eastern Time during which NYSERDA will review the requirements of this solicitation and answer questions. Proposers interested in attending can send an email to [WFinfo@nyserdera.ny.gov](mailto:WFinfo@nyserdera.ny.gov) with the subject line “PON 3981 Webinar” to request information on how to participate. Questions may be submitted via the same email address prior to the Webinar, or during the Webinar using the web platform. Following the conclusion of the Webinar, NYSERDA will post questions and responses on the NYSERDA website. All questions will be posted anonymously, and NYSERDA’s written responses will supersede any responses given during the Webinar.

Training in the following EE&CT areas are eligible for funding: High-efficiency heating, ventilation, and air conditioning (HVAC) and water heating; building electrification/heat pump technologies; insulation and air sealing; high-efficiency lighting and controls; building automation and controls; smart grid and energy storage; electric vehicle maintenance and charging station installation; as well as large-scale, land-based renewable energy generation that is actively supported through NY’s Clean Energy Standard.

Individuals and entities that apply for funding must be either technical high schools; community colleges; universities; trade associations; manufacturers; equipment suppliers; renewable energy project developers and owners; firms and subcontractors that support engineering, procurement, construction, operations and maintenance; renewable energy development service providers; distributors; unions; training and job placement intermediaries; community-based organizations; or non-for-profit organizations with a demonstrated track record in energy-related training, job preparedness and/or placement. Preference will be given to projects that include or are led by certified Minority- and Women-Owned Business Enterprises (MWBEs) and/or Service-Disabled and Veteran-Owned Businesses (SDVOBs).

Funds may be used for initiatives that focus on training for targeted EE&CT areas and that meet business needs. It is anticipated that these initiatives will include activities such as curriculum development or modification; delivering of training (online, classroom, on-site, etc.); training labs and equipment purchases for hands-on training; hiring and training of trainers; test and certification fees; pre-apprenticeships, and apprenticeships; services to place individuals into paid internships, apprenticeships, full-time jobs, or advanced formal training, and training in a language other than English. All initiatives must include the delivery of training.

All training must be designed to meet the needs of clean energy companies within, or providing services to, the System Benefit Charge/Clean Energy Fund (SBC/CEF) territories. Trainees must be residents of New York State.

**This solicitation will provide funding to projects that fall into one or both of the following categories:**

**Category 1:** Training for Existing Workers and Individuals in Formal Training Programs.

**Category 2:** Career Pathways for New Workers/New Entrants in Clean Energy.



## **Proposal Submission**

This solicitation employs a two-step application process consisting of a Concept Paper (required) followed by a Full Proposal (by invitation only based on a favorably reviewed concept paper). Concept papers are accepted on a rolling basis and will be evaluated within four (4) to six (6) weeks of receipt. Upon favorable review, select applicants will be invited to submit a Full Proposal subject to the Proposal Requirements and Evaluation Criteria outlined below.

Both Concept Papers and Full Proposals must be submitted online. For detailed instructions on how to submit a proposal including file requirements, click the link “[Application Instructions and Portal Training Guide \[PDF\]](#)” located on the [PON 3981 solicitation page](#). Should any changes be made to this solicitation, notification will be posted on the “[Funding Opportunities](#)” section of NYSERDA’s website.

## **Contact Information**

For contractual questions regarding this solicitation, please contact Nancy Marucci at 518-862-1090 x3335 or [NancySolicitations@nyserda.ny.gov](mailto:NancySolicitations@nyserda.ny.gov).

For program questions, please contact Gwendolyn Summers or Adele Ferranti at [WInfo@nyserda.ny.gov](mailto:WInfo@nyserda.ny.gov) or at (518) 862-1090 x3584 and x3206, respectively.

No communication intended to influence this procurement is permitted except by contacting the Designated Contacts above. Contacting anyone other than the Designated Contacts (either directly by the applicant or indirectly through a lobbyist or other person acting on the applicant’s behalf) in an attempt to influence the procurement: (1) may result in the applicant being deemed a non-responsible offeror, and (2) may result in the applicant not being awarded a contract.

## I. INTRODUCTION

### a. Background

The New York State Energy Research and Development Authority (NYSERDA) is the leading authority responsible for advancing New York’s clean energy and climate goals. NYSEDA develops markets for clean energy, supports technology development, and provides financing to enable economic growth and reduce emissions, to the benefit of communities across the state. As part of its mission, NYSEDA has committed more than \$120 million in funding for a variety of training activities that support workers entering and working in the clean energy industry. Energy efficiency, building electrification, and large-scale renewables are among NYSEDA’s highest priorities, and many of its programs aim to eliminate barriers of marginalized communities in furtherance of the climate equity and just transition goals of the Climate Act.

### b. Objective

Through this funding opportunity, and in working with training providers across the State, NYSEDA seeks to create a diverse, equitable, and inclusive pipeline of skilled talent for the clean energy labor market. Projects funded through this solicitation are intended to develop and/or deliver clean energy technical training, hands-on experience, and job placement assistance to both new and existing workers, as applicable, ensuring they have the skills, experience, and qualifications required to meet industry demand. Preference will be given to projects that proactively address the equity gap in the clean energy industry by increasing access to workforce training and skills development opportunities, as well as providing experiential learning, career pathways and supportive or wrap-around services for members of Disadvantaged Communities and/or Priority Populations.

For the purposes of this solicitation, “Disadvantaged Communities” and “Priority Populations shall” meet the definitions outlined on NYSEDA’s Clean Energy Workforce Development [“Definitions”](#) webpage.

This solicitation uses a two-step application process consisting of a Concept Paper (required) followed by a Full Application (by invitation only). See **Section III – Application Process** for more information.

## II. PROGRAM REQUIREMENTS

To be eligible for funding, applications must meet the following requirements:

### a. Applicant and Project Eligibility Criteria

#### i) SBC/CEF Territories

All training initiatives must be designed to meet the needs of clean energy companies within, or providing services to, System Benefits Charge/Clean Energy Fund (SBC/CEF) territories in the State of New York. **Applicants must have a training location and conduct training in SBC/CEF service territory. If training is conducted in a non-SBC/CEF location, applicants**

**must prove that more than 60 percent of trainees either reside, or serve customers, in SBC/CEF service territory.**

Such evidence may consist of the following:

- Proof that attendees participate in a related NYSERDA or SBC utility program (e.g., via program website as a participating provider or letter from a utility).
- Written attestation that the 60 percent requirement for participants has been or will be met.

The evidence must be provided at the time of application or over the course of the project period.

To learn more about the CEF and to confirm whether a training provider pays into the Fund, please consult the NYSERDA “[Funding](#)” website for more information.

#### ii) Training Providers

Individuals and entities (“Training Providers”) that apply for funding must be either technical high schools; community colleges; universities; trade associations; manufacturers; equipment suppliers; renewable energy project developers and owners; firms and subcontractors that support engineering, procurement, construction, operations and maintenance; renewable energy development service providers; distributors; unions; training and job placement intermediaries; community-based organizations; or non-for-profit organizations. All Training Providers must have a demonstrated track record in energy-related training, job preparedness and/or placement and hold appropriate Training Provider qualifications.

For purposes of this solicitation, “community-based organizations” must meet the definition outlined on NYSERDA’s Clean Energy Workforce Development “[Definitions](#)” webpage.

Preference will be given to projects that include or are led by certified Minority- and Women-Owned Business Enterprises (MWBES) and/or Service-Disabled and Veteran-Owned Businesses (SDVOBs). Applicants may consist of individual entities or a team of Training Providers. Category 2 applicants are required to partner with and/or demonstrate support from energy-related industry partners or companies. The lead applicant must be registered to do business in New York State and must have a New York State office or training location. Applicants interested in exploring new partnership opportunities are invited to register on NYSERDA’s [Partner Connector website](#).

#### iii) Technology Areas

The following Energy Efficiency and Clean Technology (EE&CT) areas are eligible for funding:

- High-efficiency heating, ventilation, and air conditioning (HVAC) and water heating.
- Building electrification/heat pump technologies.
- Insulation and air sealing.
- High-efficiency lighting and controls.
- Building automation and controls.

- Smart grid and energy storage.
- Electric vehicle maintenance and charging station installation.
- Large-scale, land-based renewable energy generation that is actively supported through New York’s Clean Energy Standard.

**All technology areas should have measurable impacts on improving energy efficiency and reducing greenhouse gas emissions in New York State.** Additional target areas related to EE&CT may be considered in the future or addressed in other solicitations if a compelling business case is presented. Proposals that do not meet the eligible technology areas listed above may be rejected.

Offshore wind training projects are not eligible for funding under this PON. Review NYSERDA’s “[Current Funding Opportunities](#)” webpage for other relevant solicitations.

iv) Categories

This solicitation will provide funding to projects that fall into **one or both** of the following categories:

**Category 1: Training for Existing Workers and Individuals in Formal Training Programs.** Projects include those that expand training and skills for existing workers (e.g., contractors, technicians, sales staff) and students in formal training programs (e.g., technical high schools, higher education institutions, or union training programs).

**Category 2: Career Pathways for New Workers/New Entrants in Clean Energy.** Projects include those that prepare new workers for entry into New York State’s clean energy economy.

**All proposed training projects, in both Category 1 and Category 2, must:**

- Benefit residents of New York State.
- Be carried out by experienced and qualified Training Providers.
- Have a demonstrable connection to employer or industry needs. These connections must be documented through letters of support from relevant employers or industry players, labor market data, or other forms of credible knowledge of the sector or workforce needs. Evidence of industry demand must be provided specifically for the training under consideration.
- Include the delivery of technical training in technology areas that have measurable impacts on improving energy efficiency and reducing greenhouse gas emissions in New York. Training must further serve eligible individuals (e.g., incumbent workers, students in formal training programs, or new workers/new entrants to clean energy). For example, proposals to simply purchase training equipment or develop new curriculum will not be eligible for funding unless they also include the deployment of training.
- Have a thorough recruitment and screening plan to attract candidates to their program if applicable.

- Clearly describe the proposed training, including training format, dates, and locations, as well as targeted audience, industry, occupations, wages, and skills.
- Demonstrate a solid and comprehensive sustainability plan to ensure continuation of training after NYSERDA funding has completed.
- Be completed within approximately 2 years, excluding any applicable outcome monitoring period for Category 2 projects.

**Training projects under Category 2 must meet the following, additional requirements:**

- Technical Training, Workforce Preparation Activities, and Wrap-around Services: A successful career pathways project will include a combination of:
  - Rigorous and high-quality clean energy education.
  - Workforce preparation activities (e.g., job readiness, coaching/mentoring, financial literacy); and
  - Wrap-around services (e.g., case management, transportation, child support services, homelessness prevention, mental health counseling, legal assistance, immigrant resources) and/or stipends to support individuals with barriers to employment. Proposals that leverage existing wrap-around services will be given preference.
- Representation: At least 50 percent of trainees must be individuals who fall within eligible categories of Priority Populations and/or individuals residing in Disadvantaged Communities.
- Industry Partnerships: The project must include partnerships, demonstrated in letters of commitment or through subcontracts or formal project commitments, with businesses to provide job interviews, hands-on training and work experience through paid internships, on-the-job training, pre-apprenticeships, apprenticeships, etc., and have clear job placement goals for all trainees. Such letters are not initially required as part of a Concept Paper but will be required as part of a Full Proposal.
- Outcome Monitoring: The project must include a plan to track and monitor the achievements of program graduates for at least 12 months after training completion (“Outcome Monitoring Period”), resulting in a total project duration of approximately three years. Achievements may include, but are not limited to, credentials earned, jobs obtained, additional training towards a career path, advancements, wages, and wage growth over the length of the tracking period.
- Placement: At least 80 percent of trainees must be placed into a paid internship, apprenticeship, advanced formal training, or full-time job within 6 months of training completion (i.e., within the first 6 months of the Outcome Monitoring Period). Internships and apprenticeships must be related to the proposed training and provide meaningful experience to prepare trainees for continued growth and access to jobs in the clean energy industry. Trainees are considered individuals who complete the program. Therefore strategic recruiting and comprehensive screening are critical in Category 2 projects. If the 80 percent threshold is not met by the time this monitoring period has ended, NYSERDA payments may be prorated.

For a list of examples of successful Career Pathway projects, consult the [Example Training Projects page](#) on NYSERDA's Clean Energy Workforce Development website.

v) Training Initiatives and Activities

**Initiatives and activities** for which NYSERDA funding may be used include but are not limited to:

- Curriculum or certification development, modification when there is a demonstrated market gap and need.
- Training delivery (online, classroom, on-site, etc.) and certification costs.
- Equipment purchases for hands-on training.
- Hiring and training of trainers.
- Implementation of mentorships and internships. (Applicants should consider the PON 4000: Clean Energy Internship Program for additional incentives for internship).
- Development of pre-apprenticeship and apprenticeship programs.
- Services to place individuals into paid internships, apprenticeships, full-time jobs, or advanced formal training.
- Training development and delivery in languages other than English.
- Marketing and outreach (up to 10% of total NYSERDA funding); and
- Reasonable in-state, necessary travel.

In addition to the above, NYSERDA will evaluate reasonable funding requests that can be justified for the following **services and activities** that directly support technical training and job placement goals on a case-by-case basis:

- Wrap-around services such as transportation, tutoring, childcare assistance, case management, or other related services for Category 2 career pathway projects serving members of Disadvantaged Communities and/or Priority Populations.
- Development of a Learning Management Systems (LMS) to host virtual (or virtual reality) training.

**b. Funding and Cost Share Requirements**

NYSERDA will accept proposals requesting between \$50,000 and \$500,000 in funding. Additional funding may be awarded to successful projects after the original contract award up to a maximum of an additional \$500,000 if funding is available.

In addition to the eligible training initiatives outlined in **Section II.a.v – Training Initiatives and Activities**, NYSERDA will evaluate reasonable funding requests for the following, as justified on a case-by-case basis:

- Work site equipment (e.g., work boots or tool belts) and materials purchased for training, particularly for Category 2 career pathway projects.

- Modest training stipends (based on a fixed fee as opposed to hourly wage funding) for trainees from Disadvantaged Communities and Priority Populations to offset the cost of attending training (in lieu of or in addition to wrap-around services, as justified).
- Indirect costs, such as training facility or equipment rentals and utilities, provided they are reasonable and commensurate with the scope of the proposed training project.

Costs NOT eligible for funding include:

- Costs for training efforts which have already been undertaken.
- Costs for the development of a training proposal or sustainability plan.
- Trainee labor costs (i.e., hourly wage reimbursements or subsidies) to participate in training.
- Costs funded by other state, city, or federal programs.

NYSERDA may retain up to 10 percent of project costs until project completion, as necessary, to ensure that all applicable project requirements (e.g., 80 percent placement requirement for **Category 2** projects) have been met. Any remaining payments may be prorated, as appropriate, based on the level of project completion.

Applicants must contribute a minimum cost share of 30 percent toward the total project budget, which may include “cash” or “in-kind” services. Cost sharing may be borne by the applicant, other team members, and/or other government or private sources. Cost sharing for individual tasks may vary between NYSERDA and the applicant; however, total costs must result in a NYSERDA/applicant split of no greater than 70 percent/30 percent.

The minimum cost share required for projects exclusively serving Disadvantaged Communities and/or Priority Populations is 10 percent.

The minimum cost share for qualifying union-led projects and qualifying pre-apprenticeship programs as described below is 10 percent. Qualifying union-led and pre-apprenticeship projects include projects that:

- Integrate clean energy training into existing New York State registered apprenticeship program(s) or journey worker training,
- Develop a new clean energy apprenticeship program registered with the New York State Department of Labor, or
- Are direct entry pre-apprenticeship workforce training programs recognized by the New York State Department of Labor that incorporate clean energy content.

Examples of eligible cost share include:

- Training fees offset by a third party
- Contributions of direct labor (for which the laborer is paid as an employee)
- Equipment supplied by manufacturers/businesses for hands-on training
- Indirect labor or general overhead.

Items that may be considered as cost share elements but that are NOT eligible for NYSERDA funding include reasonable costs for:

- Food and refreshments during training hours. Food and refreshments outside training hours are not eligible for NYSERDA funding or cost share.
- Computers (as well as related equipment such as servers, software, etc.) and cell phones.
- Motor vehicles and trailers.

The project budget, including proposed cost share, must be provided **in Attachment F – Budget**.

#### Pay for Success Clean Energy Training

**Category 2 career pathway projects** that exclusively serve qualifying low-income individuals may be eligible for participation in [NYSERDA’s Pay for Success Clean Energy Training Project](#) (“Pay for Success”). Funded by the U.S. Departments of Labor and the Treasury under the Social Impact Partnerships to Pay for Results Act (SIPRA), the Project aims to prepare 660+ low-income individuals for clean energy careers. Applicants whose proposals are selected for this initiative may be offered additional funding and will have the opportunity to adjust their scope, budget, and schedule accordingly. Successful Category 2 career pathway projects that were previously awarded funding but did not initially participate in Pay for Success may also be considered and allocated additional funding to participate. In such cases, the latest PON 3981 program requirements will apply.

#### **c. Reporting and Tracking Requirements**

Effective and regular communication is essential between selected Training Providers (“Contractors”) and the NYSERDA Project Manager. Reporting is required for the Project Manager to measure progress and to assess whether a contractor’s invoice may be approved. Each quarter, Contractors will be required to submit a progress report based on a format provided by the NYSERDA Project Manager, documenting training activities and key program performance metrics over the course of that time frame. Applicants whose proposals are selected for Pay for Success will be asked to provide more detailed metrics as part of their quarterly reports. Following the conclusion of training activities, Contractors are further required to file a final report summarizing training program outcomes and lessons learned over the course of the project period. Additional information will be made available as part of the contracting process.

Required reporting metrics and deliverables as well as invoicing requirements are outlined in **Attachment C – Sample Statement of Work**.

### **III. APPLICATION PROCESS**

This solicitation employs a two-step application process consisting of a Concept Paper followed by a Full Proposal by invitation only.



## A. Concept Paper

Concept Papers are a valuable tool for outlining proposals at a high level and securing letters of commitment from industry and training partners. NYSERDA uses Concept Papers as a first step in evaluating the viability of prospective workforce development and training projects (see further details in **Section IV. Proposal Evaluation** below.)

Concept Papers are accepted on a rolling basis and will be reviewed within four (4) to six (6) weeks of receipt. Upon favorable review, NYSERDA will invite select applicants to submit a Full Proposal (see details below). To submit a Concept Paper, complete **Attachment A – Proposal Cover Sheet** and **Attachment B – Concept Narrative** and follow the instructions for online submission. Applicants not selected to advance to the Full Proposal stage may submit a revised or separate Concept Paper in a later application round.

## B. Full Proposal

Applicants selected to submit a Full Proposal will have until any remaining funding due dates to submit a Full Proposal.

A Full Proposal must consist of the following attachments:

- A. Proposal Cover Page
- B. Concept Narrative (Updated/Revised, if necessary).
- C. Scope.
- D. Metrics.
- E. Schedule.
- F. Budget.
- G. Industry Letters of Commitment/Support.
- H. Resumes of Key Personnel.
- I. Other Documentation (optional) – e.g., course outlines and syllabi for new courses, and other supporting material as deemed necessary by the applicant.

### A. Proposal Cover Page

Applicants must submit an updated Proposal Cover Page with their Full Proposal.

### B. Concept Narrative (Updated/Revised)

At this stage of the application process, applicants are given the opportunity to address any feedback on their Concept Paper, including contingencies required to be addressed and recommendations, provided by NYSERDA. Applicants are encouraged to review the checklist outlined in **Attachment A – Proposal Cover Page**, to ensure they meet all relevant proposal criteria for the respective category under which they are applying.

**Preference will be given to applicants who can demonstrate the following:**

- **Existing Materials/Resources:** Ability to leverage existing resources, including previous training developed by an applicant/team or training resources and tools available on the market, wrap-around services, job/internship/apprenticeship placement services, training facilities, and opportunities for hands-on application of skills on the part of learners.
- **Education/Career Pathway:** Integration into a degree, certificate, continuing education, career pathway, apprenticeship, pre-apprenticeship, or job preparedness program. Training on professional/soft skills may be combined with technical skills training to meet specific employer needs.
- **Disadvantaged Workers:** Proposals that exclusively serve to advance, place, and integrate individuals from Disadvantaged Communities and/or Priority Populations in the clean energy labor market.
- **Applicants:** Projects that include or are led by MWBEs and/or SDVOBs.
- **Training Program Scalability:** Projects that have the capacity to provide training at scale, at multiple training locations across the state, and/or to a substantial trainee audience.

C. Scope of Work (Scope)

Applicants must include a detailed Scope with their application. The Scope will describe the work to be completed in the project. Should the proposal be selected for funding, the activities outlined in this Scope will be incorporated into a Statement of Work which is the primary contractual document for the project that identifies the tasks and deliverables and serves as the basis for payment. A sample Statement of Work is provided for reference in **Attachment C – Sample Statement of Work**.

The Scope is an action document that delineates each step or activity in the project to accomplish the outlined tasks. In the Scope, applicants must identify and describe each task that would be funded in whole or in part under this solicitation. Each task must include 1) the specific activities that will be completed for that task, 2) who will complete each activity in a task, and 3) milestones, expected outcomes or deliverables and reports that will be submitted to NYSERDA. NYSERDA funding awarded under this solicitation may be paid based on milestones that will be negotiated prior to contracting.

Each Scope must include tasks for the following required project components. For these tasks, insert the reference language from the example Statement of Work.

- Partnership / Subcontracts (if applicable to the project)
- Training Delivery (customize description of training as appropriate)
- Evaluation
- Reporting

All other tasks should be specific to the proposed project and clearly outline activities associated with the NYSERDA funding. For example, this may include tasks such as

developing or modifying curriculum, purchasing training equipment, identifying and providing wrap-around services for trainees, etc. depending on the nature of the project. Reference the sample Statement of Work for suggested deliverables and level of detail for tasks frequently included in projects funded through this solicitation. Category 2 projects must include tasks related to job placement to demonstrate the project's approach to meeting that requirement and include activities related to outcoming monitoring as required by the PON.

#### D. Project Metrics

Applicants are required to provide a list of training metrics. These may include "How do they define success?" "Which metrics will they use to track progress and measure project outcomes?" **Attachment D - Metrics** provides a list of sample metrics. Additional metrics may be included, as relevant, to demonstrate the anticipated impact of the proposed project. Metrics will be reported at the individual (training participant) level.

#### E. Training Schedule

Applicants must provide a schedule for completing tasks based on tasks and deliverables outlined in their Scope (Attachment C). This schedule may be listed in weeks or months starting from contract execution through contract completion and should include an additional 12-month period for projects in Category 2. The schedule should consist of 12 to 24 months followed by an additional 12-month tracking period for Category 2 career pathway projects. A template is provided in **Attachment E - Schedule**.

#### F. Budget

Applicants must complete and submit the **Attachment F – Budget** with their application, including information requested on the Budget Form and the Cost Breakdown Form.

##### i) Budget Form

The Budget Form outlines the budget for the proposal, including costs related to labor, direct materials (supplies, equipment, and other costs), travel, and subcontractors. The budget must be reasonable and state the portion requested from NYSERDA as well as the portion that is the applicant's responsibility (cost share).

##### ii) Cost Breakdown

Based on the costs calculated on the Budget Form, applicants are asked to provide a **cost breakdown by task**. The cost breakdown by task should be based on the initial budget provided in the Concept Paper and align with the tasks in the applicant's Scope.

Cost share may include cash and in-kind funds, as outlined in **Section II.b ("Funding and Cost Share Requirement")** above. Cost sharing by task may vary between applicant and NYSERDA; however, the total cost share must meet the requirements outlined in **Section II.b ("Funding and Cost Share Requirement")**.

**Proposals must provide sufficient detail in the “Supplemental Information” section of the Budget Form to justify anticipated costs.** Subcontractors whose share of the project budget is \$50,000 or greater in value must complete a separate Budget Form outlining their anticipated labor costs, time, and materials.

#### G. Industry Letters of Commitment/Support

Depending on the project, applicants are required to submit either letters of commitment or letters of support from relevant business or industry partners.

Letters of Support serve to attest that the proposed training relates directly to businesses’ future hiring needs. These letters further support the industry need/market demand outlined in the Concept Paper.

Letters of Commitment serve to reinforce industry partners’ commitment and to outline their role in training projects – a requirement specifically for Category 2. Successful proposals will include an array of letters from employers ready to interview, hire, commit to paid internships, pre-apprenticeships, curriculum development, on-site, hands-on training, and/or other similar experiences. Letters must be custom-tailored and unique to each industry partner. Form letters that include the same language and are signed by multiple partners may be disregarded.

#### H. Resumes of Key Personnel

All proposals must include the resumes of key personnel expected to be involved in the project. Applicants should note any relevant credentials or certifications for instructors.

#### I. Other Documentation (Optional)

In addition to the above required attachments, applicants are encouraged to submit course outlines or syllabi for any courses proposed and/or any other supporting material as necessary. For large project teams an organizational chart may be helpful. Any attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence evaluation of the proposal.

### **b. Proposal Submission**

In compliance with §139-j and §139-k of the State Finance Law (see Section V, General Conditions below for additional information), applicants will be required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility.

**Both Concept Papers and Full Proposals must be submitted via the NYSERDA Portal.** Full Proposals must be received by 3pm Eastern time on the date noted above for each round.

Applicants may submit MS Word, Excel, or PDF files. Individual files should be 100MB or less in file size. PDF proposals should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the applicant's entity name in the title of the document. If online submission is not possible, NYSERDA will also accept proposals by mail or hand-delivery.

**You can only upload one attachment per submission slot. Should multiple documents be required for a given slot (e.g., resumes of key personnel), they must be merged into ONE SINGLE DOCUMENT; otherwise only the last file uploaded will be transmitted to NYSERDA.**

Incomplete proposals may be subject to disqualification. It is the applicant's responsibility to ensure that all pages have been included in the proposal. Applicants are advised to plan for at least 60 minutes to enter/submit proposals. The online proposal system will close promptly at 3pm Eastern Time. Files in process, attempted edits or submissions after this deadline will not be accepted. **Late, faxed, or emailed proposals will not be accepted.**

For detailed instructions on how to submit a proposal (online or paper submission), including file requirements, click the link "[Application Instructions and Portal Training Guide \[PDF\]](#)" located on the [PON 3981 solicitation page](#). Should any changes be made to this solicitation, notification will be posted on the "[Current Opportunities](#)" section of NYSERDA's website.

### **c. Contact Information**

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No communication intended to influence this procurement is permitted except by contacting the Designated Contacts above. Contacting anyone other than the Designated Contacts (either directly by the applicant or indirectly through a lobbyist or other person acting on the applicant's behalf) in an attempt to influence the procurement: (1) may result in the applicant being deemed a non-responsible offeror, and (2) may result in the applicant not being awarded a contract.

## **IV. PROPOSAL EVALUATION**

### **a. Process & Timing**

Concept Papers that meet solicitation requirements will be reviewed by a Scoring Committee consisting of NYSERDA staff using the Evaluation Criteria below. NYSERDA will inform each applicant of its decision regarding invitations for a Full Proposal submission following

convening of the Scoring Committee. Concept Papers will be reviewed within four (4) to six (6) weeks of receipt.

Full Proposals may be submitted by invitation only and are due by any of the remaining PON 3981 funding due dates. Upon receipt, a Scoring Committee will meet again to review and evaluate the Full Proposal based on the Evaluation Criteria below. Within approximately eight (8) weeks, NYSERDA will inform each applicant of its decision for an award.

NYSERDA may request an interview or additional information after submission of a Concept Paper and/or Full Proposal. The interview may be with the Project Manager or with all or part of the Scoring Committee.

The Scoring Committee reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to limit the number of awards per applicant. NYSERDA may also cancel the PON in part or in its entirety if deemed in its best interest.

Accepted Proposals:

Applicants receiving favorable evaluations may be asked to address specific questions or recommendations of the Scoring Committee or make modifications to the Scope, budget, or schedule before being awarded funding. Upon successful negotiation, an award under this PON will result in a contract. NYSERDA may award a contract based on applications with or without discussion. See NYSERDA's **Sample Agreement** for the full terms and conditions.

Denied Proposals:

Applicants whose proposals have been denied may request a debrief and may reapply under future rounds of this PON.

**b. Evaluation Criteria**

Both Concept Papers and Full Proposals are evaluated based on their quality and content as well as the requirements outlined in the PON. The Scoring Committee reserves the right to require an interview before the final contract award decision is made to address any potential questions or clarify items outline in the proposals. Additionally, the Scoring Committee may request further data or material to support proposals. The Scoring Committee also reserves the right to eliminate from further consideration any proposal deemed to be substantially or materially non-responsive to the requirements of this PON.

For Concept Papers, 70 points is the minimum threshold of 100 possible points. For Full Proposals, 70 points is the minimum threshold out of 100 possible points.

**Concept Papers**

1. Applicant Qualifications
  - Does the organization meet the PON's definition of an eligible training provider?  
How well are the applicant's qualifications and experience described?
2. Description of Training Initiative

- How comprehensive is the proposed training initiative? Does it address all applicable requirements as outlined in the Concept Paper checklist, including for the category/categories under which the Concept Paper was submitted? How detailed/convincing is the applicant's plan to sustain training post-NYSERDA funding?
3. Documentation of Market Need
    - Has the applicant demonstrated a firm understanding of the skills gaps and market demand? How relevant is the proposed training in addressing the identified gaps and opportunities? Is the applicant collaborating with industry partners and, if so, are their roles clearly defined?
  4. Budget
    - Is the budget reasonable/competitive based on the number of trainees proposed? Does it include the required cost share percentage? More?
  5. Preferred Criteria
    - Does the proposal leverage existing materials or resources? Does the project integrate into a Career Pathways with clear goals and outcomes? Is the training exclusively serving members of Disadvantaged Communities / Priority Populations? Is the project led by or include M/WBEs or SDVOBs?

## **Full Proposals**

### 1. Applicant Qualifications

- Relevant Experience: Does the applicant and/or any subcontractor(s) have relevant experience (including with NYSERDA) as documented in resumes of key personnel?
- Rate of Success: What is the applicant's track record of / approach to ensuring job placements and relationships with clean energy businesses/employers? Was relevant applicant or subcontractor performance data submitted to demonstrate current or historical programs, including scale/size, completion rates, or placement rates?

### 2. Comprehensiveness of Training Proposal: Approach & Management Plan

- Training Concept: How comprehensive is the proposed training initiative? Does it clearly outline goals, target audience/category, skills, occupations, and related wages? Does it adequately describe the training format, dates, times, and locations? Does it take into consideration special needs for different populations?
- Target Audience: Is the intended training audience identified? If Category 2, are at least 50 percent (or 100 percent for reduced cost share-eligible projects) of individuals from Disadvantaged Communities or Priority Populations?
- Industry Partnerships: Does the applicant partner with businesses to meet their hiring and/or training needs? Is the role of industry partners defined? If Category 2, does the proposal include unique and custom-tailored letters of commitment from partnering organizations? If so, do the letters clearly demonstrate partners' commitment to interview, hire, offer paid internships, (pre-) apprenticeships, curriculum development, on-site or hands-on training and/or other similar experiences?
- Career Pathway: Does the proposed training result in an industry-recognized certification, credential, or degree? Does the training prepare students for more advanced courses or

create a path to a job? If Category 2, does the proposal have a strategy to ensure that at least 80 percent of individuals are placed into a paid internship, apprenticeship, full-time job, or advanced formal training within 6 months of training completion? Which other services, if any, will be included as part of the career pathway program (e.g., wrap-around services, workforce preparation and internship/apprenticeship/job/advanced formal training placement activities)?

- Recruitment, Screening & Tracking: Does the proposal outline a robust strategy to recruit and screen participants (including marketing, outreach, interviewing, and placement)? If Category 2, does the proposal track workers' achievements for at least 12 months once training has been completed? Is the plan adequately documented in the required schedule?
- Metrics/Project Outcomes: How comprehensive are projected training outcomes such as total number of curricula developed; total number of workers to be trained or placed into paid internships/apprenticeships/full-time jobs; and total number to continue on to advanced formal training?
- Sustainability: What are the applicant's plans for sustaining the program once NYSERDA funding is exhausted? Are the plans realistic and sufficiently documented?

### 3. Documentation of Market Need

- Market Analysis: Has the applicant clearly outlined the gaps and opportunities in the market, supported by business needs and demands for the proposed training?
- Evidence/Data: Has the applicant provided evidence such as labor market intelligence or employer input to show the need for training? Has the applicant submitted any letters of support from businesses that can attest that proposed training relates directly to their future hiring needs?
- Proposal Relevance: Does the proposed strategy clearly address the identified skills gaps? Has the applicant adequately described the strategy for building training capacity (curriculum, trainers, equipment) in NYS that is employer-led and based on the occupational skills necessary to support business demands?

### 4. Scope of Work (Scope)

- Objective: Does the Scope include a detailed training objective and adequately prepare participants to fill the stated clean energy workforce?
- Content: Is the Scope thorough, specific, logical, and consistent with NYSERDA program goals and the PON's objectives? Are roles and responsibilities of subcontractor(s) clearly identified?
- Tasks and Deliverables: Does the Scope include tasks and deliverables that address all of the requirements of the solicitation and as outlined in the Concept Paper? Is there enough detail provided for each task in the Scope? Are appropriate metrics built into each deliverable? Does it include separate, relevant tasks for Category 1 and Category 2 training, if applicable?
- Evaluation & Reporting: Does the Scope include all applicable evaluation and reporting requirements?



## 5. Budget/Cost

- Documentation: Is the budget reasonable and responsive to funding requirements under the solicitation? Does the proposal include the budget and a cost breakdown by task? Does it include a separate budget form for subcontractors (\$50K or greater), if applicable? Is the information provided in the supporting schedule sufficiently detailed?
- Cost Competitiveness: Is the training cost per participant reasonable and consistent or competitive with current training opportunities on the market? Are the applicant's costs appropriate when compared to the costs of other comparable initiatives and the projected results?
- Cost Share: Is a 30% cost share (or 10% for projects exclusively serving Disadvantaged Communities and/or Priority Populations or qualifying union-led and pre-apprenticeship training programs) included and detailed? Is the applicant proposing a cost share higher than 30% (or 10%)? If so, what does the cost share entail? Does the applicant leverage any third-party funds?

## 6. Preferred Criteria

- Existing Materials/Resources: Does the proposal leverage existing resources, including wrap-around services, training facilities and opportunities for hands-on application of skills on the part of learners?
- Education/Career Pathway: Does the proposal integrate a degree, certificate, continuing education, career pathway, apprenticeship, pre-apprenticeship, or job preparedness program? Is training on professional/soft skills combined with technical skills training to meet specific employer needs?
- Disadvantaged Workers: Does the training initiative exclusively serve to advance, place, and integrate individuals from Disadvantaged Communities and/or Priority Populations in the clean energy labor market?
- Applicants: Does the project include or is it led by certified MWBEs and/or SDVOBs?

### c. Program Policy Factors

Additionally, NYSERDA reserves the right to accept or reject proposals based on the following factors:

- Geographical coverage across New York State to ensure that projects selected for funding optimize the use of available funding to achieve programmatic objectives.
- The degree to which the proposed project, including proposed cost shares, optimizes the use of available funding to achieve programmatic objectives.
- Institutional diversity or partnership with minority serving institutions.
- Consideration of the impact on, and benefits to, a diversity of communities, including low-income and rural communities.
- Consideration of the impact on just transition and equity goals.
- The degree to which the applicant has the resources (human and financial) to be able to complete the project.
- The degree to which the proposed project directly addresses NYSERDA's mission and strategic goals.
- The applicant's performance on current or past NYSERDA contracts.

## V. GENERAL CONDITIONS

**Proprietary Information** - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See [Public Officers Law, Section 89\(5\)](#) and the procedures set forth in 21 NYCRR Part 501. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

**Omnibus Procurement Act of 1992** - It is the policy of New York State to maximize opportunities for the participation of New York State business enterprises, including minority- and women-owned business enterprises, as bidders, subcontractors, and suppliers on its procurement Agreements.

Information on the availability of New York subcontractors and suppliers is available from:

Empire State Development  
Division for Small Business  
625 Broadway  
Albany, NY 12207

A directory of certified minority- and women-owned business enterprises is available from:

Empire State Development  
Minority and Women's Business Development Division  
625 Broadway  
Albany, NY 12207

**State Finance Law sections 139-j and 139-k** - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found in the New York State Office of General Services' [Procurement Lobbying Law Frequently Asked Questions \(FAQs\)](#). Proposers are required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility (this includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years).

**Tax Law Section 5-a** - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form, [ST-220-TD](#), to allow a prospective contractor to readily make such certification. Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department.

The Department has created a second form, [ST-220-CA](#), that must be completed by a prospective contractor prior to contacting and filed with NYSERDA. See the Department's [Publication 223: Questions and Answers Concerning Tax Law Section 5-a](#) for more information.

**Contract Award** - NYSERDA anticipates making multiple awards under this solicitation. NYSERDA anticipates a contract duration of at least two years, unless NYSERDA management determines a different structure is more efficient based upon proposals received. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each proposal should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately eight weeks from the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

**Accessibility Requirements** - If awardees from this solicitation will be posting anything on the web, or if the awardee will produce a final report that NYSERDA will post to the web, the following language must be included. NYSERDA requires contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSERDA's Accessibility Requirements](#).

**Limitation** - This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement. NYSERDA

reserves the right to disqualify proposers based upon the results of a background check into publicly available information and the presence of a material possibility of any reputational or legal risk in making of the award.

**Disclosure Requirement** - The proposer shall disclose any indictment for any alleged felony, or any conviction for a felony within the past five years, under the laws of the United States or any state or territory of the United States and shall describe circumstances for each. When a proposer is an association, partnership, corporation, or other organization, this disclosure requirement includes the organization and its officers, partners, and directors or members of any similarly governing body. If an indictment or conviction should come to the attention of NYSERDA after the award of a contract, NYSERDA may exercise its stop-work right pending further investigation or terminate the agreement; the contractor may be subject to penalties for violation of any law which may apply in the particular circumstances. Proposers must also disclose if they have ever been debarred or suspended by any agency of the U.S. Government or the New York State Department of Labor.

**Vendor Assurance of No Conflict of Interest or Detrimental Effect** - The proposer shall disclose any existing or contemplated relationship with any other person or entity, including any known relationships with any member, shareholders of 5% or more, parent, subsidiary, or affiliated firm, which would constitute an actual or potential conflict of interest or appearance of impropriety, relating to other clients/customers of the proposer or former officers and employees of NYSERDA, in connection with proposer's rendering services as proposed. If a conflict does or might exist, please describe how your company would eliminate or prevent it. Indicate what procedures will be followed to detect, notify NYSERDA of, and resolve any such conflicts.

The proposer must disclose whether it, or any of its members, or, to the best of its knowledge, shareholders of 5% or more, parents, affiliates, or subsidiaries, have been the subject of any investigation or disciplinary action by the New York State Commission on Public Integrity or its predecessor State entities (collectively, "Commission"), and if so, a brief description must be included indicating how any matter before the Commission was resolved or whether it remains unresolved.

**Public Officers Law** – For any resulting awards, the Contractor and its subcontractors shall not engage any person who is, or has been at any time, in the employ of the State to perform services in violation of the provisions of the New York Public Officers Law, other laws applicable to the service of State employees, and the rules, regulations, opinions, guidelines or policies promulgated or issued by the New York State Joint Commission on Public Ethics, or its predecessors (collectively, the "Ethics Requirements"). Proposers are reminded of the following Public Officers Law provision: contractors, consultants, vendors, and subcontractors may hire former NYSERDA employees. However, as a general rule and in accordance with New York Public Officers Law, former employees of NYSERDA may neither appear nor practice before NYSERDA, nor receive compensation for services rendered on a matter before NYSERDA, for a period of two years following their separation from NYSERDA service. In addition, former NYSERDA employees are subject to a "lifetime bar" from appearing before any state agency or authority or receiving compensation for services regarding any transaction in which they

personally participated or which was under their active consideration during their tenure with NYSERDA.

Any awardee will be required to certify that all of its employees, as well as employees of any subcontractor, whose subcontract is valued at \$100,000 or more who are former employees of the State and who are assigned to perform services under the resulting contract, shall be assigned in accordance with all Ethics Requirements. During the term of any agreement, no person who is employed by the contractor or its subcontractors and who is disqualified from providing services under the contract pursuant to any Ethics Requirements may share in any net revenues of the contractor or its subcontractors derived from the contract. NYSERDA may request that contractors provide it with whatever information the State deems appropriate about each such person's engagement, work cooperatively with the State to solicit advice from the New York State Joint Commission on Public Ethics, and, if deemed appropriate by the State, instruct any such person to seek the opinion of the New York State Joint Commission on Public Ethics. NYSERDA shall have the right to withdraw or withhold approval of any subcontractor if utilizing such subcontractor for any work performed would be in conflict with any of the Ethics Requirements. NYSERDA shall have the right to terminate any contract at any time if any work performed is in conflict with any of the Ethics Requirements.

**Due Diligence** – NYSERDA, at its discretion, may conduct broad due diligence to validate any or all elements of an application and to assess applicants' prospects of success, including gathering information to assess a proposal relative to any of the topics listed in evaluation criteria, whether or not such topic is explicitly addressed in a proposal. NYSERDA may conduct due diligence on some or all proposals based on NYSERDA's current guidelines at the time of a review. NYSERDA staff may follow up with proposers to request additional information or clarification regarding applicant's proposal, including questions regarding applicant's business prospects and resources, whether or not those questions are specifically related to the elements of the proposal. Additionally, customized due diligence may be conducted by internal or external staff or contractors based on questions on any proposal raised by NYSERDA staff and/or the Scoring Committee. Due diligence may include (but is not limited to): interviews of independent references and background checks of team members; assessment of prior business experience of any team member associated with a proposal; research on intellectual property claims; customer and partner reference checks; market research on the applicants' target market and any other related or possibly competitive technology or market area; research to validate any assumptions on current or future revenues, costs, capital needs, and financing prospects for proposers' business, including similar (or unrelated) technologies, processes, or competitive solutions; or any other research that could reasonably inform the evaluation of a proposal, or the prospects for commercial success of the proposers' business (whether directly related to, or unrelated to the specific elements in a proposal). Due diligence may include discussions with proposers' former and current business partners, employees, investors, customers, and competitors. Due diligence may be conducted by NYSERDA personnel or contractors including members of the scoring committee, before, during, or after a scoring process, and prior to finalization of a contract award, any information gleaned in diligence may be used to score or re-score a proposal or apply a program policy factor.

**EO 16 Protocols** – Pursuant to Executive Order No. 16 issued on March 17, 2022, all vendors responding to bids or contracting with New York State must certify, using the form provided as part of this solicitation, their status with regard to conducting business operations in Russia, and that any such business operations in Russia conducted on behalf of the vendor are determined to be permitted under any of the allowable exemptions. The term vendor is intended to encompass bidders prior to contract award, contractors who have received a contract award, contract assignees, or contractors for whom an extension to an existing contract is being pursued. Exemption decisions are in NYSERDA’s sole discretion and are final decisions. NYSERDA reserves the right to solicit additional materials or information regarding the responses or materials provided by a vendor.

Pursuant to Executive Order No. 16, all vendors will be vetted to ensure that they are not on the federal sanctions list at <https://sanctionsearch.ofac.treas.gov/>. There is no waiver or exemption process for vendors appearing on the federal sanctions list.

The Executive Order remains in effect while sanctions imposed by the federal government are in effect. Accordingly, vendors who may be excluded from award because of current business operations in Russia are nevertheless encouraged to respond to solicitations to preserve their contracting opportunities in case sanctions are lifted during a solicitation, or after award in the case of some solicitations.

## **VI. ATTACHMENTS**

- Attachment A – Proposal Cover Page
- Attachment B – Concept Narrative
- Attachment C – Sample Statement of Work
- Attachment D – Metrics
- Attachment E – Schedule
- Attachment F – Budget



KATHY HOCHUL  
Governor

**NYSERDA**

RICHARD L. KAUFFMAN  
Chair

DOREEN M. HARRIS  
President and CEO

**On-the-Job Training for Energy Efficiency and Clean Technology  
Program Opportunity Notice (PON) 3982**

**\$5.5 Million Available**

***NYSERDA reserves the right to extend and/or change funding to the Solicitation should other program funding sources become available***

**Applications accepted through December 31, 2024, by 3:00 PM Eastern Time.**

**PROGRAM SUMMARY**

The New York State Energy Research and Development Authority (NYSERDA) is seeking applications to advance the goals of the Clean Energy Fund (CEF) by developing a workforce equipped to perform jobs in energy efficiency and clean technology. Through the On-the-Job Training (OJT) program, NYSERDA will provide incentives to eligible energy efficiency and clean technology businesses throughout the supply chain to hire and provide on-the-job training for new workers.

Registering for the OJT program consists of a two-step process. First, a business must register to participate in the OJT program by completing the online Business Application. Once the business passes the eligibility review and is successfully registered for the program, the business submits individual applications to hire each new employee through the OJT program.

Definitions for the purposes of this solicitation:

1. **“On-the-job-training”** is defined as energy efficiency and clean energy training provided by an eligible business to a new employee while the employee is engaged in full-time, productive work in a job in New York State.
2. **“Eligible Energy Efficiency and Clean Technologies”**:
  - High efficiency heating, ventilation, and air conditioning (HVAC)
  - Renewable heating and cooling
  - High efficiency water heating
  - Insulation and/or air sealing
  - High efficiency lighting and controls
  - Building automation and controls
  - Smart grid
  - Energy storage
  - Building operations and maintenance
  - Solar electric photovoltaics, solar thermal, and related areas
  - Offshore and Land-Based Wind and related areas
  - Electric vehicle charging stations

Additional areas related to energy efficiency and clean technology may be considered, however, activities focused on community outreach efforts are not eligible.

- **“Eligible businesses”** must provide services in one or more of the eligible energy efficiency and technology areas.

See the Eligibility section below for a complete list of requirements to be considered an eligible business.

3. **“Worker”** includes those individuals who design, manufacture, specify, sell/distribute, install, operate, maintain, repair, audit, inspect, and train people on eligible energy efficiency and clean energy technologies and systems. Workers hired through the OJT Program must be hired to perform one or more of these activities and primarily work in one of the eligible energy efficiency and clean technology areas.
4. Additional incentives are available for businesses:
  - Hiring from **“Priority Populations”** and **Disadvantaged Communities**<sup>1</sup>.
  - Hiring new employees working on **heat pumps** (design, installation, sales, etc.)
  - Registered in New York State or Certified in New York City as a **Minority-Owned Business (MBE) or Women-Owned Business (WBE)**.
  - Registered in New York State as a **Service-Disabled Veteran Owned Business (SDVOB)**.
5. Business size is based on the number of employees of the business who receive an IRS W-2 form and in accordance with the following criteria:
  - a. Principals of corporations and owners of businesses such as sole proprietors or partners are not considered to be employees for this total.
  - b. Workers who are independent contractors, subcontractors, contract employees (i.e., 1099 employees), or interns are not included in the employee count.
  - c. Eligible businesses with multiple branches, locations and/or related companies under separate names with unique Federal Employer Identification Numbers (FEINs) will generally be considered single entities but may be considered separate eligible businesses at the sole discretion of NYSERDA. National or chain accounts are considered a single "eligible business."
  - d. Businesses must have at least two employees who receive an IRS W-2 form and who work full-time (defined as at least 35 hours per week) to meet the 2 full-time employee minimum for participation in the program. Businesses that are New York State registered or New York City certified as a WBE/MBE/SDVOB are not subject to the 2 full-time employee minimum.

## INTRODUCTION

NYSERDA’s OJT for Energy Efficiency and Clean Technology program will provide wage subsidies to eligible businesses to help reduce the financial risk of hiring and training new workers. This program enables New York State to meet the objectives of the Clean Energy Fund and advance the climate equity and just transition goals of New York’s Climate Leadership and Community Protection Act (CLCPA) by developing a workforce equipped to perform jobs in energy efficiency and clean technology and supporting Disadvantaged Communities and Priority Populations as defined on the [NYSERDA Definitions Page](#).

NYSERDA is working closely with the New York State Department of Labor (NYSDOL) to deliver the OJT program and help develop job skills for new workers in energy efficiency and clean technology businesses. The NYSDOL assists participating businesses with developing OJT training plans as well as assessing necessary skills and identifying available workers that match those skills.

**The primary purpose of OJT funding is to train new hires for clean energy work.** The program cannot support workers already employed by the business. All new hire applications must be submitted to NYSERDA no later than 7 days after the new hire’s start date to be eligible for funding. See guidance related to transitioning interns hired

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<sup>1</sup> Definitions of Disadvantaged Communities and Priority Populations are subject to change. For the most up-to-date definition, including an interactive map of Disadvantaged Communities, see the [“Definitions”](#) page of the NYSERDA Workforce Development website.



through NYSERDA’s PON 4000 Clean Energy Internship Program and NYSERDA’s PON 4772 Climate Justice Fellowship Program to full time hires through the PON 3981 On the Job Training Program under the “Worker Eligibility” section below.

All program questions should be directed to Peter Tompkins, [PONOJT@nyserda.ny.gov](mailto:PONOJT@nyserda.ny.gov) at (518) 862-1090, ext. 3585. All contractual questions should be directed to Nancy Marucci at (518) 862-1090, ext. 3335 or [NancySolicitations@nyserda.ny.gov](mailto:NancySolicitations@nyserda.ny.gov). Program requirements contained in this PON may change at any time and notification will be sent to all businesses under contract with NYSERDA to inform them of any changes that will apply to their agreement.

**FUNDING, FUNDING LIMITS, AND PAYMENTS**

**I. Funding**

This program provides funding to advance worker skills through OJT. Funding and program services facilitate worker recruitment, hiring and on-the-job training of clean energy workers, including individuals from Disadvantaged Communities and Priority Populations. NYSERDA reserves the right to extend and/or add funding should other program funding sources become available.

For eligible workers hired through the program, NYSERDA pays a percentage of that new hire’s hourly wage for the eligible OJT period as a reimbursement to the business. The eligible reimbursement rate and reimbursement period per worker are based on 1) the technology area of focus for the new hire, 2) the business classification, 3) the business size based on number of employees, and 4) the worker classification. The following table summarizes the reimbursement rates and durations offered for each category.

See the Definitions section on page 1 for details on determining Business Size and definitions for Disadvantaged Communities and Priority Populations. Minority-Owned Business Enterprise (MBE) and Women-Owned Business Enterprise (WBE) organizations must have a current registration with New York State and/or be certified in New York City to qualify for the higher reimbursement rates under the Business Classification category. Service-Disabled Veteran-Owned Business (SDVOB) must have a current registration with New York State to qualify for the higher reimbursement rates under the Business Classification category.

Position Type	Business Classification	Business Size	Reimbursement Rate	Reimbursement Period	
				Non-Disadvantaged Community/Priority Population Worker	Disadvantaged Community/Priority Population Worker
General Clean Energy	Business not registered/certified as MBE/WBE/SDVOB	2 – 100 employees	50%	16 Weeks	24 Weeks
		101 or more employees	50%	Not Eligible	24 Weeks
	Business registered/certified as MBE/WBE/SDVOB	Any Size	75%	16 Weeks	24 Weeks
Solar Electric, Solar Thermal, or Wind	Business not registered/certified as MBE/WBE/SDVOB	2 employees or more	50%	Not Eligible	24 Weeks
	Business registered/certified as MBE/WBE/SDVOB	Any Size	75%	16 Weeks	24 Weeks
Heat Pumps	Business not registered/certified as MBE/WBE/SDVOB	2 employees or more	75%	16 Weeks	24 Weeks
	Business registered/certified as MBE/WBE/SDVOB	Any Size	75%	16 Weeks	24 Weeks

## II. Funding Limits

NYSERDA issues reimbursement on the specified portion of worker wages per the contract established between the participating business and NYSERDA, and all businesses, regardless of size, classification, or worker technology type, are required to provide a cost share for all wage subsidies. NYSERDA's cost share is capped at a maximum of \$24 per hour for each hire.

- NYSERDA funding through the OJT program is capped at \$150,000 per business for traditional workers (those that are not members of a Disadvantaged Community or Priority Population).
- Reimbursements for hires that are residents of a Disadvantaged Community and/or Priority Populations are not counted toward the \$150,000 cap.
- Under the General Clean Energy category, businesses with 101 or more employees that are not registered in New York State or certified in New York City as an MBE/WBE/SDVOB, incentives are only available to hire residents of Disadvantaged Communities and Priority Populations.
- Businesses hiring workers related to solar electric, solar thermal, or wind technologies can receive incentives only for hiring residents of Disadvantaged Communities and Priority Populations, unless the business is a New York State-registered or New York City-certified MBE/WBE/SDVOB business.
- There is no maximum cap for any size business when hiring residents of Disadvantaged Communities and Priority Populations.

Applications for funding under this PON are ineligible if other sources of funding, including but not limited to, federal grants or incentives have already been awarded for the same staff or project.

NYSERDA retains the right to limit participation in this program, including, but not limited to, limiting the number of hires at any time, for any reason. All awards will be made on a first come first-served basis and are subject to funding availability.

## III. Payments

Contract payments will be made to the eligible business only and will be on a reimbursable basis (i.e., the employee must be paid full wages before the business requests an allowable reimbursement payment from NYSERDA). The eligible business must submit requests for reimbursement of wages that have been paid in accordance with the approved contract budget. Eligible businesses are only permitted to invoice once a month for each hire.

If funding becomes limited, if interest is limited as evidenced by lack of response to this PON, or if there is no longer a valid need for the services, the program may be modified and can be suspended with notice in the New York Contract Reporter and posted on NYSERDA's web site:

<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities>. Applications received after the suspension date will not be considered for funding.

## **ELIGIBILITY**

### I. Business Eligibility

Businesses must:

1. Be an energy efficiency and clean technology business, training provider, or labor management organization working on behalf of energy efficiency or clean technology businesses. Municipalities are not eligible for this PON.
2. Provide services in one of the eligible energy efficiency and clean technology areas.

3. Have the legal authority to hire employees and conduct business in NYS.
4. Have at least one physical business location in NYS.
5. Have at least two employees who receive an IRS W-2 form and who work full-time (defined as at least 35 hours per week). This two full-time employee requirement is waived for businesses who are New York State registered or New York City certified as a WBE/MBE/SDVOB. Reference the Definitions section in the Program Summary for instructions on determining qualifying employees.
6. Have met and continue to meet all requirements and deliverables under any prior or existing NYSEDA contract or NYSDOL grant.
7. Provide all information requested in the Business Application process outlined in this PON and have clearly set objectives for the use of funds.
8. Attest to compliance with all applicable labor laws, and not have failed to file any applicable local, state, or federal tax returns, nor failed to pay New York State Unemployment Insurance. NYSDOL will conduct a due diligence search to confirm this information.
9. Eligible businesses that are training entities must be a private for-profit business (including LLPs and LLCs), a private not-for-profit business, or a private for-profit or private not-for-profit training provider (including private colleges and universities).

Additional Business Eligibility Criteria:

1. Eligible businesses providing design, construction or operation and maintenance services on large-scale (5 MW or greater), wind or solar generation projects may be asked to provide documentation to demonstrate that they have a contract or direct subcontract with a NYSEDA contractor on a generation project funded by NYSEDA/Clean Energy Standard.
2. Businesses or organizations that use outside agencies for hiring and payment of employees are **not** eligible. The business participating in the OJT program must be the entity employing and paying the employees.
3. Organizations who hired climate justice fellows through NYSEDA's PON 4772 can be approved through the OJT Program to hire those fellows under PON 3982 at the conclusion of the fellowship term to extend their work on fellowship projects and initiatives. These organizations must follow the standard OJT Program process, including the submission of both a business application and new hire application, to reserve funding for hiring a climate justice fellow graduate under the OJT program.

II. Worker Eligibility

Worker candidates must:

1. Be hired to design, manufacture, specify, sell/distribute, install, operate, maintain, repair, audit, inspect, and/or train people on energy efficiency and clean energy technologies and systems. General administration and driving positions are not eligible for reimbursement. Traditional trades positions are not eligible unless the job and the related OJT plan are directly connected to one or more of the eligible energy efficiency and clean energy technology categories.
2. Reside in NYS.
3. Be a new hire, not a previous employee or contractor. Individuals who worked as interns for a business previously under NYSEDA's PON 4000 may be hired under the OJT program. Individuals who worked as fellows through NYSEDA's PON 4772 may be hired by the same host organization under the OJT program to extend their work on fellowship projects and initiatives. All new hire applications must be submitted to NYSEDA no later than 7 days after the new hire's start date as a full-time hire to be eligible for OJT program funding, including individuals transitioning from PON 4000 internships and PON 4772 fellowships.
4. Not be a relative of any employee at the business. "Relative" shall include the following relationships: relationships established by blood, marriage, or legal action. Examples include spouse, mother, father, son, daughter, sister, brother, mother-in-law, father-in-law, sister-in-law, brother-in-law, son-in-law, daughter-in-law, stepparent, stepchild, aunt, uncle, nephew, niece, grandparent, grandchild, or cousin. The term also includes domestic partners (a person with whom the employee's life is interdependent and who shares a common residence) and a daughter or son of an employee's domestic partner.

## PROGRAM PROCESS

There is a two-step process to reserve funds for a new hire through the OJT Program:

*Step 1* - Business Application (completed one time per business)

*Step 2* - New Hire Application (completed for each new hire a business brings through the program).

The OJT program process begins with a business submitting the Business Application. NYSERDA will accept Business Applications on a continuous basis until all funds for this program have been committed. Once NYSERDA approves a Business Application, the business is eligible to hire employees through the OJT program. Businesses must submit individual New Hire applications for each new hire.

### I. Business Application

The On-the-Job Training Program (PON 3982) and [NYSERDA's Clean Energy Internship Program \(PON 4000\)](#) have a combined Business Application. Businesses may be approved for one or both programs.

Businesses submit their Business Application by completing the online application found here:

[https://portal.nyserda.ny.gov/CORE\\_CONAPP\\_Program\\_Page?programFamily=Workforce%20Development&programName=Workforce%20Development%20and%20Training](https://portal.nyserda.ny.gov/CORE_CONAPP_Program_Page?programFamily=Workforce%20Development&programName=Workforce%20Development%20and%20Training)

If a business does not meet the program eligibility requirements based on the information provided in the Business Application, the application will be rejected. NYSERDA will notify the business of their application status along with reasons for the decision. Businesses may address deficiencies and reapply.

For businesses who meet the program eligibility criteria, the NYSDOL will complete a due diligence review. The NYSDOL due diligence review process will include a review of the business' Unemployment Insurance records; WARN notices<sup>2</sup>; ongoing investigations with NYSDOL's Public Works, Labor Standards and/or Safety and Health Divisions; registration with the NYS Department of State's Division of Corporations; Workers Compensation Insurance and Disability Insurance coverage; federal OSHA records; and contracts/agreements from NYSDOL received during the past three years.

NYSERDA notifies businesses if the business passes the NYSDOL due diligence review, or the NYSDOL directs the business how to resolve issues found during the review. Once a business passes the due diligence review, either at the time of initial review or after resolving deficiencies, the business is registered to participate in the OJT Program. NYSERDA portal login information will be sent to the email address provided in the Business Application.

### II. New Hire Application

Businesses must submit a New Hire Application for each individual worker they seek to bring into the OJT program. New Hire Applications are submitted through the businesses' NYSERDA Portal account. New Hire Applications must be submitted no later than 7 days after the new hire's start date. Businesses work with their assigned NYSDOL Business Service Representative (BSR) to complete each New Hire Application.

New Hire Application steps include:

- a. Identify Potential Candidates (if necessary) – If the business already has candidate in mind, the BSR will help the business develop a training plan and job description. If the business does not have a candidate in mind, the BSR will provide resources to assist the business in finding a suitable candidate.

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<sup>2</sup> Information on WARN notices can be found here:

<http://www.labor.ny.gov/workforcenypartners/warn/warnportal.shtm>.

- b. Interviewing and Selection of Desired Candidate – The business will conduct interviews and determine the candidate they are interested in hiring.
- c. Training Plan Development – The business will work closely with their assigned BSR to develop a training plan for the desired candidate focused on energy efficiency and clean energy technology topics needed for their position. The BSR conducts a skills assessment of the candidate and assists with designing an OJT plan to teach the worker the skills needed to perform their job responsibilities effectively. Once the training plan is complete, it must be signed by the candidate who is being hired and the BSR.
- d. New Hire Application – Once the business has completed the training plan document, they will log into the NYSERDA portal to submit a New Hire Application. The business will upload the signed training plan and a job description for the position.
- e. Application Review and Contract Development – NYSERDA reviews the submitted New Hire Application. If approved, NYSERDA issues an award letter and contract between the business and NYSERDA for participation in the OJT program. The New Hire Application will be used as the basis for the contract. If the application is not approved, NYSERDA will provide notification via email.

### III. Employment and Reimbursement

Businesses must maintain documentation of OJT activities related to the approved Training Plan throughout the OJT training period. NYSERDA may request documentation of training activities at any time. NYSERDA reserves the right, in its sole discretion, to terminate any agreement with a business that does not demonstrate implementation of the approved Training Plan, in accordance with the terms of the attached Sample Agreement.

Businesses must submit invoices to NYSERDA for wage reimbursements per the terms of the contract. To be eligible for reimbursement, the OJT hire must complete a minimum of 5 days on the job. The business may begin invoicing NYSERDA for reimbursement after 4 weeks on the job. Businesses are only allowed to invoice NYSERDA once a month for each hire. If a participating business does not invoice NYSERDA within ten weeks after a candidate starts, the agreement can be terminated. The participating business has 60 days after the contracted OJT end date to invoice for the remaining awarded amount. After the 60 days, NYSERDA reserves the right to terminate or close the agreement and release any remaining funds back into the program budget.

NYSERDA and NYSDOL will conduct monitoring over the term of the contract. See reporting requirements below.

### REPORTING

When a business is awarded a contract with NYSERDA, the business becomes the “Contractor.” The Contractor must agree to the following terms and conditions regarding OJT reporting and reimbursement:

1. The Contractor must keep records of the trainee’s progress according to the application/training plan and must make these records available to NYSERDA and NYSDOL upon request.
2. The Contractor must acknowledge that failure to maintain the required OJT records will result in disallowance of OJT costs.
3. The Contractor also must acknowledge that on-site and/or remote fiscal and programmatic monitoring of contract activities may take place at regular intervals during the contract by either NYSERDA or NYSDOL staff. Requested records must be made available to representatives during these monitoring visits.
4. The Contractor must complete and submit mid-point and final evaluations of each OJT hire when requested to NYSERDA and NYSDOL following guidance provided by NYSDOL. Failure to submit completed evaluations in a timely manner may result in disallowance of OJT funds.
5. The Contractor must notify NYSERDA in writing if any approved OJT candidate is terminated or quits. This notification must be made within two weeks of the change in employment status.
6. Based on past experience with OJT programs, NYSERDA anticipates job retention rates for new hires to be 70 to 80 percent. Contractors that are unable to retain a minimum of 70 percent of their new hires may be terminated from the program or subject to additional requirements related to reporting, monitoring, and minimum employment periods before wages will be reimbursed. NYSERDA reserves the right to

terminate Contractors from the program who receive complaints or other serious charges from employees or new hires.

## REQUIREMENTS & ASSURANCES

### I. Requirements

1. The on-the-job training must occur at a physical business location in NYS.
2. The on-the-job training must be for a new hire in a full-time job (defined as 35 hours or more per week).
3. The business must be able to demonstrate that the on-the-job training is related to CEF goals of increasing energy efficiency, increasing the use of clean energy technologies, and decreasing greenhouse gas emissions.
4. The maximum duration of OJT funding is 16 weeks or 24 weeks depending on business and worker eligibility.
5. Wage calculations to determine OJT reimbursement cannot include payment for holiday or overtime hours worked. In addition, NYSERDA will not reimburse for wages covered by any federal or state loan or grant program.
6. New hires must become employees of the business and not independent contractors or contract employees.
7. The business may not apply for positions based on the addition of commission or tips to a sub-minimum wage base salary.
8. The business receiving OJT funds must be and remain in good standing regarding the following for the duration of their participating in the program: Unemployment Insurance records; WARN notices<sup>3</sup>; ongoing investigations with NYSDOL's Public Works, Labor Standards and/or Safety and Health Divisions; registration with the NYS Department of State's Division of Corporations; Workers Compensation Insurance and Disability Insurance coverage; federal OSHA records; and contracts/agreements from NYSDOL and NYSERDA received during the past three years. Applicants that are on probation in or have been expelled from other NYSERDA utility or other state programs are not eligible to participate in the OJT program.

### II. Assurances

The business must be willing to assure the following:

1. The business' intention in participating is for the newly hired employee to remain employed with the business upon completion of the OJT training plan.
2. On-the-job training will take place during the new employee's work hours (i.e., during the shift/hours for which the worker was hired), and the employee will be compensated at no less than their normal rate of pay.
3. No worker shall be displaced by the OJT employee, including a partial displacement such as a reduction in hours, wages, or employment benefits.
4. The business will comply with New York State labor law and federal law for the protection of workers.

## GENERAL CONDITIONS

**Proprietary Information** - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes.

The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or

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<sup>3</sup> Information on WARN notices can be found here:  
<http://www.labor.ny.gov/workforcenypartners/warn/warnportal.shtm>.

portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to exempt it from disclosure, including a written statement of the reasons why the information should be exempted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <https://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

**Omnibus Procurement Act of 1992** - It is the policy of New York State to maximize opportunities for the participation of New York State business enterprises, including minority- and women-owned business enterprises, as bidders, subcontractors, and suppliers on its procurement Agreements.

Information on the availability of New York subcontractors and suppliers is available from:

Empire State Development  
Division for Small Business  
625 Broadway  
Albany, NY 12207

A directory of certified minority- and women-owned business enterprises is available from:

Empire State Development  
Minority and Women's Business Development Division  
625 Broadway  
Albany, NY 12207

**State Finance Law sections 139-j and 139-k** - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx>. Proposers are required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility (this includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years).

**Tax Law Section 5-a** - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf)). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department.

The Department has created a second form that must be completed by a prospective contractor prior to contacting and filed with NYSERDA. See, ST-220-CA (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220ca\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

**Contract Award** - NYSERDA anticipates making multiple award(s) under this solicitation. NYSERDA anticipates a contract duration of up to six months, unless NYSERDA management determines a different structure is more efficient based upon applications received. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each application should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or

material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify applicants in approximately four weeks from the receipt of an application whether your application has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

**Accessibility Requirements** - If awardees from this solicitation will be posting anything on the web, or if the awardee will produce a final report that NYSERDA will post to the web, the following language must be included. NYSERDA requires contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSERDA's Accessibility Requirements](#).

**Limitation** - This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement. NYSERDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information and the presence of a material possibility of any reputational or legal risk in making of the award.

**Disclosure Requirement** - The proposer shall disclose any indictment for any alleged felony, or any conviction for a felony within the past five years, under the laws of the United States or any state or territory of the United States and shall describe circumstances for each. When a proposer is an association, partnership, corporation, or other organization, this disclosure requirement includes the organization and its officers, partners, and directors or members of any similarly governing body. If an indictment or conviction should come to the attention of NYSERDA after the award of a contract, NYSERDA may exercise its stop-work right pending further investigation or terminate the agreement; the contractor may be subject to penalties for violation of any law which may apply in the circumstances. Proposers must also disclose if they have ever been debarred or suspended by any agency of the U.S. Government or the New York State Department of Labor.

**Vendor Assurance of No Conflict of Interest or Detrimental Effect** - The proposer shall disclose any existing or contemplated relationship with any other person or entity, including any known relationships with any member, shareholders of 5% or more, parent, subsidiary, or affiliated firm, which would constitute an actual or potential conflict of interest or appearance of impropriety, relating to other clients/customers of the proposer or former officers and employees of NYSERDA, in connection with proposer's rendering services as proposed. If a conflict does or might exist, please describe how your company would eliminate or prevent it. Indicate what procedures will be followed to detect, notify NYSERDA of, and resolve any such conflicts.

The proposer must disclose whether it, or any of its members, or, to the best of its knowledge, shareholders of 5% or more, parents, affiliates, or subsidiaries, have been the subject of any investigation or disciplinary action by the New York State Commission on Public Integrity or its predecessor State entities (collectively, "Commission"), and if so, a brief description must be included indicating how any matter before the Commission was resolved or whether it remains unresolved.

**Public Officers Law** – For any resulting awards, the Contractor and its subcontractors shall not engage any person who is, or has been at any time, in the employ of the State to perform services in violation of the provisions of the New York Public Officers Law, other laws applicable to the service of State employees, and the rules, regulations, opinions, guidelines or policies promulgated or issued by the New York State Joint Commission on Public Ethics, or



its predecessors (collectively, the “Ethics Requirements”). Proposers are reminded of the following Public Officers Law provision: contractors, consultants, vendors, and subcontractors may hire former NYSERDA employees. However, as a general rule and in accordance with New York Public Officers Law, former employees of NYSERDA may neither appear nor practice before NYSERDA, nor receive compensation for services rendered on a matter before NYSERDA, for a period of two years following their separation from NYSERDA service. In addition, former NYSERDA employees are subject to a “lifetime bar” from appearing before any state agency or authority or receiving compensation for services regarding any transaction in which they personally participated, or which was under their active consideration during their tenure with NYSERDA.

Any awardee will be required to certify that all of its employees, as well as employees of any subcontractor, whose subcontract is valued at \$100,000 or more who are former employees of the State and who are assigned to perform services under the resulting contract, shall be assigned in accordance with all Ethics Requirements. During the term of any agreement, no person who is employed by the contractor or its subcontractors and who is disqualified from providing services under the contract pursuant to any Ethics Requirements may share in any net revenues of the contractor or its subcontractors derived from the contract. NYSERDA may request that contractors provide it with whatever information the State deems appropriate about each such person’s engagement, work cooperatively with the State to solicit advice from the New York State Joint Commission on Public Ethics, and, if deemed appropriate by the State, instruct any such person to seek the opinion of the New York State Joint Commission on Public Ethics. NYSERDA shall have the right to withdraw or withhold approval of any subcontractor if utilizing such subcontractor for any work performed would be in conflict with any of the Ethics Requirements. NYSERDA shall have the right to terminate any contract at any time if any work performed is in conflict with any of the Ethics Requirements.

**Due Diligence** – NYSERDA, at its discretion, may conduct broad due diligence to validate any or all elements of an application and to assess applicants’ prospects of success, including gathering information to assess a proposal relative to any of the topics listed in evaluation criteria, whether or not such topic is explicitly addressed in a proposal. NYSERDA may conduct due diligence on some or all proposals based on NYSERDA’s current guidelines at the time of a review. NYSERDA staff may follow up with proposers to request additional information or clarification regarding applicant’s proposal, including questions regarding applicant’s business prospects and resources, whether or not those questions are specifically related to the elements of the proposal. Additionally, customized due diligence may be conducted by internal or external staff or contractors based on questions on any proposal raised by NYSERDA staff and/or the Scoring Committee. Due diligence may include (but is not limited to): interviews of independent references and background checks of team members; assessment of prior business experience of any team member associated with a proposal; research on intellectual property claims; customer and partner reference checks; market research on the applicants’ target market and any other related or possibly competitive technology or market area; research to validate any assumptions on current or future revenues, costs, capital needs, and financing prospects for proposers’ business, including similar (or unrelated) technologies, processes, or competitive solutions; or any other research that could reasonably inform the evaluation of a proposal, or the prospects for commercial success of the proposers’ business (whether directly related to, or unrelated to the specific elements in a proposal). Due diligence may include discussions with proposers’ former and current business partners, employees, investors, customers, and competitors. Due diligence may be conducted by NYSERDA personnel or contractors including members of the scoring committee, before, during, or after a scoring process, and prior to finalization of a contract award, any information gleaned in diligence may be used to score or re-score a proposal or apply a program policy factor.

**EO 16 Protocols** – Pursuant to Executive Order No. 16 issued on March 17, 2022, all vendors responding to bids or contracting with New York State must certify, using the form provided as part of this solicitation, their status with regard to conducting business operations in Russia, and that any such business operations in Russia conducted on behalf of the vendor are determined to be permitted under any of the allowable exemptions. The term vendor is intended to encompass bidders prior to contract award, contractors who have received a contract award, contract assignees, or contractors for whom an extension to an existing contract is being pursued. Exemption decisions are in NYSERDA’s sole discretion and are final decisions. NYSERDA reserves the right to solicit additional materials or information regarding the responses or materials provided by a vendor.

Pursuant to Executive Order No. 16, all vendors will be vetted to ensure that they are not on the federal sanctions list at <https://sanctionsearch.ofac.treas.gov/>. There is no waiver or exemption process for vendors appearing on the federal sanctions list.

The Executive Order remains in effect while sanctions imposed by the federal government are in effect. Accordingly, vendors who may be excluded from award because of current business operations in Russia are nevertheless encouraged to respond to solicitations to preserve their contracting opportunities in case sanctions are lifted during a solicitation, or after award in the case of some solicitations.

**Attachments:**

Attachment A: Training Plan Form

Attachment B: Sample Agreement

# Build-Ready Program Auction Request for Information (RFI) 5034



**Response Due Date: June 14, 2022 by 3:00 PM Eastern Time (ET)**

## **Purpose of the RFI**

NYSERDA's [Build-Ready Program](#) identifies sites and advances pre-construction development activities for large-scale renewable energy projects on underutilized lands prior to competitively auctioning and transferring the sites, along with a Renewable Energy Certificate (REC) Agreement (REC Agreement), to the private sector for final construction and operation. The Build-Ready Program is currently developing a pipeline of projects on brownfields, landfills, and abandoned and existing commercial and industrial sites across New York for eventual auction to the private sector.

The Build-Ready Program is issuing this RFI to gather feedback from solar PV developers, owners, operators, and investors to:

1. Better understand the most attractive time in the development process to auction a Build-Ready project.
2. Develop and run a competitive auction process that results in significant interest from the private sector and successful construction and operation of Build-Ready projects.
3. Solicit interest in a voluntary Market Advisory Group (MAG) that the Build-Ready Program can engage from time to time to gather feedback.

To do so, the Build-Ready Program has developed a detailed proposed auction process and a series of questions on the auction process as well as a package of information and a series of questions on a project we are progressing through development.

## **Structure of RFI**

To collect feedback on the proposed Build-Ready auction process and the ideal timing to auction a Build-Ready project, the RFI is divided into two parts:

- Part A: The Build-Ready Proposed Auction Process
- Part B: Build-Ready (BR) Benson Mines Solar Project

### Details of Part A

Appendix 1 provides a detailed explanation of the proposed auction process (see Attachments section). This RFI document includes a series of questions on the Build-Ready auction process.

### Details of Part B

Appendix 2 provides an overview of the BR Benson Mines Solar Project along with Appendix 3-8 that provide more detailed project information (see Attachments section). This RFI document includes a series of questions on the BR Benson Mines Solar Project.

## **Why Participate in the RFI?**

Responding to the RFI is an opportunity for the private sector to provide feedback on the Build-Ready auction process including when and how projects are auctioned and transferred. The Build-Ready Program highly encourages solar PV developers, owners, operators, and investors that are interested in potentially acquiring a Build-Ready project to respond to this RFI.

## Response Details and Directions

Respondents should review this RFI Document and Appendices. To respond to this RFI, please download, **Attachment A: Build-Ready Auction RFI Response Template**, (see Attachments section below). Fill out Attachment A to respond to the RFI questions provided below.

Once Attachment A is complete, please upload and submit your response [online](#). You will be able to indicate your interest in participating in the Build-Ready MAG when you submit your response online. All responses are due by June 14, 2022 at 3:00 PM EDT and must be uploaded and submitted. Emailed responses will not be accepted. Build-Ready encourages respondents to answer all questions in the RFI. If you are unable to answer a question, please mark N/A

**Please note when submitting your response: partially completed information cannot be saved. Please be sure to have all details completed before submitting your response. Upon submission, you will receive a confirmation and a tracking number on your screen to print or save. Refer to this tracking number if you have any questions for the Build-Ready Program about your submission.**

**By responding to this RFI, you hereby grant NYSERDA the right to use all information, concepts, ideas, know-how and other feedback provided in your RFI Response, in anonymized format, in its future design of Build-Ready projects, including preparation of Build-Ready projects for auction, as well as the further design of auctions. However, notwithstanding the prior sentence, Respondent is permitted to indicate whether it wishes to have specific information in its RFI Response treated as proprietary or confidential trade secret information. NYSERDA is subject to and must comply with the requirements of New York's Freedom of Information Law ("FOIL" see Public Officers' Law Article 6). Information in any tangible form including any document that a Respondent wishes to be protected from disclosure to third parties, including any information provided as a part of an RFI Response, must be marked "Confidential" or "Proprietary" at the time such information is provided to NYSERDA. Specific sections of the RFI Response must be individually marked as "Confidential" or "Proprietary."**

If you have questions regarding this RFI, please contact [build-readyauction@nyserda.ny.gov](mailto:build-readyauction@nyserda.ny.gov). If respondents would like to discuss their responses with the Build-Ready team, please submit a request for a discussion via [build-readyauction@nyserda.ny.gov](mailto:build-readyauction@nyserda.ny.gov) no later than May 23, 2022 - two weeks prior to the RFI due date.

Following the submission of an RFI response, NYSERDA may request interviews with respondents to be scheduled at a mutually convenient time.

## RFI Schedule

Build-Ready will host a webinar to review the RFI and respond to questions. A separate email will be sent out with the webinar date, time, and registration information.

Scheduled Event	Date
RFI Webinar to review the RFI document and respond to questions	<i>TBD</i>
Requests for discussion due	May 23, 2022
Responses due	June 14, 2022, 3 PM EDT
Build-Ready Webinar Summarizing and Sharing Results of RFI	<i>TBD</i>

## Attachments

- Attachment A. Build-Ready Program Auction RFI Response Template

### Part A: The Build-Ready Program Proposed Auction Process

- Appendix 1. Build-Ready Program Proposed Auction Process

### Part B: Build-Ready (BR) Benson Mines Solar Project

- Appendix 2. Build-Ready's BR Benson Mines Solar Project Information Memo
- Appendix 3. The BR Benson Mines Solar Project Design Set
- Appendix 4. The BR Benson Mines Solar Geotechnical Investigation Report
- Appendix 5. The BR Benson Mines Solar Landscape Development Plan
- Appendix 6. The BR Benson Mines Solar Wetland Delineation Report
- Appendix 7. The BR Benson Mines Adirondack Park Agency (APA) Solar Generation Facility Permit Application
- Appendix 8. Independent Interconnection Feasibility Report

## **Part A: Build-Ready Program Proposed Auction Process**

As detailed in Appendix 1, NYSERDA's [Build-Ready Program](#) advances large-scale renewable energy projects on underutilized land, such as brownfields, landfills, and abandoned or existing commercial and industrial sites. Working with local partners and stakeholders, Build-Ready identifies sites and advances pre-construction development activities including site control, preliminary design, permitting, and interconnection. Projects are then competitively auctioned to private developers for final design, construction, operation, maintenance, and eventually decommissioning. NYSERDA intends to transfer all accrued development rights to the awarded developer and enter into a contract to purchase the RECs generated from the project once operational.

### **Questions for Respondents**

Please answer the following questions and provide your feedback on the auction process as presented in Appendix 1. In answering the questions, please keep in mind that this RFI is focused on solar PV projects. For any question you are unable to answer, please mark N/A.

#### **1. REC Agreement/Structure**

- A. Would you want to acquire the development rights to a Build-Ready project site if NYSERDA does not offer a REC Agreement packaged with the transfer of development rights? Please note if your answer differs based upon the size of the project; i.e., up to 5 MW AC, 5.01-20 MW AC, 20.01 MW AC or greater.
- B. Assuming NYSERDA offers a REC Agreement with its Build-Ready projects, which REC pricing structure do you prefer and why?
  - i. A Fixed REC. Please provide your rationale.
  - ii. An Index REC. Please provide your rationale.
  - iii. Leave the structure open and allow the bidder to propose the preferred structure.
  - iv. Other, please provide your response.
- C. To what extent does a determination to participate in an auction for a Build-Ready project depend on the status of the Federal Investment Tax Credit? To what extent might it affect your preferences regarding a Fixed REC Price or an Index REC Price?
- D. Please provide any other feedback on the proposed REC Agreement or financing structure.

#### **2. Single Project vs Portfolio of Project**

Would you prefer to bid on a single Build-Ready project site or a portfolio of project sites? Why? Would your response change based on the size of the project(s)? If so, what project sizes would trigger a change in your response?

#### **3. Preferred Development Milestones**

The Build-Ready program has flexibility in how far it progresses a project through development prior to auctioning the project. In answering the questions below pertaining to various development milestones, we would appreciate your initial feedback on how far

we take a project through the different development milestones listed below prior to auctioning and transferring the project to a developer. In answering the questions, please consider if project size might impact your response and indicate the project size that would trigger a change in your answer.

### **3.1 Site Control**

- A. The Build-Ready program is typically using a lease option agreement to obtain site control during its initial project development phase. In such agreements, is there a preference on how the Build-Ready Program approaches lease terms? For instance, what is your preferred duration of the option period, lease period, and any extensions to the lease period.
- B. Do you have a preferred structure for lease rates? For example, do you prefer a fixed rate, escalations by a fixed percentage, or by another escalation methodology? What do you consider an acceptable range for lease rates by acre for solar development?
- C. Please provide any other feedback you have on site control.

### **3.2 Interconnection**

- A. Would you bid on a project with the System Impact Study (SIS) still outstanding? Or would you prefer to wait to bid until the SIS is completed?
- B. Would you bid on a project with the Facilities Study (FS) still outstanding? Or would you prefer to wait to bid until the FS is completed?
- C. Would you bid on a project whose Energy Resource Interconnection Service (ERIS) is still pending?
- D. Would you bid on a project without Capacity Resource Interconnection Service (CRIS) rights secured?
- E. Would you prefer negotiating the terms of an interconnection agreement with the NYISO and Connecting Transmission Owner after project transfer, or have NYSERDA complete this activity prior to the project auction?
- F. Please provide any additional feedback you have on interconnection.

### **3.3 Permitting**

- A. Would you consider acquiring a Build-Ready project that has submitted its permit/siting application with the authority having jurisdiction (AHJ) or Office of Renewable Energy Siting (ORES), but approval is outstanding?
- B. Would you prefer to acquire a Build-Ready project that has completed the AHJ or ORES permitting process?

- C. Please provide any additional feedback you have on permitting.

### **3.4 PILOTS**

- A. Would a complete and agreed upon set of terms of a Payment In Lieu of Taxes (PILOT) agreement that accompanies the final asset purchase agreement be preferred, or, alternatively, would you prefer negotiating the terms of a PILOT as the end-developer after acquiring the project development rights from NYSERDA?
- B. In your opinion, what is a reasonable range, in \$ / MW, for a PILOT agreement?
- C. If available, would you prefer to pay a premium for a waiver of mortgage recording tax and/or Local sales tax?
- D. Do you have a preference between Real Property Tax Law (RPTL) § 487 PILOTS or Industrial Development Agency PILOTS? Similarly, is a fifteen (15) year PILOT term preferable to a twenty (20) year term (or longer)?
- E. Please provide any additional feedback you have on PILOTS.

### **3.5 Host Community Agreements**

- A. The Build-Ready Program is identifying and negotiating Host Community Agreements. The agreements may include benefits such as special local projects (e.g. maintenance to a snowmobile trail, painting a community center) or local workforce development and training opportunities, among others. What is your preference for how the host community benefits are formalized and represented in the auction documents? For instance, NYSERDA can provide a project term sheet that includes the benefits agreed to between NYSERDA and the host community.
- B. Please provide any additional feedback you have on Host Community Agreements.

### **3.6 Other Feedback**

Please provide any other feedback on project development milestones that the Build-Ready Program should consider when advancing project sites. Please consider how projects size affects your preferences.

## **4. Step One Eligibility Application**

As outlined in Appendix 1, for each auction the Build-Ready Program anticipates carrying out a two-step auction process. The first step will be an eligibility application. If a proposer is qualified, they will be invited to submit a proposal and project bid. Please provide any feedback you have on the eligibility requirements. Assume NYSERDA will offer a REC Agreement with the project. Please consider how project size would impact your answer.



## **5. Step Two Bid Proposal**

- A. *Non-Price Requirements.* Please provide your feedback on the step two non-price requirements outlined in Appendix 1. Assume NYSERDA will offer a REC Agreement with the project. Please consider how project size would impact your answer.
- B. *Price Requirements with REC Agreement.* Please provide your feedback related to the step two price proposal requirements outlined in Appendix 1. Assume NYSERDA will offer a REC Agreement with the project. Please consider how project size would impact your response.
- C. *Price Requirements without a REC Agreement.* As outlined in Appendix 1, for projects that will not include a REC Agreement NYSERDA is considering using a “bonus bid” price variable, whereby project costs and fees are set and fixed, and price evaluation is conducted by comparing each proposer’s bonus bid, with the highest bids receiving the greatest scoring weight. Please provide any feedback on the bonus bid concept.

## **6. Project Transfer**

Please highlight any issues that you think could lead to a protracted and/or lengthy closing and transfer process, and what can be done to help streamline this process. As discussed in Appendix 1, NYSERDA anticipates acquiring development rights for each project through a “single purpose project holding company” the project pursuant to Public Authorities Law § 1902 (5) and transferring membership interests in the company to successful proposers/bidders to facilitate the transfer of project development rights.

## **7. Build-Ready Projects and Battery Storage**

What is your preference for incorporating battery storage into project design/development? For example, in what situations and in what manner should Build-Ready include battery storage as part of the project design and development?

## **8. General and Other Feedback**

- A. If Build-Ready is to advance solar PV projects 5 MW AC or less, what is your preferred approach for auctioning the sites? Please share any thoughts or feedback on how Build-Ready should consider other incentives available for solar PV projects less than or equal to 5 MW AC such as the NY-Sun MW Block Incentive and the brownfield and landfill adder?
- B. Please provide any other or general feedback or questions on the Build-Ready auction process.

## **Part B: BR Benson Mines Solar Project**

As detailed in Appendix 2, The BR Benson Mines Solar project is located at Benson Mines, Town of Clifton in St. Lawrence County, New York, on a former mine tailings pile that has gone largely unused since the mine's closure in the 1970's. The proposed solar array system will occupy up to approximately 179 acres of the approximately 255-acre Project Area as depicted on the Project Site Location Map in Appendix 2. The Project's limits span St. Lawrence County Tax Parcels 214.000-4-24 and 214.000-4-21.1, with a proposed interconnection on Parcel 224.000-8-4. The Project anticipates a solar PV array of up to a total AC rating of 20MW. Appendix 2 provides more information on the project including the site history and the status of site control, permitting, interconnection, and community engagement, and the initial plan for project auction. Appendices 3-8 provide more detailed and specific information on the project.

### **Questions: BR Benson Mines Solar Project**

Please provide your feedback on the BR Benson Mines Solar Project as presented in Appendices 2-8 by answering the following questions. We encourage you to respond to the specific details included in this section, but general comments are also welcome. Please reference any specific experience, examples, or data that support your responses. For any question you are unable to answer, please mark N/A.

#### **1. Interconnection**

- A. As discussed in Appendix 2, the BR Benson Mines Solar project is awaiting results of a System Impact Study that was requested in the summer of 2021 under the Project's Small Generator Interconnection Request (NYISO queue #1166), expected to be completed in summer 2022. Currently, Build-Ready is considering auctioning the project once the SIS is completed.
  - i. Would you be interested in acquiring the rights to BR Benson Mines Solar project with the SIS outstanding?
  - ii. Would you be interested in acquiring the rights to BR Benson Mines Solar project with a completed SIS?
  - iii. What stage within the NYISO interconnection process would you want Build-Ready to complete before you would be interested in acquiring the rights to BR Benson Mines Solar project?
  - iv. What information on interconnection do you need to interest you in acquiring the rights to BR Benson Mines Solar project?
- B. The Build-Ready team elected to skip the optional NYISO Feasibility Study and has, through a consultant, conducted an independent feasibility study and production cost modelling. These results are included as Appendix 8. Please provide any comments on the Feasibility Study or production cost modelling results.
- C. As mentioned in Appendix 2 and detailed in Appendix 8, the Independent Interconnection Feasibility Report, Build-Ready anticipates reconductoring work and transformer upgrades at the remote ends of the interconnecting circuit, the Brown's Falls to Newton Falls #22 34.5kV sub-transmission line, in National Grid's service territory. The proposed point of interconnection (POI) is immediately north of, and outside of, National Grid's Star Lake Station. Build-Ready is seeking to better

understand the potential timeline for carrying out and completing the required upgrades.

- i. Would you seek to self-perform any of the connecting transmission owner (CTO) interconnection upgrade-related work pursuant to applicable NYISO rules? Or would you rely on the CTO to perform the upgrade-related work? Please provide rationale as to why you would or would not seek this scope from the CTO.
  - ii. How do you think your decision would impact the timeline for completing the interconnection upgrade work?
- D. Please provide any other interconnection feedback.

## **2. Permitting and Engineering**

- A. In reviewing the project design set, included as Appendix 3, do you envision needing to make significant design modifications to fully utilize the Project site?
- B. Based on what is presented in the drawing set, what are the three most impactful permitting or engineering design decisions to reconsider to reduce project cost without compromising environmental compliance or system reliability?
- C. What is your expected year 1 P50 energy yield estimate for the project based on current available project design plan sets?
- D. Please provide any other permitting feedback.

## **3. General and Other Feedback**

- A. With the information provided in this RFI, would you bid on this project if you were qualified to participate?
- B. Do you have any concerns with the Project, as indicated in the attached project materials, that would prevent you from bidding or would cause you to add a risk premium to your bid? If so, please describe.
- C. Please provide any other feedback on the BR Benson Mines Solar project.

## **Disclaimers**

This RFI is neither a contract offer, nor a request for proposals, and does not commit NYSERDA to award a contract, pay any costs incurred in preparing a response, or to procure or contract for services or supplies. Respondents are encouraged to respond to this RFI; however, failure to submit a response will not impact a Respondent's ability to respond to any future competitive solicitation process (if any) for Build-Ready projects or influence the selection of a service provider going forward or affect its rights and obligations under any applicable laws or in any legal proceeding. NYSERDA reserves the right to discontinue or modify the RFI process at any time, and makes no commitments, implied or otherwise, that this process will result in a business

transaction or negotiation with one or more Respondents. All costs associated with responding to this RFI will be solely at Respondents' expense.



KATHY HOCHUL  
Governor

NYSERDA

RICHARD L. KAUFFMAN  
Chair

DOREEN M. HARRIS  
President and CEO

## Offshore Wind Cable Corridor Constraints Assessment

RFI 5166

*No Funding.*

Comments Due: October 28, 2022 by 3:00 p.m. Eastern Time\*

The Climate Leadership and Community Protection Act ("Climate Act"), enacted in 2019, commits New York State to 9GW of offshore wind (OSW) energy by 2035, a zero-emission electricity system by 2040 and a reduction of greenhouse gas emissions to 85% below 1990 levels by 2050. In support of implementing the Climate Act and the associated Accelerated Renewable Energy Growth and Community Benefit Act, New York State Energy Research Development Authority (NYSERDA) supported the development of the NYSEDA's Power Grid Study, which concluded that 9 GW of offshore wind by 2035 is achievable but will require ongoing and targeted coordination and planning with agencies and other stakeholders to identify feasible solutions to address transmission cable routing limitations.

NYSERDA has developed an Offshore Wind Cable Corridor Constraints Assessment ("Assessment") to better understand the constraints of siting cables in New York State waters, at landfall, and along overland routes to existing points of interconnection (POIs). The Assessment seeks to advance coordination and planning efforts by building on existing work and previous studies. The Assessment coordinates the analysis and evaluation of potential corridor segments to support future decision-making and policy development to achieve New York State's goals and mandates and allow for commercial innovation. The Assessment may inform what actions New York State may consider, helping ensure maximum benefits of renewable OSW energy while minimizing conflicts and impacts on activities and infrastructure. Finally, the Assessment includes coordination with New York State agencies and ongoing and earnest engagement with key stakeholders.

Through this Request for Information (RFI), NYSEDA seeks to provide an opportunity for the public and interested stakeholders to evaluate the draft Assessment (Attachment A). The responses to the Draft Assessment RFI will inform the Final Offshore Wind Cable Corridor Constraints Assessment.

**Response Submission:** Responses to the RFI Information Requested (Section II) should be emailed to [OSWCablesAssessment@nyserda.ny.gov](mailto:OSWCablesAssessment@nyserda.ny.gov) with the subject line **RFI 5166** by 3:00 pm on October 28, 2022. Respondents should provide only information that can be made public by NYSEDA. All responses to the RFI will be considered non-confidential and may be shared with other outside of NYSEDA.

If you have technical questions concerning this RFI, contact Kate McClellan Press at (518) 862-1090 x 3110 or by email [OSWCablesAssessment@nyserda.ny.gov](mailto:OSWCablesAssessment@nyserda.ny.gov).

## **I. Background**

The Assessment will advance the coordination and planning efforts amongst New York State agencies by building on existing work and previous studies, including NYSERDA's Power Grid Study, Offshore Wind Master Plan, and related studies. Using these existing efforts, the Assessment will quantitatively and qualitatively analyze attributes or characteristics of potential cable routes that may be constraints to successful siting, permitting, installation, and maintenance of a cable. The process and results will characterize the environmental, technical, and stakeholder constraints, as well as opportunities, concerns, impacts, and risks of potential undersea and overland cable corridors and associated landings to potential onshore POIs.

The Assessment will identify resources, including natural and environmental, socioeconomic, and infrastructure, that have the most relevance in determining the feasibility of a cable corridor in each of the four approaches for bringing offshore wind to New York City and Long Island: 1) South Shore Approach defined as the south shore of Long Island seaward to the three nautical mile limit of State Waters, 2) Long Island Sound Approach to Long Island and New York City through the Long Island Sound, 3) New York Harbor Approach defined as the Upper New York Bay into New York City, with extensions into the East and Hudson Rivers and 4) Landfall and Overland. For each approach, the Assessment will document and increase the understanding of general and spatially specific environmental, technical and stakeholder constraints, as well as opportunities, concerns, impacts, and risks of potential undersea and overland cable corridors and associated landings.

The Draft Offshore Wind Cable Corridor Constraints Assessment Framework provided for review and comment provides an overview of the assessment process, and the issues and concerns being evaluated. It lays out the structure and anticipated content of the Assessment for meeting the goals above, and provides an overview of the study area for both offshore and onshore components.

## **II. Information Requested**

NYSERDA seeks input that will support and inform New York State's efforts to meet the goals above. This may include, but is not limited to, input on the following questions:

- Does the Draft Assessment accurately capture and describe the constraints and opportunities in a manner that is efficient and complete?
- Do the minimization and mitigation measures address the range of conditions and issues? Are there standard measures that may be applicable to all projects? Are there additional innovative concepts/developmental technologies that should be considered?
- Consider the design and layout of the Draft Assessment, particularly the figures and key findings and recommendations. Are these user-friendly tools for information transfer? What additional presentation formats might be helpful?
- Are there specific stakeholders that may benefit from an opportunity to discuss the results and findings of the Draft Assessment?

### III. Response Requirements

Responses should address one or more of the questions above or provide other relevant information to the Assessment. Responses should be brief but complete, in a Word document or PDF and sent via email to [OSWCablesAssessment@nyserda.ny.gov](mailto:OSWCablesAssessment@nyserda.ny.gov)

To be fully considered, responses should include contact information, including full name and/or organization, as appropriate.

### IV. How Comments Will be Used

At the end of the comment period on October 28, 2022, NYSERDA will collect, review, and summarize the responses received and prepare a Final Offshore Wind Cable Corridor Constraints Assessment. The comments received on the Draft Assessment will be considered and incorporated into the Final Offshore Wind Cable Corridor Constraints Assessment, anticipated to be released by December 30, 2022.

### V. General Conditions

**Proprietary Information** – The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to exempt it from disclosure, including a written statement of the reasons why the information should be exempted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <https://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

**Contract Award** - This solicitation for information will not result in the award of any contract for goods or services with NYSERDA. NYSERDA anticipates collecting RFI responses and analyzing the responses to inform the draft Offshore Wind Cable Corridor Constraints Assessment.

**Limitation** - This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a response, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all responses received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest.

### VI. Attachments

Attachment A: Final Draft Offshore Wind Cable Corridor Constraints Assessment







## **Innovative Bioeconomy and Nature-based Solutions for New York's Climate Goals**

Request for Information (RFI) 5182

Response forms close on **August 30, 2022 by 3:00pm Eastern Time**

### **PURPOSE**

Through this RFI, NYSERDA seeks feedback from potential applicants and other stakeholders to prioritize topic areas in a forthcoming solicitation.

The bioeconomy and nature-based climate solutions provide opportunities to decarbonize across multiple sectors of the economy<sup>1</sup>, with benefits to the environment and resilience. For this RFI, NYSERDA seeks input from stakeholders, as well as from those with novel approaches to significantly increase the scale of negative emissions, carbon sequestration, lower waste related methane emissions, and contribute to New York's clean energy goals through low carbon products, energy conservation measures and net zero emissions energy.

### **BACKGROUND**

New York State's Climate Act sets a net zero greenhouse gas (GHG) emissions goal through a combination of gross emission reductions, energy conservation, and negative emissions, or atmospheric carbon dioxide removal.<sup>2</sup> The Natural and Working Lands sectors, primarily agriculture and forestry, are anticipated to play a substantial role in increasing carbon sequestration, reducing methane emissions from organic waste, with a need for new pathways to accelerate progress<sup>3</sup>.

Fundamentally, improvements in yield and production efficiency of crops and biomass, utilization of organic waste, together with optimal land management can enable a regenerative and circular economy that supports resilience, health, and the environment. An efficient

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<sup>1</sup> Sectors as defined in New York State's Climate Action Council's (CAC) [Draft Scoping Plan](#): Transportation, Buildings, Electricity, Industry, Agriculture and Forestry, Waste

<sup>2</sup> The goals include a reduction of gross emissions of at least 85%, the remaining 15% can be offset by approaches that sequester atmospheric carbon dioxide, also known as negative emissions, or carbon dioxide removal (CDR), details can be found in the Draft Scoping Plan at <https://climate.ny.gov/Our-Climate-Act/Draft-Scoping-Plan> and details on GHG inventory are at <https://www.dec.ny.gov/energy/99223.html>. The ability to remove carbon dioxide from air and sequester it into forms of long term storage, such as wood products, is thought to be one of several scenarios that should be evaluated in helping reach net zero goals.

<sup>3</sup> 15% of New York State's total emissions is about 60 MMt CO<sub>2</sub>e/yr, greater than the expected increase of about 40 MMt CO<sub>2</sub>e/yr, due to increased tree count by 2050, assuming major climate action is implemented on New York's Lands. Such action likely involves planting a few billion trees, details can be found in the Draft Scoping Plan at <https://climate.ny.gov/Our-Climate-Act/Draft-Scoping-Plan>, and economic considerations of implementation can be found: <https://www.nyserdera.ny.gov/About/Newsroom/2022-Announcements/2022-02-17-New-York-State-Agencies-Announce-Report-on-Economic-Benefits>



bioeconomy can substitute numerous high carbon intensity products and energy sources with low emissions alternatives, alongside the potential for additional emissions reduction opportunities that are important for New York State's goals, such as reduced methane emissions and increased carbon sequestration<sup>4</sup>. The potential to locally source feedstocks and utilize them in high value products also offers potential for lowered costs, a more robust local business ecosystem with simpler supply chains and the potential for more jobs within New York State. The next generation bioeconomy not only offers new climate solutions but is a powerful complement to innovations in biotechnology that are transforming how materials and products are created, such as low-temperature manufacturing, capacitors, batteries, semiconductors, and agricultural inputs.

No communication intended to influence this procurement is permitted except by contacting Ziggy Majumdar by e-mail: [NatCarbon@nyserda.ny.gov](mailto:NatCarbon@nyserda.ny.gov) for technical questions. If you have contractual questions concerning this solicitation, contact Venice Forbes at [VeniceSolicitations@nyserda.ny.gov](mailto:VeniceSolicitations@nyserda.ny.gov).

Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement may result in a proposer being deemed a non-responsible offerer.

## **PRIORITIES, ANTICIPATED TOPICS, AND PROJECT TYPES**

Given the goals of the Climate Act, NYSERDA will be issuing competitive solicitations that will seek approaches with technical potential to achieve relevant GHG reduction levels (in million metric tons carbon dioxide equivalent, MMt CO<sub>2</sub>e) toward New York's net zero goals in relevant timeframes (e.g., see Draft [Scoping Plan](#) for 2030-2050 goals). This may involve enabling technologies, but also novel business models, financing strategies, the ability to prove net climate benefit and other co-benefits, and articulating how benefits to disadvantaged communities, environment and resilience are enabled. Anticipated project success criteria include the ability to self-sustain beyond the project period funded by NYSERDA, catalyze additional private investment if needed, and in some cases, inform changes to policy to lower barriers as well as create new incentive and procurement guidelines. Projects with high technical risk (e.g., lower technological maturity) may be supported in certain cases if other funding sources are leveraged (such as federal grants) and the potential for scalability and other benefits for New York State is compelling.

Current topics of interest include, but are not limited to:

- Building products that offer lower embodied emissions, and ideally, the ability to offer net removal of atmospheric carbon dioxide and carbon sequestration<sup>5</sup>, to support

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<sup>4</sup> "Sequestered" meaning in these cases atmospheric removal of carbon dioxide and storage, see [NAS study](#)

<sup>5</sup> <https://nap.nationalacademies.org/catalog/25259/negative-emissions-technologies-and-reliable-sequestration-a-research-agenda>



envelope retrofits and new construction, and are consistent with the need to scale up strategies to reduce heating and cooling demand in New York's buildings

- Other low-carbon products, energy, and services to reduce methane emissions from organic waste.
- Approaches to optimize use of land and natural resources where multiple co-benefits can be demonstrated.
- Improved tools for life-cycle assessments, including measurement, reporting and verification to improve standards that will guide policy, incentives, and procurement for New York State, and catalyze additional investment by the private sector.

The topic areas above are neither exhaustive, nor mutually exclusive, but align with priorities of the Climate Act, New York's clean energy goals and are examples of innovations needed to achieve these goals. The following section elaborates on topics listed above. Input on topics other than those described is welcome, particularly where a low \$/ton CO<sub>2</sub>e can be achieved and significant scale, e.g., net reductions on order of 5% or more of New York State's current levels<sup>6</sup>.

***Building products with low embodied carbon and ideally net removal and sequestration of atmospheric carbon dioxide.*** Buildings represent a significant source of statewide emissions and energy consumption<sup>7</sup>. Efficiency improvements reduce utility bills, reduce stress on the power grid and can lower energy system cost by reducing need for new energy generation assets. The large retrofit needs for New York State's building stock represent a significant opportunity to conserve energy while using locally sourced, low-carbon products. Based on modeling done as part of the Climate Action Council's Draft Scoping Plan, retrofit goals are more than 10-fold over current rate of adoption<sup>8</sup> (about 5-7 million building shell retrofits by 2050, 1 million new construction), suggesting formidable challenges for logistics, workforce, and financing. Legislation at federal and state levels is moving to increase requirements on building materials<sup>9</sup>, given that embodied carbon from buildings is significant<sup>10</sup>, and so,

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<sup>6</sup> See current GHG inventory, <https://www.dec.ny.gov/energy/99223.html>, as well as [Draft Scoping Plan](#)

<sup>7</sup> From page 119 of the Draft Scoping Plan: "The buildings sector was the largest source of emissions in 2019, responsible for 32% of emissions statewide, which includes the combustion of fossil fuels in residential (34%) and commercial buildings (19%), emissions from imported fuels (33%), and HFCs released from building equipment and foam insulation (14%). The fuels used in buildings today include natural gas, distillate fuel (heating fuel #2), wood, propane, kerosene, and residual fuel"

<sup>8</sup> See, for example, page 121 of the [Draft Scoping Plan](#) in the Buildings Chapter, with more detailed numbers used in the modeling available in [Appendix G](#), and [Key Drivers and Outputs data file](#), all from <https://climate.ny.gov/Our-Climate-Act/Draft-Scoping-Plan>

<sup>9</sup> See <https://www.nysenate.gov/legislation/bills/2021/S542> for NYS legislation, and that by [GSA](#)

<sup>10</sup> About 8-11% of total global emissions are due to building materials and construction, such as use of concrete and steel. This embodied carbon is often in the range of 30-50% of a building's total life cycle emissions. As the power grid and heating technologies lower their net emissions, the relative contribution of embodied carbon



proactively catalyzing their development and deployment inside New York State could offer market advantages in the future. If building materials have net negative emissions, the deployment of retrofits on millions of New York State’s building stock, as well as new construction can contribute impact as a climate solution, as opposed to a source of potentially significant positive emissions.

As such, buildings may be a particularly interesting application for novel financing strategies where carbon sequestering materials can count toward corporate emissions reduction targets within their own scope, or, via carbon trading helping to finance<sup>11</sup> building retrofits for those that cannot afford them. In such ways, leveraging carbon sequestration as one aspect of a total building project, may enable an accelerated deployment of retrofits, enabling a more immediate and sustained reduction in energy consumption via reduced heating and cooling demand. In New York City, this could also help by lowering barriers to meet 2030 Local Law 97 targets, which are likely in many cases to require deep retrofits with new building shells, insulation, and other materials<sup>12</sup>. Thus, business and finance innovations can help accelerate near-term deployment for carbon sequestering products, which then creates a pipeline for technical innovations that continue to improve in their performance and climate impact. This also may create additional opportunity for rural communities from agriculture and forestry to diversify their markets and supply urban communities with products from their harvested materials.

Examples in this category include: insulation made from crops and particularly crop residues as by-products of harvesting, using mycelium, hemp and straw, engineered wood such as cross-laminated timber, other mass timber products to substitute steel, concrete, biomaterial substitutes for gypsum, low-carbon concrete that leverages organic waste and stores carbon, and others<sup>13</sup>. In such cases, total building life cycle analysis supported by real-world data is a key element to consider emissions associated with raw material production (e.g., inputs and effects on the landscape for long-term carbon sequestration), harvest, manufacture, shipping, on-site construction, building operation post retrofit (such as R-value), and implications for end-of-life, relative to business-as-usual scenarios. Currently, there is a need to fill data gaps in environmental product declarations, and validate new solutions that can meet code,

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increases. References such as [CLF](#), [World Green Building Council](#), [Architecture 2030](#), the recent [ARPA-E HESTIA program](#) discuss these issues.

<sup>11</sup> Examples of emerging ideas being explored are ones such as The Urban Green Council's [trading report](#), or in a recent study exploring options [“Carbon Trading for New York City’s Building Sector: Report of the Local Law 97 Carbon Trading Study Group to the New York City Mayor’s Office of Climate and Sustainability”](#)

<sup>12</sup> See for example, page 34 of Section I of [Appendix G](#) Integration Analysis Technical Supplement, for modeling assumptions: “ Space heating demands are reduced by 27-44% with the basic shell package and 57-90% with the deep shell package, depending on building type. Air conditioning demands are reduced 14-27% with the basic shell package and 9-57% with the deep shell package”

<sup>13</sup> Recent examples are presentations and forthcoming report from the [Carbon Neutral Buildings Roadmap, awarded projects by ARPA-E HESTIA](#) and recent [report](#) by Carbon Leadership Forum



performance, and other market relevant criteria. There is also a need to better understand techno-economic and workforce barriers around new materials and methods in retrofit and new construction in multiple building types.

***Other low-carbon products, energy or services that reduce methane emissions from organic waste.*** Diverting organic waste and converting existing waste stocks (e.g., landfills, manure from dairy farm lagoons) into energy, such as via anaerobic digestion, pyrolysis, or other chemical and biochemical processes, are examples of alternative energy aimed at lowering net CO<sub>2</sub>e emissions and can reduce environmental pollution and generate revenue for local communities. New York State’s methane emissions from organic waste are about 15% of the State’s total emissions, considering agriculture, landfills, and wastewater, and it is challenging to effectively reduce methane from many small, dispersed waste sources<sup>14</sup>. Processing waste with high efficiency and using it as part of building material that improves energy efficiency may be a compelling example if this can play a role in helping to scale retrofits for New York’s building stock. Certain end-uses as an energy source may also be compelling, particularly if combustion, leakage, and other forms of pollution are avoided.<sup>15</sup> A myriad of products can be derived from valorizing diverse organic materials, however, approaches that offer the largest potential for verifiable net CO<sub>2</sub>e emissions reduction within New York State are of greatest interest.

***Approaches to optimize use of land and natural resources.*** Current strategies to implement New York’s clean energy goals include expanding land area used for solar panels, wind turbines and transmission cables. In some cases, this can become a challenge for certain municipalities, agriculture, and forestry communities, as there are trade-offs in food production, energy, carbon sequestration and other land attributes. The co-benefits to these different strategies are not always obvious, for example, planting trees in certain areas can help to reduce water pollution, air pollution<sup>16</sup>, reduce flood risk<sup>17</sup> and urban heat islands<sup>18</sup>. In certain scenarios, net emissions can be reduced from tree shading in summer, requiring less air conditioning<sup>19</sup> and hence, lower electricity demand. In New York City, disadvantaged communities typically suffer more from pollution, urban heat islands and have less tree cover<sup>20</sup>. Floods can also have a significant impact in those areas due to a decreased preparedness and local infrastructure. In

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<sup>14</sup> See Waste Chapter, page 233 of [Draft Scoping Plan](#)

<sup>15</sup> Such as compost heat recovery, <https://www.sciencedirect.com/science/article/pii/S2667010021001104>

<sup>16</sup> [https://www.milliontreesnyc.org/html/urban\\_forest/urban\\_forest\\_benefits.shtml](https://www.milliontreesnyc.org/html/urban_forest/urban_forest_benefits.shtml)

<sup>17</sup> <https://www.epa.gov/green-infrastructure/benefits-green-infrastructure>

<sup>18</sup> See for example: <https://www.nyserda.ny.gov/About/Newsroom/2022-Announcements/2022-02-17-New-York-State-Agencies-Announce-Report-on-Economic-Benefits> , <https://www.dec.ny.gov/lands/30344.html> ,

<sup>19</sup> <https://www.epa.gov/heat-islands/using-trees-and-vegetation-reduce-heat-islands>

<sup>20</sup> <https://www.nytimes.com/2021/08/20/nyregion/climate-inequality-nyc.html> ,

rural areas, similar interventions reduce water pollution and can benefit farming communities, such as with riparian buffers and agroforestry<sup>21,22</sup>.

In many cases, there is little technical risk in implementation, however there are gaps in financing, workforce<sup>23</sup>, and the ability to predict return on investment, as well as other benefits and risks. Thus, innovative new strategies that can significantly lower implementation costs and more quickly increase scale are of interest. Farmers, municipalities, utilities, and other private landowners can benefit from simple to use, accurate and predictable tools to optimize landscapes, which can also be used for measurement, reporting, and verification and can account for additionality, leakage, and duration of impact with respect to carbon sequestration. Finally, there is a need for community engagement, equity, and inclusivity, together with partnerships between public and private entities that can feasibly scale and sustain the effort. New insights on how to engage the public, such as schools, students, municipalities where participation in climate solutions could provide mutual benefits to health, wellness, and offer scalable and cost-effective climate solutions are sought. This may include creative ways of engaging volunteers, together with experts, as a means toward scalable, sustainable, and mutually beneficial climate solutions. With millions of students and interested citizens in the state, pathways for direct public action are likely under-utilized<sup>24</sup>.

***Improved tools for life-cycle assessments and standardization.*** A key missing element to guide incentives, procurement guidelines, and enabling policy for novel solutions are accurate and accessible data on GHG emissions and other key factors, such as additionality, durability (if emissions reductions or carbon sequestration are sustained), alongside high standards for measurement, reporting and verification. Transparent and accessible tools are needed to evaluate existing products and services, and in the evaluation of innovation projects in a forthcoming solicitation. Such tools are also key to driving decisions by private investors and industry, to optimize their value chains, lower GHG emissions, and lower their risk for reporting obligations. Other examples of applications are tools for the insurance industry, financial lenders, and improved Environmental Product Declarations (EPDs) for buildings that cover upstream (in production, land management), and downstream (end-of-life) effects on carbon sequestration, energy consumption, methane emissions, other risks, and co-benefits.

## REQUESTED INFORMATION FROM *POTENTIAL APPLICANTS*

This section is for potential applicants to briefly describe their approach and relevance to the topics above. For approaches closely related to current practices in Agriculture, Forestry and

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<sup>21</sup> <https://agriculture.ny.gov/soil-and-water/agricultural-non-point-source-abatement-and-control> ,

<sup>22</sup> <https://agriculture.ny.gov/soil-and-water/climate-resilient-farming>

<sup>23</sup> <https://www.nyserra.ny.gov/-/media/Project/Nyserda/Files/Publications/Energy-Analysis/Economic-Impacts-of-NYS-Climate-Mitigation-Strategies.pdf>

<sup>24</sup> <https://www.weforum.org/agenda/2021/04/tazo-tree-corps-jobs-bipoc/>



Waste inside of New York State, respondents should articulate how the approach complements existing programs<sup>25</sup> in the New York State Department of Environmental Conservation (DEC), or Department of Agriculture and Markets.

**Potential applicants to funding opportunities, please complete [this form](#).**

### **REQUESTED INPUT FROM OTHER STAKEHOLDERS (*NON-APPLICANTS*)**

This section is for stakeholders who don't anticipate applying, but would like to provide input, in terms of suggestions on topic priorities, potential partnerships and other insights. We are interested to hear from organizations with similar initiatives, as well as about potential end-users and customers interested in bio-based and nature-based products and services with climate, health, and other co-benefits. NYSERDA would especially like to hear from members and representatives of historically disadvantaged communities (DACs), as well as from environmental justice organizations/areas to better understand needs and opportunities for collaboration.

**Other stakeholders (not potential program applicants), please complete [this form](#).**

### **TIMELINE**

Release date: August 16, 2022

Due date: August 30, 2022

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<sup>25</sup> See pages 193-240 of current and recommended program changes based on the [Draft Scoping Plan](#)



## DISCLAIMER

This RFI does not commit NYSERDA to agree to participate in any transaction, proceed to negotiate any terms, pay any costs incurred in preparing a response, or to procure or contract for services or supplies. NYSERDA reserves the right to discontinue or modify the RFI process at any time, and makes no commitments, implied or otherwise, that this process will result in a business transaction or negotiation with one or more respondents. Respondents are advised that all costs associated with responding to this RFI will be solely at their expense.

## GENERAL CONDITIONS

**Proprietary Information** – Careful consideration should be given before confidential information is submitted to NYSERDA as part of your submission. Review should include whether general, non-confidential information, may be adequate for submission purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <https://www.nyscrda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

**Contract Award** - This solicitation for information will not result in the award of any contract for goods or services with NYSERDA. The information gathered by NYSERDA will be advisory only and is not binding on any state agency, office, commission or public authority.





**FLEET TRANSPORTATION AS-A-SERVICE**  
Request for Information (RFI) 5198  
**No Funding is Associated with this Solicitation**

**Response Due Date: October 12, 2022, by 3:00 PM Eastern Time\***

The New York State Energy Research and Development Authority (NYSERDA) is asking for information regarding as-a-service business models designed to accelerate medium- and heavy-duty truck and bus electrification to help inform policy and program planning, particularly NYSERDA's School Bus Electrification Roadmap and Guidebook. This Request for Information (RFI) will help NYSERDA gain information about the options that operators of medium- and heavy-duty fleets have to transition those fleets to zero emission vehicles.

Transportation is an integral part of most New Yorkers' lives, whether they use private or public transportation methods. However, transportation is also responsible for substantial local pollution and global emissions. Transitioning the transportation sector to clean energy will have many local and global benefits. On a local scale, replacing diesel vehicles, which are currently one of the largest sources of local pollution in historically overburdened communities, will lead to cleaner air and benefits for all, particularly disadvantaged communities.

Many barriers exist to increasing the number of zero emission vehicles on the road, both financial and non-financial. Medium- and heavy-duty zero emission vehicles are increasingly feasible options, but also require higher upfront costs and infrastructure investments. As-a-service business models may offer opportunities for fleets to transition to zero emission vehicles more quickly and with lower costs. These models may be particularly relevant to fleets in disadvantaged communities that cannot easily purchase new vehicles and charging infrastructure because of capital costs. Identifying alternative pathways to participating in a clean transportation future is critical to helping fleets in these communities reduce their emissions.

As mentioned earlier, as-a-service business models are of particular interest to NYSERDA's School Bus Electrification work (although NYSERDA welcomes responses to the RFI from all segments of the medium- and heavy-duty vehicle sector). NYSERDA is currently developing a roadmap that will help inform policy makers on how to support and accelerate the transition to a zero emission fleet as well as a guidebook that will inform schools and bus operators about the opportunities and resources available to them. Information from this RFI will help to add another component and option for school bus operators.

This RFI will help inform NYSERDA's work in these fields and provide a space for as-a-service businesses to examine their strengths and barriers and for customers and potential customers to examine their misgivings and expectations surrounding this business model. This RFI also offers a chance for the private sector to provide feedback on how NYSERDA's Clean Transportation team can help leverage new and evolving business models to enable maximum benefits.



## Response Submission:

Please download a copy of the file, *Attachment A. Fleet Transportation As-A-Service RFI Response Template*. Fill out the document to respond to the RFI questions provided below. Once complete, please submit your response by email to [fleets@nyserda.ny.gov](mailto:fleets@nyserda.ny.gov) with the subject line: 'RFI 5198 Response' and your organization name. Email submission is preferable. Responders may submit Word or PDF files. Individual files should be 100MB or less in file size. Response PDFs should be searchable and created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the responder's entity name in the title of the document. NYSERDA will also accept responses by mail or hand-delivery if email submission is not possible.

If you have any technical questions regarding this RFI, please contact Vincent Riscica at [schoolbus@nyserda.ny.gov](mailto:schoolbus@nyserda.ny.gov) or 212-971-5342, ext. 3490 or Adam Ruder at [transportation@nyserda.ny.gov](mailto:transportation@nyserda.ny.gov) or 518-862-1090, ext. 3411. All respondents should only include information that can be made public by NYSERDA in their RFI responses. All responses to the RFI may be aggregated, will be considered non-confidential, and may be shared with others outside of NYSERDA. However, the identity of the respondent will not be publicly disclosed. If you have questions regarding the RFI response process, please contact Nancy Marucci at [nancysolicitations@nyserda.ny.gov](mailto:nancysolicitations@nyserda.ny.gov) or 518-862-1090 ext. 3335.

**\*All responses must be received by 3 p.m. Eastern Time on the date noted above. Late or faxed responses will not be accepted.** If changes are made to this solicitation, notification will be posted on the "Current Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

## I. Background

Electric options for a wide range of medium- and heavy-duty vehicles are now available. Six of the largest public transportation operators in New York State have committed to switching all of their buses to electric by 2040. However, many more market barriers must be removed to reach New York State's Climate Act goals for clean transportation adoption. Addressing both financial and non-financial hurdles will be critical to reach widespread market penetration of clean transportation technologies.

In her 2022 State of the State address, Governor Kathy Hochul called for NYSERDA to issue an RFI to gather information on as-a-service business models for medium- and heavy-duty (Class 3 and above) zero emission vehicles. Since zero emission medium and heavy-duty vehicles have a higher upfront price than internal combustion engine vehicles, as well as a need for investment in supporting infrastructure, their payback period on fuel savings alone is often insufficient to justify purchasing by fleet vehicle operators. This RFI seeks to learn more about business models that offer several services to fleet vehicle operators including (but not limited to) fleet assessment analysis, infrastructure support, charging, and vehicle purchasing into a single price or services contract that is often cost-competitive with internal combustion engine-powered medium- and heavy-duty vehicles.

This RFI will inform NYSERDA's program development and considerations of new market models that reduce the financial and non-financial hurdles of zero emission transportation adoption for medium- and heavy-duty vehicles. The findings will be particularly relevant to NYSERDA's school bus electrification work, for which as-a-service business models show particular promise.



## **II. Information Requested**

NYSERDA is seeking information to help inform and support the goals discussed above. The questions will be broken up into two categories, one with questions for as-a-service vendors, and one with questions for both current and potential customers and fleet operators.

Please provide your feedback on the questions below about business models that bundle several services for fleet operators. Specific answers are appreciated, but general comments are also welcome. Please download a copy of the file, *Attachment A. Fleet Transportation As-A-Service RFI Response Template*. Fill out the document to respond to the RFI questions provided below. Once complete, please submit your response by email to [schoolbus@nyserda.ny.gov](mailto:schoolbus@nyserda.ny.gov).

### **Questions for Vendors**

1. Briefly describe your fleet-as-a-service business model?
2. When offering fleet-as-a-service, do you target a particular type of fleet and/or customer? Is there a minimum size fleet you aim to target?
3. What aspects of the service have customers responded most favorably to?
4. What have been some of the biggest obstacles to signing customers up for the service? Is there any part of the service that customers are especially wary of or hesitant about?
5. What adjustments, if any, have customers had to make to their standard operating practices due to adopting this different business model?
6. What type of tools or resources do you think tend to help fleet operators understand your service better or help them make the decision to choose your service?
7. What services are your customers most interested in? (Selection of answers)
8. Which types of route features are best for the as-a-service model and why?
9. What is a typical contract length or subscription duration for your service? Is there a minimum time commitment you expect? What are a customers' termination rights/obligations if they end the contract before the minimum?
10. How do you work with fleets that have existing maintenance staff and do you offer trainings?
11. What differentiating factors and/or policies make a market better for deploying vehicles through an as-a-service model?
12. What are the minimum requirements (with respect to fuel usage/miles driven/operating costs/financial terms) for a fleet to realize savings compared to a diesel fleet using your model? If you have experience with these numbers across different fleet segments, please share multiple examples.
13. In as-a-service models what are customers' most preferred pricing options and why? E.g. fixed annual fee, \$/km operating mile, \$ per vehicle, other (please specify)
14. In the as-a-service model, do you offer pay-to-own or lease-to-own? Why or why not? Do you buy or lease from OEMs or from local dealers?



15. In the as-a-service model, how do you approach or plan for 'residual' vehicle value? Do you plan to monetize the batteries at the end of their useful life in the vehicles?
16. In the as-a-service model, what battery life do you plan for? What battery life might be necessary for you to consider this business model?
17. How would you describe your past experience leveraging government incentives for as-a-service offerings? Which incentives are easiest to access? Which are most difficult?
18. What are some challenges to providing the as-a-service model in Disadvantaged Communities? Can you provide examples of how you successfully addressed these challenges?
19. General comments/feedback for NYSERDA on how to best support as-a-service business development across NYS.

#### **Questions for Fleet Operators/Customers**

1. As a fleet operator, have you considered fleet electrification? Why or why not?
2. If you have considered fleet electrification, what have been some of the biggest obstacles to electrification? Are there barriers that an as-a-service offering could help alleviate?
3. As a fleet operator, what is the most attractive part of an as-a-service model?
4. Is there a specific part of the as-a-service model that you are wary of or hesitant about?
5. As a fleet operator, what tools or resources would you be interested in to help inform decision-making around electrification as-a-service business models?
6. How much more would you be willing to pay to electrify your fleet compared to what you currently pay for gasoline/diesel vehicles?
7. General comments/feedback for NYSERDA on how to best support fleet operators considering using an as-a-service business model.

### **III. Response Requirements**

Responses should address one or more of the above questions. Answers should be brief, but complete and submitted by email to [schoolbus@nyserda.ny.gov](mailto:schoolbus@nyserda.ny.gov). Upon review, NYSERDA may request additional information or a call/meeting to discuss the respondent's submission. To be fully considered, all answers should provide required information and be submitted within the indicated timeframe.

### **IV. How Comments Will be Used**

NYSERDA plans to review responses with an eye toward identifying opportunities to support rapid adoption of medium- and heavy-duty ZEVs. Findings from the RFI are expected to be used in NYSERDA's School Bus Electrification Roadmap. Learnings will also inform future directions for NYSERDA's New York Truck Voucher Incentive Program and related market development activities to



remove barriers to zero emission truck and bus purchases. RFI responses will also help NYSERDA target upcoming R&D and demonstration project funding opportunities.

## V. Informational Webinar

An informational webinar will be held via Webex on Thursday October 6, 2022, at 1PM to answer any questions you may have about this RFI. NYSERDA has scheduled this for one hour to allow for ample time for questions and answers. The call may end early if no additional questions are asked. Registration is required in advance via the Webex link below:

<https://nyserdany.webex.com/nyserdany/j.php?MTID=m22b45f180b3ef98394729f0d316815c6>

## VI. General Conditions

### Proprietary Information

Careful consideration should be given before confidential information is submitted to NYSERDA as part of your response. Review should include whether it is critical for understanding responses, and whether general, non-confidential information, may be adequate. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the responder wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <https://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

### Contract Award

This solicitation for information (RFI) will not result in the award of any contract for goods or services with NYSERDA. NYSERDA anticipates collecting RFI responses and analyzing the responses to inform its future programming. Respondents are advised that all costs associated with responding to this RFI will be solely at their expense.

### Limitation

This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a response or procure or contract for services or supplies. NYSERDA reserves the right to discontinue or modify the RFI process at any time and makes no commitments, implied or otherwise, that this process will result in a business transaction or negotiation with one or more Respondents.



**NYSERDA**

**VII. Attachments**

Attachment A: Fleet Transportation As-A-Service RFI Response Template



NY Green Bank  
Eligible Purchaser Pool  
Request for Proposals (RFP) 21

**Proposals Due June 10<sup>th</sup> 2025, 3:00p.m. Eastern Time (ET)**

NY Green Bank (“NYGB”), a division of New York State Energy Research and Development Authority (“NYSEDA”), is seeking to create a pool (the “Eligible Purchaser Pool” or “EPP”) of pre-approved investors (“Eligible Purchasers”) that will be eligible to place bids to purchase NYGB-originated loans and investments that NYGB offers to sell from time to time. Through this RFP, NYGB seeks proposals from investors that meet the EPP Eligibility Criteria set forth below. NYGB will score proposals on a rolling basis and inform proposers of its decision about whether the proposer is admitted to the EPP within 6 weeks of receipt of a completed proposal.

Proposers will be required to provide information related to their financial position, operating performance, and experience in lending to or investing in clean energy projects such as those loans and investments that are made by NYGB from time to time in accordance with its stated mission, as detailed on its website <https://greenbank.ny.gov/>.

**Proposal Submission:** Proposers must submit an EPP proposal via the online portal located at <https://greenbank.ny.gov/Work-with-Us/Open-Solicitations>. Proposers may submit Word, Excel, and/or PDF files (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from Microsoft Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer’s entity name in the title of the document.

No communication intended to influence this procurement is permitted except by contacting [eligiblepurchaserpool@greenbank.ny.gov](mailto:eligiblepurchaserpool@greenbank.ny.gov). Contacting NYSEDA or NYGB other than through [eligiblepurchaserpool@greenbank.ny.gov](mailto:eligiblepurchaserpool@greenbank.ny.gov) (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer’s behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offeror, and (2) may result in the proposer not being selected to join the EPP.

Faxed, or emailed proposals will not be accepted. Incomplete proposals may be subject to disqualification. If changes are made to this solicitation, notification will be posted on the “Open Solicitations” section of NYGB’s website (<https://greenbank.ny.gov/Work-with-Us/Open-Solicitations>).

**I. Overview**

The goal of this solicitation is to streamline the process by which NYGB increases liquidity through the sale of loans, investments, or portfolios thereof (each an “Investment”), from time to time. NYGB seeks to sell Investments to parties with a demonstrated track record of competent portfolio management of investments like those NYGB has made and might sell in the future. NYGB intends to redeploy sale proceeds into future investments to further NYGB’s impact in New York State (“NYS” or the “State”).

When NYGB identifies an Investment to sell to one or more Eligible Purchasers in the EPP, it will provide certain information necessary for members of the EPP to review the Investment and make a bid to purchase. For more details on the bidding process, see “Bid Process” below.

In accordance with industry practice for secondary loan transactions, NYGB intends to use the Standard Terms and Conditions for Trade Confirmations published by the Loan Syndications and Trading Association (“LSTA”) to document the sale of Investments. This document is available at the LSTA’s website (<https://lsta.org/consent/par-confirm-dec-2021>).

## II. About NYGB

NYGB is a state-sponsored investment fund dedicated to alleviating financing gaps in NYS clean energy and sustainable infrastructure markets by mobilizing greater private investment activity in these sectors. As an environment, social and governance (ESG) investor, NYGB ensures that each investment it makes contributes to greenhouse gas emissions reduction in the State.

Proposers are encouraged to familiarize themselves with NYGB's mandate, management team, investment criteria, portfolio, and impact reports, which are all publicly available on NYGB's public website at <https://greenbank.ny.gov/>.

## III. EPP Eligibility Criteria

Proposer eligibility under this solicitation will be determined by the proposer's financial position, operating performance, experience in lending to or investing in clean energy projects such as those loans and investments that are made by NYGB, and compliance with applicable laws and regulations. At a minimum, proposers must:

- a) either:
  - i. be an institutional Accredited Investor per the definition provided by the Securities and Exchange Commission at the following website (<https://www.sec.gov/education/capitalraising/building-blocks/accredited-investor>) with a net worth of at least \$250,000,000; or
  - ii. meet the SEC's definition of a Qualified Institutional Buyer; or
  - iii. be regulated under Federal or state law by the Securities and Exchange Commission (SEC), Office of the Comptroller of the Currency (OCC), New York State Department of Financial Services, or similar agency satisfactory to NYGB in its sole discretion; or
  - iv. be a proposer that, in NYGB's sole discretion, has adequate capital and operating experience to participate as an Eligible Purchaser (each of (i), (ii), (iii), and (iv), as determined by NYGB in its sole discretion, a "Qualified Proposer"); and
- b) have an operating history of successfully managing its core business without financial distress, as determined by NYGB in its sole discretion; and
- c) have experience making loans to and/or investments in clean energy projects such as those loans and investments that are made by NYGB and have experience with portfolio management for such loans or investments, including processing amendments and waivers, as determined by NYGB in its sole discretion.

## IV. EPP Proposal Process

Proposals must be submitted as described on page 1 of this solicitation. Proposal packages must include:

- a) Proposer overview, areas of expertise, relevant financial information, administrative capabilities, and description of clients served;
- b) Evidence that the proposer is a "Qualified Proposer;"
- c) A representation that the proposer has been profitable for the minimum of a) the past five years and b) since the proposer entity's inception
- d) Evidence/description of the proposer's experience making loans to and/or investments in clean energy projects such as those loans and investments that are made by NYGB, and experience with portfolio management for such loans or investments, including processing amendments and waivers. Evidence should include but does not need to be limited to the number of loans and/or investments made to such projects, amount of capital provided to such projects, history of servicing and administering such loans and/or investments;
- e) Contact information for primary contact at proposer;
- f) Confirmation of acceptance of, or comments to, the EPP Nondisclosure and Confidentiality Agreement set forth in Attachment A hereto ("EPP NDA"); and
- g) Disclosure of any debarment or suspension by any agency of the U.S. Government or the New York State Department of Labor.

Proposals will be reviewed in the order received. Proposals will be scored by an EPP Scoring Committee, comprised of members of NYGB, according to the Eligibility Criteria. Proposers will be notified of conditional acceptance or rejections within six (6) weeks after a complete proposal is received. Upon notification of



conditional acceptance, a Proposer will be required to execute the EPP NDA, after which the Proposer will be deemed to have been admitted to the EPP. Any questions of the EPP Scoring Committee regarding proposals will be communicated to the proposer via email. Proposers will be required to respond to any questions in a timely fashion. If there is a significant delay in Proposer's response, NYGB reserves the right to reject the proposal. Firms whose proposals are rejected may request a de-briefing.

#### **V. Terminating Membership in the Eligible Purchase Pool**

Eligible Purchasers may terminate their membership in the EPP by communicating such request in writing to [insert an EPP email inbox]. NYGB reserves the right to remove an Eligible Purchaser from the EPP if (i) the Eligible Purchaser fails to comply with the terms and conditions of the RFP, EPP NDA or any Bid Process, (ii) the Eligible Purchaser fails to comply with any applicable laws or regulations, (iii) the Eligible Purchaser no longer satisfies each EPP Eligibility Criterion, or (iv) NYGB has a good faith reason to believe that the Eligible Purchaser did not participate in any Bid Process for the sole purpose of evaluating whether to submit a bona fide offer to purchase Investments subject to the Bid Process. Any Eligible Purchaser who terminates their membership in the EPP or who is removed from the EPP by NYGB shall be deemed a "Terminated Eligible Purchaser."

#### **VI. Bid Process**

Eligible Purchasers will from time to time be invited by NYGB to participate in an abbreviated bid process ("Bid Process") for the Investment identified for sale at such time. The Bid Process for each Investment shall include the following steps:

- a) NYGB will identify the Investment available for sale and distribute to the EPP an Investment "teaser" based on publicly available information about such Investment.
- b) Eligible Purchasers will express interest in bidding on the Investment offered for sale by submitting an "Interest Form", which will include a certification that (i) the Eligible Purchaser still meets each EPP Eligibility Criterion and (ii) the Eligible Purchaser does not meet any Bid Process Disqualifying Criterion (as described in Section VII below) with respect to the Investment.
- c) NYGB will screen each Eligible Purchaser that has submitted an Interest Form to determine if the Eligible Purchaser should be disqualified from such Bid Process in accordance with the Bid Process Disqualifying Criteria. All Eligible Purchasers who have submitted a complete Interest Form and who are not deemed to be disqualified will be deemed "Qualified Bidders." Qualified Bidders will be provided access to diligence information for such Investment via an electronic data room. The data room will contain a summary of the Investment, as well as supporting documentation that is usual and customary for the underwriting process of such Investment. This will include information such as the size of the Investment, the relevant counterparties involved in the project, the terms of the underlying documentation for such Investment (including tenor, economics, and covenants), and the recent performance of the Investment.
- d) Each Qualified Bidder that wishes to submit a bid for such Investment will submit a bid using the LSTA's Standard Terms and Conditions for Trade Confirmations. NYGB will score such bids and select a winning bid within ten (10) business days. NYGB will select the winning bid by considering the Qualified Bidder's offer price, as well as its ability to service and administer such Investment. Each Qualified Bidder that submits a bid will be notified as to whether their bid has been selected as the winning bid or rejected.
- e) The winning Qualified Bidder will enter into LSTA's Standard Terms and Conditions for Trade Confirmations with respect to the subject Investment before closing on the purchase of the Investment from NYGB.

#### **VII. Bid Process Disqualifying Criteria**

NYGB reserves the right in its sole discretion to disqualify an Eligible Purchaser who submitted an Interest Form from the Bid Process for any Investment if Eligible Purchaser meets any of the below Bid Process Disqualifying Criteria:

- a) Does not currently qualify as an Eligible Purchaser
- b) Fails to meet the "Eligible Assignee" definition or other similar definition in the Investment's legal documentation
- c) Has an economic interest in a direct competitor of the borrower, sponsor, or project for such Investment;
- d) Lacks relevant prior experience in administering loan or investment in such an Investment
- e) Otherwise presents a financial, reputational, or legal risk to the borrower, sponsor, or project for such

- Investment or to the NY Green Bank
- f) Otherwise is no longer compliant with all terms and conditions of the RFP
- g) Otherwise is not in compliance with any applicable laws or regulations in effect as of the date of the bid.

## VIII. General Conditions

**Proprietary Information** - Careful consideration should be given before confidential information is submitted to NYGB as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes.

The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information in NYGB's possession. New York Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYGB that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <https://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYGB cannot guarantee the confidentiality of any information submitted.

**Limitation** - This solicitation does not commit NYGB to pay any costs incurred in preparing a proposal, admit any proposer to the EPP, or sell any Investment to any Eligible Purchaser. NYGB reserves the right to accept or reject any or all proposals received, to negotiate with all proposers, or to cancel in part or in its entirety this RFP when it is in NYGB's best interest. NYGB reserves the right to disqualify proposers based upon the results of a background check into publicly available information and the presence of a material possibility of any reputational or legal risk in admitting a proposer to the EPP.

**Due Diligence** – NYGB, at its discretion, may conduct broad due diligence to validate any or all elements of a proposal and to assess proposers' prospects of success, including gathering information to assess a proposal relative to any of the topics listed in evaluation criteria, whether or not such topic is explicitly addressed in a proposal. NYGB may conduct due diligence on some or all proposals based on NYGB's current guidelines at the time of a review. NYGB staff may follow up with proposers to request additional information or clarification regarding a proposal, whether or not those questions are specifically related to the elements of the proposal. Additionally, customized due diligence may be conducted by internal or external staff or contractors based on questions on any proposal raised by NYGB staff and/or the EPP Scoring Committee. Any information obtained in the course of due diligence may be used by NYGB to score or re-score a proposal.



**Attachment A – EPP Confidentiality and Nondisclosure Agreement (“EPP NDA”, “Sample Agreement”)**

This EPP Confidentiality and Nondisclosure Agreement (this “**Agreement**”) is dated this \_\_\_ day of \_\_\_\_\_, 20\_\_ (“**Effective Date**”), between NY Green Bank, a division of New York State Energy Research and Development Authority, a New York public authority and public benefit corporation (“**NYGB**”), and [COUNTERPARTY], a [STATE OF ORGANIZATION AND TYPE OF ENTITY] having a principal office and place of business at [ADDRESS] (“**Counterparty**”). Each of NYGB and Counterparty may be referred to as a “**Party**” or collectively as the “**Parties**.”

WHEREAS, pursuant to NYGB’s Request for Proposals #21, issued and effective as of June 3, 2022, (the “**RFP**”), NYGB has invited investors to submit proposals to be admitted to a pool (the “**Eligible Purchaser Pool**” or “**EPP**”) of investors that will be eligible to submit bids to NYGB to purchase NYGB-originated loans, investments, or portfolios thereof (“**Investments**”) as NYGB identifies them for sale from time to time (any investors so admitted to the EPP, “**Eligible Purchasers**”);

WHEREAS, Counterparty has applied to NYGB for admission to the EPP and NYGB has determined that Counterparty satisfies the EPP Eligibility Criteria, as set forth in the RFP;

WHEREAS, in order to be admitted to the EPP as an Eligible Purchaser, Counterparty is required to enter into this Agreement with NYGB;

WHEREAS, each Party disclosing information (the “**Disclosing Party**”) wishes to preserve the confidentiality and prevent the unauthorized disclosure and use of any non-public or proprietary information disclosed to the other Party (the “**Receiving Party**”) or its Representatives (as defined below).

NOW THEREFORE, in consideration of the mutual covenants herein, and as a condition to such information being disclosed by or on behalf of the Disclosing Party, the parties agree as follows:

1. Confidential Information. “**Confidential Information**” as used in this Agreement shall mean any non-public or proprietary information, whether in tangible or intangible form, disclosed after the Effective Date by or on behalf of the Disclosing Party to the Receiving Party or its Representatives, whether or not marked, designated or otherwise identified as “confidential”, including but not limited to all: (a) information concerning the Disclosing Party’s past, present and future business affairs; (b) unpatented inventions, ideas, methods and discoveries, trade secrets, know-how and other confidential intellectual property; (c) any third-party confidential information included with, or incorporated in, any information provided by, or on behalf of, a Disclosing Party; and (d) all notes, analyses, compilations, summaries, interpretations and other materials prepared by or on behalf of a Disclosing Party that contain, reflect or are derived from, in whole or in part, any of the foregoing.

2. Exclusions. Confidential Information does not include information that:

a) is, or after the Effective Date becomes, generally available or known to the public other than as a result of, directly or indirectly, a breach of this Agreement or another written agreement by and between Receiving Party and Disclosing Party to maintain such information in confidence;

b) was known to, or was in the possession of, the Receiving Party prior to the Effective Date as can be reasonably established by the Receiving Party through written records;

c) was independently developed and prepared by the Receiving Party not through reference to, or use of, in whole or part, any Confidential Information disclosed pursuant to this Agreement; or

d) was lawfully received from a third party on a non-confidential basis, provided that such third party was not prohibited from disclosing such Confidential Information.

3. Required Disclosures. The Receiving Party may provide access to Confidential Information as follows:

a. In order to comply with applicable law, regulation or a valid order or request issued by any court, governmental agency, or regulatory authority of competent jurisdiction;

b. If such information is aggregated and anonymized by NYGB for use and disclosure in public reports or in accordance with NYGB's and regulatory requirements; and

c. In the case of NYGB, pursuant to Section 4 below.

4. NY FOIL. Notwithstanding anything to the contrary set forth herein, NYGB may provide access to Confidential Information if it is required to be disclosed by NYGB pursuant to a valid request under the New York Freedom of Information Law ("**FOIL**"), as set forth in New York Public Officers Law, Article 6, and 21 NYCRR Part 501. Notwithstanding the foregoing, pursuant to Section 87(2)(d) of FOIL, NYGB may deny access to records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise" ("**Trade Secret Information**"). Accordingly, at the time of submission to NYGB, the Counterparty should fully identify and plainly label any records "confidential" or "proprietary" that it considers to be Trade Secret Information. By so marking such information, the Counterparty represents to NYGB that such records constitute Trade Secret Information. For the avoidance of doubt, any record that is subject to an exclusion set forth in Section 2 above will not be considered Trade Secret Information for purposes hereof. In the event of a valid FOIL request, it is NYGB's current policy to consider any records labeled "confidential" or "proprietary" pursuant to the trade secret exemption procedure set forth in 21 NYCRR Section 501.6 and any other applicable law or regulation; provided, however, that NYGB cannot guarantee that it will deny access to such records in response to a valid FOIL request.

5. Use; Ownership. A Receiving Party shall protect and safeguard the confidentiality of the Disclosing Party's Confidential Information with at least the same degree of care as the Receiving Party would use to protect its own Confidential Information, but in no event with less than a commercially reasonable degree of care. All Confidential Information shall be used solely for the purposes of evaluating or implementing the potential business relationship contemplated by this Agreement, and shall remain the exclusive property of the Disclosing Party. The Receiving Party shall not disclose any Confidential Information to any person or entity, except the Receiving Party's officers, directors, employees, affiliates, agents, advisors, investors and lenders; collectively "**Representatives**") who (a) need to know the Confidential Information to assist the Receiving Party in evaluating or supporting the business relationship contemplated by this Agreement, (b) are informed by the Receiving Party of the confidential nature of the Confidential Information and (c) are subject to confidentiality duties or obligations to the Receiving Party that are no less restrictive than the terms and conditions of this Agreement. The Receiving Party shall be responsible for any breach of this Section caused by any of its Representatives as if such act or omission was performed by the Receiving Party. The Receiving Party shall have no rights, by license or otherwise, to use Confidential Information except as expressly provided herein. The Disclosing Party makes no representation or warranty, express or implied, with respect to any Confidential Information disclosed under this Agreement.

6. Return or Destruction of Confidential Information. At any time during or after the term of this Agreement, at the Disclosing Party's written request, the Receiving Party shall promptly return and shall require its Representatives to return to the Disclosing Party all copies, whether in written, electronic

or other form or media, of the Disclosing Party's Confidential Information, or destroy all such copies and certify in writing to the Disclosing Party that such Confidential Information has been destroyed. Notwithstanding the foregoing, the Receiving Party may retain any copies of Confidential Information (a) required to comply with the Receiving Party's internal record-keeping policies or any applicable federal, state or local law, regulation or regulatory authority to which it is subject; or (b) maintained as archive copies on the Receiving Party's information technology backup systems so long as such copies are destroyed on the normal expiration of such backup files. With respect to any retained Confidential Information, the Receiving Party shall continue to be bound by the terms and conditions of this Agreement in accordance with its terms.

7. No Obligation. Nothing in this Agreement shall impose any obligation upon either Party to consummate any transaction or enter into any business relationship, to enter into any discussion or negotiations with respect thereto, or to take any other action not expressly agreed to herein. Nothing in this Agreement shall prohibit the Disclosing Party from providing the same or similar information to third parties, or from entering into discussions or agreements with third parties, or constitute a joint venture, partnership, or agency relationship between the Parties.

8. Term. Unless extended by a written instrument executed by each Party, this Agreement, and the Receiving Party's obligations with respect to the Confidential Information, shall expire two (2) years from the date of this Agreement.

9. Non-Solicitation. Without the prior written consent of the other Party, no Party, any of its affiliates or any of their respective officers, directors or employees (each, a "**Restricted Person**") may, during the term of this Agreement solicit for employment or otherwise induce, influence, or encourage to terminate employment with the other Party, or employ or engage as an independent contractor, any employee or independent consultant of the other Party (each, a "**Covered Employee**"), except (i) pursuant to a general solicitation through the media or by a search firm, in either case, that is not directed specifically to any Covered Employee, unless such solicitation is undertaken as a means to circumvent the restrictions contained in or conceal a violation of this Section 9 or (ii) if the other Party terminated the employment of such Covered Employee before the Restricted Person having solicited or otherwise contacted such Covered Employee or discussed the employment or other engagement of the Covered Employee. Either Party agrees that the duration, scope and geographical area of the restrictions contained in this Section 9 are reasonable. Upon a determination that any term or provision of this Section 9 is invalid or unenforceable, a court may modify this Section 9 to substitute the maximum duration, scope and geographical area legally permissible under such circumstances to the greatest extent possible to effect the restrictions originally contemplated by the Parties.

10. Cyber Security Threats. Each Party recognizes and agrees that Confidential Information may be e-mailed to its Representatives in the course of dealing. Notwithstanding anything contained herein to the contrary, each Party agrees that so long as the Receiving Party has used reasonable practices to protect its data against breach by third parties, such Party will not be liable for disclosure of Confidential Information caused by a "cyberattack", "hack" or any other unintended data breach performed by a third party.

11. Assignment. This Agreement shall inure to the benefit of and be binding upon each Party and its successors and permitted assigns. Neither Party may assign this Agreement or any provision hereof, in whole or in part, without the prior written consent of the other Party. Nothing in this Agreement, express or implied, is intended to confer upon anyone other than the Parties or their respective successors and permitted assigns any rights, remedies, obligations or liabilities under or by reason of this Agreement.

12. Equitable Relief. Each Party acknowledges and agrees that remedies at law may be inadequate to protect the other Party against any actual or threatened breach of this Agreement by the other Party or its Representatives, and, without prejudice to any other rights and remedies otherwise available to the other Party (including, without limitation, monetary damages), each Party agrees to the granting of specific performance and injunctive or other equitable relief in the other Party's favor without

proof of actual damages and each Party further agrees to waive, and to use all reasonable efforts to cause its Representatives to waive, any requirement for the securing or posting of any bond in connection with any such remedy. Neither Party shall be liable (in contract, tort, or under any other legal or equitable theory) for lost profits or any consequential, punitive or exemplary damages whatsoever with respect to any breach of this Agreement.

13. Governing Law; Jurisdiction. This Agreement shall be construed in accordance with the laws of the State of New York. Each Party agrees that any and all disputes between the Parties under or relating to the terms and conditions of this Agreement shall be fully and finally adjudicated in the state courts of the State of New York.

14. Presumptions; Advice of Counsel. In construing the terms of this Agreement, no presumption shall operate in either Party's favor as a result of its counsel's role in drafting the terms or provisions hereof. Each Party understands the legally binding nature of this Agreement and acknowledges it has been advised to review the terms of this Agreement with legal counsel of its choice and that it has been given reasonable opportunity to seek such legal advice.

15. Amendment and Waiver. Any term of this Agreement may only be amended with the written consent of each Party. Any amendment or waiver effected in accordance with this Section shall be binding upon each Party and its successors and permitted assigns. No failure or delay in exercising any right, power or privilege under this Agreement shall operate as a waiver thereof, nor shall any single or partial exercise thereof preclude any other further exercise or the exercise of any other right, power or privilege hereunder.

16. Notices. All notices, requests, consents, claims, demands, waivers, and other communications hereunder shall be in writing and shall be deemed to have been given: (a) when delivered by email (with written confirmation of receipt), (b) when delivered by hand (with written confirmation of receipt); (c) when received by the addressee if sent by a nationally recognized overnight courier (receipt requested); or (d) on the third day after the date mailed, by certified or registered mail, return receipt requested, postage prepaid. Such communications must be sent to the respective Parties at the addresses set forth on the first page of this Agreement (or to such other address that may be designated by a Party from time to time in accordance with this Section).

17. Entire Agreement. This Agreement expresses the full and complete understanding of the Parties with respect to the subject matter hereof and supersedes all prior or contemporaneous proposals, agreements, representations and understandings, whether written or oral, with respect to its subject matter, and the terms and conditions of this Agreement shall apply in lieu of and notwithstanding any specific legend or statement associated with any particular Confidential Information disclosed.

18. Severability; Captions; Counterparts; Facsimile and Electronic Signatures. If any provision of this Agreement is adjudicated to be invalid under applicable law, such provision shall be inapplicable to the extent of such invalidity without affecting the validity or enforceability of the remainder of this Agreement which shall be given effect so far as possible. The captions in this Agreement are intended for convenience and reference only and shall not affect the meaning or interpretation of the Agreement. This Agreement may be executed in one or more counterparts (which, taken together, as applicable, shall constitute one and the same instrument) and by electronic transmission (such as PDF format), which such signatures shall be considered original executed counterparts. Each Party agrees that it will be bound by its own facsimile and electronic signature and that it accepts the facsimile and electronic signature of each other Party. The words "execution," "signed," "signature," and words of like import herein shall be deemed to include electronic signatures, which shall be of the same legal effect, validity or enforceability as a manually executed signature to the extent and as provided for in the New York Electronic Signatures and Records Act and any applicable federal law.

**[Signature Page Follows]**

IN WITNESS WHEREOF, each Party has caused this Agreement to be executed by its authorized representatives on the date first above written.

**NY GREEN BANK, a division of NEW YORK STATE  
ENERGY RESEARCH AND DEVELOPMENT  
AUTHORITY**

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By: [NAME]  
Title: Managing Director

**[COUNTERPARTY]**

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By: [NAME]  
Title: [TITLE]

**Buildings of Excellence Competition  
Demonstration Projects  
Request for Proposal (RFP) 3928 Rd3  
Up to \$8,000,000**  
*NYSERDA reserves the right to extend or  
add funding at its sole discretion.*

Proposals Due: July 14, 2022, by 3:00 p.m. Eastern Time (ET)\*

The Buildings of Excellence Competition (the Competition) seeks proposals for demonstration projects that will achieve carbon neutral performance while being beautiful and functional, providing healthy, safe, comfortable, and resilient living spaces for their occupants. Successful proposers will also demonstrate how they will be profitable for the project's developers and owners and demonstrate realistic cost reductions in design and construction of carbon neutral buildings. The Competition aims to accelerate the design, development, construction, and operation of carbon neutral multifamily buildings that are more resilient while integrating co-benefits for occupants such as controlled and healthy indoor air quality, as well as exceptional comfort. Successful proposers must demonstrate how their projects' energy use and per capita carbon emissions will be substantively reduced, while increasing building resiliency, including passive survivability, in a manner that can be replicated at scale. The Competition will identify and select proposals for projects that demonstrate the greatest potential for success and replication in the market. Selected projects are eligible to receive up to \$1,000,000 in direct funding as well as support for initiatives focused on broad marketing and public awareness. Proposers must demonstrate (1) architectural design quality and innovation, (2) how their project will generate interest in and demand for the construction of carbon neutral and resilient buildings, and (3) their commitment to share information related to the project's design, costs, and performance used to support the decision-making processes employed to achieve the desired outcomes. This third issuance of the Competition will focus on mid- to high-rise multifamily and mixed-use projects that are at an early stage in their design and development cycle. Projects intended to primarily serve market-rate occupancy will be evaluated and considered for award separately from projects primarily intended to serve Low- to Moderate-Income (LMI) households, or projects located in disadvantaged communities.

**Proposal Submission:** Electronic submission is preferable. Proposers may submit Word, Excel, or pdf files (file formats include the following: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100 MB or less in file size. Proposal pdfs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. NYSERDA also accepts proposals by mail or hand delivery if electronic submission is not possible. For detailed instructions on how to submit a proposal (electronic or paper submission), go to NYSERDA's Funding and Opportunities web page and follow the [Application Instructions and Portal Training Guide](#) [PDF] located in NYSERDA's [Current Opportunities](#).

**Informational webinar:** NYSERDA will deliver hybrid informational session on Thursday May 5, 2022, starting at 11:00 AM, which will be hosted at the Building Energy Exchange (BE-Ex) in New York City. This event will have an in-person component held at BE-Ex and will also be live streamed to allow for remote participation, and opportunities for participants to submit written questions to the presenters will be provided. [Fill out this form](#) to receive an invitation for the listed session and to be notified of additional informational webinars that may be scheduled. Submitting your contact information will ensure you will also be notified of when a future round of the Competition is launched, are about to close, and when the winners of each round are announced.

**Contact Information:** For technical questions, contact Patrick Fitzgerald (designated contact) at [PatrickNC@nyserda.ny.gov](mailto:PatrickNC@nyserda.ny.gov) or (518) 862-1090 ext. 3385; or Matt Brown (designated contact) at [MatthewNC@nyserda.ny.gov](mailto:MatthewNC@nyserda.ny.gov) or (518) 862-1090 ext. 3336. For contractual questions concerning this solicitation, contact Venice Forbes (designated contact) at [VeniceSolicitations@nyserda.ny.gov](mailto:VeniceSolicitations@nyserda.ny.gov) or (518) 862-1090 ext. 3507.

No communication with NYSERDA staff intended to influence this procurement is permitted. Contacting anyone other than the designated personnel (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement may disqualify the proposer from consideration.

**\* All proposals must be received by 3 p.m. (ET) on the date noted above. Late, faxed, or emailed proposals will not be accepted.** Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all submission requirements have been met. Please note the following: for electronic submissions, there are required questions that need to be answered in addition to uploading attachments. Be sure to allot at least 60 minutes to enter and submit proposals. The electronic proposal system closes promptly, and files in process or attempted edits or submission after 3 p.m. (ET) on the date above will not be accepted.

If changes are made to this solicitation before the due date, notification specific to this solicitation will be posted on NYSERDA's [Current Opportunities](#) section.



## I. Introduction

The use of fossil fuels, such as natural gas, propane, oil, and coal, releases carbon dioxide and other emissions into the atmosphere that contribute to climate change and other environmental impacts. Climate change will put buildings, and their systems and occupants, at greater risk in the future of hazards such as flooding, sea level rise, increased temperatures, and more frequent and more extreme storm events. Eliminating the use of fossil fuels to support building operations will decrease carbon dioxide and other emissions. Buildings can be cost-effectively decarbonized by being designed to use electrification for space and water conditioning sometimes in combination with on-site renewable energy and/or storage systems; through higher density occupancy; or through planning a transit-oriented development.

NYSERDA seeks proposals for demonstration projects that will achieve carbon neutral performance while being beautiful and functional; provide healthy, safe, comfortable, and resilient living spaces for their occupants; and be profitable for the projects' developers and owners. Successful proposers will be expected to demonstrate how their project will:

- Achieve Carbon Neutral-ready performance by reducing energy use, using decarbonized methods to heat water and occupied areas, and other tactics for reducing the per capita carbon emissions.
- Increase the building's resilience, including active resilience measures, passive survivability, and adaptation; and do so in a manner that can be replicated at scale.
- Address architectural design attributes, including aesthetics, project site and context, use of natural light, space functionality, acoustics, amenities, and the project's relationship to the larger community, among other design attributes.
- Deliver co-benefits for occupants, such as healthy indoor air quality, while providing exceptional comfort and otherwise outstanding living environments for occupants.

Proposers must demonstrate that the design and construction strategies of their projects are replicable and have the potential to achieve broad-based adoption by both developers and consumers. Proposers must also demonstrate how their projects provide superior financial benefits for owners. The Competition intends to identify and select proposals for projects that demonstrate the greatest potential for success and replication.

Proposers are encouraged to submit projects that enhance age-friendly characteristics. This Competition's goals include proactive design and planning, providing access to recreation, building complete streets, improving the existing built environment, and encouraging compact, multiple-use development – all of which enhance age-friendly community livability. NYSERDA recognizes that demographics are shifting toward older age-ranges, and that the economic and social contributions from older residents are vital. To incorporate the economic and civic strengths of the aging population, the needs and desires of aging New Yorkers must be included in the domains of outdoor space, transportation, housing, social activity, civics/employment, communication/information, and health services. Proposers are encouraged to describe how their proposals address age-friendly characteristics in these domains.

Proposers are also encouraged to submit projects that are located in Downtown Revitalization districts or are located in Disadvantaged Communities.

This round of the Competition will accept proposals for demonstration projects that are, as of the date of the proposal's submission to NYSERDA, in an early design status as defined and detailed in section II of this RFP. The funding provided through the Competition may be used in conjunction with some other funding offered by NYSERDA and utilities service providers. However, proposers must review the rules of the other programs to determine if those funds are accessible in combination with funds offered by this Competition.

## II. Eligibility

NYSERDA, at its sole discretion, determines a proposal's eligibility for the Competition.

### Market Sector

Proposals will be considered and funded based on the primary market sector being served by the project. Projects that intend to primarily serve market-rate occupancy will be evaluated and considered for award separately from projects primarily intended to serve Low- to Moderate-Income (LMI) households, or projects located in Disadvantaged Communities. Eligibility to be evaluated and considered for award as an LMI project can be established for the entire project by confirming a majority of dwelling units will have a household income of no more than 80 percent of the State or Area Median Income (whichever is greater); or for projects that are or will be located in [Disadvantaged Communities](#) and will also provide affordable housing to a majority of households.

### General Eligibility

For a submission to be eligible, the project identified in the proposal must incorporate multifamily occupancy as the primary use and can include buildings that incorporate dwelling units, sleeping units, congregate living, or residence halls. The project must be, or intend to be, located in one of the six investor-owned New York State electricity distribution companies, and pay into the System Benefits Charge (SBC) at that site. To be eligible, projects must demonstrate carbon neutral attributes and meet the definition of Carbon Neutral-ready as defined in section IV. Buildings that provide student housing, including residence halls, that are owned or operated by a municipality or by New York State are not eligible to participate. Hotels, motels, or other hospitality-related buildings are not eligible to participate. The proposer must be the owner or developer and have the authority to select and direct all other members of the project team. The proposer must demonstrate their project team has the capabilities to perform and successfully complete the proposed project as a multidisciplinary and integrated project delivery team.

A proposer may elect to submit more than one proposal to the Competition for different projects (different locations). Members of a proposer's team are welcome to participate in more than one proposal. Multiple, alternative proposals submitted for a single project will result in the disqualification of both proposals, as it is the responsibility of the proposer to determine the more appropriate set of solutions for their project. As part of their submission, the proposer must select and indicate who will serve as the design team lead in support of their project.

A project can encompass one multifamily building, or a portfolio of similar and related multifamily buildings located on the same site, on adjacent and associated sites, or involve a development project in the same neighborhood incorporating buildings that will all have similar design attributes. One- and two-family homes or townhomes as defined within the Definitions section of the International Building Code are not eligible for inclusion as part of a proposal's fundable project. Eligible multifamily projects are as follows:

- a. New Construction: A new building, buildings, or an addition, where a licensed professional architect or engineer has prepared and certified the building plans.
- b. Adaptive Re-use or Gut Rehabilitation: Substantial renovation for one of the following types of projects where a licensed professional architect or engineer has prepared and certified the building plans:
  - Change of use and reconstruction of an existing building, buildings, or space within.
  - Construction work of a nature requiring that the building, buildings, or space(s) within to be out of service and unoccupied for a minimum of thirty days.
  - Reconstruction of a vacant structure, or structures, or space within.
  - The addition to or expansion of a building, in combination with any of the above.

Projects may contain non-residential space; however, the non-residential space must consist of less than 50% of the occupiable square footage of the entire project.

All proposers must submit the Attachment A to this RFP titled Data Collection Form. When available, this Data Collection Form should include the expected, predicted, or modeled energy use, fuel types, and project costs; design drawings should be included in the proposal as Supplementary Documents. Proposals should include wall sections of the building envelope and related design details, and detailed descriptions of the energy systems utilized, when available.

Proposers selected through this Competition must agree to:

1. Update the information initially provided in the Attachment A - Data Collection Form; and assist NYSERDA in promoting their project and to sharing information that will help the industry accelerate the design, construction, and operation of high-performance buildings. All of which may be shared publicly unless otherwise noted.
2. Provide NYSERDA with actual monthly energy use and generation by fuel type for all fuels and from all meters for sixty months after project completion, for the residential portion of the building as well as for the whole building. Directly metered tenant use may be aggregated by fuel type.
3. Populate the U.S. Environmental Protection Agency (EPA) Portfolio Manager or equivalent, for a minimum of sixty months post-occupancy and as directed by NYSERDA, submitting the benchmarking tool's output data to NYSERDA. Disclosure of the benchmarking data on websites, in publications, in presentations or other venues may occur, in whole or in part, in a form attributable to their project.
4. Provide or secure Data Release Authorization Forms from both building owners and a representative sample of tenants, as required for benchmarking of the whole building's energy use, generation, and related utility consumption, as well as to provide additional performance information obtained through monitoring and controls systems, utility metering or submetering systems, or Smart Building systems.
5. Provide updated information related to the project's expected, evolving, and as-built design, costs, and price, in the Data Collection Form and other data collection formats requested by NYSERDA.
6. Allow their projects to be part of NYSERDA's promotional efforts and to cooperate with NYSERDA in the creation and implementation of those efforts, including but not limited to exhibitions, articles, books, electronic media including a Competition website, and lectures promoting the Buildings of Excellence Competition and its outcomes.

## **Project Status**

Projects in the early schematic design through the design development phase as of the date their proposal is submitted to NYSERDA will be considered eligible to participate in the Competition. Proposers may be eligible for an award of \$20 per square foot of gross floor area, up to \$1,000,000.

## **Carbon Neutrality and Energy Performance**

The proposer must confirm the project will be *Carbon Neutral-ready* (carbon neutral) based on the following criteria: A project that excludes all fossil fuels from the building systems and equipment qualifies as carbon neutral. Building systems and equipment at a minimum refers to building heating, ventilating and air conditioning (HVAC), domestic hot water (DHW), kitchen, laundry, and other appliances. Projects that rely on a fossil fuel-fired generator for emergency use only, or projects which are served by an off-site fossil fuel-fired central heating plant, may at NYSERDA's sole discretion qualify as carbon neutral if fossil fuel use is excluded from all other building systems and equipment. NYSERDA, at its sole discretion, will consider exemptions to the carbon neutral rule for process and other unregulated loads on the site on a case-by-case basis.

Additionally, the proposer must rely on one of the following Standards to establish that the minimum projected energy efficiency and building performance proposed for the project's residential-associated space<sup>1</sup> will be met.

- Appendix G of ASHRAE Standard 90.1: Proposers intending to rely on this standard to model and predict energy performance must commit to designing and constructing a project that will achieve a minimum modeled source (primary) energy savings<sup>1</sup> of 20% when compared with a project design that complies with the relevant Energy Conservation Construction Code of New York State (ECCC of NYS), currently the 2020 version; excluding the impacts of any proposed renewable energy generation. Energy performance must be established without the inclusion of any renewable or distributed energy generation, to confirm the energy efficiency performance threshold has been met, and then again calculated after renewable or distributed energy generation has been included in the energy model and submitted by the proposer for comparison with other proposals. Proposers will apply a 2.55 source-to-site conversion factor to support the calculation of efficiency in comparison with the natural gas baseline relied on by this standard to confirm the minimum energy performance threshold will be met. Proposers must commit to use of the "90.1 Section 11 and Appendix G Compliance Form" to establish simulation inputs and complete internal quality control.
- Projects intending to meet certification requirements as published by Phius (Passive House Institute U.S.) must identify the building(s)' modeled source (primary) energy use<sup>1</sup> in terms of kWh/person/year; and projects intending to meet certification requirements published by the Passive House Institute (PHI) must identify the building(s)' modeled source (primary) energy use in terms of kBtu/treated-floor-area/year. Proposers committing to achieving certification to either passive house standard are deemed as meeting the minimum modeled source energy savings<sup>1</sup> requirements. Energy modeling must be completed and submitted both with and without use of renewable energy generation to support evaluation of the efficiency of the design, and to allow comparison with other proposals. Alternative energy modeling will not be expected of proposers committing to achieving certification to either passive house standard to support their predicted energy performance.
- The average Energy Rating Index (ERI) for all residential dwelling units, calculated in accordance with the Standard ANSI / RESNET / ICC 301 - 2019, entitled "Standard for the Calculation and Labeling of the Energy Performance of Dwelling and Sleeping Units Using an Energy Rating Index" or the relevant version of this standard as updated in accordance with the ANSI/RESNET/ICC protocols. To demonstrate the minimum energy performance<sup>1</sup> threshold will be met, the proposer must commit that the project will meet the relevant U.S. Environmental Protection Agency (EPA) ENERGY STAR® Multifamily New Construction Program requirements; and that the average ERI will, at minimum, achieve  $ERI \leq 0.91 \times MFNC \text{ v1.1 ERI Target}$  without inclusion of renewable energy generation. The proposers should also submit the average ERI calculated with the inclusion of on-site renewable energy generation to allow for comparison with other proposals.

### III. Proposal Requirements and Format

The proposal structure should follow the outline listed below, and sequentially address the Scoring Criteria as listed in Proposal Evaluation section IV. The proposer must identify their project's status as of the date of submission, as defined and detailed in section II of this RFP. The proposer's name, the RFP number, and page number should be recorded on every page of the proposal, including attachments. The proposer must submit the following:

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<sup>1</sup> For projects that include mixed use space, only the energy use associated with the project's residential square footage should be included when determining the modeled energy performance of the residential portion of the project. The modeled energy performance shall incorporate the square footage used for residential occupancy, inclusive of all residential-associated space such as hallways, stairwells, elevators, trash, utility and exercise rooms, entrance lobbies, as well as shared laundry facilities exclusively available to the building's residential occupants. A commitment to achieving certification to Phius Core REVIVE or EnerPHit will be accepted for adaptive re-use or gut rehabilitation projects.

## **1. Executive Summary**

The proposer must submit a brief description (~400 words) summarizing how the proposer's approach will meet the stated goals of the Competition. In addition, the proposal must include an abbreviated description (~100 words) for use in the presentation and promotion of selected projects.

## **2. Project Description**

The proposer should provide a clear and concise description of the project, addressing each category detailed in the scoring tables. The quality, rigor, and organization of the proposal will impact its evaluation and scoring, in part as a reflection of the likelihood a selected proposer will be successful in reaching their stated goals. The description should sequentially address the following:

- a. Architectural design attributes, including aesthetics, project site and context, use of natural light, space functionality, acoustics, amenities, and the project's relationship to the larger community, among other design attributes. Consideration will be given to how the project's design will be impacted by, accommodate, and integrate the energy performance, resilience, co-benefits, reductions to embodied carbon, and other strategies proposed for the project.
- b. The project's carbon neutral and energy efficiency attributes that will be achieved through integrated design and construction. Consideration will be given to projects committing to relative performance improvement above the minimum required threshold. Strategies to achieve carbon neutral design attributes can include, but not be limited to densification, electrification, on-site renewable energy systems, grid interactive controls, energy storage (thermal and electric), on-site electric vehicle charging, or transit-oriented development. Predicted impacts of the project as proposed can include Co2/person and Co2/SF.
- c. Proposed use of cost reduction strategies that have the capacity to substantively reduce the overall cost of the project, and that will likely be replicated by other projects or developer teams, integrating performance validation as a critical element of the overall project. Proposers should address:
  - i. Energy efficiency solutions and other characteristics of the project that are expected to impact total costs, strategies to reduce total costs, the trade-offs and avoidance of cost increases, and how the overall costs of the project compare with similar projects (e.g., Low- to Moderate-Income, mixed-income, market-rate, or luxury homes) in the same basic locale,
  - ii. Costs associated with improvements that can be recouped in terms of higher rents or sales prices, the drivers for those increased values, and whether energy savings and benefits will accrue to the project's owner, each apartment's owner, or tenants,
  - iii. The project's viability and replicability, as demonstrated by expected ease or efficiency of construction, economic viability for the market served, unique financing solutions, or other factors that would make the project a model for future projects.
  - iv. Why and how the high-performance features of the building provide both enhanced financial benefits to the owner/developer and attributes that lead to an improved or optimal living environment (e.g., thermal comfort, indoor air and environmental qualities, improved acoustics, building resilience).
  - v. The business model intended to achieve their goals and their approach for following an integrated project delivery process.
  - vi. To establish the project's viability, identify and describe the known or expected sources of capital, including whether those sources have been secured or are anticipated. If access to the necessary capital has not yet been secured, the proposer must identify the underwriting being sought and explain why the project's proposed underwriting approach is likely to be successful. Any financial support that has been secured or is expected to be secured from regulatory or other funding agencies for LMI occupancies must be identified.

- vii. How lower operating costs related to the improvements to the project's energy and ongoing operational performance will be leveraged as part of the underwriting; or if any unique utility metering arrangements are expected to contribute to the underwriting approach; and how the proposed approach can ensure the project's ultimate success and replicability.
- d. Strategies to ensure the building as designed and constructed will be resilient and able to protect the building and its components, as well as the building occupants, shall be considered. Examples of building resiliency may include, but are not limited to:
- raising critical system components above 500- or 1,000-year flood levels,
  - ensuring livable space is not constructed below 500- or 1,000-year flood levels,
  - creating areas of refuge within the building for occupants to shelter in place during extreme heat/cold events, power outages, or flooding,
  - ensuring adequate passive survivability by addressing how the building will maintain comfortable and safe thermal conditions and provide adequate and safe ventilation during an extended power outage, and identifying the duration the building could remain safely occupied, whether natural light or natural ventilation techniques will be used,
  - addressing active resiliency attributes, such as use of backup power or use of energy storage in combination with renewable energy to satisfy critical loads and occupant needs for an extended duration,
  - community resilience-enhancing strategies, such as providing community services or connection to district systems to ensure diversity of energy resources,
  - or other resilience-enhancing strategies not listed above that enable the building or community to adapt to, absorb or recover from events.

The specific resilience risk should be identified (e.g., more-intense heat waves), and how the proposed strategy will increase resilience by addressing that risk should be described in detail. For any buildings in the 500-year flood zone or that are otherwise at risk of current or future flooding, flood-mitigation measures should be incorporated into the design; at a minimum, critical system components should be raised above the 500-year flood elevation unless an alternative flood-mitigation plan to protect those critical components is proposed, and ultimately determined to be acceptable during the awarded project's contracting process, at NYSERDA's sole discretion.

For guidance on managing future flood risk, refer to the draft (or the forthcoming final) [State Flood Risk Management Guidance](#). For guidance on climate change and building resilience, refer to [the ClimAID climate projections for New York State](#), the New York [Adapting Buildings for a Changing Climate](#) website, and the [NYC Climate Resiliency Design Guidelines](#).

- e. Co-benefits, including those to ensure occupant comfort, health and safety, inclusive of use of improved ventilation filtration, such as using Minimum Efficiency Performance Value (MERV) 13 air filters or better, and other actions to safeguard against transmission of air-borne contaminants; sustainability; durability; reduction to embodied carbon, including use of low Global Warming Potential refrigerants and design strategies that reduce the total volume of refrigerants used in the building's systems; commitment to validation of co-benefits based on certification to relevant third-party standard(s).
- f. Features related to reducing the project's embodied carbon and global warming potential impacts of refrigerants, such as the proposed building materials, construction methods or refrigerant gases intended to be used in mechanical systems, shall be listed in the Data Collection Form and described in detail within the proposal's text.
- g. How the project, as constructed, will meet the intent of the design, including the intent to rely on third-party progress inspections and performance testing during the construction process.

- h. Whether commissioning of energy using systems, including the envelope, will be performed; and then relied on to create as-built drawings and energy model(s) to reflect changes in design, including those made during construction.

### **3. Collaboration with NYSERDA, Transparency, and Promotion of Projects**

The proposer should describe how they intend to market and promote the project, including the sharing of information that could be useful to the industry and better inform the public of carbon neutral performance. Additional and relevant information may include but should not be limited to information about the project design, the construction and operational processes, strategies to reduce costs, project costs that are either absolute or comparative, financing strategies, additional construction details, or lessons learned. In accordance with the Proprietary provisions located in Section VIII General Provisions, the proposer should indicate which aspects of this additional information can be publicly shared by NYSERDA in its promotional activities and should stipulate if any portion or portions of the information should be reserved for NYSERDA's internal use and/or for anonymized analysis, and not publicly shared as project-specific information. The extent to which the proposer commits to sharing additional data, as well as the quality of the proposer's marketing plan intended to showcase the project's design and carbon neutral strategies, are considered during evaluation of the proposal.

The proposer is encouraged to identify any additional information not requested in the Attachment A-Data Collection Form that they intend to share with NYSERDA, including but not limited to the strategies that ultimately proved most effective, comparative costs or savings, how marketability was impacted, and the decision-making approach during the design process to ensure the intended and successful outcome. NYSERDA may elect to disclose unprotected information, in whole or in part, on websites, in publications, in presentations, or other venues. In addition, proposer should outline their proposed methods or mechanisms for sharing this information through their marketing plan.

Proposers should submit a marketing plan that will be implemented by the proposer, if selected, and explain how the plan will generate public interest in and demand for advanced clean energy and resilient buildings beyond and in addition to NYSERDA's promotional activities. Selected proposers are expected to cooperate with NYSERDA in the development of other promotional materials, such as but not limited to website, magazine articles, books, blogs, or videos. NYSERDA credits the project name, developer, and design team lead in all promotional material. Awardees are expected to participate in presentations. NYSERDA reserves the right to brand and market the winning projects as NYS Buildings of Excellence projects or a similar reference.

### **4. Supplementary Documents**

- Attachment A - Data Collection Form, with all data required of the proposer populated in submitted form.
- Energy modeling files and report(s) summarizing energy performance-related design strategies should be submitted for all projects, if available.
- Project rendering(s), at least one and up to three.
- Architectural plans, including at least one section and elevation, if available.
- Design details that address energy efficient design, based on Project Status.
- Site plan (encouraged).
- Design details that explain all proposed building resilience strategies.
- Diagram of building showing or explaining low-energy/low-carbon features, including how they will remain resilient for their lifespan.
- Diagram(s) of quality of building characteristics and design features are encouraged.
- Scorecard(s) or checklist(s) for proposed, submitted, or achieved certifications.

Notes:

- 1) Submitted materials may be used for the presentation of winning projects in various forums.
- 2) Photographs and other images may be submitted as .pdfs at time of proposal but must be provided as high-resolution image files at 24 inches wide and 300 dpi for projects selected by the Competition and upon request.
- 3) Updates to the initially submitted materials may be requested for projects selected by the Competition.

#### **IV. Proposal Evaluation**

Prior to review by a scoring committee, proposals will be reviewed for completeness and to ensure they meet General Eligibility requirements as detailed in section II of this RFP. Proposals that do not meet the listed requirements will not be reviewed by the scoring committee.

The General Eligibility requirements to be considered prior to review by a scoring committee include the following:

- The project is a current or future distribution customer of a participating electric utility company that pays into the System Benefits Charge.
- The project identified in the proposal reflects multifamily occupancy as the primary use. The project may contain non-residential space; however, the non-residential space must consist of less than 50% of the occupiable square footage of the entire project.
- The entire project must meet the Carbon Neutral-ready definition provided in section II.
- The project must meet the Early Design Project Status as defined in section II of this RFP.
- The project meets the minimum performance criteria as detailed in section II of this RFP.

Following the initial review, proposals to the Competition will be evaluated based on their overall response and specifically based on the Categories and Category Descriptions as detailed in the Scoring Criteria table. Evaluation and scoring of each proposal will ultimately be determined in comparison with and relative to the other proposals submitted to the Competition.



**SCORING CRITERIA\***

<b>Category</b>	<b>Category Description</b>	<b>Points</b>
<b>Quality of Architectural Design</b>	This category will consider how successfully proposers have addressed architectural design attributes, including aesthetics, project site and context, use of natural light, space functionality, acoustics, amenities, and the project's relationship to the larger community, among other design attributes. Consideration will be given to how the project's design will be impacted by, accommodate, and integrate the energy performance, resilience, co-benefits, reductions to embodied carbon, and other strategies proposed for the project.	20
<b>Carbon Neutral Attributes and Energy Efficiency</b>	Operational energy efficiency, electrification, on-site renewable energy systems, and demand flexibility intended to deliver carbon neutral attributes that will be achieved through integrated design and execution. Points will only be awarded for relative performance improvement above the minimum threshold. Strategies to achieve carbon neutral attributes can include, but not be limited to densification, electrification, on-site renewable energy systems, grid interactivity, energy storage (thermal and electric), on-site electric vehicle charging, and transit-oriented development. Predicted impacts of the project as proposed can include Co2/person and Co2/SF. Strategies should be designed to be resilient for the lifespan of the strategy or system.	20
<b>Reduction in Embodied Carbon</b>	Proposed reductions to embodied carbon and reductions to the total volume of refrigerants used and use low GWP refrigerants that will be incorporated into the project.	10
<b>Cost Reduction Strategies and Performance Validation</b>	Proposed use of cost reduction strategies that have the capacity to substantively reduce the overall cost of the project and will likely be replicated by other projects or developer teams, integrating performance validation as a critical element of the overall project.	20
<b>Resilience, Passive and Active Survivability</b>	Strategies that increase the passive and active resilience of the building and its occupants. Examples include, but are not limited to, raising critical system components above 500-year flood levels, at minimum; ensuring livable space is not constructed below those levels; creating areas of refuge within the building for occupants to shelter in place during heat events, power outages, or flooding; ensuring adequate passive survivability by addressing how the building will maintain safe thermal conditions during an extended power outage, identifying the duration the building could remain safely occupied, whether natural light or natural ventilation techniques will be used, specifically how that can be accomplished and for what duration; addressing active resiliency attributes such as use of backup power or use of energy storage in combination with renewable energy to satisfy critical loads for an extended duration; community resilience-enhancing strategies such as connection to district systems to ensure diversity of energy resources; or other resilience-enhancing strategies.	15
<b>Quality of Co-benefits</b>	Occupant comfort, health, wellness, and safety, including attributes such as Minimum Efficiency Performance Value (MERV) 13 air filters or better; and other actions to safeguard against transmission of air-borne contaminants, sustainability, and durability, combined with a commitment to validation of co-benefits based on certification to relevant third-party standard(s).	15
<b>Bonus Categories</b>	The project is subject to the commercial section of the Energy Conservation Construction Code of New York State.	10
	Adaptive re-use or gut rehabilitation projects as defined in the Eligibility Section II of this RFP may be eligible to receive these bonus points. To be eligible, the project must establish that the solutions and attributes are replicable at scale, and applicable to other projects with similar existing conditions attributes.	10
	An additional (2) bonus points will be awarded to projects for each of the following attributes: the project will be in a Clean Energy Community; or in a NYS DEC potential environmental justice area; or in a Downtown Revitalization Initiative area; or in a Disadvantaged Community as defined by New York State; or in a jurisdiction that has committed to adopting NY Stretch Energy Code 2020.	Up to 5 points, maximum.

\* Projects primarily intended to offer housing for a primarily market-rate occupancy will be evaluated, scored, and awarded as market-rate projects. Projects defined as Low- to Moderate-Income per eligibility section II of this RFP will be evaluated, scored, and awarded in a category separate from projects identified as primarily for market-rate occupancy.

## **Program Policy Factors**

NYSERDA reserves the right to accept or reject proposals based on the following program policy factors:

- Diversity of building typology, geography, proposed solutions, or other critical elements.
- Geographic, demographic, economic, or population distribution or diversity.
- Contractual commitment to LMI occupancy, post-completion.

## **V. Selected Projects, Subsequent Submissions, and Required Updates**

Selected proposers are required to execute an agreement (see Attachment B – Sample Agreement) with NYSERDA and deliver completed projects that meet the requirements detailed in this solicitation. The project deliverables and associated payments will be as detailed in this solicitation and the agreement executed between the selected proposer and NYSERDA.

At any point during the design or construction process, NYSERDA must be notified and provided associated details if significant deviation from the original proposal is expected, including whether the project is expected to fall short of the building performance and related goals as detailed in the original proposal, including the proposer's commitment to achieving the source energy savings in their original proposal to NYSERDA. Projects selected through this Competition must ensure that the cumulative changes during design or construction will not increase the predicted source energy use or carbon emissions in comparison to the project as originally submitted. Continuation of any project that deviates from the original proposal will be subject to NYSERDA's discretion. NYSERDA reserves the right to terminate any project should it fall below the originally committed energy performance or will not meet NYSERDA's definition of being Carbon Neutral-ready.

Additionally, the following submissions and updates are required:

Following selection and notification of award, and in support of NYSERDA's development of the project's contractual agreement:

- One-page summary of major changes from initial proposal, if applicable,
- Updated Attachment A – Data Collection Form,
- Anticipated construction schedule, including dates for permit approval, mid-construction, and project completion (Temporary or final Certificate of Occupancy).
- Cost data (budgeted).

At receipt of building permit or at completion of design of modifications for projects already in construction:

- Updates to original proposal descriptions and related documents, including Attachment A– Data Collection Form,
- One-page summary of major changes from initial proposal,
- One- to two-page discussion of any reduction in projected performance in comparison to the initial proposal,
- Copy of valid building permit, including all aspects of design,
- Pre-certification documentation to the standard(s) committed to by the proposer,
- Marketing Plan that focuses on promotion of the project to the public,
- Cost-related documentation,
- Updated schedule of construction.

At 50% completion of construction:

- Updates to original proposal descriptions and related documents, including Attachment A– Data Collection Form,
- One-page summary of major changes from initial proposal,
- One- to two-page discussion of any reduction in projected performance in comparison to the initial proposal,
- Updates to the Marketing Plan,
- Updates to the Cost-related documentation,
- Updated schedule of construction.

Following completion of construction:

- Copy of Certificate of Occupancy (C of O) or Temporary C of O for newly constructed projects, or documentation that confirms completion of construction for projects proposing to the post-completion Project Status
- Any updates to original proposal descriptions and related documents, including Attachment A–Data Collection Form, to reflect any changes not yet documented to NYSERDA
- Updates to the Marketing Plan,
- Updates to the Cost-related documentation,
- As-built drawings and as-built energy models
- Construction photos, suitable for presentation (minimum of 5)
- Photographs of final project, suitable for presentation (minimum of 5)
- One- to two-page discussion of any reduction in projected performance from initial submission,
- One-page summary of lessons learned

After year one and year two of building occupancy:

- Document the energy data and related information:
  - Energy use following one year and again following two years of building occupancy, reflecting all energy used or produced on site, with energy use provided upon request for up to sixty months following building occupancy
  - Whole building benchmarking through use of the EPA Portfolio Manager
  - Additional data or updates to the original proposal to the Competition, including Attachment A–Data Collection Form, to reflect the as-built condition of the project
  - Comparison between actual and predicted energy data
  - One-page narrative discussing why project did or did not achieve predicted performance
- Updates to the Marketing Plan,
- Updates to the Cost-related documentation, if any,
- One-page summary of lessons learned

**VI. Schedule of Payments**

	<b>Milestone</b>	<b>% Of Total Award</b>
1	At Approval of Building Permit	15% to developer
		10% to design team lead
2	At 50% Completion of Construction	25% to developer
3	At Completion of Construction	35% to developer
		5% to design team lead
4	One and Two Years after Occupancy	10% to developer after second submission, with two years of occupancy and energy use data.

NYSERDA anticipates executing two separate agreements associated with each selected proposal, one each with the developer and the design team lead. NYSERDA reserves the right to negotiate the amount or schedule of payments for a selected project. At its sole discretion, NYSERDA may reduce or withhold payments for a project that falls short of the proposed level of performance, or that has not met this solicitation’s minimum submission requirements.

## VII. NYSERDA Responsibilities

NYSERDA provides funding and support to projects in accordance with the Competition, as detailed in this solicitation.

## VIII. GENERAL CONDITIONS

**Proprietary Information:** Careful consideration should be given before confidential information is submitted to NYSERDA as part of the proposal. Review should include whether the information is critical for evaluation and whether general, non-confidential information, would suffice for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure of records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which, if disclosed, would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary and confidential trade secret information should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to excluding it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in [21 NYCRR Part 501](#). However, NYSERDA cannot guarantee the confidentiality of any information submitted.

**Omnibus Procurement Act of 1992:** It is the policy of New York State to maximize opportunities for the participation of New York State business enterprises, including minority- and women-owned business enterprises, as bidders, subcontractors, and suppliers on its procurement agreements.

Information on the availability of New York State subcontractors and suppliers is available from the following:

Empire State Development  
Division for Small Business  
625 Broadway  
Albany, NY 12207

A directory of certified minority- and women-owned business enterprises is available from the following:

Empire State Development  
Minority and Women's Business Development Division  
625 Broadway  
Albany, NY 12207

**State Finance Law sections 139-j and 139-k:** NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found on the [Office of General Services' website](#). Proposers are required to answer questions during proposal submission, make required certification under the State Finance Law, and disclose any Prior Findings of Non-Responsibility (this includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years).

**Tax Law Section 5-a:** NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor with a monetary value in excess of \$100,000, prior to entering an agreement with NYSERDA, to certify to the Department of Taxation and Finance (DTF) whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the DTF to collect New York State and local sales and compensating use taxes. The DTF has created [ST-220-TD](#) to allow a prospective contractor to readily make such certification. Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA that such certification with the DTF has been filed. The DTF has created a second form, [ST-220-CA](#), that must be completed by a prospective contractor and filed with NYSERDA, prior to contracting. [Guidance for contractors](#) can be found on the [DTF's website](#).

**Contract Award:** NYSERDA anticipates making multiple awards under this solicitation. A contract may be awarded based on initial applications without discussion, or following limited discussion, or following negotiations pertaining to the statement of work. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA uses the sample agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Attachment B–Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions generally results in a more expedited contracting process. NYSERDA expects to notify proposers in approximately 12 weeks from the proposal due date whether the proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

**Accessibility Requirements:** If awardees from this solicitation post anything on the web, or if the awardee produces a final report that NYSERDA posts to the web, the following language must be included. NYSERDA requires contractors producing content intended to be posted to the web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as documents (pdf, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSERDA's Accessibility Requirements](#).

**Limitation:** This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the sample agreement. NYSERDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information and the presence of a material possibility of any reputational or legal risk in making the award.

**Disclosure Requirement:** The proposer will disclose any indictment for any alleged felony or any conviction for a felony within the past five years, under the laws of the United States or any state or territory of the United States and will describe circumstances for each. When a proposer is an association, partnership, corporation, or other organization, this disclosure requirement includes the organization and its officers, partners, and directors or members of any similarly governing body. If an indictment or conviction should come to the attention of NYSERDA after the award of a contract, NYSERDA may exercise its stop-work right pending further investigation or terminate the agreement. The contractor may be subject to penalties for violation of any law which may apply in the particular circumstances. Proposers must also disclose if they have ever been debarred or suspended by any agency of the U.S. Government or the New York State Department of Labor.

**Vendor Assurance of No Conflict of Interest or Detrimental Effect -** The proposer shall disclose any existing or contemplated relationship with any other person or entity, including any known relationships with any member, shareholders of 5% or more, parent, subsidiary, or affiliated firm, which would constitute an actual or potential conflict of interest or appearance of impropriety, relating to other clients/customers of the proposer or former officers and employees of NYSERDA, in connection with proposer's rendering services as proposed. If a conflict does or might exist, please describe how your company would eliminate or prevent it. Indicate what procedures will be followed to detect, notify NYSERDA of, and resolve any such conflicts.

The proposer must disclose whether it, or any of its members, or, to the best of its knowledge, shareholders of 5% or more, parents, affiliates, or subsidiaries, have been the subject of any investigation or disciplinary action by the New York State Commission on Public Integrity or its predecessor State entities (collectively, "Commission"), and if so, a brief description must be included indicating how any matter before the Commission was resolved or whether it remains unresolved.

**Public Officers Law –** For any resulting awards, the Contractor and its subcontractors shall not engage any person who is, or has been at any time, in the employ of the State to perform services in violation of the provisions

of the New York Public Officers Law, other laws applicable to the service of State employees, and the rules, regulations, opinions, guidelines or policies promulgated or issued by the New York State Joint Commission on Public Ethics, or its predecessors (collectively, the "Ethics Requirements"). Proposers are reminded of the following Public Officers Law provision: contractors, consultants, vendors, and subcontractors may hire former NYSERDA employees. However, as a general rule and in accordance with New York Public Officers Law, former employees of NYSERDA may neither appear nor practice before NYSERDA, nor receive compensation for services rendered on a matter before NYSERDA, for a period of two years following their separation from NYSERDA service. In addition, former NYSERDA employees are subject to a "lifetime bar" from appearing before any state agency or authority or receiving compensation for services regarding any transaction in which they personally participated, or which was under their active consideration during their tenure with NYSERDA.

Any awardee will be required to certify that all of its employees, as well as employees of any subcontractor, whose subcontract is valued at \$100,000 or more who are former employees of the State and who are assigned to perform services under the resulting contract, shall be assigned in accordance with all Ethics Requirements. During the term of any agreement, no person who is employed by the contractor or its subcontractors and who is disqualified from providing services under the contract pursuant to any Ethics Requirements may share in any net revenues of the contractor or its subcontractors derived from the contract. NYSERDA may request that contractors provide it with whatever information the State deems appropriate about each such person's engagement, work cooperatively with the State to solicit advice from the New York State Joint Commission on Public Ethics, and, if deemed appropriate by the State, instruct any such person to seek the opinion of the New York State Joint Commission on Public Ethics. NYSERDA shall have the right to withdraw or withhold approval of any subcontractor if utilizing such subcontractor for any work performed would be in conflict with any of the Ethics Requirements. NYSERDA shall have the right to terminate any contract at any time if any work performed is in conflict with any of the Ethics Requirements.

**Due Diligence** – NYSERDA, at its discretion, may conduct broad due diligence to validate any or all elements of an application and to assess applicants' prospects of success, including gathering information to assess a proposal relative to any of the topics listed in evaluation criteria, whether or not such topic is explicitly addressed in a proposal. NYSERDA may conduct due diligence on some or all proposals based on NYSERDA's current guidelines at the time of a review. NYSERDA staff may follow up with proposers to request additional information or clarification regarding applicant's proposal, including questions regarding applicant's business prospects and resources, whether or not those questions are specifically related to the elements of the proposal. Additionally, customized due diligence may be conducted by internal or external staff or contractors based on questions on any proposal raised by NYSERDA staff and/or the Scoring Committee. Due diligence may include (but is not limited to): interviews of independent references and background checks of team members; assessment of prior business experience of any team member associated with a proposal; research on intellectual property claims; customer and partner reference checks; market research on the applicants' target market and any other related or possibly competitive technology or market area; research to validate any assumptions on current or future revenues, costs, capital needs, and financing prospects for proposers' business, including similar (or unrelated) technologies, processes, or competitive solutions; or any other research that could reasonably inform the evaluation of a proposal, or the prospects for commercial success of the proposers' business (whether directly related to, or unrelated to the specific elements in a proposal). Due diligence may include discussions with proposers' former and current business partners, employees, investors, customers, and competitors. Due diligence may be conducted by NYSERDA personnel or contractors including members of the scoring committee, before, during, or after a scoring process, and prior to finalization of a contract award, any information gleaned in diligence may be used to score or re-score a proposal or apply a program policy factor.

## **IX. Attachments:**

Attachment A–Data Collection Form Rd3  
Attachment B–Sample Agreement Rd3

**Buildings of Excellence Competition  
Early Design Support  
Request for Proposal (RFP) 3928-RD3-D Rd3  
Up to \$2,000,000**

*NYSERDA reserves the right to extend or  
add funding at its sole discretion.*

Applications accepted continuously through December 30, 2022, by 3:00 p.m. Eastern Time (ET)\* or until funds are fully committed, whichever occurs first\*.

The Buildings of Excellence Competition Early Design Support Request for Proposal (the “Early Design Support RFP”) seeks proposals for qualified design firms that will provide early-stage design support for new construction and adaptive reuse projects that will achieve carbon neutral-ready performance while being beautiful and functional, providing healthy, safe, comfortable, and resilient living spaces for their occupants, and will be profitable for the project’s developers and owners. The Early Design Support RFP is part of and in support of the larger Buildings of Excellence Competition (the “Competition”). The current round of the Competition is comprised of two RFPs, this Early Design Support RFP and a project demonstration RFP. The Competition aims to accelerate the design, development, construction, and operation of carbon neutral-ready multifamily buildings that are more resilient while integrating co-benefits for occupants such as controlled and healthy indoor air quality, as well as exceptional comfort. Successful proposers to the Early Design Support RFP will be expected to demonstrate how their design firm will engage with projects to substantially reduce energy use and per capita carbon emissions, while increasing building resiliency, including passive survivability, and improving health, comfort, and productivity for occupants, in a manner that can be replicated at scale. The Early Design Support RFP will identify and partner with selected design professionals that demonstrate the greatest potential for success and replication in the market. Through this Early Design Support RFP, selected design firms are eligible to receive up to \$250,000 in direct funding per project, as well as support for initiatives focused on broad marketing and public awareness. Proposers must demonstrate (1) competence in carbon neutral-ready design that is coupled with architectural design quality and innovation, (2) ability to deliver high quality and functional, carbon neutral-ready and resilient, multifamily projects at competitive costs, with and superior performance, (3) how their projects generate interest in and demand for the design and construction of carbon neutral-ready and resilient buildings, and (4) their commitment to share information related to the project’s design, costs, and performance used to support the decision-making processes employed to achieve the desired outcomes.

**Proposal Submission:** Electronic submission is preferable. Proposers may submit Word, Excel, or pdf files (file formats include the following: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100 MB or less in file size. Proposal pdfs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer’s entity name in the title of the document. NYSERDA also accepts proposals by mail or hand delivery if electronic submission is not possible. For detailed instructions on how to submit a proposal (electronic or paper submission), go to NYSERDA’s Funding and Opportunities web page and follow the [Application Instructions and Portal Training Guide](#) [PDF] located in NYSERDA’s [Current Opportunities](#).

**Informational webinar:** NYSERDA will deliver hybrid informational session on Thursday May 5, 2022, starting at 11:00 AM, which will be hosted at the Building Energy Exchange (BE-Ex) in New York City. This event will have an in-person component held at BE-Ex and will also be live streamed to allow for remote participation, and opportunities for participants to submit written questions to the presenters will be provided. [Fill out this form](#) to receive an invitation for the listed session and to be notified of additional informational webinars that may be scheduled. Submitting your contact information will ensure you will also be notified of when a future round of the Competition is launched, are about to close, and when the winners of each round are announced.

**Contact Information:** For technical questions, contact Kristin Graham (designated contact) at [KristinNC@nyserdera.ny.gov](mailto:KristinNC@nyserdera.ny.gov) or (518) 862-1090 ext. 3069; or Matt Brown (designated contact) at [MatthewNC@nyserdera.ny.gov](mailto:MatthewNC@nyserdera.ny.gov) or (518) 862-1090 ext. 3336. For contractual questions concerning this solicitation, contact Venice Forbes (designated contact) at [VeniceSolicitations@nyserdera.ny.gov](mailto:VeniceSolicitations@nyserdera.ny.gov) or (518) 862-1090 ext. 3507.

No communication with NYSERDA staff intended to influence this procurement is permitted. Contacting anyone other than the designated personnel (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer’s behalf) in an attempt to influence the procurement may disqualify the proposer from consideration.

**\* All proposals must be received by 3 p.m. (ET) on the date noted above. Late, faxed, or emailed proposals will not be accepted.** Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all submission requirements have been met. Please note the following: for electronic submissions, there are required questions that need to be answered in addition to uploading attachments. Be sure to allot at least 60 minutes to enter and submit proposals. The electronic proposal system closes promptly, and files in process or attempted edits or submission after 3 p.m. (ET) on the date above will not be accepted.

If changes are made to this solicitation before the due date, notification specific to this solicitation will be posted on NYSERDA's [Current Opportunities](#) section.



## I. Introduction

The burning or use of fossil fuels, such as natural gas, oil, and coal, releases carbon dioxide and other emissions into the atmosphere that contribute to climate change and other environmental impacts. Eliminating use of fossil fuels will decrease carbon dioxide and other emissions. Buildings can be cost-effectively decarbonized by taking actions including, but not limited to, being designed to be electrified or use carbon neutral fuels in combination with on-site renewable energy systems and/or storage systems; through higher density occupancy; through higher density occupancy; or through planning a transit-oriented development.

NYSERDA seeks to facilitate the development of increased proficiency among design firms in delivering cost-effective, carbon neutral-ready buildings. NYSERDA aims to drive market development and reduce barriers and soft costs in the production of carbon neutral-ready new and existing buildings. An intended outcome of this Early Design Support RFP is for the selected design firms (the “Partners”) to assist in getting more developers to successfully build more carbon neutral-ready projects.

NYSERDA seeks proposals for design firms to become Partners that will provide early design stage support to projects that will achieve significant energy and cost savings through carbon neutral-ready performance while being beautiful and functional; providing healthy, safe, comfortable, productive, and resilient living spaces for their occupants; and be profitable for the projects’ developers and owners. Successful proposers will be expected to demonstrate how their firm:

- a. Successfully delivered three (3) or more carbon neutral-ready or net zero energy multifamily or mixed-use buildings that incorporate multifamily occupancy as the primary use,
- b. Possesses expertise in design that achieves carbon neutral-ready performance by reducing energy use on a per capita carbon emissions basis,
- c. Addresses architectural design attributes, including aesthetics, project site and context, materiality, use of natural light, space functionality, incorporating outdoor space, acoustics, amenities, and the project’s relationship to the larger community,
- d. Delivers designs that encompass co-benefits for occupants, such as healthy indoor environmental quality, while providing exceptional comfort, and otherwise outstanding living environments of occupants,
- e. Increases the building’s resilience, including, but not limited to, active resilience measures, passive survivability, adaptation, and contributes to community and climate resiliency, and,
- f. Has active engagement in the multifamily market and likely to be able to bring high impact, scalable, and highly replicable multifamily projects into the Competition in 2022.

