



NYSERDA

KATHY HOCHUL
Governor

RICHARD L. KAUFFMAN
Chair

DOREEN M. HARRIS
President and CEO

June 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 October 1, 2021, through March 31, 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-june-nyserda-semi-annual-report.pdf>

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

Sincerely,

Doreen M. Harris
President and CEO

New York State Energy Research and Development Authority

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19th Floor
New York, NY
10018-7842
(P) 212-971-5342
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**West Valley Site
Management Program**
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14171-9500
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NYSERDA

Revenues Collected - October 1, 2021 through March 31, 2022

Revenue Source	Amount (\$000's)
State Appropriation	8,815
Utility Surcharge Assessments	391,831
Clean Energy Standard Proceeds	338,239
Allowance Proceeds	157,284
Third-party reimbursements	29,669
Federal grants	5,338
Interest subsidy	147
Project repayments	402
Rentals from leases	571
Fees and other income	(39,209)
Loans and financing receivables interest	8,019
Investment income	(181)
Total revenues	900,924

NYSERDA

Public Authority Law Report

October 1, 2021 to March 31, 2022

Section Break

Solicitation Summary October 1, 2021 to March 31, 2022

Solicitation No.	Title of Solicitation	Solicitation Description	Issue Date	Due Date/Round	Funding Available
RFP 4789	Sitecore CMS Administration and Web Development	<p>NYSERDA is seeking consulting services for developing and maintaining websites within NYSEERDA's Sitecore CMS 3-tier, 3-layer development environment. The contractor must be qualified in, and experienced with, website and database development using Sitecore CMS 9.2 (and higher) and related technologies (Sitecore CMS 10.1 preferred), as well as configuring content-editing and publishing-to load-balanced Sitecore CMS web servers.</p>	10/1/2021	10/26/2021	\$2,600,000.00
PON 4809	Empire Building Challenge (Phase II: Low Carbon Retrofits Implementation)	<p>The Empire Building Challenge (EBC) supports replicable and scalable low carbon retrofit approaches to achieving carbon neutrality in existing large and tall buildings. Announced in the 2020 State of the State address, EBC is a public-private partnership between NYSEERDA and leading commercial and multifamily real estate portfolio owners, developers, and occupants. EBC will demonstrate innovative low carbon retrofit projects that reduce buildings' energy consumption and greenhouse gas emissions and that are scalable and replicable across New York State.</p>	10/6/2021	11/15/2021	\$25,000,000.00
PON 4856	Empire Technology Prize Program Administrator	<p>The Empire Technology Prize (ETP) is a Corporate Challenge and Prize program that will attract solution providers from across the globe to New York to advance low carbon retrofit solutions. NYSEERDA seeks an experienced Program Administrator to co-develop and manage this new initiative. The Program Administrator will be responsible for managing operations, program, and outcome-driven milestones, including convening strategic partners, recruiting and selecting solution providers, providing training and support to selected program participants, fundraising from corporate partners, and awarding prizes.</p>	10/18/2021	11/17/2021	\$9,500,000.00

PON 4864	Radiation Protection Support Services for the State-Licensed Disposal Area (SDA)	<p>NYSERDA seeks proposals for providing the West Valley Site Management Program (WVSMP) with radiation protection support services at the Western New York Nuclear Service Center (WNYNSC) including dosimetry, equipment calibration oversight and regulatory assistance needed to conduct operations at the State-Licensed Waste Disposal Area (SDA), and on the undeveloped areas of the WNYNSC known as the Retained Premises.</p>	11/1/2021	1/26/2022	\$200,000.00
PON 4895	Energy-Related Air Quality Research	<p>PON 4895- Energy-Related Air Quality Research, supports research to improve the scientific and technical foundation for addressing key policy-relevant questions related to air quality research. Targeted research categories include: ozone chemistry dynamics in the NYC- Long Island region; utilization of satellite and other remote sensing products for air quality characterization at fine spatial scales and improved air quality forecasting; and methane and co-pollutant emissions monitoring, source characterization and inverse modeling to improve the greenhouse gas inventory.</p>	11/15/2021	1/18/2022	\$4,000,000.00
RFP 4831	Acoustic and oceanographic surveys to support offshore wind energy development	<p>NYSERDA seeks to select contractors to undertake passive acoustic monitoring and autonomous surface or underwater vehicle surveys of the New York Bight Proposed Commercial Lease area; and to successfully advance environmentally responsible offshore wind power development activities in U.S. waters.</p>	12/9/2021	2/3/2022	\$1,250,000.00
RFP 4886	Residential Systems Implementation Partner	<p>□ The New York State Energy Research and Development Authority (NYSERDA) is seeking proposals for a systems integrator and partner to design, scope, build and implement a Residential Market Engagement System (RMES) to support energy efficiency services and the transition to clean energy for one-to-four family residential existing homes in New York State. The objective of this RFP is to award a contract for a solutions partner/systems integrator to deliver both an immediate solution to support programs aligned with the Clean Energy Fund, New Efficiency New York and an expanded solution to support programs and initiatives aligned with the Climate Leadership and Community Protection Act (Climate Act).</p>	12/10/2021	2/2/2022	\$10,000,000.00

RFI 4944	Offshore Wind Cable Corridor Constraints Assessment Framework	<input type="checkbox"/> <p>NYSERDA has launched Request for Information (RFI) 4944 to engage with interested stakeholders to understand potential constraints to siting offshore wind energy cables in the nearshore environment (New York State waters), at landfall, and along overland areas.</p>	12/22/2021	2/14/2022	No value was stated in solicitation
RFI 4880	Climate Insurance Innovation Program	<p>The Insurance Innovation Request for Information (RFI) 4880 supports NYSERDA's efforts in collecting information and feedback on the market barriers identified for the insurance industry. These barriers include, but are not limited to, climate transition, the best ways to create catalytic support mechanisms that can be deployed to drive change, and how the industry recommends that NYSERDA be supportive. It will also provide an opportunity for a transparent and inclusive program design.</p>	12/28/2021	2/28/2022	No value was stated in solicitation
RFP 4968	INTEGRATED ENERGY DATA RESOURCE (IEDR) Solution Architect and Development Contractor	<p>The objective of this RFP is to select the IEDR Solution Architect and Development Contractor (Development Team) responsible for designing, building, and operating the IEDR software platform to accomplish the policy goals and program outcomes described in the Commission's IEDR Order. Proposers may be a single company or team of companies. In their response, Proposers must clearly identify the key employees, subcontractors, or relevant affiliates of all entities proposed to fulfill the requirements of this RFP, and their roles.</p>	3/28/2022	5/12/2022	\$6,500,000.00
RFP 4875	Building Better Homes Emissions Free and Healthier	<p>New York State Energy Research and Development Authority (NYSERDA) is accepting Applications from firms to become approved Partners for Building Better Homes – Emissions Free and Healthier Communities program. Home builders and developers that become Partners in the program will be eligible to receive funding to design, market and build carbon neutral homes. NYSERDA seeks firms capable of delivering highly energy efficient all-electric new homes to reduce overall greenhouse gas emissions and provide healthy living environments. Building Better Homes Partners will offer these highly energy efficient carbon neutral new homes as a part of their sales portfolio to prospective home buyers.</p>	12/20/2021	12/31/2023	\$5,000,000.00

PON 4600	Third-Party Support and Advancing Code Compliance Technology Pilot Program	NYSERDA is accepting applications from Authorities Having Jurisdiction (AHJs) interested in participating in the Third-Party Support and Advancing Code Compliance Technology Pilot Program. Recognizing that opportunities to advance progress on building energy codes and catalyze greenhouse gas reductions are vital to the ambitious Climate Act, NYSERDA seeks to support technical and online energy code capacities in AHJs.	11/23/2021	10/20/2022	\$2,000,000.00
PON 4878	RetrofitNY Gap Funding for High-Performance Retrofit Projects (Round Two)	This solicitation will provide project gap-funding to design, produce, and install carbon neutral retrofit solutions for pre-qualified affordable multifamily buildings. NYSERDA will select a limited number of affordable building owners to receive gap-funding for whole building retrofits whose buildings have been qualified through NYSERDA Request for Qualifications (RFQL) 4552, and who submit an application in partnership with a solution provider qualified through RFQL 4553 that is comprised of components qualified through RFQL 4551.	11/10/2021	11/8/2024	\$5,000,000.00
RFP 4976	Climate Justice Fellowship Support	NYSERDA is seeking a contractor to provide support services to meet the needs of the fellows and host companies who are awarded funding under PON 4772. The goal of the additional support is to ensure that the fellows have the skills, knowledge and networks needed to successfully transition to quality jobs in the clean energy economy and / or launch new climate tech innovation companies following their fellowship.	2/23/2022	3/17/2022	\$800,000.00
RFQL 4902	Residential Energy Services Providers	NYSERDA) is looking to establish a pool of contractors who have expertise residential energy efficiency and clean energy sector, spanning across single-family to multifamily, retrofits and new construction. Qualified contractors will have experience in one or more of the following categories: Market Development and Implementation Services; Residential Services Providers; Technical Support, Analysis, and Tool Development; and Housing and Policy Expertise.	2/15/2022	3/24/2022	No value was stated in solicitation

RFP 4859	NYSERDA Stretch to Zero Pilot Program	The Stretch to Zero Pilot Program aims to make awards in two categories: Category One aims to award municipalities up to \$500,000 each for the adoption and implementation of a zero on-site greenhouse gas emissions code by December 2023. Category Two aims to make awards for municipalities that have already taken a local legislative action to adopt a zero on-site greenhouse gas emissions code, and who are interested in sharing information with NYSERDA and learning from the other participating municipalities. These municipalities can apply to receive up to \$25,000 per quarter over the two-year Pilot Program for a maximum award of \$200,000. Currently NYSERDA has allocated \$2 million for awards in Category One and \$600,000 for awards in Category Two.	2/2/2022	5/2/2022	\$2,600,000.00
PON 4393 - Rd 2	Future Grid Challenge Round 2	Systematic improvements to grid investments and operations are needed to accommodate widespread adoption of distributed energy resources and enable market development across New York State. The Future Grid solicitation seeks innovative solutions to challenge areas that enable a clean transmission and distribution grid as defined in the Climate Leadership and Community Protection Act. The challenges will be developed in collaboration with grid stakeholders such as the state's utilities and asset owners pursuing grid interaction advancements. Up to \$3 million is available per challenge for product development and demonstration projects.	3/23/2022	6/22/2022	\$40,000,000.00
RFP 4965	Centralized Support Services	NYSERDA's Centralized Support Services provides support, specifically general inquiries through phone, email and web, application intake, and payment processing for NYSERDA's programs and processes. These services will advance NYSERDA's mission of advancing clean energy innovation and investments to combat climate change, improving the health, resiliency, and prosperity of New Yorkers and delivering benefits equitable to all by streamlining and simplifying NYSERDA's engagement with customers while maintaining quality and responsiveness.	3/18/2022	5/5/2022	No value was stated in solicitation

PON 4563- Revised	Just Transition Site Reuse Planning	<p>The Just Transition Site Reuse Planning Program is designed to provide communities with planning services to inform future decision making at the local level to help mitigate any negative impacts of pending or future fossil fuel power plant closures. Communities may be eligible for up to \$150,000 of site reuse planning technical assistance, with a Disadvantaged Community (DAC) Adder of up to \$10,000 for applicants with a DAC located in their municipality, as defined at time of application.</p>	3/15/2022	8/5/2024	\$4,750,000.00
PON 4062 - Revised	RetrofitNY Gap Funding for High-Performance Retrofit Projects (New York City)	<p>Through this PON, NYSERDA will provide project funding for up to three building owners whose respective buildings have had high-performance retrofit solutions designed for them under NYSERDA's RFP 3750. Buildings must be located inside the five boroughs of New York City and not be higher than seven stories. The goal of funding such projects is to demonstrate the efficacy of the retrofit solutions and lay the foundation for such solutions to be developed at large scale, significantly reducing their costs thereby and ultimately making the process self-financing and self-sustaining.</p>	3/29/2022	12/30/2022	\$4,360,000.00

PON 4000 - Revised	New York State Clean Energy Internship Program	<p>☐</p> <p>Provides funding to eligible clean energy businesses, organizations, and local municipalities hiring interns to perform meaningful work in the clean energy sector. Both clean energy businesses and interns can apply to participate in the program. Accepted businesses will select, interview, and hire interns, and NYSERDA provides reimbursement on a percentage of the interns' wages.</p>	1/27/2022	12/30/2024	\$2,000,000.00
PON 4482 - Revised	Cooperative Advertising and Training for Clean Energy Partners	<p>NYSERDA's Cooperative (Co-op) Advertising and Training Program for Clean Energy Partners provides cost-sharing incentives to support advertising, special promotions and/or events, including training, for eligible clean energy technologies including cold-climate air source heat pumps, ground source heat pumps, energy efficiency (i.e. air sealing and insulation), and high-efficiency low-emission wood heating systems. The co-op advertising and training funds can be used to promote industry focused advertising and manufacturer-led sales, design and/or installation training. This program promotes the benefits and available offers to drive the adoption of Clean Energy.</p>	12/1/2021	12/31/2022	\$10,100.000.00

PON 4337 - Revised	New Construction - Housing	The New Construction – Housing (NC-Housing) Program supports the design, development, and construction of carbon neutral buildings, reducing energy consumption and per capita carbon emissions while ensuring the buildings are resilient. Through NC-Housing, NYSERDA offers financial incentives and technical support for the new construction, gut rehabilitation or adaptive re-use of residential and mixed-use buildings, inclusive of single-family homes, multi-unit developments, multifamily buildings, residence halls, dormitories, and congregate living facilities, exclusive of nursing homes.	3/14/2022	9/30/2022	\$23,744,000
PON 3981 - Revised	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 any 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.	1/6/2022	1/18/2023	\$4,000,000.00
PON 4743 - Revised	Clean Neighborhoods Challenge	The Clean Neighborhoods Challenge aims to reduce local air pollution in disadvantaged communities through the introduction or expansion of electric and active transportation modes, which could be paired with activities that enable a reduction in polluting vehicle traffic. The most successful solutions will take an integrated approach that enables immediate and long-term air pollution reductions, demonstrates clear potential for replication and scale, and improves quality of life in the neighborhood.	12/29/2021	6/7/2022	\$30,500,000.00

PON 4745 - Revised	Electric Truck & Bus Challenge	The Electric Truck and Bus Challenge aims to identify and demonstrate ways to reduce the cost, system and operational challenges of further deployment of medium- and heavy-duty (MD/HD) electric vehicles (EVs), including minimizing the costs of charging and grid integration infrastructure for MD/HD EVs; improve the quality of life in disadvantaged and other impacted communities; and demonstrate clear potential for replication and scale	12/29/2021	6/9/2022	\$24,500,00.00
PON 4744 - Revised - Electric Mobility Challenge	Electric Mobility Challenge	The Electric Mobility Challenge aims to transform the transportation options for members of disadvantaged communities by providing safe, convenient electric mobility options that meet community needs, which may include access to jobs, educational opportunities, basic services, and others as defined by the impacted communities, improve the quality of life in those communities, and demonstrate clear potential for replication and scale.	12/29/2021	6/8/2022	\$21,500,000.00
PON 4772 - Revised	Climate Justice Fellowship	NYSERDA) is seeking applications to fund and provide professional development training/mentoring for year-long, full-time fellowships, for individuals currently residing in disadvantaged communities or from a priority population, to work within organizations and businesses that advance climate justice and clean energy priorities for disadvantaged communities. It is anticipated that fellows will work with community-based organizations, universities, municipalities, climate tech innovators/start-ups and clean energy businesses. Host employers must apply to the program with a fellow candidate identified.	11/22/2021	1/31/2022	\$5,200,000.00
RFP 4630 -Rd2 Revised	Regional Clean Energy Hubs	Provides community-based outreach and engagement to residents, small businesses, nonprofits and affordable housing owners to: increase access to, and participation in, clean energy programs, incentives, and resources; improve energy literacy; and build capacity in disadvantaged communities to participate in and benefit from the clean energy economy.	11/22/2022	5/26/2022	\$3,302,944.00

PON 3298 - Revised -	Clean Energy Communities Program	Local governments are critical partners in achieving a new energy vision for New York State. As such, municipal leaders play a critical role in affecting energy choices in their communities, both in terms of government operations, and also across homes, businesses, and community institutions. The Clean Energy Communities Program provides grants, direct technical support to communities, and recognition to local governments that demonstrate leadership in the area of clean energy.	11/18/2021	12/31/2025	\$37,107,150.00
PON 3982 - Revised -	On-the-Job Training for Energy Efficiency and Clean Technology	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.	11/4/2021	12/31/2024	\$8,500,000.00
PON 4463 - Revised	Career Pathway Training Partnerships for High Efficiency HVAC and Heat Pumps	NYSERDA is seeking proposals for hands-on, entry level training programs designed to help develop a talent pipeline of new workers (e.g., technicians, installers, technical sales) that are aligned with the basic, technical, and advanced skills needed by employers to work in high efficiency heating, ventilation, and air conditioning (HVAC) careers specializing in heat pump technologies including cold climate heat pump applications. It is anticipated that successful proposers will already have HVAC or related training programs and proposals will be focused on expanding into heat pump technologies and recruiting individuals from disadvantaged communities and priority populations.	11/4/2021	4/19/2022	\$3,700,000.00

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



Empire Technology Prize Program Administrator
Program Opportunity Notice (PON) 4856
\$9,500,000 Available

NYSERDA reserves the right to extend and/or add funding to the Solicitation should other program funding sources become available

Proposals Due: November 17, 2021 by 3:00 p.m. Eastern Time*

Program Summary: The New York State Energy Research and Development Authority (NYSERDA) seeks an experienced Program Administrator to co-develop and run a new Corporate Challenge and Prize program focused on advancing building technologies that will increase the deployment and adoption of low carbon retrofits in tall commercial and multifamily buildings. The Empire Technology Prize will continue NYSERDA’s nation-leading work towards achieving carbon-neutrality in existing buildings and will draw on lessons learned from the [Empire Building Challenge](#), an initiative to transform existing multifamily and commercial tall buildings and substantially reduce the carbon footprint of these structures.

With NYSERDA’s support, the selected Program Administrator will be responsible for convening strategic partners, recruiting and selecting solution providers, providing training and support to selected program participants, fundraising from corporate partners, and awarding prizes. NYSERDA will work closely with the selected Program Administrator to co-develop the scope of the program and an execution plan. The contract will award up to \$9,500,000 and run through the end of 2024. NYSERDA expects to award this contract in calendar year 2021 with the goal of starting program planning with an awardee in 2021.

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 Katie MacDonald at (518) 862-1090, ext. 3016 or by e-mail etp@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. 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. At NYSERDA’s discretion, questions received concerning this solicitation and/or responses to these questions may be posted publicly in anonymized form.

***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>).

I) Introduction

NYSERDA seeks an experienced Program Administrator to co-develop the Empire Technology Prize, an ambitious new program to attract solution providers from across the globe with business models or technologies that can accelerate market uptake and reduce the cost of low carbon retrofits in New York State. This program will launch in 2022 and run for approximately 12 months. It is currently envisioned as a single-round program, so that each of the planned activities will take place once.

Proposers interested in administering this program should have demonstrated experience in the following:

- Identifying and recruiting global technology and/or business model solution providers;
- Convening experts and industry-focused judging committees to select innovators for competitive programs;
- Providing business acceleration support to help innovators reach technical and commercial milestones;
- Facilitating strategic partnerships between solution providers and corporate end users; and
- Fundraising millions of dollars from corporate partners.

NYSERDA is looking for proposers who have run multiple cycles of Corporate Challenge programs in collaboration with private sector actors. Preference will be given to proposers who have successfully operated programs in the building decarbonization space. Proposers are permitted to subcontract where necessary to meet these qualifications.

Once a Program Administrator is selected, NYSERDA will work closely with the team to convene strategic program partners, develop program and prize parameters, and establish an execution plan. Up to \$9,500,000 of NYSERDA funding is available for this program through 2024, including at least \$7,800,000 designated for award funding and up to \$1,700,000 for program management. All, some, or none, of the available funds may be awarded through PON 4856. NYSERDA reserves the right to add or reduce time and/or funding to awarded contract(s).

Definitions:

- **Program Administrator:** An entity that will, alongside NYSERDA, co-develop and operate the Empire Technology Prize program. The Program Administrator will ensure the delivery and quality of the program activities described in the Services Requested paragraph below.
- **Solution Providers:** Any business, large or small, offering a business model or technology solutions for building decarbonization.
- **Corporate Challenge:** A program designed to bridge the gap between supply and demand market actors through co-defined problem statements and co-developed solutions as well as sustained collaboration between Corporations and Solution Providers.
- **Tall Building:** An existing commercial office building at least 15 stories high or an existing multifamily building at least 8 stories high.

- 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.

II) Program Requirements

A. Opportunity Summary:

The Program Administrator will be tasked with co-developing and operating of the Empire Technology Prize to support the decarbonization of Tall Buildings in New York State. \$9,500,000 in NYSERDA funding is available to fund this effort through this PON. NYSERDA expects to award this contract in calendar year 2021, with the goal of awarding some of the program management fees to enable program planning in 2021.

NYSERDA seeks a highly qualified entity that has demonstrated experience delivering on the Services Requested described below (Section D). Although experience in the buildings sector is a plus, specific expertise in this area is not a requirement of this PON.

NYSERDA will play a hands-on role in developing program plans with the Program Administrator and anticipates frequent communication throughout the set up and execution of the program. In addition to providing perspectives and input, and serving in multiple program governance capacities, NYSERDA will play an active role to support the Program Administrator as it raises additional funding for the program from corporate partners.

B. Available Funding, Awards, and Terms:

The Empire Technology Prize will have a total prize pool of \$10,000,000. NYSERDA will fund the program with \$9,500,000, and the Program Administrator may designate up to \$1,700,000 of those funds for program management.

The remaining funding, a minimum of \$7,800,000, must be designated for awards. The Program Administrator will be responsible for closing the gap between NYSERDA's funding that has been designated for awards and the full \$10,000,000 prize pool. Thus, if the Program Administrator utilized the full \$1,700,000 out of the awarded \$9,500,000 for program management, it would need to raise an additional \$2,200,000 to ensure that the Empire Technology Prize pool is \$10,000,000.

Proposers are not expected to have committed funding, but should have experience fundraising millions of dollars from corporate partners and should submit a fundraising plan. NYSERDA will work with the Program Administrator to refine the fundraising plan, develop funding partnerships, and establish an award framework.

Proposers may reduce the required match by designating a higher percentage of NYSERDA's funding to the prize pool, and a lower percentage of funding to program management. Proposers who designate a higher percentage of funds for awards will be evaluated more favorably.

Proposers are encouraged to raise more than the minimum requirement, and all funds above the amount needed to achieve a \$10,000,000 prize pool may be deployed towards any of the Services Requested described below (Section D), including operations and general expenses.

C. Eligibility and Proposer Qualifications:

All entities are eligible to apply. 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 proposed to fulfill the requirements of this PON. 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.

Key Qualifications:

- Experience Identifying and Recruiting Market Transformational Technologies or Businesses: Proposers should have a track record of successfully administering high-profile competitions or selective accelerators for advanced technologies and/or novel business models, including a demonstrated capacity to recruit internationally. Proposers should have an existing worldwide network of solution providers and direct experience working with global channel partners to attract best-in-class solution providers to competitions.
- Program Selection Experience: Proposers must have experience convening global experts and industry-leading corporations for focused selection committees. The proposer and/or subcontractors should either have evaluation skills to conduct due diligence and qualify the strength of companies and technical products or should explain how it will secure this experience. Proposers should have a history of working with top-tier corporations, investors, and industry experts to achieve these aims.
- Business Acceleration Experience: Proposers should have experience providing top-quality acceleration programming with a track record of proven results. Proposers should have a track record helping solution providers to achieve new milestones, such as reaching higher technology and commercialization readiness levels, attracting investment, securing partnerships, commercializing products, identifying customers, generating revenue, and/or realizing liquidity events.
- Experience Facilitating Strategic Partnerships with Corporate Customers and End Users: Proposers should have experience convening executive-level corporate and strategic actors for focused relationship building with solution providers that has resulted in successful partnerships. Examples of these activities could include managing workshops and networking forums with VIP participants, curating select solution providers for strategic partnerships with corporate customers and investors, and providing a framework for solution providers and strategic partners to build relationships and execute collaboration plans.
- Organizational Commitment: Proposers should have some dedicated staff to begin the administration of the program upon selection, with the expectation of starting work in fall 2021. Additional staff may be hired later as part of this contract, if needed. Organizational capacity should include the ability to pass through funds for awards.
- Corporate Fundraising Track Record: Proposers should have a successful track record raising millions of dollars in funding from and managing relationships with major corporations and strategic partners.

D. Scope of Work Requirements:

The Program Administrator will be responsible for executing a Corporate Challenge that attracts international solution providers with innovative business models and/or technologies that can

accelerate market uptake and reduce the cost of low carbon building retrofits in New York. A successful Empire Technology Prize program will result in corporate partners finalizing contracts for the pilot, investment, testing, and/or deployment of selected technologies with program participants. Solutions identified may be early stage or later stage as defined by NYSERDA and the PON awardee during the program design phase.

The following program elements will guide the development of the Scope of Work:

- **Timeline:** NYSERDA expects to award this contract in calendar year 2021 with the goal of awarding some of the program management fees for program planning milestones in 2021. NYSERDA will work with the Program Administrator to design an ambitious schedule for program development and execution. All program elements and contract deliverables will be scheduled for before end of calendar year 2024. This program is currently envisioned as a single-round prize program.
- **Subcontractors:** Teaming arrangements and the use of subcontractors are permitted, where appropriate, to enhance the likelihood of project success and overall impact. Teams may include partners such as venture development organizations, end use customers, service providers, and accelerators. Include letters of commitment or interest from each identified team member. When developing these arrangements, proposers should be mindful of cost efficiency, which is a key criterion NYSERDA will apply when selecting applicants.
- **Cost Share:** NYSERDA views cost share as a means to grow the total impact of this program and demonstrate interest from corporate and strategic partners. Applicants with experience and a feasible strategy to fundraise the cost share needed to achieve a total prize pool of \$10,000,000 will be preferred in NYSERDA's scoring process. Funding raised after the initial \$10,000,000 prize pool is achieved may go towards program operation expenses.

Services Requested:

- **Co-Develop Program:** The Program Administrator will work in close coordination with NYSERDA to develop program goals and execution, with input from corporate and strategic partners.
- **Lead All Aspects of Program Administration:** With NYSERDA's oversight, the Program Administrator will be expected to manage all operations of the Empire Technology Prize, including recruiting an Advisory Board and any necessary additional team members or subcontractors, reporting, application review, secure collection and management of applications from solution providers, management of evaluation committees, providing participant services, awarding prizes, and tracking participant progress.
- **Convene Strategic Partners:** The Program Administrator will be expected to convene customer and end user partners to support program design, evaluate curated program applicants, and serve as off ramps for finalists and winning solution providers.
- **Recruit World-Class Participants:** The Program Administrator will develop a strategy to engage with the technology creators and startups from around the world to recruit the best solution providers to meet New York's needs.
- **Select Finalists and Award Winners:** The Program Administrator will convene an expert review committee and leverage consultant expertise to identify prize awardees through a rigorous evaluation of proposals.

- Run Solution Provider Training and Support: The Program Administrator will be expected to provide technical and business support for finalists and winners, including facilitating partnerships between curated solution providers and strategic partners, such as corporations, investors, and customers.
- Manage Awardee Contracts: Once finalists and awardees have been chosen, the Program Administrator will be expected to provide the award funding and ongoing support to manage the contracts with award winners.
- Marketing and Events: In conjunction with recruiting activities and the announcement of any awards, the Program Administrator will develop marketing and events that will attract solution providers and support New York's role as a leader in achieving carbon neutrality in existing Tall Buildings.
- Fundraising: The Program Administrator will be expected to raise matching cash funds from corporate partners and end-use customers that, when combined with NYSERDA's funding, will complete a total award pool of \$10,000,000.

E. Governance Steps

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 contract(s) 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
- 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 in line with NYSERDA's governance expectations between time of award and end of 2024. This plan will include an outline of what type(s) of solutions the program will focus on and what eligibility criteria will govern what solution providers are selected into the corporate accelerator, and what solution providers are subsequently offered awards.
- Sector Strategy: NYSERDA will work with the Program Administrator to co-develop a program structure that incorporates lessons learned from the Empire Buildings Challenge and other relevant insights from NYSERDA's Market Development team. NYSERDA and the Program Administrator will work together to define the scope of the program, relevant technology categories, and priorities within the building decarbonization and retrofit theme.
- Advisory Board: NYSERDA will work with the Program Administrator to develop an Advisory Board for the governance of the program. This Advisory Board will include NYSERDA representation and will support the ongoing success of the program. The Advisory Board will provide guidance on sector focus, funding, and other matters to be finalized between NYSERDA and the Program Administrator.

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

contract(s) between NYSERDA and the Program Administrator. The following governance steps will be taken:

- Prize Eligibility and Evaluation Criteria: NYSERDA will work with the Program Administrator and external experts to select which solution types will fit within the scope for the program, and will collaborate on the definition of eligibility and evaluation criteria for prize applicants. NYSERDA will present specific requirements for application review, certification, and contract development, including the intake and tracking of proposals or applications, and 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, must be made publicly (and widely) available, and will leverage existing NYSERDA processes and documentation.
- Awardee Selection: NYSERDA will provide support and oversight for the steps in this process, including:
 - Creating a technical review and scoring process that meets NYSERDA's criteria and updating that process as necessary.
 - Convening a Selection Committee of technology experts and end-use corporate customers, of which NYSERDA is a part, to score and select program participants.
 - Evaluation of solution providers, with final approval required by NYSERDA for prize finalists and winners.

At a minimum, final approval by NYSERDA will be required for funding opportunities, grant award winners, 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.

- Document Management: The Program Administrator will be expected to collect and store applications from Empire Technology Prize proposers. Documents must be maintained by the Program Administrator and all document storage policies must comport with NYSERDA's FOIL rules as articulated in section G. NYSERDA reserves the right to handle the collection and management of applications if it chooses.
- Independent Scoring Board: The Program Administrator will create and convene a Board to score and evaluate program participants, with NYSERDA oversight. This board will be composed of experts with experience appropriate to the prize evaluation criteria. This Board must have at least 10 confirmed members including at least 2 NYSERDA representatives
- Due Diligence: NYSERDA and the Program Administrator will create a process for conducting due diligence on potential awardees to ensure vendor responsibility including, but not limited to, the ability to perform background checks as needed.
- 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 Empire Technology Prize awardees. NYSERDA will audit deliverables under these contracts and will reserve the right to allow for project site visits and contract assignments to NYSERDA. All award sub-contracts issued by the program administrator to prize awardees must indemnify NYSERDA and be signed off on by NYSERDA.

- Additional Board(s): If the Program Administrator proposes the creation of any additional 'formal bodies' or advisory groups or boards (in order to engage additional funders, donors, and/or partners, etc.) as part of this program, NYSERDA will be made aware of any parties selected to participate on such committees before they are confirmed and NYSERDA will be invited to participate on any such boards for the duration of the contract.
- Events and Communications: NYSERDA will work with the Program Administrator to design Empire Technology Prize 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 leadership will have a visible presence at Empire Technology Prize events and will disseminate regular communications to the Program Administrator that will be shared through the Program Administrator's relevant channels as appropriate. 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 Empire Technology Prize 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) 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 awarded Program Administrator will be required to comport with NYSERDA's reporting requirements, including an annual metrics survey that will require the Program Administrator to secure data and information from their awardees. In addition, the NYSERDA Project Manager will outline requirements for quarterly progress reports and ongoing communications in order to capture notable outcomes and track progress across key areas of program impact.
- Fundraising & Partnerships: NYSERDA will collaborate with the Program Administrator to ensure cost share requirements for awards are met or exceeded. This could be through recruiting funders alongside the Program Administrator, providing letters of support for funding opportunities, and/or other methods. NYSERDA will leverage its industry connections to drive additional private sector actors towards the Empire Technology Prize as co-funders and collaborators.
- Program Changes: NYSERDA and the Program Administrator will create a process whereby changes are made to the program over time to adjust to changes needed to advance the Empire Technology Prize. Final sign off on changes will be subject to NYSERDA agreement.

Additional contractual obligations under this program can be found in the Sample Agreement (Attachment B).

F. Potential Conflicts 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 Empire Technology Prize pursuant to its contract with NYSERDA. Independent scoring board members will also be recused from evaluating proposals when a conflict of interest is disclosed.

G. 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.

H. Program Impact:

NYSERDA invests funds with the goal of realizing climate impact and benefits to [Disadvantaged Communities](#). NYSERDA is interested in working with a Program Administrator capable of maximizing NYSERDA investment and will work with the selected proposer to develop a program to ensure impact in the following areas:

- **Greenhouse Gas (GHG) Impact:** NYSERDA seeks to support the commercialization 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 calculating ERP for prize participants.
- **Demonstrated Benefit to New York:** NYSERDA is interested in supporting programs that launch solutions capable of delivering benefit to New York, including Disadvantaged Communities. NYSERDA will work with the Program Administrator to incorporate Disadvantaged Communities and Affordable Housing into the program as appropriate.
- **Leverage:** Proposers must present a plan that achieves a strong leverage ratio on NYSERDA's capital. NYSERDA calculates leverage by using the following equation for solution providers that are Empire Technology Prize awardees:

$$\text{Leverage Ratio} = [\text{Non-NYSERDA funding (3rd Party Investments, Non-NYSERDA Grants, and Cost Share)} + \text{NYSERDA funding}] / \text{NYSERDA funding}$$

III) 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 General Conditions (Section V) instructions 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.

A. Proposal Narrative

Proposers must complete the Proposal Narrative form-fillable document as part of the PON Attachment A. Proposers should 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.

The Proposal Narrative contains the following sections:

- I. Executive Summary
- II. Team and Organization
- III. Team Qualifications
- IV. Financial Plan
- V. Letters of Support and Commitment
- VI. Attachments

B. 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.

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 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 contract negotiations with NYSERDA. The proposer's experience, fundraising plan, 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.

A. Proposer Qualifications

A negative response to the question 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?

B. Evaluation Criteria

Qualifications and Experience (50%)

- To what degree does the proposer demonstrate that their team is qualified to co-develop the Empire Technology Prize and lead all aspects of program administration for the Services Requested described in this in this PON (Part II, Section D)?
- To what degree does the proposer have experience successfully identifying and recruiting market transformational technologies or businesses from around the world? Has the proposer developed global networks and channel partners that can be leveraged to successfully recruit solution providers for the Empire Technology Prize?
- To what degree does the proposer have experience convening global experts and executives from industry-leading corporations for focused selection committees? Does the proposer have the evaluation skills to conduct due diligence and qualify the strength of companies and technical products or a plan to fill this evaluation gap if it exists?
- To what degree does the proposer have experience successfully providing top-quality acceleration with a track record of proven results?
- To what degree does the proposer have experience convening executive-level corporate and strategic actors for relationship building with solution providers that resulted in successful partnerships?
- To what degree does the proposer have experience raising significant funding (in the millions) from major corporations and strategic partners, particularly for use in a prize, competition, accelerator, or challenge?
- To what degree does the proposer demonstrate an understanding of key barriers and opportunities within the New York State buildings sector? Does the proposer have existing networks within the New York State Tall Buildings market and experience supporting solution providers in the building decarbonization and innovation space? If this experience is missing, to what degree has the proposer provided a clear, feasible, and cost-effective plan for addressing this gap?
- To what extent is the proposer ready and equipped to provide all the Services Requested in this PON (Part II, Section D) and conduct a high-quality and impactful program in the first and only round? What has been the proposer's track record of success in the first year of a new program?

Team and Organization (30%)

- To what degree has the proposer identified a project team and organizational structure capable of carrying out the Services Requested in this PON (Part II, Section D)? If there are any gaps on the team, to what degree has the proposer adequately identified those gaps and presented a credible strategy for filling those gaps?
- To what degree has the proposer demonstrated the capacity to begin work in 2021 if selected under this PON?
- To what degree has the proposer demonstrated their capacity to structure contracts with awardees and to manage those contracts through detailed record keeping, deliverables review, and support to awardees?
- 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?
- To what degree has the proposer demonstrated their capacity to manage high-profile marketing and events to attract top-tier global solution providers and support New York's role as a leader in achieving carbon neutrality in Tall Buildings?
- To what degree do the provided references credibly support that the proposer is prepared to provide the Services Requested in this PON (Part II, Section D)?

Financial Plan (20%)

- To what degree does the proposer provide a credible strategic fundraising plan informed by the organization's experience undertaking similar, successful fundraising programs in the past?
- To what degree does the proposer provide a credible list of existing contacts that, based on previous engagements, may provide financial contribution to this program, including funders in sectors relevant to the building decarbonization space?
- To what degree does the proposer maximize the use of NYSERDA funds for awards and minimize the use of NYSERDA funds for general expenses?
- To what degree does the proposer present a reasonable and efficient plan for how NYSERDA's funds and other funds will be used?

C. Program Policy Factors

NYSERDA reserves the right to accept or reject proposals based on the following factor(s):

- Unsatisfactory resources (human and financial) to begin work on the project in calendar year 2021
- Unsatisfactory or insufficient references

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 (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 - 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). 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). 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 or multiple awards under this solicitation. NYSERDA anticipates a contract duration through the end of 2024, 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 3 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

Attachments:

Attachment A – Proposal Narrative

Attachment B – Sample Agreement

Attachment C – Vendor Assurance of No Conflict of Interest



NYSERDA

**Purchase of Offshore Wind Renewable Energy
Certificates
Request for Proposals ORECRFP22-1
Release Date: TBD**

The New York State Energy Research and Development Authority (NYSERDA) seeks to procure Offshore Wind Renewable Energy Certificates (ORECs)¹ 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).

All relevant documents pertaining to this RFP are available on NYSERDA's solicitation website at <https://www.nyserd.ny.gov/offshore-wind-2022-solicitation>. Proposers are advised to check this website regularly for updates.

Questions about this RFP should be directed to Laila El-Ashmawy, Thomas King, Gregory Lampman, Carl Mas, Georges Sassine, Alex Stein and/or Doreen Harris (the Designated Contacts) at offshorewind@nyserd.ny.gov. No communication intended to influence this procurement is permitted except by contacting the Designated Contacts.

NOTICE: *This draft ORECRFP22-1 is being issued by NYSERDA in order to allow review and comment by interested parties prior to the issuance of a formal Request for Proposals (RFP). Comments are due by Friday, April 8, 2022 at 3 p.m. ET, and should be sent to NYSERDA-OSW@levitan.com with the subject line "Draft ORECRFP22-1 Comments", or may be provided by filling out a [comment form](#). NYSERDA does not intend to make comments public. If NYSERDA receives a request from a third party for comments received that have been marked "Confidential" or "Proprietary," NYSERDA will process such request under the procedures provided by NYSERDA's FOIL regulations (email foil@nyserd.ny.gov for additional information). See Section 8.1.*

Please note that all content in this DRAFT RFP and its attachments, appendices and exhibits is subject to revision. The content provided herein is subject to deletion or modification based on comments submitted by prospective Proposers, other entities or persons electing to respond to this DRAFT RFP, or for any other reason. Proposers should review the final RFP before preparing a Proposal. Requests for a meeting with NYSERDA to discuss the offshore wind solicitation should be sent to offshorewind@nyserd.ny.gov.

¹ 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.

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

Alternate Proposal – A Proposal defined in Section 2.1.3.

Annual OREC Cap – The amount of ORECs equal to the product of 1.15 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.

CES – Clean Energy Standard.

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 associated ORECs, and (ii) all rights, abilities, permits and approvals to schedule and deliver energy to the Delivery 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 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. 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 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 Investment Plan, as further described in 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 Award Notification Date through the end of the first three (3) years of the Contract Delivery Term (See Appendix C.1).

Eligible Investment Sites – Ports, manufacturing, or other supply chain facilities that are fully located in New York State and host any activity or combination of activities supporting offshore wind project development. Eligible Investment Sites may be existing facilities requiring reinvestment or rehabilitation, or new facilities in New York State.

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.

Energy Storage – A commercially available resource capable of receiving electric energy and storing that energy or a portion of that energy for later 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, discharged energy only generates ORECs, and is only able to receive OREC payments, 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](#).

Expected Labor Dollars – The Expected Total Dollars associated with labor expenditures described in the New York Jobs and Workforce Plan.

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 Categories 1 and 2 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 Investment Plans from the Award Notification 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 U.S. iron and steel.

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 downstate fossil-based electric generation infrastructure as further described in Section 2.1.7.

Funding Recipient – The Funding Recipient is the entity that receives New York State Funding, will be responsible for execution of the Investment Plan and will be evaluated for creditworthiness, as described in the Investment Plan Evaluation Section of Appendix C.2. The Funding Recipient should be the entity that will actually be responsible for execution of the Investment Plan, whether that is the Proposer itself, the entity that owns or operates the Eligible Investment Site, a manufacturer that utilizes the Eligible Investment Site or another entity.

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.

Incremental Economic Benefits – Those financial expenditures benefiting New York State within the categories specified in Appendix C.1 that a Proposer can demonstrate: (1) accrue after the Award Notification Date; (2) would not have accrued but for the award of a contract under this current RFP; (3)

do not represent any economic benefits accrued pursuant to an award under any prior New York State RFP, including for the avoidance of doubt, any Contingent Economic Benefits (such term as defined in ORECRFP18-1); and (4) do not include any New York State Funding. Incremental Economic Benefits associated with Investment Plans shall be calculated as set forth in Appendix C.1.

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.

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 2.1.3, 4.1 and 4.3.

Investment Minimum Thresholds – Minimum criteria that must be met for an Investment Plan to be determined to be “investment worthy”, as outlined in Appendix C.2.

Investment Plan – A plan submitted as part of the Proposal in support of the Economic Benefits Plan, as further described in Appendix C.2. An Investment Plan may cover port, manufacturing, or supply chain infrastructure that hosts any activity or combination of activities supporting offshore wind project development.

Investment Plan Related Purchase – Any purchase of goods or services from an Investment Plan Supply Chain Facility.

Investment Plan Supply Chain Facility – The port, manufacturing, or supply chain infrastructure proposed in a Proposal’s Investment Plan.

Investment Scoring Committee – Members of NYSERDA Staff, Empire State Development Staff, NY Green Bank Staff, and Technical Experts responsible for reviewing Investment Plans included with Proposals received through this RFP.

Labor Peace Agreement (LPA) – An agreement between the owner of the 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 4.3.

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

LSE – Load-serving entity.

Major Supplier – A supplier of goods and services to Proposer with an anticipated contract value of \$1 million or greater for MWBE and SDVOB and \$2 million or greater for New York Offshore Wind Supply Chain Database.

Meshed Network – Offshore transmission configuration in which individual Offshore Wind Generation Facility substations are linked to one-another via HVAC lines, as defined in New York State Power Grid Study and in Appendix G of this RFP.

Meshed Ready – An Offshore Wind Generation Facility radially connected to the New York electric grid is considered Meshed Ready if it satisfies the requirements set forth in Appendix G of this RFP, 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 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 State Funding – Up to \$300 million (subject to legislative approval of the proposed FY 2023 Executive Budget) of public grant funding for Eligible Expenses associated with Investment Plans, available for draws as critical Investment Plan milestones are met.

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, measured as the installed (nameplate) capacity in alternating current at the Offshore Wind Generation Facility.

Offshore Wind Generation Facility – The installed wind turbine generators and all other associated offshore equipment and infrastructure located within the 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_x), nitrogen oxides (NO_x), carbon monoxide (CO), particulate matter and other pollutants; (ii) any direct or avoided emissions of carbon dioxide (CO₂), methane (CH₄) 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.

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, 2051. If the Contract Tenor is 25 years, the Outer Limit Date is January 1, 2056.

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, nacelle and rotor blades.

Project – An Offshore Wind Generation Facility and the associated equipment, infrastructure, and support facilities necessary to construct, operate and deliver energy to the designated Delivery Point and the corresponding ORECs to an account designated by NYSERDA in the NYGATS, excluding facilities and infrastructure associated with an Investment Plan.

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

Proposal – An offer to sell ORECs from up to two Offshore Wind Generation Facilities for a given Offer Capacity, Index REC or Fixed REC pricing structure, Delivery Point, associated Economic Benefit Plan and Investment Plan, optional Energy Storage, and optional Fossil Repurposing Proposal 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.

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

Qualifying Federal Support – Any direct federal financial support in the form of tax credits or grants, or direct financial benefits expressly intended to incentivize the development of projects such as newly constructed offshore wind generation facilities (i) for which the Project qualifies, and (ii) which arises from an act of the U.S. Congress after the Proposal due date (TBD). 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 based on the use of advanced technology.

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 2.1.3.

Required Standalone Proposal – A Proposal defined in Section 2.1.3.

Scoring Committee – Members of NYSERDA Staff, New York State Department of Public Service Staff, and competitively-selected Independent Evaluators responsible for evaluating Proposals received through this RFP.

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 selected by NYSERDA who has executed an Agreement to sell ORECs to NYSERDA pursuant to this RFP.

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

Submission – Package of all files submitted by a developer in response to this RFP.

TWG – Technical Working Group.

Verified Labor Dollars – The Verified Total Dollars associated with labor expenditures described in the New York Jobs and Workforce Plan.

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 Categories 1 and 2 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 Investment Plans from the Award Notification Date through the end of the first three (3) Contract Years.

Verified U.S. Iron and Steel Dollars – The Verified Total Dollars associated with U.S. iron and steel expenditures.

1 INTRODUCTION

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 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 and 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 Climate Leadership and Community Protection Act (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 potentially 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.²

On August 1, 2016, the Commission issued its [Order Adopting a Clean Energy Standard](#) (CES), which, based upon the recommendation and comments in a White Paper filed by NYSERDA and Department of Public Service Staff (Staff), established the 50% renewables by 2030 goal. The CES also requested that NYSERDA develop a "blueprint," identifying the appropriate mechanisms for the Commission and the State to consider in order to maximize the potential of the burgeoning offshore wind industry.

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

² <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 Leadership and Community Protection Act](#) (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 35 percent of clean energy and energy efficiency program resources to benefit Disadvantaged Communities, achieving 70 percent renewable energy by 2030 and 100 percent renewable energy by 2040. 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. 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 2, 2020, the Accelerated Renewables Act was signed into law, and made major changes in the forum and permitting process for large-scale renewable projects and called for the State to develop a State Power Grid and Study Program to accelerate the planning and build out of bulk and local transmission and distribution infrastructure to ensure that renewable energy can be reliably and cost-effectively delivered to power New York homes and businesses. On April 23, 2020, the New York Public Service 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.

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 contract includes 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.

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.

On January 5, 2022, New York Governor Kathy Hochul announced in her first State of the State Address a nation-leading \$500 million (subject to legislative approval of the proposed FY 2023 Executive Budget) investment proposal³ 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 the end of 2022. 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 will be initiated in 2022 to explore unlocking floating offshore wind resources for New York State.

On January 20th 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

³ Note to Draft: This investment proposal is currently subject to legislative approval and once finalized will be updated in the final RFP.

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.⁴

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 to be announced at the time of final RFP release (TBD). Notification of any changes to the RFP process or documents will be posted on the [NYSERDA Offshore Wind 2022 Solicitation](#) website.

1.4 Notice of Intent to Propose

Prospective Proposers are encouraged to submit a Notice of Intent to Propose, which is attached as Appendix A to the RFP and will be made available at the time of RFP release.

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 2.1.3, and up to three Investment Plans as defined in Section 2.1.2. Each additional Investment Plan included in the Proposer's submission beyond three will require an additional \$25,000 Proposal Fee. Alternate Proposals, as defined in Section 2.1.3, are permitted. Each Alternate Proposal that has a different Offer Capacity, Delivery Point, Injection Point, technical configuration, pricing structure (such as Interconnection Cost

⁴ 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 4,300 MW of land-based wind and solar projects are contracted and under development.

Sharing), 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.

Submission Component	Proposal Fee
Required Base Proposal (including up to three Investment Plans) and Required Standalone Proposal, each including up to two Contract Tenors	\$500,000
Each Alternate Proposal	\$25,000
Each additional Investment Plan beyond the three covered above	\$25,000

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.

The Proposal Fee is non-refundable unless NYSERDA cancels this RFP. If this RFP is canceled by NYSERDA, 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(s) is (are) selected by NYSERDA.**

1.6 Proposers’ Conference and Communications with NYSERDA

A Proposers’ Conference for interested persons will be held via Webinar at a date and time to be announced at the time of final RFP issuance, and will be posted on [NYSERDA’s Offshore Wind 2022 Solicitation website](#).

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, NYSERDA’s Consultants, or members of the 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 Updates to Proposals

Proposers will not have an opportunity to refresh or restate Proposals after the Deadline for Submission of Proposals unless requested by NYSERDA to do so. If, prior to the Deadline for Submission of Proposals, a Proposer wishes to modify a Proposal that was submitted before the Deadline for Submission of Proposals, Proposer should contact NYSERDA’s Designated Contacts. Otherwise, Proposers may provide new information that was not available at the time of their Proposal submission or the Deadline for Submission of Proposals. For example, this may include updates on the status of obtaining permits, interconnection studies, or financing. Unless the information is provided at NYSERDA’s request under Section 1.9, these updates are for informational purposes only and will not be

treated by the Scoring Committee as a change or revision to the terms of the Proposal. 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 changes during Proposal evaluation.

1.9 Requests for Additional Information

Following the submission of Proposals, NYSERDA and the Scoring Committee may request clarification and additional information from Proposers at any time throughout 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. Proposers that do not respond promptly to such information requests or do not provide adequate information may be eliminated from further consideration or have the information in their Proposals modified by NYSERDA or the Scoring Committee to allow a reasonable and appropriate evaluation.

NYSERDA also reserves the right to request clarification directly from potential Funding Recipients (including any manufacturers or other proposed end-users of the site) regarding Investment Plans for their facilities as well as interactions among Investment Plans for the same facility submitted by multiple Proposers. To that end, 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.

1.10 Interviews with Proposers

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

2 PROJECT ELIGIBILITY REQUIREMENTS

2.1 Eligibility

To participate in this RFP, all Proposals must demonstrate compliance with each of the eligibility requirements enumerated in Sections 2.1.1 through 2.1.8.

As used in this RFP, the term “Project” includes the Offshore Wind Generation Facility, along with all associated equipment, infrastructure, and support facilities necessary to develop, operate, transmit, and deliver energy from the Offshore Wind Generation Facility to the Delivery Point, and ORECs to an account designated by NYSERDA in NYGATS, excluding facilities and infrastructure associated with an Investment Plan.

2.1.1 ORECs Offered

NYSERDA is seeking to procure ORECs produced from one or more Offshore Wind Generation Facilities located in the ocean waters of the United States that become operational on or after January 1, 2015 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 a maximum of 4,640 MW of total Offer Capacity. The maximum offer capacity is bound by reaching the 9,000 MW contemplated by the September 17, 2020 Final Supplemental Generic Environmental Impact Statement (SGEIS) in Case No. 15-E-0302.

The OREC production from the 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. 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. All Proposals from a given lease area will be mutually exclusive: that is, NYSERDA will not award more than one Proposal from a 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 interconnection costs. Project eligibility requirements do not preclude external Injection Points in neighboring Control Areas, provided the Proposer submits a Transmission Plan that addresses compliance with the relevant Open Access Transmission Tariff, wheeling and delivery to NYCA, the Electricity Delivery Requirements in Article III of the Agreement, and accord with the NYGATS tracking system that records generation attribute information.

2.1.2 Investment Plans

This solicitation seeks to deliver a coordinated solution to the priorities of enabling offshore wind projects in New York and 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 (subject to legislative approval of the proposed FY 2023 Executive Budget) in New York State Funding towards New York offshore wind manufacturing 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 responsible for execution of the development of the Investment Plan (e.g. the owner of the Eligible Investment Site or a manufacturer that intends to locate there) be designated as the Funding Recipient of New York State Funding. 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.

New York State is offering up to \$300 million (subject to legislative approval of the proposed FY 2023 Executive Budget) of New York State Funding for Eligible Expenses, available for draws as critical 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 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 Investment Plan. Simultaneously, NYSERDA will work with the Funding Recipient(s) to enter into one or more agreements with the 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.

Requests for New York State Funding must be matched with private capital investment in the same Eligible Investment Sites at the highest level of private capital investment possible. At a minimum, across investment types, New York State Funding must be matched by at least \$3.00-for-\$1.00 (\$3.00 of private capital for every \$1.00 of New York State Funding).

- With the exception of the Required Standalone Proposal or an Alternate Proposal that does not include any Investment Plans, to be eligible for an award, a Proposal must include at least one Investment Plan. Each Investment Plan is limited to a maximum of \$125 million in New York State Funding. Each Proposal may include multiple Investment Plans up to a maximum total New York State Funding of \$300 million (subject to legislative approval of the proposed FY 2023 Executive Budget) in the aggregate. Investment Plans may be considered for New York State Funding at any Eligible Investment Site as defined and described by the Proposer. As described in Section 5.1.3, Proposals that do not include Investment Plans will be considered for award once NYSERDA has funded at least two Investment Plans through awards to other Proposals.
- Each Investment Plan will be reviewed by an Investment Scoring Committee to determine whether the Investment Plan is “investment worthy” or “not investment worthy.” This determination will be based on whether an Investment Plan meets the eligibility criteria and performs well under the evaluation criteria further described in Appendix C.2.

All Investment Plans submitted with a particular Proposal must be determined to be “investment worthy” in order for that OREC Proposal to be eligible for award.

Proposals for which all associated Investment Plans are considered “investment worthy” in accordance with the evaluation criteria set forth above and further 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. With the exception of the Required Standalone Proposal or an Alternate Proposal that does not include any Investment Plans, if an Investment Plan is considered “not investment worthy,” the associated Proposal(s) will be deemed ineligible for an OREC contract award. To hedge against the risk that any single Investment Plan is found to be “not investment worthy,” Proposers are encouraged to consider submitting Alternate Proposals with different Investment Plans. These Alternate Proposals could include different options for the same type of Investment Plan (e.g., staging, manufacturing, O&M support), or different combinations of Investment Plan types. More than one Investment Plan may be submitted for a given Eligible Investment Site, to account for different uses, different funding approaches, or any other variation in the planned development approach.

As part of the counteroffer process noted in Section 5.3, NYSERDA reserves the right to propose that Proposers make adjustments to their Investment Plans, and Proposers are expected to make commercially reasonable efforts to accommodate NYSERDA’s requested adjustments.

NYSERDA’s plan to fully leverage Governor Hochul’s \$500 million (subject to legislative approval of the proposed FY 2023 Executive Budget) offshore wind supply chain commitment, including supply chain specific solicitations, are detailed in the Supply Chain Factsheet. Investment Plans not selected under this ORECRFP may be eligible for other New York State funding through those other processes. Any New York State Funding not awarded through this RFP is intended to be reallocated and available for standalone Investment Plans in one or more separate solicitations. For more details on standalone Investment Plans not paired with an OREC proposal under this RFP, please reference the Supply Chain Factsheet. Proposers are also encouraged to seek NY Green Bank Financing in connection with their Investment Plan. 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 Required and Alternate Proposals

Each Proposal must be for ORECs delivered from up to two Offshore Wind Generation Facilities. Other than upgrades to existing facilities, which is discussed below, 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. The maximum total Offer

Capacity contemplated under this solicitation is 4,640 MW.⁵ Each Proposal, including all Alternate Proposals, must be Meshed Ready in accordance with the specifications noted in Appendix G and utilize HVDC technology.

A Proposal may include an upgrade capacity to an existing Offshore Wind Generation Facility if (i) the upgrade does not require a separate export cable from the existing facility, (ii) the upgrade project will be Meshed Ready and (iii) the upgrade adheres to all other eligibility criteria outlined in Sections 2.1 and 2.2 of this RFP. For example, any upgrade Proposal must include a Stakeholder Engagement Plan, and New York Jobs and Workforce Plan.

Each Proposal should be priced assuming that the Project will operate in a dedicated radial configuration. Section 4.2.1 describes modifications to be made to the OREC settlement mechanism if and when a Meshed Network is implemented.

Each Proposal (including any upgrade Proposal), with the exception of the Required Standalone Proposal and any Alternate Proposals that do not include Investment Plans, must propose New York State Funding for port, manufacturing, or supply chain investments through its associated Investment Plans and adhere to the limits and requirements noted in Section 2.1.2 and Appendix C.2. Each individual Investment Plan must propose up to \$125 million in New York State Funding.⁶ 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, and must reflect energy delivered through a direct HVDC marine cable interconnection from the Offshore Wind Generation Facility to a Delivery Point in NYISO Zone J or K. The Required Base Proposal must include at least one Investment Plan. The Required Base Proposal must include pricing without Energy Storage and without Interconnection Cost Sharing.
- The **Required Standalone Proposal** must request no New York State Funding, and therefore include no Investment Plans. As described in Section 5.2, the Required Standalone Proposal will be considered once NYSERDA has funded at least two Investment Plans through awards to other Proposals. The Required Standalone 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, and must reflect energy delivered through a direct HVDC marine cable interconnection from the Offshore Wind Generation Facility to a Delivery Point in NYISO Zone J or Zone K. The Required Standalone Proposal must include pricing without Energy Storage and without Interconnection Cost Sharing.

⁵ The Proposal Offer Capacity may reasonably deviate to within ± 5 percent of the design capacity of individual components of the Offshore Wind Generation Facility, but consistent with the SGEIS that supports the October 2020 Clean Energy Standard Order, the Offer Capacity for any individual Proposal cannot exceed 4,640 MW.

⁶ New York State Funding requires 3-for-1 matching as specified in Appendix C.2.

- **Alternate Proposals** may be for ORECs delivered from Offshore Wind Generation Facilities of other technical configurations (while still abiding by the requirements of an HVDC radial interconnection line and Meshed Ready offshore substations), other Offer Capacity, other Injection Point(s) and/or Delivery Point(s), other economic benefit packages (including other Investment Plans than those submitted in the Required Base Proposal), or other expected Commercial Operation Dates. 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 Proposals if the Delivery Point cannot accommodate both Proposals. Accordingly, NYSERDA strongly 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. Alternate Proposals may be for either a 20-year or 25-year Contract Tenor and must offer either an Index OREC Strike Price or a Fixed OREC Price as described in Section 2.1.4. Alternate Proposals may be submitted with or without Energy Storage.

2.1.3.1 Interconnection Cost Sharing (optional)

Alternate Proposals may include an optional price structure that contemplates an Interconnection Cost Sharing approach wherein the Proposer identifies NYISO interconnection cost levels that the Proposal price is predicated upon, and up to which the interconnection cost would be absorbed fully by the Proposer, and above which additional costs would be shared between the Proposer and NYSERDA or borne fully by NYSERDA (with NYSERDA's cost share to be added to the Index OREC Strike Price or Fixed OREC Price). Proposals of this type will be evaluated using a risk-adjusted price adder as further described in Section 4.3. An Alternate Proposal that includes Interconnection Cost Sharing must correspond to a Proposal that is otherwise the same but does not include Interconnection Cost Sharing.

For Alternate Proposals that include Interconnection Cost Sharing, NYSERDA will assume that the Index OREC Strike Price or Fixed OREC Price reflects the Proposer's maximum potential cost exposure associated with the identified cost sharing parameters.

For Alternate Proposals that include Interconnection Cost Sharing, in the event that the applicable interconnection study demonstrates that the interconnection costs allocable to the Project at the Delivery Point are reduced due to implementation of the [Long Island Offshore Wind Export Public Policy Transmission Need \(LI-PPTP\)](#), the Index OREC Strike Price or Fixed OREC Price will be adjusted downward based on NYISO's determination of the impact of the LI-PPTP, as further described in Section 4.3. The purpose of this adjustment is to limit ratepayer exposure to paying for both the LI-PPTP and the Project's original expected interconnection cost. This downward adjustment would be triggered only in the event of the LI-PPTP reducing interconnection costs below what is reasonably expected at the time of bid submission and is therefore not factored into bid evaluation.

Any Alternate Proposal that includes both Energy Storage and Interconnection Cost Sharing must correspond to a Proposal that does not include Energy Storage or Interconnection Cost Sharing, but there is no requirement to also submit additional Alternate Proposals with only Energy Storage and only

Interconnection Cost Sharing along with such an Alternate Proposal. If Interconnection Cost Sharing is proposed in combination with Energy Storage, the Interconnection Cost Sharing can only be for the interconnection of the Project, unless the Energy Storage is submitted as part of the Project's interconnection request to NYISO, e.g., in the case that the Energy Storage is connected to the Project's onshore radial line prior to the Delivery Point. 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.

2.1.4 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 two 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 the implementation of the associated Investment Plan(s) (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 4.2.1 describes modifications to be made to the OREC settlement mechanism if and when a Meshed Network is implemented.

If a Project becomes eligible for and obtains 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 Qualifying Federal Support between NYSERDA and Seller. The price adjustment will be computed as described in Section [x] of the Agreement such that 75% of the net benefit of the Qualifying Federal Support would be applied to a reduction in the Fixed OREC Price or the Index OREC Strike Price, as appropriate.⁷

2.1.5 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."

⁷ Note to draft: The Agreement will include a provision similar to the "Reduction in Price for Qualifying Federal Support" provisions in the Tier 4 REC Purchase and Sale Agreements.

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 Delivery 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 Delivery Point(s). 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.

2.1.6 Interconnection and Delivery

Proposers must demonstrate that energy generated by the Offshore Wind Generation Facility can be delivered into the NYCA. The Required Base Proposal must incorporate an Injection Point in NYISO Zone J or K. Alternate Proposals may interconnect in an adjacent Control Area. Such Proposals must address how Proposers intend to fulfill the Electricity Delivery Requirements contained in Article III of the Agreement.

For the Required Base Proposal or for any Proposal including a direct interconnection to the NYCA, Proposers must have submitted a valid Large Facility Interconnection Request with the NYISO. 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. In submission of 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.

Projects must be designed so that the subsea cables for radial connection between the offshore substation and cable landfall utilize HVDC technology. Offshore substations must incorporate the Meshed Ready requirements prescribed in Appendix G of this RFP.

2.1.6.1 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 NYSERDA's NYGATS Account. NYSERDA will make payment for ORECs from the Offshore Wind Generation Facility delivered to NYSERDA's NYGATS account.

2.1.7 Repurposing Downstate Fossil Fuel Generation Infrastructure (optional)

Proposals that propose to repurpose existing downstate fossil-based electric generation infrastructure for use by the Project ("Fossil Repurposing Proposals") 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 and (iii) lay out a clear plan for implementing the Fossil Repurposing Proposal, including

obtaining regulatory approvals, prior to the Project's commencement of operations as further described in Sections 3.2.7 and 6.4.9.

In addition, as set forth in Section [x] 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 generation profile 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 NYSISO tariffs, until a determination has been made by NYISO and any other relevant regulatory authorities that the change in generation profile or deactivation will not lead to a violation of reliability criteria or other applicable conditions ("Generation Rules").

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. As further described in Section 3.2.7, the viability of the Fossil Repurposing Proposal will be evaluated by the Scoring Committee, taking into account Specialist Reviewer assessment and other analysis that may be conducted by the Scoring Committee, Specialist Reviewers and/or NYSERDA Consultants.

Given uncertainties with respect to the rapidly evolving energy industry and regulatory environment, as further described in Section 3.2.7, NYSERDA encourages Proposers to consider inclusion of contingency plans 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) and/or submission of an Alternate Proposal which does not include a Fossil Repurposing Proposal.

The just transition of workers affected by Fossil Repurposing Proposals must also be addressed in the New York Jobs and Workforce Plan (Appendix H).

2.1.8 Contract Delivery Term

Each Proposal must specify an expected Commercial Operation Date and Contract Tenor. Proposers may elect to divide the Project's 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 the 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.

The OREC production from the 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 Contract Delivery Term.

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 incremental Project Viability points, 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. Eligible Energy Storage that provides reliability resilience, economic, and/or decarbonization benefits to the electric grid may be awarded additional scoring credit under Project Viability, as further described in Section 3.2.13. Incremental Economic Benefits associated with Energy Storage will be included in the New York Economic Benefits scoring, as described in Section 3.3.

Alternative energy storage applications not covered in the Energy Storage definition of this RFP may be considered under New York Economic Benefits as decarbonization, clean energy industry or energy transition investments as further described in Section 3.3.3 and Appendix C.1. 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 below or in Section 3.2.12.

Energy Storage facilities do not need to be registered in NYGATS. All Energy Storage facilities must be located in NYISO Zone J or K.

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. Adjacent to the Project's Zone J or K Delivery Point or the onshore route of the generator lead line to the Project's Delivery Point and charged directly with Project output so as to be co-located, or
2. Located in a separate location in either of NYISO Zone J or K and not charged directly with Project output.

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, SEQRA; 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; 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, or for a term of up to the Contract Tenor as indicated in the Proposal, whichever is longer. 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. If the Energy Storage is charged directly from the Offshore Wind Generation Facility electrically behind or at the Delivery Point so as to be co-located, the energy discharged from the Energy Storage will generate ORECs that will be eligible for payment. Should a co-located Proposal 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 in a separate location 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, provided that such 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.

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 located outside of the NYCA;

- 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.

There is no required minimum size or minimum discharge, duration, or charge capability for Energy Storage if it is proposed.

The Proposer must have at least an executed site use agreement or letter of intent with the Energy Storage site owner(s). The full site needed for the Energy Storage must be covered by the site use agreement(s) and/or letter(s) of intent.

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 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.

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. NYSERDA has adopted the following requirements and has incorporated them into the Agreement.

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 Grant Funds, 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 Grant Funds, 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 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 a PLA 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 the PLA and how it should be represented in the New York Jobs and Workforce is described in Appendix H.

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

The 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; however, the responsibility to deliver the PLA and to ensure its sufficiency and compliance with its terms will remain with awardee. A 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 report quarterly on all eight items required in the PLA 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 with respect to the Project, and the public it serves, and will include consideration of Project viability, the cost-effectiveness of the PLA, and the need for timely Project completion.

Projects that receive New York State Funding pursuant to this RFP will enter a separate funding agreement with NYSERDA. In light of the State's interest in timely and cost-effective completion of both the development of Eligible Investment Sites and the Offshore Wind Generation Facility, any such separate 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 Eligible Investment Sites. Each such separate funding agreement 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 funding agreement. For public entities awarded Grant Funds, the public entities must initiate a PLA feasibility study upon execution, or prior to execution, of the separate funding agreement; such PLA feasibility study will be conducted in cooperation with NYSERDA, and pursuant to the terms of the separate 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 a factor that mitigates 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. Adherence to such LPA will be an ongoing condition necessary to receive 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.

For this RFP (ORECRFP22-1), NYSERDA has determined to not require all structural iron or steel to be produced in the United States; however, use of iron and steel that is produced in New York, and in the United States, is valued by NYSERDA, and such commitments, while not strictly required in accordance with the Buy-American Act to participate in this solicitation, will be viewed favorably in proposal evaluation. Accordingly, Proposals with commitments to utilize domestic steel will receive additional New York Economic Benefits scoring credit. 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.

For more information on U.S. Iron and Steel commitments, please see Section [x] of the Agreement.

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; and
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.
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 of this RFP, 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 quarterly reports. More details on reporting requirements are set forth in Section 6.4.15 (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 or Energy Storage 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, within two years, provide financial and technical support to regional monitoring of wildlife and key commercial fish stocks through a minimum contribution of \$10,000 per MW of Offer Capacity. Of this, \$5,000 per MW of Offer Capacity must be used by the Proposer, in concurrence with NYSERDA, to support regional monitoring of key commercial fish stocks to better understand how offshore wind energy development is potentially altering the biomass and/or distribution of these stocks. Similarly, \$5,000 per MW of Offer Capacity must be used by the Proposer, in concurrence with NYSERDA, to support regional monitoring of wildlife 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 or independently by the Proposer (or some combination) upon NYSERDA approval but shall be used to advance the responsible development of the offshore wind energy industry, not necessarily the proposed project. Seller must report specific spend against this investment requirement quarterly including amount, purpose and result of investment.

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 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 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. 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. 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 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.

2.2.11 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.

2.2.12 Additional Fisheries and Environmental Measures

- A. *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>).
- B. *Responsible Offshore Science Alliance and Regional Wildlife Science Entity 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 Entity in good financial standing. The Proposer may change or opt out of these memberships only with the prior approval of NYSERDA.
- C. *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.
- D. *Protected Species Observers*. At minimum, Proposers shall commit to following the Protected Species Observer Guidelines as outlined in NYSERDA's [Geophysical Survey Summary of Protected Species Measures \(2020\)](#) during all activities that generate significant noise, including geophysical survey work and impact pile driving.
- 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 NYSERDA, to participate with NYSERDA in any multi-state or regional coordination and/or collaboration efforts.

2.2.13 Stakeholder Engagement Plan

Proposers must submit with their Proposal, and subsequently further develop and implement a Stakeholder Engagement Plan, as further described in Section 6.4.15 and Appendix F. The Stakeholder Engagement Plan must include considerations for engagement with representatives of local environmental justice or otherwise Disadvantaged Communities. Proposers are strongly encouraged to reference the [Guiding Principles for Offshore Wind Stakeholder Engagement](#) published by NYSERDA.

2.2.14 New York Jobs and Workforce Plan

Proposers must submit with their Proposal, and subsequently further develop and implement a New York Jobs and Workforce Plan, as further described in Section 6.4.18.3 and Appendix H. It is strongly encouraged that Proposers review the latest [New York Clean Energy Industry Report](#).

2.2.15 New York State Supplier Opportunity

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 contracts with an anticipated contract value of \$2 million or greater not already committed at the time of offer submission to New York State companies registered to the [New York Offshore Wind Supply Chain Database](#) maintained by NYSERDA and for contracts with an anticipated contract value of \$1 million or greater not already committed at the time of offer submission to New York State Companies registered to 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) 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 these databases regardless of the contract value.

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, construction, maintenance and operations. 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.

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 NYSERDA or its designee on an ongoing basis and as it may be updated from time to time. Reporting would cover the opportunity and associated marketing through the Supply Chain Database. Proposers must agree to report commitments and expenditures to MWBE and SDVOB firms on a quarterly basis in an electronic format designated by NYSERDA.

3 NON-PRICE EVALUATION

3.1 Overview

The Scoring Committee will evaluate Proposals to determine whether they meet each of the eligibility requirements defined in Section 2.1. Proposals that fail to meet these requirements will be ineligible for an award. Proposals that meet the eligibility requirements will be scored and ranked with respect to three components as defined in the Offshore Wind Orders.

NYSERDA will employ a scoring system that weights price and non-price factors, for a total of 100 points, as follow:

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 4.4)

The Scoring Committee will award points for the non-price evaluation components of each Proposal (Project Viability and New York Economic Benefits).

3.2 Project Viability

The Project Viability evaluation considers a series of factors contributing to the Project’s overall success and whether the proposed Project can reasonably be expected to be in service on or before the proposed Commercial Operation Date(s).

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 manner which is sensitive to ocean users and coastal communities, and that Proposers consider the goals of the New York Climate Act in certain elements of their Project design and development stages as prescribed in Sections 3.2.1 through 3.2.15. Consistent with the terms of the Offshore Wind Orders, receipt of a score of zero for Project Viability will render the Project unviable overall and result in rejection of the Proposal. Viability concerns raised by the 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 Scoring Committee include:

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 must be identified, and the status of each permit must be provided. Proposers must also provide information describing the extent to which support or opposition to the Project may materially affect the Project’s permitting approval timelines.

3.2.2 Financing Plan

Proposers must demonstrate 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 Project Financing Plan. A demonstration of recent experience in successfully financing like technology of comparable size and complexity will be viewed favorably.

The Financing Plan should also describe how climate-related physical risks across the different components and assets classes of the Project have been considered and what, if any, measures and design and construction features could be taken to strengthen the ability to handle shocks and stresses and add value to the Project. Assets include: Primary Components of an offshore wind turbine and its foundation; inter-array cables; offshore substation; export cables including the cable landings where the ocean-based cable systems transition to underground land-based systems; transformer and converter stations; meteorological masts; and land-side transmission assets, including interconnection to the grid.

3.2.3 Developer Experience

Proposers must demonstrate that the development team has sufficient relevant experience and expertise to successfully finance, develop, construct, operate and maintain its Project. Financing, development, and construction experience can be established by demonstrating that 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.

3.2.4 Proposed Technology

Proposers must demonstrate that the technology it proposes to use 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.

3.2.4.1 Resiliency

Proposers must clarify what 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. This could include use of scenario exercises to identify potential system weaknesses that could result in cascading negative impacts. Proposers must clarify how specific features strengthen any or all of the following attributes of resilience: robust, integrated, redundancy, flexibility, social equity and inclusion. 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 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 major components to the Project site

3.2.6 Interconnection and Delivery

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). Proposer must detail the status (and results, if applicable) of interconnection application and studies, as further described in Section 6.4.8. In order 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.

NYSERDA is seeking ORECs from Offshore Wind Generation Facilities that will deliver their energy to an identified Delivery Point within NYCA over the Contract Delivery Term, in accordance with the Electricity Delivery Requirements contained in Article III of the Agreement. Proposers are obligated to demonstrate how this requirement will be satisfied. 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, other than payment of the contractually determined OREC Price.

Project eligibility requirements do not preclude the option to propose multiple Injection Points in NYCA as may be necessary to reasonably minimize interconnection costs. Proposals must further provide detail regarding the available capacity, at the time of submission, of the proposed Injection Point(s).

Projects must utilize HVDC technology for radial interconnection lines and must meet the Meshed Ready requirements outlined in Appendix G. Proposers must demonstrate that a Project’s interconnection and deliverability are aligned with New York State Climate Act goals to expand its offshore wind portfolio to at least 9 GW by 2035 and achieve economy-wide decarbonization by 2050. As such, the

interconnection and deliverability plan should consider cable routing and ocean footprint that will minimize risks and impacts and support the eventual delivery of at least 6 GW of offshore wind into New York City. Proposers are encouraged to consider system wide benefits achieved through planned interconnection or transmission upgrades.

It is possible that more than one Proposer may select the same Delivery Point, resulting in mutually exclusive Proposals if the Delivery Point cannot accommodate both Proposals. Accordingly, NYSERDA strongly encourages Proposers to submit at least one Alternate Proposal that reflects an alternative Delivery Point and an Alternate Proposal which includes Interconnection Cost Sharing.

3.2.7 Repurposing Downstate Fossil Fuel Generation Infrastructure

Fossil Repurposing Proposals must satisfy the eligibility requirements set forth in Section 2.1.7 and 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 or technical viability of the Proposal as a whole (compared to reasonably available alternative approaches) and aligns with the Project's Commercial Operation Date.

Fossil Repurposing Proposals will also be evaluated more favorably to the extent that they demonstrate that the proposed re-use of existing electric infrastructure will advance the Climate Act's goals of cost-effective buildout and integration of offshore wind, Energy Storage, and other renewable energy infrastructure into the electric system.

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.

The viability of the Fossil Repurposing Proposal will be evaluated by the Scoring Committee, taking into account analysis that may be conducted by the Scoring Committee, Specialist Reviewers and/or NYSERDA Consultants. The Scoring Committee, NYSERDA and/or Specialist Reviewers may request further information from the Proposer and may require adjustments to or commitments in connection with the Fossil Repurposing Proposal that are required for the Scoring Committee to evaluate viability.

Given the effect of future uncertainty on the question of viability, NYSERDA encourages Proposers to consider inclusion of contingency plans 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) and/or submission of an Alternate Proposal which does not include a Fossil Repurposing Proposal.

3.2.7.1 Fossil Repurposing Proposals that Include Affected Resources

The Scoring Committee's review of the viability of any Fossil Repurposing Proposal that includes an Affected Resource will focus on the impact of the proposed change in generation profile or deactivation on 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 Scoring

Committee will closely scrutinize the reasonableness of the proposed timeline for any such changes or deactivations.

As noted in Section 2.1.7, implementation of any Fossil Repurposing Proposal that includes an Affected Resource will be subject to determination by NYISO and any other applicable regulatory authorities that the change in generation profile or deactivation does not violate reliability or other Generation Rules, as set forth in Section [x] of the Agreement. Accordingly, in evaluating the viability of any Fossil Repurposing Proposal that includes an Affected Resource, the Scoring Committee will consider the reasonableness of the timeline for obtaining these determinations from applicable regulatory authorities.

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 Scoring Committee will make 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.

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 regulatory reviews and approvals from the NYISO 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.

3.2.8 Proposed Commercial Operation Date(s)

Proposer must provide a proposed Commercial Operation Date, or Commercial Operation Dates in the case of a multi-phase Project, accounting for the permitting, financing, interconnection, and other development milestones associated with the Proposal.

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 may receive higher Project Viability scores so 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 of this RFP.

3.2.9 Fisheries and Environmental Mitigation Plans

Proposers must provide a Fisheries Mitigation Plan as described in Appendix D that demonstrates a full understanding of the potential impact of the Offshore Wind Generation Facility on commercial and recreational fishing and provides a feasible plan to mitigate such impacts. Proposers must also provide an Environmental Mitigation Plan as described in Appendix E that demonstrates an understanding of environmental impacts during construction and operation of the Offshore Wind Generation Facility and provides a feasible plan to mitigate such impacts.

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, may receive higher Project Viability scores.

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 may receive higher Project Viability scores.

3.2.10 Stakeholder Engagement Plan

Proposers must provide a Stakeholder Engagement Plan as described in Appendix F that should detail, to the extent practical, specific measures the Proposer will take to foster collaboration and cooperation among Project developers, contractors and suppliers, impacted communities, marine users, labor organizations, State and local officials and other stakeholders.

Stakeholder Engagement Plans will be appended to the executed contracts of awarded Projects. The plan template will require developers to describe their approach to key elements of stakeholder engagement, similar to current Fishing and Environmental Mitigation Plans.

Stakeholder Engagement Plans will be made publicly available upon Proposal submission to NYSERDA’s future OREC solicitations 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.

Proposers awarded a contract must consult with NYSERDA before and during the implementation of their Stakeholder Engagement Plans and will be required to update NYSERDA on their stakeholder engagement progress and plans in their quarterly progress reports.

Thoughtful Stakeholder Engagement Plans should include:

- The Proposer’s overall approach to stakeholder identification and outreach with a comprehensive analysis depicting a solid understanding of the communities and people affected by the Project, with attention to how the proposer will work with Disadvantaged Communities to understand their needs and priorities, relative to the project
- How the Proposer intends to define and track the project and stakeholder engagement goals in collaboration with stakeholders.
- Options for engagement activities and potential partnerships with community members, institutions, local businesses, and nonprofit organizations.
- The Proposer’s approach to decision-making and identifying opportunities for collaborative stakeholder decision-making throughout the development process.
- The Proposer’s plan for providing consistent follow-up with the stakeholders they have engaged to make clear how their input was considered and its impact on the project.
- The Proposer’s plan to describe and inform stakeholders on the Project’s benefits related to local economic development, reduced energy burden, avoided health costs, added climate resiliency, avoided environmental costs, added environmental benefits, and economically disadvantaged and Environmental Justice community participation.
- The Proposer’s plan to maximize opportunities for MWBE and SDVOB contractors and subcontractors in project planning, design, construction, procurement, and operations and maintenance activities.
- Any innovative or economic development plans to enhance the participation, build capacity and foster the growth and development of MWBE and SDVOB firms in the renewable energy sector.
- Stakeholder Engagement Plans may also comprise community benefits agreements and opportunities to build not only community opportunity and capacity in regard to the Project’s development, construction, and operations but also opportunities to build community equity in a project and where all such community expenditures would constitute Incremental Economic Benefits to support a project’s evaluation under this RFP (see Section 3.3).

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, may receive higher Project Viability scores.

3.2.11 Visibility and Viewshed Impacts

Proposers must address a Project’s visibility from shore as described in Section 6.4.17, with more stringent approaches expected for Projects proposed to include turbines less than 20 statute miles from the nearest shoreline point.

3.2.12 Energy Resource Assessment

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

3.2.13 Energy Storage

Any Proposal that includes Energy Storage must describe the development plan – including permitting, financing, and interconnection status and timelines for each – for the Energy Storage and identify prior experience in developing Energy Storage. 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 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. Proposers must describe the proposed Energy Storage technology, expected useful life, how Proposer intends to deploy Energy Storage, provide an Energy Storage operation plan, and address community and stakeholder engagement and carbon accounting and embodied carbon. Proposers should also provide information that demonstrates the reliability, resilience, economic, and decarbonization benefits to the electric grid of including Energy Storage in the Proposal. Energy Storage, through strategic siting and grid location in Zone J or K, has potential to reduce carbon emissions through displacing fossil fuel generation.

In support of the outcomes envisioned by the Climate Act including energy storage goals of 3 GW by 2030, the Public Service Commission has authorized NYSERDA to award additional scoring credit to Proposals that include Energy Storage. These projects will also support the new statewide 6 GW storage target announced by Governor Hochul in the 2022 State of the State address.

3.2.14 Offsetting Carbon Emissions

Through this solicitation, NYSERDA seeks to actively support the outcomes envisioned by New York's State's nation-leading climate legislation, the Climate Act, including its target of reducing greenhouse gas emissions 85% by the year 2050. 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.

Claims that Fossil Repurposing Proposals reduce carbon emissions 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 down-state fossil generators, claims that the arrangement would reduce carbon emissions may not be scored favorably.

3.2.15 Embodied Carbon

NYSERDA 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.

3.3 New York Economic Benefits

Inclusion of the New York Economic Benefits evaluation criteria 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.

In this solicitation, New York is seeking economic benefits associated with the development of a proposed Project, optional Energy Storage, and other clean energy and decarbonization investments. 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. NYSERDA encourages Proposals that provide economic benefits from electrolytic hydrogen playing a role in achieving New York's Climate Act obligations. 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.

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 Order. NYSERDA will favorably evaluate economic benefits to New York State that will be realized in part or in full by Disadvantaged Communities.

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, 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 Order.

Such commitments to Disadvantaged Communities will be given greater weight in New York Economic Benefits scoring.

3.3.2 New York Jobs and Workforce Plan

Proposers must provide a New York Jobs and Workforce Plan. Proposers shall completely and sufficiently respond to specific prompts and utilize resources as listed in the New York Jobs and Workforce Plan in Appendix H. Proposers must provide the associated data in the Offer Data Form.

3.3.3 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 three categories:

- Category 1: Incremental Economic Benefits associated with the Offshore Wind Generation Facility (including Investment Plan Related Purchases) and any associated investments (such as Energy Storage) other than in Investment Plan Supply Chain Facilities;
- Category 2: Incremental Economic Benefits associated with development and construction of Investment Plan Supply Chain Facilities; and
- Category 3: Other Economic Benefits not associated with Investment Plans that the Proposer reasonably expects to accrue but does not include in Category 1 and therefore are not included as contractual commitments.

Separately, the investment worthiness of each Investment Plan will be reviewed by the Investment Scoring Committee based on Economic Benefits in Category 2 above and the following additional categories, which will not be included in evaluation of the Economic Benefits Plan for Economic Benefits 20 points scoring purposes:

- Category 4: Incremental Economic Benefits associated with operation and maintenance of the Investment Plan Supply Chain Facility (this category shall be incorporated in the Investment Plan funding agreement but not the Agreement); and
- Category 5: Other Economic Benefits that the Proposer reasonably expects to accrue in connection with New York State Funding of the Investment Plan but are not included in Category 2 or Category 4 and therefore are not included as contractual commitments in the Agreement or the Investment Plan funding agreement.

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

3.3.4 Economic Benefits Evaluation Considerations

In conducting its evaluation, the 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, greater weight will be attributed by the Scoring Committee to those expenditures that are firm, credible and that create persistent and sustainable institutional and/or worker capabilities in New York State.

Expenditures that can enable New York based manufacturers and suppliers' participation in the growing regional offshore wind industry as early as possible will be awarded additional scoring credit. Proposers are also 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. In evaluating proposals, the Scoring Committee 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. Proposers are encouraged to expand these indicators or develop alternative metrics that provide sustainable and verifiable growth indicators relative to the development of the offshore wind and clean energy industry.

The Scoring Committee will also award additional scoring credit to expenditures that are expected to lower the cost of future offshore wind projects in both New York State and the region and other long term economic benefits including job creation and job retention in existing manufacturing, supply chain or associated industries that can support offshore wind or clean energy transition activities. Proposers should specifically describe commitments to existing workforce retraining, and engagement of New York's skilled labor force in accord with Appendix H.

As noted above, Proposers are encouraged to recognize NYSERDA's stated goals of cultivating long-term benefits that a mature, locally-based industry can provide. Economic benefits that aim to deliver more than 20 years of benefits to New York's economy will therefore be given additional scoring credit to reflect those priorities.

Incremental Economic Benefits may accrue from offshore wind industry activities or may include benefits resulting from other clean energy economy or energy transition projects as further described in Appendix C.1. Proposals that offer Incremental Economic Benefits ascribable to a Fossil Repurposing Proposal may receive additional Economic Benefits scoring credit. In order to be considered for such scoring credit, the Fossil Repurposing Proposal must demonstrate the ability to maintain or augment 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 and further described in Appendix H and may also address preservation of all or a portion of existing PILOT agreements over the Contract Tenor.

To facilitate a standardized comparison by the Scoring Committee among Proposals with larger or smaller Offer Capacities, for Categories 1 and 2 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.

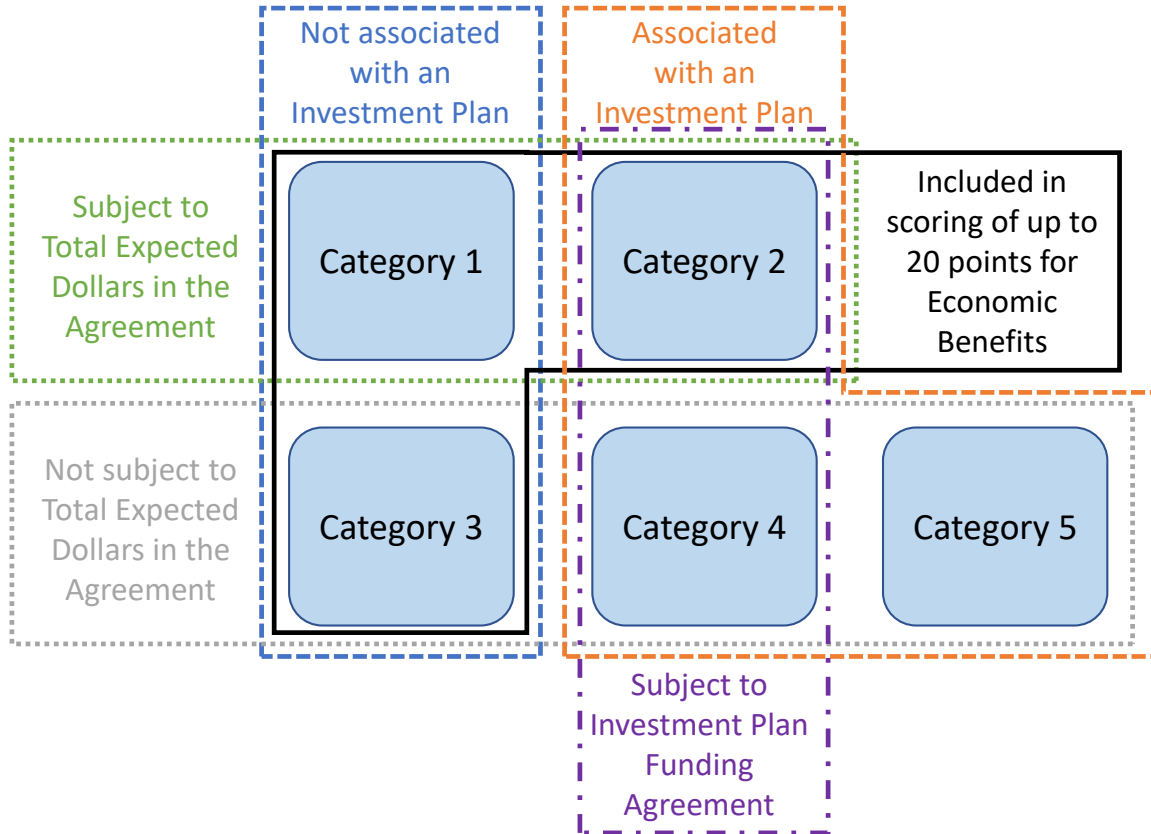
Economic Benefits in Categories 1 and 2 will be given greater weight in scoring due to their inclusion in the Agreement as contractual commitments.

In Category 3, Proposals will be assessed on the scale of the likely impact of the proposed activities and the firmness of the commitments. The 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. Proposals will be scored on the number, range, maturity, firmness, and credibility of the commitments being made and the magnitude of the potential benefits. In awarding points in Category 3, the 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, including, for example, timing, letters of support, memoranda of understanding, letters of intent, option agreements, or binding contracts;
4. magnitude of potential benefits of proposed claims on a protracted time frame, for example, activities that directly or indirectly reduce emissions, contribute to declining energy costs to ratepayers, or otherwise support a clean energy economy and clean energy transition.

Figure 1: Diagram of economic benefits contemplated within ORECRFP22-1



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 2.1.4. Under both pricing structures, the Proposer will submit a level nominal offer price for each Contract Tenor offered. If a Proposal includes two Offshore Wind Generation Facilities with different Delivery Points, a separate Index OREC Strike Price or Fixed OREC Price may 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 unless and until such Index OREC Price is invalidated, as further described in Section 4.01 of 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. For evaluation purposes, the Fixed OREC Price for Proposals that include Interconnection Cost Sharing will be adjusted upward, if necessary, using the Interconnection Cost Sharing calculations described in Section 4.3 based on Specialist Reviewer assessment of the Proposal. If a Proposal that includes Interconnection Cost Sharing is selected, the Fixed OREC Price paid to the Project will be adjusted upward or downward, if necessary, using the Interconnection Cost Sharing calculations described in Section 4.3 based on the Project's actual NYISO interconnection cost.

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

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 the following equation:

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

where:

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

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

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

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

For evaluation purposes, the Index OREC Price for Proposals that include Interconnection Cost Sharing will be adjusted upward, if necessary, using the Interconnection Cost Sharing calculations described in

Section 4.3 based on Specialist Reviewer assessment of the Proposal. If a Proposal that includes Interconnection Cost Sharing is selected, the Index OREC Strike Price used for settlement will be adjusted upward or downward, if necessary, using the Interconnection Cost Sharing calculations described in Section 4.3 based on the Project's actual NYISO interconnection cost.

NYSERDA 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:

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

where:

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

UPF = UCAP Production Factor (decimal fraction)

IC = Installed capacity (ICAP) of the generator (MW)⁸

MDE = Metered delivered energy

1,000 = kW to MW conversion factor

The UCAP Production Factor multiplied by the Project'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). A default UCAP Production Factor of 38% for both capability periods may be used, consistent with current guidance from the NYISO's Installed Capacity Manual.⁹ Proposers have the option to replace these default values with Proposal-specific UCAP Production Factors that shall be constant throughout the Contract Delivery Term. Any winter and summer UCAP Production Factor values between 0 and 1 are allowed.

NYSERDA is actively monitoring NYISO's proposed changes to capacity accreditation described in the petition filed with the Federal Energy Regulatory Commission on January 5, 2022 (Docket No. ER22-772). Following the finalization of any new NYISO rules on capacity accreditation but before such rules go into effect, NYSERDA intends to take action, potentially including petitioning the PSC, to modify the settlement formula in all Index REC and Index OREC contracts in such a manner as to preserve the

⁸ Offer Capacity for evaluation purposes, Operational Installed Capacity for settlement purposes.

⁹ NYISO Installed Capacity Manual, published December 2021.

https://www.nyiso.com/documents/20142/2923301/icap_mnl.pdf/234db95c-9a91-66fe-7306-2900ef905338

economic expectations of the Parties in accordance with the change of law provisions set forth in such contracts.

4.2 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 1.15 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.

4.2.1 Adaptations to Settlement Resulting from Future Tariff or Market Rule Evolutions

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 OREC settlement mechanism, if and when such interconnections are confirmed, through Section [x] of the Agreement, which is designed to keep the Proposer financially "whole" following the implementation of a Meshed Network. 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 that supports potential multiple injections in Zones J and/or K.

As set forth in Section [x] of the Agreement, a Project's baseline financial condition prior to implementation of a Meshed Network transmission design will serve as the basis for going-forward financial adjustments to account for any conditions, positive or negative, strictly attributable to implementation of Meshed Network transmission, such as energy price optimization and/or capacity price reformation under then prevailing NYISO rules, among other things. Other factors, including technology design and operating conditions, as well as environmental, regulatory, and financial conditions, including capacity accreditation, that are not part of Meshed Network transmission cannot be invoked by the Proposer or NYSERDA to reopen price. Changes to the baseline condition attributable to Meshed Network implementation could support an adjustment to the Index OREC Strike Price or the Fixed OREC Price either on a periodic basis or on a one-time basis for the remaining OREC term, or, in lieu of such OREC Price adjustment, other financial compensation to keep the Proposer financially "whole" relative to the baseline condition.

To demonstrate that the Project has appropriately prepared for the potential implementation of a future Meshed Network transmission system, Proposer must clearly specify all Meshed Ready design components to be incorporated in the Project. These components should be reflected in the Index OREC Strike Price or Fixed OREC Price submitted by the Proposer in this solicitation, and must meet certain minimum standards as described in Appendix G. Consistent with NYSERDA's intent to keep Proposers financially whole upon implementation of a Meshed Network grid, NYSERDA will be prepared, at such time, to engage in negotiation of adjustments, which may include but are not limited to:

- Adjustments to the definition of monthly Reference Energy Price, higher or lower, to account for differential quantity of ORECs deliverable and the Delivery Point(s) in Zone J and/or Zone K. Such redefinition may include a possible new node at the offshore HVAC substation.
- Adjustments to the definition of monthly Reference Capacity Price, higher or lower, to account for changes in deliverable capacity quantity, and/or Delivery Point. Such redefinition would have to separate the effects of future changes in NYISO capacity market structure from changes that can be ascribable solely to Meshed Network implementation.
- Adjustments to the Index OREC Strike Price or the Fixed OREC Price, higher or lower, to account for changes in deliverable OREC quantity, changes in the Project's going-forward CapEx or OpEx for HVAC and HVDC systems associated with Meshed Network implementation.

On or before implementation of the Meshed Network transmission system, Proposers will be required to demonstrate to NYSERDA's satisfaction the basis for any adverse financial impact attributable to the Meshed Network grid. Such demonstration may require the Proposer to define the baseline financial pro forma used to support the Project's Index OREC Strike Price or Fixed OREC Price, including revenue and financial assumptions such as expected energy and capacity pricing and quantity, target levered, unlevered, pre-tax and after-tax return on investment, debt-to-equity ratio and tax treatment (e.g., ITC assumptions, treatment of depreciation and post-contract term revenues and expenses). To facilitate the goal of revenue neutrality, NYSERDA will examine the reasonableness of including the cost of all or a portion of the Proposer's risk management costs to lessen or avoid the impact of adverse market conditions in the wholesale energy and capacity markets administered by NYISO. If adaptations to the settlement mechanism resulting from implementation of Meshed Network transmission are warranted, NYSERDA will implement such changes as soon as practicable and will be amenable to periodic revisitation of any prospective adjustments over the remainder of the contract term.

If NYSERDA and the Seller are unable to agree on changes to the Agreement to implement a Meshed Network system, changes will be established under the binding arbitration process set forth in Section [x] of the Agreement.

4.3 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%¹⁰ per year and a long-term inflation rate assumption of 2.0% 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 two 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 NYISERDA's forecasts of energy and capacity prices. Neither the price forecasts nor details of the modeling procedures will be disclosed to Proposers.

For evaluation and settlement of Alternate Proposals that include Interconnection Cost Sharing, an adder representing NYISERDA's share of the NYISO interconnection cost will be applied to the Index OREC Strike Price or Fixed OREC Price to determine the total price used in the evaluation. The adder will be calculated as follows:

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

$$= \frac{AICSR}{AOQ_{P50}}$$

AOQ_{P50} = P50 Annual OREC Quantity (MWh/year)

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

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

$AF(DDR, CT)$ = Annuity factor using the DDR for the Contract Tenor

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

$$= \min(\max(0, IC - ICT1), ICT2 - ICT1) \times NS1 \\ + \min(\max(0, IC - ICT2), ICT3 - ICT2) \times NS2 \\ + \max(0, IC - ICT3)$$

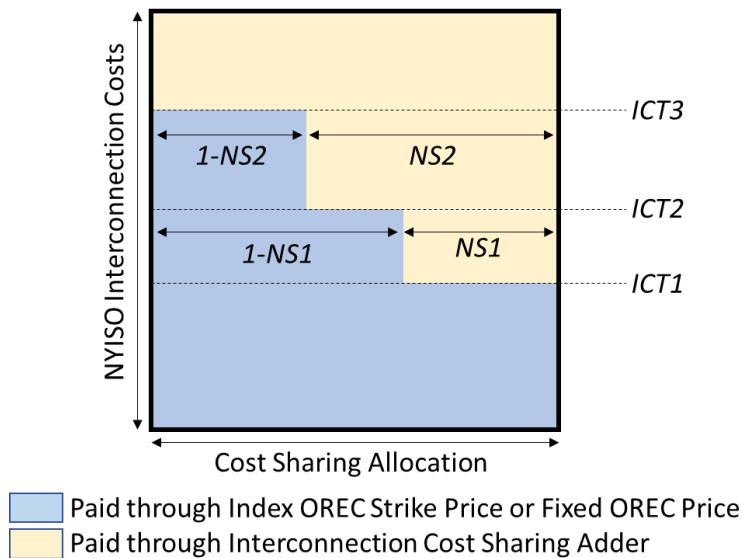
IC = NYISO Interconnection Cost (Nominal \$)

¹⁰ 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.

- ICT1 = Interconnection Cost Threshold 1 (Nominal \$, up to which Proposer absorbs 100% and NYISERDA absorbs 0% of the interconnection cost up to this value)
- ICT2 = Interconnection Cost Threshold 2 (Nominal \$, Proposer absorbs (1-NS1) and NYISERDA absorbs NS1 of the interconnection cost greater than ICT1 up to this value)
- ICT3 = Interconnection Cost Threshold 3 (Nominal \$, Proposer absorbs (1-NS2) and NYISERDA absorbs NS2 of the interconnection cost greater than ICT2 up to this value, Proposer absorbs 0% and NYISERDA absorbs 100% of the interconnection cost greater than this value)
- NS1 = NYISERDA Share (via the ICSA) of interconnection cost between ICT1 and ICT2
- NS2 = NYISERDA Share (via the ICSA) of interconnection cost between ICT2 and ICT3

The NYISO interconnection cost input value (*IC*, in the above equations) will be determined by NYISERDA based on the P90, P50, and P10 interconnection cost estimates submitted by the Proposer and associated Specialist Reviewer evaluation. If a Proposal with Interconnection Cost Sharing is selected, the NYISO interconnection cost value used for settlement purposes will be the actual NYISO interconnection cost. The Interconnection Cost Sharing parameters are illustrated in Figure 2.

Figure 2: Interconnection Cost Sharing Illustration



If an Alternate Proposal that includes Interconnection Cost Sharing is selected, in the event that the NYISO determines that the [Long Island Offshore Wind Export Public Policy Transmission Project \(LI-PPTP\)](#) reduces the Project’s NYISO interconnection cost relative to what was reasonably expected by the Proposer at the time of Proposal submission, the Index OREC Strike Price or Fixed OREC Price will be adjusted downward to limit ratepayer exposure to paying for both the LI-PPTP and the share of the Project’s expected pre-LI-PPTP interconnection cost that is embedded in the price submitted in the Proposal. This downward adjustment will be applied only for settlement in the event of award and will

not be used for evaluation. For purposes of this downward adjustment, NYSERDA will assume that the Index OREC Strike Price or Fixed OREC Price submitted in the Proposal reflects the Proposer’s maximum potential cost exposure associated with the identified cost sharing parameters. The adjustment, representing 50% of the differential between the maximum potential cost exposure and the actual interconnection cost, will be calculated as follows:

UPA = Unitized PPTP Adjustment (Nominal \$/MWh)

$$= -\frac{APAR}{AOQ_{P50}}$$

APAR = Annual PPTP Adjustment Recovery (Nominal \$/year)

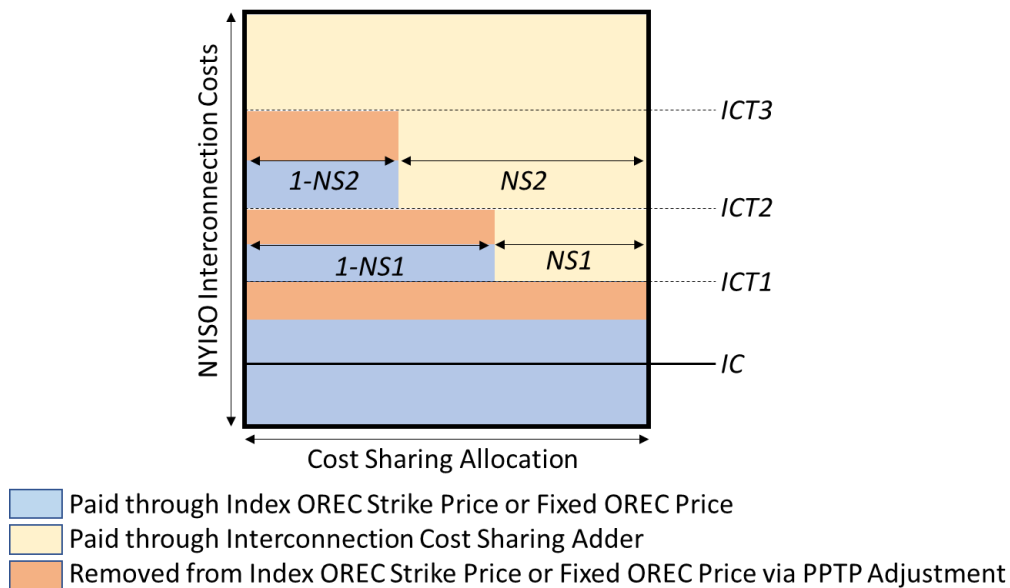
$$= ICD \times AF(DR, CT)$$

ICD = Interconnection Cost Differential (Nominal \$)

$$= 0.5 \times \max(0, ICT1 - IC) \\ + 0.5 \times \min(\max(0, ICT2 - IC), ICT2 - ICT1) \times (1 - NS1) \\ + 0.5 \times \min(\max(0, ICT3 - IC), ICT3 - ICT2) \times (1 - NS2)$$

An example of how this adjustment would be implemented for a case where the post-PPTP NYISO interconnection cost is less than ICT1 is shown in Figure 3. In this case there would be no Interconnection Cost Sharing Adder, and the Index OREC Strike Price or Fixed OREC Price would be reduced by 50% of the excess embedded interconnection cost reimbursement.

Figure 3: PPTP Adjustment Illustration



4.4 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 LNOCs, NYSERDA will, in particular, account for the price results in recent offshore wind procurements held in New England and New Jersey. A number of additional considerations will be factored into the derivation of the Benchmark LNOCs. Either positive or negative, such additional considerations 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.

5 PRELIMINARY RANKING, PORTFOLIO EVALUATION, AND FINAL AWARD GROUP

5.1 Preliminary Rank Order

5.1.1 Preliminary Rank Order for Required Base Proposal and Alternate Proposals that include Investment Plans (Preliminary IP Rank Order)

The Required Base Proposals, which must each include at least one Investment Plan, and any Alternate Proposals that include Investment Plans will be compared in the Preliminary IP Rank Order. Based upon the terms of evaluation detailed in Sections 3 and 4 of this RFP, 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. Proposals will be selected for award from the Preliminary IP Rank Order until at least two Investment Plans have been funded, as described in Sections 2.1.2 and 2.1.3.

5.1.2 Preliminary Rank Order for All Proposals (Preliminary Full Rank Order)

All Proposals, including the Required Base Proposals, Required Standalone Proposals and all Alternate Proposals, will be compared in the Preliminary Full Rank Order. Based upon the terms of evaluation detailed in Sections 3 and 4 of this RFP, 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. Once at least two Investment Plans have been funded based on the selection of Proposals from the Preliminary IP Rank Order, as described in Sections 2.1.2 and 2.1.3, additional Proposals may be selected for award from the Preliminary Full Rank Order until the \$300 million (subject to legislative approval of the proposed FY 2023 Executive Budget) in New York State Funding available for Investment Plans has been exhausted or NYSERDA concludes, in its sole discretion, that funding additional Investment Plans submitted through this RFP is not the preferred way for New York State to meet its supply chain investment targets.

5.1.3 Preliminary Rank Order for Required Standalone Proposal and Alternate Proposals that do not include Investment Plans (Preliminary Standalone Rank Order)

The Required Standalone Proposals and any Alternate Proposals that do not include Investment Plans will be compared in the Preliminary Standalone Rank Order that will be considered for award if, as described in Section 5.1.2, the \$300 million (subject to legislative approval of the proposed FY 2023 Executive Budget) in New York State Funding available for Investment Plans has been exhausted or NYSERDA concludes, in its sole discretion, that funding some or all of the Investment Plans submitted through this RFP is not the preferred way for New York State to meet its supply chain investment targets.

For clarity, the Required Standalone Proposals and Alternate Proposals that do not include Investment Plans will be evaluated subject to the terms of Sections 3 and 4 of this RFP, excluding those elements that pertain to the evaluation of Investment Plans.

Proposals selected for award from the Preliminary IP Rank Order, the Preliminary Full Rank Order and the Preliminary Standalone Rank Order shall constitute the Preliminary Award Group.

5.2 Portfolio Evaluation; Consideration of Commission Objectives and New York State Targets

In its Offshore Wind Orders the Commission identified many potential benefits for this initiative beyond its contribution to the achievement of the CES mandate and the reduction of greenhouse gas emissions. The Offshore Wind Orders also recognize that award decisions may be influenced by portfolio considerations including but not limited to diversity, economy of scale and market competition.

Given the integrated priorities of this solicitation, including the intention to procure at least 2,000 MW of offshore wind capacity and to maximize offshore wind supply chain development, the portfolio evaluation under this solicitation must seek to ensure and maximize the effective and practicable combinations of New York State Funding and Project capacity to maximize the resultant economic benefits for New York State.

In optimization of these integrated goals, NYSERDA may elect to select a Proposal from the Required Standalone Proposals or Alternate Proposals that does not include an Investment Plan based upon the Preliminary Rank Order per Section 5.1.

In addition, NYSERDA may also elect to modify the Preliminary Award Group in the event that the makeup of the Preliminary Award Group fails to meet the following program policy factors in a material respect:

- The efficient utilization of key 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 diversity;
- System benefits with respect to grid reliability and optimization including implementation of recommendations described in the New York State Power Grid Study's Offshore Wind Study and Zero Emissions Study;

Proposers are encouraged to address the above program policy factors in their Proposals to the extent applicable.

5.3 Award Group

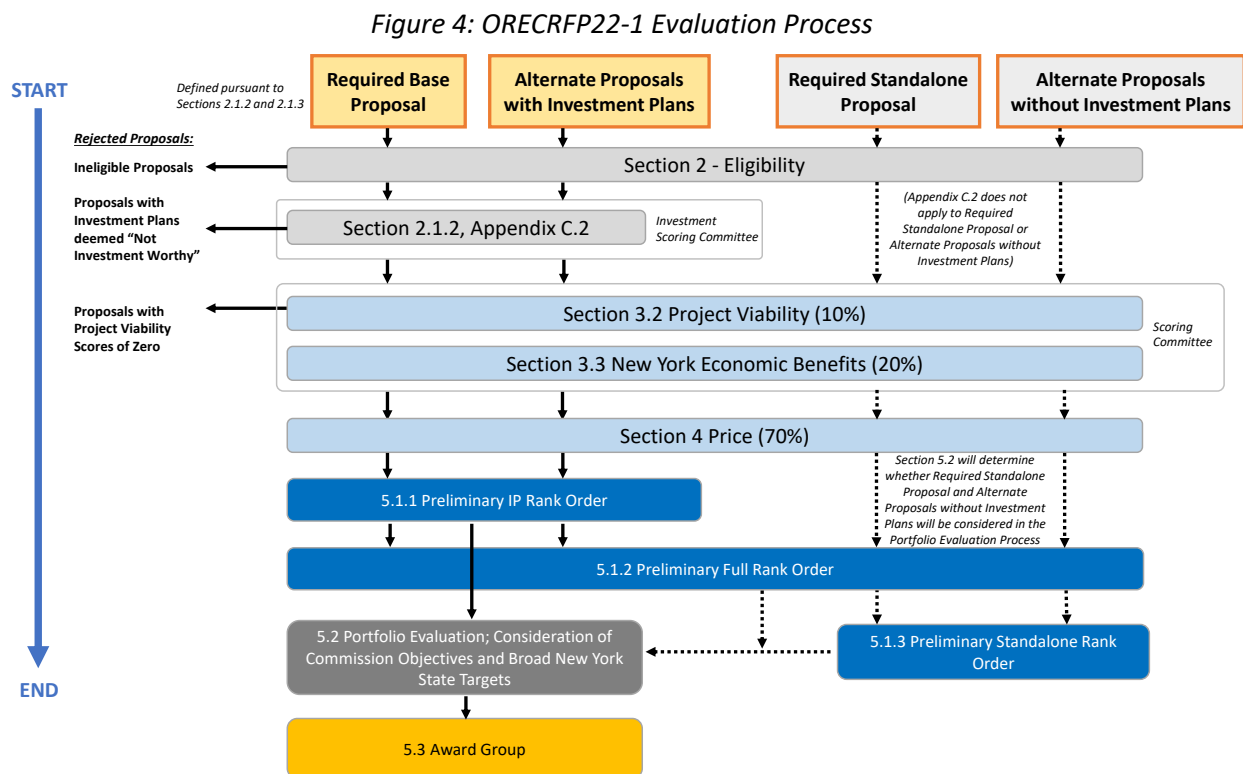
The initial award group will be comprised of the Preliminary Award Group as modified (if at all) in accordance with Section 5.2.

NYSERDA will notify the initial awardees by both voice and written communication. 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 also reserves the right to solicit revised Offer Prices and/or to make counteroffers as it deems appropriate. In such case NYSERDA will provide notice by voice communication and email to Proposer’s Authorized Agent(s), as identified on the Proposal. Proposer’s Designated Agent(s) must be authorized to respond and to commit to counteroffers on behalf of Proposer.

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 Deadline for Submission of Proposals indicated in Section 1.3.

The foregoing evaluation process is summarized in Figure 4 below.



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 filed in accordance with Section 8.1 of this RFP.

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. 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. 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. **Investment Plan 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 an Infrastructure Site or facility in alignment with the corresponding Investment Plan. The Investment Plan Data Form must be submitted as a working Excel file. At least one Investment Plan Data Form must be included in the Submission. An Investment Plan Data Form must be included in the Submission for each Investment Plan included 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 M. 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 two Offshore Wind Generation Facilities, the required information must be provided for each and clearly delineated by Facility.

4.1. **Wind Resource Data** (see Section 6.4.5)

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. **Project Schedule** (see Section 6.4.12)

At least one Project Schedule attachment must be included in the Submission. 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.

4.5. **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.

4.6. **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.

4.7. **Stakeholder Engagement Plan** (see Section 6.4.15 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.

4.8. **Letters of Support for the Proposal** (see Section 6.4.16)

At least one Letters of Support for the Proposal attachment 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.

4.9. **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.

4.10. **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.

4.11. **Investment Plan(s)** (see Appendix C.2)

At least one Investment Plan attachment must be included in the Submission. An Investment Plan must be included in the Submission for each Investment Plan Data Form included in the submission.

5. **Proposer Certification Form**, a form (Appendix B) that 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. Full submission instructions will be detailed in the final RFP issuance.

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.

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 Investment Plan 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 by the Scoring Committee, subject to the treatment of confidential information discussed in Section 8.1 of this RFP.

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 omit information where there is a reasonable basis to assert that Proposer would be commercially harmed as a result of the disclosure of such information. See Section 8.1. For clarity, the public version should not include redactions.

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 Deadline for Submission of Proposals. The file name of the submitted file should include the word “Public” as noted in Section M.4.3 of Appendix M. 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 Investment Plan Data Form (IPDF) 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 IPDF is required for each Investment Plan. Instructions for completion are included in each form.

6.3.1 Master Offers Form

The Master Offers Form (Appendix K) 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 IPDF shall be considered to contain the governing and binding information for both the evaluation and any resulting contract offer.

Part I Proposal Fee Calculation

Proposer name, Proposer ID, Offshore Wind Generation Facility, BOEM renewable energy lease number, list of Investment Plans included in the Submission, list of Proposals included in the Submission, whether each Alternate Proposal includes Energy Storage or Interconnection Cost Sharing, and if so, which Proposal without Energy Storage or without Interconnection Cost Sharing such offers 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) and ODF (Injection Point Control Area, injection substation, anticipated Commercial Operation Date for the first (or only) phase, number of phases, pricing structure, offer price(s), total economic benefits by Category).

Part III Submission Map

List of all files included in Submission, including file category (e.g., Offer Data Form, Proposal Narrative, 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 J) 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 contract offer.

Part I Identification Worksheet

Proposer name, Offshore Wind Generation Facility name, BOEM renewable energy lease number, unique Proposal name (if not the Required Base Proposal or Required Standalone Proposal), pricing structure, Offer Capacity, number of phases in which Offer Capacity will enter Commercial Operation, Injection Point Control Area, identification of associated Investment Plans by IP ID, name, and total New York State Funding (each Investment Plan must include up to \$125 million)

Part II Project Definition Worksheet

The expected Commercial Operation Date and capacity of each phase, the P10 Annual OREC Exceedance value, the summer and winter UCAP production factors, 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 Energy Storage that is directly charged from the Project, 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.

Part IV Pricing Worksheet

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.

Pricing based on sharing of the NYISO interconnection cost with NYSERDA will additionally require 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. Also required are the P90 (low), P50 (expected) and P10 (high) estimates of the NYISO interconnection cost for the Project.

Part V Economic Benefits Worksheets (See 6.4.18 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 the Offshore Wind Generation Facility and associated investments other than in Investment Plan Supply Chain 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).

Table V-2. Category 2, Incremental Economic Benefits associated with development and construction of Investment Plan Supply Chain 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). The entries in Table V-2 must be consistent with the entries in Table II-2 for the IPDFs that are applicable to the Proposal that the ODF represents.

Table V-3. Category 3, Other Economic Benefits. Data are entered by ID number, including time period, 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 6.4.18.3 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 the Offshore Wind Generation Facility and associated investments other than in Investment Plan Supply Chain Facilities. Data for labor-related claims 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, and a description of labor. Values should be entered for jobs commitments, including number of unique short-term and long-term jobs created and long-term jobs retained, labor hours (corresponding to FTE-years), locations, wages, and benefits. The total claims will be populated in Table V-1. Jobs commitments allocable to Disadvantaged Communities can also be entered if applicable.

Table VI-2. Category 2 Jobs and Workforce Data associated with development and construction of Investment Plan Supply Chain Facilities. Data for labor-related claims 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, and a description of labor. Values should be entered for jobs commitments, including number of unique short-term and long-term jobs created and long-term jobs retained, labor hours (corresponding to FTE-years), locations, wages, and benefits. The total claims will be populated in Table V-2. Jobs commitments allocable to Disadvantaged Communities can also be entered if

applicable. The entries in Table VI-2 must be consistent with the entries in Table III-2 for the IPDFs that are applicable to the Proposal that the ODF represents.

Part VII Summary of Annual Economic Benefits

Incremental Economic Benefits entries from Category 1 (Table V-1) and Category 2 (Table V-2) re-stated on an annual total basis based on the years in which the benefits are expected to accrue.

6.3.3 Investment Plan Data Form

Each Investment Plan must be accompanied by at least one IPDF (Appendix L). The IPDF has seven parts, listed below, and a User Guide. If the Proposer provides information in the narrative Investment Plans that conflicts with the information provided in the IPDF, the IPDF shall be considered to contain the governing and binding information for both the evaluation and any resulting contract offer. In the case of conflicting information between the ODF and IPDF, the ODF shall govern.

Part I Identification and Financial Model Worksheet

Proposer name, Offshore Wind Generation Facility name, Investment Site, Site Use (port, blades, nacelles or cables), Investment Plan name, IP ID, and the proposed private funding sources.

Part II Economic Benefits Worksheets

Each line item listed in Tables II-2 and II-4 must be cross-referenced in the Investment Plan using the template provided in Appendix C.2.

Table II-2. Category 2, Incremental Economic Benefits associated with development and construction of Investment Plan Supply Chain 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). The entries in Table II-2 must be consistent with the entries in Table V-2 of the ODF that are associated with the Investment Plan.

Table II-4. Category 4, Incremental Economic Benefits associated with operation and maintenance of Investment Plan Supply Chain Facilities. Data are entered by ID number, including description, first calendar and last calendar year (up to 2062) in which the benefit is expected to accrue, and the net expenditures (stated in nominal dollars). Economic benefits associated with labor, including expenditures, short-term and long-term jobs created, and long-term jobs retained will be automatically populated based on data entered in Table III-4. Net expenditures allocable to Disadvantaged Communities, MWBEs, and SDVOBs can also be entered if applicable.