Proposers must demonstrate that the design strategies of their projects are replicable and have the potential to achieve broad-based adoption by other design teams, developers, and consumers. Once selected as a design firm Partner, Partners must also demonstrate how their submitted projects provide superior financial benefits for owners. The Early Design Support RFP intends to identify and select proposals from design firm Partners that demonstrate the greatest potential for success and replication in the market.

One of the Competition’s goals is to enhance age-friendly community livability. Proposed early-design stage projects can achieve this by proactive design and planning, providing access to recreation, building complete streets, improving the existing built environment, and encouraging compact, and multiple-use development. NYSERDA recognizes that demographics are shifting toward older age-ranges, and that the economic and social contributions from older residents are vital. To incorporate the economic and civic strengths of the aging population, the needs and desires of aging New Yorkers must be included in the domains of outdoor space, transportation, housing, social activity, civics/employment, communication/information, and health services. When submitting for early design stage funding, design

firm Partners, are encouraged to submit projects that demonstrate designs that address age-friendly inclusion.

Design firm Partners are also strongly encouraged to submit projects that are in Downtown Revitalization Initiative (DRI) districts or [Disadvantaged Communities](#) (DAC) as defined by NYS for early design stage funding.

The current Early Design Support RFP will accept proposals from design firm Partners to provide early design stage services to projects that are, as of the date of the proposal's submission to NYSERDA, in an early design status as defined and detailed in the Eligibility Section II of this RFP. Projects receiving early design stage funding and support may also be eligible for and separately propose to receive demonstration project funding through the demonstration RFP of the Competition, as well as used in conjunction with other funding offered by NYSERDA and utilities service providers. However, design firm Partners must review the rules and eligibility of the other programs to determine if those funds are accessible in combination with funds offered by this Competition. Selection through this Early Design Support RFP serves as a pre-condition for eligibility to receive NYSERDA Buildings of Excellence Task Work Orders and incentive payments.

## **II. Eligibility**

NYSERDA, at its sole discretion, determines the eligibility of a design firm's proposal to become a design firm Partner and for the eligibility of a project for early design support funding under the Early Design Support RFP.

### **Market Sector**

Design firm Partner Proposals will be considered based on the demonstrated experience and skills of the design firm serving the primary market sector of multifamily. Once the design firm is selected as a design firm Partner under the Early Design Support RFP, Partners may submit projects and request early-stage funding and support to achieve carbon neutral-ready performance for new construction or adaptive reuse multifamily projects.

### **General Eligibility**

Design firm proposer eligibility under this solicitation will be determined by the design firm's credentials and experience. For a proposal to be eligible, the design firm must provide credentials of currently employed staff members and evidence that those staff members have successfully delivered carbon neutral-ready multifamily projects. Design firm proposers must also submit a minimum of three (3) carbon neutral-ready or net zero energy multifamily buildings, or mixed-use buildings that incorporate multifamily occupancy as the primary use. Projects examples and experience may be for new construction, adaptive re-use, gut rehabilitation, or change of use projects.

Once a design firm is selected as a design firm Partner under the Early Design Support RFP, they may elect to submit more than one (1), but not more than four (4) carbon neutral-ready project proposals to receive early-design stage funding and support through the Early Design Support RFP of the Competition, for different projects (in different locations). For a project site to be eligible to receive early design stage funding, the project identified must incorporate multifamily occupancy as the primary use and can include buildings that incorporate dwelling units, sleeping units, congregate living, or residence halls. The project must also be, or intend to be, located in one of the six investor-owned New York State electricity distribution companies, and pay into the System Benefits Charge (SBC) at that site. The project must also demonstrate carbon neutral-ready attributes and meet the definition of *Carbon Neutral-Ready* as defined below. Buildings that provide student housing, including residence halls, that are owned or operated by a municipality or by New York State are not eligible to participate. Hotels, motels, or other hospitality-related buildings are not eligible to participate. The design firm Partner must be a member of the design team and

have the authority to modify the building design. The design firm Partner must demonstrate their project team has the capabilities to perform and successfully complete the design of the proposed project.

A project can encompass one multifamily building, or a portfolio of similar and related multifamily buildings located on the same site, on adjacent and associated sites, or involve a development project in the same neighborhood incorporating buildings that will all have similar design attributes. One- and two-family homes or townhomes as defined within the Definitions Section of the International Building Code are not eligible for inclusion as part of a proposal's fundable project. Eligible multifamily projects are as follows:

- a. New Construction: A new building, buildings, or an addition, where a licensed professional architect or engineer has prepared and certified the building plans.
- b. Adaptive Re-use or Gut Rehabilitation: Substantial renovation for one of the following types of projects where a licensed professional architect or engineer has prepared and certified the building plans:
  - i. Change of use and reconstruction of an existing building, buildings, or space within.
  - ii. Construction work of a nature requiring that the building, buildings, or space(s) within to be out of service and unoccupied for a minimum of thirty days.
  - iii. Reconstruction of a vacant structure, or structures, or space within.
  - iv. The addition to or expansion of a building, in combination with any of the above.

Projects may contain non-residential space; however, the non-residential space must consist of less than 50% of the occupiable square footage of the entire project.

Design firm Partners selected through this Competition must agree to:

- a. Update the project information initially provided in the project submission and assist NYSERDA in promoting their project and to sharing information that will help the industry accelerate the design, construction, and operation of high-performance buildings. All of which may be shared publicly unless otherwise noted.
- b. Provide updated information related to the project's expected and evolving costs and price throughout the course of the project design, in data collection formats requested by NYSERDA.
- c. Allow their projects to be part of NYSERDA's promotional efforts and to cooperate with NYSERDA in the creation and implementation of those efforts, including but not limited to exhibitions, articles, books, presentations, electronic and social media including a Competition website, and lectures promoting the Buildings of Excellence Competition and its outcomes.

### **Project Status**

Once selected as a design firm Partner in the Early Design Support RFP, proposed projects in the programming, concept, or early schematic design phase, as of the date their proposal is submitted to NYSERDA, will be considered eligible to participate in the Early Design Support RFP of the Competition. Design firm Partners may be eligible for an award of 100% of early design funding, up to \$250,000.

### **Carbon Neutrality and Energy Performance**

The design firm Partner must confirm that the projects submitted in both the design firm qualification and early design stage funding Proposals, will be *Carbon Neutral-Ready* based on the following criteria: A project that must exclude all fossil fuels from the building systems and equipment qualifies to be *Carbon Neutral-Ready*. Building systems and equipment refers to at a minimum: building heating, ventilating and air conditioning (HVAC), domestic hot water (DHW), kitchen, laundry, and other appliances. Projects that rely on a fossil fuel-fired generator for emergency use only, or projects which are served by an off-site fossil fuel-fired central heating plant, may at NYSERDA's sole discretion qualify as carbon neutral-ready if fossil fuel use is excluded from all other building systems and equipment. NYSERDA, at its sole discretion, will consider exemptions to the *Carbon Neutral-Ready* rule for process and other unregulated loads on the site on a case-by-case basis.

Additionally, the design firm Partner must rely on one of the following Standards to establish that the minimum projected energy efficiency and building performance proposed for the project's residential-associated space<sup>1</sup>. For projects included in the design firm qualifications' Proposal, one of the following Standards will show that the building performance was met. Once a selected design firm Partner, for projects submitted for consideration for early-stage design funding of the Competition, one of the following Standards will show that the building performance will be met, as part of the project deliverables.

- a. Appendix G of ASHRAE Standard 90.1: Design firm Partners intending to rely on this standard to model and predict energy performance must commit to designing a project that will achieve a minimum modeled source (primary) energy savings<sup>1</sup> of 20% when compared with a project design that complies with the relevant Energy Conservation Construction Code of New York State (ECCC of NYS), currently the 2020 version; excluding the impacts of any proposed renewable energy generation. Energy performance must be established without the inclusion of any renewable or distributed energy generation, to confirm the energy efficiency performance threshold has been met, and then again calculated after renewable or distributed energy generation has been included in the energy model and submitted by the proposer for comparison with other proposals. Design firm Partners will apply a 2.55 source-to-site conversion factor to support the calculation of efficiency in comparison with the natural gas baseline relied on by this standard to confirm the minimum energy performance threshold will be met. Design firm Partners must commit to use of the "90.1 Section 11 and Appendix G Compliance Form" to establish simulation inputs and complete internal quality control. Proposing design firms that have relied on this standard for previous projects included as work samples in the design firm Partner Proposal, must show documentation that this process was followed for the project, including indicating the version of the ECCC of NYS that was in place at the time of the design.
- b. Projects intending to meet certification requirements as published by Phius (Passive House Institute U.S.) must identify the building(s)' modeled source (primary) energy use<sup>1</sup> in terms of kWh/person/year; and projects intending to meet certification requirements published by the Passive House Institute (PHI) must identify the building(s)' modeled source (primary) energy use in terms of kBtu/treated-floor-area/year. Design firm Partners committing to achieving certification to either passive house standard are deemed as meeting the minimum modeled source energy savings<sup>1</sup> requirements. Energy modeling must be completed and submitted both with and without use of renewable energy generation to support evaluation of the efficiency of the design, and to allow comparison with other proposals. Alternative energy modeling will not be expected of proposers committing to achieving certification to either passive house standard to support their predicted energy performance. Proposing design firms that have relied on this standard for previous projects included as work samples in the design firm Partner Proposal, must show documentation that this process was followed for the project.
- c. The average Energy Rating Index (ERI) for all residential dwelling units, calculated in accordance with the Standard ANSI / RESNET / ICC 301 - 2019, entitled "Standard for the Calculation and Labeling of the Energy Performance of Dwelling and Sleeping Units Using an Energy Rating Index" or the relevant version of this standard as updated in accordance with the ANSI/RESNET/ICC protocols. To demonstrate the minimum energy performance<sup>1</sup> threshold will be

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<sup>1</sup> For projects that include mixed use space, only the energy use associated with the project's residential square footage should be included when determining the modeled energy performance of the residential portion of the project. The modeled energy performance shall incorporate the square footage used for residential occupancy, inclusive of all residential-associated space such as hallways, stairwells, elevators, trash, utility and exercise rooms, entrance lobbies, as well as shared laundry facilities exclusively available to the building's residential occupants. A commitment to achieving certification to Phius Core REVIVE or EnerPHit will be accepted for adaptive re-use or gut rehabilitation projects.

met, the design firm Partner must commit that the project will meet the relevant U.S. Environmental Protection Agency (EPA) ENERGY STAR® Multifamily New Construction Program requirements; and that the average ERI will, at minimum, achieve  $ERI \leq 0.91 \times MFNC \text{ v1.1 ERI Target}$  without inclusion of renewable energy generation. The design firm Partner should also submit the average ERI calculated with the inclusion of on-site renewable energy generation to allow for comparison with other proposals. Proposing design firms that have relied on this standard for previous projects included as work samples in the design firm Partner Proposal, must show documentation that this process was followed for the project.

### **III. Proposal Requirements and Format**

#### **A. Design Firm Partner Proposal**

The design firm Partner Proposal structure should follow the outline listed below, and sequentially address the criteria listed in the Proposal Evaluation Section IV. The Proposer's name, firm name, the RFP number, and page number should be recorded on every page of the Proposal, including attachments. The quality, rigor, and organization of the Proposal will impact its evaluation and scoring, in part as a reflection of the likelihood that a selected design firm Partner will be successful in reaching their stated goals.

For Proposals being submitted to become a design firm Partner, the Proposer must submit the following:

##### **1. Executive Summary**

Design firm Proposers must submit a brief description (~500 words) summarizing how the proposing firm's experience, services, and skills demonstrate successful carbon neutral-ready project performance and delivery and meet the stated goals of the Competition. In addition, Proposals must include an abbreviated description (~100 words) for future use in the presentation and promotion of selected design firms and early design stage projects. The Executive Summary should include, but not be limited to:

- a. Firm Information – including the company name, primary contact, location, size, overall mission, diversity equity and inclusion action policies, market sector, specialized populations, and regions served,
- b. Firm Experience – including the number of carbon neutral-ready, net zero energy, and Passive House projects, and relevant credentials held by current employed staff such as Certified Passive House Designer (CPHD), Leadership in Energy and Environmental Design Accredited Professional (LEED AP) or PHIUS+ Verifier,
- c. Firm Services Performed – including architectural and integrated design, planning, energy modeling, advanced clean energy consultation, carbon neutral-ready research, designing to third party standards, third party certification applications, economic analysis, and creating operation and maintenance manuals.

##### **2. Market Transformation Capability Summary**

Design firm Proposers must submit a brief description (~500 words) summarizing how the proposing firm's experience, services, and skills demonstrate successful project marketing and promotion to educate and influence the market, disseminate information out to the market, and create market replicability. The Market Transformation Capability Summary should include, but not be limited to:

- a. Firm Information – including the name and role of current employed staff who act in a primarily marketing or promotion capacity, position in the market and amongst peers, and engagement with special interest stakeholder entities and other New York State Agencies,
- b. Firm Experience – including the number of average annual presentations, events and tours participated in, established relationships with media and press, and specialized outreach techniques employed based on targeted audience of other design professionals, developers, or tenants,
- c. Firm Services Performed – including general marketing and project promotion activities such as case studies, technical articles, blog posts, website updates, social media posts, email blasts, and e-newsletters.

### **3. Carbon Neutral-Ready Project Work Samples**

Design firm Proposers must submit a minimum of three (3) project work samples for new construction or substantial renovation multifamily projects in which the proposing design firm has provided design services resulting in carbon neutral-ready or net zero energy buildings. The Proposer's experience should be described in a not to exceed three (3) page format. Each work sample should include:

- a. Project background – including year completed, square footage, number of stories and units, construction type and methodology, building function, populations served, project compliance path, performance and energy goals, budget and project costs, cost effectiveness, and fuel types,
- b. Project location – including address and if located within a Downtown Revitalization Initiative (DRI) district, Disadvantaged Community (DAC) as defined by NYS, NYS Department of Environmental Conservation (DEC) Potential Environmental Justice area, Clean Energy Community (CEC), or a jurisdiction that has committed to adopting the NYS Energy Stretch Code 2020,
- c. Detailed scope of work – including design process and services provided,
- d. Key architectural design attributes implemented as they relate to the building, site, and surrounding community,
- e. Carbon neutral-ready and energy efficiency attributes – including compliance path followed, energy savings measures, solutions implemented, and associated metrics, third-party certifications or verification, and expected, predicted, or modeled energy use,
- f. Resiliency and passive and active survivability attributes implemented,
- g. Non-energy co-benefits implemented to improve the living environments for occupants,
- h. Features related to reducing the project's embodied carbon and global warming potential,
- i. Direct and indirect replicability or scalability potential of the project to support market transformation,
- j. Cost reduction strategies implemented,
- k. List of current staff member personnel and roles on the project,
- l. Project renderings, photographs, and relevant architectural project drawings or design diagrams.

### **4. Eligible Services Once a design firm Partner**

Once the proposing design firm is selected as a design firm Partner in the Early Design Support RFP of the Competition, design firm Partners will be able to submit projects in the early design stages, for funding. Funding and support is intended to assist design teams in designing carbon neutral-ready projects, while also being able to deliver the developer needs. The selected early design phase, carbon neutral-ready projects are intended to achieve the goals of the Competition. Early design phase services design firm Partners can engage in may include, but not be limited to:

- a. Complete research necessary to deliver carbon neutral-ready performance, including but not limited to on topics such as:
  - i. Embodied carbon,
  - ii. Health, safety, productivity, and comfort co-benefits to occupants, and
  - iii. Resiliency.
- b. Complete additional modeling necessary to achieve carbon neutral-ready performance, including but not limited to:
  - i. System selection and associated savings over baseline,
  - ii. Certifications and design elements associated with Energy Star Multifamily New Construction (EnergyStar MFNC) Enterprise Green Community (EGC), Leadership in Energy and environmental Design (LEED), Passive House Institute (PHI), and Passive House institute US (PHIUS) standards.
- c. Complete early-stage applications for third party standards and certifications, including but not limited to:

- i. AIA 2030, ASHRAE beQ, EnergyStar Label, Fitwel, Green Globes, International Living Future Institute (ILFI) Living Building Challenge, LEED, RELi, and WELL Building Standards.
- d. Complete additional economic analysis including, but not limited to first costs, return on investments, total value propositions, cost benefit ratios, or non-compliance to Local Laws and other impending policies,
- e. Complete cleaning, operational, and maintenance manuals, plans, and procedures that can be used by the building owners to assist in refrigerant management and operational waste reduction,
- f. Participate in additional meetings to facilitate an integrated project,
- g. Complete a more robust promotion and publicity plan.

## **B. Early Design Stage Funding Project Proposal**

Design firm Partners in the Early Design Support RFP will be able to submit early design stage projects for funding. The project must be for a new construction or substantial renovation multifamily project in which the proposing design firm Partner is providing design services resulting in a carbon neutral-ready or net zero energy building.

The early design stage funding project Proposal structure should follow the outline listed below, and sequentially address the criteria listed in the Proposal Evaluation Section IV. The Proposer's name, firm name, project name, the RFP number, and page number should be recorded on every page of the Proposal, including attachments. The design firm Partner must also identify their project's status as of the date of submission, as defined and detailed in the Eligibility Section II of this RFP.

Each carbon neutral-ready project Proposal should include a clear and concise description of the project, proposed early design stage services to be performed, and project promotion, addressing each category detailed below and in the scoring tables. The quality, rigor, and organization of the Proposal will impact its evaluation and scoring, in part as a reflection of the likelihood that a selected project will be successful in reaching their stated goals. The carbon neutral-ready project Proposal should be described in a not to exceed ten (10) page format. Each project Proposal must include:

### **1. Project Description**

- a. General project description including project schedule, square footage, number of stories and units, construction type and methodology, building function, energy goals, populations served, budget and project cost, fuel types, and list of all non-energy certifications and standards the project is following or pursuing,
- b. Project location including the building address and if the project is located within a Downtown Revitalization Initiative (DRI) district, Disadvantaged Community (DAC) as defined by NYS, NYS Department of Environmental Conservation (DEC) Potential Environmental Justice area, Clean Energy Community (CEC), or a jurisdiction that has committed to adopting the NYS Energy Stretch Code 2020,
- c. Project team makeup including specific individuals, roles, and firms acting in a sub consultant capacity for additional design, engineering, certification, quality control, construction manager, or general contracting,
- d. Project scope of work performed by the design team including design process and services provided,
- e. Architectural design attributes, including aesthetics, project site and context, building and space functionality, acoustical quality, amenities, innovation, and the project's relationship to the larger community, among other design attributes. Consideration will be given to how the project's design will be impacted by, accommodate, and integrate the energy performance, resilience, co-benefits, reductions to embodied carbon, and other strategies proposed for the project.

- i. Other design attributes can include, but not be limited to, building articulation, use of durable and high-quality materials, fenestration patterns and types, and use of efficient exterior lighting,
  - ii. Specific site context considerations can include, but not be limited to, building scale, shape, massing and density, ground level connectivity, use of outdoor space, incorporating natural light and access to views in unit design, controlling the associated microclimate including shadowing, wind, and snow, and incorporating native plantings,
  - iii. Relationship to the larger community can include, but not be limited to, location in a DAC, DRI, or CEC, overall community connectivity, respect of the existing character, and site and infill development,
  - iv. Transit oriented considerations can include but not be limited to, proximity to public transportation like bus, subway, and commuter and light rail lines, and rapid transit stations or commuter ferry terminals, and the inclusion of bicycle storage and vehicle charging stations,
  - v. Innovations in design can include, but not be limited to, the industrialization of construction through modular or prefabricated methodologies and reduced construction waste, use of efficient mechanical systems, and storm water strategies,
- f. Carbon neutral-ready and energy efficiency attributes including project compliance path, project performance, energy goals, and list of all energy certifications and standards the project is following or pursuing. Consideration will be given to projects committing to relative performance improvement above the minimum required threshold,
- i. Other carbon neutral-ready attributes can include, but not be limited to, operational energy efficiency, electrification, on-site renewable energy systems, and demand flexibility,
  - ii. Detailed descriptions of the energy systems utilized, including but not limited to heating, cooling, domestic hot water, and ventilation components, appliances, renewable generation, district, and energy storage systems, and smart building controls, monitors, and other technologies,
- g. Strategies to ensure the building as designed will be resilient and able to protect the building and its components, as well as the building occupants,
- h. Indicate any non-energy co-benefits incorporated into the building design, including those to ensure occupant comfort, health, productivity, and safety,
- i. Indicate any features related to reducing the project's embodied carbon and global warming potential,
- j. Indicate the project's direct and indirect replicability or scalability potential, and how this project benefits and fits into the firm's business model and mission.

**2. Description of Proposed Early Design Stage Services to be Performed for the Project**

- a. Engage in practices associated with integrated design and construction to achieve carbon neutral-ready and energy efficiency attributes in the proposed project. Strategies to achieve carbon neutral-ready design attributes can include, but not be limited to, densification, electrification, on-site renewable energy systems, grid interactive controls, energy storage (thermal and electric), on-site electric vehicle charging, or transit-oriented development. Predicted impacts of the project can include Co2/person and Co2/SF,
- b. Conduct research to expand on strategies to ensure the building as designed will be resilient and able to protect the building and its components, as well as the building occupants. Examples of building resiliency may include, but are not limited to:
  - i. Raising critical system components above 500- or 1,000-year flood levels,
  - ii. Ensuring livable space is not constructed below 500- or 1,000-year flood levels,
  - iii. Creating areas of refuge within the building for occupants to shelter in place during extreme heat/cold events, power outages, or flooding,



- iv. Ensuring adequate passive survivability by addressing how the building will maintain comfortable and safe thermal conditions and provide adequate and safe ventilation during an extended power outage, and identifying the duration the building could remain safely occupied, whether natural light or natural ventilation techniques will be used,
- v. Addressing active resiliency attributes, such as use of backup power or use of energy storage in combination with renewable energy to satisfy critical loads and occupant needs for an extended duration,
- vi. Community resilience-enhancing strategies, such as providing community services or connection to district systems to ensure diversity of energy resources,
- vii. Or other resilience-enhancing strategies not listed above that enable the building or community to adapt to, absorb or recover from events,

Note: The specific climate risk should be identified (e.g., more-intense heat waves), and how the proposed strategy will increase resilience by addressing that risk should be described in detail. For any buildings in the 500-year flood zone or that are otherwise at risk of current or future flooding, flood-mitigation measures should be incorporated into the design; at a minimum, critical system components should be raised above the 500-year flood elevation unless an alternative flood-mitigation plan to protect those critical components is proposed, and ultimately determined to be acceptable during the awarded project's contracting process, at NYSEERDA's sole discretion.

Note: For guidance on managing future flood risk, refer to the draft (or the forthcoming final) [State Flood Risk Management Guidance](#). For guidance on climate change and building resilience, refer to [the ClimAID climate projections for New York State](#), the New York [Adapting Buildings for a Changing Climate](#) website, and the [NYC Climate Resiliency Design Guidelines](#).

- c. Investigate additional non-energy co-benefits for the project, including those to ensure occupant comfort, health, productivity, and safety, inclusive of use of improved filtration, such as using Minimum Efficiency Performance Value (MERV) 13 air filters or better, and other actions to safeguard against transmission of air-borne contaminants that cause allergies, asthma, and illness; sustainability; durability; reduction to embodied carbon, including use of low Global Warming Potential refrigerants and design strategies that reduce the total volume of refrigerants used in the building's systems; commitment to validation of co-benefits based on certification to relevant third-party standard(s),
- d. Conduct research to support features related to reducing the project's embodied carbon and global warming potential impacts of refrigerants, such as the proposed building materials, construction methods, or refrigerant gases intended to be used in mechanical systems,
- e. Complete early-stage applications for third party standards and certifications and ensure that the associated criteria are incorporated into the early-stage design of the project,
- f. Complete economic analyses of return on investment and cost reduction strategies that have the capacity to substantively reduce the overall cost of the project, and that will likely be replicated by other projects or developer teams. Economic areas the design firm Partners can explore and address, include but not be limited to:
  - i. Energy efficiency solutions and other characteristics of the project that are expected to impact total costs, strategies to reduce total costs, the trade-offs and avoidance of cost increases, and how the overall costs of the project compare with similar projects (e.g., Low to Moderate Income, mixed-income, market-rate, or luxury homes) in the same basic locale,
  - ii. Costs associated with improvements that can be recouped in terms of higher rents or sales prices, the drivers for those increased values, and whether energy savings and non-energy co-benefits will accrue to the project's owner, each apartment's owner, or tenants,
  - iii. The project's viability and replicability, as demonstrated by expected ease or efficiency of construction, economic viability for the market served, unique financing solutions, or other factors that would make the project a model for future projects,
  - iv. Why and how the high-performance features of the building provide both enhanced financial benefits to the owner/developer and attributes that lead to an improved or optimal living

environment, which could increase tenant retention rates and unit sales (e.g., thermal comfort, indoor air and environmental qualities, improved acoustics, building resilience),

- v. The business model intended to achieve their goals and their approach for following an integrated project delivery process,
- vi. To establish the project's viability, identify and describe the known or expected sources of capital, including whether those sources have been secured or are anticipated. If access to the necessary capital has not yet been secured, the proposer must identify the underwriting being sought and explain why the project's proposed underwriting approach is likely to be successful. Any financial support that has been secured or is expected to be secured from regulatory or other funding agencies for LMI occupancies must be identified,
- vii. How lower operating costs related to the improvements to the project's energy and ongoing operational performance will be leveraged as part of the underwriting; or if any unique utility metering arrangements are expected to contribute to the underwriting approach; and how the proposed approach can ensure the project's ultimate success and replicability.

### **3. Collaboration with NYSERDA, Transparency, and Promotion of Projects**

The design firm Partner should describe in the early design stage project Proposal how they intend to market and promote the proposed project, including the sharing of information that could be useful to the industry and how to better inform the public of carbon neutral performance. Additional and relevant information to share broadly may include, but should not be limited to, information about the project design, the proposed construction and operational processes, strategies to reduce costs, project costs that are either absolute or comparative, financing strategies, additional construction details, or lessons learned. In accordance with the Proprietary provisions located in Section VIII General Provisions, the design firm Partner should indicate which aspects of this additional information can be publicly shared by NYSERDA in its promotional activities and should stipulate if any portion or portions of the information should be reserved for NYSERDA's internal use and/or for anonymized analysis, and not publicly shared as project-specific information. The extent to which the design firm Partner commits to sharing additional data, as well as the quality of the design firm Partner's marketing plan intended to showcase the proposed project's design and carbon neutral-ready strategies, are considered during evaluation of the project Proposal.

Design firm Partners are encouraged to identify any additional information not requested in the project Proposal that they intend to share with NYSERDA, including but not limited to, the strategies that ultimately proved most effective, comparative costs or savings, how marketability was impacted, and the decision-making approach during the design process to ensure the intended and successful outcome. NYSERDA may elect to disclose unprotected information, in whole or in part, on websites, in publications, in presentations, or other venues. In addition, design firm Partners should outline their proposed methods or mechanisms for sharing this information through their marketing plan.

Design firm Partners should submit a marketing and promotion plan that will be implemented, and explain how the plan will generate public interest in and demand for advanced clean energy and resilient buildings beyond and in addition to NYSERDA's promotional activities. Creating a more expansive marketing, promotion, and publicity project plan is an eligible service for early design stage funding. Selected design firm Partners are expected to cooperate with NYSERDA in the development of other promotional materials, such as but not limited to website content, magazine and technical articles, books, blogs, case studies, social media, or videos. NYSERDA credits the project name, developer, and design team lead in all promotional material. Awardees are expected to participate in presentations and other promotional events. NYSERDA reserves the right to brand and market the winning projects as NYS Buildings of Excellence projects or a similar reference.

### **4. Supplementary Documents**

In addition to the project description, proposed early design services, and marketing and promotion narrative, the following documents must be submitted, including but not limited to:

- a. Scope of work budget associated with the proposed early design stage services to be performed for the project,
- b. Architectural drawings as available, including floor, unit, and site plans, at least one building section and elevation, and wall sections,

- c. Project rendering(s) - at least one (1) high-quality rendering,
- d. Design details as available, including but not limited to:
  - i. Addressing energy efficient design,
  - ii. Building envelope conditions,
  - iii. Building resilience strategies,
- e. Project diagrams as available, including but not limited to:
  - i. Building diagram(s) showing or explaining low-energy/low-carbon features, including how they will remain resilient for their lifespan,
  - ii. Building diagram(s) of quality of building characteristics and design features,
  - iii. Building and site diagrams that show the project's sustainability features,
  - iv. Site diagrams that show how the project integrates with urban features,
- f. Energy modeling files and report(s) summarizing energy performance-related design strategies, if available,
- g. Scorecard(s) or checklist(s) for proposed, submitted, or achieved certifications, if available.

Notes:

- 1) Submitted materials may be used for the presentation of winning projects in various forums.
- 2) Photographs and other images may be submitted as .pdf at the time of proposal but must be provided as high-resolution image files at 24 inches wide and 300 dpi for projects selected by the Competition and upon request.
- 3) Updates to the initially submitted materials may be requested for projects selected under the Early Design Support RFP.

**IV. Proposal Evaluation**

**A. Design Firm Partner Proposal**

Prior to review by a scoring committee, design firm Partner Proposals will be reviewed for completeness and to ensure they meet General Eligibility requirements as detailed in the Eligibility Section II of this RFP. Proposals that do not meet the listed requirements will not be reviewed by the scoring committee.

The General Eligibility requirements for the design firm Partner submission to be considered prior to review by a scoring committee include the following:

- a. The work samples identified in the design firm proposal reflects multifamily occupancy as the primary use. The work sample projects may contain non-residential space; however, the non-residential space must consist of less than 50% of the occupiable square footage of the entire project,
- b. The work samples identified in the design firm proposal must meet the *Carbon Neutral-Ready* definition provided in the Eligibility Section II of this RFP,
- c. The work samples identified in the design firm proposal meet the minimum performance criteria as detailed in the Eligibility Section II of this RFP.

Following the initial review, proposals for the design firm Partners will be evaluated based on their overall response and specifically based on the Categories and Category Descriptions as detailed in the Scoring Criteria table. Evaluation and scoring of each design firm Partner proposal will ultimately be determined in comparison with and relative to the other proposals submitted to the Early Design Support RFP.

**DESIGN FIRM PARTNER SCORING CRITERIA**

<i>Category</i>	<i>Category Description</i>	<i>Points</i>
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<p><b>Design Firm Experience</b></p>	<p>This category will consider how successfully proposers have addressed summarizing how the proposing firm's experience, services, and skills demonstrate successful carbon neutral-ready project performance and delivery and meet the stated goals of the Competition. Firm experience includes the number of carbon neutral-ready, net zero energy, and Passive House projects, and relevant credentials held by employed staff. Firm services performed include architectural and integrated design, planning, energy modeling, advanced clean energy consultation, carbon neutral-ready research, designing to third party standards, third party certification applications, economic analysis, and creating operation and maintenance manuals.</p>	<p>40</p>
<p><b>Market Transformation Capability</b></p>	<p>This category will consider how successfully proposers have addressed summarizing how the proposing firm's experience, services, and skills demonstrate successful project marketing and promotion to educate and influence the market, disseminate information out to the market, and create market replicability. Firm experience includes position in the market and amongst peers, and engagement with special interest stakeholder entities and other New York State Agencies, annual presentations, events and tours participated in, established relationships with media and press, and specialized outreach techniques employed based on targeted audience of other design professionals, developers, or tenants. Firm Services Performed include general marketing and project promotion activities such as case studies, technical articles, blog posts, website updates, social media posts, email blasts, and e-newsletters.</p>	<p>30</p>
<p><b>Project Work Samples</b></p>	<p>This category will consider how successfully proposers have addressed summarizing three (3) carbon neutral-ready or net zero energy new construction or substantial renovation multifamily projects that the firm has provided design services for. The work samples will include project information including project background, location, quality of architectural design, carbon neutral-ready and energy efficiency attributes, resiliency and passive and active survivability attributes, quality of non-energy co-benefits, reduction in embodied carbon, market transformation capability including replicability and scalability, and cost reduction strategies.</p>	<p>30</p>

**B. Early Design Stage Funding Project Proposal**

Prior to review by a scoring committee, early design stage project Proposals will be reviewed for completeness and to ensure they meet General Eligibility requirements as detailed in the Eligibility Section II of this RFP. Proposals that do not meet the listed requirements will not be reviewed by the scoring committee.

The General Eligibility requirements for the early design stage project to be considered prior to review by a scoring committee include the following:

- a. The early design stage project is a current or future distribution customer of a participating electric utility company that pays into the System Benefits Charge,
- b. The early design stage project reflects multifamily occupancy as the primary use. The project may contain non-residential space; however, the non-residential space must consist of less than 50% of the occupiable square footage of the entire project,
- c. The early design stage project must meet the *Carbon Neutral-Ready* definition provided in the Eligibility Section II of this RFP,
- d. The early design stage project must meet the Early Design Project Status as defined in the Eligibility Section II of this RFP,
- e. The early design stage project meets the minimum performance criteria as detailed in the Eligibility Section II of this RFP.

Following the initial review, proposals for early-stage design projects will be evaluated based on their overall response and specifically based on the Categories and Category Descriptions as detailed in the Scoring Criteria table. Evaluation and scoring of each early-stage design proposal will ultimately be determined in comparison with and relative to the other proposals submitted to the Competition.

**EARLY DESIGN STAGE PROJECT SCORING CRITERIA**

<b>Category</b>	<b>Category Description</b>	<b>Points</b>
<b>Project Design: Quality of Architectural Design</b>	This category will consider how successfully design firm Partners have addressed architectural design attributes of the proposed project, including aesthetics, project site and context, building and space functionality, acoustical quality, amenities, innovation, and the project's relationship to the larger community, among other design attributes. Consideration will be given to how the project's design will be impacted by, accommodate, and integrate the energy performance, resilience, co-benefits, reductions to embodied carbon, and other strategies proposed for the project.	20
<b>Project Design: Carbon Neutral-Ready and Energy Efficiency Attributes</b>	This category will consider how successfully design firm Partners have addressed carbon neutral-ready and energy efficient attributes of the proposed project, including operational energy efficiency, electrification, on-site renewable energy systems, and demand flexibility. Strategies should be designed to be resilient for the lifespan of the strategy or system. Points will only be awarded for relative performance improvement above the minimum required threshold.	10
<b>Project Design: Resilience, Passive and Active Survivability</b>	This category will consider how successfully design firm partners have addressed strategies that increase the passive and active resilience of the proposed building and its occupants. Strategies should ensure the proposed project, as designed, will be resilient for the lifespan of the building.	5
<b>Project Design: Quality of Non-energy Co-benefits</b>	This category will consider how successfully design firm partners have addressed incorporating non-energy co-benefits into the proposed project design to ensure occupant comfort, health, productivity, and safety.	5
<b>Project Design: Market Transformation Capability</b>	This category will consider how successfully design firm partners have addressed the proposed project's direct and indirect replicability or scalability potential.	5
<b>Early Design Phase Scope of Services: Carbon Neutral-Ready Attributes and Energy Efficiency</b>	This category will consider how successfully design firm Partners have addressed how they plan to engage in practices associated with integrated design and construction to achieve carbon neutral-ready and energy efficient attributes in the proposed project. Strategies to achieve carbon neutral-ready design attributes can include, but not be limited to, densification, electrification, on-site renewable energy systems, grid interactive controls, energy storage (thermal and electric), on-site electric vehicle charging, or transit-oriented development. Strategies should be designed to be resilient for the lifespan of the strategy or system. Predicted impacts of the project can include Co2/person and Co2/SF.	15
<b>Early Design Phase Scope of Services: Resilience, Passive and Active Survivability</b>	This category will consider how successfully design firm Partners have addressed how they plan to expand on strategies that increase the passive and active resilience of the building and its occupants of the proposed project. Strategies to achieve this include, but are not limited to, raising critical system components above 500-year flood levels, at minimum, ensuring livable space is not constructed below 500-year flood levels, creating areas of refuge within the building for occupants to shelter in place during extreme heat/cold events, power outages, or flooding, ensuring adequate passive survivability by addressing how the building will maintain comfortable and safe thermal conditions and provide adequate and safe ventilation during an extended power outage, and identifying the duration the building could remain safely occupied, whether natural light or natural ventilation techniques will be used, addressing active resiliency attributes, such as use of backup power or use of energy storage in combination with renewable energy to satisfy critical loads and occupant needs for an extended duration, community resilience-enhancing strategies, such as providing community services or connection to district systems to ensure diversity of energy resources, or other resilience-enhancing strategies.	10
<b>Early Design Phase Scope of Services:</b>	This category will consider how successfully design firm Partners have addressed how they plan to investigate additional co-benefits for the proposed project to ensure occupant comfort, health, productivity, and safety. Strategies to achieve this include, but are not limited to, improved filtration, such as using Minimum Efficiency Performance	10

<b>Quality of Non-energy Co-benefits</b>	Value (MERV) 13 air filters or better, and other actions to safeguard against transmission of air-borne contaminants that cause allergies, asthma, and illness; sustainability; durability; reduction to embodied carbon, including use of low Global Warming Potential refrigerants and design strategies that reduce the total volume of refrigerants used in the building's systems; combined with a commitment to validation of co-benefits based on certification to relevant third-party standard(s).	
<b>Early Design Phase Scope of Services: Reduction in Embodied Carbon</b>	This category will consider how successfully design firm Partners have addressed how they plan to investigate additional features related to reducing the project's embodied carbon and global warming potential impacts of refrigerants, such as the proposed building materials, construction methods, or refrigerant gases intended to be used in mechanical systems.	5
<b>Early Design Phase Scope of Services: Cost Reduction Strategies</b>	This category will consider how successfully design firm Partners have addressed how they plan to complete additional economic analyses for the project that include return on investment and cost reduction strategies that have the capacity to substantively reduce the overall cost of the project, and that will likely be replicated by other projects or developer teams.	5
<b>Marketing and Promotion Plan</b>	This category will consider how successfully design firm Partners have addressed how they plan to market and promote the proposed project, including the sharing of information that could be useful to the industry and better inform the public of carbon neutral performance. Additional and relevant information may include but should not be limited to information about the project design, the proposed construction and operational processes, strategies to reduce costs, project costs that are either absolute or comparative, financing strategies, additional construction details, or lessons learned. Replicability or scalability should be weaved into marketing material.	5
<b>Early Design Phase Scope of Services Budget</b>	This category will consider how successfully design firm Partners have created a scope of work budget associated with the proposed early design stage services to be performed for the project.	5
<b>Bonus Categories</b>	The early design stage project is subject to the commercial section of the Energy Conservation Construction Code of New York State.	10
	Adaptive re-use or gut rehabilitation early design stage projects as defined in the Eligibility Section II of this RFP may be eligible to receive these bonus points. To be eligible, the early design stage project must establish that the solutions and attributes are replicable at scale, and applicable to other projects with similar existing conditions attributes.	10
	An additional two (2) bonus points will be awarded to early design stage projects for each of the following attributes: the project will be in a Clean Energy Community; or in a NYS DEC potential environmental justice area; or in a Downtown Revitalization Initiative area; or in a Disadvantaged Community as defined by New York State; or in a jurisdiction that has committed to adopting NY Stretch Energy Code 2020.	Up to 5 points, maximum.

**Program Policy Factors**

NYSERDA reserves the right to accept or reject proposals based on the following program policy factors:

- a. Diversity of building typology, geography, proposed solutions, or other critical elements.
- b. Geographic, demographic, economic, or population distribution or diversity.
- c. Contractual commitment to LMI occupancy, post-completion.

**V. Selected Projects, Subsequent Submissions, and Required Updates**

Selected design firm Partners are required to execute an agreement (see Attachment A – Sample Umbrella Agreement) with NYSERDA and deliver completed projects that meet the requirements detailed in this solicitation. The project deliverables and associated time and material payments will be as detailed in this solicitation and the agreement executed between the selected design firm partner and NYSERDA.

At any point during the design or construction process, NYSERDA must be notified and provided associated details if significant deviation from the original proposal is expected, including whether the project is expected to fall short of the building performance and related goals as detailed in the original proposal, including the design firm Partner's commitment to achieving the source energy savings in their original proposal to NYSERDA. Projects selected through this Early Design Support RFP and the Competition must ensure that the cumulative changes during design or construction will not increase the predicted source energy use or carbon emissions in comparison to the project as originally submitted. Continuation of any project that deviates from the original proposal will be subject to NYSERDA's discretion. NYSERDA reserves the right to terminate any project should it fall below the originally committed energy performance or will not meet NYSERDA's definition of being *Carbon Neutral-Ready*.

Additionally, the following submissions and updates are required:

Following selection and notification of early design stage funding, and in support NYSERDA's development of the project's contractual agreement:

- a. One-page summary of major changes from initial proposal including general project information, project design, design and construction schedule, project cost changes, and anticipated early design phase services to be performed, if applicable,
- b. Updated drawings, renderings, or diagrams, if applicable,
- c. Updates to the Marketing and Promotion Plan, if applicable,
- d. Updated energy modeling files, if applicable.

At 50% completion of schematic design:

- a. Updates to original project proposal description, proposed early design stage services to be performed for the project, and related documents,
- b. One-page summary of major changes about the project from the initial project proposal,
- c. One- to two-page discussion of any reduction in projected performance in comparison to the initial proposal,
- d. Documentation of submission to the certification(s) and standard(s) committed to by the design firm partner,
- e. Updates to the Marketing and Promotion Plan that focuses on promotion of the project to the public,
- f. Updated drawings, renderings, or diagrams,
- g. Updated energy modeling files,
- h. Updated schedule of design and construction,
- i. Updated project cost-related documentation,
- j. Documentation associated with proposed early design stage services that has been performed for the project, if applicable:
  - i. Practices associated with integrated design and construction to achieve carbon neutral-ready and energy efficient attributes,
  - ii. Expanded strategies that increase the passive and active resilience of the building and its occupants,
  - iii. Investigations of co-benefits for the proposed project to ensure occupant comfort, health, productivity, and safety,
  - iv. Investigations of features related to reducing the project's embodied carbon and global warming potential,
  - v. Economic analyses and cost-related documentation.

At 100% completion of schematic design:

- a. Updates to original project proposal description, proposed early design stage services to be performed for the project, and related documents,
- b. One-page summary of major changes about the project from the initial project proposal,
- c. One- to two-page discussion of any reduction in projected performance in comparison to the initial proposal,
- d. Updates to documentation of submission to the certification(s) and standard(s) committed to by the design firm partner,
- e. Updates to the Marketing and Promotion Plan that focuses on promotion of the project to the public,
- f. Updated drawings, renderings, or diagrams,

- g. Updated energy modeling files,
- h. Updated schedule of design and construction,
- i. Updated project cost-related documentation,
- j. Updates to documentation associated with proposed early design stage services that has been performed for the project, if applicable:
  - i. Practices associated with integrated design and construction to achieve carbon neutral-ready and energy efficient attributes,
  - ii. Expanded strategies that increase the passive and active resilience of the building and its occupants,
  - iii. Investigations of co-benefits for the proposed project to ensure occupant comfort, health, productivity, and safety,
  - iv. Investigations of features related to reducing the project's embodied carbon and global warming potential,
  - v. Economic analyses and cost-related documentation.

At the completion of design, construction documents:

- a. Any updates to original project proposal description, proposed early design stage services to be performed for the project, and related documents,
- b. One-page summary of major changes about the project from previous submissions,
- c. One- to two-page discussion of any reduction in projected performance from previous submissions,
- d. Updates to documentation of submission to the certification(s) and standard(s) committed to by the design firm partner,
- e. Updates to the Marketing and Promotion Plan that focuses on promotion of the project to the public,
- f. Final design drawings, renderings, or diagrams, suitable for presentation,
- g. Final energy modeling files,
- h. Updated schedule of design and construction,
- i. Updated project cost-related documentation,
- j. One-page summary of lessons learned.

**VI. Schedule of Payments**

	<b>Milestone</b>	<b>% Of Total Award</b>
1	50% completion of schematic design	60%
2	100% completion of schematic design	30%
3	Completion of design, construction documents	10%

NYSERDA reserves the right to negotiate the amount or schedule of payments for a selected project. At its sole discretion, NYSERDA may reduce or withhold payments for a project that falls short of the proposed level of performance, or that has not met this solicitation's minimum submission requirements.

**VII. NYSERDA Responsibilities**

NYSERDA provides funding and support to projects in accordance with the Early Design Support RFP of the Competition, as detailed in this solicitation.

**VIII. GENERAL CONDITIONS**



**Proprietary Information:** Careful consideration should be given before confidential information is submitted to NYSERDA as part of the proposal. Review should include whether the information is critical for evaluation and whether general, non-confidential information, would suffice for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure of records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which, if disclosed, would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary and confidential trade secret information should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to excluding it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in [21 NYCRR Part 501](#). However, NYSERDA cannot guarantee the confidentiality of any information submitted.

**Omnibus Procurement Act of 1992:** It is the policy of New York State to maximize opportunities for the participation of New York State business enterprises, including minority- and women-owned business enterprises, as bidders, subcontractors, and suppliers on its procurement agreements.

Information on the availability of New York State subcontractors and suppliers is available from the following:

Empire State Development  
Division for Small Business  
625 Broadway  
Albany, NY 12207

A directory of certified minority- and women-owned business enterprises is available from the following:

Empire State Development  
Minority and Women's Business Development Division  
625 Broadway  
Albany, NY 12207

**State Finance Law sections 139-j and 139-k:** NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found on the [Office of General Services' website](#). Proposers are required to answer questions during proposal submission, make required certification under the State Finance Law, and disclose any Prior Findings of Non-Responsibility (this includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years).

**Tax Law Section 5-a:** NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor with a monetary value in excess of \$100,000, prior to entering an agreement with NYSERDA, to certify to the Department of Taxation and Finance (DTF) whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the DTF to collect New York State and local sales and compensating use taxes. The DTF has created [ST-220-TD](#) to allow a prospective contractor to readily make such certification. Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA that such certification with the DTF has been filed. The DTF has created a second form, [ST-220-CA](#), that must be completed by a prospective contractor and filed with NYSERDA, prior to contracting. [Guidance for contractors](#) can found on the [DTF's website](#).

**Contract Award:** NYSERDA anticipates making multiple awards under this solicitation. A contract may be awarded based on initial applications without discussion, or following limited discussion, or following negotiations pertaining to the statement of work. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA uses the sample agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Attachment B—Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions generally

results in a more expedited contracting process. NYSERDA expects to notify proposers in approximately 12 weeks from the proposal due date whether the proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

**Accessibility Requirements:** If awardees from this solicitation post anything on the web, or if the awardee produces a final report that NYSERDA posts to the web, the following language must be included. NYSERDA requires contractors producing content intended to be posted to the web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as documents (pdf, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSERDA's Accessibility Requirements](#).

**Limitation:** This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the sample agreement. NYSERDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information and the presence of a material possibility of any reputational or legal risk in making the award.

**Disclosure Requirement:** The proposer will disclose any indictment for any alleged felony or any conviction for a felony within the past five years, under the laws of the United States or any state or territory of the United States and will describe circumstances for each. When a proposer is an association, partnership, corporation, or other organization, this disclosure requirement includes the organization and its officers, partners, and directors or members of any similarly governing body. If an indictment or conviction should come to the attention of NYSERDA after the award of a contract, NYSERDA may exercise its stop-work right pending further investigation or terminate the agreement. The contractor may be subject to penalties for violation of any law which may apply in the particular circumstances. Proposers must also disclose if they have ever been debarred or suspended by any agency of the U.S. Government or the New York State Department of Labor.

**Vendor Assurance of No Conflict of Interest or Detrimental Effect -** The proposer shall disclose any existing or contemplated relationship with any other person or entity, including any known relationships with any member, shareholders of 5% or more, parent, subsidiary, or affiliated firm, which would constitute an actual or potential conflict of interest or appearance of impropriety, relating to other clients/customers of the proposer or former officers and employees of NYSERDA, in connection with proposer's rendering services as proposed. If a conflict does or might exist, please describe how your company would eliminate or prevent it. Indicate what procedures will be followed to detect, notify NYSERDA of, and resolve any such conflicts.

The proposer must disclose whether it, or any of its members, or, to the best of its knowledge, shareholders of 5% or more, parents, affiliates, or subsidiaries, have been the subject of any investigation or disciplinary action by the New York State Commission on Public Integrity or its predecessor State entities (collectively, "Commission"), and if so, a brief description must be included indicating how any matter before the Commission was resolved or whether it remains unresolved.

**Public Officers Law –** For any resulting awards, the Contractor and its subcontractors shall not engage any person who is, or has been at any time, in the employ of the State to perform services in violation of the provisions of the New York Public Officers Law, other laws applicable to the service of State employees, and the rules, regulations, opinions, guidelines or policies promulgated or issued by the New York State Joint Commission on Public Ethics, or its predecessors (collectively, the "Ethics Requirements"). Proposers are reminded of the following Public Officers Law provision: contractors, consultants, vendors, and subcontractors may hire former NYSERDA employees. However, as a general rule and in accordance with New York Public Officers Law, former employees of NYSERDA may neither appear nor practice before NYSERDA, nor receive compensation for services rendered on a matter before NYSERDA, for a period of two years following their separation from NYSERDA service. In addition, former NYSERDA employees are subject to a "lifetime bar" from appearing before any state agency or authority or receiving compensation for services regarding any transaction in which they personally participated, or which was under their active consideration during their tenure with NYSERDA.

Any awardee will be required to certify that all of its employees, as well as employees of any subcontractor, whose subcontract is valued at \$100,000 or more who are former employees of the State and who are assigned to perform services under the resulting contract, shall be assigned in accordance with all Ethics Requirements. During the term of any agreement, no person who is employed by the contractor or its subcontractors and who is disqualified from providing services under the contract pursuant to any Ethics Requirements may share in any net revenues of the contractor or its subcontractors derived from the contract. NYSEDA may request that contractors provide it with whatever information the State deems appropriate about each such person's engagement, work cooperatively with the State to solicit advice from the New York State Joint Commission on Public Ethics, and, if deemed appropriate by the State, instruct any such person to seek the opinion of the New York State Joint Commission on Public Ethics. NYSEDA shall have the right to withdraw or withhold approval of any subcontractor if utilizing such subcontractor for any work performed would be in conflict with any of the Ethics Requirements. NYSEDA shall have the right to terminate any contract at any time if any work performed is in conflict with any of the Ethics Requirements.

**Due Diligence** – NYSEDA, at its discretion, may conduct broad due diligence to validate any or all elements of an application and to assess applicants' prospects of success, including gathering information to assess a proposal relative to any of the topics listed in evaluation criteria, whether or not such topic is explicitly addressed in a proposal. NYSEDA may conduct due diligence on some or all proposals based on NYSEDA's current guidelines at the time of a review. NYSEDA staff may follow up with proposers to request additional information or clarification regarding applicant's proposal, including questions regarding applicant's business prospects and resources, whether or not those questions are specifically related to the elements of the proposal. Additionally, customized due diligence may be conducted by internal or external staff or contractors based on questions on any proposal raised by NYSEDA staff and/or the Scoring Committee. Due diligence may include (but is not limited to): interviews of independent references and background checks of team members; assessment of prior business experience of any team member associated with a proposal; research on intellectual property claims; customer and partner reference checks; market research on the applicants' target market and any other related or possibly competitive technology or market area; research to validate any assumptions on current or future revenues, costs, capital needs, and financing prospects for proposers' business, including similar (or unrelated) technologies, processes, or competitive solutions; or any other research that could reasonably inform the evaluation of a proposal, or the prospects for commercial success of the proposers' business (whether directly related to, or unrelated to the specific elements in a proposal). Due diligence may include discussions with proposers' former and current business partners, employees, investors, customers, and competitors. Due diligence may be conducted by NYSEDA personnel or contractors including members of the scoring committee, before, during, or after a scoring process, and prior to finalization of a contract award, any information gleaned in diligence may be used to score or re-score a proposal or apply a program policy factor.

**IX. Attachments:**

Attachment A–Sample Umbrella Agreement



# Regional Economic Development Councils



# 2022

## Available CFA Resources

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# Introduction

The Regional Economic Development Councils (REDC) and the Consolidated Funding Application (CFA) were created to advance efforts to improve New York's business climate and expand economic growth. The REDCs support the state's innovative approach to economic development, which empowers regional stakeholders to establish pathways to prosperity, mapped out in regional strategic plans.

New York State drives economic growth by making investments that enforce four interconnecting strategies:

- **Placemaking** - The notion that where investment occurs matters. In order to attract a talented workforce, our built environment must emphasize creating accessible job centers, sustainable infrastructure, and livable communities.
- **Workforce** - The belief that people drive the economy. Targeted job training and education ensures that jobs in high-paying, in-demand, tradeable sectors are filled in an equitable way.
- **Tradeable Sectors** - The industries New York State is targeting to increase export based employment opportunities. They are the industry sectors that are part of a global market like manufacturing, agricultural products, and energy.
- **Innovation** - The strategy of investing in and creating synergies between research and commercialization to drive the economy forward.

Over the past eleven years, the Regional Councils have revitalized the state's economy through a bottom-up, community-based, and performance-driven approach to economic development. Through the comprehensive strategic planning process, every region across the state has succeeded in creating private sector jobs, driving private investment, bolstering workforce development, and revitalizing long-neglected cities, towns, and neighborhoods. This year, the expertise of the Councils will continue to be an essential component of the post-COVID recovery along with a specific focus on determining workforce development needs resulting from the pandemic.

The unprecedented economic devastation caused by COVID-19 has highlighted the importance of inclusive growth and resilient strategies. Public, private, and civic collaboration has been the cornerstone of this process since its inception and the partnerships forged through the Regional Economic Development Councils will be vital to the recovery of New York's economy. Each region's strategic plan and progress reports can be found online at [www.regionalcouncils.ny.gov](http://www.regionalcouncils.ny.gov)

For Round XII, Regional Councils will once again focus on the implementation of each region's strategic plan, and continue to identify and invest in significant economic development projects. Round XII includes core capital and tax-credit funding that will be combined with a wide range of existing agency programs. The core funding includes \$225 million in grants and tax credits, to fund high value regional priority projects, as well as additional funding from state agencies available to support community revitalization and business growth consistent with the existing REDC plans through the CFA process.

In order to be responsive to the immediate needs of the development community and as the state is making crucial investments to generate economic activity, the \$150 million in grant funds from Empire State Development will continue to be made available to projects on a continuous and competitive basis this round.

This year, there are programs available through 8 state agencies, including Empire State Development; NYS Canal Corporation; NYS Energy Research and Development Authority; Homes and Community Renewal; New York Power Authority; Office of Parks, Recreation and Historic

Preservation; NYS Department of Agriculture and Markets; and Department of State. In an effort to provide the most appropriate state resources through this process, participating agencies will be able to review and potentially provide funding to a project that did not specifically apply to that program, if the materials submitted at time of application satisfy the requirements for that program and allow for fair review under the circumstances. In addition, all programs contained in this document will use regional distribution standards to ensure projects are funded throughout the state.

Please be advised that all CFA grants are subject to the New York State Executive Law Article 15-A which requires, where applicable, the establishment of 30% minority-and women-owned business enterprises ("M/WBE") contract goals.

In 2014, the Service-Disabled Veteran-Owned Business Act was signed into law. The new law created the Division of Service-Disabled Veterans' Business Development in Office of General Services to certify, promote and encourage economic development among disabled veterans throughout the state. Project applicants are urged to work with Service-Disabled Veteran-Owned Businesses (SDVOBs) and a directory can be found at <https://ogs.ny.gov/Veterans>.

This document outlines information about each agency's grant programs, including eligibility, scoring criteria, applicant requirements, and agency contact information for programs that are part of the REDC Initiative for Round XII. Additional programs continue to be made available through the Consolidated Funding Application and can be found at: <https://apps.cio.ny.gov/apps/cfa/index.cfm>

# **2022 Available Resources**

## **Programs Subject to the 4:00PM July 29 Deadline**

### **Empire State Development: Up to \$23.125 million**

- Up to \$15 million for Market New York
- Up to \$8.125 million for Business Incubator Program

### **Homes and Community Renewal: Up to \$4.2 million**

- Up to \$4.2 million for New York Main Street Program

### **Office of Parks, Recreation and Historic Preservation: Up to \$20.875 million**

- Up to \$20.875 million for Environmental Protection Fund Grants Program for Parks, Preservation and Heritage (EPF)

### **Department of State: Up to \$20.3 million**

- Up to \$16.3 million for the Local Waterfront Revitalization Program
- Up to \$4 million for the Brownfield Opportunity Area Program

### **New York State Canal Corporation: Up to \$1 million**

- Up to \$1 million for the Canalway Grants Program

### **New York State Energy Research and Development Authority: Up to \$25 million**

- Up to \$15 million for Commercial and Industrial (C&I) Carbon Challenge
- Up to \$10 million for Carbon Neutral Economic Development Program

### **New York State Department of Agriculture and Markets: Up to \$5.8 million**

- Up to \$5.8 million for the New York State Grown & Certified Infrastructure, Technology, Research and Development Grant Program

## **Open Enrollment Programs**

### **Empire State Development: Up to \$225 million**

- Up to \$150 million for ESD Grant Funds
- Up to \$75 million for Excelsior Jobs Program

### **New York State Power Authority: Up to 17.9 Megawatts**

- Up to 17.9 Megawatts for the ReCharge NY Program

*Programs included as Open Enrollment will continue to accept applications on an ongoing basis and are not subject to the July 29 deadline*



# Empire State Development

## **Empire State Development Grant Funds**

**Funding Available: Up to \$150 million**

### **DESCRIPTION:**

ESD has \$150 million of capital grant funding from the Regional Council Capital Fund available for the State's Regional Economic Development Council Initiative, which helps drive regional and local economic development across New York State in cooperation with ten Regional Economic Development Councils ("Regional Councils").

Capital grant funding is available for capital-based economic development projects intended to create or retain jobs; prevent, reduce or eliminate unemployment and underemployment; and/or increase business or economic activity in a community or Region.

Grant funding will be allocated among the ten regions, each represented by a Regional Council. Funding decisions will be based on each Regional Council's development and implementation of a strategic plan and subsequent progress reports that sets out a comprehensive vision for economic development and specific strategies to implement that vision, coupled with New York State's economic growth priorities.

Funding will be allocated to projects, including priority projects identified by the Regional Councils, identified as significant, regionally supported and capable of stimulating economic investment.

In addition, special consideration shall be given to projects supporting the Downtown Revitalization Initiative and Strategic Community Investment, Improving Access to Child Care, and Environmental Justice.

Funding will be awarded by the New York State Urban Development Corporation (d/b/a Empire State Development) at its discretion.

### **ELIGIBLE TYPES OF APPLICANTS:**

Eligible Applicants include but are not limited to: for-profit businesses, not-for-profit corporations\*, business improvement districts, local development corporations, public benefit corporations (including industrial development agencies), economic development organizations, research and academic institutions, incubators, technology parks, municipalities, counties, regional planning councils, tourist attractions and community facilities.

\* If awarded funding, prior to ESD Directors' approval and execution of a contract with ESD, a not-for-profit corporation must be registered and up-to-date with filings with the New York State Office of the Attorney General's Charities Bureau and the New York State Office of the State Comptroller's VendRep System and must be prequalified in the New York State Grants Gateway.

### **ELIGIBLE ACTIVITIES / PROGRAM BENEFIT REQUIREMENTS:**

Applicants applying for ESD Grant Funds should clearly describe the scope and budget for the "project" for which funds are being requested. For example, an Applicant may be planning a larger project that would include multiple phases, such as in the case of a major infrastructure project or redevelopment of a specific geographic area. However, the "project" for which funds are being requested via the CFA might consist of only one phase of the larger project. In such situations, the request for ESD Grant funds should be specific to the phase, NOT the overall multi-phase project.

## **Assistance generally falls into three categories:**

### **1. Strategic Community Development Investment:**

Grant funds may be used to finance strategic community development investments within a downtown, mixed-use commercial district in order to attract new businesses and expand existing businesses, thereby fostering further investment. Strategic community development investments include but are not limited to capital expenditures for infrastructure including transportation, parking garages, water and sewer, communication, and energy generation and distribution. Applicants must demonstrate how the project will result in a benefit to the viability of the area it is located in and how it will lead to increased economic activity.

Applicants that propose a project within a specific area where there are other proposed or ongoing projects may be looked upon favorably as a way to redevelop a specific area as opposed to standalone projects without other investments within an area.

Strategic community development investment projects that are able to provide job commitments will be viewed favorably. It is important, however, to note that (1) few strategic community development investment projects are anticipated to be able to provide job commitments and (2) if the employer will be an entity other than the Applicant, a third party guarantee of the Applicant's job commitment must be provided by the prospective employer and both the prospective employer and the third party guarantor must be found by ESD to be creditworthy.

Strategic community development investment projects may also include planning or feasibility studies relating to a specific capital project, site, or downtown, mixed-use district.

### **2. Business Investment:**

Business investments are capital expenditures that facilitate an employer's ability to create new jobs in New York State or to retain jobs that are otherwise in jeopardy. Five-year job commitments will be required of all award recipients because it is by underwriting these job commitments that ESD is best able to forecast the economic benefits of providing assistance to any particular project. Applicants will therefore be required to commit to the number of jobs at risk (of relocation or loss) that will be retained by the proposed project, the number of net new full-time jobs that will be created by the project, and the average salaries of each. Failure to achieve or maintain these employment commitments will subject a funding recipient to potential recapture of assistance.

### **3. Economic Growth Investment:**

An Economic Growth Investment initiative fosters economic growth through cultural activity, higher education activity, agribusiness initiatives, other local or regional initiatives, planning or feasibility studies relating to a specific capital project or site, improvements to facilities in highly distressed areas, commercial revitalization activities in central business districts or commercial strips, or other types of projects that may not have direct job creation goals. Economic Growth Investment projects that are able to provide direct job commitments will be viewed favorably.

## **GRANT FUNDS MAY BE USED FOR:**

- Acquisition of land, buildings, machinery and/or equipment;
- Demolition and environmental remediation;
- New construction, renovation or leasehold improvements;
- Acquisition of furniture and fixtures;
- Soft costs of up to twenty-five percent (25%) of total project costs; and
- Planning and feasibility studies related to a specific capital project or site

**INELIGIBLE ACTIVITIES:**

The following types of expenses may be included in budgets but shall not be eligible for reimbursement by grant funds:

- Developer fees;
- Training;
- Residential development, although program funds may only be used for the commercial component of a mixed-use project;
- Medical / hospital development projects although medical research facility projects will be considered for funding;
- Retail development projects; and
- Block grant projects or revolving loan funds

**PRE-APPLICATION REQUIREMENTS:**

Applicants must complete and submit a Consolidated Funding Application (CFA) for review by ESD and the Regional Council for the region in which the proposed project is located.

**SUCCESSFUL APPLICANT REQUIREMENTS:**

Awards are offered as an incentive to undertake a project. Therefore, the project should not begin, and expenses should not be incurred, before funding awards have been announced. Expenses incurred prior to submission of a CFA should not be included in CFA project budgets, nor should expenses that will be incurred after submission of a CFA but prior to an award announcement.

The amount of an award from ESD is based on a number of factors including, but not limited to, the project's alignment with the state and regional priorities, as well as the potential for direct and indirect job creation, direct and indirect fiscal benefit to the state and local governments, overall economic activity, community development and private investment. Generally, applicants should not apply for, nor will be considered for, more than twenty percent (20%) of the financing for any particular project based on the eligible total project cost. Typically, awards will be less than 20% of the eligible total project cost and the likelihood of winning an award improves as the percentage of ESD assistance is reduced and private investment or other sources are better leveraged. Exceptions to this limit may be made at the sole discretion of ESD in cases where it is found that a project or projects will have an unusual or extraordinary regional or statewide impact.

ESD requires that the Applicant contribute a minimum of ten percent (10%) of the total project cost in the form of equity contributed after the Applicant's acceptance of ESD's incentive proposal. Equity is defined as cash injected into the project by the Applicant or by investors and should be auditable through the Applicant's financial statements or accounts, if so requested by ESD. Equity cannot be borrowed money secured by the assets in the project or grants from a government source.

The Applicant must always disclose whether it is pursuing or intends to pursue multiple ESD funding sources, including grants, loans and tax incentives.

**SELECTION CRITERIA:**

In addition to the criteria noted below, ESD shall have the discretion to consider additional factors in determining the relative merits of projects..

**Vision and Regional Economic Development Strategies:**

- The overall economic impact that the project identified in the application will have on a region, including, but not limited to, the amount of capital investment and the level of increased economic activity from the proposed capital investment;
- The economic and community benefit to the viability of the area in which the project is located in;

- The number and impact of any direct or indirect jobs that will be created;
- The number of new jobs created and/or at-risk jobs that will be retained;
- The likelihood that the project identified in the application would be located outside of New York State or would not occur in New York State but for the availability of state or local incentives.

**Public/Stakeholders:**

- Whether the project has demonstrated support from local government and private sector leaders in the locality and the region where the project will be located;
- Whether the project will have a significant regional impact or is likely to increase the subject community's economic and social viability and vitality; and
- The degree of economic distress in the area where the Applicant will locate the project identified in its application, including downtown revitalization and brownfield areas.

**Implementation:**

- The degree of project readiness and likelihood of completion, including, where applicable for real estate development projects, if there are identified tenants for a completed project; and
- The degree of the Applicant's financial viability and strength of financials/operating history/ESD credit score.

**Leveraged Resources:**

- The amount of private financing leveraged; and
- The amount of public financing leveraged.

**Performance Measures:**

- The estimated return on investment that the project identified in the application will provide to New York State;
- For downtown areas, whether or not the project concerns the preservation of the architectural character of a building or neighborhood;
- Whether, where applicable, there are identified tenants for a completed project;
- The degree to which the project supports the principals of smart growth, energy-efficiency (including but not limited to, the reduction of greenhouse gas and emissions and the Leadership in Energy and Environmental Design [LEED] green building rating system for the project identified in its application), and sustainable development; and
- The degree to which the project identified in the application supports New York State minority- and women-owned business enterprises.

**Proposed projects that encompass the following into their project will be looked upon favorably:**

Downtown Revitalization Initiative and Strategic Community Investment

Priority consideration will be given to proposals which demonstrate they will advance downtown revitalization and strategic place making through transformative housing, economic development, transportation and community projects that will attract and retain residents, visitors and businesses - creating dynamic neighborhoods where tomorrow's workforce will want to live, work, and raise a family. Projects should reflect the general principles of smart growth and sustainable development.

### Improving Access to Child Care

Despite record investments in child care, many New Yorkers still struggle to access high quality child care. This issue forces families to choose between quality child care and employment or places families in the position to use unlicensed child care providers. Applicants should provide any information about their project that works to improve access to child care.

### Environmental Justice

Environmental justice means the fair treatment and meaningful involvement of all people regardless of race, color, or income with respect to the development, implementation, and enforcement of environmental laws, regulations, and policies. As we transition to a greener economy, it is imperative that no subset of the population be marginalized or left behind. Applicants should provide any information about how their project actively works to address these issues..

### **AWARD CRITERIA DETAILS:**

- Notice of a funding award will be given in the form of an incentive proposal outlining the terms of the proposed assistance. The award is subject to approval of the ESD Directors and compliance with applicable laws and regulations. Project funding may only be used for expenses incurred after the date that notice of the funding award is given. Applicants are strongly encouraged to review and countersign ESD's incentive proposal prior to starting the project.
- All Applicants will be requested to certify and agree that any decrease in the scope of work described in the Applicant's final CFA submission including, but not limited to, total project costs, jobs retained, and jobs created, may result in ESD's reduction of the award, in ESD's sole discretion, in an amount proportionate to any such decrease.
- All Applicants will be requested to certify and agree that any expansion of the scope of work described in the Applicant's final CFA submission including, but not limited to, total project costs, jobs retained, and jobs created, will not result in the increase of the award by ESD.
- The awarded grants are transferable at the sole discretion of ESD.
- The essential terms for the disbursement of assistance are included in the incentive proposal. Although funding is offered prior to project commencement as an inducement to undertake the project, funds are disbursed in arrears, as reimbursement for eligible project expenditures.
- Grant funds will be subject to pro rata recapture if property is sold within 5 years of disbursement of funds.
- It is expected the project will proceed in the time frame set forth by the Applicant. If the implementation of a project fails to proceed as planned and is delayed for a significant period of time and there is, in the exclusive judgment of ESD, doubt as to its viability, ESD reserves the right to cancel its funding commitment to such project. If awarded, the Incentive Proposal expires two years from the date of acceptance by the Recipient. ESD reserves the right to require Recipient to provide any additional information and/or documentation ESD deems necessary and terminate the project at any point if the applicant fails to provide such documentation in a timely manner.

- For Business Investment projects, partial funding is disbursed upon project completion and interim job creation/retention milestones, with additional funding disbursed upon achievement of job creation/retention milestones. For Infrastructure Investment and Economic Growth Investment projects, funding is typically is disbursed upon project completion.
- Projects generally are presented to the ESD Directors once all project expenditures have been undertaken and disbursement of ESD assistance is sought.
- All required public approvals must be in place prior to the start of construction and approval by the ESD Directors, including State Environmental Quality Review (SEQR) and consultation with the State Historic Preservation Office, if applicable. Physical work on an ESD-funded project may not be started prior to the completion of any necessary environmental, historic and/or smart growth review.
- For projects with job creation and/or retention, job numbers will be verified using the employer's NY-45 and NY-45 ATT and/or payroll reports prior to disbursement of funds and annually thereafter through the required reporting period.
- In accordance with the requirements of Article 15-A of the New York State Executive Law: Participation By Minority Group Members and Women With Respect To State Contracts, projects awarded funding shall be reviewed by ESD's Office of Contractor and Supplier Diversity, which will set business and participation goals for minorities and women. Such goals shall typically be included in the incentive proposal.
- Please note that ESD's agency-wide MWBE utilization goal is 30%. Each project will be assigned an individual contract-specific goal, which may be higher or lower than 30%. Should an Applicant receive a funding award, the Applicant shall be required to use good faith efforts to achieve the prescribed MWBE goals assigned to this project. Applicants must maintain such records and take such actions necessary to demonstrate such compliance. Failure to achieve the specified MWBE goal may result in award reduction.
- In 2014, the Service-Disabled Veteran-Owned Business Act was signed into law. The new law created the Division of Service-Disabled Veterans' Business Development in Office of General Services to certify, promote and encourage economic development among disabled veterans throughout the state. Project Applicants are urged to work with Service-Disabled Veteran-Owned Businesses (SDVOBs) and a directory can be found at <https://ogs.ny.gov/Veterans>.
- In accordance with State law, after approval by the ESD Directors, a public hearing will be required if the project involves the acquisition, construction, reconstruction, rehabilitation, alteration or improvement of any property. ESD will schedule a public hearing in accordance with the New York State Urban Development Corporation Act ("UDC Act") and will take such further action as may be required by the UDC Act and other applicable law and regulations. The ESD Directors must reconsider the matter if any negative testimony is received at the public hearing. (Generally, this hearing occurs the month after the Directors' initial approval). Approval by the Public Authorities Control Board ("PACB"), New York State Comptroller ("OSC") and the New York State Attorney General ("AG") may then be required. Following approval by the ESD Directors and PACB, OSC and AG approval, if required, the documents for processing the grant award will be prepared by ESD. Notwithstanding the process outlined above, no project shall be funded if sufficient resources are not received by ESD for such project.

- A \$250 Application Fee, payable when funding is documented in an Incentive Proposal, and a one percent (1%) non-reimbursable commitment fee based on the grant amount awarded will be assessed to all awardees. The commitment fee will be due when the Applicant executes documents required for processing the award, after approval by the ESD Directors. The Applicant will be obligated to pay for out-of-pocket expenses incurred by ESD in connection with the project, including, but not limited to, expenses related to attorney fees, appraisals, surveys, title insurance, credit searches, filing fees, public hearing expenses and other requirements deemed appropriate by ESD.
- Grant funds originally awarded to projects that have since been cancelled or terminated will be repurposed for economic development projects by ESD at its discretion in consultation with the REDCs.
- Projects having a hotel as a principal function will be required to demonstrate compliance with Section 2879-b of Public Authorities Law regarding labor peace if funding is awarded. Public Authorities Law Section 2879-b prohibits public authorities from providing financing for any project that includes, as one of the principal functions, a hotel with more than fifteen employees unless a labor peace agreement (“LPA”) is entered into with a labor organization representing hotel or convention center employees in the State, for a period of at least five years. An LPA is an agreement between the project developer (or its contractors) and a labor organization prohibiting the labor organization and its members from engaging in labor activities that disrupt the hotel’s operations.

**ADDITIONAL RESOURCES:**

For more information, eligible Applicants should contact the local Empire State Development Regional Office. A complete list of the ESD Regional Offices can be found at <http://esd.ny.gov/RegionalOverviews.html>

## **Excelsior Jobs Program**

**Funding Available: Up to \$75 million**

**DESCRIPTION:** The Excelsior Jobs Program, established in Chapter 59 of the Laws of 2010, provides job creation and investment incentives to firms in targeted industries such as biotechnology, pharmaceutical, high-tech, clean-technology, green technology, financial services, agriculture and manufacturing, not inclusive. Firms in these industries that create and maintain net new jobs or make significant financial investment are eligible to apply for up to five tax credits. The Program encourages businesses to expand in and relocate to New York while maintaining strict accountability standards to guarantee that businesses deliver on job and investment commitments.

Firms in the Excelsior Jobs Program may qualify for five, fully refundable tax credits. Businesses claim the credits over a multi-year period. To earn any of the following credits, firms must first meet and maintain the established job and investment thresholds.

Effective April 3, 2020 an enhanced tax credit was introduced for “green projects” operating in strategic industries inclusive of agriculture, manufacturing, software development, and scientific research and development.

A “green project” means a project that makes products or develops technologies that are primarily aimed at reducing greenhouse gas emissions or supporting the use of clean energy.

"Green project" shall include, but not be limited to, the manufacture or development of products or technologies or supply chain components primarily for renewable energy systems as defined in section sixty-six-p of the public service law, vehicles that use non-hydrocarbon fuels and produce zero or near zero emissions, heat pumps, energy efficiency, clean energy storage and other products that significantly reduce greenhouse gas emissions by minimizing the utilization of depletable resources or by improving industrial efficiency.

“Green project” shall not include a project primarily composed of (i) necessarily local activities such as retail, building construction, or the, deployment or adoption of an energy product or technology at an end user’s site, or (ii) the production of products or development of technologies that would produce only marginal and incremental energy savings or environmental benefits ancillary to the core function of the product or technology.

Effective April 8, 2021 an enhanced childcare investment tax credit and childcare services tax credit component were introduced for childcare expenses for projects operating in a qualified strategic industry.

“Childcare services” means those services undertaken or sponsored by a participant in this program meeting the requirements of “child day care” as defined in paragraph (a) of subdivision one of section three hundred ninety of the social services law or any child care services in the city of New York whereby a permit to operate such childcare services is required pursuant to the health code of the city of New York.

"Net new childcare services expenditures" means the calculation of new, annual participant expenditures on childcare services whether internal or provided by a third party (including coverage for full or partial discount of employee rates), minus any revenues received by the participant through a third-party operator (i.e. rent paid to the participant by the childcare provider) or employees and may be further defined by the commissioner in regulations. For the purposes of this definition, expenditures for childcare services that a participant has incurred prior to admission to this program shall not be eligible for the credit.



**The Excelsior Jobs Tax Credit:**

- A credit of up to 6.85 percent of wages per new job to cover a portion of the associated payroll cost
- For “green projects” a credit of up to 7.5 percent of wages

**The Excelsior Investment Tax Credit:**

- Valued at two percent of qualified investments
- For “green projects” and investments in childcare, a credit valued at 5 percent of qualified investments

**The Excelsior Research and Development Tax Credit:**

- A credit of 50 percent of the Federal Research and Development credit up to 6 percent of eligible research expenditures in NYS
- For “green projects” a credit of 50 percent of the Federal Research and Development credit up to 8 percent of eligible research expenditures in NYS
- The Excelsior Real Property Tax Credit:
- Available to firms locating in certain distressed areas and to firms in targeted industries that meet higher employment and investment thresholds (Regionally Significant Project).

**The Excelsior Childcare Services Tax Credit:**

- A credit of up to 6 percent of net new childcare services expenditures for the operation, sponsorship or direct financial support of a childcare services program.

**ELIGIBLE TYPES OF APPLICANTS:** For-profit business entities including corporations, limited liability companies, partnerships, sole proprietorships.

**ELIGIBLE ACTIVITIES / PROGRAM BENEFIT REQUIREMENTS:**

**Agriculture:** agricultural production (establishments performing the complete farm or ranch operation, such as farm owner-operators, tenant farm operators, and sharecroppers) and agricultural support (establishments that perform one or more activities associated with farm operation, such as soil preparation, planting, harvesting, and management, on a contract or fee basis).

**Back Office Operations:** a business function that may include one or more of the following activities: customer service, information technology and data processing, human resources, accounting and related administrative functions.

**Distribution Center:** a large-scale facility involving processing, repackaging and/or movement of finished or semi-finished goods to retail locations across a multi-state area.

**Entertainment Company:** means a corporation, partnership, limited partnership, or other entity principally engaged in the production or post production of (I) motion pictures, which shall include feature-length films and television films, (II) instructional videos, (III) televised commercial advertisements, (IV) animated films or cartoons, (V) music videos, (VI) television programs, which

shall include, but not be limited to, television series, television pilots, and single television episodes, or (VII) programs primarily intended for radio broadcast. Entertainment Company shall not include an entity (I) principally engaged in the live performance of events, including, but not limited to, theatrical productions, concerts, circuses, and sporting events, (II) principally engaged in the production of content intended primarily for industrial, corporate or institutional end-users, (III) principally engaged in the production of fundraising films or programs, or (IV) engaged in the production of content for which records are required under section 2257 of Title 18, United States Code, to be maintained with respect to any performer in such production.

**Financial Services:** “Financial services data centers or financial services customer back office operations” means operations that manage the data or accounts of existing customers or provide product or service information and support to customers of financial services companies, including banks, other lenders, securities and commodities brokers and dealers, investment banks, portfolio managers, trust offices, and insurance companies.

**Life Sciences:** means agricultural biotechnology, biogenerics, bioinformatics, biomedical engineering, biopharmaceuticals, academic medical centers, biotechnology, chemical synthesis, image analysis, marine biology, medical devices, medical nanotechnology, natural product pharmaceuticals, proteomics, regenerative medicine, RNA interference, stem cell research, medical and neurological clinical trials, health robotics and veterinary science.

**Manufacturing:** the process of working raw materials into products suitable for use or which gives new shapes, new quality or new combinations to matter which has already gone through some artificial process by the use of machinery, tools, appliances, or other similar equipment. "Manufacturing" does not include an operation that involves only the assembly of components, provided, however, the assembly of motor vehicles or other high value-added products shall be considered manufacturing.

**Music Production:** means the process of creating sound recordings of at least eight minutes, recorded in professional sound studios, intended for commercial release. Music Production does not include recording of live concerts, or recordings that are primarily spoken word or wildlife or nature sounds or produced for instructional use or advertising or promotional purposes.

**Scientific Research and Development:** conducting research and experimental development in the physical, engineering, and life sciences, including but not limited to agriculture, electronics, environmental, biology, botany, biotechnology, computers, chemistry, food, fisheries, forests, geology, health, mathematics, medicine, oceanography, pharmacy, physics, veterinary, and other allied subjects. For the purposes of this article, scientific research and development does not include medical or veterinary laboratory testing facilities.

**Software Development:** the creation of coded computer instructions and includes new media; the application of information technology to traditional communications outlets, particularly through interactive modes such as the Internet, including video games, web search portals, interactive web-based content, and interactive advertising.

**SUCCESSFUL APPLICANT REQUIREMENTS:** Because awards are offered as an incentive to undertake a project, the project should not begin, and expenses should not be incurred, before funding award notification. Expenses incurred prior to submission of a CFA should not be included in CFA project budgets.

Excelsior Jobs Program eligibility is based on the predominant activity of the proposed project. The Program is limited to projects making a substantial commitment to growth – either in employment or through investing significant capital in a New York facility.

The Job Growth Track comprises 75% of the Program and includes projects creating net new jobs in New York.

Targeted Activity	Minimum Job Creation Threshold
Agriculture	5
Back Office	25
Distribution	50
Entertainment Company	100
Financial Services	25
Life Sciences	5
Manufacturing	5
Music Production	5
Scientific R&D	5
Software Development	5

The Investment Track comprises 25% of the Program and includes projects with targeted activities that make significant new capital investments in a New York facility but cannot project the minimum job threshold. Applicants with manufacturing activities must retain at least 5 jobs; all other eligible activities must retain at least 25 jobs. Applicants admitted to the Program under the Investment Track must meet a benefit-cost threshold of at least \$10 of investment and new wages for every \$1 of tax credit.

**INELIGIBLE ACTIVITIES:** A not-for-profit business entity, a business entity whose primary function is the provision of services including personal services, business services, or the provision of utilities, a business entity engaged predominantly in the retail or entertainment industry, other than a business operating as an entertainment company as defined as defined above or a business entity engaged in music production, and a business entity engaged in the generation or distribution of electricity, the distribution of natural gas, or the production of steam associated with the generation of electricity are not eligible to participate in the program.

**SELECTION CRITERIA:** In addition to the criteria noted below, ESD shall have the discretion to consider additional factors in determining the relative merits of projects.

- The overall economic impact that the project identified in the application will have on a region, including, but not limited to, the number and impact of any direct or indirect jobs that will be created;
- The number of new jobs created and/or at-risk jobs that will be retained;
- The amount of capital investment and the level of increased economic activity from the proposed capital investment;
- The likelihood that the project identified in the application would be located outside of New York State or would not occur in New York State but for the availability of state or local incentives
- Special consideration shall be given to projects supporting Regional Economic Development Council Opportunity Agenda priorities, Veterans' Related Projects and Downtown Revitalization Initiative projects.

**AWARD CRITERIA DETAILS:** Notice of a funding award will be given in the form of an incentive proposal outlining the terms of the proposed assistance, establishing a schedule of job and investment requirements and tax credit benefits. The award is subject to compliance with applicable laws and regulations. Project funding may only be used for expenses incurred after the date that notice of the funding award from the Commissioner of the NYS Department of Economic

Development. Applicants are strongly encouraged to review and countersign ESD's incentive proposal prior to starting the project.

Each participant must submit a performance report annually demonstrating that the applicable job and investment requirements are achieved. A participant may receive benefits under the program based on interim milestones up to the limits established in the formal agreement.

**ADDITIONAL RESOURCES:**

Program Contact: 518-292-5240

<http://esd.ny.gov/BusinessPrograms/Excelsior.html>

# **New York State Business Incubator and Innovation Hot Spot Support Program**

**Funding Available: \$8.125 Million**

## **DESCRIPTION:**

The New York State Business Incubator and Innovation Hot Spots Support Program were enacted initially as part of the 2013-14 State Budget and will provide significant continued financial support for business incubators in the state. This underscores the importance of business incubation and technology transfer to the Governor's overall economic development strategy.

Business incubation is the process of accelerating the development of entrepreneurial companies through a structured array of business support resources and services targeted to the needs of start-up companies. The business incubator is the entity responsible for organizing and managing these support services.

Empire State Development (ESD) is administering the competitive process for the designation of New York State Business Incubators and New York State Innovation Hot Spots. Applications will be received and reviewed through the Consolidated Funding Application (CFA) process by both the Regional Councils and ESD.

In this competition, ESD anticipates making up to three NYS Business Incubator designations and five Innovation Hot Spot designations. ESD anticipates that one Innovation Hot Spot will be designated in each of the following economic development regions: Mohawk Valley, Capital Region, Mid-Hudson, New York City and Long Island.

Awardees will receive operating funds from ESD to expand and create services. Designation as an Innovation Hot Spot brings significant state income and sales tax benefits for the start-up companies within the Hot Spot, for a period of five years. These benefits include:

- Being subject only to fixed dollar minimum tax or able to deduct income attributable to operations as part of Hot Spot; and
- Receiving credit or refund for sales tax on related goods and services.

The goal of the program is to improve the quantity and quality of incubator services provided to young companies, thereby enabling these businesses to successfully transition from start-up phase to larger scale commercialization of their products and services. This was one of the strategies laid out to effectively harness our innovation assets and better serve inventors and entrepreneurs. Importantly, this program will provide ESD with valuable information on the companies which are at the early stage of entry into the state's innovation pipeline. ESD will seek to connect these companies with other state programs, such as the NY Innovation Venture Capital Fund and state-funded research assets, to better serve the growth needs of young companies.

## **ELIGIBILITY:**

An entity wishing to be designated as a designated NYS Business Incubator must currently be providing a business incubation program which has been in existence for three or more years. Applicants must provide a strategic plan for their incubator and demonstrate that their services align with industry best practices. Applicants must demonstrate how this funding will enable and/or expand services they provide to their tenant clients and demonstrate a 2:1 match of state funds. Applicants are strongly encouraged to demonstrate regional partnerships with incubators or organizations assisting entrepreneurs and early stage companies. Applicants should demonstrate a track record of transitioning academic research to the marketplace.

Any entity seeking designation as a New York State Innovation Hot Spot must meet the requirements of a NYS Business Incubator and must demonstrate a strong affiliation with one or more colleges, universities or independent research institutions by providing a Memorandum of Understanding (MOU) describing such affiliation. Applicants are strongly encouraged to demonstrate regional partnerships with incubators or organizations assisting entrepreneurs and early stage companies. Applicants should demonstrate a track record of transitioning academic research to the marketplace. Only applicants within the New York State economic development regions of Mohawk Valley, Capital Region, Mid-Hudson, New York City and Long Island will be eligible for a New York Innovation Hot Spot Designation in this round.

#### **FUNDING:**

Successful applicants will be awarded operating grants to expand the services and programs provided to start-up companies served by the incubator.

Up to \$125,000 will be provided annually for five years to entities designated as a New York State Business Incubator. Up to three awards are anticipated in this category funding.

Up to \$250,000 will be provided annually for five years to entities designated as a New York State Innovation Hot Spot. Five awards are anticipated in this category for CFA funding.

#### **Successful Applicant Requirements**

Entities seeking designation as New York State Business Incubator will be required to:

- Be a not-for-profit organization located in New York State;
- Have operated an incubator for three or more years;
- Have a demonstrated link to regional sources of innovation and expertise;
- Commit to financially and programmatically maintain the incubator for five years from date of designation;
- Commit to best practices of incubation;
- Provide a strategic plan that describes how it intends to positively impact the regional entrepreneurial environment;
- Detail the process it uses to accelerate the development and commercialization of its clients products and services;
- Business incubators can choose to have a general focus or a specific tech area focus (i.e. circular economy, fashion/fabrics/textiles or digital gaming)
- Expand scope of services or provide new services;
- Provide a two-to-one match<sup>1</sup> of the grant funds it receives for the operation of the incubator;
- Submit data as required by ESD (bi-annually) on the operations and performance of the incubator including a list of business enterprises currently being served by the incubator;
- Have a clear and concise graduation plan for companies;
- Receive a total minimum score of 70.

#### **SELECTION CRITERIA:**

The CFA application will be scored by its respective Regional Council. In addition to review and evaluation by the Regional Councils, applications will be reviewed and scored by ESD. The programmatic goal of this solicitation is to have applicants (not-for-profits) focus on services related

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<sup>1</sup> At least 50% of the match must be cash

to one or more industry verticals instead of general business development services. This program is intended to expand, enhance, and improve existing programs and services offered by the entity.

Applications will be evaluated and judged using the following criteria:

- The additional resources which will be leveraged by state grant assistance
- The number of clients served
- Demonstrated success in graduating clients from the incubator
- Alignment with regional strategies, priorities, assets and opportunities
- Type and quality of services provided
- How well the services and programs offered by the incubator conforms to best practices
- Effectiveness in accelerating the growth of start-up companies
- The financial and programmatic support of the institution or communities it serves
- Commitment and support of the business sector
- Demonstrated commitment to growing the entrepreneurial and innovation network

### **SCORING:**

Applications will be scored using the following methodology:

1) Alignment with Regional Strategy and Priorities scored by the Regional Economic Development Council (REDC) (20 percent)

2) Incubation Effectiveness (20 percent)

- What is the track record of the incubator in accelerating growth of start-ups?
  - Increased jobs, investment, and other metrics determining successful incubation and effectiveness.
  - Graduation rates and illustrative examples

3) Expansion of Services (15 percent)

- What new or expanded programs or services will be provided to start-up companies within the region as are result of the grant funding?
- Does this application involve a partnership with other incubators, Regional Innovation Hot Spot, or other innovation resources?

4) Financial Soundness and Sustainability (20 percent)

- Does the applicant's operating budget demonstrate financial soundness and strength?

5) Regional Incubator Leadership Assistance (15 percent)

- How does the applicant propose to assist in the growth of the region's entrepreneurial and innovation network?

6) Alignment to one or more Significant Statewide Programs (10 percent)

**Proposed projects that are part of the following initiatives will be looked upon favorably:**

**Downtown Revitalization Initiative and Strategic Community Investment**

Priority consideration will be given to proposals which demonstrate they will advance downtown revitalization and strategic place making through transformative housing, economic development, transportation and community projects that will attract and retain residents, visitors and businesses - creating dynamic neighborhoods where tomorrow's workforce will want to live, work, and raise a family. Projects should reflect the general principles of smart growth and sustainable development.

**Environmental Justice**

Environmental justice means the fair treatment and meaningful involvement of all people regardless of race, color, or income with respect to the development, implementation, and enforcement of environmental laws, regulations, and policies. As we transition to a greener economy, it is imperative that no subset of the population be marginalized or left behind. Applicants should provide any information about how their project actively works to address these issues.

**PERFORMANCE MEASUREMENTS**

New York State Business Incubators will be required to provide bi-annual performance reports documenting their success in assisting companies to transition from their start-up stage to commercialization of products and services. These reports will include a list of every business served by the Business Incubator and the progress that has been made in growing these companies. These metrics as well as other documentation will be required to receive funds on a reimbursement basis from the state.

**Program Contact:** Jessica Herbert, [Jessica.herbert@esd.ny.gov](mailto:Jessica.herbert@esd.ny.gov)



## **Market New York**

**Funding Available: Up to \$15 Million**

### **DESCRIPTION**

*Market New York* is a grant program established to strengthen tourism and attract visitors to New York State by promoting destinations, attractions and special events. Funding is available for tourism marketing initiatives, capital/construction projects and the recruitment and/or execution of special events, including meetings, conferences, conventions, festivals, agritourism/craft beverage events, athletic competitions and consumer and industry trade shows. The *Market New York* program and each funded proposal will work to support the long-term strategic plans for economic growth as put forth by the Regional Economic Development Councils (REDCs). For the 2022-2023 Fiscal Year, up to \$15 million is to be available through *Market New York*.

Funding is available for eligible projects that will create an economic impact by increasing tourism throughout the state. Grant funding will be allocated among the ten (10) REDC regions, based on each REDC's five-year strategic plan that sets out a comprehensive vision for economic development and specific strategies to implement that vision. REDC strategic plan information can be found at: <http://regionalcouncils.ny.gov/>.

There are two categories of funding available under Market New York, each with varying requirements. Up to \$15 million is to be available for the following project categories:

**1) Regional Tourism Marketing (Working Capital) – up to \$7 million;**

(only minimum grant requests of \$25,000 or more will be considered, not including grantee match); and

**2) Tourism Capital- \$8 million;**

(only minimum grant requests of \$150,000 or more will be considered, not including grantee match).

Applicants with projects that include both marketing and capital expenditures will need to meet the requirements and demonstrate separate matches for both funding tracks and clearly indicate this information in their CFA application. Also, select both capital and working capital in the CFA application when requested.

Generally, projects applying to Market New York Capital must demonstrate a 20% match for the program, independent of other program match requirements. Projects that don't demonstrate an independent 20% match for each program separately may be deemed ineligible for Market New York.

ESD reserves the rights to grant awards lower than the \$25,000 and/or \$150,000 minimum requested amounts based upon availability of funds available.

### **ELIGIBILITY REQUIREMENTS**

Applicants must complete and submit a Consolidated Funding Application (CFA) which will be reviewed by Empire State Development (ESD) and the REDC. Projects that are statewide or multi-regional should choose a region where the project is mainly located, headquartered or has the most impact, or by the REDC sponsoring the project.

Projects must clearly demonstrate in both the CFA application and the project plan that the project is tourism related. Projects that fail to establish a direct tourism impact will be determined ineligible and will not be scored.

Entities that may apply for funding include not-for-profit corporations, municipalities, Tourism Promotional Agencies (TPAs), public benefit corporations and for-profit companies. **Individuals, SUNY schools and NYS agencies are not eligible to apply for this grant.** Not-for-profit corporations are subject to New York State's Not-For-Profit Corporation Law and must have proof of incorporation (or equivalent document) from the NYS Department of State or NYS Board of Regents, a charities registration number from the NYS Office of the Attorney General and proof of tax-exempt status under the IRS code.

Businesses must be certified in New York State. Businesses that operate in a state other than New York State are required to submit, as part of your application, a Certificate of Authority provided by New York State Department of State.

*Note to Not-For-Profit Organizations:*

Not-for-profit organizations who are successful in receiving grants must meet the following requirements prior to ESD Directors' approval and execution of a Grant Disbursement Agreement or Loan Agreement: 1) be prequalified in New York State Grants Gateway; 2) be registered and up-to-date with filings with the New York State Office of the Attorney General's Charities Bureau; and 3) be registered and up-to-date with the New York State Office of the State Comptroller's VendRep System. It is strongly advised that all Not-For-Profit organizations register with Grants Gateway upon application.

**ESD's Non-Discrimination & Contractor and Supplier Diversity Policies**

In accordance with the requirements of Article 15-A of the New York State Executive Law: Participation by [certified] Minority Group Members and Women with Respect to State Contracts, projects awarded funding shall be reviewed by ESD's Office of Contractor and Supplier Diversity, which may set business and participation goals for minorities and women. Established goals for awarded projects will be designated in the Incentive Proposal.

Please note that ESD's agency-wide MWBE (Minority and Women Owned Business Enterprise) utilization goal is 30 percent (30%). Each project will be assigned an individual contract-specific goal, which may be higher or lower than 30 percent (30%). Should an applicant receive a funding award, the applicant shall be required to use good faith efforts to achieve the prescribed MWBE goals assigned to this project.

Applicants must maintain records and take the necessary actions to demonstrate such compliance, which includes, but is not limited to updating compliance and utilization records in the New York State Contract System. Failure to comply with MWBE requirements may result in award reductions.

In 2014, the Service-Disabled Veteran-Owned Business Act was signed into law. The new law created the Division of Service-Disabled Veterans' Business Development in Office of General Services to certify, promote and encourage economic development among disabled veterans throughout the state. Project Applicants are urged to work with Service-Disabled Veteran-Owned Businesses (SDVOBs) and a directory can be found at <https://ogs.ny.gov/Veterans>.

**SIGNIFICANT TOURISM INITIATIVES**

Proposed projects that complement the following New York State initiatives will be looked upon favorably:

1. **Projects that market/promote/showcase, on at least a regional basis, New York State's:**
  - Unique, world-class destinations and new, unique special events;
  - Broad array of available activities; and /or
  - Niche tourism segments including but not limited to: accessible travel, LBGTQ tourism, international tourism, outdoor recreation, and heritage travel, including historic sites and museums.
  
2. **Projects that engage the travel trade:** Pursue Meetings Incentives Conferences and Exhibitions (MICE) tourism, amateur sporting events and group tour business through sales and marketing efforts that encourage travel professionals to choose New York State for their clients and customers and position as the best place for meetings and events of all types and sizes.
  
3. **Projects that promote international tourism:** As borders prepare to reopen, keep New York State top of mind and maximize the pent-up demand for travel with international consumers, especially from our key feeder markets: Canada, UK, Germany and Australia.
  
4. **Projects that promote outdoor recreation destinations and activities:** Maximize the trend of increased outdoor tourism and convert first-time users of New York's outdoor recreational assets to regular guests. At the same time, create broader awareness of lesser known and visited outdoor destinations to help redirect visitors from more crowded assets, and improve the visitor experience with increased programming and staff support while ensuring the long term preservation of natural assets for continued, sustainable visitation.

## FUNDING CATEGORY INFORMATION

### **I. Regional Tourism Marketing (Working Capital)**

#### **Up to \$7 million**

Only minimum requests of \$25,000 or more will be considered, not including the grantee match. Any grant requests under \$25,000 will be found ineligible and will not be scored.

Applications will be accepted for projects that promote New York's regional tourism destinations or attractions. Applicants must demonstrate how the tourism marketing project will promote and forward the tourism goals of the corresponding REDC's strategic plan, in addition to increasing visitation or spending per visitor.

Successful tourism marketing projects will also complement the goals and strategies of I LOVE NY, namely to make New York State the destination of choice for travelers, especially those within a five-hour drive of the state or from international markets. New York State will employ strategies to achieve these goals including television, digital, out-of-home and other advertising, activations at live events, international marketing, public relations efforts, social media engagement and other initiatives. New York State will also place particular concentration on the sectors most in need of help and/or representing the most promising opportunity for growth to restore New York to its previous record tourism and help it reach new heights.

Particular attention will be given to projects that complement those elements highlighted above in ***Significant Tourism Initiatives***. Measurement criteria to demonstrate impact include: increases in room nights, visitor frequency, visitor spending and length of stay. Projects

developed collaboratively between businesses and tourism promotion agencies (TPA) will also be looked upon favorably.

*Please note that applicants must include a **project plan** of not more than four pages outlining the specifics of the project, the budget and specifically how the grant funds and the grantee equity will be used, as well as any other information that the applicant would like to share with the scoring teams.*

*It is also strongly advised that applicants provide information that clearly and specifically addresses the Scoring Criteria listed later in these guidelines. The budget in the project plan should reflect the same total project costs indicated in the budget section of the CFA application.*

### **Eligible Expenses**

Eligible costs that may be covered by a grant include direct costs incurred, by the Grantee only, for the development and delivery of a regionally-based tourism marketing project and must not include organizational costs that would have otherwise been incurred by the applicant (e.g. finance, office related and/ or operational costs).

In general, eligible tourism marketing costs include, but are not limited to, the following:

- Purchase of recognized media advertising;
- Production costs of print collateral and/or audio/visual;
- Licensing/talent fees to ensure ownership of finished product;
- Website design/updates;
- Fees paid to artists, musicians, performers, special guests & speakers;
- Rental of event amenities (e.g. chairs, tents, tables, staging, lighting, fencing, etc.);
- Consultation/vendor events services (e.g. security, AV, sound, lighting crews, etc.);
- Site expenses & services (e.g. convention center fees, security, shuttle buses, etc.);
- Event producer or other consultant costs;
- Supplies and materials as approved by ESD;
- Administrative costs up to a maximum of 10 percent (10%) of the total project cost as approved by ESD (administrative costs are defined as - staff costs to execute the project/grant program only and must be demonstrated at the time that reimbursement is requested through payroll journals, cashed payroll checks and other sources deemed appropriate by ESD. These costs are not meant to include any general overhead costs of everyday business);
  - Note: administrative costs will be eligible toward the grantee's match only and not reimbursed by grant funds; and
- Other costs deemed reasonable by ESD.

### **Ineligible Expenses**

Ineligible expenses include, but are not limited to, the following:

- Food and / or beverages for consumption, including alcoholic beverages (these costs can be used towards the grantee match ONLY);
- Loan, finance, interest and/or tax fees;
- Salaries, wages and / or staff time (outside of the 10% administrative cost), "in-house" expenditures (ineligible for both ESD and match);
- "In-house" expenses are defined as any cost paid for staff work completed by employees on the payroll of the granted organization.

- Mini-grants or reallocation of funds to other organizations (other than approved subcontractors for the project);
- Legal fees, insurance/liability insurances and / or membership fees;
- In-kind, donated, volunteer services (not reimbursable nor can they be used toward the match); any costs incurred for events held outside New York State;
- Fireworks competition prizes, prize money and monies paid to participants (these costs can be used towards the grantee match ONLY);
- Fringe benefits (such as health insurance, retirement benefits and other non -mandated benefits);
- Expenses reimbursed from any other source or agency;
- Capital expenditures (e.g. equipment, hardware, vehicles, computers, etc.). For these purposes, “capital expenditures” are defined as: funds spent to acquire/upgrade physical non-consumable fixed assets in order to maintain or increase the scope of operations. (e.g. property, renovations/upgrades, building construction, long-term assets, etc.);
- Permanent wayfinding signage (including signage produced to be placed on city, county, state roads);
- Training;
- Operational/overhead expenditures (e.g. rent, utilities, office supplies, etc.); and
- Other expenses deemed ineligible by ESD.

Note that travel costs (transportation, lodging, mileage, etc.) as well as administrative costs (up to 10% of the Total Project Cost), as approved by the Division of Tourism, will be eligible toward the grantee’s match only and not reimbursed by grant funds;

### **Required Match**

#### **50% of Total Project Cost**

ESD generally seeks to provide no more than fifty percent (50%) of the financing for Regional Tourism Marketing projects. **An actual cash match of at least 50% of the total project cost is required.** In-kind matches and/or staff time are not eligible for the match requirement.

Additionally, funds from any other state agency (including I LOVE NY Matching Funds, ESD Capital and other NYS Tourism Grants) are ineligible to be used for the match. All expenditures, including the matched expenses, are required to be demonstrated that they were expended from the grantee’s account(s). If working with a partner, the partner will need to transfer any cash match into the grantee’s account(s). Match Example: the minimum request of \$25,000 (50%) would require a match of \$25,000 (50%) or more, for a total project cost of \$50,000 or more. Another example: if your total project cost is \$200,000 you can apply for 50%, which would be \$100,000 grant request, and a required match of \$100,000 (50%) would need to be demonstrated.

### **Payment Process**

The grantee will receive an Award Letter after the grants have been announced. The grantee will be required to submit a final budget to the department upon being awarded, even if the budget hasn’t changed from the CFA. After that time, the grantee will then receive an Award Confirmation Letter outlining the requirements of the grant program, what is expected of the grantee if they choose to accept the grant, and authorizing spending against the grant. The project will then be brought before the ESD Board of Directors for approval. If approval is received, the grantee will be required to enter into a contract (Grant Disbursement Agreement/GDA) with ESD, which will be sent to the grantee after Board approval.

ESD will pay the grantee on a **reimbursement basis**, no more frequently than quarterly, up to 50% of the total eligible costs that are supported by invoices, paid receipts and other documentation as required. (This means that the Grantee will need to show a minimum of 50% of their match for each reimbursement request. Reimbursement forms and requirements will be included in the GDA.) No financial payment of the grant will be made upfront. **The grantee should be prepared to subsidize the project for a term of up to 6 months or more.**

Expenses incurred prior to the award of a CFA grant cannot be included in CFA project budgets. Additionally, expenses incurred after submission of a CFA but **prior** to an award announcement are not eligible for reimbursement.

All Regional Tourism Marketing Projects are required to complete projects within two years of the date of the award letter.

Please note: awarded grants are not transferable and project expenditures (grant and match) must be shown to have been expended from the Grantee's accounts.

### **Fees**

There are no fees associated with the Regional Tourism Marketing funding track.

### **Reporting**

All projects will require that a "Project Performance Measure" report and a final report be completed before a final reimbursement will be made. Requests for reimbursement will be outlined with successful awardees in the GDA, and may be submitted no more frequently than quarterly, up to 50% of the total eligible costs. Reimbursements are eligible for request after the successful grantee has a signed/approved grant disbursement agreement (GDA). Please note all MWBE and SDVOB requirements must be in compliance and Grants Gateway accounts in pre-qualified status for non-profit organizations, in order for payments to be processed.

## **II. Regional Tourism Capital**

### **Up to \$8 million**

Only minimum requests of \$150,000 or more will be considered. Any grant requests under \$150,000 will be found ineligible and will not be scored.

Applications will be accepted for projects that include plans to expand, construct, restore or renovate New York State tourism destinations and attractions. Applicants must demonstrate how the tourism capital project will work to promote and forward the tourism goals of the corresponding REDC's strategic plan, in addition to increasing visitation and visitor spending.

Successful tourism marketing projects will also complement the goals and strategies of I LOVE NY, namely to make New York State the destination of choice for travelers, especially those within a five-hour drive of the state or from international markets. New York State will employ strategies to achieve these goals including television, digital, out-of-home and other advertising, activations at live events, international marketing, public relations efforts, social media engagement and other initiatives. New York State will also place particular concentration on the sectors most in need of help and/or representing the most promising opportunity for growth to restore New York to its previous record tourism and help it reach new heights.

Particular attention will be given to projects that complement those elements highlighted above in **Significant Tourism Initiatives**. Measurement criteria to demonstrate impact include: increases in room nights, visitor frequency, visitor spending and length of stay. Projects

developed collaboratively between businesses and tourism promotion agencies (TPA) will also be looked upon favorably.

Projects that include a hotel (with more than 15 employees) as a principal function and/or a convention center are required to demonstrate compliance with Section 2879-b of Public Authorities Law regarding labor peace.

*Please note that applicants should include a **project plan** of not more than four pages outlining the specifics of the project, the budget and specifically how the grant funds and the grantee equity will be used and any other information that the applicant would like to share with the scoring teams. It is also strongly advised that applicants provide information that clearly and specifically addresses the Scoring Criteria listed later in these guidelines. Additionally, the project plan budget should reflect the same expenditures costs and total project costs indicated in the CFA application budget section.*

### **Eligible Expenses**

Eligible projects costs should be associated with the construction of a new tourism destination/attraction or adding on to and/or restoring an existing tourism destination/attraction, and/or with permanent structures or other infrastructure associated with a special event.

In general, eligible tourism capital costs include, but are not limited to, the following:

- Acquisition or leasing of land, buildings, machinery and / or equipment;
- Pre-development costs;
- Remediation costs;
- Improve accessibility services;
- Purchase of equipment and/or event amenities (ex. permanent staging, fixed assets, etc.)
- Acquisition of an existing business and/or assets;
- New construction, renovation or leasehold improvements; and
- Administrative costs up to a maximum of 10 percent (10%) of the total project cost as approved by ESD (Administrative costs are defined as - staff costs to execute the project/grant program only and must be demonstrated at the time that reimbursement is requested through payroll journals, cashed payroll checks and other sources deemed appropriate by ESD. These costs are not meant to include any general overhead costs of everyday business.).

### **Ineligible Expenses**

Ineligible expenses include, but are not limited to, the following:

- Developer fees;
- Training;
- Recapitalization/refinancing;
- Expenses reimbursed from any other source or agency;
- Food and/or beverages for consumption, including alcoholic beverages;
- Legal fees, insurance/liability insurances and / or membership fees;
- Mini-grants or reallocation to other organizations (other than approved subcontractors for the overall project);
- Loan, finance, interest and/or tax fees; any costs incurred for capital event costs held outside New York State;
- Competition prizes, prize money and monies paid to participants;
- In-kind, donated, volunteer services (not reimbursable nor can they be used toward the match);

- Fringe benefits (such as health insurance, retirement benefits and other non-mandated benefits);
- Wayfinding signage (signage produced to be placed on city, county, state roads);
- Operational/overhead expenditures (e.g. rent, utilities, etc.);
- Residential development, although program funds may be used for the commercial component of a mixed-use project; and
- Other expenses deemed ineligible by ESD.

Note: Expenses incurred prior to submission of a CFA may not be included in CFA project budgets; anticipated expenses that might be incurred after submission of a CFA, but prior to an award announcement, will not be reimbursed.

## **Required Match**

### **80% Match Required**

ESD generally seeks to provide no more than twenty percent (20%) of the financing for Tourism Capital projects. **An actual cash match of 80% of the Total Project Cost is required.** In-kind matches and/or staff time is not eligible for the match requirement. Funds from any other state agency (including, but not limited to I LOVE NY Matching Funds, ESD Capital and other NYS Tourism Grants) are ineligible to be used for the match.

Match Example: Match Example: the minimum request of \$150,000 (20%) grant would require a match of \$600,000 (80%) or more, for a total project cost of \$750,000. Another example: if your total project cost is \$1,000,000 you can apply for 20% which would be a \$200,000 grant request, and a required match of at least \$800,000 would need to be demonstrated.

Single projects that apply for both Market New York Capital and Empire State Development Capital must demonstrate a 20% match for both programs. Projects that don't demonstrate a 20% match for each program separately may be deemed ineligible for Market New York.

## **Payment Process**

The grantee will receive an Award Letter after the grants have been announced. After that time, the grantee will receive an Incentive Proposal outlining the requirements of the grant program and what is expected of the grantee if they choose to accept the grant. The grantee will then alert their ESD project manager when their capital project is approximately one (1) month from completion. The project will then be brought before the ESD Board of Directors for approval. If approval is received, the project will be set up (by ESD) for a public hearing. The grantee will be invoiced for these associated fees. The project will then be presented for approval to the Public Authorities Control Board (PACB). If approved, the grantee will be required to enter into a contract (Grant Disbursement Agreement/GDA) with ESD, which will be sent to the grantee after Board approval.

ESD will pay the grantee on a **reimbursement basis**, up to the total award amount, and disbursed in a lump sum upon project completion as evidenced by attainment of a certificate of occupancy and/or other documentation verifying project completion as ESD may require, and receipt of documentation verifying project expenditures for the total project cost being expended from the Grantee's accounts only. No financial payment of the grant will be made upfront. Grant funds are not transferable.

Because awards are offered as an incentive to undertake a project, the project should not begin, and expenses cannot be incurred, before funding awards have been announced. Expenses incurred prior to submission of a CFA may not be included in CFA project budgets nor should expenses be incurred after submission of a CFA but prior to an award announcement.



Please note: awarded grants are not transferable and project expenditures (grant and match) must be shown to have been expended from the grantee's account(s).

### **Fees**

The Recipient will provide a \$250 Application Fee, due when this Incentive Proposal is returned and a 1% (of the awarded grant) commitment fee, due after ESD Directors' approval and at the time a Grant Disbursement Agreement is executed. In addition, the recipient will reimburse ESD for any direct expenses incurred in connection with this project, including costs related to holding a public hearing, attorney fees, appraisals, surveys, title insurance, credit searches, filing fees and other requirements deemed appropriate by ESD.

### **Reporting**

All projects will require that a "Project Performance Measure" report, and a final report, be completed before a final reimbursement will be made. Requirements for such reports/requests will be outlined in the GDA with successful awardees. Reimbursements may be eligible for request after the successful grantee has a signed and approved grant disbursement agreement (GDA). Please note all Grants Gateway accounts (for non-profit organizations) and MWBE compliance must be up to date in order for payments to be processed.

### **\*\*\*FOR ALL APPLICANTS WHO APPLY FOR FUNDS UNDER EITHER REGIONAL TOURISM MARKETING OR CAPITAL FUNDING SOURCES:**

- Awarded grants are not transferable.
- All project expenditures (grant and match) must be demonstrated to have been expended from Grantees accounts.
- Expenditures made by partners and/or consultants are not eligible unless the grantee can demonstrate that the partner and/or consultant was directly reimbursed by the grantee for the expenses and/or services rendered.
- Reimbursement payments may only be made to the awardee (other than approved subcontractors for the overall project).
- Mini-grants and/or reallocation of funds to other organization will not be eligible to apply.
- Any use of the I LOVE NY logo as part of the funded project must conform to ESD guidelines and be approved in advance by ESD; non-compliance may result in a reduction and/or termination of an award.
- In the event that I LOVE NY / NYS Division of Tourism would choose to record video footage related to the project or grantee for state tourism purposes, have a tourism promotion presence at public events related to the project or put on by the grantee, and/or distribute I LOVE NY marketing materials at sites controlled by the grantee, no further money would be exchanged for these purposes, including but not limited to rights and space fee(s).
- If the information in the application regarding a project match fails to show any demonstrated "match" for the program, the overall project may be deemed ineligible.
- Applicants must demonstrate how Market New York funding for these expenses will be used to support the desired outcome of their enhancement project, and how these expenses are expected to stimulate increased visitation and spending in the corresponding region of New York State.
- Being awarded a grant does not imply automatic approval of elements in the submitted marketing plan if they do not comply with local/state/federal laws and/or regulations, including the requirements of the Market New York grant program itself.

- *Market New York* grants are meant to initiate new projects and/or provide support to expand a project beyond what an organization can do on its own. Therefore, projects that have been funded in three (3) consecutive rounds may be deemed ineligible. It is also likely that funding, for multi-year or ongoing projects will decrease for each year, after the first year of funding in order to facilitate self-sufficiency of these tourism projects.
- All grantees are fully responsible for being aware of any taxes required to be paid as a part of accepting an awarded grant. Empire State Development is not able to advise on your tax reporting status.
- Grantees receiving awards will be required to assign one point of contact to serve as the project administrator with the ESD tourism grants team. Your organization's project administrator will be the point of contact with ESD and responsible for organizing and coordinating all activities connected to the grant, including partner ads, campaigns, marketing etc. and providing to the tourism grants team ads and other materials for review and approval, as well as upholding all Market New York guidelines including, but not limited to, reporting, reimbursement requirements and ensuring that all expenditures are being paid from grantee's bank accounts.
- Grantees with complicated projects and/or multiple partners are strongly advised to include in their budget costs for administration (allowed up to 10% of the project budget), for example to go toward the salary of any internal staff or consultant needed to assist in properly administering the grant.
- All projects will require that a Project Performance Measure report (included in the Grant Disbursement Agreement-Exhibit B), and a final report, be completed before a final reimbursement will be made.
- Any changes of an awarded project budget (including the match) over 10% or \$1,000, whichever is greater, and/or major changes to the scope of the project may cause a reduction of award amount or termination of your awarded grant.
- Regional Tourism Marketing projects requests must be for \$25,000 or more, projects below this minimum request will be deemed ineligible.
- Regional Tourism Capital projects requests must be for \$150,000 or more, projects below this minimum request will be deemed ineligible.
- Satisfactory progress includes, but is not limited to, timely submission of all necessary documents needed for contract execution, such as, required proofs of insurance, and an M/WBE Utilization Plan.
- Both working capital/capital projects will be required to meet all applicable insurance requirements; Applicants selected to receive an award of less than \$10,000 will first be required to negotiate the budget and work plan with the DEC OCC program manager and supply insurance information as described below under Insurance Requirements.
  - Insurance Requirements
    - Grantees will be required to carry appropriate insurance as specified in Attachment A-1 Program Specific Terms and Conditions and to agree that each project consultant, project contract, and project subcontractor secures and delivers to the Grantee appropriate policies of insurance issued by an insurance company licensed to do business in the State of New York.
    - Policies held by the grantee must name the State of New York and the NYS Department of Environmental Conservation, 625 Broadway, Albany, NY 12233-1030 as an additional insured and certificate holder, with appropriate limits, covering Grantee's public liability and property damage insurance, Grantee's contingency liability insurance, "all-risk" insurance, workers' compensation, and disability coverage for the project. Additional

insurance or insurance riders may be requested by the Department based on the project work plan.

## **MARKET NEW YORK SELECTION CRITERIA (Applies to both Regional Tourism Marketing and Capital projects)**

ESD will establish an internal technical review committee that will score each eligible application (applications determined to be ineligible will not be scored). Accepted applications will be reviewed by applying the review criteria described below. Reviewers' final scores will be combined to provide a *final average score* for each Proposal.

An Executive Review Team may then also consider additional or subsequent information pertaining to the Proposals that may not have been available for the reviewers to consider and award up to thirty points to each proposal.

Applications will be scored, by the internal technical review team, upon the following criteria and combined with **up to 20 points** to be scored by the REDC.

### ***I.ESD TECHNICAL REVIEW [50 Points Total]***

#### **INCREASED TOURISM IMPACT [up to 15 Points]**

How well does the project plan demonstrate the following:

- evidence that the project will increase tourism to and within New York State;
- that the theme and/or scope of this project will support the REDC strategic plan for the affected region(s);
- the project's overall positive economic impact on the region(s), especially if the project relates to one attraction/destination.

#### **I LOVE NEW YORK ALIGNMENT [up to 10 Points]**

How well does the project plan demonstrate that the proposed project aligns with the goals and strategies of I LOVE NY, increasing the perception and consideration of New York State as a travel destination, increasing visitation and creating a positive economic impact.

For example, how well does the project market/promote/showcase, on at least a regional basis, New York State's:

- Unique, world-class destinations and new, unique special events;
- Broad array of available activities;
- Niche tourism segments including but not limited to: accessible travel, LBGTQ tourism, international tourism, outdoor recreation, and heritage tourism including historic sites and museums; and/or
- Attributes and appeal around international tourism, outdoor recreation destinations and activities, and meetings, conferences, exhibitions, amateur sports, and group travel.

Additional consideration in this category will be given for:

Information demonstrating project partnerships, such as how the applicant will collaborate with regional partners on the project, particularly with TPAs.

#### **PROJECT PLAN [up to 15 points]**

How well does the project plan of four pages or less demonstrate the following:

- the strategy and/or rationale behind the project;

- how the ESD reimbursed funds will be specifically spent;
- how the Grantees Match will be specifically spent;
- an overall clear budget in which all financial figures match throughout the application and project plan;
- a timeline for individual project steps; and
- performance measures/metrics to quantify the ROI and demonstrate the economic impact.

**GRANT MATCH REQUIREMENT [up to 10 points]**

- How well does the project plan/budget evidence the necessary minimum cash match for total project costs (+ 50% for Region Tourism Marketing projects and/or+ 80% for Capital Tourism projects and projects with any capital components) with information like:
  - letter(s) from partners confirming financial support/sponsorship;
  - a letter from the grantee committing a specific amount of actual cash to the project; or
  - a letter from a bank showing a bank loan committed to the project, etc.

\*Additional consideration will be given for applications demonstrating additional funding for the proposal outside of the minimum required.

**II. ESD EXECUTIVE REVIEW [30 Points Total]**

ESD will conduct an Executive Review to consider additional factors pertaining to the Proposals, that may not have been available for the reviewers and award **up to 30 points** to each proposal. This review will take into account such factors as:

- Alignment with the mission and strategy of the Division of Tourism;
- Past Market New York compliance and contractual history;
- Geographic/regional distribution of projects awarded through the current round of Market New York funding; and
- Other mitigating factors as determined by ESD.

Requested award amounts may be reduced for proposals out of proportion to the overall amount of funding available in the current round of Market New York grants or for other mitigating factors as determined by ESD.

**III. REGIONAL COUNCIL SCORE [20 Points Total]**

Regional Economic Development Council scoring teams will score projects from their region up to a maximum of 20 points.

**TOTAL POSSIBLE SCORE FOR PROPOSAL – [100 Points Total]**

**MORE INFORMATION/ASSITANCE**

For more information please contact the New York State Division of Tourism staff at [RegionalTourism@esd.ny.gov](mailto:RegionalTourism@esd.ny.gov)

# New York State Department of Agriculture and Markets

## **NYS Grown & Certified Infrastructure, Technology, Research and Development Grant Program**

**Funding Available: Up to \$5.8 million available**

### **DESCRIPTION**

The New York State Grown & Certified Infrastructure, Technology, Research and Development Grant Program will provide grants on a competitive basis to eligible applicants (Program Administrators) who will administer a grant program that will assist agricultural entities in implementing projects that will invest in critical farm infrastructure, adopt state-of-the-art practices, purchase innovative technology or equipment, or conduct cutting edge research to aid in the development of new products to meet consumer demand marketed under the New York State Grown & Certified program (NYS G&C).

Projects must have a direct and timely benefit to New York agricultural producers/processors and significance to the region served by the eligible applicant. The Program will be administered by the New York State Department of Agriculture and Markets (AGM).

### **PROGRAM ADMINISTRATOR REQUIREMENTS**

#### **Eligible Applicants:**

Eligible Program Administrator (PA) applicants include: counties and municipalities, local development corporations, regional development corporations, public benefit corporations, Industrial Development Agencies, regional planning councils, economic development organizations, and not-for-profit corporations. Eligible PA Applicants will apply for a block grant for the purposes of providing grants to agricultural entities. Eligible PA applicants will enter into a grant agreement with agricultural entities to complete individual projects.

#### **Funding Available:**

A total of \$5.8 million is available for the Program. Of that, \$5.0 million is available for capital projects and \$800,000 for research and development projects. Block grants will be awarded to deliver and administer a program in the NYS Regional Economic Development Council Regions, with funds distributed per the following REDC groupings:

- Southern Tier REDC, Western New York REDC - \$1,000,000 total for capital projects; \$200,000 total for research and development projects
- Finger Lakes REDC, Central New York REDC – \$1,000,000 total for capital projects; \$200,000 total for research and development projects
- Long Island REDC, New York City REDC, and Mid-Hudson REDC - \$1,500,000 total for capital projects; \$200,000 total for research and development
- Mohawk Valley REDC, Capital District REDC, North Country REDC -- \$1,500,000 total for capital projects; \$200,000 total for research and development projects

One administrator will be awarded for each of the above REDC groups. No more than 15% of the grant funds may be used for administration costs. All administration costs must be directly related to execution of the Program.

If a qualified PA is not identified for a regional REDC grouping, AGM reserves the right to contract with a PA from another region.

**Program Administrator Responsibilities:**

Program Administrators will be responsible for day-to-day administration of the Program, including, but not limited to: educational/promotional activities to ensure industry participation; accepting and evaluating proposals received from agricultural entities; awarding grants; executing and administering contracts with eligible agricultural entities, including contract oversight and reporting to AGM; and ensuring that awarded entities enroll in NYS G&C.

**AGRICULTURAL ENTITY GRANT PROGRAM****Eligible Agricultural Entities:**

- 1) Agricultural producers located within New York State which produce an edible agricultural product. Agricultural producers are generally defined in section 328(2) of the NY Agriculture and Markets Law. For purposes of this grant, a producer is defined as a commercial operation that involves land and on-farm buildings, equipment and practices which contribute to the production, preparation and marketing of crops, livestock and livestock products. Agricultural product is defined as any agricultural or aquacultural product of the soil or water, including but not limited to fruits, vegetables, eggs, dairy products, meat and meat products, poultry and poultry products, fish and fish products, grain and grain products, honey, nuts, preserves, maple sap products, apple cider, and fruit.
- 2) Food processing establishments located in New York State. Food processing establishments include, but are not limited to processing plants, beverage plants, food manufacturers or other places that receives food or beverages ingredients to products for the purpose of processing or otherwise adding to the value of the product for commercial sale. The term "processing" means processing foods in any manner, such as by manufacturing, canning, preserving, freezing, drying, dehydrating, juicing, pickling, baking, brining, bottling, packing, repacking, pressing, waxing, heating or cooking, or otherwise treating food.
- 3) Distributors that represent at least ten New York producers. A distributor is defined as a food or beverage distributor that provides direct services for agricultural producers, of edible products, such as through consolidation, storing, and delivering products, or who otherwise serves as an intermediary between producers and wholesale or retail buyers, such as restaurants, schools, grocery stores, etc.
- 4) Agricultural Cooperatives of edible products must have at least 10 members residing in New York State or at least 51% of membership residing in New York State. An "agricultural cooperative" means a cooperative, either stock or non-stock, operated for the mutual benefit of the members in which (1) no member is allowed more than one vote because of the amount of stock or membership capital he or she may own therein, and (2) the cooperative does not pay dividends on stock or membership capital in excess of twelve per centum per annum.
- 5) New York not-for-profit corporations partnering with one or more NYS G&C producers, food processing establishments, distributors or agricultural cooperatives (as defined in #1-4 above). Not-for-profit corporations are generally defined in New York Consolidated Laws, Not-For-Profit Corporation Law - NPC § 102. A "Corporation" or "domestic corporation" means a corporation (1) formed under this chapter, or existing on its effective date and theretofore formed under any other general statute or by any special act of this state, exclusively for a purpose or purposes, not for pecuniary profit or financial gain, for which a corporation may be formed under this chapter, and (2) no part of the assets, income or profit of which is distributable to, or enures to the benefit of, its members, directors or officers except to the extent permitted under this statute.

Applicants must be currently enrolled in the NYS Grown & Certified program or provide a letter of commitment to be enrolled by the conclusion of the project. Dairy and grape farms who sell to NYS

G&C processors may be eligible to receive grant funds if they meet the environmental requirements of the NYS G&C program.

**Eligible Agricultural Projects:**

- a) Capital projects that will improve critical farm infrastructure or implement innovative technology and/or state-of-the-art equipment.
- OR
- b) Research and development projects that will aid the development of new products to be marketed under NYS G&C.

All projects must implement new and innovative practices or approaches to meet industry needs and consumer demand.

All projects must have a direct and timely benefit to New York agricultural industry and significance to the region served by the eligible applicant with a focus on one or more of the following priority areas:

- Production automation and labor efficiency
- Distribution capacity enhancement
- Processing and packaging
- Food safety
- Environmental sustainability directly related to NYS G&C participation
- New product development targeting consumer demand

**Funding Available:**

Up to 90% of the total project cost will be made available to eligible agricultural entities for eligible projects. Total individual capital project costs can range between \$20,000 to \$250,000 each. Total individual research and development project costs can range between \$10,000 to \$50,000 each.

**Matching Funds:**

The eligible agricultural entity must provide at least 10% of the total project cost. Eligible matching funds include cash, grants or loans.

**Eligible Costs for Capital Projects:**

1. Machinery and Equipment
2. Construction
3. Acquisition or expansion of buildings
4. Architectural and engineering costs
5. Consultants
6. Technical service providers

**Eligible Costs for Research and Development Projects:**

1. Consultants
2. Technical service providers

**Ineligible Costs for all Projects:**

1. Working capital
2. Purchase of land
3. Passenger vehicles
4. Routine costs associated with day-to-day operations

**NYS G&C Requirements:**

Agricultural entities receiving funding through this grant program will be required to participate in the NYS G&C program upon completion of the project.

**PROJECT TERM COMPLETION DATE**

Awardees will have 5 years from the date of the execution of a contract to spend all program funds. It is anticipated this will be in the Fall of 2027.

**PRE-APPLICATION REQUIREMENTS**

Eligible not-for-profit corporations must submit their NYS Office of the Attorney General Charities Bureau Registration or Exemption.

**SELECTION CRITERIA OF ADMINISTRATORS**

An application is eligible to receive a total final score of 100, of which 80 percent is derived from AGM review criteria and 20 percent is allocated to the applicable Regional Economic Development Council (REDC). The REDC rates the degree to which project aligns with the REDC’s Strategic Plan.

AGM will evaluate, score and select proposals based on the following criteria:

- 1. Degree to which the applicant demonstrates the ability to market and promote the program to achieve maximum agricultural industry participation. **10 points**
- 2. Applicant’s knowledge and experience of the region’s agricultural needs and opportunities and degree to which the applicant proposes to successfully deliver the program and achieve the program goals and objectives. **30 points**
- 3. Degree of demonstrated experience in delivering regional grant and or loan programs. **20 points**
- 4. Reasonableness of administrative costs. **20 points**

**LIMITATIONS**

AGM reserves the right to:

- 1. Reject any or all proposals received with respect to this program.
- 2. Waive or modify minor irregularities in proposals received after prior notification and concurrence of the applicant.
- 3. Request from an applicant additional information as deemed necessary to more fully evaluate its proposal.
- 4. Amend the program’s specifications after their release, with appropriate written notice.
- 5. Select only certain portions of proposals for state funding.
- 6. Negotiate the terms of any agreement proposed by the applicant.
- 7. Make all final decisions with respect to the amount of State funding and the timing of payments to be provided to the applicant.
- 8. All eligible proposals submitted in response to this solicitation will become the property of AGM.



## Successful Applicant Requirements

1. Strong alignment with the state and regional agricultural needs, opportunities, and priorities.
2. Ability to promote the program to ensure agriculture industry participation.
3. Experience evaluating proposals and awarding grants.
4. Experience executing and administering contracts.
5. Ensuring that projects have a direct and timely benefit to New York agricultural producers/processors.
6. Knowledge and familiarity with the NYS Grown & Certified Program (NYS G&C).
7. Administrative costs no more than 15% of the total project cost.
8. Awardees will be required to execute a contract with AGM.
9. Prior to the execution of a contract, awardees must be registered in the Grants Gateway.
10. Awardees will be required to comply with the New York State Workers' Compensation Law sections 57 and 220 require that the Department not enter into a contract unless proof of Workers' Compensation and Disability Insurance in a form satisfactory to the New York State Workers' Compensation Board.
11. Appendix A, which is posted on AGM's website at [www.agriculture.ny.gov](http://www.agriculture.ny.gov), contains standard clauses that are required in all State contracts. Appendix A will be a part of any contract awarded, and successful applicants will be responsible for complying with the terms and conditions contained therein.
12. Some projects may be subject to review under the New York State Environmental Quality Review Act (SEQRA). Municipalities should go to the New York State Department of Environmental Conservation web site [www.dec.ny.gov](http://www.dec.ny.gov) for further information regarding applicability.
13. AGM and State Comptroller's Office reserve the right to audit the Applicant's books and records relating to the performance of the project during and up to six years after the completion of the project.
14. Successful applicants will be required to submit a current New York State Vendor Responsibility Form. See [http://www.osc.state.ny.us/vendrep/vendor\\_index.htm](http://www.osc.state.ny.us/vendrep/vendor_index.htm).
15. All proposals submitted and all related contracts and reports may be subject to disclosure under the Freedom of Information Law.
16. Successful applicants will be required to comply with all applicable Federal statutes, regulations and policy requirements.
17. Projects which include ground disturbing activities, construction of new buildings, or modification of buildings over 50 years old will be subject to further review by the NYS Office of Parks, Recreation and Historic Preservation (OPRHP). The Department reserves the right to request such additional information as is necessary to allow OPRHP to make a determination regarding the potential impacts of the project on historical sites or artifacts and possible alternatives which avoid or mitigate adverse impacts.

# Homes and Community Renewal: Up to \$4.2 million

## New York Main Street Program

Funding Available: Up to \$4.2 million

### DESCRIPTION

The New York Main Street (NYMS) Program was created by the Housing Trust Fund Corporation (HTFC) in 2004 to provide resources to assist New York's communities with Main Street and downtown revitalization efforts. Article XXVI was added to NYS Private Housing Finance Law in 2009 to formally establish the New York Main Street Program in statute. The NYMS Program is administered by the Office of Community Renewal (OCR) under the direction of the Housing Trust Fund Corporation.

NYMS provides resources to invest in projects that provide economic development and housing opportunities in downtown, mixed-use commercial districts. A primary goal of the program is to stimulate reinvestment and leverage additional funds to establish and sustain downtown and neighborhood revitalization efforts.

### ELIGIBLE TYPES OF APPLICANTS

Eligible applicants for NYMS program applications are:

- Units of Local Government; or
- Organizations incorporated under the NYS Not-for-Profit Corporation Law that have been providing relevant service to the community for at least one year prior to application.

### ELIGIBLE TARGET AREA

All NYMS activities must be located in an eligible target area. Applicants must clearly identify how the target area meets each of the three components of the statutory definition of an eligible target area. Applications that do not address each of the three statutory criteria, or do not provide clear source documentation will be deemed ineligible. Please note, based on the statutory criteria there are areas within NYS that are not eligible; therefore, vague or unclear responses cannot be interpreted to present an eligible target area.

Article XXVI of the Private Housing Finance Law indicates that an eligible target area shall mean an area:

**(i)** that has experienced sustained physical deterioration, decay, neglect, or disinvestment;  
**(ii)** has a number of substandard buildings or vacant residential or commercial units;  
**and (iii)** in which more than fifty percent of the residents are persons whose incomes do not exceed ninety percent of the area median income for the county or metropolitan statistical area (MSA) in which the project is located, or which is designated by a state or federal agency to be eligible for a community or economic development program.

Applicants are encouraged to identify well-defined Main Street areas to maximize the impact that the funds will have on the community. The proposed activities must be carried out in a program target area of generally no more than three contiguous blocks which has experienced sustained physical deterioration, decay, neglect, or disinvestment, and has a number of substandard buildings or vacant residential or commercial units.

Applicants are required to include a Target Area Map to identify the location of the proposed target area or project site and source documentation to demonstrate how the target area meets eligibility criteria.

## **PRE-APPLICATION REQUIREMENTS**

### Municipal Resolution

Each municipality in which the proposed program or project will function must approve a formal resolution supporting an application for the proposed NYMS program or project. The resolution must be passed prior to the application deadline and attached in the documents section of the application.

- The resolution must be on official stationery and should hold the official seal. Applicants within New York City must obtain the resolution from the Community Board with jurisdiction over the project target area.
- Draft or proposed resolutions are not acceptable.
- Support letters do not meet this requirement.
- The resolution must be for the current 2022 funding round and the specific NYMS project.
- If the municipality or Community Board provides only a summary letter without the full text of the resolution, a copy of the meeting minutes must be provided to document the vote and formal board resolution.

This requirement applies to all NYMS application types. Applications without a Municipal Resolution, as described above, will be deemed ineligible.

## **ELIGIBLE ACTIVITIES**

Applicants may propose **one** activity for a 2022 New York Main Street (NYMS) application. Four NYMS activities are available in the 2022 CFA New York Main Street application:

### **1. Technical Assistance Project**

Applicants may request up to \$20,000 to complete a project that improves community or property owner readiness to participate in a future New York Main Street renovation activity. Examples of eligible NYMS-TA activities include, but are not limited to, the projects described below. Please contact the Office of Community Renewal at [HCR\\_CFA@hcr.ny.gov](mailto:HCR_CFA@hcr.ny.gov) to discuss project eligibility prior to applying.

- Building Reuse or Feasibility Analysis - Analysis of rehabilitation or adaptive re-use options for downtown, mixed-use building(s) to provide property owners with the resources necessary to make informed decisions regarding the feasibility of rehabilitation projects. These studies may include: historic and architectural analysis; building condition assessment; building code analysis; structural engineering study; proposed uses for the building including opportunities for upper story apartments; plan drawings; green technology potential; cost estimates; funding strategies, including historic tax credits; and pro-forma analysis.
- Design Guidelines - The importance of preserving downtown architecture must not be overlooked in repairing and renovating buildings for new occupants and uses. Design Guidelines should be an educational tool for property owners and provide technical assistance and practical recommendations for repairing and renovating downtown, potentially historic, building facades and storefronts. Proposals to produce Design

Guidelines must provide clear community support, and a plan for formal adoption and implementation once produced.

- Economic Development Planning - Economic resilience and sustainability is important to preserving and expanding the downtown or main street business community, so resources are available to support future building renovation projects. These studies may include market analyses, economic redevelopment implementation, business development strategic plans, and plans for continuity of business operations.

Examples of completed [NYMS-TA Projects](https://hcr.ny.gov/new-york-main-street-technical-assistance-nyms-ta-completed-projects) are available for review online, here:  
<https://hcr.ny.gov/new-york-main-street-technical-assistance-nyms-ta-completed-projects>

## 2. **Traditional NYMS Target Area Building Renovation Project**

Applicants may request between \$50,000 and \$500,000 for Target Area Building Renovation Activities. Requests must not exceed an amount that can be reasonably expended in the identified target area, within a 24-month term.

- Building Renovation: Matching grants available for renovation of mixed-use buildings. Recipients of NYMS funds may award matching grants of up to \$50,000 per building, not to exceed 75% of the total project cost, in a designated target area. Renovation projects that provide direct assistance to residential units may be awarded an additional \$25,000 per assisted residential unit, up to a per-building maximum of \$100,000, not to exceed 75% of the total project cost
- Streetscape Enhancement: Applicants may request up to \$15,000 in grant funds for streetscape enhancement activities, such as: planting trees, installing street furniture or public art or other activities to enhance the NYMS target area.

Applicants may request a higher amount, up to \$25,000, if the additional requested funds directly alleviate COVID related impacts and further economic recovery and neighborhood and community revitalization (e.g. creation of shared outdoor dining space, public space improvements to improve access and use of outdoor space, mechanicals necessary to use outdoor public spaces, etc.). Projects that specifically create paid work for artists or support the artist community will also receive favorable consideration.

The project and budget should be clearly defined at the time of application and include a detailed description of the proposed Streetscape project, how the proposed project enhances the planned building renovation projects, and contributes to other downtown revitalization efforts underway. If more than \$15,000 will be requested, the plan should also identify how the project will alleviate COVID related impacts.

- Streetscape enhancement grant funds will be awarded only for activity ancillary to a traditional NYMS building renovation project and cannot be applied for on its own. NYMS Downtown Anchor or Downtown Stabilization applicants may not request Streetscape funds.
  - Streetscape enhancement activities must be reviewed for eligibility and approved by HTFC prior to commencement of construction or installation.
  - Streetscape activities must be completed within the proposed target area
- Administration: Applicants may request up to 7.5% of the grant amount for salaries and other costs associated with the administration of the grant. The administrative funds must

be requested at the time of application, and must be included within the maximum request amount.

- **Soft Costs:** Applicants may request funds to cover architectural and engineering work, required environmental testing and clearances, and filing fees. These expenses must be included in the per-building activity funding limits, require matching funds and may not exceed 18% of the NYMS renovation funds for a specific project. Project costs incurred for work on buildings that eventually prove infeasible and do not receive other investments will not be reimbursed with NYMS funds. Funds for Soft Costs must be requested at the time of application, and must be included within the maximum request amount.

Funds for Administration and Soft Costs are available on a reimbursement basis, and will therefore be reviewed for eligibility prior to disbursement of funds. Applicants are not required to request NYMS program funds for Administration or Soft Costs, but are encouraged to identify alternate sources of funds for administrative expenses and soft costs. Additional funding commitments for administrative expenses and soft costs strengthen an application.

Example NYMS Target Area Building Renovation Application Request:

<b>\$250,000</b>	<b>2022 NYMS Request Amount</b>
\$210,000	Building Renovation Funds: to renovate five buildings
\$15,000	Streetscape Enhancement Funds: install bike racks, benches
\$10,000	Soft Costs: to hire environmental firm to complete five site specific reviews
\$15,000	Administration: hire consultant to administer grant

### 3. **NYMS Downtown Anchor Project**

Applicants may request between \$100,000 and \$500,000 for a standalone, single site, “shovel ready” renovation project. NYMS Downtown Anchor Project funds are intended to help establish or expand cultural, residential or business anchors that are key to local downtown revitalization efforts through substantial interior and/or exterior building renovations. The NYMS Downtown Anchor Project funds may not exceed 75% of the Total Project Cost.

Applicants for NYMS Downtown Anchor Project funds must:

- Document a compelling need for substantial public investment and justify how the project qualifies as a Downtown Anchor.
  - Document project readiness, as evidenced by funding commitments, developer site control, pre-development planning completed, and local approvals secured;
  - Provide cost estimates to substantiate the request amount;
  - Identify source(s) of available construction financing and matching funds;
  - Demonstrate the importance of the project for the neighborhood, community and region;
  - Provide a Business Plan and Market Analysis to demonstrate project viability.
- **Administration:** Applicants may request up to 5% of the grant amount for salaries and other costs associated with the administration of the Downtown Anchor Project grant. The administrative funds must be requested at the time of application and must be included within the maximum request amount.

**Soft Costs:** Applicants may request funds to cover architectural and engineering work, required environmental testing and clearances, and filing fees. These expenses must be included in the per-building activity funding limits, requires matching funds and may not

exceed 18% of the NYMS renovation funds for the project. Funds for Soft Costs must be requested at the time of application, and must be included within the maximum request amount.

Funds for Administration and Soft Costs are available on a reimbursement basis, and will therefore be reviewed for eligibility prior to disbursement of funds. Applicants are not required to request NYMS program funds for Administration or Soft Costs, but are encouraged to identify alternate sources of funds for administrative expenses and soft costs. Additional funding commitments for administrative expenses and soft costs strengthen an application.

Example NYMS Downtown Anchor Project Application Request:

<b>\$250,000</b>	<b>2022 NYMS Downtown Anchor Project Request Amount</b>
\$227,500	Building Renovation Funds: to renovate one building
\$10,000	Soft Costs: to hire firm to complete environmental review
\$12,500	Administration: staff time to administer grant

#### **4. NYMS Downtown Stabilization Project**

Applicants may request \$100,000 to \$500,000 to complete a Downtown Stabilization Project. Funds are available to assist with environmental remediation and associated construction costs, as well as other innovative approaches to stabilizing and developing a downtown, mixed-use project. NYMS Downtown Stabilization Project funds may not exceed 75% of the total project cost.

NYMS Downtown Stabilization Project funds are available for projects that meet the goals identified above and, include, but are not limited to: asbestos management (surveys, abatement design plans, air monitoring, etc.), soil vapor intrusion testing and mitigation, building stabilization construction activities (e.g. roof stabilization in conjunction with asbestos remediation) or other projects that identify or mitigate risks associated with other hazardous materials or remove obstacles to future redevelopment. Applicants must demonstrate local support, financial commitments and a compelling need for substantial public investment.

Please contact the Office of Community Renewal at [HCR\\_CFA@hcr.ny.gov](mailto:HCR_CFA@hcr.ny.gov) to discuss project eligibility prior to submitting an application.

#### **COVID RELIEF ACTIVITIES**

In conjunction with Target Area Building Renovation Activities or a Downtown Anchor Project, applicants may request to use funds to alleviate the impacts of the COVID-19 Pandemic. Requests must be specifically outlined in the application. COVID Relief activities must be directly related to a building renovation activity and awarded on a per project basis. Funds will be awarded only for activity ancillary to a traditional NYMS building renovation or Downtown Anchor project and cannot be applied for on its own. NYMS Downtown Stabilization applicants may not request to use funds for these activities. Program administrators will be required to document:

- Impact of COVID on participating business or property owner;
- Need for funding;
- Confirmation that funds do not duplicate other available resources and;
- Explanation for how the investment impacts the sustainability and resiliency of the business or property. Small projects are unlikely to demonstrate long term viability.

Funds may be used for:

- Reconfiguration of existing facilities to encourage reduced density;
- Redesign and updates for air filtering or ventilation systems;
- Equipment or software required to increase business capacity and efficiency in a post-COVID climate, e.g. online sales, POS systems. One-time only purchases, subscription or membership fees are not eligible for reimbursement;
- Fixtures and equipment to partition customers, guide social distancing or provide contact-less sales opportunities;
- Interior and exterior improvements to support adjusted business practices, e.g. pick-up windows, outdoor seating areas.

Ineligible expenses include:

- Inventory, rent or lease expenses, working capital or other undefined expenses, general or disposable supplies;
- Other expenses that do not sustain business operations.

Applicants requesting to use funds for COVID Relief activities in conjunction with a NYMS Downtown Anchor project must specifically identify the amount allocated for these activities in the budget and budget table attachment as well as describe the specific use in the budget narrative question.

Applicants requesting to use NYMS funds for COVID Relief activities must confirm that funds will not duplicate other available resources. Award of NYMS funds does not confirm eligibility of all activities included in an application proposal. All activities must be reviewed for eligibility and approved by HTFC prior to commencement.

### **NEW YORK MAIN STREET (NYMS) PROGRAM INELIGIBLE ACTIVITIES**

Please note: An applicant is encouraged to focus its efforts on one project type. For this reason, applicants may propose only one NYMS activity in an application.

Ineligible uses of NYMS funds include, but are not limited to: demolition; new construction; improvements to structures owned by religious or private membership organizations; improvements to municipally-owned buildings used for municipal purposes; the purchase of non-permanent fixtures, such as furnishings, appliances, electronics, and business equipment; general organizational operating expenses; capitalizing a revolving loan fund; site work or ancillary activities on a property, including septic systems and laterals, grading, parking lots, sidewalks, landscaping, fences, free standing signs, and general maintenance. General planning activities are not eligible under the four NYMS program activities.

Costs that are not adequately justified or that do not directly support the project are not eligible for reimbursement with NYMS funds. Contact the Office of Community Renewal prior to submitting an application to discuss project eligibility, and review the NYMS Program Guide for more detailed guidance on NYMS program rules: <https://hcr.ny.gov/new-york-main-street>

### **NYMS SELECTION CRITERIA – UP TO 100 POINTS**

#### **Total Vision and REDC Strategies –20 points**

The Regional Council rates the degree with which the proposed project aligns with the Regional Council's Strategic Plan.

### **Need - 10 points**

Measures the severity of need for the proposed Main Street activities, based on the analysis of existing commercial and residential conditions in the target area. The needs described must correspond to the proposed activities and the extent to which the activity resolves or addresses the identified need. Applications should include data and a relevant examination of that data to demonstrate substantial need. The application must provide a clear statement about the need for public investment in the proposed target area and specific need for the NYMS program funds to receive maximum points.

### **Impact - 10 Points**

Measures the extent to which the project described in the application will have a positive public benefit and sustainable positive impact on the commercial and residential conditions in the target area and surrounding community and neighborhoods. Applications should provide clear explanations of the anticipated impact of the proposed program, including but not limited to: enhancement of existing assets in the target area and community, expansion of economic opportunities, ability to spur investment of private resources, improvement of aesthetics, and preservation and creation of affordable housing in the upper floors of mixed-use buildings. Applications determined to have the greatest impact on increasing the availability of quality, affordable housing and the greatest impact on business conditions, when compared to other applications, will receive the highest scores.

### **Leveraging & Financing Plan - 20 Points**

Measures the quality and completeness of the proposed project budget and status of funding commitments, specifically:

- Clarity of project budget including eligible use of funds and substantiated request amount;
- Status of funding commitments for required match and construction financing;
- Extent to which the NYMS resources will result in additional investments including private sources beyond the required matching funds (leveraging);
- Plan for use of funds for soft costs and administrative expenses.

### **Implementation Capacity and Readiness - 40 Points**

Measures the extent to which the applicant has organized the proposed project and has assembled sufficient resources to complete the project, and achieve the goals and objectives of the program in a manner that is timely, effective and on-budget. Applications submitted by current awardees with open, on-going contracts may be negatively impacted if substantial expenditures or funding commitments have not been achieved. An applicant's past and current performance in other state programs and contracts will be considered in rating and ranking its application.

- Program Experience - Points for performance history are available to applicants that are administering an open NYMS or other Office of Community Renewal program contracts where substantial expenditure or funding commitments have been achieved and sufficient progress has been made. Points are also available to applicants that have successfully and effectively completed previous NYMS or other Office of Community Renewal program contract obligations. Applicants that have not previously participated in the NYMS program but have a successful record of achievement within the community where the proposed Main Street target area is located, and have assembled a team with experience in community development, housing rehabilitation, or commercial revitalization in mixed-use districts on a scale comparable to the proposed program or projects will also be eligible for points.
- Implementation Capacity - Proposals that have identified specific projects, clearly substantiated the request amount, obtained local approvals, have demonstrated a clear



understanding of NYMS administrative procedures, and have necessary organizational structures in place to implement the proposed projects, without delay, will receive the most points.

- Program Support - Evaluates local support and linkages between the proposed project and local planning and development efforts. Rates the degree to which the proposal relies on building consensus and cooperation among groups and individuals who have a role in the revitalization process.
- Design - Applicants must outline the plan for a coordinated design review process. The highest scores will be awarded to proposals in communities that have existing design standards and have identified the necessary resources to work with building owners to enhance the physical appearance of the commercial area by preserving historic buildings and implementing sensitive design plans.
- Business Strategy - Applications must demonstrate a viable strategy for retaining and assisting existing businesses, attracting new customers, potential investors and residents, and finding new commercial uses for traditional buildings in the district. Downtown Anchor applications must present a viable strategy for establishing or expanding a cultural, residential or business anchor that is key to local revitalization efforts. Priority consideration will be given to applicants that demonstrate a strong understanding of current economic conditions in the district, identify opportunities for market growth, and clearly demonstrate how the proposed project contributes to improving economic conditions. Projects that demonstrate capacity to grow the district's existing economic base, while meeting the challenges of commercial sprawl, will receive the highest scores.

## **FUNDING PRIORITIES**

- Ready to go or “shovel ready” projects. Project readiness is best demonstrated by clear funding commitments for permanent and construction financing, documented site control, completed pre-development planning work, local approvals, and administrative capacity.
- A proposed NYMS service area should include a mix of uses, such as residential, commercial, and civic buildings. Individual assisted buildings are not required to include both residential and civic or commercial spaces; however, applications should propose a comprehensive approach to strengthen both the commercial and residential sectors. Affordable housing in upper-floor spaces and on adjacent streets helps to strengthen the social and economic vitality of the business district. Incorporating residential units on the upper floors is strongly encouraged and those projects will receive priority consideration.
- For NYMS there is a preference for funding proposals where contiguous buildings will be assisted, maximizing the impact of the investment.
- Applicants able to successfully demonstrate broad local support and linkages between the proposed project and local planning and development efforts, and applicants documenting high percentages of committed matching and leveraged funds will receive the highest scores.

## **AWARD CRITERIA DETAILS**

- HTFC reserves the right not to issue an award or contract to any applicant if it has been determined that the applicant is not in compliance with existing state contracts and has not taken satisfactory steps to remedy such non-compliance. Not-for-profit organizations applying for NYMS program funds must submit a Vendor Responsibility Questionnaire

(VRQ) with the application. Projects that commence prior to contract execution and environmental review will not be eligible for reimbursement.

- HTFC reserves the right to award all, a portion of, or none of a program's funds based upon funding availability, feasibility of the applications received, the competitiveness of the applications, an applicant's ability to meet HTFC criteria for funding, the applicant's ability to advance the State's housing goals, and HTFC's assessment of cost reasonableness. HTFC reserves the right to award less than the requested amount, and further reserves the right to review an application requesting project funds as an application for funding under other programs for which the project is eligible, and to change or disallow aspects of the applications received.
- Award of NYMS funds does not confirm eligibility of all activities included in an application proposal, and HTFC reserves the right to change or disallow aspects of the applications received and may make such changes an expressed condition of its commitment to provide funding to a project.
- HTFC will consider regional distribution in the determination of awards, to the extent practicable.

## **LIMITATIONS**

The list below identifies several program requirements, and limitations, but applicants are advised to review the [NYMS Program Guide](#) for additional detail related to activity eligibility and grant administration:

<https://hcr.ny.gov/new-york-main-street#forms-and-documents>

### Environmental Review

Prior to the commitment or expenditure of NYMS program funds, the environmental effects of each activity must be assessed in accordance with the State Environmental Quality Review Act (SEQRA). Environmental Compliance areas evaluated for each project include, but are not limited to: Historic and Cultural Resources, Floodplains, Zoning, Site Contamination, Lead Based Paint, Asbestos Containing Materials, Radon, Endangered Species, and Smart Growth. Please review the NYMS Program [Environmental Compliance Handbook](#) for additional information:

<https://hcr.ny.gov/new-york-main-street#forms-and-documents>

### Funding Commitments

NYMS Downtown Anchor and Stabilization Projects must be ready to commence upon award, grant agreement execution and environmental review. HTFC will not execute a grant agreement with applicants unable to present evidence of site control and construction financing commitments sufficient to undertake the proposed project following award of NYMS funds.

### Procurement & Bidding

All NYMS activities including contracting, professional services, and administration require a minimum of two bids or proposals to be solicited and accepted by the applicant organization to establish reasonableness of cost

### Regulatory Term

The owner of a property improved with NYMS funds must agree for a minimum of five years to: maintain the property in good operating order and condition; to make available and maintain the affordability of residential housing units to persons of low income (90% Area Median Income) by

signing and filing a Property Maintenance Declaration with the County in which the building is located.

### **PROJECT TERM COMPLETION DATES**

Projects must not commence prior to award, and grant agreement execution. Costs incurred prior to award and grant agreement execution will not be eligible for reimbursement. NYMS-Technical Assistance project awardees enter into a one-year grant agreement. NYMS Target Area Building Renovation, Downtown Anchor and Downtown Stabilization awardees enter into a two-year grant agreement.

Applicants should not submit applications if they do not expect to initiate the project within a reasonable time after receiving an executed contract or will not be able to complete the project within the term. Funds remaining at the end of the term are subject to de-obligation and reallocation.

### **MATCHING FUND REQUIREMENTS**

Each of the NYMS activities require matching funds, and only funds directly invested in eligible project activities are eligible as the required match. In kind match is not eligible, and costs incurred for ineligible activities or prior to award and contract execution are not eligible.

- New York Main Street Technical Assistance Project  
NYMS-TA funds may reimburse up to 95% of the project cost, not to exceed \$20,000. The remaining 5% must be provided as a cash match, in kind match will not be accepted. A total project cost of at least \$21,053 must be presented to request a \$20,000 NYMS-TA grant.
- New York Main Street Building Renovation Project  
The NYMS Program operates as a reimbursement program and the NYMS Program Guidelines require matching funds for each participating building project. NYMS funds may reimburse up to 75% of total, eligible project costs for general building renovations up to a maximum of \$50,000 per building, or up to \$100,000 for a building renovation project involving direct assistance to a minimum of two residential units.
- New York Main Street Downtown Anchor Project  
NYMS Downtown Anchor Project funds are available to reimburse up to 75% of a total, eligible project cost not to exceed \$500,000 in NYMS Downtown Anchor Project funds. The minimum NYMS Downtown Anchor request amount is \$100,000.
- New York Main Street Downtown Stabilization Project  
NYMS Downtown Stabilization funds are available to reimburse up to 75% of a total, eligible project cost not to exceed \$500,000. The minimum NYMS Downtown Stabilization Project request is \$100,000.

### **ADDITIONAL RESOURCES**

For more information, applicants should contact the Office of Community Renewal at New York State Homes and Community Renewal, 38-40 State St, Albany, New York 12207, call (518) 474-2057, email [HCR\\_CFA@hcr.ny.gov](mailto:HCR_CFA@hcr.ny.gov) or visit the NYMS website: <https://hcr.ny.gov/new-york-main-street#funding-round-materials>

# Office of Parks, Recreation & Historic Preservation (OPRHP)

## Environmental Protection Fund Grants Program for Parks, Preservation and Heritage (EPF)

**Funding Available: Up to \$20.875 Million**

### **DESCRIPTION:**

Title 9 NYCRR (sections 439.1 – 443.4) implements the Environmental Protection Fund (EPF) Act of 1993 (Title 9 of Article 54 of the Environmental Conservation Law), which created OPRHP's program for Parks, Preservation and Heritage Grants.

EPF Parks, Preservation and Heritage grant funding is available for the acquisition, planning, development, and improvement of parks, historic properties, and heritage areas located within the physical boundaries of the State of New York. Grants can fund up to 50% of the total eligible project cost; up to 75% if the project is located in a high-poverty area as defined below. Grant awards are capped at \$500,000. If the total project cost is greater than \$4,000,000, up to \$750,000 may be requested.

### **ELIGIBLE TYPES OF APPLICANTS:**

- Municipalities
- State Agencies
- Public Benefit Corporations
- Public Authorities
- Not-for-profit Corporations that have tax-exempt status under the IRS code, are current with pertinent federal and state filings, and are pre-qualified in the Grants Gateway (see <https://grantsmanagement.ny.gov/resources-grant-applicants>).

The applicant must have an ownership interest in the project property:

- Where the applicant is not the property owner:
  - If the project is for planning only, the owner must grant the applicant any access necessary to complete the project.
  - If the project involves acquisition of the property, the application must include documentation of the owner's intent to sell, donate or transfer the property.
  - If the project involves improvement/development of the property, the owner must agree to sign the project agreement and any long-term protection document.
- If there are additional parties with an ownership interest in the property, including lien holders, all parties must agree to sign the project agreement and all lien holders must subordinate their interests to those of the State.

### **ELIGIBLE ACTIVITIES / PROGRAM BENEFIT AND LONG-TERM PROTECTION**

**REQUIREMENTS:** Funding under the EPF Parks, Preservation and Heritage Grants program is available for the activities and programs described below. An application will be evaluated in all categories for which it qualifies. Applicants should be alert to the requirements for each category for which they wish the application to be considered.

To ensure the public benefit from the investment of State funds, properties acquired or developed with grant funds will receive long-term protections, either through parkland alienation

law, conservation easements, public access covenants or preservation covenants recorded against the deeds.

- **Parks Program** - for the acquisition, development or planning of parks and recreational facilities to preserve, rehabilitate or restore lands, waters or structures for park, recreation, or conservation purposes and for structural assessments and/or planning for such projects. Examples of eligible projects include playgrounds, courts, rinks, community gardens, and facilities for swimming, boating, picnicking, hunting, fishing, camping or other recreational activities.
  - Public access covenants will be conveyed to the State for all park development projects undertaken by not-for-profit corporations.
  - Conservation easements will be conveyed to the State for parkland acquisition projects undertaken by not-for-profit corporations.
  - Parkland acquired or improved by a municipality must remain parkland in perpetuity.  
Information is available in the “Handbook on the Alienation and Conversion of Municipal Parkland,” located at <https://parks.ny.gov/publications/>, under Other Publications.
  
- **Historic Preservation Program** - to acquire, improve, protect, preserve, rehabilitate, or restore properties listed on the State or National Register of Historic Places and for structural assessments and/or planning for such projects. All work must conform to the Secretary of the Interior’s Standards for the Treatment of Historic Properties and professional qualifications as defined in “Historic Preservation Terms and Professional Qualifications” available at <https://parks.ny.gov/grants/consolidated-funding-app.aspx>.
  - Properties not currently listed but scheduled for nomination review at the State Board for Historic Preservation meeting of either June 9, 2022, or September 8, 2022, are eligible to apply for funding. Questions about, or proposals for, listing on the State or National Register should be directed to the OPRHP National Register Unit at (518) 268-2213.
  - Preservation covenants or conservation easements will be conveyed to the State for all
  - Historic Preservation grants.
  - Grant funds cannot be used for constructing contemporary additions to a historic property unless that work will provide universal access and/or eliminate code deficiencies for access/egress, such as an elevator or stair tower.
  - Multi-purpose additions to historic buildings and free-standing new construction on historic properties are not eligible for this grant program.
  - The expense of packing/storing of furnishings and artwork is allowed when required to complete an awarded project for grant-assisted interior work, such as installation of a fire suppression system, or plaster/decorative finishes.
  - For projects on sectarian properties, grant assistance can fund only costs necessary for historically accurate restoration to restore and preserve the historic integrity of the historic property, and only to the extent that those costs exceed the cost of basic rehabilitation. Information and instructions on how to structure/present a sectarian project can be found at <https://parks.ny.gov/grants/consolidated-funding-app.aspx>
  
- **Heritage Area Program** - for projects to acquire, preserve, rehabilitate, or restore lands, waters or structures identified in the approved management plans for Heritage Areas designated under section 35.03 of the Parks, Recreation and Historic Preservation Law, and for structural assessments or planning for such projects where an active

management entity has endorsed the project. For additional information about active Heritage Areas with approved management plans, including exact heritage areas boundaries and Heritage Area Contacts, go to <https://parks.ny.gov/grants/heritage-areas/default.aspx>.

- To ensure a public benefit from the investment of state funds, all Heritage Area grants will receive appropriate long-term protections either through parkland alienation law, or in the form of public access covenants, preservation covenants or conservation easements conveyed to the State.

### **ALLOWABLE COSTS:**

All expenditures under these grants must be for goods and services procured in a manner so as to assure the prudent and economical use of public money in the best interests of the taxpayers of the State of New York, to facilitate the acquisition of goods and services of maximum quality at the lowest possible cost under the circumstances, and to guard against nepotism, favoritism, improvidence, extravagance, fraud, and corruption. Such procedures may include, but are not limited to, competitive bidding, the solicitation of three price quotes, written requests for proposals, etc. (see Successful Applicant Requirements below for additional information).

### **Eligible budget items include:**

#### Pre-Development Planning and Design

- **Design Fees** and other **Professional Fees** are allowed for the preparation of construction documents and to satisfy other pre-construction requirements. **Pre-development** costs must be incurred during the project term or in the three years prior to the application deadline. In general, pre-development costs **should not exceed fifteen percent (15%) of the construction costs**.
- **Archeology** includes field work, report writing, curation of artifacts and interpretation. If your project includes any ground-disturbing activity (e.g., trenching, grading, demolition, new construction, etc.), it is very likely that an archeological survey will be required unless you can provide adequate documentation of prior ground disturbance. Your budget should take into account the need for an archeological survey. Contact your regional grants administrator (RGA) (at <https://parks.ny.gov/grants/contact.aspx>) or the archeology representative for your county (at <https://parks.ny.gov/shpo/contact/>), to determine the need and anticipated costs for archeology.
- **Project planning** is eligible for stand-alone funding in all three programs. This funding is intended for project-specific planning, such as preparing site designs and specifications, schematic drawings and conducting specific project-related environmental reviews (i.e., for rehabilitation of a historic property or structural assessment of a dock for public fishing), not for planning or environmental review processes of comprehensive Open Space, Management or Master Plans.

#### Construction

- Capital costs can include labor, materials, and other necessary costs for permanent capital improvements to the property that are directly related to the recreational, conservation, historic preservation, and/or heritage development purposes of the grant program. The budget should be broken down by categories of expenditure, such as utilities/infrastructure, site preparation, landscaping, carpentry, etc.
- The budget may include purchase of permanent equipment necessary to achieve the project purposes (e.g., playground equipment, interpretive kiosks), but cannot include operational or maintenance equipment such as mowers or automotive equipment.
- The budget may include costs to undertake construction, such as rent/lease of heavy equipment, but cannot offset overhead and operating expenses, such as office rental.

- For historic preservation projects on sectarian properties grant assistance can fund only costs necessary for historically accurate restoration to restore and preserve the historic integrity of the historic property, and only to the extent that those costs exceed the cost of basic rehabilitation. Information and instructions on how to structure/present a sectarian project can be found at <https://parks.ny.gov/grants/consolidated-funding-app.aspx>.

#### Acquisition

- The application must identify each parcel proposed for acquisition, the type of interest to be acquired (fee simple, lease, easement, etc.) and method of acquisition (purchase, donation, or transfer from another use), number of acres and estimated fair market value of the parcel(s) documented by a written appraisal valuation (desktop appraisal or exterior only appraisal) by a qualified appraiser. Acquisition costs must be incurred during the project term or up to one year prior to the application deadline.
- Associated acquisition costs, such as the cost of **appraisals** (one appraisal is required for any parcel valued under \$300,000; two appraisals are required for any parcel valued at \$300,000 or more), **surveys, title search, legal fees, title insurance (required for this grant)** and, where a conservation easement is required, the cost of **title continuation and recordation** are eligible costs.
- In the case where multiple parcels owned by the same entity are to be valued, the appraiser will first determine the highest and best use of the parcels. The highest and best use analysis will determine if the parcels should be marketed as one unit or whether they would have a higher value if marketed separately. If the parcels should be marketed separately, then each one will require its own valuation. Under no circumstances should parcels owned by different entities be valued in the same appraisal.

#### Administration

- **Construction Supervision** costs are those associated with the coordination, supervision, and scheduling of work to ensure projects are completed in conformance with design standards, construction contract documents, plans and specifications, and may be provided by a qualified member of the applicant's staff, the design professional who prepared the construction documents, or a clerk of the works.
- **Grant Administration** costs include expenses associated with administering the grant after it is awarded, such as preparing the project agreement, affirmative action, solicitation of Minority and Women-owned Business Enterprises (MWBES), and payment request documentation. In general, these costs should not exceed ten percent (10%) of the grant amount. The cost of preparing this application is NOT eligible.
- **Procurement Costs** include costs for assuring competitive pricing, such as costs for distributing Requests for Proposals and for public advertising for bids, including the cost of advertising in specialty publications, such as minority newspapers and appropriate construction publications.
- **Audit:** An accounting of grant expenditures and revenues is required. Generally, this is accomplished by detailed auditing of every payment request. Depending upon the grant award and complexity, the State may require an Agreed Upon Procedure Review (AUPR) performed by a representative of the State or a Certified Public Accountant prior to the final reimbursement.
- **Project Sign:** All grant-funded projects, except for those funding planning only, must have a project sign noting the funding assistance. Signs are available for purchase through the State for approximately \$57.

**INELIGIBLE COSTS** (will be eliminated from the total project costs in the grant application):

- Work completed prior to award is not eligible for reimbursement or for match. There are two exceptions:
  - Professional services and materials purchased or donated, but not installed, up to three years prior to the application deadline may be applied toward the matching share.
  - Acquisition costs retroactive no more than one year prior to the application deadline are eligible costs.
- Comprehensive Planning/Master Planning/Management Plans/Open Space Plans.
- Application preparation.
- Contingencies, training, travel, OJT wages, working capital, marketing, taxes, interest, purchase of operational or maintenance equipment, salaries and wages, indirect costs, overhead or operating expenses, rent/lease are ineligible unless noted otherwise above.
- Fundraising events/expenses.
- Bond interest and associated fees. The interest associated with a Bond or Bond Anticipation Note (BAN) cannot be calculated into project cost, whether for reimbursement or local match.
- Lobbying expenses.
- Costs that are not adequately justified or that do not directly support the project.

### **MATCHING SHARE (APPLICANT SHARE) REQUIREMENTS**

This grant program is administered on a reimbursement basis. **Successful applicants will be expected to fund project expenditures upfront, then submit for reimbursement.**

Applicants must plan their financial arrangements accordingly.

Successful applicants are reimbursed for up to 50% of their eligible expenditures. For projects located in impoverished areas (as defined by 10% or more of the population below the poverty level according to the most recent Census data as provided in the "Poverty Level Table by ZIP Code Tabulation Area (ZCTA)" at <https://parks.ny.gov/grants/consolidated-funding-app.aspx>), the reimbursement can be up to 75% of the eligible project cost.

All applicants are expected to raise their share within one year of the award, or risk cancellation of the grant.

Principal types of applicant share are:

- **Cash:** Includes grants other than this grant request.
  - Other Environmental Protection Fund grants (i.e., Climate Smart Communities, Water Quality Improvement Project, Local Waterfront Revitalization Program, Greenway Conservancy Trail Grant Program, etc.) cannot be used as match.
  - State and Municipal Facilities Program (SAM) funding cannot be used as a required match or be considered a local share but can be used to pay for additional project costs that are over and above the award and required local match.
- **Force Account:** Applicant's payroll expenses itemized according to job title or job assignment on project. Grant recipients will be required to document time worked, tasks, pay ratio and payment (including components and percentage of fringe benefit rate).
- **Professional Services:** The value of services provided by professional and technical personnel and consultants. Three-year retroactivity applies.
- **Supplies and Materials:** The fair market value of items warehoused (not yet installed). Three-year retroactivity applies; use value current at time items were obtained.



- **Volunteer Labor:** Skilled and professional labor can be computed at the job rate. The value for labor (unskilled labor and work performed by professionals or skilled laborers in an area outside of their area of expertise) of an adult (18 and over) donating time to a project may be computed up to the amount identified as the Value of Volunteer Time for New York State at <https://independentsector.org/>. The current value of volunteer time for New York State can be found at <https://parks.ny.gov/grants/consolidated-funding-app.aspx>. For example, a lawyer donating legal services may compute the value based on the standard billing rate, but the value for the same lawyer donating time painting walls will be computed up to the amount identified as the Value of Volunteer Time for New York State.
- **Equipment Usage:** Valued according to its fair market rental cost in the project location.
- **Real Property:** The value of all property acquired, donated, or converted from other purposes. One-year retroactivity applies to all three categories. For real property owned by the applicant and converted from other purposes, the value of such property may be included under the EPF budget, provided it has not been previously designated as parkland or otherwise used for purposes related to this project.

**FUNDING PRIORITIES:** Priority projects are those that clearly demonstrate and document:

- **Impact:** For park projects, the importance of the project to the community in terms of population served and need for facilities. For historic preservation, the extent to which the project will contribute to preservation of a historically significant property and its features. For Heritage Areas, the extent to which the project will enhance the visitor experience and address the resources and goals of the local Heritage Area.
- **Planning Initiatives:** For all projects, community support; consistency with state/region/community plans, including and especially the Statewide Comprehensive Outdoor Recreation Plan (SCORP).
- **Reasonableness of Cost:** For all projects, sound administrative infrastructure/ reasonableness of costs, including demonstration of project planning, administrative structures and a budget that reflects fiscal prudence and readiness to proceed.
- **OPRHP Commissioner Priorities for 2022:**
  - Projects that enhance and/or create opportunities for walkable public spaces for recreation, fitness, community gardens and open space in underserved neighborhoods (i.e., build green space, revitalize existing athletic and recreational facilities, create and enhance amenities at community gardens and schoolyards).
  - Projects that rehabilitate existing sections of the Empire State Trail, and/or create or enhance multi-use pedestrian and bicycle trails, creating physical and functional connections among already-protected state and local lands, historic sites, greenways, trails (including the Empire State Trail) and waterways. For example, projects may include landscape and trail improvements and special features or signage to improve programming and interpretation.
  - Projects that are undertaken by OPRHP Friends organizations or other partner groups that occur in State Parks or Historic Sites.

Applicants are encouraged to use the online layered “Grants Map for CFA” accessed via <https://parks.ny.gov/grants/consolidated-funding-app.aspx> to help answer application questions in the CFA, including questions concerning how to identify the appropriate Regional Economic Development Council, ZIP Code Tabulation Area (ZCTA) and Poverty data, save and print or upload a 1:24,000 scale topographic or planimetric map, etc. for the project location. The instruction document, “Using the Grants Map for CFA,” outlines how to use the features of the layered map.

## **APPLICATION REQUIREMENTS:**

The following documentation will be required with the application. **Applications lacking these attachments (or an acceptable explanation) are considered incomplete, and may cause the application to be deemed ineligible, or adversely affect the rating points assigned.**

Depending upon the particular circumstances of your project, other attachments may be required. Still other attachments, while not required, may be essential to support rating points.

All documents should be current to this grant cycle. See the **ADDITIONAL RESOURCES** section at the end of this document, and the Attachment Checklist at

<https://parks.ny.gov/grants/consolidated-funding-app.aspx>, for additional guidance on required documents as well as supporting documentation that is requested but not required. Applicants are encouraged to contact the Regional Grants Administrator for their project area to have an initial conversation regarding their proposal prior to submitting an application.

### **For All Applicants:**

- **State Environmental Quality Review Act (SEQR) compliance documentation:**
  - Not-for-profits must fill out the “Environmental Review Form” available at <https://parks.ny.gov/grants/consolidated-funding-app.aspx>.
  - Municipalities must document or describe where they are in the SEQR process.
- **Photos** showing the project area
- **Schematic Site Plan**
- 1:24,000 scale **topographic or planimetric map** with the **subject property circled**

### **For All Not-for-Profit Applicants:**

**Pre-qualification in the Grants Gateway is required.** Grant proposals received from nonprofit applicants that are not Prequalified in the Grants Gateway at the application due date and time will not be evaluated. Such proposals will be disqualified from further consideration. Further information is available from the Grants Gateway at (518) 474-5595.

**Disclaimer:** New York State reserves 5-10 business days from the receipt of complete Prequalification applications to conduct its review. If supplementary information or updates are required, review times will be longer. Due to the length of time this process could take to complete, it is advised that nonprofits Prequalify as soon as possible. Failure to successfully complete the Prequalification process early enough may result in a grant application being disqualified. Keep in mind the status may expire during the evaluation period, so it is a best practice to double check the status before the application deadline.

### **For Not-for-Profit Applicants applying for a project under the Parks Program:**

**Except for projects on State lands, a resolution of municipal endorsement**, passed by the governing body of the municipality in which the project is located, which stipulates the approval/endorsement of the application. For projects involving multiple municipalities, the endorsement is required from the municipality with planning jurisdiction (e.g., the county) and all municipalities owning affected property. See a sample of an acceptable resolution of “Municipal Endorsement” at <https://parks.ny.gov/grants/consolidated-funding-app.aspx>.

### **For Historic Preservation Applicants:**

Documentation of State/National Register listing or scheduled nomination review.

**For Heritage Area Applicants:**

**Written approval/endorsement of the project by the local heritage area management entity**, if it is not the project sponsor, is required with the application. The letter should reference the appropriate Heritage Area management plan and relevant Heritage Area resources and goals. For information about active Heritage Areas with approved management plans, including exact heritage areas boundaries and Heritage Area Contacts, go to <https://parks.ny.gov/grants/heritage-areas/default.aspx>.

**For Applicants proposing to undertake work in a State Park or Historic Site:**

**Letter(s) of support from the Regional Director AND Capital Facilities Manager.** One letter of support may be provided with both signatures.

**For Applications including Acquisition (purchase, donation, or transfer from another use):**

- Evidence of the owner’s intent to sell, donate or transfer the property.
- A written appraisal valuation (desktop appraisal or exterior only appraisal) by a qualified appraiser for all property that will be acquired or used as match as part of the proposal.

**For Applications where Parkland is being Alienated:**

If the project is located in a public park facility, all or part of which is being sold, leased, exchanged, donated, disposed of, or used for other than public park purposes, a copy of the **proposed or enacted legislation authorizing the alienation**.

Attachments listed in the **APPLICATION REQUIREMENTS** section of the guidance document are required of every application as indicated. Following is additional guidance on required attachments. All documents should be current to this grant cycle.

**State Environmental Quality Review Act Compliance (SEQR)**

**NOT-FOR-PROFIT CORPORATIONS:** Complete the “Environmental Review Form” available online at <https://parks.ny.gov/grants/consolidated-funding-app.aspx>. Also include with your application clear drawings, maps, or plans of existing and proposed natural and man-made conditions on the site and the areas immediately adjacent to the site.

**MUNICIPALITIES:** The municipality will be responsible for providing a completed SEQR review. The municipality will be the SEQR lead agency if OPRHP is the only other agency involved or will be responsible for initiating lead agency designation procedures if there are other involved agencies (e.g., the Department of Environmental Conservation (DEC) via a required permit). The lead agency is required to classify projects under SEQR, and make a determination of significance as follows:

- If your project is Type II, it is not subject to SEQR. If this is the case, provide a statement as to the classification of your project and the reason. If any permits are required, list them in your statement.
- If your project is subject to SEQR, consult SEQR regulations to determine if it is classified Unlisted or Type I.
  - If it is Unlisted, submit a completed Short Environmental Assessment Form (EAF) (Parts I-III).
  - If the project is classified Type I, submit a completed Full Environmental Assessment Form and either a negative declaration or a Final Environmental Impact Statement (FEIS) and SEQR Findings.
- If the project's impacts have been previously reviewed under SEQR, supporting documentation must be submitted (e.g., FEIS and SEQR Findings Statement).

## **Photos**

Provide images (scanned photographs or born-digital; photocopies are not acceptable substitutes) showing the overall project area and documenting existing conditions. Include photos of any structures more than 50 years old within, or immediately adjacent to, the project area. Provide views to these features from the project site, as well as views of the project site from them. Photographs must reflect current conditions. Images that are freely available on the internet may not show current, actual conditions. Key all images to a schematic site plan (see below). For an optimal review of the project, photography tips and guidance can be found here <https://parks.ny.gov/grants/consolidated-funding-app.aspx>.

## **Schematic Site Plan**

Provide a document that pictorially connects the narrative, photos, budget, and for a historic property the work detail.

For parks, the site plan should identify the boundary of the park that is the subject of the application and show how it relates to the surrounding areas (properties adjoining the site, roadways, water bodies, public access), what facilities are currently existing on the proposed site (arrows or legend to indicate type - baseball fields, playgrounds, pavilions, parking areas, public access to the site, links to surrounding areas via trails, etc. and location of those facilities within the park), and what facilities are being proposed (type and location). The plan should be linked to photos showing the subject area and surrounding areas, the narrative describing the work being contemplated, and the budget showing estimated costs.

With historic properties, provide two dimensional plans or elevations which identify the areas of the structure or site with the conditions as they currently exist that are the subject of the application (i.e., arrows to mortar joints, cracks, bricks); these would have a legend or some other way to link back to photos which show the areas of concern, the narrative and work detail which describe both existing conditions and the proposed work to correct issues, and the budget showing the estimated costs to accomplish the work.

## **Map**

Submit a 1:24,000 scale USGS or DOT planimetric map with the subject property circled. An 8½" x 11" section, copy, or printout is acceptable, so long as it shows at least 1:24,000 scale and is clearly marked as to scale and source, including Quad Name and/or Code. We recommend using the online, layered "Grants Map for CFA," accessed via <https://parks.ny.gov/grants/consolidated-funding-app.aspx> and the instruction document, "Using the Grants Map for CFA." Another source for downloadable, printable maps is the NYS GIS Clearinghouse <http://gis.ny.gov/gisdata/quads/>. In addition, you may submit any other site map that is available which will help to locate the specific project site.

## **Federal, Statewide, Regional and Local Planning Documents**

Provide clearly marked excerpts in support of the project narrative AND documentation that the plans cited reflect current need (e.g., a copy of the resolution adopting or reaffirming the local plan if it is 5 years or older).

## **Community Support**

Documentation of community support may include an official resolution by the governing body of the applicant, approving and/or endorsing the project and affirming public and community support for it; evidence of public participation, public outreach plan, press releases/announcements, public meetings, events, fundraising campaign plans. Provide copies of official project endorsements, partnerships, and letters of support (especially those from people directly impacted by the project).

## **Planning Grants**

To justify the proposed consultant costs, two estimates are required. For planning budgets involving just the preparation of plans and specifications, provide at least two professional estimates for the preparation of these documents or provide two professional estimates of the proposed construction costs or submitted construction bids and identify the percentage of the professional fee to prepare plans and specifications. For other planning projects (condition studies, Historic Structures Report, Cultural Landscape Report, feasibility study, etc.), submit two estimates and documentation of consultants' qualifications and/or licenses (for historic preservation professionals, see "Historic Preservation Terms and Professional Qualifications" available at <https://parks.ny.gov/grants/consolidated-funding-app.aspx>).

## **Alienation Legislation**

If parkland is being alienated (projects located in a public park facility, all or part of which is being sold, leased, exchanged, donated, disposed of or used for other than public park purposes), provide a copy of the proposed or enacted legislation authorizing the alienation.

## **SUPPORTING DOCUMENTATION:**

Depending upon the particular circumstances of your project, other attachments may be required. Still other attachments, while not required, may be essential to support rating points. All documents should be current to this grant cycle. See below for a list of supporting documentation.

- Evidence of local historic preservation or landmark designation
- Clearly marked excerpts from federal, statewide, regional, or local planning documents
- Written documentation clearly identifying community need and involvement; if the local plan which identifies the need for the project is 5 years or older, provide evidence that the plan reflects current need (i.e., a copy of the resolution adopting or reaffirming the local plan)
- Documentation from State agencies regarding remediated brownfields, protected species, habitats, etc.
- Documentation of pre-construction planning, procurement of services, consultant qualifications, etc.
- Ground disturbance documentation
- All official project endorsements, partnerships, and letters of support
- For stand-alone planning projects, justification of budget estimate

## **ATTACHMENTS TO SUPPORT APPLICATION:**

As outlined above, your application requires you to upload supporting documents. Before you begin to prepare the supporting documents, go to the Documents tab within the Consolidated Funding Application to review size limits and acceptable file formats, including how to combine multiple files into a single file. *It is also advisable to use short naming conventions when labeling each file; longer named attachments may prevent the file from being opened.*

You may proceed with your application without uploading these documents. However, since supporting documents are required, you must return to the Documents section and upload the required documents before you can finalize and submit your online application.

For assistance scanning your documents, please contact the Regional Grants Administrator for your County at <https://parks.ny.gov/grants/contact.aspx>.

## **ADDITIONAL RESOURCES:**

Go to <https://parks.ny.gov/grants/consolidated-funding-app.aspx> to view forms and resources containing additional instructions concerning attachments to the application. For more information, contact the NYS Office of Parks, Recreation and Historic Preservation (OPRHP) Regional Grants Administrator (RGA) for your county (<https://parks.ny.gov/grants/contact.aspx>), or [NYSOPRHPGrants@parks.ny.gov](mailto:NYSOPRHPGrants@parks.ny.gov).

**GRANT SELECTION CRITERIA:** Each application will be reviewed for eligibility and, if determined eligible, will be rated according to the Grant Selection Criteria. Applications will be evaluated to assess the degree to which they meet the elements of each criterion below. A successful grant proposal is not expected to meet all of these criteria. Within each region, applications are ranked according to project category, competing only against others in their region and category. The Grant Selection Criteria are:

### **I. Project Impact (up to 30 points)**

For **Parks** Projects:

- A. Need, as determined by a statewide assessment (0-5):
  - For recreation projects: SCORP Relative Index of Needs
  - For open space/conservation projects: NYS Open Space Conservation Plan
- B. **Community Impact and Need (0-25).** The application should document both the extent of a need and how the project will address that need.

Population Served: Assess whether the project will primarily serve a densely populated area, an area where a substantial proportion of the population is of low income, and/or a population that is otherwise disadvantaged or underserved with respect to existing recreational opportunities. For example, will it meet the needs of an aging population, encourage participation by youth and teens, respond to population and social changes in the community, and/or ensure open and reasonable access to persons of various abilities.

Need for Facilities: Assess the degree to which local recreation, conservation or open space deficiencies will be addressed by the project. Evidence of need can include documentation of:

- For recreation projects: number of similar facilities in the service area; level of use of existing facility and anticipated level of use of proposed facility; condition of facilities, including evidence of physical deterioration, decay, neglect, or disinvestment; emergencies, mandates, or development pressure.
- For open space/conservation projects: protection of watershed, aquifer, animal or plant species, significant natural communities, or other natural, scenic or open space resources that are unique, rare, or of statewide or regional significance; wetlands, shorelines, unique areas, biodiversity areas, wildlife habitats, forested wildlife, flood plains; improved access to water or public fishing rights, trails or greenways; increased land for active recreation in existing or new parklands, buffer zone/viewshed to enhance or protect existing recreational or environmental resources; or a recognized brownfield site for park development.

For **Historic Preservation** Projects:

- A. **Level of Significance (0-15).** Points are awarded based on the level and area(s) of significance of the property (as recorded in the State/National Register nomination or in the National Historic Landmark documentation), consideration of the significance of the specific feature(s) of the property to be addressed in the proposed project (e.g., a

primary contributing resource versus a secondary contributing resource), and the extent to which the project protects, enhances or impacts that property and feature(s).

- B. **Severity/Immediacy of Threat (0-15).** Points are awarded based on the type (e.g., deterioration, damage, demolition, inappropriate development), extent (e.g., isolated, widespread, accelerated), severity, immediacy, and degree (e.g., recent, on-going, imminent) of threat to the property from negligence, development pressure, inappropriate treatment, etc., and the degree to which the project addresses that need and ensures the long-term preservation of the property.

For **Heritage Area** Projects:

- A. **Addresses significant Heritage Area resources (0-5).** Points are awarded based on how well the project contributes to the preservation, restoration, or enhancement of natural, historic, or cultural resources related to the Heritage Area's interpretive theme(s) as established in its approved management plan.
- B. **Addresses Heritage Area goals (0-15).** Points are awarded based upon how the project addresses the Heritage Area goals of preservation/conservation, education/interpretation, recreation, and economic revitalization. At a minimum, a Heritage Area project will address one Heritage Area goal, but a typical Heritage Area project addresses two or more. Therefore, points should reflect both the number of goals met and how well they are met.
- C. **Enhances the Heritage Area Experience (0-10).** Points are awarded based upon the degree to which the project directly serves or benefits heritage area visitors and users, enhances the function and visual quality of the heritage area, and/or contributes to the local economy.

## II. **Planning Initiatives** (up to 10 points)

- A. **Community Support:** Points are based on evidence of community support of and involvement in the project, including efforts to publicize and/or engage the community in project planning, such as:
- letters of support, especially those from people directly impacted by the project
  - official project endorsements/partnerships and other evidence that the project is supported by local elected officials and community groups, such as Land Trusts, recreation committees, environmental councils, preservation boards, Friends groups, local activists
  - press releases/announcements/publicity
  - plans for public outreach or fundraising campaign
  - news articles
  - records of public meetings including project-specific meetings (such as press event), official government reviews (e.g., Community Board, Planning Board, etc.) and presentations to a group such as a neighborhood association or interest group
- B. **Consistent with Plans:** In determining whether the project relates or contributes to documented plans, examine documents cited and submitted. For planning documents more than five years old, look for evidence that the plans are current and applicable. Relevant documents include, but are not limited to:
- NYS Open Space Conservation Plan as a priority project
  - New York State Historic Preservation Plan
  - New York Statewide Trails Plan/New York Statewide Greenway Trails Plan
  - State or National Heritage Area Management Plans
  - Local Waterfront Revitalization Program (LWRP)
  - Recognized local Open Space Plan

- Local historic preservation ordinance/designations
- Community participation in the Certified Local Government (CLG) Program
- Other state/federal/local plans, such as Preserve America designation, Path Through
- History, etc.
- Community comprehensive or master plans or other local plans
- Project implements a prior Planning grant

**III. Reasonableness of Cost (0-20)** Project planning, administrative structures and budget demonstrate fiscal prudence and readiness to proceed. Is there a logical justification for all expenses? Does the budget narrative include an explanation for each budget line and clearly support the applicant's need for additional financial resources to achieve project outcomes? Does the budget include the required matching funds? Does the proposal describe how the grant recipient will monitor expenditures during the life of the project to ensure that the project stays on schedule and within budget?

**A. Budget**

- Budget in the application is complete, detailed, computed correctly, and contains no extraneous or ineligible expenses.
- The budget is based on a cost estimate from a reliable source.
- Matching funds are on hand and/or application evidences a reasonable expectation that matching funds will be available as and when needed.

**B. Readiness**

- Necessary project planning and document preparation has been completed.
- Qualified project professionals, properly procured/hired, are on hand.
- Proposed project/work is appropriate and conforms to accepted professional standards.
- Application evidences viable strategy and resources for implementing/operating and maintaining the project in the future.

**C. Feasibility**

- Administrative structures are in place to handle grants.
- Applicant has proven experience in projects of similar scale and/or scope.
- Timeframe presented in application is reasonable to accomplish all aspects of the work and grant administration (including any necessary fundraising).

**IV. OPRHP Commissioner Priorities (0-10)**

- A.** Projects that enhance and/or create opportunities for walkable public spaces for recreation, fitness, community gardens and open space in underserved neighborhoods (i.e., build green space, revitalize existing athletic and recreational facilities, create, and enhance amenities at community gardens and schoolyards).
- B.** Projects that rehabilitate existing sections of the Empire State Trail, and/or create or enhance multi-use pedestrian and bicycle trails, creating physical and functional connections among already-protected state and local lands, historic sites, greenways, trails. For example, projects may include landscape and trail improvements and special features or signage to improve programming and interpretation.
- C.** Projects that are undertaken by OPRHP Friends organizations or other partner groups that occur in State Parks or Historic Sites.

**V. Regional Economic Development Council Assessment (0-20)**



## VI. Statewide Assessment “Commissioner Points” (0-10)

- A. **Geographic Distribution.** Consideration may be given to projects in areas that have or have not received funding in recent cycles or where funding is not commensurate with the population of the area. This will be based on the proximity to other funded sites and the diversity of projects being funded on a regional and local basis, as well as the service area of the developed or planned facilities.
- B. **Maximize Use and Accessibility.** Consideration may be given to projects where funding will allow underutilized facilities to be accessed or to develop underutilized resources for public use. This will be based on the resources offered by the facility, the use of those resources and whether the proposed project will help the facility expand and enhance its public use.
- C. **Special Engineering, Environmental, Preservation Benefits.** Consideration may be given to develop particularly significant resources and facilities or to develop innovative approaches to preserve valuable resources. This will be based on the type of resource being developed or rehabilitated; its rarity on a local, regional, statewide, and national basis; the ability of an innovative technology to address an emergency or mitigate future problems; how well a technology can be “exported” for use on other properties and resources; and how/if the project will allow public access that would not otherwise be available.
- D. **Past Performance.** Consideration may be given to how timely an applicant completed previous projects, including its reporting requirements; how successful it was in outreach, especially to minority- and woman-owned businesses; the ongoing upkeep and maintenance of the property; and its cooperation in allowing OPRHP to complete inspections and other follow-up activities.

## TOTAL (0-100)

## VII. Project in a Hudson River Greenway Compact Community (5 percent bonus)

Award points if the proposed project is located in a Hudson River Valley Greenway Compact Community, and the application documents that the project is consistent with the Greenway criteria of natural and cultural resource protection, regional planning, economic development, heritage and environmental education, and/or public access to the Hudson River (for information, go to: <https://hudsongreenway.ny.gov/community-planning> or the Greenway map at <https://hudsongreenway.ny.gov/system/files/documents/2021/10/greenway-map-oct-2021.pdf>).

## AWARD CRITERIA DETAILS

- **ELIGIBLE AREA, CITY, COUNTY, POPULATION LIMITS OR POPULATION TARGET TYPES:** Not less than \$13 million of the \$26 million appropriation must be awarded to projects located in densely populated and/or underserved areas. (Note: \$5,125,000 of the appropriation is directed to specific line items, leaving \$20,875,000 available for the competitive award program.)
- **LIMITATIONS:** While applicants may apply for more than one grant category funded under OPRHP’S EPF Program, no project will receive more than one grant award in any funding year. There is no statutory limit on the number of grants one property, or one applicant may receive, but in the interest of equity and fairness and in consideration of applicant capacity, applicants that have three or more open grants with OPRHP should not receive additional awards. **There is an administrative cap of \$500,000. If the total project cost is greater than \$4 million, up to \$750,000 may be requested.** Should project costs increase post-award, the grant award **will not** be adjusted upward.
- **LONG RANGE GOALS:** Special consideration should be given to projects that are referenced in the Statewide Comprehensive Outdoor Recreation Plan (SCORP) or included in other state and local planning initiatives.

- **PROJECT TERM COMPLETION DATES:** Once all conditions of award are met (see **SUCCESSFUL APPLICANT REQUIREMENTS** below) and a contract is executed with the State, it is anticipated that acquisition and planning projects will be completed within one year and construction projects within two years; projects must be completed within five years from the date of the award of the grant. OPRHP will monitor the progress of project work and will recapture awarded funds if significant progress is not made.

**SUCCESSFUL APPLICANT REQUIREMENTS:**

Successful applicants are advised NOT to begin work until a project contract with the State has been fully executed. Proceeding without advance OPRHP approval will jeopardize grant reimbursement.

Certain conditions of award must be met to the satisfaction of OPRHP before a contract can be executed with the applicant/grantee. These will include, but are not limited to:

- Submission of a signed authorizing resolution that names the official(s) authorized to accept the grant funds and enter into and execute a contract (as well as long-term protection documents and other certifications, if required) with the State.
- Submission of a signed Prevention of Sexual Harassment in the Workplace Policy certification. The grantee’s Authorized Official shall certify that the grantee (1) has and has implemented a written policy addressing sexual harassment prevention in the workplace and such policy meets the minimum requirements of section two hundred one-g of the labor law and (2) provides annual sexual harassment prevention training to all its employees. In addition, the grantee’s Authorized Official shall certify the grantee will make best efforts to retain contractors and/or sub-contractors for grant-related work that also meet the provisions of (1) and (2) above. Alternatively, if the grantee cannot certify the foregoing, the grantee’s Authorized Official shall so state and shall furnish a signed statement which sets forth in detail the reasons therefore. NOTE: Information, including model policy and training standards, is available on the New York State Department of Labor’s website at: <https://www.ny.gov/combating-sexual-harassment-workplace/employers>.
- Submission of a signed Non-Discrimination certification. The grantee’s Authorized Official shall certify that the grantee does not have institutional policies or practices that fail to address the harassment and discrimination of individuals on the basis of their age, race, creed, color, national origin, sexual orientation, gender identity, military status, sex, marital status, disability, or other protected basis. In addition, the grantee’s Authorized Official shall certify that the grantee will make best efforts to retain contractors and/or sub-contractors for grant-related work that do not have institutional policies or practices that fail to address the harassment and discrimination of individuals on the basis of their age, race, creed, color, national origin, sexual orientation, gender identity, military status, sex, marital status, disability, or other protected basis. Alternatively, if the grantee cannot certify the foregoing, the grantee’s Authorized Official shall so state and shall furnish a signed statement which sets forth in detail the reasons therefore.
- Enrollment in New York State’s electronic payment program for vendors. Information on how to enroll can be found here: <https://www.osc.state.ny.us/vendors/index.htm>
- Registration in the Grants Gateway.
- For not-for-profit grantees:
  - Maintenance of pre-qualification status in the Grants Gateway.
  - Documentation of current coverage or exemption for Workers’ Compensation and Disability Insurance
  - Being current with pertinent filings under Section 501 of the United States Internal Revenue Code and the following New York State Laws, as applicable: Article 7-A of the Executive Law; Section 8-1.4 of the Estates, Powers and Trusts

Law; Section 1508 of the Not-for-Profit Corporation Law; or Section 215 of the Education Law.

- Valid New York State Vendor Responsibility Questionnaire.
- Evidence of ownership interest, including:
  - For development projects:
    - Property deed and affidavit of title or opinion of municipal counsel.
    - If the grantee does not own the property in fee, documentation of the ownership interest, such as a lease, management agreement, or memorandum of agreement.
  - For stand-alone planning grants where the grantee does not have any ownership interest in the property: the owner's written permission for the applicant to access the property as necessary to complete the project.
- Environmental and historic preservation reviews (including archeological review).
- Documentation of all necessary approvals to undertake the project.

Grant contracts will require that prior to commencement of project work, certain procedures must be followed, and documentation provided to and approved by OPRHP including, but not limited to:

- For any project involving ground disturbance (trenching, grading, demolition, new construction, etc.), prior ground disturbance documentation or an archeological investigation will be required.
- Acquisition projects require certification of clear title by the State.
- Any permits required from agencies such as the NYS Department of Environmental Conservation (DEC) or the US Army Corps of Engineers (COE) must be filed with the State before construction begins.
- OPRHP must accept/approve plans and specifications, bidding documents, competitive bidding, and solicitation of MWBEs, etc.
- All EPF projects are subject to New York State Education Law (Articles 145, 147 & 148) regarding the preparation of plans and specifications. Plans which include the design of buildings and/or structures, such as bridges, tunnels, and scenic overlooks, must be stamped, signed, and dated by a Licensed Professional, as defined in New York State Education Law.

Project costs will be eligible for reimbursement only if the specified grant work is included in the approved contract, meets State standards and the expenditures are made in compliance with State requirements, including, but not limited to:

- Pursuant to Article 15A of the Executive Law, Minority and Women-owned Business Enterprises/Equal Employment Opportunity, grant recipients will be required to solicit MWBEs before commencing work and to document efforts involving MWBEs during the project term.
- Municipalities must comply with General Municipal Law Sections 103 (competitive bidding) and 104-b (procurement policies and procedures). Not-for-profit corporations must follow procurement policies that ensure prudent and economical use of public money.
- All reimbursements for projects on property eligible or listed on the National or State Registers of Historic Places must be satisfactorily documented so that the State Historic Preservation Office can ensure work was done in conformance with the Secretary of the Interior Standards.
- At the discretion of the State, an Agreed Upon Procedure Review may be required by the State, performed by a representative of the State or a Certified Public Accountant.

**Failure to comply with these requirements could jeopardize full reimbursement.**

OPRHP staff will conduct periodic inspections, including a final inspection of the project, and may conduct post completion inspections as warranted to ensure the public benefit is maintained.

# Department of State

## **Local Waterfront Revitalization Program**

**Funding Available: Up to \$16.3 million**

### **DESCRIPTION:**

The Department of State's Local Waterfront Revitalization Program (LWRP), funded under Title 11 of the Environmental Protection Fund, provides matching grants on a competitive basis to eligible villages, towns, cities, and counties located along New York's coasts or designated inland waterways for planning, design, and construction projects to revitalize communities and waterfronts. This program helps communities breathe new life into their waterfront and underused assets in ways that ensure successful and sustainable revitalization.

The Department encourages applications that create public access to outdoor recreation and consider resiliency in design. Projects that create dynamic public areas, improve community parks and trails, and enhance recreational opportunities can provide a significant stimulus for the local economy and set the stage for community resiliency. Public investment in these types of projects can not only increase public access and enjoyment of the waterfront, but also spur private investment, create jobs, and grow the economy.

**The EPF LWRP Request for Applications, which details all grant program requirements is available on the Department's website Funding & Bid Opportunities website at <https://dos.ny.gov/funding-bid-opportunities>. All applicants are encouraged to read the RFA in its entirety as grant program requirements may change from year to year.**

### **FUNDING OPPORTUNITY:**

Approximately \$16.3 million is anticipated for award for this procurement, with up to \$2 million dedicated for updates to existing LWRPs to mitigate future physical climate risks. Approximately \$10.5 million of the available funding will be awarded for projects which are in, or primarily serve, areas where demographic and other relevant data demonstrate that the areas are:

- densely-populated and have sustained physical deterioration, decay, neglect, or disinvestment; or
- where a substantial proportion of the residential population is of low income, or is otherwise disadvantaged and is underserved with respect to the existing recreational opportunities

The minimum State assistance request for EPF LWRP grant funding per grant application is \$50,000 and the maximum State assistance request is \$3 million. Applications requesting under \$50,000 in EPF LWRP grant funding will be disqualified and will not be scored.

### **ELIGIBLE APPLICANTS:**

Eligible applicants are:

A village, town, or city located along New York's coasts or inland waterways as designated pursuant to Executive Law, Article 42.

A county with the consent and acting on behalf of one or more eligible villages, towns or cities.

The list of coastal waterbodies and designated inland waterways is defined in NYS Executive Law, Article 42, Section 911 available at <https://www.nysenate.gov/legislation/laws/EXC/911>.

Applicants may partner with counties or other organizations; however, only applications from eligible applicants will be evaluated for funding. Only the eligible applicant will be awarded a contract. Applications submitted by not-for-profit organizations and for-profit organizations are ineligible and will not be scored.

An eligible applicant may apply for general planning needed to advance eligible activities.

For project-specific planning, feasibility, design, and/or marketing needed to advance eligible activities, an eligible applicant must be currently preparing an LWRP or LWRP Component or have an approved LWRP or LWRP Component. The proposed project must be located within the LWRP boundary or LWRP Component boundary.

For construction of projects needed to advance eligible activities, an eligible applicant must have an approved or substantially completed LWRP or relevant LWRP Component.

**ELIGIBLE ACTIVITIES/PROGRAM BENEFIT REQUIREMENTS:**

Local Waterfront Revitalization Program grant funding is available to advance the preparation or implementation of strategies for community and waterfront revitalization through the following grant categories:

- Preparing or Updating a Local Waterfront Revitalization Program (LWRP)
- Preparing an LWRP Component, including a Watershed Management Plan
- Updating an LWRP to Mitigate Future Physical Climate Risks
- Implementing a Local Waterfront Revitalization Program or a completed LWRP Component

**ELIGIBLE COSTS:**

Costs must be adequately justified and directly support the scope of work for the proposed project. Proposed total project costs, including match components, must be essential to project completion. All costs will be paid on a reimbursement basis and must be documented.

Grant funds may be used for the following costs associated with the scope outlined in the application:

Personal Services – including direct salaries, wages, and fringe benefits for activities related to project work by municipal employees, including project management, capacity building, and grant administration. Fringe benefits must be outlined in the application and include the organizations’ documented rate.

Non-Personal Services – including supplies and materials, travel, equipment, consultant/contractual services for direct project related costs, project management, capacity building, limited grant administration, and other goods and services.

Equipment –Equipment purchases will only be considered as an eligible cost if the equipment is essential to accomplish tasks included in project scope of work and is demonstrated to be more cost-effective than renting or leasing the equipment. The application should list each piece of equipment to be purchased with an estimated cost and how it will be used to accomplish project tasks. Equipment purchased with EPF LWRP grant funding cannot be sold without prior approval from the Department. If equipment purchased with EPF LWRP funds is sold without DOS approval, the Department may require that grant funds be returned to the Department. Equipment usage may only be used as local match.

Project management activities may include oversight and coordination of tasks needed to produce contract deliverables, coordination of Project Advisory Committee activities, consultant procurement and oversight, public outreach and providing technical assistance.

Capacity building may include: investment in existing staff, such as training, or automating systems that will improve a community's ability to carry out projects and/or deliver programs funded under this RFA; or developing sustainable organizational capacity, such as through creating and recruiting new positions or enlisting external professional assistance to oversee revitalization efforts. Allowable activities under capacity building shall be within the scope of the RFA and undertaken in direct furtherance of the purpose of the grant application.

Grant administration activities may include preparation of reports, vouchers, contract related administration and compliance with grant record keeping and reporting requirements. Grant administration may not exceed 15% of the award amount or \$50,000, whichever is less.

Land acquisition – land acquired (e.g., purchase or donation) may only be used as local match for projects that include construction and where the construction occurs on the acquired property. Land must be acquired within three years prior to the grant application due date. Land acquisition is not eligible for match for projects involving only design and engineering. A map identifying the property, and if available, a current appraisal report documenting the property value and a copy of the recorded deed conveying title and ownership must be submitted with the application.

**INELIGIBLE COSTS:**

The following costs will neither be accepted as the required local match nor reimbursed with grant funds:

- Indirect or overhead costs of the municipality such as rent, telephone service, general administrative support, computers, office equipment, general office supplies, general operations costs, membership fees, subscription costs.
- Salaries and other expenses of elected officials
- Fund raising events/expenses
- Federal funding (including but not limited to CDBG, FHWA, FEMA, U.S. FWS Boating Infrastructure Grant Program)
- Other Environmental Protection Fund awards (including but not limited to WQIP, BOA, Smart Growth, OPRHP EPF)
- Land acquisition (except as noted above)
- Taxes, insurance, fines, deficit funding
- Loan and bond interest and associated fees. The interest associated with a Loan, Bond, or Bond Anticipation Note (BAN) cannot be calculated into project cost, whether for reimbursement or local match.
- Contingency costs
- Lobbying expenses
- Cost incurred prior to the contract start date
- Costs that are not adequately justified or that do not directly support the scope of work for the proposed project

Failure to adequately justify direct project costs will render costs ineligible. Ineligible costs will be eliminated from the total project costs in the grant application.

**PRE-APPLICATION REQUIREMENTS:**

For projects which include any design and/or construction work, the applicant must identify the current legal owner(s) for all properties where improvements will be implemented. Applicant must provide proof with the application that all design and construction work will be performed on public property or where a permanent public interest, such as an easement (e.g. public access, conservation) has been established prior to the grant application due date.

The applicant must attach proof of site control and/or permanent public interest. If property is owned by:

- the applicant municipality, submit the property deed or current tax roll.
- a municipality or public entity that is not the applicant, submit the property deed or tax roll with letter of support or resolution from the landowner supporting the project.
- private property owner or not-for-profit, submit the property deed or current tax roll and executed public access easement, conservation easement, or similar legal instrument establishing permanent public interest in the property.

Applications that do not include this documentation will be found ineligible and will not be scored. Note: Site control does not need to be established at time of application for planning, feasibility studies or similar projects which do not include design and/or construction work. The Department shall have the sole discretion of determining if a proposed project meets the DOS program expectations for design and/or construction work.

**APPLICATION EVALUATION CRITERIA:**

Applications will be reviewed according to the specific criteria presented below.

**Program Criteria (maximum of 80 points)**

- Local Waterfront Revitalization Program (0 or 2 points)
- Public Engagement and Partnerships (maximum of 4 points)
- Local Capacity and Previous Performance (maximum of 4 points)
- Public Benefit (maximum of 20 points)
- Economic Value (maximum of 6 points)
- Implementation (maximum of 18 points)
- Disadvantaged and Underserved Communities (maximum of 2 points)
- Smart Growth (maximum of 4 points)
- Evaluation of Budget and Cost (maximum of 20 points)

**Regional Economic Development Council Endorsement (maximum of 20 points)**

Each application will be scored by the Regional Economic Development Council in which the proposed project is located. Regional Councils will review applications to assess the degree to which the project helps implement the Regional Strategic Plan. The Regional Council will score applications based on a set of standards, referred to as “endorsement standards.” and will assign each project a single score of 20, 15, 10, 5 or 0 (no fractions) based on merit. Regional Strategic Plans and endorsement standards can be found at <https://regionalcouncils.ny.gov/>.



**AWARD METHOD:**

Each application will be reviewed for eligibility and, if determined eligible, will be scored according to the application evaluation criteria. Applications deemed ineligible will not be scored.

A total score of 100 points is possible for any application, of which up to 80 points is derived from program criteria and 20 points from the Regional Economic Development Council (REDC) endorsement. An application must score a minimum of 50 program criteria points out of a possible 80 points from the Department of State review to receive an award. REDC points are based on regional economic priorities and are assigned by the REDCs.

**Award Methodology for Applications for Updating an LWRP to Mitigate Future Physical Climate Risks**

Applications received for updating existing LWRPs for the purpose of mitigating future physical climate risks, will be scored within this grant category and funds will be awarded in rank order, to applications which receive a minimum of 50 program criteria points from the Department of State review, until available funds are exhausted. Any remaining funds from this grant category will be utilized to fund applications received for other grant categories.

**Award Methodology for Applications for Other Grant Categories**

Applications received under other grant categories - preparing or updating a LWRP; preparing an LWRP Component, including a Watershed Management Plan; or Implementing an LWRP or completed LWRP Component – will be scored and funds will be awarded in rank order, to applications which receive a minimum of 50 program criteria points from the Department of State review, until available funds are exhausted.

**MATCHING FUND REQUIREMENTS:**

Applicants must identify the amount, type and source of eligible local match, and demonstrate that it has been secured; failure to do so may result in a reduced award amount for qualifying applications.

State assistance awarded and paid shall not exceed 75% of the total eligible project costs set forth in the application and as approved by the Department, except where the proposed project is located in an environmental justice community, in which case state assistance awarded and paid shall not exceed 85% of the total eligible project costs set forth in the application and as approved by the Department. For the purposes of determining if a CFA applicant is eligible to receive state assistance at a rate of 85% of the total eligible project cost under this solicitation see criteria listed in the RFA Section VII. Funding and Budget Guidance Environmental Justice (page 13).

**SUCCESSFUL APPLICANT REQUIREMENTS:****New York State Grants Gateway**

Grant applicants are encouraged to register through the New York State Grants Gateway. To register, log on to <http://grantsreform.ny.gov>.

**Standard Cost Reimbursement Contract**

Each successful applicant must enter into a standard cost reimbursement contract with the Department which includes an agreed upon work plan, any other attachments or exhibits, and the standard clauses required by the NYS Attorney General for all state contracts including Attachment A along with compliance with Article 15-A of the New York Executive Law. The contract will: 1) be subject to approval by the Attorney General and State Comptroller; 2) require

submission of final products in both hard copy and electronic format; 3) be subject to payment only upon proper documentation and compliance with reimbursement procedures; and all other contractual requirements. A copy of a standard contract along with Attachment A and Article 15-A is available from the Department.

To ensure that funds are awarded to applicants that are ready to move forward, the Department reserves the right to rescind an award if the state contract is not signed and returned within a reasonable amount of time. There will be no contract advance available to grantees. Expenses incurred prior to the start date of the state contract cannot be reimbursed.

#### Compliance with Procurement Requirements

All contracts by municipalities for service, labor, and construction involving not more than \$35,000 and purchase contracts involving not more than \$20,000 are subject to the requirements of General Municipal Law §104-b, which requires such contracts to comply with the procurement policies and procedures of the municipality involved. All such contracts shall be awarded after and in accordance with such municipal procedures, subject to the Minority or Women-Owned Business Enterprise (MWBE) requirements as set forth below and any additional requirements imposed by the State as set forth in Attachment C of the Master Contract.

The municipal attorney, chief legal officer or financial administrator of the municipality shall certify to the Department that applicable public bidding procedures of General Municipal Law §103 were followed for all service, labor, and construction contracts involving more than \$35,000 and all purchase contracts involving more than \$20,000. In the case of contracts by municipalities service, labor, and construction contracts involving not more than \$35,000 and purchase contracts involving not more than \$20,000, the municipal attorney, chief legal officer or financial administrator shall certify that the procedures of the municipality established pursuant to General Municipal Law §104-b were fully complied with, in addition to the MWBE requirements.

The municipal attorney, chief legal officer or financial administrator for the municipality shall certify to the Department that alternative proposals and/or quotations for professional services were secured by use of written requests for proposals through a publicly advertised process. This certification will verify that the procurement requirements were met and ensure the prudent and economical use of public funds for professional services of maximum quality at reasonable cost.

#### Record Retention and Audits

The successful applicant shall establish and maintain, in paper or electronic format, complete and accurate books, records, documents, receipts, accounts, and other evidence directly pertinent to its performance under the Master Contract with the Department. Payment requests may be subject to periodic reviews. The successful applicant will be required to agree to produce and retain for the balance of the term of the Master Contract, and for a period of six years from the later of the date of (i) the Master Contract and (ii) the most recent renewal of the Master Contract, any and all Records necessary to substantiate upon audit, the proper deposit

and expenditure of funds received under the Master Contract. Such records may include, but not be limited to, original books of entry (e.g., cash disbursements and cash receipts journal), and the following specific records (as applicable) to substantiate the types of expenditures noted (i) personal service expenditures: cancelled checks and the related bank statements, time and attendance records, payroll journals, cash and check disbursement records including copies of money orders and the like, vouchers and invoices, records of contract labor, any and all records listing payroll and the money value of non-cash advantages provided to employees, time cards, work schedules and logs, employee personal history folders, detailed and general ledgers, sales records, miscellaneous reports and returns (tax and otherwise), and cost allocation plans, if applicable, (ii) payroll taxes and fringe benefits: cancelled checks, copies of related bank statements, cash and check disbursement records including copies of money orders and the like, invoices for fringe benefit expenses, miscellaneous reports and returns (tax and otherwise), and cost allocation plans, if applicable, (iii) non-personal services expenditures: original invoices/receipts, cancelled checks and related bank statements, consultant agreements, leases, and cost allocation plans, if applicable, (iv) receipt and deposit of advances and reimbursements: itemized bank stamped deposit slips, and a copy of the related bank statements.

#### Minority and Women-Owned Business Enterprise Utilization (MWBE)

Applicants must submit the MWBE Compliance Form with their application confirming their understanding of the MWBE requirement and agreeing to show due-diligence and make good faith efforts to provide meaningful participation by MWBE's, whenever possible, if awarded the contract. See RFA Appendix 1 for all contractor requirements and procedures for participation by New York state-certified minority and women-owned business enterprises, equal employment opportunities for minority group members and women, and service-disabled veteran-owned businesses for more information (page 24).

#### Contract Period

Subject to the continued availability of funds in the budget, the contract period shall not exceed five years from the start of the project. No extensions are anticipated. The earliest start date of contracts is April 1, 2022. Special consideration for extensions due to extreme extenuating circumstances will only be granted on a case-by-case basis.

#### Amendments

Amendments will not be made to the original contracted scope of work, for example, applicants that receive funding for general planning or for project-specific planning, feasibility, design, and/or marketing projects may use this funding for these purposes only.

#### **ADDITIONAL RESOURCES:**

The Request for Applications and additional resource materials are available on the Department of State's Funding & Bid Opportunities website at <https://dos.ny.gov/funding-bid-opportunities>. Updates and/or modifications to the RFA, along with answers to written questions received, will be posted on this website.

Questions can be submitted by e-mail to [opd@dos.ny.gov](mailto:opd@dos.ny.gov) with the subject line: “22-LWRP-1 RFA Questions”. Questions will be accepted until June 17, 2022. Responses will be posted on July 8, 2022. No responses will be provided to inquiries made by telephone, social media, or by contacting DOS staff directly via email or telephone.

It is recommended all applicants review the final responses. The responses to questions received during this time period will be official responses by the Department to questions and will be incorporated into this Request for Applications.

Webinars which provide an overview of the application process and program requirements are available at <http://regionalcouncils.ny.gov/>.

## **Brownfield Opportunity Area Program**

**Funding Available: Up to \$4 million**

### **DESCRIPTION:**

The Department of State's Brownfield Opportunity Area Program provides 90:10 matching grants on a competitive basis to eligible municipalities, community-based not-for profit organizations, and New York City Community Boards to complete Brownfield Opportunity Area (BOA) Plans (also known as Brownfield Opportunity Area Nominations) and related implementation and predevelopment activities for neighborhoods, downtowns, or other defined areas. This is a reimbursement program.

**The full Request for Applications (RFA), which details all grant program requirements is available on the Department's Funding & Bid Opportunities website at <https://dos.ny.gov/funding-bid-opportunities>. All applicants are encouraged to read the RFA in its entirety as grant programs and requirements may change from year to year.**

### **FUNDING OPPORTUNITY:**

Approximately \$4,000,000 is available for BOA program grants for eligible activities identified. State assistance awarded and paid to a grant recipient shall not exceed 90% of the total eligible project cost.

The maximum for each grant award is \$300,000. There is no minimum state assistance request or award.

### **ELIGIBLE APPLICANTS:**

Eligible applicants are municipalities, community-based organizations and New York City community boards to establish or implement strategies for community redevelopment of brownfield affected areas.

The definitions for each type of eligible applicant are as follows:

- **Municipality** – A municipality is defined as a city, village, town, county, local public authority, public benefit corporation, school district, or special improvement district, or an Indian nation or tribe recognized by New York State or the United States with a reservation wholly or partially within the boundaries of New York State.
- **Community Based Organization** - A community-based organization must be a not-for-profit corporation under Section 501(c)(3) of the Internal Revenue Code at the time of application. In addition, its stated mission must be to promote reuse of brownfield sites or community revitalization within the geographic area in which the community-based organization is located; it must have 25 percent or more of its Board of Directors residing in the community in such area; and it must represent a community with a demonstrated financial need.
- **Community Board** – A Community Board is unique to New York City and is defined and described in Section 2800 of the [New York City Charter](#).

Applicants that have been awarded Department grants in the past should have demonstrated responsible contracting with the Department to be eligible for an award from this procurement.

Two or more eligible applicants are encouraged to work in partnership and jointly apply for funding for a project that would improve an area of mutual interest or concern. Joint applicants should identify the municipality, community-based organization, or community board that the

Department should recognize as the primary applicant for all purposes, including contract award.

**ELIGIBLE ACTIVITIES/PROGRAM BENEFIT REQUIREMENTS:**

Three types of activities are eligible for BOA funding: (1) Planning: Development of a BOA Plan;(2) Predevelopment Activities within a State-Designated BOA; (3) Phase II Environmental Site Assessments within a State-Designated BO. Activities must be consistent with the BOA enabling law in New York State General Municipal Law, Article 18-C, Section 970-r, together with the BOA Program Guidance located online at <https://dos.ny.gov/brownfield-redevelopment>

Applicants wishing to apply for more than one type of activity should submit separate applications for each activity type.

*(1) Planning: Development of a BOA Plan*

A BOA Plan is a study that consists of a community vision, goals and strategies for revitalization of an area affected by a concentration of known or suspected brownfields. Development of a full BOA Plan provides an in-depth and thorough description and analysis, including an economic and market trends analysis, of existing conditions, opportunities, and re-use potential for properties located in the proposed Brownfield Opportunity Area with an emphasis on the identification and reuse potential of strategic brownfield sites that may be catalysts for revitalization. An integral part of a BOA Plan is a description of key findings and recommendations to promote area-wide revitalization and redevelopment of strategic sites, including specific projects, initiatives, regulations, and other actions.

Applicants may apply for funding to prepare or complete a BOA Plan that contains all the elements necessary to support a request for designation of the BOA by the Secretary of State and must commit to making such a request when the BOA Plan is deemed complete by the Department of State.

BOA Plan elements required for designation of a BOA can be found in the BOA Designation Guidance, which is available on the Department's website at <https://dos.ny.gov/system/files/documents/2020/09/boa-designation-guidance-fact-sheet.pdf>.

A generic BOA work plan which describes the tasks necessary to develop a BOA Plan is also available at <https://dos.ny.gov/funding-bid-opportunities>.

*(2) Predevelopment Activities within a State-Designated BOA*

Applicants may apply for funding for predevelopment activities within a BOA that has been designated by the Secretary of State. Applicants with a pending application for designation submitted to DOS prior to the release date of this RFA are also eligible to apply, however funding may only be awarded if the designation is made by the Secretary of State prior to October 1, 2022 A list of currently State-designated BOAs is available on the Department website: <https://dos.ny.gov/brownfield-redevelopment>.

Activities should advance the goals and priorities for revitalization and redevelopment of the area as expressed in the BOA Plan completed for the State-designated BOA.

Eligible Predevelopment Activities include:

*Analyses, Plans and Studies*: that are undertaken leading to the furtherment of catalytic redevelopment or area improvement within the State-designated BOA including:

- Development of plans and specifications
- Environmental, housing, and economic studies, analyses and reports
- Building conditions studies
- Infrastructure analyses
- Renewable energy feasibility studies

*Professional Services to Advance Redevelopment* consistent with the BOA Plan within the State-designated BOA, including:

- Development and implementation of marketing strategies
- Zoning and regulatory updates
- Legal and financial services
- Real estate services
- Public outreach

### (3) *Phase II Environmental Site Assessments within a State-Designated BOA*

The purpose of a Phase II Environmental Site Assessment (SA) is to gather reliable information about a property's environmental condition to guide the grantee in making an informed land use decision under the BOA Program. The ASTM standard for Phase II Environmental Site Assessments does not include the level of technical specificity required to select and design a remedy for the property, but it does provide flexibility in determining the level of assessment and is appropriate for the land use planning stage of the redevelopment process.

Applicants may apply for SA funding within a State-designated BOA. Applicants with a pending application for designation submitted to DOS prior to the release date of this RFA are also eligible to apply, however funding may only be awarded if the designation is made by the Secretary of State prior to award announcements. A list of State-designated BOAs is available on the Department website: <https://dos.ny.gov/brownfield-redevelopment>.

For purposes of a SA, a site is defined around one or more areas of environmental concern and may include more than one contiguous tax parcel. The site must have definitive and identifiable boundaries. Phase II Environmental Site Assessments must meet the criteria established in the Phase II Application for Site Assessment Supplement. Each site for which SA funding is being sought must meet the criteria and conditions set forth in the full RFA.

Department of State guidance on Phase II Environmental Site Assessments is found in the BOA Site Assessment Supplement Package which is available at <https://dos.ny.gov/funding-bid-opportunities>.

Phase II Environmental Site Assessments applications will be evaluated on a pass/fail basis for eligibility and then evaluated per the scoring criteria outlined in Application Evaluation Criteria below.

Site eligibility for a SA in the BOA Program does not guarantee site eligibility in the New York State Brownfield Cleanup Program.

## **FUNDING AND BUDGET GUIDANCE:**

Costs must be adequately justified and directly support the project. Proposed total project costs must be essential to project completion. All costs will be paid on a reimbursement basis and must be documented.

Grant funds may be used for the following costs associated with the scope outlined in the application:

As a reference, DOS generic work plans which describe tasks necessary to prepare a BOA Plan, BOA Predevelopment activities or Phase II Environmental Site Assessments are available at: <https://dos.ny.gov/funding-bid-opportunities>. Applicants are encouraged to obtain initial project quotes from consultants with relevant professional experience and background to inform the budget. Funding will be for 90% of all eligible costs.

### ***Eligible Costs***

Costs must be adequately justified, directly support the project and be essential to project completion. Eligible costs include the following:

Personal Services – Personal services include direct salaries, wages, and fringe benefits of employees of the applicant for activities related to project work, including project management and grant administration. Fringe benefits must be outlined in the application and include the applicant's documented rate.

Non-Personal Services – Non-personal services include consultant/contractual services for direct project related costs, project management, grant administration, project-related supplies and materials, necessary travel, and other goods and services required to complete the project.

Project management activities may include, but are not limited to, oversight and coordination of tasks needed to produce contractual deliverables, coordination of steering committee activities, consultant procurement and oversight, public outreach, providing technical assistance, and developing or providing local and/or regional capacity to advance revitalization goals.

Grant administration activities may include preparation of reports, vouchers, contract related administration and compliance with grant record keeping and reporting requirements. Grant administration may not exceed 15% of the award amount or \$50,000, whichever is less.

Subcontracts for consultant/contractual services should be competitively procured based on the applicable provisions of New York State General Municipal Law and additional requirements as described in this RFA.

### ***Ineligible Costs***

The following are ineligible costs and will neither be accepted as the required local contribution nor reimbursed with grant funds:

- (a) Indirect or overhead costs, such as rent, telephone service, general administrative support, computers, office equipment, general office supplies, general operations costs, membership fees, subscription costs.
- (b) Salaries and other expenses of elected officials.
- (c) Costs incurred outside of the contract term.



(d) Costs that are not adequately justified or that do not directly support the project.

Failure to adequately justify direct project costs will render costs ineligible. Ineligible costs will be eliminated from the total project costs in the grant application.

#### **PRE-SUBMISSION REQUIREMENTS:**

##### ***Requirements for all applications***

All applicants must submit a resolution adopted by the applicant's governing authority that authorizes submission of the application and identifies the title of the applicant's authorized representative. A standard resolution template is available on the Department website at the following address: <https://dos.ny.gov/funding-bid-opportunities>.

##### ***Requirements for applications by a Community-Based Organization for Planning: Development of a BOA Plan***

Applications from Community-Based Organizations requesting funding to develop a BOA Plan must include a resolution of support from the city, town or village with planning and land use authority over the proposed BOA, except that in New York City, the resolution of support must be from the community board or boards for the district or districts in which the proposed BOA is located.

##### ***Requirements for applications requesting Phase II Environmental Site Assessment assistance within a State-Designated BOA***

Applicants requesting funding for Phase II Environmental Site Assessments within a State-Designated BOA must submit a completed Site Assessment Supplement form and related attachments for each site for which funding is being requested.

##### ***Requirements for all applications by a Community-Based Organization***

A Community-Based Organization must register and be pre-qualified through the NYS Grants Gateway as of the application due date. Such applicants will be required to submit documentation of registration and pre-qualification with the NYS Grants Gateway, to include: (1) the Document Vault Identifier (i.e., GDV-XXXXX-XXXX); and (2) the State Pre-Qualification Application Status Report. Information on this process is available at: <http://www.grantsreform.ny.gov/Grantees>.

#### **APPLICATION EVALUATION CRITERIA:**

Applications will be reviewed according to the specific criteria presented below.

##### ***Eligibility Criteria***

- a) The application must be submitted by an eligible applicant as previously defined.
- b) The application must be for an eligible activity as previously defined.
- c) BOA Site Assessment Supplement (SA) Applications will be evaluated on a pass/fail basis for eligibility based on the criteria outlined in RFA Section V.3.

Applications that do not meet the criteria above are ineligible and will be immediately disqualified and will not be evaluated further.

##### **Applications meeting the eligibility criteria will be reviewed and scored according to the program criteria presented below.**

- Program Criteria A will be used to score applications for *Planning: Development of a BOA Plan*

- Program Criteria B will be used to score applications for *Predevelopment Activities and Phase II Environmental Site Assessments*.

**Program Criteria A for Planning: Development of a BOA Plan (maximum 80 points)**

- **Presence and Impact of Known or Suspected Brownfields** (maximum 12 points)
- **Indicators of Economic Distress** (maximum of 6 points)
- **Local Capacity & Partnerships** (maximum of 6 points)
- **Public and Stakeholder Support** (maximum of 6 points)
- **Economic Value** (maximum of 8 points)
- **Environmental Value** (maximum of 6 points)
- **Public Value** (maximum of 6 points)
- **Scope of Work** (maximum of 10 points)
- **Evaluation of Budget and Cost** (maximum of 20 points)

**Program Criteria B for Predevelopment Activities and Phase II Environmental Site Assessment (maximum 80 points)**

- **Strategic Opportunities to Advance Community's Vision** (maximum 12 points)
- **Indicators of Economic Distress** (maximum of 6 points)
- **Local Capacity & Partnerships** (maximum of 6 points)
- **Public and Stakeholder Support** (maximum of 6 points)
- **Economic Value** (maximum of 8 points)
- **Environmental Value** (maximum of 6 points)
- **Community Benefit** (maximum of 6 points)
- **Scope of Work** (maximum of 10 points)
- **Evaluation of Budget and Cost** (maximum of 20 points)

**Regional Economic Development Council Endorsement (maximum of 20 points)**

Each application will be scored by the Regional Economic Development Council in which the proposed project is located. Regional Councils will review applications to assess the degree to which the project helps implement the Regional Strategic Plan. The Regional Council will score applications based on a set of standards, referred to as “endorsement standards” and will assign each project a single score of 20, 15, 10, 5, or 0 (no fractions) based on merit. Regional Strategic Plans and endorsement standards can be found at <https://regionalcouncils.ny.gov/>

**AWARD METHOD:**

Each application will be reviewed for eligibility and, if determined eligible, will be scored according to the application evaluation criteria. Applications deemed ineligible will not be scored.

A total score of 100 points is possible for any application, of which 80 points is derived from program criteria and 20 points from the Regional Economic Development Council (REDC) endorsement. An application must score a minimum of 60 program criteria points out of a possible 80 points from the Department of State review to receive an award. REDC points are based on regional economic priorities and are assigned by the REDCs.

Approximately \$4 million is anticipated for award for this procurement.

**Award Methodology for Applications for Planning: Development of a BOA Plan**

Applications received for the development of a BOA Plan will be scored within this grant category and funds will be awarded in rank order, up to \$2 million. Any remaining funds from

this grant category may be utilized to fund applications received for Predevelopment Activities and Phase II Environmental Site Assessments.

#### Award Methodology for Applications for Predevelopment Activities and Phase II Environmental Site Assessments

Applications received for Predevelopment Activities and Phase II Environmental Site Assessments will be scored and funds will be awarded in rank order, up to \$3 million. Any remaining funds from this grant category may be utilized to fund applications for Development of BOA Plans.

The Department may make an award in whole or in part and may offer partial funding if a particular component is ineligible or not ready to move forward. The Department may offer partial funding to an applicant if its application cannot be fully funded within the funds remaining; if the applicant declines the partial funding, funding may be awarded to the next highest-scoring unfunded application. If an awardee fails to satisfactorily negotiate a proper contract within a reasonable period of time, that funding may be awarded to the next highest-scoring unfunded application.

In the event that another NYS agency fully funds a high scoring project through the CFA process, the awardee will receive funding from only one state agency. The Department will work with other NYS agencies to ensure that duplication of funding does not occur. If an applicant receives full funding from another agency, the Department reserves the right to award full or partial funding to the next highest scoring unfunded application.

The opportunity to be debriefed will be provided, upon request, to unsuccessful applicants. Requests must be made in writing within 15 business days of notification of status of award.

In the event unsuccessful applicants wish to protest the award resulting from this RFA, the applicants should follow the protest procedures established by the Office of the State Comptroller (OSC). These procedures can be found in Chapter XI Section 17 of the Guide to Financial Operations (GFO), available on-line at:  
<http://www.osc.state.ny.us/agencies/guide/MyWebHelp/>.

#### **SUCCESSFUL APPLICANT REQUIREMENTS:**

##### New York State Grants Gateway

Successful grant applicants will be required to register through the New York State Grants Gateway (<http://grantsreform.ny.gov>).

##### Standard Cost Reimbursement Contract

Each successful applicant will enter into a Master Grant Contract with the Department, which will include standard clauses required by the NYS Attorney General, Attachment A (including compliance with Article 15-A of the New York Executive Law), the agreed upon work plan and budget, and other applicable attachments as required. The contract will: 1) be subject to approval by the Attorney General and State Comptroller; 2) require submission of final products in both hard copy and electronic format; 3) be subject to reimbursement only upon proper documentation and compliance with reimbursement procedures and 4) subject to all contractual requirements. A copy of the Master Grant Contract including the attachments outlined above is available from the Department upon request.

To ensure that funds are awarded for projects that are ready to move forward, the Department of State reserves the right to rescind an award if the state contract is not signed and returned within an acceptable period of time. Expenses incurred prior to the start date of the state contract cannot be reimbursed.

#### Compliance with Procurement Requirements

All contracts by municipalities for service, labor, and construction involving not more than \$35,000 and purchase contracts involving not more than \$20,000 are subject to the requirements of General Municipal Law §104-b, which requires such contracts to comply with the procurement policies and procedures of the municipality involved. All such contracts shall be awarded after and in accordance with such municipal procedures, subject to the Minority or Women-Owned Business Enterprise (MWBE) requirements as set forth below and any additional requirements imposed by the State as set forth in Attachment C of the Master Contract.

The municipal attorney, chief legal officer or financial administrator of the municipality shall certify to the Department that applicable public bidding procedures of General Municipal Law §103 were followed for all service, labor, and construction contracts involving more than \$35,000 and all purchase contracts involving more than \$20,000. In the case of contracts by municipalities service, labor, and construction contracts involving not more than \$35,000 and purchase contracts involving not more than \$20,000, the municipal attorney, chief legal officer or financial administrator shall certify that the procedures of the municipality established pursuant to General Municipal Law §104-b were fully complied with, in addition to the MWBE requirements.

The municipal attorney, chief legal officer or financial administrator for the municipality shall certify to the Department that alternative proposals and/or quotations for professional services were secured by use of written requests for proposals through a publicly advertised process. This certification will verify that the procurement requirements were met and ensure the prudent and economical use of public funds for professional services of maximum quality at reasonable cost.

#### Not-for-Profit Community-Based Organizations

The chief legal officer or financial administrator of the community-based organization, which is a grant recipient and serves as State Contractor, shall certify to the State that alternative proposals and quotations for professional services were secured by use of written requests for proposals through a publicly advertised process satisfactory to meet the MWBE requirements set forth below and to ensure the prudent and economical use of public funds for professional services of maximum quality at reasonable cost.

#### Community Boards (in New York City)

Chapter 70 of the New York City Charter provides for the creation of community boards for each community district that has been established in the City. Such community boards do not exist outside of New York City.

Each community board in New York City must comply with all laws, regulations, rules and procedures that govern each such board's procurement of contracts, goods and services, and shall certify compliance with such laws, regulations, rules and procedures to the State. Community boards must also certify to the State that all applicable MWBE requirements, including those that are set forth below, have been met.

#### Record Retention and Audits

The successful applicant shall establish and maintain, in paper or electronic format, complete and accurate books, records, documents, receipts, accounts, and other evidence directly pertinent to its performance under the Master Contract with the Department of State. Payment requests may be subject to periodic reviews. The successful applicant will be required to agree to produce and retain for the balance of the term of the Master Contract, and for a period of six years from the later of the date of (i) the Master Contract and (ii) the most recent amendment of the Master Contract, any and all records necessary to substantiate upon audit, the proper deposit and expenditure of funds received under the Master Contract. Such records may include, but not be limited to, original books of entry (e.g., cash disbursements and cash receipts journal), and the following specific records (as applicable) to substantiate the types of expenditures noted (i) personal service expenditures: cancelled checks and the related bank statements, time and attendance records, payroll journals, cash and check disbursement records including copies of money orders and the like, vouchers and invoices, records of contract labor, any and all records listing payroll and the money value of non-cash advantages provided to employees, time cards, work schedules and logs, employee personal history folders, detailed and general ledgers, sales records, miscellaneous reports and returns (tax and otherwise), and cost allocation plans, if applicable, (ii) payroll taxes and fringe benefits: cancelled checks, copies of related bank statements, cash and check disbursement records including copies of money orders and the like, invoices for fringe benefit expenses, miscellaneous reports and returns (tax and otherwise), and cost allocation plans, if applicable, (iii) non-personal services expenditures: original invoices/receipts, cancelled checks and related bank statements, consultant agreements, leases, and cost allocation plans, if applicable, (iv) receipt and deposit of advances and reimbursements: itemized bank stamped deposit slips, and a copy of the related bank statements.

#### Minority and Women-Owned Business Enterprise Participation

Applicants must submit the MWBE Compliance Form with their application confirming their understanding of the MWBE requirement and agreeing to show due-diligence and make good faith efforts to provide meaningful participation by MWBE's, whenever possible, if awarded the contract. See RFA Appendix 1 for all contractor requirements and procedures for participation by New York state-certified minority and women-owned business enterprises, equal employment opportunities for minority group members and women, and service-disabled veteran-owned businesses for more information (page 24).

#### Contract Period

Subject to the continued availability of funds in the budget, the contract period shall not exceed five years from the start of the project. No extensions are anticipated. The earliest start date of

contracts is April 1, 2022. Special consideration for extensions due to extreme extenuating circumstances will only be granted on a case-by-case basis.

#### Satisfactory Progress

It is imperative that the grant recipient complete the project as set forth in the agreed upon work plan program of the contract. Failure to render proof of satisfactory progress or to complete the project to the satisfaction of the State may be deemed an abandonment of the project and may cause the suspension or termination of any obligation of the State. Satisfactory progress toward implementation includes, but is not limited to, executing contracts and submitting status reports and payment requests in a timely fashion, retaining consultants, written certification of compliance with procurement requirements, and completing plans, designs, reports, or other tasks identified in the work plan within the time allocated for their completion. The Department may recapture awarded funds if satisfactory progress is not being made on the implementation of the awarded project. Applicants should not submit applications if they do not expect to initiate the project within a reasonable period of time and/or will not be able to complete the project within the time period cited in the application.

#### **ADDITIONAL RESOURCES:**

The Request for Applications and additional resource materials are available on the Department of States Funding & Bid Opportunities website at <https://dos.ny.gov/funding-bid-opportunities>. Updates and/or modifications to the RFA, along with answers to written questions received, will be posted on the website.

Questions can be submitted by email to [opd@dos.ny.gov](mailto:opd@dos.ny.gov) with the subject line "22-BOA-2 RFA Questions". Questions will be accepted until June 17, 2022. Responses will be posted on July 8, 2022. No responses will be provided to inquiries made by telephone, social media, or by contacting DOS staff directly via email or telephone.

It is recommended all applicants review the final responses. The responses to questions received during this time period will be official responses by the Department to questions and will be incorporated into this Request for Applications.

Webinars which provide an overview of the application process and program requirements are available at <http://regionalcouncils.ny.gov/>.

# New York State Canal Corporation

## Canalway Grants Program

Funding Available: Up to \$1 million

### **DESCRIPTION:**

The Canalway Grants Program distributes up to \$1.0 million in competitive grants available to eligible municipalities, and 501(c)(3) non-profit organizations along the New York State Canal System for canal related capital projects. The minimum grant request amount is \$25,000. The maximum grant request is \$150,000. Grant administration and pre-development costs cannot exceed 10% of the grant award amount (these costs may be used as part of the applicant match though, with no cap). Grant awardees must complete projects within two-years of grant award.

The Canalway Grant Program is administered by the NYS Canal Corporation, a subsidiary of the New York Power Authority (NYPA).

### **FUNDING PRIORITIES AND SELECTION CRITERIA:**

Funding priority will be given to projects that address one or more of the Canalway Grant Program's priority focus areas (see below). Regional Council Endorsement should also be considered by applicants as it will carry 20% weight in the final project selection process. A final scoring and ranking of project applications will be based on a weighted score determined by the Canalway Grant Program Scoring Committee.

### **Strategic Alignment**

- The project addresses strategic priorities, goals, and connections between the canal and the corresponding region consistent with the Reimagine the Canals initiative (<https://www.ny.gov/programs/reimagine-canals-initiative>).
- The project addresses strategic priorities consistent with Regional Economic Development Councils Strategic Plans (<http://regionalcouncils.ny.gov/>).
- The project strategically enhances or creates new assets that are consistent with NYS Canal's On the Canals Program (<http://www.canals.ny.gov/onthecanals>).

### **Project Support and Advocacy**

- The project has demonstrated and documented support from local/regional residents and other canal stakeholders.
- The applicant/project has or will receive written project endorsement from local, regional, and/or state leaders and other stakeholders. Examples of common letters of endorsement may include but are not limited to those from NYS local, county, or state elected officials; Native American tribal leaders; local canal advocacy groups; and other organizations/individuals who may be crucial to the project's implementation and continued success.

### **Implementation and Project Readiness**

- The project be completed within 2-Years of award notification.
- Some or all pre-development work has been completed by the awardee or other project stakeholders.
- The project has a schedule with detailed project phases (i.e. start/finish of any design and predevelopment work, construction work, etc.) and milestones, and identifies parties responsible for project oversight and implementation.
- There are no concerns with gaining timely permits or other approvals from federal, state, and local agencies, such as the U.S. Army Corps of Engineers, NYS Department of

Environmental Conservation, NYS State Office of Parks, Recreation and Historic Preservation, and/or any others that may be required by the NYS Canal Corporation.

### **Effectiveness and Impact**

- The project includes or incorporates diversity, equity, and inclusion initiatives making the canal more accessible to those with disabilities or others who may have not been able to access the canal or its amenities in the past.
- The project promotes increased recreational use on the canal.
- The project is located within an environmental justice area.
- The project activates, restores, or enhances historic assets or other infrastructure that are significant to the Canal.
- The project promotes new visitors to the canal and/or encourages multi-day stays.
- The project is consistent with and/or promotes local or statewide sustainability goals and initiatives.
- The project enhances connectivity along adjacent trails, or directly to the Canal in areas that traditionally have not had access.
- The project promotes resiliency against environmental challenges.
- The project is consistent with the principles of universal design (i.e., the project would be usable by all people (including those with disabilities), to the greatest extent possible, without the need for adaptation of specialized design.

### **Financial Viability and Funding Leveraged**

- The project costs are reasonable, reflective of recent cost estimates, and include adequate project contingencies for unanticipated project costs.
- Project funding has been identified for long term operation and maintenance work.
- The project will stimulate private and/or public investment from other sources in the community and/or region.
- A viable and accessible grant match is clearly demonstrated in the project grant budget.
- The project leverages funding from other state grant initiatives focused on waterfront, community, and recreational development. Examples may include, but are not limited to: The NYS Department of State “Local Waterfront Revitalization Program” (LWRP), the NY Department of State Downtown Revitalization Initiative (DRI), and the NYS Department of Parks Recreation, and Historic Places Environmental Protection Fund Grant Program and Recreational Trails Program.
- The project would still be financially viable if other state grant funding sources were not secured.

### **ELIGIBLE TYPES OF APPLICANTS:**

Municipalities

Not-for-profit Corporations. Not-for-profit corporations are covered under New York State's Not-For-Profit Corporation Law. In order to apply under this program, a not-for-profit corporation must have proof of incorporation (or equivalent document) from the NYS Department of State or NYS Board of Regents, a charities registration number from the NYS Office of the Attorney General, and proof of tax-exempt status under the Internal Revenue code).

### **EXAMPLES OF ELIGIBLE PROJECTS:**

Eligible canal capital project expenses include, but are not limited to: Constructing new boat launches, buildings, trail sections, trail connections or structures; Creative placemaking, wayfinding, and signage concepts; Substantial renovations or preservation of existing buildings, trail segments, or other structures, including reconfigurations (removal or construction of walls, ceilings and flooring, windows, window frames, hulls); Site preparation and improvements



associated with a project (excavation, demolition, roadways, sidewalks, exterior lighting, sprinkler systems, utility hook-ups); Acquisition of furnishings, fixtures, machinery and equipment with a useful life in excess of five years including signs and interpretive exhibits, constructing or rehabilitating docks or bulkheads for the purpose of public access to and from the Canal System; Hazardous waste clean-up associated with a project, Retrofitting infrastructure or amenities related to energy efficiency initiatives.

#### **INELIGIBLE ACTIVITIES:**

- Use of grant funds for land acquisition is prohibited (however the costs of acquisition may be used as a local match).
- Grant funds cannot be used to cover operating expenses.

#### **PRE-APPLICATION REQUIREMENTS:**

##### **Boundary Eligibility**

Projects must be located along one of the four canals of the Canal System (Erie, Champlain, Oswego and Cayuga-Seneca), trail linkages or connections to existing Canalway Trail segments, or the historic canal alignment.

##### **Matching Funds**

Applicants must demonstrate a 50% match which will be required on all grants and must be fully documented. NY Canal Corporation/NYPA funds may not be used towards matching funds. Eligible matching funds include federal, local, private and other agency or state funding. Principal types of applicant share are:

- **Cash:** Includes grants other than this grant request.
- **Force Account** (Payroll of applicant): Itemize according to job title or job assignment (on project). At the time of the reimbursement request, grant recipients will be required to document time worked, tasks, pay ratio and payment (including components and percentage of fringe benefit rate).
- **Professional Services:** The value of services provided by professional and technical personnel and consultants. Three-year retroactivity applies.
- **Supplies and Materials:** The current market value of items warehoused (not yet installed). Three-year retroactivity applies; use value current at time items were obtained.
- **Volunteer Labor:** Skilled and professional labor can be computed at the job rate. The value for labor (unskilled labor and work performed by professionals or skilled laborers in an area outside of their area of expertise) of an adult (18 and over) donating time to a project may be computed up to the amount identified as the Value of Volunteer Time for New York State at [http://www.independentsector.org/volunteer\\_time](http://www.independentsector.org/volunteer_time)  
(For example, a lawyer donating legal services may compute the value based on the standard billing rate, but the value for the same lawyer donating time painting walls will be computed up to the amount identified as the Value of Volunteer Time for New York State).
- **Equipment Usage:** Compute the value according to its fair market rental value in project location.
- **Real Property:** The value of all property acquired, donated or converted from other purposes should be included in the project schedule. One year retroactivity applies to all three categories.

### **GRANT REIMBURSEMENT:**

Grant funds will be provided on a reimbursement basis **ONLY**. Receipts, invoices and other documentation must meet the requirements of the Canal Corporation. Reimbursement will only be provided for projects or portions of a project initiated **after** the date of the grant award letter from the Canal Corporation. Projects may be initiated prior to receipt of the award letter, and **matching expense** documentation will be accepted for expenses up to one year prior to the date of the award letter, but reimbursement will **only** be provided for portions of the project initiated **after** the date of the award letter. Reimbursement payments **will not** be issued prior to final contract execution.

### **SUCCESSFUL APPLICANT REQUIREMENTS:**

The applicant is responsible for obtaining all required permits and approvals from federal, state, and local agencies, such as the U.S. Army Corps of Engineers, NYS Department of Environmental Conservation and NYS State Office of Parks, Recreation and Historic Preservation, and any others that may be required by the NYS Canal Corporation.

For projects proposed by a municipality, the municipality will be lead agency for purposes of the State Environmental Quality Review Act (SEQRA) or will be responsible for initiating lead agency designation procedures, if there are other involved agencies. For new projects initiated after receipt of the grant award letter, the Canal Corporation shall be an involved agency. The municipality shall meet the procedural and substantive requirements of SEQRA and all other state, federal or local law, rules, regulations, ordinances, codes and requirements.

For non-profit organizations, the Canal Corporation will determine whether it will proceed as lead agency, initiate the lead agency designation process, or refer lead agency to the local municipality. If the project is a Type I or Unlisted Action, the Environmental Assessment Form will be required prior to contract for award. If a Determination of Significance has been established, documentation will be required prior to contract for award

### **GENERAL OPERATING, LIABILITY, and FINANCIAL CONSIDERATIONS:**

Canal Corporation assistance toward the costs of the project shall not exceed 50% of the approved project cost. The Canal Corporation shall not be responsible for any increases in the total project costs beyond the grant approval amount indicated in the award letter from the Canal Corporation.

Maintenance and operation of facilities receiving grants will be the responsibility of the applicant. All successful applicants will be required to enter into a formal contract and agree to other legal documents with the Canal Corporation to ensure the long-term protection of the property and also restrict changes in the use of the property. A preservation covenant or conservation easement must be conveyed for work involving historic resources.

The liability for projects constructed, owned and maintained by awardees on real property not under the jurisdiction of the Canal Corporation will remain with the grant awardees. Projects on Canal Corporation real property must be designed and constructed with Canal Corporation approval and in accordance with engineering and design standards of the Canal Corporation. Projects must provide for public safety and must not interfere with canal operations or navigation. Projects will be required to meet all applicable insurance requirements. Projects on Canal Corporation real property may require the purchase, lease or permitting of the real property from the Canal Corporation, in accordance with all applicable laws and regulations and the Canal Corporation's "Canal Real Property Management Policy" and standard operating procedures.

Project plans must be reviewed and approved by the Canal Corporation before advertisement or contract letting. Every project must comply with all applicable local, state and federal laws, rules, regulations, requirements, ordinances and codes.

**ADDITIONAL RESOURCES**

NYS Canal Corporation website:

[www.canals.ny.gov](http://www.canals.ny.gov)

Canalway Grant Program Website

<http://www.canals.ny.gov/community/grant.html>

**Questions? Eligible applicants can contact:**

Andy Marzo

Program Manager

[Andrew.Marzo@NYPA.Gov](mailto:Andrew.Marzo@NYPA.Gov)

# New York State Energy Research and Development Authority

## **NYSERDA Carbon Neutral for Economic Development**

**Funding Available: Up to \$10 million available**

### **DESCRIPTION:**

The New York State Energy Research and Development Authority (NYSERDA) has \$10 million of incentives available to support regionally significant, carbon neutral economic development projects in New York State. All projects must demonstrate that the project will achieve carbon neutral or net zero energy performance, or will provide significant emissions reductions at large facilities. Projects should also demonstrate how they will help achieve the goals of the Regional Economic Development Council's (REDC's) Strategic Plan.

For Category A and Category B, only sites that pay into the System Benefits Charge ("SBC") are eligible to apply. To be an SBC eligible project, the project must be a New York State electricity distribution customer of one of the following utilities: Central Hudson Gas & Electric Corporation, Consolidated Edison Company of New York, Inc., New York State Electric & Gas Corporation, National Grid, Orange and Rockland Utilities, Inc., and Rochester Gas and Electric Corporation. Projects located in Long Island are not eligible for this funding. Category C will consider projects that can provide significant economic development and decarbonization benefits to the State. Projects applying to Category C are not required to pay into the SBC.

Projects may apply under one of the three following categories, however NYSERDA may or may not choose to award funding in all Categories:

### **Category A:**

The Carbon Neutral Community Economic Development Program provides eligible New York State commercial, industrial, institutional, municipal and mixed-use applicants with incentives on a competitive basis, for the construction of, or renovation to existing, buildings designed to achieve carbon neutral or net zero energy performance. Projects must demonstrate as part of their proposal how the project is replicable to a large number of similar buildings and how the approach is cost effective and reliable.

Incentives are available for the incremental cost of planning, design, construction, and installation of all technologies (as compared to the cost to build/renovate to a code compliant standard) utilized to achieve carbon neutral or net zero energy performance. Eligible projects may also include the decarbonization of an existing central plant. Project awards will be up to 60 percent of eligible costs or \$2,000,000, whichever is less.

### **Category B:**

The Carbon Neutral Community Economic Development Program provides eligible communities and owners of large real estate portfolios in New York State (e.g., communities, neighborhoods, campuses or large-scale private developers) with incentives on a competitive basis, for the planning, energy modeling and design necessary to convert the proposed building portfolio to achieve carbon neutral or net zero energy performance. There is no restriction for building types eligible under this category.

Incentives are available for the cost of planning, energy modeling, design, technical analysis, and other soft costs as approved by NYSERDA, of community-level, campus, or large private developer projects to achieve carbon neutral or net zero energy performance. Project awards will be up to 75 percent of the eligible costs, with a minimum project award amount of

\$1,000,000 and a maximum project award amount of \$2,000,000. To qualify for this Category, projects must include at least 500,000 square feet (of new construction or rehabilitation), or a total project implementation cost of at least \$50 Million.

Category C:

The Carbon Neutral Community Economic Development Program provides eligible New York State large commercial, industrial, or institutional applicants with incentives on a competitive basis, for the design, construction of, or renovation to existing campus or buildings to significantly reduce their greenhouse gas or greenhouse gas equivalent emissions. Projects must demonstrate as part of their proposal how the project is regionally significant and will provide statewide impacts.

Incentives are available for the incremental cost of planning, design, construction, and installation of all technologies to reduce emissions or greenhouse gas equivalent emissions. Eligible projects may also include the decarbonization of an existing central plant or the modification of industrial processes to significantly reduce emissions related to the process. Project awards will be up to 60 percent of eligible costs or \$2,000,000, whichever is less.

**Application Submission**

No communication intended to influence this procurement is permitted except by contacting the designated contact Lori Borowiak at (518) 862-1090, ext. 3004 or by e-mail [LoriNC@nyserda.ny.gov](mailto:LoriNC@nyserda.ny.gov). If you have contractual questions concerning this solicitation, contact Venice Forbes at (518) 862-1090, ext. 3507 or [VeniceSolicitations@nyserda.ny.gov](mailto:VeniceSolicitations@nyserda.ny.gov). Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

**ELIGIBLE TYPES OF APPLICANTS:**

Eligible Applicants include, but are not limited to:

- Industrial and manufacturing facilities
- Commercial Facilities
- Warehouses and Distribution Centers
- Restaurants, Breweries, Vineyards, and Distilleries
- Retail (must show alignment with Regional Priorities)
- Food Processing Facilities
- Colleges and Universities
- Healthcare Facilities
- Agricultural Facilities
- Municipalities (Local Government)
- State Agencies & Other State Government
- Not-for-profit Corporations
- Private Developers
- Mixed Use Facilities

The eligible Applicant for Category A projects is defined as the Site Owner. The eligible applicant for Category B projects is defined as the Site Owner when the entire project site is owned by a single entity. However, for Category B projects that have multiple Site Owners, the eligible Applicant may be the municipality, a business district, community organization, or other entity that can represent the combined interests of the site owners within the community. To be accepted as an aggregator of

multiple site owners within the community, the aggregator must have letters of commitment from the site owners being represented.

**Carbon Neutral-ready (carbon neutral)** - A project that excludes all fossil fuels from the building systems and equipment qualifies as carbon neutral. Building systems and equipment at a minimum refers to building heating, ventilating and air conditioning (HVAC), domestic hot water (DHW), kitchen, laundry, and other appliances. Projects that rely on a fossil fuel fired generator for emergency use only, or projects which are served by an off-site fossil fuel-fired central heating plant, may at NYSERDA's sole discretion qualify as carbon neutral if fossil fuel use is excluded from all other building systems and equipment. NYSERDA, at its sole discretion, will consider exemptions to the carbon neutral rule for process and other unregulated loads on the site on a case-by-case basis.

## **ELIGIBLE ACTIVITIES / PROGRAM BENEFIT REQUIREMENTS:**

### Category A:

Carbon neutral performance, for Category A projects, will support a building(s) or Central Plant that is highly efficient, has no use of fossil fuels (excluding emergency generation) and its operation does not contribute to carbon emissions. For Category A projects choosing to pursue net zero energy performance, project performance will be defined as a highly energy-efficient, has no use of fossil fuels, and where the actual annual energy used on-site is less than or equal to the on-site renewable energy produced. The use of fossil fuels on site will result in a project not achieving carbon neutral or net zero energy performance, however, if fossil fuels must be utilized for a project due to energy requirements for an industrial process or for unregulated loads, NYSERDA may consider an exemption at its sole discretion. To be considered, the Applicant must explain the rationale for continuing to use fossil fuels and demonstrate that there is not a fossil fuel free equipment or process that can replace the fossil fuel usage (commercial kitchens will be required to be all-electric). In this instance, NYSERDA will consider the project's use of the US Department of Energy's publication of [A Common Definition for Zero Energy Buildings](#) in determining eligibility based on off-setting carbon-emitting fuels with additional renewable energy production. Any renewable energy that is not co-located on the same site as the project site will not be considered part of the eligible project costs.

Electric vehicle (EV) charging stations are strongly encouraged to be included in projects. However, it is not required that loads related to EV charging be included in the determination of net zero energy performance.

Incentives will be paid for the incremental cost to design and build the project to carbon neutral or net zero energy performance above the cost of building or renovating to the applicable New York State Energy Conservation Construction Code (e.g., the cost of installing a ground source heat pump to heat and cool the building, less the cost of installing a code-minimum heating and cooling system, etc.). The calculation of incentives will include all design and technologies that contribute to the building achieving carbon neutral or net zero energy performance (e.g., energy efficiency, renewable energy, battery storage, electric vehicle charging infrastructure, etc.), less incentives for clean heating or renewable energy systems provided by NYSERDA or utility programs. Applicants selected for award under this opportunity, will be ineligible to apply for other NYSERDA or utility energy-related incentives for new construction or energy analysis measures, and will not be eligible for New York State Homes and Community Renewal's (HCR) Clean Energy Incentive. Applicants applying for NYSERDA's Carbon Neutral Community Economic Development Program incentives must clearly describe the scope, schedule and budget for the project. The proposal should also include description of how the balance of the project will be funded or financed.

While NYSERDA may at its discretion consider some design costs that occur prior to award to be eligible, all physical work conducted to make capital improvements to the facility prior to an award will not be eligible for cost-sharing. Costs associated with work or analysis conducted to submit a proposal to this program are not eligible for reimbursement.

Applicants must commit to marketing and public awareness efforts regarding the carbon neutral attributes of their project. As such, the applicant is required to submit a marketing plan that will be implemented by the proposer, if selected, and explain how the plan will generate public interest in and demand for advanced clean energy and climate resilient buildings beyond and in addition to NYSERDA's promotional activities. Selected proposers are expected to cooperate with NYSERDA in the development of other promotional materials, such as but not limited to website, magazine articles, books, blogs, or videos. NYSERDA credits the project name, site owner(s) in all promotional material. Awardees are expected to participate in presentations. NYSERDA reserves the right to brand and market the winning projects as NYS Carbon Neutral Community Economic Development projects or a similar reference.

#### Category B:

Carbon neutral performance, for Category B projects, will support highly energy efficient facilities that have no on-site use of fossil fuels (excluding emergency generation) and the operation of the facilities do not contribute to carbon emissions. For Category B projects choosing to pursue net zero energy performance, project performance will be defined as highly energy-efficient, fossil fuel free facilities within a project boundary where the actual annual energy used within the project boundary is less than or equal to the renewable energy produced within the project boundary. If the project site cannot accommodate some or all of the renewable energy for the project loads within the project boundary, the Applicant may propose to study the use of long-term contracts for off-site renewable electricity generation (the electricity generated as part of these contracts must end up in the New York Control Zone to be considered as part of the project).

If fossil fuels must be utilized for a facility within the boundary due to energy requirements for an industrial process or for unregulated loads, the Applicant must explain the rationale for continuing to use fossil fuels and demonstrate that there is no fossil fuel free process that can replace the fossil fuel usage (commercial kitchens will be required to be all-electric). In this instance, it is expected that the project will include a study of renewable energy measures in accordance with the project's use of the US Department of Energy's [Common Definition of Zero Energy Buildings](#) based on off-setting carbon-emitting fuels with additional renewable energy production.

Electric vehicle (EV) charging stations are strongly encouraged to be included in communities, campuses, and large portfolio developments. However, it is not required that loads related to EV charging be included in the determination of net zero energy performance.

Incentives will be paid for the incremental cost to plan and/or design a Community, Campus, or large real estate portfolio project to achieve carbon neutral or net zero energy performance. It is expected that all projects that receive planning and design funds through Category B of this program will apply to NYSERDA and utility programs at a future date for incentives to co-fund the actual installation costs of project measures, as applicable. However, projects shall not apply to NYSERDA or utility programs for planning, design, or analysis work included in the scope of work through this program, if selected. Applicants applying for NYSERDA's Carbon Neutral Community Economic Development Program incentives must clearly describe

the scope, schedule and budget for the project. The proposal should also include description of how the balance of the project will be funded or financed.

Applicants must commit to marketing and public awareness efforts regarding the carbon neutral attributes of their project. As such, the applicant is required to submit a marketing plan that will be implemented by the proposer, if selected, and explain how the plan will generate public interest in and demand for advanced clean energy and climate resilient buildings beyond and in addition to NYSERDA's promotional activities. Selected proposers are expected to cooperate with NYSERDA in the development of other promotional materials, such as but not limited to website, magazine articles, books, blogs, or videos. NYSERDA credits the project name, site owner(s) in all promotional material. Awardees are expected to participate in presentations. NYSERDA reserves the right to brand and market the winning projects as NYS Carbon Neutral Community Economic Development projects or a similar reference.

It is expected that Applicants applying for Category B funding shall make a public commitment to decarbonize their community, campus, or large real estate portfolio, to publicize their pursuit of a carbon neutral goal, if the project is awarded through this program.

#### Category C:

Carbon, emissions and greenhouse gas equivalent reductions for Category C projects, will support a large customer to be highly efficient or significantly reduce the use of fossil fuels (excluding emergency generation) or reduce greenhouse gas equivalent emissions related to a manufacturing process.

Incentives will be paid for the incremental cost to plan, design and build the project to achieve the stated emissions reductions. The calculation of incentives will include all design and technologies that contribute to the building achieving the proposal's stated emissions reduction goals. Projects applying under this Category may be considered for incentives for planning through implementation, or may more limited in scope such as just the planning or implementation of the project. Applicants selected for an award under this opportunity, will be ineligible to apply for other NYSERDA or utility energy-related incentives for the same measures or work. Applicants applying for NYSERDA's Carbon Neutral Community Economic Development Program incentives must clearly describe the scope, schedule and budget for the project. The proposal should also include description of how the balance of the project will be funded or financed.

While NYSERDA may at its discretion consider some design costs that occur prior to award (but must be subsequent to the issuance of the solicitation) to be eligible, all physical work conducted to make capital improvements to the facility prior to an award will not be eligible for cost-sharing. Costs associated with work or analysis conducted to submit a proposal to this program are not eligible for reimbursement.

Applicants must commit to marketing and public awareness efforts regarding the carbon neutral attributes of their project. As such, the applicant is required to submit a marketing plan that will be implemented by the proposer, if selected, and explain how the plan will generate public interest in and demand for advanced clean energy and climate resilient buildings beyond and in addition to NYSERDA's promotional activities. Selected proposers are expected to cooperate with NYSERDA in the development of other promotional materials, such as but not limited to website, magazine articles, books, blogs, or videos. NYSERDA credits the project name, site owner(s) in all promotional material. Awardees are expected to participate in presentations. NYSERDA reserves the right to brand and market the winning



projects as NYS Carbon Neutral Community Economic Development projects or a similar reference.

## **GRANT FUNDS MAY BE USED FOR COSTS ASSOCIATED WITH THE FOLLOWING CATEGORIES**

### Category A:

- Planning, Design, Energy Modeling and Integrated Project Delivery
- Energy Efficiency Improvements
- Upgrades and Appliances Necessary for Electrification
- On-site Renewable Energy Systems (photovoltaics, wind, or solar thermal), less applicable program incentives
- Advanced Controls to Enable Building-Grid Interactivity
- Ground Source or Air Source Heat Pumps, less applicable program incentives
- Electric Vehicle Charging Stations, less applicable program incentives
- Battery and Thermal Storage Systems, less applicable program incentives
- Commissioning
- Decarbonization of Central Plants
- Or other efficiency or renewable energy technologies, as determined by NYSERDA.

### Category B:

- Master/Comprehensive/Site Plan as it pertains to design and energy performance
- Design as it pertains to energy performance or other work necessary to achieve a carbon neutral site
- Energy Modeling, Benchmarking and Technical Analysis
- Development of Zoning Ordinances
- Creation of Bid Documents
- Technical Guidelines & Training for overseeing the installation of energy efficiency measures, renewable energy, energy storage and electric vehicle charging infrastructure
- Case Studies

### Category C:

- Planning, Design, Energy Modeling and Integrated Project Delivery
- Energy Efficiency Improvements
- Upgrades and Appliances Necessary to reduce or eliminate the use of fossil fuels for central plants or manufacturing processes
- Upgrades and appliance necessary to reduce or eliminate greenhouse gas or greenhouse gas emissions equivalent that are associated with manufacturing processes
- Advanced Controls to Enable Building-Grid Interactivity
- Ground Source or Air Source Heat Pumps, less applicable program incentives
- Battery and Thermal Storage Systems, less applicable program incentives
- Commissioning
- Decarbonization of Central Plants
- Or other efficiency, fossil fuel reduction, or technologies, as determined by NYSERDA

### All Applicants:

At NYSERDA's sole discretion, NYSERDA may determine additional costs to be eligible if the Applicant is able to demonstrate to NYSERDA's satisfaction that these additional cost categories were specifically necessary to achieve net zero energy or carbon neutral performance as compared to what

would have been necessary to complete a project that complied with New York State Energy Conservation Construction Code, or otherwise result in significant CO<sub>2</sub> savings at the site.

## **SUCCESSFUL APPLICANT REQUIREMENTS:**

Successful Applicants will work with NYSERDA to develop a detailed and site-specific scope of work, schedule and project budget.

### Category A:

The Scope of Work will need to provide detailed information on the proposed comprehensive design to accommodate all building systems, unregulated energy loads, and renewable energy systems that will result in carbon neutral or net zero energy performance. Expenses incurred on upgrades made to existing buildings prior to submission of a Consolidated Funding Application (CFA) are not eligible expenses in the CFA project budget, however design-related expenses may be considered.

Proposed projects must be comprehensive in nature, and proposals of a nature that are single system or limited in scope may be deemed as ineligible if existing NYSERDA or utility programs are intended to support that single system project (e.g., projects only installing solar).

### Category A: Scope of Work must include the following:

- A. *Description of Facility:* Please include a full description of the facility, including but not limited to, if the proposed facility is new construction, change of use, or existing building; the building use; energy demands; and the status of design. If the project will be completed provide a description of the comprehensive scope that will be undertaken to achieve carbon neutral or net zero energy performance, including the all-electric building systems, all energy efficiency measures of the project, water conservation strategies, renewable energy systems, storage, electric vehicle charging equipment, etc. Applicants should describe how energy modeling will be used to inform the design of the project.
- B. *Project Budget:* the project budget must identify the costs of carbon neutral or net zero energy performance as it relates to section B, inclusive of design, engineering, energy modeling, installation and commissioning. The project budget must clearly identify the incremental cost of getting to carbon neutral or net zero energy, above standard building practices, as well as available incentives for clean heating and renewable energy systems. The proposal should also include description of how the balance of the project will be funded or financed.
- C. *Project Timeline:* anticipated date for construction documents, construction start date, and construction complete date. If the project will be phased, provide a timeline for start and completion of each phase.
- D. *Project Marketing Plan:* The proposer should describe how they intend to market and promote the project, including the sharing of information that could be useful to the industry. Additional and relevant information may include but should not be limited to information about the project design, the construction and operational processes, strategies to reduce costs, project costs that are either absolute or comparative, financing strategies, additional construction details, or lessons learned.

### Category B:

The Scope of Work will need to identify the site boundary for the project, and provide the goals for the community, campus, or large private development project, inclusive of how those goals will be publicly committed to. The scope of work will need to identify how the carbon neutral or

net zero energy aspect of the project will be planned and implemented, identify the building types that are anticipated to be included in the project (new and existing buildings), as well as the existing and anticipated renewable energy systems for the project. The project budget for this category must identify the carbon neutral or net zero energy related planning costs of the project.

Category B: Scope of Work must include the following:

- A. *Description of Campus/Community/Large Portfolio project:* Identify the project boundary, or provide a map of the project site(s). Identify the existing buildings, buildings expected to change use or undergo gut renovations, and the proposed new construction over the course of the project timeline; building uses; energy demands; and the status of the Planning and Design development of the project.
- B. *Carbon Neutral or Net Zero Energy Performance:* provide a description of the comprehensive scope that will be undertaken to convert the facilities within the boundary to all-electric systems to achieve carbon neutral or net zero energy performance for the large-scale development, identify what is needed to plan the project, how will the plan be implemented, and who is responsible for the enforcement of the plan, etc.
- C. *Project Budget:* the project budget must identify the costs of Planning and Design development for carbon neutral or net zero energy performance as it relates to section B, inclusive of planning, design development and performance criteria, engineering and technical analysis, and validation. The proposal should also include description of how the balance of the project will be funded or financed.
- D. *Project Timeline:* anticipated timeline for project planning and design development, as well as the anticipated project construction start date, and construction complete date.
- E. *Carbon Neutral Commitment:* describe how the Applicant will make a public commitment to pursuing carbon neutral performance.
- F. *Project Marketing Plan:* The proposer should describe how they intend to market and promote the project, including the sharing of information that could be useful to the industry. Additional and relevant information may include but should not be limited to information about the project design, the planning processes, strategies to reduce costs, project costs that are either absolute or comparative, financing strategies, additional analysis or technical details, or lessons learned.

Category C:

The Scope of Work will need to provide detailed information on the proposed design or facility or process upgrades to achieve the emissions reductions bring proposed. Expenses incurred on upgrades made to existing buildings prior to submission of a Consolidated Funding Application (CFA) are not eligible expenses in the CFA project budget, however design-related expenses may be considered.

Proposed projects must be regionally significant and be able to describe statewide benefits of the project and be able to achieve significant emissions reductions.

Category C: Scope of Work must include the following:

- A. *Description of Facility:* Please include a full description of the facility, including but not limited to, if the facility is new construction, change of use, or existing building(s); campus, or manufacturing site; the building use; energy demands; and the status of design. If the project will be completed in phases for multiple buildings or sections within a building, provide a description of each project phase.
- B. *Emissions Reduction Goals:* provide a description of the scope that will be undertaken to reduce emissions, and detail the types of emissions reduced. The proposal must

include prior and end state energy consumption by fuel type and emissions by emissions-type. Applicants should describe how energy modeling will be used to inform the design of the project.

- C. *Project Budget*: the project budget must identify all costs as it relates to section B of the proposal, inclusive of design, engineering, energy modeling, installation and commissioning. The project budget must clearly identify all sources of funding for the full project.
- D. *Project Timeline*: anticipated date for construction documents, construction start date, and construction complete date. If the project will be phased, provide a timeline for start and completion of each phase.
- E. *Project Marketing Plan*: The proposer should describe how they intend to market and promote the project, including the sharing of information that could be useful to the industry. Additional and relevant information may include but should not be limited to information about the project design, the construction and operational processes, strategies to reduce costs, project costs that are either absolute or comparative, financing strategies, additional construction details, or lessons learned.

#### All Applicants:

Successful Applicants must be able to clearly state in the project proposal how the project is aligned with the applicable REDC's Strategic Plan, and/or Regional/State Priorities, such as how the project is aligned with the Region's Economic Clusters. NYSERDA, at its sole discretion, may choose to award projects in either Category, that are designed to meet another high performing standard.

NYSERDA, at its sole discretion, may choose to award highly replicable projects in Category A where only a portion of the building is seeking carbon neutral or net zero energy performance. In this instance, projects must demonstrate that the loads for that portion of the building will be separated from the other portions of the building, and the installed renewable energy system will be sized appropriately for those anticipated loads.

NYSERDA, at its sole discretion, may choose to not award projects in any one or all funding categories. Upon NYSERDA selection for an award, NYSERDA will issue an Agreement for the project's estimated/eligible award amount.

#### **FUNDING PRIORITIES:**

NYSERDA is most interested in supporting projects where the benefits of those projects are occurring in Disadvantaged Communities. Applicants may use NYSERDA's locator map to determine if a site is located within a Disadvantaged Community: <https://www.nyserda.ny.gov/ny/Disadvantaged-Communities>.

NYSERDA is seeking to support carbon neutral projects that are highly replicable in New York State, based on the project being cost effective, having lower operating costs, utilizing commercially available solutions, the economic viability of the project type, and potential for similar projects to follow the example of the awarded project

#### **INELIGIBLE APPLICANTS AND ACTIVITIES:**

##### Category A:

- Heavy Industrial Facilities,
- Projects that include hydro-electric power,
- Carbon capture or sequestration activities,

- Projects or measures that intend to export power (e.g., community solar or exporting to the grid for profit)
- Sites that do not pay into the System Benefits Charge, and
- Applicants may not obtain incentives through this program for measures installed before an application is approved.

Category B:

- Applicants receiving an award from this opportunity may not obtain incentives through other NYSERDA or utility programs for any of the same planning or design work conducted under this program, however, it is assumed that applicants will be eligible for and receive utility and NYSERDA incentives for the capital costs associated with implementation,
- Sites that do not pay into the System Benefits Charge, and
- Applicants may not obtain incentives through this program for planning and design development, or measures installed, before an application is approved

Category C:

- Applicants receiving an award from this opportunity may not obtain incentives through other NYSERDA or utility programs for any of the same work conducted under this program,
- Applicants may not obtain incentives through this program for measures installed before an application is approved,
- Projects or measures that intend to export power (e.g., community solar or exporting to the grid for profit)

**SELECTION CRITERIA:**

An Application is eligible to receive a total final score of 100, of which 80 percent is derived from the NYSERDA review criteria below and 20 percent is allocated to the applicable REDC. The REDC rates the degree to which the project aligns with the REDC's Strategic Plan.

In addition to the criteria noted below, NYSERDA shall have the discretion to consider additional factors in determining the relative merits of projects, demonstration of replicable carbon neutral or net zero energy projects, or other factors determined to advance carbon neutral or net zero energy construction in New York State.

Program Policy Factors:

- There is diversity of technologies, approaches, and/or methods utilized to achieve carbon savings,
- There is diversity among awardee sectors and industries,
- There is geographic diversity among awardees,
- The applicant is located in an area of natural gas resource constraint, and
- There are of alternate sources of financial support available via other programs funded by the Systems Benefit Charge (e.g. traditional utility programs).

**Regional and State Economic Development and Energy Strategies:**

- Alignment with the REDC's stated Economic Clusters or Strategic Plan;
- Contributes to Priority Issue Areas, including but not limited to:
  - Disadvantaged Communities: The Climate Leadership and Community Protection Act (CLCPA) requires state agencies, authorities, and entities to direct funding in a manner designed to achieve a goal for disadvantaged communities to receive forty

- percent of overall benefits of spending on clean energy and energy efficiency programs, <https://www.nyserda.ny.gov/ny/Disadvantaged-Communities>,
- Downtown Revitalization Initiative and Strategic Community Investment: Priority consideration will be given to proposals which demonstrate they will advance downtown revitalization and strategic place making through transformative housing, economic development, transportation and community projects that will attract and retain residents, visitors and businesses - creating dynamic neighborhoods where tomorrow's workforce will want to live, work, and raise a family. Projects should reflect the general principles of smart growth and sustainable development, and
  - Health Across All Policies/Age-Friendly NY: This funding also supports Governor Cuomo's initiative to advance Health Across All Policies/Age-Friendly NY ([Executive Order 190](#)), a collaborative approach that integrates health considerations into policymaking and program development across all sectors to improve community health and wellness. To encourage the economic and civic strengths of the aging population and to incorporate the social needs and desires of aging New Yorkers, NYSERDA will promote economic development that improves community health and wellness and supports age-friendly communities. Projects that favorably impact the ability of individuals to continue living in their homes and communities in a manner consistent with their abilities, and approaches that build toward a future in which every New Yorker can enjoy wellness, longevity, and quality of life in strong healthy communities are encouraged to describe in detail how the project addresses age-friendly inclusion.

**Performance Measures:**

- The estimated energy performance of the project, including all building systems, unregulated loads and renewable energy systems;
- The applicant's commitment to meet the carbon neutral or net zero energy performance standard;
- Whether the project will include integrated design principals, or will be designed to meet third-party performance validation standards (e.g., Passive House certification, Living Buildings Challenge, LEED Zero, etc.); and
- Whether the project is technically feasible, innovative, and superior to alternatives

**Cost Effectiveness:**

- The estimated return on investment that the project identified in the application will generate (energy savings, lower operating costs, productivity, improved work environment) for the project cost; and
- Whether the proposed incremental cost of the project is justified and competitive

**Replicability:**

- Whether the design and construction utilizes materials and equipment that is commercially available;
- Whether the project scope is highly replicable for similar development projects within the Region or the State;
- Whether the project type and sector are economically viable in the current market;
- The degree of project readiness and likelihood of completion, including, where applicable for real estate development projects, if there are identified tenants for a completed project; and
- The degree of the Applicant's financial viability and strength of financials/operating history/credit score.

### **Resiliency and Embodied Carbon:**

- Design features to address occupant comfort and health and safety; durability, and sustainability. Additionally, features related to reducing the project's embodied carbon and global warming potential such as the proposed building materials, construction methods or refrigerant gases intended to be used in mechanical systems shall be described;
- Strategies to ensure the low-carbon building strategies, the building itself, and its occupants are resilient to future climate impacts; including strategies such as raising critical system components above flood levels; creating areas of refuge within the building for occupants to shelter in place during heat events, power outages, or flooding; ensuring adequate passive survivability (e.g., the building will maintain safe thermal conditions in the event of an extended power outage or loss of heating fuel, or backup power will satisfy critical loads); or other resilience-enhancing strategies. The specific climate risk should be identified (e.g., more intense heat waves), and how the proposed strategy will increase resilience by addressing that risk should be described in detail. For any buildings in the 500-year flood zone or that are otherwise at risk of current or future flooding, flood-mitigation measures should be incorporated into the design; at a minimum, critical system components should be raised above the 500-year flood elevation unless an alternative flood-mitigation plan to protect those critical components is proposed, and ultimately determined to be acceptable during the awarded project's contracting process, at NYSERDA's sole discretion; and
- For guidance on managing future flood risk, refer to the State [Flood Risk Management Guidance](#). For guidance on climate change and climate resilience, refer to the [ClimAID climate projections](#) for New York State, the New York [Adapting Buildings for a Changing Climate](#) website, and the [NYC Climate Resiliency Design Guidelines](#).

### **AWARD CRITERIA DETAILS:**

- An initial screening for eligibility will be conducted several weeks after the close of the CFA. Applicants that are determined to not meet basic eligibility criteria will be informed at that time that they are not eligible for further consideration of this program for this year.
- Notice of a funding award will be given in the form of a contract outlining the terms of the proposed assistance. Project funding may only be used for expenses incurred after the date that notice of the funding award is given. Applicants are strongly encouraged to review and countersign NYSERDA's Agreement prior to starting the project.
- All Applicants will be required to certify and agree that any decrease in the scope of work described in the Applicant's final CFA submission including, but not limited to, total project costs, may result in NYSERDA's reduction of the award, in NYSERDA's sole discretion, in an amount proportionate to any such decrease.
- All Applicants will be requested to certify and agree that any expansion of the scope of work described in the Applicant's final CFA submission including, but not limited to, total project costs, may not result in an increase of the award, consideration of scope changes will be at the sole discretion of NYSERDA.
- Please note that awarded grants are transferable at the sole discretion of NYSERDA.
- It is expected the project will proceed in the time frame set forth by the Applicant. If the implementation of a project fails to proceed as planned and is delayed for a significant period of time and there is, in the exclusive judgment of NYSERDA, doubt as to its viability, NYSERDA reserves the right to cancel its funding commitment to such project. NYSERDA

reserves the right to require Recipient to provide any additional information and/or documentation NYSERDA deems necessary and terminate the project at any point if the applicant fails to provide such documentation in a timely manner.

- All required public approvals must be in place prior to the start of construction and installation of renewables, including State Environmental Quality Review (SEQR) and consultation with the State Historic Preservation Office, if applicable. Physical work on a NYSERDA-funded project may not be started prior to the completion of any necessary environmental, historic and/or smart growth review.
- Grant funds originally awarded to projects that have since been cancelled or terminated will be repurposed for economic development projects by NYSERDA at its discretion in consultation with the REDCs.
- ELIGIBLE AREA, CITY, COUNTY POPULATION LIMITS OR POPULATION TARGET TYPES: Applicants to Category A and Category B in REDC regions must be contributing to the System Benefits Charge (SBC) on their electric utility bill in order to be eligible. Distribution customers of the six major New York State electric utilities (Central Hudson Gas & Electric Corporation, Consolidated Edison, New York State Electric & Gas Corporation, National Grid, Orange and Rockland Utilities, Inc., and Rochester Gas and Electric Corporation) may contribute to the SBC.
- LIMITATIONS:
  - For most Category A applications, NYSERDA will contribute up to sixty percent (60%) of the eligible carbon neutral or net zero energy design and construction costs, up to \$2,000,000, based on an approved Scope of Work,
  - For Category B applications, NYSERDA will contribute up to seventy-five percent (75%) of the eligible carbon neutral or net zero energy planning and design costs, up to \$2,000,000, based on an approved Scope of Work,
  - For Category C applications, NYSERDA will contribute up to sixty percent (60%) of the eligible carbon neutral or net zero energy planning and design costs, up to \$2,000,000, based on an approved Scope of Work,
  - An independent third-party energy consultant is required for all projects,
  - Energy standards developed by NYSERDA for existing Standard Offer programs, such as NY Sun and Charge NY, including the use of eligible installers, will be required for awarded projects, and
  - Post-construction monitoring and verification of performance is required for all awarded projects.
- LONG RANGE GOALS: NYSERDA's goal is to increase the economic competitiveness of facilities by providing technical and financial support for the implementation of cost-effective energy efficiency and renewable energy technologies.
- PROJECT TERM COMPLETION DATES: Financial incentives are based upon the predicted cost of planning, design and/or construction to achieve carbon neutral or net zero energy performance, as determined in the approved Scope of Work.
  - Category A: NYSERDA will provide payments of incentives in at least three designated stages during the design and construction of the project: 1) Design Complete/ Buildings Department Approval; 2) 50% construction complete, with delivery of systems equipment on-site; and 3) when construction is complete,



- Category B: NYSERDA will provide payments for time and materials on a monthly or quarterly basis, and
  - Category C: NYSERDA may provide payments of incentives on a monthly or quarterly basis if the project scope is limited to planning and design work, or in at least three designated stages if the project is design and construction: 1) Design Complete/ Buildings Department Approval; 2) 50% construction complete, with delivery of systems equipment on-site; and 3) when construction is complete.
- **MATCHING FUND REQUIREMENTS / DEADLINES:** The Applicant will pay the remaining percentage of the total project cost of the design and construction of the project.
  - All projects must include cost-sharing in the form of matching cash support from the Applicant. In-kind contributions of any type are not allowed as matching funds.
  - NYSERDA reserves the right to extend and/or add funding to the Solicitation should other program funding sources become available.

**ADDITIONAL RESOURCES:**

For more information, applicants should contact the New York State Energy Research and Development Authority, 17 Columbia Circle, Albany, New York 12203, call (518) 862-1090 ext 3004, email [LoriNC@nyserdera.ny.gov](mailto:LoriNC@nyserdera.ny.gov) or visit: <https://www.nyserdera.ny.gov/>.

## **NYSERDA Commercial and Industrial (C&I) Carbon Challenge**

**Funding Available: Up to \$15 million available**

### **DESCRIPTION**

The New York State Energy Research and Development Authority (NYSERDA) has \$15 million of incentives available in two categories to support decarbonization project portfolios for large Commercial and Industrial customers across New York State. All projects must demonstrate carbon emissions savings and be installed within a 3-year implementation period. Eligible projects include, but are not limited to, energy efficiency improvements, retrofits, clean heating and cooling, carbon capture, utilization and storage, industrial process emission reduction, and on-site renewable energy systems. The purpose of the funding available in this program is to achieve cost-effective carbon emission reduction by providing large customers with flexible funding streams.

The Commercial and Industrial (C&I) Carbon Challenge provides eligible New York State commercial, industrial, and institutional applicants with incentives on a competitive basis. Applicants are required to identify a carbon savings goal and the projects they will complete to meet that target. Available awards range from \$500,000 to \$5 million. Award amounts are determined by the size of the carbon savings goal.

Projects may qualify under one of the two following categories:

### **Category A - \$10 million in funding available**

Proposals in which 30% or more of the applicant's carbon savings come from low-carbon fuels, carbon capture, utilization, and storage, industrial process emission reduction, and/or beneficial electrification projects

- Beneficial electrification is defined for the purposes of this program as the utilization of electricity for activities that would otherwise consume fossil fuels.
- Industrial process emissions are those generated from physical or chemical changes to materials in the manufacturing process, unrelated to the consumption of energy
- Applicants will indicate on Attachment B whether a particular project is a category A eligible project, but the ultimate determination of whether a project fits this designation is at NYSERDA's sole discretion.

### **Category B - \$5 million in funding available**

All other proposals fall into Category B.

NYSERDA reserves the right to move funding from one category to another based upon proposal submissions.

### **APPLICATION SUBMISSION**

In addition to the CFA Application, Applicants to this program will be required to complete additional required attachments:

- Attachment A, Clean Energy Action Plan - The Clean Energy Action Plan serves as the keystone document for tracking the overall strategic approach of the Applicant throughout the C&I Carbon Challenge program. It will be used to document goals; track timelines and key metrics including costs, savings, and personnel requirements; provide high level overviews of project implementation planning and ongoing progress; and detail measurement and verification approaches as projects are finalized.

- Attachment B, Project Savings Tracker – This calculation and tracking tool is meant to assist Applicants in determining their carbon savings goal and the value of their award. Each project included in the Clean Energy Action Plan must be included on this spreadsheet.
- Attachment C, Data Collection Form

These attachments can be found at <https://www.nyserda.ny.gov/cicc>.

### **APPLICATION QUERIES**

No communication intended to influence this procurement is permitted except by contacting Sean Mulderrig at (212)-971-5342, ext. 3804 or by e-mail [sean.mulderrig@nyserda.ny.gov](mailto:sean.mulderrig@nyserda.ny.gov) (for technical questions). If you have contractual questions concerning this solicitation, contact Nancy Marucci (Designated Contact) at (518) 862-1090, ext. 3335 or [nancy.marucci@nyserda.ny.gov](mailto:nancy.marucci@nyserda.ny.gov). Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

### **ELIGIBLE TYPES OF APPLICANTS**

Eligible Applicants include, but are not limited to:

- Colleges and Universities
- Food and Beverage Processing
- Health Care Facilities
- Manufacturing
- Mining and Extraction
- Municipal Facilities
- Not-For-Profit and Private Institutions
- Office Buildings
- Public and Private K-12 Schools
- Retail
- State and Local Governments
- Warehouse and Distribution Facilities
- Wastewater Treatment Plants

While third party advisors or consultants are permitted to assist in preparing applications, they are not an eligible applicant.

Applicants implementing projects for customers or at 3rd party sites in order to scale the impact of an emissions reduction solution will be eligible provided they meet all application eligibility requirements.

### **PRE-APPLICATION REQUIREMENTS**

- All participating sites identified in the proposal must pay the electric SBC;
- Work conducted prior to the execution of an Agreement between NYSERDA and the applicant is not eligible for cost-reimbursement;
- New construction and expansion projects are not eligible for this program; and
- The applicant must have an average monthly peak electric demand of 3 MW or greater.
  - This is calculated by averaging the monthly peak demand over the 12-month period preceding the submission of this application. This demand requirement can be met by a single applicant site or aggregating the demand of multiple applicant sites across New York State.
- Projects must be performed on systems with a remaining useful life of at least six years.

If selected to receive an award, applicants may be asked to provide additional proof to show that they meet the electric demand requirements.

Work conducted prior to the execution of an Agreement between NYSERDA and the Applicant is not eligible for cost-reimbursement.

### ELIGIBLE ACTIVITIES / PROGRAM BENEFIT REQUIREMENTS

Grant funds may be used for any energy or industrial-process related projects that can reduce carbon emissions. These actions include, but are not limited to:

- Energy Efficiency Improvements
- On-site Renewable Energy Systems (photovoltaics, wind, or solar thermal)
- Ground-Source or Air-Source Heat Pumps
- Electrification of Thermal Loads
- Carbon Capture, Utilization, and Storage
- Process Emission Reduction
- Low-Carbon Fuel Use
- Other efficiency or renewable energy technologies.

For certain carbon reduction measures, awardees will be required to meet NYSERDA minimum quality standards and work with NYSERDA approved participating contractors, where applicable.

More information on approved contractors can be found here:

<https://www.nyserda.ny.gov/Contractors/Find-a-Contractor>.

Selected applicants will work with NYSERDA to develop a 4-year contract agreement commencing in 2022. All carbon reduction projects must be installed within 3 years of agreement execution. The final year will be used to complete any outstanding measurement and verification (M&V), if necessary, and determine final project results.

Awards are determined by the size of the carbon savings goal. As the amount of carbon saved increases, the financial incentives increase. For each ton of carbon reduced, NYSERDA will provide funding according to a marginal rate schedule shown below.

Category A	
mtCO2e	\$ per mt CO2e
0 - 25,000	\$20.00
25,000 - 60,000	\$22.00
60,000 - 125,000	\$24.00
125,000 - 200,000	\$26.00
200,000+	\$28.00

Category B	
mtCO2e	\$ per mt CO2e
0-50,000	\$11.00
50,000 - 80,000	\$15.00
80,000 - 150,000	\$17.00
150,000 - 250,000	\$22.00
250,000 - 375,000	\$25.00
375,000+	\$26.00

Here is an example of how the award size is calculated: an applicant submits a proposal under Category A that sets a target of reducing 130,000 tons of CO2 equivalent. The overall award equals

$$(25,000\text{mt} \times \$20) + (35,000\text{mt} \times \$22) + (65,000\text{mt} \times \$24) + (5,000\text{mt} \times \$26) = \$2,960,000$$

To provide Applicants with flexible funding, up to 70% of the overall award will be made available as project costs are incurred. NYSERDA and awardees will use the Clean Energy Action Plan and monthly meetings to document expected costs and determine funding requirements, ensuring disbursements are proportional to all project costs anticipated through the Clean Energy Action Plan and align with progress toward carbon savings goal. Participants will be required to provide NYSERDA with invoices for incurred costs and remittance of payment will be at the discretion of the Project Manager.

All remaining funds will be awarded upon completion of M&V conducted by a third-party evaluator and will be subject to readjustment based on the participant's performance relative to their stated carbon savings goal according to the marginal rate schedule.

Projects that receive an award under the C&I Carbon Challenge program will not be eligible to apply for any other efficiency or renewable energy incentives from NYSERDA or the proposer's utility. However, Applicants that are not awarded incentives through this competitive selection process may be eligible to participate in other NYSERDA or utility programs as applicable.

NYSERDA will have discretion to accept only a portion of the submitted portfolio of projects for funding. Any individual project(s) not selected for funding will still be eligible for alternative NYSERDA or utility incentive program funding

### **SUCCESSFUL APPLICANT REQUIREMENTS**

Selected C&I Carbon Challenge awardees will be expected to work closely with NYSERDA in updating, refining and implementing Clean Energy Actions Plans over the term of the program. Each program participant will receive the benefit of a dedicated NYSERDA Project Manager. The Project Manager will work with participants to track progress, provide feedback and guidance on measures to be implemented, and coordinate cross-collaboration with participants and NYSERDA external resources when necessary or requested.

Both the Clean Energy Action Plan and the Project Savings Tracker will be required to be updated on a bi-annual basis, at a minimum. The originals of these documents submitted in this application will serve as the initial document to which all revisions will be applied. Updates will encompass the following:

- Indication of instances where estimates have been revised or implementation plans have been altered
- A brief summary of all Clean Energy Actions taken to date
- A detailed account of progress on completed measures, including:
  - Project Costs
  - Estimated Savings
  - Verified & Realized Savings
  - Upcoming Measurement and Verification actions
- Identification of new measures, if applicable

### **SELECTION CRITERIA**

An Application is eligible to receive a total final score of 100, of which 80 points are derived from the NYSERDA review criteria below and 20 points are allotted by the applicable Regional Economic Development Council. The REDC rates the degree to which the project aligns with the REDC's Strategic Plan.

Proposals that meet solicitation requirements will be reviewed by a Scoring Committee using the Evaluation Criteria below **listed in order of importance**. After proposals are reviewed, NYSERDA

will issue a letter to each proposer indicating the proposal evaluation results. NYSERDA reserves the right to adjust awards and related carbon goals based on available funding.

**1. Project Plan (25 points)**

- Does the proposed plan and approach utilize well established means of implementing energy efficiency and/or distributed energy resource projects? Does the proposed approach utilize technologies or solutions that have proven themselves in the marketplace? How does the proposal help the applicant meet their long-term sustainability goals? Can projects feasibly be completed according to the proposed schedule? Does the personnel identified to work on projects possess the experience necessary to ensure success? Are adequate means of tracking project metrics and schedules in place?

**2. Project Analysis (20 points)**

- Does the proposer demonstrate a thorough investigation of potential measures and sound reasoning for selecting their proposed approach? How thoroughly have projects been scoped? What level of analysis has been completed? Is the methodology for determining energy savings or generation provided and well detailed? Are assumptions disclosed? Are project costs reasonable and based on customer experience and/or market intelligence? Have projects in the proposal been examined in a NYSERDA FlexTech study or an investment grade audit?

**3. Experience (15 points)**

- Does the proposer have a codified institutional or corporate social responsibility framework? Does the proposer have a demonstrated record of sustainable planning and implementation? Has the proposer set specific sustainability goals and is there a track record of achieving them? Is there an emissions reduction target in place? Has the proposer traditionally undertaken energy efficiency or distributed energy resource projects? Are adequate personnel resources in place to deliver on sustainability goals?

**4. Project Scale (10 points)**

- How many metric tons of carbon equivalent will the applicant reduce? What level of cost-sharing will be required by NYSERDA?

**5. Disadvantaged Community Impacts (10 points)**

- Will the proposal offer benefits to disadvantaged communities?

In addition to the criteria noted above, NYSERDA shall have the discretion to consider additional factors in determining the relative merits of projects to illustrate innovative carbon-reducing strategies in New York State. NYSERDA may also consider the following program policy factors in making award decisions:

- The applicant's contribution to the System Benefits Charge;
- There is diversity of technologies, approaches, and/or methods utilized to achieve carbon savings;
- There is diversity among awardee sectors and industries;
- There is geographic diversity among awardees;
- The applicant is located in an area of natural gas resource constraint; and
- There are of alternate sources of financial support available via other programs funded by the Systems Benefit Charge (e.g. traditional utility programs).

**AWARD CRITERIA DETAILS**

- An initial screening for eligibility will be conducted several weeks after the close of the CFA. Applicants that are determined to not meet basic eligibility criteria will be informed at that time that they are not eligible for further consideration of this program for this year.

- Notice of a funding award will be given in the form of a contract outlining the terms of the proposed assistance. Project funding may only be used for expenses incurred after the date of contract execution. Applicants are strongly encouraged to review and countersign NYSERDA's Agreement prior to starting the project.
- All Applicants will be required to certify and agree that any decrease in the scope of work described in the Applicant's final CFA submission including, but not limited to, total project costs, may result in NYSERDA's reduction of the award, in NYSERDA's sole discretion, in an amount proportionate to any such decrease.
- All Applicants will be requested to certify and agree that any expansion of the scope of work described in the Applicant's final CFA submission including, but not limited to, total project costs, may not result in an increase of the award, consideration of scope changes will be at the sole discretion of NYSERDA.
- Please note that awarded grants are transferable at the sole discretion of NYSERDA.
- NYSERDA expects projects to proceed in the time frame set forth by the Applicant. If the implementation of a project fails to proceed as planned and is delayed for a significant period of time and there is, in NYSERDA's exclusive judgment, doubt as to its viability, NYSERDA reserves the right to cancel its funding commitment to such project. NYSERDA reserves the right to require Recipient to provide any additional information and/or documentation NYSERDA deems necessary and terminate the project at any point if the applicant fails to provide such documentation in a timely manner.
- All required public approvals must be in place prior to the start of construction and installation of renewables, including State Environmental Quality Review (SEQRA). Physical work on a NYSERDA-funded project may not be started prior to the completion of any necessary environmental review.
- Grant funds originally awarded to projects that have since been cancelled or terminated may be repurposed for economic development projects by NYSERDA at its discretion in consultation with the REDCs.

#### **ADDITIONAL RESOURCES**

For more information, applicants should contact Sean Mulderrig at the New York State Energy Research and Development Authority, 17 Columbia Circle, Albany, New York 12203, call (518) 862-1090 ext 3804, email [sean.mulderrig@nyserda.ny.gov](mailto:sean.mulderrig@nyserda.ny.gov) or visit: <https://www.nyserda.ny.gov/All-Programs/Programs/CI-Carbon-Challenge>.

# New York Power Authority

## ReCharge New York

Amount available: Up to 17.9 Megawatts (availability as of 4/1/22)

### DESCRIPTION

ReCharge New York (RNY) is a statewide economic development power program designed to retain or create jobs through allocations of lower cost electricity to businesses and Not-for-Profit Corporations. There is also power available to be allocated to businesses that plan to expand operations in the state or are looking to relocate to New York State. The RNY power program is a valuable tool for promoting economic development within the state. Businesses and Not-for-Profit Corporations are eligible to apply. The program is not available to sports venues, retail businesses, gaming or entertainment related establishments, and places of overnight accommodations.

Allocations of ReCharge New York power will be awarded based on a competitive application process based on legislative criteria. Recommended allocation awards must be approved by the Economic Development Power Allocation Board and the New York Power Authority Board of Trustees. Allocations of RNY power (in kW) will be delivered after the execution of a contract. The contract could be a term of up to seven years and will specify employment commitments and other terms and conditions for retaining the RNY power allocation.

For more information, eligible applicants should call the ReCharge New York Hotline at 888-JOBSNYS (888-562-7697) or email [PoweringBusiness@nypa.gov](mailto:PoweringBusiness@nypa.gov). More program information can be found at [www.nypa.gov/recharge](http://www.nypa.gov/recharge).



New York State Energy Research and Development Authority (NYSERDA)

**Regional Clean Energy Hubs to Advance an Inclusive Clean Energy Economy  
Mohawk Valley Region**  
Request for Proposal (RFP) 4630  
**Up to \$3,302,944 Available**

*NYSERDA reserves the right to extend and/or add funding to the Solicitation should other program funding sources become available.*

Proposals Due: May 26, 2022, by 3:00 p.m. Eastern Time\*

The New York State Energy Research and Development Authority (NYSERDA) seeks proposals from qualified organizations or teams of organizations,<sup>1</sup> to serve as Regional Clean Energy Hub in the Mohawk Valley region of the state, to provide community-based support to advance an inclusive clean energy economy, with a focus on [disadvantaged communities](#)<sup>2</sup> (herein the “Regional Clean Energy Hub”). Achievement of the nation-leading energy, environmental, and equity objectives of the [Climate Leadership and Community Protection Act \(“Climate Act”\)](#) will require engagement of all of New York’s residents and communities. Further, the Climate Act establishes a goal of 40% of the benefits associated with clean energy and energy efficiency investments to be directed to disadvantaged communities.

Investment in the establishment of the Regional Clean Energy Hub (“Hub”) is intended to build capacity at the local level and position disadvantaged communities to participate in and benefit from the clean energy economy. Under this initiative, the Hub will leverage multidisciplinary partnerships to:

- Connect community members to clean energy and related programs/resources;
- Improve energy literacy among residents; advance solutions to address local barriers in accessing clean energy programs and otherwise engaging in the clean energy economy;
- Conduct stakeholder engagement and elevate the needs and priorities of disadvantaged communities in the development of NYSERDA and other clean energy initiatives; and
- Advance diversity in the clean energy workforce by connecting residents and small business with resources and training opportunities that can lead to jobs.

Organizations interested in providing services under this RFP should present their plan and proposed approach for achieving the goals of this RFP, as outlined herein. **NYSERDA expects proposers to establish firm partnerships and have subcontracts to deliver the services in this RFP.** Proposals must demonstrate existing partnerships or the ability to develop and nurture multidisciplinary partnerships, outline the relevant qualifications and experience of team members; and demonstrate an ability to effectively manage a team or teams to deliver the services outlined in the RFP. NYSERDA has established a Clearinghouse for organizations to identify their interest in partnering in either the proposal to establish a Hub and/or in the delivery of services under this RFP. Additional details on the Clearinghouse are provided below.

<sup>1</sup> Where teaming arrangements are presented, the team should include a community-based organization in the lead role in the proposal and in the strategic direction of providing services resulting from this RFP.

<sup>2</sup> For purposes of this solicitation, the term disadvantaged communities also refer to hard to reach, underserved rural communities, and other areas with high levels of poverty and limited access to resources.

**Clearinghouse:**

To support a teaming arrangement for a proposal to the RFP and to facilitate partnerships in delivery of services, a [Clearinghouse](#) has been created and is available on NYSERDA's website. These organizations expressed their interest in teaming on a proposal with a Hub in the delivery of services. **Proposals that do not include meaningful teaming arrangements with local and other organizations within their region will not be favorably evaluated, and NYSERDA does not anticipate any organization being successful in delivering these services independently.** Use of the Clearinghouse does not guarantee or disqualify an award or selection as part of a proposing team under this solicitation. Teaming arrangements and partnerships are at the discretion of the individual organizations; however, the RFP does require proposers to demonstrate partnerships with key organizations within the Mohawk Valley region.

**Informational Webinars:** A pre-recorded informational webinar titled "[Regional Clean Energy Hub Clearinghouse](#)" and a recording of the [Clearinghouse Q&A](#) webinar are posted to NYSERDA's webpage.

**Pre-Bid Webinars** – NYSERDA hosted two informational webinar October 6, 2021 and December 7, 2021 titled "Regional Clean Energy Hubs to Advance an Inclusive Clean Energy Economy" to provide information about the solicitation. The [slide decks and recordings, as well as a Frequently Asked Questions \(FAQ\) document](#) are available for viewing on the web.

**Proposal Submission:** Online submission is preferable. **Proposers shall submit documents in the same format in which they were provided this includes but it not limited to documents provided in Word, Excel, or PDF files (file formats include csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip).** Individual files should be 100MB or less in file size. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer's entity name and the region for the proposal in the title of the document. For detailed instructions on how to submit a proposal (online or paper submission), click the link "[Application Instructions and Portal Training Guide \[PDF\]](#)" located in the "Current Opportunities" section of NYSERDA's website (<https://www.nysерda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted except by contacting Designated Contacts: Lori Clark (518) 862-1090 ext. 3202 or Jessica Ortiz (212) 971-5342 ext. 3019 or [cleanenergyhub@nysерda.ny.gov](mailto:cleanenergyhub@nysерda.ny.gov). If you have contractual questions concerning this solicitation, contact Venice Forbes at (518) 862-1090, ext. 3507 or [Venicesolicitations@nysерda.ny.gov](mailto:Venicesolicitations@nysерda.ny.gov)

Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

**\* All proposals must be received by 3 p.m. Eastern Time on the date noted above. Late, faxed, or emailed proposals will not be accepted. Incomplete proposals may be subject to disqualification.** It is the proposer's responsibility to ensure that all pages have been included in the proposal. Please note for online submission, there are required questions that you will have to answer in addition to uploading attachments and you should allot at least 60 minutes to enter/submit proposals. The online proposal system closes promptly at 3 p.m. Eastern Time, files in process or attempted edits or submission after 3 p.m. Eastern Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on the "Current Opportunities"

section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

## I. INTRODUCTION

New York’s transition to a cleaner, more affordable, and equitable clean energy economy under the Climate Act holds significant potential to benefit communities through job creation and other opportunities for economic development, improved health, and well-being for residents by reducing fossil-fuel emissions, and improved resilience to extreme weather events. Achievement of the energy and environmental objectives of the Climate Act, as well as the goal that 40% of the benefits associated with clean energy and energy efficiency investments are directed to disadvantaged communities, will require engagement and participation from across all sectors of the economy. However, disadvantaged communities have historically faced barriers to participating in and benefiting from the emergent clean energy industry. Issues such as limited access to resources, a history of disinvestment and deferred maintenance within neighborhoods, systemic racism and injustice have narrowed opportunities for members from these communities to make clean energy improvements, gain employment in the clean energy industry, or enjoy the associated benefits. Further, small businesses, Minority and Women Owned Enterprises (“MWBE”) and Service-Disabled Veteran-Owned Businesses (“SDVOB”), and affordable property owners can face similar challenges in accessing resources and opportunities.

To advance an inclusive clean energy economy and position disadvantaged communities, to better engage in and benefit from the economy, NYSERDA will build on previous engagement efforts conducted under the Green Jobs – Green New York Program and the Community Energy Engagement Program<sup>3</sup> and invest in the development of Regional Clean Energy Hubs (“Hubs”).<sup>4</sup> The Hubs will build capacity at the local level by leveraging multidisciplinary partnerships within their region from across various sectors including clean energy, social service, housing, economic development, health, and academics to provide a holistic approach for meeting the energy and climate justice needs of the regional communities. One (1) Hub will be established in the Mohawk Valley region. The Hub will:

- Coordinate a network of existing service providers.
- Deploy Energy Advisors within each region to connect community members to clean energy and related programs and resources.
- Implement outreach campaigns and coordinate with existing outreach campaigns and other targeted outreach activities.
- Improve energy literacy among residents.
- Advance solutions to address local barriers in accessing clean energy programs and otherwise engaging in the clean energy economy.
- Conduct stakeholder engagement and elevate the needs and priorities of disadvantaged communities in the development of NYSERDA and other clean energy initiatives.

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<sup>3</sup> On October 9, 2009, the Green Jobs - Green New York Act of 2009 (the Act) was signed into law. The \$6M GJGNY Community Based Organization (CBO) Outreach initiative launched in 2011 and deployed 11 constituency-based organizations to assist in regional outreach services throughout New York State (NYS). These organizations were responsible for recruiting residential, small business, Not-for-Profit, and multifamily building owners into NYSERDA programs that offer the GJGNY audits and financing, as well as potential workers from disadvantaged communities into NYSERDA’s workforce development programs. The Community Energy Engagement Program (CEEP) launched in 2017, awarded approximately \$5.5 million to deploy Community Energy Advisors (CEAs) in the 10 regions of NYS to conduct engagement activities to New York State residents, small businesses, and multifamily building owners, with an emphasis on LMI households and communities. These CEAs focus on improving energy affordability and increasing deployment of distributed energy resources for community members of all income levels.

<sup>4</sup> NYSERDA partnered with over thirty community-based organizations during the summer of 2020 on a co-design effort to identify gaps in current engagement initiatives and highlight necessary components to build local capacity to effectively meet New York State’s energy, environmental, and equity objectives. This co-design effort informed the development of the Regional Clean Energy Hubs initiative.

- Advance diversity in the clean energy workforce by connecting residents and small business with resources and training opportunities that can lead to jobs.
- Otherwise serve the functions outlined in this solicitation.

Through this RFP, NYSERDA is seeking proposals from qualified organizations to serve as a Hub and lead coordination efforts within the Mohawk Valley region to provide the services as described herein. While the Hub is expected to provide regionally-specific community-wide services, inclusive of residents of all income levels, small business, and affordable property owners, the primary focus of the Hub efforts should be on advancing an inclusive clean energy economy, with a primary focus on building capacity to improve engagement and access to resources for members of disadvantaged communities. Through direct engagement, capacity building, and in collaboration with partners throughout the region, the Hubs will accomplish the following goals:

- Increase awareness of and access to clean energy solutions and opportunities.
- Increase consumer uptake of clean energy projects, with support for accessing wrap around (non-energy) services and resources.
- Advance local capacity to engage with community members about clean energy policy, technologies, and opportunities.
- Increase public participation in energy planning and program coordination activities.
- Increase partnerships with clean energy partners, affordable housing providers, non-energy partners, third-party funding providers, philanthropic organizations, etc. that result in scalable activities and projects.
- Increase the diversity of participating contractors in the clean energy sector; and
- Support career pathways for individuals currently residing in disadvantaged communities or from priority populations, through partnerships with training, education, and clean energy businesses for employment opportunities in the clean energy workforce.

It is expected that successful outreach, engagement, and capacity building will require review and calibration of efforts over time, as market conditions evolve, and the Hub successfully identifies barriers and opportunities within communities. As such, NYSERDA will establish a Regional Clean Energy Hub Advisory Group (“Advisory Group”) to regularly review progress of the Hub, share best practices, and provide recommendations to NYSERDA and the Hub. Recommendations from the Advisory Group will be vetted and approved by NYSERDA in coordination with the Hub for feasibility and potential impact before adoption. As opportunities to improve or build on Hub services are identified, or as market or NYSERDA priorities warrant, additional support, and funding from NYSERDA may be added throughout the contract period. This includes but is not limited to additional funding for pilot activities or community-wide campaigns.

## **DEFINITIONS**

The following terms and definitions are provided to ensure consistency in the development of a proposal in response to this RFP:

*Career Pathways Partnership:* regional partnership that supports resource and program alignment to enhance existing formalized career pathways, partnerships with potential employers, and other workforce development opportunities to improve alignment between and linkages among community-

based training providers, educational institutions, and employers around employment and career development opportunities.

[Clean Energy Communities \(CEC\)](#): a NYSERDA program that provides grants, coordinator support, and a clear path forward to local governments that demonstrate leadership by completing NYSERDA-selected high-impact actions.

[Clean Heating and Cooling Communities](#): a NYSERDA program that supports communities in implementing multi-year community-based outreach and education campaigns aimed at getting groups of homes and businesses in New York State to install clean heating and cooling technologies.

[Climate Smart Communities \(CSC\)](#): a New York State Department of Environmental Conservation (DEC) Certification program which recognizes municipalities for taking climate action by offering technical assistance, grants, and rebates for communities to help reduce harmful emissions, build resilience to climate change, and thrive in the new resilient green economy.

*Community-Based Organization*: For purposes of this initiative, a Community-Based Organization refers to a public or private organization aimed at making desired improvements to a community's social health, well-being, and overall functioning, and represents a community or significant segments of a community; and provides services to individuals in the community, based on input from community members.

*Contractor(s)*: refers to the organization(s) successfully awarded contract(s) through this solicitation.

*Energy Advisor*: refers to a locally based representative with a demonstrated strong presence in their county(ies) and region(s) hired by Contractor(s) and approved by NYSERDA to effectively provide the services requested in this RFP. Energy Advisors will be part of the project team responsible for providing services throughout the entire region. Energy Advisors must live, work or perform services within the region they propose to serve. Energy Advisors can be employees or subcontractors to the primary Contractor.

*Energy Professional*: a contractor, installer, or consultant that performs assessments or installation of energy efficiency or renewable energy measures through programs including, but not limited to, Assisted Home Performance with ENERGY STAR®, EmPower New York, Weatherization Assistance Program (WAP), Home Energy Assistance Program (HEAP), NYS Clean Heat, NY-Sun, Renewable Heat NY, Multifamily Performance Program, Flextech, Comfort Home, and other clean energy programs.

*Equitable Stakeholder Engagement*: refers to identifying and engaging diverse stakeholders, with an emphasis on disadvantaged communities that have historically not been effectively engaged in development and planning of programs and policies to ensure all communities can participate in and benefit from the transition to a clean energy economy.

*Hub Director*: refers to staff responsible for managing the Hub team, ensuring professionalism and an appropriately skilled Energy Advisor network, submitting all project deliverables.

*Hub Services*: the work performed by Contractor(s) awarded funding under this RFP, to manage and provide community-based outreach and engagement to individuals, small businesses, non-profits, and affordable property owners, and other services as described in the RFP.

**MWBE:** Minority and/or Women-owned Business Enterprise

*Partners:* groups, organizations, companies and/or individuals working within an economic development region that Hubs will collaborate with to deliver services, as outlined in this RFP. For contracting purposes, if a funding or resourcing agreement exists between a Hub and a partner organization, the organization should be identified as a subcontractor in the proposal. Partners are not considered subcontractors or entities receiving compensation through a contract with NYSERDA but will actively work with a Hub in the region.

*Partnership:* strategic relationships created by the Contractor and/or its subcontractor organization(s) with the goal of extending NYSERDA's outreach and engagement to disadvantaged communities that does not involve a contractual relationship with the Contractor under the Regional Clean Energy Hub initiative. A partnership is characterized by demonstrated activity, including but not limited to cross promotion of programs or services, cross-referrals, support of capacity building activities in the community, support with accessing wrap-around resources, etc.

*Priority Populations:* As defined by NYSERDA's [Clean Energy Workforce Development](#) program.

*Region:* one of the [ten \(10\) economic development regions](#) as defined by the New York State Empire State Development Corporation. Regions include Capital District, Central New York, Finger Lakes, Long Island, Mid-Hudson, Mohawk Valley, New York City, North Country, Southern Tier and Western New York.

*Regional Clean Energy Hub (Hub):* refers to a team of organizations developed in response to this solicitation, responsible for establishing and fostering partnerships in their region to deliver services at the community level, as requested in this RFP.

*[Regional Economic Development Councils \(REDCs\)](#)* (REDCs): New York State established ten (10) REDCs comprised of members of the local communities to develop long-term strategic plans for economic growth to meet the goals and objectives for their regions. The state is divided into ten (10) regions: Capital District, Central New York, Finger Lakes, Long Island, Mid-Hudson, Mohawk Valley, New York City, North Country, Southern Tier, and Western New York.

**SDVOB:** Service-Disabled Veteran-Owned Businesses

**Small Business:** In New York State, the definition of a small business for the purposes of Chapter 15 Economic development law, S 131 (Article 4-B Division for Small Business), "a small business shall be deemed to be one which is resident in this state, independently owned and operated, not dominant in its field and employs one hundred or less persons."

*Subcontractor:* an organization that has a contractual agreement/MOU with the Contractor to perform the services in this solicitation.

*Team:* proposing organization and their subcontractors/partners providing services as outlined in the Statement of Work.

## II. PROGRAM REQUIREMENTS

Advancing New York State’s energy and environmental goals requires a focus on the work that is done at the community level by a variety of actors. The NYSERDA-administered Clean Energy Communities (CEC) and the NYS Department of Environmental Conservation (DEC)-administered Climate Smart Communities (CSC) programs provide local governments with resources to advance high-impact clean energy initiatives or otherwise position communities to adapt to climate change. The Mohawk Valley Regional Clean Energy Hub is intended to bridge the municipality-focus of the CEC and CSC, incorporate clean energy priorities, and increase engagement of residents and communities to position them to benefit from the emerging clean energy economy. The selected Contractor will be responsible for providing the following combination of program management and direct services throughout the Mohawk Valley region to effectively deliver on the goals of this RFP.

NYSERDA may contract for additional program and administrative services to support the implementation of the Hub, including the development and streamlining of reporting processes, coordination of statewide and local stakeholder engagement, and the provision of technical training to Hub. Proposers shall assume that they will work with NYSERDA-procured contractors or consultants in the development and implementation of Hub activities.

Proposers should complete a Schedule (Attachment D) outlining the Team’s strategy and timeline for building capacity to deliver the services outlined herein:

1. **Core Services** – services that are expected to be delivered, starting in the first year of the contract and throughout the contract period.

a. Program Management and Administrative Functions

Attend at least quarterly Regional Clean Energy Hub meetings and conference calls and participate in monthly program calls/webinars hosted by NYSERDA, attend an in-person (or virtual) kick-off meeting and annual conferences (2 days) in New York State, with the location selected by NYSERDA. Other check-in calls, information requests, and meetings with NYSERDA program staff will be scheduled as needed. Contractors will be required to respond in a reasonable timeframe to ad-hoc requests or reporting by NYSERDA.

Participate in NYSERDA sponsored in person training(s) on equitable engagement best practices to facilitate capacity building in collecting and elevating public input for regional and statewide planning and implementation purposes. Apply best practices and strategies for equitable engagement as provided in the Toolkit/playbook and training(s).

Provide program management and implementation services including, but not limited to, developing and revising program materials that are in alignment with the Regional Clean Energy Hub; program resources and project measurement tools to measure success, tracking of program metrics; and ongoing administration (including timely invoicing, training, strategic planning, budget tracking, monthly reporting, etc.) of the Hub.

b. Develop a Regional Assessment and Barriers Analysis (RABA)

To inform the strategic direction of the Hub, the Contractor will be required to conduct an analysis of regional needs, barriers, and opportunities to advance an inclusive clean energy economy. The Regional Assessment and Barriers Analysis will assist Contractors to identify their



region's demographics, needs, stakeholders, and partnerships/collaborations. This will optimize the engagement strategies the Hub uses in their region. This analysis should leverage, and not duplicate, work already done by regional organizations including the REDC Strategic Plans. The Regional Assessment and Barriers Analysis should include a baseline of the current energy landscape, community assets which includes organizations in the clean energy transition space that can be leveraged to build capacity, energy barriers and challenges, list of key stakeholders and how these stakeholders will be meaningfully engaged, other available resources to address those barriers and challenges, and other relevant regional context to most effectively and efficiently serve disadvantaged communities within the region(s). In addition, the analysis should identify the current energy landscape for small businesses, SDVOBs, and MWBEs in the clean energy industry, identification of gaps in the region, and summarize relevant market insights to inform strategies for increasing the diversity of the local clean energy industry. Upon contract execution, NYSERDA will provide a template for use in the development of the Regional Assessment and Barriers Analysis. *A successful Regional Analysis will identify characteristics of the region and identify barriers in the region that will help inform the development of the Hub strategy e.g., outreach, education, etc.*

c. Outreach and Awareness

Provide outreach and awareness to communities on available programs and resources, with the goal of increasing participation within programs and access resources. Programs and resources include but are not limited to EmPower New York, Assisted Home Performance with ENERGY STAR<sup>®</sup>, Residential Audit Program for market rate, Multifamily Performance Program, Solar for All, NYS Clean Heat (air source heat pump, ground source heat pump, etc.), utility-administered clean energy programs, WAP, HEAP, and clean energy workforce development opportunities. Working with NYSERDA, the Contractor shall identify and prioritize the programs that are most aligned with the needs in their regions and state priorities. Upon contract execution, NYSERDA will provide the Hub with an updated list of existing NYSERDA, utility, and NYS-administered programs and will update the Hub on program changes, when necessary. The Contractor shall ensure the Team stays up to date on best practices related to outreach and engagement and maintain a basic level of expertise related to building science, clean energy technology and developments in policies, programs, and markets impacting disadvantaged communities. *Measures of successful outreach efforts include encouraging customers to take measurable action(s) (i.e., implementation of energy improvements, program participation, subscriptions, etc.).*

d. Community Campaigns

Over the next several years, NYSERDA expects that the model for implementing community campaigns will shift towards a more integrated, technology-agnostic approach that will promote a range of clean energy technologies and solutions including but not limited to energy efficiency, air source heat pumps, ground source heat pumps, solar photovoltaics (PV), community solar, electric vehicles, etc. The goal of campaigns is to increase awareness of clean energy solutions and to aggregate demand, similar to the Solarize or HeatSmart Communities models, to reduce soft costs (such as marketing and customer acquisition) and drive installations.

As such, to support additional community campaigns, NYSERDA included \$250,000 over four (4) years for the Hub to directly implement new or expand the reach of existing community campaigns. These funds cannot be used for campaigns that are either duplicative or are

currently funded by NYSERDA. Campaigns will leverage tools and lessons learned from the existing campaigns including HeatSmart and Solarize. All community campaign funding must be approved by NYSERDA prior to incurring any costs.

Community campaign opportunities will be determined by NYSERDA and the Contractor based on market need and/or regional opportunity. Throughout the course of the term of the contract, the Contractor may propose campaigns by completing and submitting an application (to be provided upon contract execution) to NYSERDA for consideration for funding through their regional allocation. Upon approval of the application, a contract modification will be processed to add the funds for the community campaigns to the Agreement.

The Contractor shall ensure that their Team partners streamline and align efforts to expand the reach of existing community campaigns and identify gaps and/or opportunities to implement new community-focused campaigns with NYSERDA's local Clean Heating and Cooling Community Campaign teams, CEC Coordinators, and other outreach contractors, such as CSC Climate Leadership Coordinators, New York Power Authority Environmental Justice Program outreach staff, etc. Campaigns shall complement existing efforts and avoid duplication to maximize impact and minimize market confusion. Where NYSERDA community campaigns exist in a region, the Hub shall coordinate outreach and campaign efforts with the organization conducting the campaign, and work with NYSERDA on a seamless transition when the campaign period ends. For existing Clean Heating and Cooling campaigns with a defined scope, the Clean Heating and Cooling campaign contractor and the Hub Contractor shall define a mutually agreeable referral process for customers interested in solar or other technologies beyond heat pumps and energy efficiency. *The measures of a successful community campaign include the number of leads and completed clean energy installations, including but not limited to heat pumps or energy efficiency installations.*

e. Energy Education

Conduct energy literacy and energy education opportunities as part of events, campaigns, or as stand-alone events. This includes but is not limited to hands-on workshops, interactive demonstrations, use of activity worksheets and Energy Saving Action Plans, gamification, etc. *Measures of successful energy education efforts include the geographic distribution of sessions within hard to reach under-served rural and DACs, the number of participants at each session, and the number of workshop participants that have taken energy saving actions and/or participated in a clean energy program.*

f. Project Coordination

Provide program and NYSERDA loan application<sup>5</sup> assistance, work with partner organizations, including coordination with energy professionals, particularly NYSERDA Participating Contractors, to refer customers and coordinate NYSERDA-funded projects with other local, state, or federal programs and resources such as WAP, HEAP, Affordable Housing Corporation (AHC), HOME, local Community Development Block Grant (CDBG) funds, lead and mold abatement resources, utility programs, or other available resources to enable a holistic clean

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<sup>5</sup> <https://www.nyserdera.ny.gov/All-Programs/Residential-Financing-Options>  
<https://www.nyserdera.ny.gov/All-Programs/Small-Business-Financing>  
<https://www.nyserdera.ny.gov/All-Programs/Multifamily-Financing>

energy project. *Measures of successful project coordination efforts include number of projects that leverage wrap around resources/services used to reduce project deferrals and increase in the number of clean energy projects implemented.*

**2. Additional Services** – services that are expected to be delivered but are anticipated to scale up over the program period.

a. **Equitable Engagement**

An inclusive clean energy economy requires robust and meaningful engagement of community members to identify barriers to accessing programs or resources, uncover local needs and opportunities, and inform policy, strategy, and program development. Stakeholders may include, but are not limited to, residents (including priority, disadvantaged populations), small businesses, nonprofits and community-based advocacy organizations, local municipalities, building owners, service providers, etc. NYSERDA expects that the Hub will increase NYSERDA’s capacity for engagement at the local level and increase the frequency and depth of stakeholder input, to inform NYSERDA initiatives. The Hub shall develop and implement strategies, as approved by NYSERDA, for comprehensive stakeholder engagement within their region to include multiple methods to collect feedback and share information with various communities in the region.

To operationalize an engagement strategy for the region, the Hub shall develop a Regional Equitable Engagement Plan in collaboration with various stakeholders, which will complement and build on the Regional Assessment and Barriers Analysis. The Regional Equitable Engagement Plan should identify:

- i. The segments of the community that will be prioritized for engagement (with a focus on disadvantaged communities), how those segments were identified, and with what stakeholder input.
- ii. Methods for engagement (e.g., focus groups, surveys, workshops and events, or other methods for soliciting input from disadvantaged community members).
- iii. How participation will be encouraged through partnerships with trusted community messengers.
- iv. A plan to provide compensation and accommodations for ensuring accessibility for various community members that typically face barriers to participation.
- v. How stakeholder feedback will be communicated back to NYSERDA; and
- vi. The method for providing a feedback loop and updates to stakeholders.

After contact execution, the Hub will participate in train-the-trainer style workshops coordinated with other Regional Clean Energy Hub staff, NYSERDA staff and/or an independent consultant to be contracted by NYSERDA, on relevant topics such as recommended equitable engagement best practices and resource skills, and a toolkit for use in implementing the Regional Equitable Engagement Plan. Such a collaborative structure and the associated plan shall also serve as a platform for providing consultation to NYSERDA and identifying capacity needs to accelerate expansion of the local service delivery and workforce development ecosystem. *Measures of successful project coordination efforts include number of participants in sponsored public stakeholder forums and number of recommendations, needs, barriers, or opportunities identified by communities through sponsored public stakeholder forums or other engagement that are elevated to policy makers.*

b. Workforce and Small Business Development

Work with local Chambers of Commerce, education and training partners, clean energy businesses, local trades, and unions to contribute to increased workforce development and economic opportunity for priority populations, individuals, and businesses in disadvantaged communities, helping them to fully participate in the clean energy economy. Activities may include, but are not limited to:

- i. Help enable career pathways for priority populations and disadvantaged communities, to build their basic/foundational and technical skills to meet employer needs in the clean energy workforce and lead to job placement, as well as internships and apprenticeships. This may include but is not limited to:
  - Partnerships to gain an understanding of the barriers to employment readiness in the clean energy workforce and help inform training programs based on this need.
  - Partnerships with training programs that reduce barriers for and reflect the range of employment readiness needs of individuals with employment barriers.
- ii. Support a Career Pathways Partnership(s) that identifies skill/competency-based shortages that are in demand with multiple employers in one or more clean energy sectors and education and training institutions including but not limited to: Department of Labor Career OneStops, Adult Education, community-based training providers, community colleges, etc.
- iii. Work to connect small businesses, MWBEs and SDVOBs with business development resources to establish or grow their work in the clean energy sector. The Hub shall direct small businesses in the clean energy sector to resources such as the [New York Small Business Development Centers](#) administered by the State University of New York (SUNY), and other appropriate resources.
- iv. Work with NYSERDA to identify and recruit energy contractors to expand production capacity in existing clean energy programs, with an emphasis on diversity, e.g., MWBEs and SDVOBs operating within their region(s) that may not already participate in NYSERDA programs, to become participating contractors or installers.
- v. Develop partnerships with organizations that can help grow capacity of small and minority-owned contractors located in disadvantaged communities by providing support for mentoring, training, access to capital and other forms of assistance that help improve access to economic opportunities in the growing clean energy economy.

*Measures of successful workforce development activities include number of partnerships as described above, number of clean energy businesses that work with a Hub to hire individuals from priority populations or disadvantaged communities, and number of MWBEs and/or SDVOBs participating in the clean energy sector.*

c. Local Projects and Pilots

Contractors will also be eligible to apply for Local Project Support funding to complement activities that a Contractor will be providing as a Hub. Up to \$300,000 is allocated and included in the total funding allocation, over four (4) years per region, to address barriers to engagement in the clean energy economy or other needs in disadvantaged communities. Funds cannot be used for initiatives or services that are either duplicative or are currently funded by NYSERDA or other available program administrators. Use of funding shall be for efforts that facilitate access to clean energy solutions or improve engagement of disadvantaged communities located within the Hub's service area. Examples of activities could include, but are not limited to:

- i. Capacity building assistance for community-based organizations to promote NYSERDA programs and clean energy solutions.
- ii. Non-energy efficiency rehabilitation funding to enable energy efficiency projects.
- iii. Seed funds for innovative demonstration or pilot projects deploying new clean energy technologies or models related to increasing access to clean energy solutions or otherwise improving engagement of members of disadvantaged communities.

Upon contract execution, an Application and evaluation criteria will be provided. Upon approval of the application, a contract modification will be processed to add the funds for the local project and pilots to the Agreement. All Local Project Support funding must be approved by NYSERDA prior to incurring any costs.

### III. PROPOSER ELIGIBILITY AND QUALIFICATIONS

NYSERDA invites proposals from teams of organizations with a designated coordinating lead organization to establish a regional Hub and deliver the services described in this RFP. Proposers responding to this RFP must demonstrate that they meet the eligibility criteria and possess qualifications, as outlined below:

#### 1. Proposer Eligibility Criteria:

- a) A community-based organization from the Mohawk Valley region must serve as the prime contractor and play a lead role in the strategic development and management of Hub activities. The Proposer must demonstrate that they are an active community-based organization in the region they will serve and identify measures that the organization has in place to incorporate input from the community and how the organization is accountable to community input.
- b) The Proposer must outline the roles and responsibilities of each member of the proposing team.
- c) Through this RFP, NYSERDA expects to establish a Hub that **leverages existing organizational capacity**. Funding for services requested herein is intended to supplement and build capacity of organizations that already provide programs or services to address energy, environmental, housing, health, education, or other human service needs at the local level for the benefit of residents, small businesses, nonprofits, and affordable housing owners in disadvantaged communities. To increase the impact of funds available through this RFP and to ensure that funds can be used to accelerate or build on work that is happening within communities, funding under this RFP shall not be used for the creation or otherwise standing up of a new organization.
- d) Proposers are expected to serve as the primary Contractor with NYSERDA and be responsible for leading the work of the Hub, as well as organizing and managing a team to provide community-based outreach and engagement services throughout the **entire** Mohawk Valley region (see Regional Coverage section below). Proposals must outline how each county within the Region will be served by an organization(s) that understands the needs of those in that community. The selected Contractor will be responsible to deploy qualified staff in all counties of the Region and to conduct the activities outlined in this solicitation. NYSERDA recognizes that it is not likely feasible for one organization to serve an entire region. As such, **NYSERDA expects that a successful proposal will include Subcontractors and active Partner Organizations to provide these services to ensure adequate coverage of all Counties within the Mohawk Valley region.** Subcontractors and Partner Organizations in name only will not be

considered a material contribution to the project team. In other words, generic letters of support or lists of Partner Organizations that will be engaged “as needed” will not be viewed as a meaningful contribution. Rather, detailed commitments from Partner Organizations are expected.

2. **Proposer Qualifications:**

a) **Project Management:**

1. Demonstrable experience, capacity, and positive track record with administration of multi-faceted initiatives, including coordination with multiple organizations, administration of publicly funded initiatives that involve data management, project and metrics development, project/program tracking, grant management, and efficient and on-time reporting.
2. Experience coordinating local, state, and federal grant programs in the energy, housing, and social service sectors.
3. Strategies and messaging to reach various audiences throughout the entire region to help understand the value proposition of Hub services and clean energy programs and solutions.
4. Knowledge, understanding, and ability to train the Team on relevant clean energy technologies, programs, policies, and initiatives.
5. Ability to recruit, train, and implement an effective Team that provides effective hub services throughout the proposed Region.
6. Understanding of the regional needs, issues, and challenges residents, small businesses, nonprofits, and affordable housing providers, particularly in disadvantaged communities face, in navigating energy efficiency, clean energy programs, and other related resources, and proven ability to develop and implement strategies to bolster the clean energy economy.

b) **Partnerships:**

1. Existing relationships with, or the ability to form relationships with, external entities and partners currently operating in disadvantaged communities to increase access to and accelerate participation in clean energy programs and solutions. These entities may include, but are not limited to, community, locally- and civic -based organizations (community action programs, WAP providers, etc.), social service providers (e.g., Departments of Social Service, Offices for the Aging), municipalities, chambers of commerce, etc. The ability to establish solidified partnerships and leverage existing relationships, will be a factor in proposal evaluation. Successful Partnerships will be those that can quantify results with meaningful metrics (i.e., customer participation, etc.).
2. Letters of support from all subcontractors specifying their expertise, proposed geographic coverage territory (to be covered if awarded), and role/commitment their organization will undertake.
3. Additionally, letters of commitment from supporting Partners are encouraged and should include their level of participation via the Partnership.

c) **Staffing:**

1. Ability of the Contractor to deploy multi-lingual, culturally appropriate staff that are representative (e.g., Latinx/Black, Indigenous, (or) People of Color (BIPOC)) of the communities this initiative seeks to reach.
2. Ability of the Contractor to deploy staff with strong verbal, public speaking, writing, facilitation, and customer service skills to effectively communicate with and facilitate meetings and planning with a diverse group of individuals persuasively with empathy and patience.
3. Comprehensive knowledge of building science through one of the following options:
  - At least one individual who is Building Performance Institute- (BPI) certified in one of the following: Building Analyst, Energy Auditor, Healthy Home Evaluator, and/or Envelope Professional.  
OR
  - At least one individual who completed one of the following BPI training courses: Building Analyst, Energy Auditor, Healthy Home Evaluator, Envelope Professional and/or Building Science Principals Certificate Course.  
OR

At least one individual who has obtained other certification such as American Society of Heating, Refrigerating and Air-Conditioning Engineers (ASHRAE), Certified Energy Manager (CEM), Energy Management Professional (EMP) that positions the team to support implementation of clean energy solutions to reduce energy consumption in a cost-effective manner.
4. Proficiency in Microsoft Office, including Word, PowerPoint, and Excel, as well as CRM databases such as Salesforce, with the ability to produce and deliver professional-quality reports, presentations, and other documents.
5. Ability of the Team to reach to the entire region.
6. Energy Advisors must live, work, or perform services within the region they propose to serve.
7. Demonstrate knowledge, understanding and awareness of relevant best practices related to outreach and engagement, programs and policies (e.g., Climate Act, NYS Clean Heat, etc.), and developments in state, federal, utility, and non-governmental policies resources and markets impacting disadvantaged communities.

### 3. **Regional Coverage**

A Proposer must demonstrate a strong local presence, either directly through the Contractor and/or its subcontractors, in the Mohawk Valley Region and outline how they are uniquely qualified to provide services to disadvantaged communities within the Region.

NYSERDA seeks proposals that put forth a strong teaming approach, with a community-based organization as the prime contractor in a lead role, to maximize geographic coverage and services throughout the disadvantaged communities within the REDC. For example, a proposing team could be comprised of several existing local organizations, social service providers, housing providers, non-energy partners, chambers of commerce, local municipalities and other organizations working with disadvantaged communities, etc.

### 4. **Staffing**

The Staffing Plan, Attachment C, must demonstrate the ability of the team to adequately deliver the requested services across the entire region. NYSERDA expects that at a minimum, Staffing Plans will identify a Hub Director(s), Energy Advisors, and key team members and key administrative or support staff. The Plan should also indicate existing commitments and responsibilities of members of the team, the percentage full time equivalent based on a 40-hour work week that the individual will be working on Hub activities, and if proposed team members are currently or will be working on other NYSERDA- funded programs/projects in the future and explain how the Project Team will ensure adequate staff capacity to conduct the work specific to the Hub. The plan must outline the specific skill sets and qualifications that will be sought for roles that have not yet been filled.

**Hub Director(s):** The Hub Director(s) is/are responsible for managing the Team, ensuring professionalism and an appropriately skilled Energy Advisor network, and have ultimate responsibility for achieving project deliverables. The Hub Director(s) will coordinate with the NYSERDA Project Manager to successfully direct services to meet the objectives described in the resulting contract Statement of Work. The Hub Director(s) must ensure proper training, coordination, and efficiency, troubleshoot as issues arise, and identify key strategies for team members. The Hub Director(s) must maintain regular communications with NYSERDA and must be available to residents, small businesses, nonprofits, and affordable housing providers that they serve. The Hub Director(s) is also responsible for ensuring that monthly, and ad hoc progress and financial reports are complete. The Hub Director(s) shall ensure adherence to budget which includes tracking individual line items. Depending on the structure of the Hub, it is acceptable to have co-Directors, however the proposal should articulate which Director is responsible for the management of the contract with NYSERDA, who will serve as the primary point of contact to the NYSERDA Project Manager, and identify the role of the other Director, and decision-making structure.

**Energy Advisors:** The role of the Energy Advisors may be a full-time and/or full-time equivalent position that will provide the services outlined in this RFP. The Staffing Plan shall identify the services or areas of responsibility for each Energy Advisor.

**Key Administrative/Support Staff** are individuals on the contract outside the Hub Director(s) and Energy Advisor roles. NYSERDA's intention via this solicitation is to prioritize funding for core and additional services. Therefore, proposals should demonstrate leveraging of existing administrative capabilities. Preferred proposals are those that bring a Team of organizations with missions that align with the Climate Act goals that are already working with communities, and ones that can accommodate additional Hub services with little-to-no administrative (staffing) costs to NYSERDA. Cost-sharing for administrative costs is encouraged if necessary.

#### **IV. CONTRACT TERMS AND FUNDING**

NYSERDA expects to award one (1) contract for the Mohawk Valley region. The contract will have an initial two-year term based on satisfactory performance and annual review, with an option to renew for two years at the sole discretion of NYSERDA. For the contract, in year four (4) there will be an option to renew for an additional four (4) years depending upon availability of funds, for a total of eight (8) years. NYSERDA reserves the right to award additional time or funding to the selected contract awarded under this RFP as needed and new funding may be made available in order to meet future goals and objectives within the Hub Initiative or affiliated



community campaigns. Funding through this solicitation is intended to offset the costs for performing the Regional Clean Energy Hub activities. NYSERDA will use the Sample Agreement (Attachment B) to contract with the selected Proposer.

NYSERDA will allocate up to **\$3,302,944** for a period of **four (4) years** for all services required under this RFP in the Mohawk Valley region. Upon contract execution and invoice submission, the Contractor(s) shall receive a milestone payment of 10 percent (10%) of the total four (4) year budget, excluding the local project support (\$300,000) and community campaign (\$250,000) funding, to start work on initial community outreach and engagement and the Regional Assessment and Barriers Analysis. The Contractor shall account for the 10% startup funding over the first 24-months of the contract by dividing the 10% startup payment by 24 and reducing the total monthly invoice by that amount. If this awarded contract is terminated before the first milestone payment is recaptured in full by NYSERDA, the Contractor shall pay back to NYSERDA an amount equal to the full milestone payment amount, minus whatever amount has already been repaid within 30 days of receiving the notice of termination.

Services will be compensated on a time and materials basis, except for the initial 10% start up payment, Local Project Support and the Community Campaigns funds, which are milestone based.

Table 1 below represents funding available for the four (4) year program term for the Mohawk Valley Region. Amount per the Mohawk Valley Region below include a base funding amount of \$1.85 million. The remaining funds were allocated based on the distribution of statewide population, percentage of low-to-moderate income households and land area (sq. miles)<sup>6</sup> for the Mohawk Valley Region.

Community Campaigns – NYSERDA provided \$250,000 for the Mohawk Valley Region for direct implementation of community campaigns that the Contractor selected through this RFP may seek NYSERDA’s approval to use during the initial 4-year program period.

The Local Project Support funding (\$300,000 for the Mohawk Valley region) is included in the Total Funding Allocation listed below for reference purposes only.

Upon contract execution, the Community Campaign and Local Project Support funding will be available upon NYSERDA’s approval of an Application which is not intended to be included at this time. All Local Project Support and Community Campaign funding and activities must be approved by NYSERDA prior to incurring any costs. Upon NYSERDA approval of the application for Local Project Support or Community Campaigns, a contract modification to add these funds to the Agreement will be initiated.

**TABLE 1**

Region	Counties within Region	Total Funding Allocation (Up to amounts)
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<sup>6</sup> The land area (sq. mi.) by region is one factor, along with statewide population and distribution of LMI households, used to calculate the distribution of funding across the ten (10) REDCs.  
[https://www.health.ny.gov/statistics/vital\\_statistics/2006/table02.htm](https://www.health.ny.gov/statistics/vital_statistics/2006/table02.htm)

<b>Mohawk Valley</b>	Fulton, Herkimer, Montgomery, Oneida, Otsego, and Schoharie Counties	\$3,302,944
<b>Total</b>		<b>\$3,302,944</b>

\*NYSERDA reserves the right to adjust the budget above in response to program needs, opportunities, and the addition of new available funding.

**Regional Clean Energy Hub activities not eligible for funding through this RFP include direct design and construction of a physical office or drop-in site, engineering, and other construction-related expenses.**

The proposer shall budget using the funding levels outlined in Table 1, while populating the Budget Form (Attachment A). It is expected that the Hub will need to scale the resources (staffing and funding) for each year of the Program, as capacity is developed, and services are expanded. Assumptions for scaling of resources should be provided in the Proposer’s cost estimates for contract years one (1) through two (2) and years three (3) through four (4) of the contract. The rates in the Budget Form should reflect the maximum fully burdened rates and should factor in indirect costs, cost-of-living increases, merit increases, etc. expected over the term of this initiative. Proposers should direct any questions related to the calculation of fully burdened rates to an accountant.

**V. PROPOSAL REQUIREMENTS**

Proposers must submit their proposal by the due date in accordance with the instructions described on pages 2 and 3 of this RFP. Proposals should not exceed 30 pages in length, not including resumes, Statement of Work, or other supporting documents. Proposals should concisely present the information needed to fully address the evaluation criteria (see Section VI). Proposals that grossly exceed the page limits or fail to follow the format guidelines may be rejected as nonresponsive. Each page of the proposal should state the name of the proposer, the RFP number, the Region, and the page number. If you believe proprietary information must be submitted to present an adequate proposal, please contact the Designated Contacts listed at the beginning of this RFP, indicate as such on the proposal, and comply with Section VII instructions for submitting proprietary material.

To facilitate the proposal evaluation process, proposers should submit the proposal according to the following structure:

**Section 1. Introduction and General Information**

- Summary of the proposer’s understanding of the objectives, services required, and requirements of the RFP.
- Narrative of how the Proposer/Team meets the eligibility criteria.
- Narrative of how the Team is uniquely qualified to perform and complete the services requested to disadvantaged communities within the proposed Region.

**Section 2. Project Team, Timeline and Management Structure**

- Staffing Plan (Attachment C) for the Team, including the proposed staffing structure (organization’s name, individual’s names, titles, percentage of time, counties served, prime

or subcontractor role, etc.). For roles that have not yet been filled, the plan must outline the specific skillset and qualifications that will be sought.

- Outline the roles and responsibilities of the lead community-based organization in developing the strategic direction and delivering the services of the Hub.
- Narrative of how every county within the Region will be served by an organization(s) that understands the needs of those in that community.
- Describe the Team's knowledge and understanding of relevant clean energy technologies, programs, policies, and initiatives.
- Schedule of Hub Activities (Attachment D) detailing the timeline for Core and Additional Services

### **Section 3. Qualifications**

- Briefly describe (maximum 2 paragraphs per team member) the qualifications and expertise of each Team member and which tasks the Team member will deliver or support. Include resumes for key personnel as attachments to the proposal.
- Describe how the Team members will contribute to successful completion of the objectives and goals of this RFP.
- Describe and demonstrate the Team's experience addressing and engaging stakeholders from disadvantaged communities.
- Demonstrate the Team's experience in providing outreach and awareness services to disadvantaged communities.

### **Section 4. Regional Assessment and Barriers Analysis**

- While one of the required tasks in the Statement of Work will be for the Hub to develop a Regional Assessment and Barriers Analysis, the Proposer should demonstrate in their proposal their current understanding of the needs, barriers, and opportunities within the Region that they will serve. This should include an overview of the clean energy landscape in the region, identification of potential partners, and known barriers and opportunities for improving participation in the clean energy economy.
- Describe the approaches and potential solutions that the Team plans to undertake to eradicate the barriers and meet the needs of the Region.

### **Section 5. Partnerships**

- Provide a list of relevant existing partnerships that the Proposer currently has including, but not limited to energy, housing, social service, chambers of commerce, education, workforce development, clean energy business, and financial sectors. Partnerships and/or subcontract(s) shall be demonstrated with detailed letters of commitment under Section 9.
- Describe the Proposer's strategy for developing and fostering new partnerships to meet the needs of disadvantaged communities in the Region.

### **Section 6. Hub Services**

- Describe the Team's approach for successfully delivering each of the requested services outlined herein. In addition, outline any services and strategies that are unique to the Region(s) that the proposing team intends to serve.
- Outline the Team's strategy for building capacity to deliver the Core Services and Additional Services outlined herein that will scale up over the program period.

- Describe the Team’s strategy and messaging to reach various audiences throughout the entire Region to help understand the value proposition of Hub services and clean energy programs and solutions.
- Describe the Team’s strategy for effectively implementing targeted new community campaigns to promote a range of clean energy programs and technologies that address regional needs and opportunities that leverage existing Solarize and HeatSmart infrastructure.
- Outline in detail how the Team will support and complement other targeted outreach and engagement efforts (e.g., community campaigns) taking place within their region to minimize market confusion and maximize impact.
  - For existing community campaigns, define the Teams strategy for developing a mutually agreeable collaboration and referral process for customers interested in clean energy solutions such as energy efficiency, solar, and electrification
- The Contractor will be required to use Salesforce or an equivalent customer relations management (CRM) system that will be made available by NYSERDA at no licensing cost to the Contractor. Contractors will also be required to maintain their own financial reporting system for invoicing purposes.
- Outline a strategy to identify and engage stakeholders, with a focus on disadvantaged communities, who will provide feedback and input to help inform NYSERDA as part of a collaborative structure.

**Section 7. Statement of Work**

The Statement of Work (SOW) is a detailed work plan of how the Proposer shall accomplish the objectives of the program and is the primary contractual document that identifies the deliverables and milestones. The Contractor shall be responsible for the timely completion of all required tasks in the Sample Statement of Work (included within Attachment B as Exhibit A).

**Section 8. Budget**

Using the Budget Form (Attachment A), provide a four (4) year total project budget with breakdowns for years 1 and 2 and years 3 and 4. All budgets should include cost elements and subcontractor costs (if applicable). Also, all proposers should provide a four (4) year total project budget for each subcontractor. These rates should be maximum fully burdened independent annual rates and should reflect anticipated increases due to cost-of-living increases, merit increases, etc., if applicable. Fully burdened rates should be inclusive of fringe, overhead, general, and administrative (G&A) costs. NYSERDA reserves the right to audit any indirect rate presented in the proposal and to make adjustment for such difference. Requests for financial statements or other needed financial information may be made, if deemed necessary. Preference will be given to proposers that can demonstrate the lowest “all in” cost to NYSERDA while providing the highest quality service. Proposers should direct any questions related to the calculation of fully burdened rates to an accountant or financial auditor.

**Cost Share:** Cost-sharing by the Proposer is encouraged, but not required. Cost-sharing can be from the proposer, other team members, and other government or private sources. Contributions of direct labor (for which the laborer is paid as an employee) and purchased materials may be considered “cash” contributions. Unpaid labor, indirect labor or other general overhead may be considered “in-kind” contributions. NYSERDA will not pay for efforts which

have already been undertaken. The proposer or proposing team cannot claim as cost-share any expenses that have already been incurred. The overall value of the proposal, including cost-sharing, will be a factor in the proposal evaluation. The proposer cost-share and the NYSERDA share must contribute to the intent of the services requested. All proposed cost-share must be confirmed by signed commitments from contributing parties. For the purposes of this solicitation, “NYS government funding” is defined as a grant or an incentive that is received from a NYS governmental entity. This funding cannot be counted as any portion of the proposer’s cost-share. For the purposes of this solicitation, annual NYS funding going toward standard operating costs for an organization is not considered “NYS government funding.”

In compliance with §139-j and §139-k of the State Finance Law (see Section VII, General Conditions below for additional information), proposers will be required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility.

**Section 9. Letters of Support/Memorandum of Understanding (MOU) or Letters of Commitment**

- Letters of Support/MOU or Letters of Commitment for each subcontractor or partner listed in the proposal. These documents shall include the following:
  - Contact Name and contact information (telephone and email)
  - Subcontractor or partner organization name
  - Location (County, Region) that the subcontractor or partner organization(s) will support/serve
  - Outline the activities that will be provided or the nature of the partnership
  - Duration of services

**Section 10. Appendices**

- Resumes
- References
- Letters of Support/MOU or Letters of Commitment
- Attachment A – Budget
- Attachment B – Statement of Work
- Attachment C – Staffing Plan
- Attachment D – Schedule of Hub Activities

**VI. PROPOSAL EVALUATION**

Proposals that meet solicitation requirements will be reviewed by a Scoring Committee using the Evaluation Criteria below listed in order of importance. NYSERDA reserves the right to request clarification on the information submitted within the proposals. At NYSERDA’s discretion, proposers may be requested to interview with all or part of the Scoring Committee to address any potential questions or clarifications outlined in the proposals. Proposers will be notified if they are requested to attend an interview. Proposals should be clear and complete and not rely on a possible interview to demonstrate the merits of the proposal. Final rankings and contract award(s) will generally be based on the following:

**Proposed Implementation:**

- Does the proposal provide clear evidence of the capacity to implement, coordinate and monitor all of the tasks required?
- Does the proposal demonstrate expertise in clean energy solutions, programs, community engagement and related resources?
- Is the team identified in the proposal already working with residents, small businesses, nonprofits, and affordable housing providers, particularly those located in disadvantaged communities, and throughout the entire region? This includes any subcontractors.
- Is the proposed execution of the Statement of Work thorough and consistent with the solicitation's stated goals and objectives?
- Does the proposal clearly demonstrate an understanding of the needs, barriers, and opportunities for an inclusive clean energy economy within the entire Region they will serve, particularly in disadvantaged communities?
- Does the proposal include a strategy for coordination and interaction with all relevant parties, including NYSERDA and market participants?
- Does the Proposal clearly outline the roles and responsibilities of the community-based organization in developing the strategic direction and delivering the services of the Hub?

**Partnerships:**

- Does the proposal demonstrate existing partnerships within the region, as described above in Section 5 Partnerships?
- Does the proposal include a realistic strategy for engaging new partners to meet the objectives of the RFP?

**Cost Proposal:**

- Is the proposal budget cost effective, innovative, distributed to address the need, and does it make efficient use of resources?
- Are administrative/support staffing expenses kept at a minimal or reasonable cost to NYSERDA?
- Is the Proposal Budget responsive, comprehensive, and clear?
- Are fully burdened rates reasonable and appropriate?

**Proposal Responsiveness:**

- Does the proposal demonstrate a clear understanding of the objectives, scope of services, and requirements of the solicitation?
- Does the proposal exhibit objectivity, responsiveness, experience, and ability to provide services cost-effectively?
- Does the proposal demonstrate operational excellence, industry expertise, transformation capabilities, and adaptability?
- Does the proposal demonstrate an impact on, and benefits to disadvantaged communities?
- Does the proposal demonstrate how every county within the Region will be served by an organization(s) that understands the needs of those in that community?
- Does the proposal include references for previous efforts of this type and magnitude?

**Staffing:**

- Does the proposing team have the breadth of experience needed for a successful Regional Clean Energy Hub?

- Does the staffing plan demonstrate the capacity through the Contractor and through meaningful teaming arrangements including Subcontractors and Partners to provide the services in this RFP?
- Is the majority of NYSERDA resources focused on direct (e.g., Energy Advisor) support?
- Do key personnel have sufficient qualifications as it relates to the skills requested?
- Does the Team have experience with targeted outreach efforts, in particular to disadvantaged communities?
- Does the Proposal adequately allocate resources and staff to serve a multitude of participants in the entire Region?
- Does the staffing plan include individuals who demonstrate direct personal experience within disadvantaged communities throughout the region?

NYSERDA will negotiate a contract for services in fulfillment of this solicitation based on demonstrated competence, qualifications, and rates. Contract negotiations may consider the Proposer's fee schedules to ensure work is accomplished at fair and reasonable rates. NYSERDA reserves the right to negotiate among finalists to assure services, and to assure access to specific expertise. The amount of work assigned to the selected Proposers will depend on, but not be limited to expertise, current workload, and the ability of the Proposer to provide high quality, cost-effective, and timely services.

Because the services in this RFP are to be performed on a regional basis, if a Region is not awarded, NYSERDA may request that a selected Proposer(s) provide services in other Regions across the state or may resolicit proposals. A selected Proposer is not obligated to provide services in additional Regions unless agreed upon by the Proposer.

#### **Program Policy Factors**

NYSERDA reserves the right to accept or reject proposals based on the following factor(s):

- Previous experience and performance in the successful management of multifaceted programs (on time and within budget).
- The degree to which there are technical, market, or organizational risks associated with the application.
- The degree to which pricing and hourly rates are in line with the rest of the market.
- Ability to provide regional coverage.
- Ability to build capacity in disadvantaged communities.
- Ability to maximize benefits to disadvantaged communities.
- Proposal promotes job creation and/or preservation in New York State when making award selection decisions.
- Past performance under NYSERDA contracts.

#### **VII. GENERAL CONDITIONS**

**Proprietary Information** - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a

commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified, and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <https://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

**Omnibus Procurement Act of 1992** - It is the policy of New York State to maximize opportunities for the participation of New York State business enterprises, including minority- and women-owned business enterprises, as bidders, subcontractors, and suppliers on its procurement Agreements.

Information on the availability of New York subcontractors and suppliers is available from:

Empire State Development  
Division for Small Business  
625 Broadway  
Albany, NY 12207

A directory of certified minority- and women-owned business enterprises is available from:

Empire State Development  
Minority and Women's Business Development Division  
625 Broadway  
Albany, NY 12207

**State Finance Law sections 139-j and 139-k** - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx>. Proposers are required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility (this includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years).

**Tax Law Section 5-a** - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf)). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department.

The Department has created a second form that must be completed by a prospective contractor prior to contracting and filed with NYSERDA. See, ST-220-CA (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220ca\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>



**Contract Award** - NYSERDA anticipates making one (1) award under this solicitation. For the Mohawk Valley region NYSERDA anticipates an initial contract duration of two (2) years with an option to renew for two (2) years, unless NYSERDA management determines a different structure is more efficient based upon proposals received. The contract may be awarded based on initial proposal without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Proposals should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support proposals. NYSERDA will use the Sample Agreement (Attachment B) to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement (Attachment B) to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA may decline to contract with an awardee that is delinquent with respect to any obligation under any previous or active NYSERDA agreement.

**Accessibility Requirements** - NYSERDA requires contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSERDA's Accessibility Requirements](#).

**Limitation** - This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement. NYSERDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information or the presence of a material possibility of any reputational or legal risk in making of the award.

**Disclosure Requirement** - The proposer shall disclose any indictment for any alleged felony, or any conviction for a felony within the past five years, under the laws of the United States or any state or territory of the United States and shall describe circumstances for each. When a proposer is an association, partnership, corporation, or other organization, this disclosure requirement includes the organization and its officers, partners, and directors or members of any similarly governing body. If an indictment or conviction should come to the attention of NYSERDA after the award of a contract, NYSERDA may exercise its stop-work right pending further investigation or terminate the agreement; the contractor may be subject to penalties for violation of any law which may apply in the particular circumstances. Proposers must also disclose if they have ever been debarred or suspended by any agency of the U.S. Government or the New York State Department of Labor.

**Vendor Assurance of No Conflict of Interest or Detrimental Effect** - The proposer shall disclose any existing or contemplated relationship with any other person or entity, including any known relationships with any member, shareholders of 5% or more, parent, subsidiary, or affiliated firm, which would constitute an actual or potential conflict of interest or appearance of impropriety, relating to other clients/customers of the proposer or former officers and employees of NYSERDA, in connection with

proposer's rendering services as proposed. If a conflict does or might exist, please describe how your company would eliminate or prevent it. Indicate what procedures will be followed to detect, notify NYSERDA of, and resolve any such conflicts.

The proposer must disclose whether it, or any of its members, or, to the best of its knowledge, shareholders of 5% or more, parents, affiliates, or subsidiaries, have been the subject of any investigation or disciplinary action by the New York State Commission on Public Integrity or its predecessor State entities (collectively, "Commission"), and if so, a brief description must be included indicating how any matter before the Commission was resolved or whether it remains unresolved.

**Public Officers Law** – For any resulting awards, the Contractor and its subcontractors shall not engage any person who is, or has been at any time, in the employ of the State to perform services in violation of the provisions of the New York Public Officers Law, other laws applicable to the service of State employees, and the rules, regulations, opinions, guidelines or policies promulgated or issued by the New York State Joint Commission on Public Ethics, or its predecessors (collectively, the "Ethics Requirements"). Proposers are reminded of the following Public Officers Law provision: contractors, consultants, vendors, and subcontractors may hire former NYSERDA employees. However, as a general rule and in accordance with New York Public Officers Law, former employees of NYSERDA may neither appear nor practice before NYSERDA, nor receive compensation for services rendered on a matter before NYSERDA, for a period of two years following their separation from NYSERDA service. In addition, former NYSERDA employees are subject to a "lifetime bar" from appearing before any state agency or authority or receiving compensation for services regarding any transaction in which they personally participated, or which was under their active consideration during their tenure with NYSERDA.

Any awardee will be required to certify that all of its employees, as well as employees of any subcontractor, whose subcontract is valued at \$100,000 or more who are former employees of the State and who are assigned to perform services under the resulting contract, shall be assigned in accordance with all Ethics Requirements. During the term of any agreement, no person who is employed by the contractor or its subcontractors and who is disqualified from providing services under the contract pursuant to any Ethics Requirements may share in any net revenues of the contractor or its subcontractors derived from the contract. NYSERDA may request that contractors provide it with whatever information the State deems appropriate about each such person's engagement, work cooperatively with the State to solicit advice from the New York State Joint Commission on Public Ethics, and, if deemed appropriate by the State, instruct any such person to seek the opinion of the New York State Joint Commission on Public Ethics. NYSERDA shall have the right to withdraw or withhold approval of any subcontractor if utilizing such subcontractor for any work performed would be in conflict with any of the Ethics Requirements. NYSERDA shall have the right to terminate any contract at any time if any work performed is in conflict with any of the Ethics Requirements.

**Attachments:**

Attachment A – Budget Form

Attachment B – Sample Agreement including Exhibit A - Template Statement of Work (SOW)

Attachment C – Staffing Plan

Attachment D – Schedule of Hub Activities

## Expanded Solar for All

Request for Proposals (RFP) 5037

*NYSERDA reserves the right to extend and/or add funding to the Solicitation should other program funding sources become available.*

Proposals Due: Thursday, June 23, 2022 by 3:00 p.m. Eastern Time\*

### Program Summary:

In New York, there is a demonstrable need to increase opportunities for low-income customers to participate in community distributed generation (CDG). The New York State Public Service Commission approved the first phase of the Expanded Solar for All (“E-SFA”), a program jointly run by National Grid and NYSERDA to provide community solar and associated guaranteed bill savings to customers participating in the National Grid’s Energy Affordability Program (EAP).<sup>1</sup> This solicitation (“E-SFA solicitation”) will competitively select up to 300 MWdc of CDG projects to participate in the E-SFA Program (“E-SFA CDG Projects”) to target a bill saving rate of \$5 per month for all National Grid EAP participants.

### Proposal Submission:

Online submission is required. For detailed instructions on how to submit a proposal, click the link “Expanded Solar for All Application Reference Guide [PDF]” located on the solicitation webpage at [https://portal.nyserda.ny.gov/CORE\\_Solicitation\\_Detail\\_Page?SolicitationId=a0r8z0000005hTv](https://portal.nyserda.ny.gov/CORE_Solicitation_Detail_Page?SolicitationId=a0r8z0000005hTv) and accessible from the “Current Opportunities” section of NYSERDA’s website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted except by contacting Dylan Cunningham (Designated Contact) at (212) 971-5342, ext. 3646 or by e-mail [communitysolar@nyserda.ny.gov](mailto:communitysolar@nyserda.ny.gov) or Sara Jayanthi (Designated Contact) at (212) 971-5342, ext. 3091 or by email [communitysolar@nyserda.ny.gov](mailto:communitysolar@nyserda.ny.gov). If you have contractual questions concerning this solicitation, contact Venice Forbes (Designated Contact) at (518) 862-1090, ext. 3507 or [VeniceSolicitations@nyserda.ny.gov](mailto:VeniceSolicitations@nyserda.ny.gov). Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer’s behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

**\* All proposals must be received by 3 p.m. Eastern Time on the date noted above. Late, faxed, or emailed proposals will not be accepted.** Incomplete proposals may be subject to disqualification. It is the proposer’s responsibility to ensure that all pages have been included in the proposal. The online proposal system closes promptly at 3 p.m. Eastern Time, files in process or attempted edits or submission after 3 p.m. Eastern Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on the “Current Opportunities” section of NYSERDA’s website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>). NYSERDA may release a frequently asked questions (FAQ) document. Refer back to the solicitation webpage for any forthcoming documents.

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<sup>1</sup> CASE 19-E-0735 - Petition of New York State Energy Research and Development Authority Requesting Additional NY-Sun Program Funding and Extension of Program Through 2025, Order Approving Expanded Solar for All Program with Modifications (effective January 20, 2022). The Order can be found here: *[Please insert a link here.]*

A pre-bid webinar will be conducted on Thursday, May 12, 2022 at 1:00 p.m. ET during which NYSERDA will review the requirements of the Expanded Solar for All solicitation and answer any questions. Proposers interested in attending must [register](#) for the webinar in advance. Following the webinar, a recording will be posted on NY-Sun's [Resources for Contractors](#) page in the "Stakeholder Meeting Updates" section.

## **I. Introduction**

The E-SFA is a program jointly run by National Grid and NYSERDA to provide community solar and associated guaranteed bill savings to customers participating in the National Grid's EAP. This E-SFA solicitation will competitively select up to 300 MW DC of CDG projects to participate in the E-SFA Program to target a bill saving rate of \$5 per month per E-SFA customer.

Eligible proposers responding to the E-SFA solicitation will provide a bid for compensation representing the percentage of Value Stack compensation the project would retain as payment each month ("bid" or "Compensation Level"), and may also choose to request additional NY-Sun incentive funds. Selected E-SFA CDG Projects must enroll in the National Grid's Expanded Solar for All Tariff ("E-SFA Tariff")<sup>2</sup> for up to 25 years from the project's initial interconnection date. National Grid will provide monthly compensation to the CDG Projects enrolled in the E-SFA program. The monthly compensation will be at the selected bid or Compensation Level and will be based on the Value Stack compensation for each project's actual monthly generation.

The E-SFA CDG Project owners will be responsible for owning and operating the participating CDG projects. National Grid will act as the sole "buyer" of all the CDG credits generated from the E-SFA CDG Projects and sole counterparty to the E-SFA CDG Projects. The E-SFA CDG Project owners will not be responsible for any acquisition, management, or administration of participating E-SFA customers; and will not interact with or receive any information regarding participating E-SFA customers.

National Grid will, per the E-SFA Order, pool the credits generated by E-SFA CDG Projects and distribute to E-SFA customers. The E-SFA credit pooling and distribution to customer accounts will be fully administered by National Grid and will be independent of the operation of the E-SFA CDG Projects by the project owners.

## **II. Program Requirements**

An eligible proposer must submit an E-SFA application for each CDG project responding to this solicitation. Only one application may be submitted for each eligible project. There is no limit to the number of projects for which an eligible proposer may submit applications. Each application must be for the CDG project's entire generation (100% of Value Stack credits generated each month for up to 25 years of the National Grid's Expanded Solar for All tariff).

Proposer Eligibility:

- Eligible proposers are limited to current NY-Sun Participating Contractors,
- Applications may only be submitted by the NY-Sun Participating Contractor associated with the CDG project's NY-Sun MW Block application. E-SFA applications must have the same NY-Sun Participating Contractor and Payee (if any) as the associated NY-Sun MW Block application, and be signed by each, and
- Applicants must accept the terms and conditions of the National Grid Expanded Solar for All tariff.

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<sup>2</sup> CASE 19-E-0735 - Petition of New York State Energy Research and Development Authority Requesting Additional NY-Sun Program Funding and Extension of Program Through 2025, National Grid tariff amendments to effectuate the provisions of the Expanded Solar for All Program (Filed February 18, 2022). The tariff can be found here: [https://ets.dps.ny.gov/ets\\_web/search/searchSubmissionID.cfm?sub\\_id=2815379](https://ets.dps.ny.gov/ets_web/search/searchSubmissionID.cfm?sub_id=2815379)

Project Eligibility: Eligible project must:

- Be a CDG project located in the National Grid's electric service territory,
- Have received an award under the NY-Sun MW Block program rules, or have submitted an eligible and complete NY-Sun MWB application<sup>3</sup>;
- Make full interconnection upgrade payments as required by the New York State Standardized Interconnection Requirements, and upload documentation of payment (CESIR milestone deliverable) to the project's NY-Sun application in the NY-Sun portal;
- Must not yet be interconnected and operational; or entered commercial operation on or after January 21, 2022 and has not yet allocated any credits to subscribers; and
- Must commence enrollment in National Grid's E-SFA tariff within thirty (30) days of receiving written notice of selection from NYSERDA (see below for more details).
- Must cancel any previously awarded Inclusive Community Solar Adder incentives upon selection for E-SFA and commencement of enrollment in National Grid's E-SFA tariff (see below for more details).

#### Written Notification of Selection and E-SFA Tariff Enrollment

NYSERDA will issue a selection letter to all selected projects. This letter will include the Compensation Level included in the project's application and will establish the project's eligibility for the National Grid E-SFA Tariff.

Following receipt of this written notification from NYSERDA confirming selection, projects may submit the selection letter along with a completed National Grid E-SFA Application (Attachment E) to National Grid through its nCAP portal (<https://ngus.force.com/s/>). This submittal will commence enrollment in the National Grid's E-SFA tariff.

If, within thirty (30) days of NYSERDA's written notification of selection, a project has not commenced enrollment in the National Grid E-SFA tariff, the project's selection letter and any E-SFA incentive award will be considered void.

#### NY-Sun MW Block, Community Adder, and Inclusive Community Solar Adder awards and Value Stack compensation

Projects that are selected for E-SFA will maintain previously awarded NY-Sun MW Block (base) incentives and Community Adder incentives, and project's proposed Compensation Level (bid) should take these incentives into account. Likewise, projects that are selected for E-SFA will maintain previously secured Value Stack tariff compensation, including Market Transition Credit or Community Credit, and the project's proposed Compensation Level (bid) should take this tariff compensation into account.

However, projects selected for E-SFA will **not** maintain any previously awarded Inclusive Community Solar Adder incentive, and the project's proposed Compensation Level (bid) should **not** take these incentives into account. Upon a project's E-SFA selection and commencement of enrollment in the National Grid E-SFA tariff, any previously awarded Inclusive Community Solar Adder incentive will be cancelled.

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<sup>3</sup> If NYSERDA deems a NY-Sun MW Block application to be incomplete or ineligible, the associated E-SFA application will be considered ineligible and cancelled by NYSERDA. No opportunity to remedy incomplete NY-Sun MW Block applications for the purpose of E-SFA eligibility will be provided. E-SFA selection letters will not be issued to a selected project until the associated NY-Sun MW Block award is executed by NYSERDA.

### III. Proposal Requirements

Eligible proposers must submit applications through the online NY-Sun Portal. Each proposal must be submitted in one of two categories:

- Category A: No Additional NY-Sun Funding Requested; and
- Category B: Additional NY-Sun Funding Requested.

Category A applications will provide a bid for compensation representing the percentage of Value Stack compensation the project would retain as payment each month, up to a maximum allowable Compensation Level of 80.0%.

Category B applications will be set by default at the maximum allowable Compensation Level of 80.0% and will also provide a bid for additional NY-Sun incentives, expressed on a \$ per Watt DC basis.

#### Payment Process for Category A Projects

Projects selected under Category A will only receive monthly compensation from National Grid at the selected bid or Compensation Level and will be based on the Value Stack compensation for each project's actual monthly generation.

#### Payment Process for Category B Projects

Projects selected under Category B will receive monthly compensation from National Grid at the selected bid or Compensation Level and will be based on the Value Stack compensation for each project's actual monthly generation.

The full E-SFA Category B incentive payment will be made upon project completion (defined as payment of the Commercial Operation invoice for the associated NY-Sun project by NYSERDA), and submission by the Contractor and acceptance by NYSERDA of documentation that the project is enrolled in the National Grid E-SFA Tariff.

If a project is removed from the National Grid E-SFA Tariff so that it no longer qualifies as a E-SFA CDG Project, NYSERDA will require a return of the E-SFA Category B incentive funding from the Contractor, calculated based on a pro-rata share of a 25-year term over which the project was an E-SFA CDG Project.

For the additional NY-Sun incentive, invoice must be submitted through the NYSERDA Portal. Go to <https://www.nyserd.ny.gov/All-Programs/NY-Sun/Contractors/Resources-for-Contractors> to see the NY-Sun Program Manual and the E-SFA Application and Invoice Guide for step-by-step instructions. E-SFA invoices are submitted separately from the invoices for the associated NY-Sun project.

In compliance with §139-j and §139-k of the State Finance Law (see Section V, General Conditions below for additional information), proposers will be required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility.

### IV. Proposal Evaluation

Category A applications will be ranked by proposed Compensation Level (lowest to highest), and Category B applications will be ranked by requested additional NY-Sun incentive (lowest to highest). If multiple projects submit the same bid, then rank order among these projects will be set at random. All eligible applications in Category A will be selected before any eligible applications in Category B are selected.

Applications will be selected in rank order until one of the following occurs: 1) Selected project capacity represents 300 MW DC in total; or 2) A confidential bid maximum is reached.

Selected projects will be notified and issued a selection letter within approximately forty-five (45) days of the RFP due date. If one or more of the selected projects fails to commence enrollment in the E-SFA tariff or otherwise meet requirements as discussed in this solicitation, and is removed from the program, NYSERDA will offer selection to qualifying application(s) that were not selected during the first round grouped in rank order. After this, no further selections will be made and all applications not included in the initial or second selection will be changed to "not awarded" status by NYSERDA.

## V. GENERAL CONDITIONS

**Proprietary Information** - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <https://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

**Omnibus Procurement Act of 1992** - It is the policy of New York State to maximize opportunities for the participation of New York State business enterprises, including minority- and women-owned business enterprises, as bidders, subcontractors, and suppliers on its procurement Agreements.

Information on the availability of New York subcontractors and suppliers is available from:

Empire State Development  
Division for Small Business  
625 Broadway  
Albany, NY 12207

A directory of certified minority- and women-owned business enterprises is available from:

Empire State Development  
Minority and Women's Business Development Division  
625 Broadway  
Albany, NY 12207

**State Finance Law sections 139-j and 139-k** - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx>. Proposers are required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility (this includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years).

**Tax Law Section 5-a** - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf)). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department.

The Department has created a second form that must be completed by a prospective contractor prior to contracting and filed with NYSERDA. See, ST-220-CA (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220ca\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

**Contract Award** - NYSERDA anticipates making multiple awards under this solicitation. NYSERDA anticipates a contract duration of 2 years, with an option to extend at NYSERDA's sole discretion, unless NYSERDA management determines a different structure is more efficient based upon proposals received. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each proposal should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately 4 weeks from the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

**Accessibility Requirements** - NYSERDA requires contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSERDA's Accessibility Requirements](#). **Limitation** - This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement. NYSERDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information or the presence of a material possibility of any reputational or legal risk in making of the award.

**Disclosure Requirement** - The proposer shall disclose any indictment for any alleged felony, or any conviction for a felony within the past five years, under the laws of the United States or any state or territory of the United States and shall describe circumstances for each. When a proposer is an association, partnership, corporation, or other organization, this disclosure requirement includes the organization and its officers, partners, and directors or members of any similarly governing body. If an indictment or conviction should come to the attention of NYSERDA after the award of a contract, NYSERDA may exercise its stop-work right pending further investigation or terminate the agreement; the contractor may be subject to penalties for violation of any law which may apply in the particular circumstances. Proposers must also disclose if they have ever been debarred or suspended by any agency of the U.S. Government or the New York State Department of Labor.

**Vendor Assurance of No Conflict of Interest or Detrimental Effect** - The proposer shall disclose any existing or contemplated relationship with any other person or entity, including any known relationships with any member, shareholders of 5% or more, parent, subsidiary, or affiliated firm, which would constitute an actual or potential conflict of interest or appearance of impropriety, relating to other clients/customers of the proposer or former officers and employees of NYSERDA, in connection with proposer's rendering services as proposed. If a conflict does or might exist, please describe how your company would eliminate or prevent it. Indicate what procedures will be followed to detect, notify NYSERDA of, and resolve any such conflicts.

The proposer must disclose whether it, or any of its members, or, to the best of its knowledge, shareholders of 5% or more, parents, affiliates, or subsidiaries, have been the subject of any investigation or disciplinary action by the New York State Commission on Public Integrity or its predecessor State entities (collectively, "Commission"), and if so, a brief description must be included indicating how any matter before the Commission was resolved or whether it remains unresolved.



**Public Officers Law** – For any resulting awards, the Contractor and its subcontractors shall not engage any person who is, or has been at any time, in the employ of the State to perform services in violation of the provisions of the New York Public Officers Law, other laws applicable to the service of State employees, and the rules, regulations, opinions, guidelines or policies promulgated or issued by the New York State Joint Commission on Public Ethics, or its predecessors (collectively, the “Ethics Requirements”). Proposers are reminded of the following Public Officers Law provision: contractors, consultants, vendors, and subcontractors may hire former NYSERDA employees. However, as a general rule and in accordance with New York Public Officers Law, former employees of NYSERDA may neither appear nor practice before NYSERDA, nor receive compensation for services rendered on a matter before NYSERDA, for a period of two years following their separation from NYSERDA service. In addition, former NYSERDA employees are subject to a “lifetime bar” from appearing before any state agency or authority or receiving compensation for services regarding any transaction in which they personally participated, or which was under their active consideration during their tenure with NYSERDA.

Any awardee will be required to certify that all of its employees, as well as employees of any subcontractor, whose subcontract is valued at \$100,000 or more who are former employees of the State and who are assigned to perform services under the resulting contract, shall be assigned in accordance with all Ethics Requirements. During the term of any agreement, no person who is employed by the contractor or its subcontractors and who is disqualified from providing services under the contract pursuant to any Ethics Requirements may share in any net revenues of the contractor or its subcontractors derived from the contract. NYSERDA may request that contractors provide it with whatever information the State deems appropriate about each such person’s engagement, work cooperatively with the State to solicit advice from the New York State Joint Commission on Public Ethics, and, if deemed appropriate by the State, instruct any such person to seek the opinion of the New York State Joint Commission on Public Ethics. NYSERDA shall have the right to withdraw or withhold approval of any subcontractor if utilizing such subcontractor for any work performed would be in conflict with any of the Ethics Requirements. NYSERDA shall have the right to terminate any contract at any time if any work performed is in conflict with any of the Ethics Requirements.

**Due Diligence** – NYSERDA, at its discretion, may conduct broad due diligence to validate any or all elements of an application and to assess applicants’ prospects of success, including gathering information to assess a proposal relative to any of the topics listed in evaluation criteria, whether or not such topic is explicitly addressed in a proposal. NYSERDA may conduct due diligence on some or all proposals based on NYSERDA’s current guidelines at the time of a review. NYSERDA staff may follow up with proposers to request additional information or clarification regarding applicant’s proposal, including questions regarding applicant’s business prospects and resources, whether or not those questions are specifically related to the elements of the proposal. Additionally, customized due diligence may be conducted by internal or external staff or contractors based on questions on any proposal raised by NYSERDA staff and/or the Scoring Committee. Due diligence may include (but is not limited to): interviews of independent references and background checks of team members; assessment of prior business experience of any team member associated with a proposal; research on intellectual property claims; customer and partner reference checks; market research on the applicants’ target market and any other related or possibly competitive technology or market area; research to validate any assumptions on current or future revenues, costs, capital needs, and financing prospects for proposers’ business, including similar (or unrelated) technologies, processes, or competitive solutions; or any other research that could reasonably inform the evaluation of a proposal, or the prospects for commercial success of the proposers’ business (whether directly related to, or unrelated to the specific elements in a proposal). Due diligence may include discussions with proposers’ former and current business partners, employees, investors, customers, and competitors. Due diligence may be conducted by NYSERDA personnel or contractors including members of the scoring committee, before, during, or after a scoring process, and prior to finalization of a contract award, any information gleaned in diligence may be used to score or re-score a proposal.

## **VI. Attachments:**

RFP 5037 - Summary

Attachment A - Sample NYSERDA Selection Letter

Attachment B - Sample NYSERDA Non-Selection Letter

Attachment C - Sample NYSERDA Award Letter

Attachment D - National Grid Tariff

Attachment E - Template National Grid E-SFA Participation Agreement



Implementation Contractor to support the Agriculture Energy Audit Program  
Request for Proposal (RFP) 5064  
*NYSERDA reserves the right to extend and/or add funding to the  
Solicitation should other program funding sources become available.*

Proposals Due: June 29, 2022 by 3:00 p.m. Eastern Time\*

The New York State Energy Research and Development Authority (NYSERDA) is requesting proposals from contractors to implement the Agriculture Energy Audit Program (AEAP) by providing outreach, enrollment and installation support to NYSERDA and eligible customers. This service includes only the energy audit portion of the AEAP. The goal of the AEAP is to assist eligible farms and growers in becoming more energy efficient and, therefore, reducing operating expenses to maintain profitability and long-term farm viability. More information on the AEAP can be found here:  
<https://www.nyserdera.ny.gov/All-Programs/Agriculture-Energy-Audit>.

**Proposal Submission:** Online submission is preferable. Proposers may submit Word, Excel, or PDF files (file formats include csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer’s entity name in the title of the document. NYSERDA will also accept proposals by mail or hand-delivery if online submission is not possible. For detailed instructions on how to submit a proposal (online or paper submission), click the link “[Application Instructions and Portal Training Guide \[PDF\]](#)” located in the “Current Opportunities” section of NYSERDA’s website (<https://www.nyserdera.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted except by contacting Jessica Zweig at (518) 862-1090 ext. 3346, Kathleen O’Connor at (518) 862-1090 ext. 3422 or by e-mail [agriculture@nyserdera.ny.gov](mailto:agriculture@nyserdera.ny.gov). If you have contractual questions concerning this solicitation, contact Nancy Marucci at (518) 862-1090, ext. 3335 or [NancySolicitations@nyserdera.ny.gov](mailto:NancySolicitations@nyserdera.ny.gov). Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer’s behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

**\* All proposals must be received by 3 p.m. Eastern Time on the date noted above. Late, faxed, or emailed proposals will not be accepted.** Incomplete proposals may be subject to disqualification. It is the proposer’s responsibility to ensure that all pages have been included in the proposal. Please note for online submission, there are required questions that you will have to answer in addition to uploading attachments and you should allot at least 60 minutes to enter/submit proposals. The online proposal system closes promptly at 3 p.m. Eastern Time, files in process or attempted edits or submission after 3 p.m. Eastern Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on the “Current Opportunities” section of NYSERDA’s website (<https://www.nyserdera.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

## **I. Introduction**

New York State is a leader in the production of several agriculture commodities and contributes \$5.4 billion annually to the state's economy. The agriculture sector has approximately 6.8 million acres of farmland and 35,000 farms, roughly one-quarter of the State's land area. Energy efficiency projects represent a cost saving opportunity and farm energy audits assist with identifying what improvements could lower utility expenses.

The Agriculture Energy Audit Program (AEAP) offers free technical assistance to help farms identify measures to save energy and money on utility bills and identify opportunities to decarbonize. There are two level of audits that a farm can received: comprehensive and targeted. NYSERDA assigns Flexible Technical Assistance Program Consultants to perform the energy audit for eligible farms. All audit reports include site-specific recommendations for energy efficiency measures. In addition, the AEAP can assist farms in identifying implementation incentives through their utility, USDA, or other programs. Eligible farms include, but are not limited to, dairies, orchards, greenhouses, vegetables, vineyards, grain, and poultry/egg.

The services requested under this solicitation are to implement the audit portion of the AEAP by providing outreach, enrollment and installation support to NYSERDA and eligible customers.

In addition, under AEAP, greenhouse facilities can receive a free benchmarking report through the New York State Greenhouse database and benchmarking tool. The report describes energy-use intensity and benchmarks the facility against an anonymous aggregate of peer facilities. The greenhouse benchmarking portion of the AEAP is serviced by a separate contractor.

## **II. Program Requirements**

### ***Funding***

NYSERDA reserves the right to adjust funding based on Program success and participation, funding source approval requirements, availability of new funds, or other factors addressing the Program(s). Funding may be added proportionately through additional contract extensions and amendments.

### ***Contracting***

The AEAP is scheduled to collect applications through December 31, 2025, or until funds are fully exhausted. Implementation Contractor services will be necessary until all received applications are closed. The initial contract will begin October 2022 and be for a three-year period, with two, two-year optional contract extensions.

### ***Services Requested***

NYSERDA is seeking one program implementation contractor for the audit portion of the AEAP by providing outreach, enrollment, and installation support for NYSERDA and eligible customers. It is the goal of the program to obtain approximately 150 applications annually. The services requested of the selected contractor would include, but are not limited to:

### *Contract Management*

The selected contractor will be responsible for management of the AEAP with guidance and continuous communication with the NYSERDA project manager and AEAP team and the proposer's project manager lead. Contract management includes reporting to NYSERDA for continuous and consistent AEAP program management on a pre-determined frequency. Weekly, monthly, quarterly and annual reports on AEAP program activities, status, issues, and budget status will be required.

### *Outreach*

To market and enroll customers in the AEAP, the selected contractor will perform, but not be limited to, the following outreach tasks: identify effective mediums for outreach, determine which agriculture sector stakeholders to leverage, determine entities within the agriculture community which can facilitate direct outreach, identify and participate in trade events, and develop and implement methods to inform producers about energy efficiency and the AEAP. Farms that are located within areas designated as meeting the draft criteria of a Disadvantaged Community ([link](#)) MUST be prioritized for identification and targeted outreach. The selected contractor will work with NYSERDA to develop a consistent message when communicating with parties outlined herein.

### *Program Customer Enrollment*

The selected contractor will assist potential farm and on-farm customers, especially those located within areas designated as meeting the draft criteria of a Disadvantage Community, in participating in the AEAP. The selected contractor will provide assistance in accessing the AEAP including confirming program eligibility, completing program applications, assisting the farm with deciding what level of audit is necessary for their farm, and providing easy access to program guidance, through the use of mechanisms such as a toll-free number and/or e-mail address.

### *Audit Review*

The selected contractor will review draft audit reports for technical accuracy and provide feedback to the FlexTech Consultants that are conducting the audits. Each audit will be approved by the selected contractor and NYSERDA. Periodic assessment of the audit reports will occur in conjunction with the NYSERDA project manager to confirm audits provided meet a baseline standard and if any improvements can be made to make it easier for farms to understand the information contained in the audit.

### *Customer Assistance*

Once the audit report is delivered to the farm, the selected contractor will follow-up with the farm to review the recommended measures and answer any questions. During the follow-up call, farms wishing to implement measures recommended in their audit report are to be provided information about applicable incentive programs. The selected contractor will identify and maintain a listing of all incentive programs and corresponding contacts available to farms. These programs can be from the utilities, USDA or other sources. Other customer assistance necessary to move towards measure implementation is expected.

### *Program Management and Tracking*

The selected contractor will track all AEAP audit project information and program metrics to meet reporting requirements and any information requested by NYSERDA. Typical information includes outreach results, application tracking, incentive programs accessed, and energy savings recommended per audit report delivered and for the audit portion of the AEAP. In addition, other support and assistance for the AEAP and the NYS Agriculture Sector may be requested by NYSERDA during the contract period.

The selected contractor will not be responsible for performing energy audits. Energy audits are performed by NYSERDA's FlexTech Consultants and paid directly by NYSERDA. The contractor selected under this RFP will not be able to perform farm energy audits under the AEAP.

Proposers must demonstrate past experience with the New York State agriculture sector. In addition, the proposers should demonstrate the ability to organize and track the interactions and data requirements with each farm. Proposers should be able to: easily access the agriculture community, especially those located within the areas designated as meeting the draft criteria of a Disadvantaged Community, to market the AEAP; provide clear communications in regard to AEAP requirements and project eligibility; assess the validity of energy audit recommendations; assist farms in identifying implementation incentives; and accurately maintain records to report AEAP results.

### **III. Proposal Requirements**

Proposals should concisely present the Proposal Requirements, while also making sure the Evaluation Criteria listed in Section IV has been adequately address. The proposal should not exceed 10 pages. Please note attachments and supporting documents are not counted in the 10-page limitation (e.g., budget supporting information, resumes, letters of commitment, etc.). **Important Note: Please combine your proposal and all attachments and supporting documentation into one file and upload as one document file.**

If you believe proprietary information must be submitted to provide an adequate proposal, you must comply with the Section V instructions for submitting proprietary material. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal.

The proposal must be in the following format:

#### ***Executive Summary***

In this section, proposers must summarize and exhibit a thorough understanding of this RFP, the general approach to supporting AEAP, and the requirement to prioritize farms located within areas designated as meeting the draft criteria of a Disadvantage Community. Proposers must summarize why NYSERDA should select the proposer's firm including any acknowledgements or accolades recently received.

Proposals that include teaming arrangements must designate one party as the prime contractor who will be responsible for the administration of the contract. Proposers should provide a brief identification of key information about their organization, and all other organizations that are part of the proposer's team.

If any firm is not based in New York State, discuss the mechanism which will guarantee its ability to deliver services in New York State in a cost-effective manner.

#### ***Statement of Work***

The AEAP Program Implementor Statement of Work must include a detailed description of how the proposer will deliver the AEAP as outlined in **II. Program Requirements, Services Requested**. Include deliverables for each task. In addition, the Statement of Work may also include a detailed description of how the proposer will deliver services using its own creative approach.

### ***Proposer's Past Experience***

A description of the proposer's experience relative to the tasks in Statement of Work should be provided here. Proposers should show experience on how they interacted, served, and/or provided assistance to New York State farms and on-farm producers. Proposers should describe past experience in identifying and providing targeted outreach to farms located within areas designated as meeting the draft criteria of a Disadvantage Community ([link](#)). Proposers with program administration experience should include a description of a program involving the agriculture sector. The description should specify the level of involvement of the proposing firm. Include any relevant contact names and phone numbers for this program and their respective involvement on the program.

Attachments to this section may include summary of the sample projects; examples of marketing plans; program materials; outreach materials; management plans; and data tracking or reporting for similar programs.

### ***Staffing Plan and Experience of Key Personnel***

In this section, proposers must provide documented ability to perform the requested services.

Provide a description of the responsibilities of each key person in the execution of the proposed work plan, including subcontractors. Services should be accomplished with a weighted combination of staff (e.g., principal, senior, junior, technical, administrative, and clerical staff.) Include a description of the experience and qualifications of each of the key personnel.

Proposals that include teaming arrangements must designate one party as the prime contractor who will be responsible for the administration of the contract. The prime contractor will have one individual who will be the main contact. This main contact should be experienced in client relations and program development. Again, the description of the main contact's expertise should highlight these abilities.

It is preferred that individuals have strong oral and written communication and presentation skills, be experienced in client relations and project development, and possess a clear understanding and familiarity with the agriculture sector. Each individual must fully understand and be able to explain to eligible customers the AEAP.

All individuals involved in the proposal must be free of financial interest in any product or service which may be, or appear to be, in conflict with NYSERDA's services to its customers. If any affiliations exist, please describe them and verify that they do not conflict with the objectivity provided to NYSERDA and its customers.

Attachments to this section may include resumes of key personnel highlighting relevant experience (individual resumes shall not exceed one page); an organization chart showing the relationship among all personnel and subcontractors; and letters of commitment from any proposed subcontractors identified as part of a team arrangement including a description of their proposed participation.

### ***Budget***

The AEAP is expected to operate through 2025, anticipating 150 applications per year. Proposers must include a budget that details estimated hours, staff level, direct and indirect costs, other expenses, and subcontractors, if applicable. Please provide a budget table that includes the anticipated number of hours

each of the key people will spend on each task and show the estimated total hours and dollars necessary per task. A sample budget table is shown below.

**Example Budget Table**

Tasks (Add rows as needed)	2022 (Three months)		2023		2024		2025 (Nine months)		Totals	
	Hours	\$	Hours	\$	Hours	\$	Hours	\$	Hours	\$
Task: <i>Task Title</i>										
Key personnel title										
Key personnel title										
Task: <i>Task Title</i>										
Key personnel title										
Expenses and Subcontractors:										
Totals:										

The overall costs for services must be within the budgetary constraints while allowing the programs to meet their goals.

Attachments to this section *must* include Attachment A - Rate Schedule with billing rates for all applicable positions, including all positions listed in the staffing plan as well as estimated cost for travel, material and equipment for the proposer and all proposed subcontractors.

Include supporting documentation to support indirect cost (overhead) rate(s) included in the proposal as follows:

- Describe the basis for the rates proposed (i.e., based on prior period actual results; based on projections; based on federal government or other independently approved rates).
- If rate(s) is based on estimated costs or prior period actual results, include calculations to support proposed rate(s). Calculations should provide enough information for NYSERDA to evaluate and confirm that the rate(s) is consistent with generally accepted accounting principles for indirect costs.
- If rate(s) is approved by an independent organization, such as the federal government, provide a copy of such approval.

NYSERDA reserves the right to audit any indirect rate presented in the proposal and to make adjustment for such difference. Requests for financial statements or other needed financial information may be made if deemed necessary.

Lastly, NYSERDA reserves the right to direct limitations or expansions of these proposed services within the bounds of the proposal based on cost-effectiveness and other related considerations.

## **IV. Proposal Evaluation**

Proposals that meet solicitation requirements will be reviewed by a Scoring Committee using the Evaluation Criteria below listed in order of importance. At NYSERDA's discretion, proposers may be requested to interview with all or part of the Scoring Committee to address any potential questions or clarifications outlined in the proposals. Proposers will be notified if they are requested to attend an interview.

### ***Evaluation Criteria***

#### ***1) Qualifications and Experience of Proposer and Staffing Plan***

##### **a. Qualification and Experience:**

- Does the proposer demonstrate their experience in engaging farms and clearly show how they served and/or provided assistance to NYS farms?
- Does the proposer highlight their experience in identifying and providing targeted outreach to farms located within areas designated as meeting the draft criteria of a Disadvantage Community?
- Is agriculture program administration experience clearly demonstrated? Are examples provided which demonstrate the ability to deliver, support and administer the program?

##### **b. Staffing plan:**

- Does the staffing plan identify the primary contact, key personnel and their corresponding responsibilities?
- Are the services covered by a combination of staff levels?
- Are resumes for all key personnel included as attachments? Do resumes of the key personnel reflect:
  1. the qualifications and ability to deliver the necessary program services?
  2. communication skills and experience with customer relations?
  3. relevant experience in the agriculture sector?
- Are Letters of Commitment provided from all entities involved in the proposal, if applicable?

#### ***2) Executive Summary and Statement of Work***

##### **a. Executive Summary:**

- Does the Executive summary convey an understanding of the RFP, the services requested, and the requirement to prioritize farms located within areas designated as meeting the draft criteria of a Disadvantage Community?
- Is key information about the organization provided?

##### **b. Statement of Work:**

- Does the Statement of Work provide a detailed plan of how the proposer will accomplish the objectives; clearly identifying specific tasks, who will perform those tasks, anticipated deliverables and results?
- Is the Statement of Work realistic, concise, and address all the required tasks?
- Is there particular attention to the outreach and customer enrollment tasks? Does it specifically address how the proposer will identify and provide targeted outreach to farms located within areas designated as meeting the draft criteria of a Disadvantage Community?



- Are all elements of Section II Program Requirements – Services Requested addressed? This includes Contract Management, Outreach, Program Customer Enrollment, Audit Review, Customer Assistance, and Program Management and Tracking.

### 3) *Budget*

#### a. Cost:

- Does the level of effort and anticipated hours of key personnel align with the Statement of Work tasks?
- Is the overall cost reasonable and effective based on the Statement of Work? Is staff used appropriately to be cost effective and achieve success?
- Is the Rate Schedule attached along with all the necessary documentation in support of the cost rates included?

### ***Programmatic Considerations***

NYSERDA reserves the right to accept or reject proposals based on the following program policy factor(s):

- The degree to which pricing and hourly rates are in line with the rest of the market.

## **V. GENERAL CONDITIONS**

**Proprietary Information** - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <https://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

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**State Finance Law sections 139-j and 139-k** - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx> . Proposers are required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility (this includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years).

**Tax Law Section 5-a** - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf)). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department.

The Department has created a second form that must be completed by a prospective contractor prior to contracting and filed with NYSERDA. See, ST-220-CA (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220ca\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf> .

**Contract Award** - NYSERDA anticipates making one award under this solicitation. NYSERDA anticipates a contract duration of three years with two, two-year options to renew, unless NYSERDA management determines a different structure is more efficient based upon proposals received. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each proposal should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately six to eight weeks from the proposal due date whether your proposal has been selected to receive an award. Upon receipt of this notification, a proposer can request to schedule a debrief on the selection process and the strengths and weaknesses of its proposal by contacting Jessica Zweig at [Jessica.Zweig@nyserdera.ny.gov](mailto:Jessica.Zweig@nyserdera.ny.gov). NYSERDA

may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

**Accessibility Requirements** - NYSERDA requires contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSERDA's Accessibility Requirements](#).

**Limitation** - This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement. NYSERDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information or the presence of a material possibility of any reputational or legal risk in making of the award.

**Disclosure Requirement** - The proposer shall disclose any indictment for any alleged felony, or any conviction for a felony within the past five years, under the laws of the United States or any state or territory of the United States and shall describe circumstances for each. When a proposer is an association, partnership, corporation, or other organization, this disclosure requirement includes the organization and its officers, partners, and directors or members of any similarly governing body. If an indictment or conviction should come to the attention of NYSERDA after the award of a contract, NYSERDA may exercise its stop-work right pending further investigation or terminate the agreement; the contractor may be subject to penalties for violation of any law which may apply in the particular circumstances. Proposers must also disclose if they have ever been debarred or suspended by any agency of the U.S. Government or the New York State Department of Labor.

**Vendor Assurance of No Conflict of Interest or Detrimental Effect** - The proposer shall disclose any existing or contemplated relationship with any other person or entity, including any known relationships with any member, shareholders of 5% or more, parent, subsidiary, or affiliated firm, which would constitute an actual or potential conflict of interest or appearance of impropriety, relating to other clients/customers of the proposer or former officers and employees of NYSERDA, in connection with proposer's rendering services as proposed. If a conflict does or might exist, please describe how your company would eliminate or prevent it. Indicate what procedures will be followed to detect, notify NYSERDA of, and resolve any such conflicts.

The proposer must disclose whether it, or any of its members, or, to the best of its knowledge, shareholders of 5% or more, parents, affiliates, or subsidiaries, have been the subject of any investigation or disciplinary action by the New York State Commission on Public Integrity or its predecessor State entities (collectively, "Commission"), and if so, a brief description must be included indicating how any matter before the Commission was resolved or whether it remains unresolved.

**Public Officers Law** – For any resulting awards, the Contractor and its subcontractors shall not engage any person who is, or has been at any time, in the employ of the State to perform services in violation of the provisions of the New York Public Officers Law, other laws applicable to the service of State

employees, and the rules, regulations, opinions, guidelines or policies promulgated or issued by the New York State Joint Commission on Public Ethics, or its predecessors (collectively, the “Ethics Requirements”). Proposers are reminded of the following Public Officers Law provision: contractors, consultants, vendors, and subcontractors may hire former NYSERDA employees. However, as a rule and in accordance with New York Public Officers Law, former employees of NYSERDA may neither appear nor practice before NYSERDA, nor receive compensation for services rendered on a matter before NYSERDA, for a period of two years following their separation from NYSERDA service. In addition, former NYSERDA employees are subject to a “lifetime bar” from appearing before any state agency or authority or receiving compensation for services regarding any transaction in which they personally participated, or which was under their active consideration during their tenure with NYSERDA.

Any awardee will be required to certify that all its employees, as well as employees of any subcontractor, whose subcontract is valued at \$100,000 or more who are former employees of the State and who are assigned to perform services under the resulting contract, shall be assigned in accordance with all Ethics Requirements. During the term of any agreement, no person who is employed by the contractor or its subcontractors and who is disqualified from providing services under the contract pursuant to any Ethics Requirements may share in any net revenues of the contractor or its subcontractors derived from the contract. NYSERDA may request that contractors provide it with whatever information the State deems appropriate about each such person’s engagement, work cooperatively with the State to solicit advice from the New York State Joint Commission on Public Ethics, and, if deemed appropriate by the State, instruct any such person to seek the opinion of the New York State Joint Commission on Public Ethics. NYSERDA shall have the right to withdraw or withhold approval of any subcontractor if utilizing such subcontractor for any work performed would be in conflict with any of the Ethics Requirements. NYSERDA shall have the right to terminate any contract at any time if any work performed is in conflict with any of the Ethics Requirements.

**Due Diligence** – NYSERDA, at its discretion, may conduct broad due diligence to validate any or all elements of an application and to assess applicants’ prospects of success, including gathering information to assess a proposal relative to any of the topics listed in evaluation criteria, whether or not such topic is explicitly addressed in a proposal. NYSERDA may conduct due diligence on some or all proposals based on NYSERDA’s current guidelines at the time of a review. NYSERDA staff may follow up with proposers to request additional information or clarification regarding applicant’s proposal, including questions regarding applicant’s business prospects and resources, whether or not those questions are specifically related to the elements of the proposal. Additionally, customized due diligence may be conducted by internal or external staff or contractors based on questions on any proposal raised by NYSERDA staff and/or the Scoring Committee. Due diligence may include (but is not limited to): interviews of independent references and background checks of team members; assessment of prior business experience of any team member associated with a proposal; research on intellectual property claims; customer and partner reference checks; market research on the applicants’ target market and any other related or possibly competitive technology or market area; research to validate any assumptions on current or future revenues, costs, capital needs, and financing prospects for proposers’ business, including similar (or unrelated) technologies, processes, or competitive solutions; or any other research that could reasonably inform the evaluation of a proposal, or the prospects for commercial success of the proposers’ business (whether directly related to, or unrelated to the specific elements in a proposal). Due diligence may include discussions with proposers’ former and current business partners, employees, investors, customers, and competitors. Due diligence may be conducted by NYSERDA personnel or contractors including members of the scoring committee, before, during, or after a scoring process, and prior to

finalization of a contract award, any information gleaned in diligence may be used to score or re-score a proposal or apply a program policy factor.

**VI. Attachments:**

Attachment A – Rate Schedule

Attachment B – Sample Agreement



Proposals Due: May 18, 2022 by 3:00 p.m. Eastern Time\*

New York State Energy Research and Development Authority (“NYSERDA”) is seeking proposals from Qualified Financial Investment Firms to provide annual Investment Advisory and Consulting Services for NYSERDA and the NYSERDA Other-Post-Employment-Benefits Trust (OPEB Trust) for an initial one-year term with four one-year options to renew.

The award will go to the bidder whose proposal provides best value as determined by NYSERDA Management and the OPEB Trust Administrator, using criteria described below.

**Proposal Submission:** Online submission is preferable. Proposers may submit Word, or PDF files (file formats include: doc, docx, , pdf, or zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer’s entity name in the title of the document. For detailed instructions on how to submit a proposal (online or paper submission), click the link “[Application Instructions and Portal Training Guide \[PDF\]](#)” located in the “Current Opportunities” section of NYSERDA’s website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted except by contacting Peter Mahar (Designated Contact) at (518) 862-1090, ext.3224 or by e-mail [PeterSolicitations@nyserda.ny.gov](mailto:PeterSolicitations@nyserda.ny.gov) or Charles Luke (secondary contact) at (518) 862-1090, ext.3393 or by e-mail [CharlieSolicitations@nyserda.ny.gov](mailto:CharlieSolicitations@nyserda.ny.gov) (for technical questions). If you have contractual questions concerning this solicitation, contact Venice Forbes (Designated Contact) at (518) 862-1090, ext.3507 or [VeniceSolicitations@nyserda.ny.gov](mailto:VeniceSolicitations@nyserda.ny.gov). Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer’s behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offeror, and (2) may result in the proposer not being awarded a contract.

**\* All proposals must be received by 3 p.m. Eastern Time on the date noted above. Late, faxed, or emailed proposals will not be accepted.** Incomplete proposals may be subject to disqualification. It is the proposer’s responsibility to ensure that all pages have been included in the proposal. Please note: for online submission, there are required questions that you will have to answer in addition to uploading attachments and you should allot at least 60 minutes to enter/submit proposals. The online proposal system closes promptly at 3 p.m. Eastern Time, files in process or attempted edits or submission after 3 p.m. Eastern Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on the “Current Opportunities” section of NYSERDA’s website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

**I. Introduction** (Describe Background/Goals/Objectives)

**Goals & Objective**

The goals and objectives of this RFP are to contract with an Investment Advisor for the purpose of performing the required services enumerated below at the highest quality and best value to NYSERDA.

**Background**

NYSERDA is a public benefit corporation established in 1975 pursuant to Title 9 of Article 8 of the Public Authorities Law of the State of New York. The mission of NYSERDA is to advance clean energy innovation and investments to combat climate change, improving the health, resiliency, and prosperity of New Yorkers and delivering benefits equitably to all. NYSERDA offers objective information and analysis, innovative programs, technical expertise, and funding to help New Yorkers increase energy efficiency, save money, use renewable energy, and reduce reliance on fossil fuels.

The scope of this proposal addresses two areas of investments.

1. As New York State's clean energy and climate innovation agency, NYSERDA plays a key role in implementing the State's nation-leading clean energy and climate policies, programs and actions, delivering a cleaner, healthier, and more prosperous future for all New Yorkers. Among these goals are advancement of an electricity system powered 70% by renewable energy by 2030 and a zero-emission system by 2040. To achieve these and other statewide policy goals, NYSERDA works to foster the transformation and expansion of markets, pushing them to accurately value clean energy, energy efficiency, and resilience—while encouraging competition and innovation that delivers value to consumers. In so doing, NYSERDA uses a data-driven approach both to guide program design and to provide for high levels of accountability and transparency (<https://www.nyserdera.ny.gov/>).

In addition to NYSERDA's many funding sources, the NY Green Bank, a division of NYSERDA, was created in 2014 as a State-sponsored specialized financing entity that works with the private sector to increase investments into New York's clean energy markets, creating a more efficient, reliable, and sustainable energy system (<https://greenbank.ny.gov/>).

NYSERDA's portfolio, including the NY Green Bank, invests these funds in a fiscally prudent and responsible manner, primarily through substantial reliance on Federal Governmental Obligations and minimal investment in long-term securities. General investments consisting of a combination of working capital and a modest amount of emergency reserves currently hovers around \$1.3 billion, of which approximately \$500 million is attributable to our New York Green Bank division.

2. NYSERDA's OPEB Trust. The purpose of the Trust is to set aside assets to assist in funding the Authority's annual contribution to a fund established to support payment of certain post-employment benefits, determined by actuarial valuation of future projected benefits. OPEB Trust investments are guided by an Investment Policy Statement (IPS) that sets forth policies and procedures for investing, reporting, and monitoring of assets held by the NYSERDA OPEB Trust. The NYSERDA OPEB Trust is currently invested using a broad and diversified investment approach, with investments limited to mutual funds or exchange traded funds (ETFs) given the relatively small size of the Trust and in an effort to minimize transactional costs.