Table II-5. Category 5, Other economic benefits that are reasonably expected to accrue in connection with New York State Funding of the Investment Plan. Data are entered by ID number, including description, first calendar and last calendar year (up to 2062) in which the benefit is expected to accrue, and the net expenditures (stated in nominal

dollars). Economic benefits associated with labor, including expenditures, short-term and long-term jobs created, and long-term jobs retained will be automatically populated based on data entered in Table III-5. Net expenditures allocable to Disadvantaged Communities, MWBEs, and SDVOBs can also be entered if applicable.

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 Investment Plan Supply Chain Facilities. Data for labor-related claims 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, and a description of labor. Values should be entered for jobs commitments, including number of unique short-term and long-term jobs created and long-term jobs retained, labor hours (corresponding to FTE-years), locations, wages, and benefits. The total claims will be populated in Table II-2. Jobs commitments allocable to Disadvantaged Communities can also be entered if applicable. The entries in Table III-2 must be consistent with the entries in Table VI-2 of the ODF that are associated with the Investment Plan.

Table III-4. Category 4 Jobs and Workforce Data associated with operation and maintenance of Investment Plan Supply Chain Facilities. Data for labor-related claims 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, and a description of labor. Values should be entered for jobs commitments, including number of unique short-term and long-term jobs created and long-term jobs retained, labor hours (corresponding to FTE-years), locations, wages, and benefits. The total claims will be populated in Table II-4. Jobs commitments allocable to Disadvantaged Communities can also be entered if applicable.

Part IV Summary of Annual Economic Benefits Worksheet

Economic benefits entries from Category 2 (Table II-2) and Category 4 (Table II-4) restated on an annual total basis based on the years in which the benefits are expected to accrue.

Part V Budget and Identification of Eligible Expenses Worksheet

Enter line items associated with capital expenditures for the proposed Investment Plan 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 the proposed port, manufacturing or supply chain infrastructure.

Part VII Proposed New York State Funding Terms Worksheet

Enter requested terms for the New York State Funding component of the proposed Investment Plan.

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.

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.

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 Experience

Proposers are required to demonstrate project experience and management capability to successfully develop and operate the Project proposed. NYSERDA is interested in Project Teams that have demonstrated success in developing generating facilities of similar size and complexity and can demonstrate an ability to work together effectively to bring the Project to commercial operation in a timely fashion. Proposers are required to provide the following information with their Proposal:

1. An organizational chart for the Project that lists the Project participants and identifies the corporate structure, including general and limited partners.
2. Statements that list the specific experience of Proposers and each of the Project participants (including, when applicable, Proposers, partners, and proposed contractors), in developing, financing, owning, and operating generating and transmission facilities, other projects of similar type, size and technology, and any evidence that the Project participants have worked jointly on other projects.
3. A management chart that lists the key personnel dedicated to this Project and resumes of the key personnel. Key personnel of Proposer's development team having substantial Project management responsibilities must have:
 - a. Successfully developed and/or operated one or more projects of similar size or complexity or requiring similar skill sets; and

- b. Experience in financing power generation projects (or have the financial means to finance the Project on Proposer's balance sheet).
 - c. Experience in integrating MWBEs and SDVOB in developing generating facilities of similar size and complexity or other large public works projects.
- 4. A listing of projects the Project sponsor has successfully developed or that are currently under construction. 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. Commercial Operation Date
 - e. Estimated and actual capacity factor of the project for the past three years
 - f. Availability factor of the project for the past three years
 - g. References, including the names and current addresses and telephone numbers of individuals to contact for each reference.
- 5. With regard to Proposer's Project Team, identify and describe 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
- 6. Details of Proposer's experience in NYISO markets. With regard to Proposer's experience with NYISO markets, please indicate the entity that will assume the duties of Market Participant for your proposed Offshore Wind Generating Facility. Please 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.
- 7. Details of Proposer's experience involving MWBEs and SDVOBs in projects of similar type and scale. With regard to Proposer's experience engaging or utilizing MWBEs and SDVOBs, please indicate the entity and individual that will assume the responsibility for Diversity, Equity, and Inclusion for your proposed Offshore Wind Generating Facility. Please provide a summary of Proposer's or Diversity, Equity, and Inclusion Officer's experience with contracting equity and inclusion.

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, 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. 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. Include these plans and the timeline in the overall Project Schedule in Section 6.4.12.

In addition to providing the required map(s), provide a site layout plan that illustrates 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. Identify the distance in statute miles between the nearest shoreline point and the nearest Offshore Wind Generation Facility turbines.

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.

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:

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. 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 involvement of any subsidiaries supporting the Project. Provide an organization chart showing the relationship among the different Project participants. For joint ventures, identify all owners and their respective interests, and document Proposers' right to submit a binding Proposal. Provide the race and gender of the general and limited partners, officers, directors, managers, members and/or joint venture owners with financial interest.
3. 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, contingency on NYERDA's selecting either the Fixed OREC or Index OREC form of pricing
 - 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.
4. Provide documentation illustrating the experience of Proposer in securing financing for projects of similar size and technology. For each project previously financed provide the following information:
 - a. Project name and location
 - b. Project type and size

- c. Date of construction and permanent financing
 - d. Form of debt and equity financing
 - e. Current status of the project
5. Provide evidence that Proposer has the financial resources and financial strength to complete and operate the Project as planned.
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 2.1.4 of this RFP and Section [x] of the Agreement for the Bid Price adjustment related to receipt of 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 affiliates 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 affiliates and partners.
8. List the board of directors, officers and trustees for the past three years and any persons who Proposer knows will become officers, board members or trustees. Provide any Diversity, Equity, and Inclusion plan to be used in selecting new officers, board members or trustees.
9. Demonstrate Proposer's ability (and/or the ability of its credit support provider) to provide the required security, including its plan for doing so.
10. Provide a description of any current or recent credit issues/ credit rating downgrade events regarding Proposer or affiliate entities raised by rating agencies, banks, or accounting firms. Provide information regarding any exposure of the Proposer, parent company, and/or affiliates 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 company, joint venture participants and/or affiliates, including limited liability corporations.
11. Disclose any pending (currently or in the past three years) litigation or disputes related to projects planned, developed, owned or managed by Proposer or any of its affiliates in the United States, or related to any energy product sale agreement.
12. 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.

13. List all of Proposers' affiliated entities and joint ventures transacting business in the energy sector.
14. Describe any litigation, disputes, claims or complaints, or events of default or other failure to satisfy contract obligations, or failure to deliver products, involving Proposer or an affiliate, and relating to the purchase or sale of energy, capacity or RECs or other electricity products.
15. Confirm that Proposer, and the directors, employees and agents of Proposer and any affiliate 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).

6.4.8 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:

1. Provide documentation to show evidence of the interconnection request to NYISO or any neighboring control areas for Capacity Resource Interconnection Service (CRIS) or for Energy Resource Interconnection Service, or similar interconnection standards in neighboring control areas. For Proposals where capacity is to be delivered to NYCA, Proposers should describe any required transmission system upgrades and provide an estimate of the required transmission system upgrade costs under NYISO CRIS to meet deliverability requirements in NYISO. 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. Any interconnection studies undertaken by the applicable control area or third parties on behalf of Proposer must be provided.
2. Provide a copy of an electrical one-line diagram showing the interconnection facilities and the relevant facilities of the transmission provider.
3. Identify and provide an estimate of the interconnection cost, supported by a study by an independent third party, 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. Describe measures to identify and control the regulatory and operational risks related to the delivery of energy from the Offshore Wind Generation Facility.
4. Demonstrate that energy and associated ORECs generated by the facility can be delivered into the NYCA. For an Offshore Wind Generation Facility interconnecting in an adjacent Control Area, describe how Proposer intends to fulfill the External Project Delivery Requirement.

5. Provide detail regarding the available capacity, at the time of submission, of the proposed Injection Point.
6. Provide detailed maps that show the proposed off- and on-shore cable route(s) from landfall the proposed Injection Point including as much supportive detail and information of relevance for an actual or eventual Article VII filing as available at the time of submission.
7. Describe any specific power grid benefits brought by the selection of the interconnection and delivery points such as reduced curtailments, congestion relief, or energy storage capacity.
8. If pricing with Interconnection Cost Sharing is offered, describe the basis for each of the submitted P90, P50 and P10 interconnection cost estimates) as entered in the ODF), and provide any supporting documentation, including a study by an independent third party.
9. Demonstrate that the project meets the Meshed Ready requirements set forth in Appendix G and is capable of future operability if recommended by the New York State Public Service Commission for interconnection to the Meshed Network.

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 2.1.7. 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.

Further information regarding the required contents of Fossil Repurposing Proposals is set forth in Sections 2.1.7 and 3.2.7.

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 in 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. Major equipment components to be used, including nacelle, hub, blade, tower, foundation, transmission structures and platforms, electrical equipment and cable
 - c. Manufacturer of each of the equipment components as well as the location of where each component will be manufactured
 - d. Status of acquisition of the equipment components
 - e. Status of any contracts for the equipment Proposer has 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. 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 (i.e. superstorms, hurricanes), seismic activity, etc.
 - i. Design considerations that help to support responsible disposal and or recycling of components after the end of their useful life and equipment plans that generally aim to consider the precepts of the circular economy.
 - j. In the event the equipment manufacturer has 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 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.

6.4.13 Construction and Logistics

This section of the Proposal addresses necessary arrangements and processes for outfitting, assembly, storage, and deployment of major Project components such as turbine nacelles, blades, towers, foundations, and transmission support structures. 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. 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.
3. Describe the proposed approach for staging and deployment of major Project 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.

4. 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).
5. 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.

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 Fisheries Mitigation Plan itself 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. 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 Environmental Mitigation Plan itself 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. 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 economic benefits including facilities related to the Investment Plans. Proposers should also include specifics on how representatives of local Disadvantaged Communities will be engaged. Proposers should also consider a plan to engage with Navigation Safety committees.

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. Elements of the Stakeholder Engagement Plan are described in detail in Appendix F. Stakeholder Engagement Plans shall discuss the status of implementing the detailed engagement activities and commitments and provide a reporting framework to include in regular updates to NYSERDA. Include information on specific localized support and/or opposition to the Project of which Proposer is aware. Detailed supporting information, including copies of any agreements with communities and other constituencies impacted by the Project, not already covered in the Fisheries Mitigation Plan or the Environmental Mitigation Plan, and documentation identifying the level of public support for the Project including letters from public officials, community and local interest groups, newspaper articles, *etc.* should be included in the required Letters of Support for the Proposal attachment.

6.4.17 Visibility and Viewshed Impacts

Proposers must address a Project's visibility from shore. 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 Scoring Committee.

6.4.18 New York Economic Benefits

Proposers must submit their claimed Incremental Economic Benefits by Category using the Offer Data Form and support these claims by submitting an Economic Benefits Plan (Appendix C.1). All claimed expenditures and investments should be provided in nominal dollars (U.S.) at the time of Proposal submission. All benefit claims in Category 3 must be specified and quantified to the extent feasible.

The Proposal Narrative should include a high-level narrative summary of the Economic Benefits Plan for each Proposal included in the Submission. The Economic Benefits Plan for each Proposal should be submitted in a separate required Economic Benefits Plan attachment.

The Economic Benefits Plan must include descriptions and supporting documentation for their Incremental Economic Benefits claims, as described below.

This RFP seeks to deliver a coordinated solution to prioritize enabling offshore wind projects in New York and those activities, expenditures, and investments – including specifically the investment of up to \$300 million (subject to legislative approval of the proposed FY 2023 Executive Budget) in New York State Funding in port, manufacturing, or supply chain infrastructure related to offshore wind – which fosters growth of a New York based industry and delivers economic growth in New York.

Every eligible Proposal submitted in response to this RFP, with the exception of the Required Standalone Proposal and any Alternate Proposals that do not include Investment Plans, must include a plan to leverage a portion, or the entirety, of the available New York State Funding. The Economic Benefits Plan and associated claims of Incremental Economic Benefits made for every Proposal must be likewise supported by one or more Investment Plans as described in Appendix C.2.

6.4.18.1 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.

In the Economic Benefits Plan, Proposer must also describe the manner in which Proposer will comply with the New York State Supplier Opportunity requirement described in Section 2.2.15. The Economic Benefits Plan should:

1. Provide a description of how Proposer will evidence in post-contracting biannual reports such compliance for any package of work, on Proposer's behalf or on behalf of its Major Suppliers, with respect to information such as:
 - a. The expected scope of work;
 - b. The estimated value of the scope of work;
 - c. The names of New York companies invited to tender; and
 - d. Evidence that New York State companies have been made aware of the opportunity.
2. Identify any exceptions to providing opportunities to New York vendors for those opportunities deemed by Proposer as impractical to be serviced by the New York State supply chain at this time, along with the reason and justification for designating the contracting opportunity as an exception. There are three exceptions to providing opportunities to New York vendors:
 - a. No New York company can reasonably be expected to have the capability to deliver a scope of work in the timescale needed for the Project;
 - b. Proposer or its Major Suppliers have existing or committed contractual arrangements at the time of the offer with suppliers outside of New York; or
 - c. The selection of a New York supplier would be impractical (for example, if the customer for the scope of work is outside of New York) or if it would add significant commercial or technical risk to the Project.

The Economic Benefits Plan should summarize any engagement with third-party organizations that would be involved in the successful delivery of Proposer's claims and commitments. In addition to considering these specific actions in the Stakeholder Engagement Plan, the New York Jobs and Workforce Plan should explain the strategic importance of these commitments and how they fit into overall regional offshore wind market development and identify the duration of any commitment. In the Business and Workforce Engagement Plans, Proposers are encouraged to consider workforce training for New York workers designed to create industry-recognized credentials and skills that are stackable, transportable, or transferable. Workforce Engagement Plans should emphasize where proposed training activities are centered around offshore wind health and safety. Proposers may include proposals to coordinate with pre-apprenticeship programs and use publicly and privately funded workforce development programs or union-affiliated, registered apprenticeship programs. The Business and Workforce Engagement Plan may also explain the strategic importance of supporting, through investment, local manufacturers to shift existing facilities and employees to serve offshore wind component manufacturing.

6.4.18.1.1 Economic Benefits Category 1: Incremental Economic Benefits associated with the Offshore Wind Generation Facility and associated investments other than in Investment Plan Supply Chain Facilities

Category 1 is comprised of spending, investment, job creation and job retention in New York State. It includes those net expenditures by developers and their supply chains in New York State, including in-state purchases, employment, and payments/benefits to New York State government or other entities. It also includes long-term capital investments or reinvestments in offshore wind-enabling supply chain, infrastructure, workforce development and research and development (R&D) initiatives in the state that will have an enduring impact on the offshore wind industry and the New York State economy, unless

they are associated with an Investment Plan, in which case they should be entered in Category 2. The Proposal will also describe the degree to which the development and construction of the Offshore Wind Generation Facility and associated transmission infrastructure and onshore assets will directly create short and long-term jobs in New York State. Expenditures and jobs related to a complementary and optional clean energy component such as Energy Storage, a grid benefit project, hydrogen, or other electrification or energy transition project may be considered under Category 1 benefits. Purchases of nacelles, blades or cables from an Investment Plan Supply Chain Facility or spending for utilization of an Investment Plan pulley chain port should be included in Category 1. Indirect or induced benefits related to the expenditure of workers' and proprietors' salaries will not be considered. Expenditures and investments that are associated with construction, operation or maintenance of an Investment Plan Supply Chain Facility are not to be included in Category 1.

Job claims made in Category 1, Economic Benefits Plan via cross reference to the New York Jobs and Workforce Plan will be reviewed for details on recruitment, training, hiring, and retention of existing workers through the reinvestment and rehabilitation of existing facilities for the manufacturing of offshore wind components. With respect to job claims, proposers are encouraged to consider:

1. Specific plans to recruit, train, hire, and retain local workers, and in particular those in Disadvantaged Communities;
2. Coordination, partnerships and/or agreements with various workforce related stakeholders, and in particular those service providers in the outreach, recruitment, and training of historically marginalized workers;
3. Cooperation with organizations for the purpose of providing Disadvantaged Community workers with wrap-around or supportive services;
4. Retraining or upskilling of existing employees at in-state manufacturing facilities converted to manufacturing offshore wind components.

A description of Category 1 expenditure types is provided in Appendix C.1. All Category 1 line items must be appropriately cross referenced in the Offer Data Form.

6.4.18.1.2 Economic Benefits Category 2: Incremental Economic Benefits associated with development and construction of Investment Plan Supply Chain Facilities

Category 2 is comprised of expenditures and jobs that are specifically associated with development and construction of an Investment Plan Supply Chain Facility receiving New York State Funding. The items in Category 2 of the Economic Benefits Plan, and the ODF, should include all Category 2 Economic Benefits associated with each of the Investment Plans included in the Proposal. All Category 2 line items must be appropriately cross referenced in the ODF.

6.4.18.1.3 Economic Benefits Category 3: Other Economic Benefits

Category 3 consists of economic benefits to New York State that are expected to be provided but are not included in Category 1 or 2 and therefore not included as contractual commitments. This may include activities that provide opportunities for growth in New York State's offshore wind industry and more broadly support a clean energy economy. Such benefits under Category 3 may be related to offshore

wind specific supply chain, workforce, research, innovation and development, or may be related to the emerging circular economy and encompass deep decarbonization pilot projects and investments that promote energy transformation or grid resiliency.

This category includes programmatic actions that will have desirable impacts on New York State's businesses, workforce, and local communities, but the value of which is not denominated in dollars or jobs. These activities may include impactful actions taken on the part of Proposer to enhance New York energy transition activities, support further offshore wind supply chain development and declining energy costs beyond the Project, encourage local workforces, bring social or health benefits, or otherwise promote economic activity in New York's local communities.

Expenditures associated with offshore wind market or clean energy economy actions should be included in Category 1. The actions and value of those actions and metrics by which they are to be measured should be included in Category 3. Incremental Economic Benefits associated with expenditures and/or jobs should be included in Category 1 or 2 to capture the higher scoring potential under Economic Benefits. For the avoidance of doubt, expenditures or jobs included in Category 3 will receive lower weighting in Economic Benefits than those claimed in Category 1 or 2 and will not be subject to contractual obligations.

Other Economic Benefits that have the potential to benefit New York State may include but are not limited to those actions and/or developments delineated in Appendix C.1. Category 3 input activities are *additional* to the New York State Supplier Opportunity threshold requirement that Proposers must agree to provide companies with the opportunity to offer to provide goods and services to developers of the Project for which there is capability in New York State.

The Economic Benefit Plan must include a written description of the input activities that Proposer will take under Category 3. Where possible, Proposer should seek to quantify the input activities, and provide documentary evidence of past examples of similar activities and the impacts they had and supporting documentation from potential partners or beneficiaries. In general terms, Proposers should describe:

1. The nature of the intended commitment;
2. The timetable for undertaking the activity;
3. A discussion of any risks or uncertainties, including the degree to which it is dependent on factors outside Proposer's control, and describe what these factors are;
4. The potential impact of the activities and the factors that will influence the impact;
5. The resources Proposer will deploy (financial or manpower) to deliver the activity; and
6. The organizations with whom Proposer will work. For example, for workforce training commitments, cooperation with a registered apprenticeship program or a labor management coordinated training program; and
7. The identification of existing New York State Suppliers that can reinvest and retrofit its manufacture facilities to be repurposed to support and supply the growing offshore wind project pipeline in New York and the region.

All Category 3 line items must be appropriately cross referenced in the Offer Data Form.

6.4.18.2 Investment Plan(s) (See Appendix C.2)

The Investment Plans 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 Investment Plan(s) associated with the Proposal must align with the Proposer's Economic Benefit Plan(s) and associated claims of Incremental Economic Benefits 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.

The Proposal Narrative should include a high-level narrative summary of each Investment Plan included in the Submission. Each Investment Plan must be submitted in a separate required Investment Plan attachment.

The organization and contents of the Investment Plan should align with the structure outlined in Appendix C.2. If a Proposer's submission includes multiple Eligible Investment Sites, a separate Investment Plan and IPDF must be submitted for each Eligible Investment Site.

Investment Plans should additionally describe economic benefits associated with the supply chain facility that do not qualify as Project economic benefits, specifically Category 4 and Category 5.

6.4.18.2.1 Economic Benefits Category 4: Incremental Economic Benefits associated with operation and maintenance of Investment Plan Supply Chain Facilities

Category 4 is comprised of expenditures and jobs that are specifically associated with operation and maintenance of an Investment Plan Supply Chain Facility receiving New York State Funding. Category 4 economic benefits will not be included in the Expected Total Dollars for purposes of the Agreement but will be included in the Investment Plan Supply Chain Facility's funding agreement.

6.4.18.2.2 Economic Benefits Category 5: Other economic benefits that the Proposer reasonably expects to accrue in connection with New York State Funding of the Investment Plan

Category 5 is comprised of economic benefits to New York State that are expected to be provided as a result of New York State Funding of the Investment Plan but are not included in Category 2 or 4 and therefore not included as contractual commitments.

6.4.18.3 New York Jobs and Workforce Plan (See Appendix H)

Proposers must include in their Proposals 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, Minority Women Owned Business Enterprises (MWBs), and Service-Disabled Veteran-Owned Businesses (SDVOBs). A narrative description of the New York Jobs and Workforce Plan should be included in the

Proposal Narrative. 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.

Proposers are encouraged to consider workforce training for New York workers designed to create industry-recognized credentials and skills that are stackable, transportable, or transferable. The New York Jobs and Workforce Plan should emphasize where proposed training activities are centered around health and safety. Proposers may include proposals to coordinate with pre-apprenticeship programs and use publicly and privately funded workforce development programs or union-affiliated, registered apprenticeship programs. The New York Jobs and Workforce Plan may also explain the strategic importance of supporting, through investment, local manufacturers to shift existing facilities and employees to serve offshore wind component manufacturing.

6.4.18.4 MWBE and SDVOB Economic Benefits

Proposals will be required to state the amount of Incremental Economic Benefits that will accrue to MWBE and SDVDB contractors and subcontractors. These Incremental Economic Benefits will receive greater weight in scoring and will be included in the Agreement as further described in Appendix C.1.

6.4.19 Reducing Carbon Emissions and Embodied Carbon

Proposers are required to describe how the Project will actively support the outcomes envisioned by New York's State's nation-leading climate legislation, the Climate Act, including its target of reducing greenhouse gas emissions 85% by the year 2050. In fulfillment of which, 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.

Proposers are required to describe how projects are anticipated to offset emissions and contribute toward New York State's decarbonization goals by displacing fossil generation where applicable. Where the Project deliverability requires system upgrades, proposers are encouraged to seek solutions that utilize or repurpose existing fossil fuel assets. The Proposal Narrative should explain the anticipated emissions effects and causal sequence of repurposing fossil fuel-based electricity generation assets, including any emissions that may result from how that fossil fuel asset and local demand is replaced. 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.

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.

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 prior experience with Energy Storage development. Describe any community engagement that the Proposer 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 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
 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.

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 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.

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.

6.5 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

If Proposer is proposing any exceptions to the Agreement, included as Appendix I, Proposer must provide a redlined markup of the Agreement and provide an explanation and justification for each requested change.

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. Should the Project receive an award, NYSERDA will contact Proposers to schedule a discussion regarding the terms identified in the redlined markup of the Agreement. Requested changes that recognize the limitations imposed by the competitive procurement rules and the Offshore Wind Orders will have no impact on the scoring or evaluation of the Proposal.

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 beyond the initial Award Notification Date.

7.2 Provision of 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 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 Investment Plan. Simultaneously, NYSERDA will work with the Funding Recipient(s) to enter into one or more agreements with the Funding Recipient covering the terms and conditions of the New York State Funding.

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.

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 <http://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>.

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 <http://www.ogs.ny.gov/aboutogs/regulations/advisoryCouncil/StatutoryReferences.html>

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.

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). 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). 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 Executive Order No. 14

In accordance with Executive Order No. 14, no institution or company that is headquartered in Russia or has its principal place of business in Russia (“Russian entity”) or providing assistance to the Russian government in its campaign to invade the sovereign country of Ukraine, either through in-kind support or for-profit (“Supporting entity”) shall be eligible for this solicitation. Each Proposer shall be required to certify in the Proposer Certification Form that neither the Proposer nor any associated Funding Recipient is (i) a Russian entity or (ii) a Supporting entity, in each case as defined above and in Executive Order No. 14.



KATHY HOCHUL
Governor

NYSERDA

RICHARD L. KAUFFMAN
Chair

DOREEN M. HARRIS
President and CEO

**Energy Efficiency and Clean Technology Training
Program Opportunity Notice PON 3981
\$4,000,000 Available**

NYSERDA reserves the right to extend and/or add funding to the solicitation should other program funding sources become available.

**Proposal Due Dates: Round 13 – March 10, 2022; Round 14 – July 26, 2022;
Round 15 – January 18, 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 and relevant education, hands-on experience, and placement into paid internships, apprenticeships, full-time jobs, or advanced formal training 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 \$4 million. It is anticipated that approximately half of the funding will be reserved for training activities that support building electrification. Additional funds may be added at NYSERDA’s discretion, if available.

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. Training related to offshore wind is supported

through other NYSERDA and New York State initiatives and is not eligible for funding under this PON.

Individuals and entities that may apply for funding include 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; and 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). Applicants may consist of individual entities or a team of Training Providers. Applicants are encouraged to partner with and/or demonstrate support from energy-related industry partners or companies.

Funds may be used for initiatives that focus on training for targeted EE&CT areas. These include but are not limited to 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 to meet business needs. Additionally, NYSERDA may fund relevant marketing and outreach (up to 10% of total NYSERDA funding) as well as reasonable in-state travel to support eligible training initiatives in the technology areas specified above.

All training must be designed to meet the needs of EE&CT 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 EE&CT projects that fall into any one or both of the following categories:

1. Training for Existing Workers and Individuals in Formal Training Programs.
2. Career Pathways for New Workers/New Entrants in Clean Energy.

Category 1 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, industry associations, or union training programs).

Category 2 projects include those that prepare new workers for entry into New York State's clean energy economy.

Training projects under **Category 2** must meet additional requirements related to technical training, wraparound services, representation of Disadvantaged Communities/Priority Populations, industry partnerships, outcome monitoring, and placement post training.

NYSERDA will accept proposals requesting between \$50,000 and \$500,000 in NYSERDA funding. Applicants must contribute a minimum cost share of 30 percent toward the total project budget, either in the form of cash or in-kind services. Proposals that focus exclusively on Disadvantaged Communities and/or Priority Populations will receive higher consideration as well a reduced cost share requirement of 10 percent.

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 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.

For program questions, please contact Gwendolyn Bluemich or Adele Ferranti at WFinfo@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

New York's Clean Energy Standard (CES) was initially established in 2016 to fight climate change, reduce harmful air pollution, and ensure a diverse and reliable low carbon energy supply. The New York State Public Service Commission subsequently approved an expansion of the CES to refocus New York's existing regulatory and procurement structure on achieving the goals laid out in New York's nation-leading Climate Leadership and Community Protection Act, or Climate Act. Signed into law in 2019, the Climate Act established a 70 percent renewable electricity by 2030 mandate, setting the State on an ambitious trajectory to a zero-emission power sector by 2040. The law drives investment in clean energy solutions such as wind, solar, energy efficiency, and energy storage, and ensures that at least 35 percent of the benefits from clean energy investments are realized by disadvantaged and low-to-moderate income communities.

The leading authority responsible for advancing New York's clean energy and climate goals is the New York Energy and Research Development Authority (NYSERDA). A public benefit corporation created in 1975, NYSEDA is dedicated to advancing innovative energy solutions in ways that improve New York's economy and environment. 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 \$100 million in funding for a variety of training activities that support workers entering and working in the Energy Efficiency and Clean Technology (EE&CT) 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 EE&CT 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 pathway and supportive or wrap-around services for members of Disadvantaged Communities and/or Priority Populations. Proposals that focus exclusively on Disadvantaged Communities and/or Priority Populations will receive higher consideration as well a reduced cost share requirement.

For the purposes of this solicitation, “Disadvantaged Communities” and “Priority Populations shall” meet the definitions outlined on NYSERDA’s Clean Energy Workforce Development [“Definitions”](#) webpage.

II. PROGRAM REQUIREMENTS

a. Eligibility Requirements

i) SBC/CEF Territories

All training initiatives must be designed to meet the needs of EE&CT 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, etc.).
- 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. If a proposal is funded and the 60 percent threshold is not met, NYSERDA’s project share and resulting payments may be prorated.

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 may apply for funding include 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; and 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.

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. Applicants are encouraged 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](#). More information about the initiative may be found [here](#).

iii) Technology Areas

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.
- Large-scale, land-based renewable energy generation that is actively supported through NY'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) Training Initiatives

Initiatives and activities for which NYSERDA funding may be used may include, but are not limited to:

- Curriculum or certification development, modification when there is a demonstrated market gap and need.
- Training (online, classroom, on-site, etc.) and certification costs.
- Equipment purchases for hands-on training.
- Hiring and training of trainers.
- Implementation of mentorships and internships.
- Pre-apprenticeships and apprenticeships.
- Services to place individuals into paid internships, apprenticeships, full-time jobs, or advanced formal training.
- Training (development and delivery) in languages other than English to meet specific business needs.
- Marketing and outreach (up to 10% of total NYSERDA funding); and
- Reasonable in-state travel.

Proposals that include and integrate several training elements 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. All training initiatives funded under this PON must serve and benefit New York State residents.

Additionally, NYSERDA will evaluate the following services and activities on a case-by-case basis, as justified:

- Costs such as transportation, tutoring, job site equipment (e.g., work boots or tool belts), childcare assistance, or other wrap-around services, particularly for career pathway projects for members of Disadvantaged Communities and Priority Populations.
- Indirect costs, such as training facility or equipment rentals and utilities, provided they are commensurate with the scope of the proposed training project.

Activities that are NOT eligible for funding or cost share include:

- Trainee labor costs to participate in training.
- Costs associated with preparing a proposal.
- Training efforts which have already been undertaken.
- Development of a plan to sustain training after NYSERDA funding has ended.

Activities that are NOT eligible for funding but may be eligible for cost share include reasonable costs for:

- Food and refreshments.
- Computers (and related equipment such as servers, software, etc.) and cell phones.
- Motor vehicles and trailers.
- Learning Management Systems (LMS) to host virtual training.

The proposed cost share must be relevant to the scope of the proposed project. Learn more about applicants' cost share requirements in **Section II b. Program Budget and Cost Share Requirement** below.

v) Categories

This solicitation will provide funding to projects that fall into **any one or both** of the following categories:

1. Training for Existing Workers and Individuals in Formal Training Programs.
2. Career Pathways for New Workers/New Entrants in Clean Energy.

Category 1 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, industry associations, or union training programs).

Category 2 projects include those that prepare new workers for entry into New York State's clean energy economy.

Training on offshore wind technologies is not eligible for funding under this PON. Such projects may be eligible for funding under other NYSERDA solicitations.

All training projects, regardless of category, must benefit residents of New York State and must have a demonstrable connection to employer or industry needs. These must be documented through letters of support from relevant employers or industry players, labor market data, or other forms of credible direct knowledge of the sector or workforce needs. Evidence of industry demand must be provided specifically for the training under consideration. Additionally, all projects must have a solid and well-documented sustainability plan to ensure continuation of training after NYSERDA funding has completed.

Training projects under **Category 2** must meet the following, additional requirements:

- **Technical Training and Wrap-around Services:** A successful Career Pathways project will include a combination of rigorous and high-quality clean energy education, offered concurrently with and in the same context as workforce preparation activities (e.g., job readiness, coaching/mentoring, financial literacy, etc.) and wrap-around services (e.g., case management, transportation, child support services, homelessness prevention, mental health counseling, legal assistance, immigrant resources, etc.) to support individuals with barriers to employment.
- **Representation:** At least 50 percent of trainees must be from Disadvantaged Communities and/or Priority Populations.
- **Industry Partnerships:** The project must include partnerships, demonstrated in letters of commitment, with businesses to provide 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.
- **Outcome Monitoring:** The proposal must include a plan to monitor the achievements of program graduates for at least 12 months after training completion. 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 12-month "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 EE&CT industry. Trainees are considered all of those individuals who are enrolled at the start of the program. 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, please consult the [Example Training Projects page](#) on NYSERDA's Clean Energy Workforce Development website.

b. Program Budget and Cost Share Requirement

Total funding for multiple rounds, denoted by proposal due dates for this solicitation, is \$4 million. **It is anticipated that approximately half of the funding will be reserved for training activities that support building electrification.** Future rounds of this solicitation may occur subject to availability. Additional funds may be added at NYSERDA's discretion. Should any changes be made to this solicitation, notification will be posted on the "[Funding Opportunities](#)" section of NYSERDA's website.

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. NYSERDA anticipates making multiple awards under this solicitation, and all or none of the total available funds may be awarded in any round.

Projects are anticipated to be completed within approximately two years, depending on the nature of the project. Category 2 career pathway projects must include an additional 12-month outcome monitoring period for new workers, resulting in a total project duration of approximately three years. Upon project completion, NYSERDA may retain 5 percent of project costs, 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 applicant and NYSERDA; 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.

Examples of eligible cost share contributions include but are not limited to training fees offset by a third party, materials purchased for training, contributions of direct labor (for which the laborer is paid as an employee), equipment supplied by manufacturers/business for hands-on training, unpaid labor, indirect labor, or other general overhead. Reasonable costs for food and refreshments, computers (and related equipment such as servers, software, etc.), personal devices and cell phones may also be considered as a cost share element.

Applicants may not claim as cost share wages associated with participants' training time or any expenses that have already been incurred.

The project budget, including proposed cost share, must be provided **in Attachment F – Budget.**

c. Reporting, Tracking and Invoicing 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 report, along with an invoice, based on a format provided by the NYSERDA Project Manager, documenting training activities, key program performance metrics, any costs incurred, and cost share contributed over the course of that time frame. 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.

Additionally, to measure and articulate the impact of its workforce initiatives, NYSERDA is partnering with an independent organization to conduct a rigorous, statewide evaluation of its Contractors. If approved, applicants whose proposals are selected will be asked to participate. The evaluation will utilize a random assignment design to select eligible or qualified individuals who will receive training services. This process, similar to drawing names from a hat, is fair and ensures that everyone has the same chance of receiving services. Those who are not admitted will form a control group and may be referred to other non-similar services. It is expected that the evaluation will not reduce the total number of individuals who are served by each training program. Applicants whose proposals are awarded funding and who are selected for this evaluation will have the opportunity to adjust their Statements of Work, Budget, and Schedule accordingly. 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. PROPOSAL REQUIREMENTS

a. Required Attachments

A complete proposal must consist of the following attachments:

- A. Proposal Cover Page.
- B. Proposal Response.
- C. Statement of Work.
- 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

The Proposal Cover Page is intended to collect basic information and provide a high-level overview of the applicant's proposal. Included is a commitment by applicants that do not contribute to the CEF to demonstrate that more than 60 percent of individuals trained either live or serve customers in SBC/CEF service territories (see **Eligibility Requirements in Section II** for more information). Such evidence must be provided over the course of the project and included as a deliverable in the applicant's **Statement of Work (Attachment C)**.

For a complete list of terms and conditions, please see **Section V – General Conditions**.

B. Proposal Response

In **Attachment B – Proposal Response**, applicants must provide more detailed information about the proposed training initiative. To best meet the needs of different learners as well as individuals from Disadvantaged Communities and/or Priority Populations, applicants are encouraged to “think outside the box” and propose training that accommodates different learners, for example, trainees still in school, transitioning incumbent workers with busy day-time schedules, workers who speak a primary language other than English, etc. Where possible, technical training should be developed and implemented as part of a degree, certificate, continuing education, career pathway, pre-apprenticeship, apprenticeship, or job preparedness program.

Preference will be given to applicants who can demonstrate the following:

- **Existing Materials/Resources:** Ability to leverage existing resources, including training facilities and opportunities for hands-on application of skills on the part of learners.
- **Education/Career Pathway:** Integration of 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.
- **Sustainability:** A viable strategy to ensure that training will be successfully sustained after NYSERDA funding has ended.
- **Disadvantaged Workers:** Proposals that exclusively serve to advance, place, and integrate individuals from Disadvantaged Communities and/or Priority Populations in the EE&CT labor market.
- **Applicants:** Projects that include or are led by MWBEs and/or SDVOBs.

See **Section VII – Resources** for a list of publications and references that may provide additional background data and information on EE&CT workforce needs to support development of a proposed training project and proposal response.

C. Statement of Work

Applicants must include a detailed Statement of Work (SOW) with their application. The SOW is the primary contractual document that identifies the deliverables and serves as a basis for payment. It is an action document that specifically delineates each step or procedure required to accomplish the outlined tasks. The SOW must be prepared as an ordered set of tasks, including subtasks as necessary, and deliverables. Applicants should describe their approach/methodology and define their rationale for the proposed approach. Each action should be identified, indicating who will perform it, how it will be performed, when it will be performed, and what it is expected to measure/deliver.

Proposals that include elements of both Category 1 and Category 2 training should distinguish these in the SOW by outlining them in different tasks. Requirements for Category 2 will only apply to Category 2-related activities.

Additionally, all applicants are required to incorporate into the SOW specific requirements for quarterly reports as well as a final report upon project completion. See **Attachment C – Sample Statement of Work** for a sample SOW, including guidance on proper use of contractual language and example reporting requirements.

D. Project Metrics

Applicants are required to provide a list of training metrics. How do they define success? Which metrics will they use to track progress and measure project outcomes? **Attachment D** 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 or client-level.

E. Training Schedule

Applicants must provide a schedule for completing tasks based on tasks and deliverables outlined in their SOW (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**.

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.

ii) Cost Breakdown

Based on the costs calculated in Budget Form, applicants are asked to provide a cost breakdown (a) **by task** and (b) **by participant**. Cost share may include cash and in-kind funds, as outlined in Section II ("Program Budget and Cost Share Requirement") above.

Cost sharing by task may vary between applicant and NYSERDA; however, the total cost share must result in no greater than a 70 percent NYSERDA/30 percent Applicant split. Proposals focusing exclusively on Disadvantaged Communities and/or Priority Populations may include an applicant cost share of 10 percent (90 percent NYSERDA).

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 (see "Market Gaps & Opportunities" in Attachment B - Proposal Response for more information).

Letters of Commitment serve to reinforce industry partners' commitment to and 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 are not allowed.

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. 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.

All proposals must be received by 3pm Eastern Time on the date noted above. Online submission via Salesforce is preferred. 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.

IMPORTANT: ALL DOCUMENTS SUBMITTED VIA SALESFORCE MUST BE UPLOADED AS ONE SINGLE DOCUMENT PER 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, the documents will risk being overwritten, and the application will be incomplete.

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

For contractual questions regarding this solicitation, please contact Nancy Marucci at 518-862-1090 x3335 or NancySolicitations@nyserda.ny.gov.

For program questions, please contact Gwendolyn Bluemich or Adele Ferranti at WFinfo@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.

IV. PROPOSAL EVALUATION

a. Process & Timing

Proposals that meet solicitation requirements will be reviewed by a Scoring Committee consisting of NYSERDA staff and staff of relevant external organizations using the Evaluation Criteria below. After the proposals are reviewed, NYSERDA will inform each applicant of the results within approximately eight weeks.

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 SOW, budget, or schedule before being awarded funding. 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

Proposals are evaluated based on the requirements outlined in the PON and based on the quality and content of the application. The Scoring Committee reserves the right to require an interview before final contract award decision to address any potential questions or clarify items outline in the proposals. The Scoring Committee may request additional 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.

1. Applicant Qualifications

- **SBC/CEF Territories:** Are proposed training sites located in SBC/CEF utility service territories? If the applicant does not pay into the SBC/CEF, does the proposal demonstrate that at least 60 percent of the students and/or clean energy businesses benefitting from the proposed training initiative either live or serve customers in SBC/CEF territories?
- **Experience:** Which experience do the applicant and any subcontractors have in providing the proposed types of training activities? Does the proposal include resumes of key personnel? Are their education and experience relevant to the training and job placement

needs? Do the applicant or any subcontractors have any previous experience partnering with NYSERDA? Are resumes of relevant staff included? Do they provide evidence of relevant qualifications, degrees, certifications?

- **Rate of Success:** What is the applicant's track record of / approach to ensuring job placements and relationships with EE&CT businesses/employers? Which applicant or subcontractor data is available for 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 EE&CT training initiative? Does it clearly outline goals, target audience/category, skills, occupations, and related wages? Is it a stand-alone effort or a combination of services (e.g., counseling, job preparedness, wrap-around activities)? Does it adequately describe the anticipated format, dates, times, and locations? Does it take into consideration special needs for different populations? Are course outlines and syllabi included for any new/modified courses? Is any other relevant supporting material included?
- **Target Audience:** How well does the proposal identify the audience to be trained? If Category 2, does the proposal target at least 50 percent (or 100 percent for reduced cost share-eligible projects) of individuals from Disadvantaged Communities or Priority Populations?
- **Industry Partnerships:** To which extent does the applicant partner with businesses and meet businesses' hiring and/or training needs? How well defined is the role of industry partners? Do the partnerships include a representative mix of key players in the EE&CT industry? If Category 2, does the proposal include unique and custom-tailored letters of commitment from partnering organizations? 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? Does it 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? Besides training, which other services, if any, will be included as part of the career pathway program (e.g., counseling, job preparedness and 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 (for 36 months max)?
- **Metrics/Project Outcomes:** How comprehensive are projected training outcomes? (Depending on the training initiative, program outcomes might include 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 sufficiently documented? Are they comprehensive?

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 EE&CT training capacity (curriculum, trainers, equipment) in NYS that is employer-led and based on the occupational skills necessary to support business demands?

4. Statement of Work (SOW)

- Objective: Does the SOW include a detailed training objective? Does it adequately prepare participants to fill the stated workforce need in the EE&CT industry?
- Content: Is the SOW 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 SOW include tasks and deliverables that address all of the requirements of the solicitation and as outlined in the Proposal Response? Is there enough detail provided for each task in the SOW? Are appropriate metrics built into each deliverable? Does it include separate tasks for Category 1 and Category 2 training, if applicable?
- Evaluation & Reporting: Does the SOW 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 and by participant? Does it include a separate budget form for subcontractors (\$50K or greater), if applicable? Is the information provided in the supporting schedule sufficiently detailed?
- Resources: Does the applicant have adequate equipment to support classroom or laboratory training that meets industry standards? Are sufficient resources (staff, facilities, equipment, and materials) devoted to each proposed task?
- 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 proposals and the projected results?
- Cost Share: Is a 30% cost share (or 10% for projects exclusively serving Disadvantaged Communities and/or Priority Populations) included? 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? Is there a complete description for each funding source?

6. Preferred Criteria

- Existing Materials/Resources: Does the proposal leverage existing resources, including 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?
- Sustainability: Does the proposal offer a viable strategy to ensure that training will be successfully sustained after NYSERDA funding has ended?
- Disadvantaged Workers: Does the training initiative exclusively serve to advance, place, and integrate individuals from Disadvantaged Communities and/or Priority Populations in the EE&CT 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.
- The degree to which the applicant 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.
- 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.

VI. ATTACHMENTS

Attachment A – Proposal Cover Page
Attachment B – Proposal Response
Attachment C – Sample Statement of Work
Attachment D – Metrics
Attachment E – Schedule
Attachment F – Budget

VII. RESOURCES

The following publications and references may provide additional background data and information on EE&CT workforce needs to support development of a proposed training project and proposal response.

- [New York Clean Energy Industry Report](#)
- [Energy Efficiency Jobs in America: 2021](#)
- [2021 U.S. Energy & Employment Report](#)
- [American Council for an Energy-Efficient Economy \(ACEEE\)](#)
 - [State and Local Policy Database: New York](#)

General Labor Market Data and Reports:

- [Burning Glass Technologies](#)
- [Chmura Economics and Analytics](#)
- [Cornell Institute for Social and Economic Research \(CISER\)](#)
- [NYC Labor Market Information Service](#)
- [Indeed](#)
- [NYS Department of Labor \(NYSDOL\)](#)
 - [Labor Statistics](#)
 - [New York State Data Center](#)
 - [Local Workforce Development Boards](#)
- [Regional Economic Development Councils](#)
- [U.S. Bureau of Labor Statistics](#)

New York State Energy Research and Development Authority

Albany
17 Columbia Circle, Albany, NY 12203-6399
(P) 1-866-NYSERDA | (F) 518-862-1091
nyserda.ny.gov | info@nyserda.ny.gov

Buffalo
726 Exchange Street
Suite 821
Buffalo, NY
14210-1484
(P) 716-842-1522
(F) 716-842-0156

New York City
1359 Broadway
19th Floor
New York, NY
10018-7842
(P) 212-971-5342
(F) 518-862-1091

**West Valley Site
Management Program**
9030-B Route 219
West Valley, NY
14171-9500
(P) 716-942-9960
(F) 716-942-9961



NYSERDA

KATHY HOCHUL
Governor

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**

\$8.5 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

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**¹.
 - 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 separate eligible businesses but may be considered a single eligible business 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 hired by businesses prior to approval of an application to participate in the program and hire new workers.

¹ 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.

No communication intended to influence this procurement is permitted except by contacting Peter Tompkins (Designated Contact) at (518) 862-1090, ext. 3585 or by e-mail at PONOJT@nyserda.ny.gov or Adele Ferranti by e-mail at winfo@nyserda.ny.gov. If you have contractual questions concerning this solicitation, contact Nancy Marucci (Designated Contact) at (518) 862-1090, ext. 3335 or by e-mail 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.

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. NYSEDA reserves the right to extend and/or add funding should other program funding sources become available.

For eligible workers hired through the program, NYSEDA 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 Disadvantaged Community and Priority Population hires 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 members from Disadvantaged Communities and Priority Populations.
- Businesses hiring workers related to solar electric, solar thermal, or wind technologies can receive incentives only for hiring members from 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 members from 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 exact same staff time 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 will 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.
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 NYSERDA 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 NYSERDA contractor on a generation project funded by NYSERDA/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 NYSERDA'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 NYSERDA's PON 4000 may be hired under the OJT program; however, they cannot start work as a full-time direct employee prior to being approved through the OJT program application process. Individuals who worked as fellows through NYSERDA's PON 4772 may be hired by the same host organization under the OJT program to extend their work on fellowship projects and initiatives, however they cannot start work as a full-time permanent employee prior to being approved through the OJT program application process.
4. Not be a relative of business owners, principals, or hiring managers. "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.nyseda.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 notices²; 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. The entire New Hire Application process, including NYSERDA approval, must be completed before the employee starts work. Businesses work with their assigned NYSDOL Business Service Representative (BSR) to complete each New Hire Application.

New Hire Application steps include:

² Information on WARN notices can be found here:
<http://www.labor.ny.gov/workforcenypartners/warn/warnportal.shtm>.

- 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.
- 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

The new hire can only begin their employment and implementation of the OJT training plan after NYSERDA issues approval of the New Hire Application. New hires that begin employment before NYSERDA approves the New Hire Application are received are NOT eligible.

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 NYSEDA 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 NYSEDA 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, NYSEDA 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. NYSEDA 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, NYSEDA 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 notices³; 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 NYSEDA received during the past three years. Applicants that are on probation in or have been expelled from other NYSEDA 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.

³ Information on WARN notices can be found here:
<http://www.labor.ny.gov/workforcenypartners/warn/warnportal.shtm>.

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, 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). 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). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

Contract Award - NYSEERDA anticipates making multiple award(s) under this solicitation. NYSEERDA anticipates a contract duration of up to six months, unless NYSEERDA 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. NYSEERDA may request additional data or material to support applications. NYSEERDA will use the Sample Agreement to contract successful proposals. NYSEERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSEERDA 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. NYSEERDA expects to notify applicants in approximately four weeks from the receipt of an application whether your application has been selected to receive an award. NYSEERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSEERDA 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 NYSEERDA will post to the web, the following language must be included. NYSEERDA 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 [NYSEERDA's Accessibility Requirements](#).

Limitation - This solicitation does not commit NYSEERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSEERDA 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 NYSEERDA's best interest. NYSEERDA 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. NYSEERDA 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 NYSEERDA after the award of a contract, NYSEERDA 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.

Attachments:

Attachment A: Training Plan form

Attachment B: Sample Agreement

New York State Energy Research and Development Authority

Albany
17 Columbia Circle, Albany, NY 12203-6399
(P) 1-866-NYSEERDA | (F) 518-862-1091
nyserda.ny.gov | info@nyserda.ny.gov

Buffalo
726 Exchange Street
Suite 821
Buffalo, NY
14210-1484
(P) 716-842-1522
(F) 716-842-0156

New York City
1359 Broadway
19th Floor
New York, NY
10018-7842
(P) 212-971-5342
(F) 518-862-1091

**West Valley Site
Management Program**
9030-B Route 219
West Valley, NY
14171-9500
(P) 716-942-9960
(F) 716-942-9961



NYSERDA

KATHY HOCHUL
Governor

RICHARD L. KAUFFMAN
Chair

DOREEN M. HARRIS
President and CEO

**New York State Clean Energy Internship Program
Program Opportunity Notice (PON) 4000
\$2.0 Million Available**

**NYSERDA reserves the right to extend and/or add funding to the
Solicitation should other program funding sources become available**

**Applications Accepted Through December 30, 2024, by 3:00
PM Eastern Time**

Program Summary

Through this program, the New York State Energy Research and Development Authority (NYSERDA) will provide funding to clean energy businesses and organizations hiring interns to perform meaningful work in the clean energy sector. With this Program Opportunity Notice (PON), clean energy businesses and organizations apply to participate in the program as employers, and individuals apply to participate as interns. Accepted businesses and organizations (“Eligible Businesses”) will select, interview, and make an offer to intern candidates. The internship program is designed to provide funding support for new intern hires to introduce eligible individuals to jobs in clean energy careers.

Applications from those interested in becoming an Eligible Business will be accepted on a continuous first-come, first-served basis until funds are expended. Funding may be adjusted depending on demand and availability of additional funds.

Eligible Businesses with up to 100 employees will be reimbursed 90 percent of intern wages up to the stated NYSERDA maximum in Section III - Funding. Eligible Businesses with 101 employees or more are eligible for reimbursement of 75 percent of an intern’s wages, up to the stated NYSERDA maximum in Section III - Funding. Each internship shall be approved on a case-by-case basis, and caps on number of interns per business are outlined in Section III - Funding. NYSERDA retains the right to limit participation in this program, including, but not limited to, the number of interns a business may bring into the program at any time, for any reason.

All Eligible Businesses that participate under this PON must have a business location in New York State. Any intern supported under this PON must work in New York State.

No communication intended to influence this procurement is permitted except by contacting Rebecca Vance (Designated Contact) at (518) 862-1090, ext. 3586 or by e-mail CleanEnergyInternship@nysesda.ny.gov or Adele Ferranti (Designated Contact) at wfinfo@nysesda.ny.gov. If you have contractual questions concerning this solicitation, contact Nancy Marucci (Designated Contact) at (518) 862-1090, ext. 3335 or NancySolicitations@nysesda.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

I. Introduction

The New York State Clean Energy Internship Program is a workforce development initiative offered through NYSERDA. The program focuses on enhancing the talent pipeline for New York State businesses and organizations engaged in the clean energy industry by facilitating the placement of students, recent graduates, and other eligible individuals considering career opportunities in clean energy into paid internships across the state. The program offers financial support for new internships only. The intern must be a new hire for the business. The intern cannot have been a previous employee at the business in any capacity. NYSERDA reimburses Eligible Businesses for a percentage of the intern's gross wages.

Eligible Businesses must provide a meaningful internship opportunity. A meaningful internship is a form of experiential learning that integrates knowledge and theory learned in the classroom with practical application and skills development in a professional setting for a fixed duration of time. Internships give students the opportunity to gain valuable applied experience and make connections in professional fields they are considering for career paths, and they give employers the opportunity to guide and evaluate talent.

II. Eligibility

Eligible Businesses

For the purposes of this solicitation, "Eligible Businesses" are defined as energy efficiency and clean technology businesses, organizations, or municipalities that have dedicated energy efficiency or clean technology positions as an integrated part of their business or organizational practices, including start-up companies, or business or labor management organizations working on behalf of energy efficiency or clean technology businesses. Organizations that run direct entry pre-apprenticeship workforce training programs recognized by the New York State Department of Labor that incorporate clean energy content are also eligible to participate as an Eligible Business. Eligible Businesses must be a for-profit business (including LLPs and LLCs) or a not-for-profit business. Local municipalities and counties are also eligible to participate.

Eligible Businesses must have at least one physical business location in New York State and provide services related to research, manufacture, design, procurement, installation, operation, commissioning, technical sales, technical training, etc., in the following areas:

- Energy Efficiency – including lighting; heating, ventilation, and air conditioning; air source heat pumps; advanced building materials; insulation and air sealing and other high efficiency product and services.

- Renewable Electric Power Generation – including solar, wind, geothermal, low-impact hydropower and other renewable generation technologies.
- Grid Modernization and Energy Storage – including smart grid, microgrid, demand response management and, grid storage.
- Alternative Transportation – including electric, hybrid, plug-in hybrid and fuel cell/hydrogen vehicles; as well as public transit systems, smart mobility, and transportation demand management strategies that reduce fuel emissions.
- Renewable Fuels – including biofuels such as wood pellets and ethanol.

Businesses and organizations whose central services are not related to clean energy are not eligible to participate, including, but not limited to, internships associated with building operations and maintenance or a sustainability position within a business where their primary business activities are not related to clean energy. Internships in traditional trades positions are not eligible unless the job description and full-time work for the intern demonstrates a direct connection to eligible clean energy technology categories.

To be approved to participate in the program, businesses must:

- Be registered to do business in New York State.
- Have the legal authority to hire employees and conduct business in New York State.
- Have a business address for a formal business location within New York State.
- Provide a meaningful internship, which is work that will introduce the intern to clean energy careers.
- Not be an academic or State or Federal government entity.
- Be in good standing with NYSERDA and the New York State Department of Labor.
 - NYS Department of Labor’s due diligence check ensures that a business or organization is in compliance with all New York State laws for worker protection. To be considered in good standing, a business or organization must: be registered with Unemployment Insurance, Worker’s Compensation and Disability Insurance, and with the New York Department of State, have no active Shared Work plans, be cleared of Labor Standards and OSHA violations, and have no active WARN notices or Trade Act cases. If you have any questions about the due diligence vetting process, they can be directed to the Department of Labor’s due diligence mailbox: OJTDueDiligence@labor.ny.gov.
- 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). Exceptions may be considered on a limited case-by-case basis. See additional requirements related to Business Size below.
- Agree to the Host Business Agreement Terms and Conditions (Attachment A)

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:

- Principals of corporations and owners of businesses such as sole proprietors or partners are not considered to be employees for this total.
- Workers who are independent contractors, subcontractors, contract employees, or interns cannot be included in the employee count.
- Eligible businesses with multiple branches, locations and/or related companies under separate names with unique Federal Employer Identification Numbers (FEINs) will generally be considered separate eligible businesses but may be considered a single eligible business at the

sole discretion of NYSERDA. National or chain accounts are considered a single "eligible business."

- 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-employee minimum for participation in the program. Businesses that are New York State registered or New York City certified as a Women-Owned Business Enterprise (WBE)/Minority-Owned Business Enterprise (MBE) or Service-Disabled Veteran-Owned Business (SDVOB) are not subject to the 2 full-time employee minimum.

Businesses or organizations that use outside agencies for payment of employees will be considered on a case-by-case basis. In most cases, those outside agencies will be subject to New York State Department of Labor review as outlined above.

Completing the Business Application and becoming an approved Eligible Business does not guarantee or entitle an organization to receive internship funds. To gain approval for an individual internship, the organization must submit an Internship Application with all required documentation as outlined in under "Program Process."

Eligible Interns

For purposes of this solicitation, "Eligible Interns" include:

- Individuals who are currently attending or have attended a degree program at a college or university located in New York State within the last 12 months as of the date of the intern application.
- New York State residents attending or who have attended a college or university outside of New York State within the last 12 months as of the date of the intern application. New York State residency, with proof of residency such as rental agreement or utility bills, must have been established prior to the start of the internship. Interns moving to the state for an internship do not qualify under this category.
- New York State residents who are at least 16 years of age and who are members of a Disadvantaged Community and/or Priority Population¹.

The Project Manager has discretion in evaluating applications to determine whether current and former educational experience meets the requirements of this solicitation. Internships for New York State residents attending school outside New York State must take place when the intern is living in New York State (e.g., during the summer).

¹ 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.

Interns are only eligible for one internship during the program and cannot be hired by multiple employers under this program.

Eligible Internships

Once an organization is approved as an Eligible Business and the intern candidate is approved as an Eligible Intern, then the Business must submit an Internship Application to NYSERDA for review and approval for each intern they would like to hire. Program requirements related to eligible internships are as follows:

- Internships must be for a fixed, defined period of time and clearly distinct from full-time permanent positions. Intern compensation must be commensurate with the internship job description and for an engagement of a fixed duration.
- To be eligible as an intern at a participating business and be reimbursed through the program, individuals may not have been previously employed at the host business, either as an intern, contractor, or full-time employee.
- An intern would not receive a standard benefits package offered to a permanent hire, so an employment arrangement that includes a standard benefits and compensation package is not considered to be an eligible internship.
- Interns cannot be hired as 1099 Independent Contractors.
- Interns cannot be a relative of host Business owners/principles/hiring managers. "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, grandson 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.
- Internships that primarily consist of business support, marketing, and/or administrative activities must demonstrate that the interns are learning and applying knowledge directly related to clean energy technologies and business practices. Businesses must clearly describe this connection in the individual internship job descriptions submitted to NYSERDA for review and approval.
- Businesses cannot require that interns sign a non-compete agreement as part of their internship employment.
- Internships must be based out of a Host Business' office location in New York State.
- Interns participating in the program are permitted to work remotely as necessitated by the COVID-19 pandemic. For NYSERDA to approve remote work arrangements, businesses must submit Remote Work Plans to NYSERDA for approval in the Internship Application. Remote Work Plans must detail how the interns will be equipped to collaborate with the business' staff members, how often they will communicate with the team, and how this interaction will give them practical experience and exposure to clean energy business activities
- Internships may take place on a full- or part-time basis, however reimbursement amounts are based on whether or not the intern is enrolled in any classes during the internship (see Section III - Funding).

III. Funding

Funding is being made available to enhance the talent pipeline through meaningful clean energy internships to students as described above. NYSERDA reserves the right to change or extend and/or add funding should other program funding sources become available.

Funding is allocated on a first-come first-served basis to Eligible Businesses that register, are confirmed as eligible, and have submitted a completed Internship Application. Funding will be allocated until it is exhausted. To check on the availability of funding, please contact CleanEnergyInternship@nyserd.ny.gov. Funding for additional interns will not be awarded once the available funding is fully reserved.

Reimbursement will be on a sliding scale depending on the size of the business:

- Percent of intern wage funded by NYSERDA for businesses with up to 100 employees: 90%
- Percent covered for businesses with 101 or more employees: 75%

Intern wages that will be reimbursed can range from the NYS minimum wage at the time of hire to up to \$17.00 per hour (gross wages). Businesses or organizations are able to pay more than \$17.00 an hour, but the NYSERDA share is capped at the reimbursement percentage applied to \$17.00. NYSERDA will not provide reimbursement on overtime wage premiums that go above straight time wages.

Internships must last a minimum of 8 weeks and must be a minimum of 80 total hours. Internships shorter than 8 weeks in total length may be considered on a case-by-case basis for internships conducted as part of Career Pathways training initiatives; however, pre-approval by NYSERDA is required.

Total hours eligible for reimbursement per internship are capped at a maximum of 480 hours or the total of intern hours completed within a 12-month period, whichever is fewer.

If an intern is not taking any classes during the internship, the maximum NYSERDA reimbursement is 40 hours per week on average during the internship. While an intern is taking one or more classes, NYSERDA will only reimburse up to 18 hours per week on average unless the host business receives pre-approval from the NYSERDA Project Manager for additional weekly hours under exceptional circumstances. NYSERDA will not provide reimbursement on paid vacation time or paid holidays. NYSERDA will not provide reimbursement on fringe benefit costs.

If an intern ends their employment before the minimum of 8 weeks or 80 hours are completed, due to the decision of either the business or the intern, businesses should contact CleanEnergyInternship@nyserd.ny.gov to notify NYSERDA of the early termination of the internship. NYSERDA reserves the right to determine whether or not funding reimbursement can be paid for internships terminated early.

Businesses with two or more employees can have up to seven interns participating in the program at one time. The cap for businesses with fewer than two employees that are approved for the program (registered minority-owned, women-owned, and service-disabled veteran-owned businesses only) is three interns participating in the program at one time. Registered minority-owned, women-owned, and

service-disabled veteran-owned businesses are eligible for the full cap of seven interns at one time if they have two or more employees.

A business can be reimbursed for up to 30 interns over the duration of the program, with the exception of minority-owned, women-owned, and/or service-disabled veteran owned businesses registered with New York State or certified with New York City who have no cap on the total number of interns they can be reimbursed for over the duration of the program.

NYSERDA reserves the right to award funding to businesses beyond the caps listed above on a case-by-case basis for internship and training activities related to priority areas such as pre-apprenticeship training and internships for individuals from priority populations and disadvantaged communities. All requests for funding above the program hiring caps must be pre-approved by NYSERDA.

Payments will be made to Eligible Businesses only and will be on a reimbursable basis (i.e., the intern must be paid full wages for the reimbursement period before the eligible 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 internships.

Businesses may request reimbursement from NYSERDA for the wages paid to the intern one time at the end of the internship or businesses may request progress reimbursement payments no more frequently than every 12 weeks of intern work or other interval as agreed upon with NYSERDA. Final reimbursement requests must be submitted within 60 days after the end of the internship.

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 exact same staff time or project.

Please note: 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 (<http://www.nyserda.ny.gov>). Those applications that are received after the suspension date will not be considered for funding.

IV. Program Process

1. Business Application

- a. Businesses register to participate by completing the online business application form: https://portal.nyserda.ny.gov/CORE_CONAPP_Program_Page?programFamily=Workforce%20Development&programName=Workforce%20Development%20and%20Training. The application applies to both the PON 4000: Clean Energy Internship Program and the PON 3982: On-the-Job Training Program. Businesses may be approved for participation in one or both programs.
- b. Submitted Business Applications go through the New York State Department of Labor and internal NYSERDA review and approval process. After 12 months, businesses may be required to submit updated documentation to NYSERDA to verify continued eligible for the program, including current number of employees and office location(s).
- c. NYSERDA notifies businesses via email whether or not they are approved to participate.

- d. If approved, the business is granted access to a directory of approved intern candidates who have applied to the program. Should the business select its own interns, interns will still need to submit an application via the NYSERDA portal and be approved by NYSERDA to be part of the program.
2. Intern Application (Submitted by intern candidate)
- a. Prospective interns are required to complete an online application through NYSERDA's application portal:
https://portal.nyserda.ny.gov/WFD_APPINTAKE_Intern_Initiation_Page.
 - b. All Intern Applications must include a cover letter, resume, and residency documentation.
 - c. Transcripts are required for applicants who are current college and university students and recent graduates. Individuals will demonstrate their eligibility in the Disadvantaged Community category via their residency documentation.
 - d. Individuals applying under the other Priority Population categories will self-attest that they qualify under the applicable category, and NYSERDA may require back-up documentation of this status prior to awarding funding for an internship.
 - e. Approved intern applicants' resumes are shared with participating Eligible Businesses until that intern is hired through the program.
 - f. Intern applications stay on file for one year. If an intern is not hired under the program within the year, they may reapply as long as they continue to meet the criteria of an eligible intern.
3. Internship Application (Submitted by business)
- a. A business submits an Internship Application via the NYSERDA portal. Internship Applications must be submitted no later than 30 days after an intern's start date. Applications will not be accepted via email.
 - b. An Internship Application must include:
 - 1. Job Description
 - a. The job description must outline the intern's intended tasks and responsibilities as well as the connection to clean energy. NYSERDA will approve or reject individual job descriptions. A job description must be approved in order for NYSERDA to reserve funds for an individual intern. More than one intern can be hired under the same job description if the position supports multiple interns.
 - b. Businesses may submit job descriptions for interns they plan to hire through the program to the Project Manager at CleanEnergyInternship@nyserda.ny.gov for review in advance of hiring an intern if they so choose.
 - 2. Signed Offer Letter
 - a. The signed offer letter should be on company letterhead and, at a minimum, state the intern's name, date range to work, primary work location, and wage/hour.
 - b. Businesses may send draft offer letters to NYSERDA at CleanEnergyInternship@nyserda.ny.gov for review prior to having them signed, if they so choose.
 - 3. Remote Work Plan (if applicable)
 - c. When NYSERDA approves an Internship Application, NYSERDA will notify the business via email, and funding will be reserved for that intern based on the terms of the

Internship Application. NYSERDA will only provide reimbursement for approved internships.

4. Reimbursement

- a. At the conclusion of the internship, Eligible Businesses must submit a reimbursement request invoice package via the NYSERDA portal.
 1. The Business must submit a fully completed reimbursement package within 60 days after the end of the approved term. NYSERDA may not provide any reimbursements for packages submitted past this date. NYSERDA reserves the right to deny reimbursement funding for a Host Business' internship if a complete reimbursement package is not received by the internship's submission deadline.
 2. For internships lasting more than 12 weeks, businesses may submit reimbursement request invoice packages once every 12 weeks. The final payment at the conclusion of the internship will be the final eligible reimbursement amount minus any progress payments.
 3. Backup documentation in the form of paycheck stubs and/or a payroll summary showing hours worked, year-to-date wages, and applicable taxes paid for the intern is required for NYSERDA to process a reimbursement request invoice.

V. Maintenance of Records

Businesses must maintain documentation of employment records related to the internship funded through the program. Businesses must maintain and provide documentation on employee totals to NYSERDA upon request.

VI. 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). 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). 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. A contract may be awarded based on initial applications without discussion or following limited discussion or negotiations. NYSERDA may request additional data or material to support 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 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 their 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.

IV. Attachment:

Attachment A: Host Business Agreement Terms and Conditions

New York State Energy Research and Development Authority

Albany
17 Columbia Circle, Albany, NY 12203-6399
(P) 1-866-NYSERDA | (F) 518-862-1091
nysesda.ny.gov | info@nysesda.ny.gov

Buffalo
726 Exchange Street
Suite 821
Buffalo, NY
14210-1484
(P) 716-842-1522
(F) 716-842-0156

New York City
1359 Broadway
19th Floor
New York, NY
10018-7842
(P) 212-971-5342
(F) 518-862-1091

**West Valley Site
Management Program**
9030-B Route 219
West Valley, NY
14171-9500
(P) 716-942-9960
(F) 716-942-9961



RetrofitNY Gap Funding for High-Performance Retrofit Projects (New York City)

Program Opportunity Notice (PON) 4062
Up to \$ 4,360,000 Available

NYSERDA reserves the right to extend and/or add funding to the Solicitation should other program funding sources become available.

Applications accepted from February 8, 2019 through December 30th, 2022 by 3:00 PM Eastern Time

Program Summary: The goal of RetrofitNY is to spearhead the creation of standardized, scalable solutions and processes that will dramatically improve the energy performance of multifamily residential buildings while improving their health, comfort, and aesthetics. An initiative of NYSERDA's Clean Energy Fund, RetrofitNY is working aggressively to bring a substantial portion of New York's affordable housing units to or near net-zero energy performance over the next decade, and in so doing develop significant new business opportunities in the State. Our efforts support Governor Kathy Hochul's ambitious climate goals while improving the quality of life for affordable housing residents.

The purpose of this solicitation is to provide limited project gap funding to produce and install these high-performance retrofit solutions in instances where (a) the cost of the retrofit solution exceeds available project financing and (b) that additional cost cannot be fully underwritten by the energy and operational savings produced by that retrofit solution. The goal of funding such projects is to demonstrate the efficacy of the retrofit solutions and lay the foundation for net zero or near net zero retrofit solutions to be developed at large scale, thereby significantly reducing the costs of such solutions and ultimately making the process self-sustaining. Through this Program Opportunity Notice (PON), NYSERDA will select up to three building owners to receive gap funding whose respective buildings have had a retrofit solution designed for it through NYSERDA RFP 3750, are located inside the five boroughs of New York City and are mid-rise structures (not more than seven stories above grade).

Application Submission: Online submission is preferable. 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 applicant'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 Saul Brown at (518) 862-1090, ext. 3028 or by e-mail at RetrofitNY@nyserda.ny.gov, or Christopher Mahase at (518) 862-1090, ext. 3534. If you have contractual questions concerning this solicitation, contact Assistant Contract Manager, Venice Forbes at (518) 862-1090, ext. 3507 or Venice.Forbes@nyserda.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 an 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 3pm 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 applicant's responsibility to ensure that all pages have been completed/included in the application. 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 applications. The online application system closes promptly at 5pm, files in process or attempted edits or submission after 5pm 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

Retrofitting occupied buildings on a large scale requires innovative solutions that enable high-performance retrofits while the residents remain in their apartments. However, cost effective solutions that can be implemented on a large scale currently do not exist in the United States. Following RFP 3750, which commissioned designs for such solutions, this gap-funding PON represents the next step toward NYSERDA facilitating the development of simplified, scalable solutions for constructing high-performance retrofits in tenanted multifamily buildings, cultivating market development and developing financing and business models to foster high performance retrofits in New York State's affordable multifamily building market segment.

Under this solicitation NYSERDA will be accepting applications from building owners whose building had a high- performance solution designed for it through RFP 3750, and who have agreed to procure the solution from the solution provider team that designed that solution. At a minimum, this means the retrofit solution will be procured from the team's general contractor or builder with other team members continuing to oversee production, installation and commissioning of the retrofit solution. No team member may be replaced or substituted without written permission of NYSERDA.

To be eligible, applicants must meet all eligibility criteria defined in Section II below. Funds will be allocated proportionate to demonstrated project need as documented by the applicant in the financial Application Workbook (Attachment A) required with each application. Awards will fund unfinanced incremental costs attributable to the retrofit solution up to a total project amount of \$66,000 per dwelling unit.

Applications will be reviewed by NYSERDA program staff for up to 18 months from the PON release date or until three projects have been awarded or all funds allocated. Applications received during this period that meet eligibility requirements will be qualified to receive funding. Funding awards will be proportionate to project need demonstrated by materials submitted and evaluated by program staff.

II. Program Requirements

To facilitate adoption of final retrofit designs by building owners, NYSERDA is working closely with affordable housing regulatory agencies and private lenders associated with each project to integrate NYSERDA's funding into the project's existing financing process while minimizing the NYSERDA subsidy required for any given project.

All applications will be reviewed by NYSERDA to determine whether they meet minimum eligibility criteria. All funds awarded will be proportionate to demonstrated project need resulting from the unfinanced incremental cost of the retrofit solution and the gap between this cost and the conventional renovation for which the building was scheduled. Awards will be up to a total project amount equivalent to \$66,000 per dwelling unit.

NYSERDA will evaluate applications from building owners whose project financing is insufficient to cover the incremental costs of the retrofit solution designed for their building through RFP 3750, meaning that:

- the total costs of the rehabilitation, including the incremental costs for the retrofit solution, exceed the financing originally arranged for the conventional rehabilitation planned, and
- those incremental costs cannot be completely covered by additional subsidies from affordable housing agencies or by a lender underwriting to the projected operational savings the retrofit solution will provide.

NOTE: Incremental costs will be defined as (x) the total cost attributable to the retrofit solution, minus (y) any and all costs for items or elements that were included in the original project budget for the conventional business-as-usual rehabilitation planned for the building which elements or items are rendered unnecessary or redundant due to the inclusion of similar or overriding elements or items specified by the retrofit solution.

Eligibility Requirements

Prior to NYSERDA gap funding being released, the following requirements must be satisfied:

- Applicant is the legal building owner for one of the three projects awarded under RetrofitNY RFP 3750 which is located inside the five boroughs of New York City and is a mid-rise structure not more than 7-stories in height
- Applicant confirms that following completion of renovation, the building will still qualify as affordable housing as defined in RFP 3750 for a period commensurate with regulatory agreements executed with affordable housing agencies, and that capital improvements funded by NYSERDA's incentives under this PON will not result in rent increases
- The total final project budget for the Retrofit Solution requires gap funding based on financing/funding sources currently available after completing the template provided by NYSERDA
- Applicant has applied to lenders in an attempt to underwrite potential savings
- Applicant has submitted a written commitment to abide by a construction schedule that demonstrates the Retrofit Solution will be installed within a reasonable period of time and not in excess of 24 months from qualification of applications. If more time is required due to particular project requirements, this must be approved by NYSERDA.
- Applicant has signed a Data Release Authorization Forms (DRAF) permitting NYSERDA to collect utility data for a period of occupancy up to 10 years, and committed in writing to allow NYSERDA or its agents to perform Measurement and Verification on the buildings for up to ten years after completion of Retrofit Solution installation and to use the data accrued as NYSERDA sees fit
- If other than a master metered building for either gas or electric use, at least two-thirds of residents have signed Data Release Authorization Forms (DRAFs) permitting NYSERDA to collect utility data for a period of occupancy up to 10 years
- Applicant and applicant's financing partners have agreed in writing to proceed with work once NYSERDA funds are committed to the project
- Applicant and Applicant's financing partners have agreed in writing to include NYSERDA in the requisition process required by applicant's lenders and to provide regular project reporting to demonstrate project status, allocation of funds, any change orders (adds or deducts), cost or time overruns or underruns consistent with that provided to the project's other lenders
- Applicant has provided written permission for NYSERDA to study, promote, publish, and generally distribute information about the project publicly for at least ten years and will make it a requirement of any sale agreement transferring control of ownership that new owner abides by this agreement
- Applicant has provided an executed contract to procure the Retrofit Solution from the Solution Provider Team that designed and developed that solution under RFP 3750, or received written approval from NYSERDA for any requested changes to the Solution Provider Team members
- Applicant has provided final construction documents that incorporate the Retrofit Solution as designed under RFP 3750 or received written approval from NYSERDA for any requested changes to the Retrofit Solution, and a construction schedule detailing dates for the procurement, production and installation of the Retrofit Solution

- Applicant has provided a persuasive resident management plan that suggests the likely acceptance by the residents of the Retrofit Solution and that includes a Building Operations and Maintenance Manual and Plan, a Resident Manual that explains the intent, benefits, use and maintenance of the building's high performance energy features and practices, and ongoing training of residents in systems' operation and best practices
- Applicant has provided a persuasive maintenance plan to ensure successful operation and maintenance of all systems long term and that includes initial and ongoing training of maintenance personnel in systems' operation and best practices as well as all available maintenance agreements, warranties and commitments by systems' manufacturers and solution providers
- Applicant has provided a variance or a letter of intent to issue such variance from the relevant agency for any aspect of the Retrofit Solution that does not conform with applicable building codes or other codes

In addition, prior to an Incentive Letter being awarded and funds being released, NYSERDA must have received and approved from the Solution Provider Team the Retrofit Solution final report and deliverables as defined under RPF 3750 in a format ready for publication as open-source documents with the team agreeing in writing to release of all materials for open source publication. The retrofit solution design must:

- utilize heat pump-based technology for space heating and cooling
- utilize energy or heat recovery ventilation technology
- demonstrate it will not exceed a site Energy Use Intensity (EUI) of 30 kBtu/ft²/year and an air tightness of 2.0 ACH₅₀

Upon qualifying an application, NYSERDA will notify the applicant of its determination and the funding amount for which the project has qualified through a Funding Eligibility Letter. Upon receipt of all required items after the completion of the six-month design phase, NYSERDA will issue a final Incentive Letter to the applicant for the amount qualified by the application. Funds will only be released after the financial closing with all those providing project financing for the full scope of the applicable renovation project, and payments will be made as provided below. As proof of this, applicant must provide NYSERDA with (a) a firm commitment on all project financing from all financing partners for the amounts indicated in the capitalization plan, (b) an executed contract between the building owner and the solution provider team procuring the retrofit solution from that team, and (c) construction drawings that demonstrate that the retrofit solution designed through RFP 3750 and approved by NYSERDA has been incorporated into the overall scope of the renovation project. If any changes to the high-performance retrofit solution are proposed or requested by applicant at any time prior to completion of construction and commissioning, these changes must be reviewed and approved by NYSERDA in order to be eligible for funding.

NOTE: Buildings that qualify for funding under this PON will not be eligible for additional funding from the NYSERDA Multifamily Performance Program but may still be eligible for funding from other NYSERDA programs.

III. Application Requirements

Application Process

Applicant must complete an application form and include all documentation detailed therein. This will include:

- Application Workbook (Attachment A) detailing project budget and financing plan
- Written response from lenders to underwrite project savings
- Written commitment from applicant's financing partners to finance project once NYSERDA funds are committed
- Written commitment from applicant's financing partners to include NYSERDA in the project payment requisition process as defined in PON 4062 Terms and Conditions Section 7 (d)

- PON 4062 Terms and Conditions form (Attachment B) signed by applicant

Upon completing initial review of an application, NYSERDA will issue a Funding Eligibility Letter (see Attachment C for sample) indicating the project funding amount for which the applicant has been deemed eligible and the contingencies that will need to be met prior to funds being released. These contingencies include applicant submitting to NYSERDA and NYSERDA approving the following additional documents:

- Final Construction Schedule
- Data Release Authorization Forms (DRAFTs) from applicant and at least two-thirds of residents if building is not master metered
- Executed contract procuring the retrofit solution from solution provider team
- Final construction documents that include the retrofit solution
- Building operation and maintenance manual and plan
- Resident manual and training schedule
- Building maintenance plan
- Variances or letter of intent to issuance such variance from relevant agency if applicable
- Retrofit Solution final report and deliverables as defined under RPF 3750 and approved by NYSERDA

Upon satisfaction of required contingencies, NYSERDA will then issue a final Incentive Letter (see Attachment D for sample) indicating that the initial reserved award amount will be released. If the applicant undergoes any change in project funding need, either upwards or downwards, prior to project financial closing, the applicant shall resubmit the application workbook showing this adjustment. If, at its sole discretion, NYSERDA deems the request legitimate and elects to adjust the award amount, NYSERDA will indicate the final award amount in the Incentive Letter. Changes in funding need must be submitted to NYSERDA at least five (5) business days prior to project financial closing. In no instance will the adjusted amount exceed the cap defined above for each dwelling unit.

Payment Terms

Payment terms will be based on construction progress and standard requisitions with disbursements proportionate to those released by other project lenders provided the retrofit solution and its various components are integrated with all other work as per the construction schedule provided prior to project mobilization. If, however, the retrofit solution and its various components are not procured, produced or installed until the later stages of the project, NYSERDA may elect to withhold funds and only make disbursements proportionate to retrofit solution procurement, production and installation costs as these are requisitioned.

IV. GENERAL CONDITIONS

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/Cont act/NYSERDA-Regulations.ashx](https://www.nyserda.ny.gov/About/-/media/Files/About/Cont%20act/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). 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). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf> .

Incentive Award - NYSERDA anticipates making up to three awards under this solicitation. 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 relating to exceptions to standard Terms and Conditions in Attachment B. NYSERDA expects to notify applicants in approximately two weeks from the receipt of an application whether the application has been determined eligible 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 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 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 a 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 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. 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.

V. Attachments

Attachment A – Application Workbook

Attachment B – PON 4062 Terms and Conditions forms

Attachment C – Funding Eligibility Letter (sample)

Attachment D – Incentive Letter (sample)



New Construction – Housing
Program Opportunity Notice (PON) 4337
\$23,744,000 Available

NYSERDA reserves the right to extend and/or add funding to the Solicitation should other program funding sources become available.

Applications accepted through September 30, 2022, by 3:00 PM Eastern Time or until funds are fully committed, whichever occurs first*.

The *New Construction – Housing* (NC-Housing) Program supports the design, development, and construction of carbon neutral buildings, reducing energy consumption and per capita carbon emissions while ensuring the buildings are resilient. Through NC-Housing, NYSERDA offers financial incentives and technical support for the new construction, gut rehabilitation or adaptive re-use of residential and mixed-use buildings, inclusive of single-family homes, multi-unit developments, multifamily buildings, residence halls, dormitories, and congregate living facilities, exclusive of nursing homes. The incentive structure is intended to promote increased levels of performance while encouraging solutions that result in healthy environments for the buildings’ occupants. NYSERDA intends to support replicable and integrated design solutions focused on cost optimization and financing strategies that reward reductions in cost of construction, operational costs, and perceived risks while strengthening the capacity of clean energy professionals to deliver design and construction services. Use of solar photovoltaic generation and other renewable energy systems, as well as ground source heat pumps and other innovative technologies, are encouraged. The Applicant is expected to hire a NYSERDA-approved Primary Energy Consultant to act as the primary technical resource for their participation. NC-Housing supports New York State’s housing regulatory agencies in their efforts to secure efficient, durable, resilient, and healthy housing.

Application Submission: To access support through NC-Housing, an application must be submitted through the NYSERDA portal as detailed in the Application section of this PON. Electronic submission is preferable. NYSERDA will also accept proposals by mail or hand-delivery if electronic submission is not possible. First-time applicants should select [Apply Online](#) to complete a registration form, following the [Detailed instructions on how to submit Applications online](#). Once you have established a NYSERDA New Construction Program portal account, please log in directly at <https://nyserda-portal.force.com/login>.

No communication intended to influence this procurement is permitted except by contacting Patrick Fitzgerald (Designated Contact) by e-mail PatrickNC@nyserda.ny.gov or at (518) 862-1090, ext. 3385 or Lori Borowiak (Designated Contact) by e-mail LoriNC@nyserda.ny.gov or at (518) 862-1090, ext. 3004 (for technical questions). If you have contractual questions concerning this solicitation, contact Venice Forbes (Designated Contact) at VeniceSolicitations@nyserda.ny.gov or (518) 862-1090, ext. 3507. 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 applications must be received by 3 pm 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 completed/included in the application. 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 applications. The online application 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 the “Current Opportunities” section of NYSERDA’s website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

1 Introduction

The NC-Housing Program supports the design, development, and construction of carbon neutral buildings, reducing their energy consumption and per capita carbon emissions while ensuring the buildings are resilient. Through NC-Housing, NYSERDA offers financial incentives and technical support for the new construction, gut rehabilitation and adaptive re-use of residential and mixed-use buildings, inclusive of single-family homes, multi-unit developments, multifamily buildings, residence halls, dormitories, and other congregate living facilities, generally exclusive of nursing homes and projects intended for transient hospitality such as motels/hotels.

Performance-based whole-building incentives are available to Applicants, in addition to targeted financial and technical support. The Applicant is expected to hire a NYSERDA-approved Primary Energy Consultant to act as the primary technical resource for their participation. The Applicant is expected to select the third-party performance standard they intend to rely on to guide their project's design, as well as to document the project's compliance with that standard's design and performance requirements. The third-party performance standards accepted by NYSERDA include certifications to various ENERGY STAR programs, as well as to Phius (Passive House Institute US) and Passive House Institute (PHI) standards.

NC-Housing offers Carbon Neutral Portfolio Support as a separate and non-project specific track. This track is appropriate for: owners and developers of real estate portfolios; municipalities, government agencies and not-for profit organizations that oversee or finance affordable housing; institutions that own large portfolios of residential buildings; tract home developers; manufacturers of modular or prefabricated homes; and other entities who require support to enable scaled up low carbon building design, construction, renovation, and operation for residential buildings. NYSERDA seeks businesses and institutions willing to take the lead in driving increased uptake of carbon neutral buildings in New York State and offers financial support to allow the Applicant to procure technical, design, and change management services targeting the future construction of low carbon or carbon neutral projects.

Sectional Outline:

- [Section 2 - Glossary of Terms](#)
- [Section 3 - Program Eligibility, Project-based Incentives, Incentive Payment Schedules](#)
- [Section 4 - Project Application](#)
- [Section 5 - Third-party Standards and Performance Thresholds](#)
- [Section 6 - ENERGY STAR Single Family New Homes \(SFNH\) Program](#)
- [Section 7 - ENERGY STAR Multifamily New Construction \(MFNC\) Program – ASHRAE](#)
- [Section 8 - ENERGY STAR Multifamily New Construction \(MFNC\) Program – Energy Rating Index \(ERI\)](#)
- [Section 9 – Passive House Institute \(PHI\)](#)
- [Section 10 – Phius \(Passive House Institute US\)](#)
- [Section 11 - Carbon Neutral Portfolio Support](#)
- [Section 12 - General Conditions](#)
- [Section 13 - Attachments](#)

2 Glossary of Terms

Applicant - The owner, developer, or builder responsible for the management and construction of a project seeking access to NYSERDA's support and incentives; or the entity requesting Carbon Neutral Portfolio Support.

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.

Dwelling Unit - A single unit providing complete independent living facilities for one or more persons, including permanent provisions for living, sleeping, eating, cooking, and sanitation.

Primary Energy Consultant (PEC) – Firms or individuals who have successfully responded to NYSERDA's Request for Proposal (RFP) 3771 and have been qualified by NYSERDA to support Applicants who participate in NYSERDA's new construction programs and initiatives. The PEC will deliver energy consulting services to building owners, developers, and leaseholders. In most instances, the Applicant is expected to hire and pay the PEC. NYSERDA's direct payment to a PEC will only occur in limited instances and only as explicitly stated in PON 4337.

EPA ENERGY STAR® programs –Single Family New Homes (SFNH) and Multifamily New Construction (MFNC) are programs published and administered by the United States Environmental Protection Agency (EPA). These programs are referenced by NYSERDA as alternatives to establish the required building and energy performance for the new construction or gut rehabilitation of single-family homes, two-family homes, townhomes, dwelling or sleeping units in multifamily and multi-unit buildings, and other eligible residential buildings.

Certified Rater, Home Energy Rater, Phius Rater (Rater) - The Rater must be qualified by NYSERDA as a PEC. The Builder or Applicant hires the Rater to provide modeling, verification and testing necessary to complete a Home Energy Rating of individual dwelling or sleeping units, or to verify the project is completed in accordance with the Applicant's chosen third-party energy performance standard.

Approved Rating Provider (Provider) - The Provider must be qualified by NYSERDA as a PEC to deliver third-party quality assurance. Providers are recognized by the EPA as qualified to perform oversight of Raters because they represent an EPA-recognized Home Certification Organization (HCO). Raters must be affiliated with a Provider, and the Provider is responsible for oversight, training, certification, quality assurance, quality control services, and other reporting requirements in support of their affiliated Raters.

Home Certification Organization (HCO) –The HCO must be recognized by the EPA as qualified to complete the review and approval of Energy Modeling and related documentation when the Applicant has elected to meet a relevant EPA ENERGY STAR program. RESNET is recognized by the EPA as a qualified HCO, and RESNET-accredited Providers represent RESNET as their Approved Rating Provider.

Multifamily Review Organization (MRO) – The MRO must be qualified by NYSERDA as a PEC to deliver third-party quality assurance. The MRO must be recognized by the EPA as qualified to complete the review and approval of the required Energy Modeling and related documentation when the Applicant has elected to meet a relevant EPA ENERGY STAR program. The Applicant or their designated PEC must engage an EPA-recognized MRO.

Phius (Passive House Institute US), Passive House Institute (PHI) – These organizations publish and administer standards referenced by NYSERDA as alternatives to establish the required building and energy performance for the new construction, gut rehabilitation or adaptive re-use of single-family homes, two-family homes, townhomes, dwelling or sleeping units in multifamily and multi-unit buildings, and other eligible residential buildings.

Certified Passive House Consultant/Designer (CPHC/D) - The CPHC/D must be qualified by NYSERDA as a PEC. The Applicant hires the CPHC/D to provide modeling, verification and testing as necessary to verify the project is completed in accordance with the Applicant's chosen third-party energy performance standard, sometimes with support of the Phius Rater.

3 Program Eligibility, Project-based Incentives, Incentive Payment Schedules

3.1 Establishing a project

3.1.1 Eligibility Requirements

To be eligible for participation in the NC-Housing Program, a project must be, or be capable of and intend to be, a New York State electricity distribution customer of a participating utility company that pays into the System Benefits Charge.

Applicants who previously applied to PON 3716, PON 3717, or a previous version of PON 4337 but have not yet received an incentive payment from NYSERDA may request their application and participation be transferred into this updated version of PON 4337. Other requests to transfer a project from another program into PON 4337 will be considered on a case-by-case basis. To be eligible for NYSERDA's consideration, all such requests must be submitted to NYSERDA in writing, email preferred, prior to May 1, 2022. NYSERDA has the sole discretion for determining an Applicant's eligibility to participate in the NC-Housing program or transfer an application from a prior program to this program for participation, and all such requests will be considered on a case-by-case basis.

Applicants may be eligible for incentives through New York State Homes and Community Renewal ("NYSHCR"), which has launched its Clean Energy Incentives, imbedding incentives for carbon neutral construction directly into its program offerings. If Applicants receive incentives from NYSHCR, they will not be eligible for incentives under this offering.

Applicants must execute the current Terms and Conditions (Attachment A) with NYSERDA and will be required to deliver completed projects that meet the requirements as detailed in this PON 4337 Summary and its Attachments.

3.1.1.1 Eligible Types of Construction

NC-Housing will accept applications for new construction, gut rehabilitation and adaptive re-use, as defined below:

New Construction: A new building, or portion within a new building, where a licensed professional architect or engineer has prepared and certified the building plans.

Gut Rehabilitation: Substantial renovation, one of the following types of projects where a licensed professional architect or engineer has prepared and certified the building plans:

- Construction work of a nature requiring that the building, buildings, or space within be out of service for at least 30 consecutive days;
- Reconstruction of a vacant structure, structures, or space within; or
- The addition to or expansion of a building, in combination with any of the above.

Adaptive re-use: Adaptive re-use, or reconstruction of an existing building, buildings, or space within from a non-residential space use to residential space use.

3.1.1.2 Intended Use

The primary intended use of the home, building, or buildings should be residential.

Residential and mixed-use buildings, inclusive of single-family homes, multi-unit developments, multifamily buildings, residence halls, dormitories, and congregate living facilities, exclusive of nursing homes, may be eligible. Projects may contain non-residential (commercial) space if that space does not consist of more than 50 percent of the occupiable square footage of the entire building. Commercial and/or retail space within a primarily residential building supported by NC-Housing may also be eligible for support offered through this program. This is not a comprehensive list of eligible property types. Special circumstances may be reviewed by NYSERDA, and at its sole discretion, considered for eligibility on a case-by-case basis.

Buildings or projects primarily serving as motels/hotels or nursing homes are not typically eligible for NC-Housing. Buildings or projects may be deemed by NYSERDA as eligible either in whole or in part, based on a case-by-case review of the intended use, expected occupancy, and compliance path indicated by the Applicant.

3.1.1.3 Project and Market Type, Incentives

3.1.2 Definition of a Project

For the purposes of NC-Housing, a project is defined as a one- or two-family home, a group of homes or townhomes, a single building, or group of identical or similar buildings. Each building in a project must adhere to the requirements of the approved compliance path, including the applicable testing and verification protocols. Final determination of how a project is defined is at NYSERDA's sole discretion.

3.1.3 Renewable Energy, Ground Source Heat Pumps, and Other Innovative Technologies

Applicants are encouraged to incorporate solar photovoltaics and other renewable energy systems as well as ground-source and air-source heat pumps and other innovative technologies into their projects. Applicants are not restricted from receiving targeted incentives additionally available from other programs to support those types of installations, subject to NYSERDA's approval; and subject to any limitations or exclusions associated with the alternative funding sources(s).

3.1.4 Determining Market Type

Eligibility to seek Low to Moderate Income (LMI) incentives can be established for the entire project if the 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). Residential buildings that do not incorporate dwelling units but will be occupied by otherwise eligible residents based on occupant income can establish eligibility based on the proxies list in table 3.1, subject to NYSERDA's sole discretion. Projects not meeting this majority threshold will be considered Market Rate. Eligibility to seek LMI incentives for individual dwelling units within a Market Rate project can also be established based on the thresholds stated above. The number of dwelling units or residents meeting LMI household income level must be clearly detailed in the proxy documentation submitted by the Applicant.

LMI proxy or other income documentation must be submitted as soon as possible and prior to NYSERDA's payment of any incentive. There are three methods to verify that the project is eligible for LMI incentives:

- *Proxy (preferred approach)*: NYSERDA allows certain proxies to be submitted to verify the project or individual dwelling units are eligible for incentives LMI. Please see Table 3.1 for approved proxies. Additional proxies may be considered by NYSERDA to establish eligibility for LMI incentives on a case-by-case basis. The number of eligible LMI dwelling units for projects funded through NYS Housing Finance Agency's (HFA's) 80/20 Program or NYC HDC's 80/20 or Mixed Income Programs may be established based on their regulatory funder's award letter or contract documents. Additional proxies may be considered by NYSERDA to establish eligibility for LMI incentives on a case-by-case basis, inclusive of projects located in a Disadvantaged Community as designated by NYSERDA.
- *Rent Roll*: The Rent Roll method applies only to gut rehabilitation projects that do not meet the LMI eligibility proxies; or to projects funded through NYS HFA's 80/20 Program or NYC HDC's 80/20 or Mixed Income Programs. This method may not be combined with the Resident Income method. Applicants must submit the annual rent, size, and occupancy for each apartment in the project. The majority of dwelling units must have a calculated household income no greater than 80 percent of the State or Area Median Income based on the assumption that 30 percent of household income is applied to housing costs (i.e., rent). A calculation spreadsheet tool is available upon request.
- *Resident Income*: The Resident Income method applies only to gut rehabilitation projects that do not meet the LMI eligibility proxies; or to projects funded through NYS HFA's 80/20 Program or NYC Housing Development Corporation's (HDC's) 80/20 or Mixed Income Programs. This method may not be combined with the Rent Roll method. Applicants must submit signed Resident Income Certification forms with supporting documentation for a majority of the project's dwelling units. Resident Income Certification Instructions and related forms are available upon request.

Table 3.1 Low to Moderate (LMI) Proxies

ELIGIBILITY PROXY	DESCRIPTION	TYPE OF DOCUMENTATION
1. US HUD, USDA-RD, and other Federally Regulated LMI Housing	<p>Properties that receive subsidies from US HUD or USDA-RD based on household income may be defined as LMI, based on household income criteria detailed in the contract or award, including regulatory control or structures such as:</p> <ul style="list-style-type: none"> • Section 8 Contract • Sections 202, 236, 811 • Public Housing Authorities 	Submit a copy of the US HUD contract or contract award notice.
2. NYS HCR- Regulated LMI Housing	Properties with subsidized mortgages or contracts that place them under the regulatory control of NYS HCR may be defined as LMI, based on household income criteria detailed in the NYS HCR contract or award.	Submit a copy of NYS HCR contract or contract award notice.
3. Low-Income Housing Tax Credits	Properties that receive tax credits may be defined as LMI based on household income criteria detailed in the tax credit award notice.	Submit a copy of tax credit award notice from NYS HCR or NYC HPD.
4. NYC HPD- Regulated LMI Housing (or similar local housing agencies)	Properties with loans, mortgages, or deeds of purchase (HDFC incorporation) from NYC HPD or similar local housing agencies may be defined as LMI, based on household income criteria detailed in the award documentation.	Submit documentation of current mortgage, loan closing, HDFC incorporation, or deeds.
5. SONYMA Mortgage Insurance	Properties subsidized for LMI residents with SONYMA subsidized financing through the NYS HFA may be defined as LMI, based on household income criteria detailed in the contract or award.	Submit a copy of loan closing/ mortgage insurance award documents.
6. Participation in NYS HFA's 80/20 Program or similar HFA-regulated offerings	Properties that have been accepted into the HFA's 80/20 Program, or similar HFA-regulated offering, may be defined as LMI based on household income criteria detailed in the contract or award.	Submit a copy of the award letter or HFA contract documents.
7. Participation in NYC HDC's 80/20 or Mixed Income Programs or similar HDC-regulated offerings	Properties that have been accepted into the NYC HDC's 80/20 or Mixed Income Program, or similar HDC-regulated offering, may be defined as LMI based on household income criteria detailed in the contract or award.	Submit a copy of the award letter or HDC contract documents.

Acronyms referenced in this section:

- USDA-RD – United States Department of Agriculture Rural Development
- US HUD – United States Department of Housing and Urban Development
- NYS HCR – New York State Housing and Community Renewal
- NYS HFA – New York State Housing Finance Agency
- NYC HDC – New York City Housing Development Corporation
- NYC HPD – New York City Housing and Preservation Development
- SONYMA – State of New York Mortgage Agency

3.2 Standard Incentives for Whole Building Energy Performance

Projects that have received a funding commitment from NYSERDA and that have met all requirements, are eligible to request payment of the corresponding incentives. The available incentives are based on market type, the performance threshold committed to by the project’s Applicant, and the number of dwelling units or square footage.

3.2.1 Calculating Project Incentives

Separate incentive schedules are available for LMI and Market Rate projects. There are two residential space types that are eligible for incentives.

- Space Type 1: Per dwelling unit incentives are offered based on the project’s performance threshold and number of dwelling units. See table below for per dwelling unit incentive rates.
- Space Type 2: Per square foot incentives are offered for residential non-dwelling unit space. If an eligible residential project, or a portion thereof, includes residential space that does not qualify as dwelling units, the incentive available to the project will be calculated based on the residential-occupied area not defined as dwelling units, rounded to the nearest 1,000 square feet. The residential-associated area that supports the dwelling units, such as corridors, stairwells, community or common sitting rooms, and laundry rooms, will be excluded from the eligible square footage used to calculate the incentive. See table below for per square foot incentive rates.

Eligible projects that incorporate a minority square footage intended for commercial occupancy may be eligible for an additional incentive of \$2 per square foot for the commercial space, up to a maximum of \$250,000. This commercial incentive will be calculated based on the square footage of area solely dedicated for use as commercial space. Eligibility for the commercial space to receive this additional incentive will be based on the energy performance as defined in section 5 of this PON. The final determination of eligibility to receive this incentive will be at NYSERDA’s sole discretion. Regardless of whether incentives will be sought for the commercial square footage, the entire project must meet NYSERDA’s definition of Carbon Neutral-ready to be eligible to participate and access any incentives offered through the NC–Housing Program.

Per project incentives are capped based on market type and performance. The project caps listed in the table just below do not limit the total amount of funding available to a project associated with the Targeted Incentives detailed in section 3.3 nor the additional incentives available based on the project’s commercial square footage.

Market Rate			Performance	LMI		
Residential Space Type 1 (per Dwelling Unit)	Residential Space Type 2 (per Square Foot)	Cap on per Project Incentives, exclusive of the commercial space incentive		Residential Space Type 1 (per Dwelling Unit)	Residential Space Type 2 (per Square Foot)	Cap on per Project Incentives, exclusive of the commercial space incentive
\$1,000	\$1.00	\$300,000	20% Threshold	\$2,000	\$2.00	\$400,000
\$2,500	\$2.00	\$500,000	30% Threshold	\$4,000	\$4.00	\$600,000

3.3 Project Level Technical Support and Targeted Incentives

3.3.1 Enrollment, Participation, and Technical Assistance

3.3.1.1 Enrollment

The Applicant may request access to Targeted Incentives for any or all the technical assistance, additional support, and financial incentives detailed in this section of the PON. To request access to the Targeted Incentives listed in this section, the Applicant is encouraged to indicate their interest when submitting their application. The Applicant shall submit a preliminary proposal either at the time of application or in advance of the scoping session by uploading the proposal in the attachments section of their project’s application within the NYSERDA portal. All preliminary proposals should identify the project deliverables in accordance with this section, include a

commitment to perform the work identified in the proposal, and be signed by the Applicant. The Applicant will be asked to confirm any additional incentives they wish to secure during the project's scoping session. Following the scoping session, the Applicant must submit a separate proposed scope of work, budget, schedule and deliverables for each Targeted Incentive being requested. The proposal(s) for Targeted Incentives will be subject to review and final approval by the NYSERDA project manager. If accepted, the Applicant's proposal will be saved to the portal within the project's Milestone 1 deliverable section, and the Targeted Incentive will be added to NYSERDA's funding commitment to the project. Any costs incurred above the approved Targeted Incentive amount will be the responsibility of the Applicant. Approval of any request for Targeted Incentives will be at NYSERDA's sole discretion. Alternative timing for submission of deliverables may be considered, subject to NYSERDA's approval.

3.3.1.2 Participation by Applicant

Targeted Incentives will be paid directly to the Applicant, except for the Mentoring Support detailed in section 3.3.2.2. Once the Targeted Incentive is approved by NYSERDA, the incentives associated with the proposal will be incorporated into the project Award Letter issued by NYSERDA. The Applicant's submission of all deliverables will be required to secure release of the entire milestone payment. Targeted Incentives will be paid in accordance with the Incentive Payment Schedule detailed in section 3.4, or as detailed in the relevant subsection.

3.3.1.3 Technical Assistance to Applicant

The Targeted Incentives for Mentoring Support will be paid by NYSERDA to the PEC. As detailed in section 3.3.2.2, NYSERDA will contract directly with the PEC chosen by the Applicant. Once the proposed Targeted Incentive is approved by NYSERDA, a Task Work Order (TWO) agreement incorporating the approved proposal will be issued to the PEC. The TWO will be based on the Attachment B – Sample Task Work Order and incorporate the required deliverables and budget. Payments to the PEC will be as detailed in the TWO and will occur following submission of the required deliverables by the PEC and approval by NYSERDA.

3.3.2 Available Targeted Incentives and Requirements

3.3.2.1 Design of Carbon Neutral or Electrified Solutions

The Applicant may request a Targeted Incentive of up to \$25,000 per project for 100% of the costs incurred to design carbon neutral or electrified solutions to achieve Carbon Neutral-ready projects using solutions that the project team has not pursued in any past projects. The Applicant must propose to design solutions that are not yet widely used or accepted by the market, with the intent to demonstrate their economic viability and predicted performance. NYSERDA, at its sole discretion, will determine whether the proposed solution(s) meet these criteria. Any costs incurred above the approved amount will be the responsibility of the Applicant. If, at NYSERDA's sole discretion, the Applicant's proposed request for Targeted Incentives is approved and the funding is committed, payment of this Targeted Incentive can occur at Milestone 1 if design is complete or if not, payments shall follow the Incentive Payment Schedule detailed in section 3.4.

Design Proposal - Milestone 1

Design proposal must detail the following:

- Summary of proposed design:
 - Requested Targeted Incentive amount (max. \$25,000)
 - Breakdown of anticipated costs associated with design development
 - Proposed design summary
 - Has the project team used a version of the proposed design on a past project?
 - How will this design improve upon their current standard or previous design?
 - How can this design or will it be implemented on other projects?
 - Impact on reducing carbon emissions (can also include embodied carbon, but must have a primary focus on operational carbon savings) and electrification
 - Impact on building performance, comfort, occupant health, or productivity
 - Long-term economic viability
- Final Design Submittal verification requirements

Final Design Submittal – Milestone 1 or Milestone 3

Final Design Submittal must detail the following:

- Summary of any deviations from the design proposal
- Detailed summary of design impacts leading to reduced carbon impacts
- Implementation steps for projects
- Required equipment summary of required components with baseline and incremental costs
- Verification that requirements of proposed design have been met
- Documentation of costs incurred. Payment of Targeted Incentive cannot exceed costs incurred.

3.3.2.2 Mentoring Support

The Applicant may request a Targeted Incentive for the delivery of mentorship services provided by a NYSERDA-qualified Primary Energy Consultant that has additionally been qualified to deliver mentoring support for the compliance path identified in the project application. The mentoring incentive of up to \$200 per dwelling unit, or per 1,000 SF of eligible non-dwelling unit residential space as detailed in section 3.2.1, up to a maximum of \$10,000 per project for costs incurred. Eligible services may include support which targets building design and certification, mechanical systems design review, façade consulting including airtightness testing, or training of the construction management, oversight, field verification, and contractor teams involved with the project which are specific to the performance standards being pursued by the project team. After the Applicant has selected their mentor and a contract has been executed, a copy of their agreement must be submitted to NYSERDA. If NYSERDA accepts the agreement, a Task Work Order Agreement between the mentor and NYSERDA will be executed (Sample Task Worked Order attached hereto as Attachment B). This Task Work Order Agreement will allow NYSERDA’s direct payment to the Primary Energy Consultant for delivery of those mentoring fees deemed eligible for payment. The payment schedule will be as defined in the Task Work Order.

Deliverables

Required deliverables shall be as identified in the Task Work Order.

3.4 Incentive Payment Schedules

Incentives will be paid after NYSERDA has reviewed and approved all deliverables for each Milestone. The payment available at each Milestone will be at the percentage of the total approved incentive as listed below. To receive the full incentive amount at each Milestone, the Applicant must verify their project expects to or has achieved the approved performance threshold and has completed any tasks associated with any Targeted Incentives requested by the Applicant. If the project has not met or no longer expects to meet the specified performance threshold, the Applicant or their Primary Energy Consultant must contact NYSERDA. Adjustments to the incentive amount may be considered by NYSERDA based on the modified performance. Determination of any potential modifications to the incentives will be at NYSERDA’s sole discretion.

Incentive Payment Schedule for Multi-unit, Multifamily & Mixed-Use ^{1, 2}		
Milestone 1	Milestone 2	Milestone 3
40%	30%	30%

Incentive Payment Schedule for One- and Two-family Homes ^{1, 2}		
Milestone 1	Milestone 2	Milestone 3
100%	N/A	N/A

¹ Townhomes following the Phius CORE Prescriptive certification path may request a singular and full payment at project completion or may request incremental payments at each of the three Milestones.

² Townhomes following the ENERGY STAR SFNH may only request a singular and full payment at project completion. Townhomes intending to seek incremental payments at each of the three Milestones must pursue the ENERGY STAR MFNC.

4 Project Application

The Applicant will submit their application, monitor status of their application, submit documentation and deliverables associated with their project, and perform other program-related activities through the NYSERDA portal. Applicants must select and identify the PEC supporting their project at the time the application is submitted. The Applicant may assign access to their project in the portal once they have initiated the application by identifying additional Project Roles (contacts) on the project application, and by designating read-only access or read-write access. Read-write access will allow the Applicant to collaborate with their PEC to complete submission of the application. The Applicant or their PEC must identify their third-party quality assurance provider at the time of application, or no later than during the scoping session.

A team of individuals reviews each Application and responds to inquiries related to applications, eligibility, and intake. Applicants are encouraged to electronically sign their application in the portal. Alternatively, they may print the Certification Statement, sign it, then scan and upload the signed document to the portal as an attachment. Applicants that are unable to submit a project application electronically may request a hard copy application. Inquiries regarding submission of an Application or requests for assistance should be directed to NYSERDA at NewConstructionProgram@nyserda.ny.gov or by calling 1-800-284-9069. After receiving emailed confirmation that the Application has been received, all project-related correspondence between the Applicant and NYSERDA should occur through the NYSERDA portal, unless otherwise directed.

The project application will progress through each status shown below:

Project Application Flow



4.1.1 Unsubmitted Status

The project application is generated in and submitted through the NYSERDA portal. Unsubmitted status is reached once an Applicant generates the application.

4.1.2 Submitted Status

The project application moves to submitted status once the Applicant has submitted the application and any documents to the portal, inclusive of the Applicant's acceptance of the Terms and Conditions (Attachment A).

4.1.3 Under Review Status

Upon receipt of a project application, program staff will move the application to under review status. At this time, the application will move into the queue for technical review.

4.1.3.1 Technical Review

Once the project application has been received, the project will undergo an administrative and technical review, inclusive of a scoping session with the project team, to confirm that the project can achieve the stated performance and meets all NC-Housing requirements. NYSERDA or its designee will schedule a scoping session with the Applicant, the Primary Energy Consultant, and the project team. The intent of the scoping session is to discuss general project information, and to review NC-Housing requirements and responsibilities for each party. The scoping session may also identify additional documents required to allow the project to be established in NYSERDA's financial systems. Knowledgeable representatives from both the Applicant and Primary Energy Consultant are required to attend the Scoping Session. If a project application has missing or inaccurate information or documents, the Applicant will be asked to provide the correct information in the portal.

4.1.3.2 SEQR

While the project application is under review, the Applicant and Primary Energy Consultant will be asked to submit their completed State Environmental Quality Review (SEQR) or provide the information necessary for NYSERDA to complete the SEQR. If the proposed design exceeds the limits listed on the SEQR, the PEC must coordinate with the Applicant and take the following steps:

For projects located in New York City: Confirm that the Applicant has filed a City Environmental Quality Review (CEQR) or that the project was included on a CEQR that was created by another entity.

- *If the Applicant has the CEQR number*, the Applicant or PEC can submit it through the NYSERDA portal, allowing the CEQR documentation to be located on the city portal.
- *If the CEQR number is not available*, the Applicant or PEC must submit a copy of the CEQR documentation through the NYSERDA portal.
- *If neither is available*, the Applicant must provide a letter confirming the CEQR was not required by New York City.

For projects located outside of New York City or for projects where the Applicant was not required to complete a CEQR, the Applicant or their PEC must complete the Short Environmental Assessment Form (SEAF) and submit a copy of the completed form to NYSERDA. The SEAF asks several questions about the “proposed action,” which refers to the HVAC systems that exceed the limits listed on the SEQR.

4.1.4 Pending Approval Status

When the project application has passed the administrative and technical review, the application will be moved to pending approval status. In this status, the purchase order is finalized and funding for the application is set aside. Final approval of the project application is at NYSERDA’s sole discretion.

4.1.5 Approved Status

When the project application has been approved by NYSERDA, the Applicant will receive their project Award Letter via email notification and saved to the portal. While in approved status, the Applicant may submit a project cancellation request, project extension request, project modification request, or project incentive payment request.

4.1.5.1 Project Cancellation Requests

Requests to cancel a project must be done through the portal by submitting a request for cancellation to NYSERDA. Should an Applicant decide to move forward with a project after cancellation, a new application must be submitted, and the incentives and requirements in effect at the time the new application is submitted will apply.

4.1.5.2 Project Extension Requests

To request an extension, the Applicant must submit a project extension request through the NYSERDA portal. NYSERDA will approve extensions on a limited case-by-case basis. Project extensions may be granted for legitimate and verifiable reasons which are beyond the control of the Applicant.

4.1.5.3 Project Modification Requests

To request a modification to an approved project, the Applicant must submit a project modification request through the NYSERDA portal. A project modification request must state the original project award amount, the proposed performance threshold, Targeted Incentive(s) and the unit count or residential square footage; any additional Targeted Incentives being requested, and the unit count or residential square footage; as well as the reason for the change. NYSERDA will review the request, and may elect to calculate, apply, and approve the modification and any applicable adjustment to the project award amount at NYSERDA’s sole discretion.

4.1.5.4 Project Incentive Payment Requests

Payment of incentives will be available in up to three installments, based on the Applicant’s submission of the deliverables required for each of the project’s Milestones. When the complete set of deliverables for any Milestone have been submitted, the Applicant must provide emailed notification through the NYSERDA portal directed to NewConstructionProgram@nyserda.ny.gov, the Central Business Services contact, and the Primary NYSERDA Project Manager as listed in the Project Roles section of the portal. The deliverables will be reviewed by NYSERDA and when all deliverables have been accepted, the payment will be processed.

4.1.6 Completed Status

The project has achieved completed status once construction is complete, all deliverables have been accepted, and final payment has been approved by NYSERDA.

5 Third-party Standards and Performance Thresholds

NC-Housing offers technical support, guidance, and financial incentives to support the design, development, and construction of carbon neutral-ready buildings that incorporate attributes intended to ensure the buildings are resilient. The Applicant must select at least one of the eligible third-party building and energy performance programs or standards when submitting their application. Eligible third-party standards include the ENERGY STAR Single Family New Homes (SFNH) and Multifamily New Construction (MFNC) programs; and various standards published by Phius (Passive House Institute US) and the Passive House Institute (PHI). The Applicant shall leverage their chosen standard(s) to inform their project's design, with the intent to confirm their project meets their chosen third-party standard's requirements as needed to achieve certification. The eligible third-party standards, additional performance requirements, and related design attributes for each performance threshold are as listed in the table below. The technical requirements and related deliverables associated with the Applicant's chosen third-party standard or program and their project type are detailed in sections 6 through 10. The Applicant must meet all NC-Housing requirements to receive payment of incentives. Gut rehabilitation projects unable to meet a requirement of a listed third-party standard may still be eligible to participate and receive the benefits offered through NC-Housing. The potential for relief from specific requirements is primarily reserved for projects subject to federal and state historic preservation oversight and regulation, and the process for submitting a waiver request for relief is detailed within sections 6 through 10 for the relevant standard.

Projects that incorporate a minority square footage intended for commercial occupancy may be eligible for an additional incentive as detailed in section 3.2.1. To be eligible, the commercial space must be designed and constructed to be Carbon-neutral Ready; and achieve a minimum of 15% source energy savings in comparison with the applicable Energy Conservation Construction Code (ECCC) of NYS by following the relevant ASHRAE-based guidance as detailed in section 7; or meet the certification requirements associated with the Applicant's selected third-party standard.

	ENERGY STAR MFNC - ASHRAE	ENERGY STAR MFNC - ERI	PHI	Phius	Passive House for Adaptive re-use or Gut Rehabilitation	Phius CORE Prescriptive	ENERGY STAR SFNH
Carbon Neutral-ready 20% More Efficient than Code and All Electric (formerly Tier 2)	Certified + 20% source energy savings, pre-PV	Certified + pre-PV ERI of $\leq (0.95 \times \text{MFNC v1.1 ERI Target})^1$	PHI Classic ²	PHIUS+ 2015 ² PHIUS+ 2018 Core ² Phius CORE ²	Phius CORE REVIVE ² Phius CORE REVIVE Prescriptive ² PHI - EnerPHit ² (Component Method)	NA	Certified + pre-PV ERI of $\leq (0.95 \times \text{SFNH v3.1 ERI Target})^1$
Carbon Neutral-ready + Health ⁴ 30% More Efficient than Code and All Electric Plus Health Commitment ⁴ (formerly Tier 3)	Certified + 30% source energy savings, pre-PV	For Multi-unit and Multifamily buildings: Certified + pre-PV ERI of $\leq (0.75 \times \text{MFNC v1.1 ERI Target})^1$, or meet Climate Bond requirements pre-PV For Townhomes: Certified + pre-PV ERI of 45 or less, or meet Climate Bond requirements pre-PV	PHI Classic ³	PHIUS+ 2015 ³ PHIUS+ 2018 Core ³ Phius CORE ³	Phius CORE REVIVE ³ Phius CORE REVIVE Prescriptive ³ PHI - EnerPHit ³ (Energy Demand Method)	Certified	Certified + pre-PV ERI of 45 or less, or meet Climate Bond requirements pre-PV

¹ If a future version of the ENERGY STAR program replaces the MFNC v1.1 or SFNH v3.1, and its use is required for certification of projects located in New York State, the more contemporary ERI target must be relied on by the project's applicant to establish the project's performance threshold has been met.

² Projects that are pre-certified at Milestone 1, complete the certification process, including all required design reviews, energy modeling, inspections, and testing, and have submitted all required documentation for 3rd party review but do not achieve full certification to a Passive House standard may be eligible for the lower "Carbon Neutral-ready at 20%" incentives typically provided at Milestone 3. To be eligible for this alternative, the project's applicant must demonstrate the building's attributes that fall short of full certification are too costly to correct and will not cause harm to the building's occupants or long-term building durability. The project's status and compliance with these requirements must be affirmed in writing by the relevant Passive House organization.

³ Projects that are Design Certified or pre-certified at Milestone 1 but are not certified to the relevant Passive House standard at Milestone #3 may be eligible for the "Carbon Neutral-ready at 20%" incentives for subsequent Milestone payments following the requirements detailed in footnote 2.

⁴ Plus Health Commitment requires the project pursue an additional certification that incorporates health-related co-benefits, such as Enterprise Green Communities (EGC) 2020, Fitwell, Leadership in Energy and Environmental Design (LEED) Platinum, International Living Futures Institute (ILFI) Zero Carbon, Phius CORE or higher, Phius CORE REVIVE, PHI Classic, EnerPHit, US EPA Indoor airPLUS, and WELL Certification.

6 ENERGY STAR Single Family New Homes (SFNH) Program

This section details the requirements and the associated deliverables for projects following the EPA ENERGY STAR Single Family New Homes (SFNH) program.

6.1 Deliverables

The Applicant must submit the deliverables as detailed in the Milestone table below. The deliverables may be reviewed by NYSERDA and the incentives will only be paid if these submittals are approved by NYSERDA. All deliverables listed in this section must be submitted through the NYSERDA portal.

When the complete set of deliverables has been submitted, the Applicant must submit emailed notification through the NYSERDA portal. This must be directed to NewConstructionProgram@nyserda.ny.gov, the Central Business Services contact, and the Primary NYSERDA Project Manager, as listed in the Project Roles section of the portal.

6.1.1 Milestone 1: As-Built

The incentives for projects following the SFNH Program will be available to the Applicant when the project has reached construction completion, the Approved Rating Provider has approved the submitted energy model and related documents, and the required deliverables have been reviewed and approved by NYSERDA. The submitted deliverables must confirm the project meets or exceeds the performance threshold selected by the Applicant and meets the requirements of the SFNH program. If the project does not meet the intended performance threshold, the PEC must contact NYSERDA prior to submittal.

The Applicant must update data in the Information section found within the Project Site Detail section of the NYSERDA portal, as necessary.