The IPS requires monitoring of the NYSERDA OPEB Trust's performance to ensure that objectives are being met, to consider whether revisions to the Investment Policy Statement are necessary, and to ensure that NYSERDA's Board reviews and approves any changes to the IPS at least annually.

The OPEB Trust's current investment portfolio has a market value of \$74 million and it's targeted long-term rate of return is estimated to be six percent (6.0%) to align with the OPEB Trust's most recent actuarial valuation. The OPEB Trust has fully divested from fossil fuel investments and is in compliance with Executive Order 14.

## II. Program Requirements

Proposers must (1) be an investment firm registered as an investment adviser under the federal Investment Advisers Act of 1940 or a bank as defined in the Federal Investment Advisers Act of 1940, and with New York State's Attorney General's Office; (2) have extensive experience and a track record of working with Public Government Sector including Post-Employment Benefit Plans; (3) demonstrate financial resources to perform the proposed work and a good performance record; and (4) be qualified for an award under applicable laws and regulations (refer to general conditions below).

### **The successful bidder shall be required to perform the following services:**

#### **A.** Review and Propose Recommended Updates to the NYSERDA and OPEB Trust Investment Policy Statements

In an environment of rising interest rates and inflation, NYSERDA's Management and the OPEB Trust Administrator are looking for a comprehensive review of its two Investment Policy Statements along with recommendations including alternatives for new investment options. These new investment options should offer competitive but low-risk yields that balance principal preservation with an overall goal of at least keeping pace with inflation while preserving liquidity. Additionally, it is NYSERDA's intent to support New York state objectives to de-carbonize its investment portfolios and align with

broader ESG principles. These recommendations shall be in accordance with New York State Public Authorities Law and applicable Executive Orders and State Directives governing the operation and investments of state public authorities. Assuming engagement of the investment advisor by July 2022, such review and recommendation shall be completed initially no later than August 30, 2022, and then by April 30th of each year thereafter to allow for timely Board consideration and approval.

- B. Prepare Quarterly Investment Performance reports for the OPEB Trust:
  - a. Evaluate OPEB Trust's investment performance against an indexed benchmark including Morningstar ratings. Quarterly performance reporting will be for the quarter ending June 30, September 30, December 31, and March 31. Report shall be delivered no later than 30 days after quarter end, and reviewed in a meeting with NYSERDA senior financial staff
- C. Prepare Monthly Investment Performance reports for the OPEB Trust
  - a. Report shall contain asset category, Investment name, YTD return, 1 month, 3 month, 1 year, 3 year, and 5 year returns along with an expense ratio and ticker.
  - b. Reports shall be delivered no later than 30 days after month end.
- D. Conduct Asset Allocation Review:
  - a. Conduct an annual asset allocation review and provide a written report of results and recommendations which would align with the goals of the OPEB Trust IPS. Review should be performed not later than April 30 of each year to allow timely Board approval..
  - b. Conduct an asset/liability study at the end of year two. A second study, if undertaken will be conducted and billed separately from this proposal (please provide a separate cost proposal for the second study.) The results and recommendations of the studies shall be delivered in written form.

NYSERDA would strongly prefer online, near real-time access to its investment portfolio data by means of an online portal and ad hoc query capabilities. The submitted proposal should provide samples of typical standard monthly and quarterly portfolio reports, as well as discussion of direct online view/report access for authorized employees.

NYSERDA expects that investment advisor will be available at least once annually to provide updates to its Board Audit and Finance Committee, at the option of NYSERDA's CEO, CFO, and/or Controller. The proposal should describe how advisor would approach this in an efficient manner and with sensitivity to the public nature of NYSERDA's board meetings.

The proposal should also address how your company would propose to undertake a smooth transition from any current advisor, describing both approach and timeline, and how it would work with NYSERDA's employees to ensure timely access to data and reports as well as for ad hoc questions.

The proposal should address, to the extent possible within intellectual property considerations, the methods, tools, and models it uses as the basis of its recommendations, including for actuarial valuation and projections of needed contributions to the OPEB trust.

### **III. Proposal Requirements**

Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. The proposal must be in the following format:

In compliance with §139-j and §139-k of the State Finance Law (see Section V, General Conditions below for additional information), proposers will be required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility.

### **IV. Proposal Evaluation**

- Proposals that meet solicitation requirements will be reviewed by a Scoring Committee using the Evaluation Criteria below **listed in order of importance**. At NYSERDA's discretion, proposers may be requested to interview with all or part of the Scoring Committee to address any potential questions or clarifications outlined in the proposals. Proposers will be notified if they are requested to attend an interview.



Proposals that meet Proposal requirements will be reviewed by a Technical Evaluation Panel (TEP) using the Evaluation Criteria below.

NYSERDA will award the contract based upon evaluation of all aspects of the project according to the needs of NYSERDA and the best interests of New York State. The award will go to the bidder whose proposal provides the best value as determined by NYSERDA's Management and OPEB Trust Administrators, using the point scales described below. If two offers are found to be substantially equivalent, (cost) price shall be the basis for determining the award recipient.

**Section 1. Technical Requirements including experience [70 points]:** The evaluation criteria to be used to evaluate the Technical Requirements will include:

- **Firm Qualifications and Technical Capabilities, including financial resources.** Describe the firm's qualifications, technical capabilities, financial resources, and level of experience in providing services similar to those described in the proposal requirements. Describe the size and ability of the firm's staff. **[20 points]**
- **Relevant experience.** The firm should add any relevant facts it believes would qualify it for this engagement. Provide three other entities for whom the Proposer has provided services within the last five years that are comparable in size, scope, and complexity with services described in this RFP. **[20 points]**
- **Comprehensiveness of Services** (Understanding the scope). Describe the firm's recommended understanding and approach to the RFP and meeting the required services enumerated. This section should demonstrate the Proposer's understanding of NYSERDA's and the OPEB Trust's needs. **[15 points]**
- **References.** The Proposer should provide three references. Each reference should contain the following information: Name of entity, Client Name, phone number, email address, and engagement term. **[5 points]**
- **Staffing Qualifications and Experience.** The firm should demonstrate that the proposed staff have the knowledge and ability to perform the services described in this RFP. **[10 points]**

**Section 2. Cost [30 points]:**

The fee proposal should contain (i) a flat annual fee which covers all of the services described in the Scope of Services, (ii) a not to exceed cost for the second asset/liability study that shall be billed separately if undertaken, and (iii) a rate fee schedule, stated as a cost per labor hour, for special projects not included in this RFP that may requested from time to time. The flat annual fee shall be broken out annually.

The total price proposals will be ranked with the low bid awarded the maximum of 30 points. The remaining proposals will be assigned scores based on the following formula:

$$\frac{\text{Total Fees and Expenses for Lowest Bidder}}{\text{Total Fees and Expenses Proposed by Bidder}} \times 30$$

**Proposed Timeline**

Request for proposal release	April 14, 2022
Closing date for inquires	April 29, 2022
RFP due date	May 18, 2022
RFP evaluation and selection	May 23, 2022
Firm interviews	June 6-10, 2022
Contract award	July 01, 2022

**Term**

The term of the services is expected to be effective upon contract award and continue through the fiscal year ending March31, 2027.

## V. GENERAL CONDITIONS

**Proprietary Information** - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <https://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

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Information on the availability of New York subcontractors and suppliers is available from:

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Albany, NY 12207

A directory of certified minority- and women-owned business enterprises is available from:

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Minority and Women's Business Development Division  
625 Broadway  
Albany, NY 12207

**New York Executive Law Article 15-A** - NYSERDA is required under the law to promote opportunities for maximum feasible participation of certified minority-and women-owned business enterprises and the employment of minority group members and women in the performance of NYSERDA contracts. The MWBE participation goals and obligations of the selected Contractor are set forth in the Sample Agreement.

**New York State Executive Law Article 17-B**, NYSERDA recognizes its obligation under the law to promote opportunities for maximum feasible participation of certified service-disabled veteran-owned business enterprises (SDVOB) in the performance of NYSERDA contracts. Executive Law Article 17-B and its associated regulations require, among other things, that NYSERDA establish goals for maximum feasible participation of New York State Certified SDVOBs in the performance of New York State contracts. The SDVOB participations goals and obligations of the selected Contractor are set forth in the Sample Agreement.

**State Finance Law sections 139-j and 139-k** - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx> . Proposers are required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility (this includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years).

**Tax Law Section 5-a** - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to

certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf)). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department. The Department has created a second form that must be completed by a prospective contractor prior to contracting and filed with NYSERDA. See, ST-220-CA (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220ca\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

**Contract Award** - NYSERDA anticipates making one award under this solicitation. NYSERDA anticipates an initial contract duration of one year with four one-year options to renew, unless NYSERDA management determines a different structure is more efficient based upon proposals received. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each proposal should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately 6-8 weeks from the proposal due date whether your proposal has been selected to receive an award. Upon receipt of this notification, a proposer can request to schedule a debrief on the selection process and the strengths and weaknesses of its proposal by contacting [peter.mahar@nyserda.ny.gov](mailto:peter.mahar@nyserda.ny.gov). NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

**Accessibility Requirements** - NYSERDA requires contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSERDA's Accessibility Requirements](#).

**Limitation** - This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement. NYSERDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information and the presence of a material possibility of any reputational or legal risk in making of the award.

**Disclosure Requirement** - The proposer shall disclose any indictment for any alleged felony, or any conviction for a felony within the past five years, under the laws of the United States or any state or territory of the United States and shall describe circumstances for each. When a proposer is an association, partnership, corporation, or other organization, this disclosure requirement includes the organization and its officers, partners, and directors or members of any similarly governing body. If an indictment or conviction should come to the attention of NYSERDA after the award of a contract, NYSERDA may exercise its stop-work right pending further investigation or terminate the agreement; the contractor may be subject to penalties for violation of any law which may apply in the particular circumstances. Proposers must also disclose if they have ever been debarred or suspended by any agency of the U.S. Government or the New York State Department of Labor.

**Vendor Assurance of No Conflict of Interest or Detrimental Effect** - The proposer shall disclose any existing or contemplated relationship with any other person or entity, including any known relationships with any member, shareholders of 5% or more, parent, subsidiary, or affiliated firm, which would constitute an actual or potential conflict of interest or appearance of impropriety, relating to other clients/customers of the proposer or former officers and employees of NYSERDA, in connection with proposer's rendering services as proposed. If a conflict

does or might exist, please describe how your company would eliminate or prevent it. Indicate what procedures will be followed to detect, notify NYSERDA of, and resolve any such conflicts.

The proposer must disclose whether it, or any of its members, or, to the best of its knowledge, shareholders of 5% or more, parents, affiliates, or subsidiaries, have been the subject of any investigation or disciplinary action by the New York State Commission on Public Integrity or its predecessor State entities (collectively, "Commission"), and if so, a brief description must be included indicating how any matter before the Commission was resolved or whether it remains unresolved.

**Public Officers Law** – For any resulting awards, the Contractor and its subcontractors shall not engage any person who is, or has been at any time, in the employ of the State to perform services in violation of the provisions of the New York Public Officers Law, other laws applicable to the service of State employees, and the rules, regulations, opinions, guidelines or policies promulgated or issued by the New York State Joint Commission on Public Ethics, or its predecessors (collectively, the "Ethics Requirements"). Proposers are reminded of the following Public Officers Law provision: contractors, consultants, vendors, and subcontractors may hire former NYSERDA employees. However, as a general rule and in accordance with New York Public Officers Law, former employees of NYSERDA may neither appear nor practice before NYSERDA, nor receive compensation for services rendered on a matter before NYSERDA, for a period of two years following their separation from NYSERDA service. In addition, former NYSERDA employees are subject to a "lifetime bar" from appearing before any state agency or authority or receiving compensation for services regarding any transaction in which they personally participated, or which was under their active consideration during their tenure with NYSERDA.

Any awardee will be required to certify that all of its employees, as well as employees of any subcontractor, whose subcontract is valued at \$100,000 or more who are former employees of the State and who are assigned to perform services under the resulting contract, shall be assigned in accordance with all Ethics Requirements. During the term of any agreement, no person who is employed by the contractor or its subcontractors and who is disqualified from providing services under the contract pursuant to any Ethics Requirements may share in any net revenues of the contractor or its subcontractors derived from the contract. NYSERDA may request that contractors provide it with whatever information the State deems appropriate about each such person's engagement, work cooperatively with the State to solicit advice from the New York State Joint Commission on Public Ethics, and, if deemed appropriate by the State, instruct any such person to seek the opinion of the New York State Joint Commission on Public Ethics. NYSERDA shall have the right to withdraw or withhold approval of any subcontractor if utilizing such subcontractor for any work performed would be in conflict with any of the Ethics Requirements. NYSERDA shall have the right to terminate any contract at any time if any work performed is in conflict with any of the Ethics Requirements.

**Due Diligence** – NYSERDA, at its discretion, may conduct broad due diligence to validate any or all elements of an application and to assess applicants' prospects of success, including gathering information to assess a proposal relative to any of the topics listed in evaluation criteria, whether or not such topic is explicitly addressed in a proposal. NYSERDA may conduct due diligence on some or all proposals based on NYSERDA's current guidelines at the time of a review. NYSERDA staff may follow up with proposers to request additional information or clarification regarding applicant's proposal, including questions regarding applicant's business prospects and resources, whether or not those questions are specifically related to the elements of the proposal. Additionally, customized due diligence may be conducted by internal or external staff or contractors based on questions on any proposal raised by NYSERDA staff and/or the Scoring Committee. Due diligence may include (but is not limited to): interviews of independent references and background checks of team members; assessment of prior business experience of any team member associated with a proposal; research on intellectual property claims; customer and partner reference checks; market research on the applicants' target market and any other related or possibly competitive technology or market area; research to validate any assumptions on current or future revenues, costs, capital needs, and financing prospects for proposers' business, including similar (or unrelated) technologies, processes, or competitive solutions; or any other research that could reasonably inform the evaluation of a proposal, or the prospects for commercial success of the proposers' business (whether directly related to, or unrelated to the specific elements in a proposal). Due diligence may include discussions with proposers' former and current business partners, employees, investors, customers, and competitors. Due diligence may be conducted by NYSERDA personnel or contractors including members of the scoring committee, before, during, or after a scoring process, and prior to finalization of a contract award, any information gleaned in diligence may be used to score or re-score a proposal or apply a program policy factor.

**VI. Attachments:**

Attachment A – Budget

Attachment B – Sample Agreement including Exhibit A (template statement of work )

Attachment C - MWBE (Article 15) Provisions

Attachment D - SDVOB (Article 17) Provisions





**KATHY HOCHUL**  
Governor

**NYSERDA**

**RICHARD L. KAUFFMAN**  
Chair

**DOREEN M. HARRIS**  
President and CEO

**Implementation Contractor for Workforce Development and Training Programs  
Request for Proposals RFP 5123**

**Proposals Due: Thursday, September 29, 2022 by 3:00 p.m. Eastern  
Time\***

NYSERDA's Workforce Development and Training Team seeks to secure a contractor to provide essential program implementation support and other related services for the full portfolio of workforce programs and across a host of program activities, including program design and direct project management. The contractor selected through this competitive solicitation will support the Workforce Team and will provide program implementation support and other related project procurement and management services, such as, but not limited to:

- Manage all of the implementation tasks associated with PON 4000 (Internship Program) and PON 3982 (On-the-Job Training) including, but not limited to, all day-to-day administration tasks associated with supporting applicants, processing applications, preparing contract execution documents, reviewing and approving invoices, program reporting and data gathering and analysis. NYSERDA typically supports approximately 200-220 business applicants a year for these two programs in addition to hundreds of interns. The contractor shall also assist with monitoring stakeholder feedback and recommending and implementing changes to the solicitations as needed.
- Assist with project management, data gathering, analysis and reporting of PON 3981 (EE and Clean Technology Training), PON 4463 (Career Pathway Training Partnerships for High Efficiency HVAC and Heat Pumps) and PON 3715 (Building Operations and Maintenance Workforce Training program) projects. The contractor will assist with management of approximately 65-75 projects from these three programs annually.
- Work with NYSERDA's other program teams (e.g., Clean Heating & Cooling, Multifamily) and its support teams (e.g., IT, Strategic Operations, Marketing, Salesforce) to help ensure internal and customer-facing processes and procedures are streamlined and working efficiently and effectively.
- Support the Workforce Team, including its Senior Advisor, as it focuses on DEI initiatives, including those within DACs and with MWBE and SDVOBE.
- Support strategy development and implementation for technology and sector areas, including Offshore Wind (OSW) solicitation(s) and assist with supporting the Offshore Wind Training Institute.
- For all programs, prepare case studies and presentations; manage website development; support outreach and stakeholder engagement activities; support marketing efforts and help to manage work done by marketing contractors; and perform other similar activities as needed.

- Provide technical support in existing and emerging clean energy technology areas, such as, but not limited to, hydrogen, energy storage, clean transportation, heat pumps, etc.

It is anticipated that NYSERDA will enter into a single standard agreement with the selected contractor. A contract will be issued for an initial three (3) year term with two options to renew for two (2) additional years, bringing the maximum term of the contract to seven (7) years.

**Proposal Submission:** Online submission is preferable. Proposers should submit entire proposal in one combined PDF file except for the Rate Schedule which can be submitted as a separate Excel attachment. The files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. NYSERDA will also accept proposals by mail or hand-delivery if online submission is not possible. For detailed instructions on how to submit a proposal (online or paper submission), click the link "[Application Instructions and Portal Training Guide \[PDF\]](https://www.nyserdera.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx)" located in the "Current Opportunities" section of NYSERDA's website (<https://www.nyserdera.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted except by contacting Adele Ferranti – primary contact (Designated Contact) at (518) 862-1090, ext. 3206 or by e-mail [Wfinfo@nyserdera.ny.gov](mailto:Wfinfo@nyserdera.ny.gov) or Davetta Thacher– secondary contact (Designated Contact) at (518) 862-1090, ext. 3603 or by e-mail [Wfinfo@nyserdera.ny.gov](mailto:Wfinfo@nyserdera.ny.gov) (for technical questions). If you have contractual questions concerning this solicitation, contact Nancy Marucci (Designated Contact) at (518) 862-1090, ext. 3335 or [NancySolicitations@nyserdera.ny.gov](mailto:NancySolicitations@nyserdera.ny.gov). Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offeror, and (2) may result in the proposer not being awarded a contract.

**\* All proposals must be received by 3 p.m. Eastern Time on the date noted above. Late, faxed, or emailed proposals will not be accepted.** Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal. Please note, for online submission, there are required questions that you will have to answer in addition to uploading attachments and you should allot at least 60 minutes to enter/submit proposals. The online proposal system closes promptly at 3 p.m. Eastern Time, files in process or attempted edits or submission after 3 p.m. Eastern Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on the "Current Opportunities" section of NYSERDA's website (<https://www.nyserdera.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

## I. Introduction

Workforce development and training are essential components to a bustling 21st century economy and a cleaner, healthier New York. To meet the requirements of a clean energy economy as outlined in the Clean Energy Fund (CEF) and the Climate Leadership and Community Protection Act (Climate Act), NYSERDA had dedicated more than \$120 million in funding to support clean energy workforce development and training with the ultimate goal of advancing clean energy innovation and investments to combat climate change, improve the health, resiliency, and prosperity of New Yorkers, and deliver benefits equitably to all. Workforce programs serve numerous audiences, including existing workers, new workers, and trainers, with special focus on advancing the skills of members of [Disadvantaged Communities](#) and [Priority Populations](#).

With four (4) unique program opportunities currently open and other initiatives anticipated, our funding supports activities as diverse as:

[Workforce Training – Building Operations and Maintenance \(PON 3715\)](#)

- Training for building and operations staff to properly operate and maintain building systems.

[Energy Efficiency and Clean Technology Training \(PON 3981\)](#)

- Curriculum development to meet the demands of clean energy employers.
- Creation of a sustainable talent pipeline that can reduce the business cost of hiring new workers;

[On-the-Job Training for Energy Efficiency and Clean Technology \(PON 3982\)](#)

- On-the-job training for new workers at energy efficiency and clean technology businesses.

[New York State Clean Energy Internship Program \(PON 4000\)](#)

- Internships for students looking to gain hands-on skills at a clean energy company.

NYSERDA's Workforce Development and Training Team seeks to secure a contractor to provide essential program implementation support and other related services for the full portfolio of Workforce programs and across a host of program activities, including direct project management.

## **II. Program Requirements**

### **Specific Program Requirements and Scope of Services Requested**

The contractor will provide program implementation support and other related project acquisition and management services, as highlighted above and further defined in Attachment C: Sample Statement of Work.

- Manage all of the implementation tasks associated with PON 4000 (Internship Program) and PON 3982 (On-the-Job Training) including, but not limited to, all day-to-day administration tasks associated with supporting applicants, processing applications, preparing contract execution documents, reviewing and approving invoices, program reporting and data gathering and analysis. NYSERDA typically supports approximately 200-220 business applicants a year for these two programs in addition to hundreds of interns. The contractor shall also assist with monitoring stakeholder feedback and recommending and implementing changes to the solicitations as needed.
- Assist with project management, data gathering, analysis and reporting of PON 3981 (EE and Clean Technology Training), PON 4463 (Career Pathway Training Partnerships for High Efficiency HVAC and Heat Pumps) and PON 3715 (Building Operations and Maintenance Workforce Training program) projects. The contractor will assist with management of approximately 65-75 projects from these three programs annually.
- Work with NYSERDA's other program teams (e.g., Clean Heating & Cooling, Marketing) and its support teams (e.g., IT, Strategic Operations, Marketing, Salesforce) to help ensure internal and customer-facing processes and procedures are streamlined and working efficiently and effectively.
- Support the Workforce Team, including its Senior Advisor, as it focuses on DEI initiatives, including those within DACs and with MWBE and SDVOBE.
- Support strategy development and implementation for technology and sector areas, including Offshore Wind (OSW) solicitation(s) and assist with supporting the Offshore Wind Training Institute.
- For all programs, prepare case studies and presentations; manage website development; support outreach and stakeholder engagement activities; support marketing efforts and help to manage work done by marketing contractors; and perform other similar activities as needed.
- Provide technical support in existing and emerging clean energy technology areas, such as, but not limited to, hydrogen, energy storage, clean transportation, heat pumps, etc.



## **Contract Term**

The contractor selected through this competitive solicitation will support the Workforce Team over an initial three (3) year term with two options to renew for two (2) additional years, bringing the maximum term of the contract to seven (7) years.

## **Program Eligibility**

Proposers cannot have current contracts under the funding opportunities listed in *Section I – Introduction*. The selected contractor will be ineligible to participate in future rounds of the aforementioned funding opportunities for the full term of the contract.

## **Proposer Qualifications**

- Proposer must have demonstrated experience with program implementation and project management.
- Proposer must have familiarity with workforce issues faced by employers of workers who are part of the clean energy economy.
- Proposer must have familiarity with the New York State Climate Act and New York City rules, regulations and local laws that affect the City's building owners and property managers.

## **Contractor's Responsibility**

Confidential and proprietary customer information shared with the selected contractor while providing services is to be kept confidential by the selected contractor. Such information is not to be shared with other parties or used by the contractor for any purpose outside of the Scope of Services.

## **Program Policy Factors**

Additionally, NYSERDA reserves the right to accept or reject proposals based on the following factors:

- The degree to which the proposer has the resources (human and financial) to provide the requested services;
- The degree to which pricing and hourly rates are in line with the rest of the market;
- The degree to which the proposal directly addresses NYSERDA's mission and strategic goals;
- Programmatic nature and number of awards previously made to the proposer;
- The proposer's demonstrated commitment to diversity;
- Past performance under prior NYSERDA contracts.

## **III. Proposal Requirements**

### **Proposal Format/Outline**

The proposal should be submitted in **one combined PDF file** except for the Rate Schedule which can be submitted as a separate Excel attachment. The proposal should include the following sections:

#### ***Executive Summary (2-3 pages)***

In this section, proposers must summarize and exhibit a thorough understanding of this RFQ and the general approach to supporting and delivering the services requested.

Proposers must summarize why NYSERDA should select the proposer's firm by including a list or summary of specific services they can provide, as well as any acknowledgements or accolades recently received.

If the proposer is not based in New York State, discuss the mechanism which will guarantee its ability to deliver services in New York State in a cost-effective manner.

### ***Statement of Work***

A Sample Statement of Work is included as an attachment for your reference in the Sample Agreement. Proposers should submit a similar Statement of Work customized for their organization and are encouraged to build upon the stated tasks and/or deliverables if the additions would strengthen the quality of the work being performed.

### ***Proposer's Past Experience***

Provide a description of your firm's relevant or related past or current program implementation services delivered to NYSERDA, utility companies, or other similar organizations. Include details relative to the tasks in *Section II, Specific Program Requirements and Services Requested* if these services have been delivered. List key personnel and their respective involvement on the past or current program implementation experiences. Although not required, you may include Letters of Recommendation from past or present customers.

### ***Staffing Plan and Experience of Key Personnel***

In this section, proposers must provide documented ability to perform the program implementation services requested by NYSERDA.

Provide a description of the responsibilities of each key person in the execution of the proposed staffing plan. Services should be accomplished with a weighted combination of staff (e.g., principal, senior, junior, technical, administrative, and clerical staff) to minimize the total cost of services. Include a description of the experience and qualifications of each of the key personnel. Identify the main point of contact and their experience in project management, staff management and program development.

Resumes of key personnel highlighting relevant experience should be included as appendices. Individual resumes shall not exceed two (2) pages. Please include an organization chart showing the relationship among all personnel. It is preferred that individuals (within proposing firms) have strong oral and written communication and presentation skills; a minimum of three (3) years' experience in project development and/or management; and are familiar with the energy and/or workforce development fields.

All individuals involved in the proposal must be free from any financial interest in any product or service which may conflict with or appear to conflict with the objectivity of the services provided to NYSERDA and its customers. If any such affiliations exist, please describe them, and verify that they do not conflict with the objectivity provided to NYSERDA and its customers. The selected contractor will not be allowed to provide services on projects where they would be reviewing or validating their own work.

Proposers may be asked to include a listing of all current contracts with NYSERDA and how conflict between contracts will be avoided.

### ***Appendices***

The Appendix must include resumes of key personnel as described above. Additional appendices may be included if they are necessary for evaluation of the proposal.

### ***Rate Schedule***

Proposers must prepare a Rate Schedule using the template (Attachment A below) as a separate Excel attachment. The Rate Schedule must include billing rates for all positions listed in the staffing plan and any additional positions that might be involved during the course of the effort. The Rate Schedule may include billing rate annual escalations.

## **IV. Proposal Evaluation**

Proposals that meet solicitation requirements will be reviewed by a Scoring Committee using the Evaluation Criteria below **listed in order of importance**. At NYSERDA's discretion, proposers may be requested to interview with all or part of the Scoring Committee to address any potential questions or clarifications outlined in the proposals. Proposers will be notified if they are requested to attend an interview.

### Staffing Plan and Experience of Key Personnel

Does the proposer, including team members, have the demonstrated ability to perform the work described in the Statement of Work? Does the proposer have expertise with program implementation and project management? Does the proposer have familiarity with workforce issues faced by businesses which are part of the clean energy economy? (40 points)

### Rate Sheet

Are the proposed labor rates reasonable with respect to the qualifications of key personnel? Are the labor rates reasonable when compared with similar proposers? (35 points)

### Proposer's Past Experience

Have the proposer's key personnel delivered relevant or related past or current program implementation and project management services to NYSERDA, utility companies, or other organizations? (15 points)

### Statement of Work

Are tasks in the Statement of Work appropriate to the work that is being requested? Are deliverables clearly stated? (10 points)

## **GENERAL CONDITIONS**

**Proprietary Information** - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <https://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

**Omnibus Procurement Act of 1992** - It is the policy of New York State to maximize opportunities for the participation of New York State business enterprises, including minority- and women-owned business enterprises, as bidders, subcontractors, and suppliers on its procurement Agreements.

Information on the availability of New York subcontractors and suppliers is available from:

Empire State Development  
Division for Small Business  
625 Broadway  
Albany, NY 12207

A directory of certified minority- and women-owned business enterprises is available from:

Empire State Development  
Minority and Women's Business Development Division  
625 Broadway  
Albany, NY 12207

**State Finance Law sections 139-j and 139-k** - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx> . Proposers are required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility (this includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years).

**Tax Law Section 5-a** - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf)). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department.

The Department has created a second form that must be completed by a prospective contractor prior to contracting and filed with NYSERDA. See, ST-220-CA (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220ca\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf> .

**Contract Award** - NYSERDA anticipates making one award under this solicitation. NYSERDA anticipates a contract duration of three (3) years with two options to renew for two (2) additional years, bringing the maximum term of the contract to seven (7) years, unless NYSERDA management determines a different structure is more efficient based upon proposals received. A contract may be awarded based on initial applications without discussion or following limited discussion or negotiations pertaining to the Statement of Work. Each proposal should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately (10) weeks from the proposal due date whether your (proposal/application) has been selected to receive an award. Upon receipt of this notification, a proposer can request to schedule a debrief on the selection process and the strengths and weaknesses of its proposal by contacting Adele.Ferranti@nyserda.ny.gov. NYSERDA may decline to

contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

**Limitation** - This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement. NYSERDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information and the presence of a material possibility of any reputational or legal risk in making of the award.

**Disclosure Requirement** - The proposer shall disclose any indictment for any alleged felony, or any conviction for a felony within the past five years, under the laws of the United States or any state or territory of the United States and shall describe circumstances for each. When a proposer is an association, partnership, corporation, or other organization, this disclosure requirement includes the organization and its officers, partners, and directors or members of any similarly governing body. If an indictment or conviction should come to the attention of NYSERDA after the award of a contract, NYSERDA may exercise its stop-work right pending further investigation or terminate the agreement; the contractor may be subject to penalties for violation of any law which may apply in the particular circumstances. Proposers must also disclose if they have ever been debarred or suspended by any agency of the U.S. Government or the New York State Department of Labor.

**Vendor Assurance of No Conflict of Interest or Detrimental Effect** - The proposer shall disclose any existing or contemplated relationship with any other person or entity, including any known relationships with any member, shareholders of 5% or more, parent, subsidiary, or affiliated firm, which would constitute an actual or potential conflict of interest or appearance of impropriety, relating to other clients/customers of the proposer or former officers and employees of NYSERDA, in connection with proposer's rendering services as proposed. If a conflict does or might exist, please describe how your company would eliminate or prevent it. Indicate what procedures will be followed to detect, notify NYSERDA of, and resolve any such conflicts.

The proposer must disclose whether it, or any of its members, or, to the best of its knowledge, shareholders of 5% or more, parents, affiliates, or subsidiaries, have been the subject of any investigation or disciplinary action by the New York State Commission on Public Integrity or its predecessor State entities (collectively, "Commission"), and if so, a brief description must be included indicating how any matter before the Commission was resolved or whether it remains unresolved.

**Public Officers Law** – For any resulting awards, the Contractor and its subcontractors shall not engage any person who is, or has been at any time, in the employ of the State to perform services in violation of the provisions of the New York Public Officers Law, other laws applicable to the service of State employees, and the rules, regulations, opinions, guidelines or policies promulgated or issued by the New York State Joint Commission on Public Ethics, or its predecessors (collectively, the "Ethics Requirements"). Proposers are reminded of the following Public Officers Law provision: contractors, consultants, vendors, and subcontractors may hire former NYSERDA employees. However, as a general rule and in accordance with New York Public Officers Law, former employees of NYSERDA may neither appear nor practice before NYSERDA, nor receive compensation for services rendered on a matter before NYSERDA, for a period of two years following their separation from NYSERDA service. In addition, former NYSERDA employees are subject to a "lifetime bar" from appearing before any state agency or authority or receiving compensation for services regarding any transaction in which they personally participated, or which was under their active consideration during their tenure with NYSERDA.

Any awardee will be required to certify that all of its employees, as well as employees of any subcontractor, whose subcontract is valued at \$100,000 or more who are former employees of the State and who are assigned to perform services under the resulting contract, shall be assigned in accordance

with all Ethics Requirements. During the term of any agreement, no person who is employed by the contractor or its subcontractors and who is disqualified from providing services under the contract pursuant to any Ethics Requirements may share in any net revenues of the contractor or its subcontractors derived from the contract. NYSERDA may request that contractors provide it with whatever information the State deems appropriate about each such person's engagement, work cooperatively with the State to solicit advice from the New York State Joint Commission on Public Ethics, and, if deemed appropriate by the State, instruct any such person to seek the opinion of the New York State Joint Commission on Public Ethics. NYSERDA shall have the right to withdraw or withhold approval of any subcontractor if utilizing such subcontractor for any work performed would be in conflict with any of the Ethics Requirements. NYSERDA shall have the right to terminate any contract at any time if any work performed is in conflict with any of the Ethics Requirements.

**Due Diligence** – NYSERDA, at its discretion, may conduct broad due diligence to validate any or all elements of an application and to assess applicants' prospects of success, including gathering information to assess a proposal relative to any of the topics listed in evaluation criteria, whether or not such topic is explicitly addressed in a proposal. NYSERDA may conduct due diligence on some or all proposals based on NYSERDA's current guidelines at the time of a review. NYSERDA staff may follow up with proposers to request additional information or clarification regarding applicant's proposal, including questions regarding applicant's business prospects and resources, whether or not those questions are specifically related to the elements of the proposal. Additionally, customized due diligence may be conducted by internal or external staff or contractors based on questions on any proposal raised by NYSERDA staff and/or the Scoring Committee. Due diligence may include (but is not limited to): interviews of independent references and background checks of team members; assessment of prior business experience of any team member associated with a proposal; research on intellectual property claims; customer and partner reference checks; market research on the applicants' target market and any other related or possibly competitive technology or market area; research to validate any assumptions on current or future revenues, costs, capital needs, and financing prospects for proposers' business, including similar (or unrelated) technologies, processes, or competitive solutions; or any other research that could reasonably inform the evaluation of a proposal, or the prospects for commercial success of the proposers' business (whether directly related to, or unrelated to the specific elements in a proposal). Due diligence may include discussions with proposers' former and current business partners, employees, investors, customers, and competitors. Due diligence may be conducted by NYSERDA personnel or contractors including members of the scoring committee, before, during, or after a scoring process, and prior to finalization of a contract award, any information gleaned in diligence may be used to score or re-score a proposal or apply a program policy factor.

**EO 16 Protocols** – Pursuant to Executive Order No. 16 issued on March 17, 2022, all vendors responding to bids or contracting with New York State must certify, using the form provided as part of this solicitation, their status with regard to conducting business operations in Russia, and that any such business operations in Russia conducted on behalf of the vendor are determined to be permitted under any of the allowable exemptions. The term vendor is intended to encompass bidders prior to contract award, contractors who have received a contract award, contract assignees, or contractors for whom an extension to an existing contract is being pursued. Exemption decisions are in NYSERDA's sole discretion and are final decisions. NYSERDA reserves the right to solicit additional materials or information regarding the responses or materials provided by a vendor.

Pursuant to Executive Order No. 16, all vendors will be vetted to ensure that they are not on the federal sanctions list at <https://sanctionsearch.ofac.treas.gov/>. There is no waiver or exemption process for vendors appearing on the federal sanctions list.

The Executive Order remains in effect while sanctions imposed by the federal government are in effect. Accordingly, vendors who may be excluded from award because of current business operations in Russia are nevertheless encouraged to respond to solicitations to preserve their contracting opportunities in case sanctions are lifted during a solicitation, or after award in the case of some solicitations.

**V. Attachments:**

Attachment A – Rate Schedule

Attachment B – Standard Agreement and Sample Statement of Work



**Routine Sampling of Adirondack Long Term Monitoring (ALTM) Lakes and Streams  
Request for Proposal (RFP) 5200  
\$1,000,000 Available**

*NYSDERDA reserves the right to extend and/or add funding to the Solicitation should other program funding sources become available.*

**Proposals Due: November 1, 2022, 3:00 PM Eastern Standard Time\***

The Adirondack Long Term Monitoring (ALTM) Program began in the 1980s and provides monitoring data to assess the impacts of acid deposition, mercury, and climate change on the Adirondack ecoregion. In conjunction with various contractors, the New York State Energy Research and Development Authority (NYSDERDA), the NYS Department of Environmental Conservation (DEC), and the U.S. Environmental Protection Agency (EPA) have supported the ALTM Program since 1998. This cooperative arrangement has proven to be successful in providing high quality data documenting environmental change over several decades and providing a better understanding of the processes involved in ecosystem acidification and its recovery through interpretation of the trends and other data analysis.

NYSDERDA seeks proposals from knowledgeable and experienced organizations or teams interested in conducting the routine sampling of Adirondack lakes and streams as part of the ALTM Program. The selected contractor(s) will be responsible for the field activities, which includes collecting water samples, measuring field parameters, documenting all field and sampling activities, packing and delivering samples for analysis, maintenance of field equipment, and communicating with private and public entities to schedule and gain access to sampling locations. In addition, the selected contractor(s) will work effectively with NYSDERDA, DEC, EPA, and the U.S. Geological Survey (USGS) in maintaining the consistency and continuation of this long-term monitoring data set and advancing the goals of the ALTM Program to better inform policy decisions.

This Request for Proposals (RFP) makes up to \$1,000,000 available for this effort over a five-year period. NYSDERDA anticipates selecting up to three (3) contractors for this effort. Proposers may elect to submit a proposal for any combination of, or for all of the following ALTM Program components: ALTM Lake Monitoring, ALTM Bi-weekly Stream Monitoring, and ALTM Spatial Stream Monitoring.

**Proposal Submission:** Proposers must submit a separate proposal for each category they are proposing to. Electronic submission is preferable. Proposers may submit Word, Excel, or PDF files (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. NYSDERDA will also accept proposals by mail or hand-delivery if electronic submission is not possible. For detailed instructions on how to submit a proposal (electronic or paper submission), click the link "NYSDERDA Solicitation User Guide [PDF]" located in the "Upcoming Funding Opportunities" section of NYSDERDA's website (<https://www.nysderda.ny.gov/Funding-Opportunities/Upcoming-Funding-Opportunities.aspx>) and on this RFP's webpage.



If mailing or hand-delivering, proposers must submit (2) paper copies of their proposal(s) with a completed and signed Proposal Checklist and Disclosure of Prior Findings of Non-Responsibility Form, along with a CD or DVD containing both a PDF and MS Word digital copy of the proposal, following the above guidelines. Mailed or hand-delivered proposals must be clearly labeled and submitted to:

**Jillina Baxter, Proposals, RFP 5200**  
**NYS Energy Research and Development Authority**  
**17 Columbia Circle**  
**Albany, NY 12203-6399**

No communication intended to influence this procurement is permitted except by contacting Bethany Meys (Designated Contact) at (518) 862-1090, ext. 3450 or [AdirondackMonitoring@nyserda.ny.gov](mailto:AdirondackMonitoring@nyserda.ny.gov) or Jeremy Magliaro (Designated Contact) at (518) 862-1090, ext. 3372 or [AdirondackMonitoring@nyserda.ny.gov](mailto:AdirondackMonitoring@nyserda.ny.gov). If you have contractual questions concerning this solicitation, contact Nancy Marucci (Designated Contact) at (518) 862-1090, ext. 3335 or [nancysolicitationsi@nyserda.ny.gov](mailto:nancysolicitationsi@nyserda.ny.gov). Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offeror, and (2) may result in the proposer not being awarded a contract.

**\* All proposals must be received by 3PM Eastern Time on the date noted above. Late, faxed, or emailed proposals will not be accepted.** Late proposals will be returned. Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal. Please note: for electronic submission, there are required questions that you will have to answer in addition to uploading attachments and you should allot at least 60 minutes to enter/submit proposals. The electronic proposal system closes promptly at 3PM, files in process or attempted edits or submission after 3PM Eastern Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on NYSERDA's web site at <https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities>.

## I. INTRODUCTION

The Adirondack Long Term Monitoring (ALTM) program was initiated in 1982 with the goal of evaluating the chemistry of Adirondack lakes with a focus on measuring the impact of acidification resulting from electricity generation facilities emitting nitrogen and sulfur oxides (NO<sub>x</sub> and SO<sub>x</sub>), volatile organic compounds, fine particles, air toxics such as mercury, and greenhouse gases. These pollutants are associated with acid rain, smog, visibility degradation, climate change, and increased human mortality and morbidity. They also impose economic burdens by increasing health care costs; degrading building materials; and reducing the value of tourism, recreational and scenic resources, and other environmental services.

Monitoring data and research are necessary to formulate effective and equitable public policies at the federal and State levels. Specifically, ALTM monitoring data helped to provide a baseline for measuring the effectiveness of the 1990 Clean Air Amendments. As New York State and the watersheds in the Adirondacks have been recovering from acid rain and its effects, impacts from climate change and interacting stressors are emerging.

NYSERDA's Environmental Research Program (Program) seeks to increase the understanding and awareness of the environmental impacts of energy choices and climate change, and to provide a scientific and technical foundation for formulating effective, equitable, energy-related environmental policies and resource management practices. The Ecosystems component of the Program has supported long-term monitoring of sulfur (S), nitrogen (N), mercury (Hg), and other electricity generation pollutants for nearly 20 years and has been adapting to better track environmental indicators of climate change and other cross-cutting issues.

Long-term monitoring is essential for understanding both environmental trends and short-term events. The data collected provides accountability for existing policies while also providing surveillance for unanticipated changes. Similarly, long-term monitoring data should be collected with the purpose of providing those data for multiple uses, including informing policy. Long-term-monitoring efforts, such as the ALTM Program, need to evolve but must always provide high quality, reliable data that documents environmental change. To be most effective, these efforts must actively engage in providing those data and analyses in the forms necessary to inform policy decisions.

NYSERDA has prioritized and supported long-term monitoring in a variety of forms. NYSERDA has undertaken periodic reassessments of these monitoring activities to help assure that the right environmental samples are collected at the most statistically appropriate frequency, and at the best spatial and temporal scales to maximize the value of each monitoring activity. Additionally, NYSERDA currently supports project scoping associated with the proposed Survey of Climate Change and Adirondack Lake Ecosystems (SCALE), which is an early-phase inquiry to identify and potentially undertake research to address any outstanding scientific and management-oriented research needs in Adirondack watersheds. NYSERDA anticipates that as SCALE planning and implementation progresses there may be overlap with the ALTM Program.

The goal of the ALTM Program is to conduct environmental monitoring to maintain trends, inform public policy relating to atmospheric deposition of acid rain precursors (NO<sub>x</sub> and SO<sub>x</sub>) and to better understand how climate change may effect acidification and recovery trends. To accomplish this goal, the ALTM Program has four (4) separate, but highly coordinated components:

- 1) Consistent field collection and handling of water samples and data;
- 2) Methodical chemical analysis of samples including appropriate quality

- assurance/quality control (QA/QC) procedures;
- 3) Making data publicly available with outreach specific to scientists and policy makers; and
  - 4) Periodic review and modification of sampling strategies and standard operating procedures as statistical trends and policy needs dictate.

In order to best meet the goal of the ALTM Program, sampling strategies have been developed to provide an understanding of the processes involved in lake and stream acidification and recovery. Details about the ALTM Program available at: <https://www.nyscrda.ny.gov/-/media/Project/Nyscrda/Files/Publications/Research/Environmental/Adirondack-Waters-Long-Term-Monitoring-Program.pdf>.

This RFP seeks up to three (3) entities or teams to conduct the routine sampling of Adirondack lakes and streams identified as part of the ALTM Program for the next five (5) years, beginning in January 2023 through December 2027. The selected contractor(s) will be responsible for lake and stream field sampling and working with private and public land-owners, State and federal agencies (e.g. DEC, EPA and USGS), and universities towards accomplishing the goals of the ALTM Program.

## **II. PROGRAM REQUIREMENTS**

### **A. ALTM Lake Monitoring**

Background - The ALTM Lake Monitoring Program was initiated in 1982 to evaluate monthly chemistry of 17 Adirondack lakes. The lakes were selected from the Regionalization of the Integrated Lake Watershed Acidification Study. From 1984 to 1987 an intensive chemical and biological survey of nearly 1,500 lakes within the Adirondack Park was completed by the Adirondack Lakes Survey Corporation (ALSC). Following the analysis of the data collected, the ALTM Program was expanded to 52 lakes to provide a better representation of lakes across the region. Monthly sampling of the 52 lakes began in 1992 and continued through 2013.

There were some notable changes made to the routine sampling design of the ALTM lakes over several years. In 2014, sampling design called for a mix of monthly, seasonal, and annual sampling. A reduction in the monthly sampling design at some locations was initiated after determining that the integrity and value of the data record and the lake monitoring program would be retained. In 2018, monthly sampling frequency was reduced to collecting samples seasonally (with samples collected in February, April, May, July, September and November).

Descriptions of the ALTM lake study sites are available at: <https://www.nyscrda.ny.gov/-/media/Project/Nyscrda/Files/Publications/Research/Environmental/altm-compendium.pdf>. This document contains physical, chemical, and biological information as well as previous research completed for each of the lake study sites.

Sampling - The selected contractor(s) will routinely monitor 58 lake sites (50 lakes and 8 outlets) identified in Table 1 on a seasonal basis (samples collected in February, April, May/June, July/August and September/October) or annual basis (samples collected in July or August).

**Table 1. Sampling Frequency of ALTM Lakes (2023-2027)**

<b>EPA ALTM ID</b>	<b>Site Name</b>	<b>Sampling Frequency</b>
1A1-052O	ARBUTUS LAKE	Seasonal*
050707O	AVALANCHE LAKE	Seasonal*
040905	BARNES LAKE	Annual**
020059O	BIG HOPE POND	Seasonal*
1A1-103O	BIG MOOSE LAKE	Seasonal*
1A1-071S	BLACK POND STREAM	Seasonal*
040874O	BROOK TROUT LAKE	Seasonal*
1A1-113O	BUBB LAKE	Seasonal*
1A1-113S	BUBB LAKE STREAM	Seasonal*
050669E	CARRY POND	Annual**
1A1-105O	CASCADE LAKE	Seasonal*
1A1-105S	CASCADE LAKE STREAM	Seasonal*
1A2-077O	CLEAR POND	Seasonal*
050706O	LAKE COLDEN	Seasonal*
1A1-017O	CONSTABLE POND	Seasonal*
1A1-017S	CONSTABLE POND STREAM	Seasonal*
1A1-106O	DART LAKE	Seasonal*
020138O	EAST COPPERAS POND	Seasonal*
070859O	G LAKE	Seasonal*
030171E	GRASS POND (3)	Annual**
040706O	GRASS POND (4)	Seasonal*
1A1-102O	HEART LAKE	Seasonal*
040852O	INDIAN LAKE	Seasonal*
1A2-066O	JOCKEYBUSH LAKE	Seasonal*
030172E	LITTLE CLEAR POND	Seasonal*
1A1-107E	LITTLE ECHO POND	Seasonal*
020058O	LITTLE HOPE POND	Annual**
040186O	LOON HOLLOW POND	Seasonal*
040826O	LIMEKILN LAKE	Seasonal*
050649O	LONG POND	Annual**
040887O	LOST POND	Annual**
060182O	LITTLE SIMON POND	Annual**
040707O	MIDDLE BRANCH LAKE	Seasonal*
1A1-029O	MIDDLE POND	Annual**
1A1-109O	MOSS LAKE	Seasonal*
040704O	MIDDLE SETTLEMENT LAKE	Seasonal*
1A3-001O	NATE POND	Annual**
041007O	NORTH LAKE	Seasonal*

<b>EPA ALTM ID</b>	<b>Site Name</b>	<b>Sampling Frequency</b>
1A2-078O	OTTER LAKE	Seasonal*
1A2-078S	OTTER LAKE STREAM	Seasonal*
1A2-028O	OWEN POND	Annual**
1A1-089O	QUEER LAKE	Seasonal*
060315AO	RAQUETTE LAKE RESERVOIR	Seasonal*
1A1-110O	LAKE RONDAXE	Seasonal*
1A1-059O	SAGAMORE LAKE	Seasonal*
020197E	SOCHIA POND	Annual**
041004O	SOUTH LAKE	Seasonal*
1A1-111O	SQUASH POND	Seasonal*
1A1-111S	SQUASH POND STREAM	Seasonal*
040850O	SQUAW LAKE	Seasonal*
020188E	SUNDAY POND	Annual**
1A1-087O	WINDFALL POND	Annual**
1A1-087S	WINDFALL POND STREAM	Annual**
050215O	WILLIS LAKE	Annual**
040210O	WILLYS LAKE	Seasonal*
1A1-112O	WEST POND	Seasonal*
1A1-112S	WEST POND STREAM	Seasonal*
040576O	WOODS LAKE	Seasonal*

\*Seasonal = Sampling in February, April, May/June, July/August and September/October

\*\*Annual = Sampling in July or August

Lakes with outlets are sampled at or near the outlet by surface grab method. Lakes with no outlets will be sampled from watercraft at or near the deepest part of the lake at a depth of 0.5 m with a Kemmerer sampler. Ready-to-use sample bottles and necessary documentation forms will be provided by the USGS. The selected contractor(s) will be responsible for transporting/shipping samples from the field in chilled coolers to the USGS laboratory in Troy, NY. At the time of sampling, the selected contractor(s) will be required to collect temperature, dissolved oxygen and field pH, and if conditions allow vertical lake profiles of temperature and dissolved oxygen at the surface, at one-meter intervals, and 0.5 m from the sediment.

The selected contractor(s) will be responsible for creating and maintaining all documentation created in the field such as field books, site logs, and documentation needed for transporting/shipping the samples once collected. In addition, the selected contractor(s) will be responsible for providing equipment and gear needed to access the sampling locations and perform the routine monitoring of the ALTM lakes under all weather conditions, as described above. Equipment that will be the responsibility of the selected contractor(s) includes, but is not limited to, watercraft, Kemmerer samplers, necessary probes (e.g., temperature, dissolved

oxygen, pH), and coolers and ice for shipping. The selected contractor(s) may also be assigned other work relating to Adirondack lake and stream monitoring over the duration of their contract.

#### **B. ALTM Bi-weekly Stream Monitoring – Buck, Boreas, and White Brook Watersheds**

Background - The bi-weekly streams component of the ALTM Program began in June 1992 following the completion of the EPA Episodic Response Project (ERP). Starting at that time, Buck Creek, Bald Mountain Brook, and Fly Pond Outlet were sampled on a weekly basis. In September 2006, the stream sampling interval was changed to bi-weekly for Buck Creek and Bald Mountain Brook and to monthly at Fly Pond Outlet.

Led by the USGS, bi-weekly and episodic sampling and flow-monitoring at the North Tributary, South Tributary, and main channel of Buck Creek (collectively called “Buck Creek”) has been taking place since 2001. Based on the evaluation of stream trends in samples collected and analyzed through 2013, a new sampling strategy was developed. Starting in 2014, the sampling at Bald Mountain Brook and Fly Pond Outlet were discontinued and sampling of three (3) stream sampling sites (Durgin Brook, Maple Stream, and Balsam Creek) near the Boreas River (collectively called “Boreas”) were added to represent a more buffered watershed than Buck Creek. During the 2018 – 2022 sampling period, challenges were noted at the Durgin Brook (Boreas) and thus 2023 – 2027 sampling will discontinue sampling at the Durgin site and include sampling at the Whiteface site (White Brook), which has been judged to be a better candidate for tracking climate change as well as implementing new monitoring technology.

Sampling - Under the guidance of the USGS, the selected contractor(s) will be instructed to collect surface grab samples from six (6) stream sampling sites: Buck Creek (main), North Tributary Buck, South Tributary Buck, Whiteface (White Brook), Maple Stream (Boreas), and Balsam Stream (Boreas) on a bi-weekly basis.

During these bi-weekly visits, the selected contractor(s) will also be responsible for retrieving stream samples collected by automated ISCO samplers, downloading all electronic data collected at these sites (e.g., stream stage, soil moisture, temperature, and photos), maintaining the equipment (e.g., battery replacement, calibrating equipment, notification of system errors, etc.), and communicating with the USGS. Other information on site conditions (e.g., damage to equipment, unusual flow conditions and changes to the stream gaging site) should also be communicated to USGS within 24 hours of the site visit.

High-flow samples from the automated ISCO samplers will be submitted up to six (6) times per year at the six (6) stream sites. In addition, the selected contractor(s) will collect surface grab high-flow samples during the winter/early spring (when ISCO samplers are inactive) up to four (4) times a year at all six (6) stream sites. The timing of the collection of high-flow samples will be determined by the USGS.

Ready-to-use grab and ISCO sample bottles and necessary documentation forms will be provided by the USGS. The selected contractor(s) will be responsible for transporting/shipping samples from the field in chilled coolers to the USGS laboratory in Troy, NY.

The selected contractor(s) will be responsible for creating and maintaining all documentation created in the field such as field books, site logs, and documentation needed for transporting/shipping the samples once collected. In addition, the selected contractor(s) will be responsible for providing equipment and gear needed to access the sampling locations and perform the monitoring of the ALTM bi-weekly streams under all weather conditions, as described above. Equipment that will be the responsibility of the selected contractor(s) includes but is not limited to, coolers and ice for shipping. The selected contractor(s) may also

be assigned other work relating to Adirondack lake and stream monitoring over the duration of their contract.

### **C. ALTM Spatial Stream Monitoring – Sampling of Adirondack Stream Survey Waters and High Elevation Streams**

Background – Prior to 2003, there was insufficient information to assess the regional status of streams with regards to acidification in the Adirondacks. The Western Adirondack Stream Survey (WASS) and East-Central Adirondack Stream Survey (ECASS) were conducted to provide an assessment of stream chemistry throughout the Adirondack region. Historical streams (streams first sampled in the 1980's) and high elevation streams located in the High Peaks region of the Adirondacks were also sampled as part of the stream monitoring program. The stream surveys were designed to assess the chemical and biological conditions of over 400 streams within the Adirondacks.

Beginning in 2003, five (5) seasonal surveys of streams in the western Adirondacks (WASS) were conducted over three-day periods. Similarly, beginning in 2010, three seasonal surveys of streams in the eastern-central Adirondacks (ECASS) were conducted over three-day periods. During each of these surveys, approximately 200 streams were sampled. In addition, historical streams were sampled during the WASS and high elevation streams were sampled during the ECASS. Beginning in 2014, 64 of the WASS streams were resampled to evaluate changes over time, along with 64 ECASS streams. In addition, samples were collected from 12 historical streams eight (8) times in 2016, and 13 high elevation streams were most recently sampled in 2021-2022.

Sampling - To assess the current condition of stream chemistry throughout the Adirondack region (defined by the Adirondack State Park boundary) with regard to acidic deposition history and more recent changes in climate, the previous WASS/ECASS sampling surveys are being modified to improve characterization of streams under flow conditions as similar as possible for the entire region. Over the next five (5) years, the two surveys (hereafter referred to as Adirondack Wide Stream Survey) will be accomplished, once during spring snowmelt and once during summer baseflow. Efforts will be made to ensure that the surveys are accomplished under conditions similar across the region, using antecedent weather conditions and short-term weather forecasts as a guide for when to sample. High elevation sampling will continue in this 5-year period as well, but the locations and schedule are also being modified, as described below. The Adirondack Wide Stream Survey (AWSS) and high elevation stream sampling efforts will be led by the USGS and in collaboration with DEC, NYSERDA, and the selected contractor(s). The total number streams sampled by the selected contractor(s) will vary from year-to-year as prescribed in Table 2.

In each of AWSS surveys (snowmelt and summer) 120 streams will be sampled that were selected by USGS using a gridded design that blankets the Adirondack Park. The timing of when these sampling events will take place will also be determined by the USGS. Sample collection will be conducted jointly by the USGS and the selected contractor(s), under the direction and supervision of the USGS. Each survey will be completed within a 4 to 5-day consecutive window. The selected contractor(s) will collect approximately 50% of the 120 streams sampled during each of the AWSS surveys. The streams sampled by the selected contractor(s) will be in the approximate northern half of the Adirondack State Park.

In the upcoming cycle the modified design for sampling high elevation streams will better evaluate changes that may occur through climate change as well as recovery from acidic deposition. Seven (7) of the original 13 high elevation streams will be sampled once in spring (as early in the year as feasible) and once in summer, every other year starting in 2023 (3 of the 5

years in the cycle). Three (3) of the original high elevation streams on or adjacent to Whiteface Mountain, which have greater accessibility, will be sampled once in spring (as early in the season as possible) and once in summer at baseflow during each year of the upcoming 5-year cycle. These data will be well supported by the watershed monitoring of White Brook and provide the best approach for detecting changes in stream chemistry over time. The USGS will conduct the sampling of the three (3) streams on or adjacent to Whiteface Mountain and the selected contractor(s) will conduct sampling of the other seven (7) high elevation streams.

**Table 2. Contractor Sampling Schedule of ALTM Spatial Streams (2023-2027)**

Year / Season	Stream Monitoring Study - Estimate of Samples Collected		Total Number of Samples
	Adirondack Wide Stream Survey (AWSS) Survey	High Elevation Streams	
2023 – Spring Snowmelt	-	7	7
2023 – Summer	-	7	7
2024 – Spring Snowmelt	-	-	-
2024 – Summer	-	-	-
2025 – Spring Snowmelt	60	7	67
2025 – Summer	60	7	67
2026 – Spring Snowmelt	-	-	-
2026 – Summer	-	-	-
2027 – Spring Snowmelt	-	7	7
2027 – Summer	-	7	7

Ready-to-use sample bottles, sampling location information, calibrated thermometers, and necessary documentation forms will be provided by the USGS. The selected contractor(s) will be responsible for transporting/shipping samples from the field in chilled coolers to the USGS laboratory in Troy, NY.

The selected contractor(s) will be responsible for creating and maintaining all documentation created in the field such as field books, site logs, and documentation needed for transporting/shipping the samples once collected. In addition, the selected contractor(s) will be responsible for providing equipment and gear needed to access the sampling locations and perform the routine monitoring of the ALTM spatial streams under all weather conditions, as described above. Equipment that will be the responsibility of the selected contractor(s) includes, but is not limited to, coolers and ice for shipping. The selected contractor(s) may also be assigned other work relating to Adirondack lake and stream monitoring over the duration of their contract.

### III. PROPOSAL REQUIREMENTS

All responses submitted as part of this solicitation process become the property of NYSERDA. Proposers will not be reimbursed by NYSERDA for any costs associated with the preparation of their proposals. A total of up to \$1,000,000, approximately \$200,000 per year over a period of



five years, is available to support this effort. Proposers may elect to submit a proposal for any combination of, or for all of the following ALTM Program components: ALTM Lake Monitoring (*Section II. A.*), ALTM Bi-weekly Stream Monitoring – Buck, Boreas, and White Brook Watersheds (*Section II.B.*), and ALTM Spatial Stream Monitoring – Sampling of Adirondack Stream Survey Waters and High Elevation Streams (*Section II.C.*). *A separate proposal must be submitted for each program component.*

### **Submittal**

***A separate proposal must be submitted for each program component. Each proposal must include executed Attachment A - ALTM Program Components Checklist and Attachment B – Budget Form.*** To be eligible for selection under this RFP, proposers must submit a complete bid package and agree to the terms and requirements of this RFP. Electronic submission is preferable. Proposers are strongly encouraged to use NYSERDA’s online electronic proposal submission portal. NYSERDA will also accept proposals by mail or hand-delivery. Late, faxed, or e-mailed proposals will not be accepted.

1. If submitting electronically, proposers must submit the proposal in either PDF or MS Word format. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility, rather than scanning. For ease of identification, all electronic files must be named using the proposer’s entity name in the title of the document. Proposals may be submitted electronically by following the link for electronic submissions found on this RFP’s webpage, which is located in the “Current Opportunities” section of NYSERDA’s website (<http://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).
2. If not submitting electronically, proposers must submit (2) paper copies of their proposal with a completed and signed Proposal Checklist and Disclosure of Prior Findings of Non-Responsibility Form, along with a CD or DVD containing both a PDF and MS Word digital copy of the proposal, following the above guidelines to the attention of Jillina Baxter at the address on the front of this Request for Proposal. A completed and signed Proposal Checklist must be attached as the front cover of the proposal, one of which must contain an original signature.

Proposals must follow the format below. Proposers should include sufficient, succinct information to demonstrate their experience with similar work and detail their approach for this project. Each page of the proposal should state the name of the proposer, “RFP 5200”, and the page number. The maximum length of each proposal section is shown.

In compliance with §139-j and §139-k of the State Finance Law (see Section V, General Conditions below for additional information), proposers will be required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility.

### **Proposal Format**

Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. Each proposal shall contain, at a minimum, the following:

#### **Proposal Checklist (1 page)**

Attach as the front cover of the proposal, if mailing or hand-delivering, a signed copy of the Proposal Checklist including required certifications under the State Finance Law and acceptance of the standard terms and conditions as contained in the Sample Agreement (Attachment D). If submitting electronically, this checklist will be included as a set of

questions required to be answered in order to successfully complete the electronic submittal of the proposal.

ALTM Program Component Checklist (1 page)

Proposers may elect to submit a proposal for any combination of, or for all three ALTM Program components (*Section II.A., B., and C.*). Proposers should indicate which components are being applied to on Attachment A – ALTM Program Components Checklist.

Project Overview (1-2 pages)

Proposers must briefly describe their sampling approach in a succinct Project Overview that contains all the necessary information to understand how the proposer will provide the required services as outlined in Section II. In this overview, alternatives or options (e.g. shipping or delivering samples to the USGS laboratory) to accomplishing the work should be explained. A description of how transportation routes will be managed must be described. The Overview should summarize what resources (e.g., personnel, transportation, equipment, etc.) are needed to successfully complete the required services. If applicable, include a description of areas where efficiencies may be incorporated to make this sampling more efficient and cost-effective, without losing the integrity of the long-term monitoring record of the ALTM Program's data sets. The Project Overview should be a complete summary of the proposed sampling and sample delivery approach.

Project Management Plan and Qualifications (3-5 pages)

Proposers must briefly describe the Project Management Plan at a high level that includes the key personnel and organizations participating in the project and the role that each will play. Include in this description why each of the entities on the team are important to the project and how the strengths of each improve the overall project.

The Project Management Plan must include an Organizational Chart that lists all personnel participating in the project. Include any subcontractors and other sponsors involved in the project, showing their roles and responsibilities.

Include brief descriptions (1-2 paragraphs each) of related projects that have been undertaken by involved personnel that demonstrates experience with lake and stream sampling; knowledge of short- and long-term acidic deposition research projects in the Adirondack region; successful collaboration with public and private landowners, universities, State and federal agencies, and other organizations. The project descriptions should specify the level of involvement of the proposing firm and subcontractors and the results/deliverables of the project.

Include the relevant portions of resumes for involved personnel that include education and experience that are relevant to the proposed work (1 page each – not included in page count).

Conflicts (1-2 pages)

The proposer, its principals, subcontractors, and any personnel must be free from any financial or similar interest in any product or service which may conflict with or appear to conflict with the objectivity of the services provided to NYSERDA. Please describe all relevant affiliations to organizations currently or recently involved in research and monitoring activities related to acidic deposition, mercury or climate change in New York State. If any affiliations exist, you must provide a statement verifying these affiliations do not conflict with or appear to conflict with the objectivity of providing services to NYSERDA. Non-disclosure of any affiliation can result in the termination of a contract, if awarded.

Cost Proposal – Budget Form (1-2 pages)

Complete Attachment B – Budget Form for the entire project, including any in-kind contributions and other cost-sharing. Hourly rates provided in the budget should be fully burdened. Include any supplemental information necessary to fully understand the project costs on a separate sheet. Care should be taken to allow the reviewers to understand what each of the components of the project is expected to cost (personnel, transportation, equipment, etc.) as project modifications may be negotiated based on Scoring Committee feedback and at NYSERDA's discretion.

The degree and type of cost-sharing will be considered in the evaluation of proposals. Cost-sharing of 25% is encouraged but is not required. In-kind cost-sharing is acceptable. Cost-sharing can be from the proposer, other team members, other government entities, or private sources. Contributions of direct labor (for which the laborer is paid as an employee) and purchased materials may be considered "cash" contributions. Unpaid labor, indirect labor, or other general overhead may be considered in-kind contributions.

Indirect Cost (Provide as an Attachment)

Attach supporting documentation to support indirect cost (overhead) rate(s) included in the proposal as follows:

- a. Describe the basis for the rates proposed (i.e., based on prior period actual results; based on projections; based on federal government or other independently approved rates).
- b. If rate(s) is approved by an independent organization, such as the federal government, provide a copy of such approval.
- c. If rate(s) is based on estimated costs or prior period actual results, include calculations to support proposed rate(s). Calculation should provide enough information for NYSERDA to evaluate and confirm that the rate(s) are consistent with generally accepted accounting principles for indirect costs.

NYSERDA reserves the right to audit any indirect rate presented in the proposal and to make adjustment for such difference. Requests for financial statements or other needed financial information may be made if deemed necessary.

Disclosure of Prior Findings of Non-Responsibility (1 page)

Complete and attach a signed copy of the Disclosure of Prior Findings of Non-Responsibility Form, if mailing or hand-delivering. If submitting electronically, this form will be included as a set of questions required to be answered in order to successfully complete the electronic submittal of the proposal.

Letters of Commitment or Support (1 page each)

If the proposal relies on other organizations or businesses to do work; provide services, equipment, or data; or share in the non-NYSERDA cost, include a letter from that organization or business describing their commitment. The absence of letters of commitment or support will be interpreted as the proposer not having commitment/support from those parties.

**IV. PROPOSAL EVALUATION**

Proposals that meet the solicitation requirements will be reviewed by a Scoring Committee and will be scored and ranked according to the following Technical Evaluation Criteria, **listed in order of importance**. Additionally, proposal selection will be based on experience, proposed management plan, key personnel and staff, overall cost, and other factors relevant to achieving the objectives of the project. At NYSERDA's discretion, proposers may be asked to provide contact information for professional references or asked to participate in telephone or in-person interviews. Proposers will be notified if they are requested to attend an interview. To develop the strongest program possible, proposed approaches may be modified at NYSERDA's discretion.

**A. Technical Evaluation Criteria in Order of Importance**

Management Plan and Qualifications - How well has the proposer organized a management plan and a project team with the necessary technical, operations, and administrative experience for successfully completing the tasks needed for meeting the goals of the project? How familiar is the team with the Adirondack region and the environmental research work that is currently taking place in the area? Is there sufficient depth to the team to ensure that there are no breaks in the ALTM Program's routine sampling or monitoring activities? If proposing for more than one ALTM Program component, has the proposer clearly identified how their team will manage the multiple activities taking place concurrently? Was an Organizational Chart included (if appropriate)? Have letters of support from subcontractors or supporting entities been included (if appropriate)?

Project Experience - Are the project descriptions clear and concise and show what the proposer's capabilities are for fulfilling this RFP's requirements? Do the project descriptions show the team's experience in water sampling and monitoring activities as described in this RFP? How experienced is the team with coordinating activities and collaborating with others to meet the goals of a program with multiple components in a timely manner?

Soundness of Project Methods - How suitable is the proposed approach for meeting the project objectives? Does the approach reflect a clear understanding of the objectives, scope of services, and requirements of this RFP to be effective? Has the proposer proved that their team has the right resources (personnel and equipment) to complete the proposed project?

Cost Criteria - How justifiable and reasonable are the overall costs compared to the expected scope of the project? How justified and reasonable are the proposer's cost allocations? Are the billing rates reasonable and appropriate for the staff performing specific tasks? Does the proposal include cost-sharing or in-kind funding?

## **B. Other Considerations**

If an investigator(s) identified in a proposal is an investigator on a current NYSERDA awarded project, for which project deliverables (such as reports) have been consistently delinquent, such delinquency will be considered negatively in the evaluation of the current proposal.

If applicable, the responsiveness of the proposer in conducting other NYSERDA-funded work will be considered.

The following factors may also be considered during this evaluation:

- Effective response to proposal requirements specified in this RFP.
- Experience and expertise in providing the services listed in Section II.
- The ability to deliver services safely, efficiently, and economically.
- The relevance of the project descriptions showing similar work performed.
- Experience working with other State and federal agencies on environmental research projects or programs.

## **V. GENERAL CONDITIONS**

**Proprietary Information** - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <https://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

**Omnibus Procurement Act of 1992** - It is the policy of New York State to maximize opportunities for the participation of New York State business enterprises, including minority- and women-owned business enterprises, as bidders, subcontractors, and suppliers on its procurement Agreements.

Information on the availability of New York subcontractors and suppliers is available from:

Empire State Development  
Division for Small Business  
625 Broadway  
Albany, NY 12207

A directory of certified minority- and women-owned business enterprises is available from:

Empire State Development  
Minority and Women's Business Development Division  
625 Broadway  
Albany, NY 12207

**State Finance Law sections 139-j and 139-k** - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx> . Proposers are required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility (this includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years).

**Tax Law Section 5-a** - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf)). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department.

The Department has created a second form that must be completed by a prospective contractor prior to contacting and filed with NYSERDA. See, ST-220-CA (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220ca\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf> .

**Contract Award** - NYSERDA anticipates making up to three (3) awards under this solicitation. A contract may be awarded based on initial applications without discussion or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately six weeks from the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

**Accessibility Requirements** - If awardees from this solicitation will be posting anything on the web, or if the awardee will produce a final report that NYSERDA will post to the web, the following language must be included. NYSERDA requires contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSERDA's Accessibility Requirements](#).

**Limitation** - This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement. Please see Attachment D – Sample Agreement. NYSERDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information and the presence of a material possibility of any reputational or legal risk in making of the award.

**Annual Metrics Reports** - If awarded, the proposer will be required to submit to NYSERDA's Project Manager on an annual basis, a prepared analysis and summary of metrics addressing the anticipated energy, environmental and economic benefits that are realized by the project. All estimates shall reference credible sources and estimating procedures, and all assumptions shall be documented. Reporting shall commence the first calendar year after the contract is executed. Reports shall be submitted by January 31st for the previous calendar years' activities (i.e. reporting period). Please see Attachment C – Sample Metrics Reporting Guide: Information Dissemination for the metrics that you will be expected to provide and the reporting duration. NYSERDA may decline to contract with awardees that are delinquent with respect to metrics reporting for any previous or active NYSERDA agreement.

**Disclosure Requirement** - The proposer shall disclose any indictment for any alleged felony, or any conviction for a felony within the past five years, under the laws of the United States or any state or territory of the United States, and shall describe circumstances for each. When a proposer is an association, partnership, corporation, or other organization, this disclosure requirement includes the organization and its officers, partners, and directors or members of any similarly governing body. If an indictment or conviction should come to the attention of NYSERDA after the award of a contract, NYSERDA may exercise its stop-work right pending further investigation, or terminate the agreement; the contractor may be subject to penalties for violation of any law which may apply in the particular circumstances. Proposers must also disclose if they have ever been debarred or suspended by any agency of the U.S. Government or the New York State Department of Labor.

## **VI. ATTACHMENTS**

The proposer shall upload attachments executed Attachments A and B with each proposal.

Attachment A – ALTM Program Components Checklist

Attachment B – Budget Form

Attachment C – Metrics Reporting Guide: Information Dissemination

Attachment D – Sample Agreement





**NYSERDA**

**Disadvantaged Communities (DAC) Stakeholder Services Pool  
Request for Qualifications (RFQL) 4922  
No Funding is Associated with this Solicitation**

**Round One Proposals Due: September 12, 2022, by 3:00 p.m. Eastern Time  
Future proposal rounds are expected no less than every six months**

**Program Summary**

The New York State Energy Research and Development Authority (NYSERDA) is issuing this Request for Qualifications (RFQL 4922) to establish a group, or “pool” of qualified community-based organizations (CBOs) that represent New York State’s [disadvantaged communities \(DACs\)](#),<sup>1</sup> to work with NYSERDA staff through a variety of paid services such as consultation, program and policy input, engagement facilitation, and working group participation. Establishing this pool will support NYSERDA’s statewide, equitable stakeholder engagement strategy in planning new initiatives to support New York’s transition to a clean, inclusive, and just energy economy. Engaging with and compensating organizations in the pool will help deliver on the clean energy and climate goals outlined in the [Climate Leadership and Community Protection Act \(Climate Act\), with the goal of 40% of clean energy benefits directed to disadvantaged communities.](#)

NYSERDA recognizes the role that public policy has played in perpetuating inequities faced by historically marginalized communities, and its critical role in addressing the climate crisis, energy injustice, and the legacy of environmental racism. These communities bear the greatest adverse impacts from climate change, are most likely to have higher exposure to emissions and pollution, shoulder the highest energy burdens, experience broad disproportional institutional systemic inequities, and stand to benefit the most from the emerging clean energy economy. As a result, NYSERDA seeks to ensure the experiences of frontline communities are front and center in the development of energy policies and programs that affect their daily lives by proactively engaging with a broad range of community-based organizations from across the state representing and/or serving historically underserved, marginalized populations. These organizations should be embedded in and/or serve disadvantaged communities, have the trust and historical context of their communities, including Black, Indigenous, and People of Color (BIPOC), and wish to contribute meaningfully to New York State’s energy policy development and program decision-making.

Through this solicitation (RFQL 4922), NYSERDA intends to compensate stakeholder representatives from disadvantaged communities for their time and expertise in delivering requested services to NYSERDA and establish deeper, more coordinated statewide and regional stakeholder engagement in NYSERDA initiative planning and decision-making. This support for stakeholder engagement will lead to better-informed programs and policies at NYSERDA and ensure broader engagement with and impact on community-driven priorities. Access to a pool of qualified community stakeholders with wide-ranging, quality expertise of New York State’s disadvantaged communities, combined with the value of lived experiences of those on the frontline

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<sup>1</sup> For purposes of this solicitation, the term disadvantaged communities is inclusive of hard to reach, underserved rural communities, Indigenous Nations, and other areas of the State with high levels of poverty and limited access to resources.

of the climate crisis, will improve NYSERDA's understanding of the barriers disadvantaged communities face and develop solutions accordingly. Organizations in the pool would be expected to work on distinct projects with clear timelines, some of which may be requests for services on short notice. The pool of qualified organizations will be available to all NYSERDA program and support teams, providing expertise on an as-needed basis.

NYSERDA seeks qualified organizations with experience, expertise, and knowledge in one or more of the following Service Area categories, which are described below in Section II of this document:

- A. Advisor
- B. Policy and Program Co-Design
- C. Public Engagement, Community Capacity Building & Meeting Facilitation
- D. Inclusive Program Outreach & Marketing to Disadvantaged Communities
- E. Community Assessment

This solicitation will consist of multiple submission rounds whereby potential respondents may submit proposals through 2025 for work through December 2026.

NYSERDA anticipates the following process for selecting organizations into the pool:

1. Qualified organizations will be evaluated and scored according to a scoring rubric within each Service Area category (A-E). Proposers may submit a proposal to provide services in one, multiple, or all Service Area categories and may be selected for one, some, all or none of the categories to which they apply.
2. After reviewing and evaluating the proposals, NYSERDA intends to qualify multiple organizations in each Service Area category to provide services. NYSERDA and the qualified organizations will sign Agreements with no funding attached, called "Umbrella Agreements," to establish those organizations as contractors in the pool for four years through December 31, 2026.
3. As needs arise for work in any of the Service Area categories, NYSERDA will issue individual Task Work Orders (TWOs) to selected organizations in the pool that qualify in their respective category, following the process described in Section II below, under "Task Work Order Assignments and Funding."
4. Mini bids may be requested that will clearly define the contractor's scope of work and deliverables, project task budget, estimated time of completion, regional considerations, if any, and other pertinent information to develop a sound mini-bid proposal. Task Work Orders issued will vary in scope and budget.

The earliest expected start date for any potential work under this effort will be Fall 2022. The Umbrella Agreement term will be through December 31, 2026. Additional opportunities to apply to RFQL 4922 are expected to recur periodically through the end of 2025.

### [Informational Webinar](#)

RFQL 4922 Informational Webinar was hosted on **Wednesday, July 27, 2022, at 3:00pm ET** to provide an overview of RFQL 4922 and answer questions. The [slide deck](#) and [recording](#) are available for viewing on the web

### [Proposal Submission](#)

Proposers may submit a proposal to provide services in one, multiple, or all Service Area categories. Proposers shall select, using the drop-down list under the Proposed Proposal Category the appropriate Service Area category e.g., A. Advisor, C. Public Engagement, F. Multiple Categories to which the proposal responds. If Category F Multiple Categories is selected, the Proposer shall indicate the Service Area letter in the proposal title e.g., Orchard Park Stakeholders

A, C, E. Currently, there is no limit or cap to the number of CBOs in the pool. We encourage CBOs from across New York State representing disadvantaged communities, including underserved rural communities, Indigenous Nations, and other areas of the State with high levels of poverty and limited access to resources to submit their qualifications.

Online submission is preferable. For ease of proposer identification, all electronic files must be named using the proposer's entity name in the title of the document. NYSERDA will also accept proposals by mail or hand-delivery if online submission is not possible. For detailed instructions on how to submit a proposal (online or paper submission), including the various acceptable file formats, conversions, and size refer to the "[Application Instructions and Portal Training Guide \[PDF\]](#)" located under the "Application Submission" section within the specific solicitation in the "[Current Funding Opportunities](#)" section of [NYSERDA's website](#). NOTE: Files should not be scanned.

Communication related to this procurement is permitted by contacting [Lisa Romero](#), Project Manager (Primary Designated Contact) at (518) 862-1090, ext. 3243 or [Michael DiRamio](#), Assistant Director, (Secondary Designated Contact) at (518) 862-1090, ext. 3648 or via e-mail at [PublicEngagement@nyserda.ny.gov](mailto:PublicEngagement@nyserda.ny.gov). If you have contractual questions concerning this solicitation, contact Venice Forbes, Assistant Contract Manager (Designated Contact) at (518) 862-1090, ext. 3507 or via email at [Venicesolicitations@nyserda.ny.gov](mailto:Venicesolicitations@nyserda.ny.gov). Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) to influence the procurement: (1) may result in a proposer being deemed a non-responsible offeror, and (2) may result in the proposer not being awarded a contract.

**\*All proposals must be received by 3:00 p.m. Eastern Time on the date noted above. Late, faxed, or emailed proposals will not be accepted.** Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal. Please note for online submission, there are required questions that you will have to answer in addition to uploading attachments and you should allot at least 60 minutes to enter/submit proposals. The online proposal system closes promptly at 3:00 p.m. Eastern Time, files in process or attempted edits or submission after 3:00 p.m. Eastern Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on the "[Current Funding Opportunities](#)" section of NYSERDA's website.

## I. **Introduction**

The New York State Energy Research and Development Authority (NYSERDA) seeks to increase collaboration with representatives of disadvantaged communities. NYSERDA is creating this Disadvantaged Communities (DAC) Stakeholder Services pool as a way to support NYSERDA's equitable engagement strategy to advance climate and energy justice and help achieve the State's Climate Act mandate that disadvantaged communities receive a minimum of 35%, with a goal of at least forty percent (40%), of the overall benefits of the State's spending on clean energy and energy efficiency programs, projects or investments in the areas of housing, workforce development, pollution reduction, low-income energy assistance, energy, transportation, and economic development.

New York State is home to a strong network of community-based organizations, grassroots advocacy, faith-based groups, environmental and climate justice organizations, and coalitions, dedicated to investing in the interests, development, and well-being of disadvantaged communities. Many such organizations are increasingly called upon to provide programmatic input, participate in advisory groups, steering

committees, focus groups, and program development on a voluntary basis, which can limit the organization's ability to meaningfully participate in or otherwise contribute to these efforts. NYSERDA is establishing a mechanism to compensate community-based organizations for their time and expertise. This will help build partnerships with underserved or otherwise disadvantaged communities and increase the ability for community-based organizations (CBOs) to meaningfully engage in NYSERDA policy and initiative development.

Through RFQL 4922, NYSERDA will establish a pool of qualified community-based organizations that serve disadvantaged communities, to serve as contractors to NYSERDA. This pool will provide NYSERDA staff with specialized, high-quality expertise, and as-needed services across multiple Service Area categories, which reflect the work needed to help deliver on the goals set forth in the [Climate Act](#) and to advance a clean energy transition that combats climate change and equitably delivers benefits.

In addition to compensating community-based organizations for their time and expertise through this RFQL, NYSERDA is establishing a separate process for compensating residents and representatives of disadvantaged communities for more short-term requests for input through an honorarium payment. The honorarium will not require a Request for Qualifications process and is intended to compensate individuals from organizations that are asked to participate in discrete stakeholder input sessions, both for the time needed to devote to prepare beforehand as well as for participation itself in these invited sessions. The honorarium will also allow for payment of other immediate, short-term ad hoc program needs/services that seek the perspectives and lived experiences of individuals or organizations that serve disadvantaged communities to inform NYSERDA and related program and policy planning.

In both cases, participants would be paid for their time and expertise when working with NYSERDA around energy issues that matter to our communities.

### Definitions

The following terms and definitions are provided to ensure consistency in the development of a proposal in response to this RFQL:

**Community-Based Organization (CBO)**<sup>2</sup> – For purposes of this solicitation, a community-based organization refers to a private, non-profit (incorporated or unincorporated) or for-profit organization, registered to do business in New York State, aimed at making desired improvements to a community's social health, well-being, and overall functioning, and is representative of a community or significant segments of a community; and provides services to individuals in the community based on input from community members.

**Lived Experience** - refers to living with the issues the community is focusing on and who may have the insight to offer about the system as it is experienced by consumers. These individuals will have:

- expertise that doesn't come from training or formal education.
- knowledge from an experience with an issue or challenge.

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<sup>2</sup> Based on feedback from NYSERDA's Request for Information (RFI) 5082 public comments, this definition has been modified slightly to clarify that organizations are not required to be formally incorporated to propose to the pool. We've also removed the reference to "public" organizations as municipalities would not qualify to participate in this pool.

- direct experience with a system, process, or issue, or trying to engage with a resource; and awareness of what works, what doesn't work, and what resources (formal or informal) are available in the community.

## II. Program Requirements

The Disadvantaged Communities Stakeholder Services Pool will be available to all NYSERDA programs, providing teams at NYSERDA an opportunity to learn from the perspectives and expertise of disadvantaged communities. Selected contractors may be asked to inform the design of programs, assist with improving upon existing programs, or make recommendations regarding NYSERDA-wide initiatives. Selected contractors may provide services to NYSERDA through their organizational staff, subcontractors, or by recruiting active partners and residents from their communities in the performance of these services.

As a result of this RFQL 4922, NYSERDA expects to qualify and execute zero-dollar Umbrella Agreements with multiple qualified contractors to provide services in each of the specified Service Area categories. Proposers are invited to submit a proposal, describing their qualifications, skills, and expertise, along with all required documents requested, including personnel rates in any or all the categories described in the next section. Proposers may submit a proposal to provide services in one, multiple, or all the categories. Proposers should clearly identify which of the Service Area Categories the proposal is intended to address. Proposers are permitted, but not required, to team with partners (subcontractors) they consider would offer complementary expertise in the identified Service Award Categories.

Upon a successful demonstration within a proposal, NYSERDA may designate contractors that have demonstrated "specialized capabilities" in specific areas. For example, a contractor may be designated as having specialized capabilities for a particular type of service requested if said contractor demonstrates that they possess exceptionally scarce qualifications or experience, specialized equipment or facilities not readily available from other sources, or proprietary data or methods. Submitted proposals should clearly articulate any proposed specialized capabilities, supported by a justification as to why these attributes may be exceptionally scarce, specialized, or proprietary. NYSERDA and the Scoring Committee reserve the right to make all decisions regarding a successful demonstration of a specialized capability.

This RFQL allows for additional Service Area categories to be created when new needs are identified by NYSERDA that may arise outside of those included in this RFQL. In the event that NYSERDA creates a new Service Area category, all existing eligible organizations in the pool, along with any new proposers, will be eligible to submit a proposal for the new Service Area category. NYSERDA also reserves the right to close a Service Area Category within this RFQL and stop accepting new proposals for that Service Area Category. NYSERDA does not guarantee that all types of services will be requested or that all selected contractors will receive work pursuant to executed Task Work Order Agreements. The amount of work available to qualified contractors will depend on multiple factors including NYSERDA's needs, the particular expertise requested, the nature and complexity of the project, the volume, and frequency of the services requested by NYSERDA, the contractor's current workload, deadline requirements, past performance, absence of conflicts of interest, and the ability of the contractor to provide high-quality, cost-effective, and timely services. If multiple contractors are selected with overlapping areas of expertise, NYSERDA may

ask selected contractors for proposals and bids on specific assignments through a short process called a mini-bid request.

Qualified contractors may be asked to support work in topic areas including but not limited to:

- Clean transportation
- Community engagement
- Community-led solar
- Energy resilience
- Electrification of affordable housing
- Environmental/climate justice
- Energy affordability and efficiency
- Microgrid development
- Large-scale renewable energy sources, including on land and offshore
- Marketing/outreach strategy
- Workforce development
- Other areas related to NYSERDA's work impacting disadvantaged communities

### **Service Area Categories**

Proposers should clearly articulate each of the Service Area Categories where they have expertise. It is not required to submit for all Service Area Categories listed, but proposers must clearly explain and demonstrate which Service Area Categories they have expertise in for the Service Area Categories they are submitting for. Proposers are invited to submit a proposal describing their qualifications, skills, and expertise, with supporting documentation and personnel rates in any or all the Service Area Categories described below. No cost sharing or recoupment is required under this RFQL. Budgets for specific projects will be determined in the Task Work Order Agreements.

#### **A. Advisor**

Contractors will be selected to support NYSERDA staff by providing input on how programs can impact disadvantaged communities and making recommendations related to strategy, program development, and practices that would benefit those communities.

Activities and deliverables requested may include:

- Serve as a consultant, subject matter expert, on an Advisory Board, Steering Committee, or Working Group.
- Participate in stakeholder meetings and more sector-specific (for example, housing, transportation, renewable energy), long-term advisory engagements with NYSERDA teams and other intergovernmental stakeholders to discuss matters of concern to frontline communities and work collaboratively to propose equitable solutions.
- Provide expertise and ideas on NYSERDA initiatives, focusing on the impact programs have on historically marginalized and disadvantaged communities.
- Consult with representatives of historically marginalized, under-resourced, and overburdened areas, including communities of color, Indigenous Nations, hard-to-reach, rural, and low-income areas to inform NYSERDA initiatives, and report summary of findings and make recommendations.

#### **B. Policy and Program Co-Design**

NYSERDA is interested in collaborating with representatives of disadvantaged communities to design and implement programs and policies that benefit these communities. The participatory approach of a co-design process offers program teams an opportunity to

develop solutions that better meet the needs of historically marginalized communities and accelerate market transformation. Selected contractors may be asked to collaborate with program teams throughout NYSERDA to improve existing programs and/or develop new programs that support NYSERDA's effort to meet its equity goals under the Climate Act.

Activities and deliverables requested may include:

- Participate in a community-engaged design process hosted by NYSERDA or a third party to design or improve programs based on the priorities and concerns of historically marginalized communities, including active engagement in each session and completion of post-session work as directed by NYSERDA.
- In the early stages of the community-engaged design process, collaborate with NYSERDA to develop a list of important topic areas and understanding of community needs and gaps that need to be understood and addressed.
- Collaborate with NYSERDA and potentially other groups to determine which topics should be the focus of sub-committees or deep-dive work as part of the community-engaged program development process.
- Develop and deliver presentations on areas of expertise for specific topics relevant to the program design (e.g., environmental justice advocacy efforts, organizing community participation), as needed.
- Review and provide feedback on final proposed program design at end of the process.
- Provide feedback on principles, methods, and best practices for engagement with disadvantaged communities.
- \*Support NYSERDA teams in drafting, reviewing, and finalizing Program solicitations such as Requests for Information, Requests for Proposals, and Request for Qualifications.

(\*Note: Per NYSERDA's policy, prospective reviewers should be free of conflicts of interest. An external individual who has reviewed any NYSERDA solicitation prior to release may not submit or be listed on a proposal for the solicitation.) All other listed activities in the bulleted list above shall be conducted so as not to preclude participants from being eligible for any future program solicitation to the fullest extent possible.)

### **C. Public Engagement, Community Capacity Building & Meeting Facilitation**

Public engagement fosters the relationship building and increased community ownership necessary for New York's clean energy transition. Engaging communities in decision-making processes is necessary to fully realize this transition. Traditional public participation processes often do not include spaces to share stories, lift up community knowledge and strengths, or include community members and organizations in shaping the agenda, process, and the ultimate decisions. Equitable, inclusive community engagement starts by recognizing the reality that systemic barriers cause certain populations to have less access to resources. To overcome those barriers, NYSERDA will invest engagement resources towards the people who are often underrepresented during energy planning discussions and provide compensation for short-term, select activities tied to NYSERDA policy and program planning.

Activities and deliverables requested may include:

- Work with and support NYSERDA's Regional Clean Energy Hubs to identify and recruit trusted people with experience working in the community.
- Recruit participants for and conduct and facilitate focus groups, listening sessions, meetings and interviews where historically marginalized people are represented.
- Identify, recommend, and engage with individuals and organizations from disadvantaged communities to participate in focused stakeholder engagement efforts to inform NYSERDA program design and development.

- Facilitate stakeholder input on barriers and opportunities for clean energy development in disadvantaged communities to include in regulatory processes and state energy policy development.
- Identify gaps in local community knowledge and staffing and tools and strategies that are needed for local organizations to participate more fully in a just energy transition.
- Obtain, analyze, and report on direct feedback from participants.
- Participate in surveys, focus groups, in-depth interviews, community walking tours, and potentially public testimony hearings where the voices and perspectives of underrepresented groups typically are not heard. Conduct peer-led interviews of frontline community members on various energy topics and synthesize information.
- Provide culturally competent translation and interpretation services, as needed, for non-English speaking communities.
- Plan, coordinate, and manage meetings and workshops between stakeholders, including but not limited to:
  - Coordinating or helping to organize working groups for the purpose of creating recommendations and identifying solutions around a subject area or issue
  - Conducting stakeholder strategic planning sessions
  - Designing, conducting, and managing stakeholder facilitation processes, including coordination, communication, consensus-building, and conflict resolution
  - Collecting, compiling, and presenting data captured during the above activities

#### **D. Inclusive Program Outreach & Marketing to Disadvantaged Communities**

To expand access to clean energy programs that benefit disadvantaged communities, selected contractors will support NYSERDA teams to assess program messaging and marketing materials. Assistance may be requested to review and provide recommendations for improving outreach materials and processes and/or to provide content in service of improving outreach materials and processes.

Activities and deliverables requested may include:

- Review written materials (program literature, fact sheets, website content, etc.) and provide feedback to improve materials directed to communities of color and other ethnic groups, including creative strategies such as storytelling to share perspectives of the community's lived experiences.
- Make recommendations and prepare guidelines for inclusive, culturally specific language, imagery, and messaging that would resonate with various disadvantaged communities.
- Provide local community expertise regarding best channels, sources, additional languages, and literature formats that support more inclusive and accessible community outreach and awareness of NYSERDA's energy programs.
- Translate community meeting materials and have local community residents serve as interpreters at local community meetings that may be requested in service of informing NYSERDA program and policy.
- Engage various community members, including non-English speakers and low-income residents, as requested for stakeholder participation in NYSERDA program planning.
- Conduct on-the-ground community outreach including potentially capturing photo images and videos of diverse community members at local events.
- Identify multi-media promotion strategies including:
  - Electronic outreach (e-newsletters, project websites, etc.)
  - Social media (Twitter, Facebook, etc.)



- Print and other local ethnic news media outlets, social media channels, and other marketing activities, within the local context, to which NYSERDA should consider extending its inclusive program outreach efforts.

## **E. Community Assessment**

Selected contractors will support NYSERDA teams in conducting assessments and collecting data that inform equity and inclusion considerations. Assistance may be requested for investigation and research intended to inform policy, strategy, and program development related to disadvantaged communities.

Activities and deliverables requested may include:

- Identify barriers to access to existing programs by disadvantaged communities.
- Identify equity challenges and opportunities for existing and planned programs.
- Identify energy burdens, health impacts, and economic considerations for New York State's environmental justice communities.
- Partner with local educational and research institutions to support community-based participatory research in disadvantaged communities and report results of community information gathered.
- Support development of tools and methods and help interpret results of surveys or other quantitative and qualitative information gatherings for assessing impact.
- Assist in data collection to inform NYSERDA's understanding of market barriers and program design.
- Assist in collecting information useful to reporting on equity outcomes and benefits to disadvantaged communities from programs in support of the Climate Act-mandated benefits framework.

### **Eligibility**

All proposers, regardless of the Service Area Categories being proposed, must demonstrate that they meet the eligibility criteria and possess the following qualifications:

- Be a New York State community-based organization (CBO), as defined in this RFQL, such as grassroots, advocacy, faith-based groups, coalitions, service providers and Indigenous Nations based in and/or serving disadvantaged communities,
- Have expertise, including lived experiences of community members of disadvantaged communities, in areas such as energy equity and justice issues, climate change, housing, transportation, or energy-related issues that impact those communities.
- Represent and demonstrate accountability to residents of historically marginalized communities.
- Knowledgeable staff or team with relevant experience in one or more Service Area Categories.
- Demonstrate ability to deliver services requested in one or more of the Service Area Categories; and
- Flexibility to respond to services requested.

Proposers that have existing contracts with NYSERDA for distinct activities are eligible to propose; however, no activities included in the proposer's pre-existing contract with

NYSERDA will be assigned or compensated under an agreement resulting from this RFQL.

### **Umbrella Agreements**

NYSERDA will enter into zero-dollar value Umbrella Agreements with the selected contractor(s) in each Service Area Category, enabling NYSERDA to retain their services. The Agreements will be for a four-year term ending December 31, 2026. The Umbrella Agreements will not guarantee any specific amount of work. The amount of work assigned to each contractor will depend on NYSERDA's needs, the particular expertise of the contractor, the amount of work requested in the contractor's technical area, past performance, current workload, deadline requirements, and the ability of the contractor to provide high quality, cost-effective, and timely services. If multiple contractors are selected with overlapping areas of expertise, NYSERDA may also ask selected contractors for proposals on specific assignments through mini-bid requests.

The Umbrella Agreements, and subsequent Task Work Orders, that result from this RFQL will remain in effect until December 31, 2026, and no new Task Work Orders will be issued after this date unless the term is extended by NYSERDA. Task Work Orders initiated prior to December 31, 2026, are intended to remain in effect until all tasks are completed, final work products are delivered to NYSERDA, and payment is issued.

### **Task Work Order Assignments and Funding**

Once selected into the contractor pool, projects will be awarded through a written Task Work Order request and initiated through a Task Work Order Plan, which will become a binding agreement for all parties. A Task Work Order Plan is used because no estimate or guarantee can be made in advance for any specific amount of future work; in some cases, a Task Work Order may contain a maximum dollar amount. The amount of work and funding will subsequently be assigned by NYSERDA on a Task Work Order basis and will be reimbursed according to the time and materials the contractor spent on the project.

Each Task Work Order will be a distinct project (typically, a series of tasks with deliverables) that is assigned to a qualified contractor under the terms and conditions of the executed Task Work Order Plan between NYSERDA and the contractor.

Task Work Orders may be assigned in several ways:

- NYSERDA may assign to the top-ranked proposer in any given Service Area category. For work assigned to the top-ranked proposer in any category, the organization retains the ability to decline the assignment for conflict of interest or limitations on resources that would prohibit the engagement, after which NYSERDA may assign the work to the second-ranked proposer in the category.
- Issue a mini-bid request to all approved and relevant organizations in the category. The proposers shall provide a detailed response to the request, including experience and qualifications, staffing, hours, budget, and scope of work. Contractor(s) will be selected based upon their response to the mini-bid request.
- Issue a Task Work Order directly to any organization in the contractor pool if the cost is \$50,000 or less. Where possible, NYSERDA will endeavor to equitably distribute opportunities across the pool based on need and to ensure fair distribution of work to contractors of varying sizes, capacities and areas of expertise.

- Issue a Task Work Order above \$50,000 directly to an organization in the contractor pool determined to have a unique specialty or capability, as explained in Section II – Program Requirements.

NYSERDA will assign Task Work Orders to contractors based on, but not limited to the following criteria:

- The degree to which the contractor has the expertise needed for a given task
- The degree to which the contractor can support the geographic location needed for a given task
- The degree to which the contractor has successfully performed previously assigned tasks
- The degree to which the contractor has the capacity to perform the workload for a given task
- The degree to which the contractor is cost competitive for a given task
- The ability of the contractor to provide high quality and timely services

Once a contractor has been selected for a project per the above process, a Task Work Order will be prepared by the contractor in cooperation with NYSERDA. Task Work Orders shall include:

- project goals and objectives
- the strategy and approach outlined by task
- any relevant background information
- defined deliverables
- project time frame
- names, titles, and positions of individuals to work on the project
- the total not-to-exceed cost of the project, including a breakout by task, title, hourly rate, hours and non-labor costs
- the identification of measures to assess project success

The details of any Task Work Order will be consistent with the level of complexity of the proposed project or activity. Hourly rates shall be those established in the general Umbrella Agreement. NYSERDA must review and approve all Task Work Orders under the Umbrella Agreement before projects are implemented. NYSERDA will provide a template for Task Work Orders and otherwise work to make the process as simple as possible while adhering to applicable state procurement requirements. Contractors will not be compensated for time spent in the preparation of any Task Work Order.

Depending on the nature of the work product that is developed or results from any particular Task Work Order with NYSERDA, contractors may be required to execute a non-disclosure agreement (NDA) or other Task Work Order specific agreement prior to engaging in the specified work effort.

Funding will be identified on a project-specific basis, and will be determined, in part, based on the scope and subject matter of the Task Work Orders as they are developed according to needs expressed by NYSERDA. NYSERDA cannot anticipate whether the need will arise or if funding will be available for any, or all, of the Categories listed above.

There will be no initial cap to the number of proposers in any Service Area Category. However, NYSERDA may subsequently institute a cap for any or all Service Area Categories as a means of managing the number of resultant contracts.

### **Multi-Round Enrollment**

NYSERDA anticipates issuing future rounds of this Request for Qualifications periodically, at least every six months, to review and evaluate new proposals, depending on NYSERDA's needs and the number of new proposals that are received. Each submission will be reviewed independently from prior submissions.

Upon appropriate notice, NYSERDA may forego or discontinue future rounds to manage the number of resultant contracts. In deference to the established end of the contract period of December 31, 2026, the multiple due date rounds mechanism will be active through the end of December 31, 2025, barring an earlier discontinuance upon appropriate notice.

### **Teaming Arrangements**

Proposers are permitted, but not required, to team with partners (subcontractors) they consider would offer complementary services and/or expertise in the proposing category.

During the mini-bid or Task Work Order contracting process, formal teaming arrangements will be permitted with other RFQL qualified awardees as necessary and as indicated by NYSERDA. Task Work Orders are only awarded to entities with an Umbrella Agreement with NYSERDA, not directly to subcontractors. If teaming with partners (subcontractors), one lead community-based organization (CBO) is required to be identified in the proposal. Any subcontracted relationship is the sole responsibility of the primary proposer and not an additional contractor that NYSERDA will manage.

During the mini-bid process, an awardee may propose teaming with a subcontractor that was:

- (1) not part of their initial bid and
- (2) not also qualified by the RFQL as long as the portion of the subcontractor's work is less than 30% of the total Task Work Order value.

### **Contractor's Responsibilities**

When selected for a project, the contractor shall be required to:

- Prepare a Task Work Order Plan, with budget, for each project for review and approval by NYSERDA
- Negotiate the scope and cost of work with NYSERDA
- Provide the requested assistance within the required time frame
- Submit any deliverables to NYSERDA for review and approval
- Provide required documentation of expenditures by task, based on the Task Work Order, when seeking reimbursement from NYSERDA

### **NYSERDA's Responsibilities**

NYSERDA staff requesting Task Work Orders will be responsible for overseeing and managing services undertaken by qualified proposers, including but not limited to reviewing, commenting, and approving tasks and subsequent deliverables; coordinating with the Energy and Climate Equity team at NYSERDA; coordinating with interested external stakeholders; promoting coordination among service providers qualified for each Service Area category, as appropriate; assisting in the presentation and dissemination of findings; reviewing and approving invoices promptly.

## Compensation

Compensation will be based on the contractor's – and subcontractors, as applicable – fully-burdened hourly rates included in the proposal, for the appropriate level of staff by name and title, plus allowable expenses. Fully burdened hourly rates include wages, labor overhead (including fringe benefits), general & administrative/indirect expenses, and profit (if applicable). Fee schedules shall be included in each proposal that identify rates for each member of the team by name and title, including subcontractors. NYSERDA will negotiate each Task Work Order on the basis of demonstrated competence and qualifications, at fair and reasonable fees. Annual escalation rates, if applicable, must be identified through 2026 and cannot exceed three percent (3%) annually.

Budgets for all work conducted will be included in the Task Work Order and approved by NYSERDA. The Task Work Order may also place a ceiling or not-to-exceed amount for each project. Contractors who accrue billable hours beyond the ceiling in the Task Work Order, without approval in writing by NYSERDA, will do so at their own risk. Contractors will not be compensated for time spent in the preparation of any Task Work Order Plan.

Once a contractor has been selected for a project, a Task Work Order Plan will be prepared by the contractor in cooperation with NYSERDA. Task Work Order Plans shall include:

- project goals and objectives
- any relevant background information
- the approach that will be taken, outlined by task
- defined deliverables
- the identification of measures to assess project success
- project time frame
- budget form

Depending on the nature of the work product developed or results from any Task Work Order Plan with NYSERDA, contractors may be required to sign a non-disclosure agreement (NDA) prior to engaging in the specified work effort.

Upon Agreement execution, NYSERDA may provide an initial milestone payment equal to up to 20% of the maximum Task Work Order budget as an advance payment to assist with capacity constraints, if needed. The Contractor shall account for the 20% milestone payment. After the first advance payment, subsequent monthly invoices will not be paid until the full advanced amount is shown as expended and documented. Contractors shall bill monthly after the time the advanced payment has been spent down.

### III. Proposal Requirements

To be eligible for Service Area Categories under this RFQL, proposers are invited to submit a complete proposal bid package describing their skills, expertise, qualifications, and personnel rates, using Attachment A, in any or all Service Area Categories and agree to the requirements of this RFQL. Each Service Area Category will be evaluated and judged independently from the others and is intended to create a separate pool of contractors that can meet the specified needs of the Service Area category. If proposing to more than one Service Area category, you may submit one proposal, indicating all proposed Service Area category/categories, including all supporting documentation requested, and upload to the Salesforce portal as one submission. Each proposal shall contain, at a minimum, the components listed below.

Proposals should not be excessively long. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal.

Proposers must clearly identify the Service Area Categories to which the proposal responds:

- A. Advisor
- B. Policy and Program Co-Design
- C. Public Engagement, Community Capacity Building & Meeting Facilitation
- D. Inclusive Program Outreach & Marketing to Disadvantaged Communities
- E. Community Assessment

Proposers should submit proposals according to NYSERDA's proposal submission procedures outlined in the "Proposal Submission" section at the beginning of this document. To be deemed eligible, proposers must submit a brief written proposal (~15 pages). Note: Attachments do not count toward page limit. The proposal must be provided in the following format, which ties directly to the criteria that will be used to assign each proposal a score that will determine whether a proposer qualifies for participation, as expressed in **Section IV**. Proposal Evaluation Criteria.

The proposal should address all the bullets within each portion of the table in the order that is noted below as thoroughly as possible. Each page of the proposal should state the name of the proposer, RFQL number, and page number.

**Section 1. Information about the Proposal and Proposer:** Provide the information requested in full. (1-2 pages of narrative, plus any supporting documentation.)

- Provide a brief description of the organization, including its history, year established, and the services provided to the community.
- Include the organization's name, physical mailing address, website address, if any, phone number, and name and email of the primary contact for the proposal.
- Specify all Service Area Categories for which you would like to be considered by name and identifying letter (A-E), where services are being offered.
- Indicate the best applicable organization type for your organization (e.g., Community-based organization, faith-based organization, minority- and women-owned business enterprise (MWBE), etc.)
- Provide applicable tax form from previous year and two years prior, such as a copy of the organization's IRS Form 990 filing, if an incorporated non-profit, or other similar tax documents.
- Identify any partners participating in the proposal, including a brief summary of subcontractors and the services, as well as past working relationships among team members and subcontractors, if applicable.

**Section 2. Accountability to and Representation of Disadvantaged Communities:**

Respond to all the following items to provide specific information about the Proposer's practice of accountability to and representation of disadvantaged communities (as defined in the first paragraph of this document). (2-3 pages of narrative, plus any supporting documentation)

- Explain how the organization's mission statement, values, and/or objectives are aligned with the stated objective of this RFQL. Provide supporting information such as the organization's adopted mission/vision statement, a description of the organization's purpose and goals, or reference to the organization's guiding principles and values.
- Explain how the organization serves and works directly with residents located in disadvantaged communities. Provide supporting information such as a list of

neighborhoods, zip codes served, and percent of service territory in designated Disadvantaged Communities (DACs)<sup>3</sup>. If serving areas outside of Disadvantaged Communities, include housing and demographic characteristics of households in the community served; and/or provide supporting documentation such as an annual or grant report, or a service territory map.

- Describe the organization's communication practices with its community, including frequency, content, duration, and method for ongoing communication with engaged communities. Provide supporting information such as an external communications report/portfolio, community newsletter, press statements, social media analytics, event recording(s)/photo(s), and/or a sample email content/flyer/social media post.
- If the organization is incorporated and has a Board of Directors, note whether and how the Board of Directors includes individuals from and representative of the communities that it serves. If the organization is unincorporated and does not have a Board of Directors, note whether and how the governing principles utilized are accountable to and representative of the communities that it serves. Provide supporting information such as a published record or description of Board member profiles and/or a description of the organization's governance model and practices.
- Describe the organization's adoption and practice of engagement models, democratic decision-making processes, and/or operational philosophies that support inclusivity and incorporate community feedback. Provide supporting information about the organization's active practices such as consensus building, adherence to established social organizing models, and incorporation of effective accountability practices. Include documentation such as Board meeting summaries or member agreements, as applicable.
- Does the organization have equity, diversity, and inclusion embedded into its mission statement, values, and or strategic plan? If yes, please describe. If no, describe any plans the organization may have to do so.

**Section 3. Demonstrated Impact on Communities Served:** Respond to all the following items to provide specific information about the Proposer's demonstrated impact on the communities served. (1-3 pages of narrative, plus any supporting documentation)

- Describe solutions related to community priorities that have been or continue to be successful for and within the communities. Provide supporting examples of discrete activities with measurable/documented outcomes such as a detailed summary of successful campaign victories, evidence of concrete success with community-centered efforts, and/or samples of media coverage demonstrating the organization's involvement, and subsequent impact, in successful community-centered efforts.
- Describe any efforts the organization has made to involve diverse community stakeholders directly affected by energy and environmental justice issues in leadership roles to resolve them.
- List any diverse or underserved populations in your community, especially populations experiencing energy inequities and/or environmental health disparities and describe how outcomes of engagement with NYSERDA would serve and potentially benefit these populations.

**Section 4. Experience and Expertise:** Respond to all the following items to provide specific information about the Proposer's applicable experience and subject matter expertise. (1-3 pages of narrative, plus any supporting documentation)

- Demonstrate the organization's experience for each Service Area category that the organization is applying for (as noted in Section II. Program Requirements / Services

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<sup>3</sup> For New York State definition of disadvantaged communities refer to the following website with map: <https://www.nysesda.ny.gov/ny/disadvantaged-communities>

Requested). Provide supporting examples such as work products from previous projects done in the same or similar service or program area(s) or a summary of previous services provided in a comparable service/program area(s).

- Identify key staff or leadership team, by name and title, and describe their experience and qualifications with engaging disadvantaged communities.
- Demonstrate the organization's subject matter expertise in the selected Service Area(s) referenced in the RFQL (Section II. Program Requirements / Services Requested). Provide supporting examples such as a summary of applicable staff profiles or resumes, experience working on stakeholder outreach, engagement, facilitation, and/or community needs assessments, and data analysis.
- Describe the racial/ethnic, cultural, linguistic, and socio-economic background of key staff members and their expertise/experience, including lived experience, in addressing energy issues or concerns of disadvantaged community members. If applicable, respondents should indicate within their proposal which language(s) they are able to offer.

**Section 5. Revenue Status / Cost Effectiveness:** Support the organization's annual operating revenue status per the documentation requested in Section II and complete Attachment A for each proposed Service Area (1-2 pages of narrative, plus any supporting documentation)

- Demonstrate the organization's annual financial revenue status for the past three years, supported by documentation requested in Section 1.
- Submit the name, project title, and fully burdened hourly salary range for each individual listed in the proposal, including any subcontractors who will perform the work.
- Identify annual escalation rates, if any, through 2026, not to exceed three percent (3%) annually. Proposers shall also include any multipliers or other fees applied to work.

NYSERDA is not requiring proposers to estimate travel or other direct costs as part of the proposals, but reasonable costs for these may be part of the Task Work Orders on an as needed basis. NYSERDA envisions contracting with both individual firms and teaming or subcontracting arrangements as appropriate.

Proposal Materials & Effort - All material submitted as part of this RFQL process becomes the property of NYSERDA. Proposers will not be reimbursed by NYSERDA for any costs associated with the preparation of their proposals.

#### IV. PROPOSAL EVALUATION

Proposals that meet the solicitation requirements will be reviewed by a Scoring Committee consisting of NYSERDA staff and scored for each category (A-E) they propose in using the evaluation criteria below. The minimum threshold is 65 points out of 100 possible points per proposed Service Area Category. No proposed category with an average score of less than 65 will be considered for contract negotiations. At NYSERDA's discretion, proposers may be requested to interview with all or part of the Scoring Committee to address any potential questions or clarifications outlined in the proposals. Proposers will be notified if they are requested to attend an interview. Applications **should be clear and** complete and not rely on a possible interview to demonstrate the merits of the application.

Responses to the RFQL will be reviewed and assigned scores based on the criteria highlighted below:

Total Points	Evaluation Component
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25 Points	<p><b>Accountability to and Representation of Disadvantaged Communities</b></p> <ul style="list-style-type: none"> <li>• Organizational alignment with the objectives of the RFQL: Does the proposing organization's mission and/or objectives align with the stated objective of the RFQL?</li> <li>• Communities Served: Does the proposing organization serve and work directly with residents located in disadvantaged communities, hard to reach, underserved rural communities, and/or other areas of the State with high levels of poverty and limited access to resources?</li> <li>• Effective Communication: Does the proposing organization demonstrate frequent, high-quality, effective, and sustained communication with its community?</li> <li>• Organizational Governance: If the organization is incorporated and has a Board of Directors, does the proposing organization's Board of Directors include individuals from and representative of the communities that the organization serves? If the organization is unincorporated and does not have a Board of Directors, are the governing principles utilized accountable to and representative of the communities that the organization serves?</li> <li>• Decision-Making Processes: Does the proposing organization officially adopt and practice engagement models, democratic decision-making processes, and/or operational philosophies?</li> </ul>
20 Points	<p><b>Demonstrated Impact on Communities Served</b></p> <ul style="list-style-type: none"> <li>• Demonstration of Priority Focus: Does the proposing organization serve and work directly with residents and businesses located in and serving disadvantaged communities, hard to reach, underserved rural communities, and/or other areas of the State with high levels of poverty and limited access to resources?</li> <li>• Demonstration of Successful Solutions: Does the proposing organization demonstrate that their solutions related to community priorities have been and/or continue to be successful for and within the communities?</li> </ul>
20 Points	<p><b>Experience and Expertise</b></p> <ul style="list-style-type: none"> <li>• Appropriate Experience: Does the proposing organization demonstrate experience in one or more of the Service Areas referenced in the RFQL?</li> <li>• Appropriate Subject Matter Expertise: Does the proposing organization demonstrate subject matter expertise in one or more of the program areas referenced in the RFQL?</li> <li>• Clear identification of staff, by name and title, that will be assigned to various project types.</li> </ul>
20 Points	<p><b>Revenue Status and Cost Effectiveness</b></p> <ul style="list-style-type: none"> <li>• Is the organization's total annual revenue at or under \$3,000,000 for the previous year and two years prior (averaged), based on the proposer's applicable tax documentation such as IRS Form 990 filing (line 12) if an incorporated non-profit or other similar tax documents?<sup>4</sup></li> </ul>

<sup>4</sup> To prioritize those proposals from under-resourced organizations, preference will be given to organizations with a total annual revenue that does not exceed \$3,000,000, based on the proposer's IRS Form 990 filing from the previous year (line 12) and two years prior or similar official documentation or other similar tax documentation. This threshold is based on similar limits by other state agencies with programs targeting disadvantaged communities, such as NYS Dept of Environmental Conservation Environmental Justice grants (for more info see

	<ul style="list-style-type: none"> <li>• Pricing and fully burdened hourly staff rates, including any subcontractors, as reflected in the required Project Personnel and Rates form (provided as Attachment A) are reasonable and in line with the rest of the market and consistent when compared to expertise and qualifications.</li> <li>• Escalation rates, if any, through 2026 included</li> <li>• Reasonableness and relative competitiveness of labor rates associated fees, escalation rates and overhead.</li> <li>• Clear Project Personnel and Rates Form, free of errors.</li> </ul>
15 Points	<p><b>Proposal Responsiveness/Thoroughness</b></p> <ul style="list-style-type: none"> <li>• Proposals follow the required format specified in the RFQL</li> <li>• Proposal is well written, complete, and addresses all requested information</li> <li>• Proposal demonstrates a clear understanding of the goals and objectives of this RFQL</li> <li>• Proposal provides a complete, comprehensive, and effective response to the category requirements</li> </ul> <p>Demonstrated ability to complete projects on schedule by securing the appropriate level of resources needed to conduct the requested services</p>

**Program Policy Factors**

NYSERDA may consider the following program policy factors in making award selection decisions: The degree to which a proposing organization increases geographic diversity, range of subject matter expertise, and benefits to a diversity of communities, including hard to reach, underserved rural communities, Indigenous Nations, and other areas of the State with high levels of poverty and limited access to resources.

- The degree to which there is a diversity of approaches, methods, technologies and organizations
- The degree to which the proposer has the resources (human and financial) to be able to complete requested work.
- Demonstrated specialized unique capability.
- Proposer’s prior performance under NYSERDA contracts.

**V. GENERAL CONDITIONS**

**Proprietary Information – Be careful what you submit in your application.**

Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal and whether general, non-confidential information may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers Law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to

have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to exempt it from disclosure, including a written statement of the reasons why the information should be exempted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <https://www.nyserda.ny.gov/About-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

**Omnibus Procurement Act of 1992 – NYSERDA encourages applications from minority- and women-owned businesses.**

It is the policy of New York State to maximize opportunities for the participation of New York State business enterprises, including minority- and women-owned business enterprises, as bidders, subcontractors, and suppliers on its procurement Agreements. Information on the availability of New York subcontractors and suppliers is available from:

Empire State Development  
Division for Small Business  
625 Broadway  
Albany, NY 12207

A directory of certified minority- and women-owned business enterprises is available from:

Empire State Development  
Minority and Women's Business Development Division  
625 Broadway  
Albany, NY 12207

**State Finance Law sections 139-j and 139-k – Disclose any lobbying activity.**

NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx>. Proposers are required to answer questions during proposal submission, which will include making the required certification under the State Finance Law and disclosing any Prior Findings of Non-Responsibility (this includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years).

**Tax Law Section 5-a – Your organization must be registered at the Department of Taxation and Finance.**

NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf)). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department.

The Department has created a second form that must be completed by a prospective contractor prior to contracting and filed with NYSERDA. See, ST-220-CA (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220ca\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

**Contract Award – The contracts will end December 31, 2026.**

NYSERDA anticipates making multiple awards under this solicitation. NYSERDA anticipates a contract duration of four (4) years, through December 31, 2026, unless NYSERDA management determines a different structure is more efficient based upon proposals received. A contract may be awarded based on initial applications without discussion or following limited discussion or negotiations pertaining to the Statement of Work. Each proposal should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately eight (8) weeks from the receipt of application whether your proposal has been selected to receive an award. Upon receipt of this notification, a proposer can request to schedule a debrief on the selection process and the strengths and weaknesses of its proposal by contacting Lisa Romero at [PublicEngagement@nyserda.ny.gov](mailto:PublicEngagement@nyserda.ny.gov). NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

**Accessibility Requirements** - *If awardees from this solicitation will be posting anything on the web, or if the awardee will produce a final report that NYSERDA will post to the web, the following language must be included.* NYSERDA requires contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSERDA's Accessibility Requirements](#).

**Limitation - NYSERDA is not required to award contracts or pay funds simply by issuing this RFQL.**

This RFQL does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement. NYSERDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information or the presence of a material possibility of any reputational or legal risk in the making of the award.

**Disclosure Requirement – Disclose any alleged or convicted felonies in the last five years.**

The proposer shall disclose any indictment for any alleged felony, or any conviction for a felony within the past five years, under the laws of the United States or any state or territory of the United States and shall describe circumstances for each. When a proposer is an association, partnership, corporation, or other organization, this disclosure requirement includes the organization and its officers, partners, and directors or members of any similarly governing body. If an indictment or conviction should come to the attention of NYSERDA after the award of a contract, NYSERDA may exercise its stop-work right pending further investigation or terminate the agreement; the contractor may be subject to penalties for violation of any law which may apply in the particular circumstances. Proposers must also disclose if they have ever been debarred or suspended by any agency of the U.S. Government or the New York State Department of Labor.

**Vendor Assurance of No Conflict of Interest or Detrimental Effect - Disclose any relationship to NYSERDA.**

The proposer shall disclose any existing or contemplated relationship with any other person or entity, including any known relationships with any member, shareholders of 5% or more, parent, subsidiary, or affiliated firm, which would constitute an actual or potential conflict of interest or appearance of impropriety, relating to other clients/customers of the proposer or former officers and employees of NYSERDA, in connection with proposer's rendering services as proposed. If a conflict does or might exist, please describe how your company would eliminate or prevent it. Indicate what procedures will be followed to detect, notify NYSERDA of, and resolve any such conflicts.

The proposer must disclose whether it, or any of its members, or, to the best of its knowledge, shareholders of 5% or more, parents, affiliates, or subsidiaries, have been the subject of any investigation or disciplinary action by the New York State Commission on Public Integrity or its predecessor State entities (collectively, "Commission"), and if so, a brief description must be included indicating how any matter before the Commission was resolved or whether it remains unresolved.

**Public Officers Law – Follow all ethics requirements.**

For any resulting awards, the Contractor and its subcontractors shall not engage any person who is, or has been at any time, in the employ of the State to perform services in violation of the provisions of the New York Public Officers Law, other laws applicable to the service of State employees, and the rules, regulations, opinions, guidelines or policies promulgated or issued by the New York State Joint Commission on Public Ethics, or its predecessors (collectively, the "Ethics Requirements"). Proposers are reminded of the following Public Officers Law provision: contractors, consultants, vendors, and subcontractors may hire former NYSERDA employees. However, as a general rule and in accordance with New York Public Officers Law, former employees of NYSERDA may neither appear nor practice before NYSERDA, nor receive compensation for services rendered on a matter before NYSERDA, for a period of two years following their separation from NYSERDA service. In addition, former NYSERDA employees are subject to a "lifetime bar" from appearing before any state agency or authority or receiving compensation for services regarding any transaction in which they personally participated, or which was under their active consideration during their tenure with NYSERDA.

Any awardee will be required to certify that all of its employees, as well as employees of any subcontractor, whose subcontract is valued at \$100,000 or more who are former employees of the State and who are assigned to perform services under the resulting contract, shall be assigned in accordance with all Ethics Requirements. During the term

of any agreement, no person who is employed by the contractor or its subcontractors and who is disqualified from providing services under the contract pursuant to any Ethics Requirements may share in any net revenues of the contractor or its subcontractors derived from the contract. NYSERDA may request that contractors provide it with whatever information the State deems appropriate about each such person's engagement, work cooperatively with the State to solicit advice from the New York State Joint Commission on Public Ethics, and, if deemed appropriate by the State, instruct any such person to seek the opinion of the New York State Joint Commission on Public Ethics. NYSERDA shall have the right to withdraw or withhold approval of any subcontractor if utilizing such subcontractor for any work performed would be in conflict with any of the Ethics Requirements. NYSERDA shall have the right to terminate any contract at any time if any work performed is in conflict with any of the Ethics Requirements.

**Due Diligence – NYSERDA may conduct further research into your organization as part of the proposal application process.**

NYSERDA, at its discretion, may conduct broad due diligence to validate any or all elements of an application and to assess applicants' prospects of success, including gathering information to assess a proposal relative to any of the topics listed in the evaluation criteria, whether or not such topic is explicitly addressed in a proposal. NYSERDA may conduct due diligence on some or all proposals based on NYSERDA's current guidelines at the time of a review. NYSERDA staff may follow up with proposers to request additional information or clarification regarding the applicant's proposal, including questions regarding the applicant's business prospects and resources, and whether or not those questions are specifically related to the elements of the proposal. Additionally, customized due diligence may be conducted by internal or external staff or contractors based on questions on any proposal raised by NYSERDA staff and/or the Scoring Committee. Due diligence may include (but is not limited to): interviews of independent references and background checks of team members; assessment of prior business experience of any team member associated with a proposal; research on intellectual property claims; customer and partner reference checks; market research on the applicants' target market and any other related or possibly competitive technology or market area; research to validate any assumptions on current or future revenues, costs, capital needs, and financing prospects for proposers' business, including similar (or unrelated) technologies, processes, or competitive solutions; or any other research that could reasonably inform the evaluation of a proposal, or the prospects for commercial success of the proposers' business (whether directly related to, or unrelated to the specific elements in a proposal). Due diligence may include discussions with proposers' former and current business partners, employees, investors, customers, and competitors. Due diligence may be conducted by NYSERDA personnel or contractors including members of the scoring committee, before, during, or after a scoring process, and prior to finalization of a contract award, any information gleaned in diligence may be used to score or re-score a proposal or apply a program policy factor.

**EO 16 Protocols** – Pursuant to Executive Order No. 16 issued on March 17, 2022, all vendors responding to bids or contracting with New York State must certify, using the form provided as part of this solicitation, their status with regard to conducting business operations in Russia, and that any such business operations in Russia conducted on behalf of the vendor are determined to be permitted under any of the allowable exemptions. The term vendor is intended to encompass bidders prior to contract award, contractors who have received a contract award, contract assignees, or contractors for whom an extension to an existing contract is being pursued. Exemption decisions are in NYSERDA's sole

discretion and are final decisions. NYSERDA reserves the right to solicit additional materials or information regarding the responses or materials provided by a vendor.

Pursuant to Executive Order No. 16, all vendors will be vetted to ensure that they are not on the federal sanctions list at <https://sanctionsearch.ofac.treas.gov/>. There is no waiver or exemption process for vendors appearing on the federal sanctions list.

The Executive Order remains in effect while sanctions imposed by the federal government are in effect. Accordingly, vendors who may be excluded from award because of current business operations in Russia are nevertheless encouraged to respond to solicitations to preserve their contracting opportunities in case sanctions are lifted during a solicitation, or after award in the case of some solicitations.

**Attachments:**

Attachment A - Project Personnel and Rates Form

Attachment B – Sample Agreement



**NYSERDA**

**KATHY HOCHUL**  
Governor

**RICHARD L. KAUFFMAN**  
Chair

**DOREEN M. HARRIS**  
President and CEO

**Labor Liaison Service Providers  
Request for Qualifications (RFQL) 5147**

*NYSERDA reserves the right to add funding and/or additional due dates to the Solicitation.*

**Proposals Due: September 27, 2022 by 3:00 p.m. Eastern Time\***

**Program Summary:** New York State has the most aggressive climate and clean energy initiative in the nation, calling for an orderly and just transition to clean energy that creates jobs and continues fostering a green economy. Enshrined into law through the Climate Leadership and Community Protection Act (Climate Act), New York is on a path to achieve its mandated goal of a zero-emission electricity sector by 2040. The Climate Act mandates that at least 70% of New York’s electricity come from renewable energy sources such as wind and solar by 2030 (70 x 30). As a companion to the Climate Act, the Accelerated Renewable Energy Growth and Community Benefit Act followed in the Spring of 2020 to address the urgency of our climate transition. The intent is to accelerate of permitting timelines, create regulatory efficiencies, carefully study our electricity grid, identify priority upgrades, and deepen community engagement. Armed with the nation’s most aggressive climate goals and expedited processes to match, achievement of the 70 x 30 mandate will move the State closer to delivering just, equitable climate action to New Yorkers, including improving air quality, buttressing a more resilient grid, and spurring a clean economy through supply chain investments, workforce development and job creation. In the 21st century, the future is electric and NYSERDA is working tirelessly to remove barriers and deliver State goals and benefits to New Yorkers — including more than \$17 billion in net benefits estimated over the lifetime of Tier 1 and offshore wind procurements under the Clean Energy Standard.

To accomplish New York State’s climate workforce goals, productive collaboration with groups in the labor industry is needed. As stated in the Climate Act, it is in the interest of the state to ensure labor harmony and promote efficient performance of work on climate-related work sites by requiring workers to be well-trained and adequately compensated. NYSERDA is committed to engaging New York’s highly skilled and well-



trained union workforce in a way that also maximizes opportunities for members of Disadvantaged Communities, New York State certified Minority or Women-Owned Business Enterprises (MWBES) and Service-Disabled Veteran-Owned Business Enterprises (SDVOBs). The New York State Energy Research and Development Authority (NYSERDA) is issuing this Request for Qualifications (RFQL) to establish a pool of labor liaison service providers who have expertise in NYS labor law, labor relations and communications, project labor agreements, wage laws / guidelines, labor best practices and feasibility studies. The industry and technical areas that the work will cover include: Energy Efficiency and Building Electrification, Renewable Energy and Energy Storage, Clean Transportation, Smart Grid, and other related areas. Qualified proposers should be known, trusted and well-versed in the NYS labor industry with existing relationships in place with unions and other labor representatives.

NYSERDA will conduct an informational webinar on Wednesday, August 31, 2022 at 10 AM Eastern Time during which NYSEDA will review the requirements of this solicitation and answer questions. Proposers interested in attending can send an email to [WFInfo@nyserda.ny.gov](mailto:WFInfo@nyserda.ny.gov) with the subject line "RFQL 5147 Webinar" to request information on how to participate. Questions may be submitted via the same email address prior to the Webinar, or during the Webinar using the web platform. Following the conclusion of the Webinar, NYSEDA will post questions and responses on the NYSEDA website. All questions will be posted anonymously, and NYSEDA's written responses will supersede any responses given during the Webinar.

NYSERDA is seeking qualified proposers to provide services in the following categories: Labor Relations, Wage Compliance, and Project Labor Agreements.

NYSERDA anticipates making multiple awards under this RFQL and retaining contractors for each of the categories listed above as appropriate. Qualified companies, individual or organizations (including teaming arrangements) will be evaluated and scored according to Section IV. Proposal Evaluation for each category. Proposers may submit proposals for one or more categories and may be selected for none, one, some, or all of the categories to which they apply. NYSEDA anticipates entering into three-year Umbrella Agreements with the successful proposer(s) in each category, with the option to renew. When NYSEDA has a need for work in one of the categories, Task Work Orders will be issued to the contractors that qualify in their respective category if they are top-ranked by our scoring committee, have specialized capabilities, or are working on projects under \$50,000. Mini-Bids will be requested in other cases and will include the outline of the scope and deliverables, project budgets, regional considerations and other pertinent information needed to develop a sound proposal.

**Proposal Submission:** Online submission is preferable. Proposers should submit proposal in a single PDF file, with any attachments included in that same file. Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files

should not be scanned. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. NYSERDA will also accept proposals by mail or hand-delivery if online submission is not possible. For detailed instructions on how to submit a proposal (online or paper submission), click the link "[Application Instructions and Portal Training Guide \[PDF\]](https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx)" located in the "Current Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted except by contacting Adele Ferranti (Designated Contact) at (518) 862-1090, ext. 3206 or by e-mail [Wfinfo@nyserda.ny.gov](mailto:Wfinfo@nyserda.ny.gov) or Jason Doling (Designated Contact) at (212) 971-5342, ext. 3558 or by e-mail [WfInfo@nyserda.ny.gov](mailto:WfInfo@nyserda.ny.gov). If you have contractual questions concerning this solicitation, contact Nancy Marucci (Designated Contact) at (518) 862-1090, ext. 3335 or by email [NancySolicitations@nyserda.ny.gov](mailto:NancySolicitations@nyserda.ny.gov). Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

**\* All proposals must be received by 3 p.m. Eastern Time on the date noted above. Late, faxed, or emailed proposals will not be accepted.** Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal. Please note: for online submission, there are required questions that you will have to answer in addition to uploading attachments and you should allot at least 60 minutes to enter/submit proposals. The online proposal system closes promptly at 3 p.m. Eastern Time, files in process or attempted edits or submission after 3 p.m. Eastern Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on the "Current Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

## I. Introduction

The New York State Energy Research and Development Authority (NYSERDA) is issuing this Request for Qualifications (RFQL) to establish a pool of labor liaison service providers. Qualified proposers should be known, trusted and well-versed in the NYS labor industry with existing relationships in place with unions and other labor representatives.

Service providers will coordinate with NYSERDA programs, projects and staff in each of the defined categories to support labor relationships; provide training in labor communications and best practices; offer wage requirement services; research and negotiate project labor agreements and provide general labor services. The work will include review and assessment of existing and new NYSERDA programs to ensure successful coordination with the labor industry and advancement of NYS climate workforce goals.

NYSERDA is seeking qualified proposers in the following service categories:

- A. Labor Relations
- B. Wage Compliance
- C. Project Labor Agreements

NYSERDA does not guarantee that all types of services will be requested or that all selected contractors will receive work. The number and type of services requested from the selected contractors will depend on the nature and complexity of the project, the contractor's expertise, the volume and frequency of the services requested by NYSERDA, the contractor's past performance and the absence of conflicts of interest.

## **II. Program Requirements**

### **Service Categories**

The purpose of this RFQL is to establish a pool of qualified labor liaison service providers. The definitive scope of work for various projects will be determined in the Task Work Order Agreements or Mini-Bids and additional or different related services from those listed in this RFQL may be requested as needed. Since multiple service providers will be selected, proposers do not need to be experts in all service categories. Proposals should indicate which service categories are a fit based on the team's experience and skills. Specific examples or relevant case studies of similar projects should be provided.

No cost sharing or recoupment is required under this RFQL. Budgets for specific projects will be determined in the Mini-Bids or Task Work Order Agreements.

Upon a successful demonstration within a proposal, NYSERDA may designate contractors that have demonstrated "specialized capabilities" in specific areas. For example, a contractor may be designated as having specialized capabilities for a particular type of service requested if it demonstrates that it possesses exceptionally scarce qualifications or experience; specialized equipment or facilities not readily available from other sources; experience and relevant networks within a particular region or geography; or proprietary data or methods. Examples of specialized capabilities could include supply chain expertise, offshore wind manufacturing experience, relevant certifications / training and more. Submitted proposals should clearly articulate any proposed specialized capabilities, supported by a justification as to why these attributes may be exceptionally scarce, specialized or proprietary. NYSERDA and the Scoring Committee reserves the right to make all decisions regarding a successful demonstration of a specialized capability. Specialized capabilities are beneficial, but not required. Task Work Orders can be assigned directly to contractors with a specialized capability and Mini-Bids are not required in those cases.

The service categories and other related tasks that will be requested with various selected contractors include:

## A. Labor Relations

The service providers will proactively engage with unions and other labor representatives and maintain relationships in support of NYS climate workforce goals. To ensure successful labor relations, the contractors will assess the current workforce ecosystem in NYS and review and analyze NYSERDA programs to identify risks and opportunities and support process improvements. Research and learnings from successful initiatives will be shared, particularly those related to hiring from disadvantaged communities and connecting with MWBE or SDVOB businesses. Labor relations work will include ongoing attendance at meetings and coordination with NYS programs, staff, and other stakeholders.

Service providers will train and collaborate with NYSERDA on labor communications, materials, messaging and best practices. Assistance may be needed with labor policies and adherence to guidelines around disadvantaged communities, MWBEs and SDVOBs. Reviewing and editing materials created by NYSERDA as well as creation of new presentations, documents and materials may be required. Workshops related to labor communications may be conducted with NYSERDA staff and other key stakeholders. General labor advisory services may be required.

## B. Wage Compliance

Selected service providers will review prevailing wage laws and policies related to NYSERDA programs and projects. Contractors will advise NYSERDA or its designees on adherence to policies and will implement and monitor compliance with wage requirements. This may also include conducting compliance audits with project developers contracted by NYSERDA to ensure that laws, regulations and program requirements regarding Prevailing Wage and other labor provisions are being met. Contractors may also advise, train and consult with companies implementing contracts requiring prevailing wage to ensure compliance with all applicable state or federal laws and requirements. Site visits, interviews, investigations and reports may be required.

## C. Project Labor Agreements

The service providers will assist NYSERDA with review and development of project labor agreements. Services may include negotiating, drafting, and editing labor agreements related to various projects and programs. Feasibility and economic studies may be conducted. Labor agreement compliance review and reporting may be needed.

## **Umbrella Agreements**

NYSERDA will enter into zero-dollar value Umbrella Agreements with the selected contractor(s) in each category, enabling NYSERDA to retain their services. The contracts will be for three-year terms with the option to renew for an additional three-years at NYSERDA's discretion. The Umbrella Agreements will not guarantee any

specific amount of work. The amount of work assigned to each contractor will depend on NYSERDA's needs, the particular expertise of the contractor, the amount of work requested in the contractor's technical area, past performance, current workload, deadline requirements, and the ability of the contractor to provide high quality, cost-effective, and timely services. If multiple contractors are selected with overlapping areas of expertise, NYSERDA will ask selected contractors for proposals on specific assignments through Mini-Bid requests.

### **Project Assignments and Funding**

NYSERDA will assign projects to individual contractors based on but not limited to the following criteria:

- The degree to which the contractor has the expertise needed for a given task
- The degree to which the contractor can support the location needed for a given task
- The degree to which the contractor has successfully performed previously assigned tasks
- The degree to which the contractor has the capacity to perform the workload for a given task
- The degree to which the contractor is cost competitive for a given task
- The ability of the contractor to provide high quality and timely services

A Mini-Bid process will be used to select the contractors for each project. In some cases, a Task Work Order will be prepared by the contractor in cooperation with NYSERDA if the contractor has specialized capabilities, is top ranked by our scoring committee, or is working on a project under \$50,000. The Task Work Orders or Mini-Bids shall include:

- The goals and objectives of the project
- The strategy and approach outlined by tasks
- Any relevant background information
- Defined deliverables
- The project time frame
- The names and titles of individuals to work on the project
- The total not-to-exceed cost of the project if applicable, including a breakout by task and by title, hourly rate, hours, and non-labor costs
- The identification of measures to assess project success

The details will be consistent with the level of complexity of the proposed project or activity. Hourly rates shall be those established in the general Umbrella Agreement.

NYSERDA must review and approve all projects under the Umbrella Agreement before they are implemented. Depending on the nature of the work product that is developed with NYSERDA, contractors may be required to execute a non-disclosure agreement or other specific agreements prior to engaging in the specified work effort.

Funding will be identified on a project-specific basis. NYSERDA cannot anticipate whether the need will arise or if funding will be available for any, or all, of the categories.

### **Teaming Arrangements**

Proposers are permitted, but not required, to team with partners (subcontractors) they consider would offer complementary services and/or expertise in the proposing category. During the Mini-Bid or Task Work Order contracting process, formal teaming arrangements will be permitted with other RFQL qualified awardees as necessary and as indicated by NYSERDA. Projects are only awarded to entities with an Umbrella Agreement with NYSERDA, not directly to sub-contractors. An awardee may propose teaming with a subcontractor that was (1) not part of their initial bid and (2) not also qualified by the RFQL as long as the portion of the subcontractor's work is less than thirty percent of the total project value.

### **Contractor Responsibility**

When selected for a project, the selected contractor shall be required to:

- Prepare a detailed plan with budget, for each project for review and approval by NYSERDA
- Negotiate the scope and cost of work with NYSERDA
- Provide the requested assistance within the required time frame
- Submit any deliverables to NYSERDA for review and approval
- Provide required documentation of expenditures by task, when seeking reimbursement from NYSERDA

### **NYSERDA Responsibility**

NYSERDA staff will be responsible for overseeing and managing services undertaken by qualified proposers, including but not limited to: reviewing, commenting and approving tasks and subsequent deliverables; coordinating with program staff and interested external stakeholders; promoting coordination among service providers qualified for each category, as appropriate; assisting in the presentation and dissemination of findings and reviewing and approving invoices promptly.

### **Compensation**

Compensation will be based on the contractor's (and subcontractor's as applicable) hourly rates included in the proposal, plus allowable expenses. NYSERDA will negotiate each Umbrella Agreement on the basis of demonstrated competence and qualification, at fair and reasonable fees. Fee schedules shall be included in each proposal that identify rates for each member of the team by title. Please note, proposers cannot

charge more than two percent overhead for work done by a subcontractor. Annual escalation rates, if applicable, must be identified and cannot exceed three percent annually. Budgets for all work conducted will be included in the Task Work Order or Mini-Bid and approved by NYSERDA. The Task Work Order or Mini-Bid may also place a ceiling or not-to-exceed amount for each project. Contractors who accrue billable hours beyond the ceiling in the Task Work Order or Mini-Bid, without approval in writing by NYSERDA, will do so at their own risk. Contractors will not be compensated for time spent in the preparation of any Task Work Order Plan or Mini-Bid. Preparation of the Task Work Order Plan or Mini-Bid should be covered by the contractor's overhead expense.

### **III. Proposal Requirements**

Proposals should include the following:

- Title Page
  - Include organization name (if applicable), main contact name, email, phone number and address
- Executive Summary (2 – 3 pages maximum)
  - Include type of organization (partnership, corporation, non-profit, etc.) and year of formation (if applying as an organization)
  - Include summary of why proposer is a fit for this RFQL
  - Exhibit understanding of RFQL and NYSERDA's mission and goals
- Bios and/or Resumes of Key Team Members
- List and Description of Key Subcontractors (if subcontractors are being considered for this proposer)
- Hourly Rates for all Team Members and Subcontractors using attached Rate Schedule template (Note that Rate Schedule should be included in a single PDF with the rest of the proposal and not as a separate attachment)
- Region(s) of the state the proposer can serve
- Service Categories
  - List category or categories from the RFQL that the proposer is submitting for and description of relevant experience in each

- If the proposer has expertise in other relevant labor-related service areas, not mentioned in the RFQL, include those in the proposal as well
- Note: If proposing to more than one category, please do so in one proposal with all supporting attachments in one single file
- Specialized Capabilities
  - If the proposer has “specialized capabilities” as defined in the Service Categories section above, list them and provide justification
- Industry Expertise
  - Include descriptions of relevant experience in some of the technical areas in which NYSERDA has programs including Energy Efficiency and Building Electrification, Renewable Energy and Energy Storage, Clean Transportation, Smart Grid and other related areas
  - Experience in one or multiple technical areas is beneficial, but not required
- Case Studies or Relevant Project Examples
  - Show that proposer has completed similar or related work to that described in the RFQL by submitting at least one case study or relevant project example per each category that’s included in the proposal
- References
  - Submit at least two professional reference letters, preferably from clients or customers
- Conflicts of Interest
  - List any known or perceived areas where there might be conflicts of interest related to this RFQL

Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal.

#### **IV. Proposal Evaluation**

Proposals that meet solicitation requirements will be reviewed by a Scoring Committee and scored for each category they propose in using the evaluation criteria below. At NYSERDA’s discretion, proposers may be requested to interview with all or part of the Scoring Committee to address any potential questions or clarifications outlined in the proposals. Proposers will be notified if they are requested to attend an interview.



Proposals should be clear and complete and not rely on a possible interview to demonstrate the merits of the proposal. Responses to the RFQL will be reviewed and assigned scores based on the criteria highlighted below:

- Overall Relevant Experience with Similar Projects
- Qualifications and Expertise of Team
- Thoroughness of Proposal
- Cost and Value
- Other Considerations such as Previous Experience with Proposer, Industry Reputation, Thought Leadership, MWBE Status, SDVOB Status and/or Disadvantaged Community Presence

NYSERDA may consider the following program policy factors in making award selection decisions:

- Diversity of awards, including multiple locations, and benefits to a diversity of communities, including low-income and rural communities or Disadvantaged Communities
- The degree to which there is diversity of technologies, approaches, methods, and institutions
- The degree to which the applicant has the resources (human and financial) to be able to complete the project
- Proposer's prior performance on NYSERDA contracts
- The degree to which hourly rates are in line with the rest of the market

## v. GENERAL CONDITIONS

**Proprietary Information** - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <https://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

**Omnibus Procurement Act of 1992** - It is the policy of New York State to maximize opportunities for the participation of New York State business enterprises, including minority- and women-owned business enterprises, as bidders, subcontractors, and suppliers on its procurement Agreements.

Information on the availability of New York subcontractors and suppliers is available from:

Empire State Development  
Division for Small Business  
625 Broadway  
Albany, NY 12207

A directory of certified minority- and women-owned business enterprises is available from:

Empire State Development  
Minority and Women's Business Development Division  
625 Broadway  
Albany, NY 12207

**State Finance Law sections 139-j and 139-k** - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx>. Proposers are required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility (this includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years).

**Tax Law Section 5-a** - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf)). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department.

The Department has created a second form that must be completed by a prospective contractor prior to contracting and filed with NYSERDA. See, ST-220-CA (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220ca\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has

developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf> .

**Contract Award** - NYSERDA anticipates making multiple awards under this solicitation. NYSERDA anticipates a contract duration of three years with option to renew, unless NYSERDA management determines a different structure is more efficient based upon proposals received. A contract may be awarded based on initial applications without discussion or following limited discussion or negotiations. Each proposal should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately 1 – 3 months from the proposal due date whether your proposal has been selected. Upon receipt of this notification, a proposer can request to schedule a debrief on the selection process and the strengths and weaknesses of its proposal by contacting the program project manager. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

**Accessibility Requirements** - NYSERDA requires contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSERDA's Accessibility Requirements](#).

**Limitation** - This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement. NYSERDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information or the presence of a material possibility of any reputational or legal risk in making of the award.

**Disclosure Requirement** - The proposer shall disclose any indictment for any alleged felony, or any conviction for a felony within the past five years, under the laws of the United States or any state or territory of the United States and shall describe circumstances for each. When a proposer is an association, partnership, corporation, or other organization, this disclosure requirement includes the organization and its officers,

partners, and directors or members of any similarly governing body. If an indictment or conviction should come to the attention of NYSERDA after the award of a contract, NYSERDA may exercise its stop-work right pending further investigation or terminate the agreement; the contractor may be subject to penalties for violation of any law which may apply in the particular circumstances. Proposers must also disclose if they have ever been debarred or suspended by any agency of the U.S. Government or the New York State Department of Labor.

**Vendor Assurance of No Conflict of Interest or Detrimental Effect** - The proposer shall disclose any existing or contemplated relationship with any other person or entity, including any known relationships with any member, shareholders of 5% or more, parent, subsidiary, or affiliated firm, which would constitute an actual or potential conflict of interest or appearance of impropriety, relating to other clients/customers of the proposer or former officers and employees of NYSERDA, in connection with proposer's rendering services as proposed. If a conflict does or might exist, please describe how your company would eliminate or prevent it. Indicate what procedures will be followed to detect, notify NYSERDA of, and resolve any such conflicts.

The proposer must disclose whether it, or any of its members, or, to the best of its knowledge, shareholders of 5% or more, parents, affiliates, or subsidiaries, have been the subject of any investigation or disciplinary action by the New York State Commission on Public Integrity or its predecessor State entities (collectively, "Commission"), and if so, a brief description must be included indicating how any matter before the Commission was resolved or whether it remains unresolved.

**Public Officers Law** – For any resulting awards, the Contractor and its subcontractors shall not engage any person who is, or has been at any time, in the employ of the State to perform services in violation of the provisions of the New York Public Officers Law, other laws applicable to the service of State employees, and the rules, regulations, opinions, guidelines or policies promulgated or issued by the New York State Joint Commission on Public Ethics, or its predecessors (collectively, the "Ethics Requirements"). Proposers are reminded of the following Public Officers Law provision: contractors, consultants, vendors, and subcontractors may hire former NYSERDA employees. However, as a general rule and in accordance with New York Public Officers Law, former employees of NYSERDA may neither appear nor practice before NYSERDA, nor receive compensation for services rendered on a matter before NYSERDA, for a period of two years following their separation from NYSERDA service. In addition, former NYSERDA employees are subject to a "lifetime bar" from appearing before any state agency or authority or receiving compensation for services regarding any transaction in which they personally participated, or which was under their active consideration during their tenure with NYSERDA.

Any awardee will be required to certify that all of its employees, as well as employees of any subcontractor, whose subcontract is valued at \$100,000 or more who are former employees of the State and who are assigned to perform services under the resulting contract, shall be assigned in accordance with all Ethics Requirements. During the term of any agreement, no person who is employed by the contractor or its subcontractors

and who is disqualified from providing services under the contract pursuant to any Ethics Requirements may share in any net revenues of the contractor or its subcontractors derived from the contract. NYSERDA may request that contractors provide it with whatever information the State deems appropriate about each such person's engagement, work cooperatively with the State to solicit advice from the New York State Joint Commission on Public Ethics, and, if deemed appropriate by the State, instruct any such person to seek the opinion of the New York State Joint Commission on Public Ethics. NYSERDA shall have the right to withdraw or withhold approval of any subcontractor if utilizing such subcontractor for any work performed would be in conflict with any of the Ethics Requirements. NYSERDA shall have the right to terminate any contract at any time if any work performed is in conflict with any of the Ethics Requirements.

**Due Diligence** – NYSERDA, at its discretion, may conduct broad due diligence to validate any or all elements of an application and to assess applicants' prospects of success, including gathering information to assess a proposal relative to any of the topics listed in evaluation criteria, whether or not such topic is explicitly addressed in a proposal. NYSERDA may conduct due diligence on some or all proposals based on NYSERDA's current guidelines at the time of a review. NYSERDA staff may follow up with proposers to request additional information or clarification regarding applicant's proposal, including questions regarding applicant's business prospects and resources, whether or not those questions are specifically related to the elements of the proposal. Additionally, customized due diligence may be conducted by internal or external staff or contractors based on questions on any proposal raised by NYSERDA staff and/or the Scoring Committee. Due diligence may include (but is not limited to): interviews of independent references and background checks of team members; assessment of prior business experience of any team member associated with a proposal; research on intellectual property claims; customer and partner reference checks; market research on the applicants' target market and any other related or possibly competitive technology or market area; research to validate any assumptions on current or future revenues, costs, capital needs, and financing prospects for proposers' business, including similar (or unrelated) technologies, processes, or competitive solutions; or any other research that could reasonably inform the evaluation of a proposal, or the prospects for commercial success of the proposers' business (whether directly related to, or unrelated to the specific elements in a proposal). Due diligence may include discussions with proposers' former and current business partners, employees, investors, customers, and competitors. Due diligence may be conducted by NYSERDA personnel or contractors including members of the scoring committee, before, during, or after a scoring process, and prior to finalization of a contract award, any information gleaned in diligence may be used to score or re-score a proposal or apply a program policy factor.

**EO 16 Protocols** – Pursuant to Executive Order No. 16 issued on March 17, 2022, all vendors responding to bids or contracting with New York State must certify, using the form provided as part of this solicitation, their status with regard to conducting business operations in Russia, and that any such business operations in Russia conducted on behalf of the vendor are determined to be permitted under any of the allowable exemptions. The term vendor is intended to encompass bidders prior to contract award,

contractors who have received a contract award, contract assignees, or contractors for whom an extension to an existing contract is being pursued. Exemption decisions are in NYSERDA's sole discretion and are final decisions. NYSERDA reserves the right to solicit additional materials or information regarding the responses or materials provided by a vendor.

Pursuant to Executive Order No. 16, all vendors will be vetted to ensure that they are not on the federal sanctions list at <https://sanctionsearch.ofac.treas.gov/>. There is no waiver or exemption process for vendors appearing on the federal sanctions list.

The Executive Order remains in effect while sanctions imposed by the federal government are in effect. Accordingly, vendors who may be excluded from award because of current business operations in Russia are nevertheless encouraged to respond to solicitations to preserve their contracting opportunities in case sanctions are lifted during a solicitation, or after award in the case of some solicitations.

**VI. Attachments:**

Attachment A – Rate Schedule

Attachment B – Sample Agreement



**NYSERDA**

**KATHY HOCHUL**  
Governor

**RICHARD L. KAUFFMAN**  
Chair

**DOREEN M. HARRIS**  
President and CEO

**Labor Liaison Service Providers  
Request for Qualifications (RFQL) 5147**

*NYSERDA reserves the right to add funding and/or additional due dates to the Solicitation.*

**Proposals Due: September 27, 2022 by 3:00 p.m. Eastern Time\***

**Program Summary:** New York State has the most aggressive climate and clean energy initiative in the nation, calling for an orderly and just transition to clean energy that creates jobs and continues fostering a green economy. Enshrined into law through the Climate Leadership and Community Protection Act (Climate Act), New York is on a path to achieve its mandated goal of a zero-emission electricity sector by 2040. The Climate Act mandates that at least 70% of New York’s electricity come from renewable energy sources such as wind and solar by 2030 (70 x 30). As a companion to the Climate Act, the Accelerated Renewable Energy Growth and Community Benefit Act followed in the Spring of 2020 to address the urgency of our climate transition. The intent is to accelerate of permitting timelines, create regulatory efficiencies, carefully study our electricity grid, identify priority upgrades, and deepen community engagement. Armed with the nation’s most aggressive climate goals and expedited processes to match, achievement of the 70 x 30 mandate will move the State closer to delivering just, equitable climate action to New Yorkers, including improving air quality, buttressing a more resilient grid, and spurring a clean economy through supply chain investments, workforce development and job creation. In the 21st century, the future is electric and NYSERDA is working tirelessly to remove barriers and deliver State goals and benefits to New Yorkers — including more than \$17 billion in net benefits estimated over the lifetime of Tier 1 and offshore wind procurements under the Clean Energy Standard.

To accomplish New York State’s climate workforce goals, productive collaboration with groups in the labor industry is needed. As stated in the Climate Act, it is in the interest of the state to ensure labor harmony and promote efficient performance of work on climate-related work sites by requiring workers to be well-trained and adequately compensated. NYSERDA is committed to engaging New York’s highly skilled and well-

trained union workforce in a way that also maximizes opportunities for members of Disadvantaged Communities, New York State certified Minority or Women-Owned Business Enterprises (MWBES) and Service-Disabled Veteran-Owned Business Enterprises (SDVOBs). The New York State Energy Research and Development Authority (NYSERDA) is issuing this Request for Qualifications (RFQL) to establish a pool of labor liaison service providers who have expertise in NYS labor law, labor relations and communications, project labor agreements, wage laws / guidelines, labor best practices and feasibility studies. The industry and technical areas that the work will cover include: Energy Efficiency and Building Electrification, Renewable Energy and Energy Storage, Clean Transportation, Smart Grid, and other related areas. Qualified proposers should be known, trusted and well-versed in the NYS labor industry with existing relationships in place with unions and other labor representatives.

NYSERDA will conduct an informational webinar on Wednesday, August 31, 2022 at 10 AM Eastern Time during which NYSEDA will review the requirements of this solicitation and answer questions. Proposers interested in attending can send an email to [WFInfo@nyserda.ny.gov](mailto:WFInfo@nyserda.ny.gov) with the subject line "RFQL 5147 Webinar" to request information on how to participate. Questions may be submitted via the same email address prior to the Webinar, or during the Webinar using the web platform. Following the conclusion of the Webinar, NYSEDA will post questions and responses on the NYSEDA website. All questions will be posted anonymously, and NYSEDA's written responses will supersede any responses given during the Webinar.

NYSERDA is seeking qualified proposers to provide services in the following categories: Labor Relations, Wage Compliance, and Project Labor Agreements.

NYSERDA anticipates making multiple awards under this RFQL and retaining contractors for each of the categories listed above as appropriate. Qualified companies, individual or organizations (including teaming arrangements) will be evaluated and scored according to Section IV. Proposal Evaluation for each category. Proposers may submit proposals for one or more categories and may be selected for none, one, some, or all of the categories to which they apply. NYSEDA anticipates entering into three-year Umbrella Agreements with the successful proposer(s) in each category, with the option to renew. When NYSEDA has a need for work in one of the categories, Task Work Orders will be issued to the contractors that qualify in their respective category if they are top-ranked by our scoring committee, have specialized capabilities, or are working on projects under \$50,000. Mini-Bids will be requested in other cases and will include the outline of the scope and deliverables, project budgets, regional considerations and other pertinent information needed to develop a sound proposal.

**Proposal Submission:** Online submission is preferable. Proposers should submit proposal in a single PDF file, with any attachments included in that same file. Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files



should not be scanned. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. NYSERDA will also accept proposals by mail or hand-delivery if online submission is not possible. For detailed instructions on how to submit a proposal (online or paper submission), click the link "[Application Instructions and Portal Training Guide \[PDF\]](https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx)" located in the "Current Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted except by contacting Adele Ferranti (Designated Contact) at (518) 862-1090, ext. 3206 or by e-mail [Wfinfo@nyserda.ny.gov](mailto:Wfinfo@nyserda.ny.gov) or Jason Doling (Designated Contact) at (212) 971-5342, ext. 3558 or by e-mail [WfInfo@nyserda.ny.gov](mailto:WfInfo@nyserda.ny.gov). If you have contractual questions concerning this solicitation, contact Nancy Marucci (Designated Contact) at (518) 862-1090, ext. 3335 or by email [NancySolicitations@nyserda.ny.gov](mailto:NancySolicitations@nyserda.ny.gov). Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

**\* All proposals must be received by 3 p.m. Eastern Time on the date noted above. Late, faxed, or emailed proposals will not be accepted.** Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal. Please note: for online submission, there are required questions that you will have to answer in addition to uploading attachments and you should allot at least 60 minutes to enter/submit proposals. The online proposal system closes promptly at 3 p.m. Eastern Time, files in process or attempted edits or submission after 3 p.m. Eastern Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on the "Current Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

## I. Introduction

The New York State Energy Research and Development Authority (NYSERDA) is issuing this Request for Qualifications (RFQL) to establish a pool of labor liaison service providers. Qualified proposers should be known, trusted and well-versed in the NYS labor industry with existing relationships in place with unions and other labor representatives.

Service providers will coordinate with NYSERDA programs, projects and staff in each of the defined categories to support labor relationships; provide training in labor communications and best practices; offer wage requirement services; research and negotiate project labor agreements and provide general labor services. The work will include review and assessment of existing and new NYSERDA programs to ensure successful coordination with the labor industry and advancement of NYS climate workforce goals.

NYSERDA is seeking qualified proposers in the following service categories:

- A. Labor Relations
- B. Wage Compliance
- C. Project Labor Agreements

NYSERDA does not guarantee that all types of services will be requested or that all selected contractors will receive work. The number and type of services requested from the selected contractors will depend on the nature and complexity of the project, the contractor's expertise, the volume and frequency of the services requested by NYSERDA, the contractor's past performance and the absence of conflicts of interest.

## **II. Program Requirements**

### **Service Categories**

The purpose of this RFQL is to establish a pool of qualified labor liaison service providers. The definitive scope of work for various projects will be determined in the Task Work Order Agreements or Mini-Bids and additional or different related services from those listed in this RFQL may be requested as needed. Since multiple service providers will be selected, proposers do not need to be experts in all service categories. Proposals should indicate which service categories are a fit based on the team's experience and skills. Specific examples or relevant case studies of similar projects should be provided.

No cost sharing or recoupment is required under this RFQL. Budgets for specific projects will be determined in the Mini-Bids or Task Work Order Agreements.

Upon a successful demonstration within a proposal, NYSERDA may designate contractors that have demonstrated "specialized capabilities" in specific areas. For example, a contractor may be designated as having specialized capabilities for a particular type of service requested if it demonstrates that it possesses exceptionally scarce qualifications or experience; specialized equipment or facilities not readily available from other sources; experience and relevant networks within a particular region or geography; or proprietary data or methods. Examples of specialized capabilities could include supply chain expertise, offshore wind manufacturing experience, relevant certifications / training and more. Submitted proposals should clearly articulate any proposed specialized capabilities, supported by a justification as to why these attributes may be exceptionally scarce, specialized or proprietary. NYSERDA and the Scoring Committee reserves the right to make all decisions regarding a successful demonstration of a specialized capability. Specialized capabilities are beneficial, but not required. Task Work Orders can be assigned directly to contractors with a specialized capability and Mini-Bids are not required in those cases.

The service categories and other related tasks that will be requested with various selected contractors include:

## A. Labor Relations

The service providers will proactively engage with unions and other labor representatives and maintain relationships in support of NYS climate workforce goals. To ensure successful labor relations, the contractors will assess the current workforce ecosystem in NYS and review and analyze NYSERDA programs to identify risks and opportunities and support process improvements. Research and learnings from successful initiatives will be shared, particularly those related to hiring from disadvantaged communities and connecting with MWBE or SDVOB businesses. Labor relations work will include ongoing attendance at meetings and coordination with NYS programs, staff, and other stakeholders.

Service providers will train and collaborate with NYSERDA on labor communications, materials, messaging and best practices. Assistance may be needed with labor policies and adherence to guidelines around disadvantaged communities, MWBEs and SDVOBs. Reviewing and editing materials created by NYSERDA as well as creation of new presentations, documents and materials may be required. Workshops related to labor communications may be conducted with NYSERDA staff and other key stakeholders. General labor advisory services may be required.

## B. Wage Compliance

Selected service providers will review prevailing wage laws and policies related to NYSERDA programs and projects. Contractors will advise NYSERDA or its designees on adherence to policies and will implement and monitor compliance with wage requirements. This may also include conducting compliance audits with project developers contracted by NYSERDA to ensure that laws, regulations and program requirements regarding Prevailing Wage and other labor provisions are being met. Contractors may also advise, train and consult with companies implementing contracts requiring prevailing wage to ensure compliance with all applicable state or federal laws and requirements. Site visits, interviews, investigations and reports may be required.

## C. Project Labor Agreements

The service providers will assist NYSERDA with review and development of project labor agreements. Services may include negotiating, drafting, and editing labor agreements related to various projects and programs. Feasibility and economic studies may be conducted. Labor agreement compliance review and reporting may be needed.

## **Umbrella Agreements**

NYSERDA will enter into zero-dollar value Umbrella Agreements with the selected contractor(s) in each category, enabling NYSERDA to retain their services. The contracts will be for three-year terms with the option to renew for an additional three-years at NYSERDA's discretion. The Umbrella Agreements will not guarantee any

specific amount of work. The amount of work assigned to each contractor will depend on NYSERDA's needs, the particular expertise of the contractor, the amount of work requested in the contractor's technical area, past performance, current workload, deadline requirements, and the ability of the contractor to provide high quality, cost-effective, and timely services. If multiple contractors are selected with overlapping areas of expertise, NYSERDA will ask selected contractors for proposals on specific assignments through Mini-Bid requests.

### **Project Assignments and Funding**

NYSERDA will assign projects to individual contractors based on but not limited to the following criteria:

- The degree to which the contractor has the expertise needed for a given task
- The degree to which the contractor can support the location needed for a given task
- The degree to which the contractor has successfully performed previously assigned tasks
- The degree to which the contractor has the capacity to perform the workload for a given task
- The degree to which the contractor is cost competitive for a given task
- The ability of the contractor to provide high quality and timely services

A Mini-Bid process will be used to select the contractors for each project. In some cases, a Task Work Order will be prepared by the contractor in cooperation with NYSERDA if the contractor has specialized capabilities, is top ranked by our scoring committee, or is working on a project under \$50,000. The Task Work Orders or Mini-Bids shall include:

- The goals and objectives of the project
- The strategy and approach outlined by tasks
- Any relevant background information
- Defined deliverables
- The project time frame
- The names and titles of individuals to work on the project
- The total not-to-exceed cost of the project if applicable, including a breakout by task and by title, hourly rate, hours, and non-labor costs
- The identification of measures to assess project success

The details will be consistent with the level of complexity of the proposed project or activity. Hourly rates shall be those established in the general Umbrella Agreement.

NYSERDA must review and approve all projects under the Umbrella Agreement before they are implemented. Depending on the nature of the work product that is developed with NYSERDA, contractors may be required to execute a non-disclosure agreement or other specific agreements prior to engaging in the specified work effort.

Funding will be identified on a project-specific basis. NYSERDA cannot anticipate whether the need will arise or if funding will be available for any, or all, of the categories.

### **Teaming Arrangements**

Proposers are permitted, but not required, to team with partners (subcontractors) they consider would offer complementary services and/or expertise in the proposing category. During the Mini-Bid or Task Work Order contracting process, formal teaming arrangements will be permitted with other RFQL qualified awardees as necessary and as indicated by NYSERDA. Projects are only awarded to entities with an Umbrella Agreement with NYSERDA, not directly to sub-contractors. An awardee may propose teaming with a subcontractor that was (1) not part of their initial bid and (2) not also qualified by the RFQL as long as the portion of the subcontractor's work is less than thirty percent of the total project value.

### **Contractor Responsibility**

When selected for a project, the selected contractor shall be required to:

- Prepare a detailed plan with budget, for each project for review and approval by NYSERDA
- Negotiate the scope and cost of work with NYSERDA
- Provide the requested assistance within the required time frame
- Submit any deliverables to NYSERDA for review and approval
- Provide required documentation of expenditures by task, when seeking reimbursement from NYSERDA

### **NYSERDA Responsibility**

NYSERDA staff will be responsible for overseeing and managing services undertaken by qualified proposers, including but not limited to: reviewing, commenting and approving tasks and subsequent deliverables; coordinating with program staff and interested external stakeholders; promoting coordination among service providers qualified for each category, as appropriate; assisting in the presentation and dissemination of findings and reviewing and approving invoices promptly.

### **Compensation**

Compensation will be based on the contractor's (and subcontractor's as applicable) hourly rates included in the proposal, plus allowable expenses. NYSERDA will negotiate each Umbrella Agreement on the basis of demonstrated competence and qualification, at fair and reasonable fees. Fee schedules shall be included in each proposal that identify rates for each member of the team by title. Please note, proposers cannot

charge more than two percent overhead for work done by a subcontractor. Annual escalation rates, if applicable, must be identified and cannot exceed three percent annually. Budgets for all work conducted will be included in the Task Work Order or Mini-Bid and approved by NYSERDA. The Task Work Order or Mini-Bid may also place a ceiling or not-to-exceed amount for each project. Contractors who accrue billable hours beyond the ceiling in the Task Work Order or Mini-Bid, without approval in writing by NYSERDA, will do so at their own risk. Contractors will not be compensated for time spent in the preparation of any Task Work Order Plan or Mini-Bid. Preparation of the Task Work Order Plan or Mini-Bid should be covered by the contractor's overhead expense.

### **III. Proposal Requirements**

Proposals should include the following:

- Title Page
  - Include organization name (if applicable), main contact name, email, phone number and address
- Executive Summary (2 – 3 pages maximum)
  - Include type of organization (partnership, corporation, non-profit, etc.) and year of formation (if applying as an organization)
  - Include summary of why proposer is a fit for this RFQL
  - Exhibit understanding of RFQL and NYSERDA's mission and goals
- Bios and/or Resumes of Key Team Members
- List and Description of Key Subcontractors (if subcontractors are being considered for this proposer)
- Hourly Rates for all Team Members and Subcontractors using attached Rate Schedule template (Note that Rate Schedule should be included in a single PDF with the rest of the proposal and not as a separate attachment)
- Region(s) of the state the proposer can serve
- Service Categories
  - List category or categories from the RFQL that the proposer is submitting for and description of relevant experience in each

- If the proposer has expertise in other relevant labor-related service areas, not mentioned in the RFQL, include those in the proposal as well
- Note: If proposing to more than one category, please do so in one proposal with all supporting attachments in one single file
- Specialized Capabilities
  - If the proposer has “specialized capabilities” as defined in the Service Categories section above, list them and provide justification
- Industry Expertise
  - Include descriptions of relevant experience in some of the technical areas in which NYSERDA has programs including Energy Efficiency and Building Electrification, Renewable Energy and Energy Storage, Clean Transportation, Smart Grid and other related areas
  - Experience in one or multiple technical areas is beneficial, but not required
- Case Studies or Relevant Project Examples
  - Show that proposer has completed similar or related work to that described in the RFQL by submitting at least one case study or relevant project example per each category that’s included in the proposal
- References
  - Submit at least two professional reference letters, preferably from clients or customers
- Conflicts of Interest
  - List any known or perceived areas where there might be conflicts of interest related to this RFQL

Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal.

#### **IV. Proposal Evaluation**

Proposals that meet solicitation requirements will be reviewed by a Scoring Committee and scored for each category they propose in using the evaluation criteria below. At NYSERDA’s discretion, proposers may be requested to interview with all or part of the Scoring Committee to address any potential questions or clarifications outlined in the proposals. Proposers will be notified if they are requested to attend an interview.

Proposals should be clear and complete and not rely on a possible interview to demonstrate the merits of the proposal. Responses to the RFQL will be reviewed and assigned scores based on the criteria highlighted below:

- Overall Relevant Experience with Similar Projects
- Qualifications and Expertise of Team
- Thoroughness of Proposal
- Cost and Value
- Other Considerations such as Previous Experience with Proposer, Industry Reputation, Thought Leadership, MWBE Status, SDVOB Status and/or Disadvantaged Community Presence

NYSERDA may consider the following program policy factors in making award selection decisions:

- Diversity of awards, including multiple locations, and benefits to a diversity of communities, including low-income and rural communities or Disadvantaged Communities
- The degree to which there is diversity of technologies, approaches, methods, and institutions
- The degree to which the applicant has the resources (human and financial) to be able to complete the project
- Proposer's prior performance on NYSERDA contracts
- The degree to which hourly rates are in line with the rest of the market

## **v. GENERAL CONDITIONS**

**Proprietary Information** - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <https://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.



**Omnibus Procurement Act of 1992** - It is the policy of New York State to maximize opportunities for the participation of New York State business enterprises, including minority- and women-owned business enterprises, as bidders, subcontractors, and suppliers on its procurement Agreements.

Information on the availability of New York subcontractors and suppliers is available from:

Empire State Development  
Division for Small Business  
625 Broadway  
Albany, NY 12207

A directory of certified minority- and women-owned business enterprises is available from:

Empire State Development  
Minority and Women's Business Development Division  
625 Broadway  
Albany, NY 12207

**State Finance Law sections 139-j and 139-k** - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx>. Proposers are required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility (this includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years).

**Tax Law Section 5-a** - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf)). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department.

The Department has created a second form that must be completed by a prospective contractor prior to contracting and filed with NYSERDA. See, ST-220-CA (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220ca\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has

developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf> .

**Contract Award** - NYSERDA anticipates making multiple awards under this solicitation. NYSERDA anticipates a contract duration of three years with option to renew, unless NYSERDA management determines a different structure is more efficient based upon proposals received. A contract may be awarded based on initial applications without discussion or following limited discussion or negotiations. Each proposal should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately 1 – 3 months from the proposal due date whether your proposal has been selected. Upon receipt of this notification, a proposer can request to schedule a debrief on the selection process and the strengths and weaknesses of its proposal by contacting the program project manager. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

**Accessibility Requirements** - NYSERDA requires contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSERDA's Accessibility Requirements](#).

**Limitation** - This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement. NYSERDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information or the presence of a material possibility of any reputational or legal risk in making of the award.

**Disclosure Requirement** - The proposer shall disclose any indictment for any alleged felony, or any conviction for a felony within the past five years, under the laws of the United States or any state or territory of the United States and shall describe circumstances for each. When a proposer is an association, partnership, corporation, or other organization, this disclosure requirement includes the organization and its officers,

partners, and directors or members of any similarly governing body. If an indictment or conviction should come to the attention of NYSERDA after the award of a contract, NYSERDA may exercise its stop-work right pending further investigation or terminate the agreement; the contractor may be subject to penalties for violation of any law which may apply in the particular circumstances. Proposers must also disclose if they have ever been debarred or suspended by any agency of the U.S. Government or the New York State Department of Labor.

**Vendor Assurance of No Conflict of Interest or Detrimental Effect** - The proposer shall disclose any existing or contemplated relationship with any other person or entity, including any known relationships with any member, shareholders of 5% or more, parent, subsidiary, or affiliated firm, which would constitute an actual or potential conflict of interest or appearance of impropriety, relating to other clients/customers of the proposer or former officers and employees of NYSERDA, in connection with proposer's rendering services as proposed. If a conflict does or might exist, please describe how your company would eliminate or prevent it. Indicate what procedures will be followed to detect, notify NYSERDA of, and resolve any such conflicts.

The proposer must disclose whether it, or any of its members, or, to the best of its knowledge, shareholders of 5% or more, parents, affiliates, or subsidiaries, have been the subject of any investigation or disciplinary action by the New York State Commission on Public Integrity or its predecessor State entities (collectively, "Commission"), and if so, a brief description must be included indicating how any matter before the Commission was resolved or whether it remains unresolved.

**Public Officers Law** – For any resulting awards, the Contractor and its subcontractors shall not engage any person who is, or has been at any time, in the employ of the State to perform services in violation of the provisions of the New York Public Officers Law, other laws applicable to the service of State employees, and the rules, regulations, opinions, guidelines or policies promulgated or issued by the New York State Joint Commission on Public Ethics, or its predecessors (collectively, the "Ethics Requirements"). Proposers are reminded of the following Public Officers Law provision: contractors, consultants, vendors, and subcontractors may hire former NYSERDA employees. However, as a general rule and in accordance with New York Public Officers Law, former employees of NYSERDA may neither appear nor practice before NYSERDA, nor receive compensation for services rendered on a matter before NYSERDA, for a period of two years following their separation from NYSERDA service. In addition, former NYSERDA employees are subject to a "lifetime bar" from appearing before any state agency or authority or receiving compensation for services regarding any transaction in which they personally participated, or which was under their active consideration during their tenure with NYSERDA.

Any awardee will be required to certify that all of its employees, as well as employees of any subcontractor, whose subcontract is valued at \$100,000 or more who are former employees of the State and who are assigned to perform services under the resulting contract, shall be assigned in accordance with all Ethics Requirements. During the term of any agreement, no person who is employed by the contractor or its subcontractors

and who is disqualified from providing services under the contract pursuant to any Ethics Requirements may share in any net revenues of the contractor or its subcontractors derived from the contract. NYSERDA may request that contractors provide it with whatever information the State deems appropriate about each such person's engagement, work cooperatively with the State to solicit advice from the New York State Joint Commission on Public Ethics, and, if deemed appropriate by the State, instruct any such person to seek the opinion of the New York State Joint Commission on Public Ethics. NYSERDA shall have the right to withdraw or withhold approval of any subcontractor if utilizing such subcontractor for any work performed would be in conflict with any of the Ethics Requirements. NYSERDA shall have the right to terminate any contract at any time if any work performed is in conflict with any of the Ethics Requirements.

**Due Diligence** – NYSERDA, at its discretion, may conduct broad due diligence to validate any or all elements of an application and to assess applicants' prospects of success, including gathering information to assess a proposal relative to any of the topics listed in evaluation criteria, whether or not such topic is explicitly addressed in a proposal. NYSERDA may conduct due diligence on some or all proposals based on NYSERDA's current guidelines at the time of a review. NYSERDA staff may follow up with proposers to request additional information or clarification regarding applicant's proposal, including questions regarding applicant's business prospects and resources, whether or not those questions are specifically related to the elements of the proposal. Additionally, customized due diligence may be conducted by internal or external staff or contractors based on questions on any proposal raised by NYSERDA staff and/or the Scoring Committee. Due diligence may include (but is not limited to): interviews of independent references and background checks of team members; assessment of prior business experience of any team member associated with a proposal; research on intellectual property claims; customer and partner reference checks; market research on the applicants' target market and any other related or possibly competitive technology or market area; research to validate any assumptions on current or future revenues, costs, capital needs, and financing prospects for proposers' business, including similar (or unrelated) technologies, processes, or competitive solutions; or any other research that could reasonably inform the evaluation of a proposal, or the prospects for commercial success of the proposers' business (whether directly related to, or unrelated to the specific elements in a proposal). Due diligence may include discussions with proposers' former and current business partners, employees, investors, customers, and competitors. Due diligence may be conducted by NYSERDA personnel or contractors including members of the scoring committee, before, during, or after a scoring process, and prior to finalization of a contract award, any information gleaned in diligence may be used to score or re-score a proposal or apply a program policy factor.

**EO 16 Protocols** – Pursuant to Executive Order No. 16 issued on March 17, 2022, all vendors responding to bids or contracting with New York State must certify, using the form provided as part of this solicitation, their status with regard to conducting business operations in Russia, and that any such business operations in Russia conducted on behalf of the vendor are determined to be permitted under any of the allowable exemptions. The term vendor is intended to encompass bidders prior to contract award,

contractors who have received a contract award, contract assignees, or contractors for whom an extension to an existing contract is being pursued. Exemption decisions are in NYSERDA's sole discretion and are final decisions. NYSERDA reserves the right to solicit additional materials or information regarding the responses or materials provided by a vendor.

Pursuant to Executive Order No. 16, all vendors will be vetted to ensure that they are not on the federal sanctions list at <https://sanctionsearch.ofac.treas.gov/>. There is no waiver or exemption process for vendors appearing on the federal sanctions list.

The Executive Order remains in effect while sanctions imposed by the federal government are in effect. Accordingly, vendors who may be excluded from award because of current business operations in Russia are nevertheless encouraged to respond to solicitations to preserve their contracting opportunities in case sanctions are lifted during a solicitation, or after award in the case of some solicitations.

**VI. Attachments:**

Attachment A – Rate Schedule

Attachment B – Sample Agreement



**Purchase of New York Competitive Tier 2 Eligible  
Renewable Energy Certificates (RECs)  
Request for Proposals (RFP) No. T2RFP22-1**

**Proposals Due: September 15, 2022 by 3:00 p.m. Eastern Time\***

The New York State Energy Research and Development Authority (NYSERDA) seeks to procure Tier 2 eligible Renewable Energy Certificates (RECs) from Bid Facilities that meet the eligibility requirements described in this Request for Proposals.

On October 15, 2020, in order to align New York’s Clean Energy Standard (CES) with Climate Leadership and Community Protection Act (CLCPA) mandates, the Public Service Commission (PSC) issued an Order Adopting Modifications to the Clean Energy Standard (Case 15-E-0302) (Tier 2 Order).<sup>1</sup> In response to a Petition filed by NYSERDA, the Tier 2 Order authorized and directed a competitive procurement program under Tier 2 of the CES to secure the continued availability of existing renewable resources.<sup>2</sup> The Tier 2 Order authorizes NYSERDA, as central procurement administrator of the CES program, to issue three annual competitive Tier 2 solicitations, this is the third RFP to be issued.

**Proposal Submission:** Proposers must complete and submit a Competitive Tier 2 Bid Proposal (Attachment B) using the [online form](#) with related back-up documentation.<sup>3</sup> Faxed, mailed, or emailed proposals will not be accepted.<sup>4</sup> Packages will not be accepted by hand delivery at any NYSERDA location. Incomplete proposals may be subject to disqualification. It is the Proposer’s responsibility to ensure that all required documents, forms, and attachments have been completed and submitted with this proposal. Only one Bid Proposal may be entered per Bid Facility.

**NYSERDA recommends that Proposers set aside ample time, well in advance of the deadline, to gather the required information and documentation and to understand the requirements to complete the above processes. Any materials that the Proposer wishes to be treated as confidential should be marked as such, in the manner described under the discussion of “Confidential and Proprietary Information” in Section VI of this RFP.**

Each Proposer has sole responsibility for reviewing this RFP and all attachments hereto and for investigating and informing itself with respect to all matters pertinent to this RFP, including the [NYGATS Operating Rules](#) and NYISO’s Open Access Transmission Tariff (OATT) and market rules.

No communication intended to influence this procurement is permitted except by contacting the Primary Contacts or Other Designated Contacts. Contacting anyone other than the Primary Contacts or Other Designated Contacts (either directly by Proposer or indirectly through a lobbyist or other person acting on Proposer’s behalf) to influence the procurement may result in: (1) a Proposer being deemed a non-responsive offeror, and (2) Proposer not receiving an award. NYSERDA may contact Proposers at any stage with requests for clarifications and questions.

<sup>1</sup> <http://documents.dps.ny.gov/public/Common/ViewDoc.aspx?DocRefId={EAAF1A1E-2A05-49A7-A4D1-C5755E5BE536}>

<sup>2</sup> <http://documents.dps.ny.gov/public/Common/ViewDoc.aspx?DocRefId={D9032507-2912-40DE-B116-BCBA9DB0F4FE}>

<sup>3</sup> <https://nyserdera.seamlessdocs.com/f/LSRTier2BidForm>

<sup>4</sup> If for some reason you cannot fulfill the submission requirements, please contact NYSERDA.

Questions about this RFP should be directed to the Primary Contacts or Other Designated Contacts listed below in writing to [res@nyserda.ny.gov](mailto:res@nyserda.ny.gov).

- Primary Contacts: Jennifer Phelps, Mark Gundrum, Dave Crudele, and Alex Stein
- Other Designated Contacts: Thomas King, Georges Sassine, and Doreen Harris

Proposers should rely only on information provided in this RFP and any associated written updates posted on the “Current Funding Opportunities” section of NYSERDA’s website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>) or NYSERDA’s Competitive Tier 2 website (<https://www.nyserda.ny.gov/All-Programs/Programs/Clean-Energy-Standard/Renewable-Generators-and-Developers/Tier-Two-Competitive-Program>) when preparing Proposals. Notification of any changes in the RFP process or documents will be posted to these websites. Prospective Proposers are encouraged to check the websites frequently to be advised of any RFP changes or other news. Each Proposer shall be solely responsible for and shall bear all costs incurred in the preparation of its Proposal and/or participation in this RFP. Submission of Proposals including confidential information must be filed in accordance with Section VI of this RFP.

The terms and conditions of this RFP may, at any time, be changed, postponed, withdrawn, and/or canceled, including any requirement, term or condition of this RFP, without any liability to NYSERDA.

**\* All proposals must be received by 3 p.m. Albany, NY Time on the date noted above. Late, faxed, mailed, or emailed proposals will not be accepted.** Incomplete proposals may be subject to disqualification. It is the Proposer’s responsibility to ensure that all pages have been included in the proposal. Please note, for online submission, there are required questions that you will have to answer in addition to uploading attachments and Proposers should allot at least 60 minutes to enter/submit proposals. The online proposal system closes promptly at 3 p.m. Albany, NY Time, files in process or attempted edits or submission after 3 p.m. Albany, NY time on the date above, will not be accepted. Late Bid Proposals will not be accepted and those lacking a completed and signed Competitive Tier 2 Bid Proposal may be returned. If changes are made to this solicitation, notification will be posted on the “Current Funding Opportunities” section of NYSERDA’s website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>) and NYSERDA’s Competitive Tier 2 website (<https://www.nyserda.ny.gov/All-Programs/Programs/Clean-Energy-Standard/Renewable-Generators-and-Developers/Tier-Two-Competitive-Program>).

### **Proposer Webinar**

NYSERDA will hold a webinar for Proposers on Tuesday, August 23, 2022, at 3:30 p.m. (Albany, NY time). During the webinar, NYSERDA will review the Competitive Tier 2 Program requirements and procedures. Questions will be taken and, to the extent possible, responses will be provided during the webinar. **Proposers who intend to participate must register prior to the webinar [here](#).**<sup>5</sup> Proposers are encouraged to submit questions prior to the webinar via email to [res@nyserda.ny.gov](mailto:res@nyserda.ny.gov), and during the Proposer Webinar using the built-in Q&A feature.

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<sup>5</sup> To sign up for the Proposer Webinar, please register here: <https://nyserdany.webex.com/nyserdany/j.php?RGID=rceab86fc0d79359cdd424a8388469ec6>

## I. INTRODUCTION

New York is on a path to achieving its mandated goal of a zero-emissions electricity sector by 2040, including 70 percent renewable energy generation by 2030, and to reach economy wide carbon neutrality, among other clean energy targets.<sup>6</sup>

On October 15, 2020, in order to align the CES with CLCPA mandates, the PSC issued an Order Adopting Modifications to the Clean Energy Standard (Case 15-E-0302).<sup>7</sup> This Order adopted a competitive procurement program under Tier 2 of the CES to secure the continued availability of existing renewable resources. This Order authorizes NYSERDA, as central procurement administrator of the CES program, to issue three annual solicitations under Tier 2.

The CES Orders can be accessed from the NYS Public Service Commission's website.<sup>8</sup> All Proposers are strongly advised to review the Orders before participating in this RFP.

## II. PROGRAM REQUIREMENTS

### Eligibility

**Eligibility to participate in this Competitive Tier 2 Program RFP is limited to wind and non-state-owned run-of-river hydroelectric generating Bid Facilities located within New York State that entered commercial operation prior to January 1, 2015. Value of Distributed Energy Resources (VDER) projects or those compensated under net metering are not eligible to participate in this RFP. Bid Facilities owned by a regulated entity are not eligible to participate in this RFP.**

The Competitive Tier 2 Program does not include an energy storage component.

Facilities selected under this RFP will receive a standard three-year Standard Competitive Tier 2 REC Agreement from NYSERDA (the "Agreement") published as Attachment A to this solicitation. Facilities under an active agreement with NYSERDA, including an agreement under Tier 1 associated with a facility upgrade or under the existing Tier 2 Maintenance program, are eligible to participate in this Competitive Tier 2 Program RFP only to the extent that the Bid Facility's generation exceeds the generation committed in the existing agreement. The RECs generated from the Bid Facility offered to NYSERDA through this RFP, up to the Annual REC Cap (defined in the Agreement), may not be contractually committed to any other entity over the contract term of January 1, 2023 through December 31, 2025. Awardees will retain ownership and all rights to RECs generated that exceed the Annual REC Cap.

Proposers must submit the Bid Facility technology type and commercial operation date as part of Attachment B – Competitive Tier 2 Bid Proposal. Bid Facilities must meet the eligibility requirements to be considered for an award. The information included in a Competitive Tier 2 Bid Proposal must be consistent with the existing NYGATS Statement of Qualification (SoQ) for the Bid Facility. For example, fields such as Bid Facility Name and NYGATS ID must align with the Bid Facility's SoQ. There is no pre-certification required to participate in the RFP but Bid Facilities must have a NYGATS ID to participate.

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<sup>6</sup> New York State Senate Bill S6599, <https://www.nysenate.gov/legislation/bills/2019/s6599>  
<http://documents.dps.ny.gov/public/Common/ViewDoc.aspx?DocRefId={EAAF1A1E-2A05-49A7-A4D1-C5755E5BE536}>

<sup>8</sup> <http://documents.dps.ny.gov/public/MatterManagement/CaseMaster.aspx?MatterCaseNo=15-e-0302>



Proposers must complete two attachments as part of the Competitive Tier 2 Bid Proposal online form as a requirement for eligibility. Both attachments may be downloaded from the Competitive Tier 2 website for completion and submitted through the Competitive Tier 2 Bid Proposal online form. The documents are as follows:

- 1) Attachment C – Executive Order 16
  - a. Certification Under Executive Order No. 16 Prohibiting State Agencies and Authorities from Contracting with Businesses Conducting Business in Russia. Proposers must complete Attachment C.
- 2) Attachment D – Vendor Responsibility Checklist
  - a. Per New York’s Executive Order 192, NYSERDA is required to do business only with responsible entities. Proposers must complete Attachment D.

### **Hydroelectric Bid Facilities**

For hydroelectric Bid Facilities, an active FERC license or exemption is required. The Competitive Tier 2 Bid Proposal (Attachment B) includes a question for Proposers to note the license status. During proposal review, NYSERDA will cross reference with the FERC licensing website to ensure that all Bid Facilities have an active license or exemption.<sup>9</sup> In addition, Proposers must provide the date of the last FERC dam safety inspection and describe whether there were any material findings. If there were any material findings, the Proposer must describe how they were addressed and resolved. For any unresolved issues, NYSERDA will reach out to the Proposer to discuss the status.

### **Conformance with NYGATS Operating Rules**

If awarded under this RFP, Proposers must maintain a valid NYGATS ID and operate in conformance with the NYGATS Operating Rules.<sup>10</sup> Proposers must implement a NYGATS Forward Certificate Transfer of Tier 2 RECs in NYGATS, up to the annual Bid Quantity, into NYSERDA’s NYGATS Account. NYSERDA will make payment for Tier 2 RECs from the Bid Facility delivered to NYSERDA’s NYGATS account. The Forward Certificate Transfer should be cancelled by the Seller when the Bid Quantity is reached. NYSERDA will not pay for RECs that exceed the annual Bid Quantity but will return RECs delivered to NYSERDA in excess of that amount.

### **REC Pricing**

Proposers must bid a fixed REC Price (a dollar per Tier 2 REC/MWh bid (Bid Price)) and an annual MWh (Bid Quantity). The same Bid Price will be applied for all Tier 2 RECs for all months within the Contract Term.

### **Bid Quantity**

The Bid Quantity will be limited to the highest generation by the Tier 2 Bid Facility during any one of the Bid Facility’s most recent three years of operation. NYSERDA will review submitted Bid Quantities against generation recorded in NYGATS and will cap any Bid Quantities that exceed the highest generation of the most recent three years of operation using the latest information from NYISO or other qualified reporting entity at the time of Proposal submission. There is no minimum Bid Quantity. There are no penalties for under-delivery of Tier 2 RECs; under-delivery cannot be made up in subsequent years. RECs may not be carried over from year to year. Tier 2 RECs may not be banked or borrowed by generators. The Bid Quantity will be fixed for the entire term of the contract.

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<sup>9</sup> <https://www.ferc.gov/licensing>

<sup>10</sup> [New York Generation Attribute Tracking System \(NYGATS\)](#)

Proposers may submit a Bid Quantity that is less than the Bid Facility’s annual generation. In this case, all Tier 2 RECs associated with energy generated by the Bid Facility in each year of the Contract Term until the Bid Quantity is reached will be transferrable only to NYSERDA, and only RECs above the Bid Quantity will be transferrable to third parties.

Bid Proposals including tiered Bid Quantities at different Bid Prices for the same project are not permitted.

**Maximum Acceptable Bid Price; Target Volume**

The Competitive Tier 2 Program was created to provide existing renewable energy resources with an opportunity to compete for financial support. In the Tier 2 Order, the Commission emphasized the importance of both creating and maintaining the competitive element of the Tier 2 Program.<sup>11</sup> To that end, the Commission authorized NYSERDA to employ a Maximum Acceptable Bid Price, to be determined in consultation with DPS Staff, and to target an unquantified “majority” of the available Tier 2 supply in each RFP (Target Volume). In order to preserve the competitiveness of this RFP, both the Maximum Acceptable Bid Price and the Target Volume will remain confidential. Proposals that include a Bid Price in excess of the Maximum Acceptable Bid Price will not be eligible for an award.

**Contract Term**

Successful Proposers will enter into a three-year standard Agreement with NYSERDA (Attachment A) for the Bid Quantity at the Bid Price. The annual term of the contract will be standardized to run from January 1 to December 31.

**Payment and Adjustments**

Facilities will receive payments equal to the number of Tier 2 RECs delivered to NYSERDA’s New York Generation Attribute Tracking System (NYGATS) account multiplied by the contracted Bid Price.

RECs associated with energy generated by selected Tier 2 projects will be eligible for Tier 2 compensation starting in year one of the Agreement beginning on January 1, 2023, and through December of 2023.

Invoicing for all contract years will be on a quarterly basis, no sooner than the fifteenth (15) day of the months of April, July, October, and January for Tier 2 RECs associated with generation during the prior quarter and delivered to NYSERDA’s NYGATS account. Invoices shall not be submitted before the fifteenth (15) day of the month following the close of each quarter; invoices submitted prior to the fifteenth (15) day of the month following the close of each quarter shall not be considered proper invoices for purposes of NYSERDA’s Prompt Payment Policy.

**Terms and Conditions**

NYSERDA will use the Agreement set forth in Attachment A to contract successful proposals. Proposers are advised to review the Agreement (Attachment A) in detail before deciding to submit a proposal.

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<sup>11</sup> Tier 2 Order at p. 63

## **Schedule**

The schedule for T2RFP22-1 is as follows (all times ET):

Proposer Webinar	Tuesday, August 23, 2022 (3:30pm)
Deadline for Bid Proposal Submission	Thursday, September 15, 2022 by 3:00 p.m.
NYSERDA notifies Proposers receiving Awards	October 2022 (expected)

Please note that the above dates are subject to change. Notification of any changes to the solicitation schedule or documents will be posted on the “Current Funding Opportunities” section of NYSERDA’s website (<https://www.nysesda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>) and NYSERDA’s Competitive Tier 2 website (<https://www.nysesda.ny.gov/All-Programs/Programs/Clean-Energy-Standard/Renewable-Generators-and-Developers/Tier-Two-Competitive-Program>).

### **III. PROPOSAL REQUIREMENTS**

The Proposer must fully complete and sign the [Competitive Tier 2 Bid Proposal](#) (Attachment B) and submit the form by the due date and in accordance with the instructions set forth on pages 1 and 2 of this RFP.

### **IV. PROPOSAL EVALUATION**

Proposals that meet the RFP eligibility requirements will be reviewed by NYSERDA staff. Proposals will be rank ordered based on the Bid Price, starting with the lowest bid until the total Bid Quantity approximates the solicitation’s Target Volume or the Maximum Acceptable Bid Price is exceeded.

NYSERDA will arrive at a final award group and successful bidders will be offered three-year standard contracts with NYSERDA for the Bid Quantity at the Bid Price. The submission of a Proposal will constitute a binding offer to contract under the terms of the Agreement; such offer must remain open for a period of at least sixty (60) days from Proposal deadline.

NYSERDA reserves the right to reject or accept any or all bids. NYSERDA may consider information provided by Proposer in response requests for additional information or otherwise obtained by NYSERDA as to indictments, convictions enforcement proceedings, investigations, and significant character or ethical questions in accepting or rejecting a bid.

NYSERDA will notify Proposers with Bid Facilities included in the final award group in writing and may also provide notification via phone call or videoconference.

### **V. POST AWARD PROCESS**

#### **Confidentiality**

The Proposer shall not distribute any press release or contact the media until after the contract is executed by both parties and any New York State press releases regarding the awards have been issued. If the Proposer wishes to contact the press regarding the award, the Proposer must collaborate with NYSERDA’s Large-Scale Renewables Team and the Director of Communications (or designee) to prepare any press release and/or to plan for any announcement.

### Provision of Contract for Execution

NYSERDA recommends that Proposers review the Agreement (Attachment A) and the associated Exhibits prior to participating in this RFP. The Agreement is a legally binding document; it is recommended that Proposers consult with an attorney before submitting a Bid Proposal.

NYSERDA will prepare a conformed copy of the Agreement (Attachment A) which will be delivered to the Proposer, in a manner to be agreed upon, for Proposer's execution and return. NYSERDA may rescind awards to Proposers who fail to execute the Agreement within a reasonable amount of time.

NYSERDA may publish the executed Agreements, and/or relevant terms within the Agreements.

### Documents Required for Contracting Purposes

NYSERDA requires the following documents prior to contract execution:

- 1) Post-Award Contracting Information Form, to be provided by NYSERDA to Seller, requesting information such as Legal Business Name, State of Incorporation, Tax Identification Number (EIN), and other contractual information.
- 2) Pursuant to Tax Law Section 5-a, if not previously filed for the Seller, form [ST-220-TD](#) is required. Please consult [Publication 223, Questions and Answers Concerning Tax Law Section 5-a](#). If filing for the first time, please indicate the "Seller" under "Contractor name" on the form. This form is filed with the NYS Tax Department and NYSERDA does not need a copy. If previously filed for the Seller, a completed form [ST-220-CA](#). On this form, Sellers will indicate to NYSERDA that they have filed the ST-220-TD form or the Seller previously filed ST-220-TD with the Tax Department. As a reminder, please indicate the "Seller" under "Contractor name" on the form.
- 3) Certificate of Incorporation.
- 4) A certificate of an appropriate officer of the Seller, in form and substance certifying: (1) the names and signatures of the officers of the Seller authorized to sign any documents to be delivered to NYSERDA under the conformed Agreement, and (2) the accuracy and completeness of resolutions of the Seller, authorizing and approving all matters in connection with the transactions contemplated in the conformed Agreement. NYSERDA does not have a preferred standard.

## **VI. GENERAL CONDITIONS**

**Confidential and Proprietary Information** - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the Proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <https://www.nyserda.ny.gov/about/new-york-state-regulations>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

**Omnibus Procurement Act of 1992** - It is the policy of New York State to maximize opportunities for the participation of New York State business enterprises, including minority- and women-owned business enterprises, as bidders, subcontractors, and suppliers on its procurement Agreements.

Information on the availability of New York subcontractors and suppliers is available from:

Empire State Development  
Division for Small Business  
625 Broadway  
Albany, NY 12207

A directory of certified minority- and women-owned business enterprises is available from:

Empire State Development  
Minority and Women's Business Development Division  
625 Broadway  
Albany, NY 12207

**State Finance Law sections 139-j and 139-k** - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx> . Proposers are required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility (this includes a disclosure statement regarding whether the Proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years).

**Tax Law Section 5-a** - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf)). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department.

The Department has created a second form that must be completed by a prospective contractor prior to contracting and filed with NYSERDA. See, ST-220-CA (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220ca\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

**Limitation** - This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement. NYSERDA reserves the right to disqualify Proposers based upon the results of a background check into publicly available information or the presence of a material possibility of any reputational or legal risk in making of the award.

**Disclosure Requirement** - The Proposer shall disclose any indictment for any alleged felony, or any conviction for a felony within the past five years, under the laws of the United States or any state or territory of the United States and shall describe circumstances for each. When a Proposer is an association, partnership, corporation, or other organization, this disclosure requirement includes the organization and its officers, partners, and directors or members of any similarly governing body. If an indictment or conviction should come to the attention of NYSERDA after the award of a contract, NYSERDA may exercise its stop-work right pending further investigation or terminate the agreement; the contractor may be subject to penalties for violation of any law which may apply in the particular circumstances. Proposers must also disclose if they have ever been debarred or suspended by any agency of the U.S. Government or the New York State Department of Labor.

**Vendor Assurance of No Conflict of Interest or Detrimental Effect** - The Proposer shall disclose any existing or contemplated relationship with any other person or entity, including any known relationships with any member, shareholders of 5% or more, parent, subsidiary, or affiliated firm, which would constitute an actual or potential conflict of interest or appearance of impropriety, relating to other clients/customers of the Proposer or former officers and employees of NYSERDA, in connection with Proposer's rendering services as proposed. If a conflict does or might exist, please describe how your company would eliminate or prevent it. Indicate what procedures will be followed to detect, notify NYSERDA of, and resolve any such conflicts.

The Proposer must disclose whether it, or any of its members, or, to the best of its knowledge, shareholders of 5% or more, parents, affiliates, or subsidiaries, have been the subject of any investigation or disciplinary action by the New York State Commission on Public Integrity or its predecessor State entities (collectively, "Commission"), and if so, a brief description must be included indicating how any matter before the Commission was resolved or whether it remains unresolved.

**Public Officers Law** – For any resulting awards, the Contractor and its subcontractors shall not engage any person who is, or has been at any time, in the employ of the State to perform services in violation of the provisions of the New York Public Officers Law, other laws applicable to the service of State employees, and the rules, regulations, opinions, guidelines or policies promulgated or issued by the New York State Joint Commission on Public Ethics, or its predecessors (collectively, the "Ethics Requirements"). Proposers are reminded of the following Public Officers Law provision: contractors, consultants, vendors, and subcontractors may hire former NYSERDA employees. However, as a general rule and in accordance with New York Public Officers Law, former employees of NYSERDA may neither appear nor practice before NYSERDA, nor receive compensation for services rendered on a matter before NYSERDA, for a period of two years following their separation from NYSERDA service. In addition, former NYSERDA employees are subject to a "lifetime bar" from appearing before any state agency or authority or receiving compensation for services regarding any transaction in which they personally participated, or which was under their active consideration during their tenure with NYSERDA.

Any awardee will be required to certify that all of its employees, as well as employees of any subcontractor, whose subcontract is valued at \$100,000 or more who are former employees of the State and who are assigned to perform services under the resulting contract, shall be assigned in accordance with all Ethics Requirements. During the term of any agreement, no person who is employed by the contractor or its subcontractors and who is disqualified from providing services under the contract pursuant to any Ethics Requirements may share in any net revenues of the contractor or its subcontractors derived from the contract. NYSERDA may request that contractors provide it with whatever information the State deems appropriate about each such person's engagement, work cooperatively with the State to solicit advice from the New York State Joint Commission on Public Ethics,

and, if deemed appropriate by the State, instruct any such person to seek the opinion of the New York State Joint Commission on Public Ethics. NYSERDA shall have the right to withdraw or withhold approval of any subcontractor if utilizing such subcontractor for any work performed would be in conflict with any of the Ethics Requirements. NYSERDA shall have the right to terminate any contract at any time if any work performed is in conflict with any of the Ethics Requirements.

**Due Diligence** – NYSERDA, at its discretion, may conduct broad due diligence to validate any or all elements of an application and to assess applicants’ prospects of success, including gathering information to assess a proposal relative to any of the topics listed in evaluation criteria, whether or not such topic is explicitly addressed in a proposal. NYSERDA may conduct due diligence on some or all proposals based on NYSERDA’s current guidelines at the time of a review. NYSERDA staff may follow up with proposers to request additional information or clarification regarding applicant’s proposal, including questions regarding applicant’s business prospects and resources, whether or not those questions are specifically related to the elements of the proposal. Additionally, customized due diligence may be conducted by internal or external staff or contractors based on questions on any proposal raised by NYSERDA staff and/or the Scoring Committee. Due diligence may include (but is not limited to): interviews of independent references and background checks of team members; assessment of prior business experience of any team member associated with a proposal; research on intellectual property claims; customer and partner reference checks; market research on the applicants’ target market and any other related or possibly competitive technology or market area; research to validate any assumptions on current or future revenues, costs, capital needs, and financing prospects for proposers’ business, including similar (or unrelated) technologies, processes, or competitive solutions; or any other research that could reasonably inform the evaluation of a proposal, or the prospects for commercial success of the proposers’ business (whether directly related to, or unrelated to the specific elements in a proposal). Due diligence may include discussions with proposers’ former and current business partners, employees, investors, customers, and competitors. Due diligence may be conducted by NYSERDA personnel or contractors including members of the scoring committee, before, during, or after a scoring process, and prior to finalization of a contract award, any information gleaned in diligence may be used to score or re-score a proposal or apply a program policy factor.

**EO 16 Protocols** – Pursuant to Executive Order No. 16 issued on March 17, 2022, all vendors responding to bids or contracting with New York State must certify, using the form provided as part of this solicitation, their status with regard to conducting business operations in Russia, and that any such business operations in Russia conducted on behalf of the vendor are determined to be permitted under any of the allowable exemptions. The term vendor is intended to encompass bidders prior to contract award, contractors who have received a contract award, contract assignees, or contractors for whom an extension to an existing contract is being pursued. Exemption decisions are in NYSERDA’s sole discretion and are final decisions. NYSERDA reserves the right to solicit additional materials or information regarding the responses or materials provided by a vendor.

Pursuant to Executive Order No. 16, all vendors will be vetted to ensure that they are not on the federal sanctions list at <https://sanctionsearch.ofac.treas.gov/>. There is no waiver or exemption process for vendors appearing on the federal sanctions list.

The Executive Order remains in effect while sanctions imposed by the federal government are in effect. Accordingly, vendors who may be excluded from award because of current business operations in Russia are nevertheless encouraged to respond to solicitations to preserve their contracting opportunities in case sanctions are lifted during a solicitation, or after award in the case of some solicitations.

**VII. Attachments - Available on NYSERDA's Competitive Tier 2 Website:<sup>12</sup>**

Attachment A – Standard Competitive Tier 2 REC Agreement

Attachment B – Competitive Tier 2 Bid Proposal

Attachment C – Executive Order 16

Attachment D – Vendor Responsibility Checklist

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<sup>12</sup> <https://www.nyseda.ny.gov/All-Programs/Programs/Clean-Energy-Standard/Renewable-Generators-and-Developers/Tier-Two-Competitive-Program>



NYSERDA

Public Authority Law Report

April 1, 2022 to September 30, 2022

Section Break

## Projects Selected for Funding by Region

Period 4/1/2022 through 9/30/2022

REDC Region	County	Electric Utility	Total Funded Amount
<b>Capital Region</b>	Albany	Central Hudson Gas and Electric	46,030
		National Grid	63,345,098
	Columbia	Central Hudson Gas and Electric	8,960
		National Grid	3,225,377
		NYS Electric and Gas	148,503
	Greene	Central Hudson Gas and Electric	172,763
	Rensselaer	National Grid	5,727,839
		NYS Electric and Gas	1,381,712
	Saratoga	National Grid	10,228,189
		NYS Electric and Gas	529,111
	Schenectady	National Grid	5,143,821
	Warren	National Grid	2,562,347
	Washington	National Grid	6,781,608
		NYS Electric and Gas	21,100
	<b>Central New York</b>	Cayuga	National Grid
NYS Electric and Gas			3,505,230
Rochester Gas and Electric			1,137,910
Cortland		National Grid	835,586
Madison		National Grid	2,129,788
		NYS Electric and Gas	54,305
Onondaga		Municipal Utilities	4,118,725
		National Grid	12,359,829
		NYS Electric and Gas	33,613
Oswego		National Grid	2,276,400
<b>Finger Lakes</b>	Genesee	National Grid	5,306,609
	Livingston	National Grid	5,872,894
		NYS Electric and Gas	227,744
		Rochester Gas and Electric	139,490
	Monroe	Municipal Utilities	6,038
		National Grid	2,936,930
		Rochester Gas and Electric	4,401,281
	Ontario	National Grid	77,770
		NYS Electric and Gas	3,508,141
		Rochester Gas and Electric	1,948,333
	Orleans	National Grid	11,273,992
	Seneca	NYS Electric and Gas	3,300,985
	Wayne	NYS Electric and Gas	187,833
		Rochester Gas and Electric	123,734
		Municipal Utilities	150,000
	Wyoming	NYS Electric and Gas	387,964
		Rochester Gas and Electric	6,400
		NYS Electric and Gas	26,925
<b>Long Island</b>	Nassau	Long Island Power Authority	322,808
	Suffolk	Long Island Power Authority	596,718

## Projects Selected for Funding by Region

Period 4/1/2022 through 9/30/2022

REDC Region	County	Electric Utility	Total Funded Amount
<b>Long Island</b>	Suffolk	Municipal Utilities	6,250
<b>Mid-Hudson</b>	Dutchess	Central Hudson Gas and Electric	4,527,252
		NYS Electric and Gas	139,999
	Orange	Central Hudson Gas and Electric	1,315,632
		NYS Electric and Gas	45,333
		Orange and Rockland Utilities	4,954,520
	Putnam	Central Hudson Gas and Electric	48,926
		NYS Electric and Gas	382,741
	Rockland	Orange and Rockland Utilities	795,851
	Sullivan	Central Hudson Gas and Electric	26,290
		NYS Electric and Gas	2,260,069
		Orange and Rockland Utilities	1,097,418
	Ulster	Central Hudson Gas and Electric	7,601,314
		NYS Electric and Gas	63,720
	Westchester	Consolidated Edison	12,727,106
NYS Electric and Gas		1,510,594	
<b>Mohawk Valley</b>	Fulton	National Grid	2,260,057
	Herkimer	National Grid	7,395,113
		NYS Electric and Gas	10,880
	Montgomery	National Grid	9,011,055
	Oneida	Municipal Utilities	1,292,551
		National Grid	15,557,681
		NYS Electric and Gas	76,644
	Otsego	National Grid	14,920
		NYS Electric and Gas	4,719,312
	Schoharie	National Grid	53,139
NYS Electric and Gas		10,760	
<b>New York City</b>	Bronx	Consolidated Edison	7,228,945
	Kings	Consolidated Edison	12,060,925
	New York	Consolidated Edison	17,091,498
		Statewide	107,676
	Queens	Consolidated Edison	13,408,492
		Long Island Power Authority	407,980
Richmond	Consolidated Edison	17,282,290	
<b>North Country</b>	Clinton	NYS Electric and Gas	5,372,937
	Essex	Municipal Utilities	44,149
		National Grid	5,690,349
		NYS Electric and Gas	64,016
	Franklin	National Grid	2,230,897
		NYS Electric and Gas	3,054,835
	Jefferson	National Grid	6,239,554
	Lewis	National Grid	552,385
St. Lawrence	National Grid	8,040,341	
<b>Southern Tier</b>	Broome	NYS Electric and Gas	12,736,854

## Projects Selected for Funding by Region

Period 4/1/2022 through 9/30/2022

REDC Region	County	Electric Utility	Total Funded Amount
<b>Southern Tier</b>	Chemung	NYS Electric and Gas	1,001,294
	Chenango	Municipal Utilities	3,592,147
		NYS Electric and Gas	1,813,496
	Delaware	NYS Electric and Gas	24,242
	Schuyler	NYS Electric and Gas	168,858
	Steuben	NYS Electric and Gas	59,652
	Tioga	NYS Electric and Gas	5,120,467
	Tompkins	NYS Electric and Gas	5,181,988
<b>Statewide</b>	STATEWIDE	Statewide	32,575,505
	STATEWIDE	Statewide	23,603,141,547
<b>Western New York</b>	Allegany	National Grid	2,759,125
		NYS Electric and Gas	1,686,797
		Rochester Gas and Electric	125,371
	Cattaraugus	National Grid	1,252,763
		NYS Electric and Gas	15,289
	Chautauqua	National Grid	20,767,998
		NYS Electric and Gas	2,149,178
	Erie	National Grid	12,347,966
		NYS Electric and Gas	311,901
	Niagara	National Grid	14,607,021
		NYS Electric and Gas	2,814,440
		Statewide	6,290
<b>Grand Total</b>			24,067,629,814

NYSERDA

Public Authority Law Report

April 1, 2022 to September 30, 2022

Section Break

**Projects Selected for Funding by Region**  
 Period 4/1/2022 through 9/30/2022

REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount		
Capital Region	745 Broadway Albany, LLC	Albany	National Grid	New Construction Housing, NCP Housing 2022	206,000		
	AC Power 31, LLC	Warren	National Grid	>200KW PV, NY Sun	1,747,704		
				NY-SUN, NY Sun	407,797		
	AC Power, LLC	Washington	National Grid	>200KW PV, NY Sun	1,174,173		
				NY-SUN, NY Sun	483,483		
	Active Solar Development, LLC	Saratoga	National Grid	>200KW PV, NY Sun	1,339,416		
				NY-SUN, NY Sun	625,061		
				>200KW PV, NY Sun	3,755,904		
	Albany Solar Solutions L.L.C.	Albany	National Grid	>200KW PV, NY Sun	718,503		
				<200KW PV, PON 2112 NY SUN	10,780		
				NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	16,558	
				Rensselaer	National Grid	<200KW PV, PON 2112 NY SUN	8,578
	Allegis Group Holdings Inc	Albany	National Grid	OJT	23,040		
				<200KW PV, PON 2112 NY SUN	7,800		
				ENERGY ANALYSIS, SA.020_TWO #5_EEA Co..	385,749		
				NYCH: District, SA.005_TWO #2_CHC_PM	383,749		
	Allen Power, Inc.	Albany	National Grid	NYCH: Supply Chain, SA.054_TWO #9 - SFR PM	100,000		
				<200KW PV, PON 2112 NY SUN	51,660		
	American Energy Care, Inc.	Albany	National Grid	<200KW PV, NY-Sun	523		
				<200KW PV, PON 2112 NY SUN	11,520		
				Columbia	National Grid	<200KW PV, PON 2112 NY SUN	6,377
				Rensselaer	National Grid	<200KW PV, PON 2112 NY SUN	19,260
					NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	6,794
				Saratoga	National Grid	<200KW PV, PON 2112 NY SUN	12,416
				Schenectady	National Grid	<200KW PV, PON 2112 NY SUN	67,551
				Washington	National Grid	<200KW PV, PON 2112 NY SUN	16,560
	Antares Group, Inc.	Warren	National Grid	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,760	
				Technical Services, FT14091 - 42 Ridge - FTC	32,764		
	Apex Solar Power LLC	Saratoga	National Grid	<200KW PV, PON 2112 NY SUN	25,732		
				Warren	National Grid	<200KW PV, PON 2112 NY SUN	28,116
				Washington	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	10,000
	APPEXTREMES, LLC	Albany	National Grid	NYSERDA ADMINISTRATION, Conga Compose..	14,400		
	Arcadis of New York, Inc.	Albany	National Grid	OTHER PROGRAM AREA, SA.093_TWO #5_In..	446,870		
	Articulate Global Inc	Albany	National Grid	NYSERDA ADMINISTRATION, Articulate Softwa..	22,028		
	Aztech Geothermal, LLC	Saratoga	National Grid	NYCH: Talent Ppln:CE and OJT, OJT	7,680		
	Bakers Falls Solar, LLC	Saratoga	National Grid	>200KW PV, NY Sun	564,566		
				NY-SUN, NY Sun	232,469		
	Bellwether on Main, LLC	Columbia	NYS Electric and Gas	New Construction Housing, NCP Housing	30,000		
	Best Buy Store, L.P.	Albany	National Grid	NYSERDA ADMINISTRATION, Surface Laptop 4..	5,060		
	Bloomfield Solar, LLC	Saratoga	National Grid	>200KW PV, NY Sun	1,125,000		
				NY-SUN, NY Sun	525,000		
	Bond, Schoeneck & King, PLL..	Albany	National Grid	NYSERDA ADMINISTRATION, TWO 6 HR Coun..	25,000		
	Booz Allen Hamilton, Inc.	Albany	National Grid	Building Envelope Systems, TWO 8 Buildings Inn..	744,757		
				Energy Storage Tech/Prod Dev, TWO 12 Hydrog..	1,736,356		
				Energy Storage Tech/Prod Dev, TWO 13 Renew..	1,448,004		
				Future Grid Perf. Challenges, TWO 11 Grid Mod..	1,736,356		
				NextGen HVAC, TWO 8 Buildings Innov	661,737		
NYCH: Innovation, TWO 8 Buildings Innov				744,757			
OTHER PROGRAM AREA, TWO 9 Climate Resil..				724,002			
OTHER PROGRAM AREA, TWO 10 Negative E..				1,592,180			
Thermal Energy Storage, TWO 8 Buildings Innov				744,757			
Buzzard's Ridge Group LLC				Rensselaer	National Grid	<200KW PV, PON 2112 NY SUN	5,856
Carahsoft Technology Corpor..	Albany	National Grid	NYSERDA ADMINISTRATION, Google Translati..	36,871			
Carter Ledyard & Milburn LLP	Albany	National Grid	OREC: Technical Support, TWO 2 - Pt of Albany ..	15,000			
			OREC: Technical Support, TWO 3 - OSW, NEPA..	22,000			
Citizens Global Albany LLC	Albany	National Grid	>200KW PV, NY-Sun	421,056			
			NY-SUN, NY-Sun ESFA	123,840			
Clover Meadow, LLC	Columbia	National Grid	>200KW PV, NY Sun	1,274,999			
			NY-SUN, NY Sun	525,001			

**Projects Selected for Funding by Region**  
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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Capital Region	Community Power Group, LLC	Albany	National Grid	>200KW PV, NY Sun	1,274,937
				NY-SUN, NY Sun	524,975
	Concur Technologies, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Concur Services ..	40,000
	Crown Castle Fiber LLC	Albany	National Grid	NYSERDA ADMINISTRATION, Crown Castle Pri..	124,909
	Curtis Lumber Company	Albany	National Grid	17CC Bathroom Countertops	16,607
	CVE US E17 Belair, LLC	Rensselaer	National Grid	>200KW PV, NY Sun	1,004,659
				NY-SUN, NY Sun	413,684
	D2D Green Architecture, PLLC	Albany	National Grid	NYSERDA ADMINISTRATION, New Office Floor..	8,812
	D.K. & S Enterprises Inc	Albany	National Grid	NYCH: Communities, 1GW Milestone Communit..	19,546
	Dell, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Advanced eDisc..	18,564
	DePaul Properties, Inc.	Schenectady	National Grid	New Construction Housing, NCP Housing	240,000
	DG New York CS, LLC	Albany	National Grid	>200KW PV, NY Sun	1,274,999
				NY-SUN, NY Sun	525,001
				NY-SUN, NY-Sun ESFA	1,350,094
	Don Brown Bus Sales Inc.	Albany	National Grid	CLEAN TRANSPORTATION, NYTVIP - SUNY AI..	110,000
	ELP Greenbush Solar LLC	Rensselaer	National Grid	>200KW PV, NY Sun	1,124,955
				NY-SUN, NY Sun	524,979
	ELP Roe Jan Solar LLC	Columbia	National Grid	>200KW PV, NY Sun	918,049
				NY-SUN, NY Sun	378,021
	EME Consulting Engineering Group, LLC	Albany	National Grid	76 West, TWO #16 - Innovation APM	151,684
				High Performing Grid, TWO #16 - Innovation APM	37,921
				Market Tests, SA.094_TWO#17 - AES_PM-2	333,669
				New Construction Housing, SA.098 - New Con_P..	440,037
				New Construction Housing, SA.099 - New Constr..	440,037
				New Construction- Commercial, SA.098 - New C..	350,038
				New Construction- Commercial, SA.099 - New C..	350,038
				Single Family New Construction, SA.098 - New C..	175,019
	Single Family New Construction, SA.099 - New C..	175,019			
	Empire Solar Solutions LLC	Greene	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	15,440
	Employee Leasing of Greater ..	Albany	National Grid	NYSERDA ADMINISTRATION, TS.030 – Strateg..	49,263
	ePlus inc	Albany	National Grid	NYSERDA ADMINISTRATION, VEEAM Annual ..	8,892
				NYSERDA ADMINISTRATION, Wireless Access ..	6,696
	ESRI, Incorporated	Albany	National Grid	NYSERDA ADMINISTRATION, ArcGIS Desktop ..	20,200
	Finch Paper, LLC	Warren	National Grid	On-Site Energy Manager, OsEM94 I - Finch Paper	209,000
	Finlo-BR LLC	Saratoga	National Grid	>200KW PV, NY Sun	2,286,045
				NY-SUN, NY Sun	996,860
	First Columbia Property Servi..	Albany	National Grid	NYSERDA ADMINISTRATION, Property Manage..	222,967
	FPI Mechanical, Inc.	Albany	National Grid	17CC Basement Toilet and Sink	16,600
	Fusco Personnel, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, TS.015 Contract ..	166,725
	Green Dale Solar, LLC	Rensselaer	National Grid	>200KW PV, NY Sun	1,274,999
				NY-SUN, NY Sun	525,001
	Harris Beach PLLC	Albany	National Grid	NYSERDA ADMINISTRATION, TWO 3 - PAAA A..	10,000
	HH Owner, LLC	Saratoga	NYS Electric and Gas	New Construction Housing, NCP Housing	480,000
	High Peaks Solar	Rensselaer	National Grid	<200KW PV, PON 2112 NY SUN	14,288
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,600
	Hodgson Russ LLP	Albany	National Grid	NYSERDA ADMINISTRATION, EmPower Claim ..	128
	Holland & Knight LLP	Albany	National Grid	Retrofit NY, TWO 2 - Capital Reserve Fund	50,000
	Hollingsworth & Vose Company	Washington	National Grid	Technical Services, FT14282 - 3235 Co Rte 113	55,650
	Home Leasing, LLC	Albany	National Grid	New Construction Housing, NCP Housing	26,000
	Hudson River Renewables	Columbia	National Grid	<200KW PV, NY-Sun	5,624
				<200KW PV, PON 2112 NY SUN	15,680
				NYS Electric and Gas	<200KW PV, PON 2112 NY SUN
ICE Data, LP	Albany	National Grid	ENERGY ANALYSIS, WebICE Renewal - 2022-2..	24,916	
Infinity Solar Systems, LLC	Columbia	National Grid	<200KW PV, PON 2112 NY SUN	5,184	
	Greene	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	6,683	
Ingraham Solar 1, LLC	Rensselaer	NYS Electric and Gas	>200KW PV, NY Sun	910,800	
			NY-SUN, NY Sun	425,040	
Integrated Staffing Corporation	Albany	National Grid	ENERGY ANALYSIS, TS.032 - EEA_Coordinator	149,526	
			NYSERDA ADMINISTRATION, TS.027 - CBS A..	232,596	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount	
Capital Region	Integrated Staffing Corporation	Albany	National Grid	NYSERDA ADMINISTRATION, TS.028 - Marketi..	86,522	
	John Francis	Rensselaer	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	6,960	
	Kasselman Solar LLC	Albany	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	22,250	
			National Grid	<200KW PV, NY-Sun	5,440	
	Columbia	National Grid	<200KW PV, PON 2112 NY SUN	119,587		
			<200KW PV, PON 2112 NY SUN	19,818		
	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	29,726			
			24,995			
	Greene	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	24,995		
	Rensselaer	National Grid	<200KW PV, PON 2112 NY SUN	32,147		
			<200KW PV, NY-Sun	7,268		
	Saratoga	National Grid	<200KW PV, PON 2112 NY SUN	14,050		
			<200KW PV, NY-Sun	6,912		
	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	128,189			
			13,536			
	Schenectady	National Grid	<200KW PV, PON 2112 NY SUN	26,061		
	Warren	National Grid	<200KW PV, NY-Sun	11,352		
			<200KW PV, PON 2112 NY SUN	22,600		
	Washington	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,340		
	Knox II PV, LLC	Albany	National Grid	>200KW PV, NY Sun	1,103,299	
				NY-SUN, NY Sun	454,301	
	KPMG LLP	Albany	National Grid	NYSERDA ADMINISTRATION, NYSERDA Audit ..	481,650	
	L&S Energy Services, Inc.	Albany	National Grid	New Construction- Commercial, Commercial Ne..	1,775	
	LaBella Associates, P.C.	Albany	National Grid	New Construction- Commercial, Commercial Ne..	45,160	
	Lincoln Life & Annuity Compa..	Albany	National Grid	NYSERDA ADMINISTRATION, Insurance SL/LT/..	102,900	
	Long Island Power Authority	Albany	National Grid	NY-SUN, MOU - 3 year term	20,000,000	
	Marshall & Sterling, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, RFP 4301 Insura..	284,699	
	Maureen Data Systems, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, VMWare Worksp..	19,606	
				NYSERDA ADMINISTRATION, VMWare.Airwac..	11,940	
	MVP Consulting Plus, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, SAS Annual Mai..	10,391	
	NASEO	Albany	National Grid	Prof & Expert Engagement, Office of the Preside..	16,834	
	New England Solar & Green S..	Albany	National Grid	<200KW PV, PON 2112 NY SUN	5,000	
	New Flyer of America, Inc.	Albany	National Grid	CLEAN TRANSPORTATION, NYTVIP - CDTA	1,540,000	
	New Leaf Energy, Inc.	Albany	National Grid	>200KW PV, NY Sun	3,210,841	
				NY-SUN, NY Sun	1,322,113	
				NY-SUN, NY-Sun ESFA	3,399,716	
		Washington	National Grid	>200KW PV, NY Sun	2,382,144	
				NY-SUN, NY Sun	1,041,693	
	NY-SUN, NY-Sun ESFA	1,574,446				
	New York Battery and Energy ..	Albany	National Grid	CTE 2022 Sponsorship	10,000	
	New York Bus Sales LLC	Washington	National Grid	CLEAN TRANSPORTATION, NYTVIP - Hudson ..	9,008	
	New York Geothermal Energy..	Albany	National Grid	NYCH: Communities, NY-GEO Sponsorship 21-22	29,250	
	New York Power Authority	Albany	National Grid	Technical Services, FT13810 - City of Albany - F..	44,264	
	New York State Solar Farm Inc.	Albany	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	12,500	
			Columbia	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,101
			Saratoga	National Grid	<200KW PV, PON 2112 NY SUN	14,940
	NRP Holdings LLC	Albany	National Grid	New Construction Housing, NCP Housing	258,000	
	NY Middle Grove Road Solar LLC	Saratoga	National Grid	>200KW PV, NY Sun	783,693	
				NY-SUN, NY Sun	171,433	
				NY-SUN, NY-Sun ESFA	122,452	
	NYS Office for Technology	Albany	National Grid	NYSERDA ADMINISTRATION, O365 Data10Mb ..	11,232	
	NYS Office of General Services	Saratoga	National Grid	SARATOGA TECHNOLOGY & ENERGY PARK, ..	37,827	
NYS Electric and Gas			SARATOGA TECHNOLOGY & ENERGY PARK, ..	30,000		
NYS OGS	Albany	National Grid	SARATOGA TECHNOLOGY & ENERGY PARK, ..	140,000		
Orange EV LLC	Rensselaer	National Grid	CLEAN TRANSPORTATION, NYTVIP - ADUSA ..	140,542		
	Schenectady	National Grid	CLEAN TRANSPORTATION, NYTVIP - Price Ch..	281,083		
OwnBackup Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Own backupSale..	4,590		
Paradise Energy Solutions, LL..	Columbia	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	8,960		
PlugPV, LLC	Albany	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	11,280		
		National Grid	<200KW PV, PON 2112 NY SUN	35,914		



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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount	
Capital Region	PlugPV, LLC	Columbia	National Grid	<200KW PV, PON 2112 NY SUN	17,520	
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	24,740	
		Greene	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	25,840	
		Rensselaer	National Grid	<200KW PV, PON 2112 NY SUN	27,520	
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,200	
		Saratoga	National Grid	<200KW PV, PON 2112 NY SUN	41,400	
		Schenectady	National Grid	<200KW PV, NY-Sun	14,400	
				<200KW PV, PON 2112 NY SUN	32,519	
		Warren	National Grid	<200KW PV, NY-Sun	7,680	
				<200KW PV, PON 2112 NY SUN	75,728	
		Washington	National Grid	<200KW PV, PON 2112 NY SUN	11,760	
		Power Guru, LLC	Saratoga	National Grid	<200KW PV, PON 2112 NY SUN	11,210
		Provantage, LLC	Albany	National Grid	NYSERDA ADMINISTRATION, Logitech Rallyba..	17,250
					NYSERDA ADMINISTRATION, RallyBar and Ral..	13,800
		Randstad North America, Inc.	Albany	National Grid	Clean Energy Communities, Payroll Services - C..	143,013
Home Perf w Energy Star, Payroll Services_EAE	115,830					
Informat. Products & Brokering, PS TWO #65 - A..	21,548					
Informat. Products & Brokering, PS TWO #68 - A..	10,343					
NEW YORK GREEN BANK, Payroll Services_N..	5,880					
NYSERDA ADMINISTRATION, Payroll Services	57,038					
NYSERDA ADMINISTRATION, Payroll Services..	63,375					
NYSERDA ADMINISTRATION, PS TWO #62 - G..	14,089					
NYSERDA ADMINISTRATION, PS TWO #66 - H..	12,431					
NYSERDA ADMINISTRATION, PS TWO #67 - S..	186,089					
NYSERDA ADMINISTRATION, PS.067 - Innovati..	8,288					
NYSERDA ADMINISTRATION, PS.068 - Office o..	21,548					
NYSERDA ADMINISTRATION, TWO #69 - CPS..	8,619					
Regional Economic Models, Inc	Albany	National Grid	ENERGY ANALYSIS, REMI License and Fee 20..	44,000		
Rise to Equity Excellence, LLC	Albany	National Grid	NYSERDA ADMINISTRATION, DEI Training Plan	114,240		
Saratoga Solar III, LLC	Saratoga	National Grid	>200KW PV, NY Sun	773,491		
			NY-SUN, NY Sun	318,497		
Selkirk Solar, LLC	Albany	National Grid	>200KW PV, NY Sun	1,157,597		
			NY-SUN, NY Sun	476,659		
SHI, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Adobe Acrobat.C..	65,771		
			NYSERDA ADMINISTRATION, Microsoft Surfac..	7,502		
			NYSERDA ADMINISTRATION, Monitors - 20	6,608		
			NYSERDA ADMINISTRATION, Surface Laptop 4..	7,610		
Sigora Solar	Washington	National Grid	<200KW PV, PON 2112 NY SUN	7,800		
Sive Paget & Riesel PC	Albany	National Grid	BR: Program Implementation, TWO 3 - Build Rea..	100,000		
			OTHER PROGRAM AREA, TWO 2 - Antitrust Fe..	5,000		
Software People, Inc.	Albany	National Grid	OTHER PROGRAM AREA, TWO1 ASANA PM - ..	139,920		
Solar Liberty Energy Systems, Inc	Greene	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	24,420		
	Saratoga	National Grid	<200KW PV, PON 2112 NY SUN	16,840		
		NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,575		
SolarCommunities Inc.	Albany	National Grid	<200KW PV, PON 2112 NY SUN	7,830		
	Columbia	National Grid	<200KW PV, PON 2112 NY SUN	30,430		
		NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	28,218		
	Greene	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	57,960		
	Rensselaer	National Grid	<200KW PV, PON 2112 NY SUN	18,800		
	Warren	National Grid	<200KW PV, PON 2112 NY SUN	10,005		
	Washington	National Grid	<200KW PV, PON 2112 NY SUN	24,890		
Suite Advice LLC	Albany	National Grid	NYSERDA ADMINISTRATION, HR Coaching/Ad..	50,000		
Sun Source Technologies	Columbia	National Grid	<200KW PV, PON 2112 NY SUN	22,274		
Sundog Solar, Inc.	Columbia	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,760		
SunPower Capital, LLC	Albany	National Grid	<200KW PV, NY-Sun	7,325		
			<200KW PV, PON 2112 NY SUN	18,222		
	Greene	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	6,460		
	Rensselaer	National Grid	<200KW PV, PON 2112 NY SUN	6,300		
SunRun, Inc	Greene	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	10,965		

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount			
Capital Region	Tech Valley Talent, LLC	Albany	National Grid	NYSERDA ADMINISTRATION, TWO # 19 Table..	175,500			
				NYSERDA ADMINISTRATION, TWO # 20 Salesf..	195,520			
				NYSERDA ADMINISTRATION, TWO #11 Info S..	204,750			
				NYSERDA ADMINISTRATION, TWO #12 Project..	181,350			
				NYSERDA ADMINISTRATION, TWO #21 Salesf..	203,840			
				NYSERDA ADMINISTRATION, TWO #22 Softwa..	130,000			
				NYSERDA ADMINISTRATION, TWO #23 Softwa..	130,000			
				NYSERDA ADMINISTRATION, TWO 3 Sr. Share..	191,100			
	Technology Professionals Group Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, TWO # 2 Micros..	24,800			
	Tesla Energy Operations Inc	Columbia	National Grid	<200KW PV, PON 2112 NY SUN	6,400			
		Saratoga	National Grid	<200KW PV, PON 2112 NY SUN	17,760			
	The Business Council of NYS, Inc.	Albany	National Grid	Prof & Expert Engagement, 2021 Business Coun..	6,705			
				Prof & Expert Engagement, 2022 Business Coun..	6,705			
	Thermal Associates, LLC	Warren	National Grid	NYCH: Talent Ppin:CE and OJT, OJT	9,600			
	ThunderCat Technology LLC	Albany	National Grid	NYSERDA ADMINISTRATION, Cisco Umbrella - ..	18,634			
				NYSERDA ADMINISTRATION, Linchpin Theme ..	11,870			
				NYSERDA ADMINISTRATION, Pyramid Consulti..	315,066			
				NYSERDA ADMINISTRATION, Sitecore CMS Li..	83,419			
	Towers on the Hudson LLC	Rensselaer	National Grid	Multifam Performance Pgm, Multifamily	13,400			
				NYCH: LMI, Clean Heating & Cooling	469,000			
	Towerstream 1 Incorporated	Albany	National Grid	NYSERDA ADMINISTRATION, Circuit for NYC - ..	1,200			
	TRC Energy Services	Albany	National Grid	Cleantech Ignition, SA.063_TWO #22 - T2M	29,640			
				Commercial New Construc, SA.040_TWO #16 - ..	18,533			
				Electric Vehicles - Innovation, SA.096_TWO#31-..	238,859			
				Energy Storage Tech/Prod Dev, SA.063_TWO #..	29,640			
				ESTOR: Implementation Support, SA.096_TWO#..	119,429			
				High Performing Grid, SA.063_TWO #22 - T2M	29,640			
				Housing Agencies Support, SA.095_TWO#30 - ..	348,737			
				Low Rise New Construction, SA.040_TWO #16 - ..	22,239			
				Multifam New Construction, SA.040_TWO #16 - ..	21,004			
				Nat'l OffShWind R&D Consortium, SA.090 - Inno..	327,212			
				New Construction Housing, SA.040_TWO #16 - ..	43,243			
				New Construction- Commercial, SA.040_TWO #..	18,533			
				NYCH: Innovation, SA.063_TWO #22 - T2M	29,640			
				Pub Transit & Elect Rail, SA.063_TWO #22 - T2M	29,640			
				SA.096_TWO#31-DER_Assistant PM	119,429			
				Tech Assistanc Multifamily LMI, SA.061_TWO#2..	153,062			
				Technical Services, SA.061_TWO#23 - Multifamily	306,124			
				TRC Engineers, Inc.	Saratoga	National Grid	Technical Services, FT14223 - 19 Roosevelt - FT..	43,300
				Unique Comp Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, TWO #2 Web Co..	126,750
							NYSERDA ADMINISTRATION, TWO #3 Databa..	191,100
	NYSERDA ADMINISTRATION, TWO #7 .Net Sof..	195,000						
	NYSERDA ADMINISTRATION, TWO #8 Tableau..	204,360						
	NYSERDA ADMINISTRATION, TWO Sr. Softwar..	10,560						
	Vertex U.S Holdings Inc	Albany	National Grid	EDI Vendor, EDI Annual Service - mini-bid	690,000			
	W & E Phillips Locksmith, Inc	Albany	National Grid	NYSERDA ADMINISTRATION, Facilities Manag..	8,500			
	Watts and Water	Albany	National Grid	NYSERDA ADMINISTRATION, Wiring 17 Colum..	25,000			
	Willdan Energy Solutions	Albany	National Grid	Cleantech EIR, SA.062a_TWO#4 Tech to Market	3,939			
				M-Corps, SA.062a_TWO#4 Tech to Market	5,909			
	Wiltshire Renewable Energy S..	Rensselaer	National Grid	<200KW PV, PON 2112 NY SUN	5,032			
	Yellow 5 LLC	Albany	National Grid	>200KW PV, NY Sun	1,025,664			
				NY-SUN, NY Sun	224,364			
	YWCA of the Greater Capital Region, Inc.	Rensselaer	National Grid	Multifam Performance Pgm, Multifamily	65,800			
				Tech Assistanc Multifamily LMI, FT14145 - 21 Fir..	10,000			
	Zones LLC	Albany	National Grid	NYSERDA ADMINISTRATION, Webex (Cisco) li..	65,023			
	Central New York	Abundant Solar Power Inc.	Onondaga	Municipal Utilities				
				>200KW PV, NY Sun	1,311,898			
				NY-SUN, NY Sun	286,977			
				National Grid				
	>200KW PV, NY Sun	1,954,368						
	NY-SUN, NY Sun	427,518						

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Central New York	Adam C. Boese	Onondaga	National Grid	Technical Services, AEAP 1239 - Scholten Dairy	5,600
	Alternative Power Solutions of NY, LLC	Cayuga	Rochester Gas and Electric	<200KW PV, PON 2112 NY SUN	10,800
		Madison	National Grid	<200KW PV, PON 2112 NY SUN	10,250
		Onondaga	National Grid	<200KW PV, PON 2112 NY SUN	61,466
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	9,900
	Oswego	National Grid	<200KW PV, PON 2112 NY SUN	8,300	
	AMP US HoldCo Inc.	Cayuga	Rochester Gas and Electric	>200KW PV, NY Sun	732,888
		Oswego	National Grid	NY-SUN, NY-Sun ESFA	342,015
	Apex Solar Power LLC	Madison	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	1,035,216
		Onondaga	National Grid	<200KW PV, NY-Sun	9,000
	Bashing Panels LLC	Cayuga	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,400
				<200KW PV, PON 2112 NY SUN	14,000
				<200KW PV, PON 2112 NY SUN	12,480
	Bergmann Associates, Architects,	Madison	National Grid	Technical Services, AEAP 1413 - Critz Farms Inc	6,000
		Onondaga	National Grid	Technical Services, AEAP 1388 - Apple Acres LL..	3,500
	Buffalo Solar Solutions Inc	Cayuga	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	17,325
	Cascade Energy, Inc.	Cayuga	NYS Electric and Gas	Technical Services, FT14217 - City of Auburn - F..	7,575
	Community Power Group, LLC	Onondaga	Municipal Utilities	>200KW PV, NY Sun	1,784,893
				NY-SUN, NY Sun	734,957
	CVE US EI4 Manlius North, LLC	Onondaga	National Grid	>200KW PV, NY Sun	358,020
				NY-SUN, NY Sun	147,420
	CVE US EI5 Manlius East, LLC	Onondaga	National Grid	>200KW PV, NY Sun	1,169,531
				NY-SUN, NY Sun	481,573
	CVE US EI6 Manlius West, LLC	Onondaga	National Grid	>200KW PV, NY Sun	1,169,531
				NY-SUN, NY Sun	481,573
	DePaul Properties, Inc.	Cayuga	NYS Electric and Gas	New Construction Housing, NCP Housing	69,000
	Energy Savers Inc	Onondaga	National Grid	OJT	16,640
				Talent Pipeline:CE and OJT, OJT	11,200
	Fastbreak Knights LLC	Onondaga	National Grid	New Construction Housing, NCP Housing	44,000
	Green Visions Solar LLC	Madison	National Grid	<200KW PV, NY-Sun	11,248
				<200KW PV, PON 2112 NY SUN	6,080
				<200KW PV, PON 2112 NY SUN	10,000
	Halcyon, Inc.	Cayuga	National Grid	<200KW PV, PON 2112 NY SUN	9,120
			Rochester Gas and Electric	<200KW PV, NY-Sun	10,800
	Half Acre Solar, LLC	Cayuga	NYS Electric and Gas	>200KW PV, NY Sun	20,000
				NY-SUN, NY Sun	1,002,495
	Hunter Buffalo Peterbilt	Onondaga	National Grid	CLEAN TRANSPORTATION, NYTVIP - CT TaaS..	467,831
	IBC Engineering PC	Onondaga	National Grid	Technical Services, FT14194 – 415 W Fayette – ..	300,000
	J&A Electrical Construction LLC	Madison	National Grid	<200KW PV, PON 2112 NY SUN	16,123
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	7,400
	Kasselmann Solar LLC	Onondaga	National Grid	<200KW PV, PON 2112 NY SUN	20,905
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	13,030
	Locust Solar, LLC	Cortland	National Grid	NY-SUN, NY-Sun - ICESA	12,443
	Manlius Acad LLC	Onondaga	National Grid	Multifam Performance Pgm, Manlius Academy A..	670,059
	Meltwater Solar, LLC	Onondaga	National Grid	>200KW PV, NY Sun	17,300
				NY-SUN, NY Sun	1,106,104
	National Solar Technologies	Onondaga	National Grid	<200KW PV, PON 2112 NY SUN	455,456
	Next Generation Solar, LLC	Madison	National Grid	<200KW PV, NY-Sun	129,418
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	9,600
	Nickels Energy Solutions LLC	Onondaga	National Grid	<200KW PV, PON 2112 NY SUN	10,000
National Grid			<200KW PV, PON 2112 NY SUN	27,996	
Omni Richland Route 28 North Solar, LLC	Oswego	National Grid	>200KW PV, NY Sun	49,053	
			NY-SUN, NY Sun	742,560	
Paradise Energy Solutions, LLC	Cayuga	Rochester Gas and Electric	<200KW PV, PON 2112 NY SUN	346,528	
	Oswego	National Grid	<200KW PV, PON 2112 NY SUN	32,208	
Patterson Farms, Inc.	Cayuga	NYS Electric and Gas	Anaerobic Digesters, PON 3739 CAT C	25,000	
PlugPV, LLC	Madison	National Grid	<200KW PV, PON 2112 NY SUN	453,513	
		NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	7,400	
				9,000	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Central New York	PlugPV, LLC	Oswego	National Grid	<200KW PV, PON 2112 NY SUN	8,400
	ReneSola Power Holdings, LLC	Madison	National Grid	>200KW PV, NY Sun	471,415
				NY-SUN, NY-Sun ESFA	110,921
	Renovus Energy, Inc.	Onondaga	National Grid	<200KW PV, NY-Sun	11,152
				<200KW PV, PON 2112 NY SUN	12,460
	Rural Generation & Wind (Ro..	Oswego	National Grid	<200KW PV, PON 2112 NY SUN	19,920
	Seaboard Solar Holdings LLC	Onondaga	National Grid	>200KW PV, NY Sun	1,835,652
				NY-SUN, NY Sun	856,638
	Sevior Solar, LLC	Cayuga	NYS Electric and Gas	>200KW PV, NY Sun	1,044,799
				NY-SUN, NY Sun	430,212
	Skyline Solar Inc.	Onondaga	National Grid	<200KW PV, PON 2112 NY SUN	8,580
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,670
		Oswego	National Grid	<200KW PV, PON 2112 NY SUN	54,106
	Solar Liberty Energy Systems, Inc	Onondaga	National Grid	<200KW PV, PON 2112 NY SUN	160
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,600
		Oswego	National Grid	<200KW PV, PON 2112 NY SUN	21,300
	Steed Energy LLC	Madison	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,400
	SUNRISE ELECTRICAL SER..	Madison	National Grid	<200KW PV, NY-Sun	48,160
	SUNY Upstate Medical Univer..	Onondaga	National Grid	New Construction- Commercial, Commercial Ne..	10,578
	Sustainable Comfort, Inc	Onondaga	National Grid	OJT	7,693
				Talent Pipeline:CE and OJT, OJT	9,846
	Syracuse Bread Factory	Onondaga	National Grid	New Construction Housing, NCP Housing	92,000
				New Construction- Commercial, NCP Housing	53,400
	Syracuse Community Health ..	Onondaga	National Grid	New Construction- Commercial, Commercial Ne..	110,800
	Taft Solar, LLC	Onondaga	National Grid	NY-SUN, NY-Sun - ICSA	441,693
	TJA-NY-Barrett Rd New Woo..	Madison	National Grid	NY-SUN, NY-Sun - ICSA	1,441,314
	Upstate Alternative Energy	Cortland	National Grid	<200KW PV, PON 2112 NY SUN	63
		Oswego	National Grid	<200KW PV, PON 2112 NY SUN	5,950
	Wildcat Renewables, LLC	Onondaga	National Grid	NY-SUN, NY-Sun - ICSA	363,917
	Yellow 3 LLC	Cortland	National Grid	NY-SUN, NY-Sun - ICSA	165,464
	Zerodraft Residential Inc.	Onondaga	National Grid	NYCH: Talent Ppln:CE and OJT, OJT	5,440
				OJT	53,120
Talent Pipeline:CE and OJT, OJT				10,880	
Finger Lakes	3rd ROC Solar LLC	Genesee	National Grid	<200KW PV, PON 2112 NY SUN	14,840
		Livingston	National Grid	<200KW PV, PON 2112 NY SUN	19,830
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	12,500
			Monroe	National Grid	<200KW PV, PON 2112 NY SUN
		Rochester Gas and Electric		<200KW PV, PON 2112 NY SUN	126,585
		Ontario	National Grid	<200KW PV, PON 2112 NY SUN	12,470
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,920
			Rochester Gas and Electric	<200KW PV, PON 2112 NY SUN	62,759
		Seneca	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	6,480
	Wayne	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	10,990	
		Rochester Gas and Electric	<200KW PV, PON 2112 NY SUN	24,324	
	Yates	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	8,500	
	733 Portland Properties	Monroe	Rochester Gas and Electric	Low Carbon Tech Demos, MF Low Carbon Path..	47,850
				Tech Assistanc Multifamily LMI, FT14247 - 733 P..	7,488
	AES DE RS XV, LLC	Orleans	National Grid	>200KW PV, NY Sun	972,024
				NY-SUN, NY Sun	400,246
	AES Laubacher Solar, LLC	Orleans	National Grid	>200KW PV, NY Sun	564,570
				NY-SUN, NY Sun	232,470
	AES RT 5 Storage Solar, LLC	Genesee	National Grid	>200KW PV, NY Sun	1,257,374
				NY-SUN, NY Sun	517,743
	AMP US HoldCo Inc.	Ontario	Rochester Gas and Electric	>200KW PV, NY Sun	922,039
				NY-SUN, NY Sun	379,664
Buffalo Solar Solutions Inc	Genesee	National Grid	<200KW PV, PON 2112 NY SUN	7,200	
	Livingston	National Grid	<200KW PV, PON 2112 NY SUN	19,700	
	Monroe	National Grid	<200KW PV, PON 2112 NY SUN	5,920	
	Wyoming	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	7,680	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount	
Finger Lakes	Bullrock Corporation	Genesee	National Grid	<200KW PV, NY-Sun	262,080	
				NY-SUN, NY-Sun	52,416	
	BW Solar Holding Inc.	Genesee	National Grid	>200KW PV, NY Sun	2,160,412	
				NY-SUN, NY Sun	889,583	
		Ontario	NYS Electric and Gas	>200KW PV, NY Sun	2,330,332	
				NY-SUN, NY Sun	959,550	
	CCMI, Inc	Ontario	NYS Electric and Gas	Commercial New Construc, 2019 CNCP	6,824	
	CIR ELECTRICAL CONSTRUCTION CORP.	Genesee	National Grid	<200KW PV, PON 2112 NY SUN	28,742	
		Monroe	National Grid	<200KW PV, PON 2112 NY SUN	5,188	
			Rochester Gas and Electric	<200KW PV, PON 2112 NY SUN	6,845	
		Wyoming	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	15,884	
	Clarkson Renewables 2, LLC	Monroe	National Grid	>200KW PV, NY Sun	1,056,513	
	Crossfield Home Energy Solut..	Monroe	Rochester Gas and Electric	NYCH: Talent Ppln:CE and OJT, OJT	18,720	
	Delaware River Solar, LLC	Seneca	NYS Electric and Gas	>200KW PV, NY Sun	1,175,543	
				NY-SUN, NY Sun	484,048	
	DePaul Properties, Inc.	Livingston	NYS Electric and Gas	New Construction Housing, NCP Housing	192,000	
	DG Kendall, LLC	Orleans	National Grid	>200KW PV, NY Sun	1,129,045	
	DG New York CS, LLC	Livingston	National Grid	>200KW PV, NY Sun	1,169,831	
				NY-SUN, NY Sun	481,696	
				NY-SUN, NY-Sun ESFA	1,307,458	
		Monroe	Rochester Gas and Electric	>200KW PV, NY Sun	1,012,477	
				NY-SUN, NY Sun	472,490	
		Orleans	National Grid	>200KW PV, NY Sun	2,403,691	
				NY-SUN, NY Sun	525,001	
	NY-SUN, NY-Sun ESFA	1,428,224				
	Dimension Energy LLC	Livingston	National Grid	>200KW PV, NY Sun	726,206	
	Ecovis Group Inc	Livingston	National Grid	<200KW PV, PON 2112 NY SUN	5,200	
	Ecovis, Inc.	Ontario	National Grid	<200KW PV, PON 2112 NY SUN	9,165	
	EMCOR Services Betlem	Monroe	Rochester Gas and Electric	Technical Services, FT14226- 1565 Jefferson - F..	8,007	
				Technical Services, FT14240 CareStream FTC	6,238	
	Extraterrestrial Materials Inc.	Ontario	National Grid	<200KW PV, PON 2112 NY SUN	5,280	
	Fusion Energy Services LLC	Livingston	National Grid	<200KW PV, PON 2112 NY SUN	6,230	
				NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	10,680
				Rochester Gas and Electric	<200KW PV, PON 2112 NY SUN	8,010
		Ontario	National Grid	<200KW PV, PON 2112 NY SUN	40,495	
				NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	55,395
				Rochester Gas and Electric	<200KW PV, PON 2112 NY SUN	32,080
		Seneca	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,563	
		Wayne	Rochester Gas and Electric	<200KW PV, PON 2112 NY SUN	10,680	
		Geotherm Inc.	Genesee	National Grid	<200KW PV, PON 2112 NY SUN	12,585
			Monroe	Municipal Utilities	<200KW PV, PON 2112 NY SUN	6,038
	National Grid			<200KW PV, PON 2112 NY SUN	14,112	
				NYCH: Talent Ppln:CE and OJT, OJT	14,400	
				Rochester Gas and Electric	<200KW PV, PON 2112 NY SUN	12,869
	Wayne		NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	6,048	
	GSPF 13759 Waterport Carlton Road, LLC	Orleans	National Grid	>200KW PV, NY Sun	1,082,015	
				NY-SUN, NY Sun	445,537	
	Halcyon Inc.	Ontario	NYS Electric and Gas	NYCH: Talent Ppln:CE and OJT, OJT	113,400	
				Talent Pipeline:CE and OJT, OJT	9,600	
	Halcyon, Inc.	Monroe	Rochester Gas and Electric	<200KW PV, NY-Sun	6,912	
		Wayne	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	6,460	
	Hawn Heating & Energy Servi..	Monroe	Rochester Gas and Electric	NYCH: Talent Ppln:CE and OJT, OJT	12,720	
	Johnson Controls, Inc. (Syrac..	Genesee	National Grid	K-12 SCHOOLS, P12GC-32_E - Batavia - FTC	70,256	
	LaBella Associates, P.C.	Wyoming	Municipal Utilities	OTHER PROGRAM AREA, Silver Springs JT Pla..	150,000	
	Lake Country Geothermal, Inc.	Wayne	NYS Electric and Gas	NYCH: Talent Ppln:CE and OJT, OJT	44,160	
				NYCH: Talent Ppln:CE and OJT, OJT Mitchell Be..	14,400	
				OJT	13,440	
	Life Storage Solutions, LLC	Monroe	Rochester Gas and Electric	<200KW PV, NY-Sun	18,900	
	M/E Engineering, P.C.	Monroe	Rochester Gas and Electric	Technical Services, FT14261 - Bausch + Lomb -..	27,610	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Finger Lakes	Mantisi Solar LLC	Monroe	National Grid	NY-SUN, NY-Sun - ICESA	1,047,341
	New Leaf Energy, Inc.	Orleans	National Grid	>200KW PV, NY Sun	935,064
				NY-SUN, NY Sun	436,363
	NY Farmington I, LLC	Ontario	Rochester Gas and Electric	NY-SUN, NY-Sun - ICESA	137,700
	NY Farmington II, LLC	Ontario	Rochester Gas and Electric	NY-SUN, NY-Sun - ICESA	137,700
	NY Farmington III, LLC	Ontario	Rochester Gas and Electric	NY-SUN, NY-Sun - ICESA	137,700
	NY Greece I, LLC	Monroe	Rochester Gas and Electric	>200KW PV, NY Sun	765,160
	NY Greece II, LLC	Monroe	Rochester Gas and Electric	>200KW PV, NY Sun	387,750
				NY-SUN, NY-Sun - ICESA	705,000
	NYS Office of Parks, Recreati..	Genesee	National Grid	<200KW PV, PON 2112 NY SUN	20,769
	NYSolar03, LLC	Livingston	National Grid	>200KW PV, NY Sun	1,102,701
				NY-SUN, NY Sun	454,054
	O'Connell Electric Company	Monroe	Rochester Gas and Electric	<200KW PV, NY-Sun	7,840
	Orange EV LLC	Monroe	Rochester Gas and Electric	CLEAN TRANSPORTATION, NYTVIP - Wegmans	140,542
	Overlord Apartments, LLC	Seneca	NYS Electric and Gas	Tech Assistanc Multifamily LMI, FT14080 - 14 U..	6,750
	OYA Main Street LLC	Livingston	National Grid	NY-SUN, NY-Sun ESFA	524,888
	Paradise Energy Solutions, LL..	Seneca	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,400
	Pathstone Corporation	Monroe	Rochester Gas and Electric	CLEANER GREENER COMMUNITIES, CEEP Fi..	58,989
	PlugPV, LLC	Monroe	Rochester Gas and Electric	<200KW PV, PON 2112 NY SUN	5,280
		Orleans	National Grid	<200KW PV, PON 2112 NY SUN	7,200
	QwikSolar, LLC	Monroe	Rochester Gas and Electric	<200KW PV, PON 2112 NY SUN	11,620
		Ontario	Rochester Gas and Electric	<200KW PV, PON 2112 NY SUN	19,200
		Seneca	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	12,960
		Wayne	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	6,240
			Rochester Gas and Electric	<200KW PV, PON 2112 NY SUN	6,240
		Yates	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	17,152
	Renovus Energy, Inc.	Livingston	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,904
		Ontario	Rochester Gas and Electric	<200KW PV, PON 2112 NY SUN	5,460
	Rochester Civic Housing, Inc.	Monroe	Rochester Gas and Electric	New Construction Housing, NCP Housing	101,000
	Rochester Housing Authority	Monroe	Rochester Gas and Electric	New Construction Housing, NCP Housing	8,500
				Single Family New Construction, NCP Housing	2,500
	Rochester Institute of Technol..	Monroe	Rochester Gas and Electric	New Construction- Commercial, Commercial Ne..	6,353
	Ruffalo Appliance	Wayne	NYS Electric and Gas	NYCH: Talent Ppln:CE and OJT, OJT	9,120
				NYCH: Talent Ppln:CE and OJT, OJT David McK..	9,120
	Seneca Gardens Solar, LLC	Seneca	NYS Electric and Gas	>200KW PV, NY Sun	1,047,969
				NY-SUN, NY Sun	489,052
	Simply Home Performance	Wayne	NYS Electric and Gas	NYCH: Talent Ppln:CE and OJT, OJT	7,680
				WORKFORCE DEVELOPMENT, OJT	9,600
	Simply Installs LLC	Ontario	Rochester Gas and Electric	NYCH: Talent Ppln:CE and OJT, OJT	38,400
				NYCH: Talent Ppln:CE and OJT, OJT Daniel Luc..	11,520
	Solar and Wind FX, Inc. (Chris..	Ontario	Rochester Gas and Electric	<200KW PV, PON 2112 NY SUN	19,892
	Solar Liberty Energy Systems, Inc	Genesee	National Grid	<200KW PV, PON 2112 NY SUN	12,610
		Livingston	National Grid	<200KW PV, PON 2112 NY SUN	12,420
			Rochester Gas and Electric	<200KW PV, PON 2112 NY SUN	6,480
		Monroe	Rochester Gas and Electric	<200KW PV, PON 2112 NY SUN	46,725
		Orleans	National Grid	<200KW PV, PON 2112 NY SUN	455
		Seneca	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,220
Wayne		NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	7,920	
Wyoming		Rochester Gas and Electric	<200KW PV, PON 2112 NY SUN	6,400	
Steed Energy LLC	Monroe	National Grid	<200KW PV, PON 2112 NY SUN	7,560	
Sunny Knoll Farms	Wyoming	NYS Electric and Gas	Anaerobic Digesters, PON 3739 CAT C	328,000	
Sustainable Energy Developments Inc.	Livingston	National Grid	<200KW PV, PON 2112 NY SUN	16,280	
		NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	6,660	
		Monroe	National Grid	<200KW PV, PON 2112 NY SUN	6,290
	Ontario	Rochester Gas and Electric	<200KW PV, NY-Sun	73,100	
		Rochester Gas and Electric	<200KW PV, PON 2112 NY SUN	121,992	
		National Grid	<200KW PV, PON 2112 NY SUN	10,360	
NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	20,720			
Rochester Gas and Electric	<200KW PV, PON 2112 NY SUN	29,600			

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount	
Finger Lakes	Sustainable Energy Developments Inc.	Wayne	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	42,855	
			Rochester Gas and Electric	<200KW PV, PON 2112 NY SUN	73,850	
				Talent Pipeline:CE and OJT, OJT	8,640	
	Taitem Engineering, P.C.	Yates	NYS Electric and Gas	Technical Services, AEAP#1344 - Sweet Grass ..	1,273	
	Tesla Energy Operations Inc	Ontario	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	6,400	
			Rochester Gas and Electric	<200KW PV, PON 2112 NY SUN	14,620	
	TJA-NY- 11202 Ridge Rd Me..	Orleans	National Grid	NY-SUN, NY-Sun - ICSA	712,088	
	Town of Brighton	Monroe	Rochester Gas and Electric	Code to Zero, PON 4600 Town of Brighton	75,000	
	Town of Mount Morris	Livingston	Rochester Gas and Electric	Code to Zero, PON 4600 Mount Morris	125,000	
	Trane	Livingston	National Grid	K-12 SCHOOLS, P12GC-56E - Livonia CSD - FT..	26,400	
	True Energy Solutions	Monroe	Rochester Gas and Electric	<200KW PV, PON 2112 NY SUN	5,180	
				NYCH: Talent Ppln:CE and OJT, OJT	17,280	
				OJT	31,800	
				OJT Kalie Rollo	8,880	
				Talent Pipeline:CE and OJT, OJT	20,520	
				WORKFORCE DEVELOPMENT, OJT	8,160	
	Wendel Energy Services, LLC	Seneca	NYS Electric and Gas	K-12 SCHOOLS, CGSI-1_E - South Seneca CS..	62,000	
	Wise Home Energy, LLC	Monroe	Rochester Gas and Electric	NYCH: Talent Ppln:CE and OJT, OJT	6,400	
	Wolf Solar LLC	Monroe	National Grid	NY-SUN, NY-Sun - ICSA	762,221	
	Wyoming County Community ..	Wyoming	NYS Electric and Gas	Multifam Performance Pgm, Multifamily	36,400	
	Long Island	East Hampton Housing Author..	Suffolk	Long Island Power Authority	NY-SUN, East Hampton Community Solar	84,100
		Empower CES, LLC	Nassau	Long Island Power Authority	ENERGY STORAGE, NY-Sun	6,250
					ENERGY STORAGE, PON 2112 NY SUN	93,750
		Suffolk	Long Island Power Authority	ENERGY STORAGE, PON 2112 NY SUN	90,000	
			Municipal Utilities	ENERGY STORAGE, PON 2112 NY SUN	6,250	
GreenLogic, LLC		Suffolk	Long Island Power Authority	ENERGY STORAGE, PON 2112 NY SUN	64,900	
Harvest Power, LLC		Nassau	Long Island Power Authority	ENERGY STORAGE, PON 2112 NY SUN	12,500	
Hytech Solar Inc		Nassau	Long Island Power Authority	COMMUNITY SOLAR, PON 2112 NY SUN	5,760	
		Suffolk	Long Island Power Authority	COMMUNITY SOLAR, PON 2112 NY SUN	33,920	
				ENERGY STORAGE, PON 2112 NY SUN	12,500	
J Synergy Green Inc		Nassau	Long Island Power Authority	OJT	16,152	
Kamtech Restoration Corp		Nassau	Long Island Power Authority	ENERGY STORAGE, PON 2112 NY SUN	6,250	
Long Island Power Solutions		Nassau	Long Island Power Authority	ENERGY STORAGE, PON 2112 NY SUN	6,250	
		Suffolk	Long Island Power Authority	ENERGY STORAGE, PON 2112 NY SUN	6,250	
Nesco Bus and Truck Sales, I..		Nassau	Long Island Power Authority	CLEAN TRANSPORTATION, NYTVIP - LB Publi..	49,372	
NYSS LLC		Nassau	Long Island Power Authority	<200KW PV, NY-Sun	5,644	
				ENERGY STORAGE, PON 2112 NY SUN	5,700	
				COMMUNITY SOLAR, PON 2112 NY SUN	5,600	
				ENERGY STORAGE, PON 2112 NY SUN	5,700	
SuNation Solar Systems, Inc.		Nassau	Long Island Power Authority	ENERGY STORAGE, PON 2112 NY SUN	68,750	
		Suffolk	Long Island Power Authority	COMMUNITY SOLAR, PON 2112 NY SUN	8,910	
				ENERGY STORAGE, PON 2112 NY SUN	100,000	
SUNRISE ELECTRICAL SERVICES		Nassau	Long Island Power Authority	<200KW PV, NY-Sun	22,920	
		Suffolk	Long Island Power Authority	<200KW PV, NY-Sun	150,240	
SunRun, Inc		Suffolk	Long Island Power Authority	<200KW PV, PON 2112 NY SUN	5,694	
Surf Clean Energy Inc		Nassau	Long Island Power Authority	COMMUNITY SOLAR, NY-Sun	10,310	
				ENERGY STORAGE, NY-Sun	13,200	
		Suffolk	Long Island Power Authority	<200KW PV, PON 2112 NY SUN	9,600	
				COMMUNITY SOLAR, NY-Sun	7,072	
				COMMUNITY SOLAR, PON 2112 NY SUN	5,032	
			ENERGY STORAGE, NY-Sun	7,200		
Mid-Hudson	AASPEN HVAC	Putnam	NYS Electric and Gas	NYCH: Talent Ppln:CE and OJT, OJT	12,000	
	AC Owner, LLC	Dutchess	Central Hudson Gas and Electric	New Construction Housing, NCP Housing	576,000	
	Accord Power, Inc.	Orange	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	7,252	
		Putnam	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,355	
	Adam C. Boese	Orange	Orange and Rockland Utilities	Technical Services, AEAP1383 - Citiva Medical L..	3,500	
		Rockland	Orange and Rockland Utilities	Technical Services, FT14278 - Teledyne - FTC	12,390	
	Advanced Radiant Design, Inc.	Ulster	Central Hudson Gas and Electric	NYCH: Talent Ppln:CE and OJT, OJT	10,560	
	Albany Solar Solutions L.L.C.	Ulster	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	12,500	

**Projects Selected for Funding by Region**  
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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount	
Mid-Hudson	All-State Air Control Sales & S..	Westchester	Consolidated Edison	NYCH: Talent Ppln:CE and OJT, OJT	14,400	
	Allen Power, Inc.	Westchester	Consolidated Edison	>200KW PV, NY-Sun	323,380	
				>200KW PV, PON 2112 NY SUN	64,676	
				NY-SUN, NY-Sun	64,676	
	Ameresco, Inc.	Dutchess	Central Hudson Gas and Electric	>200KW PV, NY Sun Assignment	422,063	
				NY-SUN, NY Sun Assignment	744,817	
	American Energy Care, Inc.	Ulster	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	5,559	
	Amy's Kitchen	Orange	Orange and Rockland Utilities	Commercial New Construc, Comm New Constru..	53,164	
	Apex Roofing, LLC	Dutchess	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	13,970	
		Westchester	Consolidated Edison	<200KW PV, PON 2112 NY SUN	5,000	
	Apex Solar Power LLC	Ulster	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	8,000	
	Autonomous Energies LLC	Ulster	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	18,075	
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,200	
	Belvedere Housing, LP	Orange	Central Hudson Gas and Electric	Multifam Performance Pgm, Multifamily	262,500	
				Tech Assistanc Multifamily LMI, FT14147 - 207 L..	15,000	
	Best Energy Power	Westchester	Consolidated Edison	>200KW PV, NY-Sun	67,944	
				NY-SUN, NY-Sun	11,324	
	Big Shine Worldwide Inc	Orange	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	211,523	
	Bright Power, Inc.	Westchester	Consolidated Edison	Real Time Enrgy Management, Bright-41 Barker ..	5,774	
	Buffalo Solar Solutions Inc	Putnam	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	12,096	
	Co-op Power, Incorporated	Dutchess	Central Hudson Gas and Electric	NY-SUN, PON 3414 - Wildseed CDG	200,000	
		Westchester	Consolidated Edison	NY-SUN, PON 3414 - Peekskill CDG	200,000	
	Comrie Enterprises, LLC	Westchester	Consolidated Edison	NYCH: Communities, Student Summer Program	100,250	
	CON EDISON SOLUTIONS, I..	Westchester	Consolidated Edison	>200KW PV, PON 2112 NY SUN	568,576	
	County Cooling, Corp.	Westchester	Consolidated Edison	NYCH: Talent Ppln:CE and OJT, OJT	8,160	
	Croton Energy Group, Inc.	Westchester	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,402	
	Delaware River Solar, LLC	Orange	Orange and Rockland Utilities	>200KW PV, NY Sun	459,425	
				NY-SUN, NY Sun	189,175	
		Sullivan	NYS Electric and Gas	>200KW PV, NY Sun	1,441,885	
				NY-SUN, NY Sun	593,718	
	Distributed Solar Developmen..	Westchester	Consolidated Edison	NY-SUN, NY-Sun - ICSA	25,704	
	Dual Fuel Corp	Westchester	Consolidated Edison	NYCH: Talent Ppln:CE and OJT, OJT	30,720	
				OJT	27,227	
				Talent Pipeline:CE and OJT, OJT	19,987	
	Ecogy New York I LLC	Westchester	Consolidated Edison	>200KW PV, NY-Sun	208,936	
	Ecogy New York IV LLC	Westchester	Consolidated Edison	>200KW PV, NY-Sun	239,850	
	Ecogy New York VI LLC	Westchester	Consolidated Edison	>200KW PV, NY-Sun	271,656	
	Ecogy New York XV LLC	Westchester	Consolidated Edison	>200KW PV, NY-Sun	1,470,000	
	Eiger 3970 Consultants Inc.	Dutchess	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	9,880	
				Ulster	Central Hudson Gas and Electric	<200KW PV, NY-Sun
					<200KW PV, PON 2112 NY SUN	80,297
					>200KW PV, NY Sun	1,124,940
					NY-SUN, NY Sun	524,972
					NY-SUN, NY-Sun	52,466
				NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	11,100
	Empire Solar Solutions LLC	Dutchess	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	188,013	
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	33,864	
		Orange	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	88,089	
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	13,208	
			Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN	140,993	
		Putnam	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	21,848	
		Rockland	Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN	65,076	
		Sullivan	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	6,480	
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	26,461	
Orange and Rockland Utilities			<200KW PV, PON 2112 NY SUN	13,748		
Ulster		Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	141,160		
Westchester		Consolidated Edison	<200KW PV, PON 2112 NY SUN	5,000		
Energy Management Solutions, LLC	Rockland	Orange and Rockland Utilities	OJT	14,400		
			OJT Charly Martinez	9,600		



**Projects Selected for Funding by Region**  
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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Mid-Hudson	Energy Management Solutions, LLC	Rockland	Orange and Rockland Utilities	Talent Pipeline:CE and OJT, OJT	18,560
	EnterSolar LLC	Westchester	Consolidated Edison	>200KW PV, NY-Sun	1,276,520
	Ficazzola Consulting, LLC	Orange	Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN	7,400
		Rockland	Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN	12,500
	Florenton River LLC	Dutchess	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	1,800
		Westchester	Consolidated Edison	<200KW PV, NY-Sun	116,440
			>200KW PV, NY-Sun	29,110	
	Goldman Copeland Associate..	Westchester	Consolidated Edison	Technical Services, FT14165 - 62 Pondfield - FTC	17,978
	Gree Mechanical Yonkers LLC	Westchester	Consolidated Edison	NYCH: Talent Ppln:CE and OJT, OJT	10,560
	Green Hybrid Energy Solutions Inc.	Dutchess	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	5,952
		Westchester	Consolidated Edison	<200KW PV, PON 2112 NY SUN	10,000
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	10,000
	Harvest Power, LLC	Ulster	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	1,606
	Healthy Home Energy & Consulting, Inc.	Putnam	NYS Electric and Gas	NYCH: Talent Ppln:CE and OJT, OJT	11,520
				OJT	6,400
				Talent Pipeline:CE and OJT, OJT	29,280
	HESP Solar, LLC	Westchester	Consolidated Edison	>200KW PV, NY-Sun	1,199,256
				NY-SUN, NY-Sun	199,876
	Hillside Solar, LLC	Westchester	NYS Electric and Gas	>200KW PV, NY-Sun	1,387,440
	Hudson River Renewables	Dutchess	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	5,120
		Putnam	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	6,040
		Ulster	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	8,440
	Hudson Valley Wind Energy, ..	Dutchess	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	12,500
	Infinity Solar Systems, LLC	Dutchess	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	135,351
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	6,278
		Orange	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	38,378
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	6,156
			Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN	124,462
		Putnam	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	19,490
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	27,283
		Rockland	Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN	70,438
		Sullivan	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	31,230
			Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN	18,560
		Ulster	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	53,177
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,670
		Westchester	Consolidated Edison	<200KW PV, PON 2112 NY SUN	5,000
		Integral Building & Design, Inc.	Ulster	Central Hudson Gas and Electric	OJT
	Integrity Solar Solutions, LLC	Orange	Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN	19,890
		Rockland	Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN	25,840
		Sullivan	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,100
		Ulster	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	5,100
		Westchester	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,805
	IPPsolar Integration LLC	Dutchess	Central Hudson Gas and Electric	NY-SUN, NY-Sun - ICSA	600,000
	IPPsolar LLC	Orange	Orange and Rockland Utilities	NY-SUN, NY-Sun - ICSA	600,000
	J Synergy Solar LLC	Rockland	Orange and Rockland Utilities	<200KW PV, NY-Sun	14,892
				<200KW PV, PON 2112 NY SUN	5,550
	J. Grace Corporation	Orange	Orange and Rockland Utilities	Talent Pipeline:CE and OJT, OJT	10,224
	Johnson Controls, Inc. (Syrac..	Sullivan	NYS Electric and Gas	K-12 SCHOOLS, P12GC-71E - Sullivan - FTC	48,002
	Kamtech Restoration Corp	Orange	Orange and Rockland Utilities	<200KW PV, NY-Sun	14,280
		Rockland	Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN	17,600
	Kasselmann Solar LLC	Dutchess	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	135,456
		Orange	Central Hudson Gas and Electric	<200KW PV, NY-Sun	13,272
			Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN	46,933
Putnam		Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	7,056	
		NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	31,022	
Rockland		Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN	5,950	
Sullivan		NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	17,600	
Ulster	Central Hudson Gas and Electric	<200KW PV, NY-Sun	14,140		

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount		
Mid-Hudson	Kasselman Solar LLC	Ulster	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	61,686		
		Westchester	Consolidated Edison	<200KW PV, NY-Sun	8,352		
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	16,048		
	Kings Ford, Inc	Westchester	Consolidated Edison	CLEAN TRANSPORTATION, NYTVIP - Cintas C..	153,636		
	Kingsley Housing Developme..	Westchester	Consolidated Edison	Multifam Performance Pgm, Multifamily	164,000		
	La Mora LLC	Westchester	Consolidated Edison	New Construction Housing, NCP Housing 2022	240,000		
	LaBella Associates, P.C.	Ulster	Central Hudson Gas and Electric	Technical Services, FT14326 - NYSBA - Multi - F..	14,000		
	Lewis Solar Partners, LLC	Ulster	Central Hudson Gas and Electric	>200KW PV, NY Sun	2,400,001		
				NY-SUN, NY Sun	524,999		
	Long Island Power Solutions	Dutchess	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	91,426		
				NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	14,210	
		Orange	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	59,202		
				NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	20,725	
				Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN	51,562	
		Putnam	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	6,000		
		Rockland	Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN	35,906		
				Ulster	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	7,400
		Ulster	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,576		
				Westchester	Consolidated Edison	<200KW PV, PON 2112 NY SUN	5,000
	Madison Energy Holdings, LLC	Ulster	Central Hudson Gas and Electric	>200KW PV, NY Sun	233,289		
	Magruder Solar, LLC	Ulster	Central Hudson Gas and Electric	>200KW PV, NY Sun	999,839		
				NY-SUN, NY Sun	411,699		
	Mannino Electric, Inc.	Dutchess	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	9,360		
	Netgains Engineering P.C.	Westchester	Consolidated Edison	Tech Assistanc Multifamily LMI, FT14241 - 2-116..	10,000		
	New Ecology, Inc.	Westchester	Consolidated Edison	Real Time Enrgy Management, New Ecology-16..	16,244		
	New Leaf Energy, Inc.	Orange	Orange and Rockland Utilities	>200KW PV, NY Sun	1,202,947		
				NY-SUN, NY Sun	495,332		
	Westchester	Consolidated Edison	ESTOR:Retail Storage Incentive, Retail Storage		2,625,000		
			New York Engineers, P.C.	Sullivan	NYS Electric and Gas	Technical Services, FT14260 - 2299 Ulster - FTC	8,813
	Westchester	Consolidated Edison	K-12 SCHOOLS, CGSI-5_E - New Rochelle CSD..		61,092		
			Technical Services, FT14269 - Multiple - FTC		33,982		
	New York Power Authority	Dutchess	Central Hudson Gas and Electric	Technical Services, FT14308 - 4 Burnett - FTC	8,934		
				Rockland	Orange and Rockland Utilities	REV Campus Challenge, FT13913 - Rockland - ..	26,379
						Technical Services, FT13937 - Rockland - FTC	39,432
	New York State Solar Farm Inc.	Dutchess	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	6,806		
				Orange	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	5,100
		Orange	Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN	12,500		
				Putnam	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	11,880
		Putnam	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	7,380		
				Rockland	Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN	5,400
		Ulster	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	28,524		
		Westchester	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	35,400		
	Novel Approaches Solar Applications, LLC	Sullivan	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	12,500		
		Ulster	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	13,050		
	NY Mamakating I, LLC	Sullivan	Orange and Rockland Utilities	>200KW PV, NY Sun	722,670		
				NY-SUN, NY Sun	297,570		
	NY Solar 1001 LLC	Orange	Orange and Rockland Utilities	>200KW PV, NY Sun	587,520		
				NY-SUN, NY Sun	241,920		
	NYSolarDoctors LLC	Dutchess	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	12,000		
	Onsite Energy, Inc.	Rockland	Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN	11,680		
	Orange EV LLC	Dutchess	Central Hudson Gas and Electric	CLEAN TRANSPORTATION, NYTVIP - SalSon ..	562,166		
	PlugPV, LLC	Dutchess	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	399,208		
				NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	39,600	
		Orange	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	107,000		
				Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN	29,560	
		Putnam	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	8,500		
		Sullivan	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	38,560		
		Ulster	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	138,388		
				NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	6,800	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount	
Mid-Hudson	PlugPV, LLC	Westchester	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	12,500	
	Pure Point Energy	Westchester	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	9,200	
	Residences At West Hills Cou..	Orange	Orange and Rockland Utilities	New Construction Housing, NCP Housing	94,800	
	SolarCommunities Inc.	Dutchess	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	80,058	
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	12,028	
		Orange	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	33,000	
			Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN	13,820	
		Putnam	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	10,500	
		Sullivan	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	10,560	
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,220	
		Ulster	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	75,466	
	Sun Source Technologies	Dutchess	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	57,353	
		Orange	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	15,170	
			Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN	5,550	
		Sullivan	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	9,250	
			Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN	6,475	
		Ulster	Central Hudson Gas and Electric	<200KW PV, NY-Sun	5,328	
	Sunnova Energy Corp	Orange	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	19,200	
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,244	
		Rockland	Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN	5,200	
		SunPower Capital, LLC	Dutchess	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	103,569
	NYS Electric and Gas			<200KW PV, PON 2112 NY SUN	6,840	
	Orange		Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	17,693	
			Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN	117,020	
	Putnam		NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	17,318	
	Rockland		Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN	81,709	
	Sullivan		Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN	7,260	
	Ulster		Central Hudson Gas and Electric	<200KW PV, NY-Sun	16,704	
			<200KW PV, PON 2112 NY SUN	<200KW PV, PON 2112 NY SUN	110,529	
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	6,704	
	Westchester		NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	12,376	
	SUNRISE ELECTRICAL SERVICES		Orange	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	245,816
				Orange and Rockland Utilities	<200KW PV, NY-Sun	91,217
		<200KW PV, PON 2112 NY SUN		58,826		
		Westchester	Consolidated Edison	<200KW PV, NY-Sun	505,120	
	Sunrise Solar Solutions, LLC	Westchester	>200KW PV, PON 2112 NY SUN	>200KW PV, PON 2112 NY SUN	1,281,870	
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	9,775	
	SunRun, Inc	Dutchess	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	141,478	
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	12,879	
		Orange	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	123,825	
			Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN	136,503	
		Putnam	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	12,595	
		Rockland	Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN	152,354	
		Sullivan	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	20,060	
			Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN	17,240	
		Ulster	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	76,540	
		Westchester	Consolidated Edison	<200KW PV, PON 2112 NY SUN	6,988	
	Surf Clean Energy Inc	Westchester	Consolidated Edison	<200KW PV, NY-Sun	6,112	
	Taitem Engineering, P.C.	Westchester	Consolidated Edison	Technical Services, FT14193- 100-300 Woodcre..	23,502	
	Tem Construction & Develop..	Putnam	NYS Electric and Gas	New Construction Housing, NCP Housing	75,000	
	Tesla Energy Operations Inc	Dutchess	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	18,271	
		Orange	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	5,934	
			Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN	18,983	
Putnam		NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	21,920		
Rockland		Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN	12,335		
Sullivan		NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	10,920		

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount	
Mid-Hudson	Tesla Energy Operations Inc	Westchester	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	6,648	
	Thermodynamix LLC	Westchester	Consolidated Edison	NYCH: Talent Ppln:CE and OJT, OJT	15,360	
				NYCH: Talent Ppln:CE and OJT, OJT Jason Pilalo	10,080	
	Town of Carmel	Putnam	NYS Electric and Gas	Code to Zero, PON 4600 Town of Carmel	50,000	
	Town of Ossining	Westchester	Consolidated Edison	Code to Zero, PON 4600 Town of Ossining	250,000	
	Tri State Solar Services	Orange	Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN	8,295	
		Rockland	Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN	6,960	
		Sullivan	Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN	8,775	
	Trinity Solar Inc	Orange	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	42,240	
			Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN	118,720	
		Putnam	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	21,184	
		Rockland	Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN	30,000	
		Sullivan	Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN	5,120	
	Urban Energy Inc	Westchester	Consolidated Edison	>200KW PV, NY-Sun	122,130	
				>200KW PV, PON 2112 NY SUN	121,860	
	US Energy Concierge Inc	Orange	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	5,438	
	Venture Home Solar LLC	Westchester	Consolidated Edison	<200KW PV, PON 2112 NY SUN	5,000	
	Village of Hastings on Hudson	Westchester	Consolidated Edison	Code to Zero, PON 4600 Hastings on Hudson	125,000	
	Village of Irvington	Westchester	Consolidated Edison	Code to Zero, PON 4600 Village of Irvington	125,000	
	Watchtower Bible &	Rockland	Orange and Rockland Utilities	NYCH: District, Watchtower Design Study	115,700	
	Westchester Plaza Owner, LLC	Westchester	Consolidated Edison	Technical Services, FT13243 - Westchester PI - ..	16,000	
	Mohawk Valley	Allen Power, Inc.	Herkimer	National Grid	<200KW PV, PON 2112 NY SUN	23,930
		American Energy Care, Inc.	Montgomery	National Grid	<200KW PV, PON 2112 NY SUN	36,980
		Arcadis of New York, Inc.	Montgomery	National Grid	Technical Services, FT14214-City of Amsterdam-..	50,000
		BW Solar Holding Inc.	Montgomery	National Grid	>200KW PV, NY Sun	1,274,308
					NY-SUN, NY Sun	524,716
					>200KW PV, NY Sun	835,703
BWC Kecks Center Creek, LLC		Montgomery	National Grid	NY-SUN, NY Sun	344,113	
				>200KW PV, NY-Sun	1,191,482	
Citizens Westmoreland Solar		Oneida	National Grid	NY-SUN, NY-Sun	490,611	
				>200KW PV, NY Sun	1,105,271	
CleanChoice Energy, LLC		Herkimer	National Grid	NY-SUN, NY Sun	455,113	
				>200KW PV, NY Sun	291,375	
				NY-SUN, NY Sun	135,975	
Collins Solar, LLC		Oneida	National Grid	>200KW PV, NY Sun	1,120,000	
				NY-SUN, NY Sun	461,177	
				NY-SUN, NY-Sun ESFA	461,177	
Country Suburban Heating & Air Condition		Oneida	National Grid	NYCH: Talent Ppln:CE and OJT, OJT	152,232	
DCF Energy Group, LLC		Schoharie	NYS Electric and Gas	NYCH: Talent Ppln:CE and OJT, OJT Donald Br..	11,520	
				<200KW PV, NY-Sun	5,440	
Doherty Electric, LLC		Otsego	National Grid	<200KW PV, PON 2112 NY SUN	7,920	
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	6,480	
Domagala Solar LLC		Oneida	Municipal Utilities	<200KW PV, PON 2112 NY SUN	7,650	
				>200KW PV, NY Sun	876,744	
Finlo-BR LLC		Oneida	National Grid	NY-SUN, NY Sun	409,147	
				>200KW PV, NY Sun	1,462,344	
Fobare & Co. LLC		Montgomery	National Grid	NY-SUN, NY Sun	682,428	
Fobare & Co. LLC		Montgomery	National Grid	<200KW PV, PON 2112 NY SUN	6,845	
Fred F. Collis & Sons, Inc.	Oneida	National Grid	NYCH: Talent Ppln:CE and OJT, OJT	53,520		
Fusion Energy Services LLC	Oneida	National Grid	<200KW PV, NY-Sun	6,765		
			<200KW PV, PON 2112 NY SUN	5,563		
Greater Mohawk Valley Land ..	Herkimer	National Grid	Single Family New Construction, NCP Housing	24,000		
Halcyon, Inc.	Oneida	NYS Electric and Gas	<200KW PV, NY-Sun	9,216		
Hawk Hill Solar, LLC	Otsego	NYS Electric and Gas	>200KW PV, NY Sun	1,093,994		
			NY-SUN, NY Sun	450,469		
Herkimer Solar LLC	Herkimer	National Grid	>200KW PV, NY Sun	702,073		
J&A Electrical Construction	Herkimer	National Grid	<200KW PV, PON 2112 NY SUN	21,380		

**Projects Selected for Funding by Region**  
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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount	
Mohawk Valley	J&A Electrical Construction LLC	Oneida	Municipal Utilities	<200KW PV, PON 2112 NY SUN	6,660	
			National Grid	<200KW PV, PON 2112 NY SUN	60,310	
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,180	
	Jordan Energy and Food Ente..	Schoharie	National Grid	<200KW PV, PON 2112 NY SUN	5,950	
	Kasselman Solar LLC	Fulton	National Grid	<200KW PV, PON 2112 NY SUN	9,920	
			Herkimer	National Grid	<200KW PV, NY-Sun	6,264
		Montgomery	National Grid	<200KW PV, PON 2112 NY SUN	20,120	
		Oneida	National Grid	<200KW PV, PON 2112 NY SUN	31,988	
		Otsego	National Grid	<200KW PV, PON 2112 NY SUN	7,000	
			NYS Electric and Gas	<200KW PV, NY-Sun	11,136	
					<200KW PV, PON 2112 NY SUN	13,830
		Schoharie	National Grid	<200KW PV, NY-Sun	8,700	
				<200KW PV, PON 2112 NY SUN	17,441	
	Kayaderosseras Solar, LLC	Herkimer	National Grid	>200KW PV, NY Sun	571,594	
				NY-SUN, NY Sun	235,363	
	L&S Energy Services, Inc.	Oneida	National Grid	New Construction- Commercial, Commercial Ne..	22,000	
	Leon A Clifford ET AL PTR	Oneida	National Grid	Tech Assistanc Multifamily LMI, FT14146 - 119 N..	10,000	
	Long Island Power Solutions	Fulton	National Grid	<200KW PV, PON 2112 NY SUN	9,000	
	Maple North 1 Solar LLC	Montgomery	National Grid	>200KW PV, NY Sun	742,900	
				NY-SUN, NY Sun	305,900	
	Maple North 2 Solar LLC	Montgomery	National Grid	>200KW PV, NY Sun	670,956	
				NY-SUN, NY Sun	276,276	
	Maple West Solar LLC	Montgomery	National Grid	>200KW PV, NY Sun	888,030	
				NY-SUN, NY Sun	414,414	
	New Ecology, Inc.	Oneida	National Grid	Buildings of Excellence, BoE Rnd. 2 - DTL Coloni..	150,000	
	New Leaf Energy, Inc.	Fulton	National Grid	>200KW PV, NY Sun	899,824	
				NY-SUN, NY Sun	524,897	
		Montgomery	National Grid	>200KW PV, NY Sun	1,059,916	
				NY-SUN, NY Sun	436,437	
	Next Generation Solar, LLC	Oneida	National Grid	<200KW PV, PON 2112 NY SUN	23,280	
	Nickels Energy Solutions LLC	Oneida	National Grid	<200KW PV, PON 2112 NY SUN	5,760	
	NP Environmental LLC	Oneida	NYS Electric and Gas	NYCH: Talent Ppln:CE and OJT, OJT	38,424	
	NSF Edmeston Site 1, LLC	Otsego	NYS Electric and Gas	>200KW PV, NY Sun	1,034,046	
				NY-SUN, NY Sun	482,555	
	NSF Edmeston Site 2, LLC	Otsego	NYS Electric and Gas	>200KW PV, NY Sun	1,101,438	
				NY-SUN, NY Sun	514,005	
	Oppenheim Inghams Solar, LLC	Fulton	National Grid	>200KW PV, NY Sun	567,528	
				NY-SUN, NY Sun	233,688	
	Paradise Energy Solutions, LLC	Montgomery	National Grid	<200KW PV, PON 2112 NY SUN	6,720	
		Schoharie	National Grid	<200KW PV, PON 2112 NY SUN	13,398	
	Pathfinder Engineers & Archit..	Oneida	National Grid	New Construction- Commercial, Commercial Ne..	69,824	
	PlugPV, LLC	Fulton	National Grid	<200KW PV, PON 2112 NY SUN	15,200	
		Montgomery	National Grid	<200KW PV, PON 2112 NY SUN	5,920	
		Oneida	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	17,824	
		Otsego	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	11,360	
	Potentia Management Group ..	Oneida	National Grid	Talent Pipeline:CE and OJT, OJT	8,800	
	Rockabill Development LLC	Oneida	National Grid	New Construction Housing, NCP Housing	248,000	
Seaboard Solar Holdings LLC	Oneida	National Grid	>200KW PV, NY Sun	2,080,405		
			NY-SUN, NY Sun	856,639		
SG Onedia PV LLC	Oneida	National Grid	NY-SUN, NY-Sun ESFA	749,960		
Solar Liberty Energy Systems,..	Oneida	National Grid	<200KW PV, PON 2112 NY SUN	14,000		
SolarCommunities Inc.	Schoharie	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,320		
Tadcon Electric LLC	Herkimer	National Grid	>200KW PV, NY Sun	1,152,293		
			NY-SUN, NY Sun	474,475		
Tesla Energy Operations Inc	Oneida	National Grid	<200KW PV, PON 2112 NY SUN	8,000		
		NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	6,000		
The Top Gun Group, LLC	Herkimer	NYS Electric and Gas	NYCH: Talent Ppln:CE and OJT, OJT	5,760		
			OJT	5,120		
TJA-NY-10761 Buck Rd Rem..	Oneida	National Grid	NY-SUN, NY-Sun - ICSA	490,032		

**Projects Selected for Funding by Region**  
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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Mohawk Valley	Warrior Solar Partners, LLC	Herkimer	National Grid	>200KW PV, NY Sun	2,108,852
				NY-SUN, NY Sun	461,311
				NY-SUN, NY-Sun ESFA	1,186,229
	Whaling Solar, LLC	Oneida	National Grid	NY-SUN, NY-Sun - ICESA	450,063
	Winema Solar Partners, LLC	Oneida	National Grid	>200KW PV, NY Sun	1,131,962
				NY-SUN, NY Sun	466,103
				NY-SUN, NY-Sun ESFA	1,198,550
	Yellow 12 LLC	Montgomery	National Grid	>200KW PV, NY Sun	431,039
				NY-SUN, NY Sun	177,487
	New York City	3 BP REIT	New York	Consolidated Edison	Technical Services, OsEM71-C - Ivanhoe Cambri..
9 Argyle Road HDFC		Kings	Consolidated Edison	Multifam Performance Pgm, Multifamily	8,400
				NYCH: LMI, Clean Heating & Cooling	52,800
25-74 33rd Street Owner, LLC		Queens	Consolidated Edison	Technical Services, FT13343 - 25-74 33rd - PON	7,200
31-49 29th Street Owner, LLC		Queens	Consolidated Edison	Technical Services, FT13344 - 31-49 29th - PON	6,000
50 Overlook Terrace Owner, L..		New York	Consolidated Edison	Technical Services, FT13342 - 50 Overlook - PON	7,150
106 Fort Washington Owner, ..		New York	Consolidated Edison	Technical Services, FT13244 - 106 Fort Wash. - ..	7,150
122-20 Ocean Promenade O..		Queens	Long Island Power Authority	Technical Services, FT13339 - 122-20 Ocean - P..	7,250
213 Bennett Avenue Owner L..		New York	Consolidated Edison	Technical Services, FT13341 - 213 Bennett - PON	7,200
275 Nelson Apartments LLC		New York	Consolidated Edison	Multifam Performance Pgm, Multifamily	76,800
375 Park Avenue Investors LP		New York	Consolidated Edison	Technical Services, FT14317 - 375 Park - PON	16,998
650 Fifth Avenue Company		Queens	Consolidated Edison	K-12 SCHOOLS, P12GC-74E - Razi School - PO..	25,834
770 Electric Corp.		Bronx	Consolidated Edison	<200KW PV, NY-Sun	174,528
				>200KW PV, NY-Sun	492,696
		Kings	Consolidated Edison	<200KW PV, NY-Sun	47,248
				>200KW PV, NY-Sun	100,560
1625 Rockaway Parkway Ow..		Kings	Consolidated Edison	Technical Services, FT13340 - 1625 Rockaway - ..	7,350
Accord Power, Inc.		Bronx	Consolidated Edison	>200KW PV, PON 2112 NY SUN	1,169,280
				>200KW PV, PON 2112 NY SUN	31,504
		Queens	Consolidated Edison	<200KW PV, NY-Sun	5,824
				<200KW PV, PON 2112 NY SUN	2,909
					>200KW PV, PON 2112 NY SUN
		Richmond	Consolidated Edison	<200KW PV, NY-Sun	5,184
Agarabi Engineering, PLLC		Kings	Consolidated Edison	OJT	20,160
AKF-engineers		Kings	Consolidated Edison	Technical Services, FT14144 - 25-30 Columbia - ..	47,500
		New York	Consolidated Edison	NYCH: District, PON 4614 Round #1 Rockefeller	100,000
All HVAC Service Co. Inc		Kings	Consolidated Edison	NYCH: Talent Ppln:CE and OJT, OJT	9,600
Altanova LLC		Bronx	Consolidated Edison	Technical Services, FT14200 - 1775 Grand Con -..	24,665
		New York	Consolidated Edison	Technical Services, FT14201 - 375 Pearl - FTC	22,113
AltPOWER, Inc.		New York	Consolidated Edison	>200KW PV, PON 2112 NY SUN	49,920
Amergy Solar Inc.		Kings	Consolidated Edison	>200KW PV, PON 2112 NY SUN	10,944
				<200KW PV, PON 2112 NY SUN	5,472
					>200KW PV, PON 2112 NY SUN
American Solar Partners, LLC		Bronx	Consolidated Edison	<200KW PV, NY-Sun	20,640
				>200KW PV, NY-Sun	42,912
		Kings	Consolidated Edison	<200KW PV, NY-Sun	26,000
		New York	Consolidated Edison	<200KW PV, NY-Sun	9,456
				>200KW PV, NY-Sun	20,844
Queens		Consolidated Edison	<200KW PV, NY-Sun	3,986,734	
				>200KW PV, NY-Sun	442,970
AMS Construction Corp		Bronx	Consolidated Edison	<200KW PV, NY-Sun	79,920
				>200KW PV, NY-Sun	239,760
	Kings	Consolidated Edison	>200KW PV, PON 2112 NY SUN	12,240	
	New York	Consolidated Edison	<200KW PV, NY-Sun	184,788	
>200KW PV, NY-Sun			46,197		
Antares Group, Inc.	Queens	Consolidated Edison	REV Campus Challenge, FT14143 - Marillac Hall..	14,799	
Arete Management LLC	Bronx	Consolidated Edison	Technical Services, FT14000 - 1385 Fulton - PON	10,000	
			Technical Services, FT14003 - 480 E 176th - PON	10,000	
	Kings	Consolidated Edison	Technical Services, FT14004 - 333 Kosciuszko - ..	10,000	
	New York	Consolidated Edison	Technical Services, FT14001 - 111 E 118th - PON	11,302	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
New York City	Arete Management LLC	New York	Consolidated Edison	Technical Services, FT14002 - 440 W 163rd - PO..	10,000
				Association for Energy Affordability, In	Bronx
	Tech Assistanc Multifamily LMI, FT14173 - 1020 ..	10,000			
	Tech Assistanc Multifamily LMI, FT14174 - 1025 ..	12,437			
	Tech Assistanc Multifamily LMI, FT14176 - 1238 ..	12,671			
	Tech Assistanc Multifamily LMI, FT14179 - 1956 ..	12,011			
	Tech Assistanc Multifamily LMI, FT14180 - 2228 ..	9,165			
	Tech Assistanc Multifamily LMI, FT14183 - 2463 ..	10,000			
	Tech Assistanc Multifamily LMI, FT14184- 3052 ..	12,671			
	Tech Assistanc Multifamily LMI, FT14185 - 3235 ..	12,671			
	Tech Assistanc Multifamily LMI, FT14186 - 328 E..	10,000			
	Tech Assistanc Multifamily LMI, FT14187 - 329 E..	10,000			
	Technical Services, FT14106 - 3555 Olinville - F..	8,865			
	Kings	Consolidated Edison	Technical Services, FT14100 - 1901 84th - FTC	8,799	
	New York	Consolidated Edison	Tech Assistanc Multifamily LMI, FT14175 – 119 ..	10,000	
			Tech Assistanc Multifamily LMI, FT14182 - 235 E..	10,000	
			Tech Assistanc Multifamily LMI, FT14190 - 115 ..	9,203	
			Tech Assistanc Multifamily LMI, FT14206 - Multip..	21,955	
	Queens	Consolidated Edison	Technical Services, FT14115 - 144-35 Sanford - ..	12,500	
	Richmond	Consolidated Edison	Tech Assistanc Multifamily LMI, FT14142 - 201-2..	19,706	
			Tech Assistanc Multifamily LMI, FT14178 - 180 B..	12,671	
			Tech Assistanc Multifamily LMI, FT14188 - 40 Pr..	12,941	
	Best Energy Power	Bronx	Consolidated Edison	<200KW PV, NY-Sun	851,276
				>200KW PV, NY-Sun	322,392
				>200KW PV, PON 2112 NY SUN	582,768
		Kings	Consolidated Edison	<200KW PV, PON 2112 NY SUN	41,724
				>200KW PV, PON 2112 NY SUN	45,676
		New York	Consolidated Edison	<200KW PV, NY-Sun	360,000
				<200KW PV, PON 2112 NY SUN	97,128
				>200KW PV, NY-Sun	49,192
		Queens	Consolidated Edison	>200KW PV, PON 2112 NY SUN	67,336
				>200KW PV, PON 2112 NY SUN	259,992
		Richmond	Consolidated Edison	>200KW PV, PON 2112 NY SUN	42,272
		Bowery Residents' Committee..	New York	Consolidated Edison	New Construction Housing, NCP Housing
	Bright Power, Inc.	Bronx	Consolidated Edison	Real Time Enrgy Management, BrightPower-425..	30,749
				Tech Assistanc Multifamily LMI, FT14169 - 1615-..	7,050
				Tech Assistanc Multifamily LMI, FT14300 - 1424 ..	8,000
				Technical Services, FT14092 - Maria Lopez - FTC	8,950
		Kings	Consolidated Edison	Technical Services, FT14090 - 111 Lawrence - F..	17,625
				Technical Services, FT14273 - 70 Washington - ..	21,000
New York		Consolidated Edison	Campus/Technical Assistance, FT14195 – 529-5..	4,994	
			NYCH: Technical Assistance, FT13814 - 875 W. ..	18,000	
			Tech Assistanc Multifamily LMI, FT14238 - 351 ..	10,250	
			Technical Services, FT14084 - 2 Tudor City - FTC	11,750	
			Technical Services, FT14096 - 131 E 66th - FTC	6,950	
			Technical Services, FT14103 - Village View - FTC	16,500	
			Technical Services, FT14105 - 838 West End - F..	6,600	
			Technical Services, FT14107 - 330 W 39th - FTC	11,750	
			Technical Services, FT14110 - 10 Liberty - FTC	13,200	
			Technical Services, FT14195 – 529-535 W 20th ..	3,606	
			Technical Services, FT14196 - 71 Murray - FTC	12,000	
			Technical Services, FT14197 – 521 W 20th – FTC	8,950	
			Technical Services, FT14205 - 22 W 19th - FTC	10,650	
			Technical Services, FT14216 - 23 E 22 - FTC	12,000	
			Technical Services, FT14262 - 431 W 37th - FTC	12,825	
			Technical Services, FT14263 - 303 E 83rd - FTC	16,500	
Technical Services, FT14272 - 201 W 17th - FTC		18,750			
Technical Services, FT14307 - 35 West 44th - FT..		14,000			
Queens		Consolidated Edison	K-12 SCHOOLS, P12GC-61E - Yeshiva Har - FTC	11,138	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount	
New York City	Bright Power, Inc.	Queens	Consolidated Edison	Technical Services, FT14093 - Baisley Park - FTC	9,900	
				Technical Services, FT14094 - 7-25 166th - FTC	5,000	
				Technical Services, FT14095 - 166-40 Powells - ..	5,000	
				Technical Services, FT14098 - 208-11 26th - FTC	8,050	
				Long Island Power Authority	COMMUNITY SOLAR, NY-Sun	386,280
		Richmond	Consolidated Edison	Campus/Technical Assistance, FT14168 - 1200 ..	8,100	
	Technical Services, FT14124 - 1 York - FTC			8,000		
	Technical Services, FT14156 - 1110 South - FTC			8,600		
	Technical Services, FT14157 - 1100 South - FTC			11,750		
	Technical Services, FT14166 - 900 South - FTC			8,150		
Technical Services, FT14167 - 1120 South - FTC	8,100					
Broadway Terrace Associates..	Bronx	Consolidated Edison	Multifam Performance Pgm, Multifamily	77,600		
Brooklyn SolarWorks LLC	Kings	Consolidated Edison	>200KW PV, NY-Sun	32,640		
			>200KW PV, PON 2112 NY SUN	88,479		
			NY-SUN, NY-Sun	4,880		
	New York	Consolidated Edison	>200KW PV, PON 2112 NY SUN	29,040		
	Queens	Consolidated Edison	>200KW PV, PON 2112 NY SUN	38,304		
Brownsville Partnership Inc.	Kings	Consolidated Edison	Buildings of Excellence, BoE Rnd. 2 - The Rise	850,000		
BSREP UA 3333 Broadway, L..	New York	Consolidated Edison	Technical Services, FT13338 - 3333 Broadway - ..	11,850		
Buro Happold Consulting Engineers, P.C.	New York	Consolidated Edison	Technical Services, FT14245 - 111 West 33rd - F..	99,967		
			Technical Services, FT14268 - 501 7th - FTC	104,965		
Cameron Engineering & Associates LLP	New York	Consolidated Edison	Technical Services, FT14108 - 201 E 36th - FTC	12,575		
			Technical Services, FT14109 - 108 5th - FTC	5,075		
CCMH Times Square LLC	New York	Consolidated Edison	Technical Services, FT13642 - 1535 Broadway - ..	64,256		
Chris Benedict	Kings	Consolidated Edison	Buildings of Excellence, BoE Rnd 1 - Design Tea..	150,000		
City Harvest	Kings	Consolidated Edison	New Construction- Commercial, Commercial Ne..	37,132		
Code Green Solutions, Inc.	New York	Consolidated Edison	Technical Services, FT14099 - 160 E 48th - FTC	26,750		
			Technical Services, FT14215 - 270 Greenwich - ..	60,000		
	Queens	Consolidated Edison	Technical Services, FT14331 - 24-02 49th - FTC	35,000		
COLLECTIF Engineering, PLLC	New York	Consolidated Edison	OJT	38,076		
			Talent Pipeline:CE and OJT, OJT	22,846		
Commercial Cleaning NY Sunshine, Inc.	New York	Consolidated Edison	NYSERDA ADMINISTRATION, Janitorial Cleanin..	57,600		
			NYSERDA ADMINISTRATION, Janitorial Cleanin..	83,160		
David Energy Systems, Inc.	New York	Consolidated Edison	Real Time Enrgy Management, David Energy-Mu..	10,400		
DSM Engineering Assoc, P.C.	New York	Consolidated Edison	Technical Services, FT14030 - 20 E 9th - FTC	7,500		
Dual Fuel Corp	Kings	Consolidated Edison	Real Time Enrgy Management, DualFuel-221Lin..	7,000		
			New York	Consolidated Edison	Real Time Enrgy Management, DualFuel-10StNi..	5,250
				Real Time Enrgy Management, DualFuel-222E35..	25,080	
				Real Time Enrgy Management, DualFuel-303W8..	14,700	
				Real Time Enrgy Management, DualFuel-421W5..	20,400	
				Real Time Enrgy Management, DualFuel-222224..	12,691	
Ecogy New York V LLC	Richmond	Consolidated Edison	>200KW PV, NY-Sun	143,664		
Edison Energy, LLC	Kings	Consolidated Edison	Technical Services, FT14302 - 415 E 68th - FTC	85,725		
Egg Geo, LLC	New York	Consolidated Edison	Technical Services, FT14234 - 2 Charlton - FTC	35,179		
EME Consulting Engineering Group, LLC	Bronx	Consolidated Edison	REV Campus Challenge, FT14136 - Lombardi C..	41,800		
			Tech Assistanc Multifamily LMI, FT14155 -950-9..	15,850		
	Kings	Consolidated Edison	Tech Assistanc Multifamily LMI, FT14170 - 164 B..	9,000		
	New York	Consolidated Edison	REV Campus Challenge, FT14248 - 113 W 60th ..	164,900		
			Tech Assistanc Multifamily LMI, FT14202 - 2013 ..	8,400		
			Tech Assistanc Multifamily LMI, FT14279 - 616 ..	10,000		
			Technical Services, FT14252 - Estee Lauder - FT..	12,500		
				Technical Services, FT14360 - 314 w 77th - FTC	10,000	
Emes Solar	Bronx	Consolidated Edison	>200KW PV, NY-Sun	226,026		
			>200KW PV, PON 2112 NY SUN	399,378		
			NY-SUN, NY-Sun	37,062		
Empower CES, LLC	Kings	Consolidated Edison	>200KW PV, PON 2112 NY SUN	208,260		
	New York	Consolidated Edison	>200KW PV, PON 2112 NY SUN	179,334		
	Queens	Consolidated Edison	>200KW PV, PON 2112 NY SUN	531,744		
Empower Equity Inc	Kings	Consolidated Edison	Talent Pipeline:CE and OJT, OJT Amanda Krupp	10,387		



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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
New York City	Energy Conservation & Suppl..	Kings	Consolidated Edison	OJT	30,360
	Energy EDC Corp.	New York	Consolidated Edison	OJT	27,600
	Energy Technology Savings, Inc.	New York	Consolidated Edison	Real Time Enrgy Management, ETS 315W33 RT..	16,311
				Real Time Enrgy Management, ETS - 201W79 St..	16,200
				Real Time Enrgy Management, ETS-240CPS-RT..	6,357
	ENGIE North America Inc.	Bronx	Consolidated Edison	<200KW PV, NY-Sun	562,386
		Kings	Consolidated Edison	<200KW PV, NY-Sun	3,835,209
		New York	Consolidated Edison	<200KW PV, NY-Sun	2,997,585
		Queens	Consolidated Edison	<200KW PV, NY-Sun	595,044
	Enica Engineering, PLLC	New York	Statewide	<200KW PV, NY-Sun	103,968
				<200KW PV, NY-Sun	42,332
	ESNY-303, LLC	Richmond	Consolidated Edison	>200KW PV, NY-Sun	1,147,174
	EVERGREEN ENERGY	Kings	Consolidated Edison	>200KW PV, NY-Sun	240,000
				NY-SUN, NY-Sun	48,000
	Findlay Houses LP	Bronx	Consolidated Edison	Multifam Performance Pgm, Multifamily	181,000
	Fishtech Energy Partners LLC	New York	Consolidated Edison	Talent Pipeline:CE and OJT, OJT	11,200
	Flatiron 30 LLC	New York	Consolidated Edison	Technical Services, FT14134 - 30 W 21st - PON	6,200
	G&S Operations LLC	Kings	Consolidated Edison	>200KW PV, PON 2112 NY SUN	178,640
	GBA Commissioning Services..	New York	Consolidated Edison	Technical Services, FT13305 - 11 West 53rd - FT..	47,778
	Geatrain Engineering PLLC	Bronx	Consolidated Edison	Technical Services, FT14199 - 2654 Valentine - ..	13,710
				Technical Services, FT14198 - 2520 Kings Hwy - ..	18,765
				Technical Services, FT14203 - 480 E 21st - FTC	13,988
		Kings	Consolidated Edison	Technical Services, FT14230 - 450 Village - FTC	8,820
				Technical Services, FT14177 - 101-09 Post - FTC	18,600
				Technical Services, FT14207 - 101 W 55th - FTC	8,820
				Technical Services, FT14208 - 115 E 34th - FTC	8,820
				Technical Services, FT14209 - 205-277 E 66th - ..	8,820
				Technical Services, FT14218 - 55 Thompson - F..	8,820
				Technical Services, FT14219 - 77 W 15 - FTC	8,820
				Technical Services, FT14220 - 166 E 34 - FTC	8,820
				Technical Services, FT14224 - 280 E 2nd - FTC	8,820
		Technical Services, FT14225 - 301 Elizabeth - F..	8,820		
		Technical Services, FT14227 - 363 W 30th - FTC	8,820		
		Technical Services, FT14228 - 336 Broadway - ..	8,820		
	Technical Services, FT14229 - 81 West River - F..	8,820			
	GI Endurant LLC	Kings	Consolidated Edison	NYCH: District, PON 4614 Round #1 Spring Creek	92,500
	Goldman Copeland Associates, P.C.	Kings	Consolidated Edison	Empire Building Challenge, EBC COHORT 2 TA ..	50,000
				NYCH: Empire Build Challenge, EBC COHORT 2..	50,000
		New York	Consolidated Edison	Technical Services, FT14189 - 100 Church - FTC	11,993
				Technical Services, FT14250 - 505 Park - FTC	7,489
	Technical Services, FT14292 - 200 East 82nd - F..	8,996			
	Green Hybrid Energy Solutions Inc.	Bronx	Consolidated Edison	>200KW PV, PON 2112 NY SUN	11,568
		Kings	Consolidated Edison	>200KW PV, PON 2112 NY SUN	10,440
		Richmond	Consolidated Edison	>200KW PV, PON 2112 NY SUN	254,400
	Grid City Electric Corp	New York	Consolidated Edison	<200KW PV, NY-Sun	36,000
				>200KW PV, NY-Sun	9,000
	Group-S LLC	Kings	Consolidated Edison	>200KW PV, PON 2112 NY SUN	10,320
				Empire Building Challenge, EBC COHORT 2 TA ..	50,000
				NYCH: Empire Build Challenge, EBC COHORT 2..	50,000
				Technical Services, FT14120 - 125 N 10th - FTC	12,500
		New York	Consolidated Edison	K-12 SCHOOLS, P12GC-77_E - Chapin - FTC	26,250
				Technical Services, FT14126 - 5 E 22nd - FTC	12,825
Technical Services, FT14129 - 583 Broadway				8,775	
Technical Services, FT14133 - 605 W 57th - FTC				58,000	
Technical Services, FT14271 - 311 W 39th - FTC				18,500	
Technical Services, FT14122 - 40 5th - FTC				9,000	
Queens	Consolidated Edison	Technical Services, FT14255 - 61-20 Grand C - ..	37,500		
		Technical Services, FT14305 - 1 West 39th - FTC	28,500		
GSP 780 Gulf Ave, LLC	Richmond	Consolidated Edison	>200KW PV, NY-Sun	56,202	

**Projects Selected for Funding by Region**  
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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
New York City	GSPP 1632 Richmond Terrac..	Richmond	Consolidated Edison	>200KW PV, NY-Sun	25,839
	GSPP 1756 Forest Ave Mall, LLC	Richmond	Consolidated Edison	>200KW PV, NY-Sun	537,910
				NY-SUN, NY-Sun	91,390
	Harvest Power, LLC	Kings	Consolidated Edison	<200KW PV, NY-Sun	116
		Queens		>200KW PV, NY-Sun	134
	Heritage Holdings, LLC	New York	Consolidated Edison	>200KW PV, PON 2112 NY SUN	14,592
				Empire Building Challenge, EBC Phase 2 -Herita..	2,500,000
				NYCH: Empire Build Challenge, EBC Phase 2 -H..	2,500,000
	Hi TECH HVAC Services CO..	Queens	Consolidated Edison	NYCH: Talent Ppln:CE and OJT, OJT	36,600
	Horizon Engineering Assoc. L..	Queens	Consolidated Edison	Technical Services, FT14249 - 249-31 61st - FTC	74,316
	Hudson Square Realty, LLC	New York	Consolidated Edison	Commercial New Construc, Commercial New Co..	109,863
	Hytech Solar Inc	Queens	Consolidated Edison	<200KW PV, NY-Sun	5,120
	INF Associates LLC	New York	Consolidated Edison	OJT	10,000
				OJT Jenna Lopez	11,520
	Integrated HVAC Systems and Services	Bronx	Consolidated Edison	Real Time Enrgy Management, IntegratedHVAC-..	30,280
		Kings		Real Time Enrgy Management, IntegratedHVAC..	60,600
	J Synergy Solar LLC	Kings	Consolidated Edison	<200KW PV, NY-Sun	6,992
				>200KW PV, PON 2112 NY SUN	5,950
	Jaros, Baum & Bolles	Bronx	Consolidated Edison	K-12 SCHOOLS, P12GC-73_E - Hyde - FTC	18,020
		Kings		Campus/Technical Assistance, FT14007 - 55 Wa..	106,650
		New York		Technical Services, FT14210 - 5141 Broadway - ..	54,936
				Technical Services, FT14232 - 745 7th Ave - FTC	67,486
			Technical Services, FT14338 - 155 W 11th - FTC	96,625	
	JASA Corporation	Kings	Consolidated Edison	Buildings of Excellence, Buildings of Excellence ..	850,000
				New Construction Housing, NCP Housing 2022	625,000
	JBI Construction Group	Queens	Consolidated Edison	>200KW PV, PON 2112 NY SUN	17,143
		Richmond		<200KW PV, PON 2112 NY SUN	5,000
				>200KW PV, PON 2112 NY SUN	107,556
	Juilliard School	New York	Consolidated Edison	Technical Services, OsEM92-C-The Juilliard Sch..	164,000
	Kamtech Restoration Corp	Kings	Consolidated Edison	<200KW PV, NY-Sun	12,384
		Queens		<200KW PV, NY-Sun	15,044
				Long Island Power Authority	COMMUNITY SOLAR, PON 2112 NY SUN
		Richmond		Consolidated Edison	<200KW PV, NY-Sun
	KPMG LLP	New York	Consolidated Edison	NEW YORK GREEN BANK, NYSERDA Audit Se..	189,350
	Livingston Management Servi..	New York	Consolidated Edison	Technical Services, FT14211 - 16 West 39th - P..	7,940
	Long Island Power Solutions	Queens	Consolidated Edison	>200KW PV, PON 2112 NY SUN	13,920
	Lotte Hotel New York Palace, ..	New York	Consolidated Edison	Technical Services, OsEM91-C - Lotte New York ..	144,892
	Madison 45 LLC	New York	Consolidated Edison	Technical Services, FT14104 - 360 Madison - PO..	10,600
	Magnusson Architecture and ..	Kings	Consolidated Edison	Buildings of Excellence, BoE Rnd. 2 - DTL The R..	150,000
	Mark MaGrann Associates	Kings	Consolidated Edison	Tech Assistanc Multifamily LMI, FT14284 - Fenix ..	12,719
				Technical Services, FT13964 - 1024 Dean - FTC	10,000
				Technical Services, FT14068 - Fenix 2 - FTC	7,268
		New York	Consolidated Edison	Technical Services, FT13165 - Sugar Hill - FTC	15,000
				Technical Services, FT13275 - City Skyline - FTC	5,475
	Master Consulting Management Corp	Queens	Consolidated Edison	NYCH: Talent Ppln:CE and OJT, OJT	78,720
				NYCH: Talent Ppln:CE and OJT, OJT Yuxi Xu	10,560
	Melrose North MM LLC	Bronx	Consolidated Edison	Multifam New Construction, New Construction	100,000
	Mount Sinai Medical Center	Queens	Consolidated Edison	Technical Services, OsEM93-C - Mount Sinai Qu..	176,000
	MR. AIR NYC Corp.	Kings	Consolidated Edison	NYCH: Talent Ppln:CE and OJT, OJT	45,120
				NYCH: Talent Ppln:CE and OJT, OJT Shugmi M..	9,600
OJT				15,840	
Technical Services, FT14067 - 2508 Broadway - ..				15,984	
Netgains Engineering P.C.	Bronx	Consolidated Edison	Technical Services, FT14299 - 3816 Waldo - FTC	12,050	
	Kings		Tech Assistanc Multifamily LMI, FT14280 - 461 D..	60,000	
			Technical Services, FT14097 - 21 Spring - FTC	30,483	
	New York		Technical Services, FT14116 - 213 ACP - FTC	16,400	
			Technical Services, FT14258 - 50 Battery - FTC	33,708	
			Technical Services, FT14336 - 860-870 W 181 - ..	27,446	
				Technical Services, FT14368 - 181 E 65th - FTC	72,000

**Projects Selected for Funding by Region**  
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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
New York City	Netgains Engineering P.C.	Queens	Consolidated Edison	Technical Services, FT14112 - 37-43 88th - FTC	9,862
				Technical Services, FT14281 - 27-19 44th - FTC	30,000
	New Leaf Energy, Inc.	Richmond	Consolidated Edison	ESTOR:Retail Storage Incentive, Retail Storage	5,100,000
	New York Engineers, P.C.	Kings	Consolidated Edison	Technical Services, FT14191 - 41 Box - FTC	10,428
	New York Presbyterian Hospit..	New York	Consolidated Edison	Workforce Industry Partnership, PON 3715 (R6) ..	800,000
	Noresco LLC	Kings	Consolidated Edison	REV Campus Challenge, FT14266 - 6 Metrotech ..	137,285
		New York	Consolidated Edison	Technical Services, FT14341 - 1255 Broadway - ..	8,914
	NY CDG 006 LLC	Queens	Consolidated Edison	>200KW PV, NY-Sun	375,840
				NY-SUN, NY-Sun	75,168
	NYC Hudson Multifamily Gree..	Kings	Consolidated Edison	New Construction Housing, NCP Housing	196,800
	NYSS LLC	Richmond	Consolidated Edison	<200KW PV, NY-Sun	38,080
	Onyx Development Group LLC	Queens	Consolidated Edison	>200KW PV, NY-Sun	1,835,171
				NY-SUN, NY-Sun	356,779
	Orange EV LLC	Queens	Consolidated Edison	CLEAN TRANSPORTATION, NYTVIP - FedEx	2,389,207
	Parity Inc	New York	Consolidated Edison	Real Time Enrgy Management, Parity_525W52_..	40,098
				Real Time Enrgy Management, Parity-200 Rivers..	11,100
				Real Time Enrgy Management, Parity-201E79-R..	16,679
				Real Time Enrgy Management, Parity-252E57-R..	16,200
	Partridge Venture Engineering, P.C.	Bronx	Consolidated Edison	Technical Services, FT14074 - 1455-1499 - FTC	6,214
		Kings	Consolidated Edison	Tech Assistanc Multifamily LMI, FT14253 - Multip..	15,395
				Tech Assistanc Multifamily LMI, FT14254 - 367 S..	10,000
	Phipps Houses	Queens	Consolidated Edison	New Construction Housing, NCP Housing 2022	600,000
	Pivot Energy Development LLC	Queens	Consolidated Edison	>200KW PV, PON 2112 NY SUN	82,620
		Richmond	Consolidated Edison	>200KW PV, PON 2112 NY SUN	77,760
	Plaza West Associates LLC	New York	Consolidated Edison	Technical Services, FT14315 - 636 11th - PON	23,800
	Pomfret PV, LLC	New York	Consolidated Edison	>200KW PV, NY Sun	678,730
				NY-SUN, NY Sun	279,477
	Premier Solar Solutions LLC	Bronx	Consolidated Edison	>200KW PV, PON 2112 NY SUN	8,160
	Pvilion Technologies, LLC	Kings	Consolidated Edison	OJT	15,360
	REpower, LLC	Queens	Consolidated Edison	>200KW PV, PON 2112 NY SUN	62,208
	Resilience Education Training ..	Kings	Consolidated Edison	Talent Pipeline:CE and OJT, PON3981 Round 12	430,120
	RXR Realty LLC	Kings	Consolidated Edison	On-Site Energy Manager, OsEM84-M - RXR Rea..	214,000
	SafariNY Corp.	Queens	Consolidated Edison	OJT	10,560
				Talent Pipeline:CE and OJT, OJT	23,040
	SDF East 243rd Street Housin..	Bronx	Consolidated Edison	Direct Injection Program, Samaritan TAP Electrifi..	1,000,000
	SEA Electric LLC	Kings	Consolidated Edison	CLEAN TRANSPORTATION, NYTVIP - Mendon ..	220,000
	Setpoint AI Inc	Kings	Consolidated Edison	NYCH: Talent Ppln:CE and OJT, OJT	12,000
	Smith Engineering PLLC	New York	Consolidated Edison	Technical Services, FT14264 - 383 Madison - FTC	96,843
				Statewide	Technical Services, FT14151 - 3000 Vesey - FTC
	SRE Arlington, LLC	Richmond	Consolidated Edison	ESTOR:Retail Storage Incentive, Retail Storage	4,447,200
	SRE Littlefield, LLC	Richmond	Consolidated Edison	ESTOR:Retail Storage Incentive, Retail Storage	4,447,200
	Steven Winter Associates, Inc.	Bronx	Consolidated Edison	Multifam New Construction, New Construction	9,999
				Kings	Consolidated Edison
		New York	Consolidated Edison	NYCH: Technical Assistance, FT13667 - 225 Fift..	3,550
				Talent Pipeline:CE and OJT, PON3981 Round 10	209,703
				Technical Services, FT13712 - 150 E. 61st - FTC	5,000
				Technical Services, FT14064 - 372 CPW - FTC	30,000
				Technical Services, FT14065 - 43 W 61st - FTC	30,000
				Technical Services, FT14113 - 145 Nassau - FTC	11,150
				Technical Services, FT14114 - 10 W 15th - FTC	42,000
Empire Building Challenge, EBC COHORT 2 TA ..				67,000	
NYCH: Empire Build Challenge, EBC COHORT 2..				33,000	
Real Time Enrgy Management, SWA-8241 Parso..				57,539	
Technical Services, FT14101 - 104-20 68th - FTC		19,125			
Technical Services, FT14102 - Mainstay Co-op - ..		19,125			
STRATCO PROPERTY GROUP INC		New York	Consolidated Edison	NYCH: Talent Ppln:CE and OJT, OJT	48,960
	NYCH: Talent Ppln:CE and OJT, OJT Sumaiya R..			9,600	
SuNation Solar Systems, Inc.	Queens	Consolidated Edison	>200KW PV, PON 2112 NY SUN	13,288	
Sunkeeper Solar LLC	Kings	Consolidated Edison	<200KW PV, NY-Sun	15,264	

**Projects Selected for Funding by Region**  
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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount		
New York City	Sunkeeper Solar LLC	Kings	Consolidated Edison	>200KW PV, NY-Sun	45,792		
				>200KW PV, PON 2112 NY SUN	425,726		
		New York	Consolidated Edison	>200KW PV, PON 2112 NY SUN	194,516		
		Queens	Consolidated Edison	>200KW PV, PON 2112 NY SUN	90,484		
	SunPower Capital, LLC	Richmond	Consolidated Edison	Consolidated Edison	>200KW PV, PON 2112 NY SUN	262,400	
					<200KW PV, NY-Sun	7,140	
	SunPower Corporation	Queens	Consolidated Edison	Consolidated Edison	<200KW PV, NY-Sun	28,800	
					NY-SUN, NY-Sun - ICSA	366,183	
	Surf Clean Energy Inc	Bronx	Consolidated Edison	Consolidated Edison	<200KW PV, NY-Sun	14,624	
					<200KW PV, NY-Sun	19,696	
		Queens	Consolidated Edison	Consolidated Edison	<200KW PV, NY-Sun	6,808	
					<200KW PV, PON 2112 NY SUN	10,656	
	Sustainable Investment Group	Kings	Consolidated Edison	Consolidated Edison	Long Island Power Authority	8,500	
					<200KW PV, NY-Sun	8,500	
	Taitem Engineering, P.C.	Kings	Consolidated Edison	Consolidated Edison	Technical Services, FT14082 - 117 Grattan - FTC	10,500	
					Technical Services, FT14222 - 11 Times - FTC	17,475	
	TBL Building Sciences, LLC	New York	Consolidated Edison	Consolidated Edison	New Construction- Commercial, Commercial Ne..	24,465	
	Tetra Tech Engineers, Archite..	New York	Consolidated Edison	Consolidated Edison	OJT	23,040	
	The Bedford Place Condomini..	Kings	Consolidated Edison	Consolidated Edison	Technical Services, FT14259 - 2280 Frederick - ..	11,243	
	The Joint Ownership Entity Ne..	New York	Consolidated Edison	Consolidated Edison	Low Carbon Tech Demos, Multifamily	281,650	
	Trane	Kings	Consolidated Edison	Consolidated Edison	Retrofit NY, PON 4062	1,386,000	
	Unique Electric Solutions of N..	Kings	Consolidated Edison	Consolidated Edison	Real Time Enrgy Management, KingsTheater-10..	16,250	
					Real Time Enrgy Management, Trane-65W54-RT..	31,623	
					REV Campus Challenge, FT13549 - Lincoln Cent..	10,000	
	Urban Energy Inc	Kings	Consolidated Edison	Consolidated Edison	CLEAN TRANSPORTATION, NYTVIP - Logan B..	480,000	
	Urban Energy Inc	Kings	Consolidated Edison	Consolidated Edison	>200KW PV, PON 2112 NY SUN	21,870	
					OJT	12,000	
					OJT SHYTON HOLDER-JOHNSON	14,400	
					Talent Pipeline:CE and OJT, OJT	12,000	
					Talent Pipeline:CE and OJT, OJT ANDY BALKA..	14,400	
					Talent Pipeline:CE and OJT, OJT DANIEL SALD..	21,600	
					>200KW PV, PON 2112 NY SUN	203,040	
					NYCH: Talent Ppln:CE and OJT, OJT	17,280	
					Technical Services, FT14314 - Multiple - PON	18,250	
					Multifam Performance Pgm, Multifamily	24,000	
	WFHA Brooklyn LP	Kings	Consolidated Edison	Consolidated Edison	New Construction Housing, NCP Housing 2022	600,000	
	Williamsburg Court Housing D..	Kings	Consolidated Edison	Consolidated Edison	Multifam Performance Pgm, Multifamily	256,000	
	Woodstock Terrace Mutual Ho..	Bronx	Consolidated Edison	Consolidated Edison	New Construction Housing, NCP Housing 2022	339,324	
	ZDJ Hudson Yards LLC	New York	Consolidated Edison	Consolidated Edison			
	North Country	Acer Solar, LLC	St. Lawrence	National Grid	>200KW PV, NY Sun	952,952	
					NY-SUN, NY Sun	392,392	
		ADK Solar	Essex	NYS Electric and Gas	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	12,040
		Albany Solar Solutions L.L.C.	Essex	NYS Electric and Gas	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	36,176
		Alternative Power Solutions of..	Jefferson	National Grid	National Grid	<200KW PV, PON 2112 NY SUN	7,290
		American Energy Care, Inc.	Essex	National Grid	National Grid	<200KW PV, PON 2112 NY SUN	6,480
		AMP US HoldCo Inc	St. Lawrence	National Grid	National Grid	NY-SUN, NY-Sun ESFA	982,800
		AMP US HoldCo Inc.	St. Lawrence	National Grid	National Grid	NY-SUN, NY-Sun ESFA	365,274
NY-SUN, NY-Sun ESFA						2,452,590	
Apex Solar Power LLC		Essex	National Grid	National Grid	<200KW PV, PON 2112 NY SUN	6,750	
					NYS Electric and Gas	9,000	
					National Grid	7,200	
					National Grid	480	
Baldwin Real Estate Development, Corp.		St. Lawrence	National Grid	National Grid	<200KW PV, PON 2112 NY SUN	16,800	
					Multifam Performance Pgm, Multifamily	65,800	
Cavern Solar, LLC		Clinton	NYS Electric and Gas	NYS Electric and Gas	>200KW PV, NY Sun	522,580	
					NY-SUN, NY Sun	215,180	
Covington Solar 1, LLC		Franklin	National Grid	National Grid	>200KW PV, NY Sun	443,945	
					NY-SUN, NY Sun	182,801	
Covington Solar 2, LLC		Franklin	National Grid	National Grid	>200KW PV, NY Sun	1,026,058	
					NY-SUN, NY Sun	422,495	
Day Automation Systems, Inc.		Franklin	NYS Electric and Gas	NYS Electric and Gas	K-12 SCHOOLS, P12GC-63_E - Chateaugay - P..	22,195	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
North Country	Delaware River Solar, LLC	Clinton	NYS Electric and Gas	>200KW PV, NY Sun	1,192,549
				NY-SUN, NY Sun	491,051
	DG New York CS, LLC	Jefferson	National Grid	>200KW PV, NY Sun	1,194,022
				NY-SUN, NY Sun	491,657
	Dimension Energy LLC	Lewis	National Grid	>200KW PV, NY Sun	496,631
	Field of Dreams Solar Farm, LLC	Jefferson	National Grid	>200KW PV, NY Sun	1,059,739
				NY-SUN, NY Sun	436,364
	Fourth Coast, Inc.	Jefferson	National Grid	<200KW PV, PON 2112 NY SUN	20,236
		Lewis	National Grid	<200KW PV, PON 2112 NY SUN	8,201
	Johnson Controls, Inc. (Syrac..	Franklin	National Grid	K-12 SCHOOLS, P12GC-60_E - Malone - FTC	125,531
	Kasselman Solar LLC	St. Lawrence	National Grid	<200KW PV, PON 2112 NY SUN	6,144
	L&S Energy Services, Inc.	Franklin	National Grid	Technical Services, FT14237 - 1-3 Main St - FTC	16,883
	LaBella Associates, P.C.	Clinton	NYS Electric and Gas	OTHER PROGRAM AREA, Plattsburgh JT Plann..	158,500
	Max Solar Inc	Jefferson	National Grid	<200KW PV, NY-Sun	6,144
				<200KW PV, PON 2112 NY SUN	17,856
	New Leaf Solar LLC	Essex	National Grid	<200KW PV, PON 2112 NY SUN	16,502
	Next Generation Solar, LLC	Jefferson	National Grid	<200KW PV, PON 2112 NY SUN	7,200
	Northway Solar, LLC	Clinton	NYS Electric and Gas	>200KW PV, NY Sun	1,115,077
				NY-SUN, NY Sun	459,150
	NSF Chateaugay Site 1, LLC	Franklin	NYS Electric and Gas	>200KW PV, NY Sun	1,145,663
				NY-SUN, NY Sun	471,745
	NSF Chateaugay Site 2, LLC	Franklin	NYS Electric and Gas	>200KW PV, NY Sun	1,002,456
				NY-SUN, NY Sun	412,776
	NY Mooers VI, LLC	Clinton	NYS Electric and Gas	>200KW PV, NY Sun	1,192,550
	OYA ELLISBURG SOLAR LLC	Jefferson	National Grid	NY-SUN, NY-Sun ESFA	597,996
	Paradise Energy Solutions, LL..	Jefferson	National Grid	<200KW PV, PON 2112 NY SUN	22,580
	Pathfinder Engineers & Archit..	St. Lawrence	National Grid	New Construction- Commercial, Commercial Ne..	16,351
	Pivot Solar NY 3 LLC	Essex	National Grid	>200KW PV, NY Sun	894,240
	Pivot Solar NY 5 LLC	Essex	National Grid	>200KW PV, NY Sun	506,736
	Pivot Solar NY 9 LLC	Essex	National Grid	>200KW PV, NY Sun	1,119,226
	PlugPV, LLC	Clinton	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	26,300
			Essex	Municipal Utilities	<200KW PV, NY-Sun
		Jefferson	National Grid	<200KW PV, PON 2112 NY SUN	6,600
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	6,800
	Proven Energy Systems LLC	St. Lawrence	National Grid	<200KW PV, NY-Sun	10,200
	Sherburne DG, LLC	Lewis	National Grid	New Construction Housing, NCP Housing	24,000
	Sigora Solar	Lewis	National Grid	<200KW PV, PON 2112 NY SUN	6,753
	Surf Clean Energy Inc	St. Lawrence	National Grid	<200KW PV, NY-Sun	20,000
	Sylvamo North America LLC	Essex	National Grid	CI Carbon Challenge, Sylvamo CICC Award Mod	1,193,336
	Tadcon Electric LLC	St. Lawrence	National Grid	>200KW PV, NY Sun	1,129,088
				NY-SUN, NY Sun	464,920
	Taitem Engineering, P.C.	Franklin	National Grid	Technical Services, AEAP 1418 - Tuckers Black ..	5,984
	Ticon Solar, LLC	Essex	National Grid	>200KW PV, NY Sun	1,105,685
				NY-SUN, NY Sun	455,283
	TJA NY 1454 CR 15 OSWEG..	St. Lawrence	National Grid	NY-SUN, NY-Sun - ICSA	1,401,624
	Village of Canton Housing Authority	St. Lawrence	National Grid	Multifam Performance Pgm, Multifamily	35,000
				NYCH: LMI, Clean Heating & Cooling	100,000
Tech Assistanc Multifamily LMI, FT14361 - 35 Ri..				10,000	
Watertown Renewables, LLC	Jefferson	National Grid	>200KW PV, NY Sun	1,421,339	
			NY-SUN, NY Sun	585,258	
Yellow 10 LLC	Essex	National Grid	>200KW PV, NY Sun	268,821	
			NY-SUN, NY Sun	110,691	
Southern Tier	3rd ROC Solar LLC	Schuyler	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	15,570
		Steuben	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	17,600
		Tompkins	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	36,020
	Alternative Power Solutions of..	Chenango	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	9,296
	Asteri Ithaca, LLC.	Tompkins	NYS Electric and Gas	New Construction- Commercial, 2019 MFCNP	107,644
	Bashing Panels LLC	Schuyler	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	10,000

**Projects Selected for Funding by Region**  
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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Southern Tier	Bashing Panels LLC	Tompkins	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	27,780
	Cayuga Medical Center at Ithaca	Tompkins	NYS Electric and Gas	Commercial New Construc, Commercial New Co..	128,560
				New Construction Housing, 2019 LRNCP	147,000
	Citizens Dickinson Solar	Broome	NYS Electric and Gas	>200KW PV, NY Sun	850,000
				NY-SUN, NY Sun	350,000
	Cornell Cooperative Extension - Tompkins	Tompkins	NYS Electric and Gas	CLEANER GREENER COMMUNITIES, CEEP C..	65,745
				CLEANER GREENER COMMUNITIES, CEEP N..	29,104
				CLEANER GREENER COMMUNITIES, CEEP S..	61,992
	Cornell NCRE Solar 2 LLC	Tompkins	NYS Electric and Gas	<200KW PV, NY-Sun	254,135
	Cornell University	Tompkins	NYS Electric and Gas	Environmental Research, Climate-Adaptive Desi..	49,725
	Delaware River Solar, LLC	Broome	NYS Electric and Gas	>200KW PV, NY Sun	1,645,987
				NY-SUN, NY Sun	960,159
		Tioga	NYS Electric and Gas	>200KW PV, NY Sun	3,590,701
	DG New York CS, LLC	Chenango	Municipal Utilities	>200KW PV, NY Sun	2,544,436
				NY-SUN, NY Sun	1,047,711
	Doherty Electric, LLC	Chenango	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	12,500
	E2S Energy Efficiency Service..	Steuben	NYS Electric and Gas	Technical Services, FT14141 - 24 South Bridge -..	18,872
	Extraterrestrial Materials Inc.	Broome	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	42,160
		Chenango	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	6,144
		Tioga	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	15,160
	Fingerlakes Renewables	Tompkins	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,760
	Foam It Insulation, LLC	Broome	NYS Electric and Gas	NYCH: Talent Ppln:CE and OJT, OJT	21,600
				OJT	14,400
	Fusion Energy Services LLC	Steuben	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	23,180
		Tompkins	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,340
	George E Denmark II	Chemung	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	6,480
	Halcyon, Inc.	Chemung	NYS Electric and Gas	<200KW PV, NY-Sun	7,680
		Tompkins	NYS Electric and Gas	<200KW PV, NY-Sun	6,720
	Imperium3 New York Inc	Broome	NYS Electric and Gas	OJT	94,080
				OJT Jeffrey Geisenhof	6,560
				Talent Pipeline:CE and OJT, OJT	50,240
				Talent Pipeline:CE and OJT, OJT Ilma Halilovic	5,760
				Talent Pipeline:CE and OJT, OJT Ramik Glenn	8,880
	Ithaca Electricians Inc.	Tompkins	NYS Electric and Gas	NYCH: Talent Ppln:CE and OJT, OJT	9,600
	Ithaca Rentals and Renovations, Inc.	Tompkins	NYS Electric and Gas	On-Site Energy Manager, OsEM85-M - Travis Hy..	85,999
				Technical Services, OsEM85-M - Travis Hyde Pr..	23,918
	J&A Electrical Construction LL..	Chenango	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,700
	Kasselman Solar LLC	Delaware	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	13,184
	MEP Geothermal Engineering..	Tompkins	NYS Electric and Gas	REV Campus Challenge, FT13481 - 131 Humphr..	106,356
	Nova Bus a Div. of Prevost Ca..	Broome	NYS Electric and Gas	CLEAN TRANSPORTATION, NYTVIP - Broome ..	1,540,000
	NSF Danby Site 1, LLC	Tompkins	NYS Electric and Gas	>200KW PV, NY Sun	1,139,301
				NY-SUN, NY Sun	469,125
	NSF Danby Site 2, LLC	Tompkins	NYS Electric and Gas	>200KW PV, NY Sun	1,138,574
				NY-SUN, NY Sun	468,826
	NSF Danby Site 3, LLC	Tompkins	NYS Electric and Gas	>200KW PV, NY Sun	554,752
				NY-SUN, NY Sun	228,428
	NSF Union Site 1B, LLC	Broome	NYS Electric and Gas	>200KW PV, NY Sun	1,095,120
				NY-SUN, NY Sun	511,056
	NSF Union Site 2B, LLC	Broome	NYS Electric and Gas	>200KW PV, NY Sun	1,095,120
				NY-SUN, NY Sun	511,056
NSF Union Site 3B, LLC	Broome	NYS Electric and Gas	>200KW PV, NY Sun	1,095,120	
			NY-SUN, NY Sun	511,056	
NY Triangle I, LLC	Broome	NYS Electric and Gas	>200KW PV, NY Sun	584,496	
Paradise Energy Solutions, LL..	Tioga	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	12,060	
PlugPV, LLC	Broome	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	22,520	
	Chenango	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,200	
	Delaware	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	11,058	
	Tioga	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	15,000	

**Projects Selected for Funding by Region**  
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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Southern Tier	Renovus Energy, Inc.	Chemung	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,472
		Schuyler	NYS Electric and Gas	<200KW PV, NY-Sun	6,560
				<200KW PV, PON 2112 NY SUN	11,728
		Tioga	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	9,020
		Tompkins	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	18,848
	Sigora Solar	Broome	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	12,000
	Snug Planet, LLC	Tompkins	NYS Electric and Gas	OJT	5,760
	Solar Liberty Energy Systems, Inc	Broome	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	40,284
		Chemung	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	23,700
	Tadcon Electric LLC	Chenango	NYS Electric and Gas	>200KW PV, NY Sun	1,257,047
				NY-SUN, NY Sun	517,609
	Taitem Engineering, P.C.	Tompkins	NYS Electric and Gas	Technical Services, FT14204 - 601 1st - FTC	6,976
	TJA Clean Energy LLC	Broome	NYS Electric and Gas	>200KW PV, NY Sun	1,182,349
				NY-SUN, NY Sun	486,851
	Village of Montour Falls	Schuyler	NYS Electric and Gas	Code to Zero, PON4600 Village of Montour Fal	125,000
	Waverly Central Schools	Chemung	NYS Electric and Gas	K-12 SCHOOLS, P12GC-62_E - Waverly CSD - ..	15,962
	Wedge Solar, LLC	Chemung	NYS Electric and Gas	>200KW PV, NY Sun	667,250
				NY-SUN, NY Sun	274,750
	Statewide	Albany Hyatt CGE Upsize CEEC Subordinate Loan Rudarpa Upsize Sealed upsize to \$2	STATEWIDE	Statewide	NY Green Bank, Albany Hyatt
NY Green Bank, CGE Upsize					2,600,000
NY Green Bank, NYCEEC Subordinate Loan					5,000,000
NY Green Bank, Rudarpa Upsize					3,500,000
NY Green Bank, Sealed upsize to \$25.00 MM (vi..					7,500,000
<200KW PV, PON 2112 NY SUN					18,740
22nd Century Technologies, L..		STATEWIDE	Statewide	Home Perf w Energy Star, TWO #2 Single Family..	210,313
212 Solar Development, LLC		STATEWIDE	Statewide	Energy Storage Tech/Prod Dev, Site 1 - PON416..	1,346,172
				Energy Storage Tech/Prod Dev, Site 2 - PON416..	1,346,172
444 East 86th Owners Corp		STATEWIDE	Statewide	Technical Services, FT14349 - 444 E 86th - FTC	45,525
Abt Associates Inc.		STATEWIDE	Statewide	ENERGY ANALYSIS, TWO 2 formerly 30191 TW..	248,441
				ENERGY ANALYSIS, TWO#1 Pathways Health	75,000
ACEEE		STATEWIDE	Statewide	Subscription/Data Access, ACEEE sponsored re..	20,000
				Subscription/Data Access, Industrial Heat Pump ..	35,000
Active Energy Systems, Inc.		STATEWIDE	Statewide	NYCH: Innovation, NEXT-GENERATION ICE TH..	536,544
Adirondack North Country Ass..		STATEWIDE	Statewide	Clean Energy Hub, Regional Clean Energy Hub	3,549,404
Advent Software Luxembourg S A R L		STATEWIDE	Statewide	Cleantech Ignition, Fund Administration/Loan Inv..	5,000
				NEW YORK GREEN BANK, Fund Administration..	3,000,000
Adviser Compliance Associate..		STATEWIDE	Statewide	NEW YORK GREEN BANK, ACA - PPP Complia..	10,000
Aequita Consulting LLC		STATEWIDE	Statewide	OTHER PROGRAM AREA, Resilience Consultan..	238,000
Affordable Housing Partnership		STATEWIDE	Statewide	Clean Energy Hub, Regional Clean Energy Hub	3,038,546
AGreatE Inc		STATEWIDE	Statewide	76 West, 76West for AgreatE Inc	500,000
Air-Conditioning, Heating & Refrigeratio		STATEWIDE	Statewide	NextGen HVAC, HVAC Materials Testing	771,300
				NextGen HVAC, HVAC Refrigerant Leak Rate	307,110
Alliance for Sustainable Energ..		STATEWIDE	Statewide	Electric Vehicles - Innovation, TWO 3 - NYS Cha..	30,000
Alternative Power Solutions of..		STATEWIDE	Statewide	<200KW PV, PON 2112 NY SUN	16,640
Amazon Capital Servies, Inc.		STATEWIDE	Statewide	OTHER PROGRAM AREA, Small Items Purchase	10,917
American Council for an Energy Efficient		STATEWIDE	Statewide	Prof & Expert Engagement, 2022 NASEMC Mem..	10,000
				Subscription/Data Access, ACEEE 2022 Sponsor..	40,000
American Solar Partners, LLC		STATEWIDE	Statewide	<200KW PV, NY-Sun	800,000
				>200KW PV, NY-Sun	990,720
Antares Group, Inc.		STATEWIDE	Statewide	Empire Building Challenge, Antares mini bid 498..	68,813
				EVALUATION, Antares mini bid 4982 RTEM	18,983
				NYCH: Empire Build Challenge, Antares mini bid ..	68,813
				Real Time Enrgy Management, Antares mini bid ..	85,424
				RTEM and Tenants, Antares mini bid 4982 RTEM	37,966
Apex Solar Power LLC		STATEWIDE	Statewide	<200KW PV, PON 2112 NY SUN	9,947
Apogee Interactive, Inc.		STATEWIDE	Statewide	NYCH: Technical Assistance, PON 4423 Round 2	200,000
Apprise, Incorporated		STATEWIDE	Statewide	EVAL MCDC: MF LCP Market Eval, TWO 2 - AP..	332,939
APX Inc.		STATEWIDE	Statewide	REC2:CES REC2 Syst Development, NYGATS	20,154
				REC:CES REC System Dev Costs, NYGATS	69,625

**Projects Selected for Funding by Region**  
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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Statewide	APX Inc.	STATEWIDE	Statewide	ZEC:CES ZEC System Dev Costs, NYGATS	556,596
	Arch Street Communications, ..	STATEWIDE	Statewide	ENERGY ANALYSIS, Climate Action Council Pu..	77,857
	Arup US, Inc.	STATEWIDE	Statewide	Environmental Research, TWO 5 Elect. Resilience	226,000
				HCR Direct Injection, TWO #7 – HCR Project Sel..	1,000,000
				New Construction- Commercial, TWO #6CN Poli..	50,000
				Pub Transit & Elect Rail, TWO 4 Traction Power ..	29,614
	Astron Solutions LLC	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Pay Equity Study	99,000
	Aztech Geothermal, LLC	STATEWIDE	Statewide	NYCH: District, PON 4614 Round4 SE Albany	99,700
	Banyan Infrastructure Corpora..	STATEWIDE	Statewide	NEW YORK GREEN BANK, Reporting Covenant..	145,625
	Barry Frohlinger	STATEWIDE	Statewide	NEW YORK GREEN BANK, Credit Training for S..	25,000
	Battelle Memorial Institute	STATEWIDE	Statewide	Code to Zero, TWO #2 NYStretch Comm Modeli..	44,933
				Code to Zero, TWO #3 NYStretch Res Modeling	52,441
				Code to Zero, TWO #4 DOS DBSC Staff Support	250,000
	BDO USA LLP	STATEWIDE	Statewide	Background Investigation Servi	24,600
	Benchmark Printing, Inc.	STATEWIDE	Statewide	Electric Vehicles - Innovation, Printing DMV EV ..	17,347
				Eval MCDC: MF Building Stock, Res Postcard Pri..	60,000
	Bentley Systems, Incorporated	STATEWIDE	Statewide	OTHER PROGRAM AREA, Oasis Montaj Licens..	33,260
	BioDiversity Research Institute	STATEWIDE	Statewide	OREC: Technical Support, TWO 6 ETWG Servic..	235,755
	BlocPower Community Corpor..	STATEWIDE	Statewide	NYCH: Communities, PON3922 CH&C Communi..	50,000
	Bloomberg Finance LP	STATEWIDE	Statewide	ENERGY ANALYSIS, Bloomberg Datafeed Acce..	24,240
				REC:CES REC System Dev Costs, Bloomberg D..	20,000
	Bond, Schoeneck & King, PLL..	STATEWIDE	Statewide	OTHER PROGRAM AREA, TWO 7 Legal Servic..	50,000
	Booz Allen Hamilton, Inc.	STATEWIDE	Statewide	OTHER PROGRAM AREA, TWO 7 - Hydrogen H..	372,147
				OTHER PROGRAM AREA, TWO 14- H2 Hubs	500,000
	Brattle Group Inc.	STATEWIDE	Statewide	ENERGY ANALYSIS, TWO #1 NYISO Consult S..	100,000
	Brooklyn SolarWorks LLC	STATEWIDE	Statewide	>200KW PV, NY-Sun	6,240
				>200KW PV, PON 2112 NY SUN	6,720
	Brownsville Partnership Inc.	STATEWIDE	Statewide	New Construction- Commercial, NCP Housing	27,680
	Building Media, Inc.	STATEWIDE	Statewide	Code to Zero, RFQL 3711 TWO#1	227,050
	BW Research Partnership	STATEWIDE	Statewide	Talent Pipeline: Internship Pgm, TWO# 1 CE Indu..	100,000
				Workforce Industry Partnership, TWO# 1 CE Ind..	272,132
	BWC Briggs Run, LLC	STATEWIDE	Statewide	>200KW PV, NY Sun	1,191,482
				NY-SUN, NY Sun	490,611
	BWC Indian Rd Pond, LLC	STATEWIDE	Statewide	>200KW PV, NY Sun	866,762
				NY-SUN, NY Sun	356,902
	C.J. Brown Energy, P.C.	STATEWIDE	Statewide	Direct Injection Program, TWO #4 - HCR Genera..	16,500
				New Construction Housing, TWO #4 - HCR Gene..	33,500
	C&R Housing Inc.	STATEWIDE	Statewide	Talent Pipeline: CE and OJT, OJT	12,960
	Cadence OneFive Inc.	STATEWIDE	Statewide	Novel Bus Models & Offers, Novel Business Mod..	250,000
	Carahsoft Technology Corporation	STATEWIDE	Statewide	NEW YORK GREEN BANK, NYGB Cloud Conte..	20,544
				NYSERDA ADMINISTRATION, LinkedIn	39,818
	Carter Ledyard & Milburn LLP	STATEWIDE	Statewide	OREC: Technical Support, TWO 1 - ORECRFP2..	50,000
	Catalyze Holdings, LLC	STATEWIDE	Statewide	>200KW PV, NY Sun	293,220
				NY-SUN, NY Sun	171,045
	Center for Economic Growth	STATEWIDE	Statewide	OREC: Technical Support, IPF 2022	25,000
	Center for Energy Efficiency a..	STATEWIDE	Statewide	Prof & Expert Engagement, 2022 BDC Members..	15,000
	Center for Sustainable Energy	STATEWIDE	Statewide	CLEAN TRANSPORTATION, Centralized Servic..	776,992
	Central New York Regional Pl..	STATEWIDE	Statewide	Clean Energy Communities, Clean Energy Com..	1,983,292
	CHA Consulting Inc.	STATEWIDE	Statewide	Thermal Feasibility Study	49,500
	ChargePoint, Inc.	STATEWIDE	Statewide	CLEAN TRANSPORTATION, DCFC - VW Settle..	5,519,294
	CIR ELECTRICAL CONSTRU..	STATEWIDE	Statewide	<200KW PV, PON 2112 NY SUN	49,060
	City of Rochester	STATEWIDE	Statewide	Clean Energy Communities, CEC310319-City of ..	40,000
	City of Rye	STATEWIDE	Statewide	Clean Energy Communities, CEC500652-City of ..	10,000
	Clean Energy States Alliance	STATEWIDE	Statewide	Prof & Expert Engagement, 2022 CESA Member..	68,500
	Clean Path New York LLC	STATEWIDE	Statewide	REC4:CES REC4 Contracts, Tier 4	11,174,645,000
	Clean Power Research	STATEWIDE	Statewide	NYCH: Technical Assistance, PON 4423	196,936
	CLEAResult Consulting, Inc.	STATEWIDE	Statewide	ASSISTED HOME PERFORMANCE WITH ENE..	60,000
				EMPOWER NY, Technical Support SFR	95,000
				Home Perf w Energy Star, Technical Support SFR	5,842,701



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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Statewide	CLEAResult Consulting, Inc.	STATEWIDE	Statewide	LMI Community Solar, Centralized Services & Su..	10,000
				NENY:CHGE Empower Electric, Technical Supp..	3,960
				NENY:CHGE Empower Gas, Technical Support ..	11,055
				NENY:Con Ed Empower Electric, Technical Supp..	8,796
				NENY:Con Ed Empower Gas, Technical Support ..	36,960
				NENY:KEDNY Empower Gas, Technical Support..	40,920
				NENY:NFG Empower Gas, Technical Support S..	330,660
				NENY:NIMO Empower Electric, Technical Suppo..	24,255
				NENY:NIMO Empower Gas, Technical Support S..	51,150
				NENY:NYSEG Empower Electric, Technical Sup..	26,400
				NENY:NYSEG Empower Gas, Technical Support..	26,789
				NENY:O&R Empower Electric, Technical Support..	19,965
				NENY:O&R Empower Gas, Technical Support S..	50,160
				NENY:RGE Empower Electric, Technical Support..	13,530
				NENY:RGE Empower Gas, Technical Support S..	32,175
Technical Support SFR	1,269,000				
Climate Solutions Accelerator ..	STATEWIDE	Statewide	Clean Energy Hub, Regional Clean Energy Hub	3,285,014	
Cohen Ventures Inc	STATEWIDE	Statewide	Code to Zero, Task Work Order #6	250,000	
			Product Standards, Task Work Order #7	250,000	
Commercial Street Partners	STATEWIDE	Statewide	New Construction Housing, NCP Housing	632,000	
			Single Family New Construction, NCP Housing	184,000	
Consensus Building Institute, Inc.	STATEWIDE	Statewide	3rdparty FishFunding Support	39,897	
			Environmental Research, TWO #2 A-TWG Facili..	161,284	
			OREC: Technical Support, 3rdparty FishFunding ..	39,897	
Consortium for Energy Efficie..	STATEWIDE	Statewide	Prof & Expert Engagement, 2022 CEE Members..	48,000	
Corcraft	STATEWIDE	Statewide	Shelving for WV Offices	7,344	
Cornell Cooperative Ext. Dutc..	STATEWIDE	Statewide	Clean Energy Hub, Regional Clean Energy Hub	3,447,627	
Cornell Cooperative Extension - Tompkins	STATEWIDE	Statewide	Clean Energy Hub, Regional Clean Energy Hub	3,155,979	
			Regional Clean Energy Hub	76,761	
Cornell Cooperative Extension..	STATEWIDE	Statewide	Long Island Clean Energy Hub	3,373,238	
Cornell Cooperative Extension..	STATEWIDE	Statewide	Clean Energy Hub, Regional Clean Energy Hub	2,676,182	
Cornell University	STATEWIDE	Statewide	Environmental Research, Remote Sensing and D..	334,353	
Couch White, LLP	STATEWIDE	Statewide	ENERGY ANALYSIS, TWO 4 - FERC Notices	50,000	
			Code to Zero, TWO 2 - Legal Anlly & Guidance	150,000	
			Product Standards, TWO 3-SAPA Rule Making/C..	150,000	
Country Suburban Heating & ..	STATEWIDE	Statewide	NYCH: Talent Ppln:CE and OJT, OJT	34,320	
County Cooling, Corp.	STATEWIDE	Statewide	NYCH: Talent Ppln:CE and OJT, OJT	8,160	
CUNY - College of Staten Isla..	STATEWIDE	Statewide	NYCH: Talent Ppln:CE and OJT, Career Pathwa..	600,000	
CVE US EI8 Quaker, LLC	STATEWIDE	Statewide	>200KW PV, NY Sun	772,138	
			NY-SUN, NY Sun	450,414	
CVENT, Inc.	STATEWIDE	Statewide	Environmental Research, Event Management/Vir..	561	
			NYSERDA ADMINISTRATION, Event Managem..	21,465	
Daniel Rice Engineering, D.P...	STATEWIDE	Statewide	OJT	11,520	
DealCloud Inc.	STATEWIDE	Statewide	NEW YORK GREEN BANK, DealCloud Licensing	123,628	
Dextall	STATEWIDE	Statewide	NYCH: Innovation, Prefab Panels Retrofit	591,545	
DIBD NYC Inc.	STATEWIDE	Statewide	OTHER PROGRAM AREA, 2022 Danish/NYSER..	12,000	
			OTHER PROGRAM AREA, Circular City Week S..	15,000	
Direct Marketing Productions, ..	STATEWIDE	Statewide	Novel Bus Models & Offers, 2022 ARPA-E spons..	17,000	
DirectApps Inc	STATEWIDE	Statewide	ASSISTED HOME PERFORMANCE WITH ENE..	130,000	
			Consumer Ed and Market Support, Knowledge Tr..	14,500	
			Consumer Ed and Market Support, RFP4886 RE..	636,461	
			EMPOWER NY, RFP4886 RES Market Engage..	90,000	
			Home Perf w Energy Star, Knowledge Transfer f..	22,263	
			Home Perf w Energy Star, RFP4886 RES Market..	2,366,444	
			NENY:CHGE Empower Electric, Knowledge Tran..	47	
			NENY:CHGE Empower Electric, RFP4886 RES ..	501	
			NENY:CHGE Empower Gas, Knowledge Transfe..	126	
			NENY:CHGE Empower Gas, RFP4886 RES Mar..	1,683	
NENY:Con Ed Empower Electric, Knowledge Tra..	132				

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount			
Statewide	DirectApps Inc	STATEWIDE	Statewide	NENY:Con Ed Empower Electric, RFP4886 RES ..	1,051			
				NENY:Con Ed Empower Gas, Knowledge Transf..	426			
				NENY:Con Ed Empower Gas, RFP4886 RES Ma..	4,209			
				NENY:KEDNY Empower Gas, Knowledge Transf..	472			
				NENY:KEDNY Empower Gas, RFP4886 RES Ma..	5,550			
				NENY:NFG Empower Gas, Knowledge Transfer f..	3,811			
				NENY:NFG Empower Gas, RFP4886 RES Mark..	61,186			
				NENY:NIMO Empower Electric, Knowledge Tran..	269			
				NENY:NIMO Empower Electric, RFP4886 RES ..	2,862			
				NENY:NIMO Empower Gas, Knowledge Transfer..	590			
				NENY:NIMO Empower Gas, RFP4886 RES Mark..	6,178			
				NENY:NYSEG Empower Electric, Knowledge Tra..	305			
				NENY:NYSEG Empower Electric, RFP4886 RES..	559			
				NENY:NYSEG Empower Gas, Knowledge Transf..	719			
				NENY:O&R Empower Electric, Knowledge Transf..	231			
				NENY:O&R Empower Electric, RFP4886 RES M..	3,453			
				NENY:O&R Empower Gas, Knowledge Transfer f..	579			
				NENY:O&R Empower Gas, RFP4886 RES Mark..	6,599			
				NENY:RGE Empower Electric, Knowledge Transf..	157			
				NENY:RGE Empower Electric, RFP4886 RES M..	1,241			
				NENY:RGE Empower Gas, Knowledge Transfer f..	373			
				NENY:RGE Empower Gas, RFP4886 RES Mark..	2,861			
				NYCH: Comfort Home, RFP4886 RES Market En..	482,168			
				NYCH: Technical Assistance, Knowledge Transf..	5,000			
				NYCH: Technical Assistance, RFP4886 RES Mar..	385,734			
				DNV Energy Insights USA Inc.	STATEWIDE	Statewide	Combined Heat and Power, TWO 1 On Site Res ..	180,000
							GJGNY Market Rate Audits, TWO #4 Res Audit ..	713,605
							Home Energy Ratings, TWO #4 Res Audit Ratin..	713,605
				Doherty Electric, LLC	STATEWIDE	Statewide	<200KW PV, NY-Sun	17,280
				Dual Fuel Corp	STATEWIDE	Statewide	NYCH: Talent Ppln:CE and OJT, OJT	38,400
							Real Time Enrgy Management, DF - 1010 Sherm..	22,650
							Real Time Enrgy Management, Dual Fuel-Multisit..	30,680
				Eastern Research Group, Inc.	STATEWIDE	Statewide	Electric Vehicles - Innovation, TWO #3 E-BUS W..	564,464
							ENERGY ANALYSIS, TWO #1 CLCPA GHG	50,000
				Ecogy New York XV LLC	STATEWIDE	Statewide	>200KW PV, NY-Sun	1,470,000
							NY-SUN, NY-Sun	420,000
				Efficiency Forward, Inc.	STATEWIDE	Statewide	Advancing Ag Enrgy Technologie, DesignLights ..	10,000
				Eiger 3970 Consultants Inc.	STATEWIDE	Statewide	<200KW PV, NY-Sun	13,320
							<200KW PV, PON 2112 NY SUN	8,140
				eIQ Mobility, Inc.	STATEWIDE	Statewide	EVPRZ:Community Partner Funds, Prize Plannin..	50,000
							EVPRZ:Planning Grants, Prize Planning Grant - ..	100,000
				Ekostinger, Inc.	STATEWIDE	Statewide	Cleantech Ignition, PON4534 NY Climate Progre..	500,000
				Ember Strategies, LLC	STATEWIDE	Statewide	Empire Building Challenge, EBC Advisory Suppo..	25,000
							NYCH: Empire Build Challenge, EBC Advisory S..	25,000
				EME Consulting Engineering Group, LLC	STATEWIDE	Statewide	Commercial Real Estate Ten, SA.086c - TWO #18	41,400
							Empire Building Challenge, Minibid EBC & RTEM..	44,237
							EVALUATION, Minibid EBC & RTEM PrgmSupp..	12,203
			Informat. Products & Brokering, SA.086c - TWO ..	41,400				
			NYCH: Empire Build Challenge, Minibid EBC & R..	44,237				
			Real Time Enrgy Management, Minibid EBC & R..	54,915				
			Real Time Enrgy Management, SA.056_TWO #1..	70,667				
			RTEM and Tenants, Minibid EBC & RTEM Prgm..	24,407				
			RTEM and Tenants, SA.056_TWO #10 - RTEM ..	70,667				
			RTEM Small/Medium Business, SA.056_TWO #1..	70,667				
Empire Solar Solutions LLC	STATEWIDE	Statewide	<200KW PV, PON 2112 NY SUN	181,122				
Employee Leasing of Greater ..	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, TS.029 - SO_Tra..	58,500				
Empower CES, LLC	STATEWIDE	Statewide	ENERGY STORAGE, PON 2112 NY SUN	50,000				
Energy and Environmental Economics Inc.	STATEWIDE	Statewide	CLCPA Support, TWO#7 Future of Gas Planning	30,000				
			ENERGY ANALYSIS, TWO 2 - BER Scenario Run	350,000				

**Projects Selected for Funding by Region**  
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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Statewide	Energy and Environmental Economics Inc.	STATEWIDE	Statewide	ENERGY ANALYSIS, TWO #6 Complement Anal..	300,000
				ENERGY ANALYSIS, TWO#7 Future of Gas Pla..	200,000
				NYCH: Roadmap, TWO 2 - BER Scenario Run	246,000
				REC:CES REC System Dev Costs, Hydrogen Po..	495,136
	Energy Conservation & Suppl..	STATEWIDE	Statewide	OJT	15,360
	Energy Savers Inc	STATEWIDE	Statewide	NYCH: Talent Ppln:CE and OJT, OJT	6,400
	Enterprise Lumber & Silo, LLC	STATEWIDE	Statewide	Net Zero Energy for Eco Dev, New Construction ..	300,000
	ePlus inc	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, VMware Support..	84,428
	Event & Meeting Technology, ..	STATEWIDE	Statewide	Environmental Research, 2022 State of the Scien..	12,390
	Evgateway	STATEWIDE	Statewide	CLEAN TRANSPORTATION, DCFC - VW Settle..	717,240
	Expert Environmental & Const..	STATEWIDE	Statewide	Home Perf w Energy Star, Repairs Insulation Em..	6,174
	Extraterrestrial Materials Inc.	STATEWIDE	Statewide	<200KW PV, PON 2112 NY SUN	11,904
	Farmer Brown Solar LLC	STATEWIDE	Statewide	>200KW PV, NY Sun	1,111,077
				NY-SUN, NY Sun	518,503
	Fishtech Energy Partners LLC	STATEWIDE	Statewide	RTEM and Tenants, Fischer-55WaterSt-RTEM+T	400,000
	Flight Center Hotel, LLC	STATEWIDE	Statewide	EVPRZ:Contingency, 2022 Clean Trans Event V..	150,000
	Foam It Insulation, LLC	STATEWIDE	Statewide	OJT	7,200
	Forsyth Street Advisors, LLC	STATEWIDE	Statewide	NEW YORK GREEN BANK, Forsyth Street	110,000
	Fotobabble, Inc.	STATEWIDE	Statewide	Combined Heat and Power, Site Capture	4,800
				Low Carbon Tech Demos, Site Capture	4,800
				Multifam Performance Pgm, Site Capture	4,800
				NYCH: Comfort Home, Site Capture	4,800
	Friedrich Air Conditioning Co.	STATEWIDE	Statewide	NextGen HVAC, Window Heat Pump	47,703
	Frontier Energy, Inc.	STATEWIDE	Statewide	Cl Engy Siting & Soft Cost Red, TWO 2 Cat 2 Siti..	50,000
	Fund for Public Housing, Inc.	STATEWIDE	Statewide	NYCH: Talent Ppln:CE and OJT, IMS PON4359 -..	384,814
	Gas Technology Institute	STATEWIDE	Statewide	NextGen HVAC, Develop R30 wall	350,000
	General Electric International I..	STATEWIDE	Statewide	ENERGY ANALYSIS, Elec System Modeling Trai..	20,000
	Goldman Copeland Associate..	STATEWIDE	Statewide	NYCH: Critical Tools, Geopossibilities Improvem..	23,000
	Green Light New York, Inc.	STATEWIDE	Statewide	Commercial Real Estate Ten, Energy Efficiency ..	129,150
				Prof & Expert Engagement, 2022 BEE Members..	50,000
				Real Time Enrgy Management, Grid Tech Spons..	4,400
				Real Time Enrgy Management, RTEM Hackatho..	10,000
				Retrofit NY, Grid Tech Sponsorship	4,400
	Guidehouse Inc.	STATEWIDE	Statewide	Mkt Char: Tech Assist, EV Tariff Analysis	250,000
				NEW YORK GREEN BANK, TWO #1 - Price For..	242,784
	GZA GeoEnvironmental of Ne..	STATEWIDE	Statewide	WEST VALLEY DEVELOPMENT PROGRAM, Tr..	38,550
	H.Q. Energy Services Inc	STATEWIDE	Statewide	REC4:CES REC4 Contracts, Tier 4	12,234,724,000
	Halcyon Inc.	STATEWIDE	Statewide	NYCH: Talent Ppln:CE and OJT, OJT	13,680
				OJT	20,160
	Halcyon, Inc.	STATEWIDE	Statewide	<200KW PV, PON 2112 NY SUN	24,784
	Helix Ventures, LLC	STATEWIDE	Statewide	NYCH: District, PON 4614 Round #5	100,000
	Henningson, Durham & Richa..	STATEWIDE	Statewide	OREC: Technical Support, TWO #2 HDR Port Li..	499,420
	Hester Street Collaborative, In..	STATEWIDE	Statewide	Code to Zero, DAC Outreach & Engagement Supp	49,999
	Hi TECH HVAC Services CO..	STATEWIDE	Statewide	NYCH: Talent Ppln:CE and OJT, OJT	10,800
	Hitachi Energy USA Inc.	STATEWIDE	Statewide	High Performing Grid, PON 3770 Smart Grid	624,400
	HK Truck Services Inc.	STATEWIDE	Statewide	CLEAN TRANSPORTATION, NYTVIP - The New..	375,000
	Hodgson Russ LLP	STATEWIDE	Statewide	NYCH: District, TWO 2 - Comm HP Const Projects	30,000
				NYSERDA ADMINISTRATION, EmPower Claim ..	1,649
				Product Standards, TWO 1-SAPA Rule Making/C..	350,000
	Holland & Knight LLP	STATEWIDE	Statewide	NEW YORK GREEN BANK, RFP 12 - NYGB Leg..	40,586
				OREC: Technical Support, TWO 1 - ORECRFP2..	50,000
				RFP 12 - NYGB Legal Services	43,243
	Honeywell International Inc.	STATEWIDE	Statewide	3695 TWO Umbrella Agreement	4,032
				ASSISTED HOME PERFORMANCE WITH ENE..	12,282
				ASSISTED HOME PERFORMANCE WITH ENE..	3,024
				Home Perf w Energy Star, 3695 TWO Umbrella ..	548,781
				Home Perf w Energy Star, QA inspection services	1,008
				QA inspection services	26,968
	Housing Trust Fund	STATEWIDE	Statewide	Direct Injection Program, HCR 2021	8,250,000

**Projects Selected for Funding by Region**  
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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Statewide	Housing Trust Fund Corporation	STATEWIDE	Statewide	HCR Direct Injection, HCR 2021	16,750,000
	HPDC Energy LLC	STATEWIDE	Statewide	NEW YORK GREEN BANK, NYGB DAC Stakeh..	6,000
	HUB Controls USA Inc	STATEWIDE	Statewide	Cleantech Ignition, HUB Controls -PON4534 NY..	500,000
	Hudson River Renewables	STATEWIDE	Statewide	<200KW PV, PON 2112 NY SUN	4,480
	ICF Resources, LLC	STATEWIDE	Statewide	Eval MCDC:I&R Macroeconomic St, Tech Assist,...	10,000
	Illume Advising LLC	STATEWIDE	Statewide	K-12 SCHOOLS, TWO #3 - P-12 Schools Work ..	495,358
	Imperium3 New York Inc	STATEWIDE	Statewide	OJT	7,040
	Industrial Economics, Incorporated	STATEWIDE	Statewide	Mkt Char: Tech Assist, TWO#1 BCA study Under..	299,881
				New Construction Housing, TWO 3 - Case Studies	25,434
				OTHER PROGRAM AREA, Market Evaluation D..	49,997
	Infinity Solar Systems, LLC	STATEWIDE	Statewide	<200KW PV, PON 2112 NY SUN	47,554
	inMotion, Inc.	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, inMotion Subscri..	4,713
	Institute for Building Technology and Sa	STATEWIDE	Statewide	>200KW PV, TWO 3 CAT 1 NY-Sun Large C&I	331,800
				NY-SUN, TWO 4 NYSUN Res NonRes	1,014,000
	IPPsolar Integration LLC	STATEWIDE	Statewide	<200KW PV, NY-Sun	74,970
	Ithaca College	STATEWIDE	Statewide	Environmental Research, Methane emissions me..	48,182
	Jaros, Baum & Bolles	STATEWIDE	Statewide	Empire Building Challenge, JBB Mini bid 4982 R..	22,119
				EVALUATION, JBB Mini bid 4982 RTEM Support	6,102
				NYCH: Empire Build Challenge, JBB Mini bid 498..	22,119
				Real Time Enrgy Management, JBB Mini bid 498..	27,458
				RTEM and Tenants, JBB Mini bid 4982 RTEM Su..	12,203
	JBI Construction Group	STATEWIDE	Statewide	>200KW PV, PON 2112 NY SUN	14,378
	Kanagy Solar Farm LLC	STATEWIDE	Statewide	>200KW PV, NY Sun	712,404
				NY-SUN, NY Sun	332,455
	Karp Strategies, LLC	STATEWIDE	Statewide	OREC: Technical Support, NYS OSW Training Ef..	400,000
	Kasselman Solar LLC	STATEWIDE	Statewide	<200KW PV, PON 2112 NY SUN	76,294
	Kearns & West, Inc.	STATEWIDE	Statewide	Consumer Ed and Market Support, TWO 1 - RM..	41,462
				Energy Storage Tech/Prod Dev, TWO 12-H2 Sta..	125,000
				OREC: Technical Support, TWO #2 Agmt No. 14..	49,954
	Kelliher Samets LTD	STATEWIDE	Statewide	Clean Energy Hub, TWO 4 - CE Hubs launchsup..	31,000
				Consumer Ed and Market Support, TWO#45 SFR	30,000
				LMI Marketing, KSV TWO 32 LMI Website Hub	1,324,091
				Low-Income Forum on Energy, TWO 1 - DAC Ou..	107,610
				NYCH: Critical Tools, TWO 5 - NYS Tracking Stu..	300,000
				NYCH: Critical Tools, TWO#45 SFR	20,000
				NYCH: Supply Chain, TWO 3 - Clean Heat Conn..	238,500
				NYSERDA ADMINISTRATION, TWO 2 - Social ..	50,000
				NYSERDA ADMINISTRATION, TWO 6 - Logo U..	32,000
				TWO #7 NYGB	100,000
				TWO #8 Induction Cooking	270,000
	L&S Energy Services, Inc.	STATEWIDE	Statewide	Direct Injection Program, HCR General Project S..	10,000
				Flexible Tech Assistance, L&S GJGNY Energy A..	1,239,838
				HCR Direct Injection, HCR General Project Supp..	40,000
				Low Carbon Tech Demos, TWO 1 - Low Carbon ..	77,505
				On-Site Energy Manager, Umbrella Contract	90,000
	LaBella Associates, P.C.	STATEWIDE	Statewide	Albany Hyatt IE	36,225
				K-12 SCHOOLS, CGSI-3_E - Jasper-Troupsburg-	26,978
				NYCH: District, PON 4614 Round #5	100,000
	Launch New York, Inc.	STATEWIDE	Statewide	Cleantech Incubator, Launch NY ECO Incubator	290,000
	Levitan & Associates, Inc.	STATEWIDE	Statewide	NY-SUN, NY-Sun MidPoint Review Support	49,300
	Linden Terrace III Developer L..	STATEWIDE	Statewide	New Construction Housing, NCP Housing	450,000
	Long Island High Technology I..	STATEWIDE	Statewide	Cleantech Incubator, Clean Energy Incubator	290,000
	Luthin Associates, Inc.	STATEWIDE	Statewide	RTEM and Tenants, Market Engagement support	50,000
	Mark MaGrann Associates	STATEWIDE	Statewide	HCR Direct Injection, HCR General Project Supp..	50,000
	Max Solar Inc	STATEWIDE	Statewide	<200KW PV, NY-Sun	15,360
	McMahon and Mann Consulting Engineers	STATEWIDE	Statewide	WEST VALLEY DEVELOPMENT PROGRAM, T..	259,650
				WEST VALLEY DEVELOPMENT PROGRAM, T..	100,000
	Meister Consultants Group, Inc.	STATEWIDE	Statewide	REV Campus Challenge, Efficiency Planning & E..	250,000
	Meltwater News US Inc.	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Meltwater News ..	60,000

**Projects Selected for Funding by Region**  
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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Statewide	MEP Geothermal Engineering..	STATEWIDE	Statewide	NYCH: District, PON 4614 Round #5	500,000
	Metropolitan Transportation A..	STATEWIDE	Statewide	Pub Transit & Elect Rail, MTA TDM Pilot	500,000
	Mexico PV, LLC	STATEWIDE	Statewide	>200KW PV, NY Sun	964,384
				NY-SUN, NY Sun	397,100
	Michaels Energy, Inc.	STATEWIDE	Statewide	Advancing Ag Enrgy Technologie, TWO #3 Agric..	209,114
				Agriculture Energy Eff Pgm, TWO #3 Agriculture ..	109,114
				Greenhouse Light & Systems Eng, TWO #3 Agric..	84,114
				Technical Services, TWO 1 - EMP Impact Evalua..	15,795
				Technical Services, TWO #3 Agriculture Impact ..	103,490
	MIMiC Systems Inc	STATEWIDE	Statewide	NYCH: Innovation, NextGen HVAC Innovation	450,213
	Mintz, Levin, Cohn, Ferris, Glo..	STATEWIDE	Statewide	Cleantech Ignition, RFP 12 - NYGB Legal Servic..	13,542
	Mintzer Mauch PLLC	STATEWIDE	Statewide	BR: Program Implementation, TWO 1 - Build-Rea..	20,000
	MM Renewables Consulting L..	STATEWIDE	Statewide	NEW YORK GREEN BANK, Marcelle Meyer Con..	117,881
	MR. AIR NYC Corp.	STATEWIDE	Statewide	NYCH: Talent Ppin:CE and OJT, OJT	29,040
	National Wind Technology Consortium, Inc	STATEWIDE	Statewide	Nat'l OffShWind R&D Consortium, NOWRDC-12..	399,999
				Nat'l OffShWind R&D Consortium, NOWRDC-12..	150,000
				Nat'l OffShWind R&D Consortium, NOWRDC-12..	157,496
				Nat'l OffShWind R&D Consortium, NOWRDC-12..	354,787
				NOWRDC-124-GE Renewable Energy	399,999
				NOWRDC-126-EPRI	150,000
				NOWRDC-127-GE Research	157,496
				NOWRDC-129-Drive Technologies	354,787
	Natural Resources Defense C..	STATEWIDE	Statewide	NEW YORK GREEN BANK, 2022 GBN Member..	7,000
	NESEA	STATEWIDE	Statewide	New Construction- Commercial, BENYC 2022	8,333
				NYCH: District, BENYC 2022	8,333
				Prof & Expert Engagement, BENYC 2022	1,000
				Workforce Industry Partnership, BENYC 2022	8,333
	New Buildings Institute, Inc.	STATEWIDE	Statewide	Code to Zero, TWO # 4	155,287
				Code to Zero, TWO #7 NBI Contractor Support	250,000
	New Energy Nexus New York ..	STATEWIDE	Statewide	Cleantech POCC, PON4856 Empire Tech Prize	9,500,000
	New Leaf Energy, Inc.	STATEWIDE	Statewide	>200KW PV, NY Sun	899,824
				NY-SUN, NY Sun	524,897
	New Leaf Solar LLC	STATEWIDE	Statewide	<200KW PV, PON 2112 NY SUN	5,032
	New York Battery and Energy ..	STATEWIDE	Statewide	ESTOR: Implementation Support, Storage as Tra..	50,000
	New York Building Congress I..	STATEWIDE	Statewide	Prof & Expert Engagement, 2022 NYBC Member..	5,500
	New York Chapter of CoreNet..	STATEWIDE	Statewide	RTEM and Tenants, Tenant outreach and engag..	9,000
	New York Engineers, P.C.	STATEWIDE	Statewide	Technical Services, FT14347 - 350 Madison - FTC	34,784
	New York State Forum for IRM	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, NYS Forum Me..	5,500
	New York State Solar Farm Inc.	STATEWIDE	Statewide	<200KW PV, PON 2112 NY SUN	16,830
	New York University	STATEWIDE	Statewide	Cleantech Incubator, PON3413 Clean Energy Inc..	290,000
				Net Zero Energy for Eco Dev, CNCED NYU - Ru..	2,000,000
	Newmark Partners LP	STATEWIDE	Statewide	Albany Hyatt - Appraisal	6,000
	Newport Ventures, Inc.	STATEWIDE	Statewide	Code to Zero, RFQL 3711 TWO#5	43,576
	NextCorps Inc	STATEWIDE	Statewide	M-Corps, ACT Prototypes to Mass Prod NY	550,000
	Niagara Frontier Transportatio..	STATEWIDE	Statewide	Technical Services, OsEM95-C_Niagara Frontier..	89,000
	NIC Holding Corp	STATEWIDE	Statewide	FUEL NY, NYS Strategic Gasoline Reserve	519,000
	Nine Mile Point Nuclear Statio..	STATEWIDE	Statewide	Energy Storage Tech/Prod Dev, PON4169 Roun..	12,496,120
	Noresco LLC	STATEWIDE	Statewide	Code to Zero, RFQL 3711 TWO# 5	163,779
	Northeast Energy Efficiency Partnerships	STATEWIDE	Statewide	Clean Energy Communities, 2022 NEEP Member..	10,000
				Code to Zero, 2022 NEEP Membership	15,000
				Consumer Ed and Market Support, 2022 NEEP ..	25,000
				NextGen HVAC, 2022 NEEP Membership	30,000
				NYCH: Critical Tools, 2022 NEEP Membership	30,000
				NYSERDA ADMINISTRATION, 2022 NEEP Me..	15,000
				Prof & Expert Engagement, 2022 NEEP Member..	50,000
				Strategic Energy Manager, 2022 NEEP Members..	10,000
				Technical Services, 2022 NEEP Membership	10,000
	Northeast States for Coordinated Air Use	STATEWIDE	Statewide	ENVIRONMENTAL RESEARCH, TWO 1 - LIST..	306,270
				Prof & Expert Engagement, 2022 NESCAUM Me..	75,000

**Projects Selected for Funding by Region**  
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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Statewide	Norton Rose Fulbright US LLP	STATEWIDE	Statewide	NEW YORK GREEN BANK, RFP 12: NYGB Leg..	44,562
	NYC College of Tech.-CUNY	STATEWIDE	Statewide	ENERGY ANALYSIS, Climate Action Council Pu..	6,256
	NYC School Bus Umbrella Se..	STATEWIDE	Statewide	EVPRZ:Community Partner Funds, RFP 4745	50,000
	NYS Economic Development Council	STATEWIDE	Statewide	CI Carbon Challenge, NY Loves Nanotech Silver ..	5,000
				New Construction- Commercial, Channel Partner..	50,000
				Strategic Energy Manager, 2022 Semicon West ..	5,000
	NYSDEC	STATEWIDE	Statewide	WEST VALLEY DEVELOPMENT PROGRAM, W..	450,000
	NYSS LLC	STATEWIDE	Statewide	<200KW PV, NY-Sun	6,640
	Omni Newfane Drake Settlement Solar, LLC	STATEWIDE	Statewide	>200KW PV, NY Sun	1,124,760
				NY-SUN, NY Sun	524,888
	Onboard Data Inc.	STATEWIDE	Statewide	Real Time Enrgy Management, Hack-a-thon	50,000
	One Sun Power Inc.	STATEWIDE	Statewide	>200KW PV, NY Sun	777,504
	ONIX, Inc.	STATEWIDE	Statewide	Real Time Enrgy Management, ONIX Inc. - Multi..	200,000
	OnRout Co.	STATEWIDE	Statewide	OTHER PROGRAM AREA, Dynamic Pricing for ..	250,000
	Orrick Herrington & Sutcliffe L..	STATEWIDE	Statewide	Cleantech Ignition, RFP 12: NYGB Legal Services	43,186
	Ove Arup & Partners Consulti..	STATEWIDE	Statewide	HCR Direct Injection, TWO #7 – HCR Project Sel..	1,000,000
	OYA Lane Road LLC	STATEWIDE	Statewide	>200KW PV, NY Sun	813,540
				NY-SUN, NY Sun	379,652
	Pace University Energy & Climate Center	STATEWIDE	Statewide	Code to Zero, Legal Research Decarbonization	27,178
				NYCH: District, Round 3 Infrastructure Charett	180,000
	Paradise Energy Solutions, LL..	STATEWIDE	Statewide	<200KW PV, PON 2112 NY SUN	11,088
	Passive House Accelerator LLC	STATEWIDE	Statewide	New Construction Housing, Host - BoE Rnd. 3 La..	35,000
				New Construction Housing, Strategic Industry Pa..	40,000
				New Construction- Commercial, Passive House ..	50,000
				New Construction- Commercial, Strategic Industr..	10,000
	Patriot Energy Solutions Corp	STATEWIDE	Statewide	>200KW PV, PON 2112 NY SUN	14,016
	Performance Systems Develo..	STATEWIDE	Statewide	Code to Zero, RFQL 3711 TWO#2	625,837
	Pivotal 180, LLC	STATEWIDE	Statewide	NEW YORK GREEN BANK, 2022 Analyst/Associ..	10,880
				NEW YORK GREEN BANK, NYGB Fund Model ..	65,000
				NEW YORK GREEN BANK, Pivotal180 2022 Int..	7,000
	PlugPV, LLC	STATEWIDE	Statewide	<200KW PV, PON 2112 NY SUN	125,254
	Pomfret II PV, LLC	STATEWIDE	Statewide	>200KW PV, NY Sun	986,332
				NY-SUN, NY Sun	460,289
	Powerhouse Accelerator, LLC	STATEWIDE	Statewide	OTHER PROGRAM AREA, Powerhouse/NYSER..	50,000
	Praveen Amar	STATEWIDE	Statewide	Environmental Research, Science Advisors	45,000
	Protek Information Technolog..	STATEWIDE	Statewide	NYSERDA/DEC AQ Monitoring	50,625
	Provantage, LLC	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Cisco Room Kit ..	13,105
				NYSERDA ADMINISTRATION, Cisco RoomKit P..	20,715
	Public Utility Law Project of N..	STATEWIDE	Statewide	SFY 21-22 PULP Appropriation	1,000,000
	Quanta Technology LLC	STATEWIDE	Statewide	OREC: Technical Support, TWO #1 OSW Trans..	750,000
	Quiver Solutions LLC	STATEWIDE	Statewide	EVPRZ:Implementation, Outreach Support - Priz..	7,000
	Raj Technologies Inc.	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Private Cloud Ho..	1,345,963
	Randstad North America, Inc.	STATEWIDE	Statewide	NEW YORK GREEN BANK, TWO #72 - NYGB_I..	20,280
				Capital Planning, PS TWO #70 - Multifamily Sr.PM	214,695
				NYSERDA ADMINISTRATION, Payroll Services..	218,010
				NYSERDA ADMINISTRATION, PS.067 - Innovati..	5,801
				NYSERDA ADMINISTRATION, TWO #71 - IT_In..	20,280
	Regional Greenhouse Gas Init..	STATEWIDE	Statewide	ENERGY ANALYSIS, RGGI 2022 Funding Agree..	631,704
	Renovus Energy, Inc.	STATEWIDE	Statewide	<200KW PV, NY-Sun	11,340
				<200KW PV, PON 2112 NY SUN	16,112
	Reos US Inc.	STATEWIDE	Statewide	Empire Building Challenge, EBC Cohort2 Onboar..	50,000
	Research Foundation of CUNY	STATEWIDE	Statewide	Environmental Research, PON 4895	339,297
Resource Innovation Institute	STATEWIDE	Statewide	Prof & Expert Engagement, 2022 RII Membership	25,000	
Resource Refocus LLC	STATEWIDE	Statewide	Code to Zero, TWO 2 NYStretch Res CE	17,961	
Resources for the Future Inc	STATEWIDE	Statewide	ENERGY ANALYSIS, TWO #3 Carbon Pricing R..	135,189	
Robert Ettinger PE, PC	STATEWIDE	Statewide	HCR Direct Injection, HCR General Project Supp..	50,000	
Rochester Institute of Technol..	STATEWIDE	Statewide	Cleantech Incubator, PON3413 Clean Energy Inc..	290,000	
Rocky Mountain Institute	STATEWIDE	Statewide	Empire Building Challenge, Empire Bldg. Challen..	17,500	
			NYCH: Empire Build Challenge, Empire Bldg. Ch..	17,500	

**Projects Selected for Funding by Region**  
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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Statewide	S&P Global Market Intelligenc..	STATEWIDE	Statewide	NEW YORK GREEN BANK, S&P CapIQ Pro Sub..	39,000
	SafariNY Corp.	STATEWIDE	Statewide	OJT	15,360
	Sandra Meier	STATEWIDE	Statewide	Environmental Research, Science Advisor	48,000
	SANFILIPPO SOLUTIONS IN..	STATEWIDE	Statewide	NYCH: Talent Ppln:CE and OJT, OJT	6,400
	Schuyler-Steuben-Chemung	STATEWIDE	Statewide	>200KW PV, NY Sun	696,150
	SEA Electric LLC	STATEWIDE	Statewide	CLEAN TRANSPORTATION, NYTVIP Quincy As..	96,040
	SecondMuse LLC	STATEWIDE	Statewide	M-Corps, MCorps Pilot in NYC	550,000
	SHI, Inc.	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Tenable License ..	41,484
	Simply Installs LLC	STATEWIDE	Statewide	NYCH: Talent Ppln:CE and OJT, OJT	11,520
	Sive Paget & Riesel PC	STATEWIDE	Statewide	NEW YORK GREEN BANK, RFP 12: NYGB Leg..	370,836
				REC:CES REC System Dev Costs, TWO #4 - St..	40,000
				RFP 12: NYGB Legal Services	5,934
	SkyFront Corporation	STATEWIDE	Statewide	OTHER PROGRAM AREA, RPAS procurement	40,510
	Skyline Solar Inc.	STATEWIDE	Statewide	<200KW PV, PON 2112 NY SUN	5,280
	Smith Engineering PLLC	STATEWIDE	Statewide	NYCH: District, Brookfield Place	100,000
	Social Enterprise and Training..	STATEWIDE	Statewide	NYCH: Talent Ppln:CE and OJT, Career Pathwa..	550,000
	Sol Developments, LLC	STATEWIDE	Statewide	HCR Direct Injection, HCR General Project Supp..	50,000
	Solar Liberty Energy Systems, Inc	STATEWIDE	Statewide	<200KW PV, NY-Sun	35,200
				<200KW PV, PON 2112 NY SUN	70,936
	SolarCommunities Inc.	STATEWIDE	Statewide	<200KW PV, NY-Sun	9,048
				<200KW PV, PON 2112 NY SUN	5,120
	Solitude Solar LLC	STATEWIDE	Statewide	>200KW PV, NY Sun	1,122,660
	SSC Kirkland LLC	STATEWIDE	Statewide	>200KW PV, NY Sun	1,274,574
				NY-SUN, NY Sun	524,825
	Stantec Consulting Services, I..	STATEWIDE	Statewide	WEST VALLEY DEVELOPMENT PROGRAM, W..	35,142
	Steven Winter Associates, Inc.	STATEWIDE	Statewide	Code to Zero, NYStretch 2023 Working Group	29,216
	Strada Collaborative, Inc.	STATEWIDE	Statewide	K-12 SCHOOLS, Roadtrip Nation	750,000
				NYCH: Talent Ppln:CE and OJT, Roadtrip Nation	227,000
				Talent Pipeline:CE and OJT, Roadtrip Nation	20,000
	Sun Source Technologies	STATEWIDE	Statewide	<200KW PV, PON 2112 NY SUN	5,320
	SuNation Solar Systems, Inc.	STATEWIDE	Statewide	ENERGY STORAGE, PON 2112 NY SUN	12,500
	Sunkeeper Solar LLC	STATEWIDE	Statewide	>200KW PV, PON 2112 NY SUN	54,180
	SunPower Capital, LLC	STATEWIDE	Statewide	<200KW PV, PON 2112 NY SUN	64,772
	SunRun, Inc	STATEWIDE	Statewide	<200KW PV, PON 2112 NY SUN	58,732
	Surf Clean Energy Inc	STATEWIDE	Statewide	COMMUNITY SOLAR, NY-Sun	7,132
				COMMUNITY SOLAR, PON 2112 NY SUN	12,480
				ENERGY STORAGE, NY-Sun	9,600
	Sustainable Comfort, Inc	STATEWIDE	Statewide	Direct Injection Program, HCR General Project S..	10,000
				HCR Direct Injection, HCR General Project Supp..	40,000
	Sustainable Energy Advantag..	STATEWIDE	Statewide	REC:CES REC System Dev Costs, TWO 1 - NY..	44,978
	Sustainable Energy Developm..	STATEWIDE	Statewide	<200KW PV, PON 2112 NY SUN	32,644
	Sustainable Westchester	STATEWIDE	Statewide	NYCH: Communities, CH&C Communities Roun..	100,000
	Syracuse University	STATEWIDE	Statewide	Environmental Research, Fish Mercury Analysis	49,999
	Taitem Engineering, P.C.	STATEWIDE	Statewide	Direct Injection Program, HCR General Project S..	10,000
				Direct Injection Program, HCR Minibid TWO #1B ..	22,500
				Direct Injection Program, Multifamily	146,000
				HCR Direct Injection, HCR General Project Supp..	40,000
				HCR Direct Injection, HCR Minibid TWO #1B Tail..	52,500
				Low Carbon Tech Demos, Multifamily	100,000
				Multifam Performance Pgm, 3695 TWO Umbrella..	125,000
			NYCH: District, Ithaca Southside	99,984	
			NYCH: District, Urban Village	112,352	
			Retrofit NY, Multifamily	100,000	
Talisen Technologies, Inc	STATEWIDE	Statewide	RTEM and Tenants, Energy Mangt Data_Tech S..	600,000	
Target Corporation	STATEWIDE	Statewide	>200KW PV, NY Sun	1,275,000	
Tarrytown Partners LLC	STATEWIDE	Statewide	Environmental Research, State of the Science 20..	14,000	
Taylor Group LTD	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Production of dis..	2,429	
			OTHER PROGRAM AREA, Production of displays	2,917	
Tech Valley Talent, LLC	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, TWO # 24 Serve..	185,250	

**Projects Selected for Funding by Region**  
**Period 4/1/2022 through 9/30/2022**

REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Statewide	Tech Valley Talent, LLC	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, TWO #14 Salesf..	218,400
	Technology Professionals Gro..	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, TWO #1 Salesfor..	224,250
	Tenley Consulting, LLC	STATEWIDE	Statewide	REC:CES REC System Dev Costs, Electric Price..	48,000
	Tetra Tech Engineers, Archite..	STATEWIDE	Statewide	HCR Direct Injection, HCR General Project Supp..	50,000
	The Cadmus Group, LLC	STATEWIDE	Statewide	Statewide EE&BE PotentialStudy, TWO 12 StWi..	100,000
				Workforce Industry Partnership, Outreach & Edu..	599,987
	The Coalition for Green Capital	STATEWIDE	Statewide	Prof & Expert Engagement, '22 American GB Co..	10,000
	The Plant Powerhouse LLC	STATEWIDE	Statewide	Net Zero Energy for Eco Dev, New Construction ..	2,000,000
	The Research Foundation for ..	STATEWIDE	Statewide	Environmental Research, Mobile Lab Measurem..	308,211
	The Research Foundation of ..	STATEWIDE	Statewide	Cleantech Incubator, Clean Energy Incubator	290,000
	The Top Gun Group, LLC	STATEWIDE	Statewide	NYCH: Talent Ppln:CE and OJT, OJT	10,560
	The Trustees of Columbia University	STATEWIDE	Statewide	Environmental Research, Attribution of anthro me..	494,450
				NYCH: Industry Partnerships, CJF Support RFP ..	400,000
				Talent Pipeline:CE and OJT, CJF Support RFP 4..	400,000
	Thermal Associates, LLC	STATEWIDE	Statewide	NYCH: Talent Ppln:CE and OJT, OJT	13,440
	ThunderCat Technology LLC	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Atlassian Licens..	44,064
	Timothy Marlett	STATEWIDE	Statewide	NYCH: Talent Ppln:CE and OJT, OJT	5,440
				Talent Pipeline:CE and OJT, OJT	5,440
	Titanium Linx Consulting, Inc	STATEWIDE	Statewide	OREC: Technical Support, LSR and OSW Labor ..	266,000
	TJA-NY-1806 Perth Rd Galway, LLC	STATEWIDE	Statewide	>200KW PV, NY Sun	763,558
				NY-SUN, NY Sun	314,407
	TJA-NY-Chestnut Ridge Rd Moravia, LLC	STATEWIDE	Statewide	>200KW PV, NY Sun	768,384
				NY-SUN, NY Sun	358,579
	TJA-NY-Dix Solar Farm, LLC	STATEWIDE	Statewide	>200KW PV, NY Sun	889,766
				NY-SUN, NY Sun	366,375
	Tompkins Seneca Tioga BOC..	STATEWIDE	Statewide	NYCH: Talent Ppln:CE and OJT, Career Pathwa..	72,927
	Town of Clarkstown	STATEWIDE	Statewide	Clean Energy Communities, CEC510671- Town ..	30,000
	Town of Cortlandt	STATEWIDE	Statewide	Clean Energy Communities, CEC510632-Twn of ..	73,600
	Town of Dryden	STATEWIDE	Statewide	Clean Energy Communities, CEC001238- Town ..	6,600
	Town of Greenburgh	STATEWIDE	Statewide	Clean Energy Communities, CEC510649-Twn of ..	15,000
	Town of Mamaroneck	STATEWIDE	Statewide	Clean Energy Communities, CEC LR - Mamaron..	10,000
				Clean Energy Communities, CEC500645-Twn of ..	20,000
	Town of Rye	STATEWIDE	Statewide	Clean Energy Communities, CEC510695-Twn of ..	15,000
	Trane	STATEWIDE	Statewide	K-12 SCHOOLS, CGSI-2_E - Hancock CSD – FT..	33,186
	Transect Inc.	STATEWIDE	Statewide	BR: Program Implementation, Transect Subscript..	24,000
	TRC Energy Services	STATEWIDE	Statewide	Low Carbon Tech Demos, Program Tool Service..	25,000
				Multifam Performance Pgm, Program Tool Servic..	25,000
	TRC Engineers, Inc.	STATEWIDE	Statewide	BR: Design, BR Benson Mines Engineering	61,550
				Empire Building Challenge, TRC TWO Mini bid 4..	221,186
				EVALUATION, TRC TWO Mini bid 4982 EBC	61,017
				NYCH: Empire Build Challenge, TRC TWO Mini ..	221,186
				NYCH: Innovation, NextGen HVAC Innovation	513,500
				NYCH: Supply Chain, Experience Clean Heat Ca..	1,400,000
				NYCH: Supply Chain, Upstream Partners Initiative	5,000
				Real Time Enrgy Management, TRC TWO Mini b..	274,577
				RTEM and Tenants, TRC TWO Mini bid 4982 EBC	122,034
	Treau, Inc.	STATEWIDE	Statewide	NextGen HVAC, Window Heat Pump	715,742
	Trinity Solar Inc	STATEWIDE	Statewide	<200KW PV, PON 2112 NY SUN	17,781
	True Energy Solutions	STATEWIDE	Statewide	NYCH: Talent Ppln:CE and OJT, OJT	8,160
	U.S. Geological Survey (Troy).	STATEWIDE	Statewide	Environmental Research, Co-chair ETWG Climat..	25,000
	Ulster, County of	STATEWIDE	Statewide	Clean Energy Communities, CEC510646-Ulster ..	15,000
	Unique Electric Solutions of N..	STATEWIDE	Statewide	CLEAN TRANSPORTATION, NYTVIP - Boro Tra..	500,000
	University of North Carolina at..	STATEWIDE	Statewide	Environmental Research, AQHE PON 3921	150,000
	University of Rochester	STATEWIDE	Statewide	Environmental Research, Methane Measurements	499,818
				OTHER PROGRAM AREA, Annual Support for L..	1,000,000
	Upstate Capital Association of..	STATEWIDE	Statewide	OTHER PROGRAM AREA, Upstate Capital Spo..	50,000
	Upstate Venture Connect	STATEWIDE	Statewide	OTHER PROGRAM AREA, Upstate Venture Spo..	50,000
	Vermont Energy Investment Corporation	STATEWIDE	Statewide	NYCH: Critical Tools, Value Prop Calc Improvem..	10,000
				NYCH: LMI, TWO #1 LMI Electrification	300,000



**Projects Selected for Funding by Region**  
 Period 4/1/2022 through 9/30/2022

REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount	
Statewide	VHB Engineering, Surveying a..	STATEWIDE	Statewide	OREC: Technical Support, RFQL 3685 TWO #1	48,320	
	Village of Athens	STATEWIDE	Statewide	NYCH: Communities, CEC400117-Village of Ath..	10,000	
	Village of Croton-on-Hudson	STATEWIDE	Statewide	Clean Energy Communities, CEC500633-VI Crot..	90,000	
				NYCH: Communities, CEC500633-VI of Croton-o..	10,000	
	Village of Dobbs Ferry	STATEWIDE	Statewide	Clean Energy Communities, CEC500642-Vllg of ..	100,000	
	Village of Hastings on Hudson	STATEWIDE	Statewide	NYCH: Communities, CEC500712-VI. Hastings o..	100,000	
	Village of Irvington	STATEWIDE	Statewide	Clean Energy Communities, CEC500660-Vllg of I..	20,000	
	Village of Montour Falls	STATEWIDE	Statewide	Clean Energy Communities, CEC001316-Vlg of ..	40,000	
	Village of Ossining	STATEWIDE	Statewide	Clean Energy Communities, CEC500643-Vllg of ..	10,000	
	Village of Saranac Lake	STATEWIDE	Statewide	Clean Energy Communities, CEC701022-Vill of S..	10,000	
	Vistar Energy Inc.	STATEWIDE	Statewide	NYCH: Technical Assistance, PON 4423	199,930	
	Volunteers Improving Neighb..	STATEWIDE	Statewide	Net Zero Energy for Eco Dev, Net Zero Economi..	400,000	
	Wadsworth Energy LLC	STATEWIDE	Statewide	Rmve Barriers Dist Enrgy Storg, TWO #2 MDIW..	50,000	
	Walrath Recruiting, Inc.	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, TS.035 - Financi..	380,250	
	West Publishing Corporation	STATEWIDE	Statewide	NEW YORK GREEN BANK, Westlaw Core Plan ..	9,460	
	Women of Renewable Industri..	STATEWIDE	Statewide	Prof & Expert Engagement, 2022 WRISE Membe..	5,000	
	Wood Mackenzie Power & Renewables, Inc.	STATEWIDE	Statewide	OREC: Technical Support, N America Power 202..	29,700	
				REC:CES REC System Dev Costs, N America P..	29,700	
	Worley Group, Inc.	STATEWIDE	Statewide	OREC: Technical Support, TWO#1 Advisian GL ..	33,920	
				REC:CES REC System Dev Costs, Determinatio..	140,000	
	WSP USA Corp.	STATEWIDE	Statewide	Electric Vehicles - Innovation, TWO 5 NYS ZEV ..	499,865	
				Environmental Research, ENV & Fisheries Rsrch..	22,149	
				OREC: Technical Support, TWO 3 Agreement 15..	50,000	
				OREC: Technical Support, TWO#1- Offshore Wi..	511,700	
	Zerodraft Residential Inc.	STATEWIDE	Statewide	NYCH: Talent Ppln:CE and OJT, OJT	36,480	
	Western New York	Agarabi Engineering, PLLC	Erie	National Grid	Talent Pipeline:CE and OJT, CJF PON 4772 Rou..	40,000
Amherst Community Solar LLC		Erie	National Grid	NY-SUN, NY-Sun - ICSA	656,464	
Belmont Housing Resources f..		Erie	National Grid	New Construction Housing, NCP Housing	320,000	
Bergmann Associates, Architects,		Chautauqua	National Grid	OTHER PROGRAM AREA, Dunkirk JT Planning ..	140,000	
		Niagara	National Grid	Technical Services, GH 2 - Wheatfield Gardens	6,500	
Bryant Orange LLC		Erie	National Grid	Multifam Performance Pgm, Multifamily	22,400	
Buffalo Solar Solutions Inc		Allegany	Rochester Gas and Electric	<200KW PV, PON 2112 NY SUN	12,500	
			Cattaraugus	NYS Electric and Gas	<200KW PV, NY-Sun	7,225
		Chautauqua	National Grid	<200KW PV, PON 2112 NY SUN	8,064	
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	7,680	
		Erie	National Grid	<200KW PV, PON 2112 NY SUN	10,584	
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	313,710	
Niagara		National Grid	<200KW PV, PON 2112 NY SUN	43,225		
		National Grid	<200KW PV, PON 2112 NY SUN	38,140		
C.J. Brown Energy, P.C.		Niagara	National Grid	Technical Services, FT14035 - 261 Portage - FTC	8,145	
				Technical Services, FT14078 - 701 Whirlpool - F..	7,550	
C&R Housing Inc.		Erie	National Grid	OJT	12,240	
				Talent Pipeline:CE and OJT, OJT	22,560	
Cascades Containerboard Pa..		Niagara	National Grid	CI Carbon Challenge, C&I Carbon Challenge	2,140,825	
CIR ELECTRICAL CONSTRUCTION CORP.		Cattaraugus	National Grid	<200KW PV, PON 2112 NY SUN	19,680	
				Chautauqua	National Grid	<200KW PV, PON 2112 NY SUN
		Erie	National Grid	<200KW PV, PON 2112 NY SUN	87,403	
				NYS Electric and Gas	<200KW PV, NY-Sun	10,800
				<200KW PV, PON 2112 NY SUN	93,698	
		Niagara	National Grid	<200KW PV, PON 2112 NY SUN	43,856	
Statewide			<200KW PV, PON 2112 NY SUN	6,290		
City of Dunkirk	Chautauqua	National Grid	Code to Zero, PON4600 City of DunkirkDAC	125,000		
CleanFiber LLC	Erie	National Grid	OJT	34,640		
			Talent Pipeline:CE and OJT, OJT	11,280		
CVE US EI3 Wheatfield, LLC	Niagara	National Grid	>200KW PV, NY Sun	961,411		
			NY-SUN, NY Sun	395,876		
Day Automation Systems, Inc.	Allegany	Rochester Gas and Electric	K-12 SCHOOLS, P12GC-75E - Genesee CSD - ..	22,598		
Delaware River Solar, LLC	Allegany	NYS Electric and Gas	>200KW PV, NY Sun	1,194,814		
			NY-SUN, NY Sun	491,983		