Milestone 1 Deliverables	Document Obtained From:
Buildings Department's final approval of the building's architectural, mechanical, and plumbing plans (if available)	Permitting office that approved the Construction Documents
LMI Documentation (if not previously submitted)	See Table 3.1
Rater Field Checklist	EPA
HVAC Design Report or ANSI / RESNET / ACCA Std. 310 HVAC Design Report with ENERGY STAR Supplement, if Rater is using HVAC Grading for ENERGY STAR certification	EPA
As-built ENERGY STAR v3.1 Home Verification Summary (or approved equivalent) *	Approved Software Rating Tool
ERI Performance Threshold Calculator	NYSERDA's website
ENERGY STAR Rater Quality Assurance checklist that applies to the project, if created as part of the required QA sampling of the Rater's work.	EPA-recognized HCO (e.g., RESNET Quality Assurance Designee as directed by the Provider)
For projects pursuing Carbon Neutral-ready + Health: Proof of approval of design phase deliverables and a statement affirming the project remains committed to achieving the selected standard	Standard setting organization
Deliverables associated with Targeted Incentives as detailed in section 3.3	PEC created document

* If Sampled Ratings will be used, the ENERGY STAR SFNH v3.1 Home Verification Summary (or approved equivalent) shall be submitted for each unique floorplan.

Data Release Authorization Form (DRAF) Deliverables applicable for rental units:

Owner DRAF (for all common area and owner-controlled utility accounts for individual apartments or units, executed)	NYSERDA's website
Summary of selected Whole Building Energy Consumption Data Acquisition Strategy*	Applicant created document

6.2 SFNH Program Requirements

Projects following this path must meet the SFNH program requirements specified for the project. Though this path is performance-based and does allow trade-offs between various building components, the SFNH requirements provide a lower limit to the trade-offs for many building components. The SFNH requirements can be obtained from the ENERGY STAR website. The modeling software used to determine the project's energy savings must satisfy the SFNH program requirements.

6.3 Quality Control (QC) Processes

NYSERDA relies on Approved Rating Providers to complete technical reviews. NYSERDA and its designees may perform two different types of QC on each project: technical reviews and site visits. This section explains how these apply to projects following the SFNH program.

6.3.1 Technical Reviews

PECs are expected to complete high-quality models, to QC their work, and to submit high-quality work product to NYSERDA. PEC status may be affected if a good-faith effort is not made. NYSERDA may elect to review the model and mandatory SFNH reports and checklists to verify the project has met the performance threshold selected by the Applicant, in addition to meeting all requirements of the SFNH program. If NYSERDA determines the submitted deliverables are incomplete or missing information, the deliverables will be rejected and returned to the Applicant for appropriate corrective action. Failure to meet the performance threshold, and all requirements of the SFNH program, may result in termination of the project. Gut rehab projects are subject to requirements as detailed in section 6.4.

6.3.2 Site Visits

The Applicant must remain in communication with the construction site superintendent or construction manager regarding the construction schedule and any anticipated deviations that may affect the site visit.

Site visits may be requested by NYSERDA or a NYSERDA-designated staff, at NYSERDA's option. If NYSERDA elects to attend a site visit, the following requirements will apply:

- Applicant and PEC representatives are required to attend the site visit. These representatives must have detailed knowledge of the project and must be prepared to answer any project-related questions that arise.
- NYSERDA or a NYSERDA-designated staff may ask to see the construction drawings while on site to verify the planned installation of any components that cannot be visually inspected because either it has been covered or installation has not commenced.
- If severe violations of the SFNH program requirements are discovered during the site visit, NYSERDA reserves the right to request that the Applicant instruct the construction team to remove sections of sealed walls to fully inspect insulation and air sealing components. Additionally, NYSERDA reserves the right to require a second site visit to take place once all the required corrections are complete.

NYSERDA or a NYSERDA-designated staff may inspect all installed measures as well as all installed SFNH requirements. NYSERDA or a NYSERDA-designated staff may develop a report detailing the site visit findings, which will be shared through the NYSERDA portal. The report may contain action items for measures and prerequisites, which may need to be resolved before the incentive can be paid. The report will provide an explanation of what is required to resolve action items. Failure to meet the requirements of this site visit may result in termination of the project.

6.4 Gut Rehabilitation Projects

Gut rehabilitation (rehab) projects must generally meet the same requirements as newly constructed buildings. Gut rehab projects that are not able to meet specific aspects of the SFNH program requirements may be eligible to participate and receive program benefits under the conditions detailed below.

When SFNH program requirements are not deemed economically justified due to the project being a historic rehabilitation, the Energy \$mart designation and incentives associated with the project's performance may be available as an alternative path. Permission to use this alternative must be sought through a technical waiver request which identifies those specific requirements in question. For the technical waiver request to be considered for acceptance, the Applicant must demonstrate the specific SFNH program requirement(s) that would not be technically feasible or economically justified. The waiver request must propose alternative methods to accomplish the intent of the standards or requirements that would not be met. The project's third-party quality assurance reviewer must verify that the energy model and related documents meet all SFNH program requirement(s) not included in the technical waiver request.

If the proposed alternative methods negatively impact the energy savings projected to be achieved in the dwelling unit(s), an economic analysis must be submitted that includes the cost, savings and return on investment for compliance with the requirement, and the proposed alternative. The project will be expected to meet the minimum ENERGY STAR SFNH ERI Target assigned to the project, calculated through use of approved Rating software inclusive of the proposed alternative methods.

7 ENERGY STAR Multifamily New Construction (MFNC) Program – ASHRAE Path

This section details the requirements and the associated deliverables for projects following the EPA ENERGY STAR Multifamily New Construction (MFNC) program’s ASHRAE Path.

7.1 Deliverables

For the Applicant to receive the NYSERDA incentives approved for their project, the Applicant must submit the deliverables as detailed in the Milestones below. These deliverables may be reviewed by NYSERDA, and the incentives will only be paid if these submittals are approved by NYSERDA. All deliverables listed in this section must be submitted through the NYSERDA portal.

When the complete set of deliverables for any Milestone has been submitted, the Applicant must submit emailed notification through the NYSERDA portal. This must be directed to NewConstructionProgram@nyserda.ny.gov, the Central Business Services contact, and the Primary NYSERDA Project Manager, as listed in the Project Roles section of the portal.

7.1.1 Milestone 1: Proposed Design

The Milestone 1 incentive is available to the Applicant when the project has reached design completion, the EPA-recognized Multifamily Review Organization (MRO) has submitted their approval of the energy model and related documents, and the required deliverables have been submitted and approved by NYSERDA. At this Milestone, the Applicant must update data in the Information section found within the Project Site Detail section of the NYSERDA portal, as necessary. The submitted deliverables must confirm the project is projected to achieve the performance threshold selected by the Applicant and meets the requirements of the MFNC program. If the energy model indicates the intended performance threshold will not be met, the Primary Energy Consultant (PEC) must contact NYSERDA prior to submittal.

Projects following the ASHRAE Path must engage with an MRO to complete the review and approval of their Milestone 1 deliverables. The Milestone 1 deliverables must be submitted within 30 days following the MRO’s approval, typically following the Buildings Department’s final approval of the building’s architectural, mechanical, and plumbing plans, with the following exception: Projects may request NYSERDA’s advance approval to submit Milestone 1 and 2 deliverables when submitting Milestone 3 deliverables. Deliverables must be submitted sequentially.

The PEC should submit emailed notification through the NYSERDA portal when the Milestone 1 deliverables are submitted to the MRO for review. The MRO should include NYSERDA on email notifications to the PEC when each review is complete, whether the review is accepted or not. When the review is accepted, the MRO should upload the review document to the NYSERDA portal.

Milestone 1 Deliverables	Document Obtained From:
Contract between the PEC and Multifamily Review Organization	PEC created document
LMI Documentation (if not previously submitted)	See Table 3.1
Buildings Department’s final approval of the building’s architectural, mechanical, and plumbing plans (if available)	Permitting office that approved the Construction Documents
Proof of review and approval by MRO	EPA-recognized MRO
As Designed Energy Modeling files*	Approved Modeling Software
90.1 Section 11 and Appendix G Compliance Form**	Department of Energy Office of Energy Efficiency and Renewable Energy
Multifamily Workbook (or approved equivalent)***	EPA
MFNC Rater Design Review Checklist (if the Multifamily Workbook is not submitted)	EPA
MFNC HVAC Design Report	EPA
For projects pursuing Carbon Neutral-ready + Health: Proof of registration to confirm commitment to achieve the selected standard	Standard setting organization
Deliverables associated with Targeted Incentives as detailed in section 3.3	PEC created document

* For eQUEST models, submit the .inp, .pd2, and .prd files. For WUFI models, submit both the model and the report.

** Or ASHRAE Path Calculator, if approved by EPA for use on the project

*** If the Multifamily Workbook is not submitted, submit documentation equivalent to the information contained in the Workbook tabs. If the Multifamily Workbook is submitted, the ENERGY STAR Rater Checklists do not need to be submitted separately.

7.1.2 Milestone 2: Open Wall

The Milestone 2 incentive is available to the Applicant when the project has reached the status as listed in the table below and the required deliverables have been submitted and approved by NYSERDA. The Milestone 2 deliverables should be completed, to the extent possible, with current information from the PEC’s field visits. If the above grade wall assembly has changed since Milestone 1, the PEC must alert NYSERDA when submitting Milestone 2 deliverables.

The Milestone 2 deliverables must be submitted when the project has achieved the status as listed in the table below, with the following exception: Projects may request NYSERDA’s advance approval to submit Milestone 2 deliverables when submitting Milestone 3 deliverables. Deliverables must be submitted sequentially. The timing of this Milestone is typically based on the type of installed above grade wall insulation. The status as listed in the table below is intended to guide when submission of these deliverables would typically be expected to occur.

Insulation Type	Status	Visible Details
Exterior insulation	~30% of windows installed	1) Cross sections of the above grade wall assemblies 2) Air sealing details at installed windows
Insulated concrete form (ICF)	~30% of windows installed	1) Cross sections of the above grade wall assemblies 2) Air sealing details at installed windows
Exterior insulation and finishing systems (EIFS)	~30% of the EIFS installed	Installed insulation
Interior insulation only	~30% of insulation installed and visible	Installed insulation
Exterior insulation with interior insulation	~30% of interior insulation installed and visible	Installed insulation
Prefabricated exterior wall assemblies and modular construction	~30% of the prefabricated assemblies installed on-site	Installed prefabricated assemblies

Milestone 2 Deliverables

Document Obtained From:

Multifamily Workbook (or approved equivalent)	EPA
MFNC Rater Field Checklist* (if the Multifamily Workbook is not submitted)	EPA
Photo documentation**	EPA or PEC created zip file

* At Milestone 2, checklist items should only be marked as “Rater Verified” if the Rater verified these items in the field.

** Photo documentation required in the ENERGY STAR MFNC “Photo Documentation Guidance” document can be submitted using the ENERGY STAR Multifamily High Rise (MFHR) Photo Template or a zip file with photos within folders labeled according to the “Photo Documentation Guidance” document.

7.1.3 Milestone 3: As-Built

The Milestone 3 incentive is available to the Applicant when the project has reached construction completion, the MRO has approved the submitted energy model and related documents, and the required deliverables have been reviewed and approved by NYSERDA. The submitted deliverables must confirm the project meets or exceeds the performance threshold selected by the Applicant and meets the requirements of the MFNC program. If the project does not meet the intended performance threshold, the PEC must contact NYSERDA prior to submittal.

The Applicant must update data in the Information section found within the Project Site Detail section of the NYSERDA portal, as necessary.

The Applicant shall determine whether to submit Tenant Data Release Authorization Forms (DRAFTs) or to follow the alternative process detailed below.

- DRAFTs: The Applicant must submit the Owner DRAFT, which must include utility information for all common areas of the building, and Tenant DRAFTs, which must include utility information for a representative sample of apartments. The apartment sample shall consist of at least 10 percent of the apartments with no fewer than five apartments. Of the 10 percent sample, at least one of each apartment type (e.g., studio, 1 bedroom, large 1 bedroom) must be represented. Additionally, a list of all apartment numbers and their corresponding apartment type (e.g., studio, large 1 bedroom) must be provided.
- As an alternative to submitting the Tenant DRAFTs and associated list of apartments, the Applicant can select a Whole Building Energy Consumption Data Acquisition Strategy described in the ENERGY STAR MFNC Rater Field Checklist. If the Applicant selects the Portfolio Manager option, the Applicant should create a Portfolio Manager account for the project and add NYSERDA as a “contact” with read-only access. All data is kept strictly confidential and only used to estimate the energy performance of the whole building, not of individual apartments. The process for adding contacts to Portfolio Manager is available here under “Connect with another Portfolio Manager user”:
<https://energystar-mesa.force.com/PortfolioManager/s/article/How-do-I-add-a-contact-1600088534041>

The PEC should submit emailed notification through the NYSERDA portal when the As-built deliverables are submitted to the MRO for review. The MRO should include NYSERDA on email notification to the PEC when each review is complete, whether the review is approved or not. When the review is approved, the MRO should upload the review document to the NYSERDA portal.

Milestone 3 Deliverables	Document Obtained From:
Proof of review and approval by MRO	EPA-recognized MRO
As-built Energy Modeling files*	Approved Modeling Software
90.1 Section 11 and Appendix G Compliance Form**	Department of Energy Office of Energy Efficiency and Renewable Energy
Photo documentation***	EPA or PEC created document
Multifamily Workbook (or approved equivalent)	EPA
MFNC Rater Field Checklist**** (if the Multifamily Workbook is not submitted)	EPA
MFNC HVAC Functional Testing Checklist	EPA
For projects pursuing Carbon Neutral-ready + Health: Proof of approval of design phase deliverables and a statement affirming the project remains committed to achieving the selected standard	Standard setting organization
Deliverables associated with Targeted Incentives as detailed in section 3.3	PEC created document

* For eQUEST models, submit the .inp, .pd2, and .prd files. For WUFI models, submit both the model and the report.

** Or ASHRAE Path Calculator, if approved by EPA for use on the project

*** Photo documentation required in the ENERGY STAR MFNC “Photo Documentation Guidance” document can be submitted using the ENERGY STAR MFHR Photo Template or a zip file with photos within folders labeled according to the “Photo Documentation Guidance” document.

**** At Milestone 3, checklist items should only be marked as “Rater Verified” if the Rater verified these items in the field.

DRAFT Deliverables:

Owner DRAFT (for all common area utility accounts) (executed)	NYSERDA’s website
Tenant DRAFTs (executed)	NYSERDA’s website
List of each apartment number and type (e.g., studio, 1 bedroom)	Applicant created document

Alternative DRAF Deliverables*:

Owner DRAF (for all common area utility accounts) (executed)	NYSERDA's website
Summary of selected Whole Building Energy Consumption Data Acquisition Strategy	Applicant created document

* Use this option as an alternative to the submission of Tenant DRAF Deliverables and list of apartments

7.2 MFNC Program Requirements

Projects following the ASHRAE Path must meet the MFNC program requirements specified for the project. Though the ASHRAE Path is performance-based and does allow trade-offs between various building components, the MFNC program requirements provide a lower limit to the trade-offs for many building components. The MFNC program requirements can be obtained from the ENERGY STAR website. The modeling software used to determine the project's energy savings must satisfy the MFNC program requirements.

7.3 Meet or Exceed Performance Threshold as Detailed in the Table in Section 5

To demonstrate the performance threshold has been met, determine the project's performance by following ASHRAE 90.1 Appendix G, MFNC program requirements, MFNC Simulation Guidelines, and the instructions in the 90.1 Section 11 and Appendix G Compliance Form and use the source-to-site ratio listed in section 7.3.2.

7.3.1 Program Requirements and Simulation Guidelines

All projects following the ASHRAE Path shall demonstrate the MFNC program certification has been achieved by following the applicable versions of the MFNC program requirements and the MFNC program Simulation Guidelines as required by the MFNC program.

7.3.2 90.1 Section 11 and Appendix G Compliance Form

The 90.1 Section 11 and Appendix G Compliance Form (Compliance Form) is the comprehensive reporting workbook populated and submitted by the Applicant and PEC to the MRO. It helps the modeler establish simulation inputs for the baseline and proposed design models and achievement of the performance threshold. The Compliance Form is a spreadsheet-based workbook that meets the documentation requirements for ASHRAE Standards 90.1-2016 and 2019 Section 11 Energy Cost Budget Method and Appendix G Performance Rating Method. Instructions within that workbook provide further information. The Compliance Form must be used and can be obtained from the Department of Energy Office of Energy Efficiency and Renewable Energy website unless an alternative tool has been approved by the EPA for use on the project. Projects must use the applicable version of the Compliance Form required by the MFNC program.

In lieu of using the default "Source-Site Ratio," all projects following the ASHRAE path shall convert the site energy consumption to source energy consumption by entering the appropriate source-to-site conversion factor shown below into the Energy Sources tab of the Compliance Form.

Energy Type	Source-to-Site Ratio
Electricity (grid purchase)	2.55

7.4 Quality Control (QC) Processes

As noted in section 7.1.1, NYSERDA relies on the MRO to complete technical reviews. NYSERDA and its designees may perform two different types of QC on each project: technical reviews and site visits. This section explains how these apply to projects following the MFNC program ASHRAE Path.

7.4.1 Technical Reviews

PECs are expected to complete high-quality models, to QC their work, and to submit high-quality work product to NYSERDA. PEC status may be affected if a good-faith effort is not made. If at any time NYSERDA deems submitted deliverables as incomplete or missing information, the deliverables will be rejected and returned to the Applicant for appropriate corrective action.

A technical review process may occur at any Milestone to verify that the project is meeting the performance threshold selected by the Applicant, in addition to meeting all requirements of the MFNC program. Failure to meet the performance threshold selected by the Applicant in NYSERDA's program and all requirements of the MFNC

program may result in termination of the project. Gut rehab projects are subject to requirements as detailed in section 7.5.

At Milestone 1, NYSERDA may elect to review deliverables to ensure that MFNC program requirements were followed and evaluate whether the projected savings are consistent with the features of the design.

At Milestone 2, NYSERDA may elect to review deliverables to verify that the project is on course to achieve the intended performance threshold.

At Milestone 3, NYSERDA may also elect to review the model and mandatory MFNC reports and checklists as during Milestone 1. Additionally, NYSERDA may review the photo documentation deliverable to ensure that all deliverables reflect the installed conditions.

7.4.2 Site Visits

The Applicant must remain in communication with the construction site superintendent or construction manager regarding the construction schedule and any anticipated deviations that may affect the site visit.

Site visits may be requested by NYSERDA or a NYSERDA-designated staff on all projects at NYSERDA's option. If NYSERDA elects to attend a site visit, the following requirements will apply:

- Applicant and PEC representatives are required to attend the site visit. These representatives must have detailed knowledge of the project and must be prepared to answer any project-related questions that arise.
- NYSERDA or a NYSERDA-designated staff may ask to see the construction drawings while on site to verify the planned installation of any components that cannot be visually inspected because either it has been covered or installation has not commenced.
- If severe violations of the MFNC program requirements are discovered during the site visit, NYSERDA reserves the right to request that the Applicant instruct the construction team to remove sections of sealed walls to fully inspect insulation and air sealing components. Additionally, NYSERDA reserves the right to require a second site visit to take place once all the required corrections are complete.

NYSERDA or a NYSERDA-designated staff may inspect all installed measures as well as all installed MFNC program requirements. NYSERDA or a NYSERDA-designated staff may develop a report detailing the site visit findings, which will be shared through the NYSERDA portal. The report may contain Additional Requirements or Action Items for measures and prerequisites. Additional Requirements can be resolved at Milestone 3. Action Items must be resolved before the Milestone 2 Incentive can be paid. The report will provide an explanation of what is required to resolve Additional Requirements and Action Items.

Failure to meet the requirements of this site visit may result in termination of the project.

7.5 Gut Rehabilitation Projects

Gut rehabilitation (rehab) projects following the ASHRAE Path must generally meet the same requirements as newly constructed buildings. Gut rehab projects that are not able to meet specific aspects of the MFNC program requirements may be eligible to participate and receive program benefits under the conditions detailed below.

When MFNC program requirements are not deemed economically justified, the Energy Smart designation and incentives associated with the project's performance may be available as an alternative path. Permission to use this alternative must be sought through a technical waiver request which identifies those specific requirements in question. For the technical waiver request to be considered for acceptance, the Applicant must demonstrate the specific MFNC program requirement(s) that would not be technically feasible or economically justified. The waiver request must propose alternative methods to accomplish the intent of the standards or requirements that would not be met. The project's third-party quality assurance reviewer must verify that the energy model and related documents meet all MFNC program requirement(s) not included in the technical waiver request.

If the proposed alternative methods negatively impact the energy savings projected to be achieved in the project, an economic analysis must be submitted that includes the cost, savings and return on investment for compliance

with the requirement, and the proposed alternative. The project must still meet the minimum MFNC program requirements inclusive of the proposed alternative methods.

8 ENERGY STAR Multifamily New Construction (MFNC) Program – ERI Path

This section details the requirements and the associated deliverables for projects following the EPA ENERGY STAR Multifamily New Construction (MFNC) program’s ERI Path.

8.1 Deliverables

For the Applicant to receive the NYSERDA incentives approved for their project, the Applicant must submit the deliverables as detailed in the Milestones below. These deliverables may be reviewed by NYSERDA and the incentives will only be paid if these submittals are approved by NYSERDA. All deliverables listed in this section must be submitted through the NYSERDA portal.

When the complete set of deliverables for any Milestone has been submitted, the Applicant must submit emailed notification through the NYSERDA portal. This must be directed to NewConstructionProgram@nyserda.ny.gov, the Central Business Services contact, and the Primary NYSERDA Project Manager, as listed in the Project Roles section of the portal.

8.1.1 Milestone 1: Proposed Design

The Milestone 1 incentive is available to the Applicant when the project has reached design completion and the required deliverables have been submitted and approved by NYSERDA. The Applicant must update data in the Information section found within the Project Site Detail section of the NYSERDA portal, as necessary. The submitted deliverables must confirm the project is projected to achieve the performance threshold selected by the Applicant and meets the requirements of the MFNC program. If the energy model indicates the intended performance threshold will not be met, the PEC must contact NYSERDA prior to submittal.

The Milestone 1 deliverables must be submitted within 30 days following the Buildings Department’s final approval of the building’s architectural, mechanical, and plumbing plans, with the following exception: Projects may request NYSERDA’s advance approval to submit Milestone 1 and 2 deliverables when submitting Milestone 3 deliverables. Deliverables must be submitted sequentially.

Milestone 1 Deliverables	Document Obtained From:
LMI Documentation (if not previously submitted)	See Table 3.1
Buildings Department's final approval of the building’s architectural, mechanical, and plumbing plans (if available)	Permitting office that approved the Construction Documents
Multifamily Workbook (or approved equivalent)*	EPA
MFNC Rater Design Review Checklist (if the Multifamily Workbook is not submitted)	EPA
MFNC HVAC Design Report	EPA
As Designed ENERGY STAR v 1.1 MF Home Verification Summary (or approved equivalent) **	Approved Software Rating Tool
ERI Performance Threshold Calculator	NYSERDA’s website
For projects pursuing Carbon Neutral-ready + Health: Proof of registration to confirm commitment to achieve the selected standard	Standard setting organization
Deliverables associated with Targeted Incentives as detailed in section 3.3	PEC created document

* If the Multifamily Workbook is not submitted, submit documentation equivalent to the information contained in the Workbook tabs. If the Multifamily Workbook is submitted, the ENERGY STAR Rater Checklists do not need to be submitted separately.

** If Sampled Ratings will be used, the ENERGY STAR v1.1 MF Home Verification Summary (or approved equivalent) shall be submitted for each unique dwelling unit type as detailed in ANSI/RESNET/ICC 301-2019, Section 5.1.4.4.1.

8.1.2 Milestone 2: Open Wall

The Milestone 2 incentive is available to the Applicant when the project has reached the status as listed in the table below and the required deliverables have been submitted and approved by NYSERDA. The Milestone 2 deliverables should be completed, to the extent possible, with current information from the PEC’s field visits. If the

above grade wall assembly has changed since Milestone 1, the PEC must alert NYSERDA when submitting Milestone 2 deliverables.

The Milestone 2 deliverables must be submitted when the project has achieved the status as listed in the table below, with the following exception: Projects may request NYSERDA’s advance approval to submit Milestone 2 deliverables when submitting Milestone 3 deliverables. Deliverables must be submitted sequentially. The timing of this Milestone is typically based on the type of installed above-grade wall insulation. The status as listed in the table below is intended to guide when submission of these deliverables would typically be expected to occur.

Insulation Type	Status	Visible Details
Exterior insulation	~30% of windows installed	1) Cross sections of the above-grade wall assemblies 2) Air sealing details at installed windows
Insulated concrete form (ICF)	~30% of windows installed	1) Cross sections of the above-grade wall assemblies 2) Air sealing details at installed windows
Exterior insulation and finishing systems (EIFS)	~30% of the EIFS installed	Installed insulation
Interior insulation only	~30% of insulation installed and visible	Installed insulation
Exterior insulation with interior insulation	~30% of interior insulation installed and visible	Installed insulation
Prefabricated exterior wall assemblies and modular construction	~30% of the prefabricated assemblies installed on-site	Installed prefabricated assemblies

Milestone 2 Deliverables	Document Obtained From:
Multifamily Workbook (or approved equivalent)	EPA
MFNC Rater Field Checklist* (if the Multifamily Workbook is not submitted)	EPA
Photo documentation**	EPA or PEC created zip file

* At Milestone 2, checklist items should only be marked as “Rater Verified” if the Rater verified these items in the field.

** Photo documentation required in the ENERGY STAR MFNC “Photo Documentation Guidance” document can be submitted using the ENERGY STAR Multifamily High Rise (MFHR) Photo Template or a zip file with photos within folders labeled according to the “Photo Documentation Guidance” document.

8.1.3 Milestone 3: As-Built

The Milestone 3 incentive is available to the Applicant when the project has reached construction completion, the Approved Rating Provider has approved the submitted energy model and related documents, and the required deliverables have been reviewed and approved by NYSERDA. The submitted deliverables must confirm the project meets or exceeds the performance threshold and meets the requirements of the MFNC program. If the project does not meet the intended performance threshold, the PEC must contact NYSERDA prior to submittal.

To avoid delays in submitting deliverables and issues with gaining access to occupied units, it is recommended that the Approved Rating Provider’s quality assurance visits occur coincident with PEC (Rater) visits, rather than after the units are registered with the HCO.

The Applicant must update data in the Information section found within the Project Site Detail section of the NYSERDA portal, as necessary.

The Applicant shall determine whether to submit Tenant Data Release Authorization Forms (DRAFTs) or to follow the alternative process detailed below.

- DRAFTs: The Applicant must submit the Owner DRAFT, which must include utility information for all common areas of the building, and Tenant DRAFTs, which must include utility information for a representative

sample of apartments. The apartment sample shall consist of at least 10 percent of the apartments with no fewer than five apartments. Of the 10 percent sample, at least one of each apartment type (e.g. studio, 1 bedroom, large 1 bedroom) must be represented. Additionally, a list of all apartment numbers and their corresponding apartment type (e.g. studio, large 1 bedroom) must be provided.

- As an alternative to submitting the Tenant DRAFs and associated list of apartments, the Applicant can select a Whole Building Energy Consumption Data Acquisition Strategy described in the ENERGY STAR MFNC National Rater Field Checklist. If the Applicant selects the Portfolio Manager option, the Applicant should create a Portfolio Manager account for the project and add NYSERDA as a “contact” with read-only access. All data is kept strictly confidential and only used to estimate the energy performance of the whole building, not of individual apartments. The process for adding contacts to Portfolio Manager is available here under “Connect with another Portfolio Manager user”:
<https://energystar-mesa.force.com/PortfolioManager/s/article/How-do-I-add-a-contact-1600088534041>

Milestone 3 Deliverables	Document Obtained From:
Multifamily Workbook (or approved equivalent)	EPA
MFNC Rater Field Checklist* (if the Multifamily Workbook is not submitted)	EPA
MFNC HVAC Functional Testing Checklist	EPA
Photo documentation**	EPA or PEC created document
As-built ENERGY STAR v 1.1 MF Home Verification Summary (or approved equivalent) ***	Approved Software Rating Tool
ERI Performance Threshold Calculator	NYSERDA’s website
ENERGY STAR Rater Quality Assurance checklist, to be completed for every MFNC project as part of the required QA of the Rater’s work. (which may exceed the level of QA required of the EPA-recognized HCO)	EPA-recognized HCO (e.g., RESNET Quality Assurance Designee as directed by the Provider)
For projects pursuing Carbon Neutral-ready + Health: Proof of approval of design phase deliverables and a statement affirming the project remains committed to achieving the selected standard	Standard setting organization
Deliverables associated with Targeted Incentives as detailed in section 3.3	PEC created document

* At Milestone 3, checklist items should only be marked as “Rater Verified” if the Rater verified these items in the field.

** Photo documentation required in the ENERGY STAR MFNC “Photo Documentation Guidance” document can be submitted using the ENERGY STAR MFHR Photo Template or a zip file with photos within folders labeled according to the “Photo Documentation Guidance” document.

*** If Sampled Ratings will be used, the ENERGY STAR v1.1 MF Home Verification Summary (or approved equivalent), shall be submitted for each unique dwelling unit type as detailed in ANSI/RESNET/ICC 301-2019, Section 5.1.4.4.1.

DRAF Deliverables:

Owner DRAF (for all common area utility accounts) (executed)	NYSERDA’s website
Tenant DRAFs (executed)	NYSERDA’s website
List of each apartment number and type (e.g., studio, 1 bedroom)	Applicant created document

Alternative DRAF Deliverables*:

Owner DRAF (for all common area utility accounts) (executed)	NYSERDA’s website
Summary of selected Whole Building Energy Consumption Data Acquisition Strategy	Applicant created document

* Use this option as an alternative to the submission of Tenant DRAF deliverables and list of apartments

8.2 MFNC Program Requirements

Projects following the ERI Path must meet the MFNC program requirements specified for the project. Though the ERI Path is performance-based and does allow trade-offs between various building components, the MFNC

requirements provide a lower limit to the trade-offs for many building components. The MFNC requirements can be obtained from the ENERGY STAR website. The modeling software used to determine the project's energy savings must satisfy the MFNC program requirements.

8.3 Quality Control (QC) Processes

NYSERDA relies on Approved Rating Providers to complete technical reviews. NYSERDA and its designees may perform two different types of QC on each project: technical reviews and site visits. This section explains how these apply to projects following the MFNC program ERI Path.

8.3.1 Technical Reviews

PECs are expected to complete high-quality models, to QC their work, and to submit high-quality work product to NYSERDA. PEC status may be affected if a good-faith effort is not made. If at any time NYSERDA deems submitted deliverables as incomplete or missing information, the deliverables will be rejected and returned to the Applicant for appropriate corrective action.

A technical review process may occur at any Milestone to verify that the project is meeting the performance threshold selected by the Applicant in addition to meeting all requirements of the MFNC program. Failure to meet the performance threshold selected by the Applicant in NYSERDA's program and all requirements of the MFNC program may result in termination of the project. Gut rehab projects are subject to requirements as detailed in section 8.4.

At Milestone 1, NYSERDA may elect to review deliverables to ensure that MFNC program requirements were followed and evaluate whether the projected savings are consistent with the features of the design.

At Milestone 2, NYSERDA may elect to review deliverables to verify that the project is on course to achieve the intended performance threshold.

At Milestone 3, NYSERDA may also elect to review the model and mandatory MFNC reports and checklists as during Milestone 1. Additionally, NYSERDA may review the photo documentation deliverable to ensure that all deliverables reflect the installed conditions.

8.3.2 Site Visits

The Applicant must remain in communication with the construction site superintendent or construction manager regarding the construction schedule and any anticipated deviations that may affect the site visit.

Site visits may be requested by NYSERDA or a NYSERDA-designated staff on all projects at NYSERDA's option. If NYSERDA elects to attend a site visit, the following requirements will apply:

- Applicant and PEC representatives are required to attend the site visit. These representatives must have detailed knowledge of the project and must be prepared to answer any project-related questions that arise.
- NYSERDA or a NYSERDA-designated staff may ask to see the construction drawings while on site to verify the planned installation of any components that cannot be visually inspected because either it has been covered or installation has not commenced.
- If severe violations of the MFNC program requirements are discovered during the site visit, NYSERDA reserves the right to request that the Applicant instruct the construction team to remove sections of sealed walls to fully inspect insulation and air sealing components. Additionally, NYSERDA reserves the right to require a second site visit to take place once all the required corrections are complete.

NYSERDA or a NYSERDA-designated staff may inspect all installed measures as well as all installed MFNC requirements. NYSERDA or a NYSERDA-designated staff may develop a report detailing the site visit findings, which will be shared through the NYSERDA portal. The report may contain Additional Requirements or Action Items for measures and prerequisites. Additional Requirements can be resolved at Milestone 3. Action Items must be resolved before the Milestone 2 Incentive can be paid. The report will provide an explanation of what is required to resolve Additional Requirements and Action Items.

Failure to meet the requirements of this site visit may result in termination of the project.

8.4 Gut Rehabilitation Projects

Gut rehabilitation (rehab) projects following the ERI Path must generally meet the same requirements as newly constructed buildings. Gut rehab projects that are not able to meet specific aspects of the MFNC program requirements may be eligible to participate and receive program benefits under the conditions detailed below.

When MFNC program requirements are not deemed economically justified, the Energy \$mart designation and incentives associated with the project's performance may be available as an alternative path. Permission to use this alternative must be sought through a technical waiver request which identifies those specific requirements in question. For the technical waiver request to be considered for acceptance, the Applicant must demonstrate the specific MFNC program requirement(s) that would not be technically feasible or economically justified. The waiver request must propose alternative methods to accomplish the intent of the standards or requirements that would not be met. The project's third-party quality assurance reviewer must verify that the energy model and related documents meet all MFNC program requirement(s) not included in the technical waiver request.

If the proposed alternative methods negatively impact the energy savings projected to be achieved in the dwelling unit(s), an economic analysis must be submitted that includes the cost, savings and return on investment for compliance with the requirement, and the proposed alternative. The project will be expected to meet the minimum ENERGY STAR MFNC ERI Target assigned to the project, calculated through use of approved Rating software inclusive of the proposed alternative methods.

9 Passive House Institute (PHI)

This section details the requirements and the associated deliverables for projects following one of the eligible Passive House Institute (PHI) standards.

9.1 Deliverables

For the Applicant to receive the NYSERDA incentives approved for their project, the Applicant must submit the deliverables as detailed in the Milestones below. These deliverables may be reviewed by NYSERDA and the incentives will only be paid if these submittals are approved by NYSERDA. All deliverables listed in this section must be submitted through the NYSERDA portal.

When the complete set of deliverables for any Milestone has been submitted, the Applicant must submit emailed notification through the NYSERDA portal. This must be directed to NewConstructionProgram@nyserda.ny.gov, the Central Business Services contact, and the Primary NYSERDA Project Manager, as listed in the Project Roles section of the portal.

9.1.1 Milestone 1: Proposed Design

The Milestone 1 incentive is available to the Applicant when the project has reached design completion and the required deliverables have been submitted and approved by NYSERDA. The Applicant must update data in the Information section found within the Project Site Detail section of the NYSERDA portal, as necessary. The submitted deliverables must confirm the project is projected to achieve the performance threshold selected by the Applicant and meets the requirements of the PHI Certification Standard. If the energy model indicates the intended performance threshold will not be met, the PEC must contact NYSERDA prior to submittal.

Projects following the PHI path must engage with a certified PHI Consultant or Designer and PHI Certifier. Additionally, the project must be pre-certified by PHI prior to submittal to NYSERDA. The Milestone 1 deliverables must be submitted within 30 days following the PHI pre-certification, typically following the Buildings Department's final approval of the building's architectural, mechanical, and plumbing plans, with the following exception: Projects may request NYSERDA's advance approval to submit Milestone 1 and 2 deliverables when submitting Milestone 3 deliverables. Deliverables must be submitted sequentially.

Milestone 1 Deliverables	Document Obtained From:
LMI Documentation (if not previously submitted)	See Table 3.1
Buildings Department's final approval of the building's architectural, mechanical, and plumbing plans (if available)	Permitting office that approved the Construction Documents
Proposed Building Performance Plan	NYSERDA's website
As designed PHPP modeling files	Approved Modeling Software
Proof of Pre-certification	PHI
Deliverables associated with Targeted Incentives as detailed in section 3.3	PEC created document

9.1.2 Milestone 2: Open Wall

The Milestone 2 incentive is available to the Applicant when the project has reached the status as listed in the table below and the required deliverables have been submitted and approved by NYSERDA. The Milestone 2 deliverables should be completed, to the extent possible, with current information from the PEC's field visits. If the above grade wall assembly has changed since Milestone 1, the PEC must alert NYSERDA when submitting Milestone 2 deliverables.

The Milestone 2 deliverables must be submitted when the project has achieved the status as listed in the table below, with the following exception: Projects may request NYSERDA's advance approval to submit Milestone 2 deliverables when submitting Milestone 3 deliverables. Deliverables must be submitted sequentially. The timing of this Milestone is typically based on the type of installed above-grade wall insulation. The status as listed in the table below is intended to guide when submission of these deliverables would typically be expected to occur.

Insulation Type	Status	Visible Details
Exterior insulation	~30% of windows installed	1) Cross sections of the above-grade wall assemblies

		2) Air sealing details at installed windows
Insulated concrete form (ICF)	~30% of windows installed	1) Cross sections of the above-grade wall assemblies 2) Air sealing details at installed windows
Exterior insulation and finishing systems (EIFS)	~30% of the EIFS installed	Installed insulation
Interior insulation only	~30% of insulation installed and visible	Installed insulation
Exterior insulation with interior insulation	~30% of interior insulation installed and visible	Installed insulation
Prefabricated exterior wall assemblies and modular construction	~30% of the prefabricated assemblies installed on-site	Installed prefabricated assemblies

Milestone 2 Deliverables	Document Obtained From:
Photo documentation*	EPA or PEC created zip file
Proposed Building Performance Plan	NYSERDA's website

* Photo documentation required in the ENERGY STAR MFNC "Photo Documentation Guidance" document can be submitted using the ENERGY STAR Multifamily High Rise (MFHR) Photo Template or a zip file with photos within folders labeled according to the "Photo Documentation Guidance" document.

9.1.3 Milestone 3: As-Built

The Milestone 3 incentive is available to the Applicant when the project has reached construction completion, PHI has approved the submitted energy model and related documents, and the required deliverables have been reviewed and approved by NYSERDA. The submitted deliverables must confirm the project meets or exceeds the performance threshold selected by the Applicant and meets the PHI Certification Standard requirements. If the project does not meet the intended performance threshold, the PEC must contact NYSERDA prior to submittal.

The Applicant must update data in the Information section found within the Project Site Detail section of the NYSERDA portal, as necessary.

The Applicant shall determine whether to submit Tenant Data Release Authorization Forms (DRAFTs) or to follow the alternative process detailed below.

- DRAFTs: The Applicant must submit the Owner DRAFT, which must include utility information for all common areas of the building, and Tenant DRAFTs, which must include utility information for a representative sample of apartments. The apartment sample shall consist of at least 10 percent of the apartments with no fewer than five apartments. Of the 10 percent sample, at least one of each apartment type (e.g. studio, 1 bedroom, large 1 bedroom) must be represented. Additionally, a list of all apartment numbers and their corresponding apartment type (e.g. studio, large 1 bedroom) must be provided.
- As an alternative to submitting the Tenant DRAFTs and associated list of apartments, the Applicant can select a Whole Building Energy Consumption Data Acquisition Strategy described in the ENERGY STAR MFNC National Rater Field Checklist. If the Applicant selects the Portfolio Manager option, the Applicant should create a Portfolio Manager account for the project and add NYSERDA as a "contact" with read-only access. All data is kept strictly confidential and only used to estimate the energy performance of the whole building, not of individual apartments. The process for adding contacts to Portfolio Manager is available here under "Connect with another Portfolio Manager user":
<https://energystar-mesa.force.com/PortfolioManager/s/article/How-do-I-add-a-contact-1600088534041>

Milestone 3 Deliverables	Document Obtained From:
As-built Building Performance Plan	NYSERDA's website
Photo documentation*	EPA or PEC created document
As-built PHPP modeling files	Approved Modeling Software
PHI Certificate	PHI

Deliverables associated with Targeted Incentives as detailed in section 3.3	PEC created document
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* Photo documentation required in the ENERGY STAR MFNC “Photo Documentation Guidance” document can be submitted using the ENERGY STAR MFHR Photo Template or a zip file with photos within folders labeled according to the “Photo Documentation Guidance” document.

DRAF Deliverables:

Owner DRAF (for all common area utility accounts) (executed)	NYSERDA’s website
Tenant DRAFs (executed)	NYSERDA’s website
List of each apartment number and type (e.g., studio, 1 bedroom)	Applicant created document

Alternative DRAF Deliverables*:

Owner DRAF (for all common area utility accounts) (executed)	NYSERDA’s website
Summary of selected Whole Building Energy Consumption Data Acquisition Strategy	Applicant created document

* Use this option as an alternative to submission of Tenant DRAF deliverables and list of apartments

9.2 PHI Requirements

Projects following the PHI path must meet the PHI Certification Standard requirements specified for the project, which can be obtained from the PHI website. The modeling software used to determine the project’s energy savings must satisfy the PHI Certification Standard requirements.

9.3 Associated Deliverables

9.3.1 Modeling Deliverables

All projects following the PHI path shall follow the PHI Certification Standard requirements, with the following additional requirements:

- Any deviations from PHI defaults for operating assumptions, such as source-to-site conversion, plug loads and hours of operation, must be specifically noted in the Building Performance Plan and may be subject to NYSERDA approval.
- If a project includes an HVAC configuration or system type that cannot be explicitly modeled in the PHPP, the PEC must work directly with PHI staff to ensure that the energy use of that system is accurately captured in the model.
- Any calculations performed outside of the approved version of the PHPP, including but not limited to HVAC systems that are not directly supported, capturing power of continuously running fans integral to heating/cooling units, methodology for aggregating heating systems of different types or efficiency for input into the PHPP, etc. must be submitted to NYSERDA and may be subject to NYSERDA approval.

9.3.2 Building Performance Plan

This workbook is used by the PEC to capture details regarding the project’s recommended scope of work and achievement of the required performance threshold(s) for projects following either Passive House path. This document also collects project cost information and verification that the PHI Consultant or Designer and PHI Certifier have been hired by the Applicant.

9.4 Quality Control (QC) Processes

As noted in Section 9.1.1, NYSERDA relies on PHI to complete technical reviews. NYSERDA and its designees may perform two different types of QC on each project: technical reviews and site visits. This section explains how these apply to projects following the PHI path.

9.4.1 Technical Reviews

PECs are expected to complete high-quality models, to QC their work, and to submit high-quality work product to NYSERDA. PEC status may be affected if a good-faith effort is not made. If at any time NYSERDA deems submitted deliverables as incomplete or missing information, the deliverables will be rejected and returned to the Applicant for appropriate corrective action.

A technical review process may occur at any Milestone to verify that the project is meeting the performance threshold selected by the Applicant, in addition to meeting all requirements of the PHI path. Failure to meet the performance threshold selected by the Applicant in NYSERDA's program and all PHI Certification Standard requirements may result in termination of the project.

At Milestone 1, NYSERDA may elect to review deliverables to ensure that PHI Certification Standard requirements were followed and evaluate whether the projected savings are consistent with the features of the design.

At Milestone 2, NYSERDA may elect to review deliverables to verify that the project is on course to achieve the intended performance threshold.

At Milestone 3, NYSERDA may also elect to review the model and mandatory deliverables as during Milestone 1. Additionally, NYSERDA may review the photo documentation deliverable to ensure that all deliverables reflect the installed conditions.

9.4.2 Site Visits

The Applicant must remain in communication with the construction site superintendent or construction manager regarding the construction schedule and any anticipated deviations that may affect the site visit.

Site visits may be requested by NYSERDA or a NYSERDA-designated staff on all projects at NYSERDA's option. If NYSERDA elects to attend a site visit, the following requirements will apply:

- Applicant and PEC representatives are required to attend the site visit. These representatives must have detailed knowledge of the project and must be prepared to answer any project-related questions that arise.
- NYSERDA or a NYSERDA-designated staff may ask to see the construction drawings while on site to verify the planned installation of any components that cannot be visually inspected because either it has been covered or installation has not commenced.
- If severe violations of the PHI Certification Standard requirements are discovered during the site visit, NYSERDA reserves the right to request that the Applicant instruct the construction team to remove sections of sealed walls to fully inspect insulation and air sealing components. Additionally, NYSERDA reserves the right to require a second site visit to take place once all the required corrections are complete.

NYSERDA or a NYSERDA-designated staff may inspect all installed measures as well as all installed PHI Certification Standard requirements. NYSERDA or a NYSERDA-designated staff may develop a report detailing the site visit findings, which will be shared through the NYSERDA portal. The report may contain Additional Requirements or Action Items for measures and prerequisites. Additional Requirements can be resolved at Milestone 3. Action Items must be resolved before the Milestone 2 Incentive can be paid. The report will provide an explanation of what is required to resolve Additional Requirements and Action Items.

Failure to meet the requirements of this site visit may result in termination of the project.

9.5 Gut Rehabilitation Projects

Gut rehabilitation (rehab) projects following the PHI path must meet the same requirements as newly constructed buildings. Gut rehab projects that are not able to meet specific aspects of the PHI Certification Standard requirements are eligible to participate and receive program benefits by certifying to the PHI EnerPHit path.

10 Phius (Passive House Institute US)

This section details the requirements and the associated deliverables for projects following one of the eligible Phius standards.

10.1 Deliverables

For the Applicant to receive the NYSERDA incentives approved for their project, the Applicant must submit the deliverables as detailed in the Milestones below. These deliverables may be reviewed by NYSERDA, and the incentives will only be paid if these submittals are approved by NYSERDA. All deliverables listed in this section must be submitted through the NYSERDA portal.

Phius CORE Prescriptive is available for one- to two-family homes and townhomes. Phius CORE Prescriptive projects must submit Milestone 3 deliverables and may choose to but are not required to submit deliverables at Milestone 1 and 2.

When the complete set of deliverables for any Milestone has been submitted, the Applicant must submit emailed notification through the NYSERDA portal. This must be directed to NewConstructionProgram@nyserda.ny.gov, the Central Business Services contact, and the Primary NYSERDA Project Manager, as listed in the Project Roles section of the portal.

10.1.1 Milestone 1: Proposed Design

The Milestone 1 incentive is available to the Applicant when the project has reached design completion and the required deliverables have been submitted and approved by NYSERDA. The Applicant must update data in the Information section found within the Project Site Detail section of the NYSERDA portal, as necessary. The submitted deliverables must confirm the project is projected to achieve the performance threshold selected by the Applicant and meets the requirements of the Phius Certification Standard. If the energy model indicates the intended performance threshold will not be met, the PEC must contact NYSERDA prior to submittal.

Projects following the Phius path must engage with a Certified Passive House Consultant (CPHC) and a Phius Certified Verifier. Additionally, the project must be Design Certified by Phius prior to submittal to NYSERDA. The Milestone 1 deliverables must be submitted within 30 days following designation as Design Certified by Phius, typically following the Buildings Department's final approval of the building's architectural, mechanical, and plumbing plans, with the following exception: Projects may request NYSERDA's advance approval to submit Milestone 1 and 2 deliverables when submitting Milestone 3 deliverables. Deliverables must be submitted sequentially.

Milestone 1 Deliverables	Document Obtained From:
LMI Documentation (if not previously submitted)	See Table 3.1
Buildings Department's final approval of the building's architectural, mechanical, and plumbing plans (if available)	Permitting office that approved the Construction Documents
Proposed Building Performance Plan	NYSERDA's website
As Designed WUFI modeling files and report (for all projects following the Performance Path) or As Designed ENERGY STAR v3.1 Home Verification Summary (or approved equivalent) * (for all townhomes following the Prescriptive Path)	Approved Modeling Software
Phius CORE Prescriptive Design Review Checklist (for townhomes following the Prescriptive Path)	Phius
Phius CORE Prescriptive Snapshot (for townhomes following the Prescriptive Path)	Phius
Proof of Design Certified designation	Phius
Deliverables associated with Targeted Incentives as detailed in section 3.3	PEC created document

* If Sampled Ratings will be used, the ENERGY STAR v3.1 Home Verification Summary shall be submitted for each unique dwelling unit type as detailed in ANSI/RESNET/ICC 301-2019, Section 5.1.4.4.1

10.1.2 Milestone 2: Open Wall

The Milestone 2 incentive is available to the Applicant when the project has reached the status as listed in the table below and the required deliverables have been submitted and approved by NYSERDA. The Milestone 2 deliverables should be completed, to the extent possible, with current information from the PEC’s field visits. If the above grade wall assembly has changed since Milestone 1, the PEC must alert NYSERDA when submitting Milestone 2 deliverables.

The Milestone 2 deliverables must be submitted when the project has achieved the status as listed in the table below, with the following exception: Projects may request NYSERDA’s advance approval to submit Milestone 2 deliverables when submitting Milestone 3 deliverables. Deliverables must be submitted sequentially. The timing of this Milestone is typically based on the type of installed above-grade wall insulation. The status as listed in the table below is intended to guide when submission of these deliverables would typically be expected to occur.

Insulation Type	Status	Visible Details
Exterior insulation	~30% of windows installed	1) Cross sections of the above-grade wall assemblies 2) Air sealing details at installed windows
Insulated concrete form (ICF)	~30% of windows installed	1) Cross sections of the above-grade wall assemblies 2) Air sealing details at installed windows
Exterior insulation and finishing systems (EIFS)	~30% of the EIFS installed	Installed insulation
Interior insulation only	~30% of insulation installed and visible	Installed insulation
Exterior insulation with interior insulation	~30% of interior insulation installed and visible	Installed insulation
Prefabricated exterior wall assemblies and modular construction	~30% of the prefabricated assemblies installed on-site	Installed prefabricated assemblies

Milestone 2 Deliverables	Document Obtained From:
Photo documentation*	EPA or PEC created zip file
Phius Multifamily Quality Control Workbook	Phius
Phius Prescriptive Design Review Checklist (for townhomes following the Prescriptive Path)	Phius
Proposed Building Performance Plan	NYSERDA’s website

* Photo documentation required in the ENERGY STAR MFNC “Photo Documentation Guidance” document can be submitted using the ENERGY STAR Multifamily High Rise (MFHR) Photo Template or a zip file with photos within folders labeled according to the “Photo Documentation Guidance” document.

10.1.3 Milestone 3: As-Built

The Milestone 3 incentive is available to the Applicant when the project has reached construction completion, Phius has approved the submitted energy model and related documents, and the required deliverables have been reviewed and approved by NYSERDA. The submitted deliverables must confirm the project meets or exceeds the performance threshold and meets the Phius Certification Standard requirements. If the project does not meet the intended performance threshold, the PEC must contact NYSERDA prior to submittal.

The Applicant must update data in the Information section found within the Project Site Detail section of the NYSERDA portal, as necessary.

The Applicant shall determine whether to submit Tenant Data Release Authorization Forms (DRAFTs) or to follow the alternative process detailed below.

- DRAFTs: The Applicant must submit the Owner DRAFT, which must include utility information for all common areas of the building, and Tenant DRAFTs, which must include utility information for a representative sample of apartments. The apartment sample shall consist of at least 10 percent of the apartments with no

fewer than five apartments. Of the 10 percent sample, at least one of each apartment type (e.g. studio, 1 bedroom, large 1 bedroom) must be represented. Additionally, a list of all apartment numbers and their corresponding apartment type (e.g. studio, large 1 bedroom) must be provided.

- As an alternative to submitting the Tenant DRAFs and associated list of apartments, the Applicant can select a Whole Building Energy Consumption Data Acquisition Strategy described in the ENERGY STAR MFNC National Rater Field Checklist. If the Applicant selects the Portfolio Manager option, the Applicant should create a Portfolio Manager account for the project and add NYSERDA as a “contact” with read-only access. All data is kept strictly confidential and only used to estimate the energy performance of the whole building, not of individual apartments. The process for adding contacts to Portfolio Manager is available here under “Connect with another Portfolio Manager user”:
<https://energystar-mesa.force.com/PortfolioManager/s/article/How-do-I-add-a-contact-1600088534041>

Milestone 3 Deliverables	Document Obtained From:
As-built Building Performance Plan	NYSERDA's website
Phius Multifamily Quality Control Workbook	Phius
Photo documentation*	EPA or PEC created document
As-built WUFI modeling files and report (for all projects following the Performance Path) or As-built ENERGY STAR v3.1 Home Verification Summary (or approved equivalent) ** (for all projects following the Prescriptive Path)	Approved Modeling Software
Phius Prescriptive Design Review Checklist (for all projects following the Prescriptive Path)	Phius
Phius Prescriptive Calculator (for all projects following the Prescriptive Path)	Phius
Phius Certified Project Certificate	Phius
Deliverables associated with Targeted Incentives as detailed in section 3.3	PEC created document

* Photo documentation required in the ENERGY STAR MFNC “Photo Documentation Guidance” document can be submitted using the ENERGY STAR MFHR Photo Template or a zip file with photos within folders labeled according to the “Photo Documentation Guidance” document.

** If Sampled Ratings will be used, the ENERGY STAR v3.1 Home Verification Summary (or approved equivalent), shall be submitted for each unique dwelling unit type as detailed in ANSI/RESNET/ICC 301-2019, Section 5.1.4.4.1.

DRAF Deliverables:

Owner DRAF (for all common area utility accounts) (executed)	NYSERDA's website
Tenant DRAFs (executed)	NYSERDA's website
List of each apartment number and type (e.g., studio, 1 bedroom)	Applicant created document

Alternative DRAF Deliverables*:

Owner DRAF (for all common area utility accounts) (executed)	NYSERDA's website
Summary of selected Whole Building Energy Consumption Data Acquisition Strategy	Applicant created document

* Use this option as an alternative to submission of Tenant DRAF deliverables and list of apartments

10.2 Phius Requirements

Projects following the Phius path must meet the Phius Certification requirements specified for the project, which can be obtained from the Phius website. The modeling software used to determine the project’s energy savings must satisfy the Phius Certification Standard requirements.

10.3 Associated Deliverables

10.3.1 Modeling Deliverables

All projects following the Phius path shall follow the Phius Certification Standard requirements, with the following additional requirements:

- Any deviations from Phius defaults for operating assumptions, such as source-to-site conversion, plug loads and hours of operation, must be specifically noted in the Building Performance Plan and may be subject to NYSERDA for approval.
- If a project includes an HVAC configuration or system type that cannot be explicitly modeled in the WUFI software, the PEC must work directly with Phius staff to ensure that the energy use of that system is accurately captured in the model.
- Any calculations performed outside of the approved version of WUFI, including but not limited to HVAC systems that are not directly supported, capturing power of continuously running fans integral to heating/cooling units, methodology for aggregating heating systems of different types or efficiency for input into WUFI, etc. must be submitted to NYSERDA and may be subject to NYSERDA approval.

10.3.2 Building Performance Plan

This workbook is used by the PEC to capture details regarding the project's recommended scope of work and achievement of the required performance threshold(s) for projects following either Passive House path. This document also collects project cost information and verification that the CPHC and a Phius Certified Verifier have been hired by the Applicant.

10.4 Quality Control (QC) Processes

As noted in Section 10.1.1, NYSERDA relies on Phius to complete technical reviews. NYSERDA and its designees may perform two different types of QC on each project: technical reviews and site visits. This section explains how these apply to projects following the Phius path.

10.4.1 Technical Reviews

PECs are expected to complete high-quality models, to QC their work, and to submit high-quality work product to NYSERDA. PEC status may be affected if a good-faith effort is not made. If at any time NYSERDA deems submitted deliverables as incomplete or missing information, the deliverables will be rejected and returned to the Applicant for appropriate corrective action.

A technical review process may occur at any Milestone to verify that the project is meeting the performance threshold selected by the Applicant, in addition to meeting all requirements of the Phius path. Failure to meet the performance threshold selected by the Applicant in NYSERDA's program and all Phius Certification Standard requirements may result in termination of the project.

At Milestone 1, NYSERDA may elect to review deliverables to ensure that Phius Certification Standard requirements were followed and evaluate whether the projected savings are consistent with the features of the design.

At Milestone 2, NYSERDA may elect to review deliverables to verify that the project is on course to achieve the intended performance threshold.

At Milestone 3, NYSERDA may also elect to review the model and mandatory deliverables as during Milestone 1. Additionally, NYSERDA may review the photo documentation deliverable to ensure that all deliverables reflect the installed conditions.

10.4.2 Site Visits

The Applicant must remain in communication with the construction site superintendent or construction manager regarding the construction schedule and any anticipated deviations that may affect the site visit.

Site visits may be requested by NYSERDA or a NYSERDA-designated staff on all projects at NYSERDA's option. If NYSERDA elects to attend a site visit, the following requirements will apply:

- Applicant and PEC representatives are required to attend the site visit. These representatives must have detailed knowledge of the project and must be prepared to answer any project-related questions that arise.
- NYSERDA or a NYSERDA-designated staff may ask to see the construction drawings while on site to verify the planned installation of any components that cannot be visually inspected because either it has been covered or installation has not commenced.
- If severe violations of the Phius Certification Standard requirements are discovered during the site visit, NYSERDA reserves the right to request that the Applicant instruct the construction team to remove sections of sealed walls to fully inspect insulation and air sealing components. Additionally, NYSERDA reserves the right to require a second site visit to take place once all the required corrections are complete.

NYSERDA or a NYSERDA-designated staff may inspect all installed measures as well as all installed Phius Certification Standard requirements. NYSERDA or a NYSERDA-designated staff may develop a report detailing the site visit findings, which will be shared through the NYSERDA portal. The report may contain Additional Requirements or Action Items for measures and prerequisites. Additional Requirements can be resolved at Milestone 3. Action Items must be resolved before the Milestone 2 Incentive can be paid. The report will provide an explanation of what is required to resolve Additional Requirements and Action Items.

Failure to meet the requirements of this site visit may result in termination of the project.

10.5 Gut Rehabilitation Projects

Gut rehabilitation (rehab) projects following the Phius path must meet the same requirements as newly constructed buildings. Gut rehab projects that are not able to meet specific aspects of the Phius Certification Standard requirements are eligible to participate and receive program benefits by certifying to the Phius CORE REVIVE path.

11 Carbon Neutral Portfolio Support: Support for Standardized Designs, Portfolios, and Entities with Influence on Construction at Scale

Entities positioned to influence a large volume of projects to carbon neutrality can apply to the Carbon Neutral Portfolio Support track and request technical assistance, including the development of institutional protocols, guidance documents, employee and contractor training procedures, peer design reviews, performance standards, procurement standards, change management strategies, portfolio evaluation/benchmarking tools and protocols, or standardized designs, details, and specifications. To be accepted, Applicants must engage with a NYSERDA-approved Primary Energy Consultant, who will provide the technical support funded by NYSERDA. The technical assistance available through this track cannot directly contribute to the evaluation, engineering, planning, or design of a specific project, except in cases where that information is required to support approved activities. NYSERDA may consider additional tasks at its sole discretion, that it determines are consistent with the intent of this offering.

This track is appropriate for owners and developers of real estate portfolios; municipalities, government agencies and not-for profit organizations that oversee or finance affordable housing; institutions that own a large portfolio; tract home developers; manufacturers of modular or prefabricated homes; and other entities who require support to enable scaled up low carbon building design, construction, renovation, and operation. NYSERDA seeks businesses and institutions willing to take the lead in driving increased uptake of carbon neutral buildings in New York State. In the following description, real estate portfolio owners, developers, and modular building manufacturers serve as examples of appropriate applicant types; however, other entity types may be considered eligible by NYSERDA on a case by case basis.

Terms exclusively used for this track:

- **Portfolio** – A set of existing and/or planned buildings owned and/or operated or funded by a single entity.
- **Standardized Design** – A pre-established and repeatable building design system that may be offered to customers as a catalogue offering product line, as opposed to a custom designed building.

Applicants accepted by NYSERDA to participate in this track must establish an institutional definition of Carbon Neutral Buildings and must publicly commit to this performance level for future design, construction, renovation, and operation, for all future projects or a clearly defined subset thereof. Applicants are responsible for identifying the technical assistance they require in their proposed scope of work. While NYSERDA will work closely with the Applicant's team, the primary source of assistance to the Applicant will be delivered to them by their selected Primary Energy Consultant (PEC), approved through NYSERDA's Request for Proposal (RFP) 3771.

NYSERDA may provide up to one hundred percent of the cost of consulting services, up to a maximum amount of \$250,000, as summarized below:

Support Type	Maximum PEC Funding Available
Portfolio – thresholds identified below include all buildings in submitted pipeline	
<1 Million sq. ft. portfolio	Up to \$100,000
1 Million - 1.5 Million sq. ft. portfolio	Up to \$150,000
1.5 Million-2.5 Million sq. ft. portfolio	Up to \$200,000
>2.5 Million sq. ft. portfolio	Up to \$250,000
Standardized Design – funding is available for up to 5 designs	
1 st enrolled design	Up to \$30,000
2 nd - 5 th enrolled designs	Up to \$10,000 per design

The Carbon Neutral Portfolio Support track will **not** support:

- The design, construction, renovation, and operation of specific buildings
- Data collection or modeling of specific buildings, projects, energy production, distribution, or storage systems
- Portfolio wide energy planning and management, including the collection of energy use data from existing buildings
- Applicant staff time spent in, or travel costs incurred for, trainings or conferences
- Multiple standardized designs that NYSERDA determines are largely similar or otherwise redundant

Activities undertaken with NYSERDA support through this track are expected to be completed within eighteen (18) months of the issuance of an approved Task Work Order (TWO) agreement and Purchase Order. Program engagements may be extended for up to twelve (12) additional months at NYSERDA's discretion, to complete the work. Deliverables developed pursuant to this track may be made publicly available by NYSERDA.

A single Applicant may not enroll more than once in this track. For this track, previously approved Applicant may request a scope modification by submitting such a written request to NYSERDA. Approval will be at NYSERDA's sole discretion and will be subject to funding availability.

11.1 Defining and Committing to a Policy for Carbon Neutral Buildings

Applicants to this track must propose in their application, and work with NYSERDA to develop, an institutional definition of and policy regarding Carbon Neutral Buildings. An individual authorized to contract on behalf of the Applicant entity must publicly commit the entity to this level of performance for future design, construction, renovation, and operation of all future projects or a clearly defined subset thereof. Definitions may include:

- **Carbon Neutral:** a building that uses passive design strategies to minimize energy demand, whose systems are highly energy efficient, that meets its energy needs by producing onsite or procuring emissions-free electricity and using carbon-free fuels for combustion needs, that is responsive to electricity grid conditions, and that uses low-embodied carbon materials and construction techniques and low greenhouse warming potential refrigerants.
- **Low Carbon:** A highly energy efficient building with low loads and zero onsite fossil fuel usage, that produces on-site, or procures, enough carbon-free renewable energy to meet building operations energy consumption annually.
- **Fully Electric & Efficient:** A highly efficient building served entirely by electricity, with the sole exception of emergency power generation.
- **Net zero energy:** A building or project where the total amount of energy used annually is roughly equal to the annual amount of renewable energy generated or produced on the site.
- **Carbon Neutral-ready:** A highly efficient building that, with the addition of renewable energy systems on site or the purchase of renewable power, would be zero carbon.
-

Where applicable, the definitional boundary may go beyond a single building to encompass a group of buildings that share energy services, such as a shared thermal loop. NYSERDA may consider, at its sole discretion, another definition consistent with the above. When selecting a definition and any detailed performance criteria, enrollees are encouraged to review other NYSERDA programs to ensure that designs are compatible with enrollment into those offerings.

For the purposes of the Carbon Neutral Portfolio Support section of this solicitation, “Carbon Neutral Buildings” is used to denote any of the above definitions.

The policy must define a clear scope for future projects required to meet the Carbon Neutral Buildings definition, whether applicable to all projects under the Applicant's responsibility or to some clearly defined subset such as by building type, construction type or by product line. At a minimum, the general policy must ensure that buildings be designed to be Carbon Neutral-ready and be predicted to use 15% less source energy than the applicable Energy Conservation Construction Code (ECCC) of NYS. Variances to this minimum level may be reviewed and approved for portfolios with high plug or process loads, historic preservation considerations, and/or other special considerations. These variances must be specifically identified and justified by the applicant and approved by NYSERDA prior to issuance of the TWO.

11.2 Eligible Activities

The following activities will be supported by NYSERDA under this Track. NYSERDA funding will be provided to the Applicant's selected PEC to support their delivery of the tasks identified in the NYSERDA-approved TWO which must, at a minimum, include the development and submittal of all documents listed in section 11.5. NYSERDA will

not provide these services directly. This list should not be considered exhaustive, and NYSERDA may consider other proposed activities at its sole discretion, that it determines are consistent with the intent of this offering.

- a. For projects enrolling in Standard Design, the support may include the review current standard designs to identify the changes needed to cost effectively achieve Carbon Neutral performance with a standardized design. This track will support the consulting services necessary to develop design documents sought by the Applicant and as detailed in the approved TWO. Specific documentation developed and submitted to NYSERDA for review should at a minimum include documents identified in the building document package as detailed in section 11.5.h.
- b. Technical assistance to establish or update standards, protocols, procedures, or guidance documents for building design, construction and operations which may include any of the following:
 - i. Defining qualifications for design and construction teams and the expertise that the Applicant needs to have on staff or by contract.
 - ii. Establishing efficiency or low carbon standards and strategies to be utilized on all projects.
 - iii. Establishing resiliency standards and strategies to be utilized on all projects.
 - iv. Developing cost/benefit (payback) analyses and tool(s) to account for incremental costs of measures identified in the standards/standardized, and the projected operational savings
 - v. Developing comprehensive standards, specifications, and/or details that are required or recommended. Standards, details, and specifications could include but are not limited to the following systems or sub-systems: building envelope assemblies, HVAC, lighting, domestic hot water, appliances, data centers, sensors, controls, data loggers, miscellaneous equipment, renewable energy, energy storage, space planning standards and space utilization programs. Special attention should be paid to systems that would typically burn fuel on site, but that are now expected or intended to become all-electric.
 - vi. Developing benchmarking/evaluation tools and protocols. This process may include a first pass portfolio evaluation to validate and optimize tools and protocols.

For portfolios with varied building types (such as universities with labs, classrooms, sports facilities, etc.): such standards, tools, and protocols should reference the specific applicable building types from among the different types contained within the portfolio.

- c. Establishing design-phase protocols to ensure projects are designed to carbon neutrality. This may include integrated design protocols; template RFP requirements or contract language; space utilization planning; early phase goal-setting charrette(s); design-phase input from construction experts and building operators; and regular reviews during design to ensure the performance goals and budget requirements are being met, including peer review.
- d. Establishing construction-phase protocols to ensure that projects meet their design objectives, which may include standard contract language/requirements; identifying required training for construction teams or personnel; progress inspection protocols; and as-built drawings and energy models capturing changes during construction.
- e. Establishing protocols to ensure post-construction performance, which may include standard requirements for: commissioning, operations and maintenance; training of building operators; performance monitoring and real-time energy management; space-utilization planning and scheduling; and the potential to reduce energy use through occupant behavior. These protocols should identify what data is to be collected, audiences for the data, data presentation platforms, and data analysis and report methodologies.
- f. Assessing and developing strategies and protocols for special carbon considerations, including but not limited to:
 - i. Procurement standards related to energy and carbon impacts,
 - ii. Reducing the embodied carbon of projects,
 - iii. Improving the refrigerant management strategies,
 - iv. Reducing the carbon emissions from transportation or waste during building operation.
- g. Guidance documents for sequencing the electrification of building systems, for existing buildings,
- h. Support for change management within Applicant organization, which may include support for trainings of staff, at NYSERDA's discretion.

11.3 Applicant Eligibility

Support is available for all building types otherwise deemed eligible to receive funding and support available through this PON. Applicants to the Portfolio Support Track must meet the following criteria:

- a. Applicant is an owner/developer of real estate portfolios, municipality/government agency, non-profit organization, tract home developer, manufacturer of modular or prefabricated homes, or other entity

with direct influence over the design, construction, and operation of a large quantity of NYS buildings as detailed below.

- b. Applicant must own and operate or have constructed New York State buildings that pay the System Benefit Charge that meet one or more of the following criteria:
 - i. One million sq. ft. of gross floor area across two or more buildings,
 - ii. Twenty or more individual buildings (multiple buildings may occupy the same site),
 - iii. In exceptional cases, NYSERDA may consider an Applicant eligible, where the Applicant entity acts as an aggregator of multiple organizations or buildings to meet the above-detailed size threshold,
 - iv. In the case of government affordable housing agencies, the ownership requirement may be waived at NYSERDA's discretion.
- c. Applicant has publicly committed, or will commit, to designing, constructing, and operating newly built or renovated space under their control or in a clearly defined subset thereof, to meet Carbon Neutral performance.
 - i. Public commitments may be made through a NYSERDA press release and posting to a list of Carbon Neutral Influencers on NYSERDA's website; or through another mechanism of Applicant's choosing, subject to NYSERDA approval. The public commitment must be made by an individual authorized to contract on behalf of the Applicant and must be made before NYSERDA commits any funding and issues the Notice to Proceed to the Applicant's selected PEC.
- d. Applicant must provide documentation showing that they have built or have under construction at least one project that meets high efficiency standards and has been designed to be:
 - i. Carbon Neutral-ready, and be predicted to use 15% less source energy than the applicable Energy Conservation Construction Code (ECCC) of NYS,
 - ii. At the performance level identified in the policy commitment,
 - iii. At an industry recognized exceptional energy or emissions performance level (e.g., Phius or PHI certification).
- e. Applicants enrolling a Portfolio must provide their 2015-2025 project pipeline showing plans to construct or renovate projects in New York State that total at least 30% of their portfolio by square footage or one million sq. ft. of gross floor area. For Applicants electing a carbon neutral standard for a subset of their portfolio/area of influence, this size threshold would apply to the subset.
- f. Applicants enrolling a Standardized Design must provide 2015-2025 pipeline projections showing plans to construct 20 projects similar to the base level submitted design.

For Applicants whose area of influence include buildings located outside of New York State, eligibility requirements, participation requirements and NYSERDA support are intended to apply only to the New York State portion of their area of influence.

11.4 Application Process

The Application package consists of the following:

- a. Application submitted via the NYSERDA's online portal,
- b. Proof of past, current, and future project pipeline,
- c. Proof of past completion of one high performance project,
- d. Proposed definition of Carbon Neutrality,
- e. Proposed Scope of Work based on TWO Template provided as Attachment B,
- f. Pre-existing Carbon Neutral commitment, if applicable.
- g. If enrolling a standardized design, the document package of a code-level baseline project shall be submitted with the application, and include the following:
 - Building specifications,
 - Building drawings,
 - Component quotes,
 - Component specifications,
 - Marketing flyer,
 - Expected market value of building, project or product,
 - Cost-Related Workbook using the template provided by NYSERDA. A sample workbook is provided for reference as Attachment C.

Applications will be reviewed in the order that they are received. Applicants will be notified of acceptance or rejections within six (6) weeks after a complete application is received. Any clarification required by NYSERDA review staff will be communicated to the Applicant via written comments. Applicants will be required to respond to comments in a timely fashion. If there is a significant delay in Applicant's response to NYSERDA comments, NYSERDA reserves the right to disqualify or reject the application.

11.5 Program Participation Process

Applicants who meet the minimum eligibility requirements will be accepted into the program on a first-come, first-served basis. After NYSERDA's review of an application determines an Applicant is eligible to receive support, program participation proceeds as follows:

- a. Applicant will select a PEC approved under the Advanced Clean Energy Buildings Facilitation service category through NYSERDA RFP 3771. PEC selection for Applicants that are public sector entities must follow the Applicant's institutional procurement requirements.
- b. NYSERDA will host a scoping session with the Applicant and their selected PEC.
- c. Applicant will work with selected PEC and with NYSERDA to develop, refine, and finalize the TWO.
- d. PEC will submit their TWO, inclusive of their proposed scope and budget, to NYSERDA for approval.
- e. Applicant will publicly commit, if they have not done so already, to Carbon Neutral policy as defined in the TWO, through a NYSERDA press release or through another mechanism of Applicant's choosing, subject to NYSERDA approval.
- f. NYSERDA will issue Notice to Proceed to Applicant's PEC.
- g. PEC and Applicant will carry out the work and submit milestone and final deliverables, subject to NYSERDA review and approval, and as defined in the TWO.
- h. If enrolling a standardized design, the building document package for the standardized building design shall be submitted and include:
 - Building specifications,
 - Building drawings,
 - Component quotes,
 - Component specifications,
 - Marketing flyer,
 - Expected market value of building, project or product,
 - Cost-Related Workbook using the template provided by NYSERDA. A sample workbook is provided for reference as Attachment C.

NYSERDA may elect to make publicly available the approved final deliverable(s) developed with the support of this initiative, excluding detailed design documents and any other proprietary information.

12 General Conditions

Proprietary Information - Careful consideration should be given before confidential information is submitted to NYSEDA 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 NYSEDA 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 NYSEDA 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/NYSEDA-Regulations.ashx>. However, NYSEDA 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). 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). 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, and anticipates varying contract durations. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the application or 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 A – Terms and Conditions 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 A – Terms and Conditions 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 applicants 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 A – Terms and Conditions. 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.

13 Attachments

- Attachment A – Terms and Conditions
- Attachment B – Sample Task Work Orders
- Attachment C – Sample Cost-Related Workbook Template
- Attachment D – Owner Data Release Authorization Form
- Attachment E – Tenant Data Release Authorization Form



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Future Grid Challenge Round 2

Challenge Area: [Avangrid](#)

Category: [Click here](#)

PROPOSAL TITLE: [Click or tap here to enter text.](#)

Date of Submission: [Click or tap to enter a date.](#)

Submitted [with required attachments](#) to:

New York State Energy Research & Development Authority

17 Columbia Circle

Albany, NY 12203

Attn: Jillina Baxter

Submitted by:

COMPANY NAME

Company Principal Investigator

Principal Investigator Phone #

Principal Investigator Email

The instructions below are intended to guide the proposer through the submission, addressing pertinent information for a successful submission. The format provided allows for the evaluation of the relevance and importance of the problem targeted and the probability that the project will meet its technical and commercialization objectives to ultimately solve the stated problem. All questions should be completed unless they are indicated for a specific project type. Provide concise, clear, detailed, and direct responses to assist in the review of the proposal.

I. EXECUTIVE SUMMARY

Provide a non-proprietary summary of your proposal including:

1. Team Members: Identify all significant participants and their primary relevant qualifications. [Do not exceed 250 words]

Click or tap here to enter text.

2. Background: Describe the technical and non-technical factors necessary to overcome the defined challenge. [Do not exceed 250 words]

Click or tap here to enter text.

3. Objective: Describe the technical concept and how it will address the defined challenge. Tell how the solution will be demonstrated and validated and explain the path for this solution to achieve widespread adoption. [Do not exceed 250 words]

Click or tap here to enter text.

4. Scope: Outline the technical and commercialization tasks (if applicable) that will be performed within the proposed Statement of Work and indicate what additional tasks, demonstrations, policy or regulatory changes, or other actions will be needed before market entry and sales can begin. [Do not exceed 250 words]

Click or tap here to enter text.

5. Benefits: Provide an estimate of the ultimate impact the product or service may have in terms of the benefits sought by this solicitation. [Do not exceed 250 words]

Click or tap here to enter text.

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II. PROBLEM STATEMENT & PROPOSED SOLUTION

1. What is your solution? Describe your proposed solution (*i.e.* the product or service to be developed and the technology behind it) and how it addresses the problem. Describe the solution in sufficient detail to support performance, cost, other claims, and include any innovative characteristics inherent to the proposed product or service. If the solution has been previously deployed, provide actual results and benefits to end-users. [Do not exceed 800 words]

Click or tap here to enter text.

2. How well does your solution solve the challenge?

- a. Describe your customer’s motivation to purchase/use your solution (*i.e.* the value proposition to the customer). [Do not exceed 200 words]

Click or tap here to enter text.

- b. Describe how your solution helps New Yorkers solve their energy problems. Describe what value the energy consumer gains from the product or service. [Do not exceed 200 words]

Click or tap here to enter text.

- c. Describe alternative products or services to your proposed solution, and describe your solution’s superiority in terms of advantages/disadvantages over these alternatives. When you do this, consider similar solutions, solutions that can be substituted, alternative methods of solving the problem, and the “do nothing” option. [Do not exceed 200 words]

Click or tap here to enter text.

- d. If similar ideas or technologies have failed to become commercially successful, explain why your solution is likely to be more successful. Describe the implementation barriers that your solution overcomes. [Do not exceed 200 words]

Click or tap here to enter text.

3. Who is the customer of your product or service? Describe, in detail, your interactions with these customers so far. Describe your understanding of your customers’ pain point(s), problem, or need that your product or service will solve and indicate whether or how you have validated the customer “pain point(s)” or need(s). How are they addressing (or failing to address) the problem now? [Do not exceed 600 words]

Click or tap here to enter text.

III. STATE OF RESEARCH AND TECHNOLOGY TARGETS

1. Technology and Commercialization Readiness Level Calculator: Access the Technology Readiness Level (TRL) and Commercialization Readiness Level (CRL) Calculator by going to the link below. Complete the “Instructions & Calculator” worksheet. Once this worksheet is fully completed, please save a copy of the entire workbook in PDF format to include as an attachment to this submission, and indicate the resulting TRL and CRL values below.

TRL/CRL CALCULATOR Attachment C

- a. Based on the “Summary & Results” worksheet from the link above, indicate the technology’s current TRL:
- b. Based on the “Summary & Results” worksheet from the link above, indicate the technology’s expected TRL at the end of the project:
- c. Based on the “Summary & Results” worksheet from the link above, indicate the technology’s current CRL:
- d. Based on the “Summary & Results” worksheet from the link above, indicate the technology’s expected CRL at the end of the project:
- e. The TRL/CRL Calculator workbook should be attached. Is it?

2. Describe the current state of research and development of the technology as it relates to your proposal and how your proposal will enable follow-on from this existing research knowledge. Include test data and other information that supports the technology’s current performance, cost, and other claims (include any graphics, images, or data needed for support after the text). Indicate whether the data, performance, cost, and other claims have been independently tested/validated. [Do not exceed 600 words]

Click or tap here to enter text.

3. Provide the estimated goals (technical, performance, and cost) of the proposed solution: 1) at the end of this project (or at the prototype stage if there will be no prototype by project conclusion) and 2) when fully commercialized. Provide support for your estimates. Note that end-of-project goals should match those in your proposed Statement of Work. [Do not exceed 400 words]

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Click or tap here to enter text.

4. Intellectual Property: Describe any relevant intellectual property (IP), patents or licenses involved with your proposed solution. If appropriate, address patents (pending, filed or granted), patent searches performed, freedom to operate, ownership of the IP, reliance on other IP or agreements, the status of licensing your technology to others or your need to license others' technology, etc. If your solution would require access to platform IP or an enabling technology in the private domain, describe your plans for securing access. [Do not exceed 300 words]

Click or tap here to enter text.

IV. COMMERCIALIZATION POTENTIAL OF PROPOSED PRODUCT

1. Past and Future Efforts:

- a. Indicate how much time and funding have been spent to bring the technology to the current state of development. Indicate the amount and source of funding to bring this technology to its current state of development (e.g. self-funded, investor-funded, any previous NYSERDA-funded projects, federally-funded efforts, etc.) Indicate whether you have participated in the NYSERDA entrepreneurs-in-residence program and if you are a current or past participant in a NYSERDA-sponsored incubator or proof-of-concept center. Also, indicate when significant milestones were achieved. [Do not exceed 300 words]

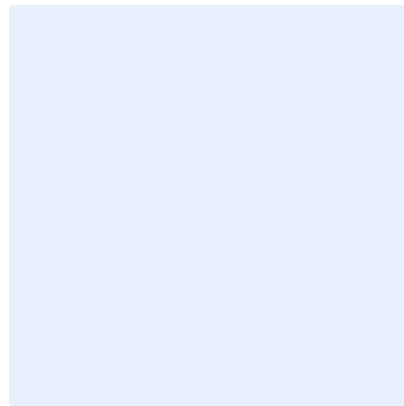
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- b. Indicate how much time and funding will be needed to commercialize the product or service and bring it to market **after completion of the proposed project**. Indicate anticipated sources of funding (i.e. private capital, federal funding, other research organizations, corporate partners, etc.) methods to acquire this funding. Identify any potential target strategic partners that could reduce the time to market of your product or service by providing access to marketing/sales channels,

manufacturing facilities or other resources. Indicate when you expect to achieve significant milestones. You are encouraged to provide this information using a multi-year timeline graphic, starting at project commencement and going through product commercialization. As an example, please refer to the sample Gantt chart provided below. [Do not exceed 300 words]

Commercialization Plan Example													
		Year 1				Year 2				Year 3			
	Cost	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Demonstration Stage													
Task 1	\$												
Task 2	\$												
Task 3	\$												
Commercialization													
Task 4	\$												
Task 5	\$												
Task 6	\$												
Task 7	\$												

Click or tap here to enter text.



2. Marketing and Sales:

- a. Identify target markets and their relative characteristics, including: size, competition, regulatory constraints, and technological trends. (A bottom-up market description of your specific target

markets is preferred, where you demonstrate an understanding of who your customers are and their needs, as opposed to a “generic” top-down approach. [Do not exceed 350 words]

Click or tap here to enter text.

- b. Describe your proposed marketing strategies and why they will be successful. Describe how you will reach, engage, and distribute your product or service to the target market(s). Provide realistic sales/revenue estimates. Describe market entry barriers you will encounter and how you would expect to overcome them. [Do not exceed 350 words]

Click or tap here to enter text.

- c. Does the success of the proposed activity rely on a specific environment to achieve scale and function (i.e. it requires a certain brand of equipment or a particular setting or location to support future investment through a rate case)? [Do not exceed 350 words]

Click or tap here to enter text.

- d. Describe any partnerships and/or licensing agreements you have secured or will need to secure to undertake the project work that you propose. Describe the relationships and critical partnerships that will be required for the deployment and commercial success of your product or service. You should include letters of commitment from key partners that reinforce these relationships. [Do not exceed 350 words]

Click or tap here to enter text.

3. Financial Projections: Provide a three-year, high-level financial forecast (sample below) for the product or service starting in the first year that it is commercially available. Include expected revenue, costs, and profits. To complete the Three-Year Financial Projections, please go to the link below and complete the entire worksheet. Once this worksheet is fully completed, please save a copy of it in PDF format and include the worksheet as an attachment to this submission.

THREE-YEAR FINANCIAL PROJECTIONS Attachment D

The Three-Year Financial Projections worksheet should be attached. Is it? Yes/No

4. Manufacturing Plan (if applicable): Discuss your product manufacturing plan, describing whether one of the team members will manufacture the product, if there will be a manufacturing partner, if a license will be sold for the technology, or if you have another strategy in mind. If you plan on manufacturing the product, describe your plans for initiating setup and expanding existing facilities. Discuss any key issues

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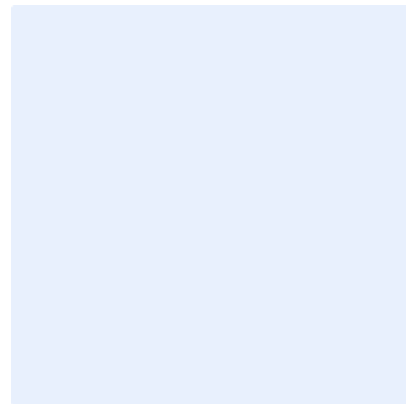
that will need to be addressed (i.e. any specialized equipment, strategic alliances, long lead time buying decisions, cost/volume issues, and plans for any service support functions to enhance the production). If you plan on licensing the technology, describe your licensing strategy, including your strategy to find licensing partners. [Do not exceed 500 words]

Click or tap here to enter text.

V. DEMONSTRATION SITE AND PRODUCT VALIDATION

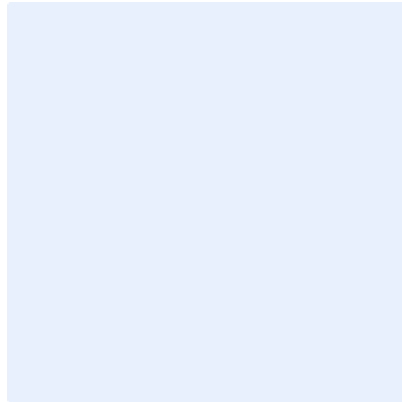
1. Demonstration Site Compatibility: State the reason(s) why the technology or service is a good candidate and compatible to the demonstration site described in the specific utility challenge area. [Do not exceed 600 words]

Click or tap here to enter text.



2. Description of Product or Service Being Demonstrated: Describe the specific product or service that will be demonstrated. Include information on any system components, key specifications, and a description of any site- or fleet-specific design issues. [Do not exceed 600 words]

Click or tap here to enter text.



3. Provide the estimated cost and goals (technical, performance, cost, and other goals) of the specific product or service that you will be demonstrating. Describe technical and performance goals for the proposed demonstration project and provide support as to why they are achievable. Describe how a successful demonstration will enable market adoption. Provide an economic analysis of the proposed technology, including an estimated benefit/cost analysis (BCA). [Do not exceed 600 words]

Click or tap here to enter text.

4. Independent Evaluation: Demonstration Activities must include an independent evaluation. Identify the independent evaluator who will evaluate the energy performance and customer satisfaction of the proposed installation. Please provide a justification for using the evaluator named to conduct the evaluation. [Do not exceed 600 words]

Click or tap here to enter text.

5. ARPA-e / U.S. Department of Energy Funding: Have you secured or are you seeking or plan to seek ARPA-e or U.S. Department of Energy funding for this project? If yes, please provide additional details describing your existing or planned engagement with ARPA-E or the U.S. DOE.

Click or tap here to enter text.

VI. REPLICATION POTENTIAL OF PROPOSED DEMONSTRATION OR FIELD VALIDATION

1. What barrier or challenge does your proposed demonstration project seek to overcome, how will your project overcome this challenge, and why will your approach be successful? Describe the reason(s) that the product or service that you are demonstrating has not had traction in the New York State market, or might have difficulty achieving such traction. Describe what new knowledge or insights you expect to gain as a result of this project. Describe how this proposed demonstration project will help to overcome these challenges and facilitate market adoption in New York State. Describe the proposed outcome of this

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project as it relates to changing the market (*i.e.* influential results from the demonstration). [Do not exceed 800 words]

Click or tap here to enter text.

2. Utility Investment for Replication: Describe the conditions that will be met in the demonstration for the utility to invest in a full scale rollout in their service territory. How will the targets for benefits and costs be validated through the demonstration? [Do not exceed 600 words]

Click or tap here to enter text.

3. Prior Demonstrations: Indicate and briefly describe previous demonstrations of this or a similar solution. Explain what technical, regulatory, policy, economic, or other factors prevented the demonstrated technology from achieving widespread adoption, and how the proposed solution can overcome these barriers. [Do not exceed 600 words]

Click or tap here to enter text.

Click or tap here to enter text.

4. Evaluation of Results: Describe the evaluation plan for validating the observations conducted during this project demonstration. You must include the following in describing the plan:

- Statement of the equipment installation, completion/implementation, and system commissioning.
- Adherence to all applicable local, state, and federal building, fire, electrical, and interconnection codes.
- Describe in detail: the data acquisition system, its sampling schedule, supporting instrumentation, remote monitoring and report generating capabilities.
- Identify who will be responsible for all data collection, operator and maintenance interfacing, and tracking system performance.
- Identify how you will track system performance, pre- and post-installation/implementation of the proposed product or service at the demonstration site or fleet, and how these relate to the performance goals that you specified.
- Describe your plan to measure and validate the actual benefit/cost analysis during the demonstration and how it will be used to confirm the parameters in the host utility's BCA handbook.

[Do not exceed 600 words]

Click or tap here to enter text.

VII. STATEMENT OF WORK & SCHEDULE

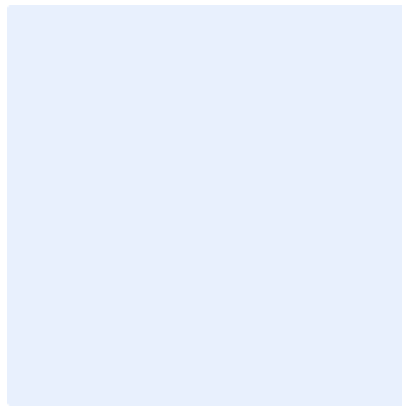
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1. Statement of Work: The Statement of Work (SOW) is the primary contractual document that outlines work activities and quantifies deliverables. Complete the Statement of Work Format in Attachment B and include it in your proposal.

Your proposed Statement of Work should be attached. Is it? Yes/No

2. Schedule: Provide an overall schedule of the project and timing of major tasks and deliverables. Note that project tasks in the schedule should match the project tasks in the Statement of Work. The schedule should be in a bar chart starting with “Month 1”, Month 2”, etc.

Click or tap here to enter text.



VIII. PROJECT BENEFITS

1. Discuss how the proposed project will reduce GHG emissions and building energy use in New York State. This is an important evaluation criterion. [Do not exceed 300 words]

Click or tap here to enter text.

2. Quantify any additional project benefits to the extent possible: mobility and reliability benefits (e.g., congestion reduction, mode shifting, reduced travel variability, etc.), environmental benefits (e.g., emission reductions, minimizing hazardous materials, etc.), economic benefits (e.g., jobs created or retained, reduced life-cycle costs, enhanced economic viability, etc.), safety and security benefits (e.g., reduction in deaths, injuries and real property losses, etc.), and other benefits (e.g., cost of compliance with State or Federal regulations, enhanced quality of life issues, etc.). [Do not exceed 300 words]

Click or tap here to enter text.

3. Describe how the benefits from Q2 will be directly provided to disadvantaged communities in New York State. Proposers will utilize the interim criteria identified for a disadvantaged community as defined

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by New York State and the Climate Justice Working Group until which time the definition is revised. Use the following link for reference: <https://www.nyserra.ny.gov/ny/disadvantaged-communities> [Do not exceed 300 words]

Click or tap here to enter text.

4. Describe the methodology that will be used to collect the necessary data and quantify the project benefits. [Do not exceed 300 words]

Click or tap here to enter text.

IX. BUDGET

1. Complete the Budget Form - Attachment E. Indicate requested NYSEDA funding in the column labeled "Funding & Co-funding via NYSEDA." 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. Include non-NYSEDA cash and in-kind contributions in the column labeled "Cost-sharing and Other Co-funding." Phased projects should include a Budget Form for each phase, as well as one for the total project.

Proposers should also include a Budget Form for each sub-contractor that comprises greater than 20% of the total budget or more than \$50,000.

The Budget Form should be attached. Is it? Yes/No

2. Cost Sharing: All proposals must provide additional funding as cost share; this is an important evaluation criterion.

- It is preferred that the proposal contain non-NYSEDA funding of at least 25% for Development activities and Demonstration activities. 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 fund efforts that have already been undertaken. The proposing team cannot claim as cost-share any expenses that have already been incurred.
- **Using the following table as an example, show your cost sharing plan below. Make sure that this table agrees with your Budget Form.**

PROPOSAL COST SHARING TABLE (expand as needed)						
Proposed Funding By Task (Cash and In-Kind)					Project Total	
Funding Source	Task 1 (\$)	Task 2 (\$)	Task 3 (\$)	...	Cash (\$)	In-Kind (\$)
NY State						
Proposer						
Co-Funder (identify)						
Co-Funder (identify)						
Task Total (\$)						

If you include indirect costs in your budget, you **MUST** attach supporting documentation to support indirect cost (overhead) rate in your 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/are approved by an independent organization, such as the federal government; provide a copy of such approval.

NYSERDA reserves the right to audit indirect rates presented in the proposal and adjust for differences. Requests for financial statements or other financial information may be made if deemed necessary.

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).

The basis for your indirect costs should be attached. Is it? Yes/No

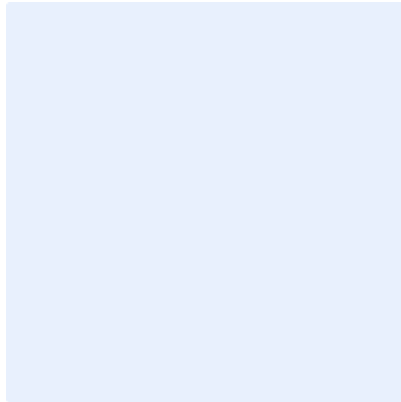
X. PROPOSER QUALIFICATIONS

In this section, you will be describing your team, organization's strengths, key individuals and past performances.

1. Proposing Organization(s), Organizational Chart, and Location of Personnel: Briefly describe your organization and the section/department/group proposing to carry out the work. Include date founded, the total number of employees, product portfolio, any previous examples of successful product commercialization, and geographic location. Include any sub-contractors and other sponsors with significant involvement. **Note that** if any sub-contractor not named in the proposal is to be paid in excess of \$50,000, a competitive bid must follow. (Sample agreement will exemplify.) [Do not exceed 500 words]

Click or tap here to enter text.

NYSERDA PON 4393



2. Qualifications of Key Individuals: Identify key individuals that will be involved in the project and its success. Provide one- to two-paragraph summaries of relevant technical and business expertise of these individuals and provide their physical location. Submit resumes (as appendices) of all key project team members. [Do not exceed 500 words]

Click or tap here to enter text.

Resumes of key individuals should be attached. Are they? Yes/No

3. Prior NYSERDA Experience: List NYSERDA contracts awarded, if any, in the past five years. [Do not exceed 300 words]

Click or tap here to enter text.

XI. LETTERS OF COMMITMENT

If other organizations or businesses are doing some of the work, providing services or equipment, or share in the non-NYSERDA cost, include a signed letter on that organization's letterhead describing their commitment and cash/in-kind dollar commitment. Include letters of interest from potential customers for the product to be developed and/or to support claims made in your proposal.

XII. ATTACHMENTS

Please check the box to indicate which additional, attachments are included in your proposal submission. Appendices should be limited to documents directly supporting the narrative such as resumes, letters of support, calculations, business literature, and detailed schedules.

Statement of Work – Attachment B

NYSERDA PON 4393



Attachment A

- TRL/CRL Calculator – Attachment C
- Three-year financial projections worksheet – Attachment D (for product development category)
- Budget Form – Attachment E (note: instructions are on a separate tab)
- Indirect Cost Rate Support
- Letters of Commitment (if needed)
- Resumes
- References of relevant projects (not required)



NYSERDA

KATHY HOCHUL
Governor

RICHARD L. KAUFFMAN
Chair

DOREEN M. HARRIS
President and CEO

**Career Pathway Training Partnerships for High Efficiency HVAC and Heat Pumps –
Program Opportunity Notice (PON) 4463
\$3.7 Million Available**

Proposal Due Date: April 19, 2022, by 3:00 p.m. Eastern Time.

Program Summary

New York State Energy Research and Development Authority (NYSERDA) is seeking proposals for hands-on, entry level, technical training programs to help develop a talent pipeline of new workers (e.g., technicians, installers, technical sales) to work in high efficiency heating, ventilation, and air conditioning (HVAC) careers specializing in heat pump technologies, specifically ground source and air source cold climate heat pump applications. While HVAC/heat pump training must be the primary focus, complimentary clean energy training can be included in proposals to support multiple career options for the trainees. Proposals will 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 (CLCPA).

The purpose of this solicitation is to fund training providers including but not limited to high schools, unions, trade associations, community based and non-profit organizations and community colleges, who engage high school students, out-of-school youth, and unemployed or underemployed adults in high efficiency HVAC coursework leading directly to jobs or to more advanced technical training, certification, or degrees. Job interviews, job placement preparedness, and other job placement activities will be required elements of each project. It is anticipated that successful proposers will already have HVAC or related training programs and proposals will be focused on expanding into heat pump technologies and recruiting individuals from Disadvantaged Communities or Priority Populations. Proposers are required to have at least 50% of their program trainees be from Disadvantaged Communities or Priority Populations as defined below.

Total funding currently available for this solicitation is \$3.7 million. Additional funds may be provided if available. Proposals seeking the maximum award amount of \$550,000 are required to train a minimum of 50 to 60 individuals. The goal of this PON is that approximately 80% of those enrolled in training be successfully placed in a job, internship, or apprenticeship within 6 months of training completion. Preference will be given to proposals with lower training costs per trainee, a greater number of total individuals to be trained/placed in internships or jobs, and proposals that include leveraging existing training infrastructure and assets such as curriculum, equipment, instructors, etc. A minimum cost share of 10% is required and preference will be given to proposals with higher cost share percentages. Development and implementation of training is expected to be completed within 18 to 30 months, with an additional 12-month period for tracking and monitoring program graduates. Funds may be used for activities including but not limited to curriculum development, training trainers, training labs and equipment, test and certification fees, scholarships, marketing and outreach, and job placement support activities. Funding for internships and on-the-job training placements is not allowed under this solicitation. Funding and incentives for internships and on-the-job training are available to eligible businesses through NYSERDA's PON 4000 and PON 3982 respectively. Successful proposals will be required to leverage these additional funds for internships and on-the job training placements to help trainees get hands-on experience and hired.

I. Introduction

Background

Thermal energy used in buildings for space heating, hot water, and cooling accounts for 37% of net energy consumption and 32% of all combustion-based greenhouse gas emissions in New York State. Widespread adoption of clean heating and cooling technologies is critical to the achievement of ambitious climate targets. Businesses working in the HVAC market must have an adequate supply of workers with necessary skills, credentials, and experience related to heat pump design, installation, service, and sales for the heat pump market to scale up. Despite the strong growth of New York State's clean energy industry and growing demand for clean energy services, the broader building trades workforce is shrinking. Over the next ten years, many HVAC installers, boiler operators and other skilled trades workers are scheduled to retire. HVAC companies already have trouble filling job openings, and the need for contractors trained and qualified to install heat pumps will likely be compounded by a projected worsening of the HVAC workforce gap in coming years.

Career pathway approaches to workforce development offer articulated education and training steps between occupations in an industry sector, combined with support services, to enable individuals to enter and exit various levels and to advance over time to higher skills, recognized credentials, and better jobs with higher pay. This solicitation will provide funding to training providers to attract individuals to HVAC/heat pump careers and train them in areas including basic, technical and advanced skills as needed to align with HVAC businesses' need for workers. Training providers will be required to develop partnerships with businesses in order to provide real work experience related to HVAC and heat pumps through on-the-job training, internships, pre-apprenticeships or apprenticeships.

Proposal Submission

Online submission is preferable. **PLEASE COMBINE ALL DOCUMENTS INTO ONE SINGLE PDF FOR ONE SINGLE UPLOAD TO SALESFORCE. There is only one slot for upload, if you upload documents individually, you will overwrite each document.** 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 Gwen Bluemich at (518) 862-1090, ext. 3584, or Adele Ferranti, (518) 862-1090, ext. 3206, or by email WFinfo@nyserda.ny.gov. If you have contractual questions concerning this solicitation, contact Nancy Marucci at (518) 862-1090, ext. or by email 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 offeror, and (2) may result in the proposer not being awarded a contract.

Terms and Definitions

Career Pathway: In general, the U.S. Department of Labor refers to a career pathway as a combination of rigorous and high-quality education, training, and other services that— (A) aligns with the skill needs of industries in the economy of the State or regional economy involved; (B) prepares an individual to be successful in any of a full range of secondary or postsecondary education options; (C) includes counseling to support an individual in achieving the individual's education and career goals; (D) includes,

as appropriate, education offered concurrently with and in the same context as workforce preparation activities and training for a specific occupation or occupational cluster; (E) organizes education, training, and other services to meet the particular needs of an individual in a manner that accelerates the educational and career advancement of the individual to the extent practicable; (F) enables an individual to attain a secondary school diploma or its recognized equivalent, and at least one (1) recognized postsecondary credential; and (G) helps an individual enter or advance within a specific occupation or occupational cluster. For specific career pathway requirements under this solicitation see the Program Requirements section below.

Disadvantage Communities: For the most up-to-date definition, including an interactive map, see the "[Disadvantaged Communities](#)" page on the NYSERDA website.

Priority Populations: For the most up-to-date list of Priority Populations, see the "[Definitions](#)" page on the NYSERDA website.

Technical Training: Refers to the delivery of competency-based, hard-skilled training courses to meet critical clean energy, energy efficiency and high efficiency HVAC/heat pump skill development needs, including topics specific to ground source and air source cold climate heat pump applications.

Certifications: Refers to a voluntary system of standards, usually set by key stakeholders and subject matter experts that practitioners can choose to meet in order to demonstrate accomplishment or ability in their profession.

Internship: Defined as paid, professional, structured learning experiences that offer meaningful practical work related to a student's field of study or career interest. Internships allow students to obtain real-world experience in the workplace to prepare them for entry into the job market. Internships may include a combination of hands-on experience, on-the-job and/or technical training. **Wage subsidies for internship placements are not eligible for funding under this solicitation. However, funding for internships is available to eligible businesses through NYSERDA PON 4000.**

On-the-job Training (OJT): Defined as a form of training provided at the workplace during which trainees/employees are introduced to their work environment and acquire the skills they need to perform their work on the job. OJT may include the development of professional/"soft" skills such as communication, leadership, or team management or "hard" skills using machinery, equipment, tools, and other materials ("technical training"). **Wage subsidies for OJT placements are not eligible for funding under this solicitation. However, OJT incentives are available to eligible businesses through NYSERDA PON 3982.**

Note: PON 4000 incentives can be combined with PON 3982 for workers that are hired by an eligible business after an internship.

Apprenticeship: Defined as an employer-driven, occupational training model. Apprenticeship programs provide on-the-job training from an experienced mentor and related classroom instruction on the technical and academic aspects of a job. The training is rooted in industry skill standards and competencies and is typically registered by the New York State Department of Labor. Apprenticeship programs help companies successfully recruit, develop and retain a highly skilled workforce for the jobs they need filled.

II. Program Requirements

Funding

Total funding currently available for this solicitation is \$3.7 million. Additional funds may be provided if available. Proposals seeking the maximum award amount of \$550,000 are required to train a minimum of 50 to 60 individuals. The goal of this PON is that approximately 80% of those enrolled in training be successfully placed in a job, internship, or apprenticeship within 6 months of training completion (i.e., within the first 6 months of the 12-month outcome monitoring period). If the 80% threshold is not met

when an initiative is implemented, payments made through a contract may be prorated. Preference will be given to proposals with lower training costs per person and a greater number of total participants to be trained and proposals that include leveraging existing training infrastructure and assets such as curriculum, equipment, instructors, etc. Development and implementation of training is expected to be completed within 18 to 30 months, with an additional 12-month period for tracking and monitoring program graduates. NYSERDA will retain up to 10% of the total contract amount, as necessary, to ensure that all applicable project requirements have been met. Any remaining payments may be prorated, as appropriate, based on the level of project completion.

A minimum cost share of 10% is required and preference will be given to proposals with higher cost share percentages. Cost share can be in the form of cash, labor costs, equipment donations, training fees offset by a third party, training organization staff salaries, etc. NYSERDA will not pay for efforts which have already been undertaken. The proposing team cannot claim as part of their required 10% cost share any expenses that have already been incurred. Proposals requesting more than \$550,000 will not be considered. Additional funding may be added to successful projects after the original contract award. Funds may be used for activities including but not limited to curriculum development, training trainers, training labs and equipment, test and certification fees, scholarships, marketing and outreach, and job placement support activities. **Funding for internships and on-the-job training placements is not allowed under this solicitation.** Funding and incentives for internships and on-the-job training are available to eligible businesses through NYSERDA's PON 4000 and PON 3982 respectively.

This program is supported with System Benefits Charge (SBC)/Clean Energy Fund (CEF) funding. SBC/CEF service territory consists of areas with electric service provided by Central Hudson Gas and Electric Corp., Consolidated Edison Company of NY, Inc., NYS Electric and Gas Corporation, National Grid, Orange and Rockland Utilities, Inc., and Rochester Gas and Electric. All training initiatives must be designed to meet the needs of energy efficiency and clean technology companies within, or providing services to, SBC/CEF territories in the State of New York. Proposers 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% of trainees either reside, or serve customers, in SBC/CEF service territory. If the 60% threshold is not met when an initiative is implemented, NYSERDA payments may be prorated. Such evidence may consist of the following:

- Training roster with addresses of trainees (either as part of pre- and post-training surveys as outlined in Attachment D – Sample Agreement, or as a separate document);
- Proof of participation in a related NYSERDA or SBC utility program (e.g., via program website as a participating provider or letter from a utility, etc.).

The evidence must be included as a deliverable in the applicant's Statement of Work and provided prior to invoicing, if a contract is awarded (see Attachment D – Sample Agreement for more information). 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.

Food and refreshments, computers (and related equipment such as servers, software, etc.), clothing, motor vehicles of any kind, trailers, personal devices and cell phones are not eligible for NYSERDA funding. In addition, costs such as tutoring, childcare assistance, or other wraparound services are not allowable costs for NYSERDA payments but can be used to meet the cost share requirements of this PON.

While wraparound services are not typically eligible for funding, clearly defined and justified wraparound services will be evaluated and considered on a case-by-case basis. For example, public transportation costs for trainees from Disadvantage Communities and/or Priority Populations may be considered.

Eligibility

NYSERDA seeks to support established training programs that can demonstrate experience in entry-level technical training for high efficiency HVAC/heat pump technologies. Training providers such as high

schools, unions, trade associations, NYS registered apprenticeship programs, community based and non-profit organizations, and community colleges are eligible for funding under this solicitation. **Collaboration is encouraged between training providers and other organizations.** All eligible training providers must possess the following minimum basic qualifications:

- Credentialed and knowledgeable team with documented and relevant experience in curricula development, delivery and maintenance, and evidence-based learning techniques.
- Experience with implementing training as part of a career pathway that leads to additional training, certification, degree, continuing education credits, job experience or job placement.
- Experience with or a strategy for engaging business and industry partners and professional organizations in program activities such recruitment, job/internship placement, etc.
- Ability to deliver training and related program activities to NYS residents including having sufficient equipment and lab space to facilitate hands-on learning.
- Capacity to bring on additional resources as necessary to meet programmatic needs.
- Experience in integrating new material into existing curricula and/or developing new stand-alone curricula approved by the NYS Department of Education for use at post-secondary education levels.
- Accreditation by the NYS Education Department and/or training program accreditation by a nationally recognized third-party entity.
- Ability to reach individuals from Disadvantaged Communities or Priority Populations.

Career Pathway Requirements

A successful career pathway program will have a combination of rigorous and high-quality education, offered concurrently with and in the same context as workforce preparation activities and training. It is anticipated that successful proposing teams will already have HVAC or related training programs and proposals will be focused on expanding into heat pump technologies and recruiting individuals from Disadvantaged Communities or Priority Populations. To be eligible for funding, the proposed career pathway program must:

- Align with the basic, technical, and advanced skill needs of employers within the high efficiency HVAC industry. Education and training must address heat pump basics (e.g., types of systems, applications for heating in cold climates), load calculations and load matching, system design, and thermostats and integrated controls.
- Train a minimum of 50 to 60 individuals if seeking the maximum award amount of \$550,000.
- Successfully place approximately 80% of those enrolled in training in a job, internship, or apprenticeship within 6 months of training completion. If the 80% threshold is not met when an initiative is implemented, payments made through a contract may be prorated.
- Have projected program outcomes including total number to be trained; total number of participants that complete training and obtain relevant credentials, as appropriate, total number to be placed in internships, apprenticeships, and jobs; total number interviewed by employers; and total number to go on to receive advanced training or higher education.
- Offer coursework leading to entry-level jobs, internships, and apprenticeships or more advanced technical training, certification, or degrees designed to ready trainees primarily for entry-level employment (e.g., technicians, installers, technical sales) in the high efficiency HVAC or other related clean energy industries.
- Leverage new, existing, or modified instructor-led classroom, online, or hybrid/blended curriculum and education/training delivery, including opportunities for hands-on application of skills on the part of learners.
- Utilize existing training facilities as much as possible to leverage funds and applicable work that has already been done.
- Provide counseling to support the student in achieving their education and career goals relevant to their coursework, including providing job preparedness and placement activities.
- Have a plan for training guidance counselors and other support staff where applicable.

- Develop partnerships with businesses to provide real work experience through on-the-job training, internships, pre-apprenticeships, and apprenticeships, etc.
- Have a plan for tracking trainees placed in jobs, internships, pre-apprenticeships, and apprenticeships, etc. for a minimum of 12 months after completion of the training program.
- Market to target audiences with a focus on disadvantaged populations and have at least 50% of their trainees be from a Disadvantaged Community or Priority Population as defined above.
- If applicable, demonstrate that more than 60% of trainees either reside, or serve customers, in SBC/CEF service territory (see Funding section above).
- Leverage PON 4000 and PON 3982 funds for internships and on-the job training placements to help trainees get hands-on experience and hired.
- Have a plan to become self-sustaining once NYSERDA funding is exhausted.

Reporting and Tracking Requirements

Reporting is essential to communication between the selected training provider and the NYSERDA Project Manager. Reporting is necessary to measure progress and as a basis upon which the Project Manager assesses whether or not to approve the Contractor's invoice. Quarterly reporting on training activities and key program performance metrics must be submitted to NYSERDA, as well as a final report with training program outcomes for a 12-month period following the conclusion of training activities. NYSERDA will provide the report format.

Quarterly reports shall be completed based on a template provided by NYSERDA and shall include, but not be limited to, the following information:

- Project progress, including findings, data, analyses, and results from all tasks carried out in the covered period:
 - Information shall be provided in sections labeled as Task 1 (a, b, c), Task 2 (a, b, c), etc.
- Feedback from instructors delivering training:
 - Identification of issues or concerns
 - Planned solutions
 - Areas where NYSERDA assistance is needed
- Status of curriculum updates, including submission of revised syllabus (if applicable)
- Metrics:
 - Training data (e.g., number of individuals trained), as directed by Project Manager
 - Summary of recruitment and training efforts
 - Complete list of courses conducted during the reporting period, including course titles, dates, instructor names, and locations where the training sessions were held
 - Internship/apprenticeship/job placement results
- Completed pre- and post-training surveys
- List of materials purchased, if applicable

III. Proposal Requirements

Proposers must submit the following materials as attachments to their proposal. **PLEASE COMBINE ALL DOCUMENTS INTO ONE SINGLE PDF FOR ONE SINGLE UPLOAD TO SALESFORCE. There is only one slot for upload, if you upload documents individually, you will overwrite each document.**

- Attachment A – Cover Sheet (see more detail below)
- Responses to Attachment B – Project Questions (see more detail below)
- Letters of commitment of letters and letters of support from relevant business or industry partners
 - Letters of commitment serve to reinforce industry partners' commitment to and outline their role in training projects. 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 are not allowed.

- Letters of Support serve to attest that the proposed training relates directly to businesses' future hiring needs.
- Course outline and syllabus for any courses proposed.
- Resumes of key personnel who will complete tasks described in the Statement of Work.
- Statement of Work (see more detail below)
- Schedule (see more detail below)
- Attachment C – Budget Form (see more detail below)
 - With Subcontractor Budget Detail (if applicable)
- Cost Breakdown by Task (see more detail below)
- A list of NYSERDA contracts within the past 4 years that your organization and/or team members have received.
- Other supporting material deemed necessary by the proposer.

Attachment A – Cover Sheet

Applicant Eligibility

- Does your project ensure that more than 60% of trainees either reside, or serve customers, in SBC/CEF service territory?
- Are you proposing to deliver a hands-on, entry level training program designed to help develop a talent pipeline of new workers (e.g., technicians, installers, technical sales) that is aligned with the basic, technical, and advanced skills needed by employers to work in high efficiency heating, ventilation, and air conditioning (HVAC) careers specializing in heat pump technologies including cold climate heat pump applications?

Proposal Metrics

- What is the total number of unique individuals anticipated to be recruited, start and successfully complete training?
- If requesting the maximum award amount of \$550,000, are you proposing to train a minimum of 50 to 60 individuals?
- What is the cost per trainee?
- How many trainees will be placed in internships, apprenticeships, and jobs?

Attachment B – Project Questions

1. Give a brief description of the proposed project including project objectives.
2. What experience do you have in developing career pathways and providing entry-level technical training in clean energy and job placement activities? What current activities does this proposal build upon and where does this training fit within the overall curriculum offered by the institution, including training progression opportunities? Are you proposing to successfully place approximately 80% of those enrolled in training in a job, internship, or apprenticeship within 6 months of training completion?
3. What partnerships exist now or will be developed (e.g., other training providers, business/industry, professional associations, NYSDOL Career Centers, etc.)? **Response must clearly identify the roles and responsibilities of subcontractor(s) included in the proposed training program.**
4. What experience do you have in designing, developing, or modifying and evaluating relevant curricular materials? Describe the proposed career pathway curriculum and explain how it will be used and/or modified. How are business and industry partners involved in the development and update of curricular materials?
5. How and where will training be delivered (i.e., classroom, lab, online, blended model)? What does the hands-on component of the training entail? How will classes be scheduled and how will participants register?

6. What equipment will be required and is it available now? If not, how will the necessary equipment be procured? How will the equipment be used by training participants and/or instructors?
7. Does the proposed training result in a nationally recognized certification, if appropriate? If there is no national certification for training offered, how is the training evaluated for quality and industry demand? How will any newly developed or modified curricular materials be evaluated and improved?
8. Besides training, what other services will be included as part of the career pathway program (e.g., counseling, job preparedness and placement activities)?
9. What are the qualifications of your instructors and supporting staff? How is the quality of instruction maintained?
10. What is your experience recruiting and training individuals from Disadvantaged Communities and/ or Priority Populations? What marketing methods will be used to target and recruit individuals from Disadvantaged Communities or Priority Populations and who will be responsible for these efforts? Are at least 50% of targeted program participants from a Disadvantaged Community or Priority Population as detailed in the solicitation?
11. How will participants be screened? What will trainees need to succeed in this program? How will student needs be addressed and how will performance be evaluated?
12. How will you track program requirements and outcomes during the program and for 12 months after the completion of the program?
13. What are your sources of funding for the cost share required and other funding? Are you leveraging third party funds? If so, please describe. Are you leveraging PON 4000 and PON 3982 funds for internships and on-the job training placements to help trainees get hands-on experience and hired?
14. How will the program be sustained after the scope of services is complete and NYSERDA funds are no longer available?

Statement of Work

Proposers must include a detailed Statement of Work (SOW) with their application. The SOW is the primary contractual document that identifies the deliverables and provides a basis for payment. It is an action document that specifically delineates each step or procedure required to accomplish the tasks outlined. The SOW must be prepared as an ordered set of tasks, including subtasks as necessary. The proposers should describe their approach/methodology and define their rationale for the proposed approach. They should describe the actions they will take to complete each task and the anticipated outcome of each task. Each action should, therefore, be identified, indicating who will perform it, how it will be performed, when it will be performed, and its anticipated measurable deliverables. See Attachment D – Sample Agreement for a sample Statement of Work. Use the following format to describe each task or subtask:

Task 1: Task Title

The Contractor shall....

The Task 1 deliverable is....

Schedule

The proposer must provide an anticipated schedule for completing tasks. This schedule can be in weeks or months from contract execution and should be a maximum of 18 to 30 months for developing and implementing training. The schedule should include an additional 12-month period for tracking and monitoring program graduates. The schedule should correspond to the individual tasks and budget.

Schedule example:

Task No.	Title or Description	Month 1	Month 2	Month 3	Month 4	Month 5	Month 6	Month 7	Month 8
1.	Develop Curriculum								
2.	Recruit								
3.	Conduct Training								
4.									
5.									

Attachment C – Budget Form

The proposer must complete and submit the Attachment C – Budget Form with their application. The Attachment C – Budget Form details the budget for the proposal and shows costs related to labor, direct materials (including supplies, equipment and other costs), travel, and subcontractors. If applicable, the Attachment C – Budget Form should also include subcontractor budget detail (for each proposed subcontractor) including a breakdown of labor rates and hours, as well as subcontractor cost breakdown by task. The budget must be reasonable and must show the portion being requested from NYSERDA and the portion that is the proposer’s or proposing team’s responsibility. Work completed or costs incurred prior to NYSERDA’s execution of a contract are ineligible for funding or for consideration as cost share. **For more information on funding, cost share, and allowable expenses please see the Funding section above.**

Cost Breakdown by Task

The proposer must provide total cost breakdown between applicant cost share and NYSERDA cost share for each task detailed in the SOW. A minimum cost share of 10% is required from the proposer. Cost sharing for individual tasks may vary between applicant and NYSERDA, however, total cost must result in no more than a 90% NYSERDA/10% Applicant split. Proposers should show the cost sharing plan in the following format:

Task X (complete for all tasks) Budget Categories	Applicant Cost Share	NYSERDA Cost Share	Total
1. Labor	\$	\$	\$
2. Direct Materials, Supplies, Equipment & Other Costs	\$	\$	\$
3. Travel	\$	\$	\$
4. Subcontractors	\$	\$	\$
Total	\$	\$	\$

IV. Proposal Evaluation

Proposals that meet solicitation requirements will be reviewed and evaluated by a Scoring Committee consisting of NYSERDA staff and selected outside reviewers including the Workforce Development Initiative interagency review committee. All references to the “proposer” below apply to the proposer and any additional team members. Final rankings and contract awards will be based on the below Evaluation Criteria, listed in order of importance. After proposals are reviewed by the Scoring Committee, NYSERDA will notify each proposer whether or not the proposal was favorably evaluated (within approximately 10 weeks).