**Projects Selected for Funding by Region**  
**Period 4/1/2022 through 9/30/2022**

REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Western New York	Delaware River Solar, LLC	Chautauqua	NYS Electric and Gas	>200KW PV, NY Sun	529,958
				NY-SUN, NY Sun	218,218
	DePaul Properties, Inc.	Niagara	National Grid	New Construction Housing, NCP Housing	288,000
	DG New York CS, LLC	Niagara	National Grid	>200KW PV, NY Sun	1,274,442
				NY-SUN, NY-Sun ESFA	674,705
	Dimension Energy LLC	Chautauqua	National Grid	>200KW PV, NY Sun	1,870,680
	Dollaride, Inc.	Erie	National Grid	Talent Pipeline:CE and OJT, CJF PON 4772 R2	80,000
	Ecovis Group Inc	Erie	National Grid	<200KW PV, PON 2112 NY SUN	261,660
	Ecovis, Inc.	Allegany	Rochester Gas and Electric	<200KW PV, PON 2112 NY SUN	6,400
	Eden Solar, LLC	Erie	National Grid	>200KW PV, NY Sun	890,188
				NY-SUN, NY-Sun ESFA	471,276
	Elk Street Solar LLC	Erie	National Grid	NY-SUN, NY-Sun ESFA	187,236
	Fred Water LLC	Chautauqua	National Grid	Multifam Performance Pgm, Multifamily	19,600
	Go Solar, LLC	Niagara	National Grid	<200KW PV, PON 2112 NY SUN	13,296
				NYS Electric and Gas	<200KW PV, PON 2112 NY SUN
	Houghton College	Allegany	Rochester Gas and Electric	NYCH: District, PON 4614 Houghton College	83,873
	Hunter Buffalo Peterbilt	Niagara	National Grid	CLEAN TRANSPORTATION, NYTVIP - Modern ..	368,573
	Jordan Energy and Food Ente..	Niagara	National Grid	<200KW PV, PON 2112 NY SUN	11,008
	JR & SONS EXCAVATING IN..	Cattaraugus	National Grid	WEST VALLEY DEVELOPMENT PROGRAM, O..	304,142
	Kilmer Solar LLC	Niagara	National Grid	>200KW PV, NY Sun	1,105,731
				New Construction- Commercial, Commercial Ne..	85,190
	M/E Engineering, P.C.	Erie	National Grid	K-12 SCHOOLS, P12GC-64E - Williamsville -FTC	100,553
				New Construction- Commercial, Commercial Ne..	85,190
	Martin NY CSG LLC	Chautauqua	National Grid	>200KW PV, NY Sun	1,012,500
				NY-SUN, NY Sun	472,500
	McCarley Gardens LLC	Erie	National Grid	New Construction Housing, NCP Housing - SF37..	60,000
	McCormick NY CSG LLC	Allegany	National Grid	>200KW PV, NY Sun	1,217,267
				NY-SUN, NY Sun	501,229
	McMahon and Mann Consulti..	Cattaraugus	National Grid	WEST VALLEY DEVELOPMENT PROGRAM, T..	173,645
	MJW Technical Services, Inc.	Cattaraugus	National Grid	WEST VALLEY DEVELOPMENT PROGRAM, R..	200,000
	New Leaf Energy, Inc.	Niagara	National Grid	>200KW PV, NY Sun	1,120,365
				NY-SUN, NY Sun	522,837
	Norstar Development USA, LP	Erie	National Grid	Multifam Performance Pgm, Multifamily	196,700
				New Construction Housing, NCP Housing	126,000
				Single Family New Construction, NCP Housing	28,000
	NT Port I, LLC	Niagara	National Grid	Multifam Performance Pgm, Multifamily	9,800
				NYCH: LMI, Clean Heating & Cooling	40,600
	Omni Burt A Solar, LLC	Niagara	National Grid	>200KW PV, NY Sun	1,124,760
				NY-SUN, NY Sun	524,888
	Omni Burt B Solar, LLC	Niagara	National Grid	>200KW PV, NY Sun	1,124,760
				NY-SUN, NY Sun	524,888
	Omni Burt D Solar, LLC	Niagara	National Grid	>200KW PV, NY Sun	1,124,760
				NY-SUN, NY Sun	524,888
	Omni Dewittville Solar, LLC	Chautauqua	National Grid	>200KW PV, NY Sun	1,274,727
				NY-SUN, NY Sun	524,889
	Omni French Creek Solar, LLC	Chautauqua	National Grid	>200KW PV, NY Sun	742,560
				NY-SUN, NY Sun	346,528
Orange EV LLC	Erie	NYS Electric and Gas	CLEAN TRANSPORTATION, NYTVIP - Sonwil L..	140,542	
OYA Chenunda Creek,LLC	Allegany	National Grid	>200KW PV, NY Sun	627,900	
			NY-SUN, NY Sun	293,020	
Pivot Solar NY 3 LLC	Cattaraugus	National Grid	>200KW PV, NY Sun	510,775	
Rak 1 Solar LLC	Chautauqua	National Grid	NY-SUN, NY-Sun - ICSA	1,039,738	
Rak 2 Solar LLC	Chautauqua	National Grid	NY-SUN, NY-Sun - ICSA	728,006	
ReneSola Power Holdings, LLC	Allegany	National Grid	NY-SUN, NY-Sun ESFA	119,520	
Ripley PV LLC	Chautauqua	NYS Electric and Gas	>200KW PV, NY Sun	948,012	
			NY-SUN, NY Sun	442,406	
SANFILIPPO SOLUTIONS INC.	Chautauqua	National Grid	Talent Pipeline:CE and OJT, OJT	5,760	
			Talent Pipeline:CE and OJT, OJT Allyson Banko..	5,760	
Schofield Solar LLC	Chautauqua	National Grid	>200KW PV, NY Sun	975,645	
			NY-SUN, NY Sun	455,301	

## Projects Selected for Funding by Region

Period 4/1/2022 through 9/30/2022

REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Western New York	Scinta Solar LLC	Chautauqua	National Grid	>200KW PV, NY Sun	1,097,147
				NY-SUN, NY Sun	451,767
	Seaboard Solar Holdings LLC	Chautauqua	National Grid	>200KW PV, NY Sun	1,912,403
				NY-SUN, NY Sun	892,456
	Shared Mobility, Inc.	Erie	National Grid	Talent Pipeline:CE and OJT, CJF PON 4772 Rou..	40,000
	Sigora Solar	Chautauqua	National Grid	<200KW PV, PON 2112 NY SUN	8,200
		Niagara	National Grid	<200KW PV, PON 2112 NY SUN	645
	SL Fredonia, LLC	Chautauqua	National Grid	>200KW PV, NY Sun	940,032
				NY-SUN, NY Sun	438,682
	SL Portland Community, LLC	Chautauqua	National Grid	>200KW PV, NY Sun	1,628,640
				NY-SUN, NY Sun	760,032
	SL Sherman LLC	Chautauqua	National Grid	>200KW PV, NY Sun	967,980
				NY-SUN, NY Sun	451,724
	SL Shermn II, LLC	Chautauqua	National Grid	>200KW PV, NY Sun	978,120
				NY-SUN, NY Sun	456,456
				<200KW PV, PON 2112 NY SUN	189
				<200KW PV, PON 2112 NY SUN	44,520
	Solar Liberty Energy Systems, Inc	Allegany	National Grid	<200KW PV, PON 2112 NY SUN	189
		Cattaraugus	National Grid	<200KW PV, PON 2112 NY SUN	44,520
		Chautauqua	National Grid	<200KW PV, PON 2112 NY SUN	15,640
		Erie	National Grid	<200KW PV, PON 2112 NY SUN	33,600
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	23,636
	Niagara	National Grid	<200KW PV, NY-Sun	8,352	
		NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	9,920	
	SOLSTICE INITIATIVE, INC.	Erie	National Grid	NY-SUN, Community Solar in Buffalo	200,000
	Steelfields Solar 2, LLC	Erie	National Grid	>200KW PV, NY Sun	2,067,200
				NY-SUN, NY Sun	452,200
	Steelfields Solar, LLC	Erie	National Grid	>200KW PV, NY Sun	2,054,080
				NY-SUN, NY Sun	449,330
	Sustainable Comfort, Inc	Erie	National Grid	New Construction- Commercial, Commercial Ne..	5,000
	Tadcon Electric LLC	Erie	National Grid	>200KW PV, NY Sun	1,243,522
				NY-SUN, NY Sun	512,039
	TAP, Inc.	Erie	National Grid	Talent Pipeline:CE and OJT, CJF PON 4772 (R2)	40,000
	Tesla Energy Operations Inc	Erie	National Grid	<200KW PV, PON 2112 NY SUN	19,425
	Tesla, Inc.	Erie	National Grid	Technical Services, FT14235 - 1339 South Park -..	26,250
	The Research Foundation for ..	Erie	National Grid	Talent Pipeline:CE and OJT, PON3981 Round 12	323,156
	TM Montante Solar Developments, LLC	Erie	National Grid	<200KW PV, NY-Sun	75,264
				>200KW PV, NY Sun	734,400
		Niagara	National Grid	>200KW PV, NY Sun	607,500
	Wendel Energy Services, LLC	Chautauqua	National Grid	Technical Services, FT14383 - Fredonia WWTP- ..	15,000
		Erie	National Grid	Technical Services, FT14337- Buffalo Sewer -FTC	25,000
	West Harlem Environmental A..	Erie	National Grid	Talent Pipeline:CE and OJT, CJF PON 4772 R2	40,000
	Wildcat Renewables, LLC	Niagara	NYS Electric and Gas	>200KW PV, NY Sun	1,785,326
				NY-SUN, NY Sun	735,135
	Woodland Orange, LLC	Niagara	NYS Electric and Gas	Multifam Performance Pgm, Multifamily	39,200
				NYCH: LMI, Clean Heating & Cooling	224,000
	<b>Grand Total</b>				

**Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation**  
**Period 4/1/2022 through 9/30/2022**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>3 BP REIT</b>	Technical Services, OsEM71-C - Ivanhoe Cambridge	58,830
<b>3rd ROC Solar LLC</b>	<200KW PV, PON 2112 NY SUN	336,264
<b>6-Nines Inc.</b>	NY-SUN, PON 3414 - Nicky's Garden	20,000
<b>22nd Century Technologies, Inc.</b>	Home Perf w Energy Star, TWO #1 Single Family Res. BA -	73,399
<b>25-74 33rd Street Owner, LLC</b>	Multifam Performance Pgm, Multifamily	12,000
<b>45 Park Ave Condominium</b>	NYCH: Technical Assistance, FT13718 - 45 Park - PON	10,800
<b>63 Madison Owners LLC</b>	NYCH: Technical Assistance, FT13966 - 63 Madison - PON	13,804
<b>106 Fort Washington Owner, LLC</b>	Multifam Performance Pgm, Multifamily	13,800
<b>137 E 36 ST CORP</b>	NYCH: Technical Assistance, FT13689 - 137 E 36th - PON	17,500
<b>174 Power Global NorthEast, LLC</b>	>200KW PV, PON 2112 NY SUN	295,800
<b>200 Madison Owner LLC</b>	NYCH: Technical Assistance, FT13967 - 200 Madison - PON	18,148
<b>211 Sea Foam Properties LLC</b>	Buildings of Excellence, Buildings of Excellence R1	200,000
<b>213 Bennett Avenue Owner LLC</b>	Multifam Performance Pgm, Multifamily	14,400
<b>275 Nelson Apartments LLC</b>	Multifam Performance Pgm, Multifamily	51,200
<b>299 3rd Development LLC</b>	New Construction Housing, NCP Housing	45,600
<b>300 W 108 Owners Corp</b>	NYCH: Technical Assistance, FT13357 - 300 W 108th - PON	12,790
<b>498 Seventh LLC</b>	NYCH: Technical Assistance, FT13866 - 498 7th - PON	18,148
<b>650 Fifth Avenue Company</b>	K-12 SCHOOLS, P12GC-74E - Razi School - PON	11,145
<b>680 St. Nicholas Owner LLC</b>	Multifam Performance Pgm, Multifamily	5,600
<b>745 Broadway Albany, LLC</b>	New Construction Housing, NCP Housing 2022	82,400
<b>770 Electric Corp.</b>	<200KW PV, NY-Sun	35,688
	>200KW PV, NY-Sun	12,872
	>200KW PV, PON 2112 NY SUN	53,988
<b>1625 Rockaway Parkway Owner, LLC</b>	Multifam Performance Pgm, Multifamily	30,200
<b>1639 Rt 29 Solar 1, LLC</b>	>200KW PV, NY Sun	290,615
<b>1639 RT 29 Solar 2, LLC</b>	>200KW PV, NY Sun	186,022
<b>2018 Vento XVIII LLC</b>	REC:CES REC Contracts, 9th RPS Main Tier Solicitation	2,351,632
<b>2645 Union Street Solar, LLC</b>	>200KW PV, NY-Sun C&I	389,775
<b>2648 Union Street Solar, LLC</b>	>200KW PV, NY-Sun C&I	172,786
<b>2675 Union Street Solar, LLC</b>	>200KW PV, NY-Sun C&I	433,557
<b>4455 Genesee St. LLC</b>	On-Site Energy Manager, OsEM54-I Calspan Corporation	20,354
<b>A. Kornegay Senior Houses HDFC</b>	Multifam Performance Pgm, Multifamily	17,800
<b>AASPEN HVAC</b>	NYCH: Talent Ppln:CE and OJT, OJT	9,260
	Talent Pipeline:CE and OJT, OJT	4,735
<b>Abt Associates Inc.</b>	ENERGY ANALYSIS, TWO #3 Pathways Health Phase 2	18,583
	ENERGY ANALYSIS, TWO#1 Pathways Health	61,413
	ENVIRONMENTAL RESEARCH, TWO #3 Pathways Health Phase 2	18,583
<b>Abundant Solar Power Sk1 LLC</b>	>200KW PV, NYSun CI Full/Payee assignment	126,144
<b>Abyssinian Towers</b>	Multifam Performance Pgm, Multifamily	19,593
<b>Accion Group, LLC</b>	REC:CES REC System Dev Costs, RFP 4146 LSR Support	16,100
<b>Accord Power, Inc.</b>	<200KW PV, NY-Sun	12,840
	>200KW PV, PON 2112 NY SUN	112,602
<b>Activate Global, Inc</b>	Carbontech Development, Carbontech Fellowship Program	625,000
<b>Active Solar Development, LLC</b>	<200KW PV, PON 2112 NY SUN	453,600
<b>Adam C. Boese</b>	NYCH: Technical Assistance, FT13603 - 299 Broadway - FTC	14,236
	Technical Services, AEAP1383 - Citiva Medical LLC	6,000
	Technical Services, FT13047 - 400 8th Ave - FTC	7,984
	Technical Services, FT13208 - 3400 Cannon - FTC	7,800

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Adirondack Farms LLC</b>	ANAEROBIC DIGESTER, RPS ADG - Adirondack	96,921
<b>Adirondack Lakes Survey Corporation</b>	Environmental Research, RFP 3702 Stream Sampling	46,608
<b>Adirondack North Country Association</b>	CLEANER GREENER COMMUNITIES, CGC54038 - ANCA	88,781
<b>ADK Solar</b>	<200KW PV, PON 2112 NY SUN	11,070
<b>Advanced Radiant Design, Inc.</b>	NYCH: Talent Ppln:CE and OJT, OJT	10,240
<b>AECOM USA INC.</b>	NYCH: Technical Assistance, FT13644 - Worldwide Plaza -FTC	43,034
	NYCH: Technical Assistance, FT13858 - 215 E. 73rd - FTC	16,524
<b>Aegis Energy Services Inc.</b>	Combined Heat and Power, CHPA - 211 Central Park West	47,520
	Combined Heat and Power, CHPA - 300 Central Park West B	37,933
	Combined Heat and Power, CHPA - Edenwald YMCA	36,414
	Combined Heat and Power, CHPA-Kenmore Hall	72,368
	Combined Heat and Power, CHPA-Valley View Center for Nu	88,056
<b>AES DE RS VI, LLC</b>	>200KW PV, NY-Sun C&I	322,100
<b>AES DE RS VIII, LLC</b>	>200KW PV, NY-Sun	214,850
	>200KW PV, NY-Sun C&I	355,968
<b>AES DE RS X, LLC</b>	>200KW PV, NY Sun	401,456
	>200KW PV, NY-Sun C&I	340,582
	Solar Plus Energy Storage, NY Sun	2,184,000
<b>AES DE RS XI, LLC.</b>	>200KW PV, NY-Sun C&I	220,076
<b>AES Distributed Energy, Inc.</b>	>200KW PV, NY Sun	1,069,057
	>200KW PV, NY-Sun C&I	1,260,793
<b>Affordable Housing Partnership</b>	CLEANER GREENER COMMUNITIES, CEEP Capital Region (AHP)	33,835
	CLEANER GREENER COMMUNITIES, CGC54941 - AHP	92,584
	OTHER PROGRAM AREA, CEEP Capital Region (AHP)	29,027
<b>Agarabi Engineering, PLLC</b>	OJT	9,912
	Talent Pipeline:CE and OJT, OJT	1,920
<b>AGreatE Inc</b>	76 West, 76West for AgreatE Inc	250,000
<b>Aircuity, Inc.</b>	Real Time Enrgy Management, Aircuity-85 Murray Hill-RTEM	19,031
<b>AKF-engineers</b>	NYCH: Technical Assistance, FT13460 - 1221 AoA - FTC	4,988
	NYCH: Technical Assistance, FT13687 - 1411 Broadway - FTC	-33,000
	NYCH: Technical Assistance, FT13934 - 3 Bryant - FTC	-33,000
	Rmve Barriers Dist Enrgy Storg, FT12241-TishmanSpe-200Park-FTC	9,720
	Technical Services, FT13608-Blythdale Hospital-FTC	8,507
	Technical Services, FT13687 - 1411 Broadway - FTC	44,000
	Technical Services, FT13934 - 3 Bryant - FTC	44,000
<b>Akimeka, LLC</b>	Electric Vehicles - Innovation, Used EV Sales Demo	29,411
	EVPRZ:Implementation, Clean Transportation	115,024
	OTHER PROGRAM AREA, Hydrogen economic development	106,000
<b>Albany Housing Authority</b>	Multifam Performance Pgm, Multifamily	17,600
	NYCH: LMI, Clean Heating & Cooling	0
<b>Albany Solar Solutions L.L.C.</b>	<200KW PV, PON 2112 NY SUN	26,713
	OJT	7,680
<b>Albany, City of,</b>	Talent Pipeline:CE and OJT, Climate Justice Fellow PON4772	21,273
<b>Albireo Energy, LLC</b>	Real Time Enrgy Management, Albireo - 5 Penn Plaza - RTEM	5,886
	Real Time Enrgy Management, Albireo-237 Park-RTEM	1,800
	Real Time Enrgy Management, Albireo-350 Madison-RTEM	31,048
	Real Time Enrgy Management, Albireo-425 E 58th-RTEM	121
	Real Time Enrgy Management, Albireo-Multisite-RTEM	15,938

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Albireo Energy, LLC</b>	Real Time Enrgy Management, Cushman/Wakefield-RTEM	6,008
	Real Time Enrgy Management, RXR Realty-340Madison Ave-RTEM	10,404
<b>All HVAC Service Co. Inc</b>	NYCH: Talent Ppln:CE and OJT, OJT	6,000
<b>All-State Air Control Sales &amp; Service In</b>	NYCH: Talent Ppln:CE and OJT, OJT	12,840
<b>Allegis Group Holdings Inc</b>	ENERGY ANALYSIS, SA.020_TWO #5_EEA Coordinator	15,515
	ENERGY ANALYSIS, Staff Augmentation Services	20,048
	NYCH: District, SA.005_TWO #2_CHC_PM	70,442
	NYCH: Supply Chain, SA.054_TWO #9 - SFR PM	69,280
<b>Allen Power, Inc.</b>	<200KW PV, PON 2112 NY SUN	55,420
<b>Alliance for Sustainable Energy, LLC</b>	ENERGY ANALYSIS, TWO 1 - 100% Carbon-free Power	10,852
	ENERGY ANALYSIS, TWO #7 T&D Tool Dev Co-Optimiz	27,512
	Energy Storage Tech/Prod Dev, TWO 6 NYS Hydro Strategy Study	303,227
	High Performing Grid, TWO #7 T&D Tool Dev Co-Optimiz	160,174
	High Performing Grid, TWO #8 NREL TWO for Resilience	168,107
<b>Altanova LLC</b>	Commercial New Construc, Commercial New Construction	4,605
	Commercial Real Estate Ten, Altanova-151 W 42ndFI26-28-CTP	14,992
	NYCH: Technical Assistance, FT13306 - 430 W 50th - FTC	-32,068
	REV Campus Challenge, FT13306 - 430 W 50th - FTC	0
	Technical Services, FT13306 - 430 W 50th - FTC	39,688
	Technical Services, FT13955 - 227 E 30th - FTC	1,271
	Technical Services, FT14200 - 1775 Grand Con - FTC	19,736
	Technical Services, FT14201 - 375 Pearl - FTC	16,870
<b>Alternative Power Solutions of NY, LLC</b>	<200KW PV, PON 2112 NY SUN	85,731
	NYCH: Talent Ppln:CE and OJT, OJT	2,992
<b>AltPOWER, Inc.</b>	<200KW PV, NY-Sun	22,176
	>200KW PV, NY-Sun	5,544
<b>AMERESCO, Inc.</b>	<200KW PV, PON 2112 NY SUN	158,328
<b>Amergy Solar Inc.</b>	>200KW PV, PON 2112 NY SUN	205,836
<b>American Energy Care, Inc.</b>	<200KW PV, NY-Sun	18,574
	<200KW PV, PON 2112 NY SUN	211,316
<b>American Society of Heating,Refriger...</b>	Technical Services, ASHRAE - EPE Team Support TWO	-20,495
<b>American Solar Partners, LLC</b>	<200KW PV, NY-Sun	73,180
	>200KW PV, NY-Sun	78,332
<b>AMP US HoldCo Inc.</b>	>200KW PV, NY Sun	1,090,514
	>200KW PV, NY-Sun C&I	200,417
<b>Ampersand Tannery Island Hydro, LLC</b>	REC:CES REC Contracts, 11th Main Tier Solicitation	6,204
<b>Amphenol Corporation</b>	>200KW PV, NY Sun	219,978
<b>AMS Construction Corp</b>	<200KW PV, NY-Sun	184,788
	>200KW PV, NY-Sun	46,197
<b>Amtad LLC</b>	NYCH: Technical Assistance, FT13903 - 70 E. 55th - PON	20,098
	NYCH: Technical Assistance, FT13924 - Nippon Tower - PON	24,800
<b>Andromeda Community Initiative Inc.</b>	Talent Pipeline:CE and OJT, PON3981 Round 10	66,607
<b>Antares Group, Inc.</b>	Empire Building Challenge, Antares mini bid 4982 RTEM	18,425
	EVALUATION, Antares mini bid 4982 RTEM	5,083
	NYCH: Empire Build Challenge, Antares mini bid 4982 RTEM	18,425
	NYCH: Technical Assistance, FT13111 - 515 E 71st - FTC	4,275
	NYCH: Technical Assistance, FT13633 - 8000 Utopia - FTC	22,004
	Real Time Enrgy Management, Antares mini bid 4982 RTEM	22,872

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Antares Group, Inc.</b>	REV Campus Challenge, FT13487 - St. Albert - FTC	26,201
	REV Campus Challenge, FT14143 - Marillac Hall - FTC	14,799
	RTEM and Tenants, Antares mini bid 4982 RTEM	10,165
<b>Apex Roofing, LLC</b>	<200KW PV, PON 2112 NY SUN	18,170
<b>Apex Solar Power LLC</b>	<200KW PV, PON 2112 NY SUN	78,535
<b>Applied Energy Group, Inc.</b>	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION, P..	81,668
<b>Apprise, Incorporated</b>	EVAL MCDC: MF LCP Market Eval, TWO 2 - APPRISE MF LCP Survey	49,097
<b>APX Inc.</b>	LARGE SCALE RENEWABLES, NYGATS	0
	REC2:CES REC2 Syst Development, NYGATS	19,247
	REC:CES REC System Dev Costs, NYGATS	156,499
	ZEC:CES ZEC System Dev Costs, NYGATS	278,298
<b>Arcadis of New York, Inc.</b>	Commercial New Construc, Staff Augmentation Services	8,947
	Low Rise New Construction, Staff Augmentation Services	25,647
	Multifam New Construction, Staff Augmentation Services	10,140
	New Construction Housing, Staff Augmentation Services	5,964
	New Construction- Commercial, Staff Augmentation Services	8,947
	ORES Support, ORES Technical Assistance	318,663
	OTHER PROGRAM AREA, SA.093_TWO #5_Innovation PM-2	36,080
	Strategic Energy Manager, SA.046_TWO #4 - EPE	35,142
	Technical Services, FT13067 - 1 Canal Road - FTC	2,448
Technical Services, FT14214-City of Amsterdam-FTC	31,493	
Technical Services, WRRF On-call Energy Expert	3,987	
<b>Arcadis U.S., Inc.</b>	ANAEROBIC DIGESTER, ADG - Arcadis - TWO	1,774
	Combined Heat and Power, ADG - Arcadis - TWO	1,774
<b>Arch Street Communications, Inc.</b>	OTHER PROGRAM AREA, RFP4459 Marketing Support	62,637
<b>Arena Transit Holdings LLC</b>	Prize Planning Grant - XL	134,320
<b>Arnot Ithaca 2, LLC</b>	New Construction Housing, NCP Housing	76,800
<b>Arquitectonica New York P.C.</b>	Buildings of Excellence, BoE Rnd 1 - Design Team Incen.	25,000
<b>Arup US, Inc.</b>	Pub Transit & Elect Rail, TWO 4 Traction Power BEB Study	20,210
<b>Association for Energy Affordability, In</b>	Tech Assistanc Multifamily LMI, FT13872 - 2320 W. 11th - FTC	7,273
	Technical Services, FT13569 - 1705 Hoe - MF	8,058
	Technical Services, FT13570 - 1662-1664 Hoe - MF	8,058
	Technical Services, FT14045-Starrett Oceangate-FTC	21,667
<b>Astrum Solar, Inc.</b>	ESTOR:Retail Storage Incentive, Retail Storage	309,925
<b>Atelier Ten</b>	Commercial New Construc, Commercial New Construction	2,535
<b>Atlantic Towers Associates L.P.</b>	Multifam Performance Pgm, Multifamily	75,000
<b>Autonomous Energies LLC</b>	<200KW PV, PON 2112 NY SUN	23,275
<b>Aztech Geothermal, LLC</b>	NYCH: Talent Ppln:CE and OJT, OJT	17,004
<b>Baker Engineering, LLC</b>	Technical Services, FT14085 - 30-30 47th - FTC	16,450
<b>Bantam Solar, LLC</b>	>200KW PV, NY Sun	554,013
<b>Barbera Homes and Development, Inc.</b>	New Construction Housing, 2020 LRNCP	17,100
<b>Bard College</b>	REV Campus Challenge, RFP 3214 REV Campus Challenge	35,000
<b>Bard Rao + Athanas Consulting Engin..</b>	Code to Zero, TWO #1	5,446
<b>Barton &amp; Loguidice, D. P.C.</b>	Technical Services, FT13475 - Webster - FTC	22,097
	Technical Services, FT14028 - Seneca Falls - FTC	23,400
	Technical Services, FT14057 - 1 Canal - FTC	27,539
<b>Bashing Panels LLC</b>	<200KW PV, PON 2112 NY SUN	34,843
<b>Battelle Memorial Institute</b>	Code to Zero, BMI TWO #1-NYStretch Support	1,620

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Battelle Memorial Institute</b>	Code to Zero, TWO #2 NYStretch Comm Modeling	45,970
	Code to Zero, TWO #3 NYStretch Res Modeling	16,607
<b>BDO USA LLP</b>	Background Investigation Servi	15,400
<b>Beacon Power, LLC</b>	Pub Transit & Elect Rail, Beacon flywheel ESS for NYCT	29,079
<b>Beech-Nut Nutrition Company</b>	On-Site Energy Manager, OsEM37-I - Beech-Nut Nutrition	2,062
<b>Benchmark Lancaster Towers, LP</b>	Multifam Performance Pgm, Multifamily	7,850
<b>Bergmann Associates, Architects,</b>	CI Carbon Challenge, CICC1902	883
	Commercial Real Estate Ten, Bergmann Associates_Multisite	18,846
	Commercial Real Estate Ten, Bergmann Associates-Multisite	59,945
	Flexible Tech Assistance, Bergmann Tech Review TWO	717
	Industrial Process Effic, IPE16237	136
	Industrial Process Effic, Tech Review_Support_Umbrella	934
	K-12 SCHOOLS, Bergmann Tech Review TWO	259
	REV Campus Challenge, Bergmann Tech Review TWO	1,356
	Technical Services, AEAP 1388 - Apple Acres LLC	3,118
	Technical Services, AEAP 1413 - Critz Farms Inc	5,141
	Technical Services, Bergmann Tech Review TWO	861
	Technical Services, Indoor Air Quality TWO - Berg.	5,066
Technical Services, Tech Review_Program Support	70,703	
<b>Best Energy Power</b>	<200KW PV, NY-Sun	201,009
	>200KW PV, NY-Sun	31,391
	>200KW PV, PON 2112 NY SUN	161,177
<b>Bethesda House of Schenectady, Inc.</b>	New Construction Housing, NCP Housing	9,900
<b>Bettergy Corporation</b>	Energy Storage Tech/Prod Dev, NH3 Cracking Membrane Reactor	108,020
<b>Binghamton Regional</b>	Community RH&C, CH&C Communities Round 3	46,500
	NY-SUN, PON 3414 - CDG Toolkit	35,000
	NYCH: LMI, CH&C Communities Round 3	15,500
<b>BioDiversity Research Institute</b>	Environmental Research, ENV & Fisheries Rsrch for OSW	69,638
	OREC: Technical Support, BRI TWO #5 E-TWG Services	53,787
	OREC: Technical Support, TWO 6 ETWG Services	162,770
<b>Bishop Sheen Ecumenical Housing F..</b>	New Construction Housing, 2019 LRNCP	63,200
<b>Black River Hydroelectric, LLC</b>	REC:CES REC Contracts, 11th Main Tier Solicitation	159,765
<b>BlocPower LLC</b>	NYCH: Innovation, Buildings Innovations	3,409
<b>Bloom Energy Corporation</b>	REC:CES REC Contracts, 11th Main Tier Solicitation	18,266
<b>BLUEPRINT POWER TECHNOLOGIES..</b>	High Performing Grid, A DECARBONIZATION BLUEPRINT	135,000
<b>Bond, Schoeneck &amp; King, PLLC</b>	BR: Program Implementation, BR-Outside Legal	559
	CI Engy Siting & Soft Cost Red, TWO 2 - CES Legal Support	11,351
	NYSERDA ADMINISTRATION, HR Outside Counsel Assistance	836
	NYSERDA ADMINISTRATION, TWO 6 HR Counsel Services	19,434
	OREC: Technical Support, RFP 3300 Outside Counsel Servi	4,010
	OREC: Technical Support, TWO 4 GLW Feasibility Study	19,707
	OTHER PROGRAM AREA, TWO 7 Legal Services for H2Hub	1,496
<b>Bonded Energy Solutions Corp.</b>	WORKFORCE DEVELOPMENT, OJT	2,080
<b>Booz Allen Hamilton, Inc.</b>	Energy Storage Tech/Prod Dev, Task Work Order 5	35,643
	Energy Storage Tech/Prod Dev, Task Work Order 6	19,207
	High Performing Grid, Task Work Order 4	111,926
	High Performing Grid, Task Work Order 5	35,643
	High Performing Grid, Task Work Order 6	19,207



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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Booz Allen Hamilton, Inc.</b>	Novel Bus Models & Offers, Task Work Order 1	306,175
	Novel Bus Models & Offers, Task Work Order 2	98,786
	Novel Bus Models & Offers, Task Work Order 5	35,643
	Novel Bus Models & Offers, Task Work Order 6	19,207
	NYCH: Innovation, Task Work Order 5	35,643
	NYCH: Innovation, Task Work Order 6	19,207
	OTHER PROGRAM AREA, TWO 7 - Hydrogen Hub Prog Sup	260,000
<b>Brattle Group Inc.</b>	ENERGY ANALYSIS, TWO #1 NYISO Consult Support	3,906
	High Performing Grid, TWO#1 Clean Energy Deliv	103,366
	OREC: Technical Support, TWO#1 Clean Energy Deliv	82,468
<b>Breathe Easy of CNY Inc.</b>	NYCH: Talent Ppln:CE and OJT, OJT	9,600
<b>Bright Power, Inc.</b>	<200KW PV, NY-Sun	431,675
	>200KW PV, NY-Sun	206,995
	Housing Agencies Support, Notice to Proceed	47,103
	K-12 SCHOOLS, P12GC-61E - Yeshiva Har - FTC	9,323
	NY-Sun	20,130
	NYCH: Technical Assistance, FT13190 - 200 Hart - FTC	2,925
	NYCH: Technical Assistance, FT13241 - Brighton House - FTC	1,960
	NYCH: Technical Assistance, FT13290 - 320 W 38th - FTC	11,065
	NYCH: Technical Assistance, FT13295 - 335 W. 50th - FTC	6,220
	NYCH: Technical Assistance, FT13331 - 1179 2nd - FTC	6,075
	NYCH: Technical Assistance, FT13355 - 500 E 5th - FTC	4,065
	NYCH: Technical Assistance, FT13374 - 2260 Crotona - FTC	3,460
	NYCH: Technical Assistance, FT13375 - 711 Garden - FTC	4,050
	NYCH: Technical Assistance, FT13402 - 3468 Fenton - FTC	6,000
	NYCH: Technical Assistance, FT13432 -2510 Frisby - FTC	2,925
	NYCH: Technical Assistance, FT13433 -2500-2508 Frisby -FTC	5,250
	NYCH: Technical Assistance, FT13454 - Red Hook - FTC	7,130
	NYCH: Technical Assistance, FT13466 - 560 W. 43rd - FTC	1,085
	NYCH: Technical Assistance, FT13486 - 150 E. 57th - FTC	4,808
	NYCH: Technical Assistance, FT13492 - 2405 Southern - FTC	5,760
	NYCH: Technical Assistance, FT13497 - 430 Park - FTC	17,980
	NYCH: Technical Assistance, FT13499 - Glen Oaks - FTC	9,398
	NYCH: Technical Assistance, FT13507 - 21-10 51st - FTC	3,585
	NYCH: Technical Assistance, FT13510 - 650 Park - FTC	4,375
	NYCH: Technical Assistance, FT13511 - 400 E. 77th - FTC	2,480
	NYCH: Technical Assistance, FT13513 - 135 W. 106th - FTC	3,813
	NYCH: Technical Assistance, FT13516 - 35 Marcy - FTC	2,520
	NYCH: Technical Assistance, FT13546 - Brooklyn Gard. - FTC	3,220
	NYCH: Technical Assistance, FT13588 - The Aldyn - FTC	3,773
	NYCH: Technical Assistance, FT13594 -Regent Apartments-FTC	5,125
	NYCH: Technical Assistance, FT13622 - 42 W 58th - FTC	4,600
	NYCH: Technical Assistance, FT13653 -40-26 College Pt- FTC	5,000
	NYCH: Technical Assistance, FT13771 - 535 E. 182nd - FTC	3,840
NYCH: Technical Assistance, FT13772 - 1150 Garrison - FTC	6,400	
NYCH: Technical Assistance, FT13775 - 26 Harbor Park - FTC	3,350	
NYCH: Technical Assistance, FT13782 - 2534 Adam - FTC	3,275	
NYCH: Technical Assistance, FT13783 - 245 W 99th - FTC	7,738	

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Bright Power, Inc.</b>	NYCH: Technical Assistance, FT13801 - 435 W. 23rd - FTC	8,426
	NYCH: Technical Assistance, FT13807 - 250 W. 50th - FTC	6,450
	NYCH: Technical Assistance, FT13813 - 510 W 52nd - FTC	2,200
	NYCH: Technical Assistance, FT13816 - 515 W 52nd - FTC	3,150
	NYCH: Technical Assistance, FT13862 - 130 E. 57th - FTC	4,333
	NYCH: Technical Assistance, FT13938 -325-365 Clinton - FTC	5,450
	NYCH: Technical Assistance, FT13939 - 165-210 Clinton-FTC	6,100
	NYCH: Technical Assistance, FT13945 - 315 W 33rd - FTC	10,300
	NYCH: Technical Assistance, FT13952 - 300 CPW - FTC	11,850
	NYCH: Technical Assistance, FT13958 - 301 E 79th - FTC	10,250
	NYCH: Technical Assistance, FT13986 - 10-40 Richman - FTC	16,735
	Real Time Enrgy Management, BP - 7 Ludlow St - RTEM	8,120
	Real Time Enrgy Management, BP - 188 Warburton - RTEM	7,680
	Real Time Enrgy Management, BP - Multisite - RTEM	5,000
	Real Time Enrgy Management, BP-345 St Ann's Ave-RTEM	90,000
	Real Time Enrgy Management, Brght Pwr-9745 Queens Blv-RTEM	4,534
	Real Time Enrgy Management, Bright Power - 221 E 71st-RTEM	13,068
	Real Time Enrgy Management, Bright Power - Multi - RTEM	4,440
	Real Time Enrgy Management, Bright Power - Multisite- RTEM	3,825
	Real Time Enrgy Management, Bright Power -Multisite- RTEM	6,720
	Real Time Enrgy Management, Bright Power-60 E 86th St-RTEM	3,971
	Real Time Enrgy Management, Bright Power-255E149thSt-RTEM	6,270
	Real Time Enrgy Management, Bright Power-655 Morris-RTEM	3,500
	Real Time Enrgy Management, Bright Power-2980 Park-RTEM	7,000
	Real Time Enrgy Management, Bright Power-3000 Bronx - RTEM	6,472
	Real Time Enrgy Management, Bright Power-Multisite-RTEM	32,058
	Real Time Enrgy Management, Bright-86DeKalb-RTEM	7,000
	Real Time Enrgy Management, BrightPower-333 Lenox-RTEM	3,078
	Real Time Enrgy Management, RTEM Gas Mini-Bid Contract	37,498
	Real Time Enrgy Management, Selfhelp Comm-Multisite-RTEM	10,120
	Real Time Enrgy Management, TwoTrees-300 Ashland PI-RTEM	3,075
	REV Campus Challenge, RM45 - Marymount Manhattan	33,225
	Tech Assistanc Multifamily LMI, FT14169 - 1615-17 Walton - FTC	3,525
	Technical Services, FT13115 - 125 Court - FTC	5,255
	Technical Services, FT13127 - 114 W. 26th - FTC	4,445
	Technical Services, FT13180 - 30 Washington - FTC	4,030
	Technical Services, FT13191 - 830 Howard - FTC	2,925
	Technical Services, FT13201 - 550 W 54th - FTC	2,080
	Technical Services, FT13222 - 25 Washington - FTC	1,353
	Technical Services, FT13376 - Brooklyn Ren. - FTC	21,375
	Technical Services, FT13618 - 80 Broad - FTC	5,610
	Technical Services, FT13970 - 640 Riverside - FTC	8,070
	Technical Services, FT13991 - 140-55 34th - FTC	3,395
	Technical Services, FT13993 - 400 Broome - FTC	8,478
	Technical Services, FT13994 - 83-80 118th - FTC	3,715
Technical Services, FT14005 - Sutton Garden - FTC	7,515	
Technical Services, FT14009 - 100 Jay - FTC	5,000	
Technical Services, FT14013 - 111 4th - FTC	8,550	

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Bright Power, Inc.</b>	Technical Services, FT14017 - 400 W 43rd - FTC	7,720
	Technical Services, FT14026 - 111 W 71st - FTC	4,565
	Technical Services, FT14033 - 320 W 76th - FTC	2,673
	Technical Services, FT14077 - 30 5th - FTC	3,525
	Technical Services, FT14090 - 111 Lawrence - FTC	3,870
	Technical Services, FT14092 - Maria Lopez - FTC	4,475
	Technical Services, FT14093 - Baisley Park - FTC	4,950
	Technical Services, FT14094 - 7-25 166th - FTC	2,583
	Technical Services, FT14095 - 166-40 Powells - FTC	2,583
	Technical Services, FT14096 - 131 E 66th - FTC	3,895
	Technical Services, FT14098 - 208-11 26th - FTC	4,005
	Technical Services, FT14103 - Village View - FTC	8,170
	Technical Services, FT14105 - 838 West End - FTC	3,300
	Technical Services, FT14107 - 330 W 39th - FTC	6,560
	Technical Services, FT14110 - 10 Liberty - FTC	6,980
	Technical Services, FT14124 - 1 York - FTC	4,665
	Technical Services, FT14157 - 1100 South - FTC	5,875
	Technical Services, FT14166 - 900 South - FTC	5,434
	Technical Services, FT14196 - 71 Murray - FTC	3,067
	Technical Services, FT14205 - 22 W 19th - FTC	5,325
Technical Services, FT14216 - 23 E 22 - FTC	5,040	
<b>Broadalbin-Perth CSD</b>	K-12 SCHOOLS, P12GC-4_Broadalbin-Perth CSD_E	33,750
<b>Broadwall Management Corp.</b>	Technical Services, OsEM75-C -Broadwall Management	53,395
<b>Broadway Terrace Associates, L.P.</b>	Multifam Performance Pgm, Multifamily	19,400
<b>Bronx Lebanon Hospital Center</b>	Industrial Process Effic, Industrial Process Efficiency	137,181
<b>Bronx Park Phase I Preservation LLC</b>	Multifam Performance Pgm, Multifamily	75,000
<b>Bronx Park Phase III Preservation, LLC</b>	Multifam Performance Pgm, Multifamily	66,200
<b>Brook Avenue Development Company..</b>	Multifam Performance Pgm, Multifamily	28,755
<b>Brooklyn Greenway Initiative, Inc.</b>	Pub Transit & Elect Rail, Tech-based bike-transit study	20,528
<b>Brooklyn SolarWorks LLC</b>	>200KW PV, NY-Sun	32,640
	>200KW PV, PON 2112 NY SUN	69,709
	NY-SUN, NY-Sun	4,880
<b>BTMI Engineering, PC</b>	OREC: Technical Support, State's Engineer for Port Inve	26,403
	OREC: Technical Support, TWO for COWI MTWG support 2021	80,942
	OREC: Technical Support, TWO for COWI Navigation Studie	20,226
<b>Buckeye Terminals, LLC</b>	FUEL NY, Upstate NY Strategic Fuels Res	640,242
<b>Buckley Park, LLC</b>	Tech Assistanc Multifamily LMI, FT13555 - 7651 Morgan - PON	10,000
<b>Buffalo Neighborhood Stabilization Co</b>	New Construction Housing, NCP Housing	37,200
<b>Buffalo Solar Solutions Inc</b>	<200KW PV, NY-Sun	7,225
	<200KW PV, PON 2112 NY SUN	147,428
<b>Building Media, Inc.</b>	Code to Zero, RFQL 3711 TWO#1	20,000
<b>Building Performance Institute, Inc.</b>	NYCH: Supply Chain, Electrification Audit Procedur	49,450
<b>Building Skills NY</b>	NYCH: Talent Ppln:CE and OJT, Career Pathway HVAC/Heat Pumps	166,228
<b>Buro Happold Consulting Engineers, P.C.</b>	NYCH: Technical Assistance, FT13404 - 1333 Broadway - FTC	8,255
	NYCH: Technical Assistance, FT13543 - 250 W. 57th - FTC	12,179
	NYCH: Technical Assistance, FT13544 - 1350 Broadway - FTC	9,118
	NYCH: Technical Assistance, FT13985 - 1359 Broadway - FTC	10,812
	Technical Services, FT14245 - 111 West 33rd - FTC	50,000

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>BW Research Partnership</b>	ENERGY ANALYSIS, TWO# 1 CE Industry Report	0
	Talent Pipeline:CE and OJT, TWO# 1 CE Industry Report	6,000
<b>C.J. Brown Energy, P.C.</b>	Direct Injection Program, HCR Minibid TWO #3	4,852
	HCR Direct Injection, HCR Minibid TWO #3	9,704
	New Construction Housing, HCR Minibid TWO #3	0
	Tech Assistanc Multifamily LMI, FT13028 - Residences - FTC	572
	Tech Assistanc Multifamily LMI, FT13030 - 4710 Kehoe - FTC	544
	Tech Assistanc Multifamily LMI, FT13032 - 18 N. Main - FTC	1,211
	Tech Assistanc Multifamily LMI, FT13034 - 4399 Plantation -FTC	320
	Technical Services, FT13028 - Residences - FTC	0
	Technical Services, FT13030 - 4710 Kehoe - FTC	0
	Technical Services, FT13032 - 18 N. Main - FTC	0
	Technical Services, FT13033 - Meadowbrook - FTC	530
	Technical Services, FT13034 - 4399 Plantation -FTC	0
	Technical Services, FT13508 - Town of Evans - FTC	5,475
	Technical Services, FT13751 - 295-321 Beattie -FTC	3,721
	Technical Services, FT13757 - 282 Schenck - FTC	3,493
Technical Services, FT13895 - 111 Porter - FTC	3,770	
Technical Services, FT14034 - Joseph S Presti -FTC	4,612	
Technical Services, FT14078 - 701 Whirlpool - FTC	5,663	
<b>C&amp;R Housing Inc.</b>	OJT	16,957
<b>C&amp;S Engineers, Inc.</b>	NYCH: Technical Assistance, FT13504 - 100 Park - FTC	12,559
	Technical Services, FT13777 - 5 Tower - FTC	6,608
	Technical Services, FT13868 - Town of Canaan - FTC	2,700
<b>Cadenza Innovation, Inc.</b>	Energy Storage Tech/Prod Dev, PON3249 ACE	112,500
<b>Calstart</b>	CLEAN TRANSPORTATION, Capital Region Mobility Hubs	33,103
	EVPRZ:Community Partner Funds, Prize Planning Grant CALSTART	0
	EVPRZ:Planning Grants, Prize Planning Grant CALSTART	100,000
<b>Cameron Engineering &amp; Associates L..</b>	NYCH: Technical Assistance, FT13748 - 419 E. 57th - FTC	2,583
<b>Canal/Rider LLC</b>	Technical Services, FT14079 - 366 Canal - PON	5,000
<b>CannonDesign</b>	REV Campus Challenge, RM44 - Pace University - FTC	46,727
<b>Capital District Regional Planning Comm.</b>	Clean Energy Communities, Clean Energy Communities	451,805
	Community RH&C, Cap Dist Heat & Cool Smart Cam	40,500
	NYCH: Communities, Cap Dist Heat & Cool Smart Cam	47,000
	NYCH: Communities, Clean Energy Communities	61,902
<b>CARES of NY, Inc</b>	Low Rise New Construction, 2019 LRNCP	25,500
<b>Carrera RS, LLC</b>	Buildings of Excellence, Buildings of Excellence R1	175,000
	Multifam New Construction, MFNCP PHI T3-505 East 86th St	36,700
<b>Carter Ledyard &amp; Milburn LLP</b>	OREC: Technical Support, TWO 1 - ORECRFP22-1	80,921
	OREC: Technical Support, TWO 2 - Pt of Albany SEQRA OSW	15,000
<b>Casa Pasiva, LLC</b>	Multifam Performance Pgm, Multifamily	150,500
	NYCH: LMI, Clean Heating & Cooling	0
<b>Cascade Energy, Inc.</b>	Strategic Energy Manager, SEM Energy Coach	301,588
<b>Cayuga Developments, Inc</b>	Multifam Performance Pgm, Multifamily	1,200
<b>CC Controlled Combustion Co., Inc.</b>	Real Time Enrgy Management, Cc Cont.-295 Cherry St-RTEM	29,018
<b>CDG Huron Solar 1 LLC</b>	>200KW PV, NY Sun	98,631
<b>CDS Monarch Inc</b>	New Construction Housing, 2019 LRNCP	66,300
<b>CEC Stuyvesant Cove, Inc.</b>	Clean Energy Communities, RFP4641 CECC Downstate	162,193

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>CEC Stuyvesant Cove, Inc.</b>	CLEANER GREENER COMMUNITIES, RFP4641 CECC Downstate	306,718
	NY-SUN, HPD Technical Assistance	97,254
	NYCH: Communities, RFP4641 CECC Downstate	54,064
<b>Cedarwood Community Partners, LP</b>	Multifam Performance Pgm, Multifamily	20,600
<b>CEMC Associates LLC</b>	Multifam Performance Pgm, Multifamily	29,800
<b>Center for Community Transportation</b>	Clean Transportation	48,243
<b>Center for Sustainable Energy</b>	CLEAN TRANSPORTATION, Centralized Services & Support	0
	Consumer Ed and Market Support, RFP3945 Home Energy Rating Pil	0
	Electric Vehicles - Rebate, ChargeNY ZEV Rebate Imp Contra	1,026
	Electric Vehicles - Rebate, TWO #3 - Drive Clean Program	182,623
	Home Energy Ratings, RFP3945 Home Energy Rating Pil	23,078
	OTHER PROGRAM AREA, Centralized Services & Support	37,864
	TWO #3 - Drive Clean Program	448,952
<b>Centerstate Corporation for</b>	Cleantech Incubator, Clean Energy Incubator	282,500
<b>Central New York Regional Planning and</b>	Clean Energy Communities, Clean Energy Communities	281,375
	Community RH&C, CH&C Communities Round 3	51,500
	Community RH&C, PON3723 RH&C Campaigns	67,525
	NYCH: Communities, Clean Energy Communities	38,551
	NYCH: District, PON 4614 Round #1 Syracuse	80,895
<b>CH4 Biogas, LLC</b>	Anaerobic Digesters, PON 3739 CAT C	102,532
<b>CHA Consulting Inc.</b>	CI Carbon Challenge, CICC RED Roch. Tech Review	30,262
	CI Carbon Challenge, CICC1906 - SABIC	4,984
	CI Carbon Challenge, Outreach Support	37,339
	CI Carbon Challenge, SA.019_TWO#1 - Industrial	24,289
	CI Carbon Challenge, SA.030_TWO#2 - Industrial	27,379
	CI Carbon Challenge, SA.031_TWO#3 - Industrial	40,298
	CI Carbon Challenge, SA.034_TWO#5 - Industrial	25,834
	Flexible Tech Assistance, FT12261 - Union Coll CHP - FTC	5,846
	Industrial Process Effic, Outreach Support	0
	Industrial Process Effic, SA.019_TWO#1 - Industrial	0
	Industrial Process Effic, SA.030_TWO#2 - Industrial	8,908
	Industrial Process Effic, SA.031_TWO#3 - Industrial	0
	Industrial Process Effic, SA.034_TWO#5 - Industrial	0
	Industrial Process Effic, Technical Review and Program S	15,783
	K-12 SCHOOLS, FT13860 - Rotterdam CSD - FTC	21,224
	K-12 SCHOOLS, SA.035_TWO#4 - EPE	8,726
	NYCH: District, SA.089_TWO #7_CHC PM-2	86,610
	NYCH: Technical Assistance, FT13753 - Multiple - FTC	17,203
	On-Site Energy Manager, Outreach Support	10,632
	REV Campus Challenge, SA.051_TWO #6_EP&E APM	49,144
	Strategic Energy Manager, Outreach Support	37,339
	Strategic Energy Manager, SA.019_TWO#1 - Industrial	8,303
	Strategic Energy Manager, SA.030_TWO#2 - Industrial	7,182
	Strategic Energy Manager, SA.031_TWO#3 - Industrial	3,606
	Strategic Energy Manager, SA.034_TWO#5 - Industrial	0
	Strategic Energy Manager, SA.035_TWO#4 - EPE	27,941
	Strategic Energy Manager, SA.051_TWO #6_EP&E APM	28,988
	Technical Services, FT13773 - 2400 Buffalo - FTC	899

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>CHA Consulting Inc.</b>	Technical Services, FT13977 - 1666 Division - FTC	117
	Technical Services, SA.019_TWO#1 - Industrial	22,151
<b>Cheektowaga, Town of</b>	Clean Energy Communities, PON 3298 CEC	187,500
<b>Chelsea Grand LLC</b>	NYCH: Technical Assistance, FT13552 - 158 W 25th - PON	2,425
<b>Chenango 1 Solar, LLC</b>	>200KW PV, NY-Sun C&I	332,596
<b>Christina Abmann</b>	Code to Zero, NYStretch 2023 Working Groups	1,250
<b>Christina Griffin Architect P.C.</b>	New Construction Housing, 2019 LRNCP	5,000
<b>Christopher Community, Inc.</b>	New Construction Housing, 2019 LRNCP	25,000
<b>CIR ELECTRICAL CONSTRUCTION C..</b>	<200KW PV, PON 2112 NY SUN	345,451
<b>Citizen Advocates, Inc.</b>	New Construction Housing, 2019 LRNCP	12,000
<b>City of Auburn</b>	LARGE SCALE RENEWABLES, Mill Street Dam Hydro	11,036
	REC:CES REC Contracts, 11th Main Tier Solicitation	22,635
<b>City of Beacon</b>	Clean Energy Communities, CEC500677-City of Beacon	40,000
<b>City of Buffalo</b>	CLEANER GREENER COMMUNITIES, CGC57282 - City of Buffalo	873,000
<b>City of Glens Falls Housing Authority</b>	Multifam Performance Pgm, Multifamily	7,311
<b>City of Jamestown</b>	Cleantech Geo Coverage, PON 4242	24,000
<b>City of Long Beach</b>	CLEANER GREENER COMMUNITIES, City of Long Beach	14,995
<b>City of Rochester</b>	Community RH&C, PON3723 RH&C Campaigns	1,000
	NYCH: Technical Assistance, OsEM32-C - City of Rochester	11,970
<b>City of Saratoga Springs, NY</b>	CLEANER GREENER COMMUNITIES, CGC31779 - City of Saratoga	16,000
<b>City of Utica</b>	Community RH&C, HeatSmart Utica LMI HP Study	40,500
	NYCH: District, PON4614 Round #1 City of Utica	59,000
	NYCH: LMI, HeatSmart Utica LMI HP Study	40,500
<b>Clarkson University</b>	OTHER PROGRAM AREA, PON3249 Additive Manufacturing	30,000
<b>CleanFiber LLC</b>	OJT	22,527
	Talent Pipeline:CE and OJT, OJT	11,452
<b>CLEAResult Consulting, Inc.</b>	>200KW PV, Centralized Services & Support	57,791
	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Centralized S..	4,758
	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Technical Sup..	2,437
	Centralized Services & Support	61,590
	Commercial New Construc, Centralized Services & Support	19,868
	Community RH&C, Centralized Services & Support	36,826
	EMPOWER NY, Centralized Services & Support	4,758
	EMPOWER NY, Technical Support SFR	2,437
	ESTOR: Implementation Support, Centralized Services & Support	12,122
	Geothermal Incentive Program, Centralized Services & Support	4,375
	GJGNY Market Rate Audits, TWO #13 - SFR	35,281
	Healthy Homes VB Payment Pilot, Centralized Services & Support	0
	Healthy Homes VB Payment Pilot, Technical Support SFR	2,500
	Home Energy Ratings, TWO #13 - SFR	252
	Home Perf w Energy Star, Centralized Services & Support	1,366,348
	Home Perf w Energy Star, Technical Support SFR	956,844
	Home Perf w Energy Star, TWO #13 - SFR	0
	HOME PERFORMANCE WITH ENERGY STAR, Centralized Services & Su..	0
	LMI Community Solar, Centralized Services & Support	15,599
	Low Rise New Construction, Centralized Services & Support	23,179
Multifam New Construction, Centralized Services & Support	23,179	
Multifam Performance Pgm, Centralized Services & Support	22,298	

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>CLEARresult Consulting, Inc.</b>	NENY:CHGE Empower Electric, Technical Support SFR	2,564
	NENY:CHGE Empower Gas, Technical Support SFR	7,157
	NENY:Con Ed Empower Electric, Technical Support SFR	5,373
	NENY:Con Ed Empower Gas, Technical Support SFR	23,927
	NENY:KEDNY Empower Gas, Technical Support SFR	26,491
	NENY:NFG Empower Gas, Technical Support SFR	214,061
	NENY:NIMO Empower Electric, Technical Support SFR	15,702
	NENY:NIMO Empower Gas, Technical Support SFR	33,113
	NENY:NYSEG Empower Electric, Technical Support SFR	17,091
	NENY:NYSEG Empower Gas, Technical Support SFR	17,343
	NENY:O&R Empower Electric, Technical Support SFR	12,925
	NENY:O&R Empower Gas, Technical Support SFR	32,472
	NENY:RGE Empower Electric, Technical Support SFR	8,759
	NENY:RGE Empower Gas, Technical Support SFR	20,829
	New Construction Housing, Centralized Services & Support	66,722
	New Construction- Commercial, Centralized Services & Support	21,523
	NY-SUN, Centralized Services & Support	0
	NYCH: Technical Assistance, TWO #13 - SFR	4,883
	NYSERDA ADMINISTRATION, Phone Email & Web Support	105,533
	Renewable Heat NY, Centralized Services & Support	1,472
Technical Support SFR	835,949	
<b>Clearview Consultants, LLC</b>	BR: Prospecting, TWO #1 Notice to Proceed	78,508
<b>Climate Solutions Accelerator of the</b>	Community RH&C, CH&C Communities Round 3.	20,000
	Talent Pipeline:CE and OJT, Climate Justice Fellow PON4772	17,708
<b>Clinton County</b>	Clean Energy Communities, Communities & Local Government	37,500
<b>CMC Energy Services, Inc</b>	Electrification, RFP 4645 Bldg Env Roundtables	34,768
	NYCH: Supply Chain, RFP 4645 Bldg Env Roundtables	17,384
<b>Co-op Power, Incorporated</b>	NY-SUN, PON 3414 - Peekskill CDG	5,000
	NY-SUN, PON 3414 - Wildseed CDG	5,000
<b>Code Green Solutions, Inc.</b>	Commercial Real Estate Ten, CodeGreen-599 Lexington	12,000
	Empire Building Challenge, EBC - Market Character TWO	55,051
	NYCH: Empire Build Challenge, EBC - Market Character TWO	12,250
	NYCH: Technical Assistance, FT13139 - 599 11th - FTC	-8,688
	NYCH: Technical Assistance, FT13434 - 383 Lafayette - FTC	15,713
	NYCH: Technical Assistance, FT13452 - NYU - FTC	2,805
	NYCH: Technical Assistance, FT13482 - 125 W. 55th - FTC	17,125
	NYCH: Technical Assistance, FT13522 - 767 Third - FTC	8,818
	NYCH: Technical Assistance, FT13526 - 99 Gansevoort - FTC	8,200
	Technical Services, FT13064 - 275 7th - FTC	2,738
	Technical Services, FT13125 - 2 Park - FTC	4,663
	Technical Services, FT13139 - 599 11th - FTC	10,147
	Technical Services, FT13495 - 524 Broadway - FTC	4,050
	Technical Services, FT13940 - 915 Broadway - FTC	10,000
	Technical Services, FT13965 - 1251 AoA - FTC	12,750
	Technical Services, FT14053 - 545 Madison - FTC	6,000
	Technical Services, FT14055 - 58-30 Grand - FTC	3,500
Technical Services, FT14099 - 160 E 48th - FTC	6,688	
<b>Cody R. Koch</b>	Net Zero Energy for Eco Dev, New Construction CNPD	111,284

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Cogeneration Contractors, Inc.</b>	COMBINED HEAT AND POWER, CHPA - Kings County Hospital C	510,000
	COMBINED HEAT AND POWER, CHPA - Memorial Sloan Ketterin	594,000
<b>COGENT Infotech Corporation</b>	NYSERDA ADMINISTRATION, TWO 1 Asst. BA Ops - Nurul	45,360
<b>Cohen Ventures Inc</b>	Code to Zero, Task Work Order #4	164,681
	Code to Zero, Task Work Order #6	27,247
	Product Standards, Task Work Order #3	41,288
	Product Standards, Task Work Order #5	212,276
	Product Standards, Task Work Order #7	57,947
	Product Standards, TWO2 Emissions Appliance Stand	9,887
<b>COI Energy Services Inc</b>	76 West, 76 West	75,000
<b>Collado Engineering, DPC</b>	Code to Zero, TWO #1	3,919
<b>COLLECTIF Engineering, PLLC</b>	OJT	15,994
	Talent Pipeline:CE and OJT, OJT	15,610
<b>College Greene Rental Associates L.P.</b>	Multifam Performance Pgm, Multifamily	22,000
<b>Columbia Property Trust Operating Pa..</b>	NYCH: Technical Assistance, FT13264 - 243 W 17th - PON	14,993
<b>Columbia University</b>	OTHER PROGRAM AREA, On-Site Power	116,231
<b>Combined Energies LLC</b>	Energy Storage Tech/Prod Dev, PON 3585 Energy Storage Cat B	10,196
<b>Complex Inc</b>	76 West, 76West Clean Energy Business C	50,000
<b>Commercial Cleaning NY Sunshine, Inc.</b>	NYSERDA ADMINISTRATION, Janitorial Cleaning for NYGB	54,000
	NYSERDA ADMINISTRATION, Janitorial Cleaning NYC office	12,600
<b>Common Energy LLC</b>	LMI Community Solar, RFP3802 Low Income Comm Solar	229,061
<b>Comrie Enterprises, LLC</b>	NYCH: Talent Ppln:CE and OJT, Climate Justice Fellow PON4772	22,918
<b>CON EDISON SOLUTIONS, INC.</b>	<200KW PV, NY-Sun	652,392
	>200KW PV, NY Sun	54,953
	>200KW PV, PON 2112 NY SUN	-12,194
<b>Concern Pitkin LLC</b>	New Construction Housing, 2019 MFCNP	13,700
<b>Conductors Court NY TC, LP</b>	Multifam Performance Pgm, Multifamily	4,900
<b>Consensus Building Institute, Inc.</b>	CI Engy Siting & Soft Cost Red, TWO #2 A-TWG Facilitator	29,703
	Environmental Research, TWO #1 -Facilitator	77,644
	Environmental Research, TWO #2 A-TWG Facilitator	25,698
	REC:CES REC System Dev Costs, TWO #2 A-TWG Facilitator	14,859
<b>Core Climate Systems LLC</b>	Renewable Heat NY, Ray Brook Large Biomass Boiler	75,125
<b>Cornell Cooperative Ext. Dutchess County</b>	CLEANER GREENER COMMUNITIES, CEEP Mid-Hudson Region (CCED..	41,517
	OTHER PROGRAM AREA, CEEP Mid-Hudson Region (CCEDC)	41,117
<b>Cornell Cooperative Extension - Tompkins</b>	Clean Energy Hub, CEEP Central New York (CCETC)	5,510
	CLEANER GREENER COMMUNITIES, CEEP Central New York (CCETC)	35,012
	CLEANER GREENER COMMUNITIES, CEEP North Country	24,378
	CLEANER GREENER COMMUNITIES, CEEP Southern Tier Region (CCE	61,992
	Community Energy Engagement, CEEP Southern Tier Region (CCE	1,690
	OTHER PROGRAM AREA, CEEP Central New York (CCETC)	9,049
	OTHER PROGRAM AREA, CEEP North Country	285
	OTHER PROGRAM AREA, CEEP Southern Tier Region (CCE	2
	Technical Services, Agricultural Best Practices	112,590
<b>Cornell Cooperative Extension of Sch..</b>	Community RH&C, CH&C Communities Round 3	19,000
<b>Cornell University</b>	Anaerobic Digesters, PON 3739 CAT B	95,496
	Cleantech Geo Coverage, PON 4242	96,000
	Environmental Research, AQHE PON 3921	34,124
	REV Campus Challenge, RM30A - Cornell University	9,692



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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Cornell University-Office of Sponsore..</b>	SMART GRID SYSTEMS, Anaerobic Digestion Assistance	105,912
<b>Cortex Building Intelligence, Inc.</b>	Real Time Enrgy Management, CBI - 1 Court Square - RTEM	36,250
	Real Time Enrgy Management, CBI-1333 Broadway-RTEM	6,476
	Real Time Enrgy Management, Cortex - 110 W 33rd St - RTEM	26,755
	Real Time Enrgy Management, Cortex - 1400 Broadway - RTEM	12,617
	Real Time Enrgy Management, Cortex-350 5th Ave-RTEM	16,200
<b>Cortland-Virgil Road Solar, LLC</b>	>200KW PV, NY-Sun C&I	441,796
<b>Couch White, LLP</b>	Code to Zero, TWO 1 - NYStretch	57,136
	Code to Zero, TWO 2 - Legal Anlsv & Guidance	827
	Product Standards, TWO 3-SAPA Rule Making/Comment	17,258
<b>Country Suburban Heating &amp; Air Condition</b>	NYCH: Talent Ppln:CE and OJT, OJT	20,439
	NYCH: Talent Ppln:CE and OJT, OJT HIRE	6,720
<b>County Cooling, Corp.</b>	NYCH: Talent Ppln:CE and OJT, OJT	3,544
<b>County Heat &amp; AC, LLC</b>	NYCH: Talent Ppln:CE and OJT, OJT	9,600
<b>County of Cayuga</b>	Clean Energy Communities, CEC210200 - Cayuga County	62,817
<b>Cream Street Solar, LLC</b>	NY-SUN, NY Sun	301,477
<b>Crossfield Home Energy Solutions</b>	NYCH: Talent Ppln:CE and OJT, OJT	9,744
<b>Croton Energy Group, Inc.</b>	<200KW PV, PON 2112 NY SUN	5,400
<b>Crown Gardens Housing Corporation</b>	Multifam Performance Pgm, Multifamily	48,000
<b>CrystalCreek Organics Inc.</b>	OTHER PROGRAM AREA, Trial to enhance anaerobic dig	15,000
<b>CTY, Inc</b>	Pub Transit & Elect Rail, Data analytics for bus network	89,010
<b>Cubit Power One Inc.</b>	COMBINED HEAT AND POWER, CHP Performance Program	600,000
<b>CUCS Housing Development Fund Co..</b>	Multifam New Construction, MFNCP PHI T3-CUCS W 127 St	44,900
<b>Cutone &amp; Company Consultants, LLC</b>	NYCH: Talent Ppln:CE and OJT, OJT	5,760
	Talent Pipeline:CE and OJT, OJT	6,662
<b>CyrusOne</b>	Industrial Process Effic, Industrial Process Efficiency	32,354
<b>D &amp; R International Ltd</b>	Eval MCDC Cross Cutting, Heating & Cooling Reports	23,100
<b>Dailey Electric Inc</b>	NYCH: Talent Ppln:CE and OJT, OJT	11,520
<b>Darling Advertising Agency Inc.</b>	Off-Shore Wind Pre-Dev Act, Marketing Support for NYSERDA	11,476
<b>Daroga Power LLC</b>	Fuel Cells, Fuel Cell Incentive - FC-030	250,000
	Fuel Cells, Fuel Cell Incentive FC-028 IL	250,000
<b>Day Automation Systems, Inc.</b>	K-12 SCHOOLS, P12GC-38_E - Lisbon CSD - PON	10,005
	Real Time Enrgy Management, DA - Multisite - RTEM	512,446
	Real Time Enrgy Management, Day Auto-700 S Manlius - RTEM	94,140
	Real Time Enrgy Management, Day-6795 NY-21-RTEM	132,296
<b>Dayton T. Brown, Inc.</b>	Pub Transit & Elect Rail, Subway energy use analysis	53,025
<b>DeChantal Apartments, Inc.</b>	Multifam Performance Pgm, Multifamily	6,550
<b>Deloitte Consulting LLP</b>	IEDR: Program Manager, IEDR Program Manager RFP CM	1,389,180
<b>Delta Dental of New York</b>	NYSERDA ADMINISTRATION, Delta Dental Prem. 2022-23	175,425
<b>DEMCO New York Corp.</b>	<200KW PV, PON 2112 NY SUN	10,920
<b>DePaul Properties, Inc.</b>	Low Rise New Construction, New Construction	76,400
	New Construction Housing, NC-Housing 2021	14,400
	New Construction Housing, NCP Housing	20,700
<b>Deutsche Bank</b>	Commercial Real Estate Ten, Deutsche Bank-1 Columbus Cir	169,424
<b>Dextall</b>	NYCH: Innovation, Prefab Panels Retrofit	237,938
<b>DG New York CS, LLC</b>	>200KW PV, NY Sun	488,465
<b>Digital Energy Corp</b>	Energy Storage Tech/Prod Dev, PON3585 R4 Energy Storage Tech	25,000
<b>Digital Realty Trust</b>	Industrial Process Effic, Industrial Process Efficiency	326,729

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>DiLernia Marine Services, Inc</b>	OREC: Technical Support, OSW Fisheries Liaison	67,603
<b>Distributed Solar Development, LLC</b>	>200KW PV, NY Sun	486,795
	>200KW PV, NY-Sun	3,534,659
	NY-SUN, NY Sun	625,536
<b>DNV Energy Insights USA Inc.</b>	Combined Heat and Power, TWO 1 On Site Res Power	0
	Commercial Real Estate Ten, TWO 8 CEF Comm Impact_DNV	56,121
	Eval MCDC Solar/NY-Sun, TWO 3 - Solar PV/Energy Stor	13,160
	Eval MCDC: Ind Fac Stock Study, Statewide Industrial Facility	237,413
	Eval MCDC: StatewideHP Tech.St, TWO 1 Statewide EMV Study HP	838,338
	Eval MCDC:I&R Product Dev.Stud, TWO#2 I&R Product Dev 2016-20	177,034
	EVALUATION, TWO 1 - WFD BLDG/Talent	22,020
	EVALUATION, TWO 3 - Solar PV/Energy Stor	154,506
	K-12 SCHOOLS, TWO 8 CEF Comm Impact_DNV	56
	Nat'l OffShWind R&D Consortium, TWO 3 - Solar PV/Energy Stor	12,030
	NYCH: District, Concierge Services - DNV - TWO	81,558
	Off-Shore Wind Pre-Dev Act, RFP3855 Cat2 DMAC Float. LiDar	20,700
	OREC: Technical Support, RFP3855 Cat2 DMAC Float. LiDar	0
	Real Time Enrgy Management, TWO 8 CEF Comm Impact_DNV	305,794
	REV Campus Challenge, TWO 8 CEF Comm Impact_DNV	31,148
	Rmve Barriers Dist Enrgy Storg, TWO 3 - Solar PV/Energy Stor	48,119
	Solar Plus Energy Storage, TWO 3 - Solar PV/Energy Stor	38,495
	Talent Pipeline:CE and OJT, TWO 1 - WFD BLDG/Talent	31,487
	Workforce Industry Partnership, TWO 1 - WFD BLDG/Talent	43,522
<b>DNV GL Energy Services USA Inc.</b>	TWO #3	6,594
<b>DNV GL Energy USA, Inc.</b>	Environmental Research, PV Solar Site Design- PON 4270	38,156
<b>Doherty Electric, LLC</b>	<200KW PV, PON 2112 NY SUN	7,650
<b>Dollaride, Inc.</b>	EVPRZ:Community Partner Funds, Prize planning grant Dollaride	40,241
	EVPRZ:Planning Grants, Prize planning grant Dollaride	100,000
	Pub Transit & Elect Rail, Tech-enabled dollar vans	43,556
	Talent Pipeline:CE and OJT, C/JF PON 4772 R2	3,083
<b>Dragon Solar LLC</b>	<200KW PV, PON 2112 NY SUN	7,884
<b>Drinkwater Solar, LLC</b>	>200KW PV, NY-Sun C&I	554,592
<b>DRYDEN-TOMPKINS SOLAR I LLC</b>	>200KW PV, NY-Sun C&I	2,559,068
<b>DRYDEN-TOMPKINS SOLAR II LLC</b>	>200KW PV, NY Sun C&I	258,247
	>200KW PV, NY-Sun C&I	271,721
<b>DSM Engineering Assoc, P.C.</b>	Technical Services, FT14032 - 531 Main - FTC	12,788
<b>Dual Fuel Corp</b>	OJT	8,881
	Real Time Enrgy Management, DF - 1-13 Greenridge Av - RTEM	450
	Real Time Enrgy Management, DF-61-05 39th Ave-RTEM	40,500
	Real Time Enrgy Management, DF-221 Linden-RTEM	6,600
	Real Time Enrgy Management, Dual Fuel-425 Prospect PI-RTEM	37,556
	Real Time Enrgy Management, Dual Fuel-607 West End Ave	5,100
	Real Time Enrgy Management, Dual Fuel-660 Nereid-RTEM	45,000
	Real Time Enrgy Management, Dual Fuel-1710 Avenue H-RTEM	225
	Real Time Enrgy Management, Dual Fuel-2083 Mohegan Av-RTEM	6,320
	Real Time Enrgy Management, Dual Fuel-2090 Mohegan-RTEM	4,500
	Real Time Enrgy Management, DualFuel-10StNichTerrace-RTEM	4,800
	Real Time Enrgy Management, DualFuel-221LindenBlvdCD-RTEM	6,600

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Dual Fuel Corp</b>	Real Time Enrgy Management, DualFuel-222E35-RTEM	24,000
	Real Time Enrgy Management, DualFuel-325 Central Pk W-RTEM	22,600
	Real Time Enrgy Management, DualFuel-222224W21-RTEM	11,971
	Talent Pipeline:CE and OJT, OJT	36,357
<b>Ducted Wind Turbines, Inc</b>	Cleantech Ignition, PON 3871 Ignition Grants	4,000
<b>Dunn Paper</b>	On-Site Energy Manager, OsEM73-I - Dunn Paper	55,350
<b>Dunsky Energy Consulting</b>	NEW YORK GREEN BANK, NYGB Financial Market Transfor	52,285
<b>E2S Energy Efficiency Services, LLC</b>	Technical Services, FT14141 - 24 South Bridge -FTC	14,130
<b>Eagle Creek Hydro Power LLC</b>	REC:CES REC Contracts, 11th Main Tier Solicitation	51,825
<b>Earthlight Technologies LLC</b>	>200KW PV, NY-Sun	27,522
<b>East River Solar, LLC</b>	>200KW PV, NY-Sun C&I	441,796
<b>East River Tenants Corp</b>	Technical Services, FT14022 - 200 East End - PON	14,400
<b>Eastern Correctional Napanoch NY So..</b>	>200KW PV, NY Sun Assignment	587,087
<b>Eastern Research Group, Inc.</b>	ENERGY ANALYSIS, TWO #1 CLCPA GHG	18,116
	Environmental Research, TWO #2 Coordinator Assessment	658,051
	EVPRZ:Implementation, Clean Transportation	72,724
<b>Ecogy New York VII LLC</b>	>200KW PV, NY-Sun	64,800
<b>Ecology &amp; Environment, Inc.</b>	Environmental Research, Owner's Engineering	3,051
<b>Ecosave, Inc.</b>	NYCH: District, PON 4614 Round #1 Coney Island	161,202
	Real Time Enrgy Management, Ecosave-334 Amsterdam Ave-RTEM	7,601
<b>Ecovis, Inc.</b>	<200KW PV, PON 2112 NY SUN	6,400
<b>Edison Energy, LLC</b>	Technical Services, FT13949 - 475 Riverside - FTC	28,360
<b>EDPR NA Distributed Generation LLC</b>	>200KW PV, NY Sun	469,003
	NY-SUN, NY Sun	577,234
<b>EF NY CDG 001 LLC</b>	>200KW PV, NY Sun	561,959
	NY-SUN, NY Sun	674,353
<b>EF NY CDG 002 LLC</b>	>200KW PV, NY Sun	556,646
	NY-SUN, NY Sun	667,977
<b>EF NY CDG 011 LLC</b>	>200KW PV, NY Sun	412,500
	NY-SUN, NY Sun	600,000
<b>Egg Geo, LLC</b>	Technical Services, FT14234 - 2 Charlton - FTC	16,811
<b>Eiger 3970 Consultants Inc.</b>	<200KW PV, NY-Sun	5,920
	<200KW PV, PON 2112 NY SUN	96,753
<b>Ekostinger, Inc.</b>	Cleantech Ignition, PON4534 NY Climate Progress R2	500,000
<b>Electric Power Research Institute</b>	DER Integration(Intrcnct), PON4094 DER Interconnection	421,000
	Future Grid Perf. Challenges, PON4128 Future Grid Challenge	375,657
	Future Grid Perf. Challenges, PON4128 Smart Grid JU Collab	300,000
	High Performing Grid, Improved Grid Flexibility/Resp	110,000
	High Performing Grid, PON 3397 CAT D	117,300
	High Performing Grid, PON 3770	189,552
	High Performing Grid, PON4128 Future Grid Challenge	-362,510
	High Performing Grid, PON4128 Smart Grid JU Collab	0
	High Performing Grid, RFP3265 Umbrella Contract	13,597
<b>EMCOR Services Betlem</b>	NYCH: Talent Ppln:CE and OJT, OJT	29
	Technical Services, FT13851 - 755 Jefferson - FTC	11,892
	Technical Services, FT14086 - 81 Linden - FTC	3,781
	Technical Services, FT14226- 1565 Jefferson - FTC	3,823
<b>EME Consulting Engineering Group, Inc</b>	76 West, TWO #16 - Innovation APM	51,020

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>EME Consulting Engineering Group, LLC</b>	CI Carbon Challenge, SA.034_TWO#4 - Industrial	43,315
	Commercial New Construc, SA.038A_TWO #7 - New Con	13,983
	Commercial Real Estate Ten, FlexTech Consultant Selection	11,331
	Commercial Real Estate Ten, SA.045_TWO# 6_AES PM	29,532
	Commercial Real Estate Ten, SA.052_TWO #9 - EP&E	0
	Commercial Real Estate Ten, SA.086c - TWO #18	5,837
	Commercial Real Estate Ten, Staff Augmentation Services	0
	Empire Building Challenge, Minibid EBC & RTEM PrgmSupport	14,292
	Empire Building Challenge, SA.065a - TWO #12 - AES_PM	86,900
	EVALUATION, Minibid EBC & RTEM PrgmSupport	3,943
	EXISTING FACILITIES, Staff Augmentation Services	0
	Flexible Tech Assistance, Staff Augmentation Services	0
	High Performing Grid, TWO #16 - Innovation APM	12,755
	Home Perf w Energy Star, Staff Augmentation Services	43,449
	Industrial Process Effic, SA.034_TWO#4 - Industrial	-891
	Industrial Process Effic, Staff Augmentation Services	0
	Informat. Products & Brokering, SA.086c - TWO #18	5,837
	K-12 SCHOOLS, SA.036c_TWO #8 - EP&E	12,423
	K-12 SCHOOLS, SA.045_TWO# 6_AES PM	41,827
	K-12 SCHOOLS, SA.052_TWO #9 - EP&E	61,050
	Market Tests, SA.094_TWO#17 - AES_PM-2	23,718
	New Construction Housing, SA.038A_TWO #7 - New Con	60,592
	New Construction- Commercial, SA.038A_TWO #7 - New Con	18,644
	NY-SUN, Staff Augmentation Services	0
	NYCH: Comfort Home, Staff Augmentation Services	1,799
	NYCH: Empire Build Challenge, Minibid EBC & RTEM PrgmSupport	14,292
	NYCH: Technical Assistance, FT13217 - 334 East 25th - FTC	36,000
	NYCH: Technical Assistance, FT13451 - Bryant Arms - FTC	13,500
	NYCH: Technical Assistance, FT13518 - 275 South - FTC	15,000
	NYCH: Technical Assistance, FT13520 - 249 Thomas S. - FTC	27,500
	NYCH: Technical Assistance, FT13956 - Hughes Hall - FTC	3,945
	Real Time Enrgy Management, FlexTech Consultant Pool	27,553
	Real Time Enrgy Management, Minibid EBC & RTEM PrgmSupport	17,742
	Real Time Enrgy Management, SA.056_TWO #10 - RTEM MF	81,280
	Real Time Enrgy Management, SA.073_TWO# 13_AES PM	98,675
	Renewable Heat NY, Staff Augmentation Services	13,177
	Retrofit NY, SA.057_TWO #11 - Multifamily	69,152
	REV Campus Challenge, FT14023 - Fordham Camp. - FTC	20,996
	REV Campus Challenge, FT14136 - Lombardi Center- FTC	24,842
	REV Campus Challenge, SA.036c_TWO #8 - EP&E	0
	REV Campus Challenge, SA.045_TWO# 6_AES PM	22,577
	REV Campus Challenge, SA.052_TWO #9 - EP&E	2,105
	REV Campus Challenge, Staff Augmentation Services	0
	RTEM and Tenants, Minibid EBC & RTEM PrgmSupport	7,886
	RTEM and Tenants, SA.056_TWO #10 - RTEM MF	0
	RTEM Small/Medium Business, SA.056_TWO #10 - RTEM MF	0
	Staff Augmentation Services	64,561
	Strategic Energy Manager, SA.034_TWO#4 - Industrial	3,108

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>EME Consulting Engineering Group, LLC</b>	Strategic Energy Manager, SA.036c_TWO #8 - EP&E	71,175
	Strategic Energy Manager, SA.044_TWO#5_EPE PM	47,267
	Strategic Energy Manager, SA.052_TWO #9 - EP&E	36,861
	Strategic Energy Manager, Staff Augmentation Services	0
	Technical Services, EPE Team Analysis - EME TWO	2,595
	Technical Services, FT13528 - One Park - FTC	12,585
	Technical Services, SA.036c_TWO #8 - EP&E	0
	Technical Services, SA.052_TWO #9 - EP&E	0
	Technical Services, SA.084_TWO# 15_MF PM-1	67,915
	Technical Services, Staff Augmentation Services	108,794
<b>Emes Solar</b>	>200KW PV, NY-Sun	90,828
	NY-SUN, NY-Sun	15,138
<b>Empire Solar Solutions LLC</b>	<200KW PV, PON 2112 NY SUN	919,287
<b>Empire State Realty Trust, Inc.</b>	Empire Building Challenge, EBC-Phase I-ESRT	50,000
	NYCH: Empire Build Challenge, EBC-Phase I-ESRT	50,000
<b>Employee Leasing of Greater NY</b>	NYSERDA ADMINISTRATION, TS.029 - SO_Training Specialis	6,500
	NYSERDA ADMINISTRATION, TS.030 – Strategic Operations	7,115
	TS.023 - SQA_Coordinator	25,972
<b>Empower CES, LLC</b>	>200KW PV, PON 2112 NY SUN	39,636
	ENERGY STORAGE, PON 2112 NY SUN	218,750
<b>Empower Equity Inc</b>	Novel Bus Models & Offers, EMPEQ - Scaling a Novel Busine	110,000
	Talent Pipeline:CE and OJT, Climate Justice Fellow PON4772	14,920
	Talent Pipeline:CE and OJT, OJT Amanda Krupp	5,194
<b>Energetics, Incorporated</b>	EVPRZ:Implementation, Prize Contractors Solicitation	453,686
<b>Energy and Environmental Economics Inc.</b>	>200KW PV, TWO#27 CValue&Solar Wht Papers	64,935
	ENERGY ANALYSIS, TWO 1 - CAC Scoping Plan	24
	ENERGY ANALYSIS, TWO 2 - BER Scenario Run	164,664
	ENERGY ANALYSIS, TWO#4 Policy Case Review	21,527
	ENVIRONMENTAL RESEARCH, TWO 1 - CAC Scoping Plan	16
	ESTOR: Implementation Support, TWO5 Energy Storage Roadmap 2	251,450
	NYCH: Roadmap, TWO 2 - BER Scenario Run	71,996
	REC:CES REC System Dev Costs, Hydrogen Policy Options in NYS	189,357
	TWO 1 - CAC Scoping Plan	499,869
<b>Energy Conservation &amp; Supply, Inc.</b>	OJT	16,812
	Talent Pipeline:CE and OJT, OJT	33,467
<b>Energy EDC Corp.</b>	NYCH: Talent Ppln:CE and OJT, PON3981 Round 11	128,692
	Workforce Industry Partnership, PON 3715 (BOM)	26,521
<b>Energy Futures Group, Inc.</b>	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION, P..	39,233
<b>Energy Management Solutions, LLC</b>	OJT	1,739
	Talent Pipeline:CE and OJT, OJT	15,171
	WORKFORCE DEVELOPMENT, OJT	11,680
<b>Energy Power investment Company, L..</b>	LARGE SCALE RENEWABLES, Large-Scale Renewables	50,453
<b>Energy Savers Inc</b>	OJT	1,680
	Talent Pipeline:CE and OJT, OJT	131
<b>Energy Technology Savings, Inc.</b>	Real Time Enrgy Management, Energy Tech-260 Kent Avenue	1,800
	Real Time Enrgy Management, Energy Tech-325 Kent Ave-RTEM	1,800
	Real Time Enrgy Management, EnergyTech-Mercedes House-RTEM	1,800
	Real Time Enrgy Management, ETS - 21 West End Ave - RTEM	93,000

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Energy Technology Savings, Inc.</b>	Real Time Enrgy Management, ETS - 29 Flatbush Ave - RTEM	24,900
	Real Time Enrgy Management, ETS - 90 Washington St - RTEM	2,160
	Real Time Enrgy Management, ETS - 525 W52nd St - RTEM	2,160
	Real Time Enrgy Management, ETS - Moinian Sky - RTEM	2,880
	Real Time Enrgy Management, ETS-777 6ave-RTEM	1,562
	Real Time Enrgy Management, ETS-825-875Boynton-RTEM	900
	Real Time Enrgy Management, Two Trees-60 Water St-RTEM	1,800
<b>Enertiv Inc.</b>	Real Time Enrgy Management, Enertiv - 50 N 5th - RTEM	7,160
	Real Time Enrgy Management, Enertiv - 401 W 25th St - RTEM	1,764
	Real Time Enrgy Management, Enertiv - Multisite - RTEM	2,416
	Real Time Enrgy Management, Enertiv-10Barclay-RTEM	2,258
	Real Time Enrgy Management, Enertiv-101 Greenwich-RTEM	9,948
	Real Time Enrgy Management, Enertiv-350 E 79th - RTEM	2,778
<b>Enervee Corporation</b>	LMI Pilots, Energy and Climate Equity	255,799
	Market Tests, NY Prize	450,000
<b>Enica Engineering, PLLC</b>	REV Campus Challenge, FT13436 - 410 W. 118th - FTC	1,357
<b>Ensave, Inc.</b>	Technical Services, AEEP Implementation Contractor	120,856
	Technical Services, Agricultural Best Practices	31,725
<b>EnterSolar LLC</b>	>200KW PV, NY-Sun	162,108
<b>Equinix Inc.</b>	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	89,217
<b>Erdman Anthony &amp; Associates, Inc.</b>	Commercial New Construc, Commercial New Construction	2,991
	NYCH: Technical Assistance, FT13533 - City of Rochester	43,673
	Technical Services, Ft13435 - 165 Court - FTC	37,548
<b>Erie Boulevard Hydropower LP</b>	LARGE SCALE RENEWABLES, Stewarts Bridge Hydro Project	117,434
	REC2:CES REC2 Contracts, T2RFP21-1_Baldwinsville	9,886
	REC2:CES REC2 Contracts, T2RFP21-1_Talcville	15,304
	REC:CES REC Contracts, 10th RPS Main Tier Solicitatio	18,202
	REC:CES REC Contracts, 11th Main Tier Solicitation	48,941
<b>Erie Solar Gardens LLC</b>	<200KW PV, NY-Sun	268,800
<b>Erie Wind LLC</b>	LARGE SCALE RENEWABLES, Steel Winds II (RFP1851)	185,380
<b>Erin Renewables, LLC</b>	>200KW PV, NY Sun	293,706
<b>ESNY-SFSHPN, LLC</b>	>200KW PV, NY-Sun	288,450
<b>Essense Partners Inc.</b>	Electric Vehicles - Innovation, Marketing Support for NYSERDA	27,620
<b>Extraterrestrial Materials Inc.</b>	<200KW PV, PON 2112 NY SUN	123,174
<b>Faraday, Inc.</b>	Air Source Heat Pumps, RFP3761 Customer Targeting Too	3,750
	Community RH&C, RFP3761 Customer Targeting Too	35,100
	NYCH: Comfort Home, RFP3761 Customer Targeting Too	3,450
	NYCH: Supply Chain, RFP3761 Customer Targeting Too	3,450
<b>Feedback Solutions Inc.</b>	NYCH: Innovation, Real-Time Occupancy based	5,280
<b>FFP NY Rome Project1, LLC</b>	>200KW PV, NY-Sun Payee Assignment	263,527
<b>FFP Origination, LLC</b>	<200KW PV, NY-Sun	537,300
<b>Fifth Avenue Committee, Inc.</b>	New Construction Housing, 2019 MFCNP	16,400
	NY-SUN, FAC Solar	31,000
<b>Findlay Houses LP</b>	Multifam Performance Pgm, Multifamily	45,600
<b>First Columbia Property Services, LLC</b>	NYSERDA ADMINISTRATION, Property Management	99,165
<b>Fishtech Energy Partners LLC</b>	Talent Pipeline:CE and OJT, OJT	5,880
<b>Florenton River LLC</b>	<200KW PV, PON 2112 NY SUN	12,500
	>200KW PV, NY Sun	6,435

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
Foam It Insulation, LLC	Talent Pipeline:CE and OJT, OJT	77,140
Fobare & Co. LLC	<200KW PV, PON 2112 NY SUN	17,230
Fort Hill Development Fund Company,...	Multifam Performance Pgm, Multifamily	2,850
Four Points Group, Inc.	OTHER PROGRAM AREA, RFQL 3685 R2	31,161
Fourth Coast, Inc.	<200KW PV, PON 2112 NY SUN	19,029
Fox Television Stations, Inc.	NYCH: Technical Assistance, FT13185 - 205 East 67th - PON	12,673
Fred F. Collis & Sons, Inc.	NYCH: Talent Ppln:CE and OJT, OJT	13,313
	NYCH: Talent Ppln:CE and OJT, OJT HIRE	2,251
	OJT	12,529
	Talent Pipeline:CE and OJT, OJT	26,506
Frederick Douglass I 2017, LLC	Multifam Performance Pgm, Multifamily	4,350
Fresenius KabiUSA, LLC	On-Site Energy Manager, OsEM44-I Fresenius KabiUSA	43,631
Friello and Sons Heating and Cooling,...	NYCH: Talent Ppln:CE and OJT, OJT	11,520
Frontier Energy, Inc.	ANAEROBIC DIGESTER, ADG - Frontier - TWO	5,019
	Combined Heat and Power, ADG - Frontier - TWO	5,019
	Combined Heat and Power, DG Integrated Data System	361,624
	COMBINED HEAT AND POWER, Technical Review_Prgm Support	15,421
	Community RH&C, Technical Review_Prgm Support	9,711
	ESTOR: Implementation Support, TWO 1 Cat 2 Energy Storage	11,112
	ESTOR: Implementation Support, TWO 2 Cat. 3 Energy Storage	95,797
	Geothermal Incentive Program, 3695 TWO Umbrella Agreement	10,289
	Geothermal Incentive Program, Technical Review_Prgm Support	616
	Industrial Process Effic, IPE16163	950
	Industrial Process Effic, IPE16254	2,970
	Industrial Process Effic, Technical Review_Prgm Support	940
	NYCH: Critical Tools, Heat Pump Purch Specs	7,794
Fund for Public Health in New York, In..	Environmental Research, Assessment for Energy Policy	55,178
Fusco Personnel, Inc.	Cleantech ICC Engage, TS.020_TBI_Coordinator	225
	Energy Storage Tech/Prod Dev, TS.020_TBI_Coordinator	225
	High Performing Grid, TS.020_TBI_Coordinator	225
	NYCH: Innovation, TS.020_TBI_Coordinator	225
	Pub Transit & Elect Rail, TS.020_TBI_Coordinator	225
	REC:CES REC System Dev Costs, TS.007 - LSR_Office Admin	27,720
	REC:CES REC System Dev Costs, TS.026 - LSR_Coordinator	1,294
Fusion Energy Services LLC	<200KW PV, NY-Sun	6,765
	<200KW PV, PON 2112 NY SUN	18,063
G&S Operations LLC	>200KW PV, PON 2112 NY SUN	686,588
Gas Technology Institute	NYCH: Innovation, PON3519 Round 1.	26,948
GBA Commissioning Services, Inc	NYCH: Technical Assistance, FT13680 - 2 Columbus - FTC	26,669
GCOM Software LLC	NYSERDA ADMINISTRATION, Salesforce	427,810
Geatrain Engineering PLLC	Technical Services, FT13988 - New World Mall - FTC	8,923
	Technical Services, FT14043 - 31 W 34th - FTC	16,440
	Technical Services, FT14052 - 36 W 47th - FTC	21,405
	Technical Services, FT14177 - 101-09 Post - FTC	9,300
	Technical Services, FT14198 - 2520 Kings Hwy - FTC	9,383
	Technical Services, FT14199 - 2654 Valentine - FTC	6,855
	Technical Services, FT14203 - 480 E 21st - FTC	6,994
Technical Services, FT14207 - 101 W 55th - FTC	4,463	

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Geatain Engineering PLLC</b>	Technical Services, FT14208 - 115 E 34th - FTC	4,463
	Technical Services, FT14209 - 205-277 E 66th - FTC	4,463
<b>General Electric Co. Global Research</b>	Nat'l OffShWind R&D Consortium, Natl Offshore Wind R&D	198,382
	Natl Offshore Wind R&D	198,382
<b>General Electric Company</b>	Nat'l OffShWind R&D Consortium, Natl Offshore Wind R&D	91,509
	Natl Offshore Wind R&D	91,509
<b>Generate Capital Inc.</b>	<200KW PV, NY-Sun	263,408
	>200KW PV, NY-Sun	219,198
<b>Generate NY Community Solar Lessor II, L</b>	>200KW PV, NY Sun CI Assignment	125,174
	>200KW PV, NYSun CI Assignment	188,065
<b>Generate NY Community Solar Lessor..</b>	>200KW PV, NY-Sun CI Assignment	312,471
<b>Genesee Biogas LLC</b>	CLEANER GREENER COMMUNITIES, CGC26970 - Genesee Biogas LLC	7,500
<b>Genesis Housing Development Corpo..</b>	New Construction Housing, NCP Housing	18,000
<b>George E Denmark II</b>	<200KW PV, PON 2112 NY SUN	6,480
<b>Geotherm Inc.</b>	<200KW PV, PON 2112 NY SUN	24,331
	NYCH: Talent Ppln:CE and OJT, OJT	4,914
<b>GI Endurant LLC</b>	NYCH: District, PON 4614 Round #1	17,086
	NYCH: District, PON 4614 Round #1 Spring Creek	18,500
	NYCH: District, PON 4614 Round #1 Wagner	52,540
	NYCH: District, PON4614 Rnd #1 Innovation QNS	48,636
	NYCH: District, PON4614 Round #1 Pratt Landing	22,596
	NYCH: District, PON4614 Round #2_Willets Point	72,290
<b>Gladstein, Neandross &amp; Associates, LLC</b>	EVPRZ:Community Partner Funds, Prize Planning Grant - GNA	10,601
	EVPRZ:Planning Grants, Prize Planning Grant - GNA	100,000
<b>Glenmore Manor Managers LLC</b>	New Construction Housing, NCP Housing	60,000
<b>Gloversville Community Solar LLC</b>	>200KW PV, NY Sun C&I Assignment	464,925
<b>Gloversville-Johnstown Joint Wastew..</b>	ANAEROBIC DIGESTER, Gloversville-Johnstown Joint W	83,341
<b>Go Solar, LLC</b>	<200KW PV, PON 2112 NY SUN	12,080
<b>Goldman Copeland Associates, P.C.</b>	Commercial Real Estate Ten, GCA-250 W 57th St-CTP	8,986
	Commercial Real Estate Ten, GCA-420 Lexington Ave	5,000
	Commercial Real Estate Ten, GCA-Multisite	5,000
	NYCH: Technical Assistance, FT13155 - 10 East 53rd - FTC	-16,752
	NYCH: Technical Assistance, FT13474 - 750 3rd Ave - FTC	16,609
	REV Campus Challenge, FT13346 - 214-220 E 21st - FTC	11,984
	REV Campus Challenge, FT13347 - 335 W 16th - FTC	13,092
	REV Campus Challenge, FT13349 - 133 21st - FTC	8,395
	Technical Services, FT13080 - 1400 Broadway - FTC	2,514
	Technical Services, FT13155 - 10 East 53rd - FTC	20,913
	Technical Services, FT13259 - 1 West 54th - FTC	29,951
	Technical Services, FT13611 - 145 W 44th - FTC	3,233
	Technical Services, FT13630 - 575 Madison - FTC	2,674
	Technical Services, FT13776 - 286 Madison - FTC	12,496
	Technical Services, FT13968 - 606 Broadway - FTC	5,996
	Technical Services, FT13979 - 1 Park - FTC	1,881
	Technical Services, FT13980 - 40 Fulton - FTC	12,482
	Technical Services, FT13999 - 888 7th - FTC	13,993
	Technical Services, FT14088 - 500 5th - FTC	9,484
	Technical Services, Indoor Air Quality TWO - Gold.	2,250



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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Gowanus Green Partners LLC</b>	NYCH: District, PON4614 Round #1 Gowanus	33,175
<b>Grand Island Solar, LLC</b>	LMI Community Solar, SFA - BlueRock Grand Island	119,595
<b>Green Action Studio, LLC</b>	Talent Pipeline:CE and OJT, OJT	20,000
<b>Green Eagle Solar VI, LLC</b>	>200KW PV, NY-Sun CI Payee Assignment	96,280
<b>Green Hybrid Energy Solutions Inc.</b>	<200KW PV, PON 2112 NY SUN	5,000
	>200KW PV, PON 2112 NY SUN	44,712
<b>Green Light New York, Inc.</b>	Commercial Real Estate Ten, Energy Efficiency Training TWO	48,340
<b>Green Street Power Partners LLC</b>	>200KW PV, PON 2112 NY SUN	298,080
<b>Green Team USA, LLC</b>	WORKFORCE DEVELOPMENT, OJT	11,490
<b>Green Visions Solar LLC</b>	<200KW PV, NY-Sun	20,368
	<200KW PV, PON 2112 NY SUN	76,010
<b>Greenhaven Correctional Stormville N..</b>	>200KW PV, NY Sun Payee Assignment	424,320
<b>GreenLogic, LLC</b>	ENERGY STORAGE, PON 2112 NY SUN	37,500
<b>Greenwich Club Residences</b>	NYCH: Technical Assistance, FT13428 - 88 Greenwich - PON	39,700
<b>Grid City Electric Corp</b>	>200KW PV, PON 2112 NY SUN	32,109
<b>GridEdge Networks, Inc.</b>	High Performing Grid, Power Grid Innovation	170,211
<b>Groundswell, Inc.</b>	NY-SUN, PON 3414 - Rochester Clarissa	15,000
	NY-SUN, PON 3414 Exchange St Rochester	40,000
<b>Group-S LLC</b>	Empire Building Challenge, EBC COHORT 2 TA CONTRACT ENPOW	15,000
	Multifam Performance Pgm, Multifamily	72,200
	NYCH: Empire Build Challenge, EBC COHORT 2 TA CONTRACT ENPOW	15,000
	NYCH: Technical Assistance, FT13645 - 235 W. 48th - FTC	14,500
	Real Time Enrgy Management, En-Power Group-1 Grand Army Pl	39,360
	Technical Services, FT13100 - 2 East 55th - FTC	29,500
	Technical Services, FT13117 - 235 East 87th - FTC	16,050
	Technical Services, FT13197 - 131 Madison - FTC	14,300
	Technical Services, FT13233 - 501 10th - FTC	13,500
	Technical Services, FT13251 - 9 Barrow - FTC	15,725
	Technical Services, FT13431 - 75 Broad - FTC	21,500
	Technical Services, FT13453 - 225 Broadway - FTC	28,350
	Technical Services, FT13485 - 200 W. 79th - FTC	12,900
	Technical Services, Natural Gas Constrained Areas	46,400
<b>GSPP 1616 County Route 12, LLC</b>	>200KW PV, NY Sun	407,767
	NY-SUN, NY Sun	407,767
<b>GSPP 24658 County Route 47 North, LLC</b>	>200KW PV, NY Sun	114,855
	NY-SUN, NY Sun	114,855
<b>GSPP 24658 County Route 47 South, LLC</b>	>200KW PV, NY-Sun C&I	100,130
	NY-SUN, NY-Sun C&I	129,580
<b>GSPP Baxter 2, LLC</b>	>200KW PV, NY Sun	226,827
	NY-SUN, NY Sun	618,618
<b>GSPP County Route 31, LLC</b>	>200KW PV, NY Sun	251,686
	NY-SUN, NY Sun	369,140
<b>GSPP Grand Island B, LLC</b>	>200KW PV, NY-Sun C&I	76,135
<b>GSRP MT Solar I LLC</b>	REC:CES REC Contracts, Branscomb Solar_RESVCO2021	-17,161
<b>Guggenheim Museum</b>	Technical Services, OsEM82-C - Guggenheim Museum	44,919
<b>Guidehouse Inc.</b>	Advancing Ag Enrgy Technologie, RFQ3183 Umbrella Agreement	15,276
	Energy Storage Tech/Prod Dev, RFQ3183 Umbrella Agreement	493
	Greenhouse Light & Systems Eng, RFQ3183 Umbrella Agreement	15,276

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Guidehouse Inc.</b>	Healthy Homes VB Payment Pilot, TWO 3 NYS Healthy Homes VBP	46,966
	NEW YORK GREEN BANK, TWO #1 - Price Forecast	167,652
	REV Connect, REV Connect Initiative	153,290
	Rmve Barriers Dist Enrgy Storg, RFQ3183 Umbrella Agreement	476
	Technical Services, RFQ3183 Umbrella Agreement	15,276
<b>H.E.L.P Development Corp.</b>	New Construction Housing, 2019 MFCNP	15,800
<b>Hakimian Management Corp</b>	NYCH: Technical Assistance, FT13982 - 460 W 20th - PON	16,150
	Technical Services, FT13749 - 10 W 46th - PON	9,250
<b>Halcyon Inc.</b>	Novel Bus Models & Offers, Clean Energy as a Service	177,190
	NYCH: Talent Ppln:CE and OJT, OJT	60,435
	Talent Pipeline:CE and OJT, OJT	23,583
<b>Halcyon, Inc.</b>	<200KW PV, NY-Sun	14,400
	NYCH: Talent Ppln:CE and OJT, OJT HIRE	324
<b>Harvest Power, LLC</b>	<200KW PV, NY-Sun	18,579
	<200KW PV, PON 2112 NY SUN	131,733
	>200KW PV, NY-Sun	21,351
	>200KW PV, PON 2112 NY SUN	14,592
	ENERGY STORAGE, PON 2112 NY SUN	12,500
<b>Hawn Heating &amp; Energy Services LLC</b>	NYCH: Talent Ppln:CE and OJT, OJT	1,844
<b>Hazen &amp; Sawyer, P.C.</b>	ENVIRONMENTAL RESEARCH, Climate & algal blooms	3,020
<b>Healthy Home Energy &amp; Consulting, Inc.</b>	OJT	1,600
	Talent Pipeline:CE and OJT, OJT	9,966
<b>Helios Energy New York 11, LLC</b>	>200KW PV, NY Sun	562,485
<b>Helix Power Corporation</b>	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Advanced Clean..	137,667
<b>Henkel US Operations Corporation</b>	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	7,632
<b>Henningson, Durham &amp; Richardson P..</b>	OREC: Technical Support, RFQL 3685 Umbrella Contract	12,772
<b>Heritage Holdings, LLC</b>	Empire Building Challenge, ECB-Phase I-L+M	125,000
	NYCH: Empire Build Challenge, ECB-Phase I-L+M	125,000
<b>Herkimer Affordable Housing</b>	Multifam Performance Pgm, Multifamily	3,200
<b>Herkimer Housing Authority</b>	New Construction Housing, NCP Housing	7,200
<b>HEVO Inc.</b>	Electric Vehicles - Innovation, PON 3578 R1 CAT2	75,000
<b>Hi TECH HVAC Services CORP</b>	NYCH: Talent Ppln:CE and OJT, OJT	51,743
	Talent Pipeline:CE and OJT, OJT	0
<b>High Peaks Solar</b>	<200KW PV, PON 2112 NY SUN	201,978
<b>Hobart and William Smith Colleges</b>	Technical Services, OsEM51-C-Hobart&William Smith	11,168
<b>Hobbs Ciena Associates, LP</b>	Multifam Performance Pgm, Multifamily	68,000
<b>Hodgson Russ LLP</b>	NYSERDA ADMINISTRATION, EmPower Claim Costs	761
	Product Standards, TWO 1-SAPA Rule Making/Comment	41,594
<b>Holland &amp; Knight LLP</b>	NEW YORK GREEN BANK, RFP 12 - NYGB Legal Services	5,977
	OREC: Technical Support, TWO 1 - ORECRFP22-1	62,922
	Retrofit NY, TWO 2 - Capital Reserve Fund	14,443
	RFP 12 - NYGB Legal Services	30,000
<b>Hollingsworth &amp; Vose Company</b>	On-Site Energy Manager, OsEM49-I Hollingsworht & Vose	36,369
<b>Home Leasing, LLC</b>	New Construction Housing, 2019 LRNCP	62,000
<b>Honeywell International Inc.</b>	3695 TWO Umbrella Agreement	24,666
	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, 3695 TWO U..	7,340
	EMPOWER NY, 3695 TWO Umbrella Agreement	856
	Home Perf w Energy Star, 3695 TWO Umbrella Agreement	492,689

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
Houghton College	Technical Services, OSEM28-C - Houghton College	7,000
Housing Trust Fund Corporation	HCR Direct Injection, HCR 2021	7,500,000
	New Construction Housing, HCR 2021	-7,500,000
Housing Visions Consultants, Inc.	New Construction Housing, 2019 LRNCP	56,600
Howard Wind LLC	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	114,108
	LARGE SCALE RENEWABLES, Howard Wind Farm - Expansion	136,230
HUB Controls USA Inc	Cleantech Ignition, HUB Controls -PON4534 NYCP R1	500,000
Hubbs Road Solar, LLC	>200KW PV, NY Sun	399,597
	NY-SUN, NY Sun	491,811
Hudson River Renewables	<200KW PV, NY-Sun	5,624
	<200KW PV, PON 2112 NY SUN	36,840
Hudson Valley Community College	NYCH: Talent Ppln:CE and OJT, PON3981 Round 3	71,192
	Talent Pipeline:CE and OJT, PON3981 Round 3	6,511
	Talent Pipeline:OSW Training, OWTI Workforce Training	2,622
Hudson Valley Wind Energy, LLC	<200KW PV, PON 2112 NY SUN	12,500
Huhtamaki, Inc.	Industrial Process Effic, Industrial Process Efficiency	67,854
Hunter Buffalo Peterbilt	CLEAN TRANSPORTATION, NYT-VIP	624,423
HyperGen Inc	NYSERDA ADMINISTRATION, PeopleSoft Support Services	322,437
Hytech Solar Inc	COMMUNITY SOLAR, PON 2112 NY SUN	10,880
	ENERGY STORAGE, PON 2112 NY SUN	6,250
Ibero-American Development Corp	New Construction Housing, 2019 LRNCP	107,000
iCatalysts LLC	Innovation Advisors, Innovation Advisor - Innov Ops	4,425
ICF Incorporated LLC	EVPRZ:Community Partner Funds, Prize planning grant - ICF	39,874
	EVPRZ:Planning Grants, Prize planning grant - ICF	100,000
ICF Resources, LLC	Campus/Technical Assistance, Natural Gas Constrained Area	40,852
	CLEAN TRANSPORTATION, TWO # 10	56,815
	Code to Zero, ECode Microsite	17,477
	ENERGY ANALYSIS, RFQL 3685 - Flexergy 3.0	14,466
	ENERGY ANALYSIS, TWO#9 NYS Elect System Model	8,567
	Environmental Research, TWO #6 Climate Technical Asst.	16,585
	Eval MCDG:I&R Macroeconomic St, Tech Assist, REV Pool	4,054
	NYCH: District, PON 4614 Round #2 Identify Ops	83,610
iCone Products, LLC	CLEAN TRANSPORTATION, Connecting WNY Work Zones	33,000
Illume Advising LLC	Eval MCDG:Climate Act Benefits, TWO #2 - DAC Benefits	222,251
Imperial Manor Associates LLC	Multifam Performance Pgm, Multifamily	17,700
Imperium3 New York Inc	OJT	72,677
	OJT Jeffrey Geisenhof	4,566
	Talent Pipeline:CE and OJT, OJT	5,448
	Talent Pipeline:CE and OJT, OJT Ilma Halilovic	4,079
	Talent Pipeline:CE and OJT, OJT Ramik Glenn	2,165
Incorporated Village of Roslyn Harbor	CLEANER GREENER COMMUNITIES, Roslyn Harbor	15,000
Industrial Economics, Incorporated	CLEAN TRANSPORTATION, TWO 2 New York State Truck – V	94,871
	Community Energy Engagement, TWO1 - CEEP Evaluation	5,488
	Electric Vehicles - Innovation, TWO2 - CT Evaluation	21,573
	Electric Vehicles - Rebate, TWO2 - CT Evaluation	43,146
	ENERGY ANALYSIS, TWO 1 EE Supply Curve Analysis	36,856
	Environmental Research, TWO#4 Climate Econ. Impact	90,294
	Eval MCDG: MD&IR Case Studies, TWO 3 - Case Studies	166,499

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Industrial Economics, Incorporated</b>	New Construction Housing, TWO 3 - Case Studies	0
	OTHER PROGRAM AREA, Market Evaluation Dev. Study	84,013
	Product Standards, TWO 1 EE Supply Curve Analysis	10,530
	Pub Transit & Elect Rail, TWO2 - CT Evaluation	5,091
<b>INF Associates LLC</b>	NYCH: Technical Assistance, FT13780 - 17 Smith - FTC	16,000
	NYCH: Technical Assistance, FT13795 - 5 Times Sq. - FTC	31,834
	NYCH: Technical Assistance, FT13796 - 37-18 Northern - FTC	15,921
	NYCH: Technical Assistance, FT13797 - 32 Old Slip - FTC	30,829
	NYCH: Technical Assistance, FT13798 - 1285 AoA - FTC	54,698
	OJT Jenna Lopez	4,752
<b>Infinite Invention</b>	Future Grid Perf. Challenges, ConnectDER Monitor & Control	928,122
	High Performing Grid, ConnectDER Monitor & Control	-607,569
	High Performing Grid, Meter Adapt for Energy Storage	355,016
<b>Infinity Solar Systems, LLC</b>	<200KW PV, PON 2112 NY SUN	258,946
<b>Innoenergy USA, LLC</b>	EVPRZ:Community Partner Funds, Prize Plan Grnt - Innoenergy	18,531
	EVPRZ:Planning Grants, Prize Plan Grnt - Innoenergy	100,000
<b>Institute for Building Technology and Sa</b>	>200KW PV, TWO 3 CAT 1 NY-Sun Large C&I	78,086
	NY-SUN, TWO 4 NYSUN Res NonRes	450,121
<b>Institute for Market Transformation</b>	NYCH: Innovation, VHE HVAC	17,223
<b>Integral Building &amp; Design, Inc.</b>	Buildings of Excellence, BoE Rnd 1 - Design Team Incen.	37,500
	OJT	6,293
	Talent Pipeline:CE and OJT, OJT	7,658
<b>Integrated Energy Service Corp</b>	Real Time Enrgy Management, IES-32 Old Slip-RTEM	17,970
	Real Time Enrgy Management, IES-75 Rockefeller-RTEM	10,440
	Real Time Enrgy Management, IES-450Lexington-RTEM	13,320
	Real Time Enrgy Management, IES-470 Vanderbilt-RTEM	11,100
	Real Time Enrgy Management, Integrated- 375 Park Ave -RTEM	13,620
	Real Time Enrgy Management, Integrated- 810 7th Ave - RTEM	16,440
	Real Time Enrgy Management, Integrated-SL Green Multi-RTEM	259,883
<b>Integrated HVAC Systems and Services</b>	Real Time Enrgy Management, Integrated HVAC-261 W 25-RTEM	12,200
	Real Time Enrgy Management, Integrated-102 N End Ave-RTEM	20,000
	Real Time Enrgy Management, Integrated-881 Erskine St-RTEM	139,566
<b>Integrated Staffing Corporation</b>	ENERGY ANALYSIS, TS.032 - EEA_Coordinator	4,045
	NYSERDA ADMINISTRATION, TS.028 - Marketing_Coordinator	28,552
<b>Integrity Solar Solutions, LLC</b>	<200KW PV, PON 2112 NY SUN	58,335
<b>IntelliGen Power Systems, LLC</b>	Combined Heat and Power, CHPA - 1990 Lexington Ave	246,616
<b>International Electronic Machines Cor..</b>	CLEAN TRANSPORTATION, Noncontact Elect. Wheel Gauge	75,000
<b>Interstate Renewable Energy Council, ..</b>	NYCH: Talent Ppln:CE and OJT, PON3981 Round 12	7,000
<b>Isaac TEC LLC</b>	NYCH: Talent Ppln:CE and OJT, PON3981 Round 11	43,539
<b>Ithaca Neighborhood Housing Service..</b>	On-Site Energy Manager, OsEM45-M - INHS	17,366
<b>J Synergy Green Inc</b>	WORKFORCE DEVELOPMENT, OJT	5,550
	WORKFORCE DEVELOPMENT, OJT HIRE	1,939
<b>J Synergy Solar LLC</b>	<200KW PV, NY-Sun	21,884
	<200KW PV, PON 2112 NY SUN	5,550
	>200KW PV, PON 2112 NY SUN	5,950
<b>J. Grace Corporation</b>	Talent Pipeline:CE and OJT, OJT	2,066
<b>J&amp;A Electrical Construction LLC</b>	<200KW PV, PON 2112 NY SUN	79,315
<b>Jaros, Baum &amp; Bolles</b>	Cleantech POCC, Support Empire Tech Prize	41,661

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Jaros, Baum &amp; Bolles</b>	Commercial Real Estate Ten, JBB-80 Pine St FI 12-CTP	15,041
	Empire Building Challenge, Support Empire Tech Prize	11,735
	Market Tests, Market Insights	143,652
	NYCH: Technical Assistance, FT13167 - 745 Seventh - FTC	-28,258
	NYCH: Technical Assistance, FT13498 - 1271 AoA - FTC	4,895
	NYCH: Technical Assistance, FT13803 - 1301 AoA - FTC	25,530
	Technical Services, FT13167 - 745 Seventh - FTC	38,542
<b>JBI Construction Group</b>	<200KW PV, PON 2112 NY SUN	5,000
<b>Jericho Rise Wind Farm, LLC</b>	REC:CES REC Contracts, 9th RPS Main Tier Solicitation	2,113,885
<b>John Betlem Heating &amp; Cooling Inc</b>	NYCH: Talent Ppln:CE and OJT, OJT	15,811
<b>Johnson Controls, Inc. (Syracuse)</b>	K-12 SCHOOLS, P12GC-71E - Sullivan - FTC	48,002
	NYCH: Technical Assistance, FT13230 - Multiple - FTC	38,240
	Rmve Barriers Dist Enrgy Storg, FT13422 - Tompkins - FTC	14,056
<b>Johnstown 2 Solar, LLC</b>	>200KW PV, NY Sun C&I	184,365
<b>Jones Lang LaSalle Americas, Inc.</b>	Commercial Real Estate Ten, JLL Americas-Multisite	13,800
	On-Site Energy Manager, OsEM29-I - IBM Poughkeepsie	3,314
	On-Site Energy Manager, OsEM61-I - IBM Yorktown	28,812
	On-Site Energy Manager, OsEM83-I Phillips Medical	57,558
	Real Time Enrgy Management, JLL - Multisite - RTEM	26,910
<b>Jordan Energy and Food Enterprises ..</b>	<200KW PV, PON 2112 NY SUN	16,958
<b>Joseph R Chimera</b>	WEST VALLEY DEVELOPMENT PROGRAM, Ops and Maintenance	55,393
<b>Joseph Technology Corporation,</b>	NYCH: District, PON4614 Round #1 Guidebook	20,000
<b>JouleSmart Solutions, Inc.</b>	Real Time Enrgy Management, Joule Smart-Multisite-RTEM	4,434
	Real Time Enrgy Management, JouleSmar-500 Yonkers Ave-RTEM	17,896
	Real Time Enrgy Management, JouleSmart - MultiSite - RTEM	20,505
	Real Time Enrgy Management, JouleSmart- 97 Lake Ave - RTEM	2,861
	Real Time Enrgy Management, RTEM Gas Mini-Bid Contract	839
	Real Time Enrgy Management, YonkersHonda-2000Central-RTEM	11,194
<b>JP Bus &amp; Truck Repair LTD</b>	CLEAN TRANSPORTATION, NYTVIP - Suffolk Trans Service	1,400,000
<b>JR &amp; SONS EXCAVATING INC.</b>	WEST VALLEY DEVELOPMENT PROGRAM, Ops and Maintenance	732
<b>Juilliard School</b>	Technical Services, OsEM92-C-The Juilliard School	11,115
<b>Kamtech Restoration Corp</b>	<200KW PV, NY-Sun	76,232
<b>Karp Strategies, LLC</b>	OREC: Technical Support, NYS OSW Training Efforts	120,908
<b>Karpman Consulting, LLC</b>	Code to Zero, KARPMAN TWO#1 Training	22,777
	Code to Zero, TWO #1	557
<b>Kasselman Solar LLC</b>	<200KW PV, NY-Sun	92,332
	<200KW PV, PON 2112 NY SUN	828,041
<b>Kawi Energy Group Corp.</b>	Commercial Real Estate Ten, Kawi - 20 Sickles Ave - CTP	5,430
	Commercial Real Estate Ten, Kawi Energy Group - Multisite	26,600
	Commercial Real Estate Ten, Kawi Energy-69 E 167th St-CTP	8,978
	Commercial Real Estate Ten, Kawi- 155 W 23rd -Multi Sites	49,510
	Talent Pipeline:CE and OJT, OJT HIRE	15,360
<b>Kearns &amp; West, Inc.</b>	Consumer Ed and Market Support, TWO 1 - RMAG	58,714
	Energy Storage Tech/Prod Dev, TWO 7 - H2 public outreach sup	23,567
	Environmental Research, TWO 4 Learning from Experts	9,701
<b>Keiryn Ross</b>	Workforce Industry Partnership, PON 3715 (R6) BOM	30,557
<b>Kelliher Samets LTD</b>	Air Source Heat Pumps, Marketing Support for NYSERDA	7,692
	BR: Program Implementation, TWO 43 Build Ready Marketing	4,633

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>	
<b>Kelliher Samets LTD</b>	Clean Energy Hub, TWO 4 - CE Hubs launchsupport	3,528	
	Code to Zero, TWO 26 Codes Marketing	5,610	
	Community RH&C, Marketing Support for NYSERDA	19,231	
	Consumer Awareness, KSV TWO 30 Consumer Awareness	214,303	
	Consumer Ed and Market Support, KSV TWO 38 Heat Pump Planner	14,436	
	Consumer Ed and Market Support, Marketing Support for NYSERDA	8,500	
	Consumer Ed and Market Support, TWO#45 SFR	77,368	
	Geothermal Incentive Program, Marketing Support for NYSERDA	19,231	
	GJGNY Market Rate Audits, TWO#45 SFR	2,708	
	Home Perf w Energy Star, KSV TWO 32 LMI Website Hub	0	
	Home Perf w Energy Star, TWO#45 SFR	10,832	
	KSV TWO 41 Loan Loss Reserve	50,470	
	KSV TWO 42 IPNA Bridge Loan	22,958	
	LMI Marketing, KSV TWO 32 LMI Website Hub	56,166	
	Low-Income Forum on Energy, TWO 1 - DAC Outreach	7,268	
	Low-Income Forum on Energy, TWO 4 - CE Hubs launchsupport	0	
	Market Tests, TWO 22 Building Labeling Mkt	2,362	
	Multifam Performance Pgm, Marketing Support for NYSERDA	1,488	
	NENY:CHGE Energy Advisor, KSV TWO 32 LMI Website Hub	11,310	
	NENY:Con Ed Energy Advisor, KSV TWO 32 LMI Website Hub	143,266	
	NENY:KEDLI Energy Advisor, KSV TWO 32 LMI Website Hub	31,555	
	NENY:KEDNY Energy Advisor, KSV TWO 32 LMI Website Hub	37,374	
	NENY:NFG Energy Advisor, KSV TWO 32 LMI Website Hub	15,081	
	NENY:NIMO Energy Advisor, KSV TWO 32 LMI Website Hub	47,946	
	NENY:NYSEG Energy Advisor, KSV TWO 32 LMI Website Hub	22,621	
	NENY:O&R Energy Advisor, KSV TWO 32 LMI Website Hub	7,540	
	NENY:RGE Energy Advisor, KSV TWO 32 LMI Website Hub	18,851	
	New Construction Housing, TWO 28 Carbon Neutral Bldgs	191,523	
	New Construction- Commercial, TWO 28 Carbon Neutral Bldgs	59,174	
	NY-SUN, Marketing Support for NYSERDA	14,188	
	NYCH: Comfort Home, TWO#45 SFR	46,421	
	NYCH: Consumer Awareness, KSV TWO 34 NYS Clean Heat	1,437,975	
	NYCH: Critical Tools, KSV TWO 38 Heat Pump Planner	14,436	
	NYCH: Critical Tools, TWO 5 - NYS Tracking Study	35,798	
	NYCH: District, TWO40:Community Heat Pumps MKT	11,898	
	NYCH: LMI, KSV TWO 38 Heat Pump Planner	14,436	
	NYCH: Supply Chain, TWO 3 - Clean Heat Connect	57,112	
	NYCH: Technical Assistance, TWO#45 SFR	12,766	
	NYSERDA ADMINISTRATION, KSV TWO 36 Website User Exper	35,222	
	NYSERDA ADMINISTRATION, TWO 2 - Social Media Mgmnt	43,733	
	NYSERDA ADMINISTRATION, TWO 6 - Logo Updates	17,400	
	Pay for Performance, TWO#45 SFR	38,684	
	Renewable Heat NY, Marketing Support for NYSERDA	2,564	
	Retrofit NY, Marketing Support for NYSERDA	10,311	
	Talent Pipeline:CE and OJT, TWO 21 WFD Talent Pipeline Mkt	9,988	
	Talent Pipeline:Internship Pgm, TWO 21 WFD Talent Pipeline Mkt	1,998	
	<b>Kilowatt Engineering, Inc.</b>	Commercial Real Estate Ten, FlexTech Consultant Selection	12,205
		Industrial Process Effic, 2621 Umbrella Contract	524

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Kilowatt Engineering, Inc.</b>	Industrial Process Effic, Industrial Process Efficiency	1,463
	Industrial Process Effic, IPE16257	829
	Industrial Process Effic, IPE16261	529
<b>Kinetic Communities Consulting Corporati</b>	Community RH&C, CH&C Communities Round 3	84,994
	NYCH: Talent Ppln:CE and OJT, OJT	55,555
<b>Kingsley Housing Development Fund ..</b>	Multifam Performance Pgm, Multifamily	32,800
<b>Kite Realty Group, LP</b>	Technical Services, OsEM87-C - Kite Realty Group	54,452
<b>Kool-Temp Heating &amp; Cooling</b>	<200KW PV, PON 2112 NY SUN	8,946
<b>KPMG LLP</b>	NEW YORK GREEN BANK, NYSERDA Audit Services	42,000
	NYSERDA ADMINISTRATION, NYSERDA Audit Services	93,500
<b>Krueger Transport LLC</b>	EVPRZ:Community Partner Funds, Prize Planning Grant - Krueger	16,865
	EVPRZ:Planning Grants, Prize Planning Grant - Krueger	100,000
<b>L&amp;S Energy Services, Inc.</b>	ANAEROBIC DIGESTER, ADG - L&S - TWO	7,551
	Campus/Technical Assistance, L&S Technical Review - TWO	8,751
	Code to Zero, TWO #1	5,600
	Combined Heat and Power, ADG - L&S - TWO	7,551
	Commercial New Construc, Commercial New Construction	71,233
	Commercial Real Estate Ten, FlexTech Consultant Selection	7,204
	Direct Injection Program, HCR Minibid TWO #1	5,193
	Flexible Tech Assistance, L&S GJGNY Energy Audits	484,190
	Flexible Tech Assistance, L&S Technical Review - TWO	20,379
	GJGNY REVOLVING LOAN FUND, L&S GJGNY Energy Audits	26,740
	HCR Direct Injection, HCR Minibid TWO #1	10,387
	K-12 SCHOOLS, L&S Technical Review - TWO	8,933
	New Construction Housing, HCR Minibid TWO #1	0
	New Construction- Commercial, Commercial New Construction	28,580
	On-Site Energy Manager, Umbrella Contract	9,206
	Pay for Performance, L&S Technical Review - TWO	6,731
	REV Campus Challenge, L&S Technical Review - TWO	3,231
	REV Campus Challenge, RM43 - Paul Smith's College	14,670
	Technical Services, FT13745 - 461 9N - FTC	9,546
	Technical Services, FT13769 - 46 School - FTC	7,045
Technical Services, L&S Technical Review - TWO	47,295	
Technical Services, Tech Review - OsEM	32,355	
<b>L+M Workforce Housing Fund Holdco,..</b>	Multifam Performance Pgm, Multifamily	9,100
<b>LaBella Associates, P.C.</b>	BR: Prospecting, Site Prospecting Services	131,638
	Geothermal Incentive Program, Large-Scale GSHP Rebate	406,800
	K-12 SCHOOLS, P12GC-51E - Rome CSD - FTC	64,838
	K-12 SCHOOLS, P12GC-52E - Hornell CSD - FTC	20,451
	New Construction- Commercial, Commercial New Construction	35,607
	NYCH: Technical Assistance, FT13363 - 30 Campus - FTC	64,147
	Rmve Barriers Dist Enrgy Storg, FT13467 - 95 Perry - FTC	836
	Technical Services, AEAP1284 - Lismore Dairy LLC	2,496
	Technical Services, FT13437 - 711 North - FTC	5,332
<b>Lake Country Geothermal, Inc.</b>	NYCH: Talent Ppln:CE and OJT, OJT	12,318
	OJT	5,242
<b>Lamb Farms Inc.</b>	ANAEROBIC DIGESTER, RPS ADG - Lamb Lakeshore Dairy	48,533
<b>Launch New York, Inc.</b>	Cleantech Incubator, Launch NY ECO Incubator	253,500

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Leenhouts Solar Farm I, LLC</b>	>200KW PV, NY Sun	67,881
<b>Leon A Clifford ET AL PTR</b>	Multifam Performance Pgm, Multifamily	12,030
<b>Levitan &amp; Associates, Inc.</b>	>200KW PV, TWO 2 CES Solicitation Support	151
	OREC: Technical Support, Large-Scale Renewables	125,696
	OREC: Technical Support, TWO#3 ORECRFP22 Support	382,767
	REC4:CES REC4 Tech Support, TWO 2 CES Solicitation Support	109,455
	REC:CES REC System Dev Costs, Large-Scale Renewables 2020 So	120,288
	REC:CES REC System Dev Costs, TWO 2 CES Solicitation Support	0
	TWO 1 Future of Solar White Pp	26,605
<b>Light Green Machines LLC</b>	Pub Transit & Elect Rail, Lightweight bus chassis develo	31,547
<b>LineVision, Inc.</b>	High Performing Grid, Power Grid Innovation	120,000
<b>Livingston 4 Solar, LLC</b>	>200KW PV, NY Sun C&I	207,302
<b>Livingston Energy Group</b>	OJT	5,800
<b>Local 32BJ Thomas Shortman Training</b>	Talent Pipeline:CE and OJT, PON3981 WFD Capacity Building	11,050
<b>Local Initiatives Support Corporation</b>	EVPRZ:Community Partner Funds, Prize Planning Grant - LISC	40,000
	EVPRZ:Planning Grants, Prize Planning Grant - LISC	100,000
<b>Lodestar Energy</b>	>200KW PV, NY Sun	769,761
<b>Long Island High Technology Incubat..</b>	Cleantech Incubator, Clean Energy Incubator	92,500
<b>Long Island Power Authority</b>	NY-SUN, MOU - 3 year term	10,000,000
<b>Long Island Power Solutions</b>	<200KW PV, PON 2112 NY SUN	225,053
<b>Loring Consulting Engineers, Inc.</b>	Technical Services, FT13973 - 660 First - FTC	2,830
<b>Luthin Associates, Inc.</b>	Informat. Products & Brokering, Market Engagement support	42,490
	Real Time Enrgy Management, Market Engagement support	42,490
<b>M/E Engineering, P.C.</b>	Commercial New Construc, Commercial New Construction	14,940
	K-12 SCHOOLS, P12GC-9_E - Cortland CSD - FTC	8,980
	K-12 SCHOOLS, P12GC-64E - Williamsville -FTC	28,034
	New Construction- Commercial, Commercial New Construction	36,244
	NYCH: District, PON 4614 Rd #1 Syracuse U	69,120
	NYCH: District, Round 3 SUNY Oswego	2,000
	NYCH: Technical Assistance, FT13581 - SUNY Cortland - FTC	2,564
	Technical Services, FT14261 - Bausch + Lomb - FTC	2,180
<b>Mack Trucks, Inc.</b>	EVPRZ:Community Partner Funds, Prize Planning Grant - Volvo	42,502
	EVPRZ:Planning Grants, Prize Planning Grant - Volvo	100,000
<b>Maine-Endwell Central School District</b>	>200KW PV, NY Sun	162,001
<b>Maison East Condominium</b>	NYCH: Technical Assistance, FT13693 - 1438 3rd - PON	9,125
<b>Manifold Robotics, Inc.</b>	High Performing Grid, PON4074 High Perfrm Grid Prgr	13,000
<b>Maple Tap Solar, LLC</b>	>200KW PV, NY Sun	241,250
<b>Marble River Wind Farm LLC</b>	LARGE SCALE RENEWABLES, Marble River Wind Farm	3,751,578
<b>Mark MaGrann Associates</b>	NextGen HVAC, Downstate gas fired heat pump	0
<b>Marsh Hill Energy, LLC</b>	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	914,993
<b>Marshall &amp; Sterling, Inc.</b>	NYSERDA ADMINISTRATION, RFP 4301 Insurance	275,235
<b>Master Consulting Management Corp</b>	NYCH: Talent Ppln:CE and OJT, OJT	36,090
<b>Matrix Solar OC Newburgh Route 17K, LLC</b>	>200KW PV, NY Sun	496,204
	NY-SUN, NY Sun	875,654
<b>Max Solar Inc</b>	<200KW PV, NY-Sun	6,144
	<200KW PV, PON 2112 NY SUN	28,566
<b>McMahon and Mann Consulting Engineers</b>	WEST VALLEY DEVELOPMENT PROGRAM, TWO2 North Slope Stabiliza..	95,844
	WEST VALLEY DEVELOPMENT PROGRAM, TWO#1 On-Demand Job Or..	24,546



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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>McMahon and Mann Consulting Engineers</b>	WEST VALLEY DEVELOPMENT PROGRAM, TWO#7 Geotech Investigati..	214,156
<b>MDRC</b>	Pay for Success CE Training	171,302
<b>Mechanical Energy Solutions LLC</b>	Combined Heat and Power, CHPA - 1540 Broadway	537,868
<b>Medusa NY 1 LLC</b>	>200KW PV, NY-Sun	168,029
<b>Meister Consultants Group, Inc.</b>	REV Campus Challenge, Efficiency Planning & Engineer	50,322
<b>Melrose North MM LLC</b>	Multifam New Construction, New Construction	30,000
<b>MEP Geothermal Engineering, PLLC</b>	NYCH: District, PON 4614 Round #1 Fleet	10,000
	NYCH: District, PON4614 Round #1 Children's V	24,220
<b>Messer LLC</b>	Industrial Process Effic, Industrial Process Efficiency	600,000
<b>Michaels Energy, Inc.</b>	Advancing Ag Enrgy Technologie, TWO #3 Agriculture Impact Eval	740
	Agriculture Energy Eff Pgm, TWO #3 Agriculture Impact Eval	386
	Evaluation External, TWO 2 - Impact Eval PM Assist	18,237
	Greenhouse Light & Systems Eng, TWO #3 Agriculture Impact Eval	297
	On-Site Energy Manager, TWO 1 - EMP Impact Evaluation	9,891
	Strategic Energy Manager, TWO 1 - EMP Impact Evaluation	3,297
	Technical Services, TWO #3 Agriculture Impact Eval	366
<b>Micro Nano Technologies</b>	NYCH: Innovation, New Gen Ultra-Efficient AC	111,968
<b>MicroEra Power, Inc.</b>	NYCH: Innovation, Multi-mode TES & Commercial He	194,811
<b>MIDDLESEX-YATES SOLAR LLC</b>	>200KW PV, NY-Sun C&I	358,475
<b>Middletown NY 1, LLC</b>	>200KW PV, NY-Sun C&I	164,163
<b>Middletown NY 2, LLC</b>	>200KW PV, NY-Sun C&I	66,018
<b>Midstate Correctional Marcy NY Solar ..</b>	>200KW PV, NY Sun Assignment	424,320
<b>Milea Truck Sales Inc</b>	CLEAN TRANSPORTATION, NYT_VIP	58,330
	CLEAN TRANSPORTATION, NYT-VIP	174,990
<b>Mintz, Levin, Cohn, Ferris, Glovsky and</b>	Cleantech Ignition, RFP 12 - NYGB Legal Services	13,542
<b>Mintzer Mauch PLLC</b>	BR: Program Implementation, TWO 1 - Build-Ready – Deferiet	10,929
<b>MIR Queens Place, LLC</b>	Technical Services, FT13318 - 88-01 Queens - PON	21,555
	Technical Services, FT13894 - 88-01 Queens - PON	8,730
<b>MJW Technical Services, Inc.</b>	WEST VALLEY DEVELOPMENT PROGRAM, Radiation Protection Support	98,926
<b>MLK Plaza LLC</b>	Multifam New Construction, PPES T2 MLK Plaza	50,000
<b>Mobileware Inc</b>	Pub Transit & Elect Rail, On-demand commuter carpooling	66,284
<b>Mohawk Fine Papers Inc.</b>	On-Site Energy Manager, OsEM77-I - Mohawk Fine Paper	54,600
<b>Mohawk Valley Economic Developme..</b>	CLEANER GREENER COMMUNITIES, CEEP Mohawk Valley Region (MVE	29,764
<b>Molloy College</b>	CLEANER GREENER COMMUNITIES, CGC42044 - Molloy College	135,743
<b>Montgomery County Treasurer</b>	Clean Energy Communities, CEC610859-Montgomery County	63,750
<b>Morgan Stanley Services Holding, LLC</b>	REC:CES REC Contracts, 10th RPS Main Tier Solicitatio	55,140
<b>Morningside Housing Associates, LP</b>	Multifam Performance Pgm, Multifamily	27,600
<b>Morristown Solar II, LLC</b>	>200KW PV, NY Sun	591,192
	NY-SUN, NY Sun	765,072
<b>Morton Salt Inc</b>	Real Time Enrgy Management, Morton Salt - 45 Ribaud - RTEM	111,510
<b>Mount Hope Solar 2, LLC</b>	>200KW PV, NY-Sun C/I	259,186
<b>Mount Sinai Medical Center</b>	Technical Services, OsEM35 - Mount Sinai St Lukes	8,333
<b>MR. AIR NYC Corp.</b>	NYCH: Talent Ppln:CE and OJT, OJT	26,959
<b>MSAP 13 LLC</b>	>200KW PV, NY Sun	204,271
<b>MVN Realty, LLC</b>	Multifam Performance Pgm, Multifamily	15,800
<b>National Renewable Energy Laboratory</b>	Environmental Research, ENV & Fisheries Rsrch for OSW	32,597
<b>National Solar Technologies</b>	<200KW PV, PON 2112 NY SUN	99,850
<b>National Wind Technology Consortium,</b>	Nat'l OffShWind R&D Consortium, National OSW R&D Concorcium.	349,346

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>National Wind Technology Consortium, Inc</b>	Nat'l OffShWind R&D Consortium, NOWRDC-103-Crowley	134,000
	Nat'l OffShWind R&D Consortium, NOWRDC-104-Exmar	81,537
	Nat'l OffShWind R&D Consortium, NOWRDC-105-ESTECO	57,450
	Nat'l OffShWind R&D Consortium, NOWRDC-107-MARIN	117,243
	Nat'l OffShWind R&D Consortium, NOWRDC-109-GE Research	540
	Nat'l OffShWind R&D Consortium, NOWRDC-110-Tufts	59,427
	Nat'l OffShWind R&D Consortium, NOWRDC-111-CODAR	40,346
	Nat'l OffShWind R&D Consortium, NOWRDC-113-Worley	8,304
	Nat'l OffShWind R&D Consortium, NOWRDC-115-ThayerMahan	191,538
	Nat'l OffShWind R&D Consortium, NOWRDC-118-PCCI	2,500
	Nat'l OffShWind R&D Consortium, NOWRDC-119-ESTEYCO	29,875
	Nat'l OffShWind R&D Consortium, NOWRDC-120-Deep Reach Tech	84,281
	Nat'l OffShWind R&D Consortium, NOWRDC-122-GE Renewable	184,958
	National OSW R&D Consortium.	220,146
	NOWRDC-103-Crowley	134,000
	NOWRDC-104-Exmar	81,537
	NOWRDC-105-ESTECO	57,450
	NOWRDC-107-MARIN	117,243
	NOWRDC-109-GE Research	540
	NOWRDC-110-Tufts	59,427
	NOWRDC-111-CODAR	40,346
	NOWRDC-113-Worley	8,304
	NOWRDC-115-ThayerMahan	191,538
	NOWRDC-118-PCCI	2,500
	NOWRDC-119-ESTEYCO	29,875
	NOWRDC-120-Deep Reach Tech	84,281
NOWRDC-122-GE Renewable	184,958	
<b>Nautilus Owner 2020, LLC</b>	>200KW PV, NY-Sun C&I	604,422
<b>Nautilus Owner 2021, LLC</b>	>200KW PV, NY Sun	1,073,280
<b>NESCAUM</b>	ENVIRONMENTAL RESEARCH, RFQL3685 Round 1	52,233
	ENVIRONMENTAL RESEARCH, Tech Assist, REV Pool	241,417
	ENVIRONMENTAL RESEARCH, TWO #7 Comparative Assessment	64,731
	ENVIRONMENTAL RESEARCH, TWO #7 LISTOS Air Quality Mode	53,420
	ENVIRONMENTAL RESEARCH, TWO #8 AEROMMA	122,081
	ENVIRONMENTAL RESEARCH, TWO #8 Wood Analytical	22,091
	ENVIRONMENTAL RESEARCH, TWO #9 IDC Techology Transfer	23,574
	ENVIRONMENTAL RESEARCH, TWO #10 Air Quality	132,158
	ENVIRONMENTAL RESEARCH, TWO #11 Wood Heating	124,621
	ENVIRONMENTAL RESEARCH, TWO#12 Sidewash Algorithm	82,309
	ENVIRONMENTAL RESEARCH, TWO#14 Acceptance Tsting Mthds	33,537
	OTHER PROGRAM AREA, Tech Assist, REV Pool	0
	OTHER PROGRAM AREA, TWO #6 VOCs on Staten Island	77,268
	Renewable Heat NY, RFQL3685 Round 1	12,260
	Renewable Heat NY, TWO #10 Air Quality	59,758
	RENEWABLE HEAT NY, TWO #13 RHNY Assessment	2,902
<b>Net-Zero Development LLC</b>	Buildings of Excellence, Buildings of Excellence R1	262,500
	Low Rise New Construction, 2019 LRNCP	82,000
	New Construction Housing, 2019 LRNCP	1,100

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Netgains Engineering P.C.</b>	NYCH: Technical Assistance, FT13316 - 160 Central - FTC	9,873
	NYCH: Technical Assistance, FT13586 - 111 Steuben - FTC	5,000
	NYCH: Technical Assistance, FT13605 - 3585 Greystone - FTC	8,500
	NYCH: Technical Assistance, FT13651 - 100 Riverside - FTC	15,000
	NYCH: Technical Assistance, FT13682 - 940 Tiffany - FTC	7,000
	NYCH: Technical Assistance, FT13683 - 1710 Andrews - FTC	7,500
	NYCH: Technical Assistance, FT13684 - 975 Tiffany - FTC	8,000
	NYCH: Technical Assistance, FT13685 - 1730 Andrews - FTC	7,000
	NYCH: Technical Assistance, FT13694 - 144-21 79th - FTC	12,000
	NYCH: Technical Assistance, FT13695 - 78-10 147th - FTC	24,000
	NYCH: Technical Assistance, FT13788 - 2711 Henry Hud - FTC	7,500
	NYCH: Technical Assistance, FT13789 - 2390 Palisade - FTC	7,500
	NYCH: Technical Assistance, FT13790 - 1874 Pelham - FTC	7,500
	NYCH: Technical Assistance, FT13791 - 315 W. 232nd - FTC	7,500
	NYCH: Technical Assistance, FT13792 - 190 E. Mosholu - FTC	7,500
	NYCH: Technical Assistance, FT13811 - 110 Clifton - FTC	7,000
	NYCH: Technical Assistance, FT13871 - 3475 Greystone - FTC	15,000
	NYCH: Technical Assistance, FT13898 - 7 E. 14th - FTC	13,972
	Technical Services, FT13987 - 505 Court - FTC	8,000
	Technical Services, FT14011 - 408 E 92nd - FTC	18,000
<b>New Buildings Institute, Inc.</b>	Buildings of Excellence, BoE Rnd.1 Perform. Validation	36,673
	Code to Zero, TWO # 4	423,640
	K-12 SCHOOLS, NBI - Getting to Zero Workshop	10,000
	NYCH: Cost Reduction, TWO #2 Bldg Elec Roadmap Writi	404
	NYCH: Roadmap, TWO #2 Bldg Elec Roadmap Writi	9,686
<b>New Ecology, Inc.</b>	Real Time Enrgy Management, New Ecology-160 Warburton-RTEM	6,576
<b>New Energy Nexus New York LLC</b>	Cleantech POCC, Cleantech Accelerator	867,775
<b>New England Solar &amp; Green Solutions..</b>	<200KW PV, PON 2112 NY SUN	5,000
<b>New England Waste Services of NY Inc.</b>	LARGE SCALE RENEWABLES, Clinton Co. Landfill	17,393
<b>New Flyer of America, Inc.</b>	CLEAN TRANSPORTATION, NYTVIP - CDTA	385,000
	CLEAN TRANSPORTATION, NYTVIP - Rochester-Genesee RTA	385,000
	CLEAN TRANSPORTATION, NYTVIP - UCAT	979,071
	CLEAN TRANSPORTATION, NYTVIP - Westchester County	1,305,428
<b>New Leaf Solar LLC</b>	<200KW PV, NY-Sun	10,656
	<200KW PV, PON 2112 NY SUN	18,997
<b>New York Engineers, P.C.</b>	Technical Services, FT14191 - 41 Box - FTC	4,844
<b>New York Power Authority,</b>	High Performing Grid, PON 3770	405,000
<b>New York State Solar Farm Inc.</b>	<200KW PV, PON 2112 NY SUN	151,705
<b>New York State Weatherization Direct..</b>	Talent Pipeline:CE and OJT, PON3981 Round 3	24,020
<b>New York University</b>	Cleantech Incubator, PON3413 Clean Energy Incubator	542,500
	Net Zero Energy for Eco Dev, Net Zero Economic Development	26,970
	Technical Services, OsEM80-C - NYU Dental	18,054
<b>New York University Langone Medical Cent</b>	REV Campus Challenge, RM42 - NYU Langone Health	41,469
	RM42 - NYU Langone Health	4,366
<b>Newport Ventures, Inc.</b>	Code to Zero, Newport TWO #1 Training	50,732
	Code to Zero, TWO #4	10,717
	Code to Zero, TWO #6 NYStretch Zero Energy	41,411
	Code to Zero, TWO3 Energy Code and NYStretch	44,688

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
Nexamp Inc.	>200KW PV, NY Sun	376,076
Next Generation Solar, LLC	<200KW PV, NY-Sun	14,700
	<200KW PV, PON 2112 NY SUN	42,630
NextCorps Inc	Cleantech POCC, Cleantech Accelerator	872,895
	M-Corps, ACT Prototypes to Mass Prod NY	270,487
NIC Holding Corp	FUEL NY, NYS Strategic Gasoline Reserve	254,379
Nickels Energy Solutions LLC	<200KW PV, PON 2112 NY SUN	47,598
NMR Group, Inc.	EVALUATION, RFQ 3183 NMR Group, Inc.	6,348
	Home Perf w Energy Star, RFQ 3183 NMR Group, Inc.	16,920
Noblehurst Farms, Inc.	ANAEROBIC DIGESTER, RPS CST ADG-to-Electricity Dai	71,949
Noresco LLC	Code to Zero, Third-party E-Code Support	32,295
	Code to Zero, TWO #4	33,781
	Commercial New Construc, TWO Commercial NC	7,541
	New Construction- Commercial, Commercial New Construction	2,664
	NYCH: Technical Assistance, FT13688 - 6304 Carrier - FTC	0
	REV Campus Challenge, FT13325 - Morningside - FTC	31,983
	REV Campus Challenge, FT13443 - Morningside - FTC	64,114
	Technical Services, FT13267 - 240 Greenwich - FTC	26,220
	Technical Services, FT13440 - Smilow - FTC	4,880
	Technical Services, FT13638 - 1233 York - FTC	17,594
Technical Services, FT13688 - 6304 Carrier - FTC	110,298	
Normandeau Associates, Inc.	Environmental Research, Digital Aerial Baseline Survey	12,756
Norstar Development USA, LP	NYCH: Technical Assistance, FT13944 - Ellicott Town - PON	9,950
Northeast Energy Efficiency Partners..	NYCH: Technical Assistance, Single Family Residential	42,077
Northeast Green Building Consulting, LLC	Code to Zero, TWO #1	1,486
	Code to Zero, TWO #2	8,225
Northeast States for Coordinated Air ..	Environmental Research, NY climate clearinghouse	11,957
Norton Rose Fulbright US LLP	NEW YORK GREEN BANK, RFP 12: NYGB Legal Services	44,562
NORWICH - CHENANGO SOLAR, LLC	>200KW PV, NY-Sun C&I	434,558
Norwich Housing Authority	Multifam Performance Pgm, Multifamily	15,686
	NYCH: LMI, Clean Heating & Cooling	124,000
Novel Approaches Solar Applications,..	<200KW PV, PON 2112 NY SUN	19,250
NP Environmental LLC	NYCH: Talent Ppln:CE and OJT, OJT	38,235
NY Afton I, LLC	>200KW PV, NY-Sun C&I	448,212
NY Benton I, LLC	>200KW PV, NY Sun	517,103
	NY-SUN, NY Sun	620,525
NY Bethel I, LLC	>200KW PV, NY-Sun C/I Full Assignment	247,428
NY BIG FLATS I, LLC	>200KW PV, NY Sun C&I	612,985
NY CDG 002 LLC	>200KW PV, NY-Sun	123,369
NY Dryden I, LLC	>200KW PV, NY Sun c&I	318,096
NY Fayette I, LLC	>200KW PV, NY-Sun	266,558
NY Horseheads I, LLC	>200KW PV, NY Sun c&I	290,061
NY Horseheads II, LLC	>200KW PV, NY Sun C&I	284,068
NY MACEDON I LLC	>200KW PV, NY-Sun C&I	114,834
NY MACEDON II LLC	>200KW PV, NY-Sun C&I	91,239
NY MOOERS V LLC	>200KW PV, NY-Sun C&I	261,458
NY ONTARIO I LLC	>200KW PV, NY-Sun C&I	184,061
NY ORANGE I LLC	>200KW PV, NY-Sun C&I	112,290

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
NY Pike III, LLC	>200KW PV, NY Sun	418,608
NY Pike IV, LLC	>200KW PV, NY Sun	209,304
NY Portage I, LLC	>200KW PV, NY-Sun C&I	514,995
NY RUSHFORD I LLC	>200KW PV, NY-Sun C&I	278,243
NY Tioga I, LLC	>200KW PV, NY Sun	417,942
	NY-SUN, NY Sun	652,860
NYC Department of Environmental Pr..	Industrial Process Effic, Industrial Process Efficiency	177,979
NYC School Bus Umbrella Services Inc.	Electric Vehicles - Innovation, RFP 4745	0
	EVPRZ:Community Partner Funds, RFP 4745	5,937
	EVPRZ:EJ Comm Clean Veh Trans, RFP 4745	0
	EVPRZ:Planning Grants, RFP 4745	100,000
NYS Association of School Business ..	K-12 SCHOOLS, P-12 ASBONY Outreach	2,250
NYS Labor Management Cooperation ..	Talent Pipeline:CE and OJT, PON3981 Round 9	62,875
NYS Office of General Services	SARATOGA TECHNOLOGY & ENERGY PARK, OGS design review permit..	48,253
NYS Office of Parks, Recreation and	<200KW PV, PON 2112 NY SUN	20,769
NYS School Facilities Association, Inc.	Workforce Industry Partnership, PON 3715 (BOM)	32,582
NYSDEC	WEST VALLEY DEVELOPMENT PROGRAM, WV-Admin	150,466
NYSolarDoctors LLC	<200KW PV, PON 2112 NY SUN	8,400
NYSS LLC	<200KW PV, NY-Sun	36,176
	COMMUNITY SOLAR, PON 2112 NY SUN	16,320
NYU Langone Hospitals	Workforce Industry Partnership, WFD for building O&M	80,108
O'Brien & Gere Engineers, Inc.	Industrial Process Effic, SEM_WRRF_O'Brien&Gere_TWO	4,633
	NYCH: Technical Assistance, FT13632 - Cornell - FTC	69,836
	REV Campus Challenge, FT13335 - Morrisville - FTC	6,030
O'Connell Electric Company	<200KW PV, NY-Sun	7,840
Oak Drive Mutual Housing	Multifam Performance Pgm, Multifamily	20,000
Ocean Tech Services LLC	Off-Shore Wind Pre-Dev Act, RFP 3855 Metocean Cat. 1: FLSS	312,756
	OREC: Technical Support, RFP 3855 Metocean Cat. 1: FLSS	345,242
Ocean Towers Partners LLC	Multifam Performance Pgm, Multifamily	72,000
Office of the Brooklyn Borough Presid..	Community RH&C, Cap Dist Heat & Cool Smart Cam	31,500
Okeenea Digital	Pub Transit & Elect Rail, Transit accessibility beacons	73,602
OLA Consulting Engineers, P.C.	New Construction- Commercial, Commercial New Construction	199
Olena Butternut LLC	Multifam Performance Pgm, Multifamily	1,800
Olin Corporation	On-Site Energy Manager, OsEM76-I - Olin Corporation	9,492
Omni New York LLC	Empire Building Challenge, EBC-Phase I-Omni	25,000
	NYCH: Empire Build Challenge, EBC-Phase I-Omni	25,000
OnForce Solar	NY-SUN, PV System @ Manhattan Beer Dis	53,755
OnRout Co.	OTHER PROGRAM AREA, Dynamic Pricing for Parcels	183,248
Onsite Energy, Inc.	<200KW PV, PON 2112 NY SUN	17,415
Opinion Dynamics Corporation	Clean Energy Communities, RFQ3183 Umbrella Agreement	41,029
Optimus Technologies Inc	76 West, 76 West Bus.Energy Comp.	100,000
Orange EV LLC	CLEAN TRANSPORTATION, NYTVIP - Wegmans Food Markets	421,625
Orangeville Energy Storage LLC	ESTOR:Bulk Storage Incentive, Bulk Storage Incentive	577,500
Orion Polymer Corp	Energy Storage Tech/Prod Dev, PON3585 R4 Energy Storage Tech	13,112
Orrick Herrington & Sutcliffe LLP	Cleantech Ignition, RFP 12: NYGB Legal Services	43,186
Otsego County Conservation Association	Community RH&C, CH&C Communities Round 3	10,605
	Community RH&C, PON3723 RH&C Campaigns	37,500
	NYCH: LMI, CH&C Communities Round 3	10,605

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Ove Arup &amp; Partners Consulting Engineers</b>	Environmental Research, TWO 5 Elect. Resilience	131,880
	Pub Transit & Elect Rail, TWO 4 Traction Power BEB Study	366,069
<b>OYA State Route 122 LLC</b>	>200KW PV, NY Sun	848,900
<b>Pactiv Corp.</b>	Industrial Process Effic, Industrial Process Efficiency	135,784
<b>Pametan, Inc.</b>	Real Time Enrgy Management, Pametan - 888 7th Ave - RTEM	10,800
	Real Time Enrgy Management, Pametan- 11 Penn Plaza -RTEM	13,200
<b>Paradise Energy Solutions, LLC</b>	<200KW PV, PON 2112 NY SUN	65,829
<b>Parity Inc</b>	Real Time Enrgy Management, Parity-450 North End Ave-RTEM	2,367
<b>Park Hill Housing, LLC</b>	Tech Assistanc Multifamily LMI, FT13974 - 63-34 South - PON	9,000
<b>Partridge Venture Engineering, P.C.</b>	Tech Assistanc Multifamily LMI, FT14253 - Multiple - FTC	7,165
	Technical Services, FT14074 - 1455-1499 - FTC	15,232
<b>Pathfinder Engineers &amp; Architects, LLP</b>	New Construction- Commercial, Commercial New Construction	40,091
<b>Pathstone Corporation</b>	CLEANER GREENER COMMUNITIES, CEEP Finger Lakes Region (PATH	58,989
	Community Energy Engagement, CEEP Finger Lakes Region (PATH	1,301
	Community RH&C, CH&C Communities Round 3	33,000
<b>PathStone Development Corporation</b>	Multifam Performance Pgm, Multifamily	5,000
<b>Patterson Farms, Inc.</b>	Anaerobic Digesters, PON 3739 CAT C	15,000
<b>Pearl Over Look Corporation</b>	Multifam Performance Pgm, Multifamily	75,000
<b>Pecan Street Inc.</b>	IEDR: Program Manager, IEDR Utility Data Advisor	50,606
<b>Pelham Fifth Ave JV LLC</b>	Net Zero Energy for Eco Dev, Net Zero Economic Development	47,154
<b>Peninsula Building 2A LLC</b>	New Construction Housing, 2019 MFCNP	26,000
<b>Penrose LLC</b>	New Construction Housing, 2019 MFCNP	75,400
<b>People United for Sustainable Housing In</b>	CLEANER GREENER COMMUNITIES, CEEP Western New York Region	53,482
	Community RH&C, Community CH&C Dev in WNY	35,500
<b>Performance Systems Development</b>	Code to Zero, PSD TWO #1 Training	277,175
	Code to Zero, TWO #1	1,092
<b>Performance Systems Development, Inc.</b>	NYCH: Comfort Home, TWO 3 - HPR OpenStudio/EPI	202,508
	NYCH: Critical Tools, TWO 3 - HPR OpenStudio/EPI	54,613
<b>PFNY LLC</b>	Technical Services, OsEM48-C-Planet Fitness of NY	190,571
<b>PGREF I 1633 Broadway Land, LP</b>	Technical Services, FT13219 - 1633 Broadway - PON	17,465
<b>Plugin Stations Online, LLC</b>	Electric Vehicles - Innovation, EVSE at schools demo	10,995
<b>PlugPV, LLC</b>	<200KW PV, NY-Sun	51,189
	<200KW PV, PON 2112 NY SUN	1,230,255
<b>Plymouth Gardens, Inc.</b>	Multifam Performance Pgm, Multifamily	46,000
<b>Point and Ravine, LLC</b>	New Construction Housing, NCP Housing	43,800
<b>Popli, Architecture + Engineering &amp; LS,</b>	Code to Zero, TWO #1	1,764
<b>Porter Avenue Acquisitions, LP</b>	Multifam Performance Pgm, Multifamily	25,000
	NYCH: LMI, Clean Heating & Cooling	0
<b>Power Guru, LLC</b>	<200KW PV, PON 2112 NY SUN	11,210
<b>Power to Hydrogen LLC</b>	Energy Storage Tech/Prod Dev, PON4169 Round #1	46,200
<b>PowerGEM, LLC</b>	BR: Interconnection, Benson Mines Interconnection	2,500
	BR: Screening, TWO - Build Ready - Cat 1	49,020
	CI Engy Siting & Soft Cost Red, TWO - Build Ready - Cat 1	0
<b>Powergen Development Group, LLC</b>	Combined Heat and Power, CHPA - One Carnegie Hill	66,738
<b>Pratt Institute</b>	Talent Pipeline:CE and OJT, OJT	12,529
<b>Premier Solar Solutions LLC</b>	<200KW PV, NY-Sun	15,840
	>200KW PV, NY-Sun	3,960
	>200KW PV, PON 2112 NY SUN	82,732

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Prescriptive Data</b>	Real Time Enrgy Management, PD - 4 NY Plaza - RTEM	10,098
	Real Time Enrgy Management, Prescriptive-555 5th Ave-RTEM	1,680
	Real Time Enrgy Management, Prescriptive-767 Fifth-RTEM	38,400
<b>Principle Power Inc</b>	Natl OffShWind R&D Consortium, Natl Offshore Wind R&D	182,237
	Natl Offshore Wind R&D	182,237
<b>ProsumerGrid, Inc</b>	76 West, 76 West Clean Energy	25,000
	Future Grid Perf. Challenges, Integrated EV & DER Forecast	779,245
	High Performing Grid, Integrated EV & DER Forecast	-158,820
<b>Proterra</b>	CLEAN TRANSPORTATION, NYT-VIP	1,402,078
<b>Proven Energy Systems LLC</b>	<200KW PV, NY-Sun	10,200
<b>Pterra, LLC</b>	High Performing Grid, PON3770 Overvoltage Protection	50,000
	High Performing Grid, PTerra work for ITWG	7,545
<b>Public Utility Law Project of New York</b>	SFY 21-22 PULP Appropriation	925,000
<b>Quanta Technology LLC</b>	OREC: Technical Support, TWO #1 OSW Transmis Study 2.0	83,171
<b>Quest Energy Group</b>	Commercial Real Estate Ten, Quest- 20 W 34th St FI 14-15	10,000
	Commercial Real Estate Ten, Quest-330 Madison FI 3-6	10,500
<b>Quidnet Energy Inc</b>	High Performing Grid, EPTD High Performance	176,581
<b>QwikSolar, LLC</b>	<200KW PV, PON 2112 NY SUN	73,172
<b>R.W. Beck Group, Inc.</b>	Technical Services, Targeted Healthcare Engagement	3,829
<b>Radiant Labs, LLC</b>	Informat. Products & Brokering, Dynamic Market Data Tool	162,600
	NYCH: Technical Assistance, Radiant Labs Roadmap Tool	31,955
<b>Radix Ecological Sustainability Center</b>	Talent Pipeline:CE and OJT, Climate Justice Fellow PON4772	17,078
<b>RAHF IV Shore Hill, LLC</b>	Multifam Performance Pgm, Multifamily	88,275
<b>Raj Technologies Inc.</b>	NYSERDA ADMINISTRATION, Modification - Name Change	58,235
<b>Ramboll Americas Engineering Soluti..</b>	Real Time Enrgy Management, Ramboll - 4815 Ellicott Street	2,585
<b>Randstad North America, Inc.</b>	Air Source Heat Pumps, Payroll Services_CHC	1,219
	Campus/Technical Assistance, Payroll Services_CHC	975
	Clean Energy Communities, Payroll Services	74,932
	Clean Energy Communities, Payroll Services - Communities	17,788
	Clean Energy Communities, Payroll Services_CEC PM-1	6,989
	Cleantech ICC Engage, Payroll Services_Innovation	79,238
	Code to Zero, Payroll Services_CPS	3,669
	Code to Zero, Payroll Services_CPS Sr. PM	89,075
	Community RH&C, Payroll Services_CHC	1,219
	Community RH&C, PS.056_CHC APM	41,221
	ENERGY ANALYSIS, Data and Markets Intern	3,448
	Geothermal Incentive Program, Payroll Services_CHC	1,219
	Healthy Homes VB Payment Pilot, Payroll Services_EAE	8,713
	Home Perf w Energy Star, Payroll Services	18,587
	Home Perf w Energy Star, Payroll Services_EAE	36,962
	Informat. Products & Brokering, PS TWO #65 - AES_Intern	409
	Informat. Products & Brokering, PS TWO #68 - AES Intern	1,105
	NEW YORK GREEN BANK, Payroll Services_NYGB_intern	7,342
	NYSERDA ADMINISTRATION, Payroll Services	-4,738
	NYSERDA ADMINISTRATION, Payroll Services_SS APM	44,372
	NYSERDA ADMINISTRATION, Payroll Services_Web Ops	29,088
	NYSERDA ADMINISTRATION, PS TWO #62 - GA_Intern	10,347
	NYSERDA ADMINISTRATION, PS TWO #66 - HR_Intern	6,636

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Randstad North America, Inc.</b>	NYSERDA ADMINISTRATION, PS TWO #67 - SO Coordinator	22,095
	NYSERDA ADMINISTRATION, PS.067 - Innovation_Intern	7,790
	NYSERDA ADMINISTRATION, PS.068 - Office of CIO_Intern	2,939
	NYSERDA ADMINISTRATION, TS.022 - Facilities Clerk	26,767
	NYSERDA ADMINISTRATION, TWO #69 - CPS_Intern	663
	OTHER PROGRAM AREA, Payroll Services_Innovation	26,332
	Renewable Heat NY, Payroll Services_CHC	1,219
	Solar Thermal, Payroll Services_CHC	0
<b>RCPI Landmark Properties, LLC</b>	Technical Services, OsEM63-C-TS-Rockefeller Center	50,938
<b>Recurve Analytics, Inc.</b>	Pay for Performance, RFP 3901 P4P-AMV Platform	78,989
	RFP 3901 P4P-AMV Platform	7,635
<b>RED-Rochester LLC</b>	CI Carbon Challenge, RED C&I Carbon Challenge	346,906
	Industrial Process Effic, Industrial Process Efficiency	83,723
<b>ReEnergy Black River LLC</b>	LARGE SCALE RENEWABLES, Black River Facility	4,208,589
<b>Regeneron Pharmaceuticals Inc.</b>	Commercial New Construc, NCP15063 - 767 Old Saw Mill Ri	95,160
<b>Renew Solar CS6 Fund LLC</b>	>200KW PV, NY-Sun C&I	260,283
<b>Renovus Energy, Inc.</b>	<200KW PV, NY-Sun	15,416
	<200KW PV, PON 2112 NY SUN	197,024
<b>Reos US Inc.</b>	Empire Building Challenge, EBC - Partner Cohort - Reos	7,826
	NYCH: Empire Build Challenge, EBC - Partner Cohort - Reos	7,826
<b>Research Foundation of CUNY</b>	CLEAN TRANSPORTATION, Virtual TMA Demo	7,877
<b>Research Foundation of SUNY</b>	Anaerobic Digesters, PON 3739 CAT B	55,370
	Environmental Research, IDEA-NYS air quality forecast	47,168
	High Performing Grid, Machine Learning for Hi-fideli	95,000
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, EFRC co-funding	21,841
	Workforce Industry Partnership, PON 3715 BOM Training	55,952
<b>Research Foundation of The City</b>	Talent Pipeline:CE and OJT, PON3981 Round 4	1,012
<b>Residences at Covered Bridge LLC</b>	Multifam Performance Pgm, Multifamily	89,100
<b>Resilience Education Training and Innova</b>	NY-SUN, NY-Sun	35,000
	Talent Pipeline:CE and OJT, PON3981 Round 12	6,000
<b>Resource Refocus LLC</b>	Buildings of Excellence, Task Work Order No. 3	60,360
<b>Resources for the Future Inc</b>	ENERGY ANALYSIS, TWO #3 Carbon Pricing Regime	96,445
	ENVIRONMENTAL RESEARCH, TWO #3 Carbon Pricing Regime	96,445
<b>Responsible Offshore Development AI..</b>	Environmental Research, ENV & Fisheries Rsrch for OSW	9,142
<b>Revel Transit, Inc.</b>	EVPRZ:Community Partner Funds, Prize planning grant - Revel	0
	EVPRZ:Planning Grants, Prize planning grant - Revel	96,361
<b>RFP Enterprises LLC</b>	Innovation Advisors, Innovation Advisory Services 2	24,240
<b>RGBS Enterprises, Inc.</b>	Real Time Enrgy Management, RGBS - 299 Park Ave - RTEM	794,751
<b>Richair Mechanical Inc.</b>	NYCH: Talent Ppln:CE and OJT, OJT	52,166
	Talent Pipeline:CE and OJT, OJT	617
<b>Ricoh USA Inc</b>	NYSERDA ADMINISTRATION, Sitecore Web CMS Admin	111,466
<b>Riseboro Community Partnership, Inc.</b>	Workforce Industry Partnership, PON 3442 Workforce Training	5,226
<b>Riverbend Housing Company Inc.</b>	Multifam Performance Pgm, Multifamily	75,000
<b>RM &amp; PSG, LLC</b>	Multifam Performance Pgm, Multifamily	10,500
<b>Robert Derector Associates</b>	Commercial Real Estate Ten, RDA-2 Bryant Park	31,250
<b>Robert K. Harmon &amp; Company LLC</b>	Pay for Performance, MEETS - Robert K. Harmon - TWO	1,435
<b>Rochester Civic Housing, Inc.</b>	New Construction Housing, 2019 LRNCP	68,000
<b>Rochester Institute of Technology</b>	Cleantech Incubator, PON3413 Clean Energy Incubator	237,500



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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Rochester Institute of Technology</b>	High Performing Grid, PON 3770	39,209
	REV Campus Challenge, REV CC ETL_Rd. 2	50,795
<b>Rochester Regional Health</b>	Technical Services, OsEM42-C - Rochester Regional	15,119
<b>Rockhill Management LLC</b>	Technical Services, OsEM81-C - Rockhill Managment	38,347
<b>Rockland County Sewer District No. 1</b>	ANAEROBIC DIGESTER, Rockland Cty Sewer district 1	903,203
<b>Rocky Mountain Institute</b>	Empire Building Challenge, Empire Bldg. Challenge - RMI	3,955
	HCR Direct Injection, TWO 5-Short -term Tech Support	50,000
	HCR Direct Injection, TWO6-HCREnergyGrants as Source	42,478
	New Construction Housing, 140390 TWO#1	7,950
	New Construction Housing, TWO 5-Short -term Tech Support	-50,000
	New Construction Housing, TWO6-HCREnergyGrants as Source	-5,680
	New Construction- Commercial, 140390 TWO#1	3,975
	NYCH: Empire Build Challenge, Empire Bldg. Challenge - RMI	3,955
	Pub Transit & Elect Rail, Clean Transportation	34,833
<b>Rose Capital, LLC</b>	Empire Building Challenge, EBC-Phase I-JRCo	44,250
	NYCH: Empire Build Challenge, EBC-Phase I-JRCo	44,250
<b>RTH Realty Holdings LLC</b>	Net Zero Energy for Eco Dev, New Construction CNPD	29,504
<b>Rudin Management Co. Inc.</b>	Empire Building Challenge, EBC TA - Rudin	125,000
	NYCH: Empire Build Challenge, EBC TA - Rudin	125,000
<b>Ruffalo Appliance</b>	NYCH: Talent Ppln:CE and OJT, OJT	4,393
<b>Rural Generation &amp; Wind (Rodney We..</b>	<200KW PV, PON 2112 NY SUN	11,172
<b>Rural Housing Coalition of New York</b>	Workforce Industry Partnership, PON 3715 (R8) BOM	5,380
<b>Rural Ulster Preservation Company</b>	New Construction Housing, 2019 LRNCP	27,400
<b>RXR Realty LLC</b>	Technical Services, OsEM88-C - RXR Realty 1	59,220
	Technical Services, OsEM89-C - RXR Realty 2	59,220
<b>RXR SL Owner LLC</b>	Technical Services, OsEM70-C-RXR - Starrett Lehigh	12,023
<b>Safari Energy LLC</b>	>200KW PV, NY Sun	39,600
<b>SafariNY Corp.</b>	OJT	924
	Talent Pipeline:CE and OJT, OJT	1,680
<b>Saint Gobain Adfors America, Inc.</b>	Industrial Process Effic, Industrial Process Efficiency	5,122
<b>SANFILIPPO SOLUTIONS INC.</b>	Talent Pipeline:CE and OJT, OJT	841
	Talent Pipeline:CE and OJT, OJT HIRE	185
<b>Saranac Lake Community Solar LLC</b>	>200KW PV, NY-Sun C&I	104,987
<b>Saratoga Solar LLC</b>	>200KW PV, NY Sun	301,596
<b>Savanna Fund</b>	Technical Services, OsEM74-C - Savanna Fund	90,623
<b>Schenectady County Solar Projects 2019,</b>	>200KW PV, NY-Sun Assignment	1,312,500
	>200KW PV, NY-Sun CI Full/Payee Assignmen	68,205
	Solar Plus Energy Storage, NY-Sun Assignment	3,500,000
<b>Schneider Electric Buildings America..</b>	Real Time Enrgy Management, SEBAI - 222 E 41st St - RTEM	19,380
<b>SEA Electric LLC</b>	CLEAN TRANSPORTATION, NYTVIP	84,040
<b>Second Atlantic Terminal Housing Co..</b>	Multifam Performance Pgm, Multifamily	61,000
<b>SecondMuse LLC</b>	M-Corps, MCorps Pilot in NYC	787,504
<b>Sense Labs, Inc.</b>	NYCH: Technical Assistance, Single Family Residential	2,525
<b>Shared Mobility, Inc.</b>	Talent Pipeline:CE and OJT, CJF PON 4772 Round 2	2,846
	Talent Pipeline:CE and OJT, Climate Justice Fellow PON4772	11,840
<b>Siemens Industry, Inc.</b>	ENERGY ANALYSIS, TWO #1: 100x40 Study	29,312
	Real Time Enrgy Management, Siemens - 10 Columbus Cir-RTEM	37,942
	Real Time Enrgy Management, Siemens - 15 Old Falls - RTEM	3,339

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Siemens Industry, Inc.</b>	Real Time Enrgy Management, Siemens - 57 E 57 St - RTEM	6,370
	Real Time Enrgy Management, Siemens - 73 Co Rte 11a - RTEM	2,409
	Real Time Enrgy Management, Siemens - 115 Brickman - RTEM	2,259
	Real Time Enrgy Management, Siemens - Multisite - RTEM	475,775
	Real Time Enrgy Management, Siemens Ind - Multisite - RTEM	66,862
	Real Time Enrgy Management, Siemens_21 Institute St-RTEM	2,100
	Real Time Enrgy Management, Siemens- 350 Parrish Ave -RTEM	980
	Real Time Enrgy Management, Siemens-1 Academic Dr-RTEM	858
	Real Time Enrgy Management, Siemens-1 Fountain-RTEM	6,000
	Real Time Enrgy Management, Siemens-2 Buccaneer-RTEM	4,750
	Real Time Enrgy Management, Siemens-10 Cobham DR-RTEM	2,205
	Real Time Enrgy Management, Siemens-11 Wall Street-RTEM	75,139
	Real Time Enrgy Management, Siemens-57 Pan Creek Dr-RTEM	2,057
	Real Time Enrgy Management, Siemens-84 Greenwood St-RTEM	4,082
	Real Time Enrgy Management, Siemens-100 Mendon-RTEM	7,015
	Real Time Enrgy Management, Siemens-150 W 65th-RTEM	12,959
	Real Time Enrgy Management, Siemens-153 W Buffalo-RTEM	3,813
	Real Time Enrgy Management, Siemens-248 Rt 11-RTEM	6,031
	Real Time Enrgy Management, Siemens-260 Cooper Rd-RTEM	2,461
	Real Time Enrgy Management, Siemens-277Park-RTEM	68,969
	Real Time Enrgy Management, Siemens-745 7th Ave-RTEM	95,875
	Real Time Enrgy Management, Siemens-1425 Madison Ave-RTEM	3,875
	Real Time Enrgy Management, Siemens-1425 Portland-RTEM	14,752
	Real Time Enrgy Management, Siemens-3325 Marvin Sands-RTEM	5,551
	Real Time Enrgy Management, Siemens-3338 E Main St-RTEM	2,830
	Real Time Enrgy Management, Siemens-5285 Lewiston-RTEM	4,515
	Real Time Enrgy Management, Siemens-11060 US Rt 11-RTEM	4,922
	Real Time Enrgy Management, Siemens-Brasher Falls CSD-RTEM	13,260
	Real Time Enrgy Management, Siemens-Mt. Sinai West-RTEM	65,267
	Real Time Enrgy Management, Siemens-Multisite-RTEM	25,991
	REC4:CES REC4 Tech Support, TWO #1: 100x40 Study	26,188
	<b>Sif Capital Advisors LLC</b>	Innovation Advisors, Innovation Advisory Services
<b>Sigora Solar</b>	<200KW PV, PON 2112 NY SUN	16,640
<b>Simple Energy, Inc.</b>	Electric Vehicles - Innovation, PON 3578 R1 CAT4	31,500
<b>Simple Integrity LLC</b>	New Construction Housing, NCP Housing	8,970
<b>Simply Installs LLC</b>	NYCH: Talent Ppln:CE and OJT, OJT	12,960
	NYCH: Talent Ppln:CE and OJT, OJT Daniel Luckman	3,360
	NYCH: Talent Ppln:CE and OJT, OJT HIRE	2,936
<b>Sive Paget &amp; Riesel PC</b>	BR: Program Implementation, TWO 3 - Build Ready Auction	10,633
	NEW YORK GREEN BANK, RFP 12: NYGB Legal Services	370,836
	OTHER PROGRAM AREA, TWO 2 - Antitrust Federal Proc	3,713
	REC4:CES REC4 Tech Support, Tier 4 Outside Counsel Support	11,408
	WEST VALLEY DEVELOPMENT PROGRAM, TWO 1 - West Valley SEQRA	758
<b>Skyline Solar Inc.</b>	<200KW PV, PON 2112 NY SUN	68,356
<b>Skyven Technologies, Inc</b>	Cleantech Ignition, PON 3871 Ignition Grants	5,000
<b>Smart Wires Inc.</b>	High Performing Grid, Power Grid Innovation	120,000
<b>Smith Engineering PLLC</b>	Technical Services, FT13697 - 1 Liberty - FTC	54,325
	Technical Services, FT13698 - 225 Liberty - FTC	30,866

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Smith Engineering PLLC</b>	Technical Services, FT13699 - 250 Vesey - FTC	27,345
	Technical Services, FT13702 - 10 Hudson - FTC	15,564
	Technical Services, FT13703 - 20 Hudson - FTC	47,829
	Technical Services, FT13704 - 30 Hudson - FTC	10,525
	Technical Services, FT13706 - 55 Hudson - FTC	5,343
	Technical Services, FT14040 - 1114 6th - FTC	48,643
	Technical Services, FT14041 - 55 E 59th - FTC	8,494
	Technical Services, FT14049 - 5 Bryant - FTC	50,004
	Technical Services, FT14151 - 3000 Vesey - FTC	17,410
	Workforce Industry Partnership, PON 3715 BOM Training	54,318
	Workforce Industry Partnership, PON 3715 Workforce Training	57,412
	<b>Snug Planet, LLC</b>	Novel Bus Models & Offers, 3932 Novel Business Models
NYCH: Talent Ppln:CE and OJT, OJT		11,468
OJT		8,515
Talent Pipeline:CE and OJT, OJT		28,485
<b>Social Enterprise and Training Center</b>	NYCH: Talent Ppln:CE and OJT, Career Pathway HP PON4463 R2	13,400
<b>Social Finance Inc.</b>	NYCH: Talent Ppln:CE and OJT, Social Finance Contract	51,358
<b>Soho Village Hotel LLC</b>	NYCH: Technical Assistance, FT13553 - 66 Charlton - PON	2,425
<b>SOLANTA CORP</b>	>200KW PV, PON 2112 NY SUN	52,668
	Talent Pipeline:CE and OJT, OJT	1,848
<b>Solar Energy Systems, LLC</b>	<200KW PV, NY-Sun	240,372
	>200KW PV, NY-Sun	49,588
	>200KW PV, PON 2112 NY SUN	103,118
<b>Solar Liberty Energy Systems, Inc</b>	<200KW PV, NY-Sun	68,739
	<200KW PV, PON 2112 NY SUN	647,500
	>200KW PV, NY Sun	69,925
<b>Solar Tompkins Inc.</b>	Community RH&C, CH&C Communities Round 3	6,500
<b>SOLAR TROUPSBURG LLC</b>	>200KW PV, NY-Sun C/I Assignment	703,836
<b>Solar Village Company LLC</b>	New Construction Housing, NCP Housing	19,200
<b>SolarCommunities Inc.</b>	<200KW PV, PON 2112 NY SUN	312,402
<b>Soulful Synergy, LLC</b>	Talent Pipeline:CE and OJT, Climate Justice Fellow PON4772	27,096
<b>South Colonie Central School District</b>	Technical Services, OsEM86-C - South Colonie CSD	6,602
<b>SPO NY Holdings 1, LLC</b>	>200KW PV, NY Sun	890,610
	NY-SUN, NY Sun	371,228
<b>SSA Solar of NY 3 LLC</b>	>200KW PV, NY Sun	450,804
<b>St. Nicks Alliance</b>	Retrofit NY, RetrofitNY St. Nick's Alliance	50,000
<b>Stacks and Joules Inc.</b>	NYCH: Talent Ppln:CE and OJT, Career Pathway HVAC/Heat Pumps	185,332
<b>Standard Solar, Inc</b>	>200KW PV, NY-Sun C&I	277,717
<b>Stantec Consulting Services, Inc.</b>	WEST VALLEY DEVELOPMENT PROGRAM, WVSMP ENV. Support Servi..	301,246
<b>Stas Zakrzewski Architect PC</b>	Buildings of Excellence, BoE Rnd.1 - Design Team Incent	50,000
<b>State Route 52 LLC</b>	>200KW PV, NY Sun	443,674
<b>State University of New York</b>	OTHER PROGRAM AREA, PON 3249	140,000
<b>State University of New York College</b>	Technical Services, OsEM36-C - SUNY Geneseo	13,653
<b>Staten Island Economic Development ..</b>	NY-SUN, Staten Island Solar Master Pla	5,000
<b>Steed Energy LLC</b>	<200KW PV, PON 2112 NY SUN	12,960
<b>Steven Winter Associates, Inc.</b>	Air Source Heat Pumps, TWO 3 - Heat Pump Pattern Book	12,622
	Code to Zero, NYStretch 2023 Working Group	3,969
	Code to Zero, TWO #4 - ANSI Standards	-4,013

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
Steven Winter Associates, Inc.	Code to Zero, TWO #5 ANSI IECC NYStretch2023	45,517
	Commercial New Construc, New Construction	2,164
	Consumer Ed and Market Support, TWO 3 - Heat Pump Pattern Book	12,622
	Empire Building Challenge, EBC COHORT 2 TA CONTRACT SWA	26,800
	Empire Building Challenge, EBC TA - SWA	9,831
	Housing Agencies Support, Multifamily	62,854
	Market Tests, Market Insights	15,871
	Market Tests, TWO 3 - Heat Pump Pattern Book	12,622
	Multifam New Construction, New Construction	15,292
	New Construction Housing, TWO #4 - ANSI Standards	5,884
	NYCH: Comfort Home, Heat Pump Ready Training	19,237
	NYCH: Critical Tools, TWO 3 - Heat Pump Pattern Book	0
	NYCH: Empire Build Challenge, EBC COHORT 2 TA CONTRACT SWA	13,200
	NYCH: Empire Build Challenge, EBC TA - SWA	9,831
	NYCH: Innovation, Cold Climate PTHP	10,477
	NYCH: Supply Chain, ASHP SupplyChain Develop Mtgs	4,881
	NYCH: Talent Ppln:CE and OJT, Steven Winter Assoc. Training	2,840
	NYCH: Technical Assistance, FT13369 - 80 LaSalle - FTC	2,139
	NYCH: Technical Assistance, FT13429 - 1485 5th - FTC	1,860
	NYCH: Technical Assistance, FT13430 - 389 East 89th - FTC	15,955
	NYCH: Technical Assistance, FT13456 - 935 Park - FTC	4,733
	NYCH: Technical Assistance, FT13479 - 88-36 77th - FTC	6,635
	NYCH: Technical Assistance, FT13545 - 565 W 169th - FTC	3,436
	NYCH: Technical Assistance, FT13548 - 82 Beaver - FTC	2,767
	NYCH: Technical Assistance, FT13557 - 39-60 54th - FTC	7,279
	NYCH: Technical Assistance, FT13574 - 309-311 W 118th - MF	2,547
	NYCH: Technical Assistance, FT13575 - 440 Kent - MF	3,851
	NYCH: Technical Assistance, FT13578 - 111 W. 67th - FTC	6,719
	NYCH: Technical Assistance, FT13626 - 45 E 89th - FTC	8,994
	NYCH: Technical Assistance, FT13655 - 2652 Cropsey - FTC	3,762
	NYCH: Technical Assistance, FT13656 - 300 E. 33rd - FTC	4,091
	NYCH: Technical Assistance, FT13657 - 2165 Brigham - FTC	861
	NYCH: Technical Assistance, FT13658 - 2250 Brigham - FTC	394
	NYCH: Technical Assistance, FT13659 - 201 W. 72nd - FTC	9,245
	NYCH: Technical Assistance, FT13660 - 500 W. 43rd - FTC	984
	NYCH: Technical Assistance, FT13661 - 26-25 141st - FTC	5,628
	NYCH: Technical Assistance, FT13663 - 212 Fifth - FTC	725
	NYCH: Technical Assistance, FT13664 - 200 E. 90th - FTC	1,354
	NYCH: Technical Assistance, FT13665 - 30 W. 61st - FTC	2,316
	NYCH: Technical Assistance, FT13666 - 43-34 Union - FTC	4,803
	NYCH: Technical Assistance, FT13667 - 225 Fifth - FTC	7,592
	NYCH: Technical Assistance, FT13668 - 175-191 Willough-FTC	2,959
NYCH: Technical Assistance, FT13669 - 325 Lexington - FTC	4,084	
NYCH: Technical Assistance, FT13670 - 153 East 57th - FTC	6,265	
NYCH: Technical Assistance, FT13672 - 509 Pacific - FTC	1,127	
NYCH: Technical Assistance, FT13673 - 40 East 94th - FTC	2,296	
NYCH: Technical Assistance, FT13675 - 20 West 53rd - FTC	5,281	
NYCH: Technical Assistance, FT13676 - 99-32 66th - FTC	3,631	

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Steven Winter Associates, Inc.</b>	NYCH: Technical Assistance, FT13678 - 55 Wall - FTC	12,528
	NYCH: Technical Assistance, FT13679 - 86-15 Broadway - FTC	1,624
	NYCH: Technical Assistance, FT13709 - 399 E. 72nd - FTC	1,944
	NYCH: Technical Assistance, FT13710 - 944 Park Ave	1,346
	NYCH: Technical Assistance, FT13711 - 243 W. End - FTC	2,660
	NYCH: Technical Assistance, FT13712 - 150 E. 61st - FTC	708
	NYCH: Technical Assistance, FT13713 - 515 E. 72nd - FTC	600
	NYCH: Technical Assistance, FT13723 - 245 Sullivan - FTC	5,626
	NYCH: Technical Assistance, FT13724 - 40 Washington - FTC	5,689
	NYCH: Technical Assistance, FT13763 - 235 W 108th - FTC	9,700
	NYCH: Technical Assistance, FT13766 - 250 W. 42nd - FTC	5,057
	NYCH: Technical Assistance, FT13855 - 1107 5th - FTC	5,438
	REV Connect, IMS SWA - Scalable Afford	25,000
	Single Family New Construction, TWO #4 - ANSI Standards	5,884
	Talent Pipeline:CE and OJT, PON3981 Round 10	4,278
	Talent Pipeline:CE and OJT, PON3981 WFD Capacity Building	2,273
	Technical Services, FT13186 - Electchester - FTC	12,713
	Technical Services, FT13538 - 58 W 40th - FTC	2,000
	Technical Services, FT13539 - 70 W 40th - FTC	2,988
	Technical Services, FT13712 - 150 E. 61st - FTC	0
	Technical Services, FT13933 - 6702 Ridge - FTC	2,677
	Technical Services, FT14101 - 104-20 68th - FTC	443
	Technical Services, FT14102 - Mainstay Co-op - FTC	590
	Technical Services, FT14114 - 10 W 15th - FTC	16,000
	Workforce Industry Partnership, PON 3715 (BOM)	88,519
	Workforce Industry Partnership, PON 3715 (R5) BOM	23,445
	Workforce Industry Partnership, PON 3715 (R6) BOM	2,526
	Workforce Industry Partnership, PON 3715 BOM Training	13,052
	Workforce Industry Partnership, PON 3715 Workforce Training	112,934
	<b>Stony Creek Energy LLC</b>	LARGE SCALE RENEWABLES, Stony Creek Wind Farm
<b>STRATCO PROPERTY GROUP INC</b>	NYCH: Talent Ppln:CE and OJT, OJT	21,718
<b>Stratford Arms Housing LP</b>	Multifam Performance Pgm, Multifamily	2,050
<b>Suffolk County Community College</b>	REV CAMPUS CHALLENGE, RFP 3675 REV Campus Challenge	134,362
	RFP 3675 REV Campus Challenge	135,638
<b>Sugar Hill Solar 1, LLC</b>	>200KW PV, NY Sun	348,584
<b>Sun Source Technologies</b>	<200KW PV, PON 2112 NY SUN	141,108
<b>Sunamp Projects, Inc</b>	NYCH: Innovation, Demo Tech Trans High Dens Ther	145,388
<b>SuNation Solar Systems, Inc.</b>	ENERGY STORAGE, PON 2112 NY SUN	137,500
<b>Sunkeeper Solar LLC</b>	<200KW PV, NY-Sun	11,232
	>200KW PV, NY-Sun	2,808
<b>Sunlight Energy Group LLC</b>	Talent Pipeline:CE and OJT, OJT	8,186
<b>Sunlight General Capital LLC</b>	Talent Pipeline:CE and OJT, OJT HIRE	2,176
<b>Sunnova Energy Corp</b>	<200KW PV, PON 2112 NY SUN	30,440
<b>Sunny Knoll Farms</b>	Anaerobic Digesters, PON 3739 CAT C	185,888
<b>SunPower Capital, LLC</b>	<200KW PV, NY-Sun	115,265
	<200KW PV, PON 2112 NY SUN	426,248
	COMMUNITY SOLAR, PON 2112 NY SUN	5,184
<b>SUNRISE ELECTRICAL SERVICES</b>	<200KW PV, NY Sun	529,166

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>SUNRISE ELECTRICAL SERVICES</b>	<200KW PV, NY-Sun	22,920
	<200KW PV, PON 2112 NY SUN	986,221
<b>Sunrise Solar Solutions, LLC</b>	<200KW PV, NY-Sun	98,161
	<200KW PV, PON 2112 NY SUN	12,240
	>200KW PV, NY-Sun	42,069
	>200KW PV, PON 2112 NY SUN	220,590
	ESTOR:Retail Storage Incentive, Retail Storage	380,450
<b>SunRun, Inc</b>	<200KW PV, PON 2112 NY SUN	516,986
	ENERGY STORAGE, PON 2112 NY SUN	6,250
<b>Sunvestment Energy Group NY 64 LLC</b>	>200KW PV, NY Sun	156,559
<b>SUNY - ESF</b>	Environmental Research, ALTM Streams 2018-2022	7,717
	Environmental Research, Biofiltration drainage media	1,392
<b>SUNY Buffalo</b>	Industrial Process Effic, Industrial Process Efficiency	60,408
<b>SUNY Cobleskill</b>	Technical Services, OsEM4-C SUNY Cobleskill	7,000
<b>SUNY College of Environmental Scien..</b>	Technical Services, OsEM79-C - SUNY ESF	25,098
<b>SUNY Morrisville</b>	Commercial New Construc, New Construction	9,295
	Technical Services, OsEM30-C - SUNY Morrisville	25,517
<b>SUNY Ulster</b>	Talent Pipeline:CE and OJT, PON3981 Round 4	5,596
<b>SUNY: Polytechnic Institute</b>	Commercial New Construc, Comm NC Incentives - SF182319	5,000
	Talent Pipeline:CE and OJT, PON3981 Round 7	52,585
<b>SURF AVENUE LCAL LLC</b>	NYCH: District, FT13258 - 1517 Surf - PON	0
<b>Surf Clean Energy Inc</b>	<200KW PV, NY-Sun	68,428
	<200KW PV, PON 2112 NY SUN	22,168
	COMMUNITY SOLAR, NY-Sun	7,072
	COMMUNITY SOLAR, PON 2112 NY SUN	15,256
	ENERGY STORAGE, NY-Sun	7,200
<b>Sustainable Comfort, Inc</b>	Direct Injection Program, HCR Minibid TWO #1	2,663
	HCR Direct Injection, HCR Minibid TWO #1	5,325
	New Construction Housing, HCR Minibid TWO #1	0
	New Construction Housing, NCP Housing	26,000
	New Construction- Commercial, Commercial New Construction	5,000
	OJT	8,845
	Single Family New Construction, NCP Housing	10,000
	Talent Pipeline:CE and OJT, OJT	16,538
Talent Pipeline:CE and OJT, OJT HIRE	6,691	
<b>Sustainable Energy Advantage, LLC</b>	REC:CES REC System Dev Costs, Supply Curve Update 101124-15	2,954
	REC:CES REC System Dev Costs, TWO 1 - NYGATS Analysis	4,308
<b>Sustainable Energy Developments Inc.</b>	<200KW PV, NY-Sun	73,100
	<200KW PV, PON 2112 NY SUN	442,437
	Talent Pipeline:CE and OJT, OJT	17,058
<b>Sustainable Investment Group</b>	Workforce Industry Partnership, PON 3715 (R7) BOM	75,750
<b>Sustainable South Bronx Inc.</b>	Talent Pipeline:CE and OJT, PON3981 WFD Capacity Building	19,600
<b>Sustainable Westchester</b>	Community RH&C, CH&C Communities Round 3	110,500
	EVPRZ:Community Partner Funds, Prize Planning Grant Sust West	48,335
	EVPRZ:Planning Grants, Prize Planning Grant Sust West	100,000
	NYCH: Communities, CH&C Communities Round 3	42,500
	Talent Pipeline:CE and OJT, Climate Justice Fellow PON4772	17,078
<b>Sweetwater Energy, Inc.</b>	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Cellulosic Sugar..	15,000

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Switch Operations Inc.</b>	Real Time Enrgy Management, Switch-1 Columbus-RTEM	451,170
<b>Switched Source LLC</b>	High Performing Grid, Transient Studies	76,880
<b>Switched Source PB LLC</b>	High Performing Grid, PON 3770 CATB - Phase Balance	119,965
<b>Switched Source TC LLC</b>	High Performing Grid, Tie Controller for Renewable	150,007
<b>Sylvamo North America LLC</b>	CI Carbon Challenge, Sylvamo CICC Award Mod	348,375
<b>Syracuse University</b>	ENVIRONMENTAL RESEARCH, Estimating Soil Weathering	27,118
	NYCH: Innovation, Advanced Buildings	70,000
<b>Syska Hennessy Group</b>	Technical Services, FT13187 - 555 West 18th - FTC	25,000
<b>Tagup Inc.</b>	High Performing Grid, PON 3770	205,815
	Nat'l OffShWind R&D Consortium, Natl Offshore Wind R&D	10,203
	Natl Offshore Wind R&D	10,203
<b>Taitem Engineering, P.C.</b>	Air Source Heat Pumps, 3695 TWO Umbrella Agreement	0
	Code to Zero, TWO #1	3,767
	Commercial New Construc, Commercial New Construction	8,891
	Direct Injection Program, NYSERDA/HPD Electrification	198,425
	Low Carbon Tech Demos, 3695 TWO Umbrella Agreement	0
	Multifam Performance Pgm, 3695 TWO Umbrella Agreement	26,123
	Multifam Performance Pgm, Multifamily	274,198
	NYCH: Critical Tools, Heat Pump Conversion M&V	9,855
	NYCH: Low Carbon Tech Demos, 3695 TWO Umbrella Agreement	0
	Technical Services, AEAP#1344 - Sweet Grass Meats	5,600
	Technical Services, FT14054 - 166 Main - FTC	6,488
	Technical Services, FT14193- 100-300 Woodcrest-FTC	11,723
<b>Talen Energy Marketing, LLC</b>	LARGE SCALE RENEWABLES, Locust Ridge Wind Farm	354,474
<b>Talisen Technologies, Inc</b>	Real Time Enrgy Management, Energy Mangt Data_Tech Supp	372,985
	RTEM and Tenants, Energy Mangt Data_Tech Supp	0
<b>TBL Building Sciences, LLC</b>	OJT	9,216
<b>Tech Valley Talent, LLC</b>	NYSERDA ADMINISTRATION, TWO 2Sr. Software Eng – Carrick	76,882
	NYSERDA ADMINISTRATION, TWO # 19 Tableau Dev. C.Safeek	38,417
	NYSERDA ADMINISTRATION, TWO # 20 Salesforce BA.	25,487
	NYSERDA ADMINISTRATION, TWO #7 Software Dev. Zaheen	52,727
	NYSERDA ADMINISTRATION, TWO #9 QA Analyst Beth Graves	82,330
	NYSERDA ADMINISTRATION, TWO #10 Server Ops – Ross	87,771
	NYSERDA ADMINISTRATION, TWO #11 Info Security Services	94,292
	NYSERDA ADMINISTRATION, TWO #12 Project Mgr GIS, Brad	83,008
	NYSERDA ADMINISTRATION, TWO #14 Salesforce BA.- Robles	84,838
	NYSERDA ADMINISTRATION, TWO #16 Technical BA – Garrett	112,228
	NYSERDA ADMINISTRATION, TWO #17 .Net Software Dev.	115,357
	NYSERDA ADMINISTRATION, TWO Salesforce BA - Himmelfarb	15,937
	REC2:CES REC2 Tech Support, TWO #6 Salesforce Tech -Portia	36,202
	REC:CES REC System Dev Costs, TWO 1 Salesforce Dev. Rajesh K	40,978
	REC:CES REC System Dev Costs, TWO #6 Salesforce Tech -Portia	36,202
	ZEC:CES ZEC System Dev Costs, TWO 1 Salesforce Dev. Rajesh K	40,978
<b>Technology Professionals Group Inc.</b>	NYSERDA ADMINISTRATION, TWO 3 Sr. SharePoint Dev.	9,114
	NYSERDA ADMINISTRATION, TWO #1 Salesforce PM Kerollos	114,080
<b>Tecogen</b>	COMBINED HEAT AND POWER, CHPA - 261 Hudson	61,200
	COMBINED HEAT AND POWER, CHPA - Hotel Edison	115,500
	COMBINED HEAT AND POWER, CHPA - Interfaith Medical Cent	185,130

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Tecogen</b>	Combined Heat and Power, CHPA-Esplanade Gardens Bldg #1	106,735
	Combined Heat and Power, CHPA-Esplanade Gardens Bldg #2	106,735
	Combined Heat and Power, CHPA-Esplanade Gardens Bldg #3	106,735
	Combined Heat and Power, CHPA-Esplanade Gardens Bldg #4	106,735
	Combined Heat and Power, CHPA-Esplanade Gardens Bldg #5	106,735
	Combined Heat and Power, CHPA-Esplanade Gardens Bldg #6	106,735
<b>Tesla Energy Operations Inc</b>	<200KW PV, PON 2112 NY SUN	17,638
<b>Tesla, Inc.</b>	>200KW PV, NY Sun	192,780
<b>Tetra Tech MA, Inc.</b>	OREC: Technical Support, TWO#1 OSW Fisheries WG	39,840
<b>Tetra Tech, Inc.</b>	Environmental Research, PON 4270 PV Site Design	11,708
	OREC: Technical Support, TWO #2- Cable Burial	12,865
<b>TFR Transit Inc</b>	Prize Planning Grant - Circuit	110,747
<b>The Cadmus Group, LLC</b>	Air Source Heat Pumps, TWO #9 Whole House ASHP	3,871
	Clean Energy Communities, BOB Support Contractor	19,380
	Code to Zero, RFQ3183 Umbrella Agreement	185,466
	Community RH&C, RFP3751 Clean Heating & Coolin	218,187
	ENERGY ANALYSIS, TWO #10 Climate Facilitation	102,110
	Eval MCDC EE Master Soft Cost, TWO#4 Soft Cost study	62,258
	Eval MCDC: LMI Insights&Impact, 4162 TWO 1: HP Insights Impact	113,801
	Eval MCDC: MF Building Stock, Statewide Multifamily Baseline	947,373
	High Performing Grid, Resilience Integration Anchor	194,289
	Home Perf w Energy Star, TWO 13 - Analytic Support for	54,389
	Off-Shore Wind Pre-Dev Act, RFP 3462 Umbrella Agreement	18,526
	On-Site Energy Manager, RFQ3183 Umbrella Agreement	19,815
	OREC: Technical Support, RFP 3462 Umbrella Agreement	78,201
	REV Campus Challenge, TWO 8 REV Campus Challenge	49,843
	Statewide EE&BE PotentialStudy, TWO 12 StWide Potential Study	494,246
	Strategic Energy Manager, RFQ3183 Umbrella Agreement	19,815
TWO #10 Climate Facilitation	203,788	
Workforce Industry Partnership, Outreach & Education for BOM	94,723	
<b>The Center for New York City</b>	CLEANER GREENER COMMUNITIES, CEEP New York City Region (CNY)	99,354
<b>The City College of New York</b>	REV CAMPUS CHALLENGE, REVCC_ETL_Comp_Round 3	65,634
<b>The Common Pool, LLC</b>	EVPRZ:Implementation, Prize Administrator	262,500
<b>The Culinary Institute of America</b>	Technical Services, OsEM47-C - Culinary Institute	13,773
<b>The Energy Studio, Inc.</b>	New Construction- Commercial, Commercial New Construction	228,891
<b>The Logue Group</b>	WEST VALLEY DEVELOPMENT PROGRAM, WV- Demonstration Project	12,689
<b>The Nature Conservancy</b>	Environmental Research, PV Site Design (PON 4270)	28,809
<b>The Plant Powerhouse LLC</b>	Net Zero Energy for Eco Dev, New Construction CNPD	900,000
<b>The Radiant Store</b>	RENEWABLE HEAT NY, Clean Heating & Cooling	7,200
<b>The Research Foundation for SUNY</b>	Energy Storage Tech/Prod Dev, Renewable Optimz Energy Storge	147,000
	Talent Pipeline:CE and OJT, PON3981 Round 12	1,516
<b>The Research Foundation for the State</b>	Environmental Research, Low-Cost AQ Sensors	83,528
	Environmental Research, Mobile Laboratory Measurements	220,377
	OTHER PROGRAM AREA, CNSE Net Zero Project	330,000
<b>The Research Foundation of SUNY (U..</b>	REV CAMPUS CHALLENGE, RFP 3214 REV Campus Challenge	170,000
<b>The Research Foundation of SUNY at Bing</b>	Cleantech Incubator, Clean Energy Incubator	32,030
	High Performing Grid, Stability Impact Analysis	95,000
<b>The RF of SUNY Binghamton Universi..</b>	Cleantech Geo Coverage, PON 4242	20,000



**Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation**  
**Period 4/1/2022 through 9/30/2022**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>The Standard Hydrogen Corporation</b>	High Performing Grid, Economical Long-Duration	59,494
<b>The Top Gun Group, LLC</b>	OJT	5,120
<b>The Trustees of Columbia University</b>	Cleantech EIR, PON 3819	1,154,150
	NYCH: Industry Partnerships, CJF Support RFP 4976	32,625
	OTHER PROGRAM AREA, PON 3249 ACE Electrofuels	54,084
	Talent Pipeline:CE and OJT, CJF Support RFP 4976	32,625
<b>Thermodynamix LLC</b>	NYCH: Talent Ppln:CE and OJT, OJT	31,893
	NYCH: Talent Ppln:CE and OJT, OJT Jason Pilalo	2,827
<b>Thomas Eisele</b>	Code to Zero, NYStretch 2023 Working Groups	7,695
<b>Thornton Tomasetti, Inc.</b>	Commercial Real Estate Ten, TTI - 100 6th Avenue	36,265
<b>TJA-NY-Paul Rd Castleton, LLC</b>	>200KW PV, NY Sun	540,540
<b>tkFabricate, LLC</b>	Air Source Heat Pumps, VHE HVAC	0
	NYCH: Innovation, VHE HVAC	24,428
<b>TM Montante Solar Developments, LLC</b>	<200KW PV, NY-Sun	75,264
	<200KW PV, PON 2112 NY SUN	74,760
<b>Tompkins Consolidated Area Transit Inc</b>	EVPRZ:Community Partner Funds, Prize Planning Grant - TCAT	15,500
	EVPRZ:Planning Grants, Prize Planning Grant - TCAT	100,000
<b>Tower Gardens Inc.</b>	Multifam Performance Pgm, Multifamily	41,800
<b>Town of Amherst</b>	Clean Energy Communities, Town of Amherst	11,250
	Clean Transportation	283,586
<b>Town of Brookhaven</b>	CLEANER GREENER COMMUNITIES, Town of Brookhaven	37,500
<b>Town of Colonie</b>	CEC410033 - Town of Colonie	6,788
<b>Town of Dannemora</b>	Net Zero Energy for Eco Dev, New Construction	38,750
<b>Town of Edinburg</b>	Clean Energy Communities, CEC400091 - Town of Edinburg	12,500
<b>Town of Greenburgh</b>	Clean Energy Communities, CEC510649-Twn of Greenburgh	30,000
<b>Town of Ithaca</b>	Clean Energy Communities, CEC001218 - Town of Ithaca	12,500
<b>Town of Mamaroneck</b>	Clean Energy Communities, PON 3298 CEC	12,500
<b>Town of Middletown</b>	Clean Energy Communities, CEC001299 - Town of Middletown	15,427
<b>Town of Plattsburgh</b>	Clean Energy Communities, Town of Plattsburgh	18,750
<b>Town of Somers</b>	Clean Energy Communities, CEC500636 - Town of Somers	18,750
<b>Trane</b>	K-12 SCHOOLS, P12GC-46E- Rensselaer - FTC	38,865
	Real Time Enrgy Management, Americas Soc-680 Park Ave-RTEM	2,330
	Real Time Enrgy Management, Fountain House-425 W 47th-RTEM	11,289
	Real Time Enrgy Management, Hudson City Schools-RTEM	25,114
	Real Time Enrgy Management, KingsTheater-1027Flatbush-RTEM	5,918
	Real Time Enrgy Management, Mosholu-3450 Dekalb Ave-RTEM	5,883
	Real Time Enrgy Management, Trane - 21 Wynkoop Pl- RTEM	41,032
	Real Time Enrgy Management, Trane - 107 Gross St-RTEM	4,310
	Real Time Enrgy Management, Trane - 334 Co Rte 16 - RTEM	63,879
	Real Time Enrgy Management, Trane US Inc- Multisite - RTEM	162,266
	Real Time Enrgy Management, Trane Us Inc-1177 6th Ave-RTEM	9,078
	Real Time Enrgy Management, Trane-17 Lansing St-RTEM	9,000
	Real Time Enrgy Management, Trane-760 Parkside Ave-RTEM	8,085
	Real Time Enrgy Management, Trane-1666 Division St-RTEM	53,755
	Real Time Enrgy Management, Trane-2130 McDonald Ave-RTEM	6,386
	Real Time Enrgy Management, Trane-Multisite-RTEM	166,994
<b>TransCore ITS LLC</b>	CLEAN TRANSPORTATION, Green Traffic Control Cabinet	8,097
<b>Transportation Alternatives, Inc.</b>	EVPRZ:Community Partner Funds, Prize Planning Grant - TA	45,445

**Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation**  
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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Transportation Alternatives, Inc.</b>	EVPRZ:Planning Grants, Prize Planning Grant - TA	100,000
<b>TRC Energy Services</b>	Capital Planning, SA.075_TWO #26_MF_PM	14,889
	CI Engy Siting & Soft Cost Red, SA.088_TWO#28 - CES PM-2	74,225
	Cleantech ICC Engage, SA.063_TWO #22 - T2M	11,661
	Cleantech Ignition, SA.063_TWO #22 - T2M	11,352
	Commercial New Construc, SA.040_TWO #16 - NC PM	0
	Commercial New Construc, SA.041_TWO#14 - NCP PM	13,146
	Commercial New Construc, SA.042_TWO#17b - NCP NYC PM	0
	Commercial New Construc, Staff Augmentation Services	12,303
	Commercial Real Estate Ten, SA.086a_TWO #27_AES_PM-1	8,352
	Electric Vehicles - Innovation, SA.096_TWO#31-DER_Assistant PM	9,224
	ENERGY ANALYSIS, SA.018_TWO #11_EEA_PM	0
	ENERGY ANALYSIS, SA.053a_TWO #20 - EEA	85,504
	ENERGY ANALYSIS, Staff Augmentation Services	68,754
	Energy Storage Tech/Prod Dev, SA.063_TWO #22 - T2M	12,320
	ESTOR: Implementation Support, SA.096_TWO#31-DER_Assistant PM	4,612
	EVPRZ:Implementation, SA.071_TWO# 20_Clean Trans_PM	101,914
	High Performing Grid, SA.063_TWO #22 - T2M	12,320
	Housing Agencies Support, SA.095_TWO#30 - Multifamily_PM	22,704
	Informat. Products & Brokering, SA.086a_TWO #27_AES_PM-1	8,352
	K-12 SCHOOLS, RFP3628FlexTechConsultUmbrella	110,731
	K-12 SCHOOLS, SA.026a_TWO#13 - EPE	0
	Low Carbon Tech Demos, SA.012_TWO #5_MF_PM	0
	Low Carbon Tech Demos, SA.075_TWO #26_MF_PM	59,557
	Low Carbon Tech Demos, Staff Augmentation Services	941
	Low Rise New Construction, SA.040_TWO #16 - NC PM	0
	Low Rise New Construction, SA.041_TWO#14 - NCP PM	36,253
	Low Rise New Construction, SA.042_TWO#17b - NCP NYC PM	0
	Low Rise New Construction, Staff Augmentation Services	20,669
	Multifam New Construction, SA.040_TWO #16 - NC PM	0
	Multifam New Construction, SA.042_TWO#17 - NCP NYC PM	47,814
	Multifam New Construction, SA.042_TWO#17b - NCP NYC PM	4,956
	Multifam New Construction, Staff Augmentation Services	13,944
	Multifam Performance Pgm, SA.012_TWO #5_MF_PM	52,865
	Multifam Performance Pgm, SA.014_TWO #7_MF_PM	51,061
	Multifam Performance Pgm, SA.016_TWO #8_MF_APM	0
	Multifam Performance Pgm, SA.017_TWO #9_MF_APM	68,731
	Multifam Performance Pgm, Staff Augmentation Services	51,165
	Nat'l OffShWind R&D Consortium, SA.090 - Innovation APM	60,186
	New Construction Housing, SA.040_TWO #16 - NC PM	0
	New Construction Housing, SA.041_TWO#14 - NCP PM	35,188
	New Construction Housing, SA.042_TWO#17 - NCP NYC PM	21,250
	New Construction Housing, SA.042_TWO#17b - NCP NYC PM	20,911
	New Construction Housing, Staff Augmentation Services	22,803
	New Construction- Commercial, SA.040_TWO #16 - NC PM	0
	New Construction- Commercial, SA.041_TWO#14 - NCP PM	19,549
	New Construction- Commercial, SA.042_TWO#17 - NCP NYC PM	11,727
	New Construction- Commercial, SA.042_TWO#17b - NCP NYC PM	7,600

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>	
<b>TRC Energy Services</b>	New Construction- Commercial, Staff Augmentation Services	12,303	
	NYCH: Comfort Home, Comfort Home Implementation	176,958	
	NYCH: Critical Tools, CHC Data Analysis TWO - TRC	4,701	
	NYCH: Innovation, SA.063_TWO #22 - T2M	12,320	
	NYCH: Low Carbon Tech Demos, SA.075_TWO #26_MF_PM	0	
	NYCH: Talent Ppln:CE and OJT, Technical Review and Program S	91,850	
	NYCH: Talent Ppln:CE and OJT, TWO #4 SIPBRA Implementation	6,378	
	NYCH: Technical Assistance, FT13547 - Rockland - FTC	9,500	
	NYCH: Technical Assistance, RFP3628FlexTechConsultUmbrella	2,728	
	NYCH: Technical Assistance, SA.061_TWO#23 - Multifamily	33,372	
	NYSERDA ADMINISTRATION, SA.059_TWO #21 - Financing Sol	-85,952	
	NYSERDA ADMINISTRATION, SA.069_TWO#19 - Contracts	71,952	
	Pub Transit & Elect Rail, SA.063_TWO #22 - T2M	12,320	
	Renewable Heat NY, Technical Review and Program S	86,969	
	SA.059_TWO #21 - Financing Sol	177,079	
	SA.072_TWO #25_NY-SUN_Sr. PM	93,586	
	SA.096_TWO#31-DER_Assistant PM	4,612	
	Single Family New Construction, SA.041_TWO#14 - NCP PM	5,213	
	Single Family New Construction, SA.042_TWO#17 - NCP NYC PM	7,438	
	Single Family New Construction, SA.042_TWO#17b - NCP NYC PM	7,601	
	Strategic Energy Manager, SA.026a_TWO#13 - EPE	94,086	
	Strategic Energy Manager, SA.047_TWO #19 - EPE	53,638	
	Talent Pipeline:CE and OJT, Technical Review and Program S	84,195	
	Talent Pipeline:CE and OJT, TWO #4 SIPBRA Implementation	6,378	
	Talent Pipeline:Internship Pgm, Technical Review and Program S	76,541	
	Talent Pipeline:OSW Training, Technical Review and Program S	84,195	
	Tech Assistanc Multifamily LMI, SA.061_TWO#23 - Multifamily	14,922	
	Technical Services, SA.061_TWO#23 - Multifamily	11,029	
	Technical Services, Staff Augmentation Services	218,604	
	Workforce Industry Partnership, Technical Review and Program S	146,959	
	<b>TRC Engineers, Inc</b>	NYCH: Innovation, PON3519 Round 1	33,045
	<b>TRC Engineers, Inc.</b>	BR: Design, BR Benson Mines Engineering	43,877
BR: Environmental, BR Benson Mines Env Permitting		10,811	
BR: Environmental, Cat 3: Feasibility Design		0	
BR: Screening, Cat 3: Feasibility Design		30,676	
BR: Screening, TWO- Cat 2_BR Site Crit. Issue		12,153	
CI Engy Siting & Soft Cost Red, Cat 3: Feasibility Design		0	
CI Engy Siting & Soft Cost Red, TWO- Cat 2_BR Site Crit. Issue		0	
Empire Building Challenge, TRC TWO Mini bid 4982 EBC		52,839	
EVALUATION, TRC TWO Mini bid 4982 EBC		14,576	
NYCH: Empire Build Challenge, TRC TWO Mini bid 4982 EBC		52,839	
NYCH: Innovation, Plug-and-Play Optimized Contro		46,744	
NYCH: Supply Chain, Upstream Partners Initiative		202,573	
Real Time Engry Management, TRC TWO Mini bid 4982 EBC		65,594	
RTEM and Tenants, TRC TWO Mini bid 4982 EBC		29,153	
<b>Treau, Inc.</b>		NextGen HVAC, Window Heat Pump	18,389
<b>Tri State Solar Services</b>	<200KW PV, PON 2112 NY SUN	24,030	
<b>Trinity Solar Inc</b>	<200KW PV, PON 2112 NY SUN	137,910	

**Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation**  
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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>True Building Performance LLC</b>	WORKFORCE DEVELOPMENT, OJT	6,400
<b>True Energy Solutions</b>	NYCH: Talent Ppn:CE and OJT, OJT	2,880
	OJT	8,819
	OJT Kalie Rollo	1,445
	Talent Pipeline:CE and OJT, OJT	33,623
	WORKFORCE DEVELOPMENT, OJT	5,701
<b>Trustees of Tufts College</b>	Nat'l OffShWind R&D Consortium, Nat'l Offshore Wind R&D	21,897
	Natl Offshore Wind R&D	21,897
<b>Two Plus Four Construction Co., Inc.</b>	New Construction Housing, 2019 LRNCP	80,000
<b>Unique Comp Inc.</b>	NYSERDA ADMINISTRATION, TWO #2 Web Content Editor	59,605
	NYSERDA ADMINISTRATION, TWO #3 Database Admin. Vinaya	101,091
	NYSERDA ADMINISTRATION, TWO #5 Tableau Dev. Sudhanshu	94,320
	NYSERDA ADMINISTRATION, TWO #6 Sr. Software Dev. Ralph	83,663
	NYSERDA ADMINISTRATION, TWO Sr. Software Eng. -Bhanu	95,744
<b>Unique Electric Solutions of NYS LLC</b>	CLEAN TRANSPORTATION, NYTVIP	120,000
	CLEAN TRANSPORTATION, NYTVIP - Logan Bus Co	120,000
	CLEAN TRANSPORTATION, NYTVIP - Pioneer Trans Corp	120,000
	CLEAN TRANSPORTATION, UPS All-Electric Vehicle Demo	35,833
	Cleantech Ignition, PON 3871 Ignition Grants	30,460
	Pub Transit & Elect Rail, X-ray fast cure composite bus	30,346
<b>United States Department of the Interi..</b>	Environmental Research, ENV & Fisheries Rsrch for OSW	9,856
<b>United Way of Long Island</b>	CLEANER GREENER COMMUNITIES, CEEP Long Island (UWLI)	16,152
	OTHER PROGRAM AREA, CEEP Long Island (UWLI)	3,690
<b>University at Albany</b>	Environmental Research, AQHE PON 3921	76,853
	High Performing Grid, Enhancing Predictability	100,000
<b>University of Rochester</b>	Environmental Research, AQHE PON 3921	67,750
	Environmental Research, Changes in PM Composition	135,470
	Real Time Enrgy Management, URochester-390 Elmwood-RTEM	20,225
	Real Time Enrgy Management, URochester-390 Elmwood-RTEM	41,548
	REV Campus Challenge, RFP 3675 REV Campus Challenge	100,000
<b>University of Wisconsin System</b>	Environmental Research, NADP LTM Ecosystems in NYS	53,810
<b>University System of New Hampshire</b>	U.S. DOE SEP Grant for oTherm	18,526
<b>Uplight, Inc.</b>	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Residential Pr..	3,870
	EMPOWER NY, Residential Program MgtRFP3545	3,870
	GJGNY Market Rate Audits, Residential Program MgtRFP3545	82,875
	Home Perf w Energy Star, Residential Program MgtRFP3545	371,023
	Residential Program MgtRFP3545	0
<b>Upstate Alternative Energy</b>	<200KW PV, PON 2112 NY SUN	14,518
<b>Urban Cycling Solutions, inc.</b>	Pub Transit & Elect Rail, Clean Transportation	44,355
<b>Urban Energy Inc</b>	>200KW PV, PON 2112 NY SUN	18,810
	OJT	15,498
	OJT SHYTON HOLDER-JOHNSON	2,370
	Talent Pipeline:CE and OJT, OJT	47,276
	Talent Pipeline:CE and OJT, OJT ANDY BALKARAN	2,588
	Talent Pipeline:CE and OJT, OJT DANIEL SALDEEN	1,575
<b>Urban Green Council</b>	Code to Zero, RFQL 3711 TWO#2	40,000
	Code to Zero, Urban Green TWO#1 Training	127,240
	Talent Pipeline:CE and OJT, PON3981 Round 9	38,155

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Urban Green Council</b>	Talent Pipeline:CE and OJT, PON3981 Round 10	20,160
	Workforce Industry Partnership, PON 3715 (R7) BOM	1,490
<b>Urban Homesteading Assistance Inc</b>	Community RH&C, CH&C Communities Round 3	39,081
	NY-SUN, PON 3414 Coops Go Solar	5,000
	NYCH: LMI, CH&C Communities Round 3	9,919
<b>Urban League of Rochester, NY, Inc</b>	New Construction Housing, 2019 LRNCP	69,700
<b>Urban League of Westchester County, Inc.</b>	Community RH&C, CH&C Communities Round 3	101,455
	NYCH: LMI, CH&C Communities Round 3	22,545
<b>USS New Scotland 1 LLC</b>	>200KW PV, NY Sun	108,015
<b>Utilidata, Inc.</b>	Future Grid Perf. Challenges, PON4128 NationalGrid Challenge	1,880,420
	High Performing Grid, PON4128 NationalGrid Challenge	-1,674,664
<b>Utilities Program &amp; Metering, Inc.</b>	Real Time Enrgy Management, UPM - 401 N Middletown - RTEM	41,502
<b>Valley View Realty Holdings, LLC</b>	Multifam Performance Pgm, Multifamily	16,800
<b>Vassar College</b>	Technical Services, OsEM8-C Vassar College	13,871
<b>Vecino Group New York, LLC</b>	Multifam New Construction, New Construction	47,200
<b>Verizon Communications Inc</b>	Industrial Process Effic, IPE16247 - Verizon Wireless	245,087
<b>Vermont Energy Investment Corporation</b>	Electric Vehicles - Innovation, EV Policies and Pilots for LMI	36,985
	Home Perf w Energy Star, P4P_POTF_Minibid_TWO_VEIC	50,000
	Industrial Process Effic, IPE16233	10,448
	Industrial Process Effic, Umbrella Contract	10,587
	NYCH: Innovation, Advanced Market Tools for Refr	4,000
	NYCH: LMI, TWO #1 LMI Electrification	66,615
	Strategic Energy Manager, RFP 3352	113,520
<b>Vervent Inc.</b>	GJGNY REVOLVING LOAN FUND, Financing Solutions	37,925
<b>VHB Engineering, Surveying and</b>	OREC: Technical Support, RFQL 3685 TWO #1	17,441
<b>Via Transportation, Inc.</b>	EVPRZ:Community Partner Funds, Prize Planning Grant - Via	0
	EVPRZ:Planning Grants, Prize Planning Grant - Via	87,994
<b>Vidaris, Inc.</b>	Code to Zero, NYStretch 2023 Working Groups	9,362
	Commercial New Construc, Commercial New Construction	19,692
	Commercial Real Estate Ten, Vidaris - 50 Hudson Yards -CTP	19,195
	Commercial Real Estate Ten, Vidaris- 1 Bryant Park - RTEM	2,994
	Technical Services, FT14081 - 10 Columbus - FTC	30,836
	Technical Services, Indoor Air Quality TWO-Vidaris	1,486
<b>Vil of Coxsackie Muni Solar Project O..</b>	>200KW PV, NY Sun	36,878
<b>Village of Albion</b>	Renewable Heat NY, Village of Albion Large Boiler	87,715
<b>Village of Amityville</b>	CLEANER GREENER COMMUNITIES, Village of Amityville	37,500
<b>Village of Croton-on-Hudson</b>	Clean Energy Communities, CEC500633-VI Croton-on-Hdsn	22,500
<b>Village of Goshen</b>	Clean Energy Communities, Village of Goshen	6,750
<b>Village of Irvington</b>	Clean Energy Communities, CEC500660-Vllg of Irvington	10,000
<b>Village of Kinderhook</b>	CEC400045 - Village of Kinderh	30,000
	Clean Energy Communities, CEC400045 - Village of Kinderh	5,000
<b>Village of Northville</b>	Clean Energy Communities, CEC600919 Village of Northvill	37,500
<b>Vornado Office Management LP</b>	Empire Building Challenge, EBC-Phase I-Vornado	100,000
	NYCH: Empire Build Challenge, EBC-Phase I-Vornado	100,000
<b>W &amp; E Phillips Locksmith, Inc</b>	NYSERDA ADMINISTRATION, Facilities Management	3,802
<b>Wadsworth Energy LLC</b>	Rmve Barriers Dist Enrgy Storg, TWO #2 MDIWG Support	20,850
<b>Walden Environmental Engineering, P..</b>	Environmental Research, PON 4270 PV Site Design	38,390
<b>Walden NY 1 LLC</b>	>200KW PV, NY Sun CI Assignment	146,841

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Washington Avenue Solar LLC</b>	>200KW PV, NY Sun	454,348
	NY-SUN, NY Sun	0
<b>Watchtower Bible &amp; Watertown, City of</b>	NYCH: District, Watchtower Design Study	14,888
<b>Watts and Water</b>	OTHER PROGRAM AREA, Sludge permitting and design	99,819
<b>Wawayanda Solar LLC</b>	NYSERDA ADMINISTRATION, Wiring 17 Columbia Circle	21,939
<b>WB Engineering &amp; Consulting PLLC</b>	>200KW PV, NY Sun	458,308
<b>WB Heritage Pointe Associates, LLC</b>	Commercial Real Estate Ten, WB Engine-61 9thAve FI 2-9-CTP	18,250
<b>We are the New Farmers Inc.</b>	Multifam Performance Pgm, Multifamily	3,690
<b>Wedgewood West LLC</b>	Talent Pipeline:CE and OJT, Climate Justice Fellow PON4772	23,789
<b>Wende Correctional Alden NY Solar L..</b>	Multifam Performance Pgm, Multifamily	71,550
<b>Wendel Energy Services, LLC</b>	>200KW PV, NY Sun Assignment	587,087
	K-12 SCHOOLS, RFP3628FlexTechConsultUmbrella	86,083
	NYCH: Technical Assistance, FT13268 - Group A - FTC	51,580
	NYCH: Technical Assistance, FT13269 - Group B - FTC	51,146
	NYCH: Technical Assistance, FT13530 - 300 S. Parkway - FTC	-48,000
	NYCH: Technical Assistance, RFP3628FlexTechConsultUmbrella	7,629
	REV Campus Challenge, FT13530 - 300 S. Parkway - FTC	48,000
	Technical Services, FT13319 - Plattsburg - FTC	54,384
	Technical Services, FT13617 - 2155 Baseline - FTC	12,000
	Technical Services, FT13640 - Tonawanda - FTC	21,784
<b>West Harlem Environmental Action, Inc.</b>	Technical Services, FT14044 - 8443 Lake Shore- FTC	15,311
<b>Westchester Community Opportunity ..</b>	NY-SUN, PON 3414 Solar Uptown Now	35,000
	Talent Pipeline:CE and OJT, CJF PON 4772 R2	2,846
<b>Westerlo NY 1, LLC</b>	NYCH: Talent Ppln:CE and OJT, PON3981 Round 10	42,211
<b>Westville Associates of New York 1 L..</b>	>200KW PV, NY-Sun C&I	169,092
<b>WexEnergy LLC</b>	Multifam Performance Pgm, Multifamily	12,000
<b>WFHA Brooklyn LP</b>	Cleantech Ignition, PON 3871 Ignition Grants	20,000
<b>Willdan Energy Solutions</b>	Multifam Performance Pgm, Multifamily	48,000
	Clean Energy Communities, RFP 4478	5,208
	Cleantech EIR, SA.062a_TWO#4 Tech to Market	0
	Cleantech Ignition, SA.062a_TWO#4 Tech to Market	40,806
	Cleantech Incubator, SA.062a_TWO#4 Tech to Market	40,806
	Code to Zero, SA.060_TWO #3 - Codes	122,646
	Commercial Real Estate Ten, Advanced Efficiency Solutions	56,412
	Industrial Process Effic, IPE16224	904
	K-12 SCHOOLS, RFP 3788 P-12 Benchmarking	36,875
	M-Corps, SA.062a_TWO#4 Tech to Market	0
<b>Willdan Lighting &amp; Electric, Inc.</b>	NYCH: District, PON 4614 Round #1 Phelps Hosp	32,274
<b>Willrab Realty Corp</b>	NYCH: Technical Assistance, Natural Gas Constrained Areas	11,441
	Technical Services, Natural Gas Constrained Areas	20,540
<b>Wiltshire Renewable Energy Systems,..</b>	Talent Pipeline:CE and OJT, OJT	35,854
<b>WNY Rural Preservation, LP</b>	Multifam Performance Pgm, Multifamily	6,175
<b>Woodlawn Veterans Mutual Housing ..</b>	Multifam Performance Pgm, Multifamily	6,480
<b>Woods Hole Oceanographic Institution</b>	Multifam Performance Pgm, Multifamily	1,200
	Nat'l OffShWind R&D Consortium, Natl Offshore Wind R&D	20,000
<b>Woodstock Terrace Mutual Housing</b>	Nat'l Offshore Wind R&D	135,042
	Multifam Performance Pgm, Multifamily	45,014
	Multifam Performance Pgm, Multifamily	64,000

**Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation**  
**Period 4/1/2022 through 9/30/2022**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Worley Group, Inc.</b>	OREC: Technical Support, Determination Study Buy Americ	78,247
	OREC: Technical Support, TWO 2 Buyer's Eng Support Se	71,665
	OREC: Technical Support, TWO#1 Advisian GL Wind Study	10,894
	REC:CES REC System Dev Costs, Determination Study Buy Americ	93,433
<b>WSP USA Corp.</b>	Clean Energy Communities, TA Community Support Services	190,988
	Environmental Research, ENV & Fisheries Rsrch for OSW	11,186
	Environmental Research, Suppt Svcs for Solar Dev & Ag	22,962
	OREC: Technical Support, Large-Scale Renewables	24,792
	OREC: Technical Support, TWO 3 Agreement 155565: SEQR	13,090
	OREC: Technical Support, TWO#1- Offshore Wind Cable	219,061
<b>Yardi Systems, Inc.</b>	Real Time Enrgy Management, Yardi - 200 Park Ave - RTEM	9,873
<b>Youth Action Programs and Homes, I..</b>	Talent Pipeline:CE and OJT, PON3981 Round 3	13,096
<b>Zerodraft Residential Inc.</b>	OJT	32,303
	Talent Pipeline:CE and OJT, OJT	16,772
	Talent Pipeline:CE and OJT, OJT HIRE	4,477
	WORKFORCE DEVELOPMENT, OJT	1,245
<b>ZG NY Solar, LLC</b>	>200KW PV, NY-Sun C&I	121,097
<b>Grand Total</b>		228,614,371

**Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation**  
**Period 4/1/2022 through 9/30/2022**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Agarabi Engineering, PLLC</b>	NYCH: Talent Ppln: Intern Pgm, Workforce Dev & Train	4,093
	Talent Pipeline: Internship Pgm, Workforce Dev & Train	21,298
<b>All-State Air Control Sales &amp; Service In</b>	NYCH: Talent Ppln: Intern Pgm, Workforce Dev & Train	7,344
<b>Antares Group, Inc.</b>	NYCH: Talent Ppln: Intern Pgm, Workforce Dev & Train	1,953
<b>Arch Street Communications, Inc.</b>	Talent Pipeline: Internship Pgm, Workforce Dev & Train	23,473
	Workforce Dev & Train	7,237
<b>Association for Energy Affordability, In</b>	Home Perf w Energy Star, Single Family Residential	21,881
	NENY: Con Ed Empower Gas, Single Family Residential	10,057
<b>Binghamton Regional</b>	Energy and Climate Equity	200
	NYCH: Talent Ppln: Intern Pgm, Workforce Dev & Train	1,467
	Talent Pipeline: Internship Pgm, Workforce Dev & Train	854
<b>Breathe Easy of CNY Inc.</b>	Home Perf w Energy Star, Single Family Residential	73,468
	Single Family Residential	33,829
<b>Buffalo Solar Solutions Inc</b>	Talent Pipeline: Internship Pgm, Workforce Dev & Train	7,514
<b>C.J. Brown Energy, P.C.</b>	Talent Pipeline: Internship Pgm, Workforce Dev & Train	4,644
	Workforce Dev & Train	6,369
<b>C&amp;R Housing Inc.</b>	Home Perf w Energy Star, Single Family Residential	28,012
	NENY: NFG Empower Gas, Single Family Residential	224,442
	NENY: NIMO Empower Electric, Single Family Residential	1,309
	NENY: NYSEG Empower Electric, Single Family Residential	176
	Single Family Residential	13,339
	Workforce Dev & Train	7,344
<b>Capital District Regional Planning Comm.</b>	Talent Pipeline: Internship Pgm, Workforce Dev & Train	1,851
<b>CEC Stuyvesant Cove, Inc.</b>	>200KW PV, Events Management	2,500
	Energy and Climate Equity	200
	Talent Pipeline: Internship Pgm, Workforce Dev & Train	26,148
<b>Climate Solutions Accelerator of the</b>	NYCH: Talent Ppln: Intern Pgm, Workforce Dev & Train	2,932
<b>COI Energy Services Inc</b>	Talent Pipeline: Internship Pgm, Workforce Dev & Train	1,886
	Workforce Dev & Train	40,981
<b>COLLECTIF Engineering, PLLC</b>	NYCH: Talent Ppln: Intern Pgm, Workforce Dev & Train	14,910
	Talent Pipeline: Internship Pgm, Workforce Dev & Train	2,746
<b>Common Energy LLC</b>	Talent Pipeline: Internship Pgm, Workforce Dev & Train	7,344
	Workforce Dev & Train	7,344
<b>Comrie Enterprises, LLC</b>	NYCH: Talent Ppln: Intern Pgm, Workforce Dev & Train	14,680
	Talent Pipeline: Internship Pgm, Workforce Dev & Train	1,010
<b>Country Suburban Heating &amp; Air Condition</b>	GJGNY Market Rate Audits, Single Family Residential	150
	Home Perf w Energy Star, Single Family Residential	73,080
<b>Crossfield Home Energy Solutions</b>	EMPOWER NY, Single Family Residential	8,821
	GJGNY Market Rate Audits, Single Family Residential	6,150
	Home Perf w Energy Star, Single Family Residential	219,028
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	600
	NENY: NYSEG Empower Electric, Single Family Residential	176
	NENY: RGE Empower Electric, Single Family Residential	5,832
	NYCH: Comfort Home, Single Family Residential	3,750
	Single Family Residential	4,563
<b>CTY, Inc</b>	Talent Pipeline: Internship Pgm, Workforce Dev & Train	10,747
<b>Dollaride, Inc.</b>	Talent Pipeline: Internship Pgm, Workforce Dev & Train	13,735
	Workforce Dev & Train	14,688
<b>EMCOR Services Betlem</b>	NYCH: Talent Ppln: Intern Pgm, Workforce Dev & Train	5,789
<b>Empower Equity Inc</b>	Talent Pipeline: Internship Pgm, Workforce Dev & Train	12,601
<b>Energy EDC Corp.</b>	Workforce Dev & Train	7,344



**Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation**  
**Period 4/1/2022 through 9/30/2022**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Energy Management Solutions, LLC</b>	GJGNY Market Rate Audits, Single Family Residential	900
	Home Perf w Energy Star, Single Family Residential	106,785
	NENY:CHGE Empower Electric, Single Family Residential	88
	NENY:CHGE Empower Gas, Single Family Residential	12,381
	NENY:Con Ed Empower Gas, Single Family Residential	39,165
	NENY:NYSEG Empower Electric, Single Family Residential	319
	NENY:O&R Empower Gas, Single Family Residential	22,097
	NYCH: Comfort Home, Single Family Residential	113,500
	Single Family Residential	14,475
<b>Energy Savers Inc</b>	Home Perf w Energy Star, Single Family Residential	733,111
	NENY:NIMO Empower Electric, Single Family Residential	1,754
	NENY:NYSEG Empower Electric, Single Family Residential	33
	NENY:RGE Empower Electric, Single Family Residential	110
	NYCH: Comfort Home, Single Family Residential	262,900
	Single Family Residential	50,951
<b>Energy Technology Savings, Inc.</b>	Talent Pipeline:Internship Pgm, Workforce Dev & Train	29,376
	Workforce Dev & Train	3,867
<b>Enertiv Inc.</b>	Talent Pipeline:Internship Pgm, Workforce Dev & Train	13,709
<b>Expert Environmental &amp; Construction Grou</b>	Home Perf w Energy Star, Single Family Residential	1,800
<b>Fishtech Energy Partners LLC</b>	Workforce Dev & Train	14,566
<b>Foam It Insulation, LLC</b>	EMPOWER NY, Single Family Residential	7,565
	GJGNY Market Rate Audits, Single Family Residential	13,800
	Home Perf w Energy Star, Single Family Residential	856,244
	NENY:NYSEG Empower Electric, Single Family Residential	13,892
	Single Family Residential	200,692
	Talent Pipeline:Internship Pgm, Workforce Dev & Train	1,441
	Workforce Dev & Train	7,648
<b>Fred F. Collis &amp; Sons, Inc.</b>	EMPOWER NY, Single Family Residential	1,151
	Home Perf w Energy Star, Single Family Residential	960,689
	NENY:NIMO Empower Electric, Single Family Residential	4,546
	NENY:NYSEG Empower Electric, Single Family Residential	482
	NYCH: Comfort Home, Single Family Residential	7,250
	NYCH: LMI, Single Family Residential	10,284
	NYCH: Talent Ppln:Intern Pgm, Workforce Dev & Train	14,256
	Single Family Residential	390,742
<b>Friello and Sons Heating and Cooling, In</b>	Home Perf w Energy Star, Single Family Residential	49,273
	NENY:NIMO Empower Electric, Single Family Residential	176
	Single Family Residential	31,871
<b>Geatrain Engineering PLLC</b>	Talent Pipeline:Internship Pgm, Workforce Dev & Train	24,419
	Workforce Dev & Train	4,820
<b>Green Action Studio, LLC</b>	Talent Pipeline:Internship Pgm, Workforce Dev & Train	44,064
	Workforce Dev & Train	14,688
<b>Group-S LLC</b>	Talent Pipeline:Internship Pgm, Workforce Dev & Train	22,304
<b>Halcyon Inc.</b>	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	250
	GJGNY Market Rate Audits, Single Family Residential	4,500
	Home Perf w Energy Star, Single Family Residential	2,508,375
	NENY:NFG Empower Gas, Single Family Residential	67,471
	NENY:NYSEG Empower Electric, Single Family Residential	7,253
	NENY:RGE Empower Electric, Single Family Residential	12,082
	NYCH: Comfort Home, Single Family Residential	42,950
NYCH: LMI, Single Family Residential	46,975	

**Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation**  
**Period 4/1/2022 through 9/30/2022**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
Halcyon Inc.	Single Family Residential	521,291
Hawn Heating & Energy Services LLC	NYCH: Talent Ppln:Intern Pgm, Workforce Dev & Train	3,714
Healthy Home Energy & Consulting, Inc.	NYCH: Comfort Home, Single Family Residential	91,400
	NYCH: Talent Ppln:Intern Pgm, Workforce Dev & Train	10,081
High Peaks Solar	Workforce Dev & Train	6,847
J Synergy Green Inc	Home Perf w Energy Star, Single Family Residential	16,750
John Betlem Heating & Cooling Inc	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	4,430
	GJGNY Market Rate Audits, Single Family Residential	15,450
	Home Perf w Energy Star, Single Family Residential	701,278
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	1,350
	NENY:NFG Empower Gas, Single Family Residential	512
	NENY:RGE Empower Electric, Single Family Residential	871
	NYCH: LMI, Single Family Residential	4,000
	Single Family Residential	19,078
Jordan Energy and Food Enterprises LLC	Workforce Dev & Train	2,943
Kawi Energy Group Corp.	Talent Pipeline:Internship Pgm, Workforce Dev & Train	20,911
Kinetic Communities Consulting Corporati	NYCH: Talent Ppln:Intern Pgm, Workforce Dev & Train	6,661
	Talent Pipeline:Internship Pgm, Workforce Dev & Train	14,688
Livingston Energy Group	Talent Pipeline:Internship Pgm, Workforce Dev & Train	43,368
Long Island Power Authority	GJGNY REVOLVING LOAN FUND, Single Family Residential	85,398
MicroEra Power, Inc.	NYCH: Talent Ppln:Intern Pgm, Workforce Dev & Train	7,344
	Talent Pipeline:Internship Pgm, Workforce Dev & Train	11,180
	Workforce Dev & Train	14,688
Mobileware Inc	Workforce Dev & Train	22,904
Mohawk Valley Economic Development Dist.	Talent Pipeline:Internship Pgm, Workforce Dev & Train	3,856
MR. AIR NYC Corp.	NYCH: Talent Ppln:Intern Pgm, Workforce Dev & Train	6,480
New York City Energy Efficiency Corp	Workforce Dev & Train	5,069
NextCorps Inc	Talent Pipeline:Internship Pgm, Workforce Dev & Train	19,442
NP Environmental LLC	Home Perf w Energy Star, Single Family Residential	250
Pathfinder Engineers & Architects, LLP	Workforce Dev & Train	6,962
Pathstone Corporation	Home Perf w Energy Star, Single Family Residential	7,530
	NENY:RGE Empower Electric, Single Family Residential	582
	Single Family Residential	1,090
Patriot Energy Solutions Corp	Home Perf w Energy Star, Single Family Residential	2,858,393
	NENY:Con Ed Empower Electric, Single Family Residential	1,298
	NENY:Con Ed Empower Gas, Single Family Residential	92,372
	Single Family Residential	36,846
Performance Systems Development, Inc.	New Construction Housing, New Construction	8,500
Public Utility Law Project of New York	Energy and Climate Equity	200
Safari Energy LLC	Workforce Dev & Train	12,049
SecondMuse LLC	Talent Pipeline:Internship Pgm, Workforce Dev & Train	3,228
Shared Mobility, Inc.	Talent Pipeline:Internship Pgm, Workforce Dev & Train	29,376
Snug Planet, LLC	Home Perf w Energy Star, Single Family Residential	193,705
	NENY:NYSEG Empower Electric, Single Family Residential	132
	NYCH: Comfort Home, Single Family Residential	1,450
	NYCH: LMI, Single Family Residential	26,948
	Single Family Residential	74,874
SOLANTA CORP	Talent Pipeline:Internship Pgm, Workforce Dev & Train	7,619
STRATCO PROPERTY GROUP INC	NYCH: Talent Ppln:Intern Pgm, Workforce Dev & Train	25,245
	Workforce Dev & Train	4,315
Sunlight Energy Group LLC	Talent Pipeline:Internship Pgm, Workforce Dev & Train	13,342

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>SUNY Morrisville</b>	Commercial New Construc, New Construction	9,295
<b>Sustainable Comfort, Inc</b>	Low Rise New Construction, New Construction	9,400
	New Construction Housing, New Construction	58,900
	Talent Pipeline: Internship Pgm, Workforce Dev & Train	14,107
<b>Sustainable Westchester</b>	NYCH: Talent Ppln: Intern Pgm, Workforce Dev & Train	6,051
	Talent Pipeline: Internship Pgm, Workforce Dev & Train	1,431
	Workforce Dev & Train	8,109
<b>TFR Transit Inc</b>	Talent Pipeline: Internship Pgm, Workforce Dev & Train	2,356
	Workforce Dev & Train	1,408
<b>The Radiant Store</b>	Home Perf w Energy Star, Single Family Residential	35,630
	NENY: NIMO Empower Electric, Single Family Residential	1,010
	NENY: NYSEG Empower Electric, Single Family Residential	99
	Single Family Residential	43,504
<b>The Top Gun Group, LLC</b>	EMPOWER NY, Single Family Residential	16,345
	Home Perf w Energy Star, Single Family Residential	637,896
	NENY: NIMO Empower Electric, Single Family Residential	44
	NENY: NYSEG Empower Electric, Single Family Residential	594
	NYCH: LMI, Single Family Residential	97,627
	Single Family Residential	116,525
<b>Town of Ithaca</b>	Clean Energy Communities, Communities & Local Government	5,000
<b>Town of Middletown</b>	Clean Energy Communities, Communities & Local Government	5,000
<b>True Building Performance LLC</b>	GJGNY Market Rate Audits, Single Family Residential	6,750
	Home Perf w Energy Star, Single Family Residential	133,480
	NENY: NIMO Empower Electric, Single Family Residential	33
	Single Family Residential	47,289
<b>True Energy Solutions</b>	EMPOWER NY, Single Family Residential	7,909
	Home Perf w Energy Star, Single Family Residential	265,762
	NENY: NFG Empower Gas, Single Family Residential	5,687
	NENY: NYSEG Empower Electric, Single Family Residential	176
	NYCH: Comfort Home, Single Family Residential	6,150
	NYCH: LMI, Single Family Residential	3,000
	Single Family Residential	28,315
<b>University of Rochester</b>	Environmental Research, Environmental Research	3,550
<b>Urban Energy Inc</b>	Workforce Dev & Train	13,323
<b>Urban Homesteading Assistance Inc</b>	Talent Pipeline: Internship Pgm, Workforce Dev & Train	5,684
<b>Village of Croton-on-Hudson</b>	Clean Energy Communities, Communities & Local Government	15,000
<b>Village of Irvington</b>	NYCH: Communities, Communities & Local Government	5,000
<b>Walden Environmental Engineering, PLLC</b>	Workforce Dev & Train	3,312
<b>Wendel Energy Services, LLC</b>	Talent Pipeline: Internship Pgm, Workforce Dev & Train	4,709
<b>WexEnergy LLC</b>	Talent Pipeline: Internship Pgm, Workforce Dev & Train	918
	Workforce Dev & Train	1,278
<b>You Save Green Incorporated</b>	Talent Pipeline: Internship Pgm, Workforce Dev & Train	11,712
<b>Zerodraft Residential Inc.</b>	GJGNY Market Rate Audits, Single Family Residential	1,950
	Home Perf w Energy Star, Single Family Residential	1,665,227
	NENY: NIMO Empower Electric, Single Family Residential	8,305
	NENY: NYSEG Empower Electric, Single Family Residential	10,391
	NYCH: LMI, Single Family Residential	15,390
	Single Family Residential	90,075
<b>Grand Total</b>		<b>16,304,919</b>

## Contracts Executed

Period 4/1/2022 through 9/30/2022

Contractor	Date Encumbered	Contract Description	Total Contract Amount
<b>NYCEEC Subordinate Loan</b>	6/2/2022	NY Green Bank, NYCEEC Subordinate Loan	5,000,000
<b>Sealed Upsize</b>	6/29/2022	NY Green Bank, Sealed upsize to \$25.00 MM (via accordion)	7,500,000
<b>Albany Hyatt</b>	8/2/2022	NY Green Bank, Albany Hyatt	12,000,000
<b>CGE Upsize</b>	8/26/2022	NY Green Bank, CGE Upsize	2,600,000
<b>Rudarpa Upsize</b>	9/6/2022	NY Green Bank, Rudarpa Upsize	3,500,000
<b>3 BP REIT</b>	5/23/2022	Technical Services, OsEM71-C - Ivanhoe Cambridge	36,308
<b>3rd ROC Solar LLC</b>	4/6/2022	<200KW PV, PON 2112 NY SUN	48,340
	4/26/2022	<200KW PV, PON 2112 NY SUN	5,320
	5/5/2022	<200KW PV, PON 2112 NY SUN	18,870
	5/6/2022	<200KW PV, PON 2112 NY SUN	33,490
	5/18/2022	<200KW PV, PON 2112 NY SUN	21,250
	5/24/2022	<200KW PV, PON 2112 NY SUN	11,050
	6/2/2022	<200KW PV, PON 2112 NY SUN	12,350
	6/6/2022	<200KW PV, PON 2112 NY SUN	11,900
	6/14/2022	<200KW PV, PON 2112 NY SUN	5,760
	6/21/2022	<200KW PV, PON 2112 NY SUN	8,360
	6/28/2022	<200KW PV, PON 2112 NY SUN	16,080
	6/29/2022	<200KW PV, PON 2112 NY SUN	31,555
	7/20/2022	<200KW PV, PON 2112 NY SUN	44,515
	7/21/2022	<200KW PV, PON 2112 NY SUN	38,535
	7/28/2022	<200KW PV, PON 2112 NY SUN	19,530
	9/2/2022	<200KW PV, PON 2112 NY SUN	9,520
	9/6/2022	<200KW PV, PON 2112 NY SUN	55,348
	9/28/2022	<200KW PV, PON 2112 NY SUN	5,760
	9/29/2022	<200KW PV, PON 2112 NY SUN	12,980
<b>9 Argyle Road HDFC</b>	5/31/2022	Multifam Performance Pgm, Multifamily	8,400
		NYCH: LMI, Clean Heating & Cooling	52,800
<b>22nd Century Technologies, Inc.</b>	9/26/2022	Home Perf w Energy Star, TWO #2 Single Family Res. BA -	210,313
<b>25-74 33rd Street Owner, LLC</b>	6/20/2022	Technical Services, FT13343 - 25-74 33rd - PON	7,200
<b>31-49 29th Street Owner, LLC</b>	6/20/2022	Technical Services, FT13344 - 31-49 29th - PON	6,000
<b>50 Overlook Terrace Owner, LLC</b>	6/20/2022	Technical Services, FT13342 - 50 Overlook - PON	7,150
<b>106 Fort Washington Owner, LLC</b>	6/17/2022	Technical Services, FT13244 - 106 Fort Wash. - PON	7,150
<b>122-20 Ocean Promenade Owner, LLC</b>	6/20/2022	Technical Services, FT13339 - 122-20 Ocean - PON	7,250
<b>212 Solar Development, LLC</b>	7/15/2022	Energy Storage Tech/Prod Dev, Site 1 - PON4169 Round #1	1,346,172
		Energy Storage Tech/Prod Dev, Site 2 - PON4169 Round #1	1,346,172
<b>213 Bennett Avenue Owner LLC</b>	6/20/2022	Technical Services, FT13341 - 213 Bennett - PON	7,200
<b>275 Nelson Apartments LLC</b>	7/26/2022	Multifam Performance Pgm, Multifamily	76,800
<b>375 Park Avenue Investors LP</b>	8/12/2022	Technical Services, FT14317 - 375 Park - PON	16,998
<b>444 East 86th Owners Corp</b>	9/30/2022	Technical Services, FT14349 - 444 E 86th - FTC	45,525
<b>650 Fifth Avenue Company</b>	6/3/2022	K-12 SCHOOLS, P12GC-74E - Razi School - PON	25,834
<b>733 Portland Properties</b>	7/29/2022	Tech Assistanc Multifamily LMI, FT14247 - 733 Portland - PON	7,488
	8/30/2022	Low Carbon Tech Demos, MF Low Carbon Pathways	47,850
<b>745 Broadway Albany, LLC</b>	5/23/2022	New Construction Housing, NCP Housing 2022	206,000
<b>770 Electric Corp.</b>	4/11/2022	<200KW PV, NY-Sun	14,976
		>200KW PV, NY-Sun	3,744
	4/27/2022	<200KW PV, NY-Sun	11,232
		>200KW PV, NY-Sun	2,808
	8/18/2022	<200KW PV, NY-Sun	195,568
		>200KW PV, NY-Sun	586,704
<b>1625 Rockaway Parkway Owner, LLC</b>	6/20/2022	Technical Services, FT13340 - 1625 Rockaway - PON	7,350
<b>AASPEN HVAC</b>	4/21/2022	NYCH: Talent Ppln:CE and OJT, OJT	12,000
<b>Abt Associates Inc.</b>	4/29/2022	ENERGY ANALYSIS, TWO#1 Pathways Health	75,000
	8/30/2022	ENERGY ANALYSIS, TWO 2 formerly 30191 TWO #5	248,441
<b>Abundant Solar Power Inc.</b>	8/3/2022	>200KW PV, NY Sun	3,266,266
		NY-SUN, NY Sun	714,495
<b>AC Owner, LLC</b>	4/29/2022	New Construction Housing, NCP Housing	576,000

## Contracts Executed

Period 4/1/2022 through 9/30/2022

Contractor	Date Encumbered	Contract Description	Total Contract Amount
AC Power 31, LLC	8/23/2022	>200KW PV, NY Sun	1,747,704
		NY-SUN, NY Sun	407,797
AC Power, LLC	7/20/2022	>200KW PV, NY Sun	1,174,173
		NY-SUN, NY Sun	483,483
Accord Power, Inc.	4/21/2022	>200KW PV, PON 2112 NY SUN	14,878
	4/26/2022	<200KW PV, NY-Sun	64
	5/11/2022	<200KW PV, NY-Sun	5,184
	5/25/2022	>200KW PV, PON 2112 NY SUN	1,169,280
	6/13/2022	<200KW PV, PON 2112 NY SUN	1,429
	6/21/2022	<200KW PV, PON 2112 NY SUN	1,480
	6/27/2022	>200KW PV, PON 2112 NY SUN	136,170
	6/28/2022	>200KW PV, PON 2112 NY SUN	115,344
	7/6/2022	<200KW PV, NY-Sun	5,760
	7/18/2022	<200KW PV, PON 2112 NY SUN	5,355
	7/28/2022	>200KW PV, PON 2112 NY SUN	5,184
	8/11/2022	>200KW PV, PON 2112 NY SUN	7,992
	8/17/2022	>200KW PV, PON 2112 NY SUN	26,320
	8/18/2022	>200KW PV, PON 2112 NY SUN	22,200
	8/25/2022	<200KW PV, PON 2112 NY SUN	7,252
9/2/2022	>200KW PV, PON 2112 NY SUN	30,636	
ACEEE	7/20/2022	Subscription/Data Access, ACEEE sponsored research	20,000
	9/12/2022	Subscription/Data Access, Industrial Heat Pump Phase 2	35,000
Acer Solar, LLC	7/19/2022	>200KW PV, NY Sun	952,952
		NY-SUN, NY Sun	392,392
Active Energy Systems, Inc.	4/11/2022	NYCH: Innovation, NEXT-GENERATION ICE THERMAL EN	536,544
Active Solar Development, LLC	7/14/2022	>200KW PV, NY Sun	1,704,936
		NY-SUN, NY Sun	278,511
	7/19/2022	>200KW PV, NY Sun	942,840
		NY-SUN, NY Sun	439,992
	7/28/2022	>200KW PV, NY Sun	1,108,128
	8/2/2022	>200KW PV, NY Sun	520,668
		NY-SUN, NY Sun	242,979
8/5/2022	>200KW PV, NY Sun	818,748	
8/5/2022	NY-SUN, NY Sun	382,083	
Adam C. Boese	5/6/2022	Technical Services, AEAP1383 - Citiva Medical LLC	3,500
	7/18/2022	Technical Services, FT14278 - Teledyne - FTC	12,390
	7/22/2022	Technical Services, AEAP 1239 - Scholten Dairy	5,600
Adirondack North Country Association	9/7/2022	Clean Energy Hub, Regional Clean Energy Hub	3,549,404
ADK Solar	7/11/2022	<200KW PV, PON 2112 NY SUN	12,040
Advanced Radiant Design, Inc.	5/3/2022	NYCH: Talent Ppln:CE and OJT, OJT	10,560
Advent Software Luxembourg S A R L	8/2/2022	Cleantech Ignition, Fund Administration/Loan Inves	5,000
	8/13/2022	NEW YORK GREEN BANK, Fund Administration/Loan Inves	3,000,000
Adviser Compliance Associates, LLC	9/21/2022	NEW YORK GREEN BANK, ACA - PPP Compliance Assistanc	10,000
Aequita Consulting LLC	9/28/2022	OTHER PROGRAM AREA, Resilience Consultancy with NY	238,000
AES DE RS XV, LLC	7/19/2022	>200KW PV, NY Sun	972,024
		NY-SUN, NY Sun	400,246
AES Laubacher Solar, LLC	8/2/2022	>200KW PV, NY Sun	564,570
		NY-SUN, NY Sun	232,470
AES RT 5 Storage Solar, LLC	8/1/2022	>200KW PV, NY Sun	1,257,374
		NY-SUN, NY Sun	517,743
Affordable Housing Partnership	8/30/2022	Clean Energy Hub, Regional Clean Energy Hub	3,038,546
Agarabi Engineering, PLLC	5/3/2022	OJT	20,160
	6/13/2022	Talent Pipeline:CE and OJT, CJF PON 4772 Round 2	40,000
AGreatE Inc	4/6/2022	76 West, 76West for AgreatE Inc	500,000
Air-Conditioning, Heating & Refrigeratio	9/16/2022	NextGen HVAC, HVAC Materials Testing	771,300
		NextGen HVAC, HVAC Refrigerant Leak Rate	307,110

## Contracts Executed

Period 4/1/2022 through 9/30/2022

Contractor	Date Encumbered	Contract Description	Total Contract Amount
AKF-engineers	4/6/2022	NYCH: District, PON 4614 Round #1 Rockefeller	100,000
	4/19/2022	Technical Services, FT14144 - 25-30 Columbia - FTC	47,500
Albany Solar Solutions L.L.C.	5/30/2022	OJT	23,040
	6/1/2022	<200KW PV, PON 2112 NY SUN	8,578
	6/2/2022	<200KW PV, PON 2112 NY SUN	36,176
	6/6/2022	<200KW PV, PON 2112 NY SUN	10,668
	6/24/2022	<200KW PV, PON 2112 NY SUN	20,300
	6/27/2022	<200KW PV, PON 2112 NY SUN	5,890
	8/11/2022	<200KW PV, PON 2112 NY SUN	10,780
All HVAC Service Co. Inc	6/9/2022	NYCH: Talent Ppln:CE and OJT, OJT	9,600
All-State Air Control Sales & Service In	8/24/2022	NYCH: Talent Ppln:CE and OJT, OJT	14,400
Allegis Group Holdings Inc	4/12/2022	NYCH: District, SA.005_TWO #2_CHC_PM	383,749
	5/17/2022	NYCH: Supply Chain, SA.054_TWO #9 - SFR PM	100,000
	7/26/2022	ENERGY ANALYSIS, SA.020_TWO #5_EEA Coordinator	385,749
Allen Power, Inc.	4/27/2022	<200KW PV, PON 2112 NY SUN	23,930
	5/11/2022	>200KW PV, PON 2112 NY SUN	64,676
	6/14/2022	<200KW PV, PON 2112 NY SUN	51,660
	9/14/2022	>200KW PV, NY-Sun NY-SUN, NY-Sun	323,380 64,676
Alliance for Sustainable Energy, LLC	6/30/2022	Electric Vehicles - Innovation, TWO 3 - NYS Charging Infrastr	30,000
Altanova LLC	5/11/2022	Technical Services, FT14200 - 1775 Grand Con - FTC	24,665
	5/12/2022	Technical Services, FT14201 - 375 Pearl - FTC	22,113
Alternative Power Solutions of NY, LLC	4/4/2022	<200KW PV, PON 2112 NY SUN	9,900
	4/18/2022	<200KW PV, PON 2112 NY SUN	9,020
	4/19/2022	<200KW PV, PON 2112 NY SUN	7,290
	5/4/2022	<200KW PV, PON 2112 NY SUN	9,900
	5/9/2022	<200KW PV, PON 2112 NY SUN	12,150
	5/10/2022	<200KW PV, PON 2112 NY SUN	7,380
	5/24/2022	<200KW PV, PON 2112 NY SUN	5,400
	5/25/2022	<200KW PV, PON 2112 NY SUN	5,400
	6/23/2022	<200KW PV, PON 2112 NY SUN	8,300
	6/29/2022	<200KW PV, PON 2112 NY SUN	10,250
	8/17/2022	<200KW PV, PON 2112 NY SUN	9,296
	8/18/2022	<200KW PV, PON 2112 NY SUN	13,720
	8/23/2022	<200KW PV, PON 2112 NY SUN	9,296
	9/1/2022	<200KW PV, PON 2112 NY SUN	10,000
9/2/2022	<200KW PV, PON 2112 NY SUN	6,640	
AltPOWER, Inc.	8/16/2022	>200KW PV, PON 2112 NY SUN	49,920
Amazon Capital Servies, Inc.	6/3/2022	OTHER PROGRAM AREA, Small Items Purchase	10,917
Ameresco, Inc.	8/9/2022	>200KW PV, NY Sun Assignment NY-SUN, NY Sun Assignment	422,063 744,817
	8/8/2022	<200KW PV, PON 2112 NY SUN	5,472
Amergy Solar Inc.	8/11/2022	>200KW PV, PON 2112 NY SUN	7,020
	8/12/2022	>200KW PV, PON 2112 NY SUN	7,020
	8/18/2022	>200KW PV, PON 2112 NY SUN	10,944
	5/16/2022	Subscription/Data Access, ACEEE 2022 Sponsored Research	40,000
American Council for an Energy Efficient	5/20/2022	Prof & Expert Engagement, 2022 NASEMC Membership	10,000
	4/8/2022	<200KW PV, PON 2112 NY SUN	164
American Energy Care, Inc.	4/18/2022	<200KW PV, PON 2112 NY SUN	7,200
	4/21/2022	<200KW PV, PON 2112 NY SUN	17,720
	5/13/2022	<200KW PV, PON 2112 NY SUN	5,396
	5/25/2022	<200KW PV, PON 2112 NY SUN	5,400
	5/26/2022	<200KW PV, PON 2112 NY SUN	5,040
	5/27/2022	<200KW PV, PON 2112 NY SUN	5,760
	6/1/2022	<200KW PV, PON 2112 NY SUN	7,020
	6/9/2022	<200KW PV, PON 2112 NY SUN	7,920

**Contracts Executed**  
**Period 4/1/2022 through 9/30/2022**

<b>Contractor</b>	<b>Date Encumbered</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>American Energy Care, Inc.</b>	6/14/2022	<200KW PV, PON 2112 NY SUN	5,559
	6/28/2022	<200KW PV, PON 2112 NY SUN	12,600
	6/30/2022	<200KW PV, NY-Sun	523
	7/5/2022	<200KW PV, PON 2112 NY SUN	5,040
	7/6/2022	<200KW PV, PON 2112 NY SUN	6,840
	7/28/2022	<200KW PV, PON 2112 NY SUN	5,760
	7/29/2022	<200KW PV, PON 2112 NY SUN	6,480
	8/10/2022	<200KW PV, PON 2112 NY SUN	6,300
	8/11/2022	<200KW PV, PON 2112 NY SUN	7,438
	8/16/2022	<200KW PV, PON 2112 NY SUN	16,560
	8/17/2022	<200KW PV, PON 2112 NY SUN	45,070
	8/19/2022	<200KW PV, PON 2112 NY SUN	6,630
	9/14/2022	<200KW PV, PON 2112 NY SUN	9,360
<b>American Solar Partners, LLC</b>	5/20/2022	<200KW PV, NY-Sun	26,000
	6/29/2022	<200KW PV, NY-Sun	1,115,338
		>200KW PV, NY-Sun	123,926
	6/30/2022	<200KW PV, NY-Sun	1,647,076
		>200KW PV, NY-Sun	183,008
	7/20/2022	<200KW PV, NY-Sun	1,224,320
		>200KW PV, NY-Sun	136,036
	8/4/2022	<200KW PV, NY-Sun	13,728
		>200KW PV, NY-Sun	41,184
	8/19/2022	<200KW PV, NY-Sun	5,016
		>200KW PV, NY-Sun	7,524
	8/25/2022	<200KW PV, NY-Sun	200,000
		>200KW PV, NY-Sun	245,100
	8/29/2022	<200KW PV, NY-Sun	600,000
		>200KW PV, NY-Sun	745,620
9/7/2022	<200KW PV, NY-Sun	4,440	
	>200KW PV, NY-Sun	13,320	
9/21/2022	<200KW PV, NY-Sun	6,912	
	>200KW PV, NY-Sun	1,728	
<b>Amherst Community Solar LLC</b>	8/2/2022	NY-SUN, NY-Sun - ICSA	656,464
<b>AMP US HoldCo Inc</b>	8/8/2022	NY-SUN, NY-Sun ESFA	982,800
<b>AMP US HoldCo Inc.</b>	7/19/2022	>200KW PV, NY Sun	922,039
		NY-SUN, NY Sun	379,664
	8/8/2022	NY-SUN, NY-Sun ESFA	2,817,864
	8/16/2022	NY-SUN, NY-Sun ESFA	1,035,216
	8/23/2022	>200KW PV, NY Sun	732,888
		NY-SUN, NY Sun	342,015
<b>AMS Construction Corp</b>	5/13/2022	>200KW PV, PON 2112 NY SUN	12,240
	6/2/2022	<200KW PV, NY-Sun	184,788
		>200KW PV, NY-Sun	46,197
	9/12/2022	<200KW PV, NY-Sun	79,920
		>200KW PV, NY-Sun	239,760
<b>Amy's Kitchen</b>	5/24/2022	Commercial New Construct, Comm New Construct Incentives	53,164
<b>Antares Group, Inc.</b>	4/4/2022	Technical Services, FT14091 - 42 Ridge - FTC	32,764
	4/11/2022	Empire Building Challenge, Antares mini bid 4982 RTEM	68,813
		EVALUATION, Antares mini bid 4982 RTEM	18,983
		NYCH: Empire Build Challenge, Antares mini bid 4982 RTEM	68,813
		Real Time Enrgy Management, Antares mini bid 4982 RTEM	85,424
		RTEM and Tenants, Antares mini bid 4982 RTEM	37,966
	4/25/2022	REV Campus Challenge, FT14143 - Marillac Hall - FTC	14,799
<b>Apex Roofing, LLC</b>	7/6/2022	<200KW PV, PON 2112 NY SUN	8,360
	9/12/2022	<200KW PV, PON 2112 NY SUN	5,000
	9/13/2022	<200KW PV, PON 2112 NY SUN	5,610

**Contracts Executed**  
**Period 4/1/2022 through 9/30/2022**

<b>Contractor</b>	<b>Date Encumbered</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>Apex Solar Power LLC</b>	4/4/2022	<200KW PV, PON 2112 NY SUN	7,110
	4/8/2022	<200KW PV, PON 2112 NY SUN	6,400
	4/12/2022	<200KW PV, PON 2112 NY SUN	7,600
	4/26/2022	<200KW PV, PON 2112 NY SUN	8,232
	5/17/2022	<200KW PV, PON 2112 NY SUN	480
	5/19/2022	<200KW PV, PON 2112 NY SUN	9,090
	5/20/2022	<200KW PV, PON 2112 NY SUN	60
	5/25/2022	<200KW PV, PON 2112 NY SUN	8,000
	7/7/2022	<200KW PV, PON 2112 NY SUN	6,750
	7/8/2022	<200KW PV, PON 2112 NY SUN	17,500
	7/12/2022	<200KW PV, PON 2112 NY SUN	9,000
	8/9/2022	<200KW PV, PON 2112 NY SUN	28,056
	8/12/2022	<200KW PV, PON 2112 NY SUN	10,000
	8/16/2022	<200KW PV, NY-Sun	5,400
	9/22/2022	<200KW PV, PON 2112 NY SUN	9,947
<b>Apogee Interactive, Inc.</b>	8/22/2022	NYCH: Technical Assistance, PON 4423 Round 2	200,000
<b>APPEXTREMES, LLC</b>	5/20/2022	NYSERDA ADMINISTRATION, Conga Composer Maintenance ..	14,400
<b>Apprise, Incorporated</b>	6/2/2022	EVAL MCDC: MF LCP Market Eval, TWO 2 - APPRISE MF LC..	332,939
<b>APX Inc.</b>	4/13/2022	REC2:CES REC2 Syst Development, NYGATS	20,154
		REC:CES REC System Dev Costs, NYGATS	69,625
		ZEC:CES ZEC System Dev Costs, NYGATS	556,596
<b>Arcadis of New York, Inc.</b>	5/16/2022	Technical Services, FT14214-City of Amsterdam-FTC	50,000
	5/31/2022	OTHER PROGRAM AREA, SA.093_TWO #5_Innovation PM-2	446,870
<b>Arch Street Communications, Inc.</b>	8/5/2022	ENERGY ANALYSIS, Climate Action Council Public	77,857
<b>Arete Management LLC</b>	8/25/2022	Technical Services, FT14000 - 1385 Fulton - PON	10,000
		Technical Services, FT14001 - 111 E 118th - PON	11,302
		Technical Services, FT14002 - 440 W 163rd - PON	10,000
		Technical Services, FT14003 - 480 E 176th - PON	10,000
	8/26/2022	Technical Services, FT14004 - 333 Kosciuszko - PON	10,000
<b>Articulate Global Inc</b>	7/12/2022	NYSERDA ADMINISTRATION, Articulate Software License 3y	22,028
<b>Arup US, Inc.</b>	8/25/2022	Environmental Research, TWO 5 Elect. Resilience	226,000
		HCR Direct Injection, TWO #7 – HCR Project Selection	1,000,000
		New Construction- Commercial, TWO #6CN Policy Support 2022	50,000
	8/30/2022	Pub Transit & Elect Rail, TWO 4 Traction Power BEB Study	29,614
<b>Association for Energy Affordability, In</b>	4/8/2022	Tech Assistanc Multifamily LMI, FT14142 - 201-203 Hamilton-F..	19,706
	5/11/2022	Technical Services, FT14106 - 3555 Olinville - FTC	8,865
	5/25/2022	Technical Services, FT14100 - 1901 84th - FTC	8,799
	6/14/2022	Tech Assistanc Multifamily LMI, FT14172 - 1015 Gerard - FTC	11,141
		Tech Assistanc Multifamily LMI, FT14173 - 1020 Gerard - FTC	10,000
		Tech Assistanc Multifamily LMI, FT14174 - 1025 Gerard - FTC	12,437
		Tech Assistanc Multifamily LMI, FT14175 – 119 W 137th – FTC	10,000
		Tech Assistanc Multifamily LMI, FT14176 - 1238 Simpson - FTC	12,671
		Tech Assistanc Multifamily LMI, FT14178 - 180 Broad - FTC	12,671
		Tech Assistanc Multifamily LMI, FT14179 - 1956 Crotona - FTC	12,011
		Tech Assistanc Multifamily LMI, FT14180 - 2228 Adam Clay - F..	9,165
		Tech Assistanc Multifamily LMI, FT14182 - 235 E 105th - FTC	10,000
		Tech Assistanc Multifamily LMI, FT14183 - 2463 Grand - FTC	10,000
		Tech Assistanc Multifamily LMI, FT14184- 3052 Kingsbridge- F..	12,671
	Tech Assistanc Multifamily LMI, FT14185 - 3235 Grand - FTC	12,671	
	Tech Assistanc Multifamily LMI, FT14186 - 328 E 197th - FTC	10,000	
	Tech Assistanc Multifamily LMI, FT14190 - 115 W 137th - FTC	9,203	
7/25/2022	Technical Services, FT14115 - 144-35 Sanford - FTC	12,500	
8/18/2022	Tech Assistanc Multifamily LMI, FT14206 - Multiple - FTC	21,955	
9/1/2022	Tech Assistanc Multifamily LMI, FT14187 - 329 E 197th - FTC	10,000	
	Tech Assistanc Multifamily LMI, FT14188 - 40 Prospect - FTC	12,941	
<b>Asteri Ithaca, LLC.</b>	7/15/2022	New Construction- Commercial, 2019 MFCNP	107,644



## Contracts Executed

Period 4/1/2022 through 9/30/2022

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Astron Solutions LLC	9/14/2022	NYSERDA ADMINISTRATION, Pay Equity Study	99,000
Autonomous Energies LLC	6/27/2022	<200KW PV, PON 2112 NY SUN	5,200
	6/28/2022	<200KW PV, PON 2112 NY SUN	10,200
	8/10/2022	<200KW PV, PON 2112 NY SUN	7,875
Aztech Geothermal, LLC	6/8/2022	NYCH: Talent Ppln:CE and OJT, OJT	7,680
	8/29/2022	NYCH: District, PON 4614 Round4 SE Albany	99,700
Bakers Falls Solar, LLC	7/14/2022	>200KW PV, NY Sun	564,566
		NY-SUN, NY Sun	232,469
Baldwin Real Estate Development, Corp.	4/20/2022	Multifam Performance Pgm, Multifamily	82,600
Banyan Infrastructure Corporation	8/29/2022	NEW YORK GREEN BANK, Reporting Covenant Servicing	145,625
Barry Frohlinger	4/1/2022	NEW YORK GREEN BANK, Credit Training for Staff	25,000
Bashing Panels LLC	6/6/2022	<200KW PV, PON 2112 NY SUN	11,940
	8/10/2022	<200KW PV, PON 2112 NY SUN	9,600
	8/12/2022	<200KW PV, PON 2112 NY SUN	6,240
	8/17/2022	<200KW PV, PON 2112 NY SUN	12,480
	9/15/2022	<200KW PV, PON 2112 NY SUN	10,000
Battelle Memorial Institute	8/11/2022	Code to Zero, TWO #2 NYStretch Comm Modeling	44,933
		Code to Zero, TWO #3 NYStretch Res Modeling	52,441
	9/28/2022	Code to Zero, TWO #4 DOS DBSC Staff Support	250,000
BDO USA LLP	6/7/2022	Background Investigation Servi	9,800
	7/7/2022	Background Investigation Servi	9,200
	9/8/2022	Background Investigation Servi	5,600
Bellwether on Main, LLC	6/17/2022	New Construction Housing, NCP Housing	30,000
Belmont Housing Resources for WNY, I..	6/24/2022	New Construction Housing, NCP Housing	320,000
Belvedere Housing, LP	4/20/2022	Multifam Performance Pgm, Multifamily	262,500
	6/20/2022	Tech Assistanc Multifamily LMI, FT14147 - 207 Lake - PON	15,000
Benchmark Printing, Inc.	5/24/2022	Eval MCDC: MF Building Stock, Res Postcard Print & Mail	60,000
	9/29/2022	Electric Vehicles - Innovation, Printing DMV EV mailer inserts	17,347
Bentley Systems, Incorporated	7/26/2022	OTHER PROGRAM AREA, Oasis Montaj License Purchase	33,260
Bergmann Associates, Architects,	5/11/2022	Technical Services, AEAP 1388 - Apple Acres LLC	3,500
		Technical Services, AEAP 1413 - Critz Farms Inc	6,000
	5/18/2022	OTHER PROGRAM AREA, Dunkirk JT Planning Study	140,000
	8/18/2022	Technical Services, GH 2 - Wheatfield Gardens	6,500
Best Buy Store, L.P.	7/22/2022	NYSERDA ADMINISTRATION, Surface Laptop 4 computers - 5	5,060
Best Energy Power	5/25/2022	<200KW PV, NY-Sun	76,608
		>200KW PV, NY-Sun	8,512
	6/1/2022	<200KW PV, NY-Sun	93,708
		>200KW PV, NY-Sun	10,412
	6/3/2022	<200KW PV, NY-Sun	30,704
		>200KW PV, NY-Sun	7,676
	6/7/2022	>200KW PV, PON 2112 NY SUN	14,288
	7/20/2022	<200KW PV, NY-Sun	564,984
		>200KW PV, NY-Sun	62,776
	8/2/2022	<200KW PV, NY-Sun	31,920
		<200KW PV, PON 2112 NY SUN	97,128
		>200KW PV, NY-Sun	140,904
		>200KW PV, PON 2112 NY SUN	431,680
		NY-SUN, NY-Sun	11,324
	8/3/2022	<200KW PV, NY-Sun	15,656
		<200KW PV, PON 2112 NY SUN	41,724
		>200KW PV, NY-Sun	46,968
>200KW PV, PON 2112 NY SUN		281,596	
8/4/2022	>200KW PV, PON 2112 NY SUN	222,600	
8/9/2022	<200KW PV, NY-Sun	360,000	
	>200KW PV, NY-Sun	49,192	
8/15/2022	>200KW PV, PON 2112 NY SUN	47,880	

**Contracts Executed**  
**Period 4/1/2022 through 9/30/2022**

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Best Energy Power	9/14/2022	<200KW PV, NY-Sun	37,696
		>200KW PV, NY-Sun	113,088
Big Shine Worldwide Inc	8/30/2022	<200KW PV, PON 2112 NY SUN	211,523
BioDiversity Research Institute	5/4/2022	OREC: Technical Support, TWO 6 ETWG Services	235,755
BlocPower Community Corporation	5/31/2022	NYCH: Communities, PON3922 CH&C Communities BlocP	50,000
Bloomberg Finance LP	4/7/2022	REC:CES REC System Dev Costs, Bloomberg Datafeed Access	20,000
	5/25/2022	ENERGY ANALYSIS, Bloomberg Datafeed Access	24,240
Bloomfield Solar, LLC	8/16/2022	>200KW PV, NY Sun	1,125,000
		NY-SUN, NY Sun	525,000
Bond, Schoeneck & King, PLLC	4/5/2022	OTHER PROGRAM AREA, TWO 7 Legal Services for H2Hub	50,000
	8/3/2022	NYSERDA ADMINISTRATION, TWO 6 HR Counsel Services	25,000
Booz Allen Hamilton, Inc.	4/1/2022	OTHER PROGRAM AREA, TWO 7 - Hydrogen Hub Prog Sup	372,147
	8/22/2022	OTHER PROGRAM AREA, TWO 9 Climate Resilience	724,002
	8/23/2022	Building Envelope Systems, TWO 8 Buildings Innov	744,757
		NextGen HVAC, TWO 8 Buildings Innov	661,737
		NYCH: Innovation, TWO 8 Buildings Innov	744,757
	8/25/2022	OTHER PROGRAM AREA, TWO 10 Negative Emissions Tech	1,592,180
		Thermal Energy Storage, TWO 8 Buildings Innov	744,757
		Energy Storage Tech/Prod Dev, TWO 12 Hydrogen & Clean Fu..	1,736,356
	9/28/2022	Energy Storage Tech/Prod Dev, TWO 13 Renewable Opt & Stor..	1,448,004
Future Grid Perf. Challenges, TWO 11 Grid Modernization		1,736,356	
OTHER PROGRAM AREA, TWO 14- H2 Hubs		500,000	
Bowery Residents' Committee, Inc	7/5/2022	New Construction Housing, NCP Housing	600,000
Brattle Group Inc.	5/20/2022	ENERGY ANALYSIS, TWO #1 NYISO Consult Support	100,000
Bright Power, Inc.	4/8/2022	Technical Services, FT14090 - 111 Lawrence - FTC	17,625
		Technical Services, FT14156 - 1110 South - FTC	8,600
4/14/2022	Campus/Technical Assistance, FT14168 - 1200 South - FTC	8,100	
	Technical Services, FT14157 - 1100 South - FTC	11,750	
	Technical Services, FT14166 - 900 South - FTC	8,150	
	Technical Services, FT14167 - 1120 South - FTC	8,100	
	K-12 SCHOOLS, P12GC-61E - Yeshiva Har - FTC	11,138	
4/29/2022	Technical Services, FT14084 - 2 Tudor City - FTC	11,750	
5/9/2022	Technical Services, FT14196 - 71 Murray - FTC	12,000	
5/11/2022	Technical Services, FT14205 - 22 W 19th - FTC	10,650	
5/24/2022	Technical Services, FT14098 - 208-11 26th - FTC	8,050	
5/25/2022	Technical Services, FT14105 - 838 West End - FTC	6,600	
5/27/2022	Real Time Enrgy Management, Bright-41 Barker Ave-RTEM	5,774	
5/30/2022	Technical Services, FT14092 - Maria Lopez - FTC	8,950	
6/3/2022	Technical Services, FT14124 - 1 York - FTC	8,000	
6/6/2022	Technical Services, FT14093 - Baisley Park - FTC	9,900	
6/8/2022	COMMUNITY SOLAR, NY-Sun	73,080	
6/13/2022	Campus/Technical Assistance, FT14195 - 529-535 W 20th - F..	4,994	
	COMMUNITY SOLAR, NY-Sun	142,920	
	Technical Services, FT14195 - 529-535 W 20th - FTC	3,606	
	Technical Services, FT14197 - 521 W 20th - FTC	8,950	
6/14/2022	COMMUNITY SOLAR, NY-Sun	170,280	
6/24/2022	Technical Services, FT14094 - 7-25 166th - FTC	5,000	
	Technical Services, FT14095 - 166-40 Powells - FTC	5,000	
	Technical Services, FT14096 - 131 E 66th - FTC	6,950	
	Technical Services, FT14103 - Village View - FTC	16,500	
	Technical Services, FT14107 - 330 W 39th - FTC	11,750	
	Technical Services, FT14110 - 10 Liberty - FTC	13,200	
7/1/2022	Tech Assistanc Multifamily LMI, FT14169 - 1615-17 Walton - FT..	7,050	
	Technical Services, FT14216 - 23 E 22 - FTC	12,000	
7/5/2022	NYCH: Technical Assistance, FT13814 - 875 W. 181st - FTC	18,000	
7/22/2022	Technical Services, FT14272 - 201 W 17th - FTC	18,750	

**Contracts Executed**  
**Period 4/1/2022 through 9/30/2022**

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Bright Power, Inc.	8/2/2022	Technical Services, FT14307 - 35 West 44th - FTC	14,000
	8/4/2022	Technical Services, FT14273 - 70 Washington - FTC	21,000
	8/16/2022	Tech Assistanc Multifamily LMI, FT14300 - 1424 Walton - FTC	8,000
	8/18/2022	Tech Assistanc Multifamily LMI, FT14238 - 351 W 42nd - FTC	10,250
	8/24/2022	Real Time Enrgy Management, BrightPower-425GrandCon-RT..	30,749
	9/6/2022	Technical Services, FT14262 - 431 W 37th - FTC	12,825
		Technical Services, FT14263 - 303 E 83rd - FTC	16,500
Broadway Terrace Associates, L.P.	8/1/2022	Multifam Performance Pgm, Multifamily	77,600
Brooklyn SolarWorks LLC	8/16/2022	>200KW PV, PON 2112 NY SUN	37,296
	8/17/2022	>200KW PV, NY-Sun	9,120
		>200KW PV, PON 2112 NY SUN	11,760
		NY-SUN, NY-Sun	1,520
	8/19/2022	>200KW PV, PON 2112 NY SUN	22,464
	8/30/2022	>200KW PV, PON 2112 NY SUN	17,280
	9/2/2022	>200KW PV, NY-Sun	23,520
		NY-SUN, NY-Sun	3,360
	9/6/2022	>200KW PV, PON 2112 NY SUN	40,158
	9/14/2022	>200KW PV, PON 2112 NY SUN	15,840
	9/16/2022	>200KW PV, PON 2112 NY SUN	11,025
	9/27/2022	>200KW PV, NY-Sun	6,240
		>200KW PV, PON 2112 NY SUN	6,720
Brownsville Partnership Inc.	7/12/2022	Buildings of Excellence, BoE Rnd. 2 - The Rise	850,000
	9/16/2022	New Construction- Commercial, NCP Housing	27,680
Bryant Orange LLC	4/20/2022	Multifam Performance Pgm, Multifamily	22,400
BSREP UA 3333 Broadway, LLC	6/20/2022	Technical Services, FT13338 - 3333 Broadway - PON	11,850
Buffalo Solar Solutions Inc	4/15/2022	<200KW PV, NY-Sun	7,225
	4/27/2022	<200KW PV, PON 2112 NY SUN	10,584
	5/4/2022	<200KW PV, PON 2112 NY SUN	7,200
	5/10/2022	<200KW PV, PON 2112 NY SUN	6,240
	5/11/2022	<200KW PV, PON 2112 NY SUN	7,680
	5/13/2022	<200KW PV, PON 2112 NY SUN	27,480
	5/16/2022	<200KW PV, PON 2112 NY SUN	24,650
	6/3/2022	<200KW PV, PON 2112 NY SUN	12,500
	6/6/2022	<200KW PV, PON 2112 NY SUN	16
	6/7/2022	<200KW PV, PON 2112 NY SUN	9,975
	6/16/2022	<200KW PV, PON 2112 NY SUN	7,680
	6/23/2022	<200KW PV, PON 2112 NY SUN	12,500
	6/28/2022	<200KW PV, PON 2112 NY SUN	127,820
	7/1/2022	<200KW PV, PON 2112 NY SUN	7,200
	7/6/2022	<200KW PV, PON 2112 NY SUN	150,314
	7/7/2022	<200KW PV, PON 2112 NY SUN	12,500
	7/28/2022	<200KW PV, PON 2112 NY SUN	17,325
	8/1/2022	<200KW PV, PON 2112 NY SUN	8,064
	8/18/2022	<200KW PV, PON 2112 NY SUN	42,000
	9/6/2022	<200KW PV, PON 2112 NY SUN	12,096
Building Media, Inc.	4/25/2022	Code to Zero, RFQL 3711 TWO#1	227,050
Bullrock Corporation	8/30/2022	<200KW PV, NY-Sun	262,080
		NY-SUN, NY-Sun	52,416
Buro Happold Consulting Engineers, P.C.	7/15/2022	Technical Services, FT14245 - 111 West 33rd - FTC	99,967
	9/28/2022	Technical Services, FT14268 - 501 7th - FTC	104,965
Buzzard's Ridge Group LLC	9/20/2022	<200KW PV, PON 2112 NY SUN	5,856
BW Research Partnership	6/24/2022	Talent Pipeline: Internship Pgm, TWO# 1 CE Industry Report	100,000
		Workforce Industry Partnership, TWO# 1 CE Industry Report	272,132
BW Solar Holding Inc.	7/14/2022	>200KW PV, NY Sun	835,703
		NY-SUN, NY Sun	344,113
	7/20/2022	>200KW PV, NY Sun	1,048,612

**Contracts Executed**  
**Period 4/1/2022 through 9/30/2022**

Contractor	Date Encumbered	Contract Description	Total Contract Amount
BW Solar Holding Inc.	7/20/2022	NY-SUN, NY Sun	431,782
	7/28/2022	>200KW PV, NY Sun	2,167,824
		NY-SUN, NY Sun	892,635
	8/1/2022	>200KW PV, NY Sun	1,274,308
		NY-SUN, NY Sun	524,716
8/16/2022	>200KW PV, NY Sun	1,274,308	
	NY-SUN, NY Sun	524,716	
BWC Briggs Run, LLC	8/16/2022	>200KW PV, NY Sun	1,191,482
		NY-SUN, NY Sun	490,611
BWC Indian Rd Pond, LLC	8/16/2022	>200KW PV, NY Sun	866,762
		NY-SUN, NY Sun	356,902
BWC Kecks Center Creek, LLC	8/16/2022	>200KW PV, NY-Sun	1,191,482
		NY-SUN, NY-Sun	490,611
C.J. Brown Energy, P.C.	4/7/2022	Technical Services, FT14078 - 701 Whirlpool - FTC	7,550
	5/25/2022	Technical Services, FT14035 - 261 Portage - FTC	8,145
	7/5/2022	Direct Injection Program, TWO #4 - HCR General Support	16,500
New Construction Housing, TWO #4 - HCR General Support		33,500	
C&R Housing Inc.	4/26/2022	OJT	12,240
	7/12/2022	Talent Pipeline:CE and OJT, OJT	12,960
	7/25/2022	Talent Pipeline:CE and OJT, OJT	9,600
	9/12/2022	Talent Pipeline:CE and OJT, OJT	12,960
Cadence OneFive Inc.	6/21/2022	Novel Bus Models & Offers, Novel Business Models R2	250,000
Cameron Engineering & Associates LLP	6/15/2022	Technical Services, FT14109 - 108 5th - FTC	5,075
	6/27/2022	Technical Services, FT14108 - 201 E 36th - FTC	12,575
Carahsoft Technology Corporation	4/18/2022	NEW YORK GREEN BANK, NYGB Cloud Content Management	20,544
	5/19/2022	NYSERDA ADMINISTRATION, LinkedIn	39,818
	5/25/2022	NYSERDA ADMINISTRATION, Google Translation - Carahsoft	36,871
Carter Ledyard & Milburn LLP	4/7/2022	OREC: Technical Support, TWO 2 - Pt of Albany SEQRA OSW	15,000
	7/1/2022	OREC: Technical Support, TWO 1 - ORECRFP22-1	50,000
	9/7/2022	OREC: Technical Support, TWO 3 - OSW, NEPA, SEQRA	22,000
Cascade Energy, Inc.	8/4/2022	Technical Services, FT14217 - City of Auburn - FTC	7,575
Cascades Containerboard Packaging	8/25/2022	CI Carbon Challenge, C&I Carbon Challenge	2,140,825
Catalyze Holdings, LLC	9/19/2022	>200KW PV, NY Sun	293,220
		NY-SUN, NY Sun	171,045
Cavern Solar, LLC	7/12/2022	>200KW PV, NY Sun	522,580
		NY-SUN, NY Sun	215,180
Cayuga Medical Center at Ithaca	9/6/2022	New Construction Housing, 2019 LRNCP	147,000
	9/7/2022	Commercial New Construc, Commercial New Construction	128,560
CCMH Times Square LLC	5/3/2022	Technical Services, FT13642 - 1535 Broadway - PON	64,256
CCMI, Inc	5/20/2022	Commercial New Construc, 2019 CNCP	6,824
Center for Economic Growth	9/13/2022	OREC: Technical Support, IPF 2022	25,000
Center for Energy Efficiency and Rene..	4/21/2022	Prof & Expert Engagement, 2022 BDC Membership	15,000
Center for Sustainable Energy	5/9/2022	CLEAN TRANSPORTATION, Centralized Services & Support	776,992
Central New York Regional Planning and	8/26/2022	Clean Energy Communities, Clean Energy Communities	1,983,292
CHA Consulting Inc.	9/7/2022	Thermal Feasibility Study	49,500
ChargePoint, Inc.	6/10/2022	CLEAN TRANSPORTATION, DCFC - VW Settlement	5,519,294
Chris Benedict	7/28/2022	Buildings of Excellence, BoE Rnd 1 - Design Team Incen.	150,000
CIR ELECTRICAL CONSTRUCTION CORP.	4/4/2022	<200KW PV, PON 2112 NY SUN	8,510
	4/5/2022	<200KW PV, PON 2112 NY SUN	6,845
	4/8/2022	<200KW PV, PON 2112 NY SUN	140
	4/12/2022	<200KW PV, PON 2112 NY SUN	24,570
	4/19/2022	<200KW PV, PON 2112 NY SUN	22,700
	4/20/2022	<200KW PV, PON 2112 NY SUN	8,400
	4/21/2022	<200KW PV, PON 2112 NY SUN	6,270
	4/26/2022	<200KW PV, PON 2112 NY SUN	9,065
5/3/2022	<200KW PV, PON 2112 NY SUN	6,840	

## Contracts Executed

Period 4/1/2022 through 9/30/2022

Contractor	Date Encumbered	Contract Description	Total Contract Amount
CIR ELECTRICAL CONSTRUCTION CORP.	5/5/2022	<200KW PV, PON 2112 NY SUN	21,700
	5/9/2022	<200KW PV, PON 2112 NY SUN	5,320
	5/10/2022	<200KW PV, PON 2112 NY SUN	12,388
	5/13/2022	<200KW PV, PON 2112 NY SUN	5,700
	5/20/2022	<200KW PV, PON 2112 NY SUN	6,000
	5/25/2022	<200KW PV, PON 2112 NY SUN	6,660
	6/2/2022	<200KW PV, PON 2112 NY SUN	34,488
	6/3/2022	<200KW PV, PON 2112 NY SUN	20,550
	6/15/2022	<200KW PV, PON 2112 NY SUN	18,333
	6/17/2022	<200KW PV, PON 2112 NY SUN	18,638
	6/24/2022	<200KW PV, PON 2112 NY SUN	7,200
	6/27/2022	<200KW PV, PON 2112 NY SUN	12,015
	7/19/2022	<200KW PV, PON 2112 NY SUN	50
	7/25/2022	<200KW PV, PON 2112 NY SUN	5,328
	7/27/2022	<200KW PV, PON 2112 NY SUN	5
	8/3/2022	<200KW PV, PON 2112 NY SUN	35
	8/4/2022	<200KW PV, PON 2112 NY SUN	35
	8/5/2022	<200KW PV, PON 2112 NY SUN	27,702
	8/8/2022	<200KW PV, PON 2112 NY SUN	7,104
	8/23/2022	<200KW PV, PON 2112 NY SUN	6,512
	8/24/2022	<200KW PV, PON 2112 NY SUN	5,328
	9/12/2022	<200KW PV, PON 2112 NY SUN	11,822
	9/16/2022	<200KW PV, PON 2112 NY SUN	8,064
	9/22/2022	<200KW PV, NY-Sun	10,800
	9/26/2022	<200KW PV, PON 2112 NY SUN	17,334
	9/27/2022	<200KW PV, PON 2112 NY SUN	6,364
	9/28/2022	<200KW PV, PON 2112 NY SUN	5,476
	Citizens Dickinson Solar	8/16/2022	>200KW PV, NY Sun
NY-SUN, NY Sun			350,000
Citizens Global Albany LLC	7/21/2022	>200KW PV, NY-Sun	421,056
	8/5/2022	NY-SUN, NY-Sun ESFA	123,840
Citizens Westmoreland Solar	8/8/2022	NY-SUN, NY-Sun ESFA	325,080
	8/16/2022	>200KW PV, NY Sun	1,105,271
		NY-SUN, NY Sun	455,113
City Harvest	5/20/2022	New Construction- Commercial, Commercial New Construction	37,132
City of Dunkirk	8/24/2022	Code to Zero, PON4600 City of DunkirkDAC	125,000
City of Rochester	5/9/2022	Clean Energy Communities, CEC310319-City of Rochester	40,000
City of Rye	5/5/2022	Clean Energy Communities, CEC500652-City of Rye	10,000
Clarkson Renewables 2, LLC	7/20/2022	>200KW PV, NY Sun	1,056,513
Clean Energy States Alliance	8/22/2022	Prof & Expert Engagement, 2022 CESA Membership	68,500
Clean Path New York LLC	7/5/2022	REC4:CES REC4 Contracts, Tier 4	11,174,645,000
Clean Power Research	7/18/2022	NYCH: Technical Assistance, PON 4423	196,936
CleanChoice Energy, LLC	8/4/2022	>200KW PV, NY Sun	291,375
		NY-SUN, NY Sun	135,975
CleanFiber LLC	4/18/2022	OJT	5,840
	5/17/2022	OJT	5,920
	5/24/2022	OJT	5,760
	6/23/2022	Talent Pipeline:CE and OJT, OJT	5,840
	7/12/2022	Talent Pipeline:CE and OJT, OJT	5,440
	8/2/2022	OJT	17,120
CLEAResult Consulting, Inc.	7/14/2022	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Te..	60,000
		EMPOWER NY, Technical Support SFR	95,000
		Home Perf w Energy Star, Technical Support SFR	5,842,701
		NENY:CHGE Empower Electric, Technical Support SFR	3,960
		NENY:CHGE Empower Gas, Technical Support SFR	11,055
		NENY:Con Ed Empower Electric, Technical Support SFR	8,796

**Contracts Executed**  
**Period 4/1/2022 through 9/30/2022**

Contractor	Date Encumbered	Contract Description	Total Contract Amount
CLEAResult Consulting, Inc.	7/14/2022	NENY:Con Ed Empower Gas, Technical Support SFR	36,960
		NENY:KEDNY Empower Gas, Technical Support SFR	40,920
		NENY:NFG Empower Gas, Technical Support SFR	330,660
		NENY:NIMO Empower Electric, Technical Support SFR	24,255
		NENY:NIMO Empower Gas, Technical Support SFR	51,150
		NENY:NYSEG Empower Electric, Technical Support SFR	26,400
		NENY:NYSEG Empower Gas, Technical Support SFR	26,789
		NENY:O&R Empower Electric, Technical Support SFR	19,965
		NENY:O&R Empower Gas, Technical Support SFR	50,160
		NENY:RGE Empower Electric, Technical Support SFR	13,530
		NENY:RGE Empower Gas, Technical Support SFR	32,175
		Technical Support SFR	1,269,000
		8/22/2022	LMI Community Solar, Centralized Services & Support
Climate Solutions Accelerator of the	9/20/2022	Clean Energy Hub, Regional Clean Energy Hub	3,285,014
Clover Meadow, LLC	8/1/2022	>200KW PV, NY Sun	1,274,999
		NY-SUN, NY Sun	525,001
Co-op Power, Incorporated	4/11/2022	NY-SUN, PON 3414 - Peekskill CDG	200,000
	4/14/2022	NY-SUN, PON 3414 - Wildseed CDG	200,000
Code Green Solutions, Inc.	6/6/2022	Technical Services, FT14099 - 160 E 48th - FTC	26,750
	8/30/2022	Technical Services, FT14215 - 270 Greenwich - FTC	60,000
	9/28/2022	Technical Services, FT14331 - 24-02 49th - FTC	35,000
Cohen Ventures Inc	4/25/2022	Code to Zero, Task Work Order #6	250,000
	6/23/2022	Product Standards, Task Work Order #7	250,000
COLLECTIF Engineering, PLLC	5/17/2022	OJT	22,846
	6/6/2022	OJT	15,230
	8/2/2022	Talent Pipeline:CE and OJT, OJT	22,846
Collins Solar, LLC	8/1/2022	>200KW PV, NY Sun	1,120,000
		NY-SUN, NY Sun	461,177
	8/11/2022	NY-SUN, NY-Sun ESFA	461,177
Commercial Cleaning NY Sunshine, Inc.	5/26/2022	NYSERDA ADMINISTRATION, Janitorial Cleaning for NYGB	57,600
	8/25/2022	NYSERDA ADMINISTRATION, Janitorial Cleaning NYC office	83,160
Commercial Street Partners	9/19/2022	New Construction Housing, NCP Housing	632,000
	9/28/2022	Single Family New Construction, NCP Housing	184,000
Community Power Group, LLC	7/12/2022	>200KW PV, NY Sun	509,956
		NY-SUN, NY Sun	209,982
	8/1/2022	>200KW PV, NY Sun	2,549,873
		NY-SUN, NY Sun	1,049,949
Comrie Enterprises, LLC	7/18/2022	NYCH: Communities, Student Summer Program	100,250
CON EDISON SOLUTIONS, INC.	6/13/2022	>200KW PV, PON 2112 NY SUN	544,960
	8/15/2022	>200KW PV, PON 2112 NY SUN	23,616
Concur Technologies, Inc.	7/28/2022	NYSERDA ADMINISTRATION, Concur Services 2022-2024	40,000
Consensus Building Institute, Inc.	5/2/2022	Environmental Research, TWO #2 A-TWG Facilitator	161,284
	9/28/2022	3rdparty FishFunding Support	39,897
		OREC: Technical Support, 3rdparty FishFunding Support	39,897
Consortium for Energy Efficiency, Inc.	5/11/2022	Prof & Expert Engagement, 2022 CEE Membership	48,000
Corcraft	6/23/2022	Shelving for WV Offices	7,344
Cornell Cooperative Ext. Dutchess Cou..	9/7/2022	Clean Energy Hub, Regional Clean Energy Hub	3,447,627
Cornell Cooperative Extension - Tompkins	4/26/2022	CLEANER GREENER COMMUNITIES, CEEP Central New Yor..	65,745
	4/27/2022	CLEANER GREENER COMMUNITIES, CEEP North Country	29,104
		CLEANER GREENER COMMUNITIES, CEEP Southern Tier R..	61,992
	9/1/2022	Clean Energy Hub, Regional Clean Energy Hub	3,155,979
		Regional Clean Energy Hub	76,761
Cornell Cooperative Extension of Nass..	9/7/2022	Long Island Clean Energy Hub	3,373,238
Cornell Cooperative Extension of Oneida	9/7/2022	Clean Energy Hub, Regional Clean Energy Hub	2,676,182
Cornell NCRE Solar 2 LLC	9/13/2022	<200KW PV, NY-Sun	100,366
	9/14/2022	<200KW PV, NY-Sun	153,769

## Contracts Executed

Period 4/1/2022 through 9/30/2022

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Cornell University	5/12/2022	Environmental Research, Climate-Adaptive Design	49,725
	6/14/2022	Environmental Research, Remote Sensing and Data-Driven	334,353
Couch White, LLP	4/26/2022	Code to Zero, TWO 2 - Legal Anlisy & Guidance	150,000
	5/20/2022	Product Standards, TWO 3-SAPA Rule Making/Comment	150,000
	9/15/2022	ENERGY ANALYSIS, TWO 4 - FERC Notices	50,000
Country Suburban Heating & Air Condition	4/26/2022	NYCH: Talent Ppln:CE and OJT, OJT	18,000
	4/29/2022	NYCH: Talent Ppln:CE and OJT, OJT	10,080
	5/3/2022	NYCH: Talent Ppln:CE and OJT, OJT	12,960
	5/30/2022	NYCH: Talent Ppln:CE and OJT, OJT	10,800
	6/6/2022	NYCH: Talent Ppln:CE and OJT, OJT	23,112
	6/9/2022	NYCH: Talent Ppln:CE and OJT, OJT	15,840
	6/23/2022	NYCH: Talent Ppln:CE and OJT, OJT	6,960
	6/30/2022	NYCH: Talent Ppln:CE and OJT, OJT Donald Bruce Alden	11,520
	7/18/2022	NYCH: Talent Ppln:CE and OJT, OJT	7,680
	7/25/2022	NYCH: Talent Ppln:CE and OJT, OJT	10,800
	8/2/2022	NYCH: Talent Ppln:CE and OJT, OJT	11,520
	8/16/2022	NYCH: Talent Ppln:CE and OJT, OJT	14,880
	8/26/2022	NYCH: Talent Ppln:CE and OJT, OJT	9,600
	9/12/2022	NYCH: Talent Ppln:CE and OJT, OJT	8,400
	9/19/2022	NYCH: Talent Ppln:CE and OJT, OJT	18,240
9/28/2022	NYCH: Talent Ppln:CE and OJT, OJT	7,680	
County Cooling, Corp.	6/30/2022	NYCH: Talent Ppln:CE and OJT, OJT	8,160
	9/19/2022	NYCH: Talent Ppln:CE and OJT, OJT	8,160
Covington Solar 1, LLC	7/12/2022	>200KW PV, NY Sun	443,945
		NY-SUN, NY Sun	182,801
Covington Solar 2, LLC	7/28/2022	>200KW PV, NY Sun	1,026,058
		NY-SUN, NY Sun	422,495
Crossfield Home Energy Solutions	6/30/2022	NYCH: Talent Ppln:CE and OJT, OJT	18,720
Croton Energy Group, Inc.	5/11/2022	<200KW PV, PON 2112 NY SUN	5,400
	5/17/2022	<200KW PV, PON 2112 NY SUN	2
Crown Castle Fiber LLC	6/8/2022	NYSERDA ADMINISTRATION, Crown Castle Primary Internet	124,909
CUNY - College of Staten Island	7/22/2022	NYCH: Talent Ppln:CE and OJT, Career Pathway HP PON 446..	600,000
Curtis Lumber Company	8/22/2022	17CC Bathroom Countertops	16,607
CVE US E14 Manlius North, LLC	7/12/2022	>200KW PV, NY Sun	358,020
		NY-SUN, NY Sun	147,420
CVE US E15 Manlius East, LLC	7/28/2022	>200KW PV, NY Sun	1,169,531
		NY-SUN, NY Sun	481,573
CVE US E16 Manlius West, LLC	7/28/2022	>200KW PV, NY Sun	1,169,531
		NY-SUN, NY Sun	481,573
CVE US E17 Belair, LLC	8/16/2022	>200KW PV, NY Sun	1,004,659
		NY-SUN, NY Sun	413,684
CVE US E18 Quaker, LLC	8/16/2022	>200KW PV, NY Sun	772,138
		NY-SUN, NY Sun	450,414
CVE US E13 Wheatfield, LLC	7/19/2022	>200KW PV, NY Sun	961,411
		NY-SUN, NY Sun	395,876
CVENT, Inc.	6/15/2022	Environmental Research, Event Management/Virtual Event	1
	6/27/2022	Environmental Research, Event Management/Virtual Event	560
	9/12/2022	NYSERDA ADMINISTRATION, Event Management/Virtual Event	21,465
D2D Green Architecture, PLLC	8/18/2022	NYSERDA ADMINISTRATION, New Office Floor Plan	8,812
D.K. & S Enterprises Inc	5/30/2022	NYCH: Communities, 1GW Milestone Community Solar	19,546
Daniel Rice Engineering, D.P.C.	9/19/2022	OJT	11,520
David Energy Systems, Inc.	4/20/2022	Real Time Enrgy Management, David Energy-Multisite-RTEM	10,400
Day Automation Systems, Inc.	4/7/2022	K-12 SCHOOLS, P12GC-75E - Genesee CSD - PON	22,598
	7/6/2022	K-12 SCHOOLS, P12GC-63_E - Chateaugay - PON	22,195
DCF Energy Group, LLC	9/14/2022	<200KW PV, NY-Sun	5,440
DealCloud Inc.	4/26/2022	NEW YORK GREEN BANK, DealCloud Licensing	123,628

**Contracts Executed**  
**Period 4/1/2022 through 9/30/2022**

Contractor	Date Encumbered	Contract Description	Total Contract Amount	
Delaware River Solar, LLC	7/12/2022	>200KW PV, NY Sun	941,205	
		NY-SUN, NY Sun	387,555	
	7/13/2022	>200KW PV, NY Sun	529,958	
		NY-SUN, NY Sun	218,218	
	7/19/2022	>200KW PV, NY Sun	960,105	
		NY-SUN, NY Sun	395,338	
	7/20/2022	>200KW PV, NY Sun	3,571,430	
		NY-SUN, NY Sun	1,470,591	
7/28/2022	>200KW PV, NY Sun	2,387,363		
	NY-SUN, NY Sun	983,034		
8/16/2022	>200KW PV, NY Sun	1,194,814		
	NY-SUN, NY Sun	491,983		
9/12/2022	>200KW PV, NY Sun	1,645,987		
	NY-SUN, NY Sun	960,159		
Dell, Inc.	5/20/2022	NYSERDA ADMINISTRATION, Advanced eDiscovery - 100 mail	9,282	
	6/1/2022	NYSERDA ADMINISTRATION, Advanced eDiscovery - 100 mail	9,282	
DePaul Properties, Inc.	4/12/2022	New Construction Housing, NCP Housing	69,000	
	4/14/2022	New Construction Housing, NCP Housing	528,000	
	5/20/2022	New Construction Housing, NCP Housing	192,000	
Dextall	9/19/2022	NYCH: Innovation, Prefab Panels Retrofit	591,545	
DG Kendall, LLC	7/14/2022	>200KW PV, NY Sun	1,129,045	
DG New York CS, LLC	7/14/2022	>200KW PV, NY Sun	2,403,134	
		>200KW PV, NY Sun	2,363,852	
	8/1/2022	>200KW PV, NY Sun	3,819,436	
		NY-SUN, NY Sun	1,572,711	
	8/10/2022	NY-SUN, NY-Sun ESFA	674,705	
	8/16/2022	>200KW PV, NY Sun	1,274,999	
		NY-SUN, NY Sun	525,001	
	8/23/2022	NY-SUN, NY-Sun ESFA	4,085,776	
>200KW PV, NY Sun		1,012,477		
DIBD NYC Inc.	4/11/2022	OTHER PROGRAM AREA, Circular City Week Sponsorship	15,000	
	9/29/2022	OTHER PROGRAM AREA, 2022 Danish/NYSERDA Event	12,000	
Dimension Energy LLC	7/11/2022	>200KW PV, NY Sun	1,222,837	
	7/18/2022	>200KW PV, NY Sun	1,870,680	
Direct Marketing Productions, Inc.	5/19/2022	Novel Bus Models & Offers, 2022 ARPA-E sponsorship	17,000	
DirectApps Inc	6/15/2022	Consumer Ed and Market Support, Knowledge Transfer for RM..	14,500	
		Home Perf w Energy Star, Knowledge Transfer for RMES	22,263	
		NENY:CHGE Empower Electric, Knowledge Transfer for RMES	47	
		NENY:CHGE Empower Gas, Knowledge Transfer for RMES	126	
		NENY:Con Ed Empower Electric, Knowledge Transfer for RMES	132	
		NENY:Con Ed Empower Gas, Knowledge Transfer for RMES	426	
		NENY:KEDNY Empower Gas, Knowledge Transfer for RMES	472	
		NENY:NFG Empower Gas, Knowledge Transfer for RMES	3,811	
		NENY:NIMO Empower Electric, Knowledge Transfer for RMES	269	
		NENY:NIMO Empower Gas, Knowledge Transfer for RMES	590	
		NENY:NYSEG Empower Electric, Knowledge Transfer for RMES	305	
		NENY:NYSEG Empower Gas, Knowledge Transfer for RMES	719	
		NENY:O&R Empower Electric, Knowledge Transfer for RMES	231	
		NENY:O&R Empower Gas, Knowledge Transfer for RMES	579	
		NENY:RGE Empower Electric, Knowledge Transfer for RMES	157	
		NENY:RGE Empower Gas, Knowledge Transfer for RMES	373	
		NYCH: Technical Assistance, Knowledge Transfer for RMES	5,000	
		8/16/2022	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, RF..	130,000
			Consumer Ed and Market Support, RFP4886 RES Market Enga..	636,461



**Contracts Executed**  
**Period 4/1/2022 through 9/30/2022**

Contractor	Date Encumbered	Contract Description	Total Contract Amount
DirectApps Inc	8/16/2022	EMPOWER NY, RFP4886 RES Market Engagement	90,000
		Home Perf w Energy Star, RFP4886 RES Market Engagement	2,366,444
		NENY:CHGE Empower Electric, RFP4886 RES Market Engage..	501
		NENY:CHGE Empower Gas, RFP4886 RES Market Engagement	1,683
		NENY:Con Ed Empower Electric, RFP4886 RES Market Engag..	1,051
		NENY:Con Ed Empower Gas, RFP4886 RES Market Engagem..	4,209
		NENY:KEDNY Empower Gas, RFP4886 RES Market Engagem..	5,550
		NENY:NFG Empower Gas, RFP4886 RES Market Engagement	61,186
		NENY:NIMO Empower Electric, RFP4886 RES Market Engage..	2,862
		NENY:NIMO Empower Gas, RFP4886 RES Market Engagement	6,178
		NENY:NYSEG Empower Electric, RFP4886 RES Market Engag..	559
		NENY:O&R Empower Electric, RFP4886 RES Market Engagem..	3,453
		NENY:O&R Empower Gas, RFP4886 RES Market Engagement	6,599
		NENY:RGE Empower Electric, RFP4886 RES Market Engagem..	1,241
		NENY:RGE Empower Gas, RFP4886 RES Market Engagement	2,861
		NYCH: Comfort Home, RFP4886 RES Market Engagement	482,168
NYCH: Technical Assistance, RFP4886 RES Market Engagem..	385,734		
Distributed Solar Development, LLC	8/2/2022	NY-SUN, NY-Sun - ICSA	25,704
DNV Energy Insights USA Inc.	5/2/2022	GJGNY Market Rate Audits, TWO #4 Res Audit Rating PY	713,605
		Home Energy Ratings, TWO #4 Res Audit Rating PY	713,605
	6/9/2022	Combined Heat and Power, TWO 1 On Site Res Power	180,000
Doherty Electric, LLC	4/6/2022	<200KW PV, PON 2112 NY SUN	7,650
	5/24/2022	<200KW PV, PON 2112 NY SUN	6,480
	7/5/2022	<200KW PV, PON 2112 NY SUN	7,920
	8/16/2022	<200KW PV, PON 2112 NY SUN	12,500
	9/27/2022	<200KW PV, NY-Sun	17,280
Dollaride, Inc.	6/6/2022	Talent Pipeline:CE and OJT, CJF PON 4772 R2	40,000
	7/13/2022	Talent Pipeline:CE and OJT, CJF PON 4772 R2	40,000
Domagala Solar LLC	7/14/2022	>200KW PV, NY Sun	876,744
		NY-SUN, NY Sun	409,147
Don Brown Bus Sales Inc.	5/20/2022	CLEAN TRANSPORTATION, NYTVIP - SUNY Albany	110,000
DSM Engineering Assoc, P.C.	4/6/2022	Technical Services, FT14030 - 20 E 9th - FTC	7,500
Dual Fuel Corp	5/30/2022	Real Time Enrgy Management, DualFuel-221LindenBlvdCD-RT..	7,000
	6/6/2022	OJT	16,152
		Real Time Enrgy Management, DualFuel-222E35-RTEM	25,080
		Real Time Enrgy Management, DualFuel-22224W21-RTEM	12,691
	6/8/2022	OJT	11,075
	6/15/2022	Real Time Enrgy Management, DualFuel-10StNichTerrace-RTE..	3,500
		Real Time Enrgy Management, DualFuel-303W80St-RTEM	14,700
	7/25/2022	Talent Pipeline:CE and OJT, OJT	7,680
	7/28/2022	Real Time Enrgy Management, DualFuel-421W57-RTEM	20,400
	8/2/2022	Talent Pipeline:CE and OJT, OJT	12,307
	8/3/2022	Real Time Enrgy Management, DualFuel-10StNichTerrace-RTE..	1,750
	8/17/2022	NYCH: Talent Ppln:CE and OJT, OJT	30,720
	9/28/2022	NYCH: Talent Ppln:CE and OJT, OJT	38,400
	9/30/2022	Real Time Enrgy Management, DF - 1010 Sherman Ave - RTEM	22,650
		Real Time Enrgy Management, Dual Fuel-Multisite-RTEM	30,680
	E2S Energy Efficiency Services, LLC	4/1/2022	Technical Services, FT14141 - 24 South Bridge -FTC
East Hampton Housing Authority	9/28/2022	NY-SUN, East Hampton Community Solar	84,100
Eastern Research Group, Inc.	6/16/2022	ENERGY ANALYSIS, TWO #1 CLCPA GHG	50,000
	8/22/2022	Electric Vehicles - Innovation, TWO #3 E-BUS Workplan	564,464
Ecogy New York I LLC	5/25/2022	>200KW PV, NY-Sun	29,848
	8/16/2022	>200KW PV, NY-Sun	179,088
Ecogy New York IV LLC	8/17/2022	>200KW PV, NY-Sun	239,850
Ecogy New York V LLC	8/17/2022	>200KW PV, NY-Sun	143,664
Ecogy New York VI LLC	8/16/2022	>200KW PV, NY-Sun	271,656

## Contracts Executed

Period 4/1/2022 through 9/30/2022

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Ecogy New York XV LLC	9/21/2022	>200KW PV, NY-Sun	1,470,000
	9/23/2022	>200KW PV, NY-Sun	1,470,000
		NY-SUN, NY-Sun	420,000
Ecovis Group Inc	7/6/2022	<200KW PV, PON 2112 NY SUN	5,200
	9/2/2022	<200KW PV, PON 2112 NY SUN	261,660
Ecovis, Inc.	4/6/2022	<200KW PV, PON 2112 NY SUN	6,400
	5/16/2022	<200KW PV, PON 2112 NY SUN	9,165
Eden Solar, LLC	7/11/2022	>200KW PV, NY Sun	890,188
	8/11/2022	NY-SUN, NY-Sun ESFA	471,276
Edison Energy, LLC	8/2/2022	Technical Services, FT14302 - 415 E 68th - FTC	85,725
Efficiency Forward, Inc.	6/16/2022	Advancing Ag Enrgy Technologie, DesignLights Consortium 2022	10,000
Egg Geo, LLC	5/30/2022	Technical Services, FT14234 - 2 Charlton - FTC	35,179
Eiger 3970 Consultants Inc.	4/11/2022	<200KW PV, PON 2112 NY SUN	5,600
	5/2/2022	<200KW PV, PON 2112 NY SUN	41,440
	6/7/2022	<200KW PV, PON 2112 NY SUN	5,365
	8/1/2022	<200KW PV, PON 2112 NY SUN	5,550
	8/16/2022	>200KW PV, NY Sun	1,124,940
		NY-SUN, NY Sun	524,972
	8/18/2022	<200KW PV, PON 2112 NY SUN	12,500
	9/2/2022	<200KW PV, NY-Sun	262,332
		NY-SUN, NY-Sun	52,466
	9/7/2022	<200KW PV, PON 2112 NY SUN	7,400
	9/16/2022	<200KW PV, PON 2112 NY SUN	7,992
	9/21/2022	<200KW PV, NY-Sun	5,920
	9/22/2022	<200KW PV, PON 2112 NY SUN	15,430
	9/28/2022	<200KW PV, NY-Sun	13,320
	9/29/2022	<200KW PV, PON 2112 NY SUN	8,140
elQ Mobility, Inc.	5/5/2022	EVPRZ:Community Partner Funds, Prize Planning Grant - Next..	50,000
		EVPRZ:Planning Grants, Prize Planning Grant - NextEra	100,000
Ekostinger, Inc.	4/21/2022	Cleantech Ignition, PON4534 NY Climate Progress R2	500,000
Elk Street Solar LLC	8/11/2022	NY-SUN, NY-Sun ESFA	187,236
ELP Greenbush Solar LLC	8/16/2022	>200KW PV, NY Sun	1,124,955
		NY-SUN, NY Sun	524,979
ELP Roe Jan Solar LLC	7/14/2022	>200KW PV, NY Sun	918,049
		NY-SUN, NY Sun	378,021
Ember Strategies, LLC	5/11/2022	Empire Building Challenge, EBC Advisory Support Cohort 2	25,000
		NYCH: Empire Build Challenge, EBC Advisory Support Cohort 2	25,000
EMCOR Services Betlem	5/3/2022	Technical Services, FT14226- 1565 Jefferson - FTC	8,007
	5/24/2022	Technical Services, FT14240 CareStream FTC	6,238
EME Consulting Engineering Group, LLC	4/6/2022	76 West, TWO #16 - Innovation APM	151,684
		High Performing Grid, TWO #16 - Innovation APM	37,921
	4/14/2022	Empire Building Challenge, Minibid EBC & RTEM PrgmSupport	44,237
		EVALUATION, Minibid EBC & RTEM PrgmSupport	12,203
		NYCH: Empire Build Challenge, Minibid EBC & RTEM PrgmSup..	44,237
		Real Time Enrgy Management, Minibid EBC & RTEM PrgmSup..	54,915
		RTEM and Tenants, Minibid EBC & RTEM PrgmSupport	24,407
	4/25/2022	REV Campus Challenge, FT14136 - Lombardi Center- FTC	41,800
	5/16/2022	Tech Assistanc Multifamily LMI, FT14155 -950-955 Evergreen-F..	7,850
	5/20/2022	Technical Services, FT14252 - Estee Lauder - FTC	12,500
	7/6/2022	Tech Assistanc Multifamily LMI, FT14170 - 164 Bleeker - FTC	9,000
	7/13/2022	REV Campus Challenge, FT14248 - 113 W 60th - FTC	164,900
	7/18/2022	Market Tests, SA.094_TWO#17 - AES_PM-2	333,669
	7/26/2022	Tech Assistanc Multifamily LMI, FT14155 -950-955 Evergreen-F..	8,000
	7/28/2022	Tech Assistanc Multifamily LMI, FT14279 - 616 W 137th - FTC	10,000
	8/2/2022	Commercial Real Estate Ten, SA.086c - TWO #18	41,400
		Informat. Products & Brokering, SA.086c - TWO #18	41,400

**Contracts Executed**  
 Period 4/1/2022 through 9/30/2022

Contractor	Date Encumbered	Contract Description	Total Contract Amount	
EME Consulting Engineering Group, LLC	8/8/2022	Real Time Enrgy Management, SA.056_TWO #10 - RTEM MF	70,667	
		RTEM and Tenants, SA.056_TWO #10 - RTEM MF	70,667	
		RTEM Small/Medium Business, SA.056_TWO #10 - RTEM MF	70,667	
	8/16/2022	Tech Assistanc Multifamily LMI, FT14202 - 2013 Adam Clay - F..	8,400	
	9/14/2022	New Construction Housing, SA.098 - New Con_PM-1	440,037	
		New Construction Housing, SA.099 - New Construction_PM-1	440,037	
		New Construction- Commercial, SA.098 - New Con_PM-1	350,038	
		New Construction- Commercial, SA.099 - New Construction_P..	350,038	
		Single Family New Construction, SA.098 - New Con_PM-1	175,019	
		Single Family New Construction, SA.099 - New Construction_P..	175,019	
	9/19/2022	Technical Services, FT14360 - 314 w 77th - FTC	10,000	
	Emes Solar	5/10/2022	>200KW PV, PON 2112 NY SUN	25,578
		8/3/2022	>200KW PV, PON 2112 NY SUN	240,300
		8/12/2022	>200KW PV, NY-Sun	226,026
NY-SUN, NY-Sun			37,062	
8/17/2022		>200KW PV, PON 2112 NY SUN	85,440	
9/12/2022	>200KW PV, PON 2112 NY SUN	48,060		
Empire Solar Solutions LLC	4/5/2022	<200KW PV, PON 2112 NY SUN	21,060	
	4/7/2022	<200KW PV, PON 2112 NY SUN	6,683	
	4/12/2022	<200KW PV, PON 2112 NY SUN	12,400	
	4/15/2022	<200KW PV, PON 2112 NY SUN	5,600	
	4/18/2022	<200KW PV, PON 2112 NY SUN	15,595	
	4/19/2022	<200KW PV, PON 2112 NY SUN	17,618	
	4/21/2022	<200KW PV, PON 2112 NY SUN	5,265	
	4/22/2022	<200KW PV, PON 2112 NY SUN	13,748	
	4/26/2022	<200KW PV, PON 2112 NY SUN	5,265	
	4/29/2022	<200KW PV, PON 2112 NY SUN	5	
	5/4/2022	<200KW PV, PON 2112 NY SUN	24,300	
	5/5/2022	<200KW PV, PON 2112 NY SUN	7,088	
	5/10/2022	<200KW PV, PON 2112 NY SUN	8,100	
	5/17/2022	<200KW PV, PON 2112 NY SUN	22,873	
	5/19/2022	<200KW PV, PON 2112 NY SUN	7,030	
	5/23/2022	<200KW PV, PON 2112 NY SUN	5,265	
	5/25/2022	<200KW PV, PON 2112 NY SUN	14,176	
	5/27/2022	<200KW PV, PON 2112 NY SUN	13,933	
	6/1/2022	<200KW PV, PON 2112 NY SUN	18,815	
	6/7/2022	<200KW PV, PON 2112 NY SUN	12,426	
	6/9/2022	<200KW PV, PON 2112 NY SUN	12,107	
	6/10/2022	<200KW PV, PON 2112 NY SUN	6,940	
	6/13/2022	<200KW PV, PON 2112 NY SUN	5,000	
	6/14/2022	<200KW PV, PON 2112 NY SUN	14,176	
	6/15/2022	<200KW PV, PON 2112 NY SUN	11,300	
	6/16/2022	<200KW PV, PON 2112 NY SUN	12,718	
	6/17/2022	<200KW PV, PON 2112 NY SUN	12,678	
	6/21/2022	<200KW PV, PON 2112 NY SUN	5,063	
	6/22/2022	<200KW PV, PON 2112 NY SUN	45,428	
	6/24/2022	<200KW PV, PON 2112 NY SUN	8,460	
	6/27/2022	<200KW PV, PON 2112 NY SUN	11,538	
	6/29/2022	<200KW PV, PON 2112 NY SUN	6,840	
	6/30/2022	<200KW PV, PON 2112 NY SUN	15,000	
	7/1/2022	<200KW PV, PON 2112 NY SUN	20,088	
7/5/2022	<200KW PV, PON 2112 NY SUN	13,298		
7/7/2022	<200KW PV, PON 2112 NY SUN	15,280		
7/12/2022	<200KW PV, PON 2112 NY SUN	42,071		
7/18/2022	<200KW PV, PON 2112 NY SUN	12,340		
7/19/2022	<200KW PV, PON 2112 NY SUN	24,682		

**Contracts Executed**  
**Period 4/1/2022 through 9/30/2022**

<b>Contractor</b>	<b>Date Encumbered</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>Empire Solar Solutions LLC</b>	7/20/2022	<200KW PV, PON 2112 NY SUN	6,674
	7/25/2022	<200KW PV, PON 2112 NY SUN	19,152
	7/28/2022	<200KW PV, PON 2112 NY SUN	12,872
	8/1/2022	<200KW PV, PON 2112 NY SUN	5,680
	8/2/2022	<200KW PV, PON 2112 NY SUN	16,724
	8/3/2022	<200KW PV, PON 2112 NY SUN	13,616
	8/5/2022	<200KW PV, PON 2112 NY SUN	20,838
	8/9/2022	<200KW PV, PON 2112 NY SUN	13,912
	8/17/2022	<200KW PV, PON 2112 NY SUN	11,914
	8/18/2022	<200KW PV, PON 2112 NY SUN	10,508
	8/19/2022	<200KW PV, PON 2112 NY SUN	15,584
	8/22/2022	<200KW PV, PON 2112 NY SUN	5,840
	8/23/2022	<200KW PV, PON 2112 NY SUN	31,868
	8/25/2022	<200KW PV, PON 2112 NY SUN	28,076
	8/29/2022	<200KW PV, PON 2112 NY SUN	13,870
	8/30/2022	<200KW PV, PON 2112 NY SUN	21,608
	9/2/2022	<200KW PV, PON 2112 NY SUN	6,570
	9/6/2022	<200KW PV, PON 2112 NY SUN	9,344
	9/8/2022	<200KW PV, PON 2112 NY SUN	5,986
	9/9/2022	<200KW PV, PON 2112 NY SUN	22,556
	9/12/2022	<200KW PV, PON 2112 NY SUN	5,256
	9/13/2022	<200KW PV, PON 2112 NY SUN	6,192
	9/14/2022	<200KW PV, PON 2112 NY SUN	19,418
	9/19/2022	<200KW PV, PON 2112 NY SUN	5,694
	9/20/2022	<200KW PV, PON 2112 NY SUN	6,278
	9/21/2022	<200KW PV, PON 2112 NY SUN	20,732
	9/22/2022	<200KW PV, PON 2112 NY SUN	16,960
	9/23/2022	<200KW PV, PON 2112 NY SUN	7,884
	9/26/2022	<200KW PV, PON 2112 NY SUN	5,694
	9/27/2022	<200KW PV, PON 2112 NY SUN	10,000
	9/28/2022	<200KW PV, PON 2112 NY SUN	5,256
	9/29/2022	<200KW PV, PON 2112 NY SUN	5,694
	<b>Employee Leasing of Greater NY</b>	8/4/2022	NYSERDA ADMINISTRATION, TS.029 - SO_Training Specialis
		NYSERDA ADMINISTRATION, TS.030 – Strategic Operations	49,263
<b>Empower CES, LLC</b>	4/1/2022	ENERGY STORAGE, PON 2112 NY SUN	12,500
	4/7/2022	ENERGY STORAGE, PON 2112 NY SUN	2,500
	4/11/2022	ENERGY STORAGE, PON 2112 NY SUN	12,500
	4/13/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	4/14/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	4/15/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	4/18/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	4/22/2022	ENERGY STORAGE, NY-Sun	6,250
		ENERGY STORAGE, PON 2112 NY SUN	6,250
	4/26/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	5/13/2022	ENERGY STORAGE, PON 2112 NY SUN	25,000
	5/17/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	5/19/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	5/20/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	5/27/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	6/3/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	6/15/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	6/22/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	6/29/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	7/1/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	7/8/2022	ENERGY STORAGE, PON 2112 NY SUN	12,500
	7/22/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250

**Contracts Executed**  
**Period 4/1/2022 through 9/30/2022**

<b>Contractor</b>	<b>Date Encumbered</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>Empower CES, LLC</b>	7/25/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	8/19/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	8/25/2022	ENERGY STORAGE, PON 2112 NY SUN	12,500
	9/1/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	9/2/2022	>200KW PV, PON 2112 NY SUN	885,066
	9/6/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	9/8/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	9/9/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	9/13/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	9/14/2022	>200KW PV, PON 2112 NY SUN	34,272
	9/15/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	9/21/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	9/29/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	<b>Empower Equity Inc</b>	6/23/2022	Talent Pipeline:CE and OJT, OJT Amanda Krupp
<b>Energy and Environmental Economics Inc.</b>	4/1/2022	REC:CES REC System Dev Costs, Hydrogen Policy Options in ..	495,136
	5/2/2022	ENERGY ANALYSIS, TWO 2 - BER Scenario Run	150,000
		NYCH: Roadmap, TWO 2 - BER Scenario Run	50,000
	8/15/2022	ENERGY ANALYSIS, TWO #6 Complement Analysis	300,000
	9/22/2022	ENERGY ANALYSIS, TWO 2 - BER Scenario Run	200,000
		NYCH: Roadmap, TWO 2 - BER Scenario Run	196,000
9/26/2022	CLCPA Support, TWO#7 Future of Gas Planning	30,000	
	ENERGY ANALYSIS, TWO#7 Future of Gas Planning	200,000	
<b>Energy Conservation &amp; Supply, Inc.</b>	4/18/2022	OJT	15,360
	4/26/2022	OJT	15,000
	9/12/2022	OJT	15,360
<b>Energy EDC Corp.</b>	6/23/2022	OJT	18,000
	8/4/2022	OJT	9,600
<b>Energy Management Solutions, LLC</b>	4/29/2022	OJT	5,760
	5/17/2022	OJT	8,640
	6/23/2022	OJT Charly Martinez	9,600
	6/30/2022	Talent Pipeline:CE and OJT, OJT	6,080
	7/25/2022	Talent Pipeline:CE and OJT, OJT	6,080
	8/16/2022	Talent Pipeline:CE and OJT, OJT	6,400
<b>Energy Savers Inc</b>	5/3/2022	OJT	10,560
	6/6/2022	OJT	6,080
	6/30/2022	Talent Pipeline:CE and OJT, OJT	5,760
	8/2/2022	Talent Pipeline:CE and OJT, OJT	5,440
	9/9/2022	NYCH: Talent Ppln:CE and OJT, OJT	6,400
<b>Energy Technology Savings, Inc.</b>	5/17/2022	Real Time Enrgy Management, ETS - 201W79 St - RTEM	16,200
	8/2/2022	Real Time Enrgy Management, ETS 315W33 RTEM	16,311
	8/26/2022	Real Time Enrgy Management, ETS-240CPS-RTEM	6,357
<b>ENGIE North America Inc.</b>	8/12/2022	<200KW PV, NY-Sun	195,768
	8/16/2022	<200KW PV, NY-Sun	4,760,535
	8/17/2022	<200KW PV, NY-Sun	2,265,651
	8/18/2022	<200KW PV, NY-Sun	111,744
	9/13/2022	<200KW PV, NY-Sun	760,494
<b>Enica Engineering, PLLC</b>	8/29/2022	Technical Services, FT14313 - 200 West - FTC	42,332
<b>Enterprise Lumber &amp; Silo, LLC</b>	7/22/2022	Net Zero Energy for Eco Dev, New Construction CNPD	300,000
<b>EnterSolar LLC</b>	4/28/2022	>200KW PV, NY-Sun	1,276,520
<b>ePlus inc</b>	4/19/2022	NYSERDA ADMINISTRATION, VEEAM Annual Support - 1yr	8,892
	6/3/2022	NYSERDA ADMINISTRATION, Wireless Access points - 12	6,696
	8/30/2022	NYSERDA ADMINISTRATION, VMware Support Renewal 22-23	84,428
<b>ESNY-303, LLC</b>	6/29/2022	>200KW PV, NY-Sun	1,147,174
<b>ESRI, Incorporated</b>	8/30/2022	NYSERDA ADMINISTRATION, ArcGIS Desktop and Server 1yr	20,200
<b>Event &amp; Meeting Technology, Inc.</b>	7/18/2022	Environmental Research, 2022 State of the Science A/V	9,200
	8/22/2022	Environmental Research, 2022 State of the Science A/V	3,190

**Contracts Executed**  
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Contractor	Date Encumbered	Contract Description	Total Contract Amount
EVERGREEN ENERGY	8/17/2022	>200KW PV, NY-Sun	240,000
		NY-SUN, NY-Sun	48,000
Evgateway	7/22/2022	CLEAN TRANSPORTATION, DCFC - VW Settlement	717,240
Expert Environmental & Construction G..	6/17/2022	Home Perf w Energy Star, Repairs Insulation EmPower	6,174
Extraterrestrial Materials Inc.	4/15/2022	<200KW PV, PON 2112 NY SUN	5,600
	5/16/2022	<200KW PV, PON 2112 NY SUN	20,360
	6/7/2022	<200KW PV, PON 2112 NY SUN	9,600
	6/21/2022	<200KW PV, PON 2112 NY SUN	7,000
	6/24/2022	<200KW PV, PON 2112 NY SUN	5,280
	7/6/2022	<200KW PV, PON 2112 NY SUN	7,560
	7/7/2022	<200KW PV, PON 2112 NY SUN	7,200
	7/20/2022	<200KW PV, PON 2112 NY SUN	6,144
	9/7/2022	<200KW PV, PON 2112 NY SUN	6,144
	9/22/2022	<200KW PV, PON 2112 NY SUN	5,760
Farmer Brown Solar LLC	8/16/2022	>200KW PV, NY Sun	1,111,077
		NY-SUN, NY Sun	518,503
Fastbreak Knights LLC	4/26/2022	New Construction Housing, NCP Housing	44,000
Ficazzola Consulting, LLC	5/13/2022	<200KW PV, PON 2112 NY SUN	12,500
	8/12/2022	<200KW PV, PON 2112 NY SUN	7,400
Field of Dreams Solar Farm, LLC	7/28/2022	>200KW PV, NY Sun	1,059,739
		NY-SUN, NY Sun	436,364
Finch Paper, LLC	7/28/2022	On-Site Energy Manager, OsEM94 I - Finch Paper	209,000
Findlay Houses LP	6/17/2022	Multifam Performance Pgm, Multifamily	181,000
Fingerlakes Renewables	7/28/2022	<200KW PV, PON 2112 NY SUN	5,760
Finlo-BR LLC	8/1/2022	>200KW PV, NY Sun	1,274,308
		NY-SUN, NY Sun	524,716
	8/2/2022	>200KW PV, NY Sun	337,954
		NY-SUN, NY Sun	157,712
	8/5/2022	>200KW PV, NY Sun	1,011,738
		NY-SUN, NY Sun	472,145
8/16/2022	>200KW PV, NY Sun	1,124,389	
8/16/2022	NY-SUN, NY Sun	524,715	
First Columbia Property Services, LLC	5/3/2022	NYSERDA ADMINISTRATION, Property Management	222,967
Fishtech Energy Partners LLC	7/12/2022	Talent Pipeline:CE and OJT, OJT	11,200
	9/30/2022	RTEM and Tenants, Fischer-55WaterSt-RTEM+T	400,000
Flatiron 30 LLC	4/14/2022	Technical Services, FT14134 - 30 W 21st - PON	6,200
Flight Center Hotel, LLC	8/22/2022	EVPRZ:Contingency, 2022 Clean Trans Event Venue	150,000
Florenton River LLC	6/3/2022	<200KW PV, NY-Sun	116,440
		>200KW PV, NY-Sun	29,110
	7/29/2022	<200KW PV, PON 2112 NY SUN	1,800
Foam It Insulation, LLC	5/30/2022	OJT	14,400
	8/16/2022	NYCH: Talent Ppln:CE and OJT, OJT	21,600
	9/9/2022	OJT	7,200
Fobare & Co. LLC	5/9/2022	<200KW PV, PON 2112 NY SUN	6,845
Forsyth Street Advisors, LLC	9/8/2022	NEW YORK GREEN BANK, Forsyth Street	110,000
Fotobabble, Inc.	8/26/2022	Combined Heat and Power, Site Capture	4,800
		Low Carbon Tech Demos, Site Capture	4,800
		Multifam Performance Pgm, Site Capture	4,800
		NYCH: Comfort Home, Site Capture	4,800
Fourth Coast, Inc.	4/21/2022	<200KW PV, PON 2112 NY SUN	5,503
	6/7/2022	<200KW PV, PON 2112 NY SUN	7,810
	6/28/2022	<200KW PV, PON 2112 NY SUN	8,201
	8/4/2022	<200KW PV, PON 2112 NY SUN	6,923
FPI Mechanical, Inc.	9/7/2022	17CC Basement Toilet and Sink	16,600
Fred F. Collis & Sons, Inc.	4/18/2022	NYCH: Talent Ppln:CE and OJT, OJT	32,400
	5/12/2022	NYCH: Talent Ppln:CE and OJT, OJT	9,600

## Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Fred F. Collis & Sons, Inc.	8/29/2022	NYCH: Talent Ppln:CE and OJT, OJT	5,760
	8/31/2022	NYCH: Talent Ppln:CE and OJT, OJT	5,760
Fred Water LLC	4/20/2022	Multifam Performance Pgm, Multifamily	19,600
Friedrich Air Conditioning Co.	8/22/2022	NextGen HVAC, Window Heat Pump	47,703
Frontier Energy, Inc.	7/27/2022	CI Engy Siting & Soft Cost Red, TWO 2 Cat 2 Siting Assistance	50,000
Fund for Public Housing, Inc.	7/22/2022	NYCH: Talent Ppln:CE and OJT, IMS PON4359 - Fund for Public	384,814
Fusco Personnel, Inc.	6/2/2022	NYSERDA ADMINISTRATION, TS.015 Contract Mangament C..	166,725
Fusion Energy Services LLC	4/21/2022	<200KW PV, NY-Sun	6,765
	4/26/2022	<200KW PV, PON 2112 NY SUN	12,500
	6/9/2022	<200KW PV, PON 2112 NY SUN	5,920
	7/6/2022	<200KW PV, PON 2112 NY SUN	8,455
	8/9/2022	<200KW PV, PON 2112 NY SUN	5,563
	8/10/2022	<200KW PV, PON 2112 NY SUN	5,563
	8/12/2022	<200KW PV, PON 2112 NY SUN	8,010
	8/15/2022	<200KW PV, PON 2112 NY SUN	37,825
	8/17/2022	<200KW PV, PON 2112 NY SUN	10,680
	8/18/2022	<200KW PV, PON 2112 NY SUN	23,180
	8/19/2022	<200KW PV, PON 2112 NY SUN	28,520
	8/29/2022	<200KW PV, PON 2112 NY SUN	23,140
	8/30/2022	<200KW PV, PON 2112 NY SUN	12,500
	9/13/2022	<200KW PV, PON 2112 NY SUN	21,360
G&S Operations LLC	5/5/2022	>200KW PV, PON 2112 NY SUN	141,760
	5/19/2022	>200KW PV, PON 2112 NY SUN	36,880
Gas Technology Institute	7/29/2022	NextGen HVAC, Develop R30 wall	350,000
GBA Commissioning Services, Inc	7/14/2022	Technical Services, FT13305 - 11 West 53rd - FTC	47,778
Geatrain Engineering PLLC	5/20/2022	Technical Services, FT14199 - 2654 Valentine - FTC	13,710
	5/30/2022	Technical Services, FT14198 - 2520 Kings Hwy - FTC	18,765
	6/14/2022	Technical Services, FT14177 - 101-09 Post - FTC	18,600
		Technical Services, FT14203 - 480 E 21st - FTC	13,988
	7/28/2022	Technical Services, FT14207 - 101 W 55th - FTC	8,820
		Technical Services, FT14208 - 115 E 34th - FTC	8,820
		Technical Services, FT14209 - 205-277 E 66th - FTC	8,820
		Technical Services, FT14218 - 55 Thompson - FTC	8,820
	8/17/2022	Technical Services, FT14228 - 336 Broadway - FTC	8,820
		Technical Services, FT14229 - 81 West River - FTC	8,820
	9/1/2022	Technical Services, FT14230 - 450 Village - FTC	8,820
		Technical Services, FT14219 - 77 W 15 - FTC	8,820
		Technical Services, FT14220 - 166 E 34 - FTC	8,820
	9/1/2022	Technical Services, FT14224 - 280 E 2nd - FTC	8,820
Technical Services, FT14225 - 301 Elizabeth - FTC		8,820	
Technical Services, FT14227 - 363 W 30th - FTC		8,820	
General Electric International Inc	4/11/2022	ENERGY ANALYSIS, Elec System Modeling Training	20,000
George E Denmark II	4/29/2022	<200KW PV, PON 2112 NY SUN	6,480
Geotherm Inc.	5/13/2022	<200KW PV, PON 2112 NY SUN	6,720
	6/1/2022	<200KW PV, PON 2112 NY SUN	6,038
	7/6/2022	<200KW PV, PON 2112 NY SUN	5,693
	7/7/2022	<200KW PV, PON 2112 NY SUN	5,865
	7/18/2022	NYCH: Talent Ppln:CE and OJT, OJT	14,400
	8/29/2022	<200KW PV, PON 2112 NY SUN	27,336
GI Endurant LLC	4/19/2022	NYCH: District, PON 4614 Round #1 Spring Creek	92,500
Go Solar, LLC	6/28/2022	<200KW PV, PON 2112 NY SUN	6,080
	6/29/2022	<200KW PV, PON 2112 NY SUN	6,000
	9/21/2022	<200KW PV, PON 2112 NY SUN	7,216
Goldman Copeland Associates, P.C.	4/7/2022	Technical Services, FT14165 - 62 Pondfield - FTC	17,978
	5/3/2022	Technical Services, FT14189 - 100 Church - FTC	11,993
	6/24/2022	NYCH: Critical Tools, Geopossibilities Improvements	23,000

## Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount	
Goldman Copeland Associates, P.C.	7/22/2022	Technical Services, FT14250 - 505 Park - FTC	7,489	
	8/2/2022	Technical Services, FT14292 - 200 East 82nd - FTC	8,996	
	8/18/2022	Empire Building Challenge, EBC COHORT 2 TA CONTRACT G.. NYCH: Empire Build Challenge, EBC COHORT 2 TA CONTRA..	50,000 50,000	
Greater Mohawk Valley Land Bank, Inc.	4/7/2022	Single Family New Construction, NCP Housing	24,000	
Gree Mechanical Yonkers LLC	8/4/2022	NYCH: Talent Ppln:CE and OJT, OJT	10,560	
Green Dale Solar, LLC	8/16/2022	>200KW PV, NY Sun	1,274,999	
		NY-SUN, NY Sun	525,001	
Green Hybrid Energy Solutions Inc.	6/1/2022	<200KW PV, PON 2112 NY SUN	5,000	
	6/24/2022	<200KW PV, PON 2112 NY SUN	5,000	
	8/10/2022	>200KW PV, PON 2112 NY SUN	8,010	
	8/12/2022	>200KW PV, PON 2112 NY SUN	33,480	
	8/17/2022	>200KW PV, PON 2112 NY SUN	11,568	
	9/1/2022	<200KW PV, PON 2112 NY SUN	5,952	
	9/15/2022	<200KW PV, PON 2112 NY SUN	10,000	
	9/16/2022	>200KW PV, PON 2112 NY SUN	254,400	
Green Light New York, Inc.	4/21/2022	Prof & Expert Engagement, 2022 BEEEx Membership	50,000	
	5/5/2022	Real Time Enrgy Management, RTEM Hackathon at Bx	10,000	
	8/8/2022	Commercial Real Estate Ten, Energy Efficiency Training TWO	129,150	
	9/7/2022	Real Time Enrgy Management, Grid Tech Sponsorship Retrofit NY, Grid Tech Sponsorship	4,400 4,400	
Green Visions Solar LLC	6/13/2022	<200KW PV, PON 2112 NY SUN	6,080	
	8/10/2022	<200KW PV, NY-Sun	9,120	
	8/30/2022	<200KW PV, NY-Sun	11,248	
		<200KW PV, PON 2112 NY SUN	10,000	
GreenLogic, LLC	4/7/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250	
	4/20/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250	
	4/26/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250	
	6/2/2022	ENERGY STORAGE, PON 2112 NY SUN	5,700	
	6/8/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250	
	6/9/2022	ENERGY STORAGE, PON 2112 NY SUN	5,700	
	6/13/2022	ENERGY STORAGE, PON 2112 NY SUN	5,700	
	7/8/2022	ENERGY STORAGE, PON 2112 NY SUN	5,700	
	7/14/2022	ENERGY STORAGE, PON 2112 NY SUN	5,700	
	8/17/2022	ENERGY STORAGE, PON 2112 NY SUN	5,700	
8/19/2022	ENERGY STORAGE, PON 2112 NY SUN	5,700		
Grid City Electric Corp	5/24/2022	<200KW PV, NY-Sun >200KW PV, NY-Sun	36,000 9,000	
		>200KW PV, PON 2112 NY SUN	10,320	
Group-S LLC	4/7/2022	>200KW PV, PON 2112 NY SUN	10,320	
	6/27/2022	Technical Services, FT14122 - 40 5th - FTC Technical Services, FT14129 - 583 Broadway Technical Services, FT14271 - 311 W 39th - FTC	9,000 8,775 18,500	
	7/22/2022	Technical Services, FT14120 - 125 N 10th - FTC Technical Services, FT14126 - 5 E 22nd - FTC	12,500 12,825	
	8/12/2022	Technical Services, FT14305 - 1 West 39th - FTC	28,500	
	8/25/2022	Technical Services, FT14133 - 605 W 57th - FTC	58,000	
	8/26/2022	Empire Building Challenge, EBC COHORT 2 TA CONTRACT E.. NYCH: Empire Build Challenge, EBC COHORT 2 TA CONTRA..	50,000 50,000	
	9/6/2022	Technical Services, FT14255 - 61-20 Grand C - FTC	37,500	
	9/28/2022	K-12 SCHOOLS, P12GC-77_E - Chapin - FTC	26,250	
	GSP 780 Gulf Ave, LLC	6/23/2022	>200KW PV, NY-Sun	56,202
	GSP 1632 Richmond Terrace LLC	7/20/2022	>200KW PV, NY-Sun	25,839
GSP 1756 Forest Ave Mall, LLC	6/23/2022	>200KW PV, NY-Sun	80,960	
	7/20/2022	>200KW PV, NY-Sun	456,950	
		NY-SUN, NY-Sun	91,390	
GSP 13759 Waterport Carlton Road, LLC	7/20/2022	>200KW PV, NY Sun	1,082,015	



## Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
6311 13755 Waterport Canton Road, LLC	7/20/2022	NY-SUN, NY Sun	445,537
Guidehouse Inc.	5/17/2022	NEW YORK GREEN BANK, TWO #1 - Price Forecast	30,784
	6/15/2022	Mkt Char: Tech Assist, EV Tariff Analysis	250,000
	8/8/2022	NEW YORK GREEN BANK, TWO #1 - Price Forecast	212,000
GZA GeoEnvironmental of New York	5/5/2022	WEST VALLEY DEVELOPMENT PROGRAM, Trench 14 Investi..	38,550
H.Q. Energy Services Inc	7/5/2022	REC4:CES REC4 Contracts, Tier 4	12,234,724,000
Halcyon Inc.	4/7/2022	NYCH: Talent Ppln:CE and OJT, OJT	14,400
	4/29/2022	NYCH: Talent Ppln:CE and OJT, OJT	14,400
	5/17/2022	NYCH: Talent Ppln:CE and OJT, OJT	12,960
	6/8/2022	NYCH: Talent Ppln:CE and OJT, OJT	12,960
	6/30/2022	NYCH: Talent Ppln:CE and OJT, OJT	14,400
	7/15/2022	NYCH: Talent Ppln:CE and OJT, OJT	13,680
	7/18/2022	NYCH: Talent Ppln:CE and OJT, OJT	14,400
	7/29/2022	Talent Pipeline:CE and OJT, OJT	9,600
	8/11/2022	NYCH: Talent Ppln:CE and OJT, OJT	16,200
	9/12/2022	NYCH: Talent Ppln:CE and OJT, OJT	13,680
	9/19/2022	OJT	9,600
	9/21/2022	OJT	10,560
Halcyon, Inc.	4/4/2022	<200KW PV, NY-Sun	7,680
	4/8/2022	<200KW PV, PON 2112 NY SUN	6,460
	4/28/2022	<200KW PV, NY-Sun	6,720
	5/25/2022	<200KW PV, NY-Sun	6,912
	6/3/2022	<200KW PV, NY-Sun	9,216
	6/6/2022	<200KW PV, PON 2112 NY SUN	10,800
	6/28/2022	<200KW PV, NY-Sun	20,000
	9/12/2022	<200KW PV, PON 2112 NY SUN	10,000
	9/22/2022	<200KW PV, PON 2112 NY SUN	8,640
	9/29/2022	<200KW PV, PON 2112 NY SUN	6,144
Half Acre Solar, LLC	7/20/2022	>200KW PV, NY Sun	1,002,495
		NY-SUN, NY Sun	467,831
Harris Beach PLLC	6/17/2022	NYSERDA ADMINISTRATION, TWO 3 - PAAA Advising	10,000
Harvest Power, LLC	4/26/2022	<200KW PV, PON 2112 NY SUN	1,606
	5/13/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	6/9/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	7/28/2022	>200KW PV, PON 2112 NY SUN	14,592
	8/18/2022	<200KW PV, NY-Sun	116
		>200KW PV, NY-Sun	134
Hawk Hill Solar, LLC	7/28/2022	>200KW PV, NY Sun	1,093,994
		NY-SUN, NY Sun	450,469
Hawn Heating & Energy Services LLC	4/14/2022	NYCH: Talent Ppln:CE and OJT, OJT	12,720
Healthy Home Energy & Consulting, Inc.	6/6/2022	OJT	6,400
	6/23/2022	Talent Pipeline:CE and OJT, OJT	16,800
	8/2/2022	Talent Pipeline:CE and OJT, OJT	6,720
	8/4/2022	Talent Pipeline:CE and OJT, OJT	5,760
	8/24/2022	NYCH: Talent Ppln:CE and OJT, OJT	11,520
Helix Ventures, LLC	9/19/2022	NYCH: District, PON 4614 Round #5	100,000
Henningson, Durham & Richardson PC	6/14/2022	OREC: Technical Support, TWO #2 HDR Port Liaison	499,420
Heritage Holdings, LLC	8/16/2022	Empire Building Challenge, EBC Phase 2 -Heritage Holdings	2,500,000
		NYCH: Empire Build Challenge, EBC Phase 2 -Heritage Holdings	2,500,000
Herkimer Solar LLC	7/11/2022	>200KW PV, NY Sun	702,073
HESP Solar, LLC	7/8/2022	>200KW PV, NY-Sun	1,199,256
		NY-SUN, NY-Sun	199,876
Hester Street Collaborative, Inc.	7/20/2022	Code to Zero, DAC Outreach & Engagement Supp	49,999
HH Owner, LLC	5/11/2022	New Construction Housing, NCP Housing	480,000
Hi TECH HVAC Services CORP	4/5/2022	NYCH: Talent Ppln:CE and OJT, OJT	15,000
	4/7/2022	NYCH: Talent Ppln:CE and OJT, OJT	21,600

## Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Hi TECH HVAC Services CORP	9/9/2022	NYCH: Talent Ppln:CE and OJT, OJT	10,800
High Peaks Solar	5/26/2022	<200KW PV, PON 2112 NY SUN	5,600
	8/12/2022	<200KW PV, PON 2112 NY SUN	8,960
	9/14/2022	<200KW PV, PON 2112 NY SUN	5,328
Hillside Solar, LLC	5/13/2022	>200KW PV, NY-Sun	1,387,440
Hitachi Energy USA Inc.	9/12/2022	High Performing Grid, PON 3770 Smart Grid	624,400
HK Truck Services Inc.	9/29/2022	CLEAN TRANSPORTATION, NYTVIP - The New York Times	375,000
Hodgson Russ LLP	5/20/2022	Product Standards, TWO 1-SAPA Rule Making/Comment	350,000
	7/7/2022	NYSERDA ADMINISTRATION, EmPower Claim Costs	128
	9/12/2022	NYCH: District, TWO 2 - Comm HP Const Projects	30,000
	9/19/2022	NYSERDA ADMINISTRATION, EmPower Claim Costs	1,649
Holland & Knight LLP	4/4/2022	NEW YORK GREEN BANK, RFP 12 - NYGB Legal Services	5,380
	4/29/2022	Retrofit NY, TWO 2 - Capital Reserve Fund	50,000
	7/1/2022	OREC: Technical Support, TWO 1 - ORECRFP22-1	50,000
	8/12/2022	RFP 12 - NYGB Legal Services	30,000
	9/21/2022	NEW YORK GREEN BANK, RFP 12 - NYGB Legal Services	597
	9/22/2022	RFP 12 - NYGB Legal Services	13,243
	9/28/2022	NEW YORK GREEN BANK, RFP 12 - NYGB Legal Services	34,609
Hollingsworth & Vose Company	7/25/2022	Technical Services, FT14282 - 3235 Co Rte 113	55,650
Home Leasing, LLC	7/5/2022	New Construction Housing, NCP Housing	26,000
Honeywell International Inc.	5/31/2022	3695 TWO Umbrella Agreement	4,032
		ASSISTED HOME PERFORMANCE WITH ENERGY STAR, 36..	12,282
		Home Perf w Energy Star, 3695 TWO Umbrella Agreement	548,781
	8/11/2022	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Q..	3,024
		Home Perf w Energy Star, QA inspection services	1,008
		QA inspection services	26,968
Horizon Engineering Assoc. LLP	6/23/2022	Technical Services, FT14249 - 249-31 61st - FTC	74,316
Houghton College	5/20/2022	NYCH: District, PON 4614 Houghton College	83,873
Housing Trust Fund Corporation	8/24/2022	Direct Injection Program, HCR 2021	8,250,000
		HCR Direct Injection, HCR 2021	16,750,000
HPDC Energy LLC	7/29/2022	NEW YORK GREEN BANK, NYGB DAC StakeholderListening	6,000
HUB Controls USA Inc	4/13/2022	Cleantech Ignition, HUB Controls -PON4534 NYCP R1	500,000
Hudson River Renewables	5/10/2022	<200KW PV, PON 2112 NY SUN	6,040
	5/24/2022	<200KW PV, PON 2112 NY SUN	8,440
	6/30/2022	<200KW PV, NY-Sun	5,624
	7/29/2022	<200KW PV, PON 2112 NY SUN	8,400
	8/12/2022	<200KW PV, PON 2112 NY SUN	9,600
	9/21/2022	<200KW PV, PON 2112 NY SUN	11,200
	9/29/2022	<200KW PV, PON 2112 NY SUN	4,480
Hudson Square Realty, LLC	5/20/2022	Commercial New Construc, Commercial New Construction	109,863
Hudson Valley Wind Energy, LLC	8/17/2022	<200KW PV, PON 2112 NY SUN	12,500
Hunter Buffalo Peterbilt	6/23/2022	CLEAN TRANSPORTATION, NYTVIP - CT TaaS 1 LLC	300,000
	7/29/2022	CLEAN TRANSPORTATION, NYTVIP - Modern Disposal	368,573
Hytech Solar Inc	4/22/2022	COMMUNITY SOLAR, PON 2112 NY SUN	7,040
	6/30/2022	COMMUNITY SOLAR, PON 2112 NY SUN	8,000
	7/12/2022	COMMUNITY SOLAR, PON 2112 NY SUN	5,760
	7/13/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	8/3/2022	<200KW PV, NY-Sun	5,120
	8/15/2022	COMMUNITY SOLAR, PON 2112 NY SUN	5,760
	8/29/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	9/2/2022	COMMUNITY SOLAR, PON 2112 NY SUN	6,240
	9/16/2022	COMMUNITY SOLAR, PON 2112 NY SUN	6,880
IBC Engineering PC	5/12/2022	Technical Services, FT14194 - 415 W Fayette - FTC	16,123
ICE Data, LP	4/21/2022	ENERGY ANALYSIS, WebICE Renewal - 2022-2023	24,916
ICF Resources, LLC	7/6/2022	Eval MCDC:I&R Macroeconomic St, Tech Assist, REV Pool	10,000
Illume Advising LLC	9/26/2022	K-12 SCHOOLS, TWO #3 - P-12 Schools Work Pla	495,358

**Contracts Executed**  
**Period 4/1/2022 through 9/30/2022**

Contractor	Date Encumbered	Contract Description	Total Contract Amount	
Imperium3 New York Inc	5/3/2022	OJT	8,640	
	5/12/2022	OJT	18,240	
	6/6/2022	OJT	33,760	
	6/7/2022	OJT	5,440	
	6/8/2022	OJT	16,640	
	6/30/2022	OJT Jeffrey Geisenhof	6,560	
		Talent Pipeline:CE and OJT, OJT Ilma Halilovic	5,760	
		Talent Pipeline:CE and OJT, OJT Ramik Glenn	8,880	
	7/1/2022	OJT	11,360	
	7/25/2022	Talent Pipeline:CE and OJT, OJT	24,000	
	8/16/2022	Talent Pipeline:CE and OJT, OJT	11,520	
	8/17/2022	Talent Pipeline:CE and OJT, OJT	14,720	
	9/12/2022	OJT	7,040	
	Industrial Economics, Incorporated	5/12/2022	OTHER PROGRAM AREA, Market Evaluation Dev. Study	49,997
		7/14/2022	New Construction Housing, TWO 3 - Case Studies	25,434
8/11/2022		Mkt Char: Tech Assist, TWO#1 BCA study Undergrounding	299,881	
INF Associates LLC	6/23/2022	OJT Jenna Lopez	11,520	
	7/12/2022	OJT	10,000	
Infinity Solar Systems, LLC	4/11/2022	<200KW PV, PON 2112 NY SUN	13,390	
	4/20/2022	<200KW PV, PON 2112 NY SUN	7,300	
	4/21/2022	<200KW PV, PON 2112 NY SUN	7,800	
	4/28/2022	<200KW PV, PON 2112 NY SUN	22,595	
	5/2/2022	<200KW PV, PON 2112 NY SUN	17,416	
	5/13/2022	<200KW PV, PON 2112 NY SUN	19,600	
	5/19/2022	<200KW PV, PON 2112 NY SUN	26,808	
	5/20/2022	<200KW PV, PON 2112 NY SUN	15,795	
	5/23/2022	<200KW PV, PON 2112 NY SUN	5,110	
	5/26/2022	<200KW PV, PON 2112 NY SUN	13,818	
	5/27/2022	<200KW PV, PON 2112 NY SUN	5,468	
	5/31/2022	<200KW PV, PON 2112 NY SUN	14,771	
	6/1/2022	<200KW PV, PON 2112 NY SUN	15,780	
	6/13/2022	<200KW PV, PON 2112 NY SUN	6,683	
	6/14/2022	<200KW PV, PON 2112 NY SUN	8,505	
	6/15/2022	<200KW PV, PON 2112 NY SUN	16,038	
	6/17/2022	<200KW PV, PON 2112 NY SUN	8,030	
	6/24/2022	<200KW PV, PON 2112 NY SUN	29,354	
	6/27/2022	<200KW PV, PON 2112 NY SUN	7,200	
	7/6/2022	<200KW PV, PON 2112 NY SUN	48,311	
	7/7/2022	<200KW PV, PON 2112 NY SUN	26,123	
	7/28/2022	<200KW PV, PON 2112 NY SUN	24,705	
	7/29/2022	<200KW PV, PON 2112 NY SUN	15,795	
	8/12/2022	<200KW PV, PON 2112 NY SUN	18,955	
	8/17/2022	<200KW PV, PON 2112 NY SUN	16,808	
	8/19/2022	<200KW PV, PON 2112 NY SUN	18,144	
	9/1/2022	<200KW PV, PON 2112 NY SUN	14,418	
	9/9/2022	<200KW PV, PON 2112 NY SUN	38,926	
	9/12/2022	<200KW PV, PON 2112 NY SUN	9,344	
	9/13/2022	<200KW PV, PON 2112 NY SUN	6,156	
	9/15/2022	<200KW PV, PON 2112 NY SUN	5,022	
	9/16/2022	<200KW PV, PON 2112 NY SUN	44,680	
	9/23/2022	<200KW PV, PON 2112 NY SUN	10,000	
9/28/2022	<200KW PV, PON 2112 NY SUN	11,104		
9/29/2022	<200KW PV, PON 2112 NY SUN	30,942		
Ingraham Solar 1, LLC	9/12/2022	>200KW PV, NY Sun	910,800	
		NY-SUN, NY Sun	425,040	
inMotion, Inc.	7/1/2022	NYSERDA ADMINISTRATION, inMotion Subscription	4,713	

## Contracts Executed

Period 4/1/2022 through 9/30/2022

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Institute for Building Technology and Sa	6/3/2022	>200KW PV, TWO 3 CAT 1 NY-Sun Large C&I	331,800
	6/13/2022	NY-SUN, TWO 4 NYSUN Res NonRes	1,014,000
Integral Building & Design, Inc.	6/9/2022	OJT	12,691
Integrated HVAC Systems and Services	5/4/2022	Real Time Enrgy Management, IntegratedHVAC-1457 Ogden-R..	30,280
	6/23/2022	Real Time Enrgy Management, IntegratedHVAC6470Scholes-R..	60,600
Integrated Staffing Corporation	4/14/2022	NYSERDA ADMINISTRATION, TS.027 - CBS APM	232,596
	5/16/2022	NYSERDA ADMINISTRATION, TS.028 - Marketing_Coordinator	86,522
	8/26/2022	ENERGY ANALYSIS, TS.032 - EEA_Coordinator	149,526
Integrity Solar Solutions, LLC	5/25/2022	<200KW PV, PON 2112 NY SUN	13,940
	6/13/2022	<200KW PV, PON 2112 NY SUN	11,220
	7/7/2022	<200KW PV, PON 2112 NY SUN	26,035
	7/8/2022	<200KW PV, PON 2112 NY SUN	5,100
	7/12/2022	<200KW PV, PON 2112 NY SUN	5,440
IPPsolar Integration LLC	8/22/2022	NY-SUN, NY-Sun - ICESA	600,000
	9/27/2022	<200KW PV, NY-Sun	74,970
IPPsolar LLC	8/22/2022	NY-SUN, NY-Sun - ICESA	600,000
Ithaca College	7/21/2022	Environmental Research, Methane emissions measurements	48,182
Ithaca Electricians Inc.	7/14/2022	NYCH: Talent Ppln:CE and OJT, OJT	9,600
Ithaca Rentals and Renovations, Inc.	7/8/2022	On-Site Energy Manager, OsEM85-M - Travis Hyde Prop	85,999
		Technical Services, OsEM85-M - Travis Hyde Prop	23,918
J Synergy Green Inc	8/31/2022	OJT	16,152
J Synergy Solar LLC	4/14/2022	<200KW PV, PON 2112 NY SUN	5,550
	4/18/2022	<200KW PV, NY-Sun	6,992
	5/25/2022	<200KW PV, NY-Sun	14,892
	6/28/2022	>200KW PV, PON 2112 NY SUN	5,950
J. Grace Corporation	8/17/2022	Talent Pipeline:CE and OJT, OJT	10,224
J&A Electrical Construction LLC	4/14/2022	<200KW PV, PON 2112 NY SUN	5,700
	4/18/2022	<200KW PV, PON 2112 NY SUN	12,500
	4/28/2022	<200KW PV, PON 2112 NY SUN	12,395
	5/2/2022	<200KW PV, PON 2112 NY SUN	8,140
	6/3/2022	<200KW PV, PON 2112 NY SUN	7,030
	6/13/2022	<200KW PV, PON 2112 NY SUN	5,180
	7/6/2022	<200KW PV, PON 2112 NY SUN	15,170
	7/7/2022	<200KW PV, PON 2112 NY SUN	6,475
	8/4/2022	<200KW PV, PON 2112 NY SUN	21,090
	8/8/2022	<200KW PV, PON 2112 NY SUN	5,550
Jaros, Baum & Bolles	4/7/2022	Empire Building Challenge, JBB Mini bid 4982 RTEM Support	22,119
		EVALUATION, JBB Mini bid 4982 RTEM Support	6,102
		NYCH: Empire Build Challenge, JBB Mini bid 4982 RTEM Supp..	22,119
		Real Time Enrgy Management, JBB Mini bid 4982 RTEM Suppo..	27,458
		RTEM and Tenants, JBB Mini bid 4982 RTEM Support	12,203
	6/6/2022	Technical Services, FT14210 - 5141 Broadway - FTC	54,936
	6/23/2022	K-12 SCHOOLS, P12GC-73_E - Hyde - FTC	18,020
	7/25/2022	Technical Services, FT14232 - 745 7th Ave - FTC	67,486
	7/28/2022	Campus/Technical Assistance, FT14007 - 55 Water - FTC	106,650
	9/28/2022	Technical Services, FT14338 - 155 W 11th - FTC	96,625
JASA Corporation	6/6/2022	New Construction Housing, NCP Housing 2022	625,000
	6/30/2022	Buildings of Excellence, Buildings of Excellence R1.	850,000
JBI Construction Group	5/26/2022	<200KW PV, PON 2112 NY SUN	5,000
	8/16/2022	>200KW PV, PON 2112 NY SUN	62,700
	9/21/2022	>200KW PV, PON 2112 NY SUN	44,856
	9/23/2022	>200KW PV, PON 2112 NY SUN	17,143
	9/26/2022	>200KW PV, PON 2112 NY SUN	14,378
John Francis	9/14/2022	<200KW PV, PON 2112 NY SUN	6,960

## Contracts Executed

Period 4/1/2022 through 9/30/2022

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Johnson Controls, Inc. (Syracuse)	4/6/2022	K-12 SCHOOLS, P12GC-60_E - Malone - FTC	125,531
	4/21/2022	K-12 SCHOOLS, P12GC-71E - Sullivan - FTC	48,002
	5/20/2022	K-12 SCHOOLS, P12GC-32_E - Batavia - FTC	70,256
Jordan Energy and Food Enterprises L..	6/9/2022	<200KW PV, PON 2112 NY SUN	16,958
JR & SONS EXCAVATING INC.	8/24/2022	WEST VALLEY DEVELOPMENT PROGRAM, Ops and Mainten..	304,142
Juilliard School	7/22/2022	Technical Services, OsEM92-C-The Juilliard School	164,000
Kamtech Restoration Corp	5/5/2022	<200KW PV, NY-Sun	5,184
	6/6/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	7/8/2022	<200KW PV, PON 2112 NY SUN	12,500
	7/12/2022	<200KW PV, PON 2112 NY SUN	5,100
	7/28/2022	<200KW PV, NY-Sun	25,056
		COMMUNITY SOLAR, PON 2112 NY SUN	5,950
	8/10/2022	<200KW PV, NY-Sun	17,192
	8/18/2022	<200KW PV, NY-Sun	11,520
	8/19/2022	<200KW PV, NY-Sun	24,648
	9/21/2022	<200KW PV, NY-Sun	7,480
	9/22/2022	<200KW PV, NY-Sun	9,860
	Kanagy Solar Farm LLC	8/16/2022	>200KW PV, NY Sun
		NY-SUN, NY Sun	332,455
Karp Strategies, LLC	4/25/2022	OREC: Technical Support, NYS OSW Training Efforts	400,000
Kasselman Solar LLC	4/1/2022	<200KW PV, PON 2112 NY SUN	6,000
	4/5/2022	<200KW PV, PON 2112 NY SUN	30,623
	4/6/2022	<200KW PV, NY-Sun	8,352
	4/12/2022	<200KW PV, PON 2112 NY SUN	12,490
	4/20/2022	<200KW PV, PON 2112 NY SUN	25,325
	4/21/2022	<200KW PV, PON 2112 NY SUN	12,500
	4/22/2022	<200KW PV, PON 2112 NY SUN	5,600
	4/27/2022	<200KW PV, NY-Sun	6,264
		<200KW PV, PON 2112 NY SUN	9,600
	4/28/2022	<200KW PV, PON 2112 NY SUN	13,325
	5/2/2022	<200KW PV, NY-Sun	11,136
	5/4/2022	<200KW PV, PON 2112 NY SUN	5,525
	5/6/2022	<200KW PV, PON 2112 NY SUN	11,733
	5/9/2022	<200KW PV, PON 2112 NY SUN	11,530
	5/10/2022	<200KW PV, PON 2112 NY SUN	10,000
	5/11/2022	<200KW PV, PON 2112 NY SUN	18,030
	5/13/2022	<200KW PV, PON 2112 NY SUN	32,730
	5/16/2022	<200KW PV, PON 2112 NY SUN	14,288
	5/17/2022	<200KW PV, PON 2112 NY SUN	30,830
	5/20/2022	<200KW PV, PON 2112 NY SUN	11,800
	5/23/2022	<200KW PV, PON 2112 NY SUN	28,278
	5/25/2022	<200KW PV, PON 2112 NY SUN	9,657
	5/26/2022	<200KW PV, PON 2112 NY SUN	7,095
	6/9/2022	<200KW PV, NY-Sun	8,700
		<200KW PV, PON 2112 NY SUN	12,925
	6/13/2022	<200KW PV, NY-Sun	6,460
	6/14/2022	<200KW PV, PON 2112 NY SUN	5,160
	6/16/2022	<200KW PV, PON 2112 NY SUN	15,406
	6/17/2022	<200KW PV, PON 2112 NY SUN	13,600
	6/21/2022	<200KW PV, PON 2112 NY SUN	13,723
	6/22/2022	<200KW PV, PON 2112 NY SUN	5,800
	6/23/2022	<200KW PV, PON 2112 NY SUN	5,400
6/24/2022	<200KW PV, NY-Sun	5,440	
	<200KW PV, PON 2112 NY SUN	8,295	
6/27/2022	<200KW PV, PON 2112 NY SUN	15,008	
6/29/2022	<200KW PV, PON 2112 NY SUN	29,125	

**Contracts Executed**  
 Period 4/1/2022 through 9/30/2022

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Kasselman Solar LLC	6/30/2022	<200KW PV, PON 2112 NY SUN	17,503
	7/1/2022	<200KW PV, PON 2112 NY SUN	5,590
	7/5/2022	<200KW PV, PON 2112 NY SUN	62,898
	7/6/2022	<200KW PV, PON 2112 NY SUN	6,205
	7/7/2022	<200KW PV, PON 2112 NY SUN	42,528
	7/8/2022	<200KW PV, PON 2112 NY SUN	29,003
	7/12/2022	<200KW PV, PON 2112 NY SUN	42,550
	7/18/2022	<200KW PV, PON 2112 NY SUN	39,538
	7/19/2022	<200KW PV, PON 2112 NY SUN	21,944
	7/21/2022	<200KW PV, PON 2112 NY SUN	10,000
	7/22/2022	<200KW PV, PON 2112 NY SUN	7,056
	7/25/2022	<200KW PV, PON 2112 NY SUN	12,068
	7/28/2022	<200KW PV, PON 2112 NY SUN	11,840
	7/29/2022	<200KW PV, PON 2112 NY SUN	6,720
	8/1/2022	<200KW PV, PON 2112 NY SUN	22,106
	8/4/2022	<200KW PV, PON 2112 NY SUN	11,024
	8/8/2022	<200KW PV, PON 2112 NY SUN	25,282
	8/9/2022	<200KW PV, PON 2112 NY SUN	13,284
	8/10/2022	<200KW PV, NY-Sun	7,268
	8/15/2022	<200KW PV, NY-Sun	7,680
		<200KW PV, PON 2112 NY SUN	11,508
	8/16/2022	<200KW PV, PON 2112 NY SUN	14,746
	8/18/2022	<200KW PV, PON 2112 NY SUN	17,920
	8/19/2022	<200KW PV, PON 2112 NY SUN	30,240
	8/22/2022	<200KW PV, PON 2112 NY SUN	8,640
	8/24/2022	<200KW PV, PON 2112 NY SUN	18,534
	8/29/2022	<200KW PV, PON 2112 NY SUN	5,022
	9/1/2022	<200KW PV, PON 2112 NY SUN	6,080
	9/6/2022	<200KW PV, PON 2112 NY SUN	6,912
	9/12/2022	<200KW PV, NY-Sun	13,272
	9/13/2022	<200KW PV, PON 2112 NY SUN	17,154
	9/15/2022	<200KW PV, PON 2112 NY SUN	8,064
	9/16/2022	<200KW PV, PON 2112 NY SUN	5,256
	9/19/2022	<200KW PV, PON 2112 NY SUN	5,670
	9/20/2022	<200KW PV, NY-Sun	11,352
	9/21/2022	<200KW PV, NY-Sun	6,912
9/22/2022	<200KW PV, PON 2112 NY SUN	5,184	
9/28/2022	<200KW PV, PON 2112 NY SUN	15,656	
9/29/2022	<200KW PV, PON 2112 NY SUN	6,318	
Kayaderosseras Solar, LLC	7/14/2022	>200KW PV, NY Sun	571,594
		NY-SUN, NY Sun	235,363
Kearns & West, Inc.	4/27/2022	Consumer Ed and Market Support, TWO 1 - RMAG	41,462
	8/22/2022	OREC: Technical Support, TWO #2 Agmt No. 140392	49,954
	9/7/2022	Energy Storage Tech/Prod Dev, TWO 12-H2 Stakeholder Enga..	125,000
Kelliher Samets LTD	5/17/2022	Low-Income Forum on Energy, TWO 1 - DAC Outreach	107,610
	6/6/2022	NYSERDA ADMINISTRATION, TWO 2 - Social Media Mgmnt	50,000
	6/10/2022	NYCH: Supply Chain, TWO 3 - Clean Heat Connect	238,500
	6/22/2022	LMI Marketing, KSV TWO 32 LMI Website Hub	1,324,091
	7/5/2022	NYSERDA ADMINISTRATION, TWO 6 - Logo Updates	32,000
	7/6/2022	Clean Energy Hub, TWO 4 - CE Hubs launchsupport	31,000
	7/29/2022	NYCH: Critical Tools, TWO 5 - NYS Tracking Study	300,000
	8/24/2022	Consumer Ed and Market Support, TWO#45 SFR	30,000
		NYCH: Critical Tools, TWO#45 SFR	20,000
	9/1/2022	TWO #7 NYGB	100,000
9/28/2022	TWO #8 Induction Cooking	270,000	
Kilmer Solar LLC	7/20/2022	>200KW PV, NY Sun	1,105,731

## Contracts Executed

Period 4/1/2022 through 9/30/2022

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Kings Ford, Inc	6/8/2022	CLEAN TRANSPORTATION, NYTVIP - Cintas Corporation	83,402
	6/16/2022	CLEAN TRANSPORTATION, NYTVIP - Cintas Corporation	70,234
Kingsley Housing Development Fund C..	4/19/2022	Multifam Performance Pgm, Multifamily	164,000
Knox II PV, LLC	9/12/2022	>200KW PV, NY Sun	1,103,299
		NY-SUN, NY Sun	454,301
KPMG LLP	8/5/2022	NEW YORK GREEN BANK, NYSEDA Audit Services	189,350
		NYSEDA ADMINISTRATION, NYSEDA Audit Services	481,650
L&S Energy Services, Inc.	4/21/2022	Low Carbon Tech Demos, TWO 1 - Low Carbon Pathways	77,505
	5/16/2022	Technical Services, FT14237 - 1-3 Main St - FTC	16,883
	5/27/2022	Flexible Tech Assistance, L&S GJGNY Energy Audits	1,239,838
	6/22/2022	On-Site Energy Manager, Umbrella Contract	90,000
	7/8/2022	Direct Injection Program, HCR General Project Support	10,000
		HCR Direct Injection, HCR General Project Support	40,000
	8/8/2022	New Construction- Commercial, Commercial New Construction	22,000
8/18/2022	New Construction- Commercial, Commercial New Construction	1,775	
La Mora LLC	5/4/2022	New Construction Housing, NCP Housing 2022	240,000
LaBella Associates, P.C.	4/18/2022	New Construction- Commercial, Commercial New Construction	45,160
	4/26/2022	Albany Hyatt IE	30,000
	7/22/2022	OTHER PROGRAM AREA, Plattsburgh JT Planning Study	158,500
	8/1/2022	Albany Hyatt IE	6,225
	8/4/2022	NYCH: District, PON 4614 Round #5	100,000
	8/29/2022	Technical Services, FT14326 - NYSBA - Multi - FTC	14,000
	9/7/2022	OTHER PROGRAM AREA, Silver Springs JT Planning Stu	150,000
	9/29/2022	K-12 SCHOOLS, CGSI-3_E - Jasper-Troupsburg-	26,978
Lake Country Geothermal, Inc.	4/14/2022	NYCH: Talent Ppln:CE and OJT, OJT	11,040
	6/23/2022	OJT	13,440
	6/30/2022	NYCH: Talent Ppln:CE and OJT, OJT Mitchell Benn	14,400
	8/25/2022	NYCH: Talent Ppln:CE and OJT, OJT	12,000
	8/26/2022	NYCH: Talent Ppln:CE and OJT, OJT	10,560
8/31/2022	NYCH: Talent Ppln:CE and OJT, OJT	10,560	
Launch New York, Inc.	7/11/2022	Cleantech Incubator, Launch NY ECO Incubator	290,000
Leon A Clifford ET AL PTR	6/20/2022	Tech Assistanc Multifamily LMI, FT14146 - 119 N George - PON	10,000
Levitan & Associates, Inc.	9/28/2022	NY-SUN, NY-Sun MidPoint Review Support	49,300
Lewis Solar Partners, LLC	8/1/2022	>200KW PV, NY Sun	2,400,001
		NY-SUN, NY Sun	524,999
Life Storage Solutions, LLC	9/14/2022	<200KW PV, NY-Sun	18,900
Lincoln Life & Annuity Company of NY	4/4/2022	NYSEDA ADMINISTRATION, Insurance SL/LT/PFL 2021-22	102,900
Linden Terrace III Developer LLC	9/15/2022	New Construction Housing, NCP Housing	450,000
Livingston Management Services, LLC	6/27/2022	Technical Services, FT14211 - 16 West 39th - PON	7,940
Locust Solar, LLC	6/16/2022	NY-SUN, NY-Sun - ICSA	670,059
Long Island High Technology Incubator	7/14/2022	Cleantech Incubator, Clean Energy Incubator	290,000
Long Island Power Authority	6/2/2022	NY-SUN, MOU - 3 year term	20,000,000
Long Island Power Solutions	4/11/2022	<200KW PV, PON 2112 NY SUN	27,705
	4/14/2022	<200KW PV, PON 2112 NY SUN	11,400
	4/18/2022	<200KW PV, PON 2112 NY SUN	6,800
	4/28/2022	<200KW PV, PON 2112 NY SUN	6,105
	5/19/2022	<200KW PV, PON 2112 NY SUN	26,120
	5/20/2022	<200KW PV, PON 2112 NY SUN	10,980
	5/23/2022	<200KW PV, PON 2112 NY SUN	25,300
	5/25/2022	<200KW PV, PON 2112 NY SUN	12,500
	5/26/2022	<200KW PV, PON 2112 NY SUN	10,440
	5/27/2022	<200KW PV, PON 2112 NY SUN	8,400
	5/31/2022	<200KW PV, PON 2112 NY SUN	11,000
	6/1/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	6/16/2022	<200KW PV, PON 2112 NY SUN	7,740
	6/17/2022	<200KW PV, PON 2112 NY SUN	7,400

**Contracts Executed**  
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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Long Island Power Solutions	6/21/2022	<200KW PV, PON 2112 NY SUN	5,000
	7/6/2022	<200KW PV, PON 2112 NY SUN	8,000
	7/19/2022	<200KW PV, PON 2112 NY SUN	45
	7/20/2022	<200KW PV, PON 2112 NY SUN	60
	7/28/2022	<200KW PV, PON 2112 NY SUN	26,060
	8/9/2022	<200KW PV, PON 2112 NY SUN	8,200
	8/10/2022	<200KW PV, PON 2112 NY SUN	278
	8/11/2022	<200KW PV, PON 2112 NY SUN	14,576
		>200KW PV, PON 2112 NY SUN	13,920
	8/15/2022	<200KW PV, PON 2112 NY SUN	6,324
	8/30/2022	<200KW PV, PON 2112 NY SUN	8,496
	9/1/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	9/2/2022	<200KW PV, PON 2112 NY SUN	11,800
	9/15/2022	<200KW PV, PON 2112 NY SUN	33,678
	9/21/2022	<200KW PV, PON 2112 NY SUN	11,600
Lotte Hotel New York Palace, LLC	8/10/2022	Technical Services, OsEM91-C - Lotte New York Pala	144,892
Luthin Associates, Inc.	8/9/2022	RTEM and Tenants, Market Engagement support	50,000
M/E Engineering, P.C.	4/20/2022	K-12 SCHOOLS, P12GC-64E - Williamsville -FTC	100,553
	7/6/2022	Technical Services, FT14261 - Bausch + Lomb - FTC	27,610
	8/22/2022	New Construction- Commercial, Commercial New Construction	85,190
Madison 45 LLC	4/1/2022	Technical Services, FT14104 - 360 Madison - PON	10,600
Madison Energy Holdings, LLC	7/28/2022	>200KW PV, NY Sun	233,289
Magnusson Architecture and Planning ..	7/28/2022	Buildings of Excellence, BoE Rnd. 2 - DTL The Rise	150,000
Magruder Solar, LLC	7/14/2022	>200KW PV, NY Sun	999,839
		NY-SUN, NY Sun	411,699
Manlius Acad LLC	4/13/2022	Multifam Performance Pgm, Manlius Academy Apartments,	17,300
Mannino Electric, Inc.	9/21/2022	<200KW PV, PON 2112 NY SUN	9,360
Mantisi Solar LLC	5/9/2022	NY-SUN, NY-Sun - ICSA	1,047,341
Maple North 1 Solar LLC	7/14/2022	>200KW PV, NY Sun	742,900
		NY-SUN, NY Sun	305,900
Maple North 2 Solar LLC	7/14/2022	>200KW PV, NY Sun	670,956
		NY-SUN, NY Sun	276,276
Maple West Solar LLC	7/20/2022	>200KW PV, NY Sun	888,030
		NY-SUN, NY Sun	414,414
Mark MaGrann Associates	4/19/2022	Technical Services, FT14068 - Fenix 2 - FTC	7,268
	6/6/2022	Technical Services, FT13964 - 1024 Dean - FTC	10,000
	7/6/2022	Tech Assistanc Multifamily LMI, FT14284 - Fenix Living - FTC	12,719
	7/8/2022	HCR Direct Injection, HCR General Project Support	50,000
	9/14/2022	Technical Services, FT13165 - Sugar Hill - FTC	15,000
		Technical Services, FT13275 - City Skyline - FTC	5,475
Marshall & Sterling, Inc.	4/4/2022	NYSERDA ADMINISTRATION, RFP 4301 Insurance	284,699
Martin NY CSG LLC	7/28/2022	>200KW PV, NY Sun	1,012,500
		NY-SUN, NY Sun	472,500
Master Consulting Management Corp	4/5/2022	NYCH: Talent Ppln:CE and OJT, OJT	15,360
	4/26/2022	NYCH: Talent Ppln:CE and OJT, OJT	11,520
	4/29/2022	NYCH: Talent Ppln:CE and OJT, OJT	40,800
	5/30/2022	NYCH: Talent Ppln:CE and OJT, OJT	11,040
	6/30/2022	NYCH: Talent Ppln:CE and OJT, OJT Yuxi Xu	10,560
Maureen Data Systems, Inc.	5/2/2022	NYSERDA ADMINISTRATION, VMWare Workspace Airwatch - 1	19,606
		NYSERDA ADMINISTRATION, VMWare.Airwatch.Workspace 2..	11,940
Max Solar Inc	8/10/2022	<200KW PV, PON 2112 NY SUN	8,640
	8/30/2022	<200KW PV, NY-Sun	6,144
		<200KW PV, PON 2112 NY SUN	9,216
	9/27/2022	<200KW PV, NY-Sun	15,360
McCarley Gardens LLC	5/25/2022	New Construction Housing, NCP Housing - SF370731	60,000
McCormick NY CSG LLC	7/28/2022	>200KW PV, NY Sun	1,217,267



## Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
McCormick NY CSG LLC	7/28/2022	NY-SUN, NY Sun	501,229
McMahon and Mann Consulting Engineers	8/17/2022	WEST VALLEY DEVELOPMENT PROGRAM, TWO#1 On-Dem..	100,000
	9/1/2022	WEST VALLEY DEVELOPMENT PROGRAM, TWO2 North Slo..	259,650
	9/27/2022	WEST VALLEY DEVELOPMENT PROGRAM, TWO#7 Geotech..	173,645
Meister Consultants Group, Inc.	5/11/2022	REV Campus Challenge, Efficiency Planning & Engineer	250,000
Melrose North MM LLC	5/3/2022	Multifam New Construction, New Construction	100,000
Meltwater News US Inc.	6/2/2022	NYSERDA ADMINISTRATION, Meltwater News US Inc	60,000
Meltwater Solar, LLC	7/28/2022	>200KW PV, NY Sun	1,106,104
		NY-SUN, NY Sun	455,456
MEP Geothermal Engineering, PLLC	5/5/2022	REV Campus Challenge, FT13481 - 131 Humphrey - FTC	106,356
	8/11/2022	NYCH: District, PON 4614 Round #5	500,000
Metropolitan Transportation Authority	5/4/2022	Pub Transit & Elect Rail, MTA TDM Pilot	500,000
Mexico PV, LLC	8/16/2022	>200KW PV, NY Sun	964,384
		NY-SUN, NY Sun	397,100
Michaels Energy, Inc.	6/21/2022	Advancing Ag Enrgy Technologie, TWO #3 Agriculture Impact E..	209,114
		Agriculture Energy Eff Pgm, TWO #3 Agriculture Impact Eval	109,114
		Greenhouse Light & Systems Eng, TWO #3 Agriculture Impact ..	84,114
	8/8/2022	Technical Services, TWO 1 - EMP Impact Evaluation	15,795
MIMIC Systems Inc	8/24/2022	NYCH: Innovation, NextGen HVAC Innovation	450,213
Mintz, Levin, Cohn, Ferris, Glovsky and	5/9/2022	Cleantech Ignition, RFP 12 - NYGB Legal Services	3,140
	8/18/2022	Cleantech Ignition, RFP 12 - NYGB Legal Services	10,402
Mintzer Mauch PLLC	6/28/2022	BR: Program Implementation, TWO 1 - Build-Ready – Deferiet	20,000
MJW Technical Services, Inc.	7/15/2022	WEST VALLEY DEVELOPMENT PROGRAM, Radiation Protect..	200,000
MM Renewables Consulting LLC	4/18/2022	NEW YORK GREEN BANK, Marcelle Meyer Contract	117,881
Mount Sinai Medical Center	7/28/2022	Technical Services, OsEM93-C - Mount Sinai Queens	176,000
MR. AIR NYC Corp.	4/18/2022	OJT	15,840
	5/17/2022	NYCH: Talent Ppln:CE and OJT, OJT	45,120
	6/23/2022	NYCH: Talent Ppln:CE and OJT, OJT Shugmi Manashirov	9,600
	9/19/2022	NYCH: Talent Ppln:CE and OJT, OJT	29,040
MVP Consulting Plus, Inc.	8/11/2022	NYSERDA ADMINISTRATION, SAS Annual Maintenance 22-23	10,391
Narragansett HDFC	5/16/2022	Technical Services, FT14067 - 2508 Broadway - PON	15,984
NASEO	6/27/2022	Prof & Expert Engagement, Office of the President & CEO	16,834
National Solar Technologies	9/2/2022	<200KW PV, PON 2112 NY SUN	129,418
National Wind Technology Consortium, Inc	5/17/2022	Nat'l OffShWind R&D Consortium, NOWRDC-126-EPRI	150,000
		Nat'l OffShWind R&D Consortium, NOWRDC-127-GE Research	157,496
		NOWRDC-126-EPRI	150,000
		NOWRDC-127-GE Research	157,496
	5/18/2022	Nat'l OffShWind R&D Consortium, NOWRDC-124-GE Renewab..	399,999
	Nat'l OffShWind R&D Consortium, NOWRDC-129-Drive Techno..	354,787	
	NOWRDC-124-GE Renewable Energy	399,999	
NOWRDC-129-Drive Technologies	354,787		
Natural Resources Defense Council, Inc.	9/15/2022	NEW YORK GREEN BANK, 2022 GBN Membership	7,000
Nesco Bus and Truck Sales, Inc.	6/14/2022	CLEAN TRANSPORTATION, NYTVIP - LB Public Schools	49,372
NESEA	9/7/2022	New Construction- Commercial, BENYC 2022	8,333
		NYCH: District, BENYC 2022	8,333
		Prof & Expert Engagement, BENYC 2022	1,000
		Workforce Industry Partnership, BENYC 2022	8,333
Netgains Engineering P.C.	4/8/2022	Technical Services, FT14097 - 21 Spring - FTC	30,483
	5/9/2022	Technical Services, FT14112 - 37-43 88th - FTC	9,862
		Technical Services, FT14116 - 213 ACP - FTC	16,400
	6/14/2022	Technical Services, FT14258 - 50 Battery - FTC	33,708
	7/1/2022	Tech Assistanc Multifamily LMI, FT14241 - 2-116 Hommocks - ..	10,000
	7/22/2022	Technical Services, FT14281 - 27-19 44th - FTC	30,000
		Technical Services, FT14299 - 3816 Waldo - FTC	12,050
7/28/2022	Tech Assistanc Multifamily LMI, FT14280 - 461 Dean - FTC	60,000	

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Netgains Engineering P.C.	8/31/2022	Technical Services, FT14336 - 860-870 W 181 - FTC	27,446
	9/28/2022	Technical Services, FT14368 - 181 E 65th - FTC	72,000
New Buildings Institute, Inc.	5/3/2022	Code to Zero, TWO # 4	155,287
	8/24/2022	Code to Zero, TWO #7 NBI Contractor Support	250,000
New Ecology, Inc.	5/10/2022	Buildings of Excellence, BoE Rnd. 2 - DTL Colonial II	150,000
	6/24/2022	Real Time Enrgy Management, New Ecology-160 Warburton-R..	16,244
New Energy Nexus New York LLC	9/1/2022	Cleantech POCC, PON4856 Empire Tech Prize	9,500,000
New England Solar & Green Solutions, I..	5/26/2022	<200KW PV, PON 2112 NY SUN	5,000
New Flyer of America, Inc.	4/22/2022	CLEAN TRANSPORTATION, NYTVIP - CDTA	1,540,000
New Leaf Energy, Inc.	8/3/2022	>200KW PV, NY Sun	7,868,619
		NY-SUN, NY Sun	3,301,535
	8/16/2022	NY-SUN, NY-Sun ESFA	4,974,162
	8/23/2022	>200KW PV, NY Sun	935,064
		NY-SUN, NY Sun	436,363
	9/12/2022	>200KW PV, NY Sun	2,907,241
	NY-SUN, NY Sun	1,566,672	
	9/30/2022	ESTOR:Retail Storage Incentive, Retail Storage	7,725,000
New Leaf Solar LLC	8/15/2022	<200KW PV, PON 2112 NY SUN	7,770
	9/8/2022	<200KW PV, PON 2112 NY SUN	5,032
	9/12/2022	<200KW PV, PON 2112 NY SUN	8,732
New York Battery and Energy Storage	5/30/2022	CTE 2022 Sponsorship	10,000
	6/15/2022	ESTOR: Implementation Support, Storage as Transmission Rsr..	50,000
New York Building Congress Inc	5/26/2022	Prof & Expert Engagement, 2022 NYBC Membership	5,500
New York Bus Sales LLC	7/8/2022	CLEAN TRANSPORTATION, NYTVIP - Hudson Falls CSD	9,008
New York Chapter of CoreNet Global, Inc	9/12/2022	RTEM and Tenants, Tenant outreach and engagement	9,000
New York Engineers, P.C.	4/29/2022	Technical Services, FT14191 - 41 Box - FTC	10,428
	7/6/2022	Technical Services, FT14260 - 2299 Ulster - FTC	8,813
	8/16/2022	Technical Services, FT14269 - Multiple - FTC	33,982
	9/28/2022	Technical Services, FT14347 - 350 Madison - FTC	34,784
	9/29/2022	K-12 SCHOOLS, CGSI-5_E - New Rochelle CSD -	61,092
New York Geothermal Energy Organizat..	5/30/2022	NYCH: Communities, NY-GEO Sponsorship 21-22	29,250
New York Power Authority	5/5/2022	REV Campus Challenge, FT13913 - Rockland - FTC	26,379
	5/11/2022	Technical Services, FT13810 - City of Albany - FTC	44,264
	5/25/2022	Technical Services, FT13937 - Rockland - FTC	39,432
	8/26/2022	Technical Services, FT14308 - 4 Burnett - FTC	8,934
New York Presbyterian Hospital	7/15/2022	Workforce Industry Partnership, PON 3715 (R6) BOM	800,000
New York State Forum for IRM	9/7/2022	NYSERDA ADMINISTRATION, NYS Forum Membership 22 - 23	5,500
New York State Solar Farm Inc.	4/6/2022	<200KW PV, PON 2112 NY SUN	5,400
	5/19/2022	<200KW PV, PON 2112 NY SUN	11,880
	5/23/2022	<200KW PV, PON 2112 NY SUN	12,500
	6/6/2022	<200KW PV, PON 2112 NY SUN	11,520
	6/7/2022	<200KW PV, PON 2112 NY SUN	7,380
	6/29/2022	<200KW PV, PON 2112 NY SUN	5,760
	7/1/2022	<200KW PV, PON 2112 NY SUN	14,000
	7/6/2022	<200KW PV, PON 2112 NY SUN	9,800
	8/11/2022	<200KW PV, PON 2112 NY SUN	6,213
	8/15/2022	<200KW PV, PON 2112 NY SUN	27,491
	8/17/2022	<200KW PV, PON 2112 NY SUN	12,500
	8/29/2022	<200KW PV, PON 2112 NY SUN	6,806
	9/9/2022	<200KW PV, PON 2112 NY SUN	5,101
	9/21/2022	<200KW PV, PON 2112 NY SUN	9,180
9/23/2022	<200KW PV, PON 2112 NY SUN	7,650	
9/29/2022	<200KW PV, PON 2112 NY SUN	9,180	
New York University	5/26/2022	Net Zero Energy for Eco Dev, CNCED NYU - Rubin Hall	2,000,000
	7/12/2022	Cleantech Incubator, PON3413 Clean Energy Incubator	290,000
Newmark Partners LP	4/26/2022	Albany Hyatt - Appraisal	6,000

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Newport Ventures, Inc.	8/8/2022	Code to Zero, RFQL 3711 TWO#5	43,576
Next Generation Solar, LLC	4/6/2022	<200KW PV, PON 2112 NY SUN	12,836
	5/19/2022	<200KW PV, NY-Sun	9,600
	6/24/2022	<200KW PV, PON 2112 NY SUN	7,800
	6/27/2022	<200KW PV, PON 2112 NY SUN	7,200
	7/28/2022	<200KW PV, PON 2112 NY SUN	7,680
	9/12/2022	<200KW PV, PON 2112 NY SUN	16,240
	9/13/2022	<200KW PV, PON 2112 NY SUN	10,000
	9/20/2022	<200KW PV, PON 2112 NY SUN	6,720
NextCorps Inc	7/14/2022	M-Corps, ACT Prototypes to Mass Prod NY	550,000
Niagara Frontier Transportation Authority	9/28/2022	Technical Services, OsEM95-C_Niagara Frontier TA	89,000
NIC Holding Corp	6/13/2022	FUEL NY, NYS Strategic Gasoline Reserve	519,000
Nickels Energy Solutions LLC	5/16/2022	<200KW PV, PON 2112 NY SUN	11,338
	6/29/2022	<200KW PV, PON 2112 NY SUN	5,735
	7/6/2022	<200KW PV, PON 2112 NY SUN	20,725
	8/8/2022	<200KW PV, PON 2112 NY SUN	11,255
	8/15/2022	<200KW PV, PON 2112 NY SUN	5,760
Nine Mile Point Nuclear Station, LLC	8/5/2022	Energy Storage Tech/Prod Dev, PON4169 Round #1	12,496,120
Noresco LLC	7/12/2022	Code to Zero, RFQL 3711 TWO# 5	163,779
	7/13/2022	REV Campus Challenge, FT14266 - 6 Metrotech - FTC	137,285
	9/1/2022	Technical Services, FT14341 - 1255 Broadway - FTC	8,914
Norstar Development USA, LP	4/20/2022	Multifam Performance Pgm, Multifamily	196,700
	6/27/2022	New Construction Housing, NCP Housing	126,000
		Single Family New Construction, NCP Housing	28,000
Northeast Energy Efficiency Partnerships	6/20/2022	Clean Energy Communities, 2022 NEEP Membership	10,000
		Code to Zero, 2022 NEEP Membership	15,000
		Consumer Ed and Market Support, 2022 NEEP Membership	25,000
		NextGen HVAC, 2022 NEEP Membership	30,000
		NYCH: Critical Tools, 2022 NEEP Membership	30,000
		NYSERDA ADMINISTRATION, 2022 NEEP Membership	15,000
		Prof & Expert Engagement, 2022 NEEP Membership	50,000
		Strategic Energy Manager, 2022 NEEP Membership	10,000
		Technical Services, 2022 NEEP Membership	10,000
Northeast States for Coordinated Air Use	6/20/2022	Prof & Expert Engagement, 2022 NESCAUM Membership	75,000
	6/21/2022	ENVIRONMENTAL RESEARCH, TWO 1 - LISTOS 2022-2023	306,270
Northway Solar, LLC	7/20/2022	>200KW PV, NY Sun	1,115,077
		NY-SUN, NY Sun	459,150
Norton Rose Fulbright US LLP	8/18/2022	NEW YORK GREEN BANK, RFP 12: NYGB Legal Services	6,872
	9/6/2022	NEW YORK GREEN BANK, RFP 12: NYGB Legal Services	37,690
Nova Bus a Div. of Prevest Car Inc.	4/22/2022	CLEAN TRANSPORTATION, NYTVIP - Broome County Transit	1,540,000
Novel Approaches Solar Applications, LLC	5/6/2022	<200KW PV, PON 2112 NY SUN	13,050
	6/1/2022	<200KW PV, PON 2112 NY SUN	12,500
NP Environmental LLC	5/17/2022	NYCH: Talent Ppln:CE and OJT, OJT	14,400
	6/6/2022	NYCH: Talent Ppln:CE and OJT, OJT	9,600
	8/11/2022	NYCH: Talent Ppln:CE and OJT, OJT	14,424
NRP Holdings LLC	4/8/2022	New Construction Housing, NCP Housing	258,000
NSF Chateaugay Site 1, LLC	8/5/2022	>200KW PV, NY Sun	1,145,663
		NY-SUN, NY Sun	471,745
NSF Chateaugay Site 2, LLC	7/28/2022	>200KW PV, NY Sun	1,002,456
		NY-SUN, NY Sun	412,776
NSF Danby Site 1, LLC	8/16/2022	>200KW PV, NY Sun	1,139,301
		NY-SUN, NY Sun	469,125
NSF Danby Site 2, LLC	7/20/2022	>200KW PV, NY Sun	1,138,574
		NY-SUN, NY Sun	468,826
NSF Danby Site 3, LLC	7/13/2022	>200KW PV, NY Sun	554,752
		NY-SUN, NY Sun	228,428