NYSERDA reserves the right to require an interview before final contract award decision. NYSERDA 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 or the requests for information contained herein. Furthermore, NYSERDA reserves the right to select projects for funding based on the geographical coverage across New York State to ensure that projects selected for funding optimize the use of available funding to achieve programmatic objectives.

Evaluation Criteria

Relevant Experience and Qualifications

- What is the proposer's track record of / approach to ensuring job placements and relationships with clean energy businesses/employers? Does the proposer have at least three letters of commitment or support from businesses who have hired individuals from their energy-related training in the past and who can attest that proposed training relates directly to their future hiring needs?
- What experience does the proposer have in developing career pathways, implementing entry level technical training in clean energy, and providing job placement activities? Are key personnel's education and experience relevant to the training and job placement needs? Does the proposal include resumes of key personnel and instructors?
- Does the proposer demonstrate appropriate experience designing, developing, or modifying and evaluating relevant curricular materials in response to industry stakeholder needs?
- Does the proposed training and job placement activities prepare participants for an internship, apprenticeship or for entry level employment in the high efficiency HVAC industry?
- Are training sites located in NYS and does the proposer have adequate equipment to support classroom or laboratory training that meets industry standards? Are sufficient resources (staff, facilities, equipment, and materials) being devoted to the SOW and each proposed task?
- Does the proposer have a letter(s) of commitment and support from partnering organizations? Are roles and responsibilities of subcontractor(s) clearly identified?
- What is the proposer's previous experience with NYSERDA, if any? Did they provide a list of NYSERDA contracts within the past 4 years that their organization and/or team members have received?

Statement of Work (SOW)

- Is the SOW thorough, specific, logical, and consistent with NYSERDA's program goals and the PON's objectives?
- Is the SOW appropriate in its approach to market and deliver quality training and job placement activities?
- Does the SOW include tasks that address all the requirements of the PON? Is there enough detail provided for each task in the SOW?
- Does the SOW include all metrics reporting requirements?
- Does the proposer provide a schedule and complete development and implementation of training within approximately 18 to 30 months? Does the schedule include an additional 12-month period for tracking and monitoring program graduates?

Comprehensiveness of Approach and Management Plan

- How comprehensive are the technical training and job placement activities being proposed? Are any additional range of services (e.g., counseling, job preparedness activities) included?
- How comprehensive are projected program outcomes including total number to be trained; total number to be placed in internships; total number to be placed in apprenticeships; total number to be placed in jobs; and total number to go on to receive advanced training or higher education?
- Is the geographic range of training delivery and job/internship/apprenticeship placements detailed?
- If requesting the maximum award amount of \$550,000, does the proposal seek to successfully train a minimum of 50 to 60 individuals?

- Will approximately 80% of those enrolled in training be placed in a job, internship, or apprenticeship within 6 months of training completion?
- Are at least 50% of targeted program participants from a Disadvantage Community or Priority Population as detailed in the solicitation? How well does the proposer detail their strategy to engage individuals from Disadvantaged Communities or Priority Populations and reach the 50% threshold required? How well does the proposer demonstrate stringent screening of any potential training participants?
- If applicable, how well does the proposer demonstrate that more than 60% of trainees either reside, or serve customers, in SBC/CEF service territory?
- Is the course content, in keeping with NYSERDA's requirement, appropriate in preparing participants for work in the intended occupation and for more advanced technical training or entry-level employment? Is a course outline and syllabus provided for all courses proposed?
- Does the proposed training result in a nationally recognized certification, if appropriate? If there is no national certification for training offered, how well is the training evaluated for quality and industry demand?
- Does the proposal's management plan include coordination and interaction with all of the relevant parties (partners, local resources, and other programs) and is the coordination well developed?
- How comprehensive is the plan for training guidance counselors and other support staff where applicable?
- What are the plans for sustaining the program once NYSERDA funding is exhausted?

Cost

- Is the budget reasonable and responsive to funding requirements under the solicitation? Does the proposal include the Attachment C – Budget Form, subcontractor budget detail (if applicable), and a cost by task breakdown?
- Is the total number to be trained adequate? Is the training cost per trainee reasonable?
- Is 10% cost share included? Is the proposer proposing a cost share higher than 10%? How will it be provided? Does the proposer leverage any third-party funds? Is there a complete description for each funding source?
- Is the proposer leveraging PON 4000 and PON 3982 funds for internships and on-the-job training placements to help trainees get hands-on experience and hired?
- Are the proposer's costs appropriate when compared to the costs of other comparable proposals and the projected results?

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 applicant 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.
- 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 <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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Albany, NY 12207

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Minority and Women's Business Development Division
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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). 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). 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 qualifying multiple contractors under this solicitation. NYSERDA anticipates a contract duration of approximately three 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 proposal. 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 to 12 weeks from the proposal due date whether your proposal has been qualified. 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.

VI. Attachments:

Attachment A – Cover Sheet
Attachment B – Proposal Questions
Attachment C – Budget Form
Attachment D – Sample Agreement

New York State Energy Research and Development Authority

Albany
17 Columbia Circle, Albany, NY 12203-6399
(P) 1-866-NYSERDA | (F) 518-862-1091
nysesda.ny.gov | info@nysesda.ny.gov

Buffalo
726 Exchange Street
Suite 821
Buffalo, NY
14210-1484
(P) 716-842-1522
(F) 716-842-0156

New York City
1359 Broadway
19th Floor
New York, NY
10018-7842
(P) 212-971-5342
(F) 518-862-1091

**West Valley Site
Management Program**
9030-B Route 219
West Valley, NY
14171-9500
(P) 716-942-9960
(F) 716-942-9961



NYSERDA

KATHY HOCHUL
Governor

RICHARD L. KAUFFMAN
Chair

DOREEN M. HARRIS
President and CEO

Just Transition Site Reuse Planning Program

Program Opportunity Notice (PON) 4563

\$4,750,000 Available

NYSERDA reserves the right to extend and/or add funding to the Solicitation should other program funding sources become available.

Applications Accepted on a First-Come, First-Serve Basis until August 5th, 2024
by 3:00 PM Eastern Time or until funds are exhausted*

Program Summary: The Just Transition Site Reuse Planning Program is designed to provide communities with planning services to inform future decision making at the local level to help mitigate any negative impacts of pending or future fossil fuel power plant closures. NYSERDA is taking proactive steps to assist communities (County, City, Town, or Village) in their planning for the transition to 100 percent zero emission electricity by 2040, as required by the Climate Leadership and Community Protection Act (CLCPA, or Climate Act). This program does not play a role in the identification of specific power plant closures, but rather aims to provide communities, at no cost to them, with resources related to pending or future power plant closures. This includes supporting activities associated with site reuse planning to help communities spur diversified, 21st Century economic development and thrive in the move to a clean energy economy. Under PON 4563, NYSERDA is offering site reuse planning and technical support services to individual municipalities that are navigating power plant retirement and site reuse opportunities.

How to Apply: Applications will be accepted via email at jtplanning@nyserda.ny.gov. Incomplete or inaccurate applications will not be accepted. Faxed or mailed applications will not be accepted. Applications will not be accepted at any NYSERDA email address other than jtplanning@nyserda.ny.gov.

No communication intended to influence this procurement is permitted except by contacting Chris Reohr at (518) 862-1090, ext. 3363 or by e-mail jtplanning@nyserda.ny.gov (for technical questions). If you have contractual questions concerning this solicitation, contact Elsyda Sheldon at (518) 862-1090, ext. 3232 or ElsydaSolicitations@nyserda.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 an Applicant being deemed a non-responsible offeror, and (2) may result in the Applicant not being awarded a contract.

* **All applications must be received by 3 p.m. E.S.T. on August 5, 2024.** 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.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

DEFINITIONS

1. Applicant – Government entity who is formally requesting technical assistance from NYSERDA under this PON.
2. Project Liaison – The point of contact designated by the applicant(s) at the time of application who will be responsible for communication and coordination for tasks completed under PON 4563.
3. Steering Committee – A group of stakeholders selected by the applicant(s) who will meet regularly to review and provide feedback on deliverables.
4. Site Reuse Planning Contractor – The consultant team selected to complete the Scope of Work, as identified by applicant, subject to final approval by NYSERDA. A listing of pre-approved Site Reuse Planning Contractors is provided by NYSERDA at time of application.
5. Toolkit Contractor – A consultant tasked with collecting information and conducting research to aid in the development of site reuse planning deliverables.

I. INTRODUCTION

With New York’s move to cleaner forms of energy well underway as part of the Climate Leadership and Community Protection Act (CLCPA), the State is taking proactive steps to assist communities (County, City, Town or Village) in their planning for the transition away from conventional energy infrastructure they have hosted over the past several decades, specifically fossil-fuel power plants. NYSERDA will aid this effort by providing a network of site reuse planning Site Reuse Planning Contractors to assist municipalities in overcoming challenges posed by the retirements of fossil-fuel power plants. In addition, NYSERDA is developing a Site Reuse Toolkit, supported by a site reuse toolkit development contractor procured by NYSERDA, to further aid communities in navigating site reuse and to facilitate productive new uses for retiring infrastructure. Through PON 4563, NYSERDA is offering site reuse planning and technical support services to individual municipalities that are navigating power plant retirement and site reuse opportunities.

II. PROGRAM

REQUIREMENTS

Applicant Eligibility:

- Applicant must be County, City, Town, or Village that is home to a grid-connected fossil-fuel power plant that:
 - has been decommissioned within the last five (5) years,
 - is currently being decommissioned,
 - has confirmed its plans to retire and deactivate, or
 - commenced operations prior to 2010 and is currently operating

Note, however, that each application must be made pursuant to a single fossil-fuel power plant facility, rather than for multiple facilities that may be located in a single municipality.

- Applicants should be the level of government with land use/regulatory authority of the power plant site, or a partnership between levels of government with vested interests in the site reuse (land use/regulatory authority may include property ownership or regulatory controls, such as the ability to implement zoning and land use regulations specific to the power plant site). Applications that are being submitted on behalf of a partnership must include the primary applicant (e.g., a county applying on behalf of a town that has land use/regulatory authority over the power plant site) and letters of support from partnering levels of government.

Applicant Requirements and Responsibilities:

- Applicant must identify and commit a qualified staff resource to serve as the Project Liaison for the duration of the planning process. The Project Liaison will be expected to dedicate approximately 2-10 hours/week to support the planning process. Level of commitment will vary based on the status and phase of the planning effort. The Project Liaison will be responsible for providing information and Site Reuse Plan deliverables feedback to NYSERDA and the Site Reuse Planning Contractor in a timely fashion.
- Details of response time will be outlined in the Project Task Work Order. The Project Task Work Order will contain Go/No-Go decision points and outline responsibilities for the applicant and the Site Reuse Planning Contractor. A stop work order will be enforced if requirements and responsibilities of either party are not fulfilled.
- With NYSERDA approval, the Project Liaison shall identify and solicit members to participate on a Steering Committee and facilitate routine meetings. Members of the Steering Committee shall be identified by the applicant and will be responsible for the review and feedback of deliverables produced by the Site Reuse Planning Contractors. Appropriate members of a Steering Committee may include, for example, municipal staff, elected officials, economic development executives, workforce development representatives, community-based organizations, or others as deemed appropriate by NYSERDA.
- Project Liaison shall coordinate site activities related to site access to the power plant site. It is preferred that Site Reuse Planning Contractors be provided site access to the power plant site; however, this is not required as part of this PON.

Available Funding:

Each applicant is eligible for up to \$150,000 in technical services, dependent on the scope of work identified in the application and determined in conjunction with NYSERDA and the selected Site Reuse Planning Contractor. Refer to Attachment A - Application for additional information.

Applicants may be eligible for one Disadvantaged Community (DAC) community support adder, up to \$10,000 in additional technical support, to advance planning efforts critical to addressing community needs. To access these additional services, the Applicant must have a DAC in their municipality, as defined on an interim basis as of the time of application. A lookup tool of NYS Disadvantaged Communities is available at <https://www.nyserda.ny.gov/ny/disadvantaged-communities> and eligibility is subject to NYSERDA verification. If eligible, the bonus amount will be added to the applicant's funding eligibility and must be utilized to address or provide a number of baseline services, as described further below.

Description of Services

NYSERDA has procured the services of a network of Site Reuse Planning Contractors to provide site reuse planning assistance to eligible applicants. NYSERDA will provide 100% of the site reuse planning costs as defined below, with no cost share required by the applicant. In consultation with NYSERDA, approved applicants will request, for NYSERDA approval, a Site Reuse Planning Contractor based on, but not exclusively determined by, regional location, expertise, and applicant needs. The scope of services to be provided by the Site Reuse Planning Contractor in developing the applicant's Site Reuse Plan may include some, or all, of the following elements, based on needs and other planning activities undertaken by the applicant. Site reuse may not include site reuse for crypto-currency mining.

The following listed tasks, which represent the baseline planning criteria through this PON, shall be completed prior to advanced services unless otherwise approved by NYSERDA. If an applicant has completed one or more tasks from the below list, it may request funding for only those elements that are needed or request subsequent follow-on activities. The baseline criteria to be undertaken by the applicant include:

Baseline planning tasks:

- *Evaluation of Existing Site:* Preparation of a current condition narrative and map(s) to assess the site's environmental conditions (Phase I Environmental Site Assessment [ESA]), ecological review, existing land use and land use controls, adjoining land uses, ownership of site and adjoining parcels, permanent easement to extent known, existing transportation (on site and access to site), existing public and private utilities (location, size, capacity, age to the extent available), existing structures, topography, unique site features (e.g., shoreline), and regional site context and narrative of facility use and operation setting.
- *Economic Analysis:* Conducting an Economic Baseline Condition Analysis, which is likely to include an examination of industry, employment, and real estate trends on a local and regional level. This may include an independent analysis of projected tax revenue impacts from the closing of the plant and potential offsetting revenue enhancements or budget reductions that are or could be available to the town commensurate with the loss of revenue. Providing an independent analysis of potential jobs created and eliminated under different reuse scenarios, including economic growth, associated (or related) workforce opportunities with a focus on current/former employees of the power plant, and a consideration of impacts and opportunities for disadvantaged communities.
- *Stakeholder Input:* Supporting community engagement by identifying and potentially supporting strategies for community engagement, stakeholder analysis, community surveys, public meetings, and other various methods for information sharing and feedback collection.

- *Alternative Reuse Plans:* Identifying and developing several reuse strategies for the site including opportunities and challenges associated with each strategy, a technical/financial feasibility analysis of each strategy, and the economic and fiscal impacts that each recommended strategy would have on the community. These strategies should include but not be limited to the opportunities for site reuse identified by New York's Just Transition Working Group, as presented to the Climate Action Council on April 12, 2021 (<https://climate.ny.gov/Climate-Action-Council/Meetings-and-Materials>).
- *Demolition and Abatement:* Preparing a narrative to describe issues which must be addressed, and outline all assumptions made as part of a demolition and abatement strategy.
- *Public Health Impacts:* Providing an assessment or report on the anticipated public health impacts for the site reuse development strategy included in the Site Reuse Plan including an analysis of current conditions (or conditions during the most recent period of facility activity) to serve as a baseline for comparison.
- *Recommended Actions & Timeline:* Providing a market-responsive path forward to move the site towards successful redevelopment as a viable business or community enterprise.

Pre-Development Activities:

For those applicants who have completed the baseline planning tasks listed above, technical assistance through this PON is available to support further pre-development work to assist the applicant in achieving more advanced community revitalization goals. The following are examples of pre-development activities eligible under this PON in instances when baseline planning work has been completed. Activities should be relevant to the site:

- *Detailed Infrastructure Assessment:* Assessments may include electrical interconnection analyses/costs, utility location and conditions, etc.
- *Phase 2 Environmental Site Assessment:* Assessment to evaluate the presence, or absence of, environmental contamination and environmental substances within the site's surface or subsurface.
- *Development of Marketing Collateral:* Collateral may include the development of promotional sell sheets, identification signage, and/or website development to assist with the advancement of the site's redevelopment.
- *Site Planning:* Development of conceptual engineering or architectural plans to facilitate future site improvements.
- *Workforce Development Strategies:* Creation of policies and/or programs to promote job opportunities and enhance access to job training, with a focus on displaced workers and local community members seeking access to the workforce.
- *Non-Site-Specific Community Revitalization Strategies:* Development of revitalization programs or plans to support enhanced resident quality of life and economic development opportunities in the larger community. Examples of non-site-specific community revitalization strategies could include supply chain opportunities, higher education or organization partnerships and opportunities, or leveraging of off-site community assets or properties.
- *Tailored Public Engagement Methods:* Development and execution of enhanced community outreach methods to ensure all community members are adequately represented and engaged in the planning process. Examples of activities may include site tours, neighborhood-based outreach, pop-up events, volunteer recruitment, and enhanced virtual engagement.
- Others as determined through the initial baseline planning process.

Services and Tasks for the DAC Community Support Adder Funding:

Applicants that have a DAC in their municipality are also eligible for an additional \$10,000 to complete any of the following activities that are targeted to DAC areas of the community:

- *Workforce Development Strategies:* Creation of policies and/or programs to promote job opportunities and enhance access to job training in DAC areas, with a focus on displaced workers and local community members seeking access to the workforce.
- *Non-Site-Specific Community Revitalization Strategies:* Development of revitalization programs or plans to support enhanced resident quality of life and economic development opportunities in the DAC areas. Examples of non-site-specific community revitalization strategies could include supply chain opportunities, higher education or organization partnerships and opportunities, or leveraging of off-site community assets or properties.
- *Tailored Public Engagement Methods:* Development and execution of expanded community outreach methods in DAC areas to ensure all community members are adequately represented and engaged in the planning process. Examples of activities may include site tours, neighborhood-based outreach, pop-up events, volunteer recruitment, and enhanced virtual engagement.
- Other DAC related efforts as determined eligible by NYSERDA.

III. APPLICATION REQUIREMENTS

Please complete the Application found in Attachment A and submit the Application in accordance with the instructions on the front page of this PON.

Applications will be processed in the order in which they are received. All applications will be reviewed for eligibility and accepted or rejected at NYSERDA's discretion. The applicant will be notified upon acceptance of their application.

As detailed further in **Attachment A - Application**, applicants will identify their top three choices for Site Reuse Planning Contractor selection. NYSERDA will consider the applicant's request when selecting a Site Reuse Planning Contractor. Each applicant will be notified of their selected Technical Assistance Contractor following the application approval. NYSERDA will enter into a third-party agreement between NYSERDA, the Site Reuse Planning Contractor and the applicant. NYSERDA will pay the Site Reuse Planning Contractor fees directly to the Contractor for the Site Reuse Plan Technical Assistance services.

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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). 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). 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 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 disqualify applications 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 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"). 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

Attachments:

Attachment A – Application



**Third-Party Support and Advancing Code
Compliance Technology Pilot Program
PON 4600
\$2 million available**

*NYSERDA reserves the right to extend and/or add
funding to the Solicitation should other program
funding sources become available.*

Applications accepted on a rolling basis until October 20, 2022, by 3:00pm Eastern Time

Program Summary

New York State Energy Research and Development Authority (NYSERDA) is accepting applications from Authorities Having Jurisdiction (AHJs) in New York State interested in participating in the Third-Party Support and Advancing Code Compliance Technology Pilot Program (Pilot Program). The overall goals of the Pilot Program are to support improved technical and online capacities within AHJs in relation to residential and commercial buildings plan reviews and inspections, as well as energy code compliance.

The use of qualified third-party support providers and electronic code compliance platforms allows for streamlined building plan reviews and inspections, addresses existing time and resource constraints faced by code enforcement officers, and improves energy code compliance. AHJs are responsible for reviewing building design and construction for compliance with the 2020 Energy Conservation Construction Code of New York State (ECCCNYS 2020) and ASHRAE 90.1-2016, as amended by 19 NYCRR Part 1240, and/or locally adopted energy provisions such as NYStretch Energy Code 2020 (NYStretch 2020), a supplement to the ECCCNYS 2020.

As part of a broader effort to support AHJs, NYSERDA recently issued a Request for Qualifications (RFQL 4698) –Third Party Support Providers ([link](#)) that seeks to create a pool of technically qualified “Third-Party Support Providers” with expertise in energy code plan review and inspection for commercial and residential buildings. Based on prior NYSERDA stakeholder consultations and analyses from national experts, a dual-pronged approach to the Pilot Program is viewed as essential for scalability and effectiveness. Accordingly, the two key components of this Program Opportunity Notice (PON) Pilot Program Solicitation are:

- 1) Third-Party Support; and
- 2) Advancing Code Compliance Technology.

The implementation of this PON is anticipated to provide the building blocks for future technology-driven energy code compliance processes within AHJs. Interested AHJs can respond to **one or both** components of the PON.

Proposal Submission: Online submission is preferable. AHJs are encouraged to complete the fillable PDF Interest Application (Attachment A) to indicate their interest in being considered for one or both components of the Pilot Program. Responding AHJs 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 AHJ name in the title of the document. NYSERDA will also accept proposals by mail 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 Anilla Cherian (Designated Contact) at 518-862-1090, ext. 3703 or by email anilla.codes@nyserdera.ny.gov or Elizabeth Staubach (Designated Additional Contact) at 518-862-1090, ext. 3616 or by email elizabeth.codes@nyserdera.ny.gov. If you have contractual questions concerning this solicitation, contact Nancy Marucci (Designated Contact) at (518) 862-1090, ext.3335 or by email nancy.solicitations@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. 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>). Please note that funding associated with this PON will be awarded on a first-come, first-served basis until the funding threshold is achieved and/or due date specified in the PON is reached. 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.

Third Party Support and Advancing Code Compliance Technology Pilot Program (Pilot Program)

Section I: Introduction

Recognizing that opportunities to advance progress on building energy codes and catalyze greenhouse gas reductions are vital to the ambitious Climate Leadership and Community Protection Act (Climate Act), NYSERDA seeks to support technical and online energy code compliance capacities in AHJs. This Pilot Program is comprised of two components:

- 1) Third-Party Support; and

2) Advancing Code Compliance Technology.

AHJs interested in the use of third-party support providers and/or expanding building code compliance capacities through electronic permitting and review platforms are encouraged to submit their Interest Applications (see Attachment A) for one or both components of the PON.

As a result of the lessons learned from the implementation of the two components of this Pilot Program, NYSERDA anticipates improved scalability and efficiency in the use of third-party providers and advancing code compliance technologies for AHJs. NYSERDA will work closely with AHJs selected for the two components of the PON to ensure periodic reporting and peer-to-peer learning opportunities.

In light of the Climate Act's requirement that state agencies, authorities, and entities direct funding to support clean energy and energy efficiency programs in disadvantaged communities (DACs) NYSERDA will allocate 35% of funding for use by AHJs that meet the interim criteria for a DAC as defined by New York State (www.nyserderda.ny.gov/ny/disadvantagedcommunities) at the time of submission of the Interest Application by AHJs (Attachment A) .

II. Program Requirements

Third-Party Support: \$1,000,000 available

The context of tightened municipal budgets in AHJs, constrained resources, and prioritized attention of code officials on life-safety codes provides a rationale for this pilot focused on the use of qualified third-party support providers. The modalities for streamlined and responsive third-party support are viewed as crucial for smaller AHJs where resource and time constraints are particularly challenging issues. As part of a broader effort to support AHJs, NYSERDA recently issued a Request for Qualifications (RFQL 4698) –Third Party Support Providers: Energy Code Plan Review and Inspection

(https://portal.nyserderda.ny.gov/CORE_Solicitation_Detail_Page?SolicitationId=a0rt000001MhEOJAA3) that seeks to create a pool of technically qualified “*Third-Party Support Providers*” with expertise in energy code plan review and inspection for commercial and residential buildings.

The implementation of this component of the Pilot Program will be based on guidance contained within the **Third-Party Support Manual** (<https://www.nyserderda.ny.gov/-/media/Migrated/Files/Programs/energy-code-training/third-party-support-provider-manual.ashx>), which was developed by NYSERDA and is based on market and industry expert consultations and inputs. NYSERDA will contract with applicants selected for funding via the Sample Agreement included as Attachment C to this solicitation. Adherence to the Manual will be a requirement for participation in this component of the Pilot Program.

The Manual was developed to help AHJs implement a program utilizing third-party service providers to check plans and inspect residential and commercial buildings for compliance with the 2020 ECCCNY, or locally adopted energy codes such as NYStretch 2020. The Manual provides information for AHJs, qualified third-party support providers, and permit applicants. The Manual includes the following sample/template documents and checklists for use within AHJs:

- Third Party Support Provider Plan Review Report
- Third Party Support Provider Inspection Report
- Conflict of Interest Disclosure Form
- Series of Dynamic Compliance Checklists for: Residential Plans Examiner, Residential Inspection, Commercial Plans Examiner-Prescriptive, Commercial Plans Examiner-Performance, and Commercial Inspection.
- Model resolution language authorizing third-party plan review and inspection for residential and commercial buildings that can be adopted by interested AHJs in NYS.

As specified in the Manual, NYSERDA is only responsible for reviewing third-party support provider applications against the published pre-selected qualification requirements referenced in RFQL 4698. It is the responsibility of the AHJ to ensure energy code compliance for all construction within its jurisdiction. Additional guidance on the overall authority of participating pilot AHJs in implementing the third-party support program is contained in the Manual.

NYSERDA will continue its ongoing efforts to provide training for building energy codes (residential and commercial) as well as NYStretch-related training opportunities. (AHJs are encouraged to visit [Building Energy Code Development, Compliance, and Enforcement - NYSERDA](#) for information regarding currently available NYSERDA-supported energy code training.)

NYSERDA will **allocate funding** for this component of the Pilot Program for **AHJs on a first-come, first-served basis** based on **both** the timely completion of the Interest Application from AHJs (Attachment A) signed by the Chief Elected Official and execution of a formal agreement between NYSERDA and the AHJ (see Attachment C, Sample Agreement).

It is important to note that as the first deliverable under the agreement executed with NYSERDA, **AHJs will be required to adopt** a Resolution, a template of which is provided in the Manual, authorizing the use of third-party plan review and inspection services. Third party plan review and inspection services under this Resolution will only be for compliance review of the 2020 ECCCNY or 2020 NYStretch. Review for compliance with the Uniform Code by other departments in relevant AHJs will still be required.

Funding for Third-Party Support will be provided as a tiered award amount based on the population size of the selected AHJ. Small/Medium **AHJs** (0-39,999 population) will receive **\$50,000** for this component of the Pilot Program and **Large AHJs** (40,000+ population) will receive **\$100,000** for this component of the Pilot Program (see table below).

Municipality Size by Population	Funding Amount
Small/Medium (0-39,999)	\$50,000
Large (40,000+)	\$100,000

NYSERDA will allocate 35% of total funding for the Third-Party Support Pilot for use by AHJs that meet the interim criteria for a DAC as defined by New York State.

Once a contract is executed, the AHJ must adopt the Resolution noted above and submit to NYSERDA a certified copy in order to receive the first milestone payment, which will be 60% of the total funding awarded.

Selected AHJs will be required to follow the guidance provided in the Manual, and also participate in a series of peer-to-peer learning opportunities provided by NYSERDA which will enable feedback on the implementation experiences of the pilot. The remaining 40% of funds will be disbursed at the end of second year and will be tied to the specific lessons learned from the AHJs' implementation of the Manual including experiences with engaging qualified third-party support providers, use of the commercial and residential checklists and reports, and receipt of required quarterly reporting which will include evaluation and feedback reporting form provided by NYSERDA. NYSERDA anticipates that the lessons learned from the AHJ reporting process will allow for monitoring and validation of the effectiveness of third-party support for potential wider deployment in the future.

Advancing Code Compliance Technology: \$1,000,000 available

AHJs face increased budgetary and staff time constraints in their attempt to provide improved energy code compliance processes for their residents. Issuing building permits, licenses, and ensuring energy code compliance are critical functions for AHJs, and can be made more efficient, transparent, and responsive through electronic/online compliance technology platforms. Online/electronic permitting and compliance platforms can expedite building plan review, inspection, and approval processes while also reducing workload for code enforcement officers and improving energy code compliance. States and AHJs around the country, including New York City, have deployed electronic permitting across all their codes to reduce workload on staff and make it easier for building permit applicants.

This component of the Pilot Program seeks to build technical capacities in AHJs that are interested in purchasing and implementing online/electronic compliance technology platforms. In designing and implementing this pilot, NYSERDA is fully cognizant of the challenges faced by resource constrained AHJs that are keen to implement online code compliance platforms, but have not been able to engage such platforms to date.

As outlined in Attachment B, [Template Request for Proposal (RFP): Advancing Energy Code Compliance Technology Platform]. NYSERDA has established a minimum set of requirements for the purchase of an electronic technology platform by AHJs, with specific focus on supporting energy code capabilities. Electronic code compliance technology platforms must include, but are not limited to the following capabilities:

- Plan submittal and review
- Permitting
- Scheduling inspections
- Fee calculation and collection
- Project tracking
- Administrative workflow
- Virtual Inspections
- Customer Communication
- Departmental communications and management

NYSERDA will **allocate funding** for the purchase and implementation of electronic code compliance technology platform **for AHJs on a first-come, first-served basis** based on **both** the timely completion of the Interest Application from AHJs (Attachment A) signed by the Chief Elected Official and execution of an agreement with NYSERDA (see Attachment C, Sample Agreement).

Once an agreement is executed, NYSERDA funding **must be directly applied** towards the purchase and implementation of the electronic platform of choice by the AHJ as further articulated below. A template RFP is attached to the PON (Attachment B). To ensure reasonableness of costs associated with online energy technology platforms, NYSERDA will require AHJs selected for the Pilot Program to provide certified documentation detailing the municipal competitive procurement process as specified in their RFP.

Funding for this component of the Pilot Program will be provided as a tiered award amount based on the population size of the selected AHJ. **Small/Medium AHJs** (0-39,999 population) will receive funding not exceeding **\$75,000**, for this component of the PON and **Large AHJs** (40,000+ population) will receive grant funding not exceeding **\$150,000** for this component of the PON (see table below).

Municipality Size by Population	Funding Amount
Small/Medium (0-39,999)	\$75,000
Large (40,000+)	\$150,000

NYSERDA recognizes that the role of scaling up shared services in the form of online energy code compliance platforms are directly relevant to the technical capacity needs of small AHJs. Accordingly, an award bonus of \$5,000 per qualifying AHJ will be provided to encourage small AHJs (population size 0-4,999) to partner on implementation of shared electronic permitting systems. NYSERDA will require all small AHJs that receive the award bonus to provide feedback in terms of their shared implementation experiences related to online energy code compliance as a requirement of receiving this award. NYSERDA will provide the requisite feedback reporting forms to selected AHJs for their completion.

NYSERDA will allocate 35% of funding for use by AHJs that meet the interim criteria for a DAC as defined by New York State.

Following contract execution, NYSERDA will disburse funds via two milestones payments as follows:

The first milestone payment, representing 60% of funding, will be provided following the submission of an RFP to NYSERDA based the template RFP provided by NYSERDA and attached to this solicitation as Attachment B.

AHJs that receive funding will be required to participate in a series of peer-to peer learning opportunities provided by NYSERDA which will enable evaluation and feedback on the implementation experiences of the pilot.

The second milestone payment, representing the remaining 40% of funding, will be disbursed at the end of second year, and will be tied to purchase and implementation of the online energy technology platform, as well as the completion of the above-mentioned learning opportunities and receipt of

required quarterly reporting, which will include implementation and evaluation reporting forms provided by NYSERDA. NYSERDA anticipates that the lessons learned from the AHJ reporting process will allow for monitoring and validation of the effectiveness of this component of the Pilot Program for potential wider deployment in the future.

III: Proposal Requirements

NYSERDA will provide two informational webinars aimed at assisting interested AHJs to engage with the Pilot Program and answers to any related queries from AHJs. The webinars will be held on **December 15, 2021 from 9:30 -10:30 am**

<https://nyserdany.webex.com/nyserdany/j.php?MTID=m1c6477e9e3cff04a2d5505a84d7c634e> and

December 15, 2021 from 2:30 -3:30 pm

<https://nyserdany.webex.com/nyserdany/j.php?MTID=m929a9cdfd58b1625a92c61c681dd8c63> Additionally, NYSERDA will be providing educational videos related to both RFQL 4688 and the Third-

Party Support component of the Pilot Program described above.

Application Requirements and Submission

NYSERDA reserves the right to request additional information to support an Applicant's submission. NYSERDA will **allocate funding** for the Pilot Program **for AHJs on a first-come, first-served basis** based on **both** the timely completion of the attached "Interest Application from Authorities Having Jurisdiction" (Attachment A) signed by the Chief Elected Official and execution of a formal agreement between NYSERDA and the AHJ (see Attachment C, Sample Agreement).

Additionally, small AHJs that have indicated interest in partnering with other small AHJs for the Advancing Code Compliance Technology component of the Pilot Program are reminded that each individual AHJ must complete and submit their own Interest Application, and individually also submit all required forms associated.

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). 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). 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 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 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 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 Attachment C, 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 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 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 C, 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.

IX. Attachments

Attachment A: **Interest Application from Authorities Having Jurisdiction**

Attachment B: **Template Request for Proposal (RFP)-Advancing Energy Code Compliance Technology Platform**

Attachment C: **Sample Agreement**



Clean Neighborhoods Challenge
 Program Opportunity Notice (PON) 4743
Up to \$30.5 million

NYSERDA reserves the right to extend and/or add funding to the Solicitation should other program funding sources become available.

Phase One Registration Deadline: July 22, 2021 by 3:00 p.m. Eastern Time
 Phase One Proposals Due: August 24, 2021 by 3:00 p.m. Eastern Time
 Phase Two Proposal Due Date: June 7, 2022 by 3:00 pm Eastern Time*

Program Summary: The New York State Energy Research and Development Authority (NYSERDA) seeks Proposals for the [Clean Neighborhoods Challenge](#) as part of the New York Clean Transportation Prizes, which are designed to advance clean, electrified transportation in disadvantaged communities in New York State. The prizes will fund projects that will help overcome persistent transportation challenges in low-income communities and remove barriers to widespread electric vehicle use.

The Clean Neighborhoods Challenge aims to reduce local air pollution in disadvantaged communities through the introduction or expansion of electric and active transportation modes, which could be paired with activities that enable a reduction in polluting vehicle traffic. The most successful solutions will take an integrated approach that enables immediate and long-term air pollution reductions, demonstrates clear potential for replication and scale, and improves quality of life in the neighborhood.

Proposal Phase	Total Funding Available	Anticipated Number of Awards
Phase One: Planning Grants (Completed)	Up to \$500,000	Up to five (5) at \$100,000 each
Phase Two: Grand Prizes (Note: this Phase is only open to Phase One Awardees)	Up to \$30 million	Up to three (3) at \$10 million each

All, some, or none, of the available funds may be Awarded. NYSERDA reserves the right to add or reduce time and/or funding to Awarded contracts. Note: Only projects located within communities served by electric utilities regulated by the New York State Public Service Commission are eligible to receive the funding currently available through this PON (4743). These utilities are: Central Hudson Gas & Electric, Con Edison, National Grid, New York State Electric & Gas, Orange and Rockland, and Rochester Gas and Electric.

Subject to the availability of funds, up to one project located within a community (or communities) served by LIPA may be selected for a Phase Two award out of the Phase One awardees from all three challenges in the New York Clean Transportation Prizes program (PON 4743, PON 4744, PON 4745).

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 NYSEDA’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 Adam Ruder (Designated Contact) at (518) 862-1090, ext. 3411 or Luisa Freeman (Designated Contact) by e-mail TransportPrizes@nyserda.ny.gov. If you have contractual questions concerning this solicitation, contact Nancy Marucci (Designated Contact) at (518) 862-1090, ext. 3335 or 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 offeror, and (2) may result in the Proposer not being Awarded a contract.

***All Proposals must be received by 3 p.m. Eastern Time. 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 sections have been answered in the online 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 for data entry when using the website. Please take as much time as is necessary to formulate your responses to each question by carefully reading the requirements as soon as possible. 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. NYSEDA will also accept Proposals by mail or hand-delivery if online submission is not possible. If changes are made to this solicitation, notification will be posted on the “Current Opportunities” section of NYSEDA’s website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>)

I. Introduction

The New York State Energy Research and Development Authority (NYSEDA) is a public benefit corporation established pursuant to Title 9 of Article 8 of the Public Authorities Law of the State of New York (State). NYSEDA’s principal mission is to develop innovative solutions to some of the State’s most difficult energy and environmental problems. In July 2020, the New York State Public Service Commission’s (PSC) Order Establishing Electric Vehicle Infrastructure Make Ready Program and Other Programs (Case 18-E-0138, “EV Make Ready Order”) directed NYSEDA to establish three prize competitions to fund projects that will help overcome persistent transportation challenges in low-income communities and remove barriers to widespread electric vehicle use. The goal is to advance clean, electrified transportation options in disadvantaged communities in New York State, including, but not limited to, electric trucks and buses, electric cars, electric micromobility, and other mobility services. The competitions are intended to provide teams of global experts with the opportunity to directly engage communities and local groups to improve transportation options, reduce emissions, and develop solutions that can be scaled and replicated in New York State and beyond.

Summary of New York Clean Transportation Prizes design

All three prizes will be implemented in two phases to provide potential Proposers with the time and resources necessary to develop the best approaches to meet the objectives of each prize competition.

Phase One (Completed): The purpose of Phase One is to invite a wide range of Proposers to register and submit a detailed Proposal for each relevant prize. Since these three prize competitions will launch simultaneously, Proposers will have the opportunity to propose to more than one competition, and those Proposers may be asked to indicate how any efficiencies can be gained if they are awarded more than one grand prize Award to implement their proposed solution(s). The outcome of Phase One is to produce a cohort of planning grant Awardees, who will receive planning grants and other support in order to participate in Phase Two and prepare their final Proposals for grand prize consideration.

Phase Two: Planning grant Awardees selected in Phase One will undergo a rigorous period of planning support in order to refine and strengthen their Proposals and conduct additional engagement for Phase Two. Based on feedback provided from the Phase One assessments, planning grant Awardees will understand gaps in their Proposals. NYSERDA will provide access to experts to help them refine their Proposals over a protracted period of the Phase Two timeline. Based on the revised Proposals, the scoring committee will assess and make recommendations to determine the grand prize Awardees for each prize competition. See the [Timeline](#).

I. Program Requirements

A. Solution Eligibility

At a minimum, all proposals should:

1. Reduce emissions from transportation sources in and around one or more disadvantaged communities.
2. Expand access to electric and active transportation options for community residents.
3. Take an integrated approach so as to establish the broader conditions for continued emissions reductions.
4. Improve the quality of life for residents of the community or communities in which it proposes to operate, and make the chosen community or communities more attractive for further investment both as relates to active and electric transportation and otherwise.
5. Demonstrate a clear potential to be repeated in other communities and have the potential to scale in chosen or additional communities.

Proposals are encouraged to encompass a wide range of activities that are necessary to advance transportation electrification in a community. The proposal may choose to achieve the above goals by harnessing local planning capacity and ability to change local rules, regulations, and rights-of-way usage, and infrastructure supportive of electric transportation options to encourage or require more future transportation electrification. Proposals may also encompass solutions that advance active transportation options alongside electric options.

Proposals may NOT include any of the following elements:

- A sole focus on vehicle or fleet replacement
- A sole focus on active transportation without support of electric transportation solutions
- Projects that do not ensure long-term reductions in GHG emissions and air pollution
- Projects that would not have a demonstrable impact on quality of life of community residents
- The purchase of energy, development of power generation, or renewable energy credits (RECs)
- Activities that do not promote reductions in transportation-related emissions or related improvements to transportation infrastructure
- Activities that promote community development, other than through electric and active transportation solutions and related improvements to transportation infrastructure
- Activities that promote environmental goals other than electric and active transportation, such as brownfield remediation
- Projects that have significant technology risk

B. Proposer Eligibility

Only proposals selected for a Phase One (planning grant) award are eligible to submit a proposal to Phase Two of the Clean Neighborhoods Challenge.

The following entities are not eligible to apply as the Principal Organization, but may be part of a proposing team:

- Individuals.
- Government agencies, including United Nations agencies, inter-governmental bodies, and regional cooperation agencies. Please note: Indian Nations are eligible to apply as a Principal Organization and serve as part of a proposing team.
- Departments, authorities, or other entities that are part of local, state, or federal government.
- Universities and colleges.

The following entities are not eligible to be a Principal Organization nor members of any proposing team:

- Registered lobbying organizations whose primary business is lobbying.
- Utilities and associated enterprises, within their respective service territories.

Phase Two (grand prize) proposals may only be submitted by Phase One (planning grant) Awardees.

Financial and Organizational Capacity – All applicants must demonstrate their financial and organizational capacity to carry out the proposed project and to appropriately manage any Award, should they be designated as an Awardee.

C. Proposal Submission Limit

An organization that has received a Phase One (planning grant) award can submit only one Phase Two Proposal for the Clean Neighborhoods Challenge as the Principal Organization. An organization can also serve as a partner on a team for multiple Proposals provided that each Proposal proposes a separate, distinct solution.

While a single organization can serve as a Principal Organization on one Proposal, as well as participate as part of a team on multiple Proposals, there should be no overlap in the individuals from that organization on those separate Proposals. The intent of the policy is to ensure that any team member is concentrating their best effort into a single Proposal. Overlapping membership of advisory boards is permitted.

D. Geographic Eligibility

All Proposals must reduce transportation-related air pollution and improve quality of life for at least one disadvantaged community per the interim definition below:

Disadvantaged Communities include either:

1. Communities that meet both of the following criteria:
 - a. Census block groups that are in the top quartile of HUD census tracts meeting the annual income threshold of 50% Area Median Income (see below*), and
 - b. Location identified as a [Potential Environmental Justice Areas](#), as defined by the New York State Department of Environmental Conservation, or
2. Communities located within New York State [Opportunity Zones](#).

*HUD 50% Threshold: Top quartile of census block groups in New York, ranked by the percentage of LMI Households in each census block. LMI Households are 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.

NYSERDA has provided an [interactive map](#) that identifies areas throughout the State that meet the interim criteria specified above.

II. Proposal Requirements

The Proposer's goal should be to concisely present the information needed to fully address the evaluation criteria (see Section IV). Proposals may not exceed the page limits specific in the Proposal form, and any Proposals that are incomplete or fail to meet eligibility requirements may be rejected as non-responsive. Any materials submitted will be cut off at the page limit and any additional pages, excluding a cover page, will not be reviewed by the scoring committee. If you believe proprietary information must be submitted to provide an adequate Proposal, you must comply with Section V instructions for submitting proprietary information.

Proposals must be in English and meet the Proposal requirements stipulated on the NYSERDA Program Opportunities website. Proposals may not contain obscene, provocative, defamatory, or otherwise objectionable or inappropriate content.

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.

A. Phase One Proposal Format (Completed)

The Phase One Proposal process has been completed. Participants were required to register for the Clean Neighborhoods Challenge through the website by July 22, 2021. Registrants were then required to submit Phase One Proposals by August 24, 2021 via the online platform and follow the format put forth on the Clean Neighborhoods Challenge website (www.cleanneighborhoodschallenge.org/application).

B. Phase Two Proposal (by invitation only)

Only Phase One Awardees are eligible to propose to Phase Two. Based on feedback provided from the Phase One assessments and insights gained throughout the Phase Two process, Phase One Awardees will understand gaps in their proposed solutions, will make improvements to their proposed solutions, and submit Phase Two (grand prize) Proposals. The Phase Two scoring committee will assess and make recommendations to determine the Phase Two (grand prize) Awardees for each prize competition.

Of these Phase One Awardees, up to three (3) will receive an Award of \$10 million each if selected as grand prize Awardees during the Phase Two proposal and evaluation process.

The Phase Two Proposal Narrative contains the following sections:

- A. Cover Letter (2 pages)**
- B. Executive Summary (3 pages):** This is your opportunity to make a strong first impression. Offer a brief and compelling overview of your solution. Avoid using jargon, abbreviations, or language that a layperson may not understand.
- C. Your Team (4 pages):** Now that you've introduced your solution, focus on the structure, capacity, and leadership of your team. Successful execution is of paramount importance to the success of this prize – and a strong team is critical.
 - **Appendix A:** Resumes of Key Personnel (not included in page count)
- D. The Problem (4 pages):** Here is your opportunity to explain the problem(s) you intend to solve and to demonstrate your nuanced understanding of the disadvantaged communities you aim to serve.

- E. Your Solution & Its Execution (12 pages):** Here's your opportunity to more fully explain how you intend to solve the problem(s) you have outlined above. It is important to convey both that you have a sound strategy and also that you have a sound approach to execution.
- F. Projected Impact (3 pages):** Demonstrate how your solution will better meet the transportation needs of disadvantaged communities, improve health, and increase the quality of life and opportunity for community residents and others. While you will provide a Monitoring and Verification (M&V) Plan to be uploaded as Attachment 1 of your submission, this section should provide adequate summary of the metrics and intended outcomes of your project in quantifiable terms, and a summary of your data collection approach for assessing key project outcomes.
 - **Attachment 1:** Monitoring and Verification Plan (to be uploaded separately)
- G. Community Engagement (2 pages):** Briefly summarize here your plans as to how you will collaborate with the communities in which you will deploy your solution. Details will be provided in a separate Community Engagement Plan (CEP) to be uploaded as Attachment 2 of your submission, with guidance on preparation of the CEP to be provided by NYSERDA's Outreach and Engagement contractor during the Planning Grant period.
 - **Appendix B:** Letters of Endorsement (not included in page count)
 - **Attachment 2:** Community Engagement Plan (to be uploaded separately)
- H. Sustainability, Scalability & Replicability (4 pages):** Clearly describe the potential and plans to scale, expand, repeat, and/or replicate your solution. Explain your team's financial and revenue model for growing the solution once the grant period ends.
- I. Project Plan & Budget (4 pages):** In this section, summarize your project plan and list the tasks to be carried out consistent with your Statement of Work to be uploaded separately as Attachment 3. Describe the resources required to successfully implement your solution. Please be as informative as possible, clearly portraying important activities the funds will be used for and when. The four-page limit for this section does not include the Statement of Work (to be uploaded as Attachment 3 of your submission) or the Detailed Budget Form (to be uploaded as Attachment 4 of your submission).
 - **Attachment 3:** Statement of Work (to be uploaded separately)
 - **Attachment 4:** Detailed Budget Form (to be uploaded separately)

Note: Only projects located within communities served by electric utilities regulated by the New York State Public Service Commission are eligible to receive the funding currently available through this PON (4743). These utilities are: Central Hudson Gas & Electric, Con Edison, National Grid, New York State Electric & Gas, Orange and Rockland, and Rochester Gas and Electric.

Subject to the availability of funds, up to one project located within a community (or communities) served by LIPA may be selected for a Phase Two award out of the Phase One awardees from all three challenges in the New York Clean Transportation Prizes program (PON 4743, PON 4744, PON 4745).

Use of Funds – Funds from Phase Two Awards must be used for the solution described in the proposal and go toward achieving transportation-related outcomes. The solution must be implemented over a period of up to three years. NYSERDA funds may be used to cover overhead expenses necessary to implement the proposed project. Any overhead expenses should be reflected in fully-burdened rates in the budget.

Cost Sharing – While not required, all proposals have the option of including additional funding as cost share. This will be an important evaluation criterion under "Project Value." Cost share cannot include expenses that have already been incurred and NYSERDA funds cannot pay for efforts that have already been undertaken or be used to reimburse or replace normal expenses of other government organizations.

Annual Metrics Reports –The grand prize Awardees will be required to enter into an agreement with NYSERDA (see Attachment C) and 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.

Measurement & Verification – Awarded solutions will have access to a third-party contractor to verify any claims of performance measurement and, in some cases, collect additional data, during implementation. Phase Two Awardees will be required to submit a Measurement & Verification Plan.

III. Proposal Evaluation

Phase Two proposals will be reviewed by a scoring committee. Phase One Awardees will make a presentation of their proposal at a Pitch Event. The proposals and the pitch presentations will be evaluated by the scoring committee based on the following criteria and Scoring Rubric (Attachment B). **Any proposals for projects located within a community (or communities) served by LIPA will be evaluated separately against other LIPA-based proposals across the New York Clean Transportation Prizes program (PON 4743, PON 4744, PON 4745), as described in Attachment G.**

- **Projected Impact (20 points):**
 - Does the proposal demonstrate a vision, a wide range of activities, and scale of opportunity to provide needed clean transportation options to disadvantaged communities, reduce carbon emissions, and achieve change?
 - Is the proposed solution innovative and superior to potential alternatives?
 - How transformative is the solution for the impacted disadvantaged communities, both in the short and long term?
 - How significant is the issue or opportunity for the impacted disadvantaged communities?
 - Are the processes for estimation of benefits clearly explained and reference defensible sources or reliable measurement methods?
- **Community Alignment and Engagement (20 points):**
 - To what degree has the community been engaged in the proposal development process?
 - How durable are the existing partnerships and plans for successfully implementing ongoing, long-term community engagement that is aligned with, responsive to, and informed by proven community needs?
 - Has the proposer demonstrated that the proposed solution is something that stakeholders are interested in and capable of implementing?
 - Does the proposal contain Letters of Endorsement from all essential stakeholders?
- **Feasibility (20 points):**
 - Is there a sound approach, thorough plan, sufficient resources, community buy-in, and necessary approvals (or plans for approval) to execute their solution?
 - Does the proposer identify a path to market acceptance and economic viability for their solution?
 - Is there a credible team with the experience, capacity, and existing (or planned) relationships needed to mitigate risk and succeed where other solutions have not?
 - Is there a strong understanding of local or market conditions and does the proposer have a reasonable process to gather and integrate information from relevant community representative(s) who can verify these claims?
 - Is the solution likely to be adopted and result in NYS benefits?
 - Are the expected benefits likely to be realized, given other constraints or barriers?
- **Sustainability and Repeatability (20 points):**
 - Is there a vision and roadmap to sustain, scale and/or replicate the solution to reduce emissions and benefit more disadvantaged communities in the long term?

- Is the team positioned to adapt, disseminate results, and build a transferrable model that will meet changing community needs and derive value for future implementation?
- Does the proposer have a reasonable plan for pursuing additional funding and community and/or market support necessary to sustain, scale and/or replicate the solution?
- Is there a plan for technology and/or knowledge transfer, as appropriate?
- **Project Value (20 Points):**
 - Is the overall project cost justified based on the expected benefits?
 - Relative to the project cost, how significant are the potential benefits?
 - Is the budget reasonable and in compliance with funding requirements under the solicitation?
 - Does the proposal include the budget and a cost breakdown by task and by participant?
 - Does it include a separate budget form for subcontractors (> \$50K), if applicable?
 - Is the information provided in the supporting schedule sufficiently detailed?
 - If applicable, how appropriate are the proposer's cost share contributions (sources and amounts) with respect to their potential to benefit from the work and the financial status of the proposing organization and project team?
 - Are these additional contributions secured or, if not, is there a sound plan for securing them?

NYSERDA reserves the right to accept or reject Proposals based on the following Program Policy Factors:

- The degree to which there is diversity of geographic location
- The degree to which there are organizational risks associated with the project
- The degree to which pricing and hourly rates are in line with the rest of the market

It is anticipated that up to three (3) proposers will receive an award of \$10 million each. Proposals will be evaluated based on the Evaluation Criteria and Program Policy Factors may be applied. NYSERDA may also recommend a modification to an award.

Note: Only projects located within communities served by electric utilities regulated by the New York State Public Service Commission are eligible to receive the funding currently available through this PON (4743). These utilities are: Central Hudson Gas & Electric, Con Edison, National Grid, New York State Electric & Gas, Orange and Rockland, and Rochester Gas and Electric.

Subject to the availability of funds, up to one project located within a community (or communities) served by LIPA may be selected for a Phase Two award out of the Phase One awardees from all three challenges in the New York Clean Transportation Prizes program (PON 4743, PON 4744, PON 4745).

IV. 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" in each answer to the Proposal question 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.

Treatment and Use of Intellectual Property. Each Proposal should reflect the anticipated ownership, use, and licensing of any intellectual property. Proposers represent and warrant that the Proposal is an original work created solely by the Proposer, that the Proposer owns all intellectual property in and to the Proposal, and that no other party has any right, title, claim or interest in the Proposal, except as expressly identified by the Proposer in writing in the Proposal.

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). 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). 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 Phase Two (grand prize) implementation contract duration of up to three 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. NYSEDA will use the Sample Agreement (see Attachment E) to contract successful Phase Two Proposals. NYSEDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSEDA expects to notify Proposers in approximately two (2) months from the Phase Two Proposal due date whether your Proposal has been selected to receive a Grand Prize 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](#). Please see Proposal (www.cleaneighborhoodschallenge.org/application) for additional information.

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 NYSEDA, 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 NYSEDA 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.

V. Attachments

- A. Phase Two Proposal Form
- B. Phase Two Scoring Rubric
- C. Monitoring & Verification (M&V) Plan
- D. Community Engagement Plan (CEP)
- E. Sample Agreement including Exhibit A - Statement of Work for Phase Two Grand Prize Awards
- F. Detailed Budget Form
- G. Phase Two Scoring Rubric (Long Island Only)



Electric Mobility Challenge
 Program Opportunity Notice (PON) 4744
Up to \$21.5 million

NYSERDA reserves the right to extend and/or add funding to the Solicitation should other program funding sources become available.

Phase One Registration Deadline: July 22, 2021 by 3:00 p.m. Eastern Time
 Phase One Proposals Due: August 25, 2021 by 3:00 p.m. Eastern Time
 Phase Two Proposal Due Date: June 8, 2022 by 3:00 pm Eastern Time*

Program Summary: The New York State Energy Research and Development Authority (NYSERDA) seeks Proposals for the [Electric Mobility Challenge](#) as part of the New York Clean Transportation Prizes, which are designed to advance clean, electrified transportation in disadvantaged communities in New York State. The prizes will fund projects that will help overcome persistent transportation challenges in low-income communities and remove barriers to widespread electric vehicle use.

The Electric Mobility Challenge aims to transform the transportation options for members of disadvantaged communities by providing safe, convenient electric mobility options that meet community needs, which may include access to jobs, educational opportunities, basic services, and others as defined by the impacted communities, improve the quality of life in those communities, and demonstrate clear potential for replication and scale.

Proposal Phase	Total Funding Available	Anticipated Number of Awards
Phase One: Planning Grants (Completed)	Up to \$500,000	Up to five (5) at \$100,000 each
Phase Two: Grand Prizes (Note: this Phase is only open to Phase One Awardees)	Up to \$21 million	Up to three (3) at \$7 million each

All, some, or none, of the available funds may be Awarded. NYSERDA reserves the right to add or reduce time and/or funding to Awarded contracts. Note: Only projects located within communities served by electric utilities regulated by the New York State Public Service Commission are eligible to receive the funding currently available through this PON (4744). These utilities are: Central Hudson Gas & Electric, Con Edison, National Grid, New York State Electric & Gas, Orange and Rockland, and Rochester Gas and Electric.

Subject to the availability of funds, up to one project located within a community (or communities) served by LIPA may be selected for a Phase Two award out of the Phase One awardees from all three challenges in the New York Clean Transportation Prizes program (PON 4743, PON 4744, PON 4745).

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 Adam Ruder (Designated Contact) at (518) 862-1090, ext. 3411 or Luisa Freeman (Designated Contact) by e-mail TransportPrizes@nyserda.ny.gov. If you have contractual questions concerning this solicitation, contact Nancy Marucci (Designated Contact) at (518) 862-1090, ext. 3335 or 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 offeror, and (2) may result in the Proposer not being Awarded a contract.

***All Proposals must be received by 3 p.m. Eastern Time. 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 sections have been answered in the online 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 for data entry when using the website. Please take as much time as is necessary to formulate your responses to each question by carefully reading the requirements as soon as possible. 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. NYSERDA will also accept Proposals by mail or hand-delivery if online submission is not possible. 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 a public benefit corporation established pursuant to Title 9 of Article 8 of the Public Authorities Law of the State of New York (State). NYSERDA's principal mission is to develop innovative solutions to some of the State's most difficult energy and environmental problems. In July 2020, the New York State Public Service Commission's (PSC) Order Establishing Electric Vehicle Infrastructure Make Ready Program and Other Programs (Case 18-E-0138, "EV Make Ready Order") directed NYSERDA to establish three prize competitions to fund projects that will help overcome persistent transportation challenges in low-income communities and remove barriers to widespread electric vehicle use. The goal is to advance clean, electrified transportation options in disadvantaged communities in New York State, including, but not limited to, electric trucks and buses, electric cars, electric micromobility, and other mobility services. The competitions are intended to provide teams of global experts with the opportunity to directly engage communities and local groups to improve transportation options, reduce emissions, and develop solutions that can be scaled and replicated in New York State and beyond.

Summary of New York Clean Transportation Prizes design

All three prizes will be implemented in two phases to provide potential Proposers with the time and resources necessary to develop the best approaches to meet the objectives of each prize competition.

Phase One (Completed): The purpose of Phase One is to invite a wide range of Proposers to register and submit a detailed Proposal for each relevant prize. Since these three prize competitions will launch simultaneously, Proposers will have the opportunity to propose to more than one competition, and those Proposers may be asked to indicate how any efficiencies can be gained if they are awarded more than one grand prize Award to implement their proposed solution(s). The outcome of Phase One is to produce

a cohort of planning grant Awardees, who will receive planning grants and other support in order to participate in Phase Two and prepare their final Proposals for grand prize consideration.

Phase Two: Planning grant Awardees selected in Phase One will undergo a rigorous period of planning support in order to refine and strengthen their Proposals and conduct additional engagement for Phase Two. Based on feedback provided from the Phase One assessments, planning grant Awardees will understand gaps in their Proposals. NYSERDA will provide access to experts to help them refine their Proposals over a protracted period of the Phase Two timeline. Based on the revised Proposals, the scoring committee will assess and make recommendations to determine the grand prize Awardees for each prize competition. See the [Timeline](#).

I. Program Requirements

A. Solution Eligibility

At a minimum, all proposals should:

1. Provide new or expanded electric mobility options available to members of one or more disadvantaged communities in New York State. These electric mobility options should address community needs, which may include enabling access to jobs, educational opportunities, basic services, and other needs as defined by the impacted communities.
2. Improve the quality of life in the community or communities in which it proposes to operate.
3. Demonstrate a clear potential to be repeated in other communities and have the potential to scale in the chosen or additional communities.

Proposals may consist of solutions focused on a narrow local geography or broader geographic areas. Proposals may serve a large segment of a community or a smaller subset. Proposals may address the provision of electric mobility options through physical investments, policy action, and other means, but must be implementable and demonstrate results within the three-year timeframe for execution following contracting with grand prize awardees.

Proposals may NOT include any of the following elements:

- Provision of new or expansion of existing service that does not utilize electric or active modes of transportation
- Provision of freight transportation or goods movement services
- Provision of non-road motorized transportation services, such as aviation and marine transportation
- Provision of transportation services that are solely recreational in character
- Projects that will lead to an increase in GHG or air pollutant emissions
- Heavy rail service, highway, or road car capacity creation or expansion
- Vehicle or fleet replacement
- Projects that have significant technology risk

B. Proposer Eligibility

Only proposals selected for a Phase One (planning grant) award are eligible to submit a proposal to Phase Two of the Electric Mobility Challenge.

The following entities are not eligible to apply as the Principal Organization, but may be part of a proposing team:

- Individuals.

- Government agencies, including United Nations agencies, inter-governmental bodies, and regional cooperation agencies. Please note: Indian Nations are eligible to apply as a Principal Organization and serve as part of a proposing team.
- Departments, authorities, or other entities that are part of local, state, or federal government.
- Universities and colleges.

The following entities are not eligible to be a Principal Organization nor members of any proposing team:

- Registered lobbying organizations whose primary business is lobbying.
- Utilities and associated enterprises, within their respective service territories.

Financial and Organizational Capacity – All applicants must demonstrate their financial and organizational capacity to carry out the proposed project and to appropriately manage any Award, should they be designated as an Awardee.

C. Proposal Submission Limit

An organization that has received a Phase One (planning grant) award can submit only one Phase Two Proposal for the Electric Mobility Challenge as the Principal Organization. An organization can also serve as a partner on a team for multiple Proposals provided that each Proposal proposes a separate, distinct solution.

While a single organization can serve as a Principal Organization on one Proposal, as well as participate as part of a team on multiple Proposals, there should be no overlap in the individuals from that organization on those separate Proposals. The intent of the policy is to ensure that any team member is concentrating their best effort into a single Proposal. Overlapping membership of advisory boards is permitted.

D. Geographic Eligibility

All Proposals must increase access to electric transportation and improve quality of life for at least one disadvantaged community per the interim definition below:

Disadvantaged Communities include either:

1. Communities that meet both of the following criteria:
 - a. Census block groups that are in the top quartile of HUD census tracts meeting the annual income threshold of 50% Area Median Income (see below*), and
 - b. Location identified as a [Potential Environmental Justice Areas](#), as defined by the New York State Department of Environmental Conservation, or
2. Communities located within New York State [Opportunity Zones](#).

*HUD 50% Threshold: Top quartile of census block groups in New York, ranked by the percentage of LMI Households in each census block. LMI Households are 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.

NYSERDA has provided an [interactive map](#) that identifies areas throughout the State that meet the interim criteria specified above.

II. Proposal Requirements

The Proposer's goal should be to concisely present the information needed to fully address the evaluation criteria (see Section IV). Proposals may not exceed the page limits specific in the Proposal form, and any Proposals that are incomplete or fail to meet eligibility requirements may be rejected as non-responsive. Any materials submitted will be cut off at the page limit and any additional pages, excluding a cover page, will not be reviewed by the scoring committee. If you believe proprietary information must be submitted to provide an adequate Proposal, you must comply with Section V instructions for submitting proprietary information.

Proposals must be in English and meet the Proposal requirements stipulated on the NYSERDA Program Opportunities website. Proposals may not contain obscene, provocative, defamatory, or otherwise objectionable or inappropriate content.

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.

A. Phase One Proposal Format (Completed)

The Phase One Proposal process has been completed.

B. Phase Two Proposal (by invitation only)

Only Phase One Awardees are eligible to propose to Phase Two. Based on feedback provided from the Phase One assessments and insights gained throughout the Phase Two process, Phase One Awardees will understand gaps in their proposed solutions, will make improvements to their proposed solutions, and submit Phase Two (grand prize) Proposals. The Phase Two scoring committee will assess and make recommendations to determine the Phase Two (grand prize) Awardees for each prize competition.

Of these Phase One Awardees, up to three (3) will receive an Award of \$7 million each if selected as grand prize Awardees during the Phase Two proposal and evaluation process.

The Phase Two Proposal Narrative contains the following sections:

- A. Cover Letter (2 pages)**
- B. Executive Summary (3 pages):** This is your opportunity to make a strong first impression. Offer a brief and compelling overview of your solution. Avoid using jargon, abbreviations, or language that a layperson may not understand.
- C. Your Team (4 pages):** Now that you've introduced your solution, focus on the structure, capacity, and leadership of your team. Successful execution is of paramount importance to the success of this prize – and a strong team is critical.
 - **Appendix A:** Resumes of Key Personnel (not included in page count)
- D. The Problem (4 pages):** Here is your opportunity to explain the problem(s) you intend to solve and to demonstrate your nuanced understanding of the disadvantaged communities you aim to serve.
- E. Your Solution & Its Execution (12 pages):** Here's your opportunity to more fully explain how you intend to solve the problem(s) you have outlined above. It is important to convey both that you have a sound strategy and also that you have a sound approach to execution.
- F. Projected Impact (3 pages):** Demonstrate how your solution will better meet the transportation needs of disadvantaged communities, improve health, and increase the quality of life and opportunity for community residents and others. While you will provide a Monitoring and Verification (M&V) Plan to be uploaded as Attachment 1 of your submission,

this section should provide adequate summary of the metrics and intended outcomes of your project in quantifiable terms, and a summary of your data collection approach for assessing key project outcomes.

- **Attachment 1:** Monitoring and Verification Plan (to be uploaded separately)
- G. Community Engagement (2 pages):** Briefly summarize here your plans as to how you will collaborate with the communities in which you will deploy your solution. Details will be provided in a separate Community Engagement Plan (CEP) to be uploaded as Attachment 2 of your submission, with guidance on preparation of the CEP to be provided by NYSERDA's Outreach and Engagement contractor during the Planning Grant period.
 - **Appendix B:** Letters of Endorsement (not included in page count)
 - **Attachment 2:** Community Engagement Plan (to be uploaded separately)
- H. Sustainability, Scalability & Replicability (4 pages):** Clearly describe the potential and plans to scale, expand, repeat, and/or replicate your solution. Explain your team's financial and revenue model for growing the solution once the grant period ends.
- I. Project Plan & Budget (4 pages):** In this section, summarize your project plan and list the tasks to be carried out consistent with your Statement of Work to be uploaded separately as Attachment 3. Describe the resources required to successfully implement your solution. Please be as informative as possible, clearly portraying important activities the funds will be used for and when. The four-page limit for this section does not include the Statement of Work (to be uploaded as Attachment 3 of your submission) or the Detailed Budget Form (to be uploaded as Attachment 4 of your submission).
 - **Attachment 3:** Statement of Work (to be uploaded separately)
 - **Attachment 4:** Detailed Budget Form (to be uploaded separately)

Note: Only projects located within communities served by electric utilities regulated by the New York State Public Service Commission are eligible to receive the funding currently available through this PON (4744). These utilities are: Central Hudson Gas & Electric, Con Edison, National Grid, New York State Electric & Gas, Orange and Rockland, and Rochester Gas and Electric.

Subject to the availability of funds, up to one project located within a community (or communities) served by LIPA may be selected for a Phase Two award out of the Phase One awardees from all three challenges in the New York Clean Transportation Prizes program (PON 4743, PON 4744, PON 4745).

Use of Funds – Funds from Phase Two Awards must be used for the solution described in the proposal and go toward achieving transportation-related outcomes. The solution must be implemented over a period of up to three years. NYSERDA funds may be used to cover overhead expenses necessary to implement the proposed project. Any overhead expenses should be reflected in fully-burdened rates in the budget.

Cost Sharing – While not required, all proposals have the option of including additional funding as cost share. This will be an important evaluation criterion under "Project Value." Cost share cannot include expenses that have already been incurred and NYSERDA funds cannot pay for efforts that have already been undertaken or be used to reimburse or replace normal expenses of other government organizations.

Annual Metrics Reports –The grand prize Awardees will be required to enter into an agreement with NYSERDA (see Attachment C) and 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.

Measurement & Verification – Awarded solutions will have access to a third-party contractor to verify any claims of performance measurement and, in some cases, collect additional data, during implementation. Phase Two Awardees will be required to submit a Measurement & Verification Plan (as Attachment 1 to their submission).

III. Proposal Evaluation

Phase Two proposals will be reviewed by a scoring committee. Phase One Awardees will make a presentation of their proposal at a Pitch Event. The proposals and the pitch presentations will be evaluated by the scoring committee based on the following criteria and Scoring Rubric (Attachment B). **Any proposals for projects located within a community (or communities) served by LIPA will be evaluated separately against other LIPA-based proposals across the New York Clean Transportation Prizes program (PON 4743, PON 4744, PON 4745), as described in Attachment G.**

- **Projected Impact (20 points):**
 - Does the proposal demonstrate a vision, a wide range of activities, and scale of opportunity to provide needed electric transportation options to disadvantaged communities and reduce carbon emissions?
 - Is the proposed solution innovative and superior to potential alternatives?
 - How transformative is the solution for the impacted disadvantaged communities, both in the short and long term?
 - How significant is the issue or opportunity for the impacted disadvantaged communities?
 - Are the processes for estimation of benefits clearly explained and reference defensible sources or reliable measurement methods?
- **Community Alignment and Engagement (20 points):**
 - To what degree has the community been engaged in the proposal development process?
 - How durable are the existing partnerships and plans for successfully implementing ongoing, long-term community engagement that is aligned with, responsive to, and informed by proven community needs?
 - Has the proposer demonstrated that the proposed solution is something that stakeholders are interested in and capable of implementing?
 - Does the proposal contain Letters of Endorsement from all essential stakeholders?
- **Feasibility (20 points):**
 - Is there a sound approach, thorough plan, sufficient resources, community buy-in, and necessary approvals (or plans for approval) to execute their solution?
 - Does the proposer identify a path to market acceptance and economic viability for their solution?
 - Is there a credible team with the experience, capacity, and existing (or planned) relationships needed to mitigate risk and succeed where other solutions have not?
 - Is there a strong understanding of local and market conditions and does the proposer have a reasonable process to gather and integrate information from relevant community representative(s) who can verify these claims?
 - Is the solution likely to be adopted and result in NYS benefits?
 - Are the expected benefits likely to be realized, given other constraints or barriers?
- **Sustainability and Repeatability (20 points):**
 - Is there a vision and roadmap to sustain, scale and/or replicate the solution to reduce emissions and benefit more disadvantaged communities in the long term?
 - Is the team positioned to adapt, disseminate results, and build a transferrable model that will meet changing community needs and derive value for future implementation?
 - Does the proposer have a reasonable plan for pursuing additional funding and community and/or market support necessary to sustain, scale and/or replicate the solution?
 - Is there a plan for technology and/or knowledge transfer, as appropriate?
- **Project Value (20 Points):**
 - Is the overall project cost justified based on the expected benefits?

- Relative to the project cost, how significant are the potential benefits?
- Is the budget reasonable and in compliance with funding requirements under the solicitation?
- Does the proposal include the budget and a cost breakdown by task and by participant?
- Does it include a separate budget form for subcontractors (> \$50K), if applicable?
- Is the information provided in the supporting schedule sufficiently detailed?
- If applicable, how appropriate are the proposer's cost share contributions (sources and amounts) with respect to their potential to benefit from the work and the financial status of the proposing organization and project team?
- Are these additional contributions secured or, if not, is there a sound plan for securing them?

NYSERDA reserves the right to accept or reject Proposals based on the following Program Policy Factors:

- The degree to which there is diversity of geographic location
- The degree to which there are organizational risks associated with the project
- The degree to which pricing and hourly rates are in line with the rest of the market

It is anticipated that up to three (3) proposers will receive an award of \$7 million each. Proposals will be evaluated based on the Evaluation Criteria and Program Policy Factors may be applied. NYSERDA may also recommend a modification to an award.

Note: Only projects located within communities served by electric utilities regulated by the New York State Public Service Commission are eligible to receive the funding currently available through this PON (4743). These utilities are: Central Hudson Gas & Electric, Con Edison, National Grid, New York State Electric & Gas, Orange and Rockland, and Rochester Gas and Electric.

Subject to the availability of funds, up to one project located within a community (or communities) served by LIPA may be selected for a Phase Two award out of the Phase One awardees from all three challenges in the New York Clean Transportation Prizes program (PON 4743, PON 4744, PON 4745).

IV. 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" in each answer to the Proposal question 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.

Treatment and Use of Intellectual Property. Each Proposal should reflect the anticipated ownership, use, and licensing of any intellectual property. Proposers represent and warrant that the Proposal is an original work created solely by the Proposer, that the Proposer owns all intellectual property in and to the Proposal, and that no other party has any right, title, claim or interest in the Proposal, except as expressly identified by the Proposer in writing in the Proposal.

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). 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). 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 Phase Two (grand prize) implementation contract duration of up to three 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 (see Attachment E) to contract successful Phase Two Proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA expects to notify Proposers in approximately two (2) months from the Phase Two Proposal due date whether your Proposal has been selected to receive a Grand Prize 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](#). Please see Proposal (www.electricmobilitychallenge.org/application) for additional information.

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.

V. Attachments

- A. Phase Two Proposal Form
- B. Phase Two Scoring Rubric
- C. Monitoring & Verification (M&V) Plan
- D. Community Engagement Plan (CEP)
- E. Sample Agreement including Exhibit A - Statement of Work for Phase Two Grand Prize Awards
- F. Detailed Budget Form
- G. Phase Two Scoring Rubric (Long Island Only)



Electric Truck & Bus Challenge
 Program Opportunity Notice (PON) 4745
Up to \$24.5 million

NYSERDA reserves the right to extend and/or add funding to the Solicitation should other program funding sources become available.

Phase One Registration Deadline: July 22, 2021 by 3:00 p.m. Eastern Time
 Phase One Proposals Due: August 26, 2021 by 3:00 p.m. Eastern Time*
 Phase Two Proposal Due Date: June 9, 2022 by 3:00 p.m. Eastern Time*

Program Summary: The New York State Energy Research and Development Authority (NYSERDA) seeks Proposals for the [Electric Truck & Bus Challenge](#) as part of the New York Clean Transportation Prizes, which are designed to advance clean, electrified transportation in disadvantaged communities in New York State. The prizes will fund projects that will help overcome persistent transportation challenges in low-income communities and remove barriers to widespread electric vehicle use.

The Electric Truck and Bus Challenge aims to identify and demonstrate ways to reduce the cost, system and operational challenges of further deployment of medium- and heavy-duty (MD/HD) electric vehicles (EVs), including minimizing the costs of charging and grid integration infrastructure for MD/HD EVs; improve the quality of life in disadvantaged and other impacted communities; and demonstrate clear potential for replication and scale.

Proposal Phase	Total Funding Available	Anticipated Number of Awards
Phase One: Planning Grants (Completed)	Up to \$500,000	Up to five (5) at \$100,000 each
Phase Two: Grand Prizes (Note: this Phase is only open to Phase One Awardees)	Up to \$24 million	Up to three (3) at \$8 million each

All, some, or none, of the available funds may be Awarded. NYSERDA reserves the right to add or reduce time and/or funding to Awarded contracts. Note: Only projects located within communities served by electric utilities regulated by the New York State Public Service Commission are eligible to receive the funding currently available through this PON (4745). These utilities are: Central Hudson Gas & Electric, Con Edison, National Grid, New York State Electric & Gas, Orange and Rockland, and Rochester Gas and Electric.

Subject to the availability of funds, up to one project located within a community (or communities) served by LIPA may be selected for a Phase Two award out of the Phase One awardees from all three challenges in the New York Clean Transportation Prizes program (PON 4743, PON 4744, PON 4745).

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 Adam Ruder (Designated Contact) at (518) 862-1090, ext. 3411 or Luisa Freeman (Designated Contact) by e-mail TransportPrizes@nyserda.ny.gov. If you have contractual questions concerning this solicitation, contact Nancy Marucci (Designated Contact) at (518) 862-1090, ext. 3335 or 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 offeror, and (2) may result in the Proposer not being Awarded a contract.

***All Proposals must be received by 3 p.m. Eastern Time. 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 sections have been answered in the online 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 for data entry when using the website. Please take as much time as is necessary to formulate your responses to each question by carefully reading the requirements as soon as possible. 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. NYSERDA will also accept Proposals by mail or hand-delivery if online submission is not possible. 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 a public benefit corporation established pursuant to Title 9 of Article 8 of the Public Authorities Law of the State of New York (State). NYSERDA’s principal mission is to develop innovative solutions to some of the State’s most difficult energy and environmental problems. In July 2020, the New York State Public Service Commission’s (PSC) Order Establishing Electric Vehicle Infrastructure Make Ready Program and Other Programs (Case 18-E-0138, “EV Make Ready Order”) directed NYSERDA to establish three prize competitions to fund projects that will help overcome persistent transportation challenges in low-income communities and remove barriers to widespread electric vehicle use. The goal is to advance clean, electrified transportation options in disadvantaged communities in New York State, including, but not limited to, electric trucks and buses, electric cars, electric micro mobility, and other mobility services. The competitions are intended to provide teams of global experts with the opportunity to directly engage communities and local groups to improve transportation options, reduce emissions, and develop solutions that can be scaled and replicated in New York State and beyond.

Summary of New York Clean Transportation Prizes design

All three prizes will be implemented in two phases to provide potential Proposers with the time and resources necessary to develop the best approaches to meet the objectives of each prize competition.

Phase One (Completed) The purpose of Phase One is to invite a wide range of Proposers to register and submit a detailed Proposal for each relevant prize. Since these three prize competitions will launch simultaneously, Proposers will have the opportunity to propose to more than one competition, and those Proposers may be asked to indicate how any efficiencies can be gained if they are awarded more than one grand prize Award to implement their proposed solution(s). The outcome of Phase One is to produce a cohort of planning grant Awardees, who will receive planning grants and other support in order to participate in Phase Two and prepare their final Proposals for grand prize consideration.

Phase Two: Planning grant Awardees selected in Phase One will undergo a rigorous period of planning support in order to refine and strengthen their Proposals and conduct additional engagement for Phase

Two. Based on feedback provided from the Phase One assessments, planning grant Awardees will understand gaps in their Proposals. NYSERDA will provide access to experts to help them refine their Proposals over a protracted period of the Phase Two timeline. Based on the revised Proposals, the scoring committee will assess and make recommendations to determine the grand prize Awardees for each prize competition.

II. Program Requirements

A. Solution Eligibility

At a minimum, all proposals should:

1. Reduce air pollution and emissions in the areas in which MD/HD vehicles operate.
2. Identify and demonstrate ways to reduce the cost and operational challenges of further deployment of MD/HD electric vehicles.
3. Provide replicable strategies for electric MD/HD fleet charging with minimum required grid upgrades.
4. Improve quality of life in disadvantaged and other impacted communities.
5. Demonstrate a clear potential to be repeated in other fleets and communities and have the potential to scale in the chosen fleet and communities.

To receive the highest scores for this challenge, Proposals must focus efforts and demonstrate emissions reductions in disadvantaged communities. Proposals are encouraged to generate local economic benefits for the communities in which they operate through local hiring and investment. Proposals may address paths toward the development of regulations to further accelerate electric MD/HD adoption. Note, proposals may also support initiatives to reduce MD/HD trips through smart routing, electric light-duty alternatives, and other means. Note: It is a program priority to fund projects that meet the replicability requirements of this solicitation. NYSERDA reserves the right to negotiate the scope of any proposals selected for award to strengthen the replicability portion of the project.

Proposals may NOT include any of the following elements:

- A sole focus on vehicle or fleet replacement
- Projects that involve pre-commercial technologies
- Projects that do not operationalize or implement technologies that can be replicated at scale
- Projects that have significant technology risk

B. Proposer Eligibility

Only proposals selected for a Phase One planning grant are eligible to submit a proposal to the final Electric Truck & Bus Challenge.

The following entities are not eligible to apply as the Principal Organization, but may be part of a proposing team:

- Individuals.
- Government agencies, including United Nations agencies, inter-governmental bodies, and regional cooperation agencies. Please note: Indian Nations are eligible to apply as a Principal Organization and serve as part of a proposing team.
- Departments, authorities, or other entities that are part of local, state, or federal government.
- Universities and colleges.

The following entities are not eligible to be a Principal Organization nor members of any proposing team:

- Registered lobbying organizations whose primary business is lobbying.
- Utilities and associated enterprises, within their respective service territories.

Financial and Organizational Capacity – All applicants must demonstrate their financial and organizational capacity to carry out the proposed project and to appropriately manage any Award, should they be designated as an Awardee.

C. Proposal Submission Limit

An organization that has received a Planning Grant award can submit only one final Proposal for the Electric Truck & Bus Challenge as the Principal Organization. An organization can also serve as a partner on a team for multiple Proposals provided that each Proposal proposes a separate, distinct solution.

While a single organization can serve as a Principal Organization on one Proposal, as well as participate as part of a team on multiple Proposals, there should be no overlap in the individuals from that organization on those separate Proposals. The intent of the policy is to ensure that any team member is concentrating their best effort into a single Proposal. Overlapping membership of advisory boards is permitted.

Geographic Eligibility

The Electric Truck & Bus Challenge is open to Proposals located in any community within New York State. As noted in Section II.A, to receive the highest scores, Proposals must focus efforts and reduce emissions in at least one disadvantaged community per the interim definition below:

Disadvantaged Communities include either:

1. Communities that meet both of the following criteria:
 - a. Census block groups that are in the top quartile of HUD census tracts meeting the annual income threshold of 50% Area Median Income (see below*), and
 - b. Location identified as a [Potential Environmental Justice Areas](#), as defined by the New York State Department of Environmental Conservation, or
2. Communities located within New York State [Opportunity Zones](#).

*HUD 50% Threshold: Top quartile of census block groups in New York, ranked by the percentage of LMI Households in each census block. LMI Households are 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.

NYSERDA has provided an [interactive map](#) that identifies areas throughout the State that meet the interim criteria specified above.

III. Proposal Requirements

The Proposer's goal should be to concisely present the information needed to fully address the evaluation criteria (see Section IV). Proposals may not exceed the word limits specific in the Proposal form, and any Proposals that are incomplete or fail to meet eligibility requirements may be rejected as non-responsive.

Any materials submitted will be cut off at the page limit and any additional pages, excluding a cover page, will not be reviewed by the scoring committee. If you believe proprietary information must be submitted to provide an adequate Proposal, you must comply with Section V instructions for submitting proprietary information.

Proposals must be in English and meet the Proposal requirements stipulated on the NYSERDA Program Opportunities website. Proposals may not contain obscene, provocative, defamatory, or otherwise objectionable or inappropriate content.

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.

A. Phase One Proposal Format (Completed)

The Phase One Proposal process has been completed.

B. Phase Two Proposal (by invitation only)

Only Phase One Awardees are eligible to propose to Phase Two. Based on feedback provided from the Phase One assessments and insights gained throughout the Phase Two process, Phase One Awardees will understand gaps in their proposed solutions, will make improvements to their proposed solutions, and submit Phase Two final Proposals. The Phase Two scoring committee will assess and make recommendations to determine the grand prize Awardees for each prize competition.

Of these Phase One Awardees, up to three (3) will receive an Award of \$8 million each if selected as grand prize Awardees during the Phase Two proposal and evaluation process.

The Proposal form contains the following sections:

- A. **Cover Letter (2 pages)**
- B. **Executive Summary (3 pages):** This is your opportunity to make a strong first impression. Offer a brief and compelling overview of your solution as if presenting to an investor. Avoid using jargon, abbreviations, or language that a layperson may not understand.
- C. **Your Team (4 pages):** Now that you've introduced your solution, focus on the structure, capacity, and leadership of your team. Successful execution is of paramount importance to the success of this prize and a strong team is critical.
 - **Appendix A:** Resumes of Key Personnel (not included in page count)
- D. **The Problem: (4 pages)** Here is your opportunity to explain the problem(s) you intend to solve and to demonstrate your nuanced understanding of the disadvantaged communities you aim to serve.
- E. **Your Solution & Its Execution (12 pages):** Here's your opportunity to more fully explain how you intend to solve the problem(s) you have outlined above. It is important to convey both that you have a sound strategy and also that you have a sound approach to execution.
- F. **Projected Impact (3 pages):** Demonstrate how your solution will better meet the transportation needs of disadvantaged communities, improve health, and increase the quality of life and opportunity for community residents and others. While you will provide a Monitoring and Verification (M&V) Plan to be uploaded as Attachment 1 of your submission, this section should provide adequate summary of the metrics and intended outcomes of your project in quantifiable terms, and a summary of your data collection approach for assessing key project outcomes.
 - **Attachment 1:** Monitoring and Verification Plan (to be uploaded separately)

- G. **Community Engagement (2 pages):** Briefly summarize here your plans as to how you will collaborate with the communities in which you will deploy your solution, Details will be provided in a separate Community Engagement Plan (CEP) to be uploaded as Attachment 2 of your submission, with guidance on preparation of the CEP to be provided by NYSERDA's Outreach and Engagement contractor during the Planning Grant period.
- **Appendix B:** Letters of Endorsement (not included in page count)
 - **Attachment 2:** Community Engagement Plan (to be uploaded separately)
- H. **Sustainability, Scalability & Replicability (4 pages):** Clearly describe the potential and plans to scale, expand, repeat, and/or replicate your solution. Explain your team's financial and revenue model for growing the solution once the grant period ends.
- I. **Project Plan & Budget (4 pages):** In this section, summarize your project plan and list the tasks to be carried out consistent with your Statement of Work to be uploaded separately as Attachment 3. Describe the resources required to successfully implement your solution. Please be as informative as possible, clearly portraying important activities the funds will be used for and when. The four-page limit for this section does not include the Statement of Work (to be uploaded as Attachment 3 of your submission) or the Detailed Budget Form (to be uploaded as Attachment 4 of your submission).

Note: Only projects located within communities served by electric utilities regulated by the New York State Public Service Commission are eligible to receive the funding currently available through this PON (4745). These utilities are: Central Hudson Gas & Electric, Con Edison, National Grid, New York State Electric & Gas, Orange and Rockland, and Rochester Gas and Electric.

Subject to the availability of funds, up to one project located within a community (or communities) served by LIPA may be selected for a Phase Two award out of the Phase One awardees from all three challenges in the New York Clean Transportation Prizes program (PON 4743, PON 4744, PON 4745).

Use of Funds – Funds from Phase Two Awards must be used for the solution described in the proposal and go toward achieving transportation-related outcomes. The solution must be implemented over a period of up to three years. NYSERDA funds may be used to cover overhead expenses necessary to implement the proposed project. Any overhead expenses should be reflected in fully-burdened rates in the budget.

Cost Sharing – While not required, all proposals have the option of including additional funding as cost share. This will be an important evaluation criterion under "Project Value." Cost share cannot include expenses that have already been incurred and NYSERDA funds cannot pay for efforts that have already been undertaken or be used to reimburse or replace normal expenses of other government organizations.

Annual Metrics Reports –The grand prize Awardee will be required to enter into an agreement with NYSERDA (See Attachment C) and 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.

Measurement & Verification – Awarded solutions will have access to a third-party contractor to verify any claims of performance measurement and, in some cases, collect additional data, during

implementation. Phase Two Awardees will be required to submit a Measurement & Verification Plan (Attachment 1).

IV. Proposal Evaluation

Phase Two proposals will be reviewed by a scoring committee. Phase One Awardees will make a presentation of their proposal at a Pitch Event. The proposals and the pitch presentations will be evaluated by the scoring committee based on the following criteria and Scoring Rubric (Attachment B). **Any proposals for projects located within a community (or communities) served by LIPA will be evaluated separately against other LIPA-based proposals across the New York Clean Transportation Prizes program (PON 4743, PON 4744, PON 4745), as described in Attachment G.**

Projected Impact (20 points):

- Does the proposal demonstrate a vision and scale of opportunity to accelerate the deployment of medium- and heavy-duty electric vehicles, reduce costs, and reduce air pollution and emissions?
- Is the proposed solution innovative and superior to potential alternatives?
- How transformative is the solution for disadvantaged and other impacted communities, both in the short and long term?
- How significant is the issue or opportunity to the advancement of electric truck and bus adoption?
- Are the processes for estimation of benefits clearly explained and reference defensible sources or reliable measurement methods?

Market Alignment and Engagement (20 points):

- Does the proposal offer a cost-effective, user-friendly solution that addresses system and operational barriers to the electrification of medium- and heavy-duty vehicles now and in the future?
- Does the proposal incorporate innovative solutions for managing the costs of charging and grid integration?
- Has the proposer demonstrated that the proposed solution is something that stakeholders are interested in and capable of implementing?
- Does the proposal contain Letters of Endorsement from all essential stakeholders?

Feasibility (20 points):

- Is there a sound approach, thorough plan, sufficient resources, community buy-in, and necessary approvals (or plans for approval) to execute their solution?
- Does the proposer identify a path to market acceptance and economic viability for their solution?
- Is there a credible team with the experience, capacity, and existing (or planned) relationships needed to mitigate risk and succeed where other solutions have not?
- Is there a strong understanding of local and market conditions and does the proposer have a reasonable process to gather and integrate information from relevant market representative(s) who can verify these claims?
- Is the solution likely to be adopted and result in NYS benefits?
- Are the expected benefits likely to be realized, given other constraints or barriers?

Sustainability and Repeatability (20 points):

- Is there a vision and roadmap to sustain, scale and/or replicate the solution to reduce emissions and benefit more disadvantaged communities in the long term?
- Is the team positioned to adapt, disseminate results, and build a transferrable model that will meet changing community needs and derive value for future implementation?
- Does the proposer have a reasonable plan for pursuing additional funding and community and/or market support necessary to sustain, scale and/or replicate the solution?
- Is there a plan for technology and/or knowledge transfer, as appropriate?

Project Value (20 Points):

- Is the overall project cost justified based on the expected benefits?
- Relative to the project cost, how significant are the potential benefits?

- Is the budget reasonable and in compliance with funding requirements under the solicitation?
- Does the proposal include the budget and a cost breakdown by task and by participant?
- Does it include a separate budget form for subcontractors (> \$50K), if applicable?
- Is the information provided in the supporting schedule sufficiently detailed?
- If applicable, how appropriate are the proposer's cost share contributions (sources and amounts) with respect to their potential to benefit from the work and the financial status of the proposing organization and project team?
- Are these additional contributions secured or, if not, is there a sound plan for securing them?

NYSERDA reserves the right to accept or reject Proposals based on the following Program Policy Factors:

- The degree to which there is diversity of geographic location
- The degree to which there are organizational risks associated with the project
- The degree to which pricing and hourly rates are in line with the rest of the market.

It is anticipated that up to three (3) proposers will receive an Award of \$8 million each. Proposals will be evaluated based on the Evaluation Criteria and Program Policy Factors may be applied. NYSERDA may also recommend a modification to an award.

Note: Only projects located within communities served by electric utilities regulated by the New York State Public Service Commission are eligible to receive the funding currently available through this PON (4745). These utilities are: Central Hudson Gas & Electric, Con Edison, National Grid, New York State Electric & Gas, Orange and Rockland, and Rochester Gas and Electric.

Subject to the availability of funds, up to one project located within a community (or communities) served by the Long Island Power Authority (LIPA) may be selected for an additional Phase One award through this PON (4745). Up to one additional project located within a community (or communities) served by LIPA may be selected for a Phase Two award out of the Phase One awardees from all three challenges in the New York Clean Transportation Prizes program (PON 4743, PON 4744, PON 4745).

Projects located in other electric utility service territories are eligible to participate in the submission and evaluation process, and must identify a separate funding for grant awards. Up to one additional Phase One project may be selected from the other electric utility service territories to be provided with access to expert consultants and other support services to prepare a Phase Two proposal. This additional project is not eligible to receive the planning grant, grand prize, nor funding for community partners from 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" in each answer to the Proposal question 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.

Treatment and Use of Intellectual Property. Each Proposal should reflect the anticipated ownership, use, and licensing of any intellectual property. Proposers represent and warrant that the Proposal is an original work created solely by the Proposer, that the Proposer owns all intellectual property in and to the Proposal, and that no other party has any right, title, claim or interest in the Proposal, except as expressly identified by the Proposer in writing in the Proposal.

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). 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). 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 Phase Two (grand prize) implementation contract duration of up to three 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 (see Attachment E) to contract successful Phase Two Proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA expects to notify Proposers in approximately five (5) months from the Phase Two Proposal due date whether your Proposal has been selected to receive a

Grand Prize 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](#). Please see Proposal (www.electrictruckandbuschallenge.org/application) for additional information.

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 NYSEDA, 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 NYSEDA 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 NYSEDA employees. However, as a general rule and in accordance with New York Public Officers Law, former employees of NYSEDA may neither appear nor practice before NYSEDA, nor receive compensation for services rendered on a matter before NYSEDA, for a period of two years following their separation from NYSEDA 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

- A. Phase Two Proposal Form
- B. Phase Two Scoring Rubric
- C. Monitoring & Verification (M&V) Plan
- D. Community Engagement Plan (CEP)
- E. Sample Agreement including Exhibit A - Statement of Work for Phase Two Grand Prize Awards
- F. Detailed Budget Form
- G. Phase Two Scoring Rubric (Long Island Only)



NYSERDA

KATHY HOCHUL
Governor

RICHARD L. KAUFFMAN
Chair

DOREEN M. HARRIS
President and CEO

**Climate Justice Fellowship
Program Opportunity Notice (PON) 4772
\$5.2 Million Available**

**Applications accepted through January 31, 2022,
by 3:00 p.m. Eastern Time.**

Applications will be evaluated on a rolling, first-come first-served basis. It is anticipated that an additional due date(s) for 2022 Fellowships will be posted after January 31, 2022.

Program Background and Summary

New York State is a leader in promoting environmental and climate justice, to ensure an equitable clean energy transition for all communities — but especially those disproportionately burdened by environmental health hazards — and position them to chart the clean energy future that meets their communities' needs. A key element of climate justice is ensuring the green jobs of the future are available to all New Yorkers. The New York State Energy Research and Development Authority (NYSERDA) has been directed to invest more than \$100 million through 2025 to train workers for good-paying jobs created across the state in the clean energy economy, and NYSERDA has prioritized these workforce training investments to serve historically disadvantaged communities and priority populations including individuals that are low income, veterans, disabled, formerly incarcerated, and residents of environmental justice communities.

For example, NYSERDA is currently supporting the next generation of clean energy workers by funding internships and on-the-job training for individuals looking to join the clean energy industry. NYSERDA's Internship and On-the-job Training programs provide a wage subsidy to businesses, helping reduce the risk of hiring and training new workers in many emerging fields, including high-efficiency HVAC and energy efficiency. Eligible businesses can hire interns and permanent employees based on their needs. In addition, businesses have the option to hire eligible interns as a full-time employee through the On-the-Job Training Program following their internships.

NYSERDA is seeking to leverage our support for interns and on-the-job training with a new program to support Climate Justice Fellowships. For the purposes of this solicitation NYSERDA is seeking applications to fund and provide professional development training/mentoring for year-long, full-time fellowships, for individuals currently residing in disadvantaged communities or from priority populations, to work within organizations and businesses that advance climate justice and clean energy priorities for disadvantaged communities. It is anticipated that fellows currently residing in disadvantaged communities or from priority populations will work with community-based organizations, universities, municipalities, climate tech innovators/start-ups, venture development organizations and clean energy businesses.

No communication intended to influence this procurement is permitted except by contacting Glenard Killikelly, (518) 862-1090, ext. 3273, or Adele Ferranti, (518) 862-1090, ext. 3206, or by email WInfo@nyserdanv.gov. If you have contractual questions concerning this solicitation, contact Nancy Marucci at (518) 862-1090, ext. or by email NancySolicitations@nyserdanv.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.

It is expected that Fellows will assist with community engagement activities (e.g., plan, policy, or project), clean energy project development and implementation, facilitate partnership building, support clean energy start-ups, or engage in other projects related to advancing climate justice and clean energy priorities in disadvantaged communities

NYSERDA anticipates funding approximately 150 fellowships through 2024, and will work with State and federal agencies, non-profits, foundations, and other partners to leverage existing resources, wrap-around services, training, and professional development opportunities.

For eligible host employers, the total award amount is capped at \$40k per Fellow, which includes a \$37k mandatory minimum annual (12-month) salary for the Fellow; and \$3k for training/professional development and/or wrap-around services (details below) for the Fellow during the 12-month period. Upon NYSERDA review and approval, any remaining eligible funds (up to the maximum of \$40k per Fellow) may be paid to the Fellow as a bonus upon successful completion of the 12-month employment period. Host employers are required to provide the Fellow with comprehensive employee health benefits (details below) as cost share.

Host employers must apply to the program with a fellow candidate identified. Employers must provide an outline of specific activities the fellow will undertake over the 12-month period. Based on the evaluation criteria in this document, NYSERDA will select employers and their Fellows to participate in the program.

Applications that meet solicitation requirements will be reviewed and evaluated on a rolling and first-come first-served basis by a Scoring Committee consisting of NYSERDA staff and selected outside reviewers. A threshold will be set at NYSERDA's discretion. Final rankings and contract awards will be based on the below Evaluation Criteria.

Application Submission

All applications must be received by 3pm Eastern Time on the date noted above. Online submission is preferred. For detailed instructions on how to submit an application proposal (online or paper submission), including file requirements, click the link "Application Instructions and Portal Training Guide [PDF]" located on PON 4772 solicitation page. Should any changes be made to this solicitation, notification will be posted on the "Funding Opportunities" section of NYSERDA's website.

Informational Webinar

NYSERDA will conduct an informational webinar on December 7, 2021, at 1pm 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@nyserda.ny.gov with the subject line "PON 4772 Climate Justice Fellowship" 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.

Terms and Definitions

Definition of Climate Justice: Climate justice is the promotion of individual and collective capacity to prepare for, respond to, and recover from climate events as well as the fair treatment, meaningful involvement, and the absence of discrimination in the creation of policies, programs, and projects that both address the disparate impacts of climate change and the transition to a net zero emissions economy.

Principles of Climate Justice: Links human rights and development to achieve a human-centered approach by safeguarding the rights of the most vulnerable. Climate justice should be informed by science and acknowledge the need for equitable stewardship of international resources.

Achieving Climate Justice:

- Encourage participation in decision-making by using fair, accountable, and open communications and processes.
- Require transparency in decision-making and policy development and implementation.
- Ensure that solutions benefit all but are crafted to prioritize communities facing the greatest barriers perpetuated by systemic and structural racism.
- Encourage mutual learning to achieve understanding and acceptance across all partnerships.

For the purposes of this solicitation, visit the [“Definitions”](#) page on NYSERDA’s Clean Energy Workforce Development website for the most up-to-date definitions on the terms “Disadvantaged Communities” and “Priority Populations.”

Funding

Total funding currently available for this solicitation is \$5.2 million. NYSERDA anticipates funding approximately 150 fellowships through 2024, and will work with State and federal agencies, non-profits, foundations, and other partners to leverage existing resources, wrap-round services, training, and professional development opportunities.

For eligible host employers, the total award amount is capped \$40k per Fellow, which includes \$37k mandatory minimum annual (12-month) salary for the Fellow; and \$3k for training/professional development and/or wrap-around services (details below) for the Fellow during the 12-month period. Upon NYSERDA review and approval, any remaining eligible funds (up to the maximum of \$40k per Fellow) may be paid to the Fellow as a bonus upon successful completion of the 12-month employment period.

As a cost share requirement, host employers are required to provide the Fellow with comprehensive employee health benefits (i.e., medical, dental and vision) at reasonable or no cost to the Fellow. Health benefits must be offered to the Fellow; however, the Fellow may deny health benefits if already covered under an existing policy. The host employer must describe the comprehensive employee health benefits offered, including costs, even if the Fellow denies the health benefits. Host employers that include additional employee benefits (e.g., life and disability insurance, retirement, paid time off, sick time, student loan assistance, etc.) in their cost share will be given preference.

When funds are exhausted or 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 will 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.

Reimbursement/Payments

Contract payments will be made to the eligible host employers only and will be made on a reimbursable basis (i.e., the Fellow must be paid full wages for the invoicing period before the host business requests an allowable reimbursement payment from NYSERDA). The eligible host business must submit request for reimbursement of wages that have been paid in accordance with the approved contract budget. Requests for reimbursement must be accompanied by supporting documentation in the form of paystubs, demonstrating hours worked, wages paid, benefits paid, etc. NYSERDA anticipates contract payments will be made at least once a month to the eligible host employers. NYSERDA will not reimburse for wages covered by any federal or state loan or grant program.

Wrap-around services and training/professional development needs may not be evident at time of application. Requests for reimbursement of these costs will be evaluated during and throughout the project period and is capped at \$3k.

On a case-by-case basis, NYSERDA will consider requests for a limited amount of funding to be provided up-front to support host organizations and the fellow(s). Justification regarding requests for advanced funding must be presented at time of application and reflected in the proposed budget.

Eligibility

Host employers must apply to the program with a fellow candidate identified. Eligible host employers may apply for one (1) or more fellows per session/due date. It is anticipated that most host employers would be approved for one (1) fellow per session/due date. Additional fellows could be approved if funding is available, and a host employer has made a good case for an additional fellow(s) and can demonstrate adequate supervision/mentoring and meaningful work for an additional fellow. NYSERDA reserves the right to exercise discretion in awarding additional fellows to venture development organizations, and registered/certified Minority- and Women-Owned Business Enterprise (MWBE) organizations and Services-Disabled Veteran-Owned Businesses (SDVOB). If a fellow does not complete their 12-month employment period, NYSERDA will not fund a replacement fellow; however, the host employer can apply to the next round.

Eligible Host Employers must:

- Be a community-based organization, university, municipality, climate tech innovator/start-up, venture development organizations (e.g., incubators, accelerators, or other similar programs), clean energy business or a firm dedicated to advancing climate justice and clean energy priorities in disadvantaged communities.
- Commit to hiring and providing professional development training/mentoring for a year-long, full-time fellowship, to an individual currently residing in a disadvantaged community or from a priority population, advancing climate justice and clean energy priorities for disadvantaged communities. Full-time is defined as 35 - 40 hours per week for 12 consecutive months.
 - *Note: Fellows may be hired by a venture development organization, such as an incubator, accelerator or other similar program that serves multiple climate tech companies. In that case, NYSERDA may approve requests for the fellow(s) to assist multiple companies throughout their fellowship, if those companies meet the other program criteria and the fellowships across multiple companies provides a meaningful, coordinated and cohesive experience to a fellow(s).*
 - *Note: The fellowships are intended for individuals not enrolled in school or coursework however part-time coursework or schooling that does not exceed 6 credit hours or 6 to 8 hours per week may be allowable and will be considered on a case-by-case basis, depending on the nature and hours of the full-time Fellowship and schooling or courses.*
- Have at least one physical business address in NYS where the fellowship will be executed and the legal authority to hire employees and conduct business in NYS.
- Have at least two or more employees or the equivalent of two full-time employees. Principals of corporations and owners of businesses such as sole proprietors or partners are not considered to be employees for this eligibility requirement. If the applicant host employer has no employees or if the workers are independent contractors, subcontractors or contract employees, then the business is not eligible.
 - *Note: This specific eligibility criteria does not apply to employers who are New York State registered, or New York City certified as a WBE/MBE/SDVOB, or to start-ups participating in NYSERDA's Tech to Market program at time of application.*
- Can provide the Fellow with comprehensive employee health benefits for the 12-month employment period (i.e., medical, dental and vision)
 - *Note: Host employers that include additional employee benefits (e.g., life and disability insurance, retirement, paid time off, sick time, student loan assistance, etc.) in their cost share will be given preference.*
- 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.
 - *Note: NYSERDA reserves the right to request that the New York State Department of Labor (NYS DOL) conduct a due diligence search to confirm this information. The NYSDOL due diligence review process will include a review of the business'*

Unemployment Insurance records; WARN notices; 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.

Eligible Fellow Candidates must:

- Currently reside in NYS and can work in NYS full-time for 12-months
 - *Note: For the purposes of this solicitation, when feasible, in-person work that prioritizes the health and safety of individuals is preferred. However, remote work, with a comprehensive "return to the office" transition plan, may be considered for funding.*
- Commit to the entire 12-month fellowship and the goal of assisting the employer in advancing climate justice and clean energy priorities for disadvantaged communities.
- Currently reside in a Disadvantaged Community or be from a Priority Population as defined on NYSERDA's Clean Energy Workforce Development "[Definitions](#)" page.
- Be a new hire, not a previous or furloughed employee, contractor, or intern
 - *Note: Under this solicitation, interns participating in NYSERDA's New York State Clean Energy Internships Program (PON 4000) may be eligible to become a Fellow with their current host employer. The fellowships are intended for individuals not enrolled in school or coursework however part-time coursework or schooling that does not exceed 6 credit hours or 6 to 8 hours per week may be allowable and will be considered on a case-by-case basis, depending on the nature and hours of the full-time Fellowship and schooling or courses.*
 - *Note: The Fellow can only begin their employment and implementation of fellowship plan after approval from NYSERDA has been received. Fellows that begin employment before approvals are received are NOT eligible.*
- Not be a relative of business owners, principals, or hiring managers.
 - *Note: "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.*

Assurances

The Host Employer must be willing to assure the following:

- The host employer's intention in participating is for the newly hired Fellow to remain employed with the employer upon completion of the fellowship program (i.e., 12 months).
- No worker shall be displaced by the Fellow, including a partial displacement such as a reduction in hours, wages, or employment benefits.
- The host employer will comply with New York State labor law and federal law for the protection of employees.

Fellowship Requirements

A successful Fellowship program can be designed to support a range of activities including study in a specific field, research to advance work on a particular issue, developing a new community-based organization or initiative, training and reflection to support the Fellow's growth, and opportunities to further explore a particular field of work. It is anticipated that successful Host Employers will already be working to advance climate justice and clean energy priorities in disadvantaged communities, and that the Fellow will assist in furthering this objective. To be eligible for funding, the proposed fellowship plan must:

- Be a full-time fellowship (35 to 40 hours a week for 12 consecutive months) with comprehensive employee health benefits at reasonable or no cost to the Fellow (i.e., Required: medical, dental and vision. Optional: life, and disability insurance, retirement, paid time off, sick time, student loan assistance, etc.)
 - *Note: Health benefits must be offered to the Fellow; however, the Fellow may deny health benefits if already covered under an existing policy. The host employer must describe the comprehensive employee health benefits offered, including costs, even if the Fellow denies the health benefits.*
- Advance climate justice and clean energy priorities for disadvantaged communities and fall within the eligible project range including but not limited to energy (e.g., benchmarking), retrofits, analysis (e.g., audits), policy (e.g., LEED assessment), events, inventory, social justice, strategic planning, etc.
- Include a general outline of climate justice activities the Fellow will undertake over the 12-month period, including estimates on the frequency of in-person meetings, peer check-ins, individual coaching sessions, etc.
- Have an initial high-level idea of the theme and shape of the final deliverable or capstone project the Fellow will produce upon completion of the program
 - Examples include but are not limited to:
 - Energy benchmarking/disclosure requirements that protect and empower tenants with information about the energy use intensity and affordability of their housing stock
 - Consider the health impacts associated with poor indoor air quality and insufficient thermal comfort
 - Identify and evaluate options for supporting equitable adaptation and resilience practices and projects, and to enhance insurance protection
 - Develop a comprehensive strategy to encourage investment by anchor institutions to equitably address climate change and local community wealth building
 - Energy efficiency education and resources to community members through a series of workshops, tabling events, and media
 - Analysis of specific clean energy curriculum for implicit bias and exploration of avenues to incorporate community voice in curriculum and programs
 - Examination of power and privilege dynamics and the impact these can have on communities; exploring opportunities to leverage power and privilege.
 - Exploration of related concepts and practices to move toward a just society; examining the historical context of exclusion in the United States and how this impacts communities.
 - Supporting and strengthening grassroots community-based collaboration with sector-based employment partners
 - Developing and/or implementing strengths-based community climate change/resilience planning strategies, policies, and projects
 - Facilitating partnership building and support clean energy start-ups' use of technology to address disadvantaged community identified needs to the disproportionate impacts of climate change
- Match Fellows with senior internal mentors – In the first few months of the fellowship, the Fellow should work with supervisors to identify a more senior professional within the host organization who can provide additional internal guidance and development.
- Match Fellows with external mentors – the host employer should work to connect the Fellow with professionals external to their organization, and who have overlapping professional and/or personal goals and interests.

- Assist the Fellow in securing the proper training/professional development and wrap-around services (e.g., public transportation), enabling their ability to fully engage in the program
 - *Note: Wrap-around services and training/professional development needs may not be evident at time of application. Requests for reimbursement of these costs will be evaluated during and throughout the project period and is capped at \$3k.*
 - *Note: NYSERDA will work with State and federal agencies, non-profits, foundations, and other partners to leverage existing resources for training and professional development for Fellows. Activities may include peer groups, leadership development, and mentorship for all Fellows, and will be provided at no or low cost to the Fellow or host employer.*

Reporting

A host employer must agree to the following terms and conditions regarding reporting and reimbursement:

- Keep records of the Fellow's progress according to the fellowship plan and must make these records available to NYSERDA upon request.
- Acknowledge that failure to maintain the required fellowship records will result in disallowance of fellowship funds.
- Acknowledge that on-site and/or remote fiscal and programmatic monitoring of contract activities will 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.
- Complete and submit requested evaluations of each Fellow hire to NYSERDA following guidance provided by NYSERDA. Failure to submit completed evaluations in a timely manner may result in disallowance of Fellowship funds.
- Notify NYSERDA in writing if any approved Fellow is terminated or quits. This notification must be made within two weeks of the change in employment status.

NYSERDA reserves the right to terminate Contractors from the program who receive complaints or other serious charges from employees or new hires.

Application Requirements

To obtain the attachments listed below, see the "Associated Documents" on the funding opportunities page for this solicitation.

- Attachment A – Host Employer Application
- Attachment B – Fellow Candidate Application
- Attachment C – Fellow candidate's resume detailing educational background, work experience, volunteer activities, etc.
- Attachment D – Two (2) professional, academic and/or personal letters of support – this could be a professor, mentor, employer, community member, elder, etc. Letters of support should not exceed one page, single-spaced, and speak to the candidate's ability to effectively engage in the fellowship program. Please include contact information of the person who is writing the recommendation.
- Attachment E – Essay or personal statement briefly describing why you (the fellow candidate) are the ideal candidate for this fellowship opportunity. It is required that you explain why you should be considered as an individual currently residing in a Disadvantaged Community or from a Priority Population as defined on NYSERDA's Clean Energy Workforce Development "[Definitions](#)" page.
- Attachment F – Budget

Application Evaluation

Applications that meet solicitation requirements will be reviewed and evaluated on a rolling and first-come first-served basis by a Scoring Committee consisting of NYSERDA staff and selected outside reviewers. A threshold will be set at NYSERDA's discretion. Final rankings and contract awards will be based on the

below Evaluation Criteria, listed in order of importance. After applications are reviewed by the Scoring Committee, NYSERDA will notify each proposer whether or not the application was favorably evaluated. NYSERDA reserves the right to require an interview or request additional information from proposers before the final contract award decision. NYSERDA also reserves the right to eliminate from further consideration any application deemed to be substantially or materially non-responsive to the requirements of this PON or the requests for information contained herein.

Evaluation Criteria

Comprehensiveness of Approach & Management Plan

- How comprehensive are the climate justice tasks, activities, and/or projects the Fellow is anticipated to undertake for the 12-month employment period? Do the tasks, activities, and/or projects help to advance climate justice and clean energy priorities for disadvantaged communities? Is a general schedule detailing what will occur during the 12-month period included? Does it include estimates on the frequency of in-person meetings, peer check-ins, individual coaching, etc.?
- Does the potential final deliverable or capstone project speak to the objectives of this solicitation? How well does the Fellow's anticipated tasks and final deliverable build and improve upon activities currently underway in the organization? How well does the anticipated final deliverable benefit the Fellow, partnering organizations, local communities, and NYS? (e.g., what does the Fellow achieve upon completion of the program?)
- Have potential internal and external mentors to the Fellow been identified? Do their backgrounds compliment the tasks/activities/projects the Fellow will undertake? Has a mentoring schedule been outlined?
- Is the host employer proposing to provide the Fellow with appropriate and comprehensive wrap-around services and/or training/professional development needed to be successful in this program?

Fellow Candidate Requirements

- Is the candidate's resume included? Does the resume include all the required elements on the resume application form?
- Are two (2) professional, academic and/or personal letters of support for the candidate included? How well do these letters support the spirit of this solicitation and speak to the candidate's ability to effectively engage in a fellowship program?
- Is an essay or personal statement included? How well does the essay/personal statement describe why they are the ideal candidate for this fellowship opportunity? As required, does the essay/personal statement explain why the candidate should be considered as an individual currently residing in a Disadvantaged Community or from a Priority Population as defined on NYSERDA's Clean Energy Workforce Development "[Definitions](#)" page?

Host Employer Relevant Experience, Qualifications & Requirements

- How well does the organization's background/prior experience, mission, values, and objectives relate to advancing climate justice and clean energy priorities for disadvantaged communities?
- Is the firm a community-based organization, university, municipality, climate tech innovator/start-up, clean energy business or a firm dedicated to advancing climate justice and clean energy priorities in disadvantaged communities?
- Does the firm have at least two or more employees or the equivalent of two full-time employees? If no, is the firm New York State registered, or New York City certified as a WBE/MBE/SDVOB, or a start-up currently participating in NYSERDA's Tech to Market program?

- Does the firm 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?
- Does the firm have at least one physical business location in NYS and the legal authority to hire employees and conduct business in NYS?

Cost

- Host employers are required to provide the Fellow with comprehensive employee health benefits (i.e., medical, dental and vision) as cost share during the 12-month employment period. How comprehensive are the health benefits being proposed? Are these benefits provided at reasonable or no cost to the Fellow?
- Is the host employer proposing to provide additional employee benefits (e.g., life, and disability insurance, retirement, paid time off, sick time, student loan assistance, etc.) to the Fellow during the 12-month employment period as cost share? How comprehensive are these additional employee benefits? Host employers that include additional employee benefits in their cost share will be given preference.
- Is the host employer requesting advanced funding to cover upfront costs? If yes, is the request justified?
- Have potential wrap-around services and/or training/professional development opportunities been identified? If so, are the costs reasonable?

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 applicant 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.
- Past performance under prior NYSERDA agreements.

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). 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). 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 qualifying multiple contractors under this solicitation. NYSERDA anticipates a contract duration of approximately one year, 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 application. 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 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 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 to 12 weeks from the application due date whether your application has been qualified. 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.

I. Attachments:

- Attachment A – Host Employer Application
- Attachment B – Fellow Candidate Application
- Attachment C – Fellow Candidate’s Resume
- Attachment D – Fellow Candidate’s Letters of Support
- Attachment E – Fellow Candidate’s Essay/Personal Statement
- Attachment F – Budget Form
- Attachment G – Sample Agreement

New York State Energy Research and Development Authority

Albany

17 Columbia Circle, Albany, NY 12203-6399

(P) 1-866-NYSERDA | (F) 518-862-1091

nyserda.ny.gov | info@nyserda.ny.gov

Buffalo

726 Exchange Street

Suite 821

Buffalo, NY

14210-1484

(P) 716-842-1522

(F) 716-842-0156

New York City

1359 Broadway

19th Floor

New York, NY

10018-7842

(P) 212-971-5342

(F) 518-862-1091

West Valley Site

Management Program

9030-B Route 219

West Valley, NY

14171-9500

(P) 716-942-9960

(F) 716-942-9961

New York State Energy Research and Development Authority (NYSERDA)
Empire Building Challenge (Phase II: Low Carbon Retrofits Implementation)
Program Opportunity Notice (PON) 4809
Up to \$25,000,000 available

NYSERDA reserves the right to extend and/or add funding to the Solicitation should other program funding sources become available.

<p>PROPOSAL DUE DATE FOR ROUND 1: November 15, 2021 by 3:00pm ET*</p>
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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 tall buildings. Announced in the 2020 State of the State, EBC is a public-private partnership between New York State Energy Research and Development Authority (NYSERDA) and leading commercial and multifamily real estate portfolio owners. EBC will demonstrate innovative low carbon retrofit solutions that reduce buildings' energy consumption and greenhouse gas emissions, and are scalable and replicable across New York State.

Through this solicitation – EBC Phase II: Low Carbon Retrofits Implementation (PON 4809) – NYSERDA is only accepting proposals from Empire Building Challenge Partners (“EBC Partners” or “Partners”), i.e. the real estate portfolio owners that were competitively selected through Program Opportunity Notice (PON) 4498 – Empire Building Challenge Phase I: Real Estate Partnerships. EBC Partners can request up to \$5 million for the design and implementation of replicable and scalable low carbon retrofit projects at their participating EBC buildings. Demonstrating the feasibility of such large-scale retrofits with an exclusive focus on tall buildings is crucial to addressing the unique set of technical barriers to decarbonization these buildings face: their height and density make it significantly more challenging to find technical pathways to carbon neutrality.

At least two funding rounds will be held to accommodate EBC Partners with different project timelines. The first funding round will close on Monday, November 15, 2021. The due date for the second funding round will be announced at a later date, and will occur in 2022.

Informational Webinar: NYSERDA will host an informational webinar on Wednesday, October 13, 2021, starting at 1:00 pm. More details about the webinar will be sent directly to EBC Partners. Questions may be submitted ahead of the webinar by emailing questions to EBC@nyserda.ny.gov until 5pm on Tuesday, October 12, 2021.

Proposal Submission: Online submission is strongly encouraged. Complete and [submit your proposal here](#). 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](#).

Questions: For technical questions, contact only the following designated contacts: Sophie Cardona (212- 971-5342, ext. 3590) or Michael Reed (212-971-5342, ext. 3244) at EBC@nyserda.ny.gov. For contractual questions, contact ElsydaSolicitation@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 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 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

Proposer'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 that are in the process of being edited or submitted at 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.nyserdera.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>.

Terminology

Term	Definition
Proposer	The Proposer is the Empire Building Challenge Partner submitting a proposal to this solicitation.
Empire Building Challenge Partner, EBC Partner, or Partner	The building owners that were competitively selected under PON 4498 – Empire Building Challenge (Phase I: Real Estate Partnerships) and who are eligible to submit proposals to this solicitation.
PON 4498 – Empire Building Challenge (Real Estate Partnerships)	Program Opportunity Notice 4498: Phase I of the Empire Building Challenge, which led to the selection of the ten (10) current Empire Building Challenge Partners.
Proposed Measure, or Measure	The energy and carbon reduction measures that Proposers are requesting funding for under this solicitation.
Carbon Neutrality Roadmap, or Roadmap	A plan that articulates how Proposers will achieve their carbon neutrality commitments, as defined by the Proposer's public commitment to carbon neutrality made in April 2021. EBC Partners' commitments can be found here .
Strategic Decarbonization Assessment Tool (SDA Tool)	An excel-based tool, that must be filled out by each Proposer, to quantify the decarbonization plans outlined in their Carbon Neutrality Roadmap. The SDA Tool is attached to this Solicitation as Attachment A.
Building	The building(s) that were committed to carbon neutrality by EBC Partners through PON 4498.

Table of Contents

This solicitation is divided into nine (9) sections:

- I. Overview
- II. Introduction
- III. Eligibility and Limitations
- IV. Evaluation Criteria
- V. Emissions Factors
- VI. Funding
- VII. Proposal Requirements and Submission
- VIII. General Conditions
- IX. Attachments

Section I: Overview

The Empire Building Challenge is an initiative that supports **replicable and scalable low carbon retrofit approaches to achieving carbon neutrality** in existing tall buildings. Announced by New York State in early 2020, 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 tall 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 tall buildings in NYS 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.

The first phase of this initiative was a competitive solicitation process, administered through PON 4498 (Empire Building Challenge – Real Estate Partnerships) 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 ten selected real estate partners can be found on the [NYSERDA Empire Building Challenge webpage](#). These Partners are now eligible to submit funding proposals for their low carbon retrofit projects at the buildings where Partners have made carbon neutral commitments.

NYSERDA anticipates issuing a third phase of the Empire Building Challenge in 2022 that will be opened to a broader audience of market participants, with the goal of replicating successful low carbon retrofit models that emerge from the initial cohort of Empire Building Challenge Partners.

Section II: Introduction

By funding replicable and scalable retrofit approaches that can put tall buildings on a path towards carbon neutrality, NYSERDA and its EBC Partners will demonstrate what is feasible, both economically and technically, with respect to the decarbonization of tall buildings, 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 seeks projects that emphasize transformative decarbonization technologies, achieve meaningful energy use intensity (EUI) and carbon reductions at the whole building and/or end-use levels, and open the path for replication and scale.

***NOTE:** Competitive proposals will encompass approaches that shift thermal loads from fossil fuels to electric, and/or constitute enabling work for decarbonization, such as projects that reduce thermal loads, and thermal and electric peaks.*

Section III: Eligibility and Limitations

MINIMUM ELIGIBILITY CRITERIA

- All current Empire Building Challenge Partners selected under PON 4498 (EBC Phase I) are eligible to submit proposals.
- Only buildings that are included in the Partner's commitment to carbon neutrality may be included in a Partner's proposal.
- All buildings that are included in the proposal must be located in New York State and contribute to the System Benefit Charge on a common area electric utility bill.

LIMITATIONS

NYSERDA seeks to support innovative approaches for low carbon retrofits that put tall buildings on a clear path to carbon neutrality. Measures that are not eligible for funding through this solicitation are:

- Like-kind replacements of fossil fuel-fired equipment.
- Building Management Systems (BMS) or controls systems that do not integrate with significantly modified energy-related building systems also submitted as part of a Partner's proposal.
- Retrofits that only incrementally improve fossil fuel-fired equipment performance.
- LED lighting-only retrofits.
- Modifications to existing steam distribution systems which yield an incremental improvement to overall building energy use intensity (EUI), unless they are part of a demonstrated pathway toward achieving deep decarbonization in the future (for example, the introduction of low-temperature distribution tied in with steam system upgrades).
- Proposals containing offsite renewable energy/RECs/carbon credits and clean energy offsets as a major component of the carbon neutrality approach.

Any ineligible Measures included in a proposal will not be reviewed for funding.

Section IV: Evaluation Criteria

Proposals will be evaluated on a competitive basis. Proposers should take care to address all the evaluation criteria in their proposals and note that several of these criteria will be captured in the Strategic Decarbonization Assessment Tool and the Carbon Neutrality Roadmap that are requirements of every Proposer's submission (see Section VII: Proposal Requirements and Submission). Table 1 below describes the evaluation criteria, the metrics that will be used to assess each criteria, and where the information should be provided in a proposer's submission. NYSERDA reserves the right to accept or reject a proposal at its sole discretion.

NOTE: Construction for EBC funded projects must commence within two years of the proposal submission date.

Table 1. Evaluation Criteria

Evaluation Criteria	Description	Metric	Location
Total reduction of on-site fossil fuels	Proposals must clearly state how Proposed Measures reduce on-site fossil fuel usage	<ul style="list-style-type: none"> Total reduction of on-site fossil fuels Percent reduction of on-site fossil fuels 	SDA Tool
\$/metric ton CO₂e reduction	Proposals must indicate the dollar per metric ton of CO ₂ e avoided	<ul style="list-style-type: none"> \$/metric ton CO₂e 	SDA Tool
Site energy use intensity (EUI) reduction	Proposals must demonstrate significant reductions in site EUI	<ul style="list-style-type: none"> Percent EUI reduction at the whole building level 	SDA Tool
Carbon Emissions Reduction	Proposals must demonstrate significant reductions in carbon emissions	<ul style="list-style-type: none"> Total reduction in GHG emissions Percent reduction in GHG emissions 	SDA Tool
Peak load reduction	Proposals must indicate the level of peak load reduction accomplished by the Proposed Measures	<ul style="list-style-type: none"> Percent of peak load reduced or shifted, for gas and electric 	SDA Tool
Level of replicability	Proposals must demonstrate that the Proposed Measure is widely repeatable within the Proposer's portfolio or by the broader market.	<ul style="list-style-type: none"> Total impacted square footage by the Proposed Measure in the Proposer's portfolio 	Proposed Measure Description
Level of cost-share requested	Proposals should clearly indicate the cost of implementing the Proposed Measure, the level of funding that is being requested from NYSERDA and the level of investment made by the Proposer.	<ul style="list-style-type: none"> Total cost of the Proposed Measure How much funding is being requested from NYSERDA under this solicitation How much private investment is being made by the Proposer 	Proposed Measure Description
Project timeline	Proposals should provide information about a Proposed Measure's timeline and any events that might derail said timeline. NOTE: Construction for EBC funded Measures must commence within two years of the proposal submission date.	<ul style="list-style-type: none"> What is the start date for implementing the Proposed Measure By what date will construction/implementation be completed 	Proposed Measure Description/ Roadmap
Level of innovation	Proposers should assess the extent to which the Proposed Measure demonstrates a catalytic approach to decarbonization that has the potential to break the inertia with respect to business-as-usual approaches, and pave the way for others to follow suit.	<ul style="list-style-type: none"> To what extent does the Proposed Measure overcome technical and other barriers to the decarbonization of tall buildings? To what extent is the Proposed Measure novel for high-rise buildings in the New York retrofit market? 	Proposed Measure Description
Adaptation and resilience	Proposers should assess the extent to which the Proposed Measure supports climate adaptation and resilience.	<ul style="list-style-type: none"> Does the Proposed Measure improve the Building's adaptation and resilience in the face of a changing climate? 	Proposed Measure Description

PROGRAM POLICY FACTORS

NYSDERDA reserves the right to accept or reject proposals based on the following factor(s):

- Whether the Proposed Measure(s) will accelerate innovative, transformational building decarbonization technology advances in areas that industry by itself is not likely to undertake, because of risk, and technical and financial uncertainty.
- The potential impact of a Proposed Measure, taking into consideration the level of replication, and how applicable it is to other buildings in the New York market.
- Diversity of awards by building typology and market sectors – including commercial, multi-family and affordable housing – and of proposed solutions.

Section V: Emissions Factors

Provided below are the greenhouse gas emissions factors that Proposers should use in calculating carbon reduction of Proposed Measures. The natural gas and Con Ed Steam emissions factors come from Local Law 97; the electric emissions coefficients are estimated based on the New York Power Grid Study and are interpolated from analyses of 2025, 2030, and the 2040 clean grid target in the Climate Act. More information can be found on the Story of our Grid webpage: <https://www.nysderda.ny.gov/About/Publications/New-York-Power-Grid-Study/Story-of-Our-Grid>.

NOTE: Proposers should hold natural gas and Con Ed steam emissions factors constant in their carbon reduction analysis through 2050, per Table 2. The electric emissions coefficients will drop over time per Table 3.

Table 2. Natural gas and Con Ed steam emissions coefficients, 2022-2050

Energy Source	Years: 2022 - 2050
Natural Gas	.05311 (kg of CO ₂ /kBtu)
Con Ed Steam	.04493 (kg of CO ₂ /kBtu)

Table 3. Electric emissions coefficients, 2022 – 2050.

Electric Emissions Coefficient (kg of CO ₂ /kWh)																		
'22	'23	'24	'25	'26	'27	'28	'29	'30	'31	'32	'33	'34	'35	'36	'37	'38	'39	'40 – '50
0.3	0.27	0.23	0.2	0.18	0.16	0.14	0.12	0.1	0.09	0.08	0.07	0.06	0.05	0.04	0.03	0.02	0.01	0

Section VI: Funding

FUNDING GUIDELINES

- A Proposer may receive up to \$5 million in total for the implementation of approved low carbon retrofits through EBC PON 4809.
- A Proposer who submits a proposal for funding in the first round, and is rejected, may submit a revised proposal for consideration in the second round.
- A proposer who submits a winning proposal in the first round may submit another proposal in the second round.

PAYMENT SCHEDULE

Payments will be disbursed to the EBC Partner, with whom NYSERDA will contract directly. Provided below is a draft payment schedule, which will form the basis for a scope of work negotiation with successful proposers:

Milestone	% NYSERDA cost-share disbursed
Completion of design documents	20
50% completion of construction documents	20
Completion of construction documents	20
50% construction complete	15
Construction complete	15
Completion of one year of M&V	10

Section VII: Proposal Requirements and Submission

Proposals must include the components listed below. An incomplete proposal will be deemed non-responsive and will not be evaluated.

1. An executive summary
2. A Carbon Neutrality Roadmap
3. Proposed Measure descriptions (including basis of design)
4. A Strategic Decarbonization Assessment
5. A tenant engagement plan
6. Supporting documentation (optional)

Proposers should note these important definitions for the purposes of submitting required documentation:

Proposed Measures: Proposed Measures are all the energy and carbon reduction measures for which the Proposer is requesting EBC funds. Proposed Measures can be stand-alone energy and carbon reduction measures, or they may be bundled into packages of measures. The Proposed Measures may be a subset of all measures considered as part of the Proposer's plan to achieve carbon neutrality.

Carbon Neutrality Roadmap (Roadmap): The Roadmap is the Proposer’s plan for achieving carbon neutrality in their Building(s), as defined by the commitments made when Proposers were selected as Empire Building Challenge Partners. A Roadmap should paint a holistic picture of the Proposer’s plan to achieve carbon neutrality and should include **all** the energy and carbon reduction measures that comprise the Proposer’s approach to carbon neutrality, including those measures that are not being advanced for EBC funding.

Strategic Decarbonization Assessment Tool (SDA Tool): This Tool allows Proposers to quantify the decarbonization-focused capital plans in relation to their Roadmap, illustrating the financial analysis of those plans compared to business-as-usual scenarios.

Climate Adaptation and Resilience: Resilience refers to the capacity to anticipate, absorb, adapt to, and recover quickly from shocks and stresses– and even to transform when needed. Shocks and stresses that put energy systems, transportation and the built environment at risk include those linked to climate change and extreme weather. This translates to energy systems that are robust, integrated, and equitable and that demonstrate redundancy, flexibility, and a range of resources to meet critical demands and needs.

Adaptation refers to adjustments in ecological, social, or economic systems in response to actual or expected climatic stimuli and their effects or impacts. It refers to changes in processes, practices, and structures to moderate potential damages or to benefit from opportunities associated with climate change.

REQUIRED DOCUMENTATION

The quality and rigor of a proposal will impact its evaluation, as a reflection of the likelihood the Proposer will be successful in reaching their commitment to achieve carbon neutrality in the buildings they committed through Empire Building Challenge – Real Estate Partnership PON 4498. The Proposer must submit the following documentation:

1. **Executive Summary**: The Proposer shall provide a brief description summarizing how the Proposed Measure(s) will create pathways for decarbonization within the Proposer’s broader Carbon Neutrality Roadmap for the Building(s) included in this proposal. The summary should also:
 - a. Explain how the Proposed Measures’ overall cost compares with projects in a business-as-usual approach, and any strategies to reduce these costs.
 - b. Clearly state the total cost of the energy and carbon reduction measures planned for implementation, the level of NYSERDA funding being requested, and the amount of private investment being brought to bear to support building decarbonization.
 - c. Clearly state the **total** investment Proposers anticipate making to reach their carbon neutrality goals in the proposed Building(s).
2. **Carbon Neutrality Roadmap**: The Proposer shall submit a Carbon Neutrality Roadmap that articulates how their Building(s) will achieve their commitment to carbon neutrality, as defined by the Partner’s public commitment to carbon neutrality made in April 2021. Partner commitments may be found [here](#). The Roadmap should include the following:
 - a. A narrative describing how the Building(s) will achieve carbon neutrality over a specified period of time (the “Decarbonization Period”).
 - b. A narrative supporting the capital planning analysis captured in the Strategic Decarbonization Assessment Tool.
 - c. A summary communicating the benefits of the Proposed Measure(s).
 - d. A compilation of energy model results and cost estimates.
 - e. A recommended timeline for phased implementation over the Decarbonization Period.

3. **Proposed Measure Descriptions:** Proposed Measure descriptions -- including basis of design and/or schematic design drawings-- should only be provided for Proposed Measures being submitted for NYSERDA funding. These descriptions should give a clear understanding of the scope and constructability of the proposed energy and carbon reduction measures. Proposed Measure descriptions must include:
 - a. A clear and concise characterization of the Proposed Measure(s), addressing the evaluation criteria listed in Section IV (Evaluation Criteria).
 - b. A description of how the Proposed Measure shifts thermal loads from fossil fuels to electric, and/or constitutes enabling work that prepares building(s) for future decarbonization.
 - c. The Basis of Design (BOD) narrative and diagrams -- documenting the reasoning and decisions made by the EBC Partner's design teams -- should include basic rationale, assumptions and logic embodied in the design of the Proposed Measure(s).
 - d. Optional: first draft schematic drawings including one-line engineering diagrams, clearly showing interconnection and integration to existing building systems.
4. **Strategic Decarbonization Assessment:** The Proposer must submit the Strategic Decarbonization Assessment (SDA) Tool (Attachment A) to quantify their decarbonization investments and compare their decarbonization plan against a baseline -- or business-as-usual -- approach. Proposers should clearly state the level of funding requested from NYSERDA and the total amount of private investment the Proposer anticipates making for the Proposed Measures.

NOTE: As needed, NYSERDA and its technical consultants will be available to support Proposers as they fill out the SDA Tool, including troubleshooting any technical issues, and answering questions on how to use the Tool. Proposers should send an email to EBC@nyserda.ny.gov to request help with the Tool.

5. **Tenant Engagement Plan:** The Proposer must submit a concise tenant engagement plan detailing how they will address the challenges and opportunities of engaging tenants. The plan should address how the Proposed Measure(s) may impact tenants and how the Proposer will ensure tenants benefit from the implementation of the Proposed Measure(s).
6. **Supporting Documentation:** As needed, Proposers may submit supporting documentation, which might include schematic design drawings, if applicable. Providing supporting documentation is optional.

NYSERDA reserves the right to request additional information to support a Proposer's submission.

PROPOSAL SUBMISSION PROCESS

Proposals must be submitted electronically [here](#) by 3pm, on November 15, 2021 for the first funding round. A complete proposal includes the following documentation:

1. Executive summary
2. Carbon Neutrality Roadmap
3. Proposed Measure Descriptions
4. Strategic Decarbonization Assessment:
 - o Every proposer must fill out Attachment A – The Strategic Decarbonization Assessment Tool

- The output of the Tool should be submitted as two separate documents: one Excel workbook saved in PDF format, and one Excel workbook saved as an Excel file. **The excel file should be unlocked.**
5. Tenant engagement plan
 6. Supporting documentation, including schematic design drawings, if applicable. Schematic drawings should be submitted in PDF format.

NOTE: The electronic application system closes promptly at 3pm. Files being edited or in the process of submission after 3pm ET on the solicitation due date will not be accepted. Proposers should allot sufficient time to enter and submit proposals.

Section 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 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). 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). 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 multiple awards under this solicitation. NYSEDA anticipates a contract duration of up to five (5) years, unless NYSEDA management determines a different structure is more efficient based upon proposals received. A contract may be awarded based on initial proposal 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 Attachment B, 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 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 will generally result in a more expedited contracting process. NYSEDA 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. 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 Attached Terms and Conditions. NYSEDA 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 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.

IX. Attachments

- **Attachment A** – Strategic Decarbonization Assessment Tool
- **Attachment B** – Sample Agreement



Energy-Related Air Quality Research

Program Opportunity Notice/Request for Proposal (PON) 4895

\$4,000,000 Available

NYSERDA reserves the right to extend and/or add funding to the Solicitation should other program funding sources become available.

Proposals Due: January 18, 2022 by 3:00 PM Eastern Time*

The New York State Energy Research and Development Authority (NYSERDA) supports research to improve the scientific and technical foundation for addressing key energy policy-relevant questions related to air quality and health effects research. In 2017 NYSERDA supported the “New York City (NYC) Metro Area Energy & Air Quality Workshop,” attended by air quality planners, researchers, non-profits, and industry to identify key research needs. Following the workshop, an intensive field campaign, the “Long Island Sound Tropospheric Ozone Study (LISTOS),” was coordinated by the Northeast States for Coordinated Air Use Management (NESCAUM). This effort included numerous state, federal, and academic researchers (<https://www.nescaum.org/documents/listos#participants>). This Program Opportunity Notice will build on the LISTOS efforts and other research needs identified below. The targeted research categories for this PON are listed below.

Category	Available Funds	Per Project Cap
A. Ozone Chemistry Dynamics in NYC- Long Island Region	\$1,500,000	\$500,000
B. Utilization of Satellite and other Remote Sensing Products for Air Quality Characterization at Fine Spatial Scales and Improved Air Quality Modeling	\$1,000,000	\$500,000
C. Methane and Co-Pollutant Emissions	\$1,500,000	\$500,000

A total of \$4,000,000 is available for projects. If funds for a category are not exhausted, NYSERDA reserves the right to allocate the remaining funds to another category. NYSERDA anticipates making multiple awards addressing multiple targeted research categories that result in peer-reviewed research publications in leading scientific journals. The primary audience for this PON includes researchers at academic or research institutions actively performing atmospheric, environmental, or energy research in NYS. Partnering with state, local and federal researchers or key industry partners is also encouraged. Early career researchers (less than 10 years conducting research as principal investigator) are especially encouraged to propose. Project durations are expected to be in the range of one (1) to four (4) years. Total funds available may not be sufficient to fund all proposals received. Cost-sharing by proposers of at least 25% is required. Leveraging of other research funding is strongly encouraged. In-kind cost-sharing is acceptable. NYSERDA may fund selected proposals in phases or assign a Project Advisory Committee. NYSERDA reserves the right to build teams between selected contractors and stakeholders and/or other supported research to maximize the value of the research effort and funding.

Proposal Submission: Online submission is preferable. Proposers may submit Word, Excel, PDF or zip files (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls,xlsx, and zip). However, proposals must be submitted as a single file, inclusive of all supporting documents. 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.

No communication intended to influence this procurement is permitted except by contacting Ellen Burkhard – primary designated contact at (518) 862-1090, ext. 3332 or air.quality.research@nyserda.ny.gov or Gregory Lampman – secondary contact (Designated Contact) at (518) 862-1090, ext. 3372. If you have contractual questions concerning this solicitation, contact Nancy Marucci (Designated Contact) at (518) 862-1090, ext. 3335 or 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 offeror, and (2) may result in the proposer not being awarded a contract.

*** ALL PROPOSALS MUST BE RECEIVED BY 3:00 PM 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 3pm Eastern Time, proposals or files in process or attempted edits or submission at any time after 3pm 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 major goals of NYSERDA’s Environmental Research Program are to increase understanding and awareness of the environmental impacts of current and emerging energy options, provide a scientific and technical foundation for formulating effective, equitable, energy-related environmental policies and resource management practices, and build scientific capabilities within New York State (NYS).

There have been many changes in the past few years with respect to energy and environmental policy and energy markets. While there is uncertainty in some areas such as federal policies, states such as New York have developed policies that are buoyed by market trends in renewable energy, and emerging technologies.

Energy policies in NYS and elsewhere are expected to change how and where electricity is generated, how buildings are heated and cooled, and how people and goods are transported. Many of these transformations will result in changes in the emissions profiles of energy sources and their proximity to where people live and work. Some technologies, such as zero-emissions technologies (energy efficiency, solar, wind, hydroelectric power, and electric vehicles) will result in significant emissions reductions. However, given the intermittency of solar and wind energy, they may require some level of backup by other generation sources or energy storage. Similarly, electric vehicles, while non-emitting during operation, do require charging from the grid. Where and when charging takes place will also alter emissions profiles. Combustion technologies are similarly complex. Finally, energy storage technologies will allow for more strategic dispatch of both renewable and conventional energy.

New York is embarking on a comprehensive energy strategy that includes initiatives presented in the State Energy Plan), Clean Energy Fund (CEF), Clean Energy Standard (CES), and the Climate Leadership and Community Protection Act (CLCPA).

Together they have the following goals to be accomplished:

- 85% reduction in greenhouse gases (GHG) by 2050;
- 70% of energy generation from renewable energy sources by 2030 and 100% carbon neutral by 2040;
- 9,000 MW of Offshore Wind by 2035
- 3,000 MW of Energy Storage by 2030
- 23% decrease in energy consumption in buildings
- 100% passenger cars and truck sales to be zero emissions by 2035
- 100% medium- and heavy-duty truck sales to be zero emissions by 2045

Together, these policy objectives, technical innovations in energy technology and management, market changes, and emerging scientific capabilities will present opportunities and potential challenges for air quality in NYS. This Environmental Research Program area will support research to improve the scientific and technical foundation for the key policy-relevant research needs described below.

Proposers are requested to consider these energy and environmental objectives and scientific needs when responding to the targeted research categories in this PON.

Proposals will be considered responsive to this solicitation only if they address one of the targeted research categories described below. Preferred projects are those that (in no particular order): provide data in a form that is useable by policy analysts and policymakers; utilize research/analytical capabilities in New York State; are comprised of interdisciplinary research teams including atmospheric, environmental, health and social scientists, and public policy analysts; and leverage out-of-State, federal, or other resources to address critical environmental issues in New York State. Projects should support research that helps improve the scientific and technological foundation to address key policy-relevant questions related to energy, and air quality research. They should build upon or coordinate with existing efforts, and not duplicate work by others. When appropriate, selected projects may be asked to work with a Project Advisory Committee assigned by NYSERDA. NYSERDA reserves the right to build teams between selected contractors and stakeholders and/or other supported research to maximize the value of the research effort and funding. Depending on the final Statement of Work for any selected proposal, NYSERDA reserves the right to require additional contracting terms, such as additional insurance to meet industry standards, or other similar requirements.

II. Program Requirements — Targeted Research Categories

A. Ozone Chemistry Dynamics in the Greater NYC- Long Island Region

Problem Statement

LISTOS was launched in the summer of 2018 to better understand the complex chemistry and transport of pollution in the region with a special focus on Long Island Sound. This area experiences some of the highest ozone (O₃) concentrations in the Eastern US and doesn't meet the 2015 National Ambient Air Quality Standards NAAQS. LISTOS involved several state and federal agencies along with university research groups in a multi-faceted coordinated campaign, with measurements obtained on land, in air, at sea, and from space

(<https://www.nescaum.org/documents/listos>). NESCAUM will continue LISTOS efforts through the summer of 2023.

The National Oceanic and Atmospheric Administration (NOAA) will be undertaking the Atmospheric Emissions and Reactions Observed from Megacities to Marine Areas (AEROMMA) field campaign in summer 2023 to improve understanding of emissions and chemical reactions that affect air quality and climate in megacities and marine environments in the U.S. This large research initiative will include aircraft measurements of the New York City metro area urban plume (<https://csl.noaa.gov/projects/aeromma/>). Additionally, the Greater New York Oxidant, Trace gas, Halogen and Aerosol Airborne Mission (GOTHAAM) and Coastal Urban Plume Dynamics Study (CUPiDS) will be taking place in 2023 and provide additional aircraft measurements; (https://www.nsf.gov/awardsearch/showAward?AWD_ID=2023574&HistoricalAwards=false) and (<https://csl.noaa.gov/projects/aeromma/cupids/>). Ground-based monitoring for speciated volatile organic compounds (VOCs) is being conducted by NYSDEC on Staten Island, the Bronx, and Flax Pond on Long Island.

This targeted research category is intended to compliment the aircraft and field studies identified above and focuses on research that improves source apportionment, source identification, emissions inventories and air quality models for the Greater NYC region including areas up- and down-wind.

Research Focus

Proposals should address one or more of the following:

1. Ambient speciated VOC, Volatile Chemical Products (VCP), particulate matter (PM), nitrogen oxides (NO_x), peroxyacetyl nitrate (PAN), O₃ and other pollutant measurements for source identification, source apportionment, and improvement of emissions inventories and air quality modeling for O₃ and PM.

There is interest in obtaining greater speciated information on ambient VOCs, VCPs, reactive biogenic VOCs and other chemical species within the NYC urban region and upwind with improved vertical and horizontal resolution. In addition to ozone impacts, VOC/VCP emissions are major contributors to air toxic exposure and formation of secondary aerosols (i.e., fine particulate matter) in the NYC region. From a policy-relevant perspective, it would be important to understand VOC/VCP speciation better and improve the performance of air quality modeling simulations in order to better identify specific emission sources and chemical products rather than pursuing a “mass-based” approach that may not effectively address the most important (e.g., reactive) species.

2. Source measurements of speciated VOCs, PM, and NO_x emissions
Speciation monitoring of VOCs in ambient air is being conducted in Staten Island by NYSDEC but direct stack or vent emissions are needed for fuels, fuel storage facilities, and other commercial or industrial sources of VOC or VCPs to improve source apportionment, emissions inventories, and photochemical models. Projects should be designed using methods to obtain necessary information to successfully improve NYS, regional, and national emissions inventories.
3. Over-water measurements near and at the surface in western and/or central Long Island Sound and/or the New York-New Jersey Bight
Ship-based, remote-sensing (ex. LIDAR), or other platform measurements of VOCs, VCPs, NO_x, PM, ozone, and meteorology are needed in western Long Island Sound to provide in situ measurements of the NYC urban plume as it enters the Sound that can be compared to air quality modeling. Vertical profiles within the lowest 50 meters are not measurable by aircraft but this lowest layer in the western Sound may provide important

chemical speciation and vertical structure information for model comparisons. In addition to western Long Island Sound, the chemical evolution of the plume is of interest in central Long Island Sound as it is transported farther away from NYC. Over-water pollution and dynamics in the New York-New Jersey Bight is also of interest as transport in this area can bring polluted air masses into and across Long Island from the south. Project field campaign must include the 2023 ozone season to facilitate collaboration of vertical and spatial fine-scale measurements and model evaluation with the multi-program O₃ dynamics intensive.

Proposals focused on field monitoring should include multisensory-data analysis from different instruments, which improve vertical, horizontal, and temporal resolution of air pollutants such as O₃, NO_x, VOCs, PM and air toxics. Detailed meteorological data may be obtained from several stations in the region including the NYS Mesonet, research LIDARS, and buoys. Projects are expected to lead to a better understanding of ozone chemistry dynamics, secondary particle formation, improved VOC and NO_x inventories and improved air quality models leading to effective ozone and PM reduction strategies. Proposals should consider the dynamics of contributing sectors (ex. power, transportation, building heating/cooling sectors), changes in source types/fuels, and resultant emissions. Remote sensing data such as that measured by satellite or remote sensing instruments on roof-tops, marine vessels, vehicles, aircraft, or other platforms can help to provide horizontal and vertical pollutant distributions, identify sources, improve emission inventories, and evaluate modeled distributions of trace gases or PM where monitors are lacking. Validation measurements, such as those at long-term monitoring sites, should also be performed. Models should have fine-scale spatial and temporal resolution (ex. 1.3 km grid size) and include model evaluation (O₃, PM_{2.5}, air toxics, co-pollutants). Model inputs should reflect up-to-date information on activities and fuels used in NYC and the region rather than default values in the National Emissions Inventory where appropriate.

B. Utilization of Satellite and other Remote Sensing Products for Air Quality Characterization at Fine Spatial Scales, Source Identification, Emissions Estimates, and Improved Air Quality Modeling

Problem Statement

In order to address pressing air quality research needs, it is necessary to continue to better observe ambient air pollutants such as O₃, its precursors, and GHGs [both carbon dioxide (CO₂) and non-CO₂]. A new generation of satellite technologies offer opportunities for improved horizontal, vertical, and temporal observations. For example, the European Space Agency Tropospheric Monitoring Instrument (TROPOMI) instrument provides global daily coverage for NO₂, formaldehyde, and carbon monoxide (CO) at 3.5x5.5 km² resolution; and for methane at 5.5x7 km² resolution. (<http://www.tropomi.eu/>). The National Aeronautics and Space Administration (NASA) Tropospheric Emissions: Monitoring Pollution (TEMPO) geostationary instrument will be launched in 2022 and will provide hourly data over North America with 2 (N/S) x 4 km² spatial resolution for ozone (including sensitivity to ozone in the lowermost troposphere), NO₂, and formaldehyde; (<http://tempo.si.edu/overview.html>).

The data from these satellites will improve upon the spatial resolution of existing space-based air quality products. These advances will improve the capacity for satellite products to improve understanding of ozone, and precursor transport and formation mechanisms that cannot be captured by ambient monitoring networks. These satellites will also improve GHG observations and inventory development. Finally, there is a continued need for an integrated air quality observation system that coherently brings together meteorological and air monitoring measurements including satellite and other remote sensing data and 3-dimensional chemical transport models for better air quality forecasts.

Research Focus

Research should validate satellite or other remote sensing products and use them to characterize air quality at fine scale, identify sources, improve emissions estimates, evaluate emissions inventories, and validate fine-scale air quality models over NYS and the region. Funding may support TEMPO early adopters' work. Ground-based, mobile, balloon, aircraft, light detection and ranging (LIDAR), Tropospheric Ozone LIDAR Network (TOLNET), NYS meteorological network (MESONET), or other network measurements may be used to validate satellite measurements. The 2023 multi-program ozone dynamics intensive may facilitate collaboration of vertical and spatial fine-scale measurements and model evaluation. Offshore wind electricity production is anticipated to begin in 2023 as well so multi-year studies may begin to document changes during the clean energy transition.

C. Methane and Co-Pollutant Emissions

Problem Statement

In 2018, a National Academy of Sciences (NAS) Committee developed a report on anthropogenic methane emissions in the U.S. [funded by the Environmental Protection Agency (EPA), Department of Energy (DOE), NOAA, and NASA) with a focus to improve measurement, monitoring, reporting, and development of methane inventories. In 2019, NYS's Climate Leadership and Community Protection Act (CLCPA) established new requirements for GHG emission limits and goals to address climate change. In 2020, 6 NYCRR Part 496, "Statewide GHG Emissions Limits," determined the limits on GHG emissions in 2030 and 2050 as a percentage of 1990 emissions, per the requirements of the CLCPA (<https://www.dec.ny.gov/regulations/121052.html>). The New York State Department of Environmental Conservation (NYSDEC) has conducted outreach for the Annual Statewide GHG Emissions report (<https://www.dec.ny.gov/energy/99223.html>) and is preparing the first annual report to be issued in 2021. NYSERDA has supported several projects toward these objectives that are ongoing including establishing a long-term methane monitoring network, supporting source characterization studies for methane, other GHGs and co-pollutants, and inverse modeling.

The US EPA has proposed New Source Performance Standards and Emissions Guidelines to reduce methane and other harmful pollution from the oil and natural gas industry (<https://www.epa.gov/controlling-air-pollution-oil-and-natural-gas-industry/actions-and-notices-about-oil-and-natural#regactions>). Additionally, NYSDEC has proposed regulatory requirements for methane monitoring for the energy sectors (<https://www.dec.ny.gov/regulations/122829.html>) and is anticipated to do so for the waste sector. Technology comparisons are needed for continuous monitoring technologies for methane and co-pollutants (ethane, VOCs, hydrogen sulfide) for oil and gas compressor stations, storage sites, waste treatment facilities and landfills to inform NYSDEC monitoring requirements. These may be for use on-site, at fence line or up- or down-wind sites.

Research Focus

Research should focus on improving the methane inventory for NYS through monitoring, source characterization, and inverse modeling. This may include continuing existing stationary methane (and other GHG and co-pollutant) measurements, adding additional stationary sites to obtain improved geographic coverage and higher altitude measurements, and characterizing source types. Aircraft or remote sensing studies could also identify plumes and use them for quantification of point or area sources. Top-down studies (e.g., aircraft, satellites) could be used to reconcile top-down and bottom-up approaches.

Continuous monitoring technology comparisons must evaluate instrument accuracy, precision, detection limit, linear dynamic range, and sensitivity to temperature, relative humidity, or other ambient conditions. Individual sources may need to be monitored repeatedly or continuously to characterize seasonality and operational variations in methane production. The waste and oil and gas sectors are of particular importance.

III. Proposal Requirements for Targeted Research Categories

Proposers must submit a complete proposal for the targeted research category (Category A, B, or C) that they are proposing to. A proposal may be submitted to only one targeted research category and the proposer must choose the category that most closely matches the proposal topic. The proposals must be in either PDF or MS Word format. Proposals must be submitted as two separate files. One file shall be the budget and the other file shall be inclusive of the proposal narrative (Parts 1-3) and all other supporting documents. 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 PON's webpage, which is located in the ["Current Opportunities"](#) section of NYSERDA's website.

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, "PON 4895" and the page number.

Proposals should follow the format below and provide sufficient and succinct information to complete the required descriptions and answer the questions described in the Proposal Evaluation criteria listed in Section IV. The preferred length of each proposal section is shown. **Proposals are subject to return without evaluation if more than 20 pages are submitted** (not including Budget Forms (Attachment A), one-page letters of commitment, and resumes), or if a font smaller than 11 point is used. **Proposers may contact Ellen Burkhard at 518-862-1090 ext. 3332 before preparing a proposal to discuss proposal requirements.**

Proposal Format & Submission: Proposals must be submitted as two files. One file shall be the budget and the other file shall be inclusive of the proposal narrative (Parts 1-3) and all other supporting documents. The proposal file should be 100MB or less in file size. A proposal may be submitted to only one targeted research category and the proposer must choose the category that most closely matches the proposal topic.

PART 1: Project Summary (Seven pages total)

- A. **Project Summary and Policy Relevance:** Summarize the proposed project and its policy implications. Clearly indicate how each of the main goals of the project relates to one of the targeted research categories. Describe any energy, air quality, or public health policy issues this research would potentially inform. Identify how the project would result in improved emissions inventories or air quality models. Detail the project goals and major objectives. Explain how the project results will address, in a timely manner, a problem/opportunity facing New York State with respect to pollutants associated with the generation, transport, use, storage or distribution of energy. Coordination with other national, state or local cooperative environmental research initiatives is desirable. Explain how the project will make use of other relevant data and coordinate with other initiatives where possible to provide maximum value to New York State. (Three pages)
- B. **Summary of Project Methods:** Summarize the proposed project methods and overall research design. Explain why the equipment, models, methods, and other aspects of the work are expected to be capable of meeting objectives. Describe the extent to which these have been accepted by the scientific community and policy making organizations, or otherwise demonstrated to be valid. The methods must

be outlined in detail and clearly designed to meet the project objectives including spatial and temporal resolution. The methodology for statistical analysis of the data from all aspects of the project must be clearly presented. Describe how data will be made available and archived for independent researchers. Identify likely scientific manuscript topics and potential journals for submittal. Identify measures of success. (Four pages)

PART 2: Statement of Work (Nine pages total + Budget documents not included in page count)

- A. Tasks: The Statement of Work is the primary contractual document that identifies the task sequence, deliverables, and provides the basis for progress payments. It is an action document, divided by the individual tasks or procedures required to accomplish the project objectives. Each task should be identified with a description of its objective, how it will be performed, and the anticipated deliverables and milestones. As appropriate, tasks should include a clear description of general operating procedures, quality control and quality assurance measures, analytical procedures, data analysis, evaluation, and statistical analysis to be used to optimize the quality of the data and project results. (Nine pages)
- B. Information Transfer and Dissemination Plan: The Statement of work must include a task for reporting and information transfer. The following baseline reporting and information transfer work will be required for each project and should be considered in allocating resources for this task: presentations at meetings and completing monthly or quarterly progress reports including a substantive description of project progress and of successful data capture and quality control, a comprehensive final technical report, and a minimum of two (2) articles for submission to peer-reviewed journals to be published open source (or otherwise freely available). In addition, each principal investigator will be required to prepare a short paper summarizing the usefulness of their research findings for environmental policy formulation. Principal investigators are strongly encouraged to collaborate with social scientists/policy analysts in preparing these policy papers and a technical editor for all final documents. Findings-to-date shall be presented to NYSERDA's Environmental Research Program Advisory Group and invited guests at annual meetings (in Albany, NY) arranged by NYSERDA staff. Some projects may be assigned a Project Advisory Committee by NYSERDA. NYSERDA reserves the right to build teams between selected contractors and stakeholders and/or other supported research to maximize the value of the research effort and funding.

Additional methods of information transfer and reporting may be proposed for involving pertinent policy makers or regulators and other target audience representatives during the project and for using the anticipated project results to achieve projected public benefits. Efforts to increase access to, or use of data collected, is encouraged. Outreach or education to the scientific and regulatory communities about project findings is also encouraged. (One Page)

- C. Master Schedule: Complete a schedule showing start and completion times for all major tasks, in terms of months after project initiation. Include major milestones and meetings, tests, demonstrations, reports, and other key deliverables. The Schedule should be realistic and reflect the nature of environmental research. (One Page)
- D. Budget Form: Complete the attached Budget Form (Attachment A) for the entire project, including any in-kind contributions and other cost-sharing. The degree of cost-sharing will be considered in the evaluation of proposals. **Cost-sharing of at least 25% is required.** Leveraging of other research funding is preferable. In-kind cost-sharing is acceptable. Proposers must provide sufficient detail in the supporting schedule for each cost element, its description, and amount to justify the budget and allow for

evaluation. Publication costs, including open access fees should be included in the budget. (Not included in page count).

PART 3: Supporting Documentation (Four pages total, + supporting documents not included in the page count)

A. Management Plan and Qualifications:

- Organizational Chart - Prepare an organizational chart listing all key personnel by name. The role for each of the team members must be clearly described in the proposal. Identify whether the Principal Investigator is an early career investigator (10 years or less conducting research as Principal Investigator). Include any subcontractors, postdoctoral or graduate students if known, and other sponsors involved in the project, showing their roles and responsibilities. (One page)
- Tasking Chart - Prepare a tasking chart, describing approximately in hours or days the effort contributed by each of the *key* personnel to each task and the total effort. (One page)
- Related Projects – Provide a sample of related projects that have been undertaken by the proposer and/or subcontractors. For each project, provide a brief summary, describing its title, scope, funding amount and client contact numbers. NYSERDA may contact listed clients. (One page)

- B. Resumes: - Submit relevant portions of resumes of all key project personnel, including those of proposed subcontractors, and postdoctoral or graduate students if known. Include education and experience that are relevant to the proposed work. (One page each - not included in page count) Letters of Commitment or Support: If you are relying 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. If the use of unpublished data from other researchers is necessary for the project to be successful, letters of support showing the availability of these data must be included. **Absence of letters of commitment or support will be interpreted as the proposer not having commitment/support from those parties.** (One page each - not included in page count)

- C. Cost Sharing: A cost-share of at least 25% of the total project cost is 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 that have already been undertaken. The proposer or proposing team cannot claim as cost-share any expenses that have already been incurred. If applicable, show the cost-sharing plan in the following format (expand table as needed, maximum 1 page).

	Cash	In-Kind Contribution	Total
NYSERDA	\$	\$	\$
Proposer	\$	\$	\$
Others (list individually)	\$	\$	\$
Total	\$	\$	\$

Attach supporting documentation to support indirect cost (overhead) rate(s) included in your 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 approved by an independent organization, such as the federal government, provide a copy of such approval.
- 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.
- Provide a detailed budget for the overall project.
- Include a detailed budget for each of the subcontractors/consultants that justifies the amount proposed.

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.

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. Publications, presentations, posters, and briefings are common metrics for projects supported by this PON. 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 E: Sample Metrics Reporting Guides 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.

IV. Proposal Evaluation

Proposals that meet Proposal requirements will be reviewed by a Technical Scoring Committee using the Evaluation Criteria below. **If an investigator(s) identified in a proposal is an investigator on one (1) or more current or previous NYSERDA-funded projects, performance on these projects will be considered in the evaluation of the current proposal.**

A. Technical Evaluation Criteria: (listed in order of importance)

- Usefulness and Value of Project Results** – Does the project indicate how each of the main goals of the project relate to the targeted research category? How useful are the project results expected to be in validating or improving New York State or national policies, regulations, impact assessments, monitoring technology requirements, source identification, source characterization, emissions inventories, air quality models, or mitigation methods? Will the results be available in a timely manner? To what extent will the project use and integrate other relevant data and coordinate with other research/monitoring initiatives (e.g., with field sampling and data analysis) to provide maximum value to New York State?

- b. Soundness of Project Methods and Research Design/Statement of Work and Schedule** – How suitable are the proposed project methods and overall research design for meeting the project objectives and yielding accepted results? How comprehensive, realistic, and explicit is the Statement of Work with respect to the project objectives and proposal requirements? Are specific measurable targets of success provided where applicable? Are the Tasks reasonable and clearly described? Are the methods outlined in detail and clearly designed to meet the project objectives? Are the deliverables for each task clearly presented? Is there a coherent plan for synthesizing the data set?
- c. Management Plan and Qualifications** – How well has the proposer organized a management plan and a project team with the necessary educational, technical, operations, technology transfer, financing, and administrative experience for successfully completing the project? Is the Principal Investigator a researcher at an academic or research institution actively performing research in NYS? Is the Principal Investigator an early-career researcher? Are all roles and responsibilities clearly defined? Does the team include partnerships with other research groups? Has an interdisciplinary team been assembled including environmental scientists, social scientists/public policy analysts, and technologists, as appropriate? How many of the team members are located in New York State? Have letters of support demonstrating the availability of data and agreement to participate been included?
- d. Communication of Results** – How promising is the reporting and information transfer plan for successfully using project results to realize the potential benefits of the project (ex. improved emissions inventories or air quality models)? Has the proposer described a comprehensive final technical report, and articles for submission to peer-reviewed journals? Does the proposer have a well-crafted plan and partnerships to prepare a short paper summarizing the usefulness of their research findings for environmental and or energy policy formulation and identified an interested audience? Has the proposer included a review of the draft final report by a technical editor? Has the proposer planned to present results to NYSERDA’s Environmental Research Program Advisory Group and invited guests at annual meetings (in Albany, NY) arranged by NYSERDA staff? Has the proposer acknowledged the project may be assigned a Project Advisory Committee by NYSERDA?
- e. Cost Criteria** – How justifiable and reasonable are the overall costs compared to the expected usefulness of the project results and the level of effort and duration of the project? How justified and reasonable are the proposer's cost allocations and co-funding contributions (cash, in-kind services, etc.)? To what degree does the proposal include meaningful cost-sharing from other key organizations important for the success of the project? Is there a detailed budget provided for the overall project including sufficient detail in the supporting schedule for each cost element, its description, and amount to justify the budget? Does the budget include open-source publication costs for a minimum of two manuscripts in peer-reviewed scientific journals?
- B. Other Considerations:** Projects will also be reviewed to determine whether they reflect the overall mission of NYSERDA, including:
- The balance among projects of long- and short-term benefits and risk/reward relationships, and whether similar projects are presently or have been previously funded.
 - The general distribution of projects of diverse topics related to program goals.
 - The ability of the project to build scientific research capacity in NYS.
 - The ways in which the proposed project fits with currently funded projects.
 - The ease of measuring project success in quantifiable ways.

- If applicable, the responsiveness of the proposer in conducting other NYSERDA-funded work.

II. 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). 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). 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 one to three 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 12 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.

III. Attachments:

Attachment A – Budget Form

Attachment B – Sample Agreement

Attachment C – 2021 Energy-Related Air Quality Publication List

Attachment D – 2021 Energy-Related Air Quality Project List

Attachment E – Information Dissemination Metrics

New York State Energy Research and Development Authority (NYSERDA)

Clean Energy Communities

LEADERSHIP ROUND

Guidance Document

Program Opportunity Notice (PON) 3298

Revised December 2021



CLEAN ENERGY COMMUNITIES

Launched in August 2016, NYSERDA's Clean Energy Communities program is for local government officials and staff who want their communities to benefit from the new clean energy economy but struggle with tight budgets and limited staff.

By providing grants, coordinator support, and clear guidance for implementing a range of high-impact clean energy actions, NYSERDA is helping local governments save money, grow the local economy, and improve the environment.

Join the Clean Energy Communities Leadership Round to earn grants and recognition while driving the next level of impact.

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INTRODUCTION

Local governments play a critical role in affecting energy choices in our communities, both in terms of government operations, and also across homes, businesses, and community institutions. Municipal leaders increasingly recognize that clean energy is not just good for the environment. Using resources more efficiently is helping save taxpayer dollars, create jobs, and drive economic development right here in our local communities.

Launched in August 2016, the Clean Energy Communities program provides grants, coordinator support, and a clear path forward to local governments that demonstrate leadership by completing NYSERDA-selected high-impact actions. Since program launch, hundreds of local governments – large, small, urban, rural, and suburban - have completed high-impact actions through the program. Hundreds of local governments have earned the Clean Energy Community designation. In every region of New York State, communities are implementing an exciting array of clean energy projects supported by grant awards. In many cases, local governments with no previous history of participation in NYSERDA programs are now deeply involved in clean energy and sustainability.

To build on this success, the Clean Energy Communities Leadership Round was launched in January 2021. The Leadership Round is a powerful new update to the original Clean Energy Communities to make the program more impactful, innovative, and sustainable over time. In the Leadership Round, communities continue to work with regional coordinators to prioritize and implement high-impact actions, apply for grants that emphasize new activity and impact, and earn new forms of recognition. All the existing high-impact actions are retained, although some are expanded, and some new actions have been added. Communities do not need to be designated Clean Energy Communities to earn grants through the Leadership Round. All communities are invited to participate.

Key advantages to participating in the Clean Energy Communities program include:

- ✓ **Flexible grant funding with no local cost share**
- ✓ **Free coordinator support**
- ✓ **Recognition for your community's leadership**

The Clean Energy Communities Leadership Round is funded through the Regional Greenhouse Gas Initiative (RGGI) and the Clean Energy Fund (CEF). The total funding available for Long Island communities is \$1.7 million.

Eligible Applicants

Municipalities (county, city, town, or village governments) in New York State are eligible to apply for funds. Regions are defined as Regional Economic Development Council (REDC) regions. Municipalities will serve as the main point of contact to NYSERDA for all project-related matters.

Application Due Date

NYSERDA will accept applications for PON 3298 on a rolling basis until 3:00p.m. Eastern Time on December 31, 2025, until funds are exhausted, or until the solicitation is revised or closed by NYSERDA, whichever comes first.

Program Updates

Program details and requirements may change from time to time to maximize program impact. Any changes to this solicitation will be posted on the Clean Energy Communities website at www.nyserda.ny.gov/cec.

Questions

Program questions may be directed to Brad Tito at 866-NYSERDA ext. 3545 or cec@nyserda.ny.gov

Contractual questions may be directed to Nancy Marucci at 866-NYSERDA ext. 3335 or Nancy.Marucci@nyserda.ny.gov

HOW TO PARTICIPATE

The first step is to review this guidance document to become acquainted with all program requirements.

✓ Connect with a Clean Energy Communities Coordinator

Clean Energy Communities Coordinators are based in each region of the state to help municipal staff navigate the program. To access this support, please send an email to cec@nyserderda.ny.gov or visit www.nyserderda.ny.gov/cec.

✓ Complete High-Impact Actions

NYSERDA has developed a list of high-impact actions that communities can take to save energy and improve the environment. The local government completes the action by complying with a specific set of requirements. More information on how to meet the requirements for each action and what documentation is required, is provided on pages 8 to 23. Toolkits for each high-impact action are available at www.nyserderda.ny.gov/cec. The toolkits include step-by-step guidance, template legislation, calculators, and other resources.

To earn credit for completing high-impact actions, please visit www.nyserderda.ny.gov/cec to submit action item documentation that meets the unique requirements detailed in this guidance document. NYSERDA will review the submitted documentation and provide notification that it has been approved or if it is incomplete and needs to be resubmitted. Applicants are encouraged to submit documentation in stages as each high-impact action is completed.

✓ Earn the Clean Energy Community Designation

The Clean Energy Community designation is available to communities that complete four high-impact actions. At least two (2) of the high-impact actions must be completed after August 1, 2016.

✓ Apply for Grants and Get Recognized

There are several ways to earn grants and recognition through the Clean Energy Communities program. See the next page for details on the different grant types. NYSERDA will recognize communities with awards in categories including, but not limited to, top performers by action, region, community size, and government type.

High-Impact Actions

- Unified Solar Permit
 - Energy Code Enforcement Training
 - PACE Financing
 - Clean Energy Upgrades
 - Clean Heating and Cooling Demo
 - 100% Renewable Electricity
 - LED Street Lights
 - County-Hosted Trainings
 - Benchmarking
 - Clean Fleets
 - Climate Smart Communities Certification
 - Community Choice Aggregation (CCA)
-
- Community Campaigns
 - NYStretch Energy Code

Grants and Recognition

- Clean Energy Community Designation**
 - Available when a community completes four high-impact actions.
 - Unlocks a one-time grant of \$5,000 (one per community).
- Point-Based Grants**
 - Collect points for each high-impact action completed.
 - Collect enough points to cross certain point thresholds to become eligible for larger grant amounts before they are all claimed.
 - NYSERDA will use point totals to recognize top performers in a variety of categories including government type, size, and region.
- Action Grants**
 - An Action Grant is available for each of these high-impact actions
 - Communities may apply for one or more Action Grants.
- Any \$20,000+ award where the grant project is in a Disadvantaged Community may be eligible for a \$10,000 bonus grant.

GRANT TYPES

Three types of grants are available in the Clean Energy Communities Leadership Round: Designation Grants, Point-Based Grants, and Action Grants. Each grant award will result in a separate grant agreement with NYSERDA, except for in cases where the grant amount is \$5,000 or less which are paid in full directly by check. To access grant funds, the local government must submit a Clean Energy Communities grant application which is subject to NYSERDA approval. Any \$20,000 or greater grant award where the grant project is in a New York State Disadvantaged Community may be eligible for an additional \$10,000 bonus grant. Read more in the “How to Access Grant Funding” section of this Guidance Document.

Designation Grants

The Clean Energy Community designation is available to communities that complete four high-impact actions. At least two (2) of the high-impact actions must be completed after August 1, 2016. In the Leadership Round, communities that earn the Clean Energy Community designation and did not receive a previous designation grant are eligible to apply for a one-time \$5,000 grant. This grant opportunity is available retroactively to any community that has earned the designation but did not receive a grant prior to January 26, 2021, except for those communities that did not receive a grant because they missed a grant application deadline. Eligible communities shall apply within 90 days of award notification or shall forfeit their funding.

Point-Based Grants

Communities collect points by completing high-impact actions. Each high-impact action has a certain number of points assigned to it. The object is to collect enough points to cross certain point thresholds to become eligible for larger grant amounts before they are all claimed. When NYSERDA approves a high-impact action, points are automatically added to the applicant’s scorecard. Each community’s point balance is available at www.nyserderda.ny.gov/cec.

Once a community earns the required number of points, it will be notified by email of the opportunity to apply for a points-based grant, if available. The number of available grants is identified by community size (Census 2010) and geography in the tables below. Grants are expected to remain available until all grants are awarded in each category. To be eligible for a Point-Based Grant, the applicant shall earn some new points after January 26, 2021. Large size communities (40,000+ population) have potential to be awarded \$250,000 in point-based grants. Small/medium sized communities (0-39,999 population) have potential to be awarded \$100,000 in point-based grants.

	Municipality Size by Population	Number of Awards	Grant Amount
EARN 3,000+ POINTS	Large (40,000+)	50 statewide	\$30,000
	Small/Medium (0-39,999)	40 per region	\$10,000
EARN 4,000+ POINTS	Large (40,000+)	20 statewide	\$70,000
	Small/Medium (0-39,999)	10 per region	\$20,000
EARN 5,000+ POINTS	Large (40,000+)	10 statewide	\$150,000
	Small/Medium (0-39,999)	4 per region	\$70,000

Action Grants

Action Grants are available for the following high-impact actions: NYStretch Energy Code and Community Campaigns. The requirements for each Action Grant may be found in the High-Impact Actions section of this guidance document. Once a community completes all stated requirements, NYSERDA will send an email notifying the applicant how to apply including the grant amount for which the community is eligible and the grant application due date.

HIGH-IMPACT ACTIONS

The specific requirements to complete each high-impact action is provided on the pages following this high-level list.

200 POINTS	UNIFIED SOLAR PERMIT Adopt the NYS Unified Solar Permit to streamline the approvals process for small-scale solar
200 POINTS	ENERGY CODE ENFORCEMENT TRAINING Train code compliance officers in best practices in energy code enforcement
Up to 500 POINTS	PACE FINANCING Authorize a financing program for clean energy upgrades to commercial or non-profit property
500 POINTS	CLEAN ENERGY UPGRADES Achieve a 10 percent reduction in the greenhouse gas emissions from municipal buildings
500 POINTS	100% RENEWABLE ELECTRICITY Use renewable energy resources for all the electricity supply needs of municipal government
700 POINTS	CLEAN HEATING AND COOLING DEMO Convert a municipal facility to all-electric with ground- or air-source heat pumps
UP TO 800 POINTS	CLIMATE SMART COMMUNITIES CERTIFICATION Earn Climate Smart Communities Certification to reduce carbon emissions and build resilience
Up to 900 POINTS	LED STREET LIGHTS Convert at least half of the cobra-head or decorative-style street lights to LED
UP TO 1,500 POINTS	COUNTY-HOSTED TRAININGS County governments convene and support clean energy planning by local governments
UP TO 1,000 POINTS	CLEAN FLEETS Deploy light to heavy duty electric vehicles, or install electric vehicle charging stations
UP TO 1,100 POINTS	BENCHMARKING Adopt a policy to track and report the energy use of municipal buildings or large private buildings
UP TO 2,000 POINTS	COMMUNITY CHOICE AGGREGATION Dramatically reduce carbon emissions by transitioning to a clean, renewable electricity supply
	ACTION GRANTS
1,200 POINTS	UP TO \$50,000 NYSTRETCH ENERGY CODE Adopt an energy code that is more stringent than the base energy code
Up to 1,100 POINTS	UP TO \$60,000 COMMUNITY CAMPAIGNS Undertake one or more campaigns to promote clean energy in your community

UNIFIED SOLAR PERMIT

200 points | Applicable if you enforce the Uniform Code for private buildings

RATIONALE

The Unified Solar Permit (revised October 2016) is a standardized permit application designed to streamline the approval process for installing solar in the community. The standardized permit is expected to cut costs by creating a uniform permitting process in municipalities across the State. As municipalities adopt the permit, installers and municipalities alike will save time and resources permitting solar electric systems. An expedited process will allow these standard systems to pass quickly through the jurisdictional review process, freeing up time for all involved parties, decreasing the overall installation time for customers, and allowing non-standard systems the necessary time for detailed review.

REQUIREMENTS

Demonstrate completion of the Unified Solar Permit action by submitting the following documentation:

- Submit a certified copy of an executed local law, ordinance, or resolution adopting the New York State Unified Solar Permit (a template resolution and the Unified Solar Permit can be accessed in the Unified Solar Permit toolkit at www.nyserda.ny.gov/cec). Date of completion is when the legislation was adopted.
- Submit a copy of the Unified Solar Permit being used by the applying jurisdiction.
- Please note that an updated version of the New York State Unified Solar Permit was released in October 2016. NYSERDA will only accept the new version of the permit.
- Communities that completed the Unified Solar Permit action prior to the launch of the Leadership Round will be awarded points retroactively.

RECOMMENDATIONS

- Review the NY-Sun Solar Guidebook for Local Governments which is a useful reference containing supporting documents for local governments and code officials. In addition to the New York State Unified Solar Permit, the guidebook includes topics such as roof top solar access requirements for firefighters and first responders, information on the Real Property Tax Law 487 exempting solar PV systems, a fact sheet for Agricultural Districts, a fact sheet for landowners considering solar leases, information on land use planning, and a model solar energy law.
- Consider a flat fee that fairly reflects the time needed for municipal staff to review and issue the solar permit.
- Post information on the municipal website about the permit application process including timelines for permit application review and issuance.

RESOURCES

- Dedicated and knowledgeable local Clean Energy Communities Coordinators are available to assist municipal staff as they implement this action. To access this support, please send an email to cec@nyserda.ny.gov.
- A toolkit of resources is available at www.nyserda.ny.gov/cec.

ENERGY CODE ENFORCEMENT TRAINING

200 points | Applicable if you enforce the Uniform Code for private buildings

RATIONALE

The Energy Code is a minimum building standard for energy efficiency, applicable to new construction and renovation of commercial and residential buildings in New York State. The Energy Code is a complex document and one of nine building codes in New York State, making implementation and enforcement complex and time consuming. Since buildings represent roughly 60% of New York's total energy consumption, there is significant opportunity for energy savings through improved Energy Code compliance.

REQUIREMENTS

Demonstrate completion of the Energy Code Enforcement Training action as follows:

- At least one code official must complete a NYSERDA-approved Clean Energy Communities Energy Code Enforcement Training series including both residential and commercial workshops. Communities that completed Energy Code Enforcement Training prior to January 26, 2021 must retake the training to earn points for this action.
- Due to COVID-19 and other circumstances, trainings may be offered on a limited basis.
- Submit a copy of the notification of completion email, or comparable information to earn credit for this action.
- Date of completion for this action is defined as the date of the notification of completion email. For more information or to enroll in the training program, please send an email to cec@nyserderda.ny.gov or visit www.nyserderda.ny.gov/cec.

RECOMMENDATIONS

- Work with your coordinator to host a training workshop in your jurisdiction.

RESOURCES

- Dedicated and knowledgeable local Clean Energy Communities Coordinators are available to assist municipal staff as they implement this action. To access this support, please send an email to cec@nyserderda.ny.gov.
- A toolkit of resources is available at www.nyserderda.ny.gov/cec.

PACE FINANCING

200 to 500 points | Applicable to counties and cities outside Westchester County; cities and towns in Westchester County

RATIONALE

Open C-PACE (Property Assessed Clean Energy), also known as Commercial PACE Financing, is a program adopted by an eligible local government that allows property owners to pay back the cost of clean energy upgrades to their commercial or non-profit property over a term that can go as long as 20-30 years, and is secured through a benefit assessment lien on the improved property. Open C-PACE enables eligible commercially-owned buildings in New York State to secure private funds to tackle significant energy upgrades and renewable energy projects in existing building and new construction. This financing structure is available through the Energy Improvement Corporation (EIC) for projects that aim to install permanent improvements that reduce energy costs in existing buildings. EIC is a local development corporation and a New York State nonprofit established specifically to assist municipalities and property owners achieve long-term energy savings and/or generate renewable power for use on site.

REQUIREMENTS

Demonstrate completion of the PACE Financing action by completing one or more:

1. Open C-PACE Authorization - 200 Points

Submit a screenshot of EIC's List of Participating Municipalities that shows the applying jurisdiction listed as a current EIC member having authorized the Open C-PACE product, or comparable information. Authorization requires adoption of a local law and signing a municipal agreement with EIC (template documents provided by EIC). Non-EIC PACE programs are also eligible. Date of completion is when the local government became an EIC member or when the Non-EIC PACE program is adopted. Communities that received NYSERDA approval for the Energize NY Finance action must submit documentation under this category to earn points for this action.

2. Projects – 300 Points

Submit documentation from EIC demonstrating closing of one or more Open C-PACE projects located in the jurisdiction, or comparable information. To be eligible, the jurisdiction must complete the PACE Financing – Open C-PACE Authorization action. Date of completion is date of the first finance closing.

RECOMMENDATIONS

- If you are interested in establishing an Open C-PACE program, please contact the Energy Improvement Corporation at (914) 302-7300 x8105 or by email at ssmiley@eicpace.org.
- Once adopted, promote Open C-PACE as part of the municipality's economic development strategy.

RESOURCES

- Dedicated and knowledgeable local Clean Energy Communities Coordinators are available to assist municipal staff as they implement this action. To access this support, please send an email to cec@nyserda.ny.gov.
- A toolkit of resources is available at www.nyserda.ny.gov/cec.

CLEAN ENERGY UPGRADES

500 points | Applicable to all communities

RATIONALE

Clean Energy Upgrades are energy efficiency and renewable energy projects in municipal buildings and facilities. By replacing outdated equipment with new smart and efficient technology, municipalities are well positioned to save energy and money over time. State programs can help get these projects accomplished with no or low up-front cost while generating net savings to the bottom line. Everything from municipal headquarters to public works facilities, fire stations, police precincts, parks facilities, and even water treatment plants are good candidates for upgrades. Perhaps most important, Clean Energy Upgrades show leadership and contribute to more sustainable communities.

REQUIREMENTS

Demonstrate completion of the Clean Energy Upgrades action by submitting the following documentation:

- Submit an ENERGY STAR Portfolio Manager benchmarking report including energy use information for each municipal building that is owned or occupied by the applying jurisdiction that is 1,000 square feet or larger. The report shall include each building's energy use intensity (EUI), annual greenhouse gas emissions, and an energy performance score where available. The report should cover at least 12 months but not more than 36 months of energy use of the portfolio from the year(s) prior to the commencement date of the upgrades as the baseline.
- Share read-only access to the applicant's Portfolio Manager account with NYSERDA and submit an email from Portfolio Manager, or comparable information, stating that NYSERDA has accepted the sharing request.
- Submit succinct and relevant documentation that demonstrates a minimum 10 percent reduction in greenhouse gas emissions against the baseline with projects that are substantially complete by the date of submission. The documentation may include 1) an ASHRAE Energy Audit, 2) an approved pre-and-post engineering study that identifies implemented Energy Conservation Measures, 3) an executed contract or agreement, or 4) comparable information.
- Submit a complete Clean Energy Upgrades Calculator, available in the Clean Energy Upgrades toolkit at www.nyserderda.ny.gov/cec. Please be sure to complete the most recent version. Information requested will include, but is not limited to, specific equipment or infrastructure upgrades and estimated energy savings of implemented measures.
- The required reduction in greenhouse gas emissions may be achieved with energy efficiency improvement or renewable energy sources including solar, community distributed generation (CDG), wind, geothermal, or anaerobic digester gas.
- Each project component of the upgrades must be substantially complete after August 1, 2016.
- Date of completion for this action is defined as the date the upgrade achieves substantial completion.

Communities that completed the Clean Energy Upgrades action prior to the launch of the Leadership Round will be awarded points retroactively.

RECOMMENDATIONS

- The New York Power Authority (NYPA) provides turn-key energy efficiency upgrades to municipal buildings of qualifying jurisdictions. Working closely with staff at the municipality, NYPA and their contractors handle every aspect of design and construction. NYPA offers low-interest rate financing and projects can typically be accomplished with no or low up-front cost while generating net savings to the bottom line.
- Energy performance contracts can also be used to procure energy savings and facility improvements with no or low up-front capital costs.
- Consult the local utility to identify incentives that may be available for energy efficiency improvements.

RESOURCES

- Dedicated and knowledgeable local Clean Energy Communities Coordinators are available to assist municipal staff as they implement this action. To access this support, please send an email to cec@nyserderda.ny.gov.
- A toolkit of resources is available at www.nyserderda.ny.gov/cec.

100% RENEWABLE ELECTRICITY

500 points | Applicable to all communities

RATIONALE

A local government's decision to purchase renewable energy for its electricity needs highlights its role as a leader in addressing climate change and protecting the environment.

REQUIREMENTS

Demonstrate completion of the 100% Renewable Electricity action by submitting the following documentation:

- Submit a completed 100% Renewable Electricity Certification Form (accessed in the 100% Renewable Electricity toolkit at www.nyserda.ny.gov/cec) or comparable information. Requested information includes the average annual load of all municipal electricity accounts and the percentage of the load that will be matched with New York renewable energy certificates (RECs) that are retired in a [New York State Generation Attribute Tracking System](#) (NYGATS). RECs generated by state-owned resources including New York Power Authority-owned facilities do not qualify. RECs must be produced in the same calendar year as the electricity consumption. To earn credit for this action, the electricity consumption must occur in 2020 and later.
- Date of completion for this action is defined as the date after January 1, 2020 when the renewable energy is delivered.

RECOMMENDATIONS

- Ensure that the supplier meets the specific requirements for RECs listed above.
- To help manage and understand the annual load of all municipal electricity accounts, consider benchmarking using Energy Star Portfolio Manager and sharing read-only access with NYSERDA.

RESOURCES

- Dedicated and knowledgeable local Clean Energy Communities Coordinators are available to assist municipal staff as they implement this action. To access this support, please send an email to cec@nyserda.ny.gov.
- A toolkit of resources is available at www.nyserda.ny.gov/cec.

CLEAN HEATING AND COOLING DEMO

700 points | *Applicable to all communities*

RATIONALE

Currently, fossil-fuel based thermal energy – primarily natural gas, propane and oil – is the main energy source for space heating and domestic hot water in the residential and commercial sectors. It is responsible for about one-third of New York’s energy-related greenhouse gas emissions. Clean heating and cooling technologies such as ground- and air-source heat pumps provide environmental benefits, energy bill savings, increased comfort levels and health benefits compared to conventional heating and cooling technologies. Local governments can lead by example and play an important role in encouraging adoption of ground- and air-source heat pump systems. This action is designed to demonstrate the benefits of clean heating and cooling technologies.

REQUIREMENTS

Demonstrate completion of this action by submitting the following documentation:

1. Submit a signed Clean Heating and Cooling Demo Certification Form, available in the Clean Heating and Cooling Demo toolkit at www.nyserderda.ny.gov/cec, confirming that at least one municipal building owned and operated by the applying jurisdiction has been recently converted or built to use ground- and/or air-source heat pump systems as the building’s primary heating and cooling systems. Heat pump water heating systems may be included but are not required. The building must be 1,000 square feet or larger and open to the public all year long.
2. Submit at least one photograph of an educational kiosk, display, and/or materials intended to educate municipal staff and the public about beneficial electrification.
 - Date of completion for this action is defined as the date that ground- and/or air-source heat pump systems become operational as the building’s primary heating and cooling systems. This date must be after August 1, 2016 to earn credit for this action. Communities that completed the Clean Heating and Cooling Demo action prior to November 18, 2021 will be awarded 200 additional points retroactively.

RECOMMENDATIONS

- Combine with 100% Renewable Electricity high-impact action to achieve a 100% net zero carbon building.
- Install an electric vehicle charging station to support beneficial electrification in the transportation sector.

RESOURCES

- Dedicated and knowledgeable local Clean Energy Communities Coordinators are available to assist municipal staff as they implement this action. To access this support, please send an email to cec@nyserderda.ny.gov.
- A toolkit of resources is available at www.nyserderda.ny.gov/cec.

CLIMATE SMART COMMUNITIES CERTIFICATION

600 to 800 points | Applicable to all communities

RATIONALE

The Climate Smart Communities Certification (CSC) program provides local governments with a robust framework to guide their climate action and celebrates the leadership of high-performing communities. Designed around the CSC pledge elements, the certification program awards points for actions that reduce greenhouse gas emissions and build community resilience to climate change.

REQUIREMENTS

Demonstrate completion of the Climate Smart Communities Certification action by completing one or more of the following:

1. Bronze Certification - 600 Points

Submit a screenshot of the www.climatesmart.ny.gov website or comparable information, that demonstrates the applying jurisdiction has been listed as a Bronze or Silver Certified Climate Smart Community.

2. Silver Certification – 200 Points

Submit a screenshot of the www.climatesmart.ny.gov website or comparable information, that demonstrates the applying jurisdiction has been listed as a Silver Certified Climate Smart Community.

*Please note that if your community is Silver CSC Certified, you are eligible to earn credit for both Bronze Certification and Silver Certification. Please submit for each separately to earn 800 points total.

- Date of completion is when NYSDEC provides notification to the community regarding its achievement of the applicable certification level. The certification level must be current at the time of application.
- Communities that completed the Climate Smart Communities Bronze Certification action prior to the launch of the Leadership Round will be awarded points retroactively.

RECOMMENDATIONS

- For more information, please visit www.climatesmart.ny.gov.

RESOURCES

- Dedicated and knowledgeable local Clean Energy Communities Coordinators are available to assist municipal staff as they implement this action. To access this support, please send an email to cec@nyserda.ny.gov.
- A toolkit of resources is available at www.nyserda.ny.gov/cec.

LED STREET LIGHTS

200 to 900 points | Applicable to all communities

RATIONALE

By replacing conventional street lights with energy efficient LED technology, communities can reduce street light energy use by as much as 65 percent, generating cost savings and emission reductions. In addition, street light projects can contribute to creating a well-lit, safer, and more attractive community. LED street lights last up to 100,000 hours and require much less maintenance than conventional street lights. The opportunity to incorporate smart, connected technology such as dimming functions and parking management offers a world of almost unlimited possibilities. Even those communities that do not own their own streetlights have options for converting street lights in their jurisdiction to LED.

REQUIREMENTS

Complete one or more of the following to earn credit for the LED Street Lights action:

1. Cobra Head Street Lights – 700 Points

Demonstrate completion of this action by submitting the following documentation:

- Submit a completed LED Street Light Certification Form (accessed in the LED Street Lights toolkit at www.nyserderda.ny.gov/cec) or comparable information demonstrating that a minimum of 50 percent of all municipal and utility-owned cobra-head-style street lights have been converted to LED.. This documentation should include the number of street lights converted, including the proportion of converted cobra-head street lights to total cobra-head street lights.
- A minimum of 10 fixtures must be converted to LED to qualify per jurisdiction.
- Date of completion is the date on which fifty (50) percent of the streetlights or, for those communities with less than 20 streetlights, 10 fixtures were converted to LED.

Communities that completed the LED Street Lights action prior to the launch of the Leadership Round will be awarded points retroactively.

2. Decorative Street Lights - 200 Points

Demonstrate completion of this action by submitting the following documentation:

- Submit a completed LED Street Light Certification Form (accessed in the LED Street Lights toolkit at www.nyserderda.ny.gov/cec) or comparable information demonstrating that a minimum of 50 percent of all municipal and utility-owned decorative-style street lights have been converted to LED. This documentation should include the number of street lights converted, including the proportion of converted decorative street lights to total decorative street lights.
- A minimum of 10 fixtures must be converted to LED to qualify per jurisdiction.
- Date of completion is the date on which fifty (50) percent of the streetlights or, for those communities with less than 20 streetlights, 10 fixtures were converted to LED.

RECOMMENDATIONS

- Check with the local utility regarding options and incentives for converting street lights to LED.
- Municipalities that do not own their own street lights may pursue a negotiated agreement with their utility for transfer of ownership of the complete system of street lights and supporting infrastructure.
- The New York Power Authority (NYPA) offers a program to convert street lights to LEDs.

RESOURCES

- Dedicated and knowledgeable local Clean Energy Communities Coordinators are available to assist municipal staff as they implement this action. To access this support, please send an email to cec@nyserderda.ny.gov.
- A toolkit of resources is available at www.nyserderda.ny.gov/cec.

COUNTY-HOSTED TRAININGS

300 to 1,500 points | Applicable to County Governments

RATIONALE

County Governments are uniquely positioned to convene and support local governments to advance local action on clean energy. The County-Hosted Trainings high-impact action is designed to help communities understand how to manage responsible clean energy development in their communities.

REQUIREMENTS

Complete one or more of the following to earn credit for the County-Hosted Trainings action. Trainings must be hosted by the county in coordination with NYSERDA Clean Energy Community Coordinators with a minimum 4 weeks' lead time. To qualify, a municipal staff member, elected official, or member of an official municipal board or committee from at least 35 percent of the municipalities in the county must attend. Trainers will be provided by NYSERDA and may only be available on a limited basis. The host county is responsible for logistics, publicizing and promoting the training, and tracking attendance. If needed, more than one training may be hosted to achieve the 35 percent threshold. The host county representative should be involved as a partner in the presentation by providing an introduction explaining why the topic is necessary and important in the county and helping with Q&A. Trainings may be virtual or in-person. All trainings may be eligible for continuing education credit for Planning Board and Zoning Board of Appeals Members, subject to approval by the municipality. Where indicated below, Building Safety Inspectors and Code Enforcement Officials are eligible for in-service credits from the NYS Department of State, Division of Building Standards and Codes.

To earn points, submit a completed County-Hosted Trainings Certification Form (accessed in the County-Hosted Trainings toolkit at www.nyserda.ny.gov/cec) including a list with the name and date of the training, and attendee information – including name, title, email or phone number, and associated municipality – to demonstrate the requirements of this action have been met.

1. Overview of the Model Solar Energy Law - 300 Points

Provides an in-depth review of the customizable template zoning law contained in NYSERDA's Solar Guidebook for Local Governments. Municipal board members, code enforcement officials, and staff are encouraged to attend.

2. Overview of the Model Battery Energy Storage System Law - 300 Points

Provides an in-depth review of the customizable template zoning law contained in NYSERDA's Battery Energy Storage System Guidebook for Local Governments. Municipal board members, code enforcement officials, and staff are encouraged to attend.

3. Clean Energy and Your Comprehensive Plan - 300 Points

Offers an introduction to best practices and strategies for incorporating clean energy goals and objectives into a new or updated municipal comprehensive plan. Municipal board members, planning staff, and comprehensive plan committee members are encouraged to attend.

4. Battery Energy Storage for First Responders - 300 Points (Approved for 2-hours of In-Service training credit)

Introduces key safety considerations for battery energy storage systems for codes and building officials; covered topics include fire prevention considerations and compliance with the 2020 NYS Uniform Code. Code enforcement and building officials are encouraged to attend.

5. Solar PV Permitting and Inspecting - 300 Points (Approved for 2-hours of In-Service training credit)

Offers an in-depth review of permitting and inspecting solar energy systems in New York State from start to finish; topics covered include the NYS Unified Solar Permit and various components of the NYS Uniform Fire Prevention and Building Code. Code enforcement and building officials are encouraged to attend.

RECOMMENDATIONS

- Contact your Clean Energy Communities Coordinator early in the planning process.

RESOURCES

- Dedicated and knowledgeable local Clean Energy Communities Coordinators are available to assist municipal staff as they implement this action. To access this support, please send an email to cec@nyserda.ny.gov.
- A toolkit of resources is available at www.nyserda.ny.gov/cec.

CLEAN FLEETS

200 to 1,000 points | Applicable to All Communities

RATIONALE

Clean Fleets is an effort by local governments to invest in electric vehicles and infrastructure while increasing opportunities for constituents to access electric vehicle charging stations. Compared to gasoline-powered cars, Electric Vehicles (EVs) are more energy efficient and cost about 50 to 70% less to operate per mile. EVs reduce greenhouse gas emissions and pollutants that cause smog and acid rain. Charging stations are being installed at a wide variety of locations across New York State.

REQUIREMENTS

Complete one or more of the following to earn credit for the Clean Fleets action. Communities may only apply once for #1, 2, or 3.

1. Charging Stations - 200 Points

Submit a completed Clean Fleets Certification Form (accessed in the Clean Fleets toolkit at www.nyserda.ny.gov/cec) or comparable information to demonstrate municipal provision of either two (2) or more Level 2 charging ports or one (1) or more DC fast charge ports. Equipment must be active at the time of submittal. The municipality must own or lease the equipment. Charging Stations may be used for government operations or public use. Date of completion is when the equipment became operational.

2. Light/Medium Duty Electric Vehicles - 300 Points

Submit a completed Clean Fleets Certification Form (accessed in the Clean Fleets toolkit at www.nyserda.ny.gov/cec) or comparable information to demonstrate municipal purchase and deployment of at least one plug-in hybrid or battery-electric vehicle. A plug-in hybrid electric vehicle is an electric car that plugs in and runs on electricity, but has a gasoline engine to power the car if the battery is depleted. A battery-electric vehicle is an all-electric vehicle. Vehicles must be new and manufactured for use primarily on public streets, roads, and highways and have a maximum speed capability of at least fifty-five miles per hour. The vehicle(s) must be active at the time of submittal. Class 7 or 8 vehicles should be submitted under Clean Fleets – Heavy Duty Electric Vehicles. Date of completion is when the equipment became operational.

3. Heavy Duty Electric Vehicles - 400 Points

Submit a completed Clean Fleets Certification Form (accessed in the Clean Fleets toolkit at www.nyserda.ny.gov/cec) or comparable information to demonstrate municipal purchase and deployment of at least one Class 7 or 8 plug-in hybrid or battery-electric vehicle. A plug-in hybrid electric vehicle is an electric car that plugs in and runs on electricity, but has a gasoline engine to power the car if the battery is depleted. A battery-electric vehicle is an all-electric vehicle. Vehicles must be new and manufactured for use primarily on public streets, roads, and highways and have a maximum speed capability of at least fifty-five miles per hour. School busses and vehicles used primarily for fixed-route public transit such as a transit bus or "body-on-chassis" minibus are also eligible. Vehicle(s) must be active at the time of submittal. Date of completion is when the equipment became operational.

Communities that completed the Clean Fleets action prior to the Leadership Round will be awarded 100 points retroactively. Communities may earn additional points by completing the Clean Fleets actions listed above, provided the date of completion for those actions is after January 26, 2021.

RECOMMENDATIONS

- Check with your Coordinator to see what incentives are available.

RESOURCES

- Dedicated and knowledgeable local Clean Energy Communities Coordinators are available to assist municipal staff as they implement this action. To access this support, please send an email to cec@nyserda.ny.gov.
- A toolkit of resources is available at www.nyserda.ny.gov/cec.

BENCHMARKING

100 to 1,100 points | Applicable to All Communities

RATIONALE

Benchmarking is a policy that a local government adopts that requires the annual reporting of energy used in buildings. Local governments may require the annual disclosure of energy used in municipal buildings or in large private buildings. Measuring and sharing data on building energy use will help identify opportunities to cut energy waste.

REQUIREMENTS

Complete one or more of the following to earn credit for the Benchmarking action:

1. Benchmarking - Municipal Buildings - 100 Points

Submit a certified copy of an executed local law, ordinance, or resolution (template legislation can be accessed in the Benchmarking toolkit at www.nyserderda.ny.gov/cec) that requires the applying jurisdiction to make available to the public on the internet on an annual basis, energy use information for each municipal building that is owned or occupied by the applying jurisdiction that is 1,000 square feet or larger. At a minimum, publicly disclosed energy use information shall include each building's energy use intensity (EUI), annual greenhouse gas emissions, and an energy performance score where available. Date of completion is when the legislation was adopted. Communities that received NYSERDA approval for this action prior to January 26, 2021 will be awarded points retroactively. The legislation must require the following:

- Create an ENERGY STAR Portfolio Manager Account
- Gather basic information required by Portfolio Manager and set up property profile(s)
- Obtain monthly, whole building energy use data for all fuel types including, but not limited to, electricity, natural gas, fuel oil, chilled water, steam, and diesel
- Enter property uses and details into profile(s)
- Enter energy use data for all fuel types
- Generate and review the building's report in Portfolio Manager
- Submit the report to the municipality through Portfolio Manager
- Make available to the public on the internet annual summary statistics for each covered property including Energy Use Intensity (EUI), annual greenhouse gas emissions, an energy performance score where available, and other descriptive information as required by Portfolio Manager

2. Benchmarking - Advanced Reporting - 200 Points

Submit a screenshot of a webpage on the applying jurisdiction's website where a benchmarking report is posted that includes no less than 24-months of energy use information as described above for municipal buildings. If the jurisdiction does not have a website, the jurisdiction must attest that the report is available upon request.

Share your community's Portfolio Manager account with NYSERDA. Add "NYSERDAcec1" contact in your My Contacts. Share with "view all read only access" permissions to the NYSERDAcec1 contact for all buildings and meters in your Portfolio Manager account. Submit a screenshot on the Sharing Tab of your Portfolio Manager account which shows an accepted share request with NYSERDAcec1, or comparable information, stating that NYSERDA has accepted the sharing request. Date of completion is when the sharing request was accepted.

3. Benchmarking - Large Private Buildings - 800 Points (applicable to cities, towns, and villages over 40,000 pop.)

Submit a copy of an executed local law or ordinance, (template legislation can be accessed in the Benchmarking Private Buildings toolkit at www.nyserderda.ny.gov/cec) as described for Municipal Building above, but apply the requirements to the owners of commercial and multifamily buildings 25,000 square feet or larger.

RECOMMENDATIONS

- Use benchmarking data to identify buildings with the greatest opportunity for energy and cost savings.

RESOURCES

- Dedicated and knowledgeable local Clean Energy Communities Coordinators are available to assist municipal staff as they implement this action. To access this support, please send an email to cec@nyserderda.ny.gov.
- A toolkit of resources is available at www.nyserderda.ny.gov/cec.

COMMUNITY CHOICE AGGREGATION

1,500 to 2,000 points | Applicable to city, town, and village governments

RATIONALE

Community Choice Aggregation (CCA) allows local governments to choose where the energy comes from for their community. CCA is a municipal energy procurement model that replaces the utility as the default supplier of electricity for virtually all homes and small businesses within the jurisdiction. CCA puts control of choosing energy supply in local hands. By pooling demand, communities build the clout necessary to negotiate competitive rates with private suppliers and are able to choose cleaner energy. CCA programs that incorporate Opt-Out Community Distributed Generation (CDG) provide potentially thousands of customers access to community-scale renewables. A CCA can allow whole communities to participate in the clean energy economy by ensuring that a greater percentage of electricity is coming from renewable sources.

REQUIREMENTS

Demonstrate completion of the CCA action by completing one or more:

1. 100% Renewable Default Supply Mix – 1,500 Points

- Submit a copy of the approval letter from the New York State Department of Public Service (DPS) naming the applying jurisdiction as authorized to move forward with CCA, or submit a copy of adopted legislation authorizing the municipality's participation in an opt-out CCA program.
- Submit a copy of an executed and current electric service agreement between the applying jurisdiction and an Energy Services Company (ESCO) to supply electricity to participating CCA customers on an opt-out basis that is a default 100% renewable clean energy product mix, or comparable information. The ESCO electric service agreement, or comparable information, should indicate that the ESCO will retire renewable energy certificates (RECs) on behalf of the Municipality in a New York State Generation Attribute Tracking System (NYGATS) Account (with reports on such retirements to the Municipality) in a manner that is compliant with the environmental attributes and delivery rules of the New York Public Service Commission Environmental Disclosure Program. The electrical energy associated with the renewable energy certificates must be consumed at retail in New York State.
- Communities that were approved by NYSERDA for the CCA high-impact action prior to July 1, 2019 must resubmit to earn points for this action.
- Date of completion is the date on which the electric service agreement or addendum was fully executed.

2. Opt-Out Community Distributed Generation (CDG) – 500 Points

- Submit a copy of the DPS approval letter naming the applying jurisdiction as authorized for Opt-Out CDG.
- Submit a completed Opt-Out CDG Certification Form (accessed in the CCA toolkit at www.nyserderda.ny.gov/cec) attesting that one or more of the following customers located within the applying jurisdiction have been enrolled into active CDG projects on an opt-out basis:
 - At least 600 residential and small commercial electricity accounts.
 - In cases where the community has fewer than 600 residential and small commercial electricity accounts, at least 50 percent of the residential and small commercial electricity accounts
 - All eligible assistance program participants (APPs)
- Date of completion is the date when customers are enrolled in the Opt-Out CDG program.

RECOMMENDATIONS

- Combine CCA with the Community Campaigns high-impact action and offer a range of value-added clean energy products and services.

RESOURCES

- Dedicated and knowledgeable local Clean Energy Communities Coordinators are available to assist municipal staff as they implement this action. To access this support, please send an email to cec@nyserderda.ny.gov.
- A toolkit of resources is available at www.nyserderda.ny.gov/cec.

NYSTRETCH ENERGY CODE

1,200 points | Action Grant Eligible | Applicable if you enforce the Uniform Code for private buildings

RATIONALE

NYStretch Energy Code - 2020 was developed by NYSERDA as a statewide model code for New York jurisdictions to use to meet their energy and climate goals by accelerating the savings obtained through their local building energy codes. For jurisdictions that adopt it, NYStretch can provide savings of roughly 11% over the 2020 Energy Conservation Construction Code of New York State (2020 ECCC-NYS).

REQUIREMENTS

Demonstrate completion of the NYStretch action by submitting the following documentation:

- Submit a certified copy of an executed local law or ordinance adopting the NYStretch Energy Code-2020 on a jurisdiction-wide basis (template legislation can be accessed in the NYStretch Energy Code toolkit at www.nyserda.ny.gov/cec). The code may be customized to fit local needs and priorities but, if customized, the jurisdiction must be able to demonstrate that the adopted code is at least as stringent as the NYStretch Energy Code-2020 and conforms with the same scope and administration required by the ECCCNY-2020. For example, jurisdictions cannot limit NYStretch applicability to certain building types, segments of the construction market, new or existing buildings, or categories of existing building construction apart from compliance required by the ECCCNY-2020. Date of completion is when NYStretch takes effect.
- Within 30 days of adopting NYStretch, the municipality shall file the form titled, “Filing to the State Fire Prevention & Building Code Council of More Stringent Local Energy Conservation Construction Code” with the New York State Department of State Division of Building Standards and Code pursuant to Energy Law §11-109. Submit a copy of the filed form. If the applicant fails to file the form within 30 days, submit evidence that the filing was approved by the State Fire Prevention & Building Code Council.
- The executed local law or ordinance shall be adopted *and* take effect no later than June 30, 2022.

ACTION GRANT ELIGIBILITY

Demonstrate eligibility for a NYStretch Action Grant by completing the NYStretch Energy Code high-impact action.

The following table indicates the grant amounts and the number of available awards based on community size:

Municipality Size by Population	Action Grant Amount	Number of Awards
Large (40,000+)	\$50,000	40
Small/Medium (0-39,999)	\$5,000	100

RECOMMENDATIONS

- NYSERDA’s template legislation (accessed in the NYStretch Energy Code toolkit at www.nyserda.ny.gov/cec) may be used as a resource by municipalities in developing their own NYStretch Code authorization. An Adoption Guide is also available in the toolkit.
- Engage design professionals, developers, builders, and the general public as the jurisdiction considers and ultimately implements a NYStretch Code locally.

RESOURCES

- Dedicated and knowledgeable local Clean Energy Communities Coordinators are available to assist municipal staff as they implement this action. To access this support, please send an email to cec@nyserda.ny.gov.
- A toolkit of resources is available at www.nyserda.ny.gov/cec.

COMMUNITY CAMPAIGNS

200 to 1,100 points | Action Grant Eligible | Applicable to all communities

RATIONALE

Community-scale campaigns can be an effective way to encourage adoption of new, innovative technologies to generate value and savings for consumers while advancing state and local clean energy goals. Campaigns to promote program opportunities including community solar, clean heating and cooling and energy efficiency, demand response, and electric vehicles can provide consumers with increased access to clean energy. Campaigns are typically short-term, local efforts that brings together groups of potential customers through widespread outreach and education. Well-organized campaigns are a great way to be active and visible in the community.

REQUIREMENTS

Complete any of the following campaign types, but no more than one campaign per campaign type, to earn credit for this action. While a single campaign may cover more than one technology, please submit documentation separately under each campaign type.

1. Community Campaign for Community Solar – 200 Points

Commonly referred to as Community Solar, Community Distributed Generation (CDG) is a renewable energy project that will typically offer guaranteed cost savings to subscribers. The local government enters partnerships with regional CDG projects and promotes Community Solar subscriptions to their constituents, including Solar for All subscriptions to Low-Moderate Income (LMI) households. CDG projects may include solar, wind, or hydro facilities. CDG subscription related to the applying jurisdiction’s municipal electric accounts are not eligible to be counted as a customer. Community Solar providers must be listed on the NYS Power to Choose Distributed Energy Resources (DER) list at <http://documents.dps.ny.gov/PTC/der>.

Municipality Size by Population	Required Number of Campaign Participants	Action Grant Amount	Number of Awards
Large (40,000+)	25	\$15,000	10
Small/Medium (0-39,999)	10	\$5,000	60

2. Community Campaign for Electric Vehicles – 200 Points

The local government along with partner organizations and volunteers initiate and develop partnerships with car dealerships, platform providers, and/or other EV industry partners to offer local residents and businesses a variety of makes and models of electric vehicles. The offer may be promoted through ride and drive events and other outreach efforts. Vehicles must be new and purchased to qualify. Electric Vehicles purchased by the applying jurisdiction are not eligible to be counted as a customer.

Municipality Size by Population	Required Number of Campaign Participants	Action Grant Amount	Number of Awards
Large (40,000+)	10	\$15,000	5
Small/Medium (0-39,999)	5	\$5,000	10

3. Community Campaign for Clean Heating and Cooling and Energy Efficiency – 500 Points

The aim of Clean Heating and Cooling is to efficiently use electrical energy to replace other forms of energy, such as fossil fuels. The local government along with partner organizations and volunteers organize a structured campaign to encourage the adoption of clean heating and cooling technologies (e.g., ground- and air- source heat pump systems and heat pump water heaters) as well as energy efficiency retrofits to homes, businesses, and community institutions. The local government should also develop partnerships with NYSERDA-approved Clean Heating and Cooling Community Campaigns if they are available in the area. At least 3 for small-size

community campaigns and 6 for large-size community campaigns must be clean heating and cooling technologies. Installations in the applying jurisdiction’s municipal buildings are not eligible to be counted as a customer. Communities that completed the Community Campaign for Clean Heating and Cooling and Energy Efficiency action prior to November 18, 2021 will be awarded 300 additional points retroactively.

Municipality Size by Population	Required Number of Campaign Participants	Action Grant Amount	Number of Awards
Large (40,000+)	10	\$15,000	15
Small/Medium (0-39,999)	5	\$5,000	45

4. Community Campaign for Demand Response – 200 Points

Demand response is important because the actions of individual customers can be aggregated in ways that deliver significant value to the grid. Local governments are uniquely positioned to help customers benefit directly from this opportunity. The local government must develop partnerships with New York Independent System Operator (NYISO) or utility demand response programs and/or providers. Participants may be residents where demand response programs accept residential customers. Commercial and industrial customers and other eligible entities may also be the participants depending on the demand response programs available in your utility territory. The objective is to increase resilience and leverage capacity markets for the benefit of participating customers. Enrollment of the applying jurisdiction’s municipal buildings into a demand response program does not qualify to be counted as a customer.

Municipality Size by Population	Required Number of Campaign Participants	Action Grant Amount	Number of Awards
Large (40,000+)	25	\$15,000	5
Small/Medium (0-39,999)	10	\$5,000	20

To earn credit for this action, each campaign must complete the following steps:

Step 1 – During the planning phase of the campaign, the applying jurisdiction must visit the “Submit Action Item Documentation” page at www.nyserda.ny.gov/cec and submit a completed Community Campaigns Scoping Document which is available in the Community Campaigns toolkit at www.nyserda.ny.gov/cec. NYSERDA will review the scoping document and provide notification by email if the campaign may proceed.

Step 2 – Once the campaign is complete, the applying jurisdiction must return to the “Submit Action Item Documentation” page at www.nyserda.ny.gov/cec and submit the following documentation:

- Submit documentation to demonstrate direct municipal participation in a campaign. Documentation should be dated and include the name of the applying jurisdiction, and may consist of one or more of the following: a press release, a flyer from an event hosted by the jurisdiction, a website screenshot, a local press article, a certified resolution, or comparable information.
- Submit a completed Customer List (a template is available in the Community Campaigns toolkit at www.nyserda.ny.gov/cec). The campaign must achieve at least the number of customers/participants as indicated in the tables for each campaign type. The Customer List must include the location, name of the installer/supplier, and either the date the customer / participant signed a contract, the date the project was installed or vehicle purchased, the date the installation was permitted, or the date the NY Sun, Ground Source Heat Pump Rebate, Air Source Heat Pump Program, or Renewable Heat NY application was submitted. Installation / purchase / contract-signed dates must be after NYSERDA approval of the campaign scoping document to qualify. Customers/participants must reside within the boundaries of the applying jurisdiction.
- Date of completion for this action is defined as the date on which NYSERDA approved the scoping document.

ACTION GRANT ELIGIBILITY

Demonstrate eligibility for a Community Campaign Action Grant by complying with the following requirements:

- Complete a Community Campaign type and receive NYSERDA approval.
- Communities may receive no more than one grant per campaign type.

RECOMMENDATIONS

- Design an integrated campaign that offers packages and options that cover more than one clean energy product or service.
- Consider launching one or more Community Campaigns in conjunction with a Community Choice Aggregation (CCA) program.
- Team up with individuals, organizations, and nearby jurisdictions to develop a strong volunteer base to support the campaign.

RESOURCES

- Dedicated and knowledgeable local Clean Energy Communities Coordinators are available to assist municipal staff as they implement this action. To access this support, please send an email to cec@nyserda.ny.gov.
- A toolkit of resources is available at www.nyserda.ny.gov/cec.

HOW TO ACCESS GRANT FUNDING

Once a community completes all stated requirements for a grant, NYSERDA will send an email to the community's representative who submitted the action item documentation. This email will explain how to apply for the grant including the grant amount for which the community is eligible and the grant application due date. **The applicant has three months** from the date of this email to submit a grant application. Projects must be ready to commence within six months of award notification and should be complete within three years of contract execution.

Grant applications are accepted through an online grant application portal at www.nyserderda.ny.gov/cec. If you are having any trouble or are unable to submit, please attach all application materials to an email and send to cec@nyserderda.ny.gov. Grants are available on a first-come-first-served basis until all grant awards are claimed or all funds are exhausted. NYSERDA reserves the right to adjust funding levels and eligibility criteria as necessary to ensure the success of the program.

No local cost share is required for grant applications. Grants that are \$5,000 or less are paid in full directly by check. While these smaller grants will not result in contract with NYSERDA, the applicant must describe the clean energy project, program, or initiative it plans to support using this funding. For grants that are larger than \$5,000, communities must propose either a pre-approved project type or a custom project that meets the selection criteria below. If a proposal is not approved, the applicant may revise the proposal and resubmit. Projects must be ready to commence within six months of NYSERDA award notification and should be completed within three years of contract execution.

Extension Requests

At NYSERDA's discretion, one application extension of up to two months may be granted per award. Extension requests should be in writing to cec@nyserderda.ny.gov and submitted at least two weeks prior to the application deadline. It should outline the reasons for the extension and the amount of time requested. Communities that miss the submission deadline without having received an approved extension are at risk of losing their funding.

Eligible Project Types

It is NYSERDA's expectation that all funding through the program be used to support clean energy projects. For grant awards greater than \$5,000, applicants may propose a specific project for funding. The applicant may select from a list of pre-approved project types to expedite the grant application approval process, or propose a custom project.

Pre-Approved Project Types

Applicants proposing pre-approved project types must comply with the performance requirements included in the Statement of Work included within Sample Agreement (Attachment B) template posted to the CEC website. This template includes performance requirements for pre-approved project types including but not limited to conversion of streetlights to LED, installation of solar, purchase of electric vehicles, installation of electric vehicle charging stations, and implementation of eligible building upgrades recommended in a Clean Energy Communities Energy Study or ASHRAE Level II or III Energy Audit. The audit shall have been completed no more than five years prior to application. Applicants may apply to use funding for custom projects. If a custom project proposal includes solar, electric vehicles, charging stations, LED street lights, or building upgrades, there must be serious and exceptional factors which adversely affected the applicant's ability to apply for these elements as pre-approved project types.

Clean Energy Communities (CEC) Energy Studies

For grant awards greater than \$5,000, applicants may apply to use funds for one or more CEC Energy Studies and/or Clean Heating and Cooling Screenings. Prepared by expert consultants working on NYSERDA's behalf, the CEC Energy Study is a comprehensive, fuel-neutral, unbiased evaluation of all potential cost effective low-cost/no-cost and capital improvement upgrades using a standardized calculation methodology pre-approved by NYSERDA. The Clean Heating and Cooling Screenings investigate the viability of technologies such as ground source heat pumps (GSHPs), air source heat pumps (ASHPs), and variable refrigerant flow (VRF) systems. The cost of the study(ies) will be paid directly by NYSERDA to the third-party vendor. An amount equal to the cost of the CEC Energy Study(ies) and/or Clean Heating and Cooling Screenings will be deducted from the original grant award. This deduction is reflected in the Total Amount of Award

listed at that top of the grant agreement with NYSERDA. If the cost of the study(ies) exceeds the award amount, the applicant may negotiate with the NYSERDA-assigned vendor to pay the difference directly.

Disadvantaged Community Bonus

Any points-based or action grant award in the amount of \$20,000 or greater may be eligible for \$10,000 bonus funding for a clean energy project. To access a bonus, the grant project shall be in a New York State Disadvantaged Community in the applying jurisdiction. A project location lookup tool is available at www.nyserdera.ny.gov/ny/disadvantaged-communities and eligibility is subject to NYSERDA verification. The CEC grant application form is used by NYSERDA to screen for bonus eligibility. If eligible, the bonus amount will be added automatically to the award. To be eligible for a Disadvantaged Community Bonus grant for a custom project type, applicants must demonstrate that the benefits of the project or initiative are confined to the Disadvantaged Community area. Ninety (90) bonus grants are available on a first-come, first served basis to eligible communities.

Selection Criteria for Custom Projects

Applications for custom projects will be evaluated based on the following criteria, with a total number of possible points allocated to each. Applicants that propose a custom project must earn a minimum of 70% of the selection criteria points to be considered eligible.

1. To what extent does the project/initiative have a positive direct impact on energy use and greenhouse gas emissions?
 - Is the proposal likely to achieve direct greenhouse gas emission reductions greater than 1 ton of CO2 equivalent annually per 10,000 residents?
 - Does the proposal provide a clear estimate along with a brief description/methodology to support these estimates, of annual energy savings and greenhouse gas emission reduction?
 - Does the proposal include an implementation component, not only a study or plan?

2. To what extent does the proposer present a thorough, sound, detailed approach for accomplishing the objectives of their proposal within a reasonable timeframe?
 - Is the project clearly and concisely defined?
 - Are project costs justified based on expected benefits?
 - Is the budget broken down by Task to match the Tasks established in the scope of work?
 - Is there an estimate of the timeframe for completing different phases of the project including the design phase and the construction/implementation phase?
 - If the custom project proposal includes solar, electric vehicles, charging stations, LED street lights, or building upgrades, are there serious and exceptional factors outside the applicant's control which adversely affected the applicant's ability to apply for these elements as pre-approved project types?

3. To what extent will efforts be made to collaborate with other municipalities and to transfer knowledge to the broader region and state?
 - To what extent does the municipality provide specific tools and resources that other municipalities can use to facilitate collaboration or develop their own projects?
 - Is there a strategy in place to promote the project so that several other municipalities are made aware?
 - Will the municipality host an open house, presentation, website posting, or webinar to describe best practices and lessons learned from the project?

4. To what extent will the project/initiative benefit the low-to-moderate income community, leverage public and private dollars, and/or generate economic development benefits (i.e. temporary or permanent job creation and investment)?
 - Is the project located in a Disadvantaged Community? To what extent will the project benefit the low-to-moderate income community?
 - Does the proposal include cost-sharing? If cost-sharing is included, is it documented?

- Does the project provide direct economic development benefits including job creation or retention, savings, investment, or multiplier effects?
- Approximately how many temporary or permanent jobs is the project likely to create?

Proposal Requirements

Projects will be scored and awarded on a rolling basis. No project or applicant is guaranteed funding. Applications will be reviewed as outlined below.

- The grant application and NYSERDA Portal for submitting the grant application are available at www.nyserda.ny.gov/cec.
- Attachments to PON 3298 includes a spreadsheet-based Grant Application (Attachment A). The “Contract” tab of the Grant Application includes a draft Statement of Work (SOW) included within the Sample Agreement (Attachment B).
- For each funding award, the Grant Application and a letter of commitment on municipal letterhead and signed by the chief elected official of the applying jurisdiction must be uploaded to the NYSERDA Portal.
- NYSERDA may reach out to applicants via email or telephone with specific follow-up questions after reviewing proposals. Should NYSERDA request additional information, applicants will have five business days to respond in order for that information to be considered in the evaluation process.
- Applicants that propose a custom project must earn a minimum of 70% of available selection criteria points to be considered eligible. If a proposal is found to be incomplete or if it does not earn a minimum of 70% of available selection criteria points, the applicant may reapply within two months of notification.
- Review meetings will be held periodically, on at least a quarterly basis, depending on the volume of applications.
- NYSERDA may condition awards upon applicant acceptance of requests for minor modifications to project scopes to ensure that NYSERDA program goals are met. NYSERDA reserves the right to request additional information.
- NYSERDA reserves the right to reject proposals that would otherwise be eligible for other existing NYSERDA or other New York State funding opportunities.
- NYSERDA, in order to avoid double-funding projects or measures within projects, may adjust awarded funding amounts at any time based on new information regarding other project funding secured.
- NYSERDA reserves the right to adjust award amounts at its sole discretion.
- Applicants must agree, or provide written exceptions, to NYSERDA’s standard contracting Terms and Conditions, which can be found at www.nyserda.ny.gov/cec.
- All payments made in advance of work being completed are subject to recapture for non-compliance or non-performance.

Metrics Report

It is important to begin considering project benefits at the application stage. Anticipated benefits associated with Clean Energy Communities projects shall be measured. Each successful applicant shall submit preliminary (design) and final (completion) quantified documentation of the benefits of the project, including greenhouse gas reductions and energy savings, determined and documented in Exhibit E of Attachment B, SOW, which can be found on the www.nyserda.ny.gov/cec webpage. Each successful applicant shall design the project to achieve the benefits identified in these submissions. NYSERDA will use the Metrics Report to assess activities in the project, capture the extent of benefits delivered, and gauge performance of the project and of the CEC Program. If requested, the Contractor shall coordinate with the NYSERDA Project Manager to schedule a date for a site inspection. NYSERDA may also request applicable documentation including, but not limited to, photos of the funded project components.

NYSERDA Verification

NYSERDA may independently verify completion of any high-impact action and grant project. NYSERDA may inspect or confirm the validity of the information provided or request additional information at any time.

GENERAL CONDITIONS

Proprietary Information: Careful consideration should be given before confidential information is submitted to NYSERDA as part of the applicant's 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 <http://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

Procurement Lobbying Requirements- 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 <http://www.oqs.ny.gov/aboutoqs/regulations/advisoryCouncil/StatutoryReferences.html>

The attached Proposal Checklist calls for a signature certifying that the proposer will comply with State Finance Law sections 139-j and 139-k and the Disclosure of Prior Findings of Non-responsibility form 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). 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). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

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

Contract Award

NYSERDA may award a contract based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work (included within Attachment B, Sample Agreement). 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 including Sample SOW (Attachment B) to contract successful proposals. 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 submitted proposal. 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 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.

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.

Disclaimer

All projects must address the qualifications and eligibility requirements listed in this Guidance Document. NYSERDA reserves the right to issue revisions to this solicitation at any time. Any revisions will be announced and posted on NYSERDA's website at www.nyserda.ny.gov. High-Impact Actions may be adjusted, phased out, or newly developed based on a variety of factors including, but not limited to, new opportunities to help communities drive local energy action, level of uptake in communities relative to other actions, changes in the regulatory environment, consistency with NYSERDA and other New York State agency program offerings, and availability of external assistance, such as federal programs, tools, and resources.

Additional Resources

All program resources and guidelines can be found on the Clean Energy Communities webpage at the following location: www.nyserda.ny.gov/cec.

Attachments

Attachment A – Grant Application

Attachment B – Sample Agreement including Statement of Work (SOW)



**Cooperative Advertising and Training for Clean Energy Partners
Program Opportunity Notice (PON) 4482
\$10.1 Million**

NYSERDA reserves the right to extend and/or add funding to the Solicitation should other program funding sources become available.

Applications will be accepted on a first-come, first-served basis dependent on funding availability through December 31, 2022 or until all funds are committed.

NYSERDA has \$10.1 million available to provide cost-share on advertising, special promotions, and/or events, including training, for eligible technologies. NYSERDA's Cooperative Advertising and Training Program for Clean Energy Partners offers incentives for marketing and promotion of clean energy products and services. Up to 50 percent of the total cost of approved activities and promotions will be available to eligible partners. Partners may include: manufacturers, distributors, or vendors of eligible cold-climate air source heat pumps (ccASHPs), ground source heat pumps (GSHPs), or high-efficiency low-emission wood heating systems serving the New York HVAC industry, and contractors/installers who have an executed partnership agreement through the utility-run [NYS Clean Heat incentive program](#), or NYSERDA's [Pay for Performance](#), [Comfort Home](#), [Residential Energy Audits](#), [Renewable Heat NY](#), or [Clean Heating and Cooling Communities](#) programs, or an entity that offers performance-based financing in partnership with a utility company and approved Clean Energy contractor.

These activities must promote eligible cold-climate air source heat pumps (ASHPs), ground source heat pumps (GSHPs), energy efficiency, building envelope improvements, or high-efficiency low-emission wood heating systems and convey the related benefits and offers of these technologies through advertisements (TV, print, online, etc.); marketing materials; social media; and special promotions, events, or clean HVAC related trainings. All activities must be pre-approved by NYSERDA to receive reimbursement.

Funding is available on a first-come, first-served basis until December 31, 2022, or until all funds are committed, whichever comes first.

NYSERDA will pay up to 50 percent of the cost of approved advertising or training activities for applications received starting December 31, 2020 at 3:00 p.m. ET through December 31, 2022, or until all funds have been committed. All advertising campaigns and training must be scheduled and completed within one year of the submission date.

Application Submission: Eligible Clean Energy partners must complete and submit the [Cooperative Advertising and Training Application](#) using the online form with related back-up



documentation to be considered for co-op funding or training reimbursements. Application submissions will be evaluated within 15 business days. Incomplete or insufficient applications will be rejected. However, applicants have the option to revise and resubmit applications previously rejected.

No communication intended to influence this procurement is permitted except by contacting Scott Smith (Designated Contact) at 518-862-1090, ext. 3344 or by email coop@nyserda.ny.gov or Cory Nicosia (Secondary Contact) at 518-862-1090, ext.3622 or by email coop@nyserda.ny.gov (for technical questions). For assistance completing the application, contact our helpline at 518-207-4553 or coop@nyserda.ny.gov. If you have contractual questions concerning this solicitation, contact Elsyda Sheldon (Designated Contact) at 518-862-1090, ext. 3232 or elsyda.sheldon@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.

Faxed or emailed applications will not be accepted. Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all required documents have been included in the proposal. If changes are made to this solicitation, notification will be posted on NYSERDA's Cooperative Advertising and Training for Clean Energy Partners web page.

I. Program Summary

NYSERDA will provide up to 50 percent of the total cost of eligible advertising and marketing activities that promote the installation of [cold-climate air source heat pumps \(ccASHPs\)](#), [ground source heat pumps \(GSHPs\)](#), energy efficient building envelope improvements, or high-efficiency low-emission wood heating systems that are eligible under the NYS Clean Heat Program, Pay-for-Performance, Comfort Home, Residential Energy Audit, or Renewable Heat NY programs. Heat pump manufacturers and distributors can also receive cost-sharing for sales, design and/or installation training.

The main objective of this PON is to increase the demand for, and installation of, eligible ccASHPs, GSHPs, energy efficiency measures, and high-efficiency low-emission wood heating systems to help spur widespread adoption of clean energy. The activities to be supported under this PON are intended to complement the NYS Clean Heat Program, Pay-for-Performance, Comfort Home, Residential Energy Audit, Clean Heating and Cooling Communities, and Renewable Heat NY.

Participants must read and agree to be bound by the terms of the [Co-op Advertising and Training Program Manual \(Program Manual\)](#), including the

Terms and Conditions attached thereto. This Manual provides additional details regarding eligible co-op activities, submission requirements, reporting, and reimbursement process.

II. Eligibility Criteria

NYSERDA will pay up to a 50 percent maximum cost-share for qualified marketing, advertising, and or trainings that meet the guidelines and requirements described in the Program Manual. Program applicants must either be: (1) distributors, vendors, or manufacturers (or a brand agnostic collaborative of manufacturers led by an industry association) of eligible clean heating and cooling equipment¹ who demonstrate that they sell eligible clean heating and cooling technologies in New York State; (2) Clean Energy contractors who have an executed partnership or other agreement through the [NYS Clean Heat Program](#), or NYSERDA's [Comfort Home](#), [Renewable Heat NY](#), [Residential Energy Audit](#), or [Pay-for-Performance](#) programs and are in good standing within the aforementioned program(s); (3) an entity that offers performance-based financing in partnership with a utility company and an approved Clean Energy contractor; or (4) a municipality or Community-based Organization running a [Clean Heating and Cooling Community Campaign](#) either directly funded by NYSERDA or approved to receive high-impact action points by the [Clean Energy Communities](#) and are in good program standing.

Only clean heating and cooling technology manufacturers and distributors can apply for related sales, design and/or installation training. Manufacturers and distributors must demonstrate they sell utility program-qualified air source or ground source heat pumps, or high-efficiency, low-emission wood heating systems to participate.

Clean Energy partners must demonstrate that they make available for sale program-qualified clean HVAC technologies in New York State, specifically in the System Benefits Charge (SBC) service territories. In general, the SBC service territory covers customers of New York's six investor-owned utilities, which includes Central Hudson Gas & Electric Corporation, Consolidated Edison Company of New York, Inc., Orange & Rockland Utilities, Inc., National Grid, Rochester Gas and Electric Corporation, and New York State Electric & Gas (NYSEG) Corporation.

¹ Companies with the demonstrated capability to deliver bulk premium wood pellets will be considered as eligible participants. Providers of bagged wood pellets will not be considered as eligible participants. Premium wood pellets are 100% wood composition with no construction or demolition debris such as pressure treated or painted wood (which may contain heavy metals such as copper, chromium, arsenic, lead and cadmium) or plastic binders or fillers. Pellets must have a calorific value of no less than 8000 Btu/lb, low ash content (<1%), low moisture content (<8%), chlorides less than 300 ppm and no other additives (0%).

III. Cooperative Advertising and Training Incentive Structure

The annual maximum cap per eligible heat pump manufacturer (or brand-agnostic manufacturer collaborative led by an industry association) is \$200,000 for advertising and \$50,000 for training. The annual cap per eligible heat pump distributor is \$100,000 for advertising and \$50,000 for training. The annual cap per eligible contractor or Clean Heating and Cooling Community campaign is \$100,000. Annual caps are renewed each calendar year (January 1) and any unused/remaining incentives cannot be carried over from the previous year.

IV. How to Apply

Eligible participants apply for incentives by completing the [Cooperative Advertising and Training Application](#) (including uploading any related attachments and documents). Participants must electronically sign each Application and agree to abide by the terms and conditions and guidelines in the Program Manual. Incomplete or inaccurate applications will not be accepted. To be eligible for reimbursement, all cooperative advertising, promotions, and/or training activities must be pre-approved by NYSERDA.

Where possible, notification of approval or of necessary changes required in order to receive approval will be provided within 15 business days. It is highly recommended that proposers submit applications well in advance to allow enough time for any NYSERDA-related changes or revisions before the activity is implemented. Applications should include sufficient back-up documentation for each co-op activity for NYSERDA to determine the cost effectiveness, reach/impact, and content's ability to generate interest, leads, and projects. Advertising creative, including scripts, visuals, and mock-ups should be submitted with the application to avoid delays or rejection of the application. For more information on eligible co-op activities and related requirements, refer to the Program Manual.

V. Evaluation Process

Through this Program, NYSERDA is supporting marketing efforts that are cost-effective and support an increase in the number of installations and projects. NYSERDA will review and evaluate all applications received on the cost-effectiveness, reach and/or impact, and content of the advertising, and/or training. For reach/impact, this means that each co-op activity application should provide a realistic number of people that will see or interact with the co-op activity. For cost-effectiveness, the co-op activity will be evaluated based on the overall cost in relation to the number of people that

will be targeted through the co-op activity. For instance, if you are applying for co-op incentives to cost share a \$50,000 newspaper ad, but if the newspaper has a circulation of only 3,000 subscribers, this would not be considered cost-effective. NYSERDA will also review the content of the activity to ensure the messaging is benefit-oriented, and specifically mentions (by type) eligible clean energy technologies.

Each application will be reviewed by an internal evaluation panel made up of marketing and program experts to ensure each co-op activity sufficiently meets the evaluation criteria. NYSERDA may reject any application for any reason. Generally, NYSERDA will provide feedback within 15 business days on applications that require changes prior to being approved. If those applicants can rectify or improve the proposal, they will be encouraged to revise and re-submit for approval within 15 business days.

All co-op activities proposed should reflect cost-share on the part of the applicant and complement the objectives of the *referenced programs*.

NYSERDA reserves the right to provide less than 50 percent of cost-share based on the reach/impact or messaging of the proposed co-op activity. NYSERDA also reserves the right to make changes to the cost-share incentive structure at any time. These changes will be posted on NYSERDA's Cooperative Advertising and Training for Clean Energy Partners webpage.

Participants will also be informed of any changes via email. All [Cooperative Advertising and Training applications](#) submitted to the Program will be eligible for the incentive level in place at the time that the completed application is received by NYSERDA. Applicants are prohibited from cancelling any submitted or previously approved applications and re-applying if the new incentive structure would result in a higher incentive.

VI. Invoicing and Reimbursement Requirements

To be eligible for reimbursement of co-op activities, Clean Energy partners must meet the requirements outlined in the Cooperative Advertising and Training Program Manual. Once the approved co-op activity is implemented/executed, the Partner must submit the [Payment Request Form](#) (including Tracking Number), back-up documentation including an itemized billing statement or invoice for the activity, and preliminary outcomes (leads/projects) for co-op activities. The payment request must be submitted within 60 days of completion of the advertising/training/promotion and only one payment will be issued per application (see section 4 of the Program Manual for additional details.) NYSERDA reserves the right to withhold the reimbursement until all required/requested documents are received.

VII. General Conditions

Proprietary Information – Careful consideration should be given before confidential information is submitted to NYSERDA as part of your application/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 records in NYSERDA's possession. Public Officers Law, Section 87(2)(d) provides for an exception 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 <http://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). 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 perspective 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). 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 may award a contract based on initial applications without discussion or following limited discussion or negotiations. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications.

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 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.

VII. Attachments:

Attachment 1: Cooperative Advertising and Training for Clean Energy Partners Program Manual



RetrofitNY Gap Funding for High-Performance Retrofit Projects (Round Two)

Program Opportunity Notice (PON) 4878
Up to \$ 5,000,000 Available

NYSERDA reserves the right to extend and/or add funding to the Solicitation should other program funding sources become available.

Applications accepted from 11/10/2021 through 11/08/2024 by 3:00 PM Eastern Time

Program Summary: The goal of RetrofitNY is to spearhead the creation of standardized, scalable solutions and processes that will dramatically improve the energy performance of residential Multifamily Buildings while improving their health, comfort, and aesthetics. An initiative of NYSERDA’s Clean Energy Fund, RetrofitNY is working aggressively to bring a substantial portion of New York’s Affordable Housing units to Carbon Neutrality over the next decade, and in so doing develop significant new business opportunities in the State. NYSERDA’s efforts support Governor Kathy Hochul’s ambitious climate goals while improving the quality of life for Affordable Housing residents.

The purpose of this solicitation is to provide limited project Gap-funding to design, produce and install high-performance Whole Building Retrofit Solutions (as defined below) in instances where (a) the cost of the Whole Building Retrofit Solution exceeds available project financing and (b) that additional cost cannot be fully underwritten by the energy and operational savings produced by that Whole Building Retrofit Solution. The goal of funding such projects is to demonstrate the efficacy of the Whole Building Retrofit Solution and lay the foundation for Carbon Neutral Whole Building Retrofit Solutions to be developed at scale, thereby significantly reducing the costs of such solutions and ultimately making the process self-sustaining. Through this Program Opportunity Notice (PON), NYSERDA will select a limited number of building owners on a first-come, first-served basis to receive gap-funding whose respective buildings have been qualified through NYSERDA Request for Qualifications (RFQL) 4552 and will receive a Whole Building Retrofit Solution designed and installed by a Solution Provider Qualified through RFQL 4553 that is comprised of Components qualified through RFQL 4551.

Application Submission: Online submission is preferable. 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. Application 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 applicant’s entity name in the title of the document. NYSERDA will also accept applications by mail or hand-delivery if online submission is not possible. 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 (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted except by contacting Saul Brown at (518) 862-1090 ext. 3028, or Christopher Mahase at (518) 862-1090 ext. 3534, or James Geppner at (518) 862-1090 ext 3627, or by e-mail at RetrofitNY@nyserda.ny.gov. If you have contractual questions concerning this solicitation, contact Assistant Contract Manager, Venice Forbes at (518) 862-1090 ext. 3507 or Venice.Forbes@nyserda.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 an applicant being deemed a non-responsible offeror, and (2) may result in the applicant not being awarded a contract.