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
NSF Edmeston Site 1, LLC	8/23/2022	>200KW PV, NY Sun	1,034,046
		NY-SUN, NY Sun	482,555
NSF Edmeston Site 2, LLC	8/23/2022	>200KW PV, NY Sun	1,101,438
		NY-SUN, NY Sun	514,005
NSF Union Site 1B, LLC	8/23/2022	>200KW PV, NY Sun	1,095,120
		NY-SUN, NY Sun	511,056
NSF Union Site 2B, LLC	8/23/2022	>200KW PV, NY Sun	1,095,120
		NY-SUN, NY Sun	511,056
NSF Union Site 3B, LLC	8/23/2022	>200KW PV, NY Sun	1,095,120
		NY-SUN, NY Sun	511,056
NT Port I, LLC	4/20/2022	Multifam Performance Pgm, Multifamily	9,800
		NYCH: LMI, Clean Heating & Cooling	40,600
NY CDG 006 LLC	9/14/2022	>200KW PV, NY-Sun	375,840
		NY-SUN, NY-Sun	75,168
NY Farmington I, LLC	5/3/2022	NY-SUN, NY-Sun - ICSA	137,700
NY Farmington II, LLC	5/3/2022	NY-SUN, NY-Sun - ICSA	137,700
NY Farmington III, LLC	5/3/2022	NY-SUN, NY-Sun - ICSA	137,700
NY Greece I, LLC	4/1/2022	>200KW PV, NY Sun	765,160
NY Greece II, LLC	4/1/2022	>200KW PV, NY Sun	387,750
	5/9/2022	NY-SUN, NY-Sun - ICSA	705,000
NY Mamakating I, LLC	7/14/2022	>200KW PV, NY Sun	722,670
		NY-SUN, NY Sun	297,570
NY Middle Grove Road Solar LLC	8/2/2022	>200KW PV, NY Sun	783,693
		NY-SUN, NY Sun	171,433
	8/11/2022	NY-SUN, NY-Sun ESFA	122,452
NY Mooers VI, LLC	7/14/2022	>200KW PV, NY Sun	1,192,550
NY Solar 1001 LLC	8/2/2022	>200KW PV, NY Sun	587,520
		NY-SUN, NY Sun	241,920
NY Triangle I, LLC	4/1/2022	>200KW PV, NY Sun	584,496
NYC College of Tech.-CUNY	4/8/2022	ENERGY ANALYSIS, Climate Action Council Public	5,450
	5/2/2022	ENERGY ANALYSIS, Climate Action Council Public	806
NYC Hudson Multifamily Green Fund L..	8/25/2022	New Construction Housing, NCP Housing	196,800
NYC School Bus Umbrella Services Inc.	4/18/2022	EVPRZ:Community Partner Funds, RFP 4745	50,000
NYS Economic Development Council	6/30/2022	New Construction- Commercial, Channel Partner Cont.	50,000
	8/4/2022	Strategic Energy Manager, 2022 Semicon West Sponsorship	5,000
	9/7/2022	CI Carbon Challenge, NY Loves Nanotech Silver Spons	5,000
NYS Office for Technology	6/24/2022	NYSERDA ADMINISTRATION, O365 Data10Mb NYeNET - 3 y..	11,232
NYS Office of General Services	4/5/2022	SARATOGA TECHNOLOGY & ENERGY PARK, Clean room pe..	30,000
	5/23/2022	SARATOGA TECHNOLOGY & ENERGY PARK, Detailed Surve..	37,827
NYS Office of Parks, Recreation and	5/5/2022	<200KW PV, PON 2112 NY SUN	20,769
NYS OGS	5/20/2022	SARATOGA TECHNOLOGY & ENERGY PARK, TEC-SMART, ..	140,000
NYSDEC	9/26/2022	WEST VALLEY DEVELOPMENT PROGRAM, WV-Admin	450,000
NYSolar03, LLC	8/15/2022	>200KW PV, NY Sun	1,102,701
		NY-SUN, NY Sun	454,054
NYSolarDoctors LLC	5/26/2022	<200KW PV, PON 2112 NY SUN	12,000
NYSS LLC	4/28/2022	<200KW PV, NY-Sun	12,480
	6/24/2022	<200KW PV, NY-Sun	19,200
	6/27/2022	ENERGY STORAGE, PON 2112 NY SUN	5,700
	6/28/2022	COMMUNITY SOLAR, PON 2112 NY SUN	5,600
		ENERGY STORAGE, PON 2112 NY SUN	5,700
	8/10/2022	<200KW PV, NY-Sun	12,044
	9/27/2022	<200KW PV, NY-Sun	6,640
O'Connell Electric Company	8/30/2022	<200KW PV, NY-Sun	7,840
Omni Burt A Solar, LLC	8/23/2022	>200KW PV, NY Sun	1,124,760
		NY-SUN, NY Sun	524,888
Omni Burt B Solar, LLC	8/16/2022	>200KW PV, NY Sun	1,124,760

## Contracts Executed

Period 4/1/2022 through 9/30/2022

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Omni Burt B Solar, LLC	8/16/2022	NY-SUN, NY Sun	524,888
Omni Burt D Solar, LLC	8/16/2022	>200KW PV, NY Sun	1,124,760
		NY-SUN, NY Sun	524,888
Omni Dewittville Solar, LLC	8/1/2022	>200KW PV, NY Sun	1,274,727
		NY-SUN, NY Sun	524,889
Omni French Creek Solar, LLC	8/5/2022	>200KW PV, NY Sun	742,560
		NY-SUN, NY Sun	346,528
Omni Newfane Drake Settlement Solar, LLC	8/23/2022	>200KW PV, NY Sun	1,124,760
		NY-SUN, NY Sun	524,888
Omni Richland Route 28 North Solar, LLC	7/19/2022	>200KW PV, NY Sun	742,560
		NY-SUN, NY Sun	346,528
Onboard Data Inc.	8/10/2022	Real Time Enrgy Management, Hack-a-thon	50,000
One Sun Power Inc.	8/3/2022	>200KW PV, NY Sun	777,504
ONIX, Inc.	9/28/2022	Real Time Enrgy Management, ONIX Inc. - Multisite - RTEM	200,000
OnRout Co.	4/1/2022	OTHER PROGRAM AREA, Dynamic Pricing for Parcels	250,000
Onsite Energy, Inc.	5/9/2022	<200KW PV, PON 2112 NY SUN	5,920
	7/8/2022	<200KW PV, PON 2112 NY SUN	5,760
Onyx Development Group LLC	8/30/2022	>200KW PV, NY-Sun	806,508
		NY-SUN, NY-Sun	158,058
	9/2/2022	>200KW PV, NY-Sun	1,028,664
		NY-SUN, NY-Sun	198,720
Oppenheim Inghams Solar, LLC	7/14/2022	>200KW PV, NY Sun	567,528
		NY-SUN, NY Sun	233,688
Orange EV LLC	5/20/2022	CLEAN TRANSPORTATION, NYTVIP - ADUSA Distribution	140,542
		CLEAN TRANSPORTATION, NYTVIP - Price Chopper	281,083
		CLEAN TRANSPORTATION, NYTVIP - SalSon Logistics	562,166
	6/23/2022	CLEAN TRANSPORTATION, NYTVIP - Sonwil Logistics	140,542
		CLEAN TRANSPORTATION, NYTVIP - Wegmans	140,542
	6/27/2022	CLEAN TRANSPORTATION, NYTVIP - FedEx	2,389,207
Orrick Herrington & Sutcliffe LLP	4/25/2022	Cleantech Ignition, RFP 12: NYGB Legal Services	33,919
	7/29/2022	Cleantech Ignition, RFP 12: NYGB Legal Services	9,267
Ove Arup & Partners Consulting Engine..	5/18/2022	HCR Direct Injection, TWO #7 – HCR Project Selection	1,000,000
Overlord Apartments, LLC	4/18/2022	Tech Assistanc Multifamily LMI, FT14080 - 14 US-20 - PON	6,750
OwnBackup Inc.	9/28/2022	NYSERDA ADMINISTRATION, Own backupSalesforce.KeyMgt.	4,590
OYA Chenunda Creek, LLC	8/11/2022	>200KW PV, NY Sun	627,900
		NY-SUN, NY Sun	293,020
OYA ELLISBURG SOLAR LLC	8/11/2022	NY-SUN, NY-Sun ESFA	597,996
OYA Lane Road LLC	8/16/2022	>200KW PV, NY Sun	813,540
		NY-SUN, NY Sun	379,652
OYA Main Street LLC	8/11/2022	NY-SUN, NY-Sun ESFA	524,888
Pace University Energy & Climate Center	5/31/2022	Code to Zero, Legal Research Decarbonization	27,178
	6/2/2022	NYCH: District, Round 3 Infrastructure Charett	180,000
Paradise Energy Solutions, LLC	4/6/2022	<200KW PV, PON 2112 NY SUN	8,960
	5/3/2022	<200KW PV, PON 2112 NY SUN	13,398
	5/26/2022	<200KW PV, PON 2112 NY SUN	12,500
	5/27/2022	<200KW PV, PON 2112 NY SUN	12,500
	6/6/2022	<200KW PV, PON 2112 NY SUN	12,500
	6/13/2022	<200KW PV, PON 2112 NY SUN	6,588
	6/15/2022	<200KW PV, PON 2112 NY SUN	15,480
	6/28/2022	<200KW PV, PON 2112 NY SUN	5,760
	6/30/2022	<200KW PV, PON 2112 NY SUN	6,720
	7/7/2022	<200KW PV, PON 2112 NY SUN	6,300
	7/28/2022	<200KW PV, PON 2112 NY SUN	25,620
	9/28/2022	<200KW PV, PON 2112 NY SUN	11,088
Parity Inc	5/4/2022	Real Time Enrgy Management, Parity-201E79-RTEM	16,679
	6/15/2022	Real Time Enrgy Management, Parity-252E57-RTEM	16,200

## Contracts Executed

Period 4/1/2022 through 9/30/2022

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Parity Inc	7/15/2022	Real Time Enrgy Management, Parity_525W52_RTEM	40,098
	7/22/2022	Real Time Enrgy Management, Parity-200 Riverside-RTEM	11,100
Partridge Venture Engineering, P.C.	6/14/2022	Tech Assistanc Multifamily LMI, FT14253 - Multiple - FTC	15,395
		Tech Assistanc Multifamily LMI, FT14254 - 367 S 2nd - FTC	10,000
	8/22/2022	Technical Services, FT14074 - 1455-1499 - FTC	6,214
Passive House Accelerator LLC	7/6/2022	New Construction Housing, Strategic Industry Partner Eng	40,000
		New Construction- Commercial, Strategic Industry Partner Eng	10,000
	7/15/2022	New Construction Housing, Host - BoE Rnd. 3 Launch	35,000
	8/18/2022	New Construction- Commercial, Passive House Savings Tool	50,000
Pathfinder Engineers & Architects, LLP	4/8/2022	New Construction- Commercial, Commercial New Construction	16,351
	8/22/2022	New Construction- Commercial, Commercial New Construction	69,824
Pathstone Corporation	4/1/2022	CLEANER GREENER COMMUNITIES, CEEP Finger Lakes Re..	58,989
Patriot Energy Solutions Corp	9/29/2022	>200KW PV, PON 2112 NY SUN	14,016
Patterson Farms, Inc.	5/5/2022	Anaerobic Digesters, PON 3739 CAT C	453,513
Performance Systems Development	4/25/2022	Code to Zero, RFQL 3711 TWO#2	625,837
Phipps Houses	4/1/2022	New Construction Housing, NCP Housing 2022	600,000
Pivot Energy Development LLC	8/16/2022	>200KW PV, PON 2112 NY SUN	160,380
Pivot Solar NY 3 LLC	7/11/2022	>200KW PV, NY Sun	510,775
	8/3/2022	>200KW PV, NY Sun	894,240
Pivot Solar NY 5 LLC	7/11/2022	>200KW PV, NY Sun	506,736
Pivot Solar NY 9 LLC	7/14/2022	>200KW PV, NY Sun	1,119,226
Pivotal 180, LLC	4/5/2022	NEW YORK GREEN BANK, NYGB Fund Model 2022	65,000
	5/18/2022	NEW YORK GREEN BANK, Pivotal180 2022 Intern Course	7,000
	5/26/2022	NEW YORK GREEN BANK, 2022 Analyst/Associate Course	10,880
Plaza West Associates LLC	8/31/2022	Technical Services, FT14315 - 636 11th - PON	23,800
PlugPV, LLC	4/1/2022	<200KW PV, PON 2112 NY SUN	17,240
	4/4/2022	<200KW PV, PON 2112 NY SUN	6,200
	4/5/2022	<200KW PV, PON 2112 NY SUN	14,200
	4/6/2022	<200KW PV, PON 2112 NY SUN	26,200
	4/7/2022	<200KW PV, PON 2112 NY SUN	5,200
	4/8/2022	<200KW PV, PON 2112 NY SUN	17,208
	4/13/2022	<200KW PV, PON 2112 NY SUN	14,400
	4/14/2022	<200KW PV, PON 2112 NY SUN	8,500
	4/18/2022	<200KW PV, PON 2112 NY SUN	6,600
	4/19/2022	<200KW PV, PON 2112 NY SUN	5,600
	4/20/2022	<200KW PV, PON 2112 NY SUN	13,600
	4/21/2022	<200KW PV, PON 2112 NY SUN	12,200
	4/22/2022	<200KW PV, PON 2112 NY SUN	12,000
	4/25/2022	<200KW PV, PON 2112 NY SUN	6,200
	4/26/2022	<200KW PV, PON 2112 NY SUN	600
	4/27/2022	<200KW PV, PON 2112 NY SUN	29,200
	4/28/2022	<200KW PV, PON 2112 NY SUN	43,100
	4/29/2022	<200KW PV, PON 2112 NY SUN	14,400
	5/2/2022	<200KW PV, NY-Sun	44,149
		<200KW PV, PON 2112 NY SUN	7,400
	5/4/2022	<200KW PV, PON 2112 NY SUN	12,000
	5/5/2022	<200KW PV, PON 2112 NY SUN	28,058
	5/9/2022	<200KW PV, PON 2112 NY SUN	18,600
	5/10/2022	<200KW PV, PON 2112 NY SUN	51,600
	5/11/2022	<200KW PV, PON 2112 NY SUN	29,200
	5/13/2022	<200KW PV, PON 2112 NY SUN	38,200
5/16/2022	<200KW PV, PON 2112 NY SUN	19,000	
5/17/2022	<200KW PV, PON 2112 NY SUN	23,400	
5/18/2022	<200KW PV, PON 2112 NY SUN	20,800	
5/19/2022	<200KW PV, PON 2112 NY SUN	26,800	
5/20/2022	<200KW PV, PON 2112 NY SUN	17,080	

**Contracts Executed**  
 Period 4/1/2022 through 9/30/2022

Contractor	Date Encumbered	Contract Description	Total Contract Amount
PlugPV, LLC	5/23/2022	<200KW PV, PON 2112 NY SUN	19,600
	5/24/2022	<200KW PV, PON 2112 NY SUN	13,040
	5/25/2022	<200KW PV, PON 2112 NY SUN	44,451
	5/26/2022	<200KW PV, PON 2112 NY SUN	5,600
	6/1/2022	<200KW PV, PON 2112 NY SUN	32,000
	6/2/2022	<200KW PV, PON 2112 NY SUN	21,948
	6/3/2022	<200KW PV, PON 2112 NY SUN	5,280
	6/6/2022	<200KW PV, PON 2112 NY SUN	6,200
	6/7/2022	<200KW PV, PON 2112 NY SUN	8,000
	6/9/2022	<200KW PV, PON 2112 NY SUN	5,600
	6/10/2022	<200KW PV, PON 2112 NY SUN	14,400
	6/13/2022	<200KW PV, PON 2112 NY SUN	5,200
	6/14/2022	<200KW PV, PON 2112 NY SUN	5,400
	6/15/2022	<200KW PV, PON 2112 NY SUN	21,000
	6/16/2022	<200KW PV, PON 2112 NY SUN	27,500
	6/17/2022	<200KW PV, PON 2112 NY SUN	15,400
	6/23/2022	<200KW PV, PON 2112 NY SUN	40,500
	6/24/2022	<200KW PV, PON 2112 NY SUN	18,000
	6/27/2022	<200KW PV, PON 2112 NY SUN	9,600
	6/28/2022	<200KW PV, NY-Sun	7,040
		<200KW PV, PON 2112 NY SUN	29,080
	6/29/2022	<200KW PV, PON 2112 NY SUN	22,200
	6/30/2022	<200KW PV, PON 2112 NY SUN	5,200
	7/1/2022	<200KW PV, PON 2112 NY SUN	21,200
	7/5/2022	<200KW PV, PON 2112 NY SUN	6,000
	7/6/2022	<200KW PV, PON 2112 NY SUN	13,000
	7/8/2022	<200KW PV, PON 2112 NY SUN	16,800
	7/12/2022	<200KW PV, PON 2112 NY SUN	15,200
	7/18/2022	<200KW PV, PON 2112 NY SUN	6,080
	7/19/2022	<200KW PV, PON 2112 NY SUN	6,080
	7/20/2022	<200KW PV, PON 2112 NY SUN	5,760
	7/22/2022	<200KW PV, PON 2112 NY SUN	7,360
	7/25/2022	<200KW PV, PON 2112 NY SUN	5,920
	7/28/2022	<200KW PV, PON 2112 NY SUN	41,674
	7/29/2022	<200KW PV, PON 2112 NY SUN	17,600
	8/1/2022	<200KW PV, PON 2112 NY SUN	11,840
	8/3/2022	<200KW PV, PON 2112 NY SUN	6,240
	8/4/2022	<200KW PV, PON 2112 NY SUN	11,680
	8/5/2022	<200KW PV, PON 2112 NY SUN	12,853
	8/10/2022	<200KW PV, NY-Sun	7,360
		<200KW PV, PON 2112 NY SUN	2,376
	8/11/2022	<200KW PV, PON 2112 NY SUN	13,760
	8/16/2022	<200KW PV, PON 2112 NY SUN	14,080
	8/17/2022	<200KW PV, PON 2112 NY SUN	7,520
	8/19/2022	<200KW PV, PON 2112 NY SUN	5,440
	8/25/2022	<200KW PV, PON 2112 NY SUN	5,600
8/30/2022	<200KW PV, PON 2112 NY SUN	14,599	
9/1/2022	<200KW PV, PON 2112 NY SUN	33,200	
9/2/2022	<200KW PV, PON 2112 NY SUN	2,052	
9/6/2022	<200KW PV, PON 2112 NY SUN	17,824	
9/9/2022	<200KW PV, PON 2112 NY SUN	21,120	
9/12/2022	<200KW PV, PON 2112 NY SUN	13,120	
9/13/2022	<200KW PV, NY-Sun	7,680	
9/14/2022	<200KW PV, PON 2112 NY SUN	5,760	
9/16/2022	<200KW PV, PON 2112 NY SUN	5,280	
9/20/2022	<200KW PV, PON 2112 NY SUN	79,048	

## Contracts Executed

Period 4/1/2022 through 9/30/2022

Contractor	Date Encumbered	Contract Description	Total Contract Amount
PlugPV, LLC	9/21/2022	<200KW PV, PON 2112 NY SUN	5,120
	9/22/2022	<200KW PV, PON 2112 NY SUN	8,480
	9/23/2022	<200KW PV, PON 2112 NY SUN	11,360
	9/27/2022	<200KW PV, PON 2112 NY SUN	5,682
	9/28/2022	<200KW PV, PON 2112 NY SUN	5,760
Pomfret II PV, LLC	8/16/2022	>200KW PV, NY Sun	986,332
		NY-SUN, NY Sun	460,289
Pomfret PV, LLC	8/4/2022	>200KW PV, NY Sun	678,730
		NY-SUN, NY Sun	279,477
Potentia Management Group LLC	7/29/2022	Talent Pipeline:CE and OJT, OJT	8,800
Power Guru, LLC	5/19/2022	<200KW PV, PON 2112 NY SUN	11,210
Powerhouse Accelerator, LLC	8/16/2022	OTHER PROGRAM AREA, Powerhouse/NYSERDA Partnership	50,000
Praveen Amar	8/11/2022	Environmental Research, Science Advisors	45,000
Premier Solar Solutions LLC	8/10/2022	>200KW PV, PON 2112 NY SUN	8,160
Protek Information Technology Services	5/4/2022	NYSERDA/DEC AQ Monitoring	50,625
Provantage, LLC	5/16/2022	NYSERDA ADMINISTRATION, RallyBar and Rally Plus - Log	13,800
	5/25/2022	NYSERDA ADMINISTRATION, Logitech Rallybars NYGB 1333	17,250
	9/15/2022	NYSERDA ADMINISTRATION, Cisco Room Kit Pro Part 2 NYSERDA ADMINISTRATION, Cisco RoomKit Pro part 1	13,105 20,715
Proven Energy Systems LLC	5/24/2022	<200KW PV, NY-Sun	10,200
Public Utility Law Project of New York	5/27/2022	SFY 21-22 PULP Appropriation	1,000,000
Pure Point Energy	6/7/2022	<200KW PV, PON 2112 NY SUN	9,200
Pvilion Technologies, LLC	6/23/2022	OJT	15,360
Quanta Technology LLC	5/4/2022	OREC: Technical Support, TWO #1 OSW Transmis Study 2.0	750,000
Quiver Solutions LLC	8/29/2022	EVPRZ:Implementation, Outreach Support - Prize event	7,000
QwikSolar, LLC	4/11/2022	<200KW PV, PON 2112 NY SUN	6,240
	5/2/2022	<200KW PV, PON 2112 NY SUN	15,360
	5/3/2022	<200KW PV, PON 2112 NY SUN	11,620
	6/2/2022	<200KW PV, PON 2112 NY SUN	9,600
	6/7/2022	<200KW PV, PON 2112 NY SUN	5,760
	6/27/2022	<200KW PV, PON 2112 NY SUN	480
	7/6/2022	<200KW PV, PON 2112 NY SUN	5,760
	8/11/2022	<200KW PV, PON 2112 NY SUN	5,280
	9/13/2022	<200KW PV, PON 2112 NY SUN	7,680
9/14/2022	<200KW PV, PON 2112 NY SUN	5,632	
Raj Technologies Inc.	5/26/2022	NYSERDA ADMINISTRATION, Private Cloud Hosting	1,345,963
Rak 1 Solar LLC	5/26/2022	NY-SUN, NY-Sun - ICSA	1,039,738
Rak 2 Solar LLC	5/19/2022	NY-SUN, NY-Sun - ICSA	728,006
Randstad North America, Inc.	4/6/2022	NEW YORK GREEN BANK, Payroll Services_NYGB_intern	5,880
	5/3/2022	NYSERDA ADMINISTRATION, PS TWO #62 - GA_Intern	14,089
		NYSERDA ADMINISTRATION, PS.067 - Innovation_Intern	8,288
		NYSERDA ADMINISTRATION, PS.068 - Office of CIO_Intern	21,548
	5/16/2022	NYSERDA ADMINISTRATION, PS TWO #66 - HR_Intern	12,431
	6/1/2022	Informat. Products & Brokering, PS TWO #65 - AES_Intern	21,548
	6/6/2022	Clean Energy Communities, Payroll Services - Communities	143,013
	6/10/2022	NYSERDA ADMINISTRATION, PS TWO #67 - SO Coordinator	186,089
	6/15/2022	NYSERDA ADMINISTRATION, PS.067 - Innovation_Intern	5,801
	7/25/2022	NYSERDA ADMINISTRATION, Payroll Services	57,038
		NYSERDA ADMINISTRATION, Payroll Services_Web Ops	63,375
	8/24/2022	Informat. Products & Brokering, PS TWO #68 - AES Intern	10,343
	8/26/2022	NYSERDA ADMINISTRATION, TWO #69 - CPS_Intern	8,619
	9/7/2022	Capital Planning, PS TWO #70 - Multifamily Sr.PM	214,695
	9/12/2022	NYSERDA ADMINISTRATION, TWO #71 - IT_Intern	20,280
9/14/2022	Home Perf w Energy Star, Payroll Services_EAE	115,830	
9/20/2022	NYSERDA ADMINISTRATION, Payroll Services_SS APM	218,010	
9/28/2022	NEW YORK GREEN BANK, TWO #72 - NYGB_Intern	20,280	



## Contracts Executed

Period 4/1/2022 through 9/30/2022

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Regional Economic Models, Inc	7/13/2022	ENERGY ANALYSIS, REMI License and Fee 2022	44,000
Regional Greenhouse Gas Initiative, Inc.	6/20/2022	ENERGY ANALYSIS, RGGI 2022 Funding Agreement	631,704
ReneSola Power Holdings, LLC	7/11/2022	>200KW PV, NY Sun	471,415
	8/11/2022	NY-SUN, NY-Sun ESFA	230,441
Renovus Energy, Inc.	4/29/2022	<200KW PV, PON 2112 NY SUN	5,320
	5/3/2022	<200KW PV, NY-Sun	11,152
	5/26/2022	<200KW PV, PON 2112 NY SUN	6,560
	6/3/2022	<200KW PV, PON 2112 NY SUN	9,020
	6/15/2022	<200KW PV, PON 2112 NY SUN	5,320
	6/17/2022	<200KW PV, PON 2112 NY SUN	6,988
	7/18/2022	<200KW PV, PON 2112 NY SUN	5,904
	7/28/2022	<200KW PV, PON 2112 NY SUN	8,208
	7/29/2022	<200KW PV, PON 2112 NY SUN	5,460
	8/10/2022	<200KW PV, NY-Sun	6,560
	8/15/2022	<200KW PV, PON 2112 NY SUN	5,472
	8/16/2022	<200KW PV, PON 2112 NY SUN	10,640
	9/20/2022	<200KW PV, NY-Sun	11,340
	9/29/2022	<200KW PV, PON 2112 NY SUN	16,112
Reos US Inc.	7/22/2022	Empire Building Challenge, EBC Cohort2 Onboarding Support	50,000
REpower, LLC	9/2/2022	>200KW PV, PON 2112 NY SUN	62,208
Research Foundation of CUNY	7/5/2022	Environmental Research, PON 4895	339,297
Residences At West Hills Country Club,..	4/1/2022	New Construction Housing, NCP Housing	94,800
Resilience Education Training and Inno..	8/5/2022	Talent Pipeline:CE and OJT, PON3981 Round 12	430,120
Resource Innovation Institute	5/3/2022	Prof & Expert Engagement, 2022 RII Membership	25,000
Resource Refocus LLC	4/22/2022	Code to Zero, TWO 2 NYStretch Res CE	17,961
Resources for the Future Inc	8/22/2022	ENERGY ANALYSIS, TWO #3 Carbon Pricing Regime	135,189
Ripley PV LLC	8/5/2022	>200KW PV, NY Sun	948,012
		NY-SUN, NY Sun	442,406
Rise to Equity Excellence, LLC	5/27/2022	NYSERDA ADMINISTRATION, DEI Training Plan	114,240
Robert Ettinger PE, PC	7/8/2022	HCR Direct Injection, HCR General Project Support	50,000
Rochester Civic Housing, Inc.	7/6/2022	New Construction Housing, NCP Housing	77,000
	7/8/2022	New Construction Housing, NCP Housing	24,000
Rochester Housing Authority	7/6/2022	Single Family New Construction, NCP Housing	2,500
	7/15/2022	New Construction Housing, NCP Housing	8,500
Rochester Institute of Technology	8/5/2022	Cleantech Incubator, PON3413 Clean Energy Incubator	290,000
	9/7/2022	New Construction- Commercial, Commercial New Construction	6,353
Rockabill Devlopment LLC	6/23/2022	New Construction Housing, NCP Housing	248,000
Rocky Mountain Institute	8/12/2022	Empire Building Challenge, Empire Bldg. Challenge - RMI	17,500
		NYCH: Empire Build Challenge, Empire Bldg. Challenge - RMI	17,500
Ruffalo Appliance	4/29/2022	NYCH: Talent Ppln:CE and OJT, OJT	9,120
	6/30/2022	NYCH: Talent Ppln:CE and OJT, OJT David McKee	9,120
Rural Generation & Wind (Rodney Weaver)	7/1/2022	<200KW PV, PON 2112 NY SUN	12,450
	7/6/2022	<200KW PV, PON 2112 NY SUN	7,470
RXR Realty LLC	5/11/2022	On-Site Energy Manager, OsEM84-M - RXR Realty	214,000
S&P Global Market Intelligence, Inc.	5/16/2022	NEW YORK GREEN BANK, S&P CapIQ Pro Subscription	39,000
SafariNY Corp.	8/24/2022	OJT	10,560
		Talent Pipeline:CE and OJT, OJT	23,040
	9/19/2022	OJT	15,360
Sandra Meier	9/19/2022	Environmental Research, Science Advisor	48,000
SANFILIPPO SOLUTIONS INC.	6/30/2022	Talent Pipeline:CE and OJT, OJT Allyson Bankowski	5,760
	8/2/2022	Talent Pipeline:CE and OJT, OJT	5,760
	9/9/2022	NYCH: Talent Ppln:CE and OJT, OJT	6,400
Saratoga Solar III, LLC	7/14/2022	>200KW PV, NY Sun	773,491
		NY-SUN, NY Sun	318,497
Schofield Solar LLC	9/12/2022	>200KW PV, NY Sun	975,645
		NY-SUN, NY Sun	455,301

## Contracts Executed

Period 4/1/2022 through 9/30/2022

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Schuyler-Steuben-Chemung	8/23/2022	>200KW PV, NY Sun	696,150
Scinta Solar LLC	7/28/2022	>200KW PV, NY Sun	1,097,147
		NY-SUN, NY Sun	451,767
SDF East 243rd Street Housing Develop..	8/26/2022	Direct Injection Program, Samaritan TAP Electrification	1,000,000
SEA Electric LLC	7/8/2022	CLEAN TRANSPORTATION, NYTVIP - Mendon Truck Leasing	220,000
	9/28/2022	CLEAN TRANSPORTATION, NYTVIP Quincy Asian Resources	96,040
Seaboard Solar Holdings LLC	7/14/2022	>200KW PV, NY Sun	818,688
		NY-SUN, NY Sun	382,055
	7/19/2022	>200KW PV, NY Sun	1,823,286
		NY-SUN, NY Sun	799,927
	7/20/2022	>200KW PV, NY Sun	1,016,964
		NY-SUN, NY Sun	474,583
7/28/2022	>200KW PV, NY Sun	2,169,522	
SecondMuse LLC	7/28/2022	M-Corps, MCorps Pilot in NYC	550,000
Selkirk Solar, LLC	8/16/2022	>200KW PV, NY Sun	1,157,597
		NY-SUN, NY Sun	476,659
Seneca Gardens Solar, LLC	7/20/2022	>200KW PV, NY Sun	1,047,969
		NY-SUN, NY Sun	489,052
Setpoint AI Inc	8/31/2022	NYCH: Talent Ppln:CE and OJT, OJT	12,000
Seviar Solar, LLC	8/16/2022	>200KW PV, NY Sun	1,044,799
		NY-SUN, NY Sun	430,212
SG Onedia PV LLC	8/11/2022	NY-SUN, NY-Sun ESFA	749,960
Shared Mobility, Inc.	6/24/2022	Talent Pipeline:CE and OJT, CJF PON 4772 Round 2	40,000
Sherburne DG, LLC	4/7/2022	New Construction Housing, NCP Housing	24,000
SHI, Inc.	5/3/2022	NYSERDA ADMINISTRATION, Surface Laptop 4 laptops - 5	7,610
	6/3/2022	NYSERDA ADMINISTRATION, Adobe Acrobat.Creative license	65,771
	8/11/2022	NYSERDA ADMINISTRATION, Monitors - 20	6,608
	8/29/2022	NYSERDA ADMINISTRATION, Microsoft Surface Laptop 4 - 5	7,502
	9/12/2022	NYSERDA ADMINISTRATION, Tenable License 1 year	41,484
Sigora Solar	4/18/2022	<200KW PV, PON 2112 NY SUN	7,600
	4/19/2022	<200KW PV, PON 2112 NY SUN	225
	5/13/2022	<200KW PV, PON 2112 NY SUN	6,753
	6/22/2022	<200KW PV, PON 2112 NY SUN	420
	6/24/2022	<200KW PV, PON 2112 NY SUN	12,000
	6/27/2022	<200KW PV, PON 2112 NY SUN	600
	6/28/2022	<200KW PV, PON 2112 NY SUN	7,800
Simply Home Performance	4/5/2022	WORKFORCE DEVELOPMENT, OJT	9,600
	8/24/2022	NYCH: Talent Ppln:CE and OJT, OJT	7,680
Simply Installs LLC	6/30/2022	NYCH: Talent Ppln:CE and OJT, OJT	15,360
		NYCH: Talent Ppln:CE and OJT, OJT Daniel Luckman	11,520
	7/1/2022	NYCH: Talent Ppln:CE and OJT, OJT	11,520
	8/2/2022	NYCH: Talent Ppln:CE and OJT, OJT	11,520
	9/9/2022	NYCH: Talent Ppln:CE and OJT, OJT	11,520
Sive Paget & Riesel PC	4/26/2022	NEW YORK GREEN BANK, RFP 12: NYGB Legal Services	64,637
	5/10/2022	OTHER PROGRAM AREA, TWO 2 - Antitrust Federal Proc	5,000
	5/12/2022	NEW YORK GREEN BANK, RFP 12: NYGB Legal Services	64,092
	5/20/2022	BR: Program Implementation, TWO 3 - Build Ready Auction	100,000
	7/8/2022	NEW YORK GREEN BANK, RFP 12: NYGB Legal Services	49,470
	8/8/2022	REC:CES REC System Dev Costs, TWO #4 - Standard Form A..	40,000
	9/9/2022	NEW YORK GREEN BANK, RFP 12: NYGB Legal Services	192,637
	9/22/2022	RFP 12: NYGB Legal Services	5,934
	7/26/2022	OTHER PROGRAM AREA, RPAS procurement	40,510
Skyline Solar Inc.	4/4/2022	<200KW PV, PON 2112 NY SUN	12,758
	4/26/2022	<200KW PV, PON 2112 NY SUN	49,438
	7/20/2022	<200KW PV, PON 2112 NY SUN	6,160

## Contracts Executed

Period 4/1/2022 through 9/30/2022

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Skyline Solar Inc.	9/29/2022	<200KW PV, PON 2112 NY SUN	5,280
SL Fredonia, LLC	7/19/2022	>200KW PV, NY Sun	940,032
		NY-SUN, NY Sun	438,682
SL Portland Community, LLC	7/14/2022	>200KW PV, NY Sun	842,400
		NY-SUN, NY Sun	393,120
	8/5/2022	>200KW PV, NY Sun	786,240
		NY-SUN, NY Sun	366,912
SL Sherman LLC	7/20/2022	>200KW PV, NY Sun	967,980
		NY-SUN, NY Sun	451,724
SL Shermn II, LLC	8/5/2022	>200KW PV, NY Sun	978,120
		NY-SUN, NY Sun	456,456
Smith Engineering PLLC	4/20/2022	Technical Services, FT14151 - 3000 Vesey - FTC	65,344
	5/26/2022	NYCH: District, Brookfield Place	100,000
	6/27/2022	Technical Services, FT14264 - 383 Madison - FTC	96,843
Snug Planet, LLC	4/29/2022	OJT	5,760
Social Enterprise and Training Center	4/25/2022	NYCH: Talent Ppln:CE and OJT, Career Pathway HP PON4463..	550,000
Software People, Inc.	8/24/2022	OTHER PROGRAM AREA, TWO1 ASANA PM - Karle Mendez	139,920
Sol Developments, LLC	6/30/2022	HCR Direct Injection, HCR General Project Support	50,000
Solar and Wind FX, Inc. (Chris Schaefer)	7/6/2022	<200KW PV, PON 2112 NY SUN	12,500
	9/16/2022	<200KW PV, PON 2112 NY SUN	7,392
Solar Liberty Energy Systems, Inc	4/4/2022	<200KW PV, PON 2112 NY SUN	7,560
	4/6/2022	<200KW PV, PON 2112 NY SUN	36,960
	4/7/2022	<200KW PV, PON 2112 NY SUN	12,420
	4/22/2022	<200KW PV, PON 2112 NY SUN	16,779
	4/29/2022	<200KW PV, PON 2112 NY SUN	189
	5/6/2022	<200KW PV, PON 2112 NY SUN	16,920
	5/10/2022	<200KW PV, PON 2112 NY SUN	9,000
	5/13/2022	<200KW PV, PON 2112 NY SUN	6,300
	5/24/2022	<200KW PV, PON 2112 NY SUN	300
	5/26/2022	<200KW PV, PON 2112 NY SUN	55
	6/1/2022	<200KW PV, PON 2112 NY SUN	7,380
	6/3/2022	<200KW PV, PON 2112 NY SUN	46,165
	6/8/2022	<200KW PV, PON 2112 NY SUN	6,160
	6/9/2022	<200KW PV, PON 2112 NY SUN	21,420
	6/10/2022	<200KW PV, PON 2112 NY SUN	5,800
	6/13/2022	<200KW PV, NY-Sun	8,352
	6/15/2022	<200KW PV, PON 2112 NY SUN	17,000
	6/16/2022	<200KW PV, PON 2112 NY SUN	7,000
	6/17/2022	<200KW PV, PON 2112 NY SUN	28,400
	6/21/2022	<200KW PV, PON 2112 NY SUN	27,620
	6/22/2022	<200KW PV, PON 2112 NY SUN	7,200
	6/23/2022	<200KW PV, PON 2112 NY SUN	8,000
	6/27/2022	<200KW PV, PON 2112 NY SUN	7,176
	6/28/2022	<200KW PV, PON 2112 NY SUN	5,575
	6/30/2022	<200KW PV, PON 2112 NY SUN	6,800
	7/6/2022	<200KW PV, PON 2112 NY SUN	5,600
	7/8/2022	<200KW PV, PON 2112 NY SUN	5,220
	7/18/2022	<200KW PV, PON 2112 NY SUN	9,920
	7/21/2022	<200KW PV, PON 2112 NY SUN	11,200
	7/22/2022	<200KW PV, PON 2112 NY SUN	5,760
	7/28/2022	<200KW PV, PON 2112 NY SUN	11,680
	8/2/2022	<200KW PV, PON 2112 NY SUN	7,344
	8/3/2022	<200KW PV, PON 2112 NY SUN	14,940
	8/5/2022	<200KW PV, PON 2112 NY SUN	6,400
	8/10/2022	<200KW PV, PON 2112 NY SUN	160
	8/22/2022	<200KW PV, PON 2112 NY SUN	10,710

## Contracts Executed

Period 4/1/2022 through 9/30/2022

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Solar Liberty Energy Systems, Inc	8/24/2022	<200KW PV, PON 2112 NY SUN	5,280
	9/1/2022	<200KW PV, PON 2112 NY SUN	8,160
	9/9/2022	<200KW PV, PON 2112 NY SUN	5,270
	9/13/2022	<200KW PV, PON 2112 NY SUN	7,480
	9/14/2022	<200KW PV, PON 2112 NY SUN	25,036
	9/20/2022	<200KW PV, NY-Sun	35,200
	9/27/2022	<200KW PV, PON 2112 NY SUN	6,460
	9/28/2022	<200KW PV, PON 2112 NY SUN	7,990
	9/29/2022	<200KW PV, PON 2112 NY SUN	10,540
SolarCommunities Inc.	4/7/2022	<200KW PV, PON 2112 NY SUN	5,900
	4/8/2022	<200KW PV, PON 2112 NY SUN	7,830
	4/20/2022	<200KW PV, PON 2112 NY SUN	17,735
	5/5/2022	<200KW PV, PON 2112 NY SUN	6,525
	5/9/2022	<200KW PV, PON 2112 NY SUN	7,830
	5/10/2022	<200KW PV, PON 2112 NY SUN	6,650
	5/16/2022	<200KW PV, PON 2112 NY SUN	10,005
	5/18/2022	<200KW PV, PON 2112 NY SUN	7,790
	5/26/2022	<200KW PV, PON 2112 NY SUN	5,828
	6/2/2022	<200KW PV, PON 2112 NY SUN	5,700
	6/7/2022	<200KW PV, PON 2112 NY SUN	24,843
	6/8/2022	<200KW PV, PON 2112 NY SUN	7,220
	6/9/2022	<200KW PV, PON 2112 NY SUN	14,630
	6/10/2022	<200KW PV, PON 2112 NY SUN	9,563
	6/13/2022	<200KW PV, PON 2112 NY SUN	11,820
	6/14/2022	<200KW PV, PON 2112 NY SUN	23,000
	6/15/2022	<200KW PV, PON 2112 NY SUN	10,560
	6/17/2022	<200KW PV, PON 2112 NY SUN	20,320
	6/21/2022	<200KW PV, PON 2112 NY SUN	6,248
	6/22/2022	<200KW PV, PON 2112 NY SUN	5,975
	6/23/2022	<200KW PV, PON 2112 NY SUN	23,255
	6/24/2022	<200KW PV, PON 2112 NY SUN	25,295
	6/27/2022	<200KW PV, PON 2112 NY SUN	5,000
	6/29/2022	<200KW PV, PON 2112 NY SUN	10,070
	7/1/2022	<200KW PV, PON 2112 NY SUN	7,128
	7/5/2022	<200KW PV, PON 2112 NY SUN	10,500
	7/8/2022	<200KW PV, PON 2112 NY SUN	62,683
	7/12/2022	<200KW PV, PON 2112 NY SUN	6,320
	7/18/2022	<200KW PV, PON 2112 NY SUN	10,000
	7/20/2022	<200KW PV, PON 2112 NY SUN	17,325
	8/9/2022	<200KW PV, PON 2112 NY SUN	8,820
	8/16/2022	<200KW PV, PON 2112 NY SUN	2,622
8/17/2022	<200KW PV, PON 2112 NY SUN	12,915	
8/25/2022	<200KW PV, PON 2112 NY SUN	6,200	
9/7/2022	<200KW PV, PON 2112 NY SUN	5,120	
9/28/2022	<200KW PV, NY-Sun	9,048	
Solitude Solar LLC	8/16/2022	>200KW PV, NY Sun	1,122,660
SOLSTICE INITIATIVE, INC.	9/26/2022	NY-SUN, Community Solar in Buffalo	200,000
SRE Arlington, LLC	9/20/2022	ESTOR:Retail Storage Incentive, Retail Storage	4,447,200
SRE Littlefield, LLC	9/20/2022	ESTOR:Retail Storage Incentive, Retail Storage	4,447,200
SSC Kirkland LLC	8/16/2022	>200KW PV, NY Sun	1,274,574
		NY-SUN, NY Sun	524,825
Stantec Consulting Services, Inc.	6/15/2022	WEST VALLEY DEVELOPMENT PROGRAM, WVSMP ENV. S..	35,142
Steed Energy LLC	5/26/2022	<200KW PV, PON 2112 NY SUN	7,560
	7/6/2022	<200KW PV, PON 2112 NY SUN	5,400
Steelfields Solar 2, LLC	8/1/2022	>200KW PV, NY Sun	2,067,200
		NY-SUN, NY Sun	452,200

**Contracts Executed**  
**Period 4/1/2022 through 9/30/2022**

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Steelfields Solar, LLC	8/3/2022	>200KW PV, NY Sun	2,054,080
		NY-SUN, NY Sun	449,330
Steven Winter Associates, Inc.	4/4/2022	Code to Zero, NYStretch 2023 Working Group	29,216
	4/11/2022	Talent Pipeline:CE and OJT, PON3981 Round 10	209,703
	4/21/2022	Technical Services, FT14114 - 10 W 15th - FTC	42,000
	5/9/2022	Technical Services, FT14101 - 104-20 68th - FTC	19,125
		Technical Services, FT14102 - Mainstay Co-op - FTC	19,125
	5/16/2022	Technical Services, FT14064 - 372 CPW - FTC	30,000
		Technical Services, FT14065 - 43 W 61st - FTC	30,000
	7/13/2022	Technical Services, FT13712 - 150 E. 61st - FTC	5,000
	7/18/2022	Technical Services, FT14113 - 145 Nassau - FTC	11,150
	7/21/2022	NYCH: Technical Assistance, FT13667 - 225 Fifth - FTC	3,550
	7/22/2022	Multifam New Construction, New Construction	9,999
		Real Time Enrgy Management, SWA-8241 Parsons Blvd- RTEM	57,539
	7/28/2022	Technical Services, FT14270 - 360 Furman - FTC	61,125
8/11/2022	Empire Building Challenge, EBC COHORT 2 TA CONTRACT S..	67,000	
	NYCH: Empire Build Challenge, EBC COHORT 2 TA CONTRA..	33,000	
Strada Collaborative, Inc.	7/28/2022	K-12 SCHOOLS, Roadtrip Nation	750,000
		NYCH: Talent Ppln:CE and OJT, Roadtrip Nation	227,000
		Talent Pipeline:CE and OJT, Roadtrip Nation	20,000
STRATCO PROPERTY GROUP INC	4/5/2022	NYCH: Talent Ppln:CE and OJT, OJT	19,440
	5/30/2022	NYCH: Talent Ppln:CE and OJT, OJT	11,520
	7/1/2022	NYCH: Talent Ppln:CE and OJT, OJT Sumaiya Rahman	9,600
	8/29/2022	NYCH: Talent Ppln:CE and OJT, OJT	18,000
Suite Advice LLC	8/2/2022	NYSERDA ADMINISTRATION, HR Coaching/Advisory Services	50,000
Sun Source Technologies	5/2/2022	<200KW PV, PON 2112 NY SUN	8,880
	5/3/2022	<200KW PV, PON 2112 NY SUN	13,105
	5/10/2022	<200KW PV, PON 2112 NY SUN	16,095
	5/13/2022	<200KW PV, PON 2112 NY SUN	5,180
	5/19/2022	<200KW PV, PON 2112 NY SUN	23,153
	5/26/2022	<200KW PV, PON 2112 NY SUN	5,550
	6/3/2022	<200KW PV, PON 2112 NY SUN	18,315
	6/7/2022	<200KW PV, PON 2112 NY SUN	5,550
	6/15/2022	<200KW PV, PON 2112 NY SUN	12,500
	6/24/2022	<200KW PV, PON 2112 NY SUN	6,400
	7/28/2022	<200KW PV, PON 2112 NY SUN	23,725
	8/10/2022	<200KW PV, PON 2112 NY SUN	25,715
	8/15/2022	<200KW PV, NY-Sun	5,328
		<200KW PV, PON 2112 NY SUN	14,650
	8/16/2022	<200KW PV, PON 2112 NY SUN	5,600
	8/17/2022	<200KW PV, PON 2112 NY SUN	31,234
	8/18/2022	<200KW PV, PON 2112 NY SUN	12,500
8/19/2022	<200KW PV, PON 2112 NY SUN	17,820	
9/2/2022	<200KW PV, PON 2112 NY SUN	5,032	
9/13/2022	<200KW PV, PON 2112 NY SUN	22,274	
9/27/2022	<200KW PV, PON 2112 NY SUN	5,320	
SuNation Solar Systems, Inc.	4/7/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	4/26/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	5/6/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	5/9/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	5/16/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	5/18/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	5/24/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	6/2/2022	ENERGY STORAGE, PON 2112 NY SUN	12,500
	6/6/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	6/7/2022	ENERGY STORAGE, PON 2112 NY SUN	12,500

**Contracts Executed**  
**Period 4/1/2022 through 9/30/2022**

<b>Contractor</b>	<b>Date Encumbered</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>SuNation Solar Systems, Inc.</b>	6/9/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	6/27/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	7/6/2022	>200KW PV, PON 2112 NY SUN	13,288
	7/8/2022	ENERGY STORAGE, PON 2112 NY SUN	18,750
	7/12/2022	ENERGY STORAGE, PON 2112 NY SUN	12,500
	7/13/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	8/9/2022	ENERGY STORAGE, PON 2112 NY SUN	25,000
	8/12/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	9/12/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	9/13/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	9/14/2022	COMMUNITY SOLAR, PON 2112 NY SUN	8,910
	9/22/2022	ENERGY STORAGE, PON 2112 NY SUN	12,500
	<b>Sundog Solar, Inc.</b>	9/13/2022	<200KW PV, PON 2112 NY SUN
<b>Sunkeeper Solar LLC</b>	7/20/2022	<200KW PV, NY-Sun	15,264
		>200KW PV, NY-Sun	45,792
		>200KW PV, PON 2112 NY SUN	48,960
	7/21/2022	>200KW PV, PON 2112 NY SUN	63,968
	9/9/2022	>200KW PV, PON 2112 NY SUN	833,366
	9/20/2022	>200KW PV, PON 2112 NY SUN	26,832
	9/27/2022	>200KW PV, PON 2112 NY SUN	54,180
<b>Sunnova Energy Corp</b>	4/18/2022	<200KW PV, PON 2112 NY SUN	5,244
	5/19/2022	<200KW PV, PON 2112 NY SUN	6,200
	7/6/2022	<200KW PV, PON 2112 NY SUN	8,000
	7/28/2022	<200KW PV, PON 2112 NY SUN	5,000
	7/29/2022	<200KW PV, PON 2112 NY SUN	5,200
<b>Sunny Knoll Farms</b>	4/6/2022	Anaerobic Digesters, PON 3739 CAT C	328,000
<b>SunPower Capital, LLC</b>	4/1/2022	<200KW PV, PON 2112 NY SUN	7,260
	4/5/2022	<200KW PV, PON 2112 NY SUN	5,950
	4/7/2022	<200KW PV, PON 2112 NY SUN	12,500
	4/8/2022	<200KW PV, PON 2112 NY SUN	6,300
	4/11/2022	<200KW PV, NY-Sun	10,368
	4/13/2022	<200KW PV, PON 2112 NY SUN	11,970
	4/18/2022	<200KW PV, NY-Sun	6,336
		<200KW PV, PON 2112 NY SUN	6,120
	4/19/2022	<200KW PV, PON 2112 NY SUN	16,965
	4/20/2022	<200KW PV, PON 2112 NY SUN	13,320
	4/22/2022	<200KW PV, PON 2112 NY SUN	5,760
	4/29/2022	<200KW PV, PON 2112 NY SUN	5,940
	5/3/2022	<200KW PV, PON 2112 NY SUN	5,873
	5/5/2022	<200KW PV, NY-Sun	6,048
		<200KW PV, PON 2112 NY SUN	6,743
	5/6/2022	<200KW PV, PON 2112 NY SUN	9,775
	5/13/2022	<200KW PV, PON 2112 NY SUN	12,880
	5/16/2022	<200KW PV, PON 2112 NY SUN	5,400
	5/17/2022	<200KW PV, PON 2112 NY SUN	5,738
	5/19/2022	<200KW PV, PON 2112 NY SUN	6,840
	5/23/2022	<200KW PV, PON 2112 NY SUN	10,200
	5/24/2022	<200KW PV, PON 2112 NY SUN	15,513
	5/25/2022	<200KW PV, PON 2112 NY SUN	10,340
	5/27/2022	<200KW PV, PON 2112 NY SUN	18,540
	6/1/2022	<200KW PV, PON 2112 NY SUN	6,800
6/2/2022	<200KW PV, PON 2112 NY SUN	7,013	
6/3/2022	<200KW PV, PON 2112 NY SUN	6,588	
6/8/2022	<200KW PV, PON 2112 NY SUN	9,870	
6/13/2022	<200KW PV, PON 2112 NY SUN	6,300	
6/21/2022	<200KW PV, PON 2112 NY SUN	19,240	

**Contracts Executed**  
**Period 4/1/2022 through 9/30/2022**

<b>Contractor</b>	<b>Date Encumbered</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>	
<b>SunPower Capital, LLC</b>	6/24/2022	<200KW PV, PON 2112 NY SUN	16,340	
	6/27/2022	<200KW PV, PON 2112 NY SUN	5,100	
	6/28/2022	<200KW PV, NY-Sun	16,704	
		<200KW PV, PON 2112 NY SUN	24,050	
	6/29/2022	<200KW PV, PON 2112 NY SUN	5,040	
	6/30/2022	<200KW PV, NY-Sun	6,048	
		<200KW PV, PON 2112 NY SUN	18,223	
	7/5/2022	<200KW PV, PON 2112 NY SUN	5,313	
	7/7/2022	<200KW PV, PON 2112 NY SUN	6,377	
	7/8/2022	<200KW PV, PON 2112 NY SUN	37,824	
	7/12/2022	<200KW PV, PON 2112 NY SUN	47,874	
	7/28/2022	<200KW PV, PON 2112 NY SUN	18,413	
	8/4/2022	<200KW PV, PON 2112 NY SUN	6,232	
	8/9/2022	<200KW PV, PON 2112 NY SUN	5,610	
	8/10/2022	<200KW PV, PON 2112 NY SUN	13,923	
	8/11/2022	<200KW PV, NY-Sun	7,140	
	8/12/2022	<200KW PV, PON 2112 NY SUN	5,101	
	8/15/2022	<200KW PV, NY-Sun	7,325	
		<200KW PV, PON 2112 NY SUN	12,460	
	8/16/2022	<200KW PV, PON 2112 NY SUN	5,270	
	8/17/2022	<200KW PV, PON 2112 NY SUN	23,112	
	8/31/2022	<200KW PV, PON 2112 NY SUN	9,180	
	9/2/2022	<200KW PV, PON 2112 NY SUN	14,356	
	9/6/2022	<200KW PV, PON 2112 NY SUN	10,506	
	9/12/2022	<200KW PV, PON 2112 NY SUN	5,780	
	9/19/2022	<200KW PV, PON 2112 NY SUN	5,232	
	9/26/2022	<200KW PV, PON 2112 NY SUN	8,502	
	9/27/2022	<200KW PV, PON 2112 NY SUN	5,904	
	9/28/2022	<200KW PV, PON 2112 NY SUN	5,312	
	<b>SunPower Corporation</b>	5/9/2022	NY-SUN, NY-Sun - ICSA	366,183
	<b>SUNRISE ELECTRICAL SERVICES</b>	4/18/2022	<200KW PV, PON 2112 NY SUN	36,467
4/27/2022		<200KW PV, PON 2112 NY SUN	34,655	
5/2/2022		<200KW PV, PON 2112 NY SUN	61,434	
5/4/2022		<200KW PV, NY-Sun	22,920	
5/6/2022		<200KW PV, NY-Sun	150,240	
5/11/2022		<200KW PV, NY-Sun	48,160	
		<200KW PV, PON 2112 NY SUN	26,334	
6/1/2022		>200KW PV, PON 2112 NY SUN	6,080	
6/28/2022		<200KW PV, PON 2112 NY SUN	85,936	
6/30/2022		<200KW PV, NY-Sun	91,217	
		<200KW PV, PON 2112 NY SUN	58,826	
7/20/2022		<200KW PV, PON 2112 NY SUN	990	
8/17/2022		>200KW PV, PON 2112 NY SUN	160,668	
9/13/2022		<200KW PV, NY-Sun	505,120	
<b>Sunrise Solar Solutions, LLC</b>	8/10/2022	<200KW PV, PON 2112 NY SUN	9,775	
	8/16/2022	>200KW PV, PON 2112 NY SUN	1,175,442	
	8/17/2022	>200KW PV, PON 2112 NY SUN	106,428	
<b>SunRun, Inc</b>	4/1/2022	<200KW PV, PON 2112 NY SUN	7,175	
	4/5/2022	<200KW PV, PON 2112 NY SUN	6,630	
	4/7/2022	<200KW PV, PON 2112 NY SUN	13,940	
	4/8/2022	<200KW PV, PON 2112 NY SUN	5,270	
	4/11/2022	<200KW PV, PON 2112 NY SUN	5,440	
	4/12/2022	<200KW PV, PON 2112 NY SUN	7,000	
	4/13/2022	<200KW PV, PON 2112 NY SUN	13,940	
	4/14/2022	<200KW PV, PON 2112 NY SUN	18,700	
	4/15/2022	<200KW PV, PON 2112 NY SUN	9,350	

**Contracts Executed**  
 Period 4/1/2022 through 9/30/2022

Contractor	Date Encumbered	Contract Description	Total Contract Amount
SunRun, Inc	4/18/2022	<200KW PV, PON 2112 NY SUN	8,160
	4/21/2022	<200KW PV, PON 2112 NY SUN	35,561
	4/22/2022	<200KW PV, PON 2112 NY SUN	13,203
	4/25/2022	<200KW PV, PON 2112 NY SUN	12,349
	4/26/2022	<200KW PV, PON 2112 NY SUN	7,725
	4/27/2022	<200KW PV, PON 2112 NY SUN	7,310
	4/28/2022	<200KW PV, PON 2112 NY SUN	21,264
	4/29/2022	<200KW PV, PON 2112 NY SUN	11,091
	5/2/2022	<200KW PV, PON 2112 NY SUN	5,289
	5/3/2022	<200KW PV, PON 2112 NY SUN	17,850
	5/4/2022	<200KW PV, PON 2112 NY SUN	13,677
	5/5/2022	<200KW PV, PON 2112 NY SUN	14,418
	5/9/2022	<200KW PV, PON 2112 NY SUN	18,933
	5/10/2022	<200KW PV, PON 2112 NY SUN	21,835
	5/11/2022	<200KW PV, PON 2112 NY SUN	11,261
	5/13/2022	<200KW PV, PON 2112 NY SUN	45,451
	5/17/2022	<200KW PV, PON 2112 NY SUN	6,175
	5/18/2022	<200KW PV, PON 2112 NY SUN	5,270
	5/19/2022	<200KW PV, PON 2112 NY SUN	18,360
	5/20/2022	<200KW PV, PON 2112 NY SUN	12,353
	5/23/2022	<200KW PV, PON 2112 NY SUN	18,207
	5/24/2022	<200KW PV, PON 2112 NY SUN	21,075
	5/25/2022	<200KW PV, PON 2112 NY SUN	30,582
	5/26/2022	<200KW PV, PON 2112 NY SUN	20,448
	6/2/2022	<200KW PV, PON 2112 NY SUN	25,330
	6/6/2022	<200KW PV, PON 2112 NY SUN	17,823
	6/7/2022	<200KW PV, PON 2112 NY SUN	11,182
	6/8/2022	<200KW PV, PON 2112 NY SUN	12,837
	6/9/2022	<200KW PV, PON 2112 NY SUN	5,289
	6/14/2022	<200KW PV, PON 2112 NY SUN	6,278
	6/17/2022	<200KW PV, PON 2112 NY SUN	6,278
	6/24/2022	<200KW PV, PON 2112 NY SUN	6,120
	6/27/2022	<200KW PV, PON 2112 NY SUN	5,525
	6/28/2022	<200KW PV, PON 2112 NY SUN	8,288
	7/5/2022	<200KW PV, PON 2112 NY SUN	13,082
	7/6/2022	<200KW PV, PON 2112 NY SUN	12,150
	7/7/2022	<200KW PV, PON 2112 NY SUN	5,580
	7/8/2022	<200KW PV, PON 2112 NY SUN	15,684
	7/12/2022	<200KW PV, PON 2112 NY SUN	13,260
	7/20/2022	<200KW PV, PON 2112 NY SUN	5,964
7/21/2022	<200KW PV, PON 2112 NY SUN	9,520	
7/28/2022	<200KW PV, PON 2112 NY SUN	13,328	
7/29/2022	<200KW PV, PON 2112 NY SUN	5,200	
8/2/2022	<200KW PV, PON 2112 NY SUN	5,694	
8/5/2022	<200KW PV, PON 2112 NY SUN	5,548	
8/8/2022	<200KW PV, PON 2112 NY SUN	5,184	
8/19/2022	<200KW PV, PON 2112 NY SUN	5,110	
8/22/2022	<200KW PV, PON 2112 NY SUN	5,589	
8/29/2022	<200KW PV, PON 2112 NY SUN	5,986	
9/13/2022	<200KW PV, PON 2112 NY SUN	22,046	
9/14/2022	<200KW PV, PON 2112 NY SUN	25,942	
9/22/2022	<200KW PV, PON 2112 NY SUN	5,440	
9/28/2022	<200KW PV, PON 2112 NY SUN	5,304	
<b>SUNY Upstate Medical University</b>	6/14/2022	New Construction- Commercial, Commercial New Construction	10,578
<b>Surf Clean Energy Inc</b>	4/7/2022	<200KW PV, NY-Sun	39,392
	4/15/2022	<200KW PV, PON 2112 NY SUN	2,664



**Contracts Executed**  
**Period 4/1/2022 through 9/30/2022**

<b>Contractor</b>	<b>Date Encumbered</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>Surf Clean Energy Inc</b>	5/18/2022	COMMUNITY SOLAR, NY-Sun	14,438
		ENERGY STORAGE, NY-Sun	15,600
	5/19/2022	<200KW PV, NY-Sun	88
	5/25/2022	COMMUNITY SOLAR, PON 2112 NY SUN	5,032
	5/26/2022	<200KW PV, NY-Sun	6,112
	6/1/2022	<200KW PV, NY-Sun	7,744
	6/22/2022	<200KW PV, NY-Sun	144
	7/20/2022	<200KW PV, PON 2112 NY SUN	17,592
	7/21/2022	<200KW PV, NY-Sun	6,720
	7/28/2022	<200KW PV, NY-Sun	7,040
		COMMUNITY SOLAR, NY-Sun	2,944
		ENERGY STORAGE, NY-Sun	4,800
	8/9/2022	<200KW PV, NY-Sun	8,500
	9/22/2022	COMMUNITY SOLAR, NY-Sun	7,132
		COMMUNITY SOLAR, PON 2112 NY SUN	12,480
	ENERGY STORAGE, NY-Sun	9,600	
<b>Sustainable Comfort, Inc</b>	4/14/2022	New Construction- Commercial, Commercial New Construction	5,000
	5/17/2022	OJT	7,693
	6/9/2022	Talent Pipeline:CE and OJT, OJT	9,846
	6/30/2022	Direct Injection Program, HCR General Project Support	10,000
	HCR Direct Injection, HCR General Project Support	40,000	
<b>Sustainable Energy Advantage, LLC</b>	7/22/2022	REC:CES REC System Dev Costs, TWO 1 - NYGATS Analysis	44,978
<b>Sustainable Energy Developments Inc.</b>	4/6/2022	<200KW PV, PON 2112 NY SUN	6,105
	4/7/2022	<200KW PV, PON 2112 NY SUN	5,735
	4/15/2022	<200KW PV, NY-Sun	73,100
	4/22/2022	<200KW PV, PON 2112 NY SUN	6,475
	4/25/2022	<200KW PV, PON 2112 NY SUN	7,400
	5/2/2022	<200KW PV, PON 2112 NY SUN	7,215
	5/4/2022	<200KW PV, PON 2112 NY SUN	15,540
	5/20/2022	<200KW PV, PON 2112 NY SUN	8,510
	5/27/2022	<200KW PV, PON 2112 NY SUN	10,360
	6/6/2022	<200KW PV, PON 2112 NY SUN	9,620
	6/7/2022	<200KW PV, PON 2112 NY SUN	7,030
	6/10/2022	<200KW PV, PON 2112 NY SUN	7,400
	6/13/2022	<200KW PV, PON 2112 NY SUN	7,400
	6/15/2022	<200KW PV, PON 2112 NY SUN	12,500
	6/17/2022	<200KW PV, PON 2112 NY SUN	13,572
	6/23/2022	<200KW PV, PON 2112 NY SUN	7,400
		Talent Pipeline:CE and OJT, OJT	8,640
	6/27/2022	<200KW PV, PON 2112 NY SUN	5,550
	6/29/2022	<200KW PV, PON 2112 NY SUN	19,900
	6/30/2022	<200KW PV, PON 2112 NY SUN	24,585
	7/1/2022	<200KW PV, PON 2112 NY SUN	8,140
	7/5/2022	<200KW PV, PON 2112 NY SUN	7,770
	7/7/2022	<200KW PV, PON 2112 NY SUN	24,635
	7/8/2022	<200KW PV, PON 2112 NY SUN	39,510
	7/12/2022	<200KW PV, PON 2112 NY SUN	41,255
	8/22/2022	<200KW PV, PON 2112 NY SUN	24,800
	8/30/2022	<200KW PV, PON 2112 NY SUN	6,216
8/31/2022	<200KW PV, PON 2112 NY SUN	5,032	
9/20/2022	<200KW PV, PON 2112 NY SUN	10,000	
9/23/2022	<200KW PV, PON 2112 NY SUN	5,032	
9/27/2022	<200KW PV, PON 2112 NY SUN	6,364	
<b>Sustainable Investment Group</b>	5/25/2022	Technical Services, FT14082 - 117 Grattan - FTC	10,500
	9/28/2022	Technical Services, FT14222 - 11 Times - FTC	17,475
<b>Sustainable Westchester</b>	4/19/2022	NYCH: Communities, CH&C Communities Round 3	100,000

## Contracts Executed

Period 4/1/2022 through 9/30/2022

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Sylvamo North America LLC	6/6/2022	CI Carbon Challenge, Sylvamo CICC Award Mod	1,193,336
Syracuse Bread Factory	6/8/2022	New Construction Housing, NCP Housing	92,000
		New Construction- Commercial, NCP Housing	53,400
Syracuse Community Health Center, Inc	8/8/2022	New Construction- Commercial, Commercial New Construction	110,800
Syracuse University	6/28/2022	Environmental Research, Fish Mercury Analysis	49,999
Tadcon Electric LLC	7/20/2022	>200KW PV, NY Sun	1,152,293
		NY-SUN, NY Sun	474,475
	7/28/2022	>200KW PV, NY Sun	2,500,570
		NY-SUN, NY Sun	1,029,648
8/15/2022	>200KW PV, NY Sun	1,129,088	
		NY-SUN, NY Sun	464,920
Taft Solar, LLC	6/16/2022	NY-SUN, NY-Sun - ICESA	441,693
Taitem Engineering, P.C.	4/8/2022	Direct Injection Program, Multifamily	146,000
		Low Carbon Tech Demos, Multifamily	100,000
		Retrofit NY, Multifamily	100,000
	4/25/2022	Technical Services, AEAP 1418 - Tuckers Black Angu	5,984
	5/16/2022	Technical Services, FT14193- 100-300 Woodcrest-FTC	23,502
	5/20/2022	Technical Services, FT14204 - 601 1st - FTC	6,976
	5/25/2022	Direct Injection Program, HCR Minibid TWO #1B Tailor Sq	22,500
		HCR Direct Injection, HCR Minibid TWO #1B Tailor Sq	52,500
	6/7/2022	Technical Services, AEAP#1344 - Sweet Grass Meats	1,273
	6/24/2022	Multifam Performance Pgm, 3695 TWO Umbrella Agreement	125,000
	7/5/2022	Direct Injection Program, HCR General Project Support	10,000
		HCR Direct Injection, HCR General Project Support	40,000
	7/28/2022	New Construction- Commercial, Commercial New Construction	24,465
8/24/2022	NYCH: District, Ithaca Southside	99,984	
9/26/2022	NYCH: District, Urban Village	112,352	
Talisen Technologies, Inc	4/29/2022	RTEM and Tenants, Energy Mangt Data_Tech Supp	600,000
TAP, Inc.	6/30/2022	Talent Pipeline:CE and OJT, CJF PON 4772 (R2)	40,000
Target Corporation	8/16/2022	>200KW PV, NY Sun	1,275,000
Tarrytown Partners LLC	8/25/2022	Environmental Research, State of the Science 2022	14,000
Taylor Group LTD	8/18/2022	NYSERDA ADMINISTRATION, Production of displays	2,429
		OTHER PROGRAM AREA, Production of displays	2,917
TBL Building Sciences, LLC	6/8/2022	OJT	23,040
Tech Valley Talent, LLC	5/27/2022	NYSERDA ADMINISTRATION, TWO # 19 Tableau Dev. C.Safe..	175,500
		NYSERDA ADMINISTRATION, TWO # 20 Salesforce BA.	195,520
	7/12/2022	NYSERDA ADMINISTRATION, TWO #21 Salesforce Dev. Mag..	203,840
	8/16/2022	NYSERDA ADMINISTRATION, TWO #22 Software QA - Adnan	130,000
	8/22/2022	NYSERDA ADMINISTRATION, TWO #11 Info Security Services	204,750
	9/1/2022	NYSERDA ADMINISTRATION, TWO #23 Software QA Shaun H	130,000
	9/2/2022	NYSERDA ADMINISTRATION, TWO #12 Project Mgr GIS, Brad	181,350
	9/6/2022	NYSERDA ADMINISTRATION, TWO #14 Salesforce BA.- Robl..	218,400
9/7/2022	NYSERDA ADMINISTRATION, TWO # 24 Server Ops Ahmed ..	185,250	
Technology Professionals Group Inc.	5/16/2022	NYSERDA ADMINISTRATION, TWO # 2 Microsoft Architect	24,800
	8/11/2022	NYSERDA ADMINISTRATION, TWO 3 Sr. SharePoint Dev.	191,100
	9/26/2022	NYSERDA ADMINISTRATION, TWO #1 Salesforce PM Kerollos	224,250
Tenley Consulting, LLC	7/6/2022	REC:CES REC System Dev Costs, Electric Price Forecasting	48,000
Tern Construction & Development, LLC	6/30/2022	New Construction Housing, NCP Housing	75,000
Tesla Energy Operations Inc	4/5/2022	<200KW PV, PON 2112 NY SUN	14,648
	4/15/2022	<200KW PV, PON 2112 NY SUN	13,667
	4/18/2022	<200KW PV, PON 2112 NY SUN	8,160
	5/10/2022	<200KW PV, PON 2112 NY SUN	6,120
	5/16/2022	<200KW PV, PON 2112 NY SUN	20,500
	5/17/2022	<200KW PV, PON 2112 NY SUN	5,160
	5/24/2022	<200KW PV, PON 2112 NY SUN	7,013
5/27/2022	<200KW PV, PON 2112 NY SUN	8,000	

**Contracts Executed**  
**Period 4/1/2022 through 9/30/2022**

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Tesla Energy Operations Inc	6/3/2022	<200KW PV, PON 2112 NY SUN	8,160
	6/15/2022	<200KW PV, PON 2112 NY SUN	17,556
	6/21/2022	<200KW PV, PON 2112 NY SUN	5,600
	7/6/2022	<200KW PV, PON 2112 NY SUN	6,000
	7/28/2022	<200KW PV, PON 2112 NY SUN	6,400
	7/29/2022	<200KW PV, PON 2112 NY SUN	11,701
	8/4/2022	<200KW PV, PON 2112 NY SUN	5,331
	8/10/2022	<200KW PV, PON 2112 NY SUN	5,760
	8/18/2022	<200KW PV, PON 2112 NY SUN	10,880
	8/22/2022	<200KW PV, PON 2112 NY SUN	7,200
	8/23/2022	<200KW PV, PON 2112 NY SUN	5,760
Tesla, Inc.	9/6/2022	Technical Services, FT14235 - 1339 South Park -PON	26,250
Tetra Tech Engineers, Architects and Lan	6/30/2022	HCR Direct Injection, HCR General Project Support	50,000
	7/12/2022	Technical Services, FT14259 - 2280 Frederick - FTC	11,243
The Bedford Place Condominium, LLC	6/23/2022	Low Carbon Tech Demos, Multifamily	281,650
The Business Council of NYS, Inc.	5/31/2022	Prof & Expert Engagement, 2022 Business Council Mmbrship	6,705
	7/28/2022	Prof & Expert Engagement, 2021 Business Council Mmbrship	6,705
The Cadmus Group, LLC	4/11/2022	Workforce Industry Partnership, Outreach & Education for BOM	599,987
	9/16/2022	Statewide EE&BE PotentialStudy, TWO 12 StWide Potential Stu..	100,000
The Coalition for Green Capital	4/19/2022	Prof & Expert Engagement, '22 American GB Consortium Mem	10,000
The Joint Ownership Entity New York C..	5/2/2022	Retrofit NY, PON 4062	1,386,000
The Plant Powerhouse LLC	5/27/2022	Net Zero Energy for Eco Dev, New Construction CNPD	2,000,000
The Research Foundation for SUNY	5/18/2022	Talent Pipeline:CE and OJT, PON3981 Round 12	323,156
The Research Foundation for the State	5/27/2022	Environmental Research, Mobile Lab Measurements of NYC	308,211
The Research Foundation of SUNY at B..	7/14/2022	Cleantech Incubator, Clean Energy Incubator	290,000
The Top Gun Group, LLC	4/18/2022	OJT	5,120
	8/31/2022	NYCH: Talent Ppln:CE and OJT, OJT	5,760
	9/19/2022	NYCH: Talent Ppln:CE and OJT, OJT	5,440
	9/26/2022	NYCH: Talent Ppln:CE and OJT, OJT	5,120
The Trustees of Columbia University	6/14/2022	Environmental Research, Attribution of anthro methane	494,450
	7/29/2022	NYCH: Industry Partnerships, CJF Support RFP 4976	400,000
		Talent Pipeline:CE and OJT, CJF Support RFP 4976	400,000
Thermal Associates, LLC	6/23/2022	NYCH: Talent Ppln:CE and OJT, OJT	9,600
	9/26/2022	NYCH: Talent Ppln:CE and OJT, OJT	13,440
Thermodynamix LLC	4/18/2022	NYCH: Talent Ppln:CE and OJT, OJT	15,360
	6/23/2022	NYCH: Talent Ppln:CE and OJT, OJT Jason Pilalo	10,080
ThunderCat Technology LLC	5/19/2022	NYSERDA ADMINISTRATION, Pyramid Consulting	315,066
	5/20/2022	NYSERDA ADMINISTRATION, Linchpin Theme - Smart Course	11,870
	6/9/2022	NYSERDA ADMINISTRATION, Cisco Umbrella - 1 year	18,634
	6/15/2022	NYSERDA ADMINISTRATION, Sitecore CMS License 2022-20..	83,419
	9/28/2022	NYSERDA ADMINISTRATION, Atlassian Licenses – Jira 2022	44,064
Ticon Solar, LLC	7/20/2022	>200KW PV, NY Sun	1,105,685
		NY-SUN, NY Sun	455,283
Timothy Marlett	9/19/2022	NYCH: Talent Ppln:CE and OJT, OJT	5,440
		Talent Pipeline:CE and OJT, OJT	5,440
Titanium Linx Consulting, Inc	7/15/2022	OREC: Technical Support, LSR and OSW Labor Liaison	266,000
TJA Clean Energy LLC	8/16/2022	>200KW PV, NY Sun	1,182,349
		NY-SUN, NY Sun	486,851
TJA NY 1454 CR 15 OSWEGATCHIE LLC	8/25/2022	NY-SUN, NY-Sun - ICSA	1,401,624
TJA-NY- 11202 Ridge Rd Medina, LLC	6/16/2022	NY-SUN, NY-Sun - ICSA	712,088
TJA-NY-1806 Perth Rd Galway, LLC	8/16/2022	>200KW PV, NY Sun	763,558
		NY-SUN, NY Sun	314,407
TJA-NY-10761 Buck Rd Remsen, LLC	6/16/2022	NY-SUN, NY-Sun - ICSA	490,032
TJA-NY-Barrett Rd New Woodstock, LLC	8/25/2022	NY-SUN, NY-Sun - ICSA	1,441,314
TJA-NY-Chestnut Ridge Rd Moravia, LLC	8/16/2022	>200KW PV, NY Sun	768,384
		NY-SUN, NY Sun	358,579

**Contracts Executed**  
**Period 4/1/2022 through 9/30/2022**

Contractor	Date Encumbered	Contract Description	Total Contract Amount
TJA-NY-Dix Solar Farm, LLC	8/16/2022	>200KW PV, NY Sun	889,766
		NY-SUN, NY Sun	366,375
TM Montante Solar Developments, LLC	7/11/2022	>200KW PV, NY Sun	734,400
	8/5/2022	>200KW PV, NY Sun	607,500
	8/18/2022	<200KW PV, NY-Sun	75,264
Tompkins Seneca Tioga BOCES	5/11/2022	NYCH: Talent Ppln:CE and OJT, Career Pathway HP PON 446..	72,927
Towers on the Hudson LLC	5/6/2022	Multifam Performance Pgm, Multifamily	13,400
		NYCH: LMI, Clean Heating & Cooling	469,000
Towerstream 1 Incorporated	5/24/2022	NYSERDA ADMINISTRATION, Circuit for NYC - Towerstream	1,200
Town of Brighton	5/23/2022	Code to Zero, PON 4600 Town of Brighton	75,000
Town of Carmel	6/6/2022	Code to Zero, PON 4600 Town of Carmel	50,000
Town of Clarkstown	6/17/2022	Clean Energy Communities, CEC510671- Town of Clarkstown	30,000
Town of Cortlandt	8/2/2022	Clean Energy Communities, CEC510632-Twn of Cortlandt	73,600
Town of Dryden	8/29/2022	Clean Energy Communities, CEC001238- Town of Dryden	6,600
Town of Greenburgh	5/12/2022	Clean Energy Communities, CEC510649-Twn of Greenburgh	15,000
Town of Mamaroneck	6/27/2022	Clean Energy Communities, CEC500645-Twn of Mamaroneck	20,000
	6/28/2022	Clean Energy Communities, CEC LR - Mamaroneck - EV \$10k	10,000
Town of Mount Morris	9/12/2022	Code to Zero, PON 4600 Mount Morris	125,000
Town of Ossining	6/20/2022	Code to Zero, PON 4600 Town of Ossining	250,000
Town of Rye	5/3/2022	Clean Energy Communities, CEC510695-Twn of Rye	15,000
Trane	5/18/2022	REV Campus Challenge, FT13549 - Lincoln Center - FTC	10,000
	6/3/2022	K-12 SCHOOLS, P12GC-56E - Livonia CSD - FTC	26,400
	6/24/2022	Real Time Enrgy Management, KingsTheater-1027Flatbush-RT..	16,250
	6/30/2022	Real Time Enrgy Management, Trane-65W54-RTEM	31,623
	8/22/2022	K-12 SCHOOLS, CGSI-2_E - Hancock CSD - FTC	33,186
Transect Inc.	6/15/2022	BR: Program Implementation, Transect Subscription	24,000
TRC Energy Services	4/13/2022	Nat'l OffShWind R&D Consortium, SA.090 - Innovation APM	327,212
	4/19/2022	Commercial New Construc, SA.040_TWO #16 - NC PM	18,533
		Low Rise New Construction, SA.040_TWO #16 - NC PM	22,239
		Multifam New Construction, SA.040_TWO #16 - NC PM	21,004
		New Construction Housing, SA.040_TWO #16 - NC PM	43,243
		New Construction- Commercial, SA.040_TWO #16 - NC PM	18,533
	6/3/2022	Tech Assistanc Multifamily LMI, SA.061_TWO#23 - Multifamily	153,062
		Technical Services, SA.061_TWO#23 - Multifamily	306,124
	7/15/2022	Housing Agencies Support, SA.095_TWO#30 - Multifamily_PM	348,737
	7/22/2022	Electric Vehicles - Innovation, SA.096_TWO#31-DER_Assistant..	238,859
		ESTOR: Implementation Support, SA.096_TWO#31-DER_Assis..	119,429
	7/28/2022	SA.096_TWO#31-DER_Assistant PM	119,429
		Cleantech Ignition, SA.063_TWO #22 - T2M	29,640
		Energy Storage Tech/Prod Dev, SA.063_TWO #22 - T2M	29,640
		High Performing Grid, SA.063_TWO #22 - T2M	29,640
		NYCH: Innovation, SA.063_TWO #22 - T2M	29,640
		Pub Transit & Elect Rail, SA.063_TWO #22 - T2M	29,640
8/30/2022	Low Carbon Tech Demos, Program Tool Services for MPP	25,000	
	Multifam Performance Pgm, Program Tool Services for MPP	25,000	
TRC Engineers, Inc.	4/29/2022	BR: Design, BR Benson Mines Engineering	61,550
	5/4/2022	Empire Building Challenge, TRC TWO Mini bid 4982 EBC	221,186
		EVALUATION, TRC TWO Mini bid 4982 EBC	61,017
		NYCH: Empire Build Challenge, TRC TWO Mini bid 4982 EBC	221,186
		Real Time Enrgy Management, TRC TWO Mini bid 4982 EBC	274,577
		RTEM and Tenants, TRC TWO Mini bid 4982 EBC	122,034
	7/14/2022	NYCH: Innovation, NextGen HVAC Innovation	513,500
	7/25/2022	Technical Services, FT14223 - 19 Roosevelt - FTC	43,300
	8/11/2022	NYCH: Supply Chain, Upstream Partners Initiative	5,000
	9/26/2022	NYCH: Supply Chain, Experience Clean Heat Campaign	1,400,000
Treau, Inc.	5/18/2022	NextGen HVAC, Window Heat Pump	715,742

**Contracts Executed**  
**Period 4/1/2022 through 9/30/2022**

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Tri State Solar Services	6/29/2022	<200KW PV, PON 2112 NY SUN	15,735
	8/15/2022	<200KW PV, PON 2112 NY SUN	8,295
Trinity Solar Inc	4/18/2022	<200KW PV, PON 2112 NY SUN	11,200
	4/21/2022	<200KW PV, PON 2112 NY SUN	17,944
	5/9/2022	<200KW PV, PON 2112 NY SUN	6,000
	5/10/2022	<200KW PV, PON 2112 NY SUN	14,400
	5/19/2022	<200KW PV, PON 2112 NY SUN	6,360
	5/23/2022	<200KW PV, PON 2112 NY SUN	13,200
	6/6/2022	<200KW PV, PON 2112 NY SUN	7,400
	6/30/2022	<200KW PV, PON 2112 NY SUN	42,600
	7/1/2022	<200KW PV, PON 2112 NY SUN	30,200
	8/11/2022	<200KW PV, PON 2112 NY SUN	8,600
	8/12/2022	<200KW PV, PON 2112 NY SUN	7,400
	8/24/2022	<200KW PV, PON 2112 NY SUN	5,440
	9/1/2022	<200KW PV, PON 2112 NY SUN	5,141
	9/2/2022	<200KW PV, PON 2112 NY SUN	5,760
	9/6/2022	<200KW PV, PON 2112 NY SUN	5,120
	9/7/2022	<200KW PV, PON 2112 NY SUN	5,280
	9/12/2022	<200KW PV, PON 2112 NY SUN	7,680
	9/14/2022	<200KW PV, PON 2112 NY SUN	5,120
	9/16/2022	<200KW PV, PON 2112 NY SUN	30,080
	9/28/2022	<200KW PV, PON 2112 NY SUN	7,520
True Energy Solutions	4/7/2022	WORKFORCE DEVELOPMENT, OJT	8,160
	4/21/2022	OJT	8,880
	6/8/2022	OJT	7,680
	6/30/2022	OJT Kalie Rollo	8,880
	7/25/2022	Talent Pipeline:CE and OJT, OJT	7,560
	7/29/2022	NYCH: Talent Ppln:CE and OJT, OJT	17,280
		OJT	8,160
	8/2/2022	OJT	7,080
	8/10/2022	<200KW PV, PON 2112 NY SUN	5,180
	8/11/2022	Talent Pipeline:CE and OJT, OJT	12,960
9/28/2022	NYCH: Talent Ppln:CE and OJT, OJT	8,160	
U.S. Geological Survey (Troy).	9/13/2022	Environmental Research, Co-chair ETWG Climate Assm't	25,000
Ulster, County of	7/6/2022	Clean Energy Communities, CEC510646-Ulster County	15,000
Unique Comp Inc.	6/8/2022	NYSERDA ADMINISTRATION, TWO Sr. Software Eng. -Bhanu	10,560
	6/27/2022	NYSERDA ADMINISTRATION, TWO #2 Web Content Editor	126,750
	7/7/2022	NYSERDA ADMINISTRATION, TWO #3 Database Admin. Vina..	191,100
	8/11/2022	NYSERDA ADMINISTRATION, TWO #7 .Net Software Develop..	195,000
	9/1/2022	NYSERDA ADMINISTRATION, TWO #8 Tableau Dev. Yogi P	204,360
Unique Electric Solutions of NYS LLC	7/21/2022	CLEAN TRANSPORTATION, NYTVIP - Logan Bus Co	480,000
	9/29/2022	CLEAN TRANSPORTATION, NYTVIP - Boro Transit	500,000
University of North Carolina at Chapel H	9/8/2022	Environmental Research, AQHE PON 3921	150,000
University of Rochester	4/25/2022	OTHER PROGRAM AREA, Annual Support for Laboratory	1,000,000
	5/4/2022	Environmental Research, Methane Measurements	499,818
Upstate Alternative Energy	4/29/2022	<200KW PV, PON 2112 NY SUN	63
	8/9/2022	<200KW PV, PON 2112 NY SUN	5,950
Upstate Capital Association of New York	4/18/2022	OTHER PROGRAM AREA, Upstate Capital Sponsorship	50,000
Upstate Venture Connect	6/23/2022	OTHER PROGRAM AREA, Upstate Venture Sponsorship	50,000
Urban Energy Inc	6/30/2022	OJT SHYTON HOLDER-JOHNSON	14,400
		Talent Pipeline:CE and OJT, OJT	12,000
		Talent Pipeline:CE and OJT, OJT ANDY BALKARAN	14,400
		Talent Pipeline:CE and OJT, OJT DANIEL SALDEEN	21,600
	7/6/2022	>200KW PV, NY-Sun	122,130
		>200KW PV, PON 2112 NY SUN	121,860
	7/12/2022	OJT	12,000

## Contracts Executed

Period 4/1/2022 through 9/30/2022

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Urban Energy Inc	8/18/2022	>200KW PV, PON 2112 NY SUN	224,910
Urban Homesteading Assistance Inc	4/21/2022	NYCH: Talent Ppln:CE and OJT, OJT	17,280
US Energy Concierge Inc	7/7/2022	<200KW PV, PON 2112 NY SUN	5,438
Venture Home Solar LLC	5/23/2022	<200KW PV, PON 2112 NY SUN	5,000
Vermont Energy Investment Corporation	4/4/2022	NYCH: Critical Tools, Value Prop Calc Improvement	10,000
	7/26/2022	NYCH: LMI, TWO #1 LMI Electrification	300,000
Vertex U.S Holdings Inc	7/19/2022	EDI Vendor, EDI Annual Service - mini-bid	690,000
VHB Engineering, Surveying and	5/31/2022	OREC: Technical Support, RFQL 3685 TWO #1	48,320
Village of Athens	5/3/2022	NYCH: Communities, CEC400117-Village of Athens	10,000
Village of Canton Housing Authority	5/26/2022	Multifam Performance Pgm, Multifamily	35,000
		NYCH: LMI, Clean Heating & Cooling	100,000
	9/28/2022	Tech Assistanc Multifamily LMI, FT14361 - 35 Riverside - PON	10,000
Village of Croton-on-Hudson	4/4/2022	Clean Energy Communities, CEC500633-VI Croton-on-Hdsn	90,000
	4/12/2022	NYCH: Communities, CEC500633-VI of Croton-on-Hdsn	10,000
Village of Dobbs Ferry	4/13/2022	Clean Energy Communities, CEC500642-VIlg of Dobbs Ferry	100,000
Village of Hastings on Hudson	5/23/2022	NYCH: Communities, CEC500712-VI. Hastings on Hdsn	100,000
	6/27/2022	Code to Zero, PON 4600 Hastings on Hudson	125,000
Village of Irvington	4/12/2022	Clean Energy Communities, CEC500660-VIlg of Irvington	20,000
	7/28/2022	Code to Zero, PON 4600 Village of Irvington	125,000
Village of Montour Falls	4/6/2022	Clean Energy Communities, CEC001316-VIlg of Montour Falls	40,000
	7/18/2022	Code to Zero, PON4600 Village of Montour Fal	125,000
Village of Ossining	6/24/2022	Clean Energy Communities, CEC500643-VIlg of Ossining	10,000
Village of Saranac Lake	8/2/2022	Clean Energy Communities, CEC701022-Vill of Saranac Lake	10,000
Vistar Energy Inc.	7/28/2022	NYCH: Technical Assistance, PON 4423	199,930
Volunteers Improving Neighborhood En..	5/27/2022	Net Zero Energy for Eco Dev, Net Zero Economic Development	400,000
W & E Phillips Locksmith, Inc	8/12/2022	NYSERDA ADMINISTRATION, Facilities Management	8,500
Wadsworth Energy LLC	8/22/2022	Rmve Barriers Dist Enrgy Storg, TWO #2 MDIWG Support	50,000
Walrath Recruiting, Inc.	9/26/2022	NYSERDA ADMINISTRATION, TS.035 - Financing Sol_Analyst	380,250
Warrior Solar Partners, LLC	8/16/2022	>200KW PV, NY Sun	2,108,852
		NY-SUN, NY Sun	461,311
		NY-SUN, NY-Sun ESFA	1,186,229
Watchtower Bible &	5/4/2022	NYCH: District, Watchtower Design Study	115,700
Watertown Renewables, LLC	7/14/2022	>200KW PV, NY Sun	1,421,339
		NY-SUN, NY Sun	585,258
Watts and Water	6/6/2022	NYSERDA ADMINISTRATION, Wiring 17 Columbia Circle	25,000
Waverly Central Schools	6/3/2022	K-12 SCHOOLS, P12GC-62_E - Waverly CSD - PON	15,962
Wedge Solar, LLC	7/14/2022	>200KW PV, NY Sun	667,250
		NY-SUN, NY Sun	274,750
Wendel Energy Services, LLC	8/29/2022	Technical Services, FT14337- Buffalo Sewer -FTC	25,000
	9/15/2022	K-12 SCHOOLS, CGSI-1_E - South Seneca CSD -	62,000
	9/21/2022	Technical Services, FT14383 - Fredonia WWTP- FTC	15,000
West Chelsea Building, LLC	8/31/2022	Technical Services, FT14314 - Multiple - PON	18,250
West Harlem Environmental Action, Inc.	6/23/2022	Talent Pipeline:CE and OJT, C/JF PON 4772 R2	40,000
West Publishing Corporation	8/10/2022	NEW YORK GREEN BANK, Westlaw Core Plan platform	9,460
Westchester Plaza Owner, LLC	6/17/2022	Technical Services, FT13243 - Westchester PI - PON	16,000
WFHA Brooklyn LP	8/9/2022	Multifam Performance Pgm, Multifamily	24,000
Whaling Solar, LLC	6/16/2022	NY-SUN, NY-Sun - ICSA	450,063
Wildcat Renewables, LLC	7/19/2022	>200KW PV, NY Sun	510,775
		NY-SUN, NY Sun	210,319
	7/20/2022	>200KW PV, NY Sun	1,274,551
		NY-SUN, NY Sun	524,816
	8/24/2022	NY-SUN, NY-Sun - ICSA	363,917
Willdan Energy Solutions	9/1/2022	Cleantech EIR, SA.062a_TWO#4 Tech to Market	3,939
		M-Corps, SA.062a_TWO#4 Tech to Market	5,909
Williamsburg Court Housing Developm..	7/8/2022	New Construction Housing, NCP Housing 2022	600,000
Wiltshire Renewable Energy Systems, L..	9/16/2022	<200KW PV, PON 2112 NY SUN	5,032

## Contracts Executed

Period 4/1/2022 through 9/30/2022

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Winema Solar Partners, LLC	7/28/2022	>200KW PV, NY Sun	1,131,962
		NY-SUN, NY Sun	466,103
	8/16/2022	NY-SUN, NY-Sun ESFA	1,198,550
Wise Home Energy, LLC	8/26/2022	NYCH: Talent Ppln:CE and OJT, OJT	6,400
Wolf Solar LLC	5/19/2022	NY-SUN, NY-Sun - ICESA	762,221
Women of Renewable Industries and S..	5/20/2022	Prof & Expert Engagement, 2022 WRISE Membership	5,000
Wood Mackenzie Power & Renewables, Inc.	7/28/2022	OREC: Technical Support, N America Power 2022/23	29,700
		REC:CES REC System Dev Costs, N America Power 2022/23	29,700
Woodland Orange, LLC	5/31/2022	Multifam Performance Pgm, Multifamily	39,200
		NYCH: LMI, Clean Heating & Cooling	224,000
Woodstock Terrace Mutual Housing	7/26/2022	Multifam Performance Pgm, Multifamily	256,000
Worley Group, Inc.	7/20/2022	OREC: Technical Support, TWO#1 Advisian GL Wind Study	33,920
	8/26/2022	REC:CES REC System Dev Costs, Determination Study Buy A..	140,000
WSP USA Corp.	6/7/2022	Environmental Research, ENV & Fisheries Rsrch for OSW	22,149
	6/15/2022	OREC: Technical Support, TWO 3 Agreement 155565: SEQR	50,000
	8/12/2022	OREC: Technical Support, TWO#1- Offshore Wind Cable	511,700
	9/1/2022	Electric Vehicles - Innovation, TWO 5 NYS ZEV Mkt Devel Plan	499,865
Wyoming County Community Action, In..	4/20/2022	Multifam Performance Pgm, Multifamily	36,400
Yellow 3 LLC	5/9/2022	NY-SUN, NY-Sun - ICESA	165,464
Yellow 5 LLC	8/5/2022	>200KW PV, NY Sun	1,025,664
		NY-SUN, NY Sun	224,364
Yellow 10 LLC	7/29/2022	>200KW PV, NY Sun	268,821
		NY-SUN, NY Sun	110,691
Yellow 12 LLC	7/28/2022	>200KW PV, NY Sun	431,039
		NY-SUN, NY Sun	177,487
YWCA of the Greater Capital Region, Inc.	4/20/2022	Multifam Performance Pgm, Multifamily	65,800
	5/30/2022	Tech Assistanc Multifamily LMI, FT14145 - 21 First - PON	10,000
ZDJ Hudson Yards LLC	7/29/2022	New Construction Housing, NCP Housing 2022	339,324
Zerodraft Residential Inc.	4/4/2022	OJT	6,720
	4/12/2022	OJT	5,440
	4/18/2022	OJT	6,400
	4/21/2022	OJT	6,400
	4/29/2022	OJT	11,840
	5/3/2022	OJT	5,440
	5/12/2022	OJT	5,440
	6/6/2022	OJT	5,440
	7/15/2022	Talent Pipeline:CE and OJT, OJT	5,440
	7/25/2022	Talent Pipeline:CE and OJT, OJT	5,440
	8/24/2022	NYCH: Talent Ppln:CE and OJT, OJT	5,440
	9/28/2022	NYCH: Talent Ppln:CE and OJT, OJT	36,480
	Zones LLC	4/29/2022	NYSERDA ADMINISTRATION, Webex (Cisco) licensing 1 yr
<b>Grand Total</b>			<b>24,067,629,814</b>

**Contracts Completed**  
**Period 4/1/2022 through 9/30/2022**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>3rd ROC Solar LLC</b>	<200KW PV, PON 2112 NY SUN	336,264
<b>45 Park Ave Condominium</b>	NYCH: Technical Assistance, FT13718 - 45 Park - PON	10,800
<b>74&amp;WEST LLC</b>	Novel Bus Models & Offers, Market Discovery/VOC	50,000
<b>174 Power Global NorthEast, LLC</b>	>200KW PV, PON 2112 NY SUN	295,800
<b>300 W 108 Owners Corp</b>	NYCH: Technical Assistance, FT13357 - 300 W 108th - PON	12,790
<b>455 Hospitality LLC</b>	Environmental Research, State of the Science 2022	14,000
<b>680 St. Nicholas Owner LLC</b>	Multifam Performance Pgm, Multifamily	78,400
<b>770 Electric Corp.</b>	<200KW PV, NY-Sun	35,688
	>200KW PV, NY-Sun	12,872
	>200KW PV, PON 2112 NY SUN	53,988
<b>AASPEN HVAC</b>	NYCH: Talent Ppln:CE and OJT, OJT	12,960
	Talent Pipeline:CE and OJT, OJT	7,360
<b>ABB, Incorporated</b>	High Performing Grid, PON 3770 Smart Grid	864,400
<b>Abt Associates Inc.</b>	ENVIRONMENTAL RESEARCH, Environmental Res. Outreach	500,000
<b>AC Power, LLC</b>	>200KW PV, NY Sun	2,210,208
	NY-SUN, NY Sun	483,483
<b>Accord Power, Inc.</b>	<200KW PV, NY-Sun	173,249
	>200KW PV, NY-Sun	68,747
	>200KW PV, PON 2112 NY SUN	114,682
<b>ACEEE</b>	Subscription/Data Access, ACEEE sponsored research	60,000
<b>Active Solar Development, LLC</b>	<200KW PV, PON 2112 NY SUN	453,600
	>200KW PV, NY Sun	478,319
<b>Adam C. Boese</b>	Technical Services, AEAP1383 - Citiva Medical LLC	6,000
	Technical Services, FT13047 - 400 8th Ave - FTC	7,984
	Technical Services, FT13208 - 3400 Cannon - FTC	7,800
<b>ADK Solar</b>	<200KW PV, PON 2112 NY SUN	11,230
<b>ADL Ventures LLC</b>	Retrofit NY, Feasibility Study	50,000
<b>ADM Associates, Inc.,</b>	Air Source Heat Pumps, Performance Monitoring and Eva	22,500
	EVALUATION, Performance Monitoring and Eva	5,000
	Geothermal Incentive Program, Performance Monitoring and Eva	22,500
<b>Advanced Radiant Design, Inc.</b>	NYCH: Talent Ppln:CE and OJT, OJT	20,800
<b>AECOM USA INC.</b>	NYCH: Technical Assistance, FT13644 - Worldwide Plaza -FTC	43,071
	NYCH: Technical Assistance, FT13858 - 215 E. 73rd - FTC	16,524
<b>Aegis Energy Services Inc.</b>	Combined Heat and Power, CHPA - 300 Central Park West B	122,719
	Combined Heat and Power, CHPA - Edenwald YMCA	107,100
<b>AES DE RS VIII, LLC</b>	>200KW PV, NY-Sun	961,155
<b>AES DE RS XI, LLC.</b>	>200KW PV, NY-Sun C&I	875,336
<b>Agarabi Engineering, PLLC</b>	Talent Pipeline:CE and OJT, OJT	15,360
<b>AKF-engineers</b>	Rmve Barriers Dist Enrgy Storg, FT12241-TishmanSpe-200Park-FTC	84,675
	Technical Services, FT13608-Blythdale Hospital-FTC	29,995
	Technical Services, FT13687 - 1411 Broadway - FTC	44,000
<b>Albany Energy, LLC</b>	LARGE SCALE RENEWABLES, Albany 2	3,003,230
<b>Albany Solar Solutions L.L.C.</b>	<200KW PV, PON 2112 NY SUN	26,713
<b>Albany, City of,</b>	Clean Energy Communities, City of Albany	180,000
<b>Albireo Energy, LLC</b>	Real Time Enrgy Management, Albireo-425 E 58th-RTEM	155,000
	Real Time Enrgy Management, Cushman/Wakefield-RTEM	93,023



**Contracts Completed**  
**Period 4/1/2022 through 9/30/2022**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>All-State Air Control Sales &amp; Service In</b>	NYCH: Talent Ppln:CE and OJT, OJT	14,400
	NYCH: Talent Ppln:CE and OJT, OJT HIRE	29,760
<b>Allen Power, Inc.</b>	<200KW PV, PON 2112 NY SUN	32,603
	>200KW PV, PON 2112 NY SUN	64,676
<b>Alliance to Save Energy</b>	Prof & Expert Engagement, 2021 ASE Membership	35,000
<b>Allison van Hee</b>	Contractor to NY Green Bank	50,000
<b>Altanova LLC</b>	Commercial Real Estate Ten, Altanova-151 W 42ndFl26-28-CTP	50,064
<b>Alternative Power Solutions of NY, LLC</b>	<200KW PV, PON 2112 NY SUN	91,156
	NYCH: Talent Ppln:CE and OJT, OJT	14,880
<b>AltPOWER, Inc.</b>	<200KW PV, NY-Sun	79,926
	>200KW PV, NY-Sun	5,544
<b>Amazon Capital Servies, Inc.</b>	OTHER PROGRAM AREA, Small Items Purchase	10,917
<b>AMERESCO, Inc.</b>	<200KW PV, PON 2112 NY SUN	158,328
	>200KW PV, NY Sun	422,063
	NY-SUN, NY Sun	744,817
<b>Amergy Solar Inc.</b>	<200KW PV, PON 2112 NY SUN	5,472
	>200KW PV, PON 2112 NY SUN	411,672
<b>American Council for an Energy Efficient</b>	Prof & Expert Engagement, 2022 NASEMC Membership	10,000
<b>American Energy Care, Inc.</b>	<200KW PV, NY-Sun	18,574
	<200KW PV, PON 2112 NY SUN	212,504
<b>American Society of Adaptation Professio</b>	Environmental Research, Climate Change Research	49,500
<b>American Solar Partners, LLC</b>	<200KW PV, NY-Sun	1,540,598
	>200KW PV, NY-Sun	240,418
<b>AMP US HoldCo Inc</b>	NY-SUN, NY-Sun ESFA	982,800
<b>AMP US HoldCo Inc.</b>	>200KW PV, NY-Sun C&I	838,706
	NY-SUN, NY-Sun ESFA	3,853,080
<b>AMS Construction Corp</b>	<200KW PV, NY-Sun	184,788
	>200KW PV, NY-Sun	46,197
<b>Amtad LLC</b>	NYCH: Technical Assistance, FT13903 - 70 E. 55th - PON	20,098
	NYCH: Technical Assistance, FT13924 - Nippon Tower - PON	24,800
<b>Antares Group, Inc.</b>	NYCH: Technical Assistance, FT13111 - 515 E 71st - FTC	65,095
	REV Campus Challenge, FT14143 - Marillac Hall - FTC	14,799
<b>Aon Risk Consultants, Inc.</b>	Aon Insurance Consulting on CG	5,000
<b>Apex Roofing, LLC</b>	<200KW PV, PON 2112 NY SUN	18,170
<b>Apex Solar Power LLC</b>	<200KW PV, PON 2112 NY SUN	78,755
<b>APPEXTREMES, LLC</b>	NYSERDA ADMINISTRATION, Conga Composer Maintenance - 1	14,400
<b>Arcadis of New York, Inc.</b>	CI Engy Siting & Soft Cost Red, Large Scales Renewables Techni	402,700
	Technical Services, FT13067 - 1 Canal Road - FTC	24,500
<b>Arcadis U.S., Inc.</b>	COMBINED HEAT AND POWER, Tech Review & Program Staff	406,250
	Industrial Process Effic, Tech Review & Program Staff	24,094
<b>Arquitectonica New York P.C.</b>	Buildings of Excellence, BoE Rnd 1 - Design Team Incen.	75,000
<b>Articulate Global Inc</b>	NYSERDA ADMINISTRATION, Articulate Software License 3y	22,028
<b>Association for Energy Affordability, In</b>	Tech Assistanc Multifamily LMI, FT13872 - 2320 W. 11th - FTC	7,273
	Technical Services, FT13569 - 1705 Hoe - MF	8,058
	Technical Services, FT13570 - 1662-1664 Hoe - MF	8,058
	Technical Services, FT14045-Starrett Oceangate-FTC	21,667

**Contracts Completed**  
**Period 4/1/2022 through 9/30/2022**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>Astrum Solar, Inc.</b>	ESTOR:Retail Storage Incentive, Retail Storage	371,000
<b>Atelier Ten</b>	Commercial New Construc, Commercial New Construction	25,360
<b>Aurelius Development LLC</b>	Multifam New Construction, New Construction	51,200
<b>Autonomous Energies LLC</b>	<200KW PV, PON 2112 NY SUN	23,275
<b>Aztech Geothermal, LLC</b>	NYCH: Talent Ppln:CE and OJT, OJT	9,840
<b>Baker Engineering, LLC</b>	Technical Services, FT14085 - 30-30 47th - FTC	16,450
<b>Barbera Homes and Development, Inc.</b>	New Construction Housing, 2020 LRNCP	17,100
<b>Barry Frohlinger</b>	NEW YORK GREEN BANK, Credit Training for Staff	25,000
<b>Bashing Panels LLC</b>	<200KW PV, PON 2112 NY SUN	34,843
<b>Benchmark Lancaster Towers, LP</b>	Multifam Performance Pgm, Multifamily	125,600
<b>Bentley Systems, Incorporated</b>	OTHER PROGRAM AREA, Oasis Montaj License Purchase	33,260
<b>Bergmann Associates, Architects,</b>	Commercial Real Estate Ten, Bergmann Associates-Multisite	59,945
	Industrial Process Effic, Tech Review_Support_Umbrella	23,280
<b>Best Energy Power</b>	<200KW PV, NY-Sun	921,010
	>200KW PV, NY-Sun	129,774
	>200KW PV, PON 2112 NY SUN	175,465
<b>BioDiversity Research Institute</b>	OREC: Technical Support, BRI TWO #5 E-TWG Services	370,131
<b>Bishop Sheen Ecumenical Housing Foundati</b>	New Construction Housing, 2019 LRNCP	63,200
<b>BlocPower LLC</b>	Remote Energy Management, Screening Support for RetroFit	250,000
<b>BME Yellowjacket LLC</b>	Anaerobic Digesters, PON 3739 CAT C	390,415
<b>Bond, Schoeneck &amp; King, PLLC</b>	NYSERDA ADMINISTRATION, Attorney General Investigation	50,000
<b>Bonded Energy Solutions Corp.</b>	WORKFORCE DEVELOPMENT, OJT	15,360
<b>Booz Allen Hamilton, Inc.</b>	Energy Storage Tech/Prod Dev, Task Work Order 5	35,643
	Energy Storage Tech/Prod Dev, Task Work Order 6	19,207
	High Performing Grid, Task Work Order 4	111,926
	High Performing Grid, Task Work Order 5	35,643
	High Performing Grid, Task Work Order 6	19,207
	Novel Bus Models & Offers, Task Work Order 5	35,643
	Novel Bus Models & Offers, Task Work Order 6	19,207
	NYCH: Innovation, Task Work Order 5	35,643
	NYCH: Innovation, Task Work Order 6	19,207
<b>Borrego Solar Systems, Inc.</b>	>200KW PV, NY Sun	2,110,139
	ESTOR:Retail Storage Incentive, Retail Storage	7,725,000
	NY-SUN, NY Sun	1,787,571
<b>Brattle Group Inc.</b>	ENERGY ANALYSIS, Post-Conference Comment Dev	25,000
	High Performing Grid, TWO #4 Grid Performance Gaps	675,000
<b>Breathe Easy of CNY Inc.</b>	NYCH: Talent Ppln:CE and OJT, OJT	33,360
<b>Bright Power, Inc.</b>	<200KW PV, NY-Sun	545,722
	>200KW PV, NY-Sun	295,668
	NY-Sun	20,130
	NYCH: Technical Assistance, FT13241 - Brighton House - FTC	7,740
	NYCH: Technical Assistance, FT13290 - 320 W 38th - FTC	15,525
	NYCH: Technical Assistance, FT13331 - 1179 2nd - FTC	12,150
	NYCH: Technical Assistance, FT13374 - 2260 Crotona - FTC	6,930
	NYCH: Technical Assistance, FT13375 - 711 Garden - FTC	8,280
	NYCH: Technical Assistance, FT13466 - 560 W. 43rd - FTC	11,200

**Contracts Completed**  
**Period 4/1/2022 through 9/30/2022**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>Bright Power, Inc.</b>	NYCH: Technical Assistance, FT13486 - 150 E. 57th - FTC	9,560
	NYCH: Technical Assistance, FT13492 - 2405 Southern - FTC	7,300
	NYCH: Technical Assistance, FT13497 - 430 Park - FTC	18,000
	NYCH: Technical Assistance, FT13507 - 21-10 51st - FTC	5,750
	NYCH: Technical Assistance, FT13510 - 650 Park - FTC	8,750
	NYCH: Technical Assistance, FT13513 - 135 W. 106th - FTC	8,400
	NYCH: Technical Assistance, FT13588 - The Aldyn - FTC	11,250
	NYCH: Technical Assistance, FT13653 -40-26 College Pt- FTC	19,250
	NYCH: Technical Assistance, FT13772 - 1150 Garrison - FTC	6,400
	NYCH: Technical Assistance, FT13807 - 250 W. 50th - FTC	12,900
	NYCH: Technical Assistance, FT13816 - 515 W 52nd - FTC	6,300
	NYCH: Technical Assistance, FT13862 - 130 E. 57th - FTC	8,775
	NYCH: Technical Assistance, FT13945 - 315 W 33rd - FTC	10,300
	NYCH: Technical Assistance, FT13952 - 300 CPW - FTC	11,850
	NYCH: Technical Assistance, FT13958 - 301 E 79th - FTC	10,250
	Real Time Enrgy Management, RTEM Gas Mini-Bid Contract	374,975
	REV Campus Challenge, RM45 - Marymount Manhattan	49,605
	Technical Services, FT13127 - 114 W. 26th - FTC	8,550
	Technical Services, FT13180 - 30 Washington - FTC	8,660
	Technical Services, FT13222 - 25 Washington - FTC	8,325
<b>Broadalbin-Perth CSD</b>	K-12 SCHOOLS, P12GC-4_Broadalbin-Perth CSD_E	33,750
<b>Bronx Lebanon Hospital Center</b>	Industrial Process Effic, Industrial Process Efficiency	137,181
<b>Bronx Pro Group, LLC</b>	Multifam New Construction, New Construction	300,000
<b>Brooklyn SolarWorks LLC</b>	>200KW PV, NY-Sun	32,640
	>200KW PV, PON 2112 NY SUN	69,709
	NY-SUN, NY-Sun	4,880
<b>Bruce Harley Energy Consulting LLC</b>	Air Source Heat Pumps, Heat Pump Technical Assistance	50,000
<b>BTMI Engineering, PC</b>	OREC: Technical Support, Large-Scale Renewables	65,000
<b>Buckley Park, LLC</b>	Tech Assistanc Multifamily LMI, FT13555 - 7651 Morgan - PON	10,000
<b>Buffalo Solar Solutions Inc</b>	<200KW PV, NY-Sun	7,225
	<200KW PV, PON 2112 NY SUN	142,178
<b>Buro Happold Consulting Engineers, P.C.</b>	NYCH: Technical Assistance, FT13404 - 1333 Broadway - FTC	82,552
	NYCH: Technical Assistance, FT13543 - 250 W. 57th - FTC	121,792
	NYCH: Technical Assistance, FT13544 - 1350 Broadway - FTC	91,181
	NYCH: Technical Assistance, FT13985 - 1359 Broadway - FTC	108,116
<b>Bynder LLC</b>	NYSERDA ADMINISTRATION, WebDAM Photo Library	26,925
<b>C-Action LLC</b>	Air Source Heat Pumps, Contract with Tauris Tech	50,000
<b>C.J. Brown Energy, P.C.</b>	Tech Assistanc Multifamily LMI, FT13028 - Residences - FTC	5,400
	Tech Assistanc Multifamily LMI, FT13030 - 4710 Kehoe - FTC	5,400
	Tech Assistanc Multifamily LMI, FT13032 - 18 N. Main - FTC	5,300
	Tech Assistanc Multifamily LMI, FT13034 - 4399 Plantation -FTC	5,300
	Technical Services, FT13033 - Meadowbrook - FTC	5,300
	Technical Services, FT13508 - Town of Evans - FTC	15,642
<b>C&amp;R Housing Inc.</b>	OJT	12,000
<b>C&amp;S Engineers, Inc.</b>	NYCH: Technical Assistance, FT13652 - 100 Woodland - FTC	7,175
	Technical Services, FT13868 - Town of Canaan - FTC	7,567

**Contracts Completed**  
**Period 4/1/2022 through 9/30/2022**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
Canal/Rider LLC	Technical Services, FT14079 - 366 Canal - PON	5,000
Carahsoft Technology Corporation	NEW YORK GREEN BANK, NYGB Cloud Content Management	59,981
	NYSERDA ADMINISTRATION, LinkedIn	39,818
	NYSERDA ADMINISTRATION, Salesforce Marketing Cloud - 1	213,920
Caroprese & Company	PPP Customer Acquisition	60,000
Carrera RS, LLC	Multifam New Construction, MFNCP PHI T3-505 East 86th St	73,400
Carter Ledyard & Milburn LLP	OREC: Technical Support, TWO 2 - Pt of Albany SEQRA OSW	15,000
Cayuga Developments, Inc	Multifam Performance Pgm, Multifamily	24,000
CDS Monarch Inc	New Construction Housing, 2019 LRNCP	47,000
CEC Stuyvesant Cove, Inc.	Retrofit NY, RetrofitNY Solar Business Case	35,000
Cedarwood Community Partners, LP	Multifam Performance Pgm, Multifamily	144,200
Center for Economic Growth	OREC: Technical Support, IPF 2022	25,000
Center for Energy Efficiency and Renewab	Prof & Expert Engagement, 2022 BDC Membership	15,000
Center for Sustainable Energy	CLEAN TRANSPORTATION, PEV Enabling Technology Demons	149,891
	Home Energy Ratings, RFP3945 Home Energy Rating Pil	499,060
CHA Consulting Inc.	Industrial Process Effic, Technical Review and Program S	430,557
	Technical Services, FT13977 - 1666 Division - FTC	5,800
Cheektowaga, Town of	Clean Energy Communities, PON 3298 CEC	250,000
Chelsea Grand LLC	NYCH: Technical Assistance, FT13552 - 158 W 25th - PON	7,980
Christina Griffin Architect P.C.	New Construction Housing, 2019 LRNCP	5,000
Christopher Community, Inc.	New Construction Housing, 2019 LRNCP	25,000
CIR ELECTRICAL CONSTRUCTION CORP.	<200KW PV, PON 2112 NY SUN	322,536
Citizens Global Albany LLC	NY-SUN, NY-Sun ESFA	123,840
Citizens Westmoreland Solar	NY-SUN, NY-Sun ESFA	325,080
City of Glens Falls Housing Authority	Multifam Performance Pgm, Multifamily	109,200
City of Long Beach	CLEANER GREENER COMMUNITIES, City of Long Beach	99,975
City Of New York	CLEANER GREENER COMMUNITIES, CGC43226 - New York City	3,531,250
	NEW CONSTRUCTION PROGRAM, CGC43226 - New York City	400,000
City of Rochester	Community RH&C, PON3723 RH&C Campaigns	150,000
City Skyline Realty, Inc.	NYCH: Technical Assistance, FT13275 - 507 W 139th - PON	5,475
Clean Energy States Alliance	Prof & Expert Engagement, 2022 CESA Membership	68,500
Clean Power Research	Electric Vehicles - Innovation, 2022 WattPlan License	19,800
CleanFiber LLC	OJT	22,960
	Talent Pipeline:CE and OJT, OJT	11,040
Clear View Solar LLC	REC:CES REC Contracts, Clear View Solar	1,578,661
Code Green Solutions, Inc.	Commercial Real Estate Ten, CodeGreen-599 Lexington	12,000
	NYCH: Technical Assistance, FT13482 - 125 W. 55th - FTC	34,250
	Technical Services, FT13064 - 275 7th - FTC	27,375
	Technical Services, FT13125 - 2 Park - FTC	46,625
	Technical Services, FT13495 - 524 Broadway - FTC	16,200
Cogeneration Contractors, Inc.	COMBINED HEAT AND POWER, CHPA - Kings County Hospital C	1,500,000
	Combined Heat and Power, CHPA - Memorial Sloan Ketterin	1,485,000
COLLECTIF Engineering, PLLC	Talent Pipeline:CE and OJT, OJT	22,846
Combined Energies LLC	Energy Storage Tech/Prod Dev, PON 3585 Energy Storage Cat B	551,506
Commercial Cleaning NY Sunshine, Inc.	NYSERDA ADMINISTRATION, Janitorial Cleaning for NYGB	133,200
Community Energy Solar, LLC	>200KW PV, NY Sun	715,000

**Contracts Completed**  
**Period 4/1/2022 through 9/30/2022**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
Community Energy Solar, LLC	NY-SUN, NY Sun	1,040,000
CON EDISON SOLUTIONS, INC.	<200KW PV, NY-Sun	151,767
	>200KW PV, PON 2112 NY SUN	268,704
Concur Technologies, Inc.	NYSERDA ADMINISTRATION, Concur Services 2020-2022	40,000
Conductors Court NY TC, LP	Multifam Performance Pgm, Multifamily	68,600
Consensus Building Institute, Inc.	REC:CES REC System Dev Costs, Large-Scale Renewables	49,884
Consortium for Energy Efficiency, Inc.	Prof & Expert Engagement, 2022 CEE Membership	48,000
Constellation Energy Nuclear Group, LLC	ZEC:CES ZEC Payments, ZEC - Nuclear Facilities	2,419,643,886
Cornell Cooperative Extension - Tompkins	CLEANER GREENER COMMUNITIES, CEEP North Country	29,104
	CLEANER GREENER COMMUNITIES, CEEP Southern Tier Region (..	61,992
	Community Energy Engagement, CEEP Southern Tier Region (CCE	440,374
	OTHER PROGRAM AREA, CEEP North Country	23,108
	OTHER PROGRAM AREA, CEEP Southern Tier Region (CCE	36,580
Cornell NCRE Solar 1 LLC	<200KW PV, NY-Sun	198,281
Cornell NCRE Solar 2 LLC	<200KW PV, NY-Sun	165,637
Cornell University	Environmental Research, Cornell Climate Stewards	50,000
	REV Campus Challenge, RM30A - Cornell University	9,692
Cornell University-Office of Sponsored P	ENVIRONMENTAL RESEARCH, Building Downwash Effect	189,863
	SMART GRID SYSTEMS, Anaerobic Digestion Assistance	750,000
Couch White, LLP	>200KW PV, RFP 3300 Outside Counsel Servi	100,000
Country Suburban Heating & Air Condition	NYCH: Talent Ppln:CE and OJT, OJT	43,200
	NYCH: Talent Ppln:CE and OJT, OJT HIRE	6,720
County Heat & AC, LLC	NYCH: Talent Ppln:CE and OJT, OJT	9,600
County of Cayuga	Clean Energy Communities, CEC210200 - Cayuga County	250,000
County of Suffolk	CLEANER GREENER COMMUNITIES, CGC28998 - Suffolk County	1,500,000
Croton Energy Group, Inc.	<200KW PV, PON 2112 NY SUN	130,833
Cubit Power One Inc.	COMBINED HEAT AND POWER, CHP Performance Program	2,400,000
CUCS Housing Development Fund Corporatio	Multifam New Construction, MFNCP PHI T3-CUCS W 127 St	89,800
Cutone & Company Consultants, LLC	NYCH: Talent Ppln:CE and OJT, OJT	23,040
	Talent Pipeline:CE and OJT, OJT	9,693
CyrusOne	Industrial Process Effic, Industrial Process Efficiency	88,303
D.K. & S Enterprises Inc	NYCH: Communities, 1GW Milestone Community Solar	19,546
D'Youville College	REV Campus Challenge, RM14 - D'Youville College	62,145
Dailey Electric Inc	NYCH: Talent Ppln:CE and OJT, OJT	11,520
Darling Advertising Agency Inc.	Off-Shore Wind Master Plan, Marketing Support for NYSERDA	320,000
	Off-Shore Wind Pre-Dev Act, Marketing Support for NYSERDA	158,677
David Davenport	NEW YORK GREEN BANK, GBank Eval & Due Diligence	186,956
Day Automation Systems, Inc.	K-12 SCHOOLS, P12GC-38_E - Lisbon CSD - PON	10,005
DeChantal Apartments, Inc.	Multifam Performance Pgm, Multifamily	104,800
Delaware River Solar, LLC	>200KW PV, NY Sun	2,096,657
Dell, Inc.	NYSERDA ADMINISTRATION, Advanced eDiscovery - 100 mail	18,564
DEMCO New York Corp.	<200KW PV, PON 2112 NY SUN	10,920
DePaul Properties, Inc.	Low Rise New Construction, New Construction	86,000
	New Construction Housing, 2019 LRNCP	129,400
DG New York CS, LLC	>200KW PV, NY Sun	896,102
	NY-SUN, NY Sun	1,314,285

**Contracts Completed**  
**Period 4/1/2022 through 9/30/2022**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>DIBD NYC Inc.</b>	OTHER PROGRAM AREA, Circular City Week Sponsorship	15,000
<b>Digital Realty Trust</b>	Industrial Process Effic, Industrial Process Efficiency	1,000,000
<b>Dimension Energy LLC</b>	>200KW PV, NY Sun	2,769,824
	>200KW PV, NY-Sun C&I	899,144
	NY-SUN, NY Sun	1,078,975
	NY-SUN, NY-Sun C&I	1,078,975
<b>Direct Marketing Productions, Inc.</b>	Novel Bus Models & Offers, 2022 ARPA-E sponsorship	17,000
<b>DirectApps Inc</b>	Consumer Ed and Market Support, Knowledge Transfer for RMES	14,500
	Home Perf w Energy Star, Knowledge Transfer for RMES	22,263
	NENY:CHGE Empower Electric, Knowledge Transfer for RMES	47
	NENY:CHGE Empower Gas, Knowledge Transfer for RMES	126
	NENY:Con Ed Empower Electric, Knowledge Transfer for RMES	132
	NENY:Con Ed Empower Gas, Knowledge Transfer for RMES	426
	NENY:KEDNY Empower Gas, Knowledge Transfer for RMES	472
	NENY:NFG Empower Gas, Knowledge Transfer for RMES	3,811
	NENY:NIMO Empower Electric, Knowledge Transfer for RMES	269
	NENY:NIMO Empower Gas, Knowledge Transfer for RMES	590
	NENY:NYSEG Empower Electric, Knowledge Transfer for RMES	305
	NENY:NYSEG Empower Gas, Knowledge Transfer for RMES	719
	NENY:O&R Empower Electric, Knowledge Transfer for RMES	231
	NENY:O&R Empower Gas, Knowledge Transfer for RMES	579
	NENY:RGE Empower Electric, Knowledge Transfer for RMES	157
	NENY:RGE Empower Gas, Knowledge Transfer for RMES	373
	NYCH: Technical Assistance, Knowledge Transfer for RMES	5,000
<b>Distributed Solar Development, LLC</b>	>200KW PV, NY-Sun	3,534,659
<b>Doherty Electric, LLC</b>	<200KW PV, PON 2112 NY SUN	12,886
<b>Dolomite Products Group, Inc.</b>	Industrial Process Effic, Industrial Process Efficiency	21,286
<b>Dragon Solar LLC</b>	<200KW PV, PON 2112 NY SUN	7,884
<b>Dual Fuel Corp</b>	NYCH: Talent Ppln:CE and OJT, OJT	30,720
	OJT	11,075
	Real Time Enrgy Management, Dual Fuel-36 E 22nd St-RTEM	30,900
	Real Time Enrgy Management, Dual Fuel-215 E 59th St-RTEM	11,700
	Real Time Enrgy Management, Dual Fuel-220 E 27th St-RTEM	21,600
	Real Time Enrgy Management, Dual Fuel-304 St Johns PI-RTEM	23,700
	Real Time Enrgy Management, Dual Fuel-447 Fort Washin-RTEM	23,700
	Real Time Enrgy Management, Dual Fuel-611 Academy St-RTEM	29,247
	Real Time Enrgy Management, Dual Fuel-1898 Belmont-RTEM	27,283
	Real Time Enrgy Management, Dual Fuel-1900 Belmont-RTEM	33,366
	Real Time Enrgy Management, Dual Fuel-1908 Belmont-RTEM	33,366
	Talent Pipeline:CE and OJT, OJT	50,720
<b>Ducted Wind Turbines, Inc</b>	Cleantech Ignition, PON 3871 Ignition Grants	89,600
<b>Dynamo Energy Hub</b>	Cleantech ICC Engage, Dynamo	49,000
<b>E Source Companies LLC</b>	Informat. Products & Brokering, DER Data Platform Pilot	92,176
<b>Earth Sensitive Solutions, LLC</b>	Large-Scale GSHP Rebate	16,200
<b>Earthlight Technologies LLC</b>	>200KW PV, NY-Sun	27,522
<b>East River Tenants Corp</b>	Technical Services, FT14022 - 200 East End - PON	14,400

**Contracts Completed**  
**Period 4/1/2022 through 9/30/2022**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>East West General Construction</b>	NYCH: Talent Ppln:CE and OJT, OJT HIRE	15,360
<b>Ecogy New York I LLC</b>	>200KW PV, NY-Sun	29,848
<b>Ecogy New York V LLC</b>	>200KW PV, NY-Sun	23,944
<b>Ecogy New York VII LLC</b>	>200KW PV, NY-Sun	64,800
<b>Ecogy New York XV LLC</b>	>200KW PV, NY-Sun	1,470,000
<b>Ecology and Environment Engineering</b>	Off-Shore Wind Pre-Dev Act, RFP3462 Umbrella Agreement	405,200
<b>Ecovis, Inc.</b>	<200KW PV, PON 2112 NY SUN	6,400
<b>EDF Renewables Distributed Solutions Inc</b>	>200KW PV, NY Sun	2,157,496
	NY-SUN, NY Sun	2,716,485
<b>Edison Energy, LLC</b>	Technical Services, FT13949 - 475 Riverside - FTC	28,360
<b>Efficiency Forward, Inc.</b>	Advancing Ag Enrgy Technologie, DesignLights Consortium 2022	10,000
<b>Eiger 3970 Consultants Inc.</b>	<200KW PV, PON 2112 NY SUN	91,203
<b>Ekostinger, Inc.</b>	Cleantech Ignition, PON4534 NY Climate Progress R2	500,000
<b>Electric Power Research Institute</b>	DER Integration(Intrcnct), PON4094 DER Interconnection	600,000
	ENVIRONMENTAL RESEARCH, Energy Related Air Quality	480,522
	High Performing Grid, PON 3770	399,797
<b>Ember Strategies, LLC</b>	Empire Building Challenge, EBC Advisory Support Cohort 2	25,000
	NYCH: Empire Build Challenge, EBC Advisory Support Cohort 2	25,000
<b>EMCOR Services Betlem</b>	NYCH: Talent Ppln:CE and OJT, OJT	18,840
<b>EME Consulting Engineering Group, LLC</b>	NYCH: Technical Assistance, FT13217 - 334 East 25th - FTC	36,000
	NYCH: Technical Assistance, FT13451 - Bryant Arms - FTC	13,500
	NYCH: Technical Assistance, FT13518 - 275 South - FTC	15,000
	NYCH: Technical Assistance, FT13520 - 249 Thomas S. - FTC	27,500
	Real Time Enrgy Management, FlexTech Consultant Pool	175,000
	Technical Services, FT13528 - One Park - FTC	12,585
<b>Emergent Urban Concepts, LLC</b>	Empire Building Challenge, Support for Empire Building Ch	75,000
	NYCH: Empire Build Challenge, Support for Empire Building Ch	175,000
<b>Emes Solar</b>	>200KW PV, NY-Sun	90,828
	>200KW PV, PON 2112 NY SUN	15,138
	NY-SUN, NY-Sun	15,138
<b>Empire Solar Solutions LLC</b>	<200KW PV, PON 2112 NY SUN	908,337
<b>Empire State Development Corp.</b>	OREC: Technical Support, NY Pavillion--IPF 2022	25,000
<b>Empire State Realty OP, LP</b>	Technical Services, FT13960 - 60 E 42nd - PON	6,000
	Technical Services, FT13962 - 1400 Broadway - PON	5,000
<b>Empire State Realty Trust, Inc.</b>	Empire Building Challenge, EBC-Phase I-ESRT	125,000
	NYCH: Empire Build Challenge, EBC-Phase I-ESRT	125,000
<b>Employee Leasing of Greater NY</b>	NEW YORK GREEN BANK, TS.024_NYGB_Database Admin	29,250
<b>Empower CES, LLC</b>	>200KW PV, PON 2112 NY SUN	225,078
	ENERGY STORAGE, PON 2112 NY SUN	250,000
<b>Empower Equity Inc</b>	Novel Bus Models & Offers, EMPEQ - Scaling a Novel Busine	500,000
<b>Energy &amp; Resource Solutions, Inc.</b>	Industrial Process Effic, IPE16248	7,160
<b>Energy Conservation &amp; Supply, Inc.</b>	Talent Pipeline:CE and OJT, OJT	30,386
<b>Energy EDC Corp.</b>	Talent Pipeline:CE and OJT, OJT	10,240
<b>Energy Management Solutions, LLC</b>	OJT	14,400
	Talent Pipeline:CE and OJT, OJT	20,480
	WORKFORCE DEVELOPMENT, OJT	11,680

**Contracts Completed**  
**Period 4/1/2022 through 9/30/2022**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>Energy Power investment Company, LLC</b>	LARGE SCALE RENEWABLES, Large-Scale Renewables	4,387,903
<b>Energy Savers Inc</b>	OJT	10,560
	Talent Pipeline:CE and OJT, OJT	5,440
<b>Energy Technology Savings, Inc.</b>	Real Time Enrgy Management, Edison Prop-5020 Broadway-RTEM	11,022
	Real Time Enrgy Management, Energy Tec-108 W 107th St-RTEM	10,593
	Real Time Enrgy Management, Energy Tech-131 Varick St-RTEM	13,893
	Real Time Enrgy Management, Energy Tech-552 Main St-RTEM	6,405
	Real Time Enrgy Management, Energy Tech-645 W 45th St-RTEM	13,893
	Real Time Enrgy Management, Energy Tech-2138 1st Ave-RTEM	13,893
	Real Time Enrgy Management, ETS - 90 Washington St - RTEM	12,818
	Real Time Enrgy Management, ETS - Moinian Sky - RTEM	15,840
	Real Time Enrgy Management, ETS-825-875Boynton-RTEM	41,550
<b>EnterSolar LLC</b>	>200KW PV, NY-Sun	162,108
	>200KW PV, PON 2112 NY SUN	638,260
<b>Entic, Inc.</b>	Real Time Enrgy Management, Conrad NY-102 N End Ave-RTEM	14,452
<b>ePlus inc</b>	NYSERDA ADMINISTRATION, VEEAM Annual Support - 1yr	8,892
<b>Erie Solar Gardens LLC</b>	<200KW PV, NY-Sun	268,800
<b>Erie Wind LLC</b>	LARGE SCALE RENEWABLES, Steel Winds II (RFP1851)	1,486,780
<b>ESNY-SFSHPN, LLC</b>	>200KW PV, NY-Sun	288,450
<b>ESS Group, Inc.</b>	Off-Shore Wind Pre-Dev Act, RFP3462 Umbrella Agreement	100,000
<b>Etsy, Inc.</b>	Flexible Tech Assistance, FT12103-Etsy BK HQ - PON	19,943
<b>Event &amp; Meeting Technology, Inc.</b>	Environmental Research, 2022 State of the Science A/V	12,390
<b>Exelon Generation Company, LLC</b>	ZEC:CES ZEC Payments, ZEC Nuclear Facilities	808,900,314
<b>Expert Environmental &amp; Construction Grou</b>	Home Perf w Energy Star, Repairs Insulation EmPower	15,589
<b>Extraterrestrial Materials Inc.</b>	<200KW PV, PON 2112 NY SUN	102,104
<b>Faraday, Inc.</b>	Air Source Heat Pumps, RFP3761 Customer Targeting Too	100,000
	Community RH&C, RFP3761 Customer Targeting Too	532,000
	Informat. Products & Brokering, RFP3761 Customer Targeting Too	30,000
	NYCH: Comfort Home, RFP3761 Customer Targeting Too	15,000
	NYCH: Supply Chain, RFP3761 Customer Targeting Too	15,000
<b>Federated Conservatonists of Westcheste</b>	OREC: Technical Support, West. Youth Climate Summit	5,000
<b>Feedback Solutions Inc.</b>	NYCH: Innovation, Real-Time Occupancy based	45,000
<b>FFP NY Goshen Project1, LLC</b>	>200KW PV, NY Sun	778,050
	NY-SUN, NY Sun	778,050
<b>FFP NY Goshen Project2, LLC</b>	>200KW PV, NY Sun	786,308
	NY-SUN, NY Sun	1,072,238
<b>FFP NY Rush Project1, LLC</b>	>200KW PV, NY Sun	952,333
<b>FFP Origination, LLC</b>	<200KW PV, NY-Sun	590,976
<b>Finch Paper, LLC</b>	Industrial Process Effic, Industrial Process Efficiency	2,137,199
<b>Finger Lakes Energy Corp</b>	REC:CES REC Contracts, Large-Scale Renewables	23,700
<b>Florenton River LLC</b>	<200KW PV, PON 2112 NY SUN	12,500
<b>Foam It Insulation, LLC</b>	NYCH: Talent Ppln:CE and OJT, OJT	7,200
	OJT	14,400
	Talent Pipeline:CE and OJT, OJT	81,600
<b>Fobare &amp; Co. LLC</b>	<200KW PV, PON 2112 NY SUN	17,230
<b>Forbes-Capretto Homes</b>	Single Family New Construction, NCP Housing	22,200



**Contracts Completed**  
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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
ForeFront Power, LLC	ESTOR:Retail Storage Incentive, Retail Storage	4,000,000
Fort Hill Development Fund Company, Inc.	Multifam Performance Pgm, Multifamily	39,900
Fourth Coast, Inc.	<200KW PV, PON 2112 NY SUN	19,029
Fred F. Collis & Sons, Inc.	NYCH: Talent Ppln:CE and OJT, OJT HIRE	29,760
	OJT	5,760
	Talent Pipeline:CE and OJT, OJT	32,160
Frederick Douglass I 2017, LLC	Multifam Performance Pgm, Multifamily	60,900
Friello and Sons Heating and Cooling, In	NYCH: Talent Ppln:CE and OJT, OJT	11,520
Frontier Energy, Inc.	COMBINED HEAT AND POWER, CHP System Inspection and ReCo	3,165,108
	ENERGY ANALYSIS, TWO - Heat Pump Analysis	49,750
	Industrial Process Effic, IPE16163	6,000
	Industrial Process Effic, Technical Review_Prgm Support	4,890
Fusco Personnel, Inc.	Cleantech ICC Engage, TS.020_TBI_Coordinator	23,400
	Energy Storage Tech/Prod Dev, TS.020_TBI_Coordinator	23,400
	High Performing Grid, TS.020_TBI_Coordinator	23,400
	NYCH: Innovation, TS.020_TBI_Coordinator	23,400
	Pub Transit & Elect Rail, TS.020_TBI_Coordinator	23,400
	REC:CES REC System Dev Costs, TS.026 - LSR_Coordinator	25,000
Fusion Energy Services LLC	<200KW PV, NY-Sun	6,765
	<200KW PV, PON 2112 NY SUN	12,500
G&S Operations LLC	>200KW PV, PON 2112 NY SUN	1,167,981
Gardline Marine Sciences Inc	Environmental Research, G&G Investigation for OSW	6,142,402
GBA Commissioning Services, Inc	NYCH: Technical Assistance, FT13680 - 2 Columbus - FTC	53,338
Geatrain Engineering PLLC	Technical Services, FT13988 - New World Mall - FTC	17,828
	Technical Services, FT14043 - 31 W 34th - FTC	32,868
	Technical Services, FT14052 - 36 W 47th - FTC	42,810
General Electric International Inc	ENERGY ANALYSIS, Elec System Modeling Training	20,000
Generate Capital Inc.	<200KW PV, NY-Sun	753,603
	>200KW PV, NY-Sun	424,704
Generate NY Community Solar Lessor II, L	>200KW PV, NY Sun CI Assignment	529,046
George E Denmark II	<200KW PV, PON 2112 NY SUN	6,480
Geotherm Inc.	<200KW PV, PON 2112 NY SUN	24,331
	NYCH: Talent Ppln:CE and OJT, OJT	13,680
Glenmere Lake Solar LLC	>200KW PV, NY Sun	306,798
	Solar Plus Energy Storage, NY Sun	2,000,000
Go Solar, LLC	<200KW PV, PON 2112 NY SUN	12,080
Goldman Copeland Associates, P.C.	Commercial Real Estate Ten, GCA-250 W 57th St-CTP	8,986
	REV Campus Challenge, FT13346 - 214-220 E 21st - FTC	11,984
	REV Campus Challenge, FT13347 - 335 W 16th - FTC	13,092
	REV Campus Challenge, FT13349 - 133 21st - FTC	8,395
	Technical Services, FT13080 - 1400 Broadway - FTC	11,991
	Technical Services, FT13155 - 10 East 53rd - FTC	20,913
	Technical Services, FT13259 - 1 West 54th - FTC	29,951
	Technical Services, FT13535 - Heavenly Rest - FTC	12,996
	Technical Services, FT13611 - 145 W 44th - FTC	13,492
	Technical Services, FT13630 - 575 Madison - FTC	14,996

**Contracts Completed**  
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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>Goldman Copeland Associates, P.C.</b>	Technical Services, FT13776 - 286 Madison - FTC	12,496
	Technical Services, FT13968 - 606 Broadway - FTC	5,996
	Technical Services, FT13979 - 1 Park - FTC	7,985
	Technical Services, FT13980 - 40 Fulton - FTC	12,482
	Technical Services, FT13999 - 888 7th - FTC	13,993
	Technical Services, FT14088 - 500 5th - FTC	9,484
<b>Green 485 Owner LLC</b>	Flexible Tech Assistance, FT12031 - Green 485 - PON	23,750
<b>Green Action Studio, LLC</b>	Talent Pipeline:CE and OJT, OJT	40,000
<b>Green Hybrid Energy Solutions Inc.</b>	<200KW PV, PON 2112 NY SUN	5,000
	>200KW PV, PON 2112 NY SUN	44,715
<b>Green Light New York, Inc.</b>	Prof & Expert Engagement, 2022 BEE Membership	50,000
<b>Green Street Power Partners LLC</b>	>200KW PV, PON 2112 NY SUN	298,080
<b>Green Team USA, LLC</b>	WORKFORCE DEVELOPMENT, OJT	15,360
<b>Green Visions Solar LLC</b>	<200KW PV, NY-Sun	9,120
	<200KW PV, PON 2112 NY SUN	81,470
<b>GreenLogic, LLC</b>	ENERGY STORAGE, PON 2112 NY SUN	74,450
<b>Greenwich Club Residences</b>	NYCH: Technical Assistance, FT13428 - 88 Greenwich - PON	39,700
<b>Grid City Electric Corp</b>	>200KW PV, PON 2112 NY SUN	64,218
<b>GridPoint, Inc</b>	Real Time Enrgy Management, Dos Toros - Multi Sites - RTEM	11,804
<b>Group-S LLC</b>	NYCH: Technical Assistance, FT13645 - 235 W. 48th - FTC	14,500
	NYCH: Technical Assistance, Natural Gas Constrained Areas	200,000
	Technical Services, FT13100 - 2 East 55th - FTC	29,500
	Technical Services, FT13117 - 235 East 87th - FTC	16,050
	Technical Services, FT13197 - 131 Madison - FTC	14,300
	Technical Services, FT13233 - 501 10th - FTC	13,500
	Technical Services, FT13251 - 9 Barrow - FTC	15,725
	Technical Services, FT13431 - 75 Broad - FTC	21,500
	Technical Services, FT13453 - 225 Broadway - FTC	28,350
	Technical Services, FT13485 - 200 W. 79th - FTC	12,900
	Technical Services, Natural Gas Constrained Areas	200,000
	<b>Guidehouse Inc.</b>	Energy Storage Tech/Prod Dev, RFQ3183 Umbrella Agreement
ENVIRONMENTAL RESEARCH, TWO 1 - Assessment of Carbon C		20,977
Mkt Char: Tech Assist, Tech Assist, REV Pool		394,750
Rmve Barriers Dist Enrgy Storg, RFQ3183 Umbrella Agreement		230,311
TWO #4 - VDER Alt 3 Forecast A		12,046
TWO #5 - NG and REC Price Fore		9,926
<b>Habitat for Humanity - New York City</b>	Multifam Performance Pgm, Multifamily	17,955
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	33,345
<b>Hakimian Management Corp</b>	NYCH: Technical Assistance, FT13982 - 460 W 20th - PON	16,150
	Technical Services, FT13749 - 10 W 46th - PON	9,250
<b>Halcyon Inc.</b>	Novel Bus Models & Offers, Clean Energy as a Service	490,399
	NYCH: Talent Ppln:CE and OJT, OJT	153,000
	Talent Pipeline:CE and OJT, OJT	29,760
<b>Halcyon, Inc.</b>	<200KW PV, NY-Sun	26,784
	NYCH: Talent Ppln:CE and OJT, OJT Hire	42,720
<b>HALO Branded Solutions, Inc.</b>	POLICY DEVELOPMENT, 2021 Promotional Items NYS DPS	33,948

**Contracts Completed**  
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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>Harris Beach PLLC</b>	GJGNY REVOLVING LOAN FUND, RFP 3300 Outside Counsel Servi	30,000
	NYSERDA ADMINISTRATION, RFP 3300 Outside Counsel Servi	20,000
	SARATOGA TECHNOLOGY & ENERGY PARK, RFP 3300 Outside C..	81,126
	WEST VALLEY DEVELOPMENT PROGRAM, RFP 3300 Outside Cou..	12,000
<b>Harris Wiltshire &amp; Grannis LLP</b>	REC:CES REC System Dev Costs, 2020 RES Agreement Support	49,950
<b>Harvest Power, LLC</b>	<200KW PV, NY-Sun	14,784
	<200KW PV, PON 2112 NY SUN	131,733
	>200KW PV, NY-Sun	17,556
	>200KW PV, PON 2112 NY SUN	14,592
	ENERGY STORAGE, PON 2112 NY SUN	18,750
<b>Hatchery Solar, LLC</b>	REC:CES REC Contracts, Hatchery Solar	1,718,371
<b>HC Fennell Consulting, LLC</b>	Consumer Ed and Market Support, Henri Fennell-Spray Foam Consu	50,000
<b>HDFC 185 East 2nd Street Corp.</b>	Multifam Performance Pgm, Multifamily	15,400
<b>Health Research, Inc.</b>	Environmental Research, Ultrafine Particle Emissions	47,295
	RENEWABLE HEAT NY, Ultrafine Particle Emissions	303,210
<b>Healthy Home Energy &amp; Consulting, Inc.</b>	Talent Pipeline:CE and OJT, OJT	20,160
<b>Heat Keepers, Inc.</b>	NYCH: Talent Ppln:CE and OJT, OJT	12,240
	NYCH: Talent Ppln:CE and OJT, OJT HIRE	12,960
<b>Henningson, Durham &amp; Richardson PC</b>	OREC: Technical Support, RFQL 3685 Umbrella Contract	298,619
<b>Heritage Holdings, LLC</b>	Empire Building Challenge, ECB-Phase I-L+M	125,000
	NYCH: Empire Build Challenge, ECB-Phase I-L+M	125,000
<b>HFZ 344 West 72nd Street Owner LLC</b>	Low Carbon Tech Demos, Multifamily	31,500
<b>HI TECH HVAC Services CORP</b>	NYCH: Talent Ppln:CE and OJT, OJT	102,446
<b>High Peaks Solar</b>	<200KW PV, PON 2112 NY SUN	201,978
<b>Highbanks Solar, LLC</b>	REC:CES REC Contracts, Highbanks Solar	1,124,028
<b>Hodgson Russ LLP</b>	>200KW PV, RFP 3300 & RFP 3776 Outside Co	10,000
	Home Perf w Energy Star, RFP 3300 & RFP 3776 Outside Co	70,000
	NYSERDA ADMINISTRATION, RFP 3300 & RFP 3776 Outside Co	15,000
<b>Holland &amp; Knight LLP</b>	NEW YORK GREEN BANK, RFP 12 - NYGB Legal Services	5,380
<b>Home Leasing, LLC</b>	New Construction Housing, 2019 LRNCP	62,000
<b>Honkamp Krueger &amp; Co., PC</b>	NYSERDA ADMINISTRATION, External QAR	18,700
<b>Housing Visions Consultants, Inc.</b>	New Construction Housing, 2019 LRNCP	56,600
<b>HUB Controls USA Inc</b>	Cleantech Ignition, HUB Controls -PON4534 NYCP R1	500,000
<b>Huddl Mobility Limited</b>	Pub Transit & Elect Rail, CitySwift MTA Pilot	50,000
<b>Hudson River Renewables</b>	<200KW PV, NY-Sun	5,624
	<200KW PV, PON 2112 NY SUN	36,840
<b>Huhtamaki, Inc.</b>	Industrial Process Effic, Industrial Process Efficiency	166,010
<b>Hunter Buffalo Peterbilt</b>	CLEAN TRANSPORTATION, NYT-VIP	624,423
<b>Huron Real Estate Associates, LLC</b>	On-Site Energy Manager, OsEM5-I Huron Campus	153,431
<b>Hyatt Corporation as agent for Hyatt Equ</b>	Technical Services, FT13972 - 485 5th - PON	26,000
<b>Hytech Solar Inc</b>	COMMUNITY SOLAR, PON 2112 NY SUN	10,880
	ENERGY STORAGE, PON 2112 NY SUN	12,500
<b>Ibero-American Development Corp</b>	New Construction Housing, 2019 LRNCP	107,000
<b>ICF Resources, LLC</b>	ADVANCED ENERGY CODES, ECode Microsite	158,648
	Code to Zero, ECode Microsite	91,313
<b>iCone Products, LLC</b>	CLEAN TRANSPORTATION, Connecting WNY Work Zones	331,000

**Contracts Completed**  
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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>IGS Solar, LLC</b>	<200KW PV, PON 2112 NY SUN	5,187
<b>IHS Global Inc.</b>	>200KW PV, IHS Markit Global Sarl – North	21,667
	CI Enrgy Siting & Soft Cost Red, IHS Markit Global Sarl – North	21,667
	ENERGY ANALYSIS, IHS Markit Subscription 2022	60,506
	NYSERDA ADMINISTRATION, IHS Markit Global Sarl – North	21,667
<b>Imperial Manor Associates LLC</b>	Multifam Performance Pgm, Multifamily	283,200
<b>Imperium3 New York Inc</b>	OJT	8,640
<b>Incorporated Village of Roslyn Harbor</b>	CLEANER GREENER COMMUNITIES, Roslyn Harbor	50,000
<b>INF Associates LLC</b>	NYCH: Technical Assistance, FT13780 - 17 Smith - FTC	16,000
<b>Infinity Solar Systems, LLC</b>	<200KW PV, PON 2112 NY SUN	258,786
<b>Innovative Natural Resource Solutions, L</b>	Renewable Heat NY, Wood Chip Assessment	49,500
<b>Institute for Building Technology and Sa</b>	<200KW PV, TWO No. 7 NY-Sun C&I QA TWO	39,340
	COMMUNITY SOLAR, TWO No. 7 NY-Sun C&I QA TWO	9,835
	NY-SUN, TWO No. 7 NY-Sun C&I QA TWO	300,825
<b>Integral Building &amp; Design, Inc.</b>	Buildings of Excellence, BoE Rnd 1 - Design Team Incen.	112,500
	Talent Pipeline:CE and OJT, OJT	21,346
<b>Integrity Solar Solutions, LLC</b>	<200KW PV, PON 2112 NY SUN	58,335
<b>Interface Solutions, Inc.</b>	On-Site Energy Manager, OsEM9-I-Interface Performance	214,000
<b>IOvations Inc.</b>	NYSERDA ADMINISTRATION, Check Point Firewalls 1 year	153,135
<b>Ithaca Electricians Inc.</b>	NYCH: Talent Ppln:CE and OJT, OJT	9,600
<b>Ithaca Neighborhood Housing Services, In</b>	New Construction Housing, 2019 LRNCP	55,400
<b>J Synergy Green Inc</b>	WORKFORCE DEVELOPMENT, OJT	12,000
	WORKFORCE DEVELOPMENT, OJT HIRE	8,880
<b>J Synergy Solar LLC</b>	<200KW PV, NY-Sun	21,884
	<200KW PV, PON 2112 NY SUN	5,550
	>200KW PV, PON 2112 NY SUN	5,950
<b>J. Grace Corporation</b>	Talent Pipeline:CE and OJT, OJT	10,224
<b>J&amp;A Electrical Construction LLC</b>	<200KW PV, PON 2112 NY SUN	73,025
<b>Jaros, Baum &amp; Bolles</b>	Commercial Real Estate Ten, JBB-80 Pine St Fl 12-CTP	15,041
	NYCH: Technical Assistance, FT13498 - 1271 AoA - FTC	73,898
	Technical Services, FT13167 - 745 Seventh - FTC	38,542
<b>JBI Construction Group</b>	<200KW PV, PON 2112 NY SUN	5,000
	>200KW PV, PON 2112 NY SUN	62,640
<b>John Betlem Heating &amp; Cooling Inc</b>	NYCH: Talent Ppln:CE and OJT, OJT	29,760
	Talent Pipeline:CE and OJT, OJT HIRE	8,160
<b>John Siegenthaler</b>	NYCH: Critical Tools, AWHP Technical & Economic	50,000
	Renewable Heat NY, RFP 3165 Hydronic System Desig	118,000
	WORKFORCE DEVELOPMENT, RFP 3165 Hydronic System Desig	119,814
<b>Johnson Controls, Inc. (Syracuse)</b>	K-12 SCHOOLS, P12GC-71E - Sullivan - FTC	48,002
	NYCH: Technical Assistance, FT13230 - Multiple - FTC	38,240
	Rmve Barriers Dist Enrgy Storg, FT13422 - Tompkins - FTC	14,056
<b>Jones Lang LaSalle Americas, Inc.</b>	Real Time Enrgy Management, JLL - Multisite - RTEM	87,240
<b>Jordan Energy and Food Enterprises LLC</b>	<200KW PV, PON 2112 NY SUN	16,958
<b>Joseph R Chimera</b>	WEST VALLEY DEVELOPMENT PROGRAM, Ops and Maintenance	2,256,659
<b>JouleSmart Solutions, Inc.</b>	Real Time Enrgy Management, RTEM Gas Mini-Bid Contract	48,676
<b>JP Bus &amp; Truck Repair LTD</b>	CLEAN TRANSPORTATION, NYTVIP - Suffolk Trans Service	1,400,000

**Contracts Completed**  
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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>Kamtech Restoration Corp</b>	<200KW PV, NY-Sun	76,232
<b>Kasselmann Solar LLC</b>	<200KW PV, NY-Sun	67,708
	<200KW PV, PON 2112 NY SUN	808,335
<b>Kawi Energy Group Corp.</b>	Commercial Real Estate Ten, Kawi - 20 Sickles Ave - CTP	5,430
	Commercial Real Estate Ten, Kawi Energy Group - Multisite	26,600
	Commercial Real Estate Ten, Kawi Energy Group-Multisite	66,992
	Commercial Real Estate Ten, Kawi Energy-69 E 167th St-CTP	8,978
	Commercial Real Estate Ten, Kawi-25 Victory Blvd-CTP	9,657
	Talent Pipeline:CE and OJT, OJT HIRE	30,720
<b>KBRA Holdings, LLC</b>	Public Rating on NYGB Bonds	750,000
<b>Kearns &amp; West, Inc.</b>	BR: Program Implementation, Build-Ready Facilitation Servi	17,238
<b>Kilowatt Engineering, Inc.</b>	Industrial Process Effic, 2621 Umbrella Contract	4,488
	Industrial Process Effic, Industrial Process Efficiency	42,781
	Industrial Process Effic, IPE16243	32,069
	Industrial Process Effic, IPE16257	26,600
	Industrial Process Effic, IPE16258	26,600
	Industrial Process Effic, IPE16261	15,000
<b>Kinetic Communities Consulting Corporati</b>	NYCH: Talent Ppln:CE and OJT, OJT	69,120
<b>Kingsley House Owner LP</b>	Multifam Performance Pgm, Multifamily	164,000
<b>Kool-Temp Heating &amp; Cooling</b>	<200KW PV, PON 2112 NY SUN	8,946
<b>L&amp;S Energy Services, Inc.</b>	New Construction- Commercial, Commercial New Construction	26,000
	Technical Services, FT13745 - 461 9N - FTC	9,546
	Technical Services, FT13769 - 46 School - FTC	7,045
<b>L+M Workforce Housing Fund Holdco, LLC</b>	Multifam Performance Pgm, Multifamily	127,400
<b>LaBella Associates, P.C.</b>	Geothermal Incentive Program, Large-Scale GSHP Rebate	656,000
	New Construction- Commercial, Commercial New Construction	27,000
<b>Lake Country Geothermal, Inc.</b>	NYCH: Talent Ppln:CE and OJT, OJT	22,080
	OJT	13,440
<b>Levitan &amp; Associates, Inc.</b>	OREC: Technical Support, RFP3462 Umbrella Agreement	1,445,000
	TWO 1 Future of Solar White Pp	269,710
<b>Long Island Power Authority</b>	NY-SUN, LIPA MOU RGGI Compliance Progr	149,800,000
	NYSERDA ADMINISTRATION, LIPA MOU RGGI Compliance Progr	0
	OREC: Technical Support, Large-Scale Renewables	50,000
<b>Long Island Power Solutions</b>	<200KW PV, PON 2112 NY SUN	222,077
	ENERGY STORAGE, PON 2112 NY SUN	5,250
<b>Loring Consulting Engineers, Inc.</b>	Technical Services, FT13063 - 333 East 38th - FTC	45,308
<b>Lumsden &amp; McCormick, LLP</b>	NYSERDA ADMINISTRATION, Tax Compliance Engagement 2021	22,000
<b>M/E Engineering, P.C.</b>	Commercial New Construc, RFP3771 Umbrella Contract	37,767
	K-12 SCHOOLS, P12GC-9_E - Cortland CSD - FTC	32,055
	New Construction- Commercial, Commercial New Construction	59,725
	NYCH: Technical Assistance, FT13581 - SUNY Cortland - FTC	18,732
<b>Maison East Condominium</b>	NYCH: Technical Assistance, FT13693 - 1438 3rd - PON	9,125
<b>Matrix Development, LLC.</b>	>200KW PV, NY Sun	2,917,704
	NY-SUN, NY Sun	4,279,307
<b>Maureen Data Systems, Inc.</b>	NYSERDA ADMINISTRATION, VMWare Workspace Airwatch - 1	19,606
	NYSERDA ADMINISTRATION, VMWare.Airwatch.Workspace 2.2	11,940

**Contracts Completed**  
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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>Maurice I Schwartz Towers Inc</b>	Multifam Performance Pgm, Multifamily	112,800
<b>Max Solar Inc</b>	<200KW PV, NY-Sun	6,144
	<200KW PV, PON 2112 NY SUN	28,566
<b>Mechanical Energy Solutions LLC</b>	Combined Heat and Power, CHPA - 1540 Broadway	1,581,964
<b>Meister Consultants Group, Inc.</b>	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATIO..	249,872
	REV Campus Challenge, REV CC - Meister CG	125,000
	Strategic Energy Manager, REV CC - Meister CG	125,000
<b>MEP Geothermal Engineering, PLLC</b>	NYCH: District, PON 4614 Round #1 Fleet	100,000
<b>Micatu, Inc.</b>	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Advanced ..	901,455
<b>Michael Te Lin</b>	Cleantech Ignition, Michael Te Lin consulting	40,000
<b>Middletown NY 1, LLC</b>	>200KW PV, NY-Sun C&I	689,745
<b>Middletown NY 2, LLC</b>	>200KW PV, NY-Sun C&I	279,055
<b>Milea Truck Sales Inc</b>	CLEAN TRANSPORTATION, NYT_VIP	58,330
	CLEAN TRANSPORTATION, NYT-VIP	174,990
<b>Milliman, Inc.</b>	NYSERDA ADMINISTRATION, 2022 GASB74 Liab GASB75 OPEB	12,200
<b>MIR Queens Place, LLC</b>	Technical Services, FT13318 - 88-01 Queens - PON	44,146
<b>MJW Technical Services, Inc.</b>	WEST VALLEY DEVELOPMENT PROGRAM, Radiation Protection Su..	3,314,798
<b>MLK Plaza LLC</b>	Multifam New Construction, PPES T2 MLK Plaza	100,000
<b>Moelis &amp; Company Group LP</b>	NEW YORK GREEN BANK, 3PC raise advisory Services	1,100,000
<b>Mohawk Garden Apartments, LLC</b>	Multifam Performance Pgm, Multifamily	145,600
<b>Mohawk Valley Economic Development Dist.</b>	CLEANER GREENER COMMUNITIES, CEEP Mohawk Valley Region ..	43,115
	Community Energy Engagement, CEEP Mohawk Valley Region (MVE	390,000
	OTHER PROGRAM AREA, CEEP Mohawk Valley Region (MVE	72,605
<b>Montgomery County Treasurer</b>	Clean Energy Communities, CEC610859-Montgomery County	150,000
<b>Mount Hope Solar 2, LLC</b>	>200KW PV, NY-Sun C/I	1,025,306
<b>MR. AIR NYC Corp.</b>	NYCH: Talent Ppln:CE and OJT, OJT	50,400
	OJT	15,840
<b>MVAH Partners LLC</b>	New Construction Housing, 2019 LRNCP	48,000
<b>MVP Consulting Plus, Inc.</b>	NYSERDA ADMINISTRATION, SAS Annual Maintenance 22-23	10,391
<b>NanoAnalytics Inc.</b>	RENEWABLE HEAT NY, Wood Combustion Nanoparticles	159,700
<b>NASEO</b>	Prof & Expert Engagement, Office of the President & CEO	16,834
<b>National Home Performance Council</b>	Code to Zero, 2022 Home Performance Conf	10,000
	Consumer Ed and Market Support, 2022 Home Performance Conf	80,000
	NYCH: Critical Tools, 2022 Home Performance Conf	10,000
<b>National Renewable Energy Laboratory</b>	Novel Bus Models & Offers, NREL Industry Growth Forum	25,000
<b>National Solar Technologies</b>	<200KW PV, PON 2112 NY SUN	101,602
<b>National Wind Technology Consortium, Inc</b>	Nat'l OffShWind R&D Consortium, NOWRDC-107-MARIN	120,123
	NOWRDC-107-MARIN	120,123
<b>Natural Resources Defense Council, Inc.</b>	NEW YORK GREEN BANK, 2022 GBN Membership	7,000
<b>NESCAUM</b>	ENVIRONMENTAL RESEARCH, TWO #7 LISTOS Air Quality Mode	134,500
	OTHER PROGRAM AREA, TWO #6 VOCs on Staten Island	397,500
<b>NESEA</b>	New Construction- Commercial, BENYC 2022	8,333
	NYCH: District, BENYC 2022	8,333
	Prof & Expert Engagement, BENYC 2022	1,000
	Workforce Industry Partnership, BENYC 2022	8,333
<b>Netgains Engineering P.C.</b>	NYCH: Technical Assistance, FT13586 - 111 Steuben - FTC	5,000

**Contracts Completed**  
**Period 4/1/2022 through 9/30/2022**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>Netgains Engineering P.C.</b>	NYCH: Technical Assistance, FT13605 - 3585 Greystone - FTC	8,500
	NYCH: Technical Assistance, FT13651 - 100 Riverside - FTC	15,000
	NYCH: Technical Assistance, FT13682 - 940 Tiffany - FTC	7,000
	NYCH: Technical Assistance, FT13683 - 1710 Andrews - FTC	7,500
	NYCH: Technical Assistance, FT13684 - 975 Tiffany - FTC	8,000
	NYCH: Technical Assistance, FT13685 - 1730 Andrews - FTC	7,000
	NYCH: Technical Assistance, FT13694 - 144-21 79th - FTC	12,000
	NYCH: Technical Assistance, FT13695 - 78-10 147th - FTC	24,000
	NYCH: Technical Assistance, FT13788 - 2711 Henry Hud - FTC	7,500
	NYCH: Technical Assistance, FT13789 - 2390 Palisade - FTC	7,500
	NYCH: Technical Assistance, FT13790 - 1874 Pelham - FTC	7,500
	NYCH: Technical Assistance, FT13791 - 315 W. 232nd - FTC	7,500
	NYCH: Technical Assistance, FT13792 - 190 E. Mosholu - FTC	7,500
	NYCH: Technical Assistance, FT13811 - 110 Clifton - FTC	7,000
	NYCH: Technical Assistance, FT13871 - 3475 Greystone - FTC	15,000
	NYCH: Technical Assistance, FT13898 - 7 E. 14th - FTC	13,972
	Technical Services, FT13987 - 505 Court - FTC	8,000
	Technical Services, FT14011 - 408 E 92nd - FTC	18,000
	<b>New Buildings Institute, Inc.</b>	K-12 SCHOOLS, NBI - Getting to Zero Workshop
<b>New England Solar &amp; Green Solutions, Inc</b>	<200KW PV, PON 2112 NY SUN	5,000
<b>New Flyer of America, Inc.</b>	CLEAN TRANSPORTATION, NYTVIP - UCAT	979,071
	CLEAN TRANSPORTATION, NYTVIP - Westchester County	1,305,428
<b>New Leaf Energy, Inc.</b>	>200KW PV, NY Sun	2,262,862
	NY-SUN, NY Sun	931,768
<b>New Leaf Solar LLC</b>	<200KW PV, NY-Sun	10,656
	<200KW PV, PON 2112 NY SUN	11,227
<b>New York Battery and Energy Storage</b>	CTE 2022 Sponsorship	10,000
<b>New York Chapter of CoreNet Global, Inc</b>	RTEM and Tenants, Tenant outreach and engagement	9,000
<b>New York Geothermal Energy Organization</b>	NYCH: Communities, NY-GEO Sponsorship 21-22	29,250
<b>New York Homeowners Construction Co., LL</b>	Talent Pipeline:CE and OJT, OJT HIRE	10,240
<b>New York State Solar Farm Inc.</b>	<200KW PV, PON 2112 NY SUN	142,525
<b>Newmark Partners LP</b>	Albany Hyatt - Appraisal	6,000
<b>Next Generation Solar, LLC</b>	<200KW PV, NY-Sun	14,700
	<200KW PV, PON 2112 NY SUN	48,230
<b>NextCorps Inc</b>	M-Corps, ACT Prototypes to Mass Prod NY	2,000,000
<b>Nickels Energy Solutions LLC</b>	<200KW PV, PON 2112 NY SUN	54,813
<b>Noresco LLC</b>	Commercial New Construc, Commercial New Construction	115,525
	New Construction- Commercial, Commercial New Construction	26,640
	REV Campus Challenge, FT13443 - Morningside - FTC	126,896
	Technical Services, FT13267 - 240 Greenwich - FTC	94,005
	Technical Services, FT13440 - Smilow - FTC	42,653
	Technical Services, FT13638 - 1233 York - FTC	23,498
<b>Norstar Development USA, LP</b>	NYCH: Technical Assistance, FT13944 - Ellicott Town - PON	9,950
<b>Northeast Energy Efficiency Partnerships</b>	Clean Energy Communities, 2022 NEEP Membership	10,000
	Code to Zero, 2022 NEEP Membership	15,000
	Consumer Ed and Market Support, 2022 NEEP Membership	25,000

**Contracts Completed**  
**Period 4/1/2022 through 9/30/2022**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>Northeast Energy Efficiency Partnerships</b>	NextGen HVAC, 2022 NEEP Membership	30,000
	NYCH: Critical Tools, 2022 NEEP Membership	30,000
	NYCH: Critical Tools, NEEP Sizing Visualization Tool	50,000
	NYSERDA ADMINISTRATION, 2022 NEEP Membership	15,000
	Prof & Expert Engagement, 2022 NEEP Membership	50,000
	Strategic Energy Manager, 2022 NEEP Membership	10,000
	Technical Services, 2022 NEEP Membership	10,000
<b>Norton Rose Fulbright US LLP</b>	NEW YORK GREEN BANK, RFP 12: NYGB Legal Services	6,872
<b>NortonLifeLock Inc</b>	NYSERDA ADMINISTRATION, Identity Theft Protection	15,390
<b>Novel Approaches Solar Applications, LLC</b>	<200KW PV, PON 2112 NY SUN	19,250
<b>NP Environmental LLC</b>	NYCH: Talent Ppln:CE and OJT, OJT	65,280
<b>NY 18144 Game Farm, LLC</b>	>200KW PV, NY Sun	1,024,043
	NY-SUN, NY Sun	1,228,854
<b>NY CDG 002 LLC</b>	>200KW PV, NY-Sun	123,369
<b>NYC Climate Action Alliance Inc.</b>	Commercial Real Estate Ten, NYC Climate Action: Energy Sol	50,000
<b>NYC Department of Environmental Protect</b>	Industrial Process Effic, Industrial Process Efficiency	177,979
<b>NYS Economic Development Council</b>	New Construction Housing, Gen. Marketing & Outreach 2021	40,000
	New Construction- Commercial, Gen. Marketing & Outreach 2021	10,000
	Strategic Energy Manager, 2022 Semicon West Sponsorship	5,000
<b>NYS Office of General Services</b>	SARATOGA TECHNOLOGY & ENERGY PARK, Detailed Survey of S..	37,827
	SARATOGA TECHNOLOGY & ENERGY PARK, OGS design review p..	48,253
<b>NYS Office of Parks, Recreation and</b>	<200KW PV, PON 2112 NY SUN	20,769
<b>NYSolarDoctors LLC</b>	<200KW PV, PON 2112 NY SUN	12,000
<b>NYSS LLC</b>	<200KW PV, NY-Sun	36,224
	COMMUNITY SOLAR, PON 2112 NY SUN	16,320
<b>O'Brien &amp; Gere Engineers, Inc.</b>	Industrial Process Effic, SEM_WRRF_O'Brien&Gere_TWO	50,000
<b>O'Connell Electric Company</b>	<200KW PV, NY-Sun	7,840
<b>Okeenea Digital</b>	Pub Transit & Elect Rail, Transit accessibility beacons	198,559
<b>Olena Butternut LLC</b>	Multifam Performance Pgm, Multifamily	25,200
<b>Omni New York LLC</b>	Empire Building Challenge, EBC-Phase I-Omni	125,000
	NYCH: Empire Build Challenge, EBC-Phase I-Omni	125,000
<b>OnForce Solar</b>	NY-SUN, PV System @ Manhattan Beer Dis	720,689
<b>Onsite Energy, Inc.</b>	<200KW PV, PON 2112 NY SUN	17,415
<b>Optimus Technologies Inc</b>	76 West, 76 West Bus.Energy Comp.	1,000,000
<b>Orange EV LLC</b>	CLEAN TRANSPORTATION, NYTVIP	140,080
	CLEAN TRANSPORTATION, NYTVIP - Wegmans Food Markets	421,625
<b>Ove Arup &amp; Partners Consulting Engineers</b>	Environmental Research, TWO 5 Elect. Resilience	300,000
	HCR Direct Injection, TWO #7 – HCR Project Selection	1,000,000
	New Construction- Commercial, TWO #6CN Policy Support 2022	50,000
	Product Standards, TWO #2_ARUP	15,000
	Pub Transit & Elect Rail, TWO 4 Traction Power BEB Study	410,693
<b>Pactiv Corp.</b>	Industrial Process Effic, Industrial Process Efficiency	135,784
<b>Paradise Energy Solutions, LLC</b>	<200KW PV, PON 2112 NY SUN	65,829
<b>Park Grove Development, LLC</b>	New Construction Housing, 2019 LRNCP	105,000
<b>Passive House Accelerator LLC</b>	New Construction Housing, Gen. Marketing & Outreach 2021	40,000
	New Construction Housing, Host - BoE Rnd. 3 Launch	35,000



**Contracts Completed**  
**Period 4/1/2022 through 9/30/2022**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>Passive House Accelerator LLC</b>	New Construction Housing, Strategic Industry Partner Eng	40,000
	New Construction- Commercial, Gen. Marketing & Outreach 2021	10,000
	New Construction- Commercial, Strategic Industry Partner Eng	10,000
<b>Pathfinder Engineers &amp; Architects, LLP</b>	New Construction- Commercial, Commercial New Construction	37,297
<b>Pathstone Corporation</b>	CLEANER GREENER COMMUNITIES, CEEP Finger Lakes Region (..	58,989
	Community Energy Engagement, CEEP Finger Lakes Region (PATH	439,017
	OTHER PROGRAM AREA, CEEP Finger Lakes Region (PATH	33,075
<b>Patriot Energy Solutions Corp</b>	<200KW PV, NY-Sun	12,284
<b>Pennrose LLC</b>	New Construction Housing, 2019 MFCNP	150,800
<b>People United for Sustainable Housing In</b>	CLEANER GREENER COMMUNITIES, CEEP Western New York Reg..	73,845
	Community Energy Engagement, CEEP Western New York Region	506,530
<b>Performance Systems Development, Inc.</b>	Market Tests, TWO 3 - HPR OpenStudio/EPI	292,214
	NYCH: Comfort Home, TWO 3 - HPR OpenStudio/EPI	540,244
	NYCH: Critical Tools, TWO 3 - HPR OpenStudio/EPI	73,868
<b>Pivotal 180, LLC</b>	NEW YORK GREEN BANK, 2022 Analyst/Associate Course	10,880
	NEW YORK GREEN BANK, FinOps Financial Model Review	5,000
	NEW YORK GREEN BANK, NYGB Fund Model 2022	65,000
	NEW YORK GREEN BANK, Pivotal180 2022 Intern Course	7,000
<b>PLB Oil &amp; Gas Consult LLC</b>	NEW YORK GREEN BANK, NYGB Investment Support	50,000
	NYGB Investment Support	150,000
<b>PLS Inc</b>	Home Energy Ratings, Pearl Pilot Support: NYSERDA	199,133
<b>PlugPV, LLC</b>	<200KW PV, NY-Sun	51,189
	<200KW PV, PON 2112 NY SUN	1,241,835
<b>Plymouth Gardens, Inc.</b>	Low Rise New Construction, New Construction	122,200
<b>Power Guru, LLC</b>	<200KW PV, PON 2112 NY SUN	11,210
<b>Powerhouse Dynamics, Inc</b>	Real Time Enrgy Management, Powerhouse-Multisite-RTEM	17,219
	Real Time Enrgy Management, TexasRoadhouse-MultiSites-RTEM	27,356
<b>Pratt Institute</b>	Talent Pipeline:CE and OJT, OJT	14,067
<b>Premier Solar Solutions LLC</b>	<200KW PV, NY-Sun	15,840
	>200KW PV, NY-Sun	3,960
	>200KW PV, PON 2112 NY SUN	104,710
<b>Prescriptive Data</b>	Real Time Enrgy Management, Prescriptive-55 E 52nd St-RTEM	58,384
<b>Pro Custom Solar LLC</b>	<200KW PV, PON 2112 NY SUN	6,545
<b>ProsumerGrid, Inc</b>	76 West, 76 West Clean Energy	250,000
<b>Proterra</b>	CLEAN TRANSPORTATION, NYT-VIP	1,540,000
<b>Provantage, LLC</b>	NYSERDA ADMINISTRATION, Logitech Rallybars NYGB 1333	17,250
	NYSERDA ADMINISTRATION, RallyBar and Rally Plus - Log	13,800
<b>Proven Energy Systems LLC</b>	<200KW PV, NY-Sun	10,200
<b>Providence Housing Development Corp</b>	New Construction Housing, 2019 LRNCP	40,000
<b>Public Utility Law Project of New York</b>	SFY 20-21 PULP Appropriation	900,000
<b>Putnam Valley, Town of</b>	NY-SUN, PV System for Putnam Valley Fi	25,500
<b>Quanta Technology LLC</b>	High Performing Grid, Grid Performance Gaps	687,000
<b>Quest Energy Group</b>	Commercial Real Estate Ten, Quest- 20 W 34th St FI 14-15	10,000
	Commercial Real Estate Ten, Quest-330 Madison FI 3-6	10,500
<b>QwikSolar, LLC</b>	<200KW PV, PON 2112 NY SUN	67,780
<b>R Roopnarine</b>	CLEAN TRANSPORTATION, Switched Reulctance Motor	217,514

**Contracts Completed**  
**Period 4/1/2022 through 9/30/2022**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>R3 Energy Management Audit &amp; Review, LLC</b>	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATIO..	250,000
<b>Randstad North America, Inc.</b>	Air Source Heat Pumps, Payroll Services_CHC	48,750
	Campus/Technical Assistance, Payroll Services_CHC	39,000
	Code to Zero, Payroll Services_CPS	23,374
	Community RH&C, Payroll Services_CHC	48,750
	ENERGY ANALYSIS, Data and Markets Intern	21,548
	Environmental Research, Temp Services	56,112
	Geothermal Incentive Program, Payroll Services_CHC	48,750
	Home Perf w Energy Star, Payroll Services_EAE Intern	21,548
	NEW YORK GREEN BANK, Payroll Services_NYGB_intern	20,914
	NYCH: District, Clean Heating & Cooling	19,013
	NYSERDA ADMINISTRATION, Payroll Services_SFR_intern	10,774
	NYSERDA ADMINISTRATION, PS TWO #62 - GA_Intern	14,089
	NYSERDA ADMINISTRATION, PS TWO #66 - HR_Intern	12,431
	NYSERDA ADMINISTRATION, PS.067 - Innovation_Intern	14,089
	NYSERDA ADMINISTRATION, PS.068 - Office of CIO_Intern	21,548
	NYSERDA ADMINISTRATION, Temp Services	56,112
	Renewable Heat NY, Payroll Services_CHC	48,750
<b>Red Mill Solar, LLC</b>	>200KW PV, NY Sun	654,947
<b>RED-Rochester LLC</b>	Industrial Process Effic, Industrial Process Efficiency	1,224,733
<b>Regeneron Pharmaceuticals Inc.</b>	Commercial New Construc, NCP15063 - 767 Old Saw Mill Ri	95,160
<b>Regional Economic Models, Inc</b>	ENERGY ANALYSIS, REMI License and Fee 2022	44,000
	ENERGY ANALYSIS, REMI User License and Fee 2021	44,000
<b>Regional Greenhouse Gas Initiative, Inc.</b>	ENERGY ANALYSIS, RGGI 2022 Funding Agreement	631,704
<b>Renewable Rochester LLC</b>	<200KW PV, PON 2112 NY SUN	36,666
<b>Renovus Energy, Inc.</b>	<200KW PV, NY-Sun	11,152
	<200KW PV, PON 2112 NY SUN	191,856
<b>Rensselaer Polytechnic Institute-LRC</b>	Clean Energy Communities, LED Street Lights Outreach	50,000
<b>Reos US Inc.</b>	Commercial Real Estate Ten, Playbook Planning and Developm	50,000
<b>Research Foundation of SUNY</b>	Energy Storage Tech/Prod Dev, m2M at Stony Brook	250,000
	Environmental Research, Graduate Fellowship - Biomass	90,000
	ENVIRONMENTAL RESEARCH, Seiche in Eastern Lake Erie	265,696
<b>Research Foundation of The City</b>	Talent Pipeline:CE and OJT, PON3981 Round 4	91,447
<b>Resource Innovation Institute</b>	Prof & Expert Engagement, 2022 RII Membership	25,000
<b>Resource Systems Group, Inc.</b>	CLEAN TRANSPORTATION, Modeling support for TAP	21,608
<b>Richair Mechanical Inc.</b>	NYCH: Talent Ppln:CE and OJT, OJT	70,560
	NYCH: Talent Ppln:CE and OJT, OJT Hire	12,960
	Talent Pipeline:CE and OJT, OJT	35,280
<b>RM &amp; PSG, LLC</b>	Multifam Performance Pgm, Multifamily	147,000
<b>Robert Derector Associates</b>	Commercial Real Estate Ten, RDA - 225 Liberty St - CTP	23,700
	Commercial Real Estate Ten, RDA-1114 AoA FI 5-7 - CTP	18,750
<b>Rochester Civic Housing, Inc.</b>	New Construction Housing, 2019 LRNCP	68,000
<b>Rochester Institute of Technology</b>	High Performing Grid, PON 3770	87,209
<b>Rocky Mountain Institute</b>	HCR Direct Injection, TWO 5-Short -term Tech Support	50,000
<b>Rudin Management Co. Inc.</b>	Empire Building Challenge, EBC TA - Rudin	125,000
	NYCH: Empire Build Challenge, EBC TA - Rudin	125,000

**Contracts Completed**  
**Period 4/1/2022 through 9/30/2022**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
Rural Generation & Wind (Rodney Weaver)	<200KW PV, PON 2112 NY SUN	11,172
S&P Global Market Intelligence, Inc.	NEW YORK GREEN BANK, S&P CapIQ Pro Subscription	39,000
Safari Energy LLC	>200KW PV, NY Sun	39,600
Saint Gobain Adfors America, Inc.	Industrial Process Effic, Industrial Process Efficiency	270,451
SANFILIPPO SOLUTIONS INC.	Talent Pipeline:CE and OJT, OJT	12,800
	Talent Pipeline:CE and OJT, OJT HIRE	8,640
Saratoga Solar LLC	>200KW PV, NY Sun	1,254,448
SBW Consulting	Air Source Heat Pumps, Heat Pump Impact Evaluation	49,248
	EVALUATION, Heat Pump Impact Evaluation	7,971
	Geothermal Incentive Program, Heat Pump Impact Evaluation	22,500
Schneider Electric Buildings Americas, I	Real Time Enrgy Management, SEBAI - 222 E 41st St - RTEM	56,461
SEA Electric LLC	CLEAN TRANSPORTATION, NYTVIP - Mendon Truck Leasing	220,000
SED NY Holdings	REC:CES REC Contracts, SED Clay Solar	15,507,594
SHI, Inc.	NYSERDA ADMINISTRATION, Adobe Acrobat.Creative license	65,771
	NYSERDA ADMINISTRATION, Monitors - 20	6,608
	NYSERDA ADMINISTRATION, Surface Laptop 4 laptops - 5	7,610
	NYSERDA ADMINISTRATION, Surface Laptop 4 laptops - 5 m	7,361
	NYSERDA ADMINISTRATION, Surface Laptop One – Batch 2	96,458
	NYSERDA ADMINISTRATION, Tableau Desktop Maintenance 1	90,354
Siemens Industry, Inc.	Real Time Enrgy Management, Siemens - 15 Old Falls - RTEM	66,610
	Real Time Enrgy Management, Siemens - 73 Co Rte 11a - RTEM	179,451
	Real Time Enrgy Management, Siemens-2 Buccaneer-RTEM	200,000
Sif Capital Advisors LLC	Innovation Advisors, Innovation Advisory Services	175,000
Sigora Solar	<200KW PV, PON 2112 NY SUN	16,640
Simply Installs LLC	NYCH: Talent Ppln:CE and OJT, OJT HIRE	10,800
Siteimprove, Inc.	NYSERDA ADMINISTRATION, Site Improve - 3 years	21,216
Sive Paget & Riesel PC	>200KW PV, RFP 3300 & RFP 3776 Outside Co	100,000
	BR: Program Implementation, BR Outside Counsel Support	350,000
	NEW YORK GREEN BANK, RFP 12: NYGB Legal Services	394,125
	Off-Shore Wind Master Plan, RFP 3300 & RFP 3776 Outside Co	275,000
	OREC: Technical Support, OSW Regulatory Matters	100,000
	OREC: Technical Support, RFP 3300 & RFP 3776 Outside Co	187,271
	ORES Support, Large-Scale Renewables	500,000
	WEST VALLEY DEVELOPMENT PROGRAM, RFP 3300 & RFP 3776 ..	279,864
Skyline Solar Inc.	<200KW PV, PON 2112 NY SUN	68,356
Skyven Technologies, Inc	Cleantech Ignition, PON 3871 Ignition Grants	100,000
Smith Engineering PLLC	Technical Services, FT13698 - 225 Liberty - FTC	48,126
Snug Planet, LLC	Novel Bus Models & Offers, 3932 Novel Business Models	100,000
	NYCH: Talent Ppln:CE and OJT, OJT	23,640
	Talent Pipeline:CE and OJT, OJT	40,800
Snyder Manufacturing, Inc	Geothermal Incentive Program, Large-Scale GSHP Rebate	34,392
Soho Village Hotel LLC	NYCH: Technical Assistance, FT13553 - 66 Charlton - PON	7,568
SOL NY Staten Island 1 Ellis, LLC	>200KW PV, NY-Sun	155,226
SOLANTA CORP	>200KW PV, PON 2112 NY SUN	52,668
	Talent Pipeline:CE and OJT, OJT	46,080
Solar Energy Systems, LLC	<200KW PV, NY-Sun	290,484

**Contracts Completed**  
**Period 4/1/2022 through 9/30/2022**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>Solar Energy Systems, LLC</b>	>200KW PV, NY-Sun	62,116
	>200KW PV, PON 2112 NY SUN	189,444
<b>Solar Liberty Energy Systems, Inc</b>	<200KW PV, NY-Sun	68,739
	<200KW PV, PON 2112 NY SUN	667,636
	>200KW PV, NY Sun	288,660
	>200KW PV, PON 2112 NY SUN	10,584
<b>Solar Tompkins Inc.</b>	Community RH&C, PON3723 RH&C Campaigns	350,000
<b>SolarCommunities Inc.</b>	<200KW PV, PON 2112 NY SUN	320,865
<b>Solitude Solar LLC</b>	>200KW PV, NY Sun	3,201,804
	NY-SUN, NY Sun	1,580,951
<b>Soulful Synergy, LLC</b>	Talent Pipeline:CE and OJT, Climate Justice Fellow PON4772	40,000
<b>South Goshen Solar LLC</b>	>200KW PV, NY Sun	1,275,000
	NY-SUN, NY Sun	1,875,000
<b>St. Nicks Alliance</b>	Retrofit NY, RetrofitNY St. Nick's Alliance	50,000
<b>Stance Renewable Risk Partners LLC</b>	Green Bank	6,500
<b>Standard Insulating Company</b>	Talent Pipeline:CE and OJT, OJT HIRE	8,640
<b>Stantec Consulting Services, Inc.</b>	Industrial Process Effic, Technical Review and Program S	11,449
<b>Steed Energy LLC</b>	<200KW PV, PON 2112 NY SUN	12,960
<b>Steven Winter Associates, Inc.</b>	Code to Zero, TWO #4 - ANSI Standards	83,000
	Commercial New Construc, New Construction	39,185
	Market Tests, Market Insights	288,680
	Multifam New Construction, New Construction	5,300
	New Construction Housing, TWO #4 - ANSI Standards	25,000
	Novel Bus Models & Offers, Novel Business Models R2	500,000
	NYCH: Supply Chain, ASHP SupplyChain Develop Mtgs	47,865
	NYCH: Technical Assistance, FT13369 - 80 LaSalle - FTC	24,094
	NYCH: Technical Assistance, FT13429 - 1485 5th - FTC	20,540
	NYCH: Technical Assistance, FT13456 - 935 Park - FTC	9,050
	NYCH: Technical Assistance, FT13479 - 88-36 77th - FTC	10,050
	NYCH: Technical Assistance, FT13665 - 30 W. 61st - FTC	20,541
	NYCH: Technical Assistance, FT13763 - 235 W 108th - FTC	9,700
	NYCH: Technical Assistance, Multifamily	50,000
	Real Time Enrgy Management, KibelCompanies-90 West St-RTEM	59,696
	Single Family New Construction, TWO #4 - ANSI Standards	25,000
Talent Pipeline:CE and OJT, PON3981 WFD Capacity Building	249,163	
<b>STRATCO PROPERTY GROUP INC</b>	NYCH: Talent Ppln:CE and OJT, OJT	12,960
<b>Stratford Arms Housing LP</b>	Multifam Performance Pgm, Multifamily	28,700
<b>Sugar Hill Capital Partners, LLC</b>	Technical Services, FT13165 - Sugar Hill - PON	15,000
<b>Summit Ridge Energy, LLC</b>	ESTOR:Retail Storage Incentive, Retail Storage	8,894,400
<b>Sun Source Technologies</b>	<200KW PV, PON 2112 NY SUN	145,110
<b>SuNation Solar Systems, Inc.</b>	ENERGY STORAGE, PON 2112 NY SUN	150,000
<b>Sunkeeper Solar LLC</b>	<200KW PV, NY-Sun	11,232
	>200KW PV, NY-Sun	2,808
<b>Sunlight Energy Group LLC</b>	Talent Pipeline:CE and OJT, OJT	16,141
<b>Sunlight General Capital LLC</b>	>200KW PV, NY-Sun	349,670
	Talent Pipeline:CE and OJT, OJT	15,000

**Contracts Completed**  
**Period 4/1/2022 through 9/30/2022**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>Sunlight General Capital LLC</b>	Talent Pipeline:CE and OJT, OJT HIRE	15,360
<b>Sunnova Energy Corp</b>	<200KW PV, PON 2112 NY SUN	35,822
<b>SunPower Capital, LLC</b>	<200KW PV, NY-Sun	115,265
	<200KW PV, PON 2112 NY SUN	432,048
	COMMUNITY SOLAR, PON 2112 NY SUN	5,184
<b>SUNRISE ELECTRICAL SERVICES</b>	<200KW PV, NY Sun	682,232
	<200KW PV, NY-Sun	216,704
	<200KW PV, PON 2112 NY SUN	1,054,742
	>200KW PV, PON 2112 NY SUN	6,080
<b>Sunrise Solar Solutions, LLC</b>	<200KW PV, NY-Sun	98,161
	<200KW PV, PON 2112 NY SUN	12,240
	>200KW PV, NY-Sun	42,069
	>200KW PV, PON 2112 NY SUN	220,590
	ESTOR:Retail Storage Incentive, Retail Storage	380,450
<b>SunRun, Inc</b>	<200KW PV, PON 2112 NY SUN	588,767
	ENERGY STORAGE, PON 2112 NY SUN	18,750
<b>Sunwealth Power, Inc.</b>	<200KW PV, NY-Sun	54,649
	>200KW PV, NY-Sun	11,505
<b>SUNY Buffalo</b>	Industrial Process Effic, Industrial Process Efficiency	186,860
<b>SUNY Morrisville</b>	Commercial New Construc, New Construction	9,295
<b>SUNY: Polytechnic Institute</b>	Commercial New Construc, Comm NC Incentives - SF182319	12,932
<b>SURF AVENUE LCAL LLC</b>	NYCH: District, FT13258 - 1517 Surf - PON	55,181
<b>Surf Clean Energy Inc</b>	<200KW PV, NY-Sun	89,700
	<200KW PV, PON 2112 NY SUN	22,168
	COMMUNITY SOLAR, NY-Sun	7,072
	COMMUNITY SOLAR, PON 2112 NY SUN	20,536
	ENERGY STORAGE, NY-Sun	7,200
<b>Sustainable Comfort, Inc</b>	New Construction Housing, NCP Housing	26,000
	New Construction- Commercial, Commercial New Construction	5,000
	OJT	8,845
	Single Family New Construction, NCP Housing	10,000
	Talent Pipeline:CE and OJT, OJT	16,538
	Talent Pipeline:CE and OJT, OJT HIRE	6,691
<b>Sustainable Energy Advantage, LLC</b>	REC:CES REC System Dev Costs, Large Scales Renewables Techni	75,000
	ZEC:CES ZEC System Dev Costs, Large Scales Renewables Techni	75,000
<b>Sustainable Energy Developments Inc.</b>	<200KW PV, NY-Sun	73,100
	<200KW PV, PON 2112 NY SUN	477,107
	Talent Pipeline:CE and OJT, OJT	15,360
<b>Sustainable Westchester</b>	Code to Zero, Westchester NYStretch Outreach	50,000
<b>Switch Operations Inc.</b>	Real Time Enrgy Management, SA - 435 W 31 St - RTEM	45,000
<b>Syracuse University</b>	ENERGY ANALYSIS, CL Assessment for lakes stream	57,398
	Environmental Research, CL Assessment for lakes stream	84,158
	ENVIRONMENTAL RESEARCH, Estimating Soil Weathering	199,770
	ENVIRONMENTAL RESEARCH, Marine Mercury Dynamics	200,000
<b>Syska Hennessy Group</b>	Technical Services, FT13187 - 555 West 18th - FTC	25,383
<b>T-REX Group, inc.</b>	NYSERDA ADMINISTRATION, T-Rex Analytics Platform	40,000

**Contracts Completed**  
**Period 4/1/2022 through 9/30/2022**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>Tadcon Electric LLC</b>	>200KW PV, NY Sun	6,411,326
	NY-SUN, NY Sun	4,094,377
<b>Tagup Inc.</b>	High Performing Grid, PON 3770	732,785
<b>Taitem Engineering, P.C.</b>	Air Source Heat Pumps, ASHP Technical Assistance	24,989
	Commercial New Construc, Commercial New Construction	39,881
	Technical Services, AEAP#1344 - Sweet Grass Meats	5,600
	Technical Services, FT14054 - 166 Main - FTC	6,488
<b>Talen Energy Marketing, LLC</b>	LARGE SCALE RENEWABLES, Locust Ridge Wind Farm	9,161,524
<b>Taylor Group LTD</b>	NYSERDA ADMINISTRATION, Production of displays	2,429
	OTHER PROGRAM AREA, Production of displays	2,917
<b>Tech Valley Talent, LLC</b>	NYSERDA ADMINISTRATION, TWO #9 QA Analyst Beth Graves	204,750
	NYSERDA ADMINISTRATION, TWO Salesforce BA - Himmelfarb	474,640
<b>Tecogen</b>	COMBINED HEAT AND POWER, CHPA - 261 Hudson	180,000
	Combined Heat and Power, CHPA - Neptune	1,458,000
<b>Tesla Energy Operations Inc</b>	<200KW PV, PON 2112 NY SUN	17,638
	ENERGY STORAGE, PON 2112 NY SUN	37,500
<b>Tetra Tech, Inc.</b>	OREC: Technical Support, TWO #2- Cable Burial	49,870
<b>The Board of Trustees</b>	NYCH: Technical Assistance, Modeling Blower Door Impact	50,000
<b>The Business Council of NYS, Inc.</b>	Prof & Expert Engagement, 2021 Business Council Mmbrship	6,705
<b>The Cadmus Group, LLC</b>	Air Source Heat Pumps, TWO #9 Whole House ASHP	50,000
	Informat. Products & Brokering, Atlas Buildings Hub	50,000
<b>The Center for New York City</b>	CLEANER GREENER COMMUNITIES, CEEP New York City Region (..	118,778
	Community Energy Engagement, CEEP New York City Region (CNY	962,352
	OTHER PROGRAM AREA, CEEP New York City Region (CNY	128,625
<b>The Coalition for Green Capital</b>	Prof & Expert Engagement, '22 American GB Consortium Mem	10,000
<b>The Common Pool, LLC</b>	EVPRZ:Implementation, Prize Administrator	2,298,000
<b>The Energy Studio, Inc.</b>	New Construction- Commercial, Commercial New Construction	49,990
<b>The Radiant Store</b>	Renewable Heat NY, Clean Heating & Cooling	12,000
<b>The Real Estate Board of New York, Inc.</b>	Real Time Enrgy Management, PropTech Challenge 2022	35,000
<b>The Research Foundation for SUNY</b>	Energy Storage Tech/Prod Dev, Renewable Optimz Energy Storge	200,000
<b>The Research Foundation for the State</b>	New Construction Housing, 2022 NYS Green Building Conf.	4,000
	New Construction- Commercial, 2022 NYS Green Building Conf.	2,000
	OTHER PROGRAM AREA, CNSE Net Zero Project	1,000,000
<b>The Research Foundation of SUNY (UB)</b>	REV CAMPUS CHALLENGE, RFP 3214 REV Campus Challenge	1,000,000
<b>The Top Gun Group, LLC</b>	OJT	5,120
<b>The Trustees of Columbia University</b>	Environmental Research, Upstate building footprints	342,672
	Upstate building footprints	47,487
<b>Thermodynamix LLC</b>	NYCH: Talent Ppln:CE and OJT, OJT	61,440
<b>ThinkEco, Inc.</b>	MARKET PATHWAYS, Behavioral Demonstrations Prog	381,838
<b>ThunderCat Technology LLC</b>	NYSERDA ADMINISTRATION, Cisco Umbrella - 1 year	18,634
	NYSERDA ADMINISTRATION, Linchpin Theme - Smart Course	11,870
	NYSERDA ADMINISTRATION, Sitecore CMS License 2022-2023	83,419
<b>TM Montante Solar Developments, LLC</b>	<200KW PV, NY-Sun	75,264
	<200KW PV, PON 2112 NY SUN	74,760
<b>Town of Amherst</b>	Clean Energy Communities, Town of Amherst	250,000
<b>Town of Brookhaven</b>	CLEANER GREENER COMMUNITIES, Town of Brookhaven	150,000

**Contracts Completed**  
**Period 4/1/2022 through 9/30/2022**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
Town of Dannemora	Net Zero Energy for Eco Dev, New Construction	38,750
Town of Greenburgh	Clean Energy Communities, CEC510649-Twn of Greenburgh	30,000
Town of Middletown	Clean Energy Communities, CEC001299 - Town of Middletown	50,000
Town of Mount Morris	Cl Enrgy Siting & Soft Cost Red, Town of Mount Morris Code TA	29,070
Town of Plattsburgh	Clean Energy Communities, Town of Plattsburgh	100,000
Town of Somers	Clean Energy Communities, CEC500636 - Town of Somers	50,000
Trane	K-12 SCHOOLS, P12GC-46E- Rensselaer - FTC	38,865
	Real Time Enrgy Management, Trane-17 Lansing St-RTEM	295,980
Transect Inc.	BR: Program Implementation, Transect Subscription	24,000
TRC Energy Services	>200KW PV, Staff Augmentation Services	449,250
	Cl Enrgy Siting & Soft Cost Red, Staff Augmentation Services	48,750
	Commercial New Construc, SA.042_TWO#17b - NCP NYC PM	46,174
	Commercial Real Estate Ten, SA.086a_TWO #27_AES_PM-1	84,923
	ESTOR:Retail Storage Incentive, 3695 Energy Storage TWO	150,000
	Informat. Products & Brokering, SA.086a_TWO #27_AES_PM-1	84,923
	Low Rise New Construction, SA.042_TWO#17b - NCP NYC PM	49,803
	Multifam New Construction, SA.042_TWO#17b - NCP NYC PM	111,529
	New Construction Housing, SA.042_TWO#17b - NCP NYC PM	217,178
	New Construction- Commercial, SA.042_TWO#17b - NCP NYC PM	81,294
	Real Time Enrgy Management, SA.028_TWO #10_AES_PM	215,000
	Real Time Enrgy Management, Staff Augmentation Services	619,734
	Rmve Barriers Dist Enrgy Storg, Staff Augmentation Services	48,750
Single Family New Construction, SA.042_TWO#17b - NCP NYC PM	79,575	
Tri State Solar Services	<200KW PV, PON 2112 NY SUN	24,030
Trinity Solar Inc	<200KW PV, PON 2112 NY SUN	144,070
True Building Performance LLC	WORKFORCE DEVELOPMENT, OJT	6,400
True Energy Solutions	OJT	16,560
	Talent Pipeline:CE and OJT, OJT	27,360
	Talent Pipeline:CE and OJT, OJT HIRE	12,960
Two Plus Four Construction Co., Inc.	New Construction Housing, 2019 LRNCP	80,000
UGE USA Inc.	>200KW PV, PON 2112 NY SUN	11,928
Ultra Dairy, LLC	Industrial Process Effic, Industrial Process Efficiency	97,373
Unique Electric Solutions of NYS LLC	CLEAN TRANSPORTATION, NYTVIP	120,000
	CLEAN TRANSPORTATION, UPS All-Electric Vehicle Demo	499,657
	Cleantech Ignition, PON 3871 Ignition Grants	99,960
United Solar Energy Supporters, Inc.	Cl Enrgy Siting & Soft Cost Red, USES Video - Mount Morris	40,500
United Way of Long Island	CLEANER GREENER COMMUNITIES, CEEP Long Island (UWLI)	31,888
	OTHER PROGRAM AREA, CEEP Long Island (UWLI)	400,000
University of Rochester	REV Campus Challenge, RFP 3675 REV Campus Challenge	1,000,000
University System of New Hampshire	U.S. DOE SEP Grant for oTherm	172,525
Upstate Alternative Energy	<200KW PV, PON 2112 NY SUN	21,868
Upstate Capital Association of New York	OTHER PROGRAM AREA, Upstate Capital Sponsorship	50,000
Upstate Venture Connect	OTHER PROGRAM AREA, Upstate Venture Sponsorship	50,000
Urban Energy Inc	>200KW PV, PON 2112 NY SUN	63,208
	Talent Pipeline:CE and OJT, OJT	45,120
Urban Green Council	New Construction Housing, Gen. Marketing & Outreach 2021	40,000

**Contracts Completed**  
**Period 4/1/2022 through 9/30/2022**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
Urban Green Council	New Construction- Commercial, Gen. Marketing & Outreach 2021	10,000
Urban League of Rochester, NY, Inc	New Construction Housing, 2019 LRNCP	69,700
Vecino Group New York, LLC	Multifam New Construction, New Construction	94,400
Venture at Endicott LLC	Multifam Performance Pgm, Multifamily	47,600
Vermilyea Partners LLC	NYCH: LMI, Clean Heating & Cooling	40,500
Vidaris, Inc.	Commercial New Construc, Commercial New Construction	240,890
	Commercial Real Estate Ten, Vidaris - 50 Hudson Yards -CTP	55,956
	New Construction- Commercial, Commercial New Construction	82,042
Village of Amityville	CLEANER GREENER COMMUNITIES, Village of Amityville	50,000
Village of Irvington	Clean Energy Communities, CEC500660-Vllg of Irvington	10,000
Village of Kinderhook	CEC400045 - Village of Kinderh	30,000
	Clean Energy Communities, CEC400045 - Village of Kinderh	5,000
Village of Northville	Clean Energy Communities, CEC600919 Village of Northvill	50,000
Watertown, City of	OTHER PROGRAM AREA, Sludge permitting and design	585,646
Wayne County Action Program	Talent Pipeline:CE and OJT, OJT HIRE	8,280
WB Engineering & Consulting PLLC	Commercial Real Estate Ten, WB Engine-61 9thAve FI 2-9-CTP	18,750
	Commercial Real Estate Ten, WBE-233 Spring St FI 3,5,6-CTP	9,270
	Commercial Real Estate Ten, WBE&C - 20 Madison Ave Ext	7,468
Wendel Energy Services, LLC	Industrial Process Effic, SEM_WRRF_Wendel_TWO	50,000
	REV Campus Challenge, FT13530 - 300 S. Parkway - FTC	48,000
	Technical Services, FT13319 - Plattsburg - FTC	74,200
	Technical Services, FT13617 - 2155 Baseline - FTC	12,000
	Technical Services, FT13640 - Tonawanda - FTC	24,000
	Technical Services, FT14044 - 8443 Lake Shore- FTC	15,311
West Group Law PLLC	>200KW PV, RFP 3300 Outside Counsel Servi	50,000
Westville Associates of New York 1 LLC	Multifam Performance Pgm, Multifamily	168,000
Wildcat Renewables, LLC	>200KW PV, NY Sun	540,040
	NY-SUN, NY Sun	785,512
Wildlife Conservation Society.	Environmental Research, Environmental Research	50,000
Willdan Energy Solutions	Industrial Process Effic, Industrial Process Efficiency	34,940
	Industrial Process Effic, IPE16234	32,821
	Industrial Process Effic, IPE16240	25,263
	Industrial Process Effic, Technical Review and Program S	7,786
Willdan Lighting & Electric, Inc.	Talent Pipeline:CE and OJT, OJT	36,888
Wiltshire Renewable Energy Systems, LLC	<200KW PV, PON 2112 NY SUN	7,200
WNY Rural Preservation, LP	Multifam Performance Pgm, Multifamily	16,800
Women of Renewable Industries and Sustai	Prof & Expert Engagement, 2022 WRISE Membership	5,000
Wood Mackenzie Inc	NY-SUN, Wood Mackenzie Subscriptions	29,000
	REC:CES REC System Dev Costs, Wood Mackenzie Subscriptions	85,000
Wood Mackenzie Power & Renewables, Inc.	NY-SUN, Wood Mackenzie Subscriptions	29,000
	OREC: Technical Support, N America Power 2022/23	29,700
	REC:CES REC System Dev Costs, N America Power 2022/23	29,700
	REC:CES REC System Dev Costs, Wood Mackenzie Subscriptions	85,000
Xerox Corp	Industrial Process Effic, Industrial Process Efficiency	479,921
Zerodraft Residential Inc.	OJT	41,280
	Talent Pipeline:CE and OJT, OJT	28,800



## Contracts Completed

Period 4/1/2022 through 9/30/2022

Contractor	Contract Description	Total Contract Amount
Zerodraft Residential Inc.	Talent Pipeline:CE and OJT, OJT HIRE	16,320
Zones LLC	NYSERDA ADMINISTRATION, Webex (Cisco) licensing 1 yr	65,023
<b>Grand Total</b>		<b>3,666,916,789</b>