*** All applications must be received by 3pm Eastern Time on the date noted above. Late, faxed, or emailed 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 completed/included in the application. 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 applications. The online application 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 the “Current Opportunities” section of NYSERDA’s website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

A webinar providing instructions and guidance for submitting applications to this PON will be provided as indicated in the table below.

INFORMATIONAL WEBINAR	DATE	REGISTRATION
Gap-funding PON 4878	Friday, 11/19/21 11:30AM-1:00PM ET	Registration link

Information on the webinars will be available through the program webpage at <https://www.nyserda.ny.gov/RetrofitNY>. Potential or interested applicants should attend or view the applicable webinar before starting the application process. Requests for information can be sent to RetrofitNY@nyserda.ny.gov for the duration of this solicitation. All responses will also be publicly posted as FAQs on RetrofitNY’s website at <https://www.nyserda.ny.gov/RetrofitNY>.

I. Introduction

Retrofitting occupied buildings to achieve a high level of energy performance on a large scale requires innovative solutions. However, cost-effective solutions that can be implemented on a large scale currently do not exist in the United States. Following NYSERDA’s Requests for Qualifications (RFQLs) 4552, 4553 and 4551 which qualified Building Owners, Solution Providers and Components respectively, this Gap-funding PON represents the next step toward NYSERDA facilitating the development of scalable Carbon Neutral Whole Building Retrofit Solutions for tenanted Multifamily Buildings. RetrofitNY is seeking to pilot financial and business models to foster competitively priced Carbon Neutral Whole Building Retrofit Solutions in New York State.

Under this solicitation NYSERDA will be accepting applications from building owners whose building will have a whole building high-performance solution designed by a Solution Provider qualified through RFQL 4553, comprised of products Qualified through RFQL 4551, and who have agreed to procure the solution from the Solution Provider that designed the solution.

To be eligible, applicants must meet all eligibility criteria defined in Section II Program Requirements below. Qualified Projects will enter a design process of up to six months led by a Qualified Solution Provider. Projects will be eligible for a **design stipend of \$100,000**. In addition, Projects will be eligible for Gap-funding proportionate to the Project’s incremental cost as defined in Section II, up to a maximum

of \$40,000 per dwelling unit, subject to a cap of \$1,600,000 per building subject to funding availability.

Applications will be reviewed by NYSERDA program staff up to the expiration date of this PON or until all funds have been expended. Applications that meet minimum Eligibility Requirements defined in Section II.B will be issued a notification of acceptance to begin the multistep Pilot Project process outlined in Section II Program Requirements and detailed in the Standard Agreement (Attachment C)

II. Program Requirements

Applications accepted under this PON will be eligible for a design stipend of \$100,000 to assist with any additional design and engineering cost required for the Whole Building Retrofit Solution. If a Solution Provider is already subcontracting with a Building Owner to receive a RetrofitNY design stipend for another Pilot Project, NYSERDA shall determine, at its sole discretion, whether the same Solution Provider shall be eligible to subcontract with a Building Owner to receive a design stipend for another Pilot Project. The design stipend is intended to be a one-time flow down payment per Solution Provider to assist with initial design cost of the Use Case development.

Pilot Projects that qualify for Gap-funding as defined in this section below and in the Standard Agreement (Attachment C) may also be eligible for awards up to \$40,000 per dwelling unit to a maximum award of \$1,600,000 per building, subject to funding availability.

To achieve diversity in Owner applicants, building typologies and geographic distribution, NYSERDA expects to:

- award two Pilot Projects in New York City and two outside New York City, subject to funding availability.
- award two Pilot Projects that are 1-3 stories and two that are 4-7 stories, subject to funding availability.
- limit awards to no more than 2 awards per Owner applicant in this round.

NYSERDA reserves the right to fund a different set of typologies or number of Projects, depending on the nature of applications received and funding available at any given time.

If a Pilot Project falls into one of the above categories for which two Pilot Projects are already underway, it will be wait-listed. If a previously approved Project cannot meet required Project deliverables outlined in the Standard Agreement, it will be removed from the piloting process and a wait-listed Project will be approved to proceed.

Pilot Projects will be expected to meet or approximate performance specifications as defined in the Technical Specifications Guidelines (Attachment D). The Technical Specifications Guidelines are included for informational purposes and Solution Providers will have some latitude for professional judgement as applicable to the situation.

Pilot Projects accepted through this PON will execute a contract that requires the following multi-stage process defined in the Standard Agreement (Attachment C) and outlined as follows:

DESIGN STAGE

- Integrated Physical Needs Assessment (IPNA): Upon NYSERDA's acceptance of its application, the Building Owner will submit an IPNA within one month. This may be performed by the Solution Provider or a third-party, provided either is a qualified [NYSERDA IPNA Provider](#). If another form of needs assessment has been performed on the Pilot Building, the Building Owner may request, and NYSERDA shall determine, at its sole discretion, whether this is an acceptable substitute.

- **Conceptual Designs:** Upon NYSERDA's acceptance of the IPNA, the Building Owner will submit a set of Conceptual Designs produced by the Solution Provider within three months. Upon delivery of the Conceptual Designs, NYSERDA will issue payment of \$50,000 to the Building Owner for the design stipend.
- **Schematic Designs:** Upon NYSERDA's acceptance of the Conceptual Design set, the Building Owner will need to submit a set of Schematic Designs produced by the Solution Provider within three months. Upon delivery of the Schematic Designs, NYSERDA will issue payment of \$50,000 to the Building Owner for the design stipend.

FUNDING DETERMINATION STAGE

- **Gap-funding Request:** Upon NYSERDA's acceptance of the Schematic Design set deliverables, the Building Owner will submit a deliverable indicating the amount of Gap-funding needed, within one month. The Gap-funding request **shall NOT exceed \$40,000 per dwelling unit, up to a maximum award of \$1,600,000 per building subject to funding availability** and shall be to cover any Incremental Costs to the Project resulting from the Whole Building Retrofit Solution. For the purposes of this PON, Incremental Costs shall be defined as the remaining construction cost of the entire rehabilitation Project including the cost for the Whole Building Retrofit Solution, once the following are deducted:
 - the financing originally arranged for the planned conventional rehabilitation
 - additional subsidies from Affordable Housing agencies
 - the financing available for underwriting the projected operational savings resulting from the Whole Building Retrofit Solution as indicated in NYSERDA PON 4878 Section III.C Additional Funding Sources
 - incentives, rebates or subsidies applicable to the Whole Building Retrofit Solution Components as indicated in NYSERDA PON 4878 Section III.C Additional Funding Sources

NYSERDA shall also determine whether payments are to be made as a percentage of each monthly payment requisition during the Construction Stage or whether they are to be made as measures relating to the Whole Building Retrofit Solution are completed.

- **Project Closing:** Upon Building Owner's acceptance of the Gap-funding amount determined by NYSERDA, the Building Owner will then proceed to Project closing, producing final construction documents and any other materials at the Owner's sole expense, and provide NYSERDA with the documentation required as defined in the Standard Agreement (Attachment C).

CONSTRUCTION STAGE

- **Monthly Requisition:** Building Owners shall submit to NYSERDA monthly Site Observation Reports (SORs), AIA G702/G703 requisitions and other backup documentation with each monthly requisition and shall invite NYSERDA to participate in weekly Project meetings. Upon approval of this documentation, applicant will submit invoices through NYSERDA's finance portal for processing, from which NYSERDA will withhold 10% retainage to be released following Project closeout.
- **Measurement & Verification (M&V):** Solution Provider shall install and commission the metering and Monitoring System equipment as shall be defined in the M&V plan developed during the Design Stage, and shall collect, analyze and report data for the period required by the M&V plan.
- **Project Closeout:** Upon restoration of the Pilot Building to beneficial use, updated Data Release Authorization Forms (DRAFs) if metering accounts have changed, and confirmation from other sources on the Project that final payments have been released, NYSERDA shall release accumulated 10% retainage to the Building Owner.

To facilitate adoption of Carbon Neutral Whole Building Retrofit Solutions by Building Owners, NYSERDA will work closely with Affordable Housing regulatory agencies and private lenders associated with each Project to integrate NYSERDA's funding into the Project's existing financing process while minimizing the NYSERDA subsidy required for any given Project. Building Owners and their Solution Providers will also need to demonstrate that other funding sources and incentives as defined in Section III.C Additional Funding Sources have been sought and, where applicable, applied to defray the Project cost.

A. Definitions

Affordable Housing: At least 25% of building households must earn less than or equal to 80% of Area Median Income (AMI) AND building must participate in one or more of the following programs:

- PHA - Public Housing Authority
- HUD - Department of Housing and Urban Development (regulated affordable housing)
- DHCR – Division of Housing and Community Renewal (regulated affordable housing other than NYC rent control regulations)
- LITHC - Low Income Housing Tax Credit financing
- NYCHPD – New York City Department of Housing Preservation and Development (regulated affordable housing or other local housing agency)
- SONYMA – State of New York Mortgage Agency (mortgage Insurance financing)
- HFA's Programs – State Housing Finance Agency
- NYC HDC's Programs – New York City Housing Development Corporation
- NYS OTDA Temporary and Supportive Housing Programs – New York State Office of Temporary and Disability Assistance
- Mitchell Lama Program

Carbon Neutral, or Carbon Neutrality: in the case of a building or building treatment, the operations are all-electric and do not contribute to emissions of greenhouse gases that cause climate change. The total amount of site energy consumed by the building is less than or equal to the amount of renewable energy created by solar photovoltaics or other distributed energy resources located on the building or elsewhere, calculated on an annual basis and where significant demand reduction measures are employed on the building. Key factors include: building electrification, renewable energy generation, efficient building envelopes, reduced building loads, potential for load shifting and grid interactivity. See Technical Specifications Guidelines (Attachment D to PON 4878) for performance guidelines and building typologies guidance.

Component: a product provided by a Qualified Component Manufacturer.

Component Manufacturer: an Original Equipment Manufacturer (OEM), fabricator, or aggregator able to furnish installation-ready Components in one or more of the following three areas:

- Whole-building high-performance Envelope System
- Integrated Mechanical System (at minimum providing heating, cooling, ventilation, dehumidification and domestic hot water)
- Monitoring System (at minimum capturing building performance data and in-unit energy use, relative humidity and CO2 data and delivering all captured data through a cloud-based system to a user-friendly portal)

Cost-effectiveness: a Whole Building Retrofit Solution will be considered cost-effective if, when implemented at scale, it reaches price parity with business as usual renovation costs once the net present value of the operations and maintenance savings are factored in along with any new revenue streams to the Owner that result from the Whole Building Retrofit Solution (e.g., utility revenue from net-positive onsite energy generation, funding for improved resident health outcomes, revenues from increased longevity of the building, etc.).

Development: A parcel or cluster of parcels under single ownership with multiple Similar Buildings.

Embodied Carbon: the carbon footprint of a building material or the amount of greenhouse gases (GHGs) released in the process of extraction, processing, transport, and assembly.

Energy Use Intensity (EUI): For the purposes of this solicitation, the total amount of site energy consumed by the building on an annual basis divided by the gross floor area in kBtu/ft²/yr before the addition of onsite renewable distributed energy resources.

The total amount of site energy consumed by the building on an annual basis divided by the gross floor area in kBtu/ft²/yr.

Envelope System: the system that includes a high-performance envelope treatment with insulative over-cladding to the opaque wall surfaces, high performance fenestration (windows and doors) and a surface applied roof insulation.

Gap-funding: Subsidy to cover the Project Incremental Costs.

Incremental Costs: the remaining construction cost of the entire rehabilitation Project including the cost for the Whole Building Retrofit Solution, once the following are deducted:

- the financing originally arranged for the planned conventional rehabilitation
- additional funding/financing from Affordable Housing agencies
- the financing available for underwriting the projected operational savings resulting from the Whole Building Retrofit Solution as indicated in NYSERDA PON 4878 Section III.C Additional Funding Sources
- incentives, rebates or subsidies applicable to the Whole Building Retrofit Solution Components as indicated in NYSERDA PON 4878 Section III.C Additional Funding Sources

Integrated Physical Needs Assessment (IPNA): The Integrated Physical Needs Assessment (IPNA) is a property evaluation tool jointly developed and released by the NYC Housing Development Corporation (HDC), New York City Department of Housing Preservation and Development (HPD), and New York State Homes and Community Renewal (HCR). The tool integrates an evaluation of energy, water and health needs into a full roof-to-cellar assessment of a property's physical conditions to ensure that the needs of the property are addressed in a holistic manner.

Mechanical System: an energy efficient all-electric system providing domestic hot water, continuous balanced ventilation (energy- or heat-recovery ventilator), space heating & cooling, and humidity control.

Monitoring System: the system that captures building performance data and in-unit data and delivers the relevant data through a cloud-based system to a portal accessible to Building Owners, building operators, residents and other stakeholders. The system captures, at a minimum, in-unit data such as temperature, CO₂, relative humidity levels, and Mechanical System data such as energy use and run times.

Multifamily Building: for the purpose of this solicitation, residential building ranging from 1-7 stories with two or more residential units per building and part of a Development under common ownership with no less than 5 units.

Owner, or Building Owner: private person or entity, including a corporation, partnership, limited liability company, an agency of the federal government, or a public housing agency, having the legal right to lease or sublease dwelling units, but excluding co-ops or condominium associations unless such co-op or condominium association is designated Low-to-Moderate Income, and has delegated sole decision-making authority relating to all Building renovations and capital improvement to a single Affordable Housing agency or organization through a duly executed power of attorney (or other documentation) reasonably acceptable to NYSERDA.

Pilot, or Pilot Building: 1-3 story Multifamily Buildings with at least 2 units per building and 5 units in the Development, or 4-7 story Multifamily Buildings with at least 5 units in the Development that are submitted through the RFQL 4552 Pilot Building Candidate Application and approved by the RetrofitNY program.

Project: One or more Pilot Buildings at a single Development Qualified through RFQL 4552 that will receive a Whole Building Retrofit Solution designed, furnished, installed and with required monitoring and verification by a Solution Provider Qualified through RFQL 4553 which is comprised of Components Qualified through RFQL 4551 and eligible for NYSERDA's RetrofitNY Gap-funding under PON 4878.

Qualified: Used in reference to an applicant NYSERDA has officially qualified through RetrofitNY's Request for Qualifications (RFQLs), specifically a Building Owner or Pilot Building qualified through RFQL 4552, a Solution Provider qualified through RFQL 4553, or a Component Manufacturer or Component qualified through RFQL 4551.

Service Contract: a contract between the Building Owner and Solution Provider whereby the Solution Provider commits to the maintenance and repair of the Mechanical Systems, Envelope System and Monitoring System for a period of time in exchange for a monthly or annual fee from the Building Owner.

Similar Buildings: similar in terms of construction type, vintage, number of stories, Mechanical Systems and general condition of the envelope.

Simple Architecture: For the purposes of this PON this is defined as Non-Historic Preservation properties with limited surface details or obstructions, little ornamentation and simple configuration (e.g. few setbacks), and simple planar or gable roof.

Solution Provider: a multidisciplinary company that delivers directly to Building Owners and without intermediaries a scalable Whole Building Retrofit Solution; AND,

- is technically qualified and has practical experience in high-performance design and construction, including onsite solar or other distributed generation, AND
- possesses a customer acquisition capability focused on Building Owners and can conduct a seamless, direct interaction with Building Owners from the customer acquisition phase all the way through to installation, AND
- can design, engineer, cost, produce, install and maintain a Whole Building Retrofit Solution that approaches or achieves Carbon Neutrality, contracting with any necessary third parties but being ultimately responsible for the whole solution.

Use Case: One of eight building types as defined in the Use Case Matrix included as Attachment E of NYSERDA RFQL 4552.

Whole Building Retrofit Solution: an all-electric, scalable, turnkey whole building retrofit product or solution that includes a Qualified Mechanical System, Qualified Envelope System, a Qualified Monitoring System, and renewable energy sources, and approaches or achieves Carbon Neutral performance. For a solution or product to be considered scalable it must be replicable across Similar Buildings of a comparable typology and require minimal onsite construction.

B. Eligibility Requirements

Applications must meet the meet the following minimum Eligibility Requirements:

1. Applicant must be a Building Owner Qualified through NYSERDA RFQL 4552
2. Application must be for a Pilot Building Qualified under RFQL 4552
3. Applicant must partner with a Solution Provider Qualified under NYSERDA RFQL 4553

III. Application Requirements

A. Application Process

1. Application Stage

Applicant must submit the following documents that together comprise its application:

- PON 4878 Application Form (Attachment A) designating a Pilot Building Qualified under RFQL 4552
- Letter of Intent (Attachment B) demonstrating the applicant has partnered with a Solution Provider Qualified under RFQL 4553

2. Contracting Stage

Once an application is approved, NYSERDA will notify applicant by sending a copy of the Standard Agreement (Attachment C) for signature. Contracts will then be countersigned by NYSERDA and fully executed in the order they are received. If the diversity requirements defined in Section II. Program Requirements are already fulfilled for a particular project type and a contract received is for a project of that type, that contract will be wait-listed. If an applicant requests any changes to the Standard Agreement, NYSERDA will allow up to 30 calendar days to negotiate the requested changes. If at the end of 30 calendar days an agreement has not been reached NYSERDA may, at its sole discretion, accept another contract in its place and either reject or wait-list the contract in question.

B. Payment Terms

Payment terms will be based on construction progress and standard requisitions with disbursements proportionate to those released by other Project lenders provided the Whole Building Retrofit Solution and its various Components are integrated with all other work as per the construction schedule provided prior to Project mobilization. If, however, the Whole Building Retrofit Solution and its various Components are not procured, produced or installed until the later stages of the Project, NYSERDA may elect to withhold funds and only make disbursements proportionate to Whole Building Retrofit Solution procurement, production and installation costs as these are requisitioned.

C. Additional Funding Sources:

The information listed in this section, with the exception of the NYS Clean Heat program, are for information purposed and may be useful for owners in developing the pilot building financing. Assessment of the NYS Clean Heat incentive for the proposed pilot is a required deliverable for The Standard Agreement.

1. Predevelopment Assistance

Buildings needing assistance with predevelopment funding such as Integrated Physical Needs Assessments (IPNA) may be eligible for support through:

- New York City Energy Efficiency Corporation (NYCEEC):
In partnership with NYSERDA, [NYCEEC](#) offers two predevelopment loan term sheets for proposed energy efficient renovations and new construction of Affordable Housing across New York State:
 - Zero-interest loans of up to \$150,000 depending on the number of buildings (generally single-building projects are eligible for up to \$40,000).
 - Loans generally in the range of 3-5% for \$150,000 - \$2.5 million (and larger on a case-by-case basis).

Loan proceeds may be used to fund various eligible pre-construction expenses including Integrated Physical Needs Assessments (IPNAs), energy audits and feasibility studies, architectural services, and land use approvals. Borrowers must provide evidence of non-binding commitment of construction financing from a Housing Finance Agency (HFA) or other Affordable Housing lender.

- NYSERDA's FlexTech Program:

The [FlexTech](#) program shares the cost to produce an objective, site-specific, and targeted study on how best to implement clean energy and/or energy efficiency technologies.

2. Supplemental Assistance

Projects should utilize funding available through relevant utility programs, if any, and apply to incremental costs projections prior to sizing RetrofitNY Gap-funding needs. Projects may be eligible for support through the following programs:

a) NYS Clean Heat

In particular, The Standard Agreement requires the Building Owner to provide a determination of the post-retrofit incentives for which the Project will be eligible under the [NYS Clean Heat](#) program with respect to all relevant categories.

b) Other Assistance

- [NYSERDA Community Heat Pump PON 4614](#)
The goal of NYSEDA's [Community Heat Pump Program](#) is to prove the value proposition of connecting a cluster of buildings via a community-style heat pump system, as compared to serving buildings individually via "thermally islanded" heat pumps. NYSEDA will support studies and construction projects that explore and demonstrate the widely replicable use cases for this community-style approach.
- [NY-Sun](#)
[NY-Sun](#) offer incentives and financing options to lower the cost of purchasing and installing solar.

Buildings that qualify for funding under this RetrofitNY gap funding PON 4878 will not be eligible for additional funding from other NYSEDA Multifamily programs, including the following programs:

- Multifamily Performance Program
- Low Carbon Pathways

Buildings may be eligible for funding from other NYSEDA programs outside of the Multifamily Program.

3. Underwriting Savings

One of RetrofitNY's goals is to facilitate lenders to underwrite a substantial amount of projected savings. Applicants should direct lenders interested in working with Pilot Projects to underwrite projected savings to contact the RetrofitNY program at RetrofitNY@nyserda.ny.gov. Lenders will be expected to underwrite at least 75% of projected savings to help facilitate Pilot Projects. Interested lenders will be added to NYSEDA's secure SharePoint platform where Qualified Building Owners and interested lenders will be able to engage each other in deal structuring. Building Owners are strongly urged to begin engagement of potential lenders early in the design and development process. Documentation of lender engagement is a required deliverable as outlined in the Standard Agreement (Attachment C).

IV. GENERAL CONDITIONS

A. 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 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.

B. 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

C. 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 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 proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years).

D. 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). 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). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

E. Contract Award

NYSERDA anticipates making up to four awards under this solicitation. NYSERDA may at its discretion elect to extend and/or add funds to any Project funded through this solicitation or to the solicitation itself. NYSERDA reserves the right to limit any negotiations relating to exceptions to the Standard Agreement (Attachment C). NYSERDA expects to notify applicants in approximately two weeks from the receipt of an application whether the application has been determined eligible 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. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process.

F. 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](#).

G. 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 Standard Agreement (Attachment C). 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.

H. 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.

V. Attachments

Attachment A – Application Form

Attachment B – Letter of Intent (sample)

Attachment C – Standard Agreement (sample)

Attachment D – Technical Specifications Guidelines



Climate Insurance Innovation Program

Request for Information (RFI) 4880

Submissions Requested by February 28, 2022, by 3:00pm Eastern Time

To achieve the Climate Leadership and Community Protection Act (Climate Act) goals, New York needs to advance the decarbonization of the State's whole economy. Reaching this goal will require innovative approaches and new partnerships. The insurance industry has a critical role to play in the transition to both a low carbon and a climate resilient economy. The New York State Energy Research and Development Authority (NYSERDA) has a desire to work more closely with the insurance industry to understand where it overlaps with NYSEDA's work in enabling the innovation necessary to meet the State's nation-leading climate goals.

This Request for Information (RFI) will support NYSEDA's efforts in collecting information and feedback on the market barriers identified for the insurance industry related to climate change, the best ways to create catalytic support mechanisms that it can deploy to drive change, and how the industry thinks NYSEDA could be supportive. It will also provide an opportunity for a transparent and inclusive program design.

Response Details: If you have questions regarding this RFI, please contact rfi4880@nyseda.ny.gov. Upon receipt, we may request further details or a call/meeting to discuss the respondent's submission.

I. Introduction

NYSERDA's mission is to advance clean energy innovation and investments in innovative climate solutions that improve New York's economy and environment. To limit warming to well below 2° Celsius, studies show that global spending on climate change solutions must be tripled to meet the "well below 2° Celsius" warming target. This will take investments from both the public and private sector to create lasting changes.

The purpose of the Insurance Innovation Request for Information (RFI) 4880 is for NYSEDA to engage with insurance sector eco-system stakeholders to solicit feedback and acquire information on the role the insurance industry could play to help catalyze the deployment of climate change related solutions.

The development of insurance product offerings is a strategic area in which insurers can drive change through the customer base and adapt product and service offerings to support climate action (referred hereafter as "climate insurance").

This RFI is divided into three sections: 1) a discussion of the issues and considerations involved in the development of the climate insurance innovation initiative, 2) a straw proposal that provides potential program details for stakeholder review and comment, and 3) a set of questions that could inform NYSERDA's interventions.

II. Background

NYSERDA seeks to invest in innovative approaches and new partnerships across all industries. NYSERDA is interested in leveraging insurance as a vehicle to incent innovation and attract more investment to high impact climate solutions.

Problem Statement

There are myriad risks associated with the deployment of untested technologies. As the world's risk managers and a significant source of investment capital, the role of insurance is essential to scaling up technological solutions.

As insurers lack the type of long-term data that is used in much of the underwriting process, calculating risk from the future impact of climate change poses a challenge. 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 are able to quantify market demand for products and to leverage it to assess the potential for new insurance products and policies. Their role is to evaluate new and little-known risks, and then potentially design insurance and other financial products which help with de-risking climate technologies.

There are key barriers for insurance innovators, MGAs, and MGUs seeking to bring new climate insurance products to market. These include:

- Limited data on the long-term impact of climate change on existing infrastructure and the environment
- Limited data relevant to the design of climate insurance products
- Lack of domain expertise on climate change, or unfamiliarity with decision makers and solution providers within the climate change eco-system or energy industry

III. Straw Proposal

Overview

NYSERDA has conducted initial market discovery to better understand what a successful climate insurance innovation program could look like. This market discovery of the climate solutions insurance market has resulted in the following Straw Proposal. As we build out program plans, we are enthusiastic to receive market feedback on this program concept.

The 'Climate Insurance Innovation' program has the following core program goals:

- To facilitate insurance innovators, MGAs and MGUs to develop new insurance products that will have an impact on investment in climate products and solutions
- To reduce barriers of entry for the insurers by offering a loss reserve

We define a climate insurance product as a risk-oriented solution with a climate overlay. Products may cover areas such as:

- Parsing the impact of emissions on health or life insurance risk
- Utilizing better data and artificial intelligence (AI) to generate more precise flood insurance coverage due to climate-driven changes in flood maps/zones
- Premium discounts to hybrid car owners and people who own energy-efficient homes
- Corporate insurance products for owners of energy-efficient commercial buildings

These insurance solutions should incorporate climate change in risk assessment and modeling in a way that enables companies and customers to develop, access, and benefit from climate technology and solutions.

Program Design

NYSERDA aims to build the linkage between climate solutions and the key players in the insurance industry. The objective of this initiative is to develop new insurance offerings, or other risk transfer financial products, which can make climate risk quantifiable and insurable, to activate insurance innovators and financial innovators broadly. It allows innovators to explore, identify, design, and develop products in a cost-subsidized fashion, enables faster product ideation cycles and should ultimately catalyze other forms of private capital into the climate technology solutions sector. These insurance and financial product solutions enable faster deployment of climate technology and solutions that will support Climate Act goals.

The Climate Insurance Innovation program intends to address the barriers enumerated above by:

- Developing and mapping the climate insurance eco-system and selecting an Advisory Board to ensure we are building out an industry-supported program
- Finding and recruiting MGAs and MGUs, or any innovative insurance groups, that have the capability of creating market specific insurance products
- Collaborating with and supporting insurance innovators during the creation and commercialization of their insurance products
- Deploying a loss reserve to actively test new insurance products
- Documenting program successes, best practices and lessons learned

Administration

If the Climate Insurance Innovation Program were to move forward, NYSERDA would look for a qualified third party to run this program on its behalf. This program administrator would be tasked with creating

and executing a climate insurance program to identify and support the development of new climate insurance products that can support New York's climate goals. This program administrator shall convene climate technology companies, financial innovators, and insurance experts. The program administrator shall be capable of identifying high-impact opportunities for new climate insurance products and developing an agile and repeatable process for speeding such products to market.

IV. Feedback and Responses Required

Please provide your insights on each, or some, of the questions developed below. Please reference any specific experience, examples, or data that support your responses.

Market Discovery

- What are the high impact climate technologies that have overcome the technology barrier but that are facing go to market barriers that still need to be mitigated?
- What kind of de-risking do promising climate technologies need relative to the finance and insurance space(s)?
- What kind of new thinking is required for insurers to expand their portfolio of products and take on newer risks?
- What role should the State and NYSERDA look to play in the advancement of this space? How can we have the greatest impact?
- What role do you expect the public sector to play in the risk syndication for climate insurance offerings?
- What amount and/or type of funding would make an impact?
- Besides the intervention outlined in the Straw Proposal, what other intervention(s) should NYSERDA consider?

Straw Proposal

- How can insurance products support accelerated deployment of innovations required to decarbonize?
- Have we identified the right problem statement and insurance industry barriers to decarbonization?
- Should NYSERDA be executing the program outlined in the Straw Proposal?
 - o If not, what program could we deliver that would add value based on the barriers that exist in the industry?
- Have we identified a program model that could create high quality insurance products?
 - o If yes, what elements of this plan could be enhanced or improved?
 - o If no, what alternatives could be more effective?
- What amount and/or type of funding would be sufficient for an insurer to furnish capacity in support of a newly developed products?

V. GENERAL CONDITIONS

Proprietary Information – The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSEDA 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 NYSEDA 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/NYSEDA-Regulations.ashx>. However, NYSEDA 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 NYSEDA. The information gathered by NYSEDA will be advisory only and is not binding on any state agency, office, commission or public authority.

Limitation - This solicitation does not commit NYSEDA to award a contract, pay any costs incurred in preparing a response, or to procure or contract for services or supplies. NYSEDA reserves the right to accept or reject any or all responses received, or to cancel in part or in its entirety the solicitation when it is in NYSEDA's best interest. Respondents are advised that all costs associated with responding to this RFI will be solely at their expense.



NYSERDA

KATHY HOCHUL
Governor

RICHARD L. KAUFFMAN
Chair

DOREEN M. HARRIS
President and CEO

Offshore Wind Cable Corridor Constraints Assessment Framework

RFI 4944

No Funding.

Comments Due: February 14, 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 is developing an Offshore Wind Cable Corridor Constraints Assessment (“Assessment”) to better understand the constraints of siting cables in the nearshore (New York State waters), at landfall, and along overland routes to existing points of interconnection (POIs). The Assessment will 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. The Assessment seeks to advance coordination and planning efforts by building on existing work and previous studies. The Assessment will also coordinate 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. Finally, the Assessment will include coordination with New York State agencies and ongoing and earnest engagement with key stakeholders. NYSEDA seeks to gather information on a number of resources with the most relevance in the feasibility of bringing offshore wind energy cables to points of interconnection.

Through this Request for Information (RFI), NYSEDA seeks to provide an opportunity for the public and interested stakeholders to evaluate the proposed approach described in the Draft Offshore Wind Cable Corridor Constraints Assessment Framework (Attachment A) and to identify other issues to consider in the analysis of offshore and onshore cable corridor segments. The responses to the Draft 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 with the subject line **RFI 4944** by 3:00 pm on February 14, 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 NYSERDA.

If you have technical questions concerning this RFI, contact Kate McClellan Press at (518) 862-1090 x 3110 or by email environmentandoffshorewind@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:

- What resources (e.g., natural and environmental, socioeconomic, infrastructure) beyond those described in the Offshore Wind Cable Corridor Constraints Assessment Framework, are of concern for potential undersea and overland cables?
- What stressors (e.g., sediment disturbance, traffic interruption, cable exposure) relating to the installation and operations of offshore wind cables present the greatest concerns?
- Are there specific key stakeholders (e.g., non-governmental organizations, local government, academic institutions, environmental research organizations, the maritime community, OSW industry) that should be included in this outreach effort?

- Is the Draft Offshore Wind Cable Corridor Constraints Assessment Framework designed to fully capture and describe the constraints and opportunities in a manner that is efficient and complete? Are there suggestions on how to improve the design/layout?
- Provide additional feedback to support the goals and objectives of the development of the Offshore Wind Cable Corridor Constraints 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

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 February 14 2022, NYSERDA will collect, review, and summarize the responses received and prepare a Final Offshore Wind Cable Corridor Constraints Assessment Framework. The comments received on the Draft Assessment Framework will be considered as part of the technical and environmental resource evaluations being performed and the preparation of the Draft Offshore Wind Cable Corridor Constraints Assessment anticipated to be released for public review in 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: Draft Offshore Wind Cable Corridor Constraints Assessment Framework

New York State Energy Research and Development Authority

Albany

17 Columbia Circle, Albany, NY 12203-6399
(P) 1-866-NYSERDA | (F) 518-862-1091

nyserdera.ny.gov | info@nyserdera.ny.gov

Buffalo

726 Exchange Street
Suite 821
Buffalo, NY
14210-1484

(P) 716-842-1522
(F) 716-842-0156

New York City

1359 Broadway
19th Floor
New York, NY
10018-7842

(P) 212-971-5342
(F) 518-862-1091

West Valley Site Management Program

9030-B Route 219
West Valley, NY
14171-9500

(P) 716-942-9960
(F) 716-942-9961



NY Green Bank
A Division of NYSERDA

NY Green Bank

Fund Administration, Loan/Investment Servicing Request for Proposals

RFP No. 20

Version 1.0 – March 2022

**Fund Administration, Loan/Investment Servicing for
NY Green Bank, a Division of the New York State Energy Research and Development Authority**

Request for Proposal (“RFP”) 20

Proposals Due: April 13, 2022 by 3:00 PM Eastern Time*

NY Green Bank (“**NYGB**”), a division of the New York State Energy Research and Development Authority (“**NYSERDA**”), invites proposals from firms interested in providing fund administration, loan/investment services to NYGB in connection with its portfolio of structured investments in clean energy projects and businesses and in sustainable infrastructure. As further described in Section 2.1, services may include, but will not be necessarily limited to: tracking, administering, monitoring, accounting for and reporting on all key aspects of NYGB investments (including debt and equity instruments) and investor services. NYGB seeks to engage a firm with a robust, secure platform with industry leading technology, efficient and effective processes and a highly competent team that is dedicated to the NYGB account.

Proposal Submission:

Firms wishing to submit a proposal for review must do so by 3:00 p.m. Eastern Time on the date noted above. Late proposals will not be accepted, nor will proposals that are substantially incomplete. It is the proposer’s responsibility to ensure that all pages have been included in the submission. Proposal documents should not exceed 15 pages, plus attachments. Unnecessary attachments beyond those sufficient to present a complete, comprehensive and effective response will not positively influence evaluation of the proposal. Each page of the proposal should state the name of the proposer, the RFP number and the page number.

Proposals must be submitted electronically via the online proposal submission system portal. (Faxed, mailed or e-mailed proposals will not be accepted). 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. For detailed instructions on how to submit a proposal online, follow the instructions on NYGB’s website (www.greenbank.ny.gov) under “Work with Us;” “RFP Resources;” “Instructions to Submit Service Provider Proposals.”

Please note that, as part of the online submission process, proposers will be required to answer questions in addition to uploading attachments. NYGB suggests allotting at least 60 minutes to enter/submit proposals. The online proposal system will close promptly at 3:00 p.m. Eastern Time, and files in process or attempted edits or submissions after this time will not be accepted. If changes are made to this solicitation, an e-mail will be sent to the proposer’s contact as listed in the Proposer Contact Information section of the NY Green Bank portal as part of the online submission process, and any modified documents will be posted on NYGB’s website (www.greenbank.ny.gov) under “Work with Us;” “Open Solicitations;” “RFP 20: Fund Administration, Loan/Investment Servicing for Services.” NYGB anticipates executing a Final Agreement (as defined below) by the end of May 2022 with one of the proposers who have been selected to enter into contract negotiation.

If you have technical questions concerning this solicitation, contact (i) info@greenbank.ny.gov (Designated Contact 1); (ii) Mike Fagan (Designated Contact 2) at (212) 379-4107; or (iii) Ethan Forauer (Designated Contact 3) at (212) 379-6267. (Designated Contact 1, Designated Contact 2 and Designated Contact 3 are collectively referred to as the “**Designated Contacts**”). If you have contractual questions concerning this solicitation, contact Venice Forbes at (518) 862-1090, ext. 3507, or VeniceSolicitations@nyserda.ny.gov. Please include RFP 20 in the subject line of all e-mail communications.

No communication intended to influence this procurement is permitted except by contacting the Designated Contacts. Contacting anyone other than these 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: (1) being deemed a non-responsible offerer, and (2) not being awarded a contract.

Late or incomplete proposals will be returned and not accepted. Faxed or e-mailed proposals will not be accepted. If changes are made to this solicitation, notification will be posted on NYGB's website at <https://greenbank.ny.gov/>.

1. Introduction

1.1 Opportunity & Overview

NY Green Bank invites proposals from firms interested in providing fund administration, loan/investment services to NYGB in connection with its portfolio of structured investments in clean energy projects and businesses and in sustainable infrastructure. As further described in Section 2.1, services may include, but will not be necessarily limited to: tracking, administering, monitoring, accounting for and reporting on all key aspects of NYGB investments (including debt and equity instruments), and investor services. NYGB seeks to engage a firm with a robust, secure platform with industry leading technology, efficient and effective processes and a highly competent team that is dedicated to the NYGB account.

1.2 NYGB Background

NY Green Bank (“**NYGB**”), a division of the New York State Energy Research and Development Authority (“**NYSERDA**”), was initially capitalized with \$1 billion to accelerate clean energy and sustainable infrastructure deployment in NYS. NYGB 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. NYGB collaborates with the private sector to develop transaction structures and methodologies that other capital providers can readily replicate and scale. As capital providers “crowd in” to an area within the sustainable infrastructure landscape, NYGB moves on to other areas where private sector interest and activity have yet to be spurred.

The Climate Leadership and Community Protection Act (“**CLCPA**”) requires state agencies, authorities, and entities, to the extent practicable, to invest or direct resources in a manner designed to deliver no less than 40% of overall benefits from spending on clean energy and energy efficiency programs to disadvantaged communities (“**DACs**”). In addition, DACs are required to receive no less than 35% of the overall benefits of such spending on clean energy and energy efficiency programs. As a division of NYSERDA and a key component of the State’s Clean Energy Fund (“**CEF**”), NYGB will contribute to the achievement of these targets by committing at least 35% of its capital on a go-forward basis from January 1, 2020 to projects that create benefits for DACs. NYGB’s DAC investment activity aims to deliver the best emission reduction and sustainable energy outcomes for historically marginalized communities in the State of New York (“**NYS**” or the “**State**”).

The State’s leadership in clean energy and sustainable infrastructure and ambitious goals position NYS for substantial growth and transformation – all requiring material financing. Given that meeting these State goals involves the creation of new asset classes and the building of liquidity in those asset classes at scale and across technologies, geographies and end-users, NYGB is well positioned to successfully continue its investment activities and materially contribute to the achievement of State goals, for the benefit of all New Yorkers.

The key elements of NYGB’s mission are collaborating with private sector participants, implementing structures that overcome market barriers and addressing financing gaps in current clean energy financing markets, and transforming those markets by enabling greater scale, new and expanded asset classes and increased liquidity.

Consistent with this mission and its investment criteria, NYGB’s key goals are to:

- (a) Attract private sector capital into clean energy markets in NYS;
- (b) Be self-sustaining; and
- (c) Reduce greenhouse gas (“**GHG**”) emissions.

NYGB's activities in pursuit of its goals are specifically aimed at motivating faster and more extensive implementation of clean energy investments within NYS, fostering greater energy choices, reducing environmental impacts and delivering more clean energy benefits per public dollar spent for all New Yorkers.

Market barriers vary across different technologies and market participants, although a number of particular financing issues generally constrain growth across the clean energy sector, including:

- (a) Lack of transaction standardization;
- (b) Deficient scale and volume;
- (c) Less-understood project sponsors and counterparty credits;
- (d) Insufficient data on underlying loan and technology performance; and
- (e) Underdeveloped or nonexistent capital markets for clean energy projects.

These financing issues are a few of many market barriers that limit private sector capital investment, for both equity and debt, into otherwise attractive renewable energy and energy efficiency projects, resulting in gaps in the clean energy finance market.

To address existing financing barriers, NYGB follows several important operating principles:

- (a) NYGB enhances private sector market participation by providing financial products designed to scale markets for renewable energy and energy efficiency projects;
- (b) NYGB collaborates, rather than competes, with market participants that are already making progress in, or can demonstrate an ability to engage, the market but where that progress is constrained by the lack of available financing;
- (c) NYGB works with its clients and counterparties to leverage their capital and institutional capabilities – with a focus on “wholesale” markets (i.e., not providing funding directly to consumers/homeowners);
- (d) NYGB generally structures and prices its financial products consistent with commercial approaches to credit quality and risk, seeking to earn a return on investment to preserve and grow its capital base; and
- (e) NYGB recycles its capital into new clean energy projects when income is generated and as investments mature or are realized, maximizing the impact of its capital across multiple deployments.

NYGB's long-term objective is to provide a bridge to a vibrant, sustainable, growing and efficient private sector clean energy financing market, across all types and sizes of projects. NYGB seeks to operate in areas where there is market interest, but limited access to capital.

NYGB investments are expected to span a wide range of clean energy technologies (e.g., in areas like energy efficiency, energy storage, renewable energy, electric vehicle and electric vehicle infrastructure, etc.).

More information about NYGB can be found at greenbank.ny.gov.

1.3 NYGB Investments / Financial Accounting

Within the sustainable infrastructure markets, NYGB focuses on commercially proven technologies that are ready for and seeking scalable deployment. This sector is severely undercapitalized with limited investor involvement due to a lack of precedent transactions, smaller scale assets or portfolios, and complex deal structures that often

require specialized structuring skills and sector knowledge base. NYGB applies project finance and structured finance techniques to ring-fence project assets or businesses, allocate and protect against risk and volatility, and monetize the resulting lower volatility cash flows.

NYGB calculates the value of its investments and the Net Asset Value (“NAV”) of its portfolio monthly. As a division of NYSERDA, NYGB follows GASB statements and requirements, and pursuant to GASB 62, NYGB’s loans are accounted for as Loans & Financing Receivables: recorded at cost basis, amortized as appropriate and written down if deemed impaired. A provision for loss is established for any Loan & Financing Receivable that is delinquent on its debt service payments and is deficient when comparing the present value of expected cash flows or collateral value to the outstanding debt balance plus accrued interest. NYGB, which, like NYSERDA, is audited by KPMG, prepares standalone sets of financial statements, and these are then consolidated into the NYSERDA financials. NYGB’s audited financial statements are published annually.

For further details on NYGB’s investments, strategy and financial accounting policies, please refer to NYGB’s website (<https://greenbank.ny.gov/>) including the Annual Review and Business Plan (<https://greenbank.ny.gov/-/media/greenbanknew/files/2021-22-NYGB-Annual-Business-Plan.pdf>) and its Audited Financial Statements (<https://greenbank.ny.gov/Resources/Public-Filings>).

2. Scope of Services / Proposal Submission Requirements

NYGB seeks to retain one firm experienced in a fund administration, loan/investment services, to provide the services set forth in Section 2.1 to NYGB in connection with its portfolio of structured investments in clean energy projects and businesses and in sustainable infrastructure. As further detailed below, proposers will be evaluated on their expertise as well as their previous experience providing services to financial, investment and asset management institutions regarding the above. One firm will be retained as a result of this solicitation.

2.1 Scope of Fund Administration, Loan/Investment Services

NYGB requests proposals from leading service providers experienced in fund administration, loan/investment services. Proposers are encouraged to apply to provide for all the services listed below, which are subject to the Conditions listed in Section 4 below. The proposer selected by NYGB pursuant to this RFP will be expected to be available to provide services to NYGB for a three-year period with two potential 1-year extensions thereafter. During this period, NYGB will rely on the firm for the performance of specific services, which include:

- (a) Loan/Investment Services: Servicing NYGB investments requires, among other things, regular communication with NYGB and NYGB counterparties and ongoing monitoring of loan/investment positions. Responsibilities include preparing and administering written notices with NYGB’s counterparties involved in bilateral loans;
- (b) Fund Administration Services: Accounting for and maintaining data on NYGB investments, investment expenses and corporate expenses;
- (c) Investor Services: Ability to create investor related statements/reports; Conducting Know Your Customer/Client (“KYC”) Services and searches via the U.S. Treasury’s Office of Foreign Assets Control’s (“OFAC”) Sanctions Program Listing on NYGB’s counterparties;
- (d) Reporting on NYGB investments, investment expenses and corporate expenses through a robust online reporting platform that allows NYGB to customize reporting to fit its needs. Providers should be flexible to meet those needs if reporting features do not exist. Reporting needs include but are not limited to:

- i. Schedule activity reports;

- ii. NYGB position report;
- iii. Cash reconciliation;
- iv. Financial Statements (i.e., quarterly unaudited, annual audited); and

Services that are currently out of the scope of this RFP include tax services. As a division of NYSERDA, NYGB is a part of a nontaxable public authority. In addition, NYGB's custody needs in relation to accounts, cash management and investments are modified from what might otherwise be considered standard in the industry to reflect the existing and ongoing role of New York State Department of Tax & Finance ("T&F") as NYGB's/NYSERDA's mandatory fiscal and paying agent.

2.1.1 Client Services Team

NYGB seeks a provider that maintains a dedicated team with a proactive approach to servicing NYGB investments. The team should include a Client Services Manager and senior professionals with the bandwidth to be responsible for day-to-day management of its staff, the engagement and resolving any outstanding issues in a timely manner. In addition, the team must include a Certified Public Accountant and/or head of Fund Administration with a strong background in accounting.

Given that a majority of NYGB's positions are bilateral loans, the provider's Loan Services team should be adequately staffed to ensure the high volume of activity is managed. Proposed changes to key team members must be discussed in advance with NYGB.

The team's performance will be reviewed periodically by NYGB using an agreed scorecard/KPI process.

2.2 Proposal Submission Requirements

2.2.1 Proposal Submission

Please refer to "Proposal Submission" on pages 2-3 above in this RFP 20.

2.2.2 Procurement Lobbying Requirements – 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).

Failure to include such certification and disclosures will disqualify your proposal.

2.2.3 Format

Please refer to "Proposal Submission" on pages 2-3 above in this RFP 20. Proposals should contain two parts.

Part I must consist of responses to the qualification items (Section 2.2.4, "Description of Qualifications" below).

Part II must consist of complete contract cost and pricing information (Section 2.2.5, "Cost" below) and the proposed Fund Administration & Loan and Investment Servicing Agreement (see Section 2.2.6 below).

Each part must be complete, so that it can be evaluated independently, but should be submitted together as a single Proposal.

2.2.4 Description of Qualifications

Proposers should:

- (a) Identify the services for which they are proposing as listed above in Section 2.1;
- (b) Describe their experience providing fund administration, loan/investment services to traditional and complex, alternative investment vehicles (e.g., investment companies, private equity funds, business development companies, debt infrastructure investment funds, etc.) regarding (i) investments similar to NYGB's investments, and (ii) investments in the clean energy and sustainable infrastructure sector, and in the electricity, power and commodity markets sector;
- (c) Provide a brief summary of their firm's capabilities that are relevant to their proposed services including the number of similar or analogous assignments that their firm has completed over the past five years, and a discussion of their relevance to the services requested in Section 2.1. Highlight any areas where the assignments were substantially different from the services to be provided;
- (d) Describe how they differentiate their firm from its competitors and its relevance to the services they propose to provide to NYGB;
- (e) Describe their availability to accommodate the fund administration, loan/investment servicing needs of NYGB. Proposers must demonstrate that primary and reasonably qualified backup and support personnel are available on an as-needed basis, and that the proposer has staff capabilities (and sufficient professional/support staff) to perform the work on a timely basis. Specify whether any part-time or contracted resources will be utilized, and if so, in what regard, and how that will enhance potential performance. Indicate whether the team is international or domestic and the locations the team(s) are based out of;
- (f) Provide the names of personnel in the firm who will be assigned to NYGB's account and their experience in performing services similar to the services requested by this RFP, for an organization similar to NYGB and with complex instruments similar to the ones issued by NYGB. Include resumes for all employees proposed to be involved on this account (resumes may be included as an appendix to the proposal). Include a description of each employee's function in the firm, title, office address, and number of years of service with the firm and other relevant experience. Indicate the address of the office through which this account will be primarily serviced. Describe the availability of the lead person(s) for consultation with NYGB, including but not limited to their ability to meet with NYGB staff in New York;
- (g) Discuss fully any conflicts of interest, actual or perceived, that might arise in connection with their firm's involvement with NYGB. If conflicts do or might exist, describe how the firm would resolve them. Please be aware that the firm(s) selected will be expected to represent NYGB (as a division of NYSERDA) and/or NYSERDA in all transactions falling under this RFP; representation of any other party to these NYGB and/or NYSERDA transactions would be prohibited without the express written approval of NYGB, which would be unlikely (for more information on NYGB's expected approach with respect to potential conflicts of interest, please see the "Conflicts of Interest" language attached hereto in Attachment A);
- (h) Identify any litigation or administrative proceedings to which their firm is a party and which would either (a) materially impair its ability to perform the services enumerated herein and for which this RFP was issued or (b) if decided in an adverse manner, materially adversely affect the financial condition of the firm;
- (i) Identify the employees discussed in Section 2.2.4(f) that have been the subject of any investigation or disciplinary action by the NYS Ethics Commission, the Commission on Public Integrity, the Temporary

State Commission on Lobbying, or NYS. Describe briefly how any matter was resolved or whether it remains unresolved;

- (j) Provide their firm's Proposed Servicing Agreement. Please note that NYGB requires the inclusion of certain provisions ("NYSERDA's Standard Terms and Conditions") as well as the NYSERDA Prompt Pay Policy Statement (Attachments A and B respectively). Also, please note that proposal selection does not preclude negotiation of the terms of the Proposed Servicing Agreement to NYGB's satisfaction, in its sole discretion; and
- (k) Provide two relevant client references, including name, address, and telephone number.

2.2.5 Cost

Proposers should state:

- (a) The cost based on NYGB's capital-at-risk/overall investment portfolio size (not NYGB total capital/assets under management): NYGB's "Current Portfolio" comprised of its committed and deployed capital in respect of transactions and investments which have not yet matured;
- (b) Any reduced rates or fees charged for other State or local governments in NYS for these types of services;
- (c) The basis on which any other firm expenses related to services provided to NYGB would be billed, if other than at cost; and
- (d) Any special considerations with respect to billing or payment of fees and expenses that the firm offers and that it believes would differentiate it from other proposers and make its services more cost effective for NYGB.

2.2.6 Fund Administration & Loan and Investment Servicing Agreement

Proposers should provide the Fund Administration & Loan and Investment Servicing Agreement (the "Proposed Servicing Agreement") they propose to use if selected by NYGB under this RFP. If selected by NYGB, the Proposed Servicing Agreement will serve as the basis for negotiating the Final Agreement with NYGB regarding the retention of the proposer as the fund administrator to NYGB. (For more information, see Section 4.7, "Final Agreement" below).

3. Proposal Evaluation and Selection Process

3.1 Proposal Evaluation

Proposals meeting the RFP requirements will be evaluated by a Scoring Committee using the Evaluation Criteria below listed in order of importance:

- (a) Quality, depth and breadth of the firm's and team's expertise and prior experience in providing services similar to those identified in Section 2. For those firms that have worked with NYGB before, the quality of work and value delivered then will also be considered. Proposers may submit proposals to provide all or only some of the services listed in Section 2.1. Proposers proposing to provide only some of the listed services, will be evaluated against other proposers' capabilities to provide those same listed services;
- (b) General experience providing fund administration, loan/investment services to traditional and alternative investment vehicles regarding (i) clean energy and sustainable infrastructure investments; and (ii)

structured investments similar to those undertaken or contemplated by NYGB (For more information on investments undertaken by NYGB, please reference the transaction profiles on NYGB's website: <https://greenbank.ny.gov/Investments/Portfolio>);

- (c) Commitment of time and resources to this account, and amenability to, and facility for, working with NYGB in various capacities. For those firms that have worked with NYGB before, their commitment of time and resources, amenability and facility to work with NYGB then will also be considered;
- (d) The terms and conditions of the Proposed Servicing Agreement and the likelihood to successfully negotiate the Final Agreement, including the anticipated cost of services and willingness to work with NYGB to minimize costs;
- (e) Overall organization and quality of proposal, including cohesiveness, conciseness, and clarity of response.

3.2 Selection Process

A scoring committee ("**Scoring Committee**"), comprising internal NYGB and NYSERDA staff, will review and evaluate proposals. At NYGB'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.

In addition, top-ranked firms may be invited to make oral presentations / software demonstration to the Scoring Committee or other NYGB staff and may also be required to provide additional client references, as part of the final selection process.

Depending upon the quality and scope of proposals as well as the negotiation of acceptable Final Agreements, NYGB expects to select one qualified firm to provide the range of Fund Administration, Loan/Investment services.

4. General Conditions

4.1 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 NYGB 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 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, NYSERDA cannot guarantee the confidentiality of any information submitted.

4.2 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

4.3 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).

4.4 Tax Law Section 5-a

NYGB/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 NYGB/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). Prior to contracting with NYGB/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). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

4.5 Contract Award

NYGB anticipates making one award under this solicitation. NYGB anticipates a contract duration of three years with two 1-year options to renew, unless NYGB management determines a different structure is more efficient based upon proposals received.

NYGB may award a contract based on initial applications without discussion, or following limited discussion, negotiations, or interviews. Each Proposal should be submitted using the most favorable cost and technical terms.

NYGB may request additional data or material to support applications. NYGB will review the Proposed Servicing Agreement provided by the proposer. NYGB may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYGB and/or NYSERDA agreement.

NYGB also reserves the right to correct any arithmetic errors, to accept or reject any of the firm's employees assigned to provide services on this project and to require their replacement at any time, and to reject any proposal containing false or misleading statements or that provides references that do not support an attribute or a condition claimed by the proposer.

4.6 Limitation

This solicitation does not commit NYGB to participate in any transaction, proceed to negotiate any terms or definitive documentation, award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYGB 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 NYGB's best interest. NYGB reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions laid forth in Attachment A. 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 making of the award.

4.7 Disclosure Requirement

The proposer shall disclose, for any team member, 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 similar governing body. If an indictment or conviction should come to the attention of NYGB after the award of a contract, NYGB 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.

4.8 Final Agreement

NYGB will negotiate the final agreement (the "**Final Agreement**") with the proposer selected under this RFP based upon the Proposed Servicing Agreement discussed in Section 2.2.6 above. The Final Agreement will also include the Proposed Servicing Agreement as an exhibit thereto. The Final Agreement will be subject to the laws of the State of New York and will state that any disputes between the parties shall be fully and finally adjudicated in the state courts of the State of New York in accordance with NY Civil Practice Law & Rules §505. NYGB will require that certain New York State provisions be attached to the Final Agreement as exhibits. These provisions are attached to this RFP as Attachments A and B thereto.

4.9 Municipal Advisor Rules

NYGB is aware of the amendments to Section 15B of the Securities Exchange Act of 1934 effectuated by Section 975 of Title IX of the Dodd-Frank Act, as well as SEC Release No. 34-70462 (September 20, 2013). In this regard, please note that NYGB considers discussions with potential proposers, and the review of proposals, to be arm's-length negotiations. NYGB recognizes that proposers have financial and other interests that differ from NYGB. As such, NYGB does not consider a fiduciary relationship to arise at the proposal stage. Accordingly, any responses to this RFP would meet the exemption from the "municipal advisor" definition provided by Rule 15Ba1-1(d)(3)(iv) for responses to requests for proposals or qualifications.

4.10 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 NYGB/NYSERDA, in connection with proposer's rendering services as proposed. If a conflict does or might exist, please describe how your firm would eliminate or prevent it. Indicate what procedures will be followed to detect, notify NYGB/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.

4.11 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 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.

4.12 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 – Standard Terms and Conditions for all NYSERDA Agreements

Attachment B – NYSERDA Prompt Payment Policy Statement

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,¹ 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](#)² (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.

¹ 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.

² 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.nyserda.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@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

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 Program³ and invest in the development of Regional Clean Energy Hubs (“Hubs”).⁴ 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.

³ 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.

⁴ 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): 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[®], 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 application⁵ 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

⁵ <https://www.nyserdanyc.gov/All-Programs/Residential-Financing-Options>
<https://www.nyserdanyc.gov/All-Programs/Small-Business-Financing>
<https://www.nyserdanyc.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)⁶ 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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⁶ 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

Mohawk Valley	Fulton, Herkimer, Montgomery, Oneida, Otsego, and Schoharie Counties	\$3,302,944
Total		\$3,302,944

*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). 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). 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



Sitecore CMS Administration and Web Development

Request for Proposal (RFP) 4789

NYSERDA reserves the right to extend and/or add funding to the Solicitation should other program funding sources become available.

Proposals Due: **October 26, 2021 by 3:00 PM Eastern Time***

The New York State Energy Research and Development Authority (NYSERDA) operates an instance of Sitecore CMS to manage its public facing websites (nyserda.ny.gov, greenbank.ny.gov, and energyplan.ny.gov). NYSERDA requires consulting services for developing and maintaining websites within the Sitecore CMS 3-tiered, 3-layer development environment. The selected contractor must be qualified in, and experienced with, website and database development using Sitecore CMS 9.2 (and higher) and related technologies (Sitecore CMS 10.1 preferred), as well as configuring content-editing and publishing-to load-balanced Sitecore CMS web servers.

The selected contractor must also be adept at responsive, accessible web design, while meeting WCAG 2.0 Level AA guidelines in all deliverables. The selected contractor will be a developer and supplier of Sitecore CMS implementations, applications, and services. The selected contractor will be an organization with significant technical skills and demonstrated Sitecore CMS expertise.

Proposal Submission: Online submission is preferable. Proposers may submit PDF, Microsoft Word, Microsoft Excel, or Microsoft PowerPoint files (file formats include: .doc, .docx, .ppt, .pptx, .pps, .ppsx, .xls, .xlsx, .pdf). 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 at: <https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities>.

No communication intended to influence this procurement is permitted except by contacting Robert McKeon, Web Operations Manager at (518) 862-1090, ext.3538 or by e-mail robert.mckeon@nyserda.ny.gov for technical questions. If you have contractual questions concerning this solicitation, contact Venice W. Forbes at (518) 862-1090, ext. 3507 or 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 at: <https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities>.

1. Introduction

1.1. Corporate Background

NYSERDA is a public benefit organization committed to identifying opportunities for reducing commercial, industrial, and residential energy consumption, promoting the use of renewable energy sources, and protecting the environment. NYSERDA provides financial and technical assistance to help consumers, businesses and institutions assess and implement cost-saving energy efficiency measures.

Energy efficiency programs offered at NYSERDA also strive to provide affordable energy and a cleaner environment for all New Yorkers. This is accomplished by increasing public awareness of the multiple benefits of energy efficiency, by providing residential building performance services, and by making energy-efficient products more widely available to consumers.

1.2. Solicitation Objectives

The objective of this solicitation is to establish access to the selected contractor's consulting, programming, and design services for the development, administration, and maintenance of the web applications within the Sitecore CMS environment as set forth in this solicitation.

NYSERDA expects this agreement to achieve the following objectives:

- Build a cost-effective technology and design partnership to support NYSERDA's website development efforts with an eye to improving processes.
- Leverage the selected contractor's expertise in Sitecore CMS and Web Development best practices.
- Ensure a timely and efficient turnaround schedule for agreed upon projects.

2. Engagement Requirements and Scope

2.1. Engagement Background

This is a five-year, time and materials contract in which the selected contractor will provide services including but not limited-to: Administration of Sitecore CMS including management of related 3-tier technology stack, including load-balanced content-editing and publishing servers. The selected contractor will manage the development of website resources including, but not limited to: .net software development, database programming and administration, software upgrades, assistance with hardware upgrades, templates, renderings, layouts, sub-layouts, CSS, accessible 508/WCAG-2.0 Conformance Level AA compliant HTML, end-user accounts, and workflows, while adhering to software/system development life cycle (SDLC) process.

The selected contractor will provide, at a minimum, the following services:

- Expert guidance on web development projects as well as organization and use of Sitecore CMS to provide maximum efficiencies for Sitecore CMS users.
- Guidance and tutorials as needed to Sitecore CMS users for new and existing functionality.

- Guidance on Sitecore CMS related technologies including, but not limited-to: Sitecore Online Marketing Suite (OMS)/Digital Marketing System (DMS), Sitecore Engagement Platform, Sitecore Analytics.
- Architectural updates to Sitecore solutions and hosting environments

2.2. Project Roles

In addition to server-side web development services and administration, as needed, the selected contractor will also provide front-end web design services, including user interface/experience design, graphic design, responsive web design, cross-browser/cross-device compatibility, and multimedia design.

It is anticipated that the required skillsets of project requests will fall into the following roles:

Role / Description	Percentage of Requests
<p>Sitecore/C# Developer; Sitecore Administrator</p> <p>Developing new applications, updating existing applications, enhancing/updating templates and renderings, creating new templates, optimizing CMS functionality, workflows, publishing processes, all within Microsoft MVC framework.</p>	70%
<p>Web User Interface / Web-Designer</p> <p>Accessible/semantic HTML, CSS, graphic design, responsive web design</p>	20%
<p>System Architect</p> <p>Optimizing web hosting and content publishing architecture, load-balancing, system/software upgrades</p>	5%
<p>Other</p> <p>Project management, security. quality assurance</p>	5%

2.3. Statement of Work

The scope of work to be performed by the selected contractor consists of to-be-determined tasks listed in the following functional areas: Sitecore CMS development/administration/maintenance, .net framework development including but not limited to ASP.NET, ASP.NET MVC, C#, Javascript, CSS, Bootstrap, jQuery, as well as database programming/administration/development, website design and development within the Sitecore CMS environment, software upgrades, and assistance/consultation on hardware and software upgrades.

The selected contractor will be assigned individual tasks with associated functional and design requirements, provided by the NYSERDA Web Operations Project Manager. Each task will be given a time and cost estimate by the selected contractor before work proceeds. The finished products will be reviewed and approved by the NYSERDA Web Operations Project Manager.

The selected contractor will provide a method of submitting functional and design requirements and a method to prioritize projects in queue. Delivered projects will include documentation, including but not limited to new template fields, sizing of resources/images/media, steps to complete end-result, and steps to manage content/functionality.

As the basis for invoicing, the selected contractor will keep an active and up-to-date “Activity Log” of requests (see [Section 2.3 - Budget and Billing](#)) in a NYSERDA-accessible online format. A sub-set (spreadsheet) of the Activity Log will be included with monthly invoices to document the projects for which NYSERDA is being charged.

All deliverables will meet the following criteria:

- A quality work product, free from material defects in workmanship that will perform as designed and created according to best practices at onset of assignment.
- All new and modified code will remain part of the NYSERDA Sitecore CMS code base, owned by NYSERDA.
- Code will be promoted through the 3-tier environment on (1) an ongoing weekly schedule, and (2) on an as-needed basis.
- Adherence to NYSERDA accessibility requirements, which align with Level AA compliance to Web Content Accessibility Guidelines (WCAG) 2.1. More information about accessibility requirements is available at: <https://www.nyserda.ny.gov/-/media/Files/About/Style-Guide/ADA-Accessibility-Requirements.pdf>

2.4. Budget and Billing

This time and materials contract is for 5 years, with 2 one-year options to extend the contract. The selected contractor and the NYSERDA Web Operations Project Manager will agree on tasks to complete, priority, timeline, and associated budget, as well as any other special conditions required to complete the tasks. Fees for deliverables will be billed monthly for tasks completed within the period covered by the invoice. The NYSERDA Web Operations Project Manager will review the invoice and once approved, will release payment for those tasks. The invoice will then be drawn down from an agreed upon budget.

In addition to the invoice, the selected contractor will provide an itemized monthly “Activity Log” of tasks and the associated time and costs for each task. Activity Log functionality will include the ability to see the total cost of a specific project across the lifetime of the project. The Activity Log will include metadata information such as:

- Project ID (unique tracking number)
- Project Name (input/supplied-by NYSERDA Web Operations Manager)
- Estimated Duration
- Estimated Billable Amount
- Assigned Resource
- Creation Date
- Start Date
- End Date
- Action Taken (work performed)
- Duration (hours)
- Rate
- Billable Amount
- Category of Work (Enhancement, Bug, Status Meeting, Other Meeting, Build, Admin/Project Management)
- Remaining Budget

2.5. Minimum Technical Requirements

NYSERDA websites utilize a responsive web design that includes custom web applications, Google Maps, Google Analytics, Facebook widgets/buttons, Twitter cards/widgets/buttons, and embedded YouTube videos. NYSERDA currently has six Sitecore CMS Content Editors, approximately five approvers, and up to five workflows.

2.5.1. Minimum Website System Technology Expertise

The ideal proposer will be an expert in all the following technologies, without exception:

Environment and Tools:

- Sitecore.NET versions 9.3 and higher
- Sitecore Forms / Web Forms for Marketers 8.1
- Microsoft .NET Framework 4.7.2
- IIS 10.0 Web Service with TLS Encryption on Windows Server
- Microsoft SQL Server 2019 (15.0.4073)
 - SQL Management Studio 18.7/ SQL Server Data Tools
 - SQL Server Profiler
 - DB Engine Tuning Advisor
- Visual Studio 2019 Enterprise Edition
- GitHub and Team Foundation Server 2010 (Source Code Management)
- Microsoft Azure DevOps (Code Management, Boards and Deployment Pipelines)

Source Code:

- T-SQL (2019)
- Microsoft .NET Framework 4.7.2
- Microsoft C# 8.0
- MVC 5.2
- JavaScript Second Revision ECMAScript 8
- jQuery 3.4.1
- jQuery UI 1.12.1
- Bootstrap 3.2.0
- Angular 2
- Vue 2.6
- Bootstrap Vue 2.0
- Bootstrap Table 1.10
- Modernizr 2.6.2

Related Technologies and services:

- RESTful API / Web Services
- JSON 11.0
- ASP .NET AJAX 4.0
- Lucene.Net 3.0
- Solr 8.1
- Google Map API v3 /plus MarkerWithLabel library
- Google Recaptcha v2
- SQLCLR

- Telerik
- iTextSharp 5.3.4

Sitecore Experience Platform Tools:

- Content Authoring
 - Content Editor
 - Experience Editor
 - Media Library
 - Horizon (Experience Management)
- Digital Marketing
 - Campaign Creator
 - Sitecore Forms
 - Personalization
 - Experience Profile
- Analyzing and reporting
 - Experience Analytics
 - Experience Optimization
 - Path Analyzer
 - Marketing Automation

2.5.2. Minimum Technical Certifications

The ideal proposer will meet all the following requirements:

- The selected contractor will be, at minimum, a Sitecore Silver Certified Implementation Partner.
- The selected contractor will have deployed a minimum of 50 Sitecore CMS version 9.0 (or higher) web sites, each with a minimum page-count of 500 pages.
- The selected contractor will have experience with at least one Sitecore CMS version 10.0 (or higher) installation with a minimum page-count of 100 pages.
- The selected contractor will have at least 6 Sitecore Certified Developers on staff.
- The selected contractor will have at least one Microsoft Certified Technology Specialist (MCTS)
- The selected contractor will have at least one Microsoft Certified Professional (PRO)
- The selected contractor will have at least one Microsoft Certified Software Engineer (MCSE)
- The selected contractor will have at least one Microsoft Certified Solutions Developer
- The selected contractor will have at least one Microsoft Certified Solutions Expert
- The selected contractor will be a Microsoft Gold Partner

2.5.3. Minimum Availability Requirements

The ideal candidate will meet all the following requirements:

- The selected contractor will have the ability to scale-up development and design resources as needed for large, high-priority projects on an expedited timeline.
- The selected contractor will have the ability to perform hardware and software maintenance/upgrades during non-peak hours (to avoid website downtime during high traffic hours).

2.6. Minimum Contractual Requirements

The ideal candidate will meet all the following requirements:

- Proof of Minority and Women-Owned Business Enterprises (MWBE) Status. Any MWBE firms responding to this RFP that is seeking MWBE status must submit proof that the firm is certified as an MWBE with New York Empire State Development. If not an MWBE, the firm must outline how to achieve the MWBE requirement through subcontracting.
- Proof of Service-Disabled Veteran-Owned Business (SDVOB) Status. Any SDVOB firms responding to this RFP that is seeking SDVOB status must submit proof that the firm is certified as an SDVOB with the Department of Economic Development. If not an SDVOB, the firm must outline how to achieve the MWBE requirement through subcontracting.
- Upon issuance of a contract from NYSERDA, selected firms will be required to show evidence of General Liability, Disability and Workers Compensation Insurances. In some instances, Professional Liability insurance may also be required.
- The willingness to work with the Authority to minimize costs. The Authority reserves the right to negotiate a lower or different fee structure with the selected firm.
- No recruitment or consulting employment services. Submitted personnel must be employees of the firm or a sub-contractor that the firm has used successfully in the past.
- NYSERDA retains the right to end an engagement at any time with or without cause.
- Completion of the Diversity Questionnaire (Attachment C).

3. Proposal Requirements and Format

For the purposes of evaluation, proposals should not be excessively long or submitted in an elaborate format or expensive binders. Online submission is preferred. Unnecessary attachments beyond those enough 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. The proposal must be in the following format:

- Proposal Section I: Executive Summary
- Proposal Section II: Portfolio
- Proposal Section III: Technical Proposal

- Proposal Section IV: Cost Proposal
- Proposal Section V: Diversity Questionnaire

Descriptions and requirements of the specific proposal sections are as follows:

3.1. Proposal Section I: Executive Summary

Limit to two pages. In the order listed below, provide the following:

- Overall qualifications and areas of expertise, highlighting experience that is relative to NYSERDA's platform and technologies as outlined in [Section 2 Engagement Requirements and Scope](#).
- Company website address
- Affirmation of understanding and acceptance of all requirements within [Section 5 General Conditions](#), including:
 - Section 5.1 - Proprietary Information
 - Section 5.2 - Omnibus Procurement Act of 1992
 - Section 5.3 - New York Executive Law Article 15-A
 - Section 5.4 - Diversity Practices
 - Section 5.5 - New York State Executive Law Article 17-B
 - Section 5.6 - State Finance Law sections 139-j and 139-k
 - Section 5.7 - Tax Law Section 5-a
 - Section 5.8 - Contract Award
 - Section 5.9 Pre- and Post-Audit Access
 - Section 5.9 - Accessibility Requirements
 - Section 5.10 - Accessibility Requirements – Limitation
 - Section 5.11 - Disclosure Requirement
 - Section 5.12 - Vendor Assurance of No Conflict of Interest or Detrimental Effect
 - Section 5.13 - Public Officers Law

If there are exceptions to any of the above requirements, specifically detail them within the affirmation.

3.2. Proposal Section II: Portfolio

3.2.1. Clients and Project Descriptions

Limit to three pages maximum. Multiple examples can be grouped onto one page. Provide examples of three recent (within the last three years) Sitecore CMS version 9 or higher website projects or implementations. For each example, in the order listed below, include brief synopsis of:

- Web address (domain-name/URL)
- Role in project (Sitecore installation, template creation, information architecture, web design, database design/programming, custom software development, etc.)
- Goals accomplished, and strategy taken to accomplish
- Sitecore features and/or custom functionality implemented

3.2.2. Client References

Limit to one page. List three Sitecore CMS references from within the past 5 years. Include

- Company name
- Name of reference
- Title of reference
- Email address of reference

3.3. Proposal Section III: Technical Proposal

Following is a listing of the information required to be provided by the proposer. A technical proposal that does not provide all the information requested below may be subject to rejection. Provide the information in the same order in which it is requested. Your technical proposal must contain enough information to assure NYSERDA of its accuracy.

- 1. Affirmation of understanding and acceptance of all requirements within Section 2.4 - Minimum Technical Requirements, including:**
 - Section 2.4.1 - Minimum Website System Technology Expertise
 - Section 2.4.2 - Minimum Technical Certifications
 - Section 2.4.3 - Minimum Availability Requirements

If there are exceptions to any of the above requirements (from Sections 2.41, 2.4.2, 2.4.3), specifically detail them within the affirmation.

2. **Outline the approximate number of resources and roles available for contract;** include condensed resumes of key staff and sub-consultants proposed to provide services to NYSERDA, including partners, principals, and associates expected to provide support. Include description/chart of the firm's organizational structure.
3. **Describe your recommended staffing strategy,** inclusive of subcontracting resources. Please be explicit about the management and leadership of any subcontracted resources, how they relate to your resources, and how NYSERDA would integrate.
4. **Describe what resources your proposal requires from NYSERDA to be successful.** Be as specific as possible about roles/skills/staff required (e.g. titles, functional or administrative areas, skill sets, project roles, etc.), time/participation expectations of each NYSERDA resource (e.g. 8 hours a week, quarter-time, half-time, full-time, 45 hours total, etc.).
5. **Describe what preparation (whether on NYSERDA's part, or your organization's part, or both organizations working together) needs to occur at start of contract.** Include all types of preparation.
6. **Describe what you consider to be critical success factors for performing this type of work on-time and on-budget.**
7. **Describe what you consider to be the three biggest recurring risks that projects of these types encounter and how you mitigate those risks.**
8. **Provide a description of the firm's experience providing services as outlined in section [2.1 Engagement Background](#).** Provide a description of the firm's approach to providing the scope of services including the monitoring and management of potential work assignments.
9. **Note any special certifications relevant to this RFP that your firm or proposed staff may possess.**

3.4. Proposal Section IV - Cost Proposal

A cost proposal that does not provide all the information requested below may be subject to rejection. Provide the information in the same order in which it is requested. Your cost proposal must contain enough information to assure NYSERDA of its accuracy.

1. **Billing Rate** - Due to the length of this contract and the partnership that needs to be maintained, billing rates should be competitive and economical. Provide billing rates for each of the services on which your firm is proposing. Include the following as applicable, plus any additional roles deemed necessary:
 - a. Sitecore Developer
 - b. Database Administrator
 - c. Solution/Information Architect
 - d. Front End Developer
 - e. Web/User Interface Designer

- f. Graphic Artist
- g. Project Manger
- h. Account Representative

2. **Reimbursement** - List all disbursements or other services for which the firm would expect reimbursement.

3. **Discounts** - Indicate any reductions from normal billing rates charged other issuers or public entities in New York State.

3.5. Proposal Section V - Diversity Questionnaire

Diversity practices are the efforts of contractors to include New York State-certified Minority and Women-owned Business Enterprises (“MWBES”) in their business practices. Diversity practices may include past, present, or future actions and policies, and include activities of contractors on contracts with private entities and governmental units other than the State of New York. Assessing the diversity practices of contractors enables contractors to engage in meaningful, capacity-building collaborations with MWBEs.

Proposers are required to submit the Diversity Practices Questionnaire, included as Attachment C in this Request for Proposals.

4. Proposal Evaluation

The selection process will begin with the review and evaluation of each of the written proposals. The purpose of this evaluation process is twofold: (1) to examine the responses for compliance with this RFP; (2) to identify the complying firms that have the highest probability of satisfactorily performing the scope of services at a reasonable cost to NYSERDA.

Proposals that meet solicitation requirements will be reviewed by a Scoring Committee in a comprehensive and impartial manner using the Evaluation Criteria below listed in order of importance.

Proposal Section Number / Title	Evaluation Criteria
Proposal Section III: Technical Proposal	The Technical Proposal Score will be evaluated relative to each proposer based on completeness, accuracy, and value of content provided as compared to requirements. Consideration is given for demonstrated skill sets needed to fulfill the requirements of this RFP, particularly of the skills needed to perform the tasks listed in Section 2.1 Engagement Background and expertise in the technologies listed in Section 2.4.1 Minimum Website System Technology Expertise .
Proposal Section IV: Cost Proposal	Cost Proposals will be evaluated relative to each other based on common titles and common staffing scenarios. In addition, NYSERDA will utilize historical rates paid for consulting services when developing the cost proposal score.
Proposal Section II: Portfolio	The Portfolio score will be evaluated relative to each proposer based on use of Sitecore CMS and related platforms and unique features therein, as well as demonstration of custom application development, and use of best practices-

	based web and software design.
Proposal Section I: Executive Summary	The Executive Summary score will be evaluated relative to each proposer based on the completeness, accuracy, and value of content provided as compared to requirements
Proposal Section V: Diversity Questionnaire	The Diversity Questionnaire score will be evaluated relative to completeness, accuracy, and value of content provided.

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.

Scoring Committee members will independently score each Proposal and then meet to discuss the merits and scoring justifications of each Proposer. Evaluators will be allowed to revise scores based on the panel discussions.

The Scoring Committee will rank the Proposers’ final scores in descending order, from highest to lowest score, which will form the basis for the Scoring Committee’s award recommendation to NYSERDA Management. It is anticipated that there could be multiple selections depending on the number of qualified proposers.

NYSERDA reserves the right to accept or reject proposals based on the following factor(s):

- The degree to which pricing and hourly rates are in line with the rest of the market.

5. General Conditions

Acknowledgement of understanding and compliance to the following conditions must be accepted by the proposing organization:

5.1. 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.

5.2. 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

5.3. 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.

5.4. Diversity Practices

NYSERDA has determined, pursuant to New York State Executive Law Article 15-A, that the assessment of the diversity practice of respondents to this procurement is practical, feasible, and appropriate. Accordingly, respondents to this procurement shall be required to include as part of their response, Attachment C, Diversity Practices Questionnaire.

5.5. 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.

5.6. 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).

5.7. 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). 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). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

5.8. Contract Award

NYSERDA anticipates making one award under this solicitation. NYSERDA anticipates a contract duration of 5 years with 2 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 five 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.

5.9. Pre- and Post-Audit Access

The proposer must agree to provide NYSERDA with pre- and post-audit access to documents, personnel and other information necessary to conduct audits on request during the term of the Contract and for six years thereafter.

5.10. 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](#).

5.11. 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.

5.12. 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.

5.13. 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.

5.14. 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.

6. Attachments

- Attachment A – Sample Standard Agreement (including template Statement of Work and MWBE/SDVOB language)
- Attachment B – Diversity Practices Questionnaire
- Attachment C – MWBE Article 15-A
- Attachment D – SDVOB Article 17-B



Request for Proposal (RFP) 4831
Acoustic and oceanographic surveys to support offshore wind energy development
\$1,250,000 Available

NYSERDA reserves the right to extend and/or add funding to the Solicitation should other program funding sources become available.

Proposals Due: February 3, 2022 by 3:00 p.m. Eastern Time*

Offshore wind energy could become a major source of affordable, renewable power for New York State, particularly on Long Island and in the New York City metropolitan area, where demand on the electric grid is greatest. Generating electricity with wind turbines located off New York's Atlantic coast has the potential to provide up to 39,000 megawatts (MW) of clean power for the State, enough to power 15 million homes. On behalf of New York State, the New York State Energy Research and Development Authority (NYSERDA) is coordinating work being conducted by New York State agencies to advance the responsible and cost-effective development of offshore wind resources. As part of its leadership role, NYSERDA spearheaded the development of the New York State Offshore Wind Master Plan <https://www.nyserda.ny.gov/offshorewind>, a comprehensive roadmap that encourages the development of offshore wind in a manner that is sensitive to environmental, maritime, economic, and social issues while addressing market barriers for offshore wind technology and aiming to lower electricity costs for consumers.

Assessing potential risks of offshore wind energy development supports responsible development and requires appropriate consideration of environmental and biological concerns, among other topics. The primary priority wildlife species for regulators during the environmental permitting process are those that have specific state or federal protections, or those species that have commercial importance. Protected marine species are regulated under the Endangered Species Act (ESA), Marine Mammal Protection Act (MMPA), National Environmental Policy Act (NEPA), National Marine Sanctuary Act (NMSA), and Energy Policy Act (EPA). Environmental protections are enforced by the Bureau of Ocean Energy Management (BOEM), through issuance of leases and approval of construction and operations plans, by the National Oceanic and Atmospheric Administration (NOAA) under the MMPA, and state agencies through Federal Consistency Review and actions in State waters. Commercially important fisheries are a key resource interest for NOAA and for state regulators in New York.

Knowledge of marine mammal distribution and abundance is critical to development timelines, construction windows and risk mitigation options. Marine Mammal data may also be used to model and predict distributions, essential for understanding ecological context however, in part due to the rarity of some of these species, there is a paucity of data on their movements and habitat use in many areas of the United States, which could delay offshore development in New York.

Relatedly, there is a limited amount of research on the potential impact of offshore wind turbine presence on oceanographic conditions. The New York Bight contains part of the "Cold Pool", an area characterized by a strong seasonal thermocline that overlies cold bottom water. The Cold Pool forms as warmer surface waters cover cold winter water, and reaches its largest spatial extent in late spring to early summer. During this period, it is likely to overlap with offshore wind areas¹. In the fall, stratification weakens, and the Cold Pool breaks down. The unique oceanographic conditions support several local and regional fisheries. Changes to duration of stratification could alter the functioning of the Cold Pool and result in consequences for fishery productivity.² Important questions related to the impacts of climate change and to what extent development of offshore wind projects could additionally effect the timing of Cold Pool breakdown. To inform this question, it is necessary to better understand the physical oceanographic processes and their variability in this region.

¹ Miles, T, S Murphy, J Kohut, S Borsetti, D Munroe. 2020. Could federal wind farms influence continental shelf oceanography and associated ecological processes? A literature review. Science Center for Marine Fisheries <https://scemfis.org/wp-content/uploads/2021/01/ColdPoolReview.pdf>

² Ibid.

This solicitation seeks proposals to inform these two issues through:

- A. Bottom mounted archival Passive Acoustic Monitoring (PAM)** to better understand temporal movement and distribution of marine mammals, and
- B. Autonomous surface or underwater vehicle (glider or similar) surveys** with PAM and physical oceanographic instrumentation to further refine marine mammal distributions and physical oceanographic measurements to inform any potential implications of offshore wind development on the seasonal breakdown of the Cold Pool.

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 \[PDF\]](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 Kate McClellan Press (Designated Contact) at (518) 862-1090, ext. 3110 or by e-mail environmentandoffshorewind@nyserdera.ny.gov or Gregory Lampman (Designated Contact) at (518) 862-1090, ext. 3372 or by e-mail environmentandoffshorewind@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. 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 Energy Research and Development Authority (NYSERDA) seeks to advance New York State's 9GW offshore wind energy mandate in a way that are both responsible and cost-effective. As a result of this philosophy, the State is continuing its proactive approach to investing in predevelopment activities. Data gaps and unmet research needs can hamper efforts to identify appropriate mitigation methods to reduce risks. Having a better understanding of potential wildlife and fisheries interactions with US offshore wind development will support responsible development, potentially reduce stakeholder concerns, inform regulatory processes and accelerate OSW project development by identifying and reducing risks early.

As BOEM has assessed and identified wind energy areas (WEAs) in the New York Bight, the State has invested in predevelopment activities to gain a better understanding of the physical and environmental conditions in these areas to reduce developer risk early in the process, which will enable developers to submit more competitive bid prices in response to New York's offshore wind solicitations ("offtake"). These activities are expected to provide a starting point for project development, but not to displace entirely the work developers will need to undertake to design, permit, and construct projects.

For example, in August 2019, NYSERDA deployed two [metocean buoys](#) more than 40 miles off New York's coast (in the BOEM-designated Draft WEAs) and each buoy will collect data for two years. The two made-to-order buoys were validated in accordance with Carbon Trust OWA Stage 2 Standard and International Electrotechnical Commission (IEC) standard 61400-12-1 CDV. Similarly, In the summer of 2017, NYSERDA began to conduct a 3-year, 4-season planning level wildlife survey of the NY Bight using [digital aerial surveys](#). The project, which collected more than 3.5 million images, provides broad scale contemporary data about the seasonal, interannual, and spatial distributions of wildlife in the NY Bight, as well as support BOEM in the identification of new, responsibly sited lease areas. In addition to these activities, New York State invested in planning level [geophysical investigation](#) of BOEM's draft WEAs. These pre-development investigations provide developers the data they need earlier in the process, maximizing the value of the data at the offtake stage, and helping advance the State's progressive mandate efficiently, cost-effectively, and responsibly.

II. Program Requirements

This solicitation seeks proposals in support of one or both components: 1) bottom mounted archival PAM coupled with temperature loggers and 2) autonomous surface or underwater vehicle (glider or similar) surveys with PAM and physical oceanographic instrumentation capable of sampling the entire water column.

The New York Bight waters are part of the home range or migratory corridor of several baleen whale species, including the critically endangered North Atlantic Right Whale (NARW). Understanding the timing and presence of these species is essential for planning mitigation measures. NOAA and BOEM have jointly made recommendations for the use of passive acoustic methods (PAM) for monitoring and mitigation programs supporting offshore wind energy development.³ PAM can be used to assess baseline species distribution to evaluate changes in species movement patterns, abundance, and behavior as the result of offshore wind development construction. They can also be used to provide baseline information on the marine soundscapes and ambient noise levels. This data can be used to inform future monitoring and mitigation efforts before and during offshore wind development construction.

There are several PAM techniques that can be applied to better understand marine mammal presence and behavior to avoid or minimize potential effects and to inform mitigation options. Two possible survey methods for pre-development PAM are through bottom mounted archival systems and deployment on autonomous underwater vehicles (AUV), reporting in near real-time. Archival PAM can be used to build long-term records of presence of sound producing species, both temporally and spatially. Gliders are versatile and can be used to monitor large spatial areas for long periods of time and can report data in near real-time or through archival recordings. Gliders can be used to run predetermined tracklines over a set area and battery powered gliders can operate for up to three months continuously. Tracklines can be remotely piloted or redirected, if needed, to focus on areas of high vocal activity. Importantly, gliders are multi-disciplinary and can also be deployed with sensors to record oceanographic characteristics such as water temperature, pressure, and salinity as well as additional data such as fish tag detections on a VEMCO receiver.

The goal of the passive acoustic investigations is to establish a multi-year record of baleen whale occurrence in the New York Bight WEA lease block, specifically around the Hudson South and the Central Bight areas (OCS-A 0543, OCS-A 0538, OCS-A 0540, OCS-A 0539, OCS-A 0541, OCS-A 0542, OCS-A 0544, OCS-A 0537). These locations are part of the proposed regional PAM network to inform offshore wind energy development monitoring and mitigation and a full map with preferred locations can be found on the Mid-Atlantic Ocean Data Portal: <https://bit.ly/3B8pXn5>.

An additional goal is to provide oceanographic data to better understand the Cold Pool overlap with the Hudson South WEAs (OCS-A 0543, OCS-A 0538, OCS-A 0540, OCS-A 0539, OCS-A 0541, OCS-A 0542).

Investigation methods should include fixed bottom mounted archival PAM, real-time AUV PAM, and other opportunistic sensors and receivers (e.g. VEMCO, bottom temperature).

Available Funds

³ Van Parijs, S, K Baker, J Carduner, J Daly, G Davis, C Esch, S Guan, A Scholik-Schlomer, N Sisson, E Staaterman. Unpublished. NOAA and BOEM recommendations for use of passive acoustic listening systems in offshore wind energy development monitoring and mitigation programs.

NYSERDA has a budget of approximately \$1,250,000 available for completing the bottom mounted passive acoustic monitoring and underwater autonomous glider surveys for a minimum period of 2-years. NYSERDA anticipates making one or two awards under this RFP. NYSERDA anticipates contracting for approximately three years with a minimum of two-years of active monitoring. A contract may be awarded based on initial applications without discussion or following limited discussion or negotiations pertaining to the Statement of Work. In the event of more than one awardee, NYSERDA reserves the right to require coordination between awardees. Each proposal should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications, either through written submission or interview. 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-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.

Component	Spend Estimate
Bottom-mounted Passive Acoustic Monitoring	\$500,000
Underwater Autonomous Vehicle	\$750,000

III. Proposal Requirements

Proposals must follow the format provided below and should include sufficient, succinct information to support the proposed approach and answer the questions described in the Proposal Evaluation Criteria listed in Section V. Proposals should not be excessively long or submitted in an elaborate format. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. The maximum length of each proposal section is shown and should not be exceeded. If the proposer wishes to provide alternative options to those presented here for consideration by the reviewers, they may be presented along with appropriate justification and sufficient cost implications. NYSERDA reserves the right to negotiate changes to the proposed project approach, deliverables, and deliverable formats with the selected proposer.

All responses submitted as part of this solicitation process become the property of NYSERDA. Careful consideration should be given before confidential information is submitted to NYSERDA as part of any proposal. Review should include whether it is critical for evaluating a proposal, and whether general, nonconfidential information may be adequate for review purposes. (See Section V below, "Proprietary Information", for details.) Proposers will not be reimbursed by NYSERDA for any costs associated with the preparation of their proposals.

Proposal Submittal

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 PON'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>). Proposers may contact Kate McClellan Press at 518-862-1090 ext. 3110 before preparing a proposal to discuss proposal requirements.

In compliance with §139-j and §139-k of the State Finance Law (see Section V below, "General Conditions" 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

Proposals must be submitted as a single file, inclusive of all supporting documents. The file should be 100MB or less in file size. Proposers must submit a complete 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. Each page of the proposal should state the name of the proposer, "RFP 4831" and the page number. Proposals should follow the format below and provide sufficient and succinct information to complete the required descriptions and answer the questions described in the "Proposal Evaluation" criteria listed in Section IV. The preferred length of each proposal section is shown.

Proposal Summary

You may bid for one or both components (bottom mounted archival PAM, and/or; autonomous underwater vehicle (glider) surveys with PAM and physical instrumentation). **If submitting bids for both components, two separate stand-alone proposals are required.** However, proposers can describe any additional benefits (e.g. cost or operations efficiencies) associated with selecting both proposals.

Project Summary, Background, and Objectives (1 page)

Summarize the proposed project approach and proposer qualifications as they pertain to this PON. Describe the issue being addressed and how it will bring value to responsible OSW development. Detail the project goals and major objectives. Provide context for the approach and experience in relation to completed and ongoing relevant work in the region and around the world. Describe the outcome or products and how they will be disseminated. Proposals should include how they will coordinate with relevant national, state or local research initiatives, including coordination with the Regional Wildlife Science Entity <https://neoceanplanning.org/rwse/>. Include a description of the limitations of the project.

Project Methods Summary (5-6 pages, supporting documents not included in page count)

Summarize the proposed project methods and overall research design. Explain why the equipment, models, methods, and other aspects of the work are expected to be capable of meeting objectives. Describe the extent to which these have been accepted by the scientific community and policy making organizations, or otherwise demonstrated to be valid. The methods must be outlined in detail and clearly designed to meet the project objectives, including spatial and temporal resolution.

For projects including archival, bottom mounted PAM.

Please describe an approach for multi-year (at least 2 year) monitoring of baleen whale species of priority in the BOEM lease area off New York and New Jersey. The PAM methods should be calibrated to obtain information on primary species of concern, such as North Atlantic right whale, (*Eubalaena glacialis*; NARWs), humpback whales (*Megaptera novaeangliae*), minke whales (*Balaenoptera acutorostrata*), fin whales (*Balaenoptera physalus*), blue whales (*Balaenoptera musculus*), and sei whales (*Balaenoptera borealis*). While these species are a priority due to their conservation status, other species, such as common dolphins (*Delphinus delphis*), are also frequently found in this region. Proposals that include one platform targeted to other species of interest will also be considered.

Spacing of receivers for optimal coverage of the lease areas and surroundings has been provided and includes one sensor per grid block (Figure 1). The spacing has been designed to provide one hundred percent coverage of the acoustic radius of NARWs within the lease areas. Provide a proposed receiver layout based on these recommendations, or provide justification for alternative approaches (e.g. number of receivers available, spatial priorities, existing PAM efforts). Spacing should also consider signal propagation source level, and directivity differences in calls between individuals and species. Describe the type recording capabilities and duration of equipment (duty-cycling is not preferred). Recorders should be moored near the bottom, with no surface expression. Describe a deployment, maintenance, and recovery plan. Please identify additional receivers or physical sensors, including, but not limited to bottom temperature loggers.

For projects that include an underwater or surface autonomous vehicle (glider or similar)

Please describe an approach for approximately eight, 30-day missions over two years to detect baleen whale species of priority and to map features of the Cold Pool. Provide proposed tracklines for the area

around the Hudson South lease areas that consider the radius of the chosen focal species and detection of the Cold Pool at critical times of year. The glider should include physical instrumentation to record, at minimum, conductivity, temperature, and depth. It is understood that the focus of a survey, depending on the time of year and the ultimate priority of the proposal, may be geared to whale detection or Cold Pool mapping. Please make clear how tracklines would prioritize each research goal.

For both approaches, describe any methods to achieve the following:

- Calibration data, and relevant settings and sensitivities should be noted for all hardware used in recording to ensure consistency among measurements. Array synchronization information should be documented. This information should be permanently associated with the recordings as metadata. All hardware should be tested and optimized for low self-noise, including the mooring system. The system should be tested to ensure adequate sensitivity in the area where it will be used and the signals it will receive.
- System design, installation, and operation should be done by those with expertise in PAM and AUV technology, as relevant.
- PAM technology proposed for use should have been used for the same purpose in other field efforts and have clear and detailed information available about its previous performance and reliability.
- Document the efficacy of detection capabilities and classification software for the species of interest
- A final report summarizing data that will be shared via NYSERDA's website

Additional sensor measurements, if included, should:

- Collect data that support improved understanding of the ecosystem and/or associated physical processes
- Contribute to a knowledge gap area as identified in the State of the Science on Wildlife and Offshore Wind Workshop reports: <https://www.nyetwg.com/2020-workgroups>, or similar efforts

PAM Archiving:

- PAM data products (ambient noise measurements and marine mammal detections) should be made available to be uploaded to the PAM data repository and visualized on the Passive Acoustic Cetacean Map (<https://apps-nefsc.fisheries.noaa.gov/pacm/#/>). This can be done by providing data products using the templates available on <https://www.fisheries.noaa.gov/new-england-mid-atlantic/endangered-species-conservation/passive-acoustic-research-atlantic-ocean>.
- PAM recordings should be made available to NOAA's National Center for Environmental Information (NCEI) archiving service (<https://ngdc.noaa.gov/mgg/pad>)
- The raw sound recording should be compressed into a standardized lossless format, such as FLAC for archiving
- Must include associated metadata, including information associated with deployment and retrieval of the PAM technology at sea (e.g. recorder type, depth, location, and functionality) and information on the recording settings (e.g. sampling rate and recording schedule)

If permits are required, the proposal must describe the proposer's experience working with BOEM or other federal regulators and experience securing permits. Any issues or concerns with permitting should be described. Any necessary permits shall be the responsibility of the proposer. Proposers should be in communication with the US Navy to determine if there are any data security requirements at the proposed locations.

Project Management Plan and Qualifications (up to 7-pages)

- Organizational Chart (1 page) — Prepare an organizational chart listing all key personnel by name. The role for each team member must be clearly described in the proposal. Include any subcontractors, postdoctoral or graduate students if known, and other sponsors involved in the project, showing their roles and responsibilities.
- Tasking Chart (1 page) — Prepare a tasking chart, describing approximately in hours or days the effort contributed by each of the key personnel to each task and the total effort.
- Related Projects (up to 3 pages) — Provide a sample of related projects undertaken by the proposer and/or subcontractors. For each project provide a brief summary, describing its title, scope, funding amount and client contact numbers. NYSERDA may contact listed clients.
- Resumes (not included in page count) — Submit relevant portions of resumes of all key project personnel, including those of proposed subcontractors, and postdoctoral or graduate students if known. Include

education and experience that are relevant to the proposed work. (One (1) page each — not included in page count)

- For proposers submitting bids to both proposals (up to 2 pages) – Please describe any efficiencies (e.g. cost, technical, etc.) of selecting both proposals from one team.

Master Schedule (1-2 pages)

Complete a schedule showing start and completion times for all major tasks, in terms of months after project initiation by means of a Gantt chart. Include planned meetings, major deliverables or milestones and other key events.

Letters of Commitment or Support

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. Absence of letters of commitment or support will be interpreted as the proposer not having commitment/support from those parties. (One (1) page each — not included in page count)

Cost Sharing – Cost-sharing by proposers of at least 25% of the total cost of the project 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. Show the cost-sharing plan in the following format (expand table as needed):

	Cash	In-Kind Contribution	Total
NYSERDA	\$	\$	\$
Proposer	\$	\$	\$
Others (list individually)	\$	\$	\$
Total	\$	\$	\$

If a final report, or similar final deliverable, is required, include the following language here and in a Statement of Work template, if attached: 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.

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: Sample Metrics Reporting Guides 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.

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.

If an investigator(s) identified in a proposal is an investigator on one (1) or more current or previous NYSERDA-funded projects, performance on these projects will be considered in the evaluation of the current proposal.

Technical Evaluation Criteria:

- Soundness of Project Methods and Research Design - How suitable are the proposed project methods and overall research design for meeting the project objectives and yielding accepted results? How comprehensive, realistic, and explicit is the proposal with respect to the project objectives and proposal requirements? Are specific measurable targets of success provided where applicable? Are the methods outlined in detail and clearly designed to meet the project objectives?
- Management Plan and Qualifications – How well has the proposer organized a management plan and a project team with the necessary educational, technical, operations, technology transfer, financing, and administrative experience for successfully completing the project? Are all roles and responsibilities clearly defined? Does the team include partnerships with other research groups? Has an interdisciplinary team been assembled, including environmental scientists, social scientists/public policy analysts, and technologists as appropriate? How many of the team members are located in New York State? Have letters of support demonstrating the availability of data and agreement to participate been included?
- Communication of Results – How promising is the reporting and information transfer plan for successfully using project results to realize the potential benefits of the project? What data products are developed and how are they used to support communication?
- Cost Criteria – How justifiable and reasonable are the overall costs compared to the expected usefulness of the project results and the level of effort and duration of the project? How justified and reasonable are the proposer's cost allocations and co-funding contributions (cash, in-kind services, etc.)? To what degree does the proposal include meaningful cost-sharing from other key organizations important for the success of the project? Is there a detailed budget provided for the overall project, including sufficient detail in the supporting schedule for each cost element, its description, and amount to justify the budget?
- Usefulness and Value of Project Results – How useful are the project results expected to be in validating or improving New York State policies, regulations, impact assessments, models, or mitigation methods? Will data be collected beyond what is required in terms of duration or measurement? How much value does this additional data bring? Will the results be available in a timely manner? To what extent will the project use and integrate other relevant data and coordinate with other research/monitoring initiatives (e.g., with field sampling and data analysis) to provide maximum value to New York State?

Other Considerations:

Projects will also be reviewed to determine whether they reflect the overall mission of NYSERDA, including:

- The balance among projects of long- and short-term benefits and risk/reward relationships, and whether similar projects are presently or have been previously funded.
- The general distribution of projects of diverse topics related to program goals.
- The ease of measuring project success in quantifiable ways.
- If applicable, the responsiveness of the proposer in conducting other NYSERDA-funded work.

NYSERDA reserves the right to accept or reject proposals based on the following factor(s):

- a. 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.

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). 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). 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 or two award(s) under this solicitation. NYSERDA anticipates a contract duration of two (2) 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 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. NYSERDA reserves the right to require selected proposers to collaborate with one another and outside parties. 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) to eight (8) weeks from the February 3, 2022 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.

VI. Attachments:

- Attachment A – Budget Form
- Attachment B – Sample Agreement including Exhibit A - template statement of work
- Attachment C – Sample Metrics

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**NYSERDA Stretch to Zero Pilot Program
Request for Proposal (RFP) 4859
approximately \$2.6 Million Available**

NYSERDA reserves the right to extend and/or add funding to the Solicitation should other program funding sources become available.

Proposals Due: May 2, 2022, by 3:00 p.m. Eastern Time*

Advancing the new construction and major renovation of buildings toward a highly-efficient, zero on-site greenhouse gas emissions code will help New York State meet the goals of the Climate Leadership Community Protection Act (Climate Act). Recognizing that opportunities to do so are vital to the Climate Act, the New York State Energy Research and Development Authority (NYSERDA) developed a “stretch” energy code - “NYStretch 2020” – to advance progress on building energy codes and catalyze GHG reductions. “NYStretch 2023,” which is currently in development, will move the State closer to these goals, but another major step is needed to meet state GHG reduction goals: decarbonization. **The Stretch to Zero Pilot Program will create and test workable approaches for the local and statewide implementation of a decarbonized, zero on-site greenhouse gas emissions code.** [Note: For Purposes of the Stretch to Zero Pilot Program, a zero on-site greenhouse gas emissions code will likely require all new construction within the adopting municipality to be all-electric, but that will be finalized during the development and adoption process]

The Stretch to Zero Pilot Program aims to make awards in two categories: Category One aims to award municipalities up to \$500,000 each for the adoption and implementation of a zero on-site greenhouse gas emissions code by December 2023. Category Two aims to make awards for municipalities that have already taken a local legislative action to adopt a zero on-site greenhouse gas emissions code, and who are interested in sharing information with NYSERDA and learning from the other participating municipalities. These municipalities can apply to receive up to \$25,000 per quarter over the two-year Pilot Program for a maximum award of \$200,000.

Currently NYSERDA has allocated \$2 million for awards in Category One and \$600,000 for awards in Category Two. NYSERDA also anticipates making multiple awards in each category but reserves the right to reallocate funds between the two categories based on the total amount of fundable projects received.

Under this RFP, NYSERDA seeks municipalities that are committed to adopting an all-electric code and can clearly demonstrate a commitment and history of taking aggressive environmental and sustainability actions. To ensure that the adoption of a zero on-site greenhouse gas emissions code will have an impact, municipalities must also provide information on current and future construction and development trends. In addition, selected municipalities must have a history of successfully implementing and managing state and federal grant programs.

Selected municipalities will work closely with each other and NYSERDA through the planning, adoption, and implementation process. In addition to the financial incentives, selected municipalities will receive significant technical support, including but not limited to:

- Project Management and Planning Services;
- Local Legislative Assistance;
- Stakeholder Engagement and Outreach; and
- Training and Education.

NYSERDA will use the Stretch to Zero Pilot Program to identify the obstacles and issues municipalities will face when adopting and implementing a zero on-site greenhouse gas emissions code and develop tools and best practices to prepare for the potential future local and statewide implementation.

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 Elizabeth Staubach at (518) 862-1090, ext.3616, nystretch@nyserda.ny.gov or Anilla Cherian at (212) 971-5342, anilla.codes@nyserda.ny.gov. If you have contractual questions concerning this solicitation, contact Nancy Marucci at (518) 862-1090, ext. 3335 or by email at NancySolicitationnyserda.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 offer, and (2) may result in the proposer not being awarded a contract.

*** All proposals must be received by 3 p.m. Eastern Time on May 2, 2022. 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>).

Information Sessions: NYSERDA will hold two information sessions to provide an overview of the Pilot Program and to answer questions from interested municipalities and their representatives.

Session One: Tuesday, February 15th at 1:00 pm

Event address for attendees:

<https://nyserdany.webex.com/nyserdany/onstage/g.php?MTID=ec8deb9cf4ea71296d2c2f8e07d4074e1>

Event number: 2596 120 2803

Event password: bRVqxGqH385

Call In Number: 1-415-655-0003

Access code: 2596 120 2803

Session Two: Wednesday, February 16th at 9:00 am

Event address for attendees:

<https://nyserdany.webex.com/nyserdany/onstage/g.php?MTID=e3516f9122d8be2a67aef939ce4d2e0ff>

Event number: 2599 429 2182

Event Password: 2VEf2226y7W

Call In Number: 1-415-655-0003

Access Code: 2599 429 2182

I. Introduction

New York State continues its efforts to advance the new construction and major renovation of buildings toward a highly efficient, zero on-site greenhouse gas emissions code that will help the State meet the goals of the Climate Act. NYStretch 2023 seeks to move the State closer to its goals, and the **Stretch to Zero Pilot Program will create workable approaches that can be replicated for the local and statewide implementation of a zero on-site greenhouse gas emissions code.**

The Stretch to Zero Pilot Program aims to make awards in two categories: Category One aims to award municipalities up to \$500,000 each for the adoption and implementation of a zero on-site greenhouse gas emissions code by December 2023.

Category Two aims to make awards for municipalities that have already taken a local legislative action to adopt zero on-site greenhouse gas emissions code, and who are interested in sharing information with NYSERDA and learning from the other participating municipalities. These municipalities can apply to receive up to \$25,000 per quarter over the two-year Pilot Program for a maximum award of \$200,000.

Currently NYSERDA has allocated \$2 million for awards in Category One and for \$600,000 awards in Category Two. NYSERDA also anticipates making multiple awards in each category but reserves the right to reallocate funds between the two categories based on the total amount of fundable projects received.

The selected municipalities will work closely with each other and NYSERDA through the planning, adoption, and implementation process. Through this partnership and cooperation NYSERDA will create workable approaches for the future local and statewide implementation of a zero on-site greenhouse gas emissions code. NYSERDA will work with municipalities to develop a model code amendment for local adoption that would restrict gas- and oil-combustion equipment for space heating and domestic hot water production and only permit electric or other non-combustion equipment to serve such purposes in new buildings. For the purposes of this RFP, such code amendment shall be referred to as “zero on-site greenhouse gas emissions code.” NYSERDA will use the experiences of the selected municipalities to develop a proven, replicable pathway to overcome barriers to adoption and implementation, while addressing challenges associated with zero on-site greenhouse gas emissions code.

With the assistance of a NYSERDA-designated consultant, each of the selected municipalities will be expected to develop a detailed plan for adoption and implementation of a zero on-site greenhouse gas emissions code specific to that municipality, and subsequently adopt said code. Each plan will include the following:

- Implementation schedule for complete adoption of zero on-site greenhouse gas emissions code at municipal level by 2023
- Stakeholder Outreach and Engagement; including a targeted outreach plan for Disadvantaged Communities (DAC)
- Training and Education (public, stakeholders, and municipal staff)
- Enforcement (use of third party and/or hiring additional municipal staff)

The costs for the consultants will be provided by NYSERDA and are in addition to the (up to) \$500,000 municipal award.

The effort of the selected municipalities will result in the following products to assist other New York State municipalities in the adoption of zero on-site greenhouse gas emissions code building codes:

- Models and examples for local and statewide adoption and implementation
- Tools and best practices to prepare municipalities for local and statewide adoption and implementation
- Proof-of-performance and understanding of costs for zero on-site greenhouse gas emissions code building solutions
- Strategies for outreach and engagement related to costs and rates

II. Program Requirements

Municipalities that are electricity customers of a participating utility company, and that pay, or will pay, into the electric System Benefits Charge at the site receiving benefits are eligible for participation.

NYSERDA seeks municipalities that are committed to adopting a zero on-site greenhouse gas emissions code and can clearly demonstrate a commitment and history of taking aggressive environmental and sustainability actions. To ensure that the adoption of a zero on-site greenhouse gas emissions code will have an impact, municipalities must also provide information on current and future construction and development trends. In addition, selected municipalities must have a history of successfully implementing and managing state and federal grant programs. Participation in this program will require municipalities to actively engage with NYSERDA staff and contractors, as well as the other program participants. Awarded municipalities will be required to provide quarterly reports to

NYSERDA. NYSERDA will provide participating municipalities with the report templates, and municipalities will be responsible for providing the required information electronically. The reports will require a municipality to disclose anecdotal information, energy and cost data, as well as any newly identified or anticipated obstacles, and solutions to those obstacles. In addition, municipalities will meet on a quarterly basis with other participating municipalities to discuss experiences, share learnings, and identify upcoming milestones.

To achieve the goals and produce the materials necessary for future adoption of zero on-site greenhouse gas emissions code, municipalities must be willing to share and learn from NYSERDA, their contractors, and each other. Success of the program relies on the communication and collaboration of all involved.

The disbursement of funds will be tied to established milestones as well as the required participation in quarterly meetings and reporting. These milestones will be based on actions the municipality must take to adopt and implement the zero on-site greenhouse gas emissions code. If a municipality fails to meet the established municipal milestones and/or participate in the required meetings or reporting, funds will be withheld and participation in the Pilot may be terminated.

While the following is subject to change after consultation and negotiations between participating municipalities and NYSERDA, it is expected that disbursements for Category One awards will be made following the achievement of key milestones noted below over the two-year Pilot Program:

- Contract Execution between municipality and NYSERDA—\$50,000
- Quarterly reporting and participating municipality meetings—\$25,000 per quarter (\$200,000 over the two-year Pilot Program).
- Municipal adoption of the zero on-site greenhouse gas emissions code into Local Law—\$125,000
- Effective date of the zero on-site greenhouse gas emissions code identified in the municipal local law—\$125,000

Municipalities that have already taken a local legislative action to adopt a zero on-site greenhouse gas emissions code are still eligible to participate in the Pilot Program under Category Two. If these municipalities would like to share information with NYSERDA and learn from the other participating municipalities, they can apply to the Pilot Program under Category Two and receive up to \$25,000 per quarter over the two-year Pilot Program.

III. Proposal Requirements –

Category One

1. **Commitment:** Proposals must include a municipal resolution committing the municipality to participating in the Stretch to Zero Pilot Program. Subsequent local legislative approvals will be required to adopt the actual zero on-site greenhouse gas emissions code, but to apply to participate in the Pilot Program a municipality will only need to submit a resolution confirming that the municipality understands that participation requires the future adoption and implementation of a zero on-site greenhouse gas emissions code by December 2023.
2. **Existing Environmental Policies:** Proposals must include a summary of previous and existing environmental and sustainability policies adopted and implemented by the municipality. If the municipality has adopted Greenhouse Gas (GHG) reduction goals, please provide those goals and the progress the municipality has made in achieving those goals. Please include hyperlinks to each document referenced. (4 Pages Maximum)

Examples of past actions include, but are not limited to:

- Climate Action Plans
- Climate Adaptation Plans
- Green House Gas Inventories
- Participation in the Climate Smart Communities Program
- Adoption of energy codes that are more stringent than the current Energy Conservation & Construction Code of New York State
- Participation in the Clean Energy Communities Program-Please provide a summary of completed actions.
- Infrastructure Inventories and Resiliency Plans

3. **Development Activity:** To ensure that the adoption of zero on-site greenhouse gas emissions code will have an impact on the future development in a municipality, proposals must include evidence of planned future development. Proposals must include a summary of building permit data for new construction for the previous three years. Include the number of commercial and residential permits applied for and issued. Also, please include a summary of development projects currently in the municipal planning process. Please include number of units, proposed square footage, and identify the proposed uses.

In addition, if your municipality has completed any growth projections as part of your municipal planning and/or budgeting process please include that information along with a summary of methodology and assumptions.

4. **Support:** In order to demonstrate that municipal stakeholders will be engaged in the adoption and implementation process, the proposal must include letters of support, including from community and business leaders, demonstrating an understanding of the program and their commitment to participate in the planning, outreach, and implementation process.
5. **Use of Funds:** NYSERDA expects applicants to develop a plan and programs to support the impacts of adopting a zero on-site greenhouse gas emissions code with a portion or all the funds. The proposal must include detailed information on how the municipality intends to deploy the Pilot Program funds.

Plans should include information on the budget allocation for each program and if a match will be provided by the municipality and/or through a public-private partnership. In addition, municipalities should identify the program benefits to their disadvantaged communities and low-to moderate income individuals.

6. **References:** The proposal must include a summary of previous participation and implementation of grant funds. The summary should demonstrate effective, responsible, and successful management and implementation of state or federal grant programs. The proposal must list the Project Management team for the municipality and their role in those previous successful grant implementation examples. In addition, proposals must include the contact name and information of individuals and/or organizations that can directly speak to the municipality's history of responsiveness, timely reporting, and successful grant/program administration.

Category Two

1. **Commitment:** Proposals must include the previously adopted municipal resolution committing the municipality to the adoption and implementation of a zero on-site greenhouse emissions code. In addition, the proposal must include a resolution and/or a Memorandum of Understanding (MOU) from the municipality committing the Municipality to participate in information sharing and to submit quarterly reports to NYSERDA on the adoption and implementation of the municipality's all-electric code. In addition, the proposal should include a commitment to sharing the lessons learned during their adoption process. Through participation in the Pilot Program, NYSERDA wants to learn how the municipality came to the conclusions to adopt an all-electric code, and about the actions that were taken to achieve this goal.
2. **Existing Environmental Policies:** Proposals must include a summary of previous and existing environmental and sustainability policies adopted and implemented by the municipality. If the municipality has adopted Greenhouse Gas (GHG) reduction goals, please provide those goals and the progress the municipality has made in achieving those goals. Please include hyperlinks to each document referenced. (4 Pages Maximum)

Examples of past actions include, but are not limited to:

- Climate Action Plans
- Climate Adaptation Plans
- Green House Gas Inventories
- Participation in the Climate Smart Communities Program
- Adoption of energy codes that are more stringent than the current Energy Conservation & Construction Code of New York State
- Participation in the Clean Energy Communities Program-Please provide a summary of completed actions.

- Infrastructure Inventories and Resiliency Plans

3. Use of Funds: NYSERDA expects applicants to develop a plan and programs to support the impacts of adopting a zero on-site greenhouse gas emissions code with a portion or all the funds. The proposal must include detailed information on how the municipality intends to deploy the Pilot Program funds.

Plans should include information on the budget allocation for each program and if a match will be provided by the municipality and/or through a public-private partnership. In addition, municipalities should identify the program benefits to their disadvantaged communities and low-to moderate income individuals.

4. References: The proposal must include a summary of previous participation and implementation of grant funds. The summary should demonstrate effective, responsible, and successful management and implementation of state or federal grant programs. The proposal must list the Project Management team for the municipality and their role in those previous successful grant implementation examples. In addition, proposals must include the contact name and information of individuals and/or organizations that can directly speak to the municipality's history of responsiveness, timely reporting, and successful grant/program administration.

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, municipalities 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.

Category One

1. The municipality has demonstrated previous actions to address environmental and sustainability issues.
 - The applicant has a Climate Action Plan.
 - The applicant has a Climate Adaptation Plan.
 - The applicant has completed a Greenhouse Gas Inventory.
 - The applicant has participated in the Climate Smart Communities Program.
 - The applicant has adopted energy codes that are more stringent than the current Energy Conservation & Construction Code of New York State.
 - The applicant is a participant in the Clean Energy Communities Program.
 - The applicant has completed Infrastructure Inventories and Resiliency Plans.
2. The municipality experiences consistent commercial and residential development.
 - The applicant has demonstrated that historically there is frequent and a consistent amount of new construction occurring within their municipality.
 - The applicant has demonstrated that there are enough development projects in their planning pipeline, to result in consistent future development.
3. The municipalities demonstrated capabilities for responsible participation and implementation of other state and federal grant programs.
 - The applicant has demonstrated a history of successfully managing and implementing other State and/or Federal Grants.
 - The applicant has demonstrated a history of complying with other grant rules and regulations including mandatory reporting requirements.
 - The applicant has provided references of the program staff that have confirmed the information presented in the application.
4. The municipality meets the interim criteria for a disadvantaged community as defined by New York State (www.nyserda.ny.gov/ny/disadvantagedcommunities).
5. The municipalities overall plan to deploy Pilot Program funds.

- The applicant has demonstrated a complimentary use of the awarded funds to support the implementation of the all-electric code.
 - The applicant has provided a detailed budget for the use of the awarded funds.
 - The applicant has provided information on how the funds will benefit the disadvantaged communities and low-to moderate income individuals.
6. A showing of support and commitment from the municipality's community and business leaders.
- The applicant has submitted letters of support from businesses or membership organizations that indicate a knowledge and understanding of the Stretch to Zero Program and the commitment of the applicant to adopt an all-electric code.

Category Two

1. The municipality has demonstrated previous actions to address environmental and sustainability issues.
 - The applicant has a Climate Action Plan.
 - The applicant has a Climate Adaptation Plan.
 - The applicant has completed a Greenhouse Gas Inventory.
 - The applicant has participated in the Climate Smart Communities Program.
 - The applicant has adopted energy codes that are more stringent than the current Energy Conservation & Construction Code of New York State.
 - The applicant is a participant in the Clean Energy Communities Program.
 - The applicant has completed Infrastructure Inventories and Resiliency Plans.
2. The municipalities demonstrated capabilities for responsible participation and implementation of other state and federal grant programs.
 - The applicant has demonstrated a history of successfully managing and implementing other State and/or Federal Grants.
 - The applicant has demonstrated a history of complying with other grant rules and regulations including mandatory reporting requirements.
 - The applicant has provided references of the program staff that have confirmed the information presented in the application.
3. The municipality meets the interim criteria for a disadvantaged community as defined by New York State (www.nyscrda.ny.gov/ny/disadvantagedcommunities).
4. The municipalities overall plan to deploy Pilot Program funds.
 - The applicant has demonstrated a complimentary use of the awarded funds to support the implementation of the all-electric code.
 - The applicant has provided a detailed budget for the use of the awarded funds.
 - The applicant has provided information on how the funds will benefit the disadvantaged communities and low-to moderate income individuals.

As the goal of the Pilot Program is to provide or help municipalities develop the tools and best practices that can be deployed to assist with the future Statewide adoption of a zero on-site greenhouse gas emissions codes, NYSERDA seeks diverse geographic and population size from the participating municipalities. With that, NYSERDA reserves the right to accept or reject proposals in either Category based on the following factor(s):

- The population size and geographic location in relation to the overall proposal selection.
- The sector of projected future development (commercial/residential).

IV. 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 NYSEDA 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/NYSEDA-Regulations.ashx>. However, NYSEDA 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). 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). 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 multiple awards under this solicitation. NYSEDA anticipates a contract duration of 2 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 applicants in approximately 4 weeks from the receipt of the proposal 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 Elizabeth Staubach at (518) 862-1090, ext.3616, nystretch@nyserda.ny.gov or Anilla Cherian at (212) 971-5342, anilla.codes@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 - 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, 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 NYSEDA, 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 NYSEDA 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 NYSEDA employees. However, as a general rule and in accordance with New York Public Officers Law, former employees of NYSEDA may neither appear nor practice before NYSEDA, 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.

V. Attachments: Attachment A – Sample Agreement

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Radiation Protection Support Services for the State-Licensed Disposal Area and the Western New York Nuclear Service Center (WNYNSC)
Request for Proposal (RFP) 4864

NYSERDA reserves the right to extend and/or add funding to the Solicitation should other program funding sources become available.

Proposals Due: January 26, 2022 by 3:00 p.m. Eastern Time*

The New York State Energy Research and Development Authority (NYSERDA) seeks proposals from firms to perform Radiation Protection Support Services for NYSERDA's West Valley Site Management Program (WVSMP) at the State Licensed Disposal Area and parts of the Western New York Nuclear Service Center (WNYNSC) known as the Retained Premises near West Valley, New York. The primary objectives of this solicitation are to provide the expertise and equipment necessary to implement and support the radiation protection programs for the State Licensed Disposal Area and WNYNSC. To achieve these objectives, proposals should demonstrate the ability to provide the following services:

- Radiation Protection Instrumentation services
- Dosimetry services
- Radiation Protection Emergency Response Services
- Radiation Surveys in support of the State Licensed Disposal Area and the Retained Premises
- Radiation Protection On-Call Support Services for both the State Licensed Disposal Area and Retained Premises

See **Attachment A – Statement of Work.**

The term of the contract will be five years. The contract is expected to start on or about February 1, 2022.

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 Andrzejewski, P.E. – primary contact) (Designated Contact) at (716)942-9960, ext. 4319 or by e-mail Chris.RFP4864@nyserda.ny.gov or (Andrea Mellon – secondary Designated Contact) at (716) 942-9960, ext.4054 or by e-mail Andrea.RFP4864@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 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 offer, 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

A. Goals and Objectives

The New York State Energy Research and Development Authority (NYSERDA) is seeking proposals for Radiation Protection Program Support Services for the NYSERDA's WVSMP at the WNYNSC located near West Valley, New York, to include the State Licensed Disposal Area and RETAINED PREMISES. The objectives of this contract are to provide NYSERDA with the services, expertise, and materials needed to implement and support the WVSMP Radiation Protection Programs (RPPs) for the WNYNSC. Services will include radiation safety support for environmental monitoring, operations, maintenance, and management activities conducted in and around the State Licensed Disposal Area, and within the RETAINED PREMISES.

B. Background

On behalf of the people of New York State, NYSERDA holds title to the 3,331-acre Center, the site of the West Valley Demonstration Project (WVDP), and the State Licensed Disposal Area. The area designated as the WVDP, which is approximately 151 acres, is under the exclusive use and possession of the U.S. Department of Energy (DOE). The State Licensed Disposal Area and the RP are managed solely by NYSERDA for the protection of public health, safety and the environment. NYSERDA assumed management responsibility of the State Licensed Disposal Area in 1983. For radiation protection purposes, the State Licensed Disposal Area and the Retained Premises are managed under two separate programs (a New York State Department of Health Radioactive Materials License for the State Licensed Disposal Area and a Nuclear Regulatory Commission Part 50 Radioactive Materials License for the RP) to ensure the safety of the general public, the worker and the environment.

West Valley Demonstration Project (WVDP) - The WVDP is located adjacent to the State Licensed Disposal Area and within the 3,331-acre Center located primarily in the town of Ashford in northern Cattaraugus County. WVDP facilities occupy a security-fenced area of approximately 151 acres. The areas and facilities that became the WVDP were the site of the first commercial nuclear fuel reprocessing plant in the United States. The reprocessing plant operated from 1966 until 1972. In 1972, the reprocessing facility closed for expansion; however, due to regulatory and other issues, the site operator, Nuclear Fuel Services, notified NYSERDA that they would be discontinuing operation of the facility. In 1980, Congress passed Public Law-368 (WVDP Act) authorizing the DOE to take exclusive use and control of the WVDP to carry out the activities described in the WVDP Act. DOE is currently conducting activities at the WVDP related to completing the requirements of the WVDP Act.

STATE LICENSED DISPOSAL AREA General Description - The State Licensed Disposal Area occupies approximately 15 acres of the WNYNSC located immediately adjacent to the WVDP, and consists of 14 disposal trenches, three inactive filled lagoons, the State Licensed Disposal Area Waste Storage Facility (see Figure 1-1), and a geomembrane covering the trenches and adjacent lagoons. The two sets of disposal trenches (northern trenches [1 through 7] and the southern trenches [8 through 14]) contain approximately 2.4 million ft³ of packaged radioactive waste placed into the trenches between 1963 and 1975. The trenches were dug into the native silty-clay soil and then covered with an eight- to 10-foot thick-mounded cap of compacted clay with a drainage swale between adjacent trenches. In addition to the disposal trenches, two storage buildings, referred to as the T-1 and the Frac Tank buildings, are also present. The T-1 building is used for storage of equipment, materials, small quantities of low-level radioactive waste and other waste streams awaiting analysis for final disposition. The Frac Tank building is used for storage of maintenance materials and equipment for monitoring and maintenance of the State Licensed Disposal Area. During 1992 and 1995, the WVSMP installed a soil-bentonite subsurface barrier wall along the western side of Trench 14 to divert groundwater flow away from the south trenches (8 through 14) and covered the trenches with geomembrane covers to prevent water infiltration into the trenches and divert it toward the surrounding

stream systems. These measures have greatly reduced water accumulation in the waste disposal trenches, reducing the likelihood that any future pumping activities will be necessary.

Retained Premises General Description - The portion of the Retained Premises (see Figure 1-2) outside the WVDP fence is characterized by large open fields (currently in a transition state returning to forest) scattered among wooded acres. Buttermilk Creek runs south to north through the eastern half of the property, fed by many small streams and gullies located throughout the property. The boundary lines of the property are marked by a three-strand barbed wire fence around the perimeter with posted signs hanging from the fence at regular intervals. The terrain in this area is rough in some places with potentially dangerous heights. Also located on the property, just south of the WVDP, are two small reservoirs and a firing range that is occasionally used by WVDP Security personnel.

Near the eastern border of the Center, on Buttermilk Road, in a relatively undeveloped area of the Retained Premises, stands the Bulk Storage Warehouse (BSW). Previously called the Plutonium Storage Facility, the BSW was used in the late 1960s and early 1970s to store plutonium nitrate in a nitric acid solution that was recovered from fuel reprocessing activities at the Center. The BSW is currently unoccupied and does not contain any hazardous or radioactive wastes; however, radiation protection may be required when invasive work activities are conducted within the facility or surrounding area.

Posted segments of Erdman Brook and Frank's Creek contain radiological sediments from site discharges. Access to these areas is not authorized for routine work. Historically, low levels of radiological contamination have also been detected in the sediments of Buttermilk Creek with higher levels measured upstream into Frank's Creek, through the WVDP Fence, and upstream into Erdman Brook to the WVDP lagoon discharge points.

Figure 1-1

Plan View of the State Licensed Disposal Area

Source NYSERDA

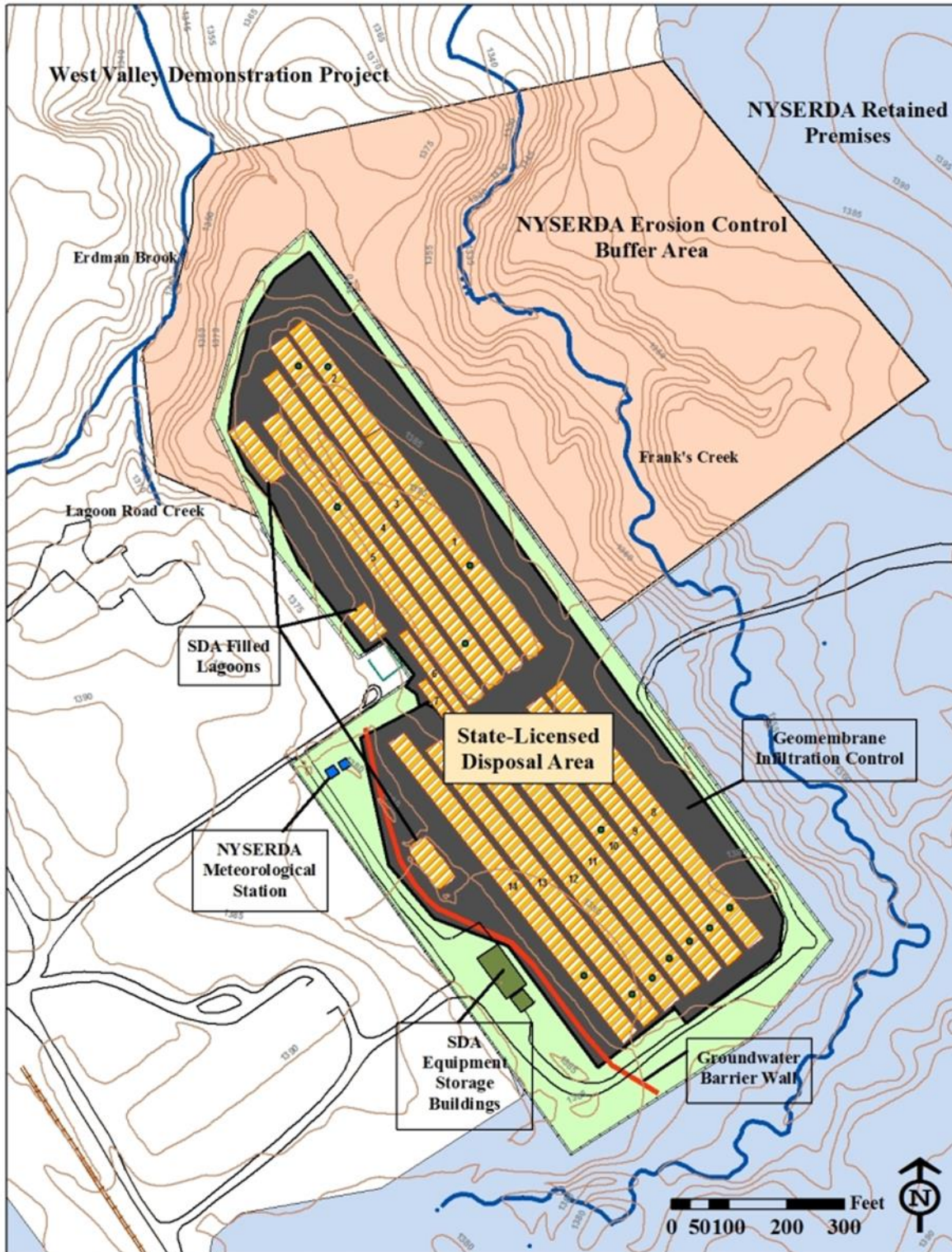
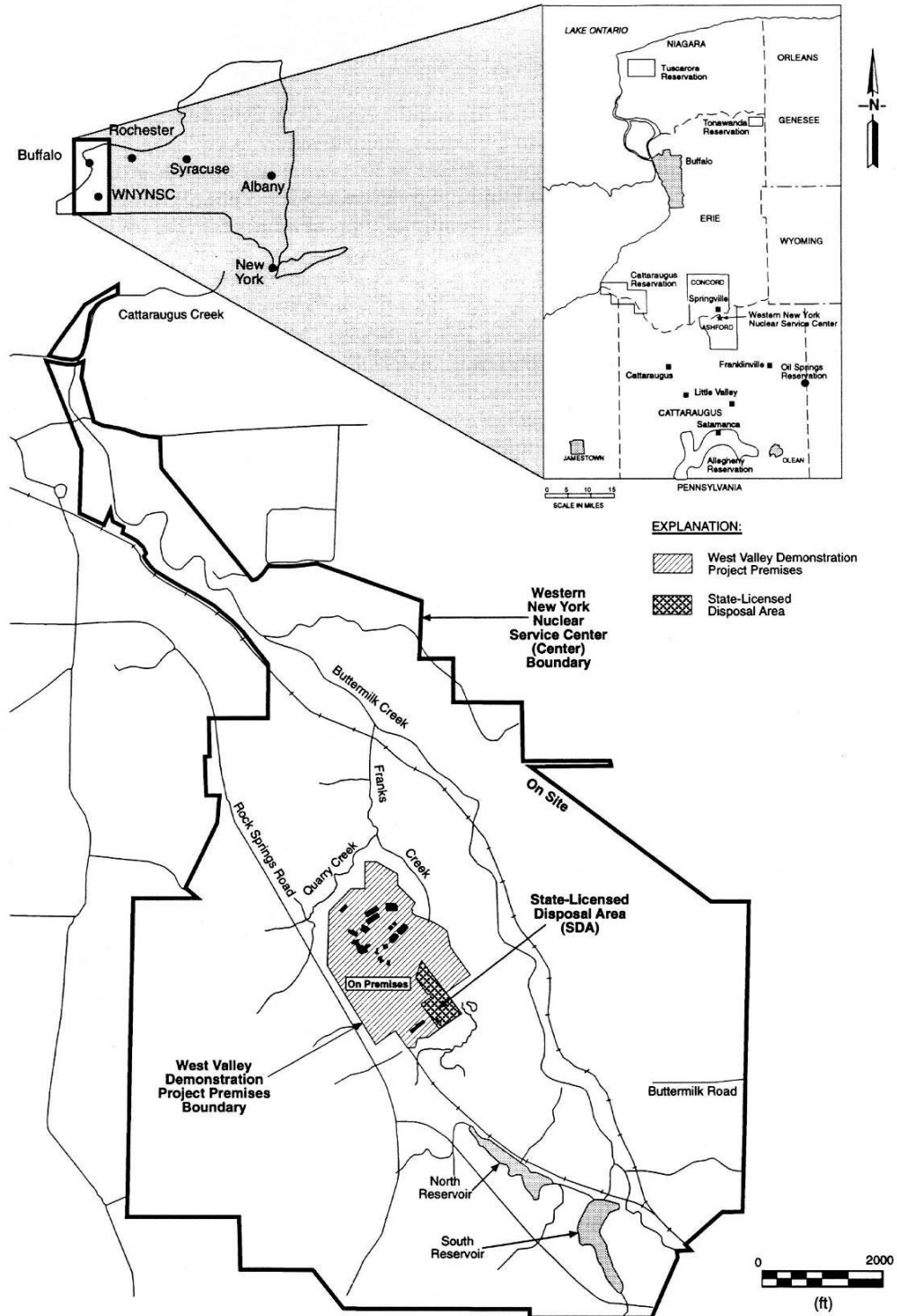


Figure 1-2

Site Map – Western New York Nuclear Service Center and Boundary of Retained Premises

Source NYSERDA



II. Program Requirements

A. Services Requested

NYSERDA seeks services as detailed in the attached Statement of Work (Attachment A). Work under this contract is expected to begin February 1, 2022 and continue through January 30, 2027.

B. Scope of Services to be Provided

NYSERDA seeks proposals from firms with relevant experience, trained and educated staff, equipment, and the infrastructure required to provide the radiation safety program support services detailed in this statement of work (SOW). The term of the contract will be for up to five years at NYSERDA's discretion. The contract is expected to start on or about February 1, 2022.

Examples of supervisory and professional support services that may be required include:

- Radioactive material license preparation.
- Radioactive work supervision and planning.
- Dose assessments and dosimetry program implementation.
- Fixed and field radiological instrumentation use and calibration.
- Procedure preparation.
- Radiological worker training.
- Air emissions assessments for tritium and other radioactive materials.
- Radioactive waste management.
- Emergency planning and response.

Typical field tasks will include:

- Setup of radiological work areas including postings, barriers, labeling, etc.
- Knowledge of As Low as Reasonably Achievable (ALARA) practices (e.g., engineering controls, use of Personal Protective Equipment [PPE], etc.).
- Supervising the use of PPE and dosimetry as directed by job-specific documentation.
- Work site monitoring/surveillance.
- Assignment and processing of bioassay and dosimetry, as directed by job-specific documentation.
- Global Positioning System enhanced gamma walkover surveys of portions of the SDA or Retained Premises.
- Monitoring for gross alpha, gross beta and tritium activity during excavation/grading, site characterization, sump or emission point work or radiological liquid management activities.
- Contamination evaluation and control with emphasis on tritium experience (e.g., smears, large area wipes, fixatives, postings, ventilation, use of PPE, etc.).
- Frisking; personnel and equipment.
- Instrumentation use, (i.e., Geiger Mueller counter [GM], tritium monitors, ratemeters, scalers, tissue-equivalent microrem meters, scintillation detectors, familiarity with laboratory proportional, gamma spectroscopy, and liquid scintillation instrumentation is also desirable), field calibration and documentation.
- Decontamination activities/methods.
- Investigation of abnormal events (e.g., contamination survey planning, setup and mobilization).
- Waste handling, packaging, labeling and staging for later disposition.
- Monitoring for compliance with Department of Transportation (DOT) shipping regulations.

The activities outlined in the SOW shall be performed in accordance with **Attachment D, Safety, Training, and Handling of Chemicals and Waste** and all other applicable plans and procedures listed in **Attachment E –List of Applicable Plans and Procedures and NYSDOH RML**

The contractor shall place and manage subcontracts as needed to complete the activities included in task work order requests. The contractor will provide Hazardous Waste Operations (HAZWOPER) qualified workers (including subcontractors) as necessary to perform work involving potential exposure to STATE LICENSED DISPOSAL AREA trench leachate. All other health and safety training required by the WVSMP (Radiation Worker I or II, General Employee Training, NYSERDA Site Specific) will be provided, but must be coordinated through the cognizant NYSERDA Project Manager, who shall be identified to the Contractor at the beginning of the contract.

C. Proposer Qualifications

Qualifying Experience for Radiological Control Technicians (RCT) and Supervisors (RCS)

The WVSMP requires that RCS and RCTs be qualified through experience and training to perform radiological assessments and fieldwork in support of the WVSMP RPP.

The proposal shall include the following proof of qualifications for personnel:

- Radiological Control Managers certified by the American Board of Health Physics with current certification as a Certified Health Physicist and 40-hour HAZWOPER (or eight-hour annual refresher training, as applicable).
- Radiological Control Supervisors certified by the National Registry of Radiation Protection Technologist (NRRPT) or documented qualifications that are in compliance with Department of Energy Standard DOE-STD-1107-97 *Knowledge, Skills, and Abilities for Key Radiation Protection Positions at DOE Facilities*. Plus, a minimum of two years' experience in environmental radiological monitoring or remediation, experience with monitoring for tritium and 40-hour HAZWOPER (or eight-hour annual refresher training, as applicable).
- Radiation Control Technicians certified by the NRRPT or documented qualifications that are in compliance with DOE-STD-1107-97 *Knowledge, Skills, and Abilities for Key Radiation Protection Positions at DOE Facilities*. Plus, a minimum of two years' experience in environmental radiological monitoring or remediation, experience with monitoring for tritium and 40-hour HAZWOPER (or eight-hour annual refresher training, as applicable).

D. Division of Responsibilities

NYSERDA shall provide the following:

- Site-specific and radiation training for all contractor employees to allow unescorted access to SDA and/or Retained Premises.

The Contractor shall provide the following:

- Appropriately trained RCS and RCT personnel with 40-Hour Hazardous Waste Operator and Site-Specific trained personnel for all on-site field work.
- Personnel experienced in the scope of work listed in the SOW.

III. Proposal Requirements

A. Proposal Content

The Proposer will be required to list hourly rates and markups (multipliers) for key personnel assigned to this contract. The proposal must identify how the contractor will provide all the required services (i.e., specialized sub-contractors).

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. A complete response to this Request for Proposals shall include

two parts:

Part I - Technical and Management:

- Background/Objectives (one-page maximum)
- Services to be provided (four-page maximum)
- Management Plan (four-page maximum)
- Current Qualifications Statement that clearly presents the proposer's education, training and experience relevant to the Statement of Work
- Plan for meeting the contract participation goals for minority and women-owned business enterprises in Attachment H (one-page maximum)
- Letters of commitment from all team members or sub-contractors (if applicable)

Part II - Cost and Disclosures:

- Cost proposal including hourly rates and any other applicable costs or rates included should be identified in **Attachment F - Contracts Pricing Proposal Form**

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). 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). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf> .

B. Proposal Evaluation Criteria

Proposals that meet the aforementioned requirements will be reviewed by a Scoring Committee using the following Evaluation Criteria:

1. Technical and Management Criteria:

- Quality and depth of the resources and support systems necessary to perform services.
- Qualifications of the firm including the educational background, training and experience of key personnel. Key personnel include field, technical, and supervisory and/or project management staff.
- Ability to provide the necessary resources to conduct high quality work in a timely manner.
- Breadth of prior and current experience in providing radiation support services.
- Approach to provide the required services.

2. Cost Criteria:

- The reasonableness of the hourly rates proposed.
- A comparison of all proposers' costs and fees.

Diversity Practices.

IV. Proposal Evaluation

Proposals that meet solicitation requirements will be reviewed by a Scoring Committee using the Evaluation Criteria listed above in order of importance. At NYSERDA's discretion, proposers may be requested to interview with all or part of the Scoring Committee, or provide additional information, to address any potential questions or clarifications outlined in the proposals. Proposers will be notified if they are requested to attend an interview.

Program Policy Factors:

NYSERDA reserves the right to accept or reject proposals based on the following factor(s):

- The degree to which pricing and hourly rates are in line with the rest of the market
- Geographic location which may impact emergency response time

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

Diversity Practices - NYSERDA has determined, pursuant to New York State Executive Law Article 15-

A, that the assessment of the diversity practice of respondents to this procurement is practical, feasible, and appropriate. Accordingly, respondents to this procurement shall be required to include as part of their response, as described in Section III herein, **Attachment G - Diversity Practices Questionnaire**.

New York Executive Law Article 15-A - NYSEDA 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 NYSEDA contracts. The MWBE participation goals and obligations of the selected Contractor are set forth in the Sample Agreement and **Attachment H – MWBE (Article 15)**.

New York State Executive Law Article 17-B, NYSEDA 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 NYSEDA contracts. Executive Law Article 17-B and its associated regulations require, among other things, that NYSEDA 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 and **Attachment I – SDVOB (Article 17)**.

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). 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). 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. 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 all proposers in approximately six weeks from the proposal due date whether or not 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 - 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 [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.

VI. Attachments:

Attachment A – Statement of Work

Attachment B – Instructions for Submitting Electronic Proposals

Attachment C - Sample Agreement including Exhibit A (template statement of work) and MWBE SDVOB language

Attachment D – Safety Training and Handling of Chemicals and Waste

Attachment E –Applicable Plans and Procedures list and NYSDOH RML

Attachment F – Contract Proposal Pricing Form

Attachment G – [Diversity Practices Questionnaire](#)

Attachment H – [MWBE \(Article 15\) Provisions for Solicitation Documents](#)

Attachment I – [SDVOB \(Article 17\) SDVOB Solicitation Documents](#)



Building Better Homes
Emissions Free and Healthier Communities
Market Capacity Building

Request for Proposals (RFP) 4875

5,000,000.00

NYSERDA reserves the right to extend and/or add funding to the Solicitation should other program funding sources become available.

Applications accepted continuously through December 31, 2023 by 3:00 PM Eastern Time*

New York State Energy Research and Development Authority (NYSERDA) is accepting Applications from firms to become approved Partners for Building Better Homes – Emissions Free and Healthier Communities Program (the “Program”). Home builders and developers that become Better Building Homes Partners (Partners) in the program will be eligible to receive funding to design, market and build carbon neutral homes. NYSEDA seeks firms capable of delivering energy-efficient, all-electric new homes to reduce overall greenhouse gas emissions and provide healthy living environments. Building Better Homes Partners will offer carbon neutral new homes as a part of their sales portfolio to prospective home buyers. Approved Partners will execute two-year agreements with NYSEDA, with up to two (2) two-year options to renew at NYSEDA’s discretion, or until all funds have been committed or Program goals have been met, whichever comes first. All Agreements will end no later than two years following the close of the RFP or when all work assigned under the Agreement has been completed, whichever occurs first.

Home Builders Associations and Trade Groups may also apply under this solicitation to become a Partner to offer approved professional training and certification classes to approved Partners.

NYSERDA offers the following benefits to approved Building Better Homes Partners:

- Carbon Neutral Home Design or Redesign Support;
- Professional Consultation Services Support;
- Carbon Neutral Marketing Support;
- Carbon Neutral Model Home Incentive;
- Publicity through NYSEDA’s website at www.nyserda.ny.gov.

Applicants will be required to provide information related to firm demographics, experience and production levels. Building Better Homes Partners approved via this solicitation will be eligible to access existing new home incentives, and future competitive award programs. Additionally, approved Partners will submit annual reports to the Program on carbon neutral home construction.

For the purposes of this Program, Carbon Neutral performance is defined as energy-efficient, all-electric new homes, that have no fossil fuels on site.

Application Submission: Applicants may submit an online Building Better Homes Partner Application via <https://nyserda.seamlessdocs.com/f/BetterHomes>

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 Lori Borowiak (Designated Contact) at (518) 862-1090, ext. 3004 or by e-mail LoriNCI@nyserdera.ny.gov or Matt Brown (Designated Contact) at (518) 862-1090, ext. 3336 or by e-mail MattNC@nyserdera.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 VeniceSolicitaion@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 applications must be received by 3pm 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 completed/included in the application. 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 applications. The online application 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 the "Current Opportunities" section of NYSERDA's website (<https://www.nyserdera.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

I. Introduction

The goal of this solicitation is to expand the market capacity of Partners to build new carbon neutral market rate single-family homes. NYSERDA seeks to provide Partners with the funding and expertise they need to achieve a significant increase to producing high-quality all-electric new construction homes at high quality and lower cost. Building Better Homes Partners will be able to access several support options to build and sell their carbon neutral homes.

Approved Partners may access one or multiple of the following incentive and support categories up to \$250,000.00 per two-year agreement. Selection through this RFP serves as a pre-condition for eligibility to receive NYSERDA Building Better Homes - Emissions Free and Healthier Communities Task Work Orders and incentive payments. One Task Work Order will be executed for each support category requested.

- Carbon Neutral Design or Redesign Support;
- Professional Consultation Services Support;
- Carbon Neutral Marketing Support;
- Carbon Neutral Model Home Incentive;

Additionally, NYSERDA approved Partners will receive publicity through NYSERDA's program promotions including social media, listing on NYSERDA's website at www.nyserdera.ny.gov, as well as other program marketing campaigns.

Applicants are encouraged to familiarize themselves with the requirements and procedures of NYSERDA's current New Construction initiative, however participation in this program is not required:

- PON 4337 –New Construction Housing Program

NYSERDA intends to issue additional competitive single-family initiatives over the coming years, and firms approved under this solicitation may be eligible to participate in those initiatives.

II. Support and Incentive Categories

NYSERDA will issue an umbrella contract agreement to approved Partners, and Task Work Order Agreements in the following Support and Incentive Categories listed below. Details on specific program rules, deliverables and

reporting requirements will be provided in those contracting documents. Template documents are available as attachments to this RFP.

A. Carbon Neutral Design and Redesign Support

Building Better Homes Partners who maintain production home designs may access up to \$20,000 (up to 100% reimbursement) to design a new home or redesign an existing home design to achieve carbon neutral performance. A carbon neutral home is an energy-efficient, all electric home that meets the New York Stretch Code 2020 requirements, and provides a healthy indoor living environment. To be eligible, the Building Better Homes Partner must confirm this home design is intended for use as a production model, as opposed to a custom home. Redesign of existing home designs may include decarbonization and cost reduction goals for the proposed design work.

If the home will be designed to achieve certification from one of the standards including but not limited to those listed below, the Building Better Homes Partner may qualify for an additional \$5,000 per home design.

- PHIUS (Prescriptive, CORE or ZERO)
- Passive House Institute Certified (Classic, Plus or Premium)
- Department of Energy Zero Energy Ready Home Rev6
- Living Buildings Challenge 4.0 (Living, Zero Energy, Zero Carbon, Energy Petal or Core Green Building)

B. Professional Consultation Services

This support category is for Building Better Homes Partners to access consultation, training and other support to increase understanding and knowledge of decarbonized construction practices and technical solutions. Services delivered must help improve the Partner's, or its subcontractor's (as applicable), capacity to deliver carbon neutral solutions in new home construction. At NYSERDA's sole discretion, limited technical support may be requested and approved to solve technical challenges for a particular home design that does not rise to a full redesign (see category A above). NYSERDA will reimburse up to 100% of the costs (up to \$100,000) associated with approved professional consultation services. Examples may include Passive House Training for all company staff, Professional Certifications for the standards listed in Category A, or on-site construction management consultation services (subject to pre-approval).

C. Carbon Neutral Marketing Support

Building Better Homes Partners that have made a public commitment to building carbon neutral homes are encouraged to market themselves as a Building Better Homes Partner and their carbon neutral homes organically within their own outreach and marketing campaigns. Partners must submit a marketing plan and budget for six months to one year of promotions for eligible costs including but not limited to materials, subcontractor costs, printing and advertising fees, for review and approval by NYSERDA. Only marketing efforts that include messaging consistent with Building Better Homes or carbon neutral home construction will be eligible. Upon approval of the marketing plan and budget, NYSERDA will enter into a Task Work Order agreement to reimburse up to 50% of marketing costs as incurred.

D. Carbon Neutral Model Home Incentives

A Model Home can be a useful sales tool in a new development to show prospective home buyers the quality construction they can expect from the home builder. NYSERDA will pay an incentive up to \$12,500 per model home, to Building Better Homes Partners to build a Model Home that achieves carbon neutral performance. The Model Home is expected to be in operation for at least one year, if sold the builder may substitute another address that meets program performance for the remainder of the committed time. NYSERDA may conduct performance validation on the home through utility bill analysis to provide the builder with unbiased data on the home's performance to validate the use of all-electric systems. Qualified homes built for a Showcase of Homes, special event which includes significant regional marketing, may qualify for a waiver of the 1-year operation requirement.

1. Model Homes designed to be highly energy efficient and all-electric: \$6,000
 - a. NY Stretch Code 2020 Efficiency required
2. Model Homes built to PHIUS CORE Prescriptive 2021 Path, certification not required: \$8,000

- a. <https://www.phius.org/phi-us-certification-for-buildings-products/project-certification/phi-us-2021-emissions-down-scale-up>
3. Model Homes built to be highly energy efficient, all-electric, and certified to at least one of the following standards including, but not limited to: \$12,500
 - PHIUS (CORE Prescriptive or Performance Path or ZERO)
 - Passive House Institute Certified (Classic, Plus or Premium)
 - Department of Energy Zero Energy Ready Home Rev6
 - Living Buildings Challenge 4.0 (Living, Zero Energy, Zero Carbon, Energy Petal or Core Green Building)

E. NYSERDA Website Listing

Approved firms will be listed on NYSERDA's website in the *Building Better Homes: Emissions Free and Healthier Communities* Partner Home Builders and Developers. Additionally, this network or individual Partners may be promoted through NYSERDA's marketing, communications, and social media campaigns.

III. Eligibility Requirements

Applicant eligibility under this solicitation will be determined by the firm's experience. At a minimum, applicants must demonstrate the following:

- 1) Evidence that the builder or developers is actively building Single Family Homes in New York State
 - Participation in NYSERDA's New Construction Housing program within the last twelve months
 - Building Permits dated within the last twelve months
 - Executed Contract with a home buyer dated within the last twelve months
- 2) Public Commitment to build Carbon Neutral Homes – required for access to Marketing incentives
- 3) Building homes within the Systems Benefit Charge Territory

IV. Application Process

Applications may be submitted as described on page 1 of this solicitation. Online submission is preferable, via NYSERDA's online portal: <https://nyserda.seamlessdocs.com/f/BetterHomes>

Applicants are invited to document their skills, expertise, and qualifications in building highly energy efficient, carbon neutral, and net zero energy homes. Prior experience is not required, but may be solicited in program marketing materials. Applicants are permitted to team with subcontractors who may also benefit from program services.

The Application package consists of the following:

- Online submission of **company information**, including primary contact and regions served;
- Online submission of building experience including but not limited to number of homes built annually, number of carbon neutral homes built to date, average home price range of homes sold in the past one to two years;
- Review and agreement with, or proposed modifications to, solicitation **Sample Agreement (Attachment A)**;
- **Disclosure** of past bankruptcy or felony conviction and Prior Findings of Non-Responsibility, and e-signature certification

Applications will be reviewed in the order that they are received. Applicants will be notified of acceptance or rejections within four (4) weeks after a complete application is received. Any clarification required by NYSERDA review staff will be communicated to the applicant via written comments. Applicants will be required to respond to comments in a timely fashion. If there is a significant delay in Applicant's response to NYSERDA comments, NYSERDA reserves the right to disqualify or disapprove the application.

Firms whose applications are rejected may request a de-briefing and may reapply. Firms whose applications are rejected twice may not reapply until 12 months after the initial application date.

V. **Approved Building Better Homes Partner Responsibilities**

Approved Partners will enter into a standard two-year NYSERDA contract Agreement with a Statement of Work, with up to two (2) two-year options to renew at NYSERDA's discretion, or until all funds have been committed or program goals have been met, whichever comes first. All Agreements will end no later than two years following the close of the RFP or when all work assigned under the Agreement has been completed. Work conducted under the Agreement will be assigned by NYSERDA via a project-specific Task Work Order (TWO).

Upon contract execution, approved Partners will be required to undergo training on how to successfully usher a project through the Task Work Order process. NYSERDA may facilitate regular training sessions to keep approved Partners up to date with New Construction Initiatives. Approved firms will be listed on NYSERDA's website and may be contacted by the public looking to build a healthier carbon neutral home.

At the end of each contract period, each Partner will be evaluated based on the performance criteria in this RFP, and NYSERDA will determine whether to exercise an option to extend the Agreement for an additional term.

Approved Partners are responsible for:

- A. Promoting the construction and sale of Single Family Carbon Neutral Homes, as defined by this RFP;
- B. Abiding by the Terms and Conditions in this RFP;
- C. Completing Annual Reporting;
- D. Keeping up to date with NYSERDA's New Construction Initiatives;
- E. Fully cooperating in any NYSERDA investigation of a possible violation of these rules. Failure to comply may result in the approved Partner losing its approved status. Becoming an approved Building Better Homes Partner is completely voluntary and NYSERDA can remove a firm from the list at any time for any reason. NYSERDA may revoke a firm's status and remove them from NYSERDA's website if the firm does not meet all Initiative requirements. Partners may also request to be removed from the Building Better Homes Partner list.

VI. **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). 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). 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 applicants 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. 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.

VII: ATTACHMENTS FOR REFERENCE

Attachment A – Sample Agreement

Attachment B – Sample Task Work Order: Carbon Neutral Design or Redesign Support

Attachment C – Sample Task Work Order: Professional Consultation Services

Attachment D – Sample Task Work Order: Carbon Neutral Marketing Support

Attachment E – Sample Task Work Order: Carbon Neutral Model Home Incentive



Residential Systems Implementation Partner
Request for Proposal (RFP) 4886

NYSERDA reserves the right to extend and/or add funding to the Solicitation should other program funding sources become available.

Proposals Due: February 2, 2022 by 3:00 PM Eastern Time*

Program Summary: The New York State Energy Research and Development Authority (NYSERDA) is seeking proposals for a systems integrator and partner to design, scope, build and implement a Residential Market Engagement System (RMES) to support energy efficiency services and the transition to clean energy for one-to-four family residential existing homes in New York State. The objective of this RFP is to award a contract for a solutions partner/systems integrator to deliver both an immediate solution to support programs aligned with the Clean Energy Fund, New Efficiency New York and an expanded solution to support programs and initiatives aligned with the Climate Leadership and Community Protection Act (Climate Act). The solution must be a flexible and extensible program management and market engagement platform capable of supporting multiple stakeholders, initially including program administration staff and vendors, contractors, customers, outreach organizations, and program funding agencies; with potential to expand to include utilities, retailers, lending/loan servicing institutions, and others in a manner that is both collaborative and seamless in helping NY homeowners achieve desired outcomes on their path toward energy efficiency and a decarbonized future.

Proposal Submission: Online submission is preferable. PLEASE COMBINE ALL DOCUMENTS INTO ONE SINGLE PDF FOR ONE SINGLE UPLOAD TO SALESFORCE. There is only one slot for upload – if you upload documents individually, you will overwrite each document. 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.nyscrda.ny.gov/Funding-Opportunities/CurrentFunding-Opportunities.aspx) [PDF]” located in the “Current Opportunities” section of NYSERDA’s website (<https://www.nyscrda.ny.gov/Funding-Opportunities/CurrentFunding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted except by contacting Kim Schryer – (Primary Designated Contact) at (518) 862-1090, ext.3410 or Sherri Calabrese – (Secondary Designated Contact) at (518) 862-1090, ext.3067 or Glen Kaatz – (NYSERDA Information Technology Contact) at (518)-862-1090 x 3203. All may be reached by e-mail at: RFP4886@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. 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>).

Pre-bid Information

Intent to Propose: Proposers must submit a completed Intent to Propose form (Attachment A) to NYSERDA by January 12, 2022. Failure to submit a completed Intent to Propose form will disqualify a Proposer’s proposal from consideration.

Clearinghouse for Subcontracting Teaming Relationships and Partners: 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 for organizations to express their interest in teaming on a proposal.
<https://www.nyserda.ny.gov/ny/RFP4886/Clearinghouse-List>

Organizations can use the Clearinghouse to identify their interest in teaming to deliver required services. Signing up on the Clearinghouse is not a requirement and is offered solely as a resource to Proposers to help identify potential subcontracting teaming arrangements or partners. Participation in, or 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. Organizations interested in being listed in the Clearinghouse for a potential partnership or teaming arrangement, must submit a [Statement of Interest Form](#) outlining the services they provide. NYSERDA will accept Statement of Interest submittals for posting on the Clearinghouse until January 12, 2022. The Clearinghouse webpage will be updated regularly during that timeframe. Completing the Statement of Interest form does not guarantee an award or selection as part of a proposing team under this solicitation.

MWBE/SDVOB Requirements

Please note this solicitation contains goals to meet Minority and Women-Owned Business Enterprise (MWBE) and Service Disabled Veteran-Owned Business (SDVOB) participation, specifically for the implementation and development tasks.

As part of the budget, proposers are required to identify what amount of the budget is for software and what amount is non-software (implementation, development and equipment). The non-software budget will require the following goals: 15% MBE/15% WBE/6% SDVOB, or any combination thereof.

MWBE and SDVOB Forms are included in Attachment D – Sample Agreement to this solicitation as Exhibits F and G, respectively.

Introduction

The New York State Energy Research and Development Authority (NYSERDA) is seeking proposals to engage a technology partner with residential energy efficiency program operations and systems integration experience to develop and deploy the Residential Market Engagement System (RMES) to immediately support the implementation of our low- and moderate-income programs, EmPower NY and Assisted Home Performance with ENERGY STAR, and our statewide market rate Residential Energy Audit Program. RMES must have the capability to expand to support program design enhancements, future market-wide clean energy initiatives, innovative programs, and expanding partnerships with state agencies, utilities, and other supply chain partners.

This investment will support NYSERDA's long term goal to significantly expand our reach by to 4.9 million residential homeowners by 2050, aiming for a pace of 200,000 homes or more impacted per year by 2030. This level of scale is approximately 10 times the highest annual levels achieved to date under New York's Clean Energy Fund programming. To meet these aggressive goals, NYSERDA needs to put the customer at the center, creating multiple access points to engage the residential customer across a wide range of consumer actions and transactions related to their home's energy use and performance. RMES will enable NYSERDA to leverage opportunities to engage with those consumers over time to help them reach their clean energy goals by connecting them with current incentive offers and installer networks. At the same time, it will be important that the data management, customer engagement, and reporting systems are integrated to allow for tracking across multiple programs while maintaining sufficient flexibility to support evolving program designs, limited time offers and pilots, and expanding partnerships and co-funding with NYSERDA's sister agencies and the utilities.

RMES Strategy: Expanding Program Influence and Meeting Statewide Policy Objectives

The success and value of the RMES directly depends on its use as a single point of engagement for consumers and other program and market stakeholder end-users to view, monitor, and manage residential clean energy projects. It must establish a uniform experience

for customers across all income segments, support multiple consumer points of entry to leverage a variety of consumer energy-related transactions as potential acquisition points, and offer a fully digitized, integrated, and portable system (i.e. can receive data via a variety of wired and mobile devices) with capability for real-time data acquisition and analysis.

The RMES must provide opportunities for innovation by allowing for additional new acquisition points (e.g. retail, DIY) and other strategies being developed for product and equipment manufacturers and distributors to promote clean energy services to their contractor networks. Additionally, NYSERDA anticipates our statewide program offers to evolve dramatically over the next several years, so the system must be sufficiently adaptable and partner support must be available to actively add or adjust programs/pilots/measures on-demand with predictable timelines and costs. The RMES must serve as a customer-centric solution that meets customers where they are, helps them develop improvement plans for their homes, assists in connecting them with appropriate program offers and installer resources, and puts them on a path toward decarbonization at their own pace.

Glossary

- **Assisted Home Performance with ENERGY STAR (AHPwES):** The moderate-income component (serving households whose income is up to 120% of the Area Median Income, however the income eligibility limit may be revised at NYSERDA discretion) providing cost-sharing for approved electric reduction and home performance upgrades that are chosen by the homeowner.
- **Electronic Data Interchange (EDI):** A data standard for transferring data between systems. For the purposes of this RFP, this specifically refers to the transfer of metered electricity and natural gas consumption data of consenting Program Participants from utilities to NYSERDA.
- **EmPower New York (EmPower NY):** The low-income program component (serving households whose income is less than 60% of the State Median Income) providing no-cost and low-cost electric reduction and home performance upgrades. In-home energy-use education provides customers with additional strategies for managing energy costs.
- **Energy Modeling Software:** Energy-modeling software providing computerized simulation of a building's energy performance that focuses on energy consumption, utility bills and costs and performance of various energy related upgrades such as insulation, air sealing, heating system, hot water systems, and appliances. NYSERDA has approved the following energy modeling software for Program use and may add additional approved tools in the future: OptiMizer, SnuggPro, TREAT and NYSERDA's EmPCalc spreadsheet tool used for EmPower NY projects.
- **Green Button Connect ("GBC"):** A data standard that allows for machine-to-machine exchange of Customer energy usage data hereunder, and future versions of which will provide additional Customer information. More information can be found at: <https://www.greenbuttondata.org/>

- **The Home Performance Extensible Markup Language (HPXML):** An open data standard created to support the home performance industry by facilitating communication and the exchange of information and data on residential building and energy performance. More information can be found at: <http://www.hpxmlonline.com>.
- **Participating Contractors:** Contractors with an active Participation Agreement with NYSERDA to provide residential energy efficiency services through the Program. There are approximately 230 contractors currently participating in the Program.
- **Program Implementer:** Organizations under contract with NYSERDA to provide administrative and implementation services to the Program, including application processing, technical work scope review, and loan processing.
- **Program Manager:** The entity responsible for organizing and administering RMES solution design, development and implementation.
- **Program Participants:** A customer, defined as an owner or renter of one-to-four family homes in New York State that has applied to or is participating in the Program.
- **Program Partners:** Other organizations under contract with NYSERDA or working in collaboration with NYSERDA to provide energy efficiency support services, such as outreach organizations or utilities.
- **RMES Core:** Any and all components of the proposed RMES architecture used to fulfill the requirements of this solicitation, including any and all data, logic and presentation tier architecture. The RMES core does not include internal, NYSERDA or utility-owned systems that may be utilized to store, generate, or expose Program or utility data leveraged by the RMES or that otherwise enable or contribute to the RMES functionality.
- **Reforming the Energy Vision (REV):** New York State's comprehensive energy strategy. For additional information and background, please refer to: <https://rev.ny.gov/>
- **Residential Energy Audit Program (RES EA):** The Green Jobs Green New York (GJGNY) legislation orders no cost home energy audit to assess energy usage and make recommendations for energy efficiency improvements. The RES EA may be first step in accessing Residential Financing.
- **Residential Financing:** Program Participants meeting the current underwriting guidelines may access NYSERDA's Residential Financing for eligible services. Available interest rates for eligible applicants range from 3.49% to 7.49% depending on income level, credit status, and upgrades installed. Additional information on the existing Programs and financing options can be found on NYSERDA's website www.nyserda.ny.gov/residential.
- **Solution Architect:** The entity responsible for identifying and describing system requirements, and an architectural design for the RMES.

- **System Operator:** The entity responsible for the testing, commissioning, management, and support of the RMES.
- **Utility Partners:** Investor-owned utilities in New York State.

Program Requirements

Background

NYSERDA is a public benefit corporation established pursuant to Title 9 of Article 8 of the Public Authorities Law of the State of New York (State). NYSERDA's principal mission is to develop innovative solutions to some of the State's most difficult energy and environmental problems. The following legislation and directives serve as framework for the proposed work to support the residential sector:

- **Green Jobs Green New York Act of 2009** establishes NYSERDA as the administrative authority responsible for providing free home energy assessments to homeowners statewide and enables the implementation of a loan fund supporting both unsecured and on-bill financing options for homeowners making energy improvements to their homes.
- **New Efficiency: New York** sets New York on a path to accelerate energy efficiency and reduce greenhouse gas emissions, decrease consumer energy costs, and create job opportunities. Efficiency improvements will enable New York to meet an ambitious target of 185 trillion Btus (British thermal units) of end-use energy savings below the 2025 energy-use forecast, equivalent to saving the energy consumed by 1.8 million New York homes. By meeting this 2025 energy efficiency target, New York will deliver nearly one-third of its greenhouse gas emissions goal of a 40% reduction by 2030. Another priority is ensuring a substantial portion of new activities in energy efficiency benefit New Yorkers with low-to-moderate incomes. To help build the workforce for this rapidly growing industry, NYSERDA is committing an additional \$36.5 million to train over 19,500 New Yorkers for clean energy jobs. As part of this initiative, New York's utilities are called upon to achieve significantly more, in both scale and innovation, in their energy efficiency activities. The New York State Public Service Commission's (PSC) December 2018 Order adopts significantly accelerated utility energy efficiency targets, which will double utility energy efficiency achievement over 2019 to 2025, including a subsidiary goal for energy savings from the installation of heat pumps. The PSD action further requires that a minimum of 20% of the additional public investment in energy efficiency be dedicated to the low-to-moderate income sector.
- **Climate Leadership and Community Protection Act (Climate Act)**, this legislation was signed by Governor Andrew M. Cuomo in June 2019 to eliminate 100% of the climate pollution caused by humans, calling for an 85% reduction in greenhouse gas emissions by 2050, with an interim target of 40% by 2030.

- The New York State Public Service Commission’s (PSC) **Order Authorizing the Clean Energy Fund (CEF) Framework** (Case 14-M-0094) was issued January 21, 2016, and in support of the Resource Acquisition Transition Chapter of the Clean Energy Fund Investment Plan revised February 22, 2016, NYSERDA began operating under these guidelines as of March 1, 2016. A revised Plan was submitted on June 23, 2017.
- The approved CEF investment plans include NYSERDA’s NY Residential Existing Homes Programs outlining services for Low-to-Moderate Income (LMI) households. These programs include Assisted Home Performance with ENERGY STAR® and EmPower New York under the umbrella term the NY Residential Existing Homes Program (the Program). NYSERDA intends to merge the administration of Assisted Home Performance with ENERGY STAR and EmPower New York into a single offering (EmPower+) to provide a more seamless experience for customers and contractors. References to “the EmPower+ Program” in this RFP refer to the combined Assisted Home Performance with ENERGY STAR and EmPower New York programs.

This RFP addresses the program management needs of the current EmPower and Assisted Home Performance with ENERGY STAR programs, a newly merged workflow for these programs now referred to as the EmPower+ Program, the Residential Energy Audit Program as well as future, related residential energy efficiency programs. The RMES is a key component of the administrative function of the EmPower+ Program designed to: reduce energy use burden (percentage of the household income spent on energy bills); improve the health, safety and comfort of homes; capture heating fuel and electricity-related consumption savings; and provide incentives that address the up-front cost barrier for low-to moderate- income customers. These programs receive co-funding from at least 10 different agencies and utilities statewide. Energy efficiency services under these programs are delivered by a network of more than 200 Participating Contractors.

RMES Project Objectives

The goal for the RMES is to support energy efficiency services and the transition to clean energy for one-to-four family residential existing homes in New York State. This will include the replacement of disparate program-specific systems currently used to track projects and workflow.

Upon completion of all phases, NYSERDA expects this project to achieve the following objectives:

- Provide a cost effective, secure and accessible management platform solution.

- Streamline business processes around standard operations and common workflows with minimal manual processes.
- Integrate contacts and customers with project information and financial transactions.
- Provide a flexible configuration to meet new and changing business requirements, including new programs and short duration pilots.
- Improve data quality through point-of-entry controls and systems integration.
- Enhance reporting capabilities, accuracy and improve accessibility for all end user types.
- Create a solution that will enable ease of communication and data sharing with external organizations as driven by business and policy needs.
- Establish a single point of reference for consumers and other program and market stakeholder end-users to view, monitor, and manage residential clean energy projects
- Support multiple consumer points of entry to leverage multiple consumer energy-related transactions as potential acquisition points
- Provide a fully digitized, integrated, and portable system and user experience
- Enable real-time data acquisition with an interface that is mobile-device friendly
- Establish a uniform experience for both LMI and market rate customers

Existing Software Platform Issues to be Addressed

The current system landscape and various project workflows are described in Appendix A. There is significant opportunity to reduce the number of disparate systems and integration points in the overall system landscape through implementation of the RMES. Several key issues in the current system landscape are outlined here and must be addressed by the proposed RMES:

- Current residential platform is managed externally with limited to no access for NYSERDA administration to accommodate what should be routine updates and enhancements, including adding measures, revising savings calculations, changing and improving workflow, launching new pilots
- Lack of flexibility to add new funding sources and utility partners
- Packaged software development sprints are not always flexible enough to meet the needs of utilities, NYSERDA and other stakeholders
- Funds for development of new functionality is sunk cost as the code developed while under contract is not transferred to NYSERDA
- Virtually no ability to innovate and scale programs through improved and long-term customer engagement

Requested Services

NYSERDA anticipates awards under this RFP to be multi-stage awards with three phases. NYSERDA anticipates issuing a contract with a maximum, “not-to-exceed” amount for Phase One, with subsequent phases only being awarded on a contingent basis. NYSERDA reserves the right not to move forward with subsequent phases, dependent on project success and availability of funding. Later phases may be funded at NYSERDA’s sole discretion, using a stage gating review process: at the completion of each phase, project outcomes will be evaluated to determine if the project will continue to be funded. The evaluation criteria will include: probability of technical success, impact potential for sizeable energy benefits and economic development, and strategic fit with NYSERDA’s current priorities and availability of program funds.

This RFP outlines requirements for the three phases. Each phase has two key service areas: *Project Management, Requirements Gathering, and Solution Architect*; and *Software Development and System Integration Services*. It is desired to have the same vendor provide both of these key services (either directly or through subcontracting arrangements); however NYSERDA reserves the right to make separate awards for these two key services including Stage-Gate consideration of an option to use in-house technical development resources.

RMES Development Phases to Have Stage-gated NYSERDA Approval

Proposers are requested to provide a cost proposal worksheet for each of the three phases with stage-gated and go/no go decision points as indicated below. Proposers are invited to offer alternative phasing if a more efficient approach leading to a quicker launch of Phase Two elements is possible but should still provide sufficient opportunities for NYSERDA to review progress and assess stage-gate and go/no go decision points to manage the scope and on-going commitment of funding. A high-level summary of the requirements for each Phase is presented below with more detailed requirements defined in Appendix C: Functional Requirements.

Phase One: Core Program Functionality (Empower+ and Res Energy Audits) addresses current program needs to support New Efficiency New York including data management and workflow to ensure timely deployment of NYSERDA’s vision to merge the current EmPower and Assisted Home Performance with ENERGY STAR offers under a single low-income program offer (EmPower+) and an updated and remote-enabled re-launch of the state’s Residential Energy Audit program. It also includes support for existing utility partnerships and funding tracking, savings calculations needed to determine eligibility for residential financing, and the migration of legacy projects to the new RMES. Additionally, since Residential Energy Audits provide a gateway for consumers to access our Residential Financing offer, RMES will also need to support project savings and cost-effectiveness screening for Residential Financing. The EmPower+ program receives multi-agency and utility co-funding so the system will be required to track and report program performance and budget expenditures to these co-funding entities.

The RMES must support coordinated initiatives (i.e. alignment of data structure) with the Weatherization Assistance Program (WAP) managed by NYS Housing and Community Renewal, Office for Temporary and Disability Assistance (OTDA), and various utility programs to allow for a unified and streamlined program experience for the homeowner, aggregators, participating contractors, retailers, upstream partners (manufacturers and distributors) and utility administrators while maintaining flexibility to adapt to policy shifts and market innovations over time. Such a design and deployment effort will require a technology partner to work in coordination with the NYSERDA team to design, test, and deploy an integrated systems solution with a planned Phase One cutover date prior to March 2023 when the current platform provider contract is scheduled to expire.

Phase One: It is anticipated that Phase 1 will be completed within 18 months of award.

- 1a: Project Management, Requirements Gathering, Solutions Architecture [STANDARD GO/NO-GO APPROVAL]
- 1b: Development, Systems Integration, Test and Launch (TARGET early 2023) [STAGE GATE]

Phase Two: *Enhanced Program Support and Market Engagement* addresses customer engagement activities, expanded Program and pilot offerings and expanded agency and utility partnerships to significantly scale program reach in NY. This phase will require functionality to support enhanced customer engagement features to help drive homeowners to take incremental actions over time.

Phase Two: It is anticipated that Phase 2 will be completed within 24 months of award.

- 2a: Project Scoping, Requirements Gathering, Solutions Architecture [STANDARD GO/NO-GO APPROVAL]
- 2b: Development, Systems Integration, Test and Launch (TARGET early 2024) [STAGE GATE]

Phase Three: *On-going Technical Support, Maintenance, and Future Enhancements* includes on-going maintenance, expanded agency and utility partnerships, and expanded functionality to be defined at later date including on demand support for pilots and enhancements and a greater degree of integration with utility incentive offers and consumer-driven tracking of retail and Do-It-Yourself (DIY) purchases. This phase will also include a Tier 2 type support (i.e., non-end users) and may include email and telephone communications as well as on-site consultations.

Current and Anticipated Project Volume

The proposed RMES must successfully manage the current volume of projects and have demonstrated ability to scale up to serving more than 200,000 homes per year by 2030. Table 1 below provides the number of completed projects by project type over the past 3 years.

Table 1: Current Project Volume

	2019	2020	2021
Applications to EmPower	17,921	16,474	13,856
Applications to AHP	9,245	6,317	7,840
Electrical reduction Audits	2,583	1,669	1,387
Home Performance Audits	10,834	7,963	6,673
EmPower HP projects	10,919	8,031	6,742
AHP projects	2,367	2,249	4,328

The RMES must be expandable to accommodate a variety of user types and provide role-based access to reporting and data. Table 2 provides a list of the number of users by type based on our current program needs. Proposers should assume the number of end users will grow over time as the state and utilities expand their investments in clean energy programs to support a targeted run rate of 200,000 homes improved annually by 2030.

Table 2: Minimum Estimated Stakeholders/Users

User Role/Stakeholder Type	Number of Users
Program Staff (NYSERDA)	20
Partners (Program Implementers, Heat Smart Communities, Hubs, etc.)	35
Quality Assurance Inspectors	10
Utilities (Total Staff)	7 IOUs (14 users)
Other NYS Agencies (HCR, OTDA, DPS)	3 (6 users)
Contractors	280

Scope of Services

Appendix B: Preliminary Statement of Work, details the tasks to be performed by the selected proposer. The selected proposer will be required to, at a minimum, deliver tasks outlined in **Appendix B: Preliminary Statement of Work**, and must meet the minimum functional requirements described in **Appendix C: Functional Requirements**.

Technical Requirements

Proposers should provide detailed information about their product(s) and services about how it meets each of the requirements listed in this RFP. Proposers should clearly articulate their execution strategy, including their process to write system specifications

based on NYSERDA's needs, software configuration and/or development processes, training/delivery of the product, and ongoing support to NYSERDA. Proposers should clearly articulate how their product meets each of NYSERDA's needs and articulate if each of the needs can be met as basic, off-the-shelf offerings or if configuration or development work is needed and describe the level of effort required to customize existing products to meet NYSERDA's needs. NYSERDA encourages proposers to describe other features of their software that are benefits beyond the minimum requirements of this RFP. The proposers should clearly articulate if these additional features are part of a core package, or if the features are optional, whether they have off-the-shelf capability or require configuration or development, and what, if any, additional fees are applicable.

Proposers should detail capabilities and options to exchange data between their proposed Software Platform and the platforms identified in the RFP already in use by NYSERDA. Proposer shall use a common industry standard server, such as a Microsoft Team Foundation Server, to manage source control, build and deployment processes across the solicitation environment. Proposer shall maintain a system configuration log to document the status of what was built, the date it was released, and what was delivered onto the production system.

Preference will be given for solutions which leverage development platforms currently supported by NYSERDA such as .net and / or Salesforce. Other platforms will be considered if they can provide off the shelf solutions which meet the needs described in this RFP with minimal customizations.

In the case that the Proposer's company is acquired, its management structure is changed as the result of a merger, its contract for services is not renewed, it is not successful in response to a future NYSERDA RFP for platform services, the Proposer will develop a Transition Plan and work with NYSERDA or a new Contractor to make the transition an orderly and successful process for NYSERDA and all users. This transition shall include a NYSERDA approved Transition Plan and Data files. The expectation is that any code or infrastructure not developed in existing NYSERDA platforms shall be transitioned to NYSERDA upon request to be maintained and enhanced long term in the event that the Proposer is not retained for long term support services

Security Requirements

The successful proposer, the providers of all services and technologies, and all components of the RMES solution will be required to comply with the appropriate data and system security policies described in this section.

The NYS Office of Information Technology Services (ITS) establishes and regularly updates policies, standards, and guidelines for information security (collectively referred to as "ITS Security Policies") for State Entities, including NYSERDA. Contractors, vendors, and solution providers conducting work on behalf of NYSERDA including, but not limited to, application development, web development, hosting, or managing NYSERDA's sensitive data are required to comply with the NYS requirements.

These requirements include, but are not limited to, the NYS Information Security Policy NYS-P03-002 which sets forth the minimum requirements, responsibilities and accepted behaviors to establish and maintain a secure environment and achieve the State's information security objectives. In addition to this umbrella policy, the following standards establish specific minimum information security requirements:

- [Vulnerability Scanning Standard \(NYS-S15-002\)](#)
- [Security Logging Standard \(NYS-S14-005\)](#)
- [Patch Management Standard \(NYS-S15-001\)](#)
- [Encryption Standard \(NYS-S14-007\)](#)

A complete list of ITS Security Policies is available at:
<https://its.ny.gov/tables/technologypolicyindex>

The selected contractor will notify NYSERDA's Information Security Officer immediately upon discovery or notification of any security breaches or vulnerabilities at (518) 862-1090 x3486, information.security@nyserda.ny.gov.

In addition, the successful proposer may be required during Phase Two and Phase Three implementation to comply with the utilities' data security practices and protocols and may be required to enter data security agreements with the utilities. An example is attached as Attachment E: Utility Data Services Agreement.

Proposer Eligibility and Requirements

NYSERDA anticipates awarding one contract through this RFP that covers all services requested for all phases of the project. However, as stated above, NYSERDA reserves the right to make separate awards for the two key services: ***Project Management Services and Requirements Gathering, and Solution Architect***; and ***Software Development and System Integration Services***.

Proposers may be a single company or team of companies but must, in their response, clearly identify the key employees, subcontractors, or relevant affiliates of all entities who are proposed to fulfill the requirements of this RFP. If a proposer includes a partnering arrangement with third parties in their proposal, the proposer will retain sole responsibility for successful completion of the work under a resulting contract. All resources must be located within the continental US.

Once under contract, the selected Proposer (hereinafter referred to as "the Contractor") will be fully responsible for driving the successful completion of the project by utilizing a management approach and software development methodology suitable for the design/build nature of this engagement. NYSERDA will make available a cross-functional team to support the project throughout its lifecycle including a dedicated business analyst and a dedicated project manager to manage the contract, facilitate project activities, and communicate with upper management and staff.

The Contractor will be expected to be on-site at NYSERDA's offices in Albany or provide for the use of appropriate online collaboration tools and virtual meetings as COVID-19 restrictions on travel and in person meetings continue to be a concern for most of the Requirements Definition and Design phase of the project, for periodic progress meetings and demonstrations, for certain implementation and training activities, and for other key events. NYSERDA will provide on-site workspace and computers, if necessary, to all project team staff. It is expected that much of the development will be conducted off site.

The cost structure of the project will consist of an estimated Level of Effort (LOE) and Time and Materials (T&M) bid for Phase One and Phase Two and an hourly rate for Phase 3.

The successful proposer must demonstrate a clear understanding of the RMES solution as described in this RFP. Proposers must demonstrate the ability to provide, at a minimum, all relevant services as outlined in this RFP. The proposer must have experience in the utility residential energy efficiency program industry. The selected contractor will provide NYSERDA with a dedicated team of high-level professionals who will support the RMES solution. Proposers must identify one qualified team member who will be responsible for leading the initiative outlined in this RFP and this designated project lead cannot be replaced without consulting with NYSERDA.

Proposers must demonstrate skill and expertise in developing successful integrated and customized Market Engagement System solutions for the Energy Efficiency sector, including the successful completion of **a minimum of two (2) comparable projects**, where "comparable" is defined as energy efficiency project workflow management systems involving system architecture, custom application development, and external system integration for comparable scale regarding number of utilities, utility programs, number of projects. Details of this experience must be provided in Section 3 of the proposal.

In addition, NYSERDA prefers the following qualifications:

- *Salesforce* Alliance Partner (Gold Level or above preferred)
- Staff certified on the *Salesforce* platform (e.g., administrator, developer, architect, implementation expert)
- Experience working in a related business area (e.g., energy programs, government, construction and finance industry)

Contract Term

NYSERDA anticipates awarding an initial five-year term, with an option for one 5-yr renewal. There will be ongoing regular evaluation and performance reviews which will inform NYSERDA's contracting decision regarding renewal. There will also be a more formalized evaluation completed during Phase One (12-18 months from contract award) including stage-gate decision points identified in this RFP to assess the selected Contractor's performance. Among other factors, the evaluation process will assess

adherence to scope, schedule, budget and overall performance. Phase Two and Phase Three funding (years 2 through 5) is contingent on successfully advancing through the stage-gate process and the availability of funding and may be expanded at the discretion of NYSERDA as funding is made available. *NYSERDA reserves the right to extend and/or add funding to the solicitation should other program funding sources become available.*

Proposal Requirements

Proposers must submit their proposal by the due date in accordance with the instructions described on the front of this RFP. 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. Proposals that are excessively long or fail to follow the format guidelines may be rejected as nonresponsive. Proposals should concisely present the information needed to fully address the evaluation criteria (see **Proposal Evaluation Section**).

Each page of the proposal should state the name of the proposer, the RFP number, and the page number. If you believe proprietary information must be submitted to present an adequate proposal, please contact the Designated Contact listed at the beginning of this RFP, indicate as such on the proposal, and comply with the instructions for submitting proprietary material. The ability to clearly and concisely provide the requested information will illustrate command of the subject matter.

The proposal must be a single file with the items in the format and sequence indicated below.

Section 1: Executive Summary

Section 2: Approach

Section 3: Relevant Experience

Section 4: Statement of Work (redlined Appendix B Preliminary Statement of Work)

Section 5: Staffing Plan

Section 6: Cost Proposal

Section 7: Schedule/Work Plan

Section 8: Staff Resumes

Section 9: Letters of Commitment

Section 10: NYSERDA Sample Agreement (redlined Attachment D)

Section 1. Executive Summary

Proposers should provide a brief summary of their understanding of the goals, objectives and requirements described in this RFP and overall approach that is outlined in further detail in Section 2. Please limit to 2 pages (**mandatory requirement**).

The Proposer must include the following information:

- Firm or organization name
- Identification of any subcontractors and/or partners that are part of the proposal, and general comments regarding what their role would be
- Address
- Telephone number
- Primary contact person telephone and e-mail address

Section 2. Approach

Proposers should provide a narrative of the proposed approach to providing all aspects of the services requested under the RFP, addressing the goal of obtaining the best overall value for New York State and involved stakeholders while accelerating implementation of the RMES solution and reducing cost and risk. Proposers should detail how each task in the Statement of Work will be performed and how the task will be managed and monitored to ensure success.

The Proposer's approach should describe the following:

- The criteria, process and schedule recommended to achieve the desired results including a specific discussion addressing the identification and prioritization of functionality to achieve the goals of New Efficiency: New York and the Climate Act
- How near-term developments in data architecture, data operations, and cybersecurity should be taken into account in the RMES solutions project.
- How the proposed approach provides for the cost-effective capability of the RMES solution to continually refine and expand its capabilities and take advantage of ongoing developments addressing data access, security and other relevant topics throughout the life of the RMES solution deployment serving the residential sector.
- The alternative approaches that were considered and the reason(s) the proposed approach was determined to be superior.
- The resources and practices required from NYSERDA to support the proposed approach.
- Similar, large-scale utility data projects that serve as benchmarks for the RMES solutions project and lessons learned that will guide your work.

The Proposer's approach for working in inter-organizational teams, especially in new teaming arrangements where the organizations may have never worked together before.

- The project management strategy and best practices you will utilize to ensure all requirements within scope are met within budget and schedule. This should include the communication and change management approaches you will use during this assignment, as well as what resources and practices will be required from NYSERDA to make these approaches work.

- The use of Agile best practices that allow for frequent deliverables and constant insight into the work being performed will be strongly preferred unless otherwise justified.
- The business requirements gathering and tracking techniques you will leverage to ensure that the RMES solutions project meets the needs of stakeholders by the end of Phase One and Phase Two, and that the expansion goals under Phase Three are met. This should include the approach the Proposer will take to convert high-level use cases to specific requirements using Agile best practices.
- Include the approach they will take to keep key stakeholders engaged during requirements iteration and development sprints.
- The primary challenges you anticipate in RMES solution design, development, testing, integration, adoption, and operations. Indicate briefly how you have successfully managed and dealt with these risks and challenges before.
- How your approach will be flexible enough to accommodate a wide range of use cases, data sources (i.e. utility and non-utility data sources), and the long term, future needs of the State.
- The approach and experience planning and overseeing complex data integrations and the extraction, transformation, and loading of data from diverse systems.
- How you will coordinate with similar data accessibility projects underway at New York utilities, NYSERDA and any other agencies.
- How you will evaluate existing industry standards (e.g. Green Button Connect (GBC), Home Performance eXtensible Markup Language (HPXML), etc. to determine if those existing standards expedite, standardize, and enable interoperability for the proposed RMES solution.
- Describe the preliminary platform and architecture alternatives the Proposer anticipates as feasible and preferable for the RMES solution, given the required interfaces and databases.
- Describe the industry-standard design and testing methods to be employed.
- Processes you will use to identify and resolve issues arising from disparate stakeholder interests regarding service metrics (e.g., data accuracy, accessibility, formatting) that may impact the user experience.
- How you will transfer all aspects of the RMES solutions project, including NYSERDA owned data, administration and operation of the as-built environment, to NYSERDA or its designated agent at the end of the contract term.
- How you will design the training plan and materials you determine the RMES solution will require.

Section 3. Relevant Experience

Proposers must demonstrate skill and expertise in developing successful integrated and customized Market Engagement System solutions for the Residential Energy Efficiency sector, including the successful completion of **a minimum of two (2) comparable projects**, where “comparable” is defined as energy efficiency project workflow management systems involving system architecture, custom application development, and external system integration for comparable scale regarding number of utilities, utility programs, number of projects.

References: Cite specific examples of previous successful relevant projects. Include the name and telephone number of at least two (2) references for whom your organization has completed relevant projects.

Section 4. Statement of Work

The Statement of Work will delineate each step required to deliver the services under the RFP. The Statement of Work (SOW) is the primary contractual document that outlines work activities and specifies deliverables. The preliminary SOW includes a minimum set of anticipated tasks and deliverables required by this solicitation and is included as **Appendix B Preliminary SOW**. These tasks will be used as the basis for the draft Agreement between NYSERDA and the awardee. The Proposer should include all tasks outlined in the preliminary SOW in their proposal and include any additional tasks and deliverables if needed or recommended. All additions to the preliminary SOW should be clearly marked as new, recommended content, and should be redlined for NYSERDA review. The budget for all Tasks should be clearly separated in **Section 6. Cost Proposal**. For each task outlined in **Appendix B Preliminary SOW**, namely Task 1 – Task 13, the proposer should provide details regarding who will perform the task, how the task will be performed, and how the task will be managed to ensure success in **Section 2. Approach** and in **Section 5. Staffing Plan**.

Section 5. Staffing Plan

The proposal should identify the primary contact who will be responsible for communications with NYSERDA, development of work specifications, and oversight of deliverables (at least through Phase 1). Describe how the Proposer's staff and other team members meet the required experience, skills, and abilities to perform the services described in this RFP. Provide a proposed staffing plan that includes:

- Project organization chart (including size and composition of team, and any subcontractors)
- Identification of individual resources assigned to each of the project phases and tasks
- For subcontractors, a description of the specific need for the expertise and the arrangements for achieving subcontracting

The Staffing Plan should also clearly demonstrate the project team's experience and competency in the following areas:

- Business Analysis
- Facilitating stakeholder meetings and building working group consensus
- Identifying, defining and prioritizing use cases by synthesizing input from stakeholders
- Managing complex and/or novel data projects including connecting and sharing data across diverse systems

- Experience with IT project management spanning from requirement gathering through robust end- to-end testing
- Experience with residential energy efficiency program operations

State the individual and combined expertise that would enable successful completion of the objectives outlined in this solicitation:

- Provide relevant background including prior experience in managing the design and implementation of complex projects
- Describe how in similar projects the Proposer was able to successfully manage stakeholder engagement with a wide variety of stakeholder groups
- Describe how in similar projects, the Proposer was able to successfully work in inter- organizational teams, especially in new teaming arrangements where the organizations may have never worked together before
- Provide relevant background including prior experience in managing overall project and budgets for large complex projects

Section 6. Cost Proposal

The Cost Proposal sets forth the fees for performing the work described in this RFP and provides a resource schedule consistent with the LOE identified in the proposed Statement of Work. Proposers must include in their Cost Proposal separate budgets for each phase of the project as described in this RFP over the initial 5-year period. The Cost Proposal must include a LOE and budget to meet all Phase One and Phase Two requirements per the timeline established for this project. Proposers must also include a blended rate schedule to address Phase 3 requirements in their Cost Proposal to show cost benefit, market advantage and timeline/schedule improvement for meeting strategic goals of this solicitation.

As part of the budget, proposers are required to identify what amount of the budget is for software and what amount is non-software (implementation, development and equipment). The non-software budget will require the following goals: 15% MBE/15% vWBE/6% SDVOB, or any combination thereof, as stated earlier in this solicitation document.

Proposers must follow instructions provided in **Attachment B: Instructions for Cost Price Proposal Form (Budget)** and complete **Attachment C: Cost Pricing Proposal Form (CPPF)** with separate worksheets for Phase One and Phase Two, including separate budget worksheets for each of the two Services: (A) *Project Management, Requirements Gathering, and Solution Architect*, and (B) *Software Development and Systems Integration* as outlined below:

- **Phase One [LOE, T&M Budget]:** Fully loaded on-site and off-site hourly rates per resource type to be used for all Phase One tasks.

- CPPF 1A - *Project Management, Requirements Gathering, and Solution Architect*
 - CPPF 1B - *Software Development and Systems Integration*
- **Phase Two [LOE, T&M Budget]:** Fully loaded on-site and off-site hourly rates per resource type to be used for all *Phase Two* tasks. The Phase Two scope and budget may be updated in consultation with NYSERDA following contract award, and as approved per the stage-gate review and approval process.
 - CPPF 2A - *Project Management, Requirements Gathering, and Solution Architect*
 - CPPF 2B - *Software Development and Systems Integration*
- **Phase Three [Blended Rate Schedule]:** Fully loaded on-site and off-site hourly rates per resource type to be used for all Phase 3 tasks. The Phase Three scope and budget will be developed and approved per the stage-gate review and approval process.

Detailed assumptions should be included with the Cost Proposal to explain how values were derived. Any proposed annual rate escalation must be included in the Cost Proposal.

NYSERDA anticipates conducting further requirements gathering to support Phase Two and beyond and will require NYSERDA stage-gate approval of the scope and funding in order to proceed.

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.

Proposers are to submit fully loaded hourly rates that reflect applicable labor, overhead and fee costs including but not limited to printing, secretarial, program entry, computer charges, postage, travel, meals and lodging.

Attach documentation to support indirect cost (overhead) rate(s) included in your 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 approved by an independent organization, such as the federal government, provide a copy of such approval.
- 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.

Note: For Proposal evaluation by the scoring committee, the cost proposal basis will be evaluated on LOE and budget for Phase One tasks. Phase Two and Phase Three cost proposals will be evaluated based on the Proposer's hourly rates to a fixed level of effort per resource type as defined by NYSERDA and applied consistently across all proposals for evaluation and scoring purposes.

Section 7. Schedule/Work Plan

Submit a schedule for conducting the work proposed in the SOW in Gantt charts or similar format in terms of weeks and months from contract award. Preference will be for Phase One solution to be fully implemented by mid-2023. Provide a firm schedule for Phase One, including all priority items to meet Phase One minimum requirements and a projected schedule for Phase Two; the Phase Two schedule may be updated in consultation with NYSERDA following contract award.

Proposers should allow time for correspondence with and approval of tasks by NYSERDA. Note that hours allocated in the work schedule must be consistent with those in the budget and Statement of Work.

Section 8. Staff Resumes

Provide a profile/resume (limited to no more than 2 pages) for each proposed team member. Each profile/resume should include, at a minimum:

- Name
- Proposed role on this project
- Number of years of relevant experience
- Description of relevant experience
- Relevant certifications

Note: Should it become necessary to replace any team member, NYSERDA expects the Contractor to provide a replacement with skills comparable to those of the replaced team member. NYSERDA reserves the right to interview and approve the replacement prior to that individual joining the projects.

Section 9: Letters of Commitment

If proposers are relying on any other organization to do some of the work or provide services or resources, include a letter from that organization describing its planned participation. Absence of letters of commitment may be interpreted as meaning that the proposer has not secured a firm commitment from the subject parties.

Section 10: NYSERDA Sample Agreement (redlined)

Proposers should review Attachment D Sample Agreement and provide a summary of revisions and redline version of Attachment D: Sample Agreement. Include any proposed revisions with explanation to Exhibit C, Standard Terms and Conditions, especially in response to NYSERDA's technical requirements and technology transfer of the proposed solution. Additional terms may be added to the final Agreement as approved at the sole discretion of NYSERDA.

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.

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

All proposals must be received by 3 pm Eastern Standard Time on January 19, 2022 as noted on the first page of this solicitation. 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 electronic submission, there are required questions that you must 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 5pm, files in process or attempted edits or submission after 5pm Eastern Standard 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/>. All proposals submitted as part of the solicitation process become the property of NYSERDA. To submit proprietary material and information with the proposal, you must mark each page "Proprietary."

For detailed instructions on how to submit a proposal, click the link "NYSERDA Solicitation User Guide[PDF]" located in the "Current Opportunities" section of NYSERDA's website: <https://www.nyserda.ny.gov/Funding -Opportunities/Current-Funding-Opportunities.aspx>

Proposals that meet solicitation requirements will be reviewed by a Scoring Committee using the Evaluation Criteria below listed in order of importance. Full 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 Proposal, or provide demonstrations of tools, as applicable. Proposers will be notified if they are requested to attend an interview or provide a demonstration. Proposers are not permitted to change their proposal during or after this presentation. NYSERDA anticipates that interviews may start as soon as Monday, February 7, 2022.

EVALUATION CRITERIA:

Execution and Approach:

- Does the proposer demonstrate a detailed understanding of the project's goals, principles, processes as presented in proposal Section 1: Executive Summary.
- Is the proposed execution of the Statement of Work thorough and consistent with the RFP's stated objectives?
- Is it evident that the Proposer demonstrates appropriate understanding and expertise to fulfill the requested tasks?
- Is there clear evidence that the Proposer possesses the capacity to implement, coordinate and monitor the tasks assigned?
- Does the proposer clearly define the software set-up, configuration or development approach?
- Does the proposer demonstrate that the proposed solution can be delivered in a timely manner consistent with the proposed schedule?
- Has the proposer demonstrate the ability to implement continuous system improvements to improve service and drive down costs over time?
- Does the proposer clearly articulate how the proposed solution advances goals of the New York's Climate Act and New Efficiency: New York
- Does the proposer demonstrate a project management approach that utilizes industry best practices, tools, and techniques, allows for transparent and effective communication, stakeholder engagement, and reporting, enables frequent deliverables and constant insight into the work being performed, and allows for comprehensive risk tracking and management?

Relevant Experience:

- Does the proposer demonstrate skill and expertise in developing successful integrated and customized Market Engagement System solutions for the Residential Energy Efficiency sector?
- Does the Proposer include reference to the completion of a minimum of two (2) comparable projects, where "comparable" is defined as energy efficiency project workflow management systems involving system architecture, custom application development, and external system integration for comparable scale regarding number of utilities, utility programs, number of projects?
- Does the proposer include demonstrated project examples where proposer delivered to aggressive timeline with similar value-added functional requirements to those proposed?
- Does the proposer demonstrate understanding of tradeoffs that will impact user experience and the proposed RMES development and implementation?
- Does the proposer demonstrate the ability to develop, document, and iterate appropriate requirements and track to completion within budget and on schedule?
- Does the proposer demonstrate the ability to build and manage diverse teams with specialized skill sets?
- Does the proposer demonstrate the ability to manage a technical approach that is strategic, flexible, and allows for continuous improvement, including the addition of new use cases and short duration pilots?

- Does the proposer demonstrate the ability to manage and complete complex data integration projects involving large number of programs, pilots, utility and other agency stakeholders?

Solution Capabilities:

- Does the proposed solution meet the Phase One requirements outlined in Appendix C: Functional Requirements for this solicitation?
- Does the Proposer demonstrate flexibility in solution design and development to respond to NYSERDA's evolving needs? Is the security protocol acceptable?
- Does the proposer demonstrate expertise for providing the requisite guidance to NYSERDA to help ensure that all cybersecurity and privacy requirements for building and operating the RMES are met?
- Does the proposer provides acceptable terms for NYSERDA to access and retain long-term ownership rights to source code?

Staffing Plan:

- Does the Proposer have prior experience managing the design, implementation and budget controls for a comparable complex project?
- Does the Proposer staff have experience successfully managing stakeholder engagement with a wide variety of stakeholder groups?
- Is there demonstrated ability to successfully work in inter- organizational teams, especially in new teaming arrangements where the organizations may have never worked together before?
- Does the proposer demonstrate experience ensuring multiple workflows and stakeholder needs are met?
- Does the proposed project staff have appropriate experience and credentials?
- Does the proposer provide experienced staff performing appropriate tasks at industry comparable rates?
- Does the proposer demonstrate successful experience managing/facilitating engagement of diverse stakeholder groups, managing processes that facilitate consensus building, and setting up and managing complex governing structures?
- Does the proposer demonstrate knowledge and successful experience managing risk and mitigation/recovery plans associated with this type of project?
- Does the proposer demonstrate experience of proposer and assigned team, including any partners or sub- contractors, in managing projects of similar scope, scale, schedule, and budget to a successful conclusion (experience in the utility industry)?
- Does the proposer demonstrate experience in managing the design and implementation of complex projects?
- Does the proposer offer an experienced and diverse team with expertise across project management, data platform design, software development, integration, testing, evaluation, use, and operations?
- Does the proposer provide a dedicated resource with a range of experience qualifying him/her/them to lead the initiative?

Schedule and Work Plan:

- Does the proposed schedule meet the requirements of this solicitation?
- Does the proposer demonstrate the ability to deliver high-quality work in line with industry best practices on tight deadlines, especially within the context of the Phase One and Phase Two deadlines?
- Does the proposer demonstrate the ability and capacity to provide timely responses to on-demand requests for enhancements?
- Does the proposer include alternative approaches enabling completion of Phases One and Phase Two on expedited timelines?

Proposal Cost and Value:

- Does the proposer include a budget accompanied with detailed explanations of the assumptions underlying the level of effort and projected costs?
- Do the CPPF worksheets show separate budgets for each Service within each Phase outlined in this solicitation?
- Does the proposal include additional value of expanded functionality in advance of required schedule?
- Does the proposal include firm costs or projected costs accompanied with detailed explanations of the assumptions underlying the projected costs? Does the proposal include explanations of what information would allow for more certainty of the projected costs?
- Is the overall total cost competitive, based on solid assumptions, well justified, and in line with the level and quality of services proposed?
- Does the proposer include innovative processes, structure, or methods to reduce costs associated with program implementation, operation, maintenance and updating?
- Does the proposer demonstrate understanding of all the cost elements required to execute the entirety of Phase One and Phase Two of the RMES initiative?

Program Policy Factors: NYSERDA reserves the right to accept or reject proposals based on the following factor(s):

- The degree to which the overall proposal meets NYSERDA's short- and long-term needs.
- 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.
- Institutional diversity or partnership with minority-owned institutions.
- The degree to which there are technical, market, or organizational risks associated with the application.

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

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 Attachment D: Sample Agreement.

Diversity Practices – NYSERDA has determined, pursuant to **New York State Executive Law Article 15-A**, that the assessment of the diversity practice of respondents to this procurement is practical, feasible, and appropriate. Accordingly, respondents to this procurement shall be required to include as part of their response a completed Exhibit F incorporated into Attachment D: Sample Agreement and submitted as Section 10 of the Proposal.

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. Accordingly, respondents to this procurement shall be required to include as part of their response a completed Exhibit G incorporated into Attachment D: Sample Agreement and submitted as Section 10 of the Proposal.

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). 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). 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. However, NYSERDA reserves the right to make separate awards for the two key services areas described in the solicitation. NYSERDA anticipates a contract duration of five 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 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 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 5 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.

Attachments

Attachment A – Intent to Propose

Attachment B – Instructions for Cost Price Proposal Form (Budget)

Attachment C – Cost Price Proposal Form (Budget Worksheet)

Attachment D – Sample Agreement

- Exhibit A, Statement of Work;
- Exhibit B, General Contract Provisions, Terms and Conditions;
- Exhibit C, Standard Terms and Conditions;
- Exhibit D, Prompt Payment Policy Statement; and
- Exhibit E, 2017 Report Content Guide.
- Exhibit F Article 15A MWBE (Minority Women Business Enterprise)
- Exhibit G Article 17B SDVOB (Service Disable Veteran Owned Business)
- Exhibit H Web Addendum

Attachment E: Utility Data Services Agreement

Appendices

Appendix A: System Architecture, Landscape and Current Workflows

Appendix B: Preliminary Statement of Work

Appendix C: Functional Requirements

Centralized Support Services
Request for Proposal RFP4965

NYSERDA reserves the right to extend and/or add funding to the Solicitation should other program funding sources become available.

Proposals Due: May 5, 2022 by 3:00 p.m. Eastern Time*

The New York State Energy Research and Development Authority (NYSERDA) requests proposals from providers interested in providing centralized services and support, specifically general inquiries through phone, email and web, application intake, and payment processing for several of NYSERDA's programs and processes. The selected shared services provider(s) will execute assigned administrative and operational tasks in a manner that will reduce friction for the marketplace, increase flexibility in program design, minimize risk, and lower ongoing operating costs to NYSERDA. The successful shared service provider(s) will accelerate NYSERDA's goals of continuous improvement and end-user satisfaction.

Proposers will be awarded contracts based on their experience, qualifications, cost, and demonstrated ability to provide the services identified in this RFP.

The contract(s) is expected to start on July 1, 2022 for a six-year term. NYSERDA reserves the right to extend the contract and/or add funding should other resources become available. NYSERDA expects to award one or more contracts for this solicitation.

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 Sarah Rambacher (Designated Contact) at (212) 971-5342, ext. 3604 or by e-mail CEFSharedServices@nyserda.ny.gov or Ashley Porubcan (Designated Contact) at (518) 862-1090, ext.3448 or by e-mail CEFSharedServices@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; 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 offers objective information and analysis, innovative programs, technical expertise, and support to help New Yorkers increase energy efficiency, save money, use renewable energy, and reduce reliance on fossil fuels. A public benefit corporation, NYSERDA has been advancing energy solutions and working to protect the environment since 1975. Visit www.nyserda.ny.gov to learn more about NYSERDA's offerings.

NYSERDA's mission of advancing clean energy innovation and investments to combat climate change, improving the health, resiliency, and prosperity of New Yorkers and delivering benefits equitably to all is core to the successful award(s) of this solicitation. NYSERDA works with customers and market actors including homeowners, property managers, installers, building contractors and developers and is seeking shared services provider(s) with experience and expertise in providing centralized services and support, specifically supporting general inquiries through phone, email, and web, application intake and payment processing for NYSERDA's initiatives. These workstreams can support residential (market rate and low-to-moderate income households), multifamily, commercial and transportation sectors. The selected shared services provider(s) will be assisting with answering general inquiries through phone, web, and email as well as application intake, payment processing, reporting, and other administrative support as requested. Proposers will be evaluated based on their ability to respond succinctly and appropriately to the services requested,

proposed execution, and demonstrated objectivity, responsiveness, experience, and cost-effectiveness in their proposals.

The contract(s) is expected to start on July 1, 2022 for a six-year term. NYSERDA reserves the right to extend the contract and/or add funding should other resources become available. The selected shared services provider(s) will be responsible for completing all or some the tasks outlined in Attachment A – Statement of Work dependent on the level and type of services requested by NYSERDA and the workstream to which they are providing support. The Statement of Work shall be supplemented by individual Task Work Orders that are specific to each workstream assigned. Workstream details and specific standard operating procedures will be provided upon assignment.

II. Program Requirements

A. Services Requested:

NYSERDA is seeking one or more providers with the expertise and experience to execute the tasks below. While the goal is to bring consistency of operations to NYSERDA’s programs and processes, some tasks may vary depending on the specific needs identified for each workstream. Please see Attachment A for the full scope of services to be provided. It is expected that the selected shared services provider(s) will have staff with excellent verbal and written communication skills who are available Monday through Friday, 8am – 5pm Eastern Time (ET), to complete the following:

Task 0: Non-recurring Tasks

The selected shared services provider(s) may undertake non-recurring tasks that may be necessary over the duration of the contract that vary in nature and can include training and onboarding, transferring of workload, support activities for pilots and new initiatives, and systems upgrades that impact the work conducted under the contract.

Task 1: Participant Support

Each individual on the provider’s team will need to fully understand and be able to explain NYSERDA’s programs and processes for which they are providing support and triage general inquires as determined by NYSERDA, so they can effectively correspond with participants via email, chat, and telephone, while maintaining participant satisfaction and project flow. It should be noted some of NYSERDA’s workstreams will require the awarded entity(ies) to provide translation services to ensure proper communication to all stakeholders and to be responsible for mailing letters to thousands of participants.

Task 2: Application Intake

The selected shared services provider(s) will review applications for compliance with rules and procedures, including eligibility of participants, service providers, projects, and measures; completeness of applications; and the compliance with the overall requirements requested with written program rules. The provider(s) will also be responsible for processing accepted applications.

Task 3: Payment Processing

The selected shared services provider(s) shall prepare, review, track, and report out on payment requests.

Task 4: Data Quality and Analysis

The selected shared services provider(s) shall regularly maintain and assure data quality of the work conducted under the contract, spot anomalies and inconsistencies with data, identify root cause issues, and analyze trends both qualitatively and quantitatively to make recommendations to improve data entry and data quality.

Task 5: Initiative Support

The selected shared services provider(s) shall prepare monthly progress reporting of the tasks listed above.

In addition, it is expected that as the selected shared services provider(s) will have consistent interaction with NYSERDA participants. The shared services provider(s) will share the insights gained with NYSERDA on a regular and frequent basis to improve processes for current and future offerings. The selected shared services provider(s) will be responsible for sharing common correspondence and frequently asked questions, and improvement opportunities with NYSERDA.

The selected shared services provider(s) will be expected to continually provide recommendations to NYSERDA on potential refinements that will streamline and bring consistency in data and project management systems, processes and procedures, improve efficiency and participant satisfaction, reduce operational costs, and increase the productivity of provider's staff while effectively achieving initiative goals.

NYSERDA expects to stage the assignment of individual workstreams to the selected shared services provider(s) based on current needs. Approximate monthly workload estimates are as follows:

	Application Intake & Processing	Payment Processing
Low Complexity / High Volume	4,000	2,000
High Complexity / Low Volume	40	10

B. Minimum Provider Qualifications

Providers must possess the following minimum, basic qualifications:

- Experienced business support and operational experts who can provide outstanding customer service;
- Ability to support diverse market focus areas (single family, multifamily, low-to-moderate income, commercial and clean transportation sectors) in delivering services;
- Ability to quickly develop and implement tactical and cost-effective approaches to the tasks requested with no adverse impact to existing initiative delivery;
- Ability to collaborate with NYSERDA to drive continuous process improvement and provide value over time;
- Ability to scale up/down resources in a timely manner to reflect the workload;
- Ability to identify and recommend opportunities to improve market participants' engagement;
- Ability to provide a seamless process to our participants and partners;
- Ability to deliver consistent quality input of data at the source to ensure accurate project management, decision making, reporting and budget adherence;
- Ability to provide insights and guidance to NYSERDA based upon various qualitative and quantitative inputs;
- Ability to leverage, and effectively use and navigate customized legacy systems (training provided) while transitioning to common technology platforms like Salesforce; and
- Computer software proficiency in MS Excel, MS Access, MS PowerPoint, MS Word, Oracle PeopleSoft (or equivalent Enterprise Resource Planning (ERP) system), Salesforce, and other web-based project management and tracking systems.

C. Assignment of Tasks

For each assigned workstream, a Task Work Order (please see Attachment B - Task Work Order Template) will be developed by the shared services provider and NYSERDA. A NYSERDA point person will be designated to manage the workstream and specific standard operating procedures (please see Attachment E – Example Standard Operating Procedures) will be provided to the provider during Task Work Order development.

For each Task Work Order, the provider is expected to:

- Develop an approach and budget for review and approval by NYSERDA according to the task(s) assigned;
- Negotiate the scope and cost of the support service;
- Upon agreement by both NYSERDA and the provider, provide the required assistance within the agreed upon time frames;
- Submit required deliverables to NYSERDA for review and approval;
- Provide required documentation of expenditures by task based on the approved Task Work Order when seeking payment from NYSERDA;
- Establish a staffing plan with agreed upon parameters for staffing levels if requested.

The Task Work Order must assure that appropriate staff and resources will be available for the services requested including day-to-day support of the workstream assigned.

D. NYSERDA's Roles & Responsibilities

NYSERDA will maintain overall management and control for all services including the selection, supervision, and coordination of the selected shared services provider(s). The major responsibilities of NYSERDA are to:

- Assign workstreams to provider(s) based on expertise, location, and workload to best support NYSERDA and market participants;
- Assist provider(s) in developing Task Work Orders;
- Provide provider(s) with administrative processes and standard operating procedures for each assigned workstream, subject to improvement with input from shared services provider(s);
- Provide provider(s) with necessary access to systems to properly manage the workstream;
- Monitor the progress of each provider through ongoing telephone contact, review of status reports and data monitoring activities, etc., identify problems and initiate corrective action;
- Review market trends and insights submitted by the provider(s) for potential inclusion in current and future offerings;
- Provide review of deliverables to ensure that the deliverables conform to the Task Work Order and specific initiative requirements;
- Ensure adherence to NYSERDA's established policies and procedures;
- Provide a NYSERDA point person for initiative specific assistance;
- Provide initial and continual training on program/initiative rules & guidelines;
- Provide initial and continual training on program/initiative data management systems.

NYSERDA reserves the right to:

- Incorporate programmatic & process changes as needed, thus modifying or adding to the services

outlined;

- Tailor proposed services within the bounds of the contract based on cost-effectiveness, performance, participation, or other considerations;
- Reallocate funding among the selected provider(s);
- Negotiate among finalists to assure statewide services and access to specific expertise;
- Add other initiative areas and associated funding to the contract should other initiatives require support;
- Perform audits of the shared services provider(s) operations with respect to the services provided to NYSERDA at the providers' cost if performance issues arise.

E. Compensation

Proposers should describe compensation for services provided. NYSERDA will consider a monthly fee based upon anticipated volume, a unit cost approach, labor time or a combination. NYSERDA will not consider fees by proposer for general overhead and administrative internal tasks, such as creating invoices to NYSERDA, forecasting staffing levels, or modifications to internal systems to support this contract. Contract payments will be tied to satisfactory completion and acceptance of the specified deliverables included in the Task Work Orders. Completion means that NYSERDA approves the work effort as complete and/or satisfactory. Each Task Work Order will include the upset maximum dollar amount for that work defined in that Task Work Order. Providers may only invoice for costs incurred.

III. Proposal Requirements

Proposers must outline their ability to provide specialized expertise as per Attachment A, as well as demonstrate experience and a thorough understanding of the work with providing application and payment support services to a diverse range of customers or partners, residents, property managers, installers, building contractors and developers within New York State. Support of all sectors is desired, but proposers who have exceptional capability in one or more sectors should highlight this experience in the proposal.

Each proposal shall contain, at a minimum, the 5 components listed below. Each proposal shall be uploaded into the application portal as 3 separate documents. Sections 1-4 shall be one document (including exhibits), Section 5 shall be uploaded as two separate documents: Attachments C & D.

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.

The proposal must be in the following format:

The proposal must be in the following format:

- **Upload 1:**
 - **1: Introduction and General Information**
 - **2: Statement of Work**
 - **3: Project Personnel**
 - **4: Assignment**
- **Upload 2:**
 - **5: Rates - Attachment C (OR 5: Personnel Rates & Billing – Attachment C)**
- **Upload 3:**
 - **5: Rates – Attachment D (OR 6: Proposal Budget – Attachment D)**

1: Introduction and General Information (not to exceed 3 pages)

Proposers must include the following information in their response:

- Firm or organization name, address, telephone and fax number, e-mail address, website, and primary contact person
- Year firm or organization was established
- Name and address of parent company (if applicable)
- Location of the local office that will support NYSERDA’s initiatives (as applicable)

Proposers should summarize their understanding of the objectives, scope of services, and requirements of the RFP. Proposers should include key information about their organization and how they are uniquely qualified to perform and complete the services requested under this RFP.

If the proposer is not based in New York State, discuss the mechanism that will guarantee its ability to deliver services efficiently and effectively within New York State, specifically Monday-Friday, 8am-5pm EST.

Proposers to this RFP must demonstrate their ability to provide objective, third-party assistance to NYSERDA and its participants. The selected shared service provider(s) and their personnel must not have any financial interest in products or services that may conflict or appear to conflict with the services provided to NYSERDA and its participants. Proposers must include a listing of current or past (within the last three (3) years) subcontractors, affiliations, partnerships or company divisions, as well as a listing of current contracts with NYSERDA and describe their ability to remain objective and avoid conflict.

2: Statement of Work (not to exceed 8 pages)

Attachment A is an actionable document that specifically delineates each step or action required to complete the requested tasks.

Proposers should clearly articulate their execution strategy consistent with the requested tasks and activities outlined in Attachment A. Details around the approach, methodology, and rationale for the proposed execution strategy should be included. The strategy should also articulate an approach to address non-English speaking participants. For each action item, an indication of the “who” and “how” should be provided in the proposal.

Confidential and proprietary participant information shared with the selected shared service provider(s) while providing services is to be kept confidential by the selected provider(s). Such information is not to be shared with other parties or used by the provider(s) for any purpose outside of the specific assignment or agreement. Measures to ensure the confidentiality of the shared information should be detailed in the proposal.

3: Project Personnel (not to exceed 3 pages)

The proposer should describe the experience, qualifications (skills and abilities), and proposed responsibilities of each of the key persons to be utilized in the execution of the statement of work. Descriptions should highlight critical abilities such as quick-learning, setting priorities independently, handling multiple projects simultaneously in a fast-paced environment, and having a high degree of accuracy. An organization chart showing the relationships among all personnel should also be included. State the individual and combined expertise that would enable successful execution of the Statement of Work.

The proposer should highlight the abilities of the primary contact, who will be responsible for communications with NYSERDA, development of Task Work Orders, oversight of work performed, and initiative support tasks. This description of the primary contact’s expertise should provide assurance of successful execution of the Statement of Work.

Additionally, the proposer should include a staffing plan identifying the key personnel and other resources for completing each task identified in the Statement of Work. The staffing plan should also account for staff back-up, oversight and management teams, cross-training of tasks, and general quality control/quality assurance responsibilities.

4: Assignment (not to exceed 3 pages, can add templates as exhibits)

Proposers must provide a detailed response to each of the following questions. This will allow NYSERDA to have a strong understanding of the skills, expertise, and experience each proposer has in key aspects of program/process operations.

Question 1: What information do you need to put together a robust staffing plan for a workstream?

Question 2: What internal systems and structure has your company put in place to ensure a high-quality level of service, when dealing with high volume workstreams that involve data entry, manual calculations, etc.?

Question 3: What templates, artifacts, and approaches does your company leverage to support the management and oversight of multiple workstreams in terms of risk, budgets, and throughput?

Question 4: What templates, artifacts, and approaches has your company used to evaluate data and provide recommendations and insights?

Question 5: How has your company approached significant planned and unplanned changes in program design / process? What areas need to be thought through and incorporated through operations and systems?

5: Rates (not to exceed Attachment C and Attachment D)

Proposers must complete the Attachment C - Project Personnel and Billing Rates form to clearly indicate hourly salary rate range for each title classification proposed under the agreement with NYSERDA. Any anticipated year over year price changes for the duration of the agreement with NYSERDA should be identified. The provider(s) selected under this solicitation will be awarded a contract for a six-year period.

Please provide rates for services to be provided from July 2022 through July 2028. These rates shall be fully burdened independent annual rates.

Proposers are also offered the opportunity to convey an alternative staffing / pricing model based upon their understanding of this RFP.

Preference will be given to proposers that can demonstrate the lowest “all in” cost to NYSERDA while providing the highest quality service.

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 must not exceed 25 pages. Attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. 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.

Responsiveness: Has the Proposer demonstrated a clear understanding of the objectives, scope of services, and requirements of the RFP? Does the proposal exhibit objectivity, responsiveness, experience, and ability to provide services cost-effectively? Does the Proposer demonstrate operational excellence, industry expertise, transformation capabilities, and adaptability?

Execution: Is the proposed execution of the Statement of Work thorough and consistent with the RFP's stated objectives? Does the proposal include a strategy for coordination and interaction with all relevant parties, including NYSERDA and participants? Is there clear evidence that the Proposer possesses the capacity to implement, coordinate and monitor the tasks assigned? Is it evident that the Proposer demonstrates appropriate understanding and expertise to fulfill the requested tasks?

Staffing: Is the staffing plan and schedule clear and well-defined? Does the staffing plan demonstrate the ability to serve a multitude of participants across New York State? Does the staffing plan account for variability in workstreams? Do key personnel have sufficient qualifications as it relates to computer skills, data management, and customer service?

Cost: How cost effective is the proposal? Is the Proposal Budget example responsive, comprehensive, and clear? Are billing rates reasonable and appropriate? Does the budget reflect or demonstrate the ability to deliver cost effective services across New York State? Are a sufficient number of staff with appropriate the skills assigned to the tasks? Does the proposer provide a reasonable approach to oversight and management to maximize value of services?

Relevant Experience: Did the proposer adequately respond to the business case assignment questions by providing thorough yet concise answers? Did the proposer clearly articulate their approach to the staffing plan and management to provide a high level of service to NYSERDA and market participants? Did the proposer provide artifacts that are clear and concise and provide decision-quality information that can be summarized to NYSERDA? Do the answers showcase a clear sense of experience and knowledge of what is needed to properly manage operations on multiple workstreams?

NYSERDA may consider the following program policy factors in making award selection decisions:

- Performance of proposer through previous NYSERDA contracts, where the services provided are relevant.
- Proposal promotes job creation and/or preservation in New York State when making award selection decisions.
- Proposer has demonstrated the ability to implement continuous process improvements and continue to drive down costs while increasing value over time.
- The degree to which pricing and hourly rates are in line with the rest of the market.
- Proposer has deep experience and knowledge in a market sector NYSERDA is supporting (Commercial, Residential, Clean Transportation)

The award selection process contains multiple steps including an initial eligibility review, ranking by a Scoring Committee of subject matter experts, and considerations such as program policy factors to make the selection decisions.

V. Contracting Considerations

The number of proposers selected for contracts will be determined by the number of providers required to provide all sought services efficiently and effectively relative to the expected volume and workload, while ensuring statewide and sector-wide coverage.

NYSERDA will negotiate contracts for services in fulfillment of the needs of this RFP on the basis of demonstrated competence, qualifications, and rates. Contract negotiations may include 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.

This contract will not guarantee any specific amount of work. The amount of work assigned to the shared service provider(s) will depend on, but not be limited to: particular expertise, current NYSERDA workload, and the ability of the shared service provider to provide high quality, cost-effective, and timely services. NYSERDA may consider the following program policy factors in assigning initiatives and tasks:

- The degree to which the shared service provider has the expertise needed for a given task.
- The degree to which the shared service provider can support the location needed for a given task.
- The degree to which the shared service provider has performed previously assigned tasks.
- The degree to which the shared service provider has the capacity to perform the workload for a given task.
- The degree to which the shared service provider has is cost competitive for a given task.

VI. 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, 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). 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). 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 or multiple award(s) under this solicitation. NYSERDA anticipates a contract duration of six 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 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.

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.

VII. Attachments:

Attachment A – Statement of Work

Attachment B – Task Work Order Template

Attachment C – Project Personnel and Billing Rates

Attachment D – Proposal Budget

Attachment E – Example Standard Operating Procedure (SOP)

Attachment F – Sample Agreement



NYSERDA

KATHY HOCHUL
Governor

RICHARD L. KAUFFMAN
Chair

DOREEN M. HARRIS
President and CEO

**INTEGRATED ENERGY DATA RESOURCE (IEDR) Solution Architect and
Development Contractor
Request for Proposal (RFP) 4968
Up to \$6,500,000 Available**

*NYSERDA reserves the right to extend and/or add funding to the
Solicitation should other program funding sources become available.*

Proposals Due: May 12, 2022, by 3:00 p.m. Eastern Time*

Program Summary: New York State is transforming its electricity system into one that is cleaner, more resilient, and more affordable. Effective access to useful energy data will play a critical role in this transformation. The New York State Public Service Commission (Commission) has authorized creation of an Integrated Energy Data Resource (IEDR) that securely collects, integrates, and provides useful access to a large and diverse set of energy-related data and information on one statewide platform for New York State. The objective of this RFP is to select the IEDR Solution Architect and Development Contractor (Development Team) responsible for designing, building, and operating the IEDR software platform to accomplish the policy goals and program outcomes described in the Commission’s IEDR Order.¹ Proposers may be a single company or team of companies but must, in their response, clearly identify the key employees, subcontractors, or relevant affiliates of all entities who are proposed to fulfill the requirements of this RFP, and their roles.

Proposal Submission: Proposers may complete and submit Attachment C - Intent to Propose to IEDR@nyserda.ny.gov with the email header “IEDR Solution Architect and Development Contractor RFP: Intent to Propose- *Proposing Entity’s Name*” no later than Thursday, April 14 at 5 p.m. Eastern Time if they intend to submit a response to this solicitation.

If proposers would like their contact information listed on NYSERDA’s IEDR website to discuss potential teaming arrangements, please visit NYSERDA’s dashboard and fill out the [IEDR Teaming Arrangement Form](#). A list of interested parties will be kept up to date on the NYSERDA [dashboard homepage](#).

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

¹ <https://documents.dps.ny.gov/public/Common/ViewDoc.aspx?DocRefId={3CDC0522-7F50-49E1-A053-EA236B3DED10}>

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>).

All questions about this RFP must be submitted via email to iedr@nyserda.ny.gov. No communication intended to influence this procurement is permitted except by contacting the Designated Contacts. Questions about this RFP shall be directed using iedr@nyserda.ny.gov to the Designated Contact: Kyle Monsees. 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. 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 non-responsible, 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 specified, 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>).

Proposer Webinar: A Q&A for this solicitation will be held via WebEx on Wednesday, **April 6, 2022 at 12pm Eastern Time**. The ~90-minute session will be an opportunity to review the contract structure, discuss the evaluation criteria, and most importantly answer any questions that you may have.

To register for this event, please use the following [link](#).

If you intend to join the call, you are strongly encouraged to attend from the beginning.

To make the most of this Q&A, all interested parties are encouraged to submit questions to iedr@nyserda.ny.gov by 11:59 PM on April 5. Each question should begin by referencing the RFP page number and section number to which it relates. Questions submitted will be compiled and published to a FAQ where possible. Though NYSERDA will endeavor to answer all questions, those submitted in advance will be answered first. Additional questions will then be taken on the call and, to the extent possible, responses will be provided during the call. You will not be asked to identify yourself on the call. The call may end early if no additional questions are asked.

In addition, NYSERDA will hold a matchmaking session on **Tuesday, April 12** from 12pm to 3pm Eastern Time to assist interested parties in the formation of teaming arrangements. Registration is required to join this event. To register, please use the following [link](#).

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Introduction

New York State is transforming its electricity system into one that is cleaner, more resilient, and more affordable. Effective access to useful energy-related data is required to enable achievement of the State's energy policy goals. The urgency of providing this data has increased with the recent adoption of the Climate Leadership and Community Protection Act (CLCPA) that requires economy-wide net-zero decarbonization in the State by 2050. The New York State Public Service Commission (Commission) has authorized the creation of an Integrated Energy Data Resource (IEDR) platform that will securely collect, integrate, and provide access to a large and diverse set of energy-related data and information necessary to support economy-wide decarbonization at the speed and scale required by the CLCPA.

The Commission's IEDR Order appointed NYSERDA as the Program Sponsor responsible for defining, initiating, overseeing and facilitating the IEDR Program on behalf of New York State, including procuring the services of the IEDR Program Manager. As the Program Sponsor, NYSERDA has filed an Updated Implementation Plan outlining the immediate next steps to plan and implement the IEDR. This RFP seeks proposals for the services of the IEDR Solution Architect and Development Contractor (Development Team) who will be responsible for designing, building, and operating the central IEDR platform as described in the IEDR Whitepaper and adopted by the IEDR Order leading to the operation of the IEDR as described in this RFP.

As a result of the competitive solicitation RFP 4737- Integrated Energy Data Resource (IEDR) Program Manager, NYSERDA finalized an agreement with Deloitte Consulting LLP (Deloitte) on September 28, 2021, to function as the IEDR Program Manager. The Program Manager is responsible for assisting NYSERDA with maintaining and monitoring the overall program schedule and budget and for coordinating the work of all Program service providers, including the Development Team, to ensure that the intended objectives of the IEDR are met. The Program Manager has begun several work streams that will transition to the Development Team after contract award.

As a result of the competitive solicitation RFP 4764- Integrated Energy Data Resource (IEDR) Utility Data Advisor, NYSERDA also finalized an agreement with Pecan Street Inc. (Pecan Street) on September 30, 2021, to function as the IEDR Utility Data Advisor. The Utility Data Advisor is responsible for participating in the Utility Coordination Group and assisting the Steering Committee with understanding utility requirements to support the IEDR.

This RFP seeks proposals for the services of the IEDR Solution Architect and Development Contractor (Development Team) that will be responsible for designing, building, and operating the IEDR platform as described in and adopted by the IEDR Order and supporting relevant documentation.

Relevant Documentation

For relevant documentation, please use the following links:

- [Climate Leadership and Community Protection Act](#)
- [New York Public Service Commission IEDR Order](#)
- [New York Department of Service Staff IEDR Whitepaper](#)
- [New York Department of Public Service Staff Data Access Framework Whitepaper](#)
- [Order Adopting a Data Access Framework and Establishing Further Process](#)
- [IEDR Updated Program Sponsor Implementation Plan](#)
- [NYSERDA's IEDR Dashboard](#)
- [Notice of Utility Data Requirements \(UDR\)](#)

Program Requirements

IEDR Background

At the direction of the Commission, the staff of the New York State Department of Public Service (Staff) filed a Whitepaper regarding the creation of an IEDR platform to provide access to customer, system and other data. The Whitepaper included background information regarding relevant regulatory actions in New York State, including a Commission-directed pilot Distributed Energy Resource (DER) data platform that was implemented recently under the oversight of Staff and NYSERDA. The Whitepaper also considered a recent DER industry group initiative that advocated for the rapid development of a centralized data platform containing utility-sourced information that would be useful to DER providers and other stakeholders. The Whitepaper described and assessed the existing energy information framework in New York State; identified and characterized notable energy data initiatives in other states; and proposed a plan to develop and operate an IEDR for New York State.

On February 11, 2021, the New York Public Service Commission (the "Commission" or "PSC") issued its Order Implementing an Integrated Energy Data Resource (the "IEDR" and "IEDR Order") and directed the implementation of an IEDR to securely collect, integrate, and provide broad and appropriate access to large and diverse sets of useful energy-related information on one statewide data platform. The IEDR Order designated the New York State Energy Research and Development Authority ("NYSERDA") to take on the role of the IEDR Program Sponsor.

While this RFP provides a summary of relevant provisions of the Whitepaper and requirements of the IEDR Order, proposers are directed to and will be expected to be knowledgeable of the contents and requirements of those documents. Responses shall demonstrate familiarity with those requirements and the policies they are intended to achieve. In the event of any inconsistency between these two documents or this solicitation, the contents of the IEDR Order will take precedence, though the IEDR Order and this RFP should be fully aligned.

In a closely related part of this IEDR proceeding, the Commission adopted an order addressing state policies for a uniform and comprehensive Data Access Framework to govern the means and methods for accessing and protecting all types of energy-related information (DAF Order). The DAF Order was preceded by description of such policies in a May 2020 DPS Staff Whitepaper (see link above under *Relevant Documentation*). Consequently, all aspects of designing, implementing and operating the proposed IEDR must be flexible enough to accommodate changes in state policies, including those adopted pursuant to the DAF Order.

Programmatic Goals

The IEDR will provide effective access to useful customer, system and other energy information and data. The success of the IEDR program and the value of the IEDR platform directly depend on the IEDR stakeholders' confidence in the platform as a trusted resource providing reliable and accurate information. Consequently, the IEDR must be designed, implemented, and operated in a manner that ensures the integrity and accuracy of data stored within the IEDR.

At the same time, development of the IEDR must be expeditious. The IEDR Order establishes the regulatory expectation that the IEDR will provide the capability for approximately fifty (50) use cases in approximately five (5) years with specific deadlines for achieving minimum performance capabilities. This approach enables the development, implementation, and operation of the IEDR in meaningful and achievable segments. The Commission established a two-phase schedule of the development and operation of the IEDR, and the Program Manager and NYSERDA have established an intermediate performance objective for the platform:

- Initial public version: The IEDR Program team (i.e., NYSERDA, the Program Manager, and IEDR Steering Committee) is planning for an initial public version of the IEDR to be released in Q4 2022 that will partially or completely address at least three (3) stakeholder use cases. The platform functionality will expand to add use cases incrementally as approved by NYSERDA and Steering Committee.
- Phase 1: The initial IEDR implementation shall enable at least five (5) of the highest priority stakeholder use cases with an expectation that there could be ten (10) or more achieved. The Program Sponsor Implementation Plan (PSIP) reflects an expectation that Phase 1 will be completed within 24 to 30 months of the commencement of work by the Program Manager, placing Phase 1 completion in Q4 2023. The output of Phase 1 will be the IEDR Minimum Viable Product (MVP).
- Phase 2: The initial IEDR will expand and enhance approximately forty (40) additional use cases (for a total of fifty (50) or more), building on the successful implementation and operation of Phase 1. The PSIP reflects an expectation that Phase 2 will be completed 30 to 36 months after the completion of Phase 1; on or about August 11, 2026.

Use Case and Data Development

The IEDR platform will include a range of data and data products, the specific selection and design of which will be based on stakeholder use cases. The IEDR Program's activities will be continually framed through the identification, evaluation and prioritization of use cases that provide the most value to New York State's energy stakeholders.

A stakeholder use case is a simple description of the potential function of the platform written from the perspective of potential platform users. The IEDR Program has adopted a concise template for expressing use cases that includes a self-expression of the user's role (who), their immediate objective in using the platform (what), the result that a platform interaction would support (why), and the types of data or data products that would enable that result (how). Stakeholders can identify any need as a potential use case, but many use cases align with the functional objectives of potential users, including customer or site identification; customer contact; accelerating project implementation or delivery; project planning; regulatory/policy mission or compliance; and grid/system planning.

The types of data likely to be made available to address use cases include: energy usage data (meter readings and associated information); customer data (to pursue consent for data sharing, if applicable); system information on grid infrastructure and operations (including the network location of feeders, transformers, substations, as well as power quality measurements, etc.); and tariff and rate information. The platform may also enable access to non-utility data such as weather, demographics, zoning, building attributes, land attributes, property taxes, real estate values, locations of Disadvantaged Communities as defined by the Climate Justice Working Group, electric vehicle registrations, electric vehicle charger types and locations, localized grid load-serving capacity, distributed energy resource aggregations by operator, distributed energy resource aggregations by grid service, and others. Subject to establishment of appropriate non-disclosure agreements and/or customer consent, certain confidential or sensitive data will only be made available on an aggregated and/or anonymized basis. All aspects of the IEDR, from development through operation, must include the capability to readily accommodate adding new information sources, types, and functions as new needs are identified by stakeholders and prioritized as part of the IEDR development process. The IEDR must also be capable of complying with changes to local, state and federal laws, rules and orders related to cybersecurity and privacy protection.

A use case is a description—from the user’s perspective—of a function of the system.

There are many potential functions of the IEDR across the spectrum of learning to doing something:

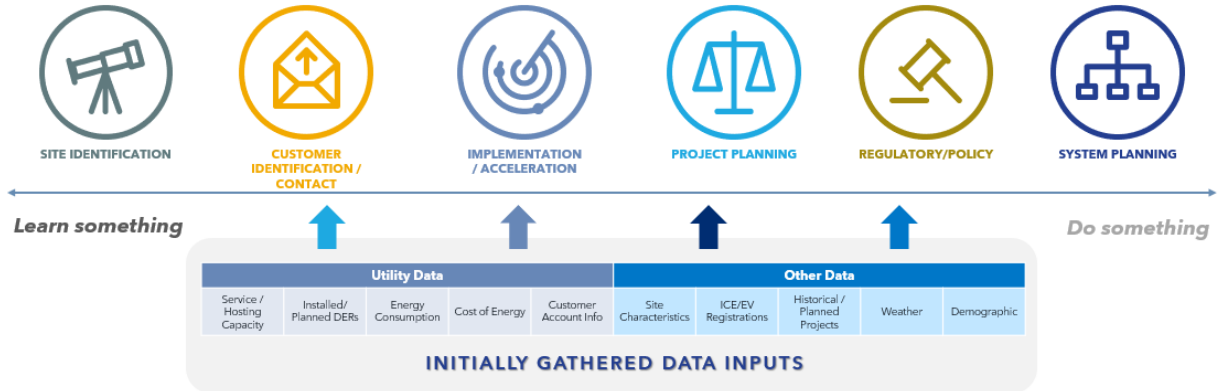


Figure 1.0 Example Functional Objectives of Use Cases and Data Inputs

The IEDR Program is taking an Agile approach to use case development and the subsequent solution architecture and design activities needed to fulfill the programmatic goals described above. Based on stakeholder engagement conducted to date, it is clear that certain IEDR functions would be valuable on their own in addition to also supporting other use cases. The IEDR Program describes such functions as foundational capabilities and they include, but are not limited to:

- an automated and standardized background process that can compensate for large amounts of missing interval data, due to ongoing deployment of smart meters and estimated or missing monthly reads, by synthesizing estimated customer interval data based on the customer’s monthly consumption and the generic load profile of the customer type;
- the enablement of a customer bill calculator using digitized tariff parameters;
- capability to evolve to continually analyze its various data sets to generate additional relational information that is not obtainable from other sources;
- using real and synthesized customer interval data to calculate network demand at user specified grid locations; and
- an efficient process for requesting customer consent to share their energy usage and/or bill data.

NYSERDA is interested in balancing established, tried and true technologies and approaches with innovative and emerging technologies. This means that proposals should include proven commercial-off-the-shelf (COTS) solutions to address these parent use cases and key architectural components of the IEDR, provided such solutions are practical, feasible, and supportive of the operational milestones established in the IEDR Order.

NYSERDA began IEDR use case development in mid-2021 and work has continued into the present with direction by the Program Manager. Through public meetings, focus groups, and one-on-one interviews, the Program Manager has developed a more detailed understanding of use case objectives, and has identified the data elements needed to address each use case. The Program Manger and the Utility Data Advisor work together to assess the availability, accessibility, and format of needed data from the utilities, and are coordinating with the utilities to plan for the transfer of needed data. The Program Manager has developed a framework for

prioritizing use cases that considers both the expected impact of each use case in helping New York State meet its climate goals and the feasibility of addressing each use case.

Up-to-date information about the state of use case development – use case definitions, data availability, and prioritization - is available through the periodically updated IEDR dashboard: [Integrated Energy Data Resource - NYSERDA](#).² Proposers are encouraged to review this material in detail to inform their responses to the requirements of this RFP. As noted in the Statement of Work (SOW), the Program Manager will transition use case development to the Development Team following contract award.

Design and Development Considerations

Design and operation of the IEDR platform is expected to reflect insights gained from platform business models generally to help inform practical decisions about the development and roll-out of the IEDR. Proposers should have an understanding of how to use energy-related data and data products to expand opportunities for new technologies, approaches and business models to address existing and foreseeable grid challenges (i.e., innovation), as well as how the platform could lower the barriers to market transactions by supporting and facilitating connections between buyers and sellers of clean energy products and services while protecting the privacy rights of consumers.

Information that guides platform users through the relationships among the various data elements in the IEDR will materially affect the users' ability to find, analyze, and generate useful information. While valuable relational information is expected to be provided by the IEDR's data sources, the IEDR itself will have the capability to evolve to also be able to continually analyze its various data sets to generate additional relational information that is not obtainable from other sources. The design, development and operation of the platform should allow for flexible continuous development based on user requests and observed patterns of use of platform data.

The platform is expected to include analytic tools to enable energy stakeholders to design and run useful queries and calculations that can operate across all data types in the IEDR platform. These analytic tools are intended to be a means to obtain valuable technical and business insights that will lead to improvements in the development and implementation of public policy, operational decisions, and investments that will accelerate the attainment of New York State's climate and clean energy goals. The number and functionality of those tools are expected to increase over time to align with and support the use cases that become operational as part of the IEDR. The timing of the development and deployment of such tools will reflect consideration of the time and cost of development and implementation, the priority assigned to the use case(s) supported by the tools and the extent to which the analytic tool is essential to provide efficient and useful access to the data related to the use case.

Solution Architect and Development Services Requested

Proposers are encouraged to pursue teaming arrangements to provide the full scope of services included in the draft SOW. When describing teaming arrangements that will allow the proposer to perform all services included, proposers shall clearly articulate the advantages of the proposed teaming arrangement and how functioning as a team will enable them to more effectively meet the Phase 1 schedule described under *Programmatic Goals*. As later described under *Proposal Requirements*, proposers must also articulate their ability to work, and their experience working, in a delivery environment that involves extensive coordination and collaboration with non-team entities (e.g., Program Manager, Utility Data Advisor).

² <https://www.nyseda.ny.gov/All-Programs/Integrated-Energy-Data-Resource>

The selected Solution Architect and Development Team will be engaged throughout both Phase 1 and 2. NYSEDA will reserve the right to accept or reject the proposed SOW, teaming arrangements, technologies, etc. received in any proposal. If future competitive procurements are issued for additional services, the entity/entities awarded under this RFP will be subject to a conflict-of-interest review to determine eligibility to bid. Bidders will disclose any potential perceived conflict of interest.

Additional Requirements

Security Requirements

The successful proposer, the providers of all services and technologies and all components of the IEDR, will be required to comply with the appropriate data and system security policies described in this section.

Data Access Framework Requirements

In an Order issued on April 15, 2021, the Commission established a comprehensive Data Access Framework (DAF) to govern the means and methods for accessing and protecting all types of energy-related information. The DAF includes policies that specify the approaches and criteria for determining whether any given actor is trustworthy and has a legitimate reason for accessing and using any given type of data. Specifically, the DAF Order sets the groundwork for a Data Ready Certification (DRC) process for which the IEDR will be required to utilize when managing user permissions on the platform.

Policies within the DAF stipulate when and how to implement constraints that minimize threats to confidentiality and security. Outside the DAF Order, additional information can be found in the [Data Access Framework Matrix](#).


The DAF Order also addresses the need for standardized web-based and non-web-based customer consent mechanisms that empower customers to share and control access to their utility data. It is anticipated that the IEDR will leverage the Green Button Connect (GBC) standard, as well as additional standards developed and tested by NYS utilities, to enable use cases that support customers in managing various levels of consent permissions via the IEDR platform. This will require the IEDR Development Team to leverage and support existing and yet to be developed utility consent mechanisms. These mechanisms may be manual and utility specific at first and mature to incorporate automated and standardized processes over the life of the IEDR.

All aspects of implementing and operating the IEDR must comply with the policies comprising the DAF and all future Commission orders and directives related to the DAF.

New York State Information Technology Services Requirements

The NYS Office of Information Technology Services (ITS) establishes and regularly updates policies, standards, and guidelines for information security (collectively referred to as "ITS Security Policies") for State Entities, including NYSEDA. Contractors, vendors, and solution providers conducting work on behalf of NYSEDA including, but not limited to, application development, web development, hosting, or managing NYSEDA's sensitive data are required to comply with the NYS requirements. These requirements include, but are not limited to, the NYS Information Security Policy NYS-P03-002 which sets forth the minimum requirements, responsibilities and accepted behaviors to establish and maintain a secure environment and achieve the State's information security objectives. In addition to this

umbrella policy, the following standards establish specific minimum information security requirements:

- [Vulnerability Scanning Standard \(NYS-S15-002\)](#) 
- [Security Logging Standard \(NYS-S14-005\)](#) 
- [Patch Management Standard \(NYS-S15-001\)](#) 
- [Encryption Standard \(NYS-S14-007\)](#) 

A complete list of ITS Security Policies is available at:

<https://its.ny.gov/tables/technologypolicyindex>

The contractor selected under this solicitation shall notify NYSERDA's Information Security Officer immediately upon discovery, notification, or reasonable belief of any security breaches or vulnerabilities:

- information.security@nyserda.ny.gov
- (518) 862-1090 x3486

Additional Security Requirements

The following are additional non-negotiable requirements a successful proposer will need to meet:

- The successful proposer will be required to hold, at minimum, a \$25 million cybersecurity insurance policy throughout the term of the contract. This requirement will apply to all contracted entities with access to confidential utility data.
 - The successful proposer will be required to meet, at minimum, annually with the insurer and provide up to date, clear, and comprehensive documentation of what is and is not covered by the policy for NYSERDA's review
- The entity that will host IEDR data will be required to furnish evidence of a successfully completed SOC II Type 2 audit prior to entering a contract with NYSERDA for IEDR services.
- The successful proposer will be required to sign a vendor service agreement, data security agreement, and non-disclosure agreement (which may be standardized for streamlined negotiation) with each utility sharing data with the IEDR before any utility data exchange may occur. The NYS Joint Utilities have requested the NATF Supply Chain Security Criteria (Attachment D) be provided as an illustrative and publicly available document regarding utility cybersecurity expectations and requirements.
 - Note: Attachment D is included as an example and may not be wholly representative of the exact term sheet required by the utilities. Utility data security agreements may require additional or altered cybersecurity and/or cybersecurity insurance provisions. Specific provisions that are not included in a standardized agreement will be negotiated directly between the successful proposer and the utilities. The successful proposer may be required to allow utilities to assess their capabilities to confirm compliance with cybersecurity provisions.
 - The contract resulting from this solicitation will contain a go/no go clause; if the awarded respondent cannot execute these agreements with the utilities, NYSERDA will reserve the right to terminate the contract. For more details,

see Exhibit B, Article XII, Section 12.02 Termination of Attachment B - Sample Agreement.

- The successful proposer will be required to accept NYSERDA's indemnification provision under Article X of Exhibit B of Attachment B - Sample Agreement as-is and without limitation.

The awarded Contractor shall provide an Information Technology (IT) Security Management Plan. Within 30 days after the contract effective date, and annually thereafter, the successful Contractor shall submit for NYSERDA approval a comprehensive IT Security Management Plan, which will be incorporated into the contract. NYSERDA will review the plan for completeness and identify to the Contractor substantive weaknesses and omissions for necessary correction. Once the Contractor has corrected the substantive weaknesses and omissions, NYSERDA shall incorporate the approved plan into the contract as a compliance document.

The following information is requested to be included in the IT Security Management Plan:

- Security Awareness and Training Policy Procedures
- Incident/Breach Reporting and Notification Plan and Procedures
- Cyber Hygiene Procedures, Data Vulnerabilities Assessments, and Risk Management Process, including the proactive prepping, testing, or other activities the vendor anticipates performing on a regular basis to ensure cybersecurity controls are performing as intended (e.g., tabletop exercises, penetration testing, etc.)
- Plans for end-users' agreements, including proposed data access and platform connection terms

Proposer Eligibility and Qualifications

NYSERDA anticipates awarding one contract through this RFP that covers all services requested in the draft SOW for Phases 1 and 2 of the program. Proposers may be a single company or team of companies but must, in their response, clearly identify the key employees, subcontractors, or relevant affiliates of all entities who are proposed to fulfill the requirements of this RFP. If a proposer includes a partnering arrangement with third parties in their proposal, the proposer will retain sole responsibility for successful completion of the work under a resulting contract. Teaming arrangements that include Minority- and Women-owned Business Enterprises (MWBs) or Service-Disabled Veteran-Owned Businesses (SDVOBs) will be favored in proposal evaluations.

If a team of companies submit a proposal, the prime contractor or team lead may only submit one proposal with one teaming arrangement. There are no limitations or restrictions on appearing as a subcontractor in teaming arrangements for multiple proposals.

The successful proposer must demonstrate a clear understanding of the IEDR as described in this RFP. Proposers must demonstrate the ability to provide, at a minimum, all relevant services as outlined in this RFP. The selected Development Team will provide NYSERDA with a dedicated team of high-quality professionals who will support the IEDR. Proposers must identify one qualified team member who will be responsible for leading the initiative outlined in this RFP and this designated project lead cannot be replaced without consulting with NYSERDA.

The successful proposer must have and maintain an investment grade credit rating of BBB- or its equivalent. If the proposer does not have a credit rating from Moody's, S&P or Fitch it may provide certified financial statements for 2021 that demonstrate proposer's credit worthiness. NYSERDA will solely determine whether the proposer is credit worthy. If

proposer has a parent that has an investment grade credit rating the parent may provide a parental guarantee to the proposer to qualify proposer to respond and enter a resulting contract.

Contract Term

NYSERDA anticipates awarding a contract for an initial five-year term. There will be ongoing regular evaluation and performance reviews which will inform NYSERDA's future contracting decisions. There will also be a more formalized evaluation completed during Phase 1 (24-30 months from October 1, 2021) to assess the selected Development Team's performance and determine whether Phase 2 will be pursued. Among other factors, the evaluation process will assess adherence to scope, schedule, budget, and overall performance. Phase 2 funding (years 3 through 5) is contingent on the availability of funding and may be expanded or otherwise impacted by future Commission approvals or directives under the IEDR proceeding. At the end of the contract term, the selected Development Team will be responsible for all turnover and data destruction deliverables outlined in the statement of work Task 9. Technology and Data Transfer.

Proposal Requirements

Proposers must submit their proposal by the due date in accordance with the instructions described on the front of this RFP. 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. Proposals that are excessively long or fail to follow the format guidelines may be rejected as nonresponsive. Proposals should concisely present the information needed to fully address the evaluation criteria (see Section IV). Each page of the proposal shall state the name of the proposer, the RFP number, and the page number. Each response shall reference the RFP section(s) and/or Task(s) for which the response is provided.

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 the Section V instructions for submitting proprietary material. The ability to clearly and concisely provide the requested information will illustrate command of the subject matter.

The proposal must be a single file with the items in the format and sequence indicated below.

Section 1: Introduction and Proposal Narrative

Section 2: Approach

Section 3: Statement of Work

Section 4: Staffing Plan

Section 5: Qualifications

Section 6: Cost Proposal

Section 7: Schedule/Work Plan

Section 8: Appendices

Section 9: Letters of Commitment

Section 1. Introduction and Proposal Narrative

Proposers shall briefly identify key information about their organization and any proposed subcontractors. Proposers shall describe why they believe that they are qualified to perform and complete the services requested under this RFP.

The Proposer must include the following information in their response:

- Firm or organization name;
- Identification of any subcontractors and/or partners that are part of the proposal, and general comments regarding what their role would be;
- Address;
- Telephone number; and
- Primary contact person telephone and e-mail address.

Proposers shall demonstrate their knowledge of New York State's CLCPA and understanding of how the IEDR advances the goals and policies of the CLCPA. The proposal introduction shall summarize the proposer's understanding of the IEDR Program's goals, principles and processes, and should identify potential tradeoffs or challenges that could impact user experience and/or the mandated schedule, and highlight the attributes of the Proposer or its approach that may help overcome them.

Section 2. Approach

Proposers shall provide a narrative of the proposed approach to providing all aspects of the services requested under the RFP, addressing the goal of obtaining the best overall value for New York State and involved stakeholders while accelerating implementation of the IEDR and reducing cost and risk.

Proposers shall align tasks in the Statement of Work to their approach, and describe how such tasks will be performed, managed and monitored to ensure success.

The Proposer's overall approach shall describe the following:

- The project management strategy and best practices you will utilize to ensure all requirements within scope are met within budget and schedule. This shall include:
 - Agile management techniques, project tracking tools and standard documentation proposed to streamline and accelerate the IEDR's design, build, and deployment
 - the communication and change management approaches you will use during this assignment, as well as what resources and practices will be required from NYSERDA to make these approaches work; and
 - your approach for working in inter-organizational teams, especially in a delivery environment where the organizations may have never worked together before.
- Strategies for maximizing the likelihood of meeting IEDR program deadlines and/or accelerating development of IEDR capabilities. This may include (but is not limited to) ideas related to:
 - use case prioritization and/or development;
 - process acceleration and/or work sequencing opportunities; and
 - leveraging commercially available technology solutions.
- Describe your approach to designing all technical components of the IEDR architecture, including:
 - How you intend to transition use cases and requirements that have been developed by the Program Manager into your IEDR requirements and development process;
 - How you will use existing industry standards in your solution to expedite, standardize, and enable interoperability.
 - Your approach to planning and overseeing complex data integrations and the extraction, transformation, and loading of data from diverse systems.
 - Your approach to relating, warehousing, or otherwise storing data from a diverse set of systems consistent with industry best practice.
 - The platform and architecture alternatives the Proposer anticipate as feasible and preferable for the IEDR, given the required interfaces and databases needed to access data from sources, including alternative approaches that were considered and the reason(s) the proposed approach was determined to be superior.

- The primary challenges you anticipate in IEDR design, how the Proposer and team members have successfully dealt with those challenges before, and the resources and practices that would be required from NYSERDA to make these approaches work.
 - How the Development Team will design the IEDR to minimize the likelihood and impact of cybersecurity risks
 - How the Development Team will implement and support consent mechanisms that will allow NY utility customers to set and manage their data sharing permissions with IEDR platform users, leveraging the GBC standard and other standard web-based and non-web-based mechanisms as designed by NYS utilities and as directed by the DAF Order.
- Describe your approach to designing, building and operating the IEDR, and providing additional services, including:
 - How the Development Team will accelerate its onboarding of program activities from the Program Manager, including 5-10 use case packages, preliminary requirements and partial solution architecture, and Presentation Tier wireframes to support the rapid development of the initial public version of the IEDR and Phase 1 MVP.
 - How the proposed approach provides for the IEDR to continually and cost-effectively refine and expand its capabilities and take advantage of ongoing developments in data architecture, data operations, data access, security and other relevant topics throughout the life of the IEDR.
 - An overview of any proposed software solutions to be leveraged.
 - A description of standards and/or advanced, emerging, or novel techniques to be leveraged in the proposed solution (e.g., data fabrics or other advancements in data management architecture).
 - The industry-standard design and testing methods to be employed.
 - How the Development Team will design and develop an appropriate training plan and materials for training to NYSERDA, utilities, and user groups, and how training will promote productive user engagement with the IEDR.
 - The processes the Development Team will use to identify and resolve issues arising from disparate stakeholder interests regarding service metrics (e.g., data accuracy, accessibility, formatting) that may impact the user experience.
 - The primary challenges you anticipate in IEDR development, testing, integration, adoption, and operations, and how the proposer and team members have successfully dealt with those challenges before.
 - How the Development Team will transfer all aspects of the IEDR project, including administration and operation of the as-built environment, to NYSERDA or its designated agent at the contract term.

The proposer must confirm their ability to meet all NYS and utility security requirements, as well as demonstrate how their capabilities are robust enough to evolve with improvements to existing requirements. As the Development Team will need to access sensitive data and ensure that sensitive data is properly protected, the proposer shall detail the basic technical and non-technical controls that allow their proposed solution to comply with the security requirements outlined in this solicitation, as well as state any other relevant information pertaining to data governance and security. In addition, the Proposer must confirm its ability to hold the required cybersecurity insurance policy throughout the term of the contract and that it can produce evidence of a successfully completed SOC II Type 2 audit.

If the proposer believes there is a substantial difference in effort and cost between meeting the NYS security requirement listed in this RFP and the criteria listed in the NATF Supply Chain Security Criteria, the proposer should clearly articulate this, listing an explanation of the delta, cost assumptions to meet both sets of requirements, and all assumptions used to price each. If there are other relevant cybersecurity standards or frameworks you are currently leveraging and

in compliance with (e.g., a National Institute of Standards and Technology (NIST) Special Publication, the International Organization for Standardization and the International Electrotechnical Commission (ISO/IEC) 27000 standards, etc.), especially if they are utility specific, please include references to standard or framework documentation, details regarding relevance to the IEDR, and any relevant pricing information for comparison if different than the information listed for the NYS ITS and/or NATF Supply Chain Security Criteria.

As part of the response to this RFP, the proposer will also, at minimum, provide the following financial information:

1. The proposer shall provide two years of audited financial statements including the following ratios for the most current financial statement:
 - a. Working capital ratio
 - b. Current ratio
 - c. Accounts receivable ratio, and
 - d. Debt to equity ratio
2. The proposer shall have and provide their corporate, investment grade credit rating (BBB/Baa2 or higher) issued by a rating agency. The rating agency should be noted.
3. NYSERDA may run a credit advisor report from Dun and Bradstreet (D&B). Each proposer should include their D&B D-U-N-S number in their proposal. Information from the D&B report that may factor into the decision of whether the applicant is credit worthy includes:
 - A) Risk of Debt Write-Off
 - B) Cash Flow Risk
 - C) Payment Behavior
 - D) Delinquency Predictor Score
 - E) Financial Stress Score

Section 3. Statement of Work

The SOW will delineate each step required to deliver the services under the RFP and as described in the IEDR Order and detailed in Section 5 of the Whitepaper. If there is any discrepancy between the IEDR Order and Whitepaper, the IEDR Order will take precedence. The SOW is the primary contractual document that outlines work activities and specifies deliverables.

The following preliminary SOW includes all tasks and deliverables anticipated for the Development Team. These tasks will be used as the basis for the draft Agreement between NYSERDA and the awardee. The Proposer shall include this SOW in their proposal, including any additional tasks and deliverables if needed or recommended. All additions to the following preliminary SOW shall be clearly marked as new, recommended content, and the budget for those items shall be clearly separated in Section 6. Cost Proposal.

The following tasks are requested, along with their corresponding deliverables:

Task 1. Project Management

The Development Team is responsible for developing a schedule/work plan (Section 7.) and budget to be integrated into the IEDR Program's integrated master schedule and budget, both maintained by the Program Manager. The schedule/work plan and budget shall clearly describe:

- the use of Agile best practices that allow for frequent deliverables and constant insight into the work being performed (Agile is strongly preferred unless otherwise justified); and
- the communication and change management approaches you will use during this assignment, as well as what resources and practices will be required from NYSERDA to make these approaches work.

The Development Team will be responsible for coordinating with NYSERDA, the Program Manager, and other entities, including the Steering Committee, Utility Data Advisor, Advisory Group, and Utility Coordination Group, as necessary. The Development Team will be responsible for integrating feedback from these groups into the IEDR's development on an on-going basis.

- **Deliverables:**

- Schedule/Work Plan in MS Project, for integration into the IEDR Program Integrated Master Schedule, including a continuously updated Work Breakdown Structure, Product Roadmap, Sprint structure, and release schedule or similar best of class documentation as agreed to by NYSERDA
- Documentation of product backlog, sprint backlogs, epics, features, user stories, and tasks, updated or created as appropriate during each sprint
- Cost Management Plan, including budget estimates and estimate methodology and assumptions, developed using industry best practice
- Monthly reports, including Burndown Charts and/or other industry standard documentation and tools, that fully and accurately describe expenditures, both actual and planned

Task 2. Identify and Characterize Beneficial IEDR Use Cases

The Program Manager has defined the use case identification, development and prioritization frameworks. Upon award, the Development Team will receive 5-10 use case documentation packages that have been developed by the Program Manager. Following a mutually agreed upon transition, the Program Manager will transfer the development of additional use cases within this framework to the Development Team, with an expectation that a sufficient number of use cases to satisfy Phase 1 IEDR objectives will have been initiated by the Program Manager.

The Development Team will identify additional use cases emerging from user experience and feedback on the initial public version of the IEDR and all future iterations, while continuing the use case identification process initiated by the Program Manager. Under the direction of NYSERDA and guidance of the Program Manager, and working with stakeholders and the Advisory Group, the Development Team will continue to capture use case requirements, design preliminary use case solutions, and conduct a feasibility assessment and prioritization of newly identified use cases.

- **Deliverables:**

- Complete Use Case Documentation, including:
 - A list of clearly defined use cases;
 - All business and functional requirements for enabling each use case, clearly linked to the broader requirement documentation as described in Task 3. Requirements Documentation;
 - Preliminary Use Case Solution Documentation; and
 - Documentation of a feasibility assessment and a ranking based on prioritization for each use case.

Task 3. Requirements Documentation

The Program Manager is developing the process for documenting the requirements for fully implementing the IEDR using industry best practices, including the change management process for requirements. The Program Manager has also developed an initial preliminary Solution Architecture to reflect use cases addressed to date.

The Development Team will document the solution architecture and detailed requirements for fully implementing the IEDR using industry best practices. Architecture and implementation requirements will be tracked and updated throughout the course of the project with input from the project team and stakeholders, and in accordance with the established change management

process. This work will be transitioned from the Program Manager, who is currently leading this work.

- **Deliverables:**
 - A Requirements Management Plan, a Requirement Traceability Matrix, a Product Requirements Document (PRD), an Integrated Requirements Document (IRD), and/or some similar combination of industry standard artifacts that can be used to track business and functional requirements across the development lifecycle and hold all members of the Development Team accountable for specific outcomes.
 - Document(s) shall capture all relevant IEDR processes and procedures and shall be kept up to date as requirements are discovered or specifics are determined.
 - Expected documentation will be finalized by NYSERDA in consultation with the Program Manager at the beginning of the project.

Task 4. Development and Integration of Detailed and Implementable IEDR Designs and Specifications

IEDR implementation comprises deployment, integration, and activation of all elements needed to address developed use cases and the IEDR solution architecture requirements. The Program Manager is developing a partial (minimum 3 use cases) wireframe of the IEDR initial public version Presentation Tier that will be shared with the Development Team. Upon award, the Development Team will be responsible for developing a Preliminary Implementation Plan that describes the elements, structure, timing, deliverables, and estimated cost of the implementation effort.

The Preliminary Implementation Plan will reflect approved use cases, and therefore will iteratively adapt as use cases (and any resulting solution architecture requirements changes) are approved. Following approval of an iteration of the Preliminary Implementation Plan, the Development Team shall specify the detailed requirements for fully designing the IEDR. The complete IEDR design would comprise descriptive text, specifications, tables, diagrams, configuration parameters, data definitions, data schemas, computer code, operating procedures, and other work products that describe and explain all aspects of the IEDR's composition, configuration, and operation to address approved use cases. The complete design scope shall encompass the IEDR and all the other entities (systems and people) that will interact with the IEDR. The finished design must provide all the information needed to procure and execute all necessary IEDR implementation services.

- **Deliverables:**
 - Draft Solution Architecture Documentation, including:
 - Preliminary Design Plan;
 - Preliminary Implementation Plan; and
 - Preliminary Operating Plan.
 - Solution Architecture Documentation finalized using input from the Program Manager, Utility Coordination Group, Advisory Group, etc. and updated throughout the development process.
 - Documentation of all privacy and cybersecurity policies and controls to be deployed.
 - Documentation of all technical infrastructure, including Interface Control Documents (ICDs) and data architecture diagrams (or similar industry standard documentation), to be updated throughout the development process.

Task 5. IEDR Core Build and Configuration

Based on the solution architecture, requirements, and designs, the Development Team is responsible for building and configuring the IEDR core platform to support the milestones contained in the Integrated Master Schedule, including:

- An initial public-facing version of the IEDR, addressing partially or completely at least three (3) stakeholder use cases, to be available by Q4 2022;
- An IEDR MVP, addressing at least five to ten (5-10) stakeholder use cases, to be available by the end of Phase 1 (on or about August 11, 2023); and
- An IEDR addressing at least forty to fifty (40-50) use cases by the end of Phase 2 (on or about August 11, 2026).

If utilizing COTS technology solutions, the Development Team will be responsible for configuring the software to meet the project requirements. If building custom software, the Development Team will be responsible for planning, writing, commenting, compiling, and testing all relevant code to meet the project requirements.

The IEDR core platform shall:

- be constructed using industry best practices;
- be constructed in a modular and flexible manner;
- be technology agnostic and leverage proven COTS solutions, when practical and feasible;
- allow for upgrades and expansion of the system without significant rework or downtime; and
- keep pace with technical and market changes and best practices over time.

The IEDR core shall include, at minimum, the following components:

- All data connections, parsers, etc. required to receive and/or pull data from the appropriate data sources as specified by the prioritized use cases;
 - A Data Tier, including all relational databases required for long- and short-term storage of data required to meet the prioritized use cases;
 - A Logic Tier, including all business logic required to request and manipulate the data to meet the prioritized use cases;
 - A Presentation Tier, including all user interfaces and web applications required to receive user inputs and display information to meet the prioritized use cases; and
 - Appropriate data access controls to restrict access to data where applicable as documented in the requirements to meet the prioritized use cases.
- **Deliverables:**
 - All new code developed over the course of the program and existing proprietary code to be deployed over the course of the program, commented at the unit-level (at minimum) and made available for NYSERDA review;
 - Configuration documentation for all third-party products and services;
 - Documentation that all IEDR core architecture is accessible and secured in accordance with NYS-P03-002 and any other NYSERDA approved security framework as proposed by the Program Manager; and
 - Fully implemented and documented mechanisms for recording, managing, and enforcing customer consent for third-party data access as specified in the GBC standard and as developed by NYS utilities in accordance with the DAF Order.

Task 6. Deployment, Integration, Testing, and Commissioning of Components and Services

With guidance and assistance provided as needed by NYSERDA and the Program Manager, the Development Team will acquire, deploy and integrate all components and services followed by

testing and commissioning all of the IEDR platform capabilities to support the milestones contained in the Integrated Master Schedule, including:

- An initial public-facing version of the IEDR, addressing at least three (3) stakeholder use cases, to be available by Q4 2022;
- An IEDR MVP, addressing at least five to ten (5-10) stakeholder use cases, to be available by the end of Phase 1 (on or about August 11, 2023); and
- An IEDR addressing at least forty to fifty (40-50) use cases by the end of Phase 2 (on or about August 1, 2026).

Before any IEDR capability is commissioned for use, acceptance testing will be developed and performed, and the results documented for each related IEDR operating function. The Development Team will perform all appropriate unit, system, string, end-to-end, stress, and all similar testing as appropriate utilizing industry best practice and as overseen by the Program Manager (See Section 5.9 of the IEDR Whitepaper for more detailed information on this professional service area).

- **Deliverables:**
 - Documentation of all test cases and documentation of success or failure and remediation;
 - Documentation demonstrating commissioning of all IEDR elements as designed; and
 - Documentation of automated regression test scripts.

Task 7. System Administration and Operation

Administration and operation of the IEDR shall commence and evolve as IEDR capabilities are released for testing, commissioning, management, and support. Once an IEDR capability is activated, the Development Team shall perform all the operating functions needed to achieve the functionality and performance specified for that capability, with guidance and oversight from NYSERDA and Program Manager. Operating functions performed by the Development Team shall include, but not be limited to planning, scheduling, system administration, process control, performance monitoring, system maintenance, access control, problem detection, problem resolution, change management, user support (including the maintenance of a customer help desk, up to date training materials, version documentation, etc.), and reporting.

The Development Team will be responsible for engaging with the Advisory Group and obtaining operations-related inputs from the utilities, third-party data sources, providers of system services, and IEDR users.

- **Deliverables:**
 - IEDR operations plan and schedule, including the specific requirements for operating the IEDR; and
 - IEDR training plan, schedule, and materials, including documentation, training videos, and other self-service training materials.

Task 8. Technology and Data Transfer

The Program Manager has developed a Turnover Plan, outlining the process by which all responsibilities, operational knowledge, and all platform artifacts will be transferred to a successor designated by NYSERDA in an orderly fashion such that operational capacity of the IEDR is not interrupted. Once the Turnover Plan is approved by NYSERDA, it will apply to all IEDR Program participants including the Development Team. When the contract ends, regardless of why the contract is ending, the Development Team shall cooperate with NYSERDA in the orderly transfer of responsibilities to a successor designated by NYSERDA and shall exercise good faith and due

diligence to transfer duties to any such successor engaged by the Project Sponsor. The transfer process shall be executed through the Program Manager. The Development Team shall provide the Program Manager with all information, manuals, technical specification, etc. used to build and commission the IEDR, as it pertains to components of the IEDR core designed for the Project Sponsor, and required to continue the efficient operation, control, and maintenance of the IEDR.

In addition, the Development Team must ensure that all sub-contracts are assigned to NYSERDA and/or a successor as specified by NYSERDA as stipulated in each sub-contract. If software was developed by the Development Team (including its sub-contractors) the Development Team must provide a successful transfer of ownership of said software to NYSERDA (via the Program Manager or directly) and/or a successor as specified by NYSERDA.

Upon conclusion of the contractual relationship, including all data retention requirements, and after transferring the appropriate data files to NYSERDA, and receipt of appropriate NYSERDA approvals, any confidential data and information used as part of the project shall be destroyed by the Development Team, and the Development Team shall countersign a letter to NYSERDA certifying this has occurred.

- **Deliverable:**
 - An up-to-date Turnover Plan with all project-related code, data files, documentation, contracts, and other materials;
 - Countersigned letter affirming all technology developed under contract with NYSERDA has been transferred to NYSERDA or a NYSERDA designated successor; and
 - Countersigned letter affirming data destruction has occurred as instructed.

Task 9. Project Support Beyond Scope

(Optional - may be added to final contract at NYSERDA's discretion)

Change orders or other work not covered in previous tasks authorized by NYSERDA may be billed on a time and materials basis as provided in Attachment B- Budget. Change orders and additional scope will be documented and approved by NYSERDA prior to the initiation of work or access to contingency funds are granted.

Section 4. Staffing Plan

Proposers shall provide an organizational structure that facilitates effective leadership and quality staff services. Identify the main point of contact for NYSERDA, the Program Manager and other key participants in the project. Describe their individual expertise and explain how each will contribute to the work, providing details regarding which staff will perform each task as listed in the SOW. Describe the team's management and technical expertise and relevant experience with similar projects. Please include an organization chart showing the relationship among all personnel and subcontractors. The duration for which the staff member will perform the proposed role (6 months, 1 year, on-going basis, etc.) shall be documented in the Staffing Plan or a similar document.

The Development Team shall maintain an accurate Organizational Chart clearly delineating organizational roles, lines of authority, and current resources, to be updated as necessary to denote any staff changes, and inclusive of any sub-contacted entities. To maintain project continuity and a smooth transition, the Development Team may make changes to key personnel subject to consultation with and approval by the NYSERDA project manager.

The proposal shall highlight the abilities of the primary contact who will be responsible for communications with NYSERDA, development of work specifications, and oversight of product

delivery (at least through Phase 1). The proposal shall also clearly demonstrate the project team's experience and competency in the following areas:

- Business Analysis;
- Identifying, defining and prioritizing use cases by synthesizing input from stakeholders;
- Managing complex and/or novel data projects including connecting and sharing and protecting data across diverse systems;
- Experience with IT project management and implementation spanning from requirement gathering through robust end-to-end testing; and
- Experience implementing proven commercial off the shelf software solutions and innovative advancements in technology to successfully complete similar projects.

Resumes of key personnel highlighting relevant experience shall be included as appendices.

Section 5. Qualifications

Describe how the Proposer's staff and other team members meet the required experience, skills, and abilities to perform the services described in this RFP. State the individual and combined expertise that would enable successful completion of the objectives outlined in this solicitation. Provide relevant background information demonstrating the ability to successfully provide the required services, including prior experience in managing the design and implementation of complex big data access projects, incorporation of stakeholder/user feedback, and budget management. Describe how in similar projects, the Proposer was able to successfully work in inter-organizational teams, especially in delivery environments involving extensive coordination and collaboration with non-team entities.

Cite specific examples of previous successful relevant projects. Include the name and telephone number of at least two (2) references for whom your organization has completed relevant projects.

Section 6. Cost Proposal

A total project budget for both Phase 1 and Phase 2, including all professional services included in the proposal must be provided using the attached Budget Form (see Attachment A). A firm budget (that is, the amount that would be included in contracting documents) must be provided for Phase 1. If a proposer believes that they do not have sufficient information to present a firm cost proposal, a projected budget may be presented. Any costs that are presented as projected must be accompanied by a detailed explanation of what information would allow for more certainty in the projected costs. Detailed assumptions shall be included with every budget to explain how values were derived. A firm or projected budget accompanied by the information requested for the Phase 1 budget must be provided for Phase 2; the final Phase 2 budget may be updated in consultation with NYSERDA following contract award. 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.

Section 7. Schedule/Work Plan

Submit a schedule for conducting the work proposed in the SOW in Gantt charts or similar format in terms of weeks and months from contract award. Provide a firm schedule for Phase 1 and a projected schedule for Phase 2; the Phase 2 schedule may be updated in consultation with NYSERDA following contract award. Proposers should allow time for correspondence with and approval of tasks by NYSERDA. Note that hours allocated in the work schedule must be consistent with those in the budget and SOW.

Section 8. Appendices

Include resumes, company qualifications, or ancillary information which is deemed necessary to support your proposal.

Section 9. Letters of Commitment

If proposers are relying on any other organization to do some of the work or provide services or resources, include a letter of commitment from that organization describing its planned participation. Absence of letters of commitment may be interpreted as meaning that the proposer has not secured a firm commitment from the subject parties.

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, 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. In the evaluation of the Cost Proposal, firm costs will be given more weight than projected costs; projected costs that are accompanied with detailed explanations of the assumptions underlying the projected costs and explanations of what information would allow for more certainty of the projected costs will be given more weight than costs that are not accompanied by such information.

Proposers will be notified if they are requested to attend an interview. NYSERDA anticipates that interviews may start as soon as Monday, May 16, 2022.

Technical Capabilities- Solution Architecture Design, Planning, and Development

- Demonstrates the ability to properly scope, design, document, and communicate the IEDR core architecture using industry best practices and in a manner that allows adequate time to build/configure, test, and deploy the IEDR core within the mandated program schedule.
- Demonstrates a technical approach that is technology agnostic, strategic, flexible, and allows for continuous improvement, including the addition of new use cases and data sets.
- Demonstrates a sound approach and ability to implement and enforce strong cybersecurity controls and to design the IEDR in a manner that minimizes the likelihood and impact of cybersecurity risks

Technical Capabilities- IEDR Design-Build-Operate and Additional Services

- Demonstrates the ability to effectively configure COTS solutions, develop custom code, and balance the use of COTS solutions and the creation of customer code in cost effective manner.
- Demonstrates the ability to execute complex data integration projects involving extremely large amounts of both structured and unstructured data.
- Demonstrates a user-oriented approach for, and the technical competencies required to deliver the long-term testing, maintenance, administration, and operation of the IEDR.

Proposer Qualifications

- Demonstrates experience ensuring cybersecurity and privacy, a sound approach for ensuring all cybersecurity and privacy requirements for building and operating the IEDR

are met, and the proposed project staff has appropriate experience and credentials in this field.

- The respondent demonstrates successful experience managing/facilitating engagement of diverse stakeholder groups and forums, managing processes that facilitates consensus building, and setting up and managing complex governing structures.
- Demonstrates knowledge and successful experience managing risk and mitigation/recovery plans associated with project type.
- Demonstrates experience of proposer and assigned team, including any partners or sub-contractors, in managing projects of similar scope, scale, schedule, and budget to a successful conclusion (experience with utility data and systems preferred).
- Offers experienced and diverse team with expertise across data platform design, software development, integration, testing, evaluation, use, and operations, as well as experience successfully managing robust data projects across multiple complex systems.
- Provides a dedicated resource with a range of experience qualifying him/her/them to lead the initiative.
- Provides requested evidence of credit worthiness as described in the RFP.
- Ability to meet all nonnegotiable requirements as described in the RFP, including the ability to enter agreements with NYS utilities.

Services Requested- Program Management and Requirements Gathering

- Demonstrates a detailed understanding of the following by presenting a comprehensive, practical approach to meeting the program requirements as presented in the sections *Project Requirements, Statement of Work, and Additional Requirements*:
 - the project's goals, principles, processes as presented in the section *Relevant Documentation*;
 - the implications of tradeoffs that will impact user experience and the mandated IEDR program schedule;
 - New York State's CLCPA and how the IEDR advances the CLCPA's goals and policies;
 - existing NYS energy data access programs and relationship to goals of the IEDR; and
 - the relationship of the IEDR and Data Access Framework initiatives.
- Demonstrates a project management approach that utilizes industry best practices, tools, and techniques; allows for transparent and effective communication, stakeholder engagement, and reporting; enables frequent deliverables and constant insight into the work being performed; and, allows for comprehensive risk tracking and management.
- Demonstrates the ability to document and iterate appropriate requirements and track to completion within budget and on schedule.
- Demonstrates the ability to address and provide the content outlined in the sections *Project Requirements, Statement of Work, and Additional Requirements* and deliver high-quality work in line with industry best practices on tight deadlines, especially within the context of the Phase 1 and Phase 2 deadlines.

Proposal Cost and Value

- Overall total cost is competitive, based on solid assumptions, well justified, and in line with the level and quality of services proposed.
- Provides experienced staff performing appropriate tasks at industry comparable rates.
- Includes innovative processes, structure, or methods to reduce costs associated with program implementation, operation, maintenance and updating.
- Demonstrates understanding of all the cost elements required to execute the entirety of Phase 1 and Phase 2 of the IEDR initiative.

Teaming Arrangements with MWBEs and/or SDVOBs

- Additional points will be awarded to proposals that include teaming arrangements with MWBEs or SDVOBs.

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, shall be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information shall 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 State 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). 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). 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 five 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 5 weeks from the proposal due date whether your proposal has been selected to receive an award. Upon receipt of this notification from NYSERDA, a proposer can request to schedule a debrief on the selection process and the strengths and weaknesses of its proposal by contacting iedr@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 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 State 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 State 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.

Glossary

- **Data Product:** A general category term that describes the result(s) of processing data, no matter how simple or complex the processing. The primary output of the IEDR will be data products that enable users to take actions and make better decisions at a faster pace and greater scale. In this RFP, data product is a category of terms that may themselves overlap in meaning. Data products include, but are not limited to:
 - **Data (raw or derived):** in their simplest form, data are observations, measurements, or facts represented as text, numbers, or images
 - **Information:** information is data that have been processed, interpreted, organized, structured or presented so as to make them meaningful or useful
 - **Analysis:** analysis is the process of systematically applying statistical and/or logical techniques to describe and illustrate, condense, summarize and evaluate data.
 - **Tools:** Data tools can include algorithms, analyses, visualization, mapping or other techniques to convert multiple inputs into a useful output. The distinguishing feature of a tool is that it allows user inputs beyond data querying – i.e., platform users may engage the tool on the platform and/or download it for use beyond the platform.
- **“Design” Use Case** – how data and data sources will be applied/transformed to produce an outcome needed to satisfy a stakeholder use case
- **Green Button Connect (GBC):** A data standard that allows for machine-to-machine exchange of Customer energy usage data hereunder, and future versions of which will provide additional Customer information. More information can be found at: <https://www.greenbuttondata.org/>
- **IEDR Core:** Any and all components of the IEDR architecture used to fulfill the Program Manager defined use cases, including any and all data, logic and presentation tier architecture. The IEDR core does not include utility systems that may be utilized to store, generate, or expose utility data leveraged by the IEDR or that otherwise enable or contribute to the IEDR core's functionality.

- **Program Manager:** The entity responsible for organizing and administering IEDR design, development and implementation. For more detail, reference Section 5 of the Whitepaper.
- **Solution Architect:** The entity responsible for identifying and describing use cases, system requirements, and an architectural design for the IEDR. For more detail, reference Section 5 of the Whitepaper.
- **Solution Architecture:** A description of the vision for the IEDR for the benefit of stakeholders, to a level that enables costing, planning and delivery. The Solution Architecture is a high-level design that reassures multiple external stakeholders that the solution has the attributes that will lead them to use it (i.e., fit for purpose)
- **Stakeholder Use Case** – A stakeholder use case is a description of a stakeholder decarbonization challenge that could be addressed by a data product, the data product(s) that an IEDR user would access through the platform, how they would use that data product, and the beneficial outcome that would result from having access to it. Stakeholder use cases will help identify the data and functionality needed on the IEDR platform to accomplish our mission of providing New Yorkers with effective access to useful energy data.
- **System Operator:** The entity/entities responsible for the testing, commissioning, management, and support of the IEDR. For more detail, reference Section 5 of the Whitepaper.
- **Technical Architecture:** technical architecture is the detailed design of the IEDR. The technical architecture of the IEDR is informed by the Solution Architecture and developed incrementally through Agile design sprints to address stakeholder use cases.

Attachments

Attachment A – Budget

Attachment B – Sample Agreement

Attachment C – Intent to Propose

Attachment D – NATF Supply Chain Security Criteria

New York State Energy Research and Development Authority

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KATHY HOCHUL
Governor

NYSERDA

RICHARD L. KAUFFMAN
Chair

DOREEN M. HARRIS
President and CEO

**Climate Justice Fellowship Support
Request for Proposal (RFP) 4976
Up to \$ 800,000 Available**

*NYSERDA reserves the right to extend and/or add funding to the
Solicitation*

**Proposals Due: Thursday, March 17, 2022 by 3:00 p.m.
Eastern Time***

Program Background and Summary:

New York State is a leader in promoting environmental and climate justice, to ensure an equitable clean energy transition for all communities — but especially those disproportionately burdened by environmental health hazards — and position them to chart the clean energy future that meets their communities’ needs. A key element of climate justice is ensuring the green jobs of the future are available to all New Yorkers. The New York State Energy Research and Development Authority (NYSERDA) has been directed to invest more than \$100 million through 2025 to train workers for good-paying jobs created across the state in the clean energy economy, and NYSERDA has prioritized these workforce training investments to serve historically disadvantaged communities and priority populations including individuals that are low income, veterans, disabled, formerly incarcerated, and residents of environmental justice communities.

As part of these workforce initiatives, in 2021 NYSERDA launched the [Climate Justice Fellowship](#) (PON 4772). In the following RFP, NYSERDA is seeking a contractor to provide support services to meet the needs of the fellows and host companies who are awarded funding under PON 4772. The goal of the additional support is to ensure that the fellows have the skills, knowledge and networks needed to successfully transition to quality jobs in the clean energy economy and / or launch new climate tech innovation companies following their fellowship. The services to be provided include:

- Coordinating peer to peer networking groups for the fellows
- Providing climate and business leadership training workshops in the form of a mini-course for the fellows, ideally with a certificate of completion available from an accredited institution

- Providing mentorship services for the fellows from experts in business, climate tech, environmental justice and more
- Configuring and managing a virtual networking platform for the fellows
- Providing additional related support as needed to ensure the success of the fellows

All fellows currently live in NYS and reside in a Disadvantaged Community or are from a Priority Population as defined on NYSERDA's Clean Energy Workforce Development "[Definitions](#)" page. Fellows work within a host organization where they assist their employer in advancing climate justice and clean energy priorities for disadvantaged communities.

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). PDF files are preferred. 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 Elisa Miller-Out 518-862-1090 ext. 3076 or Clenard Killikelly, (518) 862-1090, ext. 3273 or by email at ClimateJusticeFellowship@nyserda.ny.gov. If you have contractual questions concerning this solicitation, contact Nancy Marucci at (518) 862-1090, ext. or by email 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 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>).

Services Requested:

Support services for the Climate Justice Fellowship are requested in the following areas:

Peer to Peer Networking

The contractor will coordinate peer to peer networking groups consisting of fellows from different organizations across New York State. Groups will meet virtually on a monthly basis to discuss challenges, opportunities and projects with their host employers. Each group will be facilitated by a mentor who is an experienced business or climate technology leader. The contractor will provide logistical support for the meetings and network communications as needed.

Climate Leadership Course

The contractor will provide education and training for the fellows in the form of a mini-course with modules covering, but not limited to the following areas: Climate Policy, Climate Justice, Community-Based Organizations, Partnerships, Customer Discovery, Teamwork, Project Management, Accounting, etc. The fellows will receive a certificate of completion following the course, ideally through a partnership with an accredited academic institution or industry-recognized trade association or organization.

Mentorship

The contractor will provide mentors to work with the fellows in their peer networking groups and provide additional guidance and support. Mentors should be professionals with experience in areas that can benefit the fellows such as business, fundraising, engineering, manufacturing, environmental justice, climate tech and more.

Virtual Community Platform

The contractor will provide access to a virtual community platform for the fellows and their peer networking groups to communicate and share resources and ideas throughout the fellowship. Third party software such as Slack, Mighty Networks or something similar can be utilized to provide virtual networking services to the fellows.

Program Eligibility:

The types of contractors eligible for this RFP include venture development organizations, entrepreneur support organizations, workforce training organizations, universities and academic institutions and consulting firms with the relevant skills and experience in workforce education, climate leadership, internships and fellowships. Eligible proposers must be based in New York State with the legal authority to hire employees and conduct business in New York State. Proposers must 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.

Funding:

Funding of up to a maximum of \$800,000 total over a period of three years will be available under this RFP. The support services are designed to coincide with the Climate Justice

Fellowship program which launched at the end of 2021 and extends through the end of 2024. Contract payments will be made monthly based on milestones completed under the agreement. No cost sharing is required under this solicitation, however proposals with cost sharing will be reviewed more favorably.

Proposal Requirements:

A complete proposal must consist of the following documents:

1. Summary: Proposal Response – Proposers should provide a summary that includes information about their team and eligibility, relevant experience that makes their team and organization a fit, details about how they plan to support the fellows in the requested service areas and how they will measure / track results.
2. Statement of Work - Proposers must include a detailed Statement of Work (SOW) with their proposal. The SOW is the primary contractual document that identifies the deliverables and serves as a basis for payment. It is an action document that specifically delineates each step or procedure required to accomplish the outlined tasks. The SOW must be prepared as an ordered set of tasks, including subtasks as necessary, and deliverables. Applicants should describe their approach/methodology and define their rationale for the proposed approach. Each action should be identified, indicating who will perform it, how it will be performed, when it will be performed, and what it is expected to measure/deliver.
3. Resumes of Key Personnel
4. Other Documentation (optional) – Additional supporting material as deemed necessary by the applicant

The above 4 items must be combined into a single PDF attachment and submitted as one file.

The Budget: (item 5) below needs to be submitted as a separate Excel file attachment.

5. Budget – Budget should include all relevant expenses for this proposal including costs related to labor, direct materials (supplies, equipment and other costs), software, subcontractors and indirect costs. The budget must be reasonable and state the portion requested from NYSERDA.

Unnecessary materials beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal.

Proposal Evaluation:

Proposals that meet solicitation requirements will be reviewed and evaluated by a Scoring Committee. A threshold may be set at NYSERDA's discretion. Final rankings and contract awards will be based on the below Evaluation Criteria, listed in order of importance. After proposals are reviewed by the Scoring Committee, NYSERDA will notify each proposer whether or not the application was favorably evaluated. NYSERDA reserves the right to require an interview or request additional information from proposers before the final contract award decision. NYSERDA also reserves the right to eliminate from further consideration any application deemed to be substantially or materially non-responsive to the requirements of this RFP or the requests for information contained herein.

Evaluation Criteria:

Comprehensiveness of Approach

- Did the contractor provide a detailed and relevant statement of work?
- Do the tasks, activities and projects help to serve the fellows and the NYS clean energy workforce goals?
- Does the contractor have an understanding of the climate justice and clean energy priorities for disadvantaged communities?

Organization and Team

- Does the organization have relevant experience providing these types of services?
- Does the team have the skills and experience needed to provide the requested services?
- Is the contractor a university, accredited academic institution or do they have a partnership with an institution that can provide a certificate for the climate leadership course?
- Does the organization meet the eligibility criteria for this RFP?

Cost

- Did the contractor provide a detailed budget?
- Is the budget relevant to the requested services and the needs of the fellows?
- Is the budget reasonable and will it allow the contractor to adequately provide the services requested?
- Is the proposer providing relevant cost-share (not required but given consideration related to total cost)

Program Policy Factors

Additionally, NYSERDA reserves the right to accept or reject proposals based on the following factors:

- The degree to which the proposal optimizes the use of available funding to achieve programmatic objectives.
- Institutional diversity or partnership with minority serving institutions.
- The degree to which the proposer has the resources (human and financial) to be able to complete the project.
- The degree to which the proposal directly addresses NYSERDA's mission and strategic goals.

- Past performance under prior NYSERDA agreements.

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). 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). 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, but reserves the right to make multiple awards if needed. NYSERDA anticipates a contract duration of three (3) years with 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 4 – 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 - 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 – Sample Agreement

Attachment B – Budget





**Residential Energy Services Providers
Request for Qualifications (RFQL) 4902
No Funding is Associated with this Solicitation**

Current Round:

Round 1 Proposals Due: March 24, 2022 by 3:00 p.m. Eastern Time

Future Rounds:

Round 2 Proposals Due: July 28, 2022 by 3:00 p.m. Eastern Time

Round 3 Proposals Due: January 19, 2023 by 3:00 p.m. Eastern Time

Round 4 Proposals Due: July 20, 2023 by 3:00 p.m. Eastern Time

Round 5 Proposals Due: January 18, 2024 by 3:00 p.m. Eastern Time

Round 6 Proposals Due: July 18, 2024 by 3:00 p.m. Eastern Time

Round 7 Proposals Due: December 23, 2024 by 3:00 p.m. Eastern Time

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, New York is on a path to achieve its mandated goal of a zero-emission electricity sector by 2040. New York is focused on driving down energy demand by investing more than \$6.8 billion in building energy efficiency and clean heating initiatives through 2025. As a result of the Public Service Commission’s “New Efficiency: New York 2.0” order, \$2 billion in utility energy efficiency and building electrification initiatives are underway.

Addressing the residential sector is an essential component to meeting these climate and energy goals. In order to meet these goals, by 2030 we must be on pace to upgrade more than 200,000 homes per year to all-electric and energy efficient. To accomplish this, we need to engage with a broad spectrum of market actors with expertise in the residential sector – spanning across single-family to multifamily, retrofits and new construction.

The New York State Energy Research and Development Authority (NYSERDA) is issuing this Request for Qualifications (RFQL) to establish a pool of contractors who have expertise in one or more areas of residential energy efficiency and clean energy. NYSERDA is seeking qualified applicants in the following areas:

- Category A: Market Development and Implementation Services
- Category B: Residential Services Providers
- Category C: Technical Support, Analysis, and Tool Development
- Category D: Housing and Policy Expertise

This solicitation will consist of multiple submission rounds whereby potential contractors may submit proposals through 2024.

NYSERDA anticipates: (1) making multiple awards under this RFQL; and (2) retaining contractors



through 2026 for each of the categories listed above as appropriate. Qualified companies, individuals, or organizations (including teaming arrangements) will be evaluated and scored according to a scoring rubric within each category (A-D). Proposers may submit proposals for one or more categories and may be selected for none, one, some, or all categories they apply to. NYSERDA anticipates entering into Umbrella Agreements with the successful proposers in each Category to provide services. When NYSERDA has a need for work in one of the categories, Task Work Orders will be issued to the firms that qualify in their respective category, following the process described in Section II D below.

Note: Proposers are required to submit a separate proposal (including all attachments) for each Category where services are being offered. Proposers should clearly identify the Category to which each proposal responds.

Questions and Answers

NYSERDA will post questions and responses on the NYSERDA Current Funding Opportunities web page. All questions will be posted anonymously, and NYSERDA's written responses will supersede any responses given previously.

Proposal Submission: Online submission is preferable. **If proposing to more than one category please submit unique proposals with all supporting attachments to each category you are applying for.** 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-FundingOpportunities.aspx>.

No communication intended to influence this procurement is permitted except by contacting Laura Geel at (518) 862-1090, ext. 3446 or by email Laura.Geel@nyserda.ny.gov (Designated Contact) or Keith Bohling (518) 862-1090 ext. 3491, Keith.Bohling@nyserda.ny.gov (Secondary Designated Contact) for technical questions. If you have contractual questions concerning this solicitation, contact Venice Forbes at (518) 862-1090, ext. 3507 or by email solicitations@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 nonresponsible 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-FundingOpportunities.aspx>.

I. Introduction

New York State's climate agenda is 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 as New York State recovers from the COVID-19 pandemic. Enshrined into law through the Climate Leadership and Community Protection Act, New York is on a path to achieve its mandated goal of a zero-emission electricity sector by 2040, including 70 percent renewable energy generation by 2030, and to reach economy wide carbon neutrality.

New York is focused on driving down energy demand by investing more than \$6.8 billion in building energy efficiency and clean heating initiatives through 2025. As a result of the Public Service Commission’s “New Efficiency: New York 2.0” order¹, \$2 billion in utility energy efficiency and building electrification initiatives are underway.

Addressing the residential sector is an essential component to meeting New York State’s energy goals. In 2018, the residential sector consumed 30% of the energy use in New York State.² To achieve the State’s climate goals, we must be on pace to upgrade more than 200,000 homes per year to all-electric and energy efficient by 2030. To accomplish this, we need to engage with a broad spectrum of market actors with strong expertise in the residential sector – spanning across single-family to multifamily, retrofits and new construction.

In addition to expertise in a number of areas specific to the residential sector, NYSERDA seeks to support efforts directed to [Disadvantaged Communities](#), per requirements of The Climate Leadership and Community Protection Act (Climate Act). Through this RFQL, NYSERDA is seeking applicants that can help achieve these goals.

NYSERDA is issuing this Request for Qualifications (RFQL) to establish a pool of contractors who have expertise in single family, multi-family, retrofits, and/or new construction in one or more of the below categories of residential energy efficiency and clean energy:

- Category A: Market Development and Implementation Services
- Category B: Residential Services Providers
- Category C: Technical Support, Analysis and Tool Development

¹ [CASE 18-M-0084. Order Authorizing Utility Energy Efficiency and Building Electrification Portfolios Through 2025.](#)

² [Patterns and Trends - New York State Energy Profile - NYSERDA](#)

- Category D: Housing and Policy Expertise

As a result of this RFQL 4902, NYSERDA expects to qualify and execute Umbrella Agreements with multiple qualified contractors to provide services in each of the specified Categories. Proposers are invited to submit a proposal, describing their qualifications, skills, expertise with documented references, and personnel rates in any or all the Categories described below. Proposers may submit a proposal to provide services in one, multiple, or all the above categories. Proposers are required to submit a separate proposal (including all attachments) for each Category where services are being offered. Proposers should clearly identify which of the 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 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 it demonstrates that it possesses 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 reserves the right to make all decisions regarding a successful demonstration of a specialized capability.

NYSERDA reserves the right to create new Categories to address any needs that arise outside of the defined support areas included in the issuance of this RFQL. In this instance, all existing firms in the Contractor pool, along with any new proposers, will be eligible to submit a proposal for the new Categories which would be reflected in revised RFQL. NYSERDA also reserves the right to close a Category within this RFQL and stop accepting new proposals for that 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 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. Services Requested

Proposers should clearly articulate each of the service types where they have expertise. It is not required to submit for all services listed, but proposers must clearly explain which service(s) they have expertise in within the Category.

A. Support Area Categories

Category A: Market Development and Implementation Services

Experts are sought in assisting NYSERDA in developing market offers with services ranging from stakeholder engagement to program implementation services. The services below are representative of

the types of activities NYSERDA expects to recruit for but is not an all-inclusive list. Team arrangements are allowed, and proposers should clearly articulate the roles of the lead contractors and sub-contractors.

This RFQL is seeking candidates who can provide expertise in the residential sector for:

- Facilitation services
 - Provide industry expertise to facilitate, document, and report on discussions with industry experts and stakeholders
 - Strategic planning, meeting planning, development of agendas, discussion guides, and other supporting materials and execution of stakeholder meetings
 - Recruit participation in stakeholder forums, programs, and pilots
 - Create internal reports and public facing summaries appropriate for different audiences
- Program and pilot implementation
 - Provide strategic, operational, and technical expertise specific to program or pilot design, development, and management
 - Provide day-to-day management and operational support, such as participant communication, managing project intake and workflows, technical reviews, income and eligibility screening and approvals, data gathering, documentation, and reporting
 - Project management activities such as contract management, review of reports and deliverables, and invoice approvals
 - Provide in-field and/or remote training and technical assistance and quality control assistance to pilot or program participants
 - Coordinate services with program co-funding agencies and utilities and other organizations that provide services to NYSERDA and NYSERDA's programs
 - Responding to data requests from internal teams and external stakeholders
- Outreach and recruitment services
 - Provide segmentation services including developing participant and contractor lists, messaging, conducting outreach, etc.
 - Participating contractor recruitment and management, in coordination with Clean Energy Hubs
 - Aggregation of customers and/or contractors for the purposes of sales and installations
 - If aggregating customers eligible for income-based programs, provide services to assist with income verification
 - Work with influencers of home purchases and home upgrade decisions such as real estate market actors, community groups, financial partners, etc. to secure buy-in and support coordination and collaboration
 - Recruit and maintain relationships with supply chain actors such as manufacturers, distributors, and trade associations
- Business Development Support
 - Business development support for various market actors across the supply chain including adopting new business models and/or service lines or expanding service territories
 - Sales and customer support training, assisting contractors in scaling operations

- Support for business skill development such as business plan development, cost-estimating, project management, and grant writing skills
- Contractor mentorship

Category B: Residential Services Providers

NYSERDA is seeking qualified firms that can provide services directly to support the dissemination of actionable energy information to homeowners and implementation of energy efficiency and clean energy upgrades in residential buildings, including in-field services.

- Provide market services for one or more of the following:
 - General contracting and trade-specific services, oversee installation of energy efficiency and clean energy installations including ancillary measures needed for health and safety reasons and to make homes electrification-ready, test in/test out.
 - Solutions to address common on-site barriers to energy upgrade installations cost-effectively and at scale including mitigating moisture issues, asbestos abatement, wiring upgrades, structural repairs, indoor air quality and ventilation, etc.
 - Provide trusted energy information to homeowners including actionable and prioritized recommendations, such as on site, remote, or virtual energy assessments or healthy home inspections.
 - Develop project work scopes with customers, including both comprehensive project proposals and phased electrification scopes with multiple measures intended to be installed over a period of months or years
 - Provide installation services for energy efficiency and clean energy measures such as but not limited to: air sealing, insulation, window replacements, heat pumps, heat pump water heaters, electrical panel box upgrades, electrical wiring upgrades, other electrification measures, etc.
 - Provide installation services for environmental trigger reduction and expanded health and safety measures such as: ventilation, mold remediation, integrated pest management
 - Provide data-driven analytics supporting market segmentation and individual homeowner access to energy information about their home in ways that can be scaled to reach a large portion of the market
 - Energy modeling and rating services

This category is not intended to replace the work of contractors participating in NYSERDA's existing residential programs. The approved pool of contractors in this category will help support new services or technologies through pilots, specific initiatives, and other efforts to be assigned through the Task Work Order assignment process described in Section D. Example Pilots could include aggregation of projects in certain geographic areas or in hard-to-reach communities, innovative program delivery methods, emergency or disaster relief delivery of program services, a healthy home approach, stacked building shell and electrification programs, and other methods of service delivery.

Proposer should clearly indicate what specific residential services they can provide.

Category C: Technical Support, Analysis and Tool Development

NYSERDA is seeking qualified firms that can provide technical consulting and analysis to NYSERDA's residential teams. The types of services in this category include:

- Technical analysis related to residential programs and technologies, including collection and analysis of technology, program, and market data
- Provide guidance on standard work practices and installation and decommissioning practices, standards development
- Review and analyze technical components of programs/pilots and provide recommendations to NYSERDA.
- Technical writing for different audiences (New York State agencies, contractors, etc.)
- Market segmentation analysis (geographic, demographic, psychographic)
- Technical subject matter expertise for current and developing building electrification technologies and strategies
- Research and literature reviews
- Development of tools and resources for building electrification technologies and strategies
- Development of tools and resources for low-income neighborhood or affordable housing community-driven and place-based clean energy planning
- Provide expertise in the development of functional requirements to support program workflow and software needs
- Data mapping support
- Testing, analysis, design, and troubleshooting of realization rates and residential energy modeling tools, particularly fast-feedback mechanisms allowing for close to real-time information being made available to the programs
- Subject matter expertise in residential energy efficient building design, clean energy systems and solutions (including ground source and air source heat pumps), construction and installation practices, and building electrification strategies
- Innovation in measuring and tracking the full spectrum of benefits associated with residential decarbonization and electrification

Category D: Housing and Policy Expertise

NYSERDA is seeking firms that have experience with and can provide expertise, research and recommendations contributing to program design to NYSERDA focused on working with affordable housing, Low-to-Moderate Income (LMI) households, and Disadvantaged Communities. The types of expertise being sought include:

- Experience working with State and federal housing policy and regulations that go beyond strictly energy-related considerations, such as: tenants' rights and protections, utility allowances, identification of subsidized and/or regulated affordable housing issues and opportunities, regulatory mechanisms and their strengths/limitations, zoning, current debates about best approaches to preserve and increase affordable housing, etc.
- Work on local policy and innovation models such as community land trusts and sweat equity approaches

- Science and policy expertise related to buildings as a social determinant of health, including characterization, research and quantification of healthy homes issues (such as mold, lead, asbestos, environmental triggers, health risks from extreme heat/cold) for medical and public health sector acceptance and partnership building, approaches to resiliency of residential buildings and the ways that building condition intersects with other social determinants of health (employment stability, academic performance, etc.)
- Policy and analysis related to low- to moderate-income household energy affordability, identification, and quantification of barriers to accessing programs and energy program design, including energy efficiency, electrification, and solar program solutions
- Experience providing climate and clean energy-oriented community planning services focused on low-income neighborhoods or affordable housing communities, including developing and leading community-driven planning processes, community asset mapping, community benefits agreements, place-based outreach, place-based surveying and census-taking services, and consensus-driven multi-stakeholder solution development around low-to-moderate income housing energy and electrification upgrades

B. Minimum Qualifications by Category

Minimum proposer qualifications by Category, include:

- Category A: Market Development and Implementation Services
 - For those including income verification services in their proposal, must demonstrate a proven history of either non-profit/government (U.S. Department of Housing and Urban Development, housing counseling, or other programs) or business (financial, loans, etc.) income verification. Must describe their system that can store Private Personal Information (PPI) in a way that is secured or encrypted at rest utilizing industry best practice encryption methods or is otherwise physically secured.
- Category B: Residential Services Providers
 - Credentialed staff with proof of industry-accepted certifications and training, specific to the services being proposed, such as but not limited to the Building Performance Institute, the American Society of Heating, Refrigerating and Air-Conditioning Engineers, Residential Energy Services Network, Passive House certification, manufacturer trainings, etc.
- Category C: Technical Support, Analysis and Tool Development
 - None
- Category D: Housing and Policy Expertise
 - Public and affordable housing regulations, policies, and/or program development and implementation experience.
 - Knowledge of regulations, protocols and other factors affecting utility cost governance, cost-shifting in public and regulated affordable housing and potential solutions to ensure affordable electrification.
 - Knowledge in building decarbonization, healthy building science or clean energy.

C. 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 term will be through December 31, 2026. This Umbrella Agreement 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 and bids on specific assignments through mini-bid requests.

D. Task Work Order Assignments and Funding

Task Work Orders will be assigned in several ways:

1. NYSERDA Project Managers may issue a mini-bid request to all approved and relevant firms in the category. The respondents 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.
2. NYSERDA Project Managers may directly issue a Task Work Order to any firm in the contractor pool if the cost is \$50,000 or less.
3. NYSERDA Project Managers may directly issue a Task Work Order above \$50,000 to a firm in the contractor pool determined to have a unique specialty or capability.

Once a contractor has been selected for a project as per the above process, a Task Work Order will be prepared by the contractor in cooperation with NYSERDA. Task Work Order 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, 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 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. 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 or other Task Work Order specific agreements prior to engaging in the specified work effort.

Funding will be identified on a project-specific basis, and will be determined, in part, 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.

E. Multi-Round Enrollment

Proposers may apply to one or more Categories during any of the rounds, defined above. Each submission will be reviewed independently from prior submissions.

NYSERDA reserves the right to create new Categories to address any needs that arise outside of the defined Categories included in the issuance of this RFQL. In this instance, all existing firms in the contractor pool, along with any new proposers will be eligible to submit a proposal for the new Categories. NYSERDA also reserves the right to close a category within this RFQL and stop accepting new proposals for that Category.

F. 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. Within the budget, overhead fees for subcontractors shall not exceed two percent.

During the mini-bid or Task Work Order contracting process, formal teaming arrangements (as part of contracted Task Work Order) 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 sub-contractors.

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.

G. Contractor's Responsibility

When selected for a project, the selected 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; and
- Provide required documentation of expenditures by task, based on the Task Work Order, when seeking reimbursement from NYSERDA

H. NYSERDA's 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; reviewing and approving invoices promptly.

I. Compensation

Compensation will be based on the contractor's – and subcontractors, as applicable – fully-burdened 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 through 2026 and cannot exceed three percent 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. Preparation of the Task Work Order Plan is considered to be covered by the contractor's overhead expense.

III. Proposal Requirements

To be eligible for selections under this RFQL, proposers must submit a complete bid package and agree to the requirements of this RFQL. Proposers may submit to any or all Categories (A-D), and each Category will be evaluated and judged independently from the others. Each Category is intended to create a separate pool of contractors that can meet the specified needs of the Category.

If proposing to more than one Category please submit a complete proposal for each Category including all supporting attachments (e.g., resumes, Letters of Commitment, references, and Project Personnel and Rate Forms) and upload to Salesforce as ONE submission per Category.

Each proposal shall contain, at minimum, the components listed below. Each Category's proposal shall be uploaded into Salesforce as one document inclusive of all 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.

The proposal shall be in the following format:

1. Executive Summary (1 to 2 pages)

Proposers shall submit an executive summary on company letterhead that:

- Includes the firm name, address, telephone/fax, email address, contact person, year the firm was established, and the type of firm (e.g., partnership, corporation, not-for-profit)
- Specifies the proposed category by name and identifying letter (i.e., A-D)
- Clearly articulate if the proper's expertise is in 1-4 family, multifamily, retrofits, and/or new construction applications
- Exhibits a thorough understanding of this RFQL and directly addresses NYSERDA's mission and goals

- Summarizes proposer's ability to fulfill and support the services requested in the category proposed
- Identifies all collaborating entities participating in the proposal, including a brief summary of the subcontractors and the services they provide, as well as past working relationships among team members and subcontractors if applicable
- Discusses the mechanism which will guarantee the proposer's ability to deliver services in New York State in a cost-effective manner
- Is signed by a person with authority to enter into a contract with NYSERDA

2. Table of Contents (1 page)

Proposers should present a comprehensive table of contents that outlines the section and Page.

3. Experience performing services in the Category (2 to 3 pages per category being proposed; references shall be included as attachments within the proposal and are not included in this page limit)

For each proposed Category, proposers shall describe the breadth and depth of their experience delivering high quality services as it relates to the needs of the Category, including:

- The proposer's experience as a team/firm in service delivery, including the aggregate number of years working in the category
- The proposer's experience with one of more of the following: 1-4 family buildings, multifamily buildings, residential retrofits, residential new construction
- The proposer's experience, if any, working with, or in, a disadvantaged community located in New York State
- A brief summary of at least one and no more than three of the proposer's projects that are relevant to the Category including the identification of efforts that made a difference and the extent of impact and influence achieved

4. Market insights in the category (1 to 2 pages per category being proposed)

For each proposed Category, proposers shall describe key challenges and opportunities, both technical and market-based, facing the category in the short, medium, and long term, including:

- Similarities and differences between New York State and the market at large
- Opportunities, challenges of working within New York State, and potential solutions that could be deployed by NYSERDA, related to the category
- If applicable, references to recently published abstracts from articles, white papers, or presentations from the proposer (or subcontractor) specifically addressing issues related to the category

5. Capabilities to meet requested services in the category (1 to 2 pages per category being proposed; if applicable, Letters of Commitment shall be included as attachments within the proposal and are not included in this page limit)

For each proposed category, proposers shall describe the specific capabilities and resources

available to their firm in addressing the needs of the category, including:

- The proposer's or proposing teams' locations, including identification of any New York State offices as either primary locations or satellite offices if applicable
- The proposer's geographic areas of coverage or specify that the services offered can cover New York State or are not applicable.
- Detailed explanation of the services and expertise offered that address one or more of the services requested through this RQFL, including a description on how services will be delivered (primary contractor, subcontractor relationships, etc.).
- The proposer's capability to incorporate innovative methods to solve problems including unique market differentiators that the proposer can provide working in this space.
- If applicable, directly address the minimum qualifications listed in Section B.
- If applicable, reference to Letters of Commitment (provide as attachment within the proposal) from subcontractors
- If applicable, 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

6. Personnel qualifications (1 to 3 pages per category being proposed; resumes of key personnel shall be included as attachments within the proposal and are not included in this page limit)

For each proposed Category, proposers shall identify and describe the qualifications of key staff members, teams, and subcontractors that are to be involved in providing services in the category, including:

- Key personnel's education, experience, and certification(s) relevant to the category as evidenced by resumes (provide as attachment within the proposal. If applicable, resumes from subcontractors should be provided)
- Potential roles (e.g., technical, operations, outreach, administrative) and responsibilities of key individuals comprising the proposing team relevant to the category, including the identification of the project manager who will serve as the single point of contact under this RFQL
- Organization chart demonstrating the relationship among key personnel and, if applicable, subcontractors.

7. Conflicts (1 page)

The firm and any personnel of the firm 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 your product, manufacturer, or service-related affiliations. If any affiliations exists, a statement must be provided verifying these affiliations do not conflict with or appear to conflict with the objectivity of providing services to NYSERDA and its customers. Non-disclosure of any affiliation can result in the termination of a contract, if awarded. Entities that enter into an Umbrella Agreement with NYSERDA will be required to submit a statement of conflict of interest on a yearly basis if a Task Work Order has been assigned during that year. Qualified proposers shall not be automatically precluded from bidding on the other categories described within this RFQL or on future solicitations. However, proposers should describe within their proposals how conflicts of interest, both

actual and perceived, will be resolved should the proposer choose to bid on other NYSERDA solicitations.

8. Cost proposal (1 page per category being proposed)

For each proposed Category, proposers must complete and provide a Project Personnel and Rate Form (Attachment A) and submit the name (if known), job title, and fully burdened hourly salary range for each individual in the proposal and all subcontractors who will perform the work under an Agreement with NYSERDA. Proposers shall identify annual escalation rates through 2026, not to exceed three percent annually. Proposers shall also include any multipliers or other fees applied to work.

For Category B only: If personnel rates are not applicable and cannot be provided, proposers may provide a description of the cost structure and include within the Section 8 of the proposal. The other sections of Attachment A are still required to be completed and submitted.

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; however, proposers cannot charge more than two percent overhead for work done by a subcontractor.

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 solicitation requirements will be reviewed by a Scoring Committee and scored for each category (A-D) they propose in using the evaluation criteria below. The minimum threshold is 68 points out of 100 possible points per proposed Category. No proposed Category with an average score of less than 68 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
25 Points	Overall relevant experience and impact <ul style="list-style-type: none"> • Previous experience in the conduct and delivery of similar or related services (for NYSERDA and others)

	<ul style="list-style-type: none"> • Demonstrated ability to complete projects on schedule. • Quality and relevance of previous work • References substantiating with evidence the contractor’s abilities and past performance. • Responsiveness to NYSERDA's request as specified in this RFQL, including overall clarity and organization of the proposal • Ability to serve New York State clearly articulated and, if applicable, specific geographic areas of coverage are defined
25 Points	<p>Qualifications and expertise of the personnel/team</p> <ul style="list-style-type: none"> • Adequacy/depth of corporate resources to provide requested services • Qualifications and expertise of the personnel/team in relevant Categories • Certifications, certificates, and relevant professional trainings completed by key personnel, if applicable • Clear identification of staff that will be assigned to various project types. • If applicable, clear explanation of subcontractors with letters of commitment included
20 Points	<p>Cost</p> <ul style="list-style-type: none"> • Reasonableness and relative competitiveness of labor rates associated fees, escalation rates and overhead. • Pricing and hourly rates are in line with the rest of the market and consistent when compared to expertise and qualifications. • Escalation rates through 2026 shown • Clear budget proposal, free of errors
15 Points	<p>Responsiveness to the RFQL and capabilities to deliver services</p> <ul style="list-style-type: none"> • Proposals follows the required format specified in the RFQL • Proposal is well written, complete, and addresses all requested information • the proposal demonstrates a clear understanding of the goals and objectives of this RFQL and directly addresses NYSERDA’s mission and strategic goals • A complete, comprehensive, and effective response to the category needs is provided • Demonstrated ability to complete projects on schedule by securing the appropriate level of resources needed to conduct the requested services • If applicable, identify collaborating entities and demonstrate their ability to work together effectively
10 Points	<p>Market awareness/insights</p> <p>The degree in which the proposer identifies:</p> <ul style="list-style-type: none"> • challenges and/or barriers in the category supported by research (e.g., white papers, articles, presentations) • similarities and differences between New York State and the market at large • opportunities or value propositions that can help NYSERDA achieve success in the category and advance its goals
5 Points	<p>Other considerations</p> <ul style="list-style-type: none"> • Past experiences with contractor, notable position within the firm’s industry, accomplishments on similar projects.



	<ul style="list-style-type: none">• Experience in or demonstrated ability to serve disadvantaged communities within New York State through their proposal, location, or commitment to hiring staff located in a disadvantaged community(s).• Proposer is a New York State-certified Minority or Women-owned Business Enterprise (MWBE) or a certified service-disabled veteran-owned business enterprise (SDVOB).
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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.
- The degree to which there is diversity of technologies, approaches, methods, and institutions
- The degree to which there are technical, market, organizational and/or environmental risks associated with the projects.
- 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.

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.nyserdera.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

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 . 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). 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 qualifying multiple contractors under this solicitation. NYSERDA anticipates a contract duration through 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 proposal. 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 to 12 weeks from the proposal due date whether your proposal has been qualified. 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 17 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 – Project Personnel and Rate Form

Attachment B – Sample Agreement

- Exhibit A, Statement of Work
- Exhibit B, General Contract Provisions, Terms and Conditions
- Exhibit C, Standard Terms and Conditions
- Exhibit D, Prompt Payment Policy Statement
- Exhibit E, Rate Schedule
- Exhibit F, NYSERDA Report Content Guide 2017

NYSERDA

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Section Break

Projects Selected for Funding by Region

Period 10/1/2021 through 3/31/2022

REDC Region	County	Electric Utility	Total Funded Amount
Capital Region	Albany	Central Hudson Gas and Electric	20,930
		National Grid	40,777,355
	Columbia	National Grid	1,145,393
		NYS Electric and Gas	130,750
	Greene	Central Hudson Gas and Electric	1,012,444
		NYS Electric and Gas	8,000
	Rensselaer	National Grid	194,728
		NYS Electric and Gas	10,791
	Saratoga	National Grid	1,414,331
		NYS Electric and Gas	224,470
	Schenectady	National Grid	1,552,066
	Warren	National Grid	57,217
	Washington	National Grid	63,818
		NYS Electric and Gas	12,789
	Total		46,625,082
Central New York	Cayuga	National Grid	448,216
		NYS Electric and Gas	654,495
		Rochester Gas and Electric	21,250
	Cortland	National Grid	261,182
	Madison	National Grid	55,963
		NYS Electric and Gas	5,760
	Onondaga	National Grid	2,219,623
		NYS Electric and Gas	564,872
	Oswego	National Grid	1,084,286
	Total		5,315,647
	Finger Lakes	Genesee	National Grid
Livingston		National Grid	597,731
		NYS Electric and Gas	10,760
		Rochester Gas and Electric	178,079
Monroe		Municipal Utilities	5,760
		National Grid	627,239
		Rochester Gas and Electric	7,015,537
Ontario		National Grid	293,055
		NYS Electric and Gas	265,024
		Rochester Gas and Electric	130,735
Orleans		National Grid	102,751
Seneca		NYS Electric and Gas	26,000
Wayne		NYS Electric and Gas	133,861
		Rochester Gas and Electric	109,470
Wyoming		Municipal Utilities	119,339
		National Grid	12,410
		NYS Electric and Gas	708,395
Yates	Municipal Utilities	17,239	
	NYS Electric and Gas	16,846	

Projects Selected for Funding by Region

Period 10/1/2021 through 3/31/2022

REDC Region	County	Electric Utility	Total Funded Amount	
Finger Lakes	Total		11,480,858	
Long Island	Nassau	Long Island Power Authority	1,747,495	
	Suffolk	Long Island Power Authority	6,031,162	
	Total		7,778,657	
Mid-Hudson	Dutchess	Central Hudson Gas and Electric	4,238,414	
		NYS Electric and Gas	906,234	
	Orange	Central Hudson Gas and Electric	3,057,357	
		NYS Electric and Gas	17,663	
		Orange and Rockland Utilities	5,358,530	
	Putnam	Central Hudson Gas and Electric	75,126	
		NYS Electric and Gas	179,458	
	Rockland	Orange and Rockland Utilities	1,456,071	
	Sullivan	Central Hudson Gas and Electric	6,750	
		NYS Electric and Gas	70,727	
		Orange and Rockland Utilities	69,506	
	Ulster	Central Hudson Gas and Electric	3,310,585	
		NYS Electric and Gas	15,028	
	Westchester	Consolidated Edison	12,972,721	
		NYS Electric and Gas	25,972	
	Total		31,760,142	
	Mohawk Valley	Fulton	National Grid	1,541,577
		Herkimer	Municipal Utilities	43,115
			National Grid	936,062
		Montgomery	National Grid	1,190,529
Oneida		Municipal Utilities	114,047	
		National Grid	4,998,625	
		NYS Electric and Gas	66,155	
Otsego		NYS Electric and Gas	348,829	
Schoharie		National Grid	147,984	
		NYS Electric and Gas	5,250	
Total		9,392,172		
New York City	Bronx	Consolidated Edison	3,966,128	
	Brooklyn	Consolidated Edison	18,001	
	Kings	Consolidated Edison	15,066,079	
	New York	Null	46,522	
		Consolidated Edison	29,061,129	
	Queens	Consolidated Edison	8,167,465	
		Long Island Power Authority	19,984	
	Richmond	Consolidated Edison	19,876,448	
Total		76,221,757		
North Country	Clinton	NYS Electric and Gas	226,220	
	Essex	Municipal Utilities	12,240	
		National Grid	187,588	
		NYS Electric and Gas	24,437	

Projects Selected for Funding by Region

Period 10/1/2021 through 3/31/2022

REDC Region	County	Electric Utility	Total Funded Amount
North Country	Franklin	National Grid	10,620
	Jefferson	National Grid	31,189,380
	Lewis	National Grid	18,946
	St. Lawrence	National Grid	1,306,381
	Total		32,975,812
Southern Tier	Broome	NYS Electric and Gas	432,095
	Chemung	NYS Electric and Gas	893,322
	Chenango	NYS Electric and Gas	130,200
	Delaware	NYS Electric and Gas	258,285
	Schuyler	Municipal Utilities	10,920
	Steuben	NYS Electric and Gas	3,177,146
	Tioga	NYS Electric and Gas	2,715,875
	Tompkins	NYS Electric and Gas	1,049,565
	Total		8,667,408
Statewide	STATEWIDE	Statewide	8,289,866,463
	Total		8,289,866,463
Western New York	Allegany	National Grid	1,309,670
		NYS Electric and Gas	226,237
		Rochester Gas and Electric	6,800
	Cattaraugus	National Grid	22,305,605
		NYS Electric and Gas	12,775
	Chautauqua	Municipal Utilities	38,785
		National Grid	2,667,760
		NYS Electric and Gas	16,580
	Erie	National Grid	8,641,077
		NYS Electric and Gas	1,309,223
	Niagara	National Grid	416,465
		NYS Electric and Gas	425,922
	Total		37,376,899
Grand Total			8,557,460,896

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Projects Selected for Funding by Region
Period 10/1/2021 through 3/31/2022

REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Capital Region	22nd Century Technologies, I..	Albany	National Grid	Home Perf w Energy Star, TWO #1 Single Family..	176,405
	Advanced Energy Group L.L.C.	Albany	National Grid	>200KW PV, AEG Sponsorship	25,000
	Albany Solar Solutions L.L.C.	Albany	National Grid	<200KW PV, PON 2112 NY SUN	13,875
		Greene	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	5,850
		Saratoga	National Grid	<200KW PV, PON 2112 NY SUN	13,613
		Warren	National Grid	<200KW PV, NY-Sun	12,480
	Allen Power, Inc.	Rensselaer	National Grid	<200KW PV, PON 2112 NY SUN	25,200
	American Energy Care, Inc.	Albany	National Grid	<200KW PV, PON 2112 NY SUN	11,160
		Columbia	National Grid	<200KW PV, PON 2112 NY SUN	7,560
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	26,197
		Rensselaer	National Grid	<200KW PV, NY-Sun	5,472
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	10,791
		Saratoga	National Grid	<200KW PV, PON 2112 NY SUN	25,625
	Apex Solar Power LLC	Albany	National Grid	<200KW PV, PON 2112 NY SUN	11,600
			National Grid	<200KW PV, PON 2112 NY SUN	97,524
		Warren	National Grid	<200KW PV, PON 2112 NY SUN	15,670
		Washington	National Grid	<200KW PV, PON 2112 NY SUN	5,440
	Argus Media Inc.	Albany	National Grid	ENERGY ANALYSIS, Renewal - Argus Subscript..	16,368
	ASANA, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Asana 2022 Lice..	29,994
	Aztech Geothermal, LLC	Albany	National Grid	NYCH: District, Round 3 Sheridan Hollow Albany	99,695
		Saratoga	National Grid	NYCH: Talent Ppln:CE and OJT, OJT	9,840
	Barton & Loguidice, D. P.C.	Albany	National Grid	Technical Services, FT14057 - 1 Canal - FTC	74,495
	Beacon Communities Services LLC	Albany	National Grid	New Construction Housing, 2019 LRNCP	177,200
		Saratoga	National Grid	New Construction Housing, NCP Housing Single Family New Construction, NCP Housing	158,500 276,834
	Beacon Meadows Intergen LLC	Albany	National Grid	New Construction Housing, 2019 LRNCP	6,000
	Belmonte Builders	Saratoga	National Grid	Single Family New Construction, NCP Housing	13,200
	Bethany Meys	Albany	National Grid	Environmental Research, Project Manager I	435,000
	Bethesda House of Schenectad..	Schenectady	National Grid	New Construction Housing, NCP Housing	33,000
	Black Mountain Architecture, ..	Schenectady	National Grid	Buildings of Excellence, BoE Rnd. 2 - DTL Solara..	112,500
	Bond, Schoeneck & King, PLLC	Albany	National Grid	K-12 SCHOOLS, TWO 3 Clean Green Schools P..	15,000
				NYSERDA ADMINISTRATION, TWO 5 Cybersec..	10,000
				NYSERDA ADMINISTRATION, TWO 6 HR Coun..	25,000
	Bruns Associates, LLC	Schenectady	National Grid	Buildings of Excellence, BoE Rnd. 2 - Solara III	637,500
	Building Performance Institute..	Albany	National Grid	NYCH: Supply Chain, Electrification Audit Proced..	199,970
	C&S Engineers, Inc.	Columbia	NYS Electric and Gas	Technical Services, FT13868 - Town of Canaan -..	7,567
	Carahsoft Technology Corporation	Albany	National Grid	NYSERDA ADMINISTRATION, Salesforce Licen..	1,578,266
				NYSERDA ADMINISTRATION, Salesforce Mark..	38,340
				NYSERDA ADMINISTRATION, Salesforce Mark..	213,920
	Carter Ledyard & Milburn LLP	Albany	National Grid	OREC: Technical Support, TWO 1 - ORECRFP2..	50,000
	CDATA SOFTWARE, INC.	Albany	National Grid	NYSERDA ADMINISTRATION, DBAmp Pro. Edit..	8,990
	CHA Consulting Inc.	Albany	National Grid	NYCH: District, SA.089_TWO #7_CHC PM-2	455,228
		Schenectady	National Grid	K-12 SCHOOLS, FT13860 - Rotterdam CSD - FT..	58,984
	Citizens Global Albany LLC	Albany	National Grid	>200KW PV, NY-Sun	247,680
	CON EDISON SOLUTIONS, I..	Columbia	National Grid	<200KW PV, NY-Sun	261,671
	Data Nerds Marketing Ltd.	Albany	National Grid	Eval MCDC Cross Cutting, Purchase Building Da..	15,000
	Davies Office Refurbishing, Inc.	Albany	National Grid	Cubicle Furniture	48,331
	Dell, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Azure Cloud serv..	35,118
NYSERDA ADMINISTRATION, Azure Cloud serv..				35,807	
NYSERDA ADMINISTRATION, Dell - laptops do..				5,674	
NYSERDA ADMINISTRATION, Microsoft Advanc..				76,908	

Projects Selected for Funding by Region
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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Capital Region	Dell, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Microsoft Teams ..	10,380
	Delta Dental of New York	Albany	National Grid	NYSERDA ADMINISTRATION, Delta Dental Pre..	650,000
	Direct Packet Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Endpoint Service..	5,000
				NYSERDA ADMINISTRATION, Video Hardware ..	11,881
	DNV Energy Insights USA Inc.	Albany	National Grid	Eval MCDC:I&R Product Dev.Stud, TWO#2 I&R ..	650,857
				OREC: Technical Support, GLW Tech and Econo..	40,000
				OREC: Technical Support, Large-Scale Renewa..	40,000
	ELP Kipp Solar LLC	Columbia	National Grid	NY-SUN, NY-Sun	500,040
	EME Consulting Engineering Group, LLC	Albany	National Grid	K-12 SCHOOLS, SA.045_TWO# 6_AES PM	275,365
				Real Time Enrgy Management, SA.056_TWO #1..	181,350
				REV Campus Challenge, SA.045_TWO# 6_AES ..	148,635
				Technical Services, SA.084_TWO# 15_MF PM-1	312,630
	Empire Solar Solutions LLC	Greene	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	11,773
	Employee Leasing of Greater NY	Albany	National Grid	NYSERDA ADMINISTRATION, TS016_Marketing	66,000
				TS.023 - SQA_Coordinator	139,388
	Energy and Environmental Ec..	Albany	National Grid	Value Stack Calculator Support	50,000
	Environment & Energy Publis..	Albany	National Grid	NYSERDA ADMINISTRATION, 2021-22 Subscri..	15,110
	ePlus inc	Albany	National Grid	NYSERDA ADMINISTRATION, nVidia VDI Licen..	18,315
	Fobare & Co. LLC	Saratoga	National Grid	<200KW PV, PON 2112 NY SUN	6,650
		Washington	National Grid	<200KW PV, PON 2112 NY SUN	10,385
	Friello and Sons Heating and ..	Rensselaer	National Grid	NYCH: Talent Ppln:CE and OJT, OJT	11,520
	Fusco Personnel, Inc.	Albany	National Grid	REC:CES REC System Dev Costs, TS.007 - LS..	62,400
				REC:CES REC System Dev Costs, TS.026 - LS..	25,000
	Galvan Initiatives Foundation, Inc.	Columbia	National Grid	New Construction Housing, NCP Housing	300,000
				New Construction- Commercial, NCP Housing	8,000
	Gartner Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Gartner 2022 Re..	40,143
	GovOS, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Seamlessdocs Li..	49,609
	Great Oaks 150, LLC	Albany	National Grid	Buildings of Excellence, BoE Rnd. 2 - Great Oak..	850,000
	Green Action Studio, LLC	Schenectady	National Grid	Talent Pipeline:CE and OJT, OJT	40,000
	Harris Beach PLLC	Albany	National Grid	NYSERDA ADMINISTRATION, TWO 2 Financin..	25,000
				SARATOGA TECHNOLOGY & ENERGY PARK, ..	2,126
				SARATOGA TECHNOLOGY & ENERGY PARK, ..	25,000
	Holland & Knight LLP	Albany	National Grid	OREC: Technical Support, TWO 1 - ORECRFP2..	50,000
	Home Leasing, LLC	Schenectady	National Grid	New Construction Housing, NCP Housing	204,000
	Honkamp Krueger & Co., PC	Albany	National Grid	NYSERDA ADMINISTRATION, External QAR	18,700
	Hudson River Renewables	Columbia	National Grid	<200KW PV, PON 2112 NY SUN	11,200
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	8,800
		Greene	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	8,400
		Rensselaer	National Grid	<200KW PV, PON 2112 NY SUN	12,240
	HyperGen Inc	Albany	National Grid	NYSERDA ADMINISTRATION, PeopleSoft Supp..	670,000
	ICE Data, LP	Albany	National Grid	ENERGY ANALYSIS, Energy Analysis	21,680
	Info-Tech Research Group Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Info-Tech Resea..	37,400
Infogroup Government Division	Albany	National Grid	Eval MCDC Cross Cutting, Data Purchase	475,000	
Interstate Renewable Energy ..	Albany	National Grid	NYCH: Talent Ppln:CE and OJT, PON3981 Roun..	140,903	
IOvations Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Check Point Fire..	153,135	
Ithaca Neighborhood Housing ..	Saratoga	NYS Electric and Gas	New Construction Housing, 2019 LRNCP	165,200	
Jones Lang LaSalle Americas,..	Albany	National Grid	On-Site Energy Manager, OsEM83-I Phillips Med..	213,704	
Kasselman Solar LLC	Albany	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	15,130	
		National Grid	<200KW PV, NY-Sun	11,880	
		National Grid	<200KW PV, PON 2112 NY SUN	77,618	
	Columbia	National Grid	<200KW PV, PON 2112 NY SUN	5,600	
		NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	44,226	

Projects Selected for Funding by Region
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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Capital Region	Kasselman Solar LLC	Greene	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	8,000
		Rensselaer	National Grid	<200KW PV, PON 2112 NY SUN	12,756
		Saratoga	National Grid	<200KW PV, PON 2112 NY SUN	55,826
		Schenectady	National Grid	<200KW PV, NY-Sun	6,800
				<200KW PV, PON 2112 NY SUN	17,363
		Warren	National Grid	<200KW PV, PON 2112 NY SUN	11,340
		Washington	National Grid	<200KW PV, NY-Sun	7,040
	<200KW PV, PON 2112 NY SUN			10,729	
	Kearns & West, Inc.	Albany	National Grid	BR: Program Implementation, Build-Ready Facilit..	17,238
	KPMG LLP	Albany	National Grid	NEW YORK GREEN BANK, Audit Services	35,200
	L&S Energy Services, Inc.	Albany	National Grid	New Construction- Commercial, Commercial Ne..	15,810
				Technical Services, FT13764 - 25 Hackett - FTC	7,500
	LaBella Associates, P.C.	Albany	National Grid	New Construction- Commercial, Commercial Ne..	35,000
	Landmark Flooring Concepts I..	Albany	National Grid	Replacement of Carpeting	23,998
	Level 3 Communications, LLC	Albany	National Grid	NYSERDA ADMINISTRATION, Century Link_Ext..	144,000
	Lincoln Life & Annuity Compa..	Albany	National Grid	NYSERDA ADMINISTRATION, Insurance SL/LT/..	24,000
	Livingston Energy Group	Schenectady	National Grid	OJT	6,925
				Talent Pipeline:CE and OJT, OJT	13,850
	Long Island Power Authority	Albany	National Grid	NY-SUN, MOU - 3 year term	20,000,000
	Low-Level Radioactive Waste ..	Albany	National Grid	NYSERDA ADMINISTRATION, LLW Forum Me..	5,000
	Lumsden & McCormick, LLP	Albany	National Grid	NYSERDA ADMINISTRATION, Tax Compliance ..	22,000
	Marshall & Sterling, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, RFP 4301 Insura..	20,000
Mason Tillman Associates, LTD	Albany	National Grid	OREC: Technical Support, MWBE Disparity Study	85,000	
Michaels Group Homes, LLC	Saratoga	National Grid	Single Family New Construction, NCP Housing	6,000	
Milliman, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, 2022 GASB74 Li..	12,200	
Mintzer Mauch PLLC	Albany	National Grid	BR: Program Implementation, TWO 1 - Build-Rea..	7,000	
New Leaf Solar LLC	Warren	National Grid	<200KW PV, PON 2112 NY SUN	6,027	
	Washington	National Grid	<200KW PV, PON 2112 NY SUN	5,200	
New York Power Authority	Albany	National Grid	NYCH: Technical Assistance, FT13908 - Empire ..	500,000	
			Technical Services, FT13805 - Harriman - FTC	20,963	
New York State Solar Farm Inc.	Columbia	National Grid	<200KW PV, PON 2112 NY SUN	12,960	
	Greene	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	5,400	
NortonLifeLock Inc	Albany	National Grid	NYSERDA ADMINISTRATION, Identity Theft Pro..	15,390	
Nukelaw LLC	Albany	National Grid	WEST VALLEY DEVELOPMENT PROGRAM, W..	15,000	
NY Country Road 67 and Maj..	Greene	Central Hudson Gas a..	NY-SUN, NY Sun	889,056	
NYS Office for Technology	Albany	National Grid	NYSERDA ADMINISTRATION, Office 365: 3/15/..	179,868	
NYS Office of General Services	Saratoga	NYS Electric and Gas	SARATOGA TECHNOLOGY & ENERGY PARK, ..	48,253	
Oracle America, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Oracle Peoplesof..	54,308	
OwnBackup Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Own backupSale..	36,077	
PlugPV, LLC	Albany	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	5,800	
		National Grid	<200KW PV, PON 2112 NY SUN	15,600	
	Greene	Central Hudson Gas and Electric	<200KW PV, NY-Sun	16,320	
			<200KW PV, PON 2112 NY SUN	21,120	
	Rensselaer	National Grid	<200KW PV, PON 2112 NY SUN	33,277	
	Saratoga	National Grid	<200KW PV, PON 2112 NY SUN	44,914	
		NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,000	
	Schenectady	National Grid	<200KW PV, NY-Sun	7,344	
			<200KW PV, PON 2112 NY SUN	63,800	
	Washington	National Grid	<200KW PV, PON 2112 NY SUN	25,024	
Power Guru, LLC	Rensselaer	National Grid	<200KW PV, PON 2112 NY SUN	5,712	
Randstad North America, Inc.	Albany	National Grid	Clean Energy Communities, Payroll Services - C..	21,548	
			Code to Zero, Payroll Services_Market Dev	12,600	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Capital Region	Randstad North America, Inc.	Albany	National Grid	ENERGY ANALYSIS, Data and Markets Intern	21,548
				Home Perf w Energy Star, Payroll Services	60,000
				NEW YORK GREEN BANK, Payroll Services_N..	5,772
				NYSERDA ADMINISTRATION, Payroll Services	205,234
				NYSERDA ADMINISTRATION, Payroll Services..	2,535
				NYSERDA ADMINISTRATION, PS.063 - Statistic..	21,548
	Re:Vision Architecture, Inc.	Albany	National Grid	Buildings of Excellence, BoE Rnd. 2 - DTL Great ..	150,000
	Research Foundation of SUNY	Albany	National Grid	Workforce Industry Partnership, PON 3715 BOM ..	397,637
	Ricoh USA Inc	Albany	National Grid	NYSERDA ADMINISTRATION, Sitecore Web C..	2,600,000
	Rise Housing and Support Ser..	Saratoga	National Grid	New Construction Housing, NCP Housing	240,000
	Rosenblum Property Services,..	Saratoga	National Grid	SARATOGA TECHNOLOGY & ENERGY PARK, ..	404,958
	Rouse RPC	Rensselaer	National Grid	Multifam Performance Pgm, Multifamily	60,200
				Tech Assistanc Multifamily LMI, FT13951 - 1-9 C..	10,000
	Ruth Horton	Albany	National Grid	Eval MCDC: CEF Plan Support, Senior Advisor S..	9,750
	Same Sun of Vermont, Inc	Washington	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	12,789
	SHI, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, ER/Studio Suppo..	18,930
				NYSERDA ADMINISTRATION, Logitech Rallyba..	15,112
				NYSERDA ADMINISTRATION, SilverPeak SDW..	119,367
				NYSERDA ADMINISTRATION, Software-Define..	76,813
				NYSERDA ADMINISTRATION, Surface Laptop 4..	7,361
				NYSERDA ADMINISTRATION, Surface Laptops ..	7,425
	NYSERDA ADMINISTRATION, Tableau Desktop..	90,354			
	Sitecore USA, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Sitecore CMS So..	24,750
	Sive Paget & Riesel PC	Albany	National Grid	OTHER PROGRAM AREA, TWO 2 - Antitrust Fe..	2,500
	Solar Liberty Energy Systems, Inc	Albany	National Grid	<200KW PV, PON 2112 NY SUN	12,910
		Warren	National Grid	<200KW PV, PON 2112 NY SUN	5,580
	SolarCommunities Inc.	Albany	National Grid	<200KW PV, PON 2112 NY SUN	13,720
		Columbia	National Grid	<200KW PV, PON 2112 NY SUN	30,982
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	43,960
		Greene	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	43,155
		Rensselaer	National Grid	<200KW PV, PON 2112 NY SUN	13,311
		Saratoga	National Grid	<200KW PV, PON 2112 NY SUN	7,714
	South Colonie Central School ..	Albany	National Grid	Technical Services, OsEM86-C - South Colonie ..	110,000
	State University Construction Fund	Albany	National Grid	Technical Services, FT13825 - SUNY Admin - FT..	56,684
				Technical Services, FT13837 - SUNY Albany - F..	441,374
		Saratoga	National Grid	NYCH: Technical Assistance, FT13832 - SUNY ..	48,093
	SunPower Capital, LLC	Columbia	National Grid	<200KW PV, PON 2112 NY SUN	7,380
		Greene	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	5,760
		Rensselaer	National Grid	<200KW PV, PON 2112 NY SUN	5,040
		Saratoga	National Grid	<200KW PV, PON 2112 NY SUN	5,040
	SunRun, Inc	Greene	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	5,610
	Tech Valley Talent, LLC	Albany	National Grid	NYSERDA ADMINISTRATION, SecureAuth Ren..	142,450
NYSERDA ADMINISTRATION, TWO 2Sr.Softwa..				183,300	
NYSERDA ADMINISTRATION, TWO #14 Salesf..				218,400	
NYSERDA ADMINISTRATION, TWO #15 Tablea..				208,650	
NYSERDA ADMINISTRATION, TWO #16 Techni..				194,025	
NYSERDA ADMINISTRATION, TWO #17 .Net S..				182,325	
NYSERDA ADMINISTRATION, Web Pro Forma				369,000	
REC2:CES REC2 Tech Support, TWO #6 Salesf..				109,200	
REC:CES REC System Dev Costs, TWO 1 Sales..				93,132	
REC:CES REC System Dev Costs, TWO #6 Sale..				109,200	
ZEC:CES ZEC System Dev Costs, TWO 1 Salesf..	93,132				

Projects Selected for Funding by Region
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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount			
Capital Region	Technology Professionals Gro..	Albany	National Grid	NYSERDA ADMINISTRATION, TWO #1 Salesfor..	224,250			
	Tesla Energy Operations Inc	Albany	National Grid	<200KW PV, PON 2112 NY SUN	11,515			
		Warren	National Grid	<200KW PV, PON 2112 NY SUN	6,120			
	The Business Council of NYS,..	Albany	National Grid	Prof & Expert Engagement, 2021 Sponsorship	5,000			
	Throughline Group, LLC	Albany	National Grid	NYSERDA ADMINISTRATION, NYSERDA Staff ..	8,000			
	ThunderCat Technology LLC	Albany	National Grid	NYSERDA ADMINISTRATION, Atlassian - Confl..	5,432			
				NYSERDA ADMINISTRATION, Atlassian Licens..	71,296			
				NYSERDA ADMINISTRATION, Checkmarx licen..	63,076			
				NYSERDA ADMINISTRATION, Docusign Subscr..	98,173			
				NYSERDA ADMINISTRATION, Rightstar Scanst..	5,530			
				NYSERDA ADMINISTRATION, Telerik Tools. Th..	5,666			
				Towerstream 1 Incorporated	Albany	National Grid	NYSERDA ADMINISTRATION, Secondary WAN ..	1,200
				Town of Colonie	Albany	National Grid	CEC410033 - Town of Colonie	27,150
	TRC Energy Services	Albany	National Grid	Cl Engy Siting & Soft Cost Red, SA.088_TWO#2..	696,725			
				Commercial Real Estate Ten, SA.086a_TWO #2..	84,923			
				ENERGY ANALYSIS, SA.053a_TWO #20 - EEA	166,000			
				Informat. Products & Brokering, SA.086a_TWO #..	84,923			
				Multifam Performance Pgm, SA.012_TWO #5_M..	82,557			
				Multifam Performance Pgm, SA.014_TWO #7_M..	95,813			
				Multifam Performance Pgm, SA.016_TWO #8_M..	59,255			
				Multifam Performance Pgm, SA.017_TWO #9_M..	138,938			
				New Construction Housing, SA.042_TWO#17 - N..	204,000			
				New Construction Housing, SA.042_TWO#17b - ..	189,000			
				New Construction- Commercial, SA.042_TWO#1..	68,000			
				New Construction- Commercial, SA.042_TWO#1..	63,000			
				NYSERDA ADMINISTRATION, SA.059_TWO #2..	351,000			
				Single Family New Construction, SA.042_TWO#..	68,000			
				Single Family New Construction, SA.042_TWO#..	63,000			
				Troy Web Consulting, LLC	Albany	National Grid	NYSERDA ADMINISTRATION, Troy Web Hostin..	7,620
	True Building Performance LLC	Albany	National Grid	WORKFORCE DEVELOPMENT, OJT	6,400			
TVC Albany Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, FirstLight Redun..	48,960				
Unique Comp Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, TWO Sr. Softwar..	176,800				
Verizon Wireless	Albany	National Grid	NYSERDA ADMINISTRATION, Verizon Wireless..	73,239				
Waterfield Farms	Schenectady	National Grid	Commercial New Construc, 2019 CNCP	350,000				
Wendel Energy Services, LLC	Albany	National Grid	Technical Services, FT13846 - Multiple - FTC	34,869				
WSP USA Corp.	Albany	National Grid	OREC: Technical Support, Large-Scale Renewa..	40,000				
Zones LLC	Albany	National Grid	NYSERDA ADMINISTRATION, Cisco Webex ren..	48,380				
Total				46,625,082				
Central New York	Alternative Power Solutions of NY, LLC	Cayuga	Rochester Gas and El..	<200KW PV, PON 2112 NY SUN	21,250			
		Madison	National Grid	<200KW PV, PON 2112 NY SUN	5,890			
		Onondaga	National Grid	<200KW PV, PON 2112 NY SUN	6,720			
				NYCH: Talent Ppln:CE and OJT, OJT	22,560			
	Oswego	National Grid	<200KW PV, PON 2112 NY SUN	28,152				
	American Solar Partners, LLC	Cortland	National Grid	<200KW PV, PON 2112 NY SUN	8,750			
	Apex Solar Power LLC	Onondaga	National Grid	<200KW PV, PON 2112 NY SUN	8,000			
	Bergmann Associates, Archite..	Onondaga	National Grid	Technical Services, AEAP 1388 - Apple Acres LL..	2,500			
	Breathe Easy of CNY Inc.	Oswego	National Grid	NYCH: Talent Ppln:CE and OJT, OJT	41,040			
	Buckley Park, LLC	Onondaga	National Grid	Multifam Performance Pgm, Multifamily	77,000			
	C&S Engineers, Inc.	Onondaga	National Grid	Technical Services, FT14008 - 200 Cortland - FTC	30,309			
		Oswego	National Grid	Technical Services, FT14069 - 110 W 6th - FTC	8,312			
	Cayuga Developments, Inc	Cayuga	NYS Electric and Gas	Multifam Performance Pgm, Multifamily	4,800			
	Cayuga Milk Ingredients	Cayuga	NYS Electric and Gas	Real Time Enrgy Management, Cayuga Milk - 15 ..	474,695			

Projects Selected for Funding by Region
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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Central New York	Central New York Regional Pl..	Onondaga	National Grid	NYCH: District, PON 4614 Round #1 Syracuse	99,990
	Energy Savers Inc	Onondaga	National Grid	Talent Pipeline:CE and OJT, OJT	5,440
	Extraterrestrial Materials Inc.	Onondaga	National Grid	<200KW PV, PON 2112 NY SUN	12,480
	Green Visions Solar LLC	Onondaga	National Grid	<200KW PV, NY-Sun	10,764
		Oswego	National Grid	<200KW PV, PON 2112 NY SUN	69,930
	GSPP 4643 Twelve Corners ..	Cayuga	National Grid	NY-SUN, NY-Sun ICESA	438,376
	Halcyon, Inc.	Cortland	National Grid	<200KW PV, PON 2112 NY SUN	7,680
		Madison	National Grid	<200KW PV, PON 2112 NY SUN	5,244
	High Peaks Solar	Oswego	National Grid	<200KW PV, PON 2112 NY SUN	196,378
	Housing Visions Consultants, ..	Oswego	National Grid	New Construction Housing, 2019 LRNCP	207,500
	IBC Engineering PC	Onondaga	National Grid	REV Campus Challenge, FT14006 - Syracuse U ..	5,027
	Ithaca Neighborhood Housing ..	Cayuga	NYS Electric and Gas	New Construction Housing, NCP Housing	31,000
	Kasselmann Solar LLC	Madison	National Grid	<200KW PV, PON 2112 NY SUN	7,460
			Onondaga	National Grid	<200KW PV, NY-Sun
				NYS Electric and Gas	<200KW PV, PON 2112 NY SUN
				<200KW PV, PON 2112 NY SUN	21,250
	Knowles Cazenova Inc	Madison	National Grid	Technical Services, FT13722 - 2777 US-20 - PON	15,700
	M/E Engineering, P.C.	Oswego	National Grid	NYCH: District, Round 3 SUNY Oswego	99,930
	New York Power Authority	Onondaga	National Grid	REV Campus Challenge, FT13843 - SUNY ESF -..	108,784
		Oswego	National Grid	Technical Services, FT13815 - SUNY Oswego - ..	237,332
	Next Generation Solar, LLC	Onondaga	National Grid	<200KW PV, PON 2112 NY SUN	15,150
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	6,694
	Nickels Energy Solutions LLC	Madison	National Grid	<200KW PV, PON 2112 NY SUN	5,569
		Onondaga	National Grid	<200KW PV, PON 2112 NY SUN	6,622
				NYS Electric and Gas	<200KW PV, PON 2112 NY SUN
	Noresco LLC	Onondaga	National Grid	NYCH: Technical Assistance, FT13688 - 6304 C..	110,298
	OYA Camillus A LLC	Onondaga	NYS Electric and Gas	NY-SUN, NY-Sun - ICESA	531,552
	OYA Camillus B LLC	Onondaga	National Grid	NY-SUN, NY-Sun - ICESA	512,736
	OYA Church Road A LLC	Onondaga	National Grid	NY-SUN, NY-Sun - ICESA	299,936
	OYA Pulaski LLC	Oswego	National Grid	NY-SUN, NY-Sun - ICESA	190,112
	PlugPV, LLC	Madison	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,760
	Renovus Energy, Inc.	Cayuga	National Grid	<200KW PV, PON 2112 NY SUN	9,840
	Rural Generation & Wind (Ro..	Onondaga	National Grid	<200KW PV, PON 2112 NY SUN	11,172
	Solar Liberty Energy Systems,..	Onondaga	National Grid	<200KW PV, PON 2112 NY SUN	12,600
	State University Construction Fund	Cortland	National Grid	NYCH: Technical Assistance, FT13821 - SUNY ..	236,247
		Onondaga	National Grid	Technical Services, FT13833 - SUNY Medical - F..	500,000
	SUNY College of Environment..	Onondaga	National Grid	Technical Services, OsEM79-C - SUNY ESF	214,000
	Sustainable Comfort, Inc	Onondaga	National Grid	OJT	8,845
				Talent Pipeline:CE and OJT, OJT	26,344
				Talent Pipeline:CE and OJT, OJT HIRE	6,691
				WORKFORCE DEVELOPMENT, OJT	5,440
	Trinity Solar Inc	Oswego	National Grid	<200KW PV, PON 2112 NY SUN	5,600
	Two Plus Four Construction C..	Cayuga	NYS Electric and Gas	New Construction Housing, NCP Housing	144,000
	Upstate Alternative Energy	Cortland	National Grid	<200KW PV, PON 2112 NY SUN	8,505
		Madison	National Grid	<200KW PV, PON 2112 NY SUN	16,100
		Onondaga	National Grid	<200KW PV, PON 2112 NY SUN	19,110
	Zerodraft Residential Inc.	Onondaga	National Grid	OJT	10,880
Talent Pipeline:CE and OJT, OJT				28,800	
Talent Pipeline:CE and OJT, OJT HIRE				16,320	
WORKFORCE DEVELOPMENT, OJT				5,440	
Total				5,315,647	
Finger Lakes	3rd ROC Solar LLC	Genesee	National Grid	<200KW PV, PON 2112 NY SUN	26,549
		Livingston	National Grid	<200KW PV, PON 2112 NY SUN	14,450

Projects Selected for Funding by Region
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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Finger Lakes	3rd ROC Solar LLC	Monroe	National Grid	<200KW PV, PON 2112 NY SUN	27,670
			Rochester Gas and El..	<200KW PV, PON 2112 NY SUN	20,043
		Wayne	Rochester Gas and El..	<200KW PV, PON 2112 NY SUN	20,120
		Yates	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,670
	70 West MM LLC	Monroe	National Grid	NYCH: LMI, Clean Heating & Cooling	218,000
	Abundant Solar Power Inc.	Ontario	National Grid	NY-SUN, NY-Sun - ICSA	280,028
	Baldwin Real Estate Develop..	Ontario	Rochester Gas and El..	New Construction Housing, 2019 LRNCP	18,400
	Barton & Loguidice, D. P.C.	Seneca	NYS Electric and Gas	Technical Services, FT14028 - Seneca Falls - FTC	26,000
	Brightmark Helios RNG LLC	Wyoming	NYS Electric and Gas	Anaerobic Digesters, PON 3739 CAT Assignment	568,120
	Buffalo Solar Solutions Inc	Wayne	Rochester Gas and El..	<200KW PV, PON 2112 NY SUN	7,000
		Wyoming	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	21,105
	CHA Consulting Inc.	Monroe	Rochester Gas and El..	Technical Services, FT13957 - 1700 Lexington - ..	12,775
		Wayne	NYS Electric and Gas	Technical Services, FT13977 - 1666 Division - F..	5,800
	CIR ELECTRICAL CONSTRUCTION CORP.	Genesee	National Grid	<200KW PV, PON 2112 NY SUN	7,200
		Livingston	National Grid	<200KW PV, PON 2112 NY SUN	8,360
		Monroe	Rochester Gas and El..	<200KW PV, PON 2112 NY SUN	5,510
		Wyoming	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	6,750
	College Greene Rental Associates L.P.	Monroe	Rochester Gas and Electric	Multifam Performance Pgm, Multifamily	77,000
				Tech Assistanc Multifamily LMI, FT14027 -45 Col..	10,000
	Council Rock Enterprises	Monroe	Rochester Gas and El..	Talent Pipeline:CE and OJT, OJT	10,240
	Dailey Electric Inc	Yates	Municipal Utilities	NYCH: Talent Ppln:CE and OJT, OJT	11,520
	Dragon Solar LLC	Livingston	National Grid	<200KW PV, PON 2112 NY SUN	7,884
	Eco Energy of NY	Monroe	Rochester Gas and El..	NYCH: Talent Ppln:CE and OJT, OJT	12,240
	EMCOR Services Betlem	Monroe	Rochester Gas and Electric	NYCH: Talent Ppln:CE and OJT, OJT	18,840
				NYCH: Technical Assistance, FT13725 - 100 Bor..	8,268
				Technical Services, FT14086 - 81 Linden - FTC	5,119
	Fusion Energy Services LLC	Ontario	Rochester Gas and El..	<200KW PV, PON 2112 NY SUN	21,423
	Genesis Housing Developmen..	Monroe	Rochester Gas and El..	New Construction Housing, NCP Housing	450,000
	Geotherm Inc.	Monroe	National Grid	NYCH: Talent Ppln:CE and OJT, OJT	30,960
		Ontario	Rochester Gas and El..	<200KW PV, PON 2112 NY SUN	5,880
	Halcyon Inc.	Ontario	NYS Electric and Gas	NYCH: Talent Ppln:CE and OJT, OJT	163,800
				Talent Pipeline:CE and OJT, OJT	40,320
	Halcyon, Inc.	Ontario	NYS Electric and Gas	Talent Pipeline:CE and OJT, OJT HIRE	9,120
	Hawn Heating & Energy Servi..	Monroe	Rochester Gas and El..	Talent Pipeline:CE and OJT, OJT	8,460
	Hobart and William Smith Coll..	Ontario	NYS Electric and Gas	Technical Services, OsEM51-C-Hobart&William ..	17,736
	Home Leasing, LLC	Monroe	Rochester Gas and El..	Single Family New Construction, NCP Housing	105,000
	John Betlem Heating & Coolin..	Monroe	Rochester Gas and El..	NYCH: Talent Ppln:CE and OJT, OJT	36,960
	Lake Country Geothermal, Inc.	Wayne	NYS Electric and Gas	NYCH: Talent Ppln:CE and OJT, OJT	11,040
	Landsman Development Corp.	Monroe	Rochester Gas and Electric	Multifam Performance Pgm, Multifamily	75,600
				NYCH: LMI, Clean Heating & Cooling	475,200
	Matthews Buses Incorporated	Monroe	Rochester Gas and El..	CLEAN TRANSPORTATION, NYTVIP - Gates-C..	400,000
	Morton Salt Inc	Wyoming	Municipal Utilities	Real Time Enrgy Management, Morton Salt - 45 ..	119,339
	Nautilus Owner 2021, LLC	Genesee	National Grid	>200KW PV, NY Sun	987,034
	Nazareth College of Rochester	Monroe	Rochester Gas and El..	Technical Services, OsEM50-C - Nazareth Colle..	750
	New Flyer of America, Inc.	Monroe	Rochester Gas and El..	CLEAN TRANSPORTATION, NYTVIP - Rochest..	3,850,000
	Orange EV LLC	Monroe	Rochester Gas and El..	CLEAN TRANSPORTATION, NYTVIP - Wegman..	421,625
	Orleans Niagara BOCES	Orleans	National Grid	Talent Pipeline:CE and OJT, Electric Vehicle (EV)	24,967
	OYA Main Street LLC	Livingston	National Grid	NY-SUN, NY-Sun - ICSA	299,936
	Paradise Energy Solutions, LLC	Monroe	Rochester Gas and El..	<200KW PV, PON 2112 NY SUN	37,800
		Wayne	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	8,330
		Yates	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	11,176
	PathStone Development	Monroe	National Grid	Multifam Performance Pgm, Multifamily	119,000

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Finger Lakes	Pathstone Development Corporation	Orleans	National Grid	Multifam Performance Pgm, Multifamily	23,100
	Pathstone Housing Action Corporation	Livingston	National Grid	Single Family New Construction, 2019 LRNCP	200,000
		Monroe	Rochester Gas and El..	New Construction Housing, 2019 LRNCP	236,000
	PlugPV, LLC	Livingston	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,000
	Plymouth Gardens, Inc.	Monroe	Rochester Gas and Electric	Multifam Performance Pgm, Multifamily	161,000
				Tech Assistanc Multifamily LMI, FT13971 - 1400 ..	10,000
	Providence Housing Develop..	Monroe	Rochester Gas and El..	New Construction Housing, NCP Housing	160,000
	QwikSolar, LLC	Ontario	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	6,048
		Yates	Municipal Utilities	<200KW PV, PON 2112 NY SUN	5,719
	Ramboll Americas Engineerin..	Genesee	National Grid	Real Time Enrgy Management, Ramboll - 4815 E..	63,192
	Renewable Rochester LLC	Livingston	National Grid	<200KW PV, PON 2112 NY SUN	5,544
				Monroe	National Grid
		Ontario	Rochester Gas and El..	<200KW PV, PON 2112 NY SUN	12,960
			National Grid	<200KW PV, PON 2112 NY SUN	6,552
			Rochester Gas and El..	<200KW PV, PON 2112 NY SUN	24,752
		Wayne	Rochester Gas and El..	<200KW PV, PON 2112 NY SUN	12,100
	Rochester District Heating Co..	Monroe	Rochester Gas and El..	NYCH: District, PON 4614 Round #2 Rochester	87,857
	Rochester Housing Authority	Monroe	Rochester Gas and Electric	New Construction Housing, NCP Housing	42,500
				Single Family New Construction, NCP Housing	9,000
	Rochester Institute of Technol..	Monroe	Rochester Gas and El..	New Construction- Commercial, Commercial Ne..	7,350
	Rural Housing Opportunities ..	Monroe	Rochester Gas and El..	New Construction Housing, NC - Housing Progra..	48,400
	Ryan Homes (Virginia)	Ontario	Rochester Gas and El..	Single Family New Construction, NCP Housing	36,600
	Sigora Solar	Genesee	National Grid	<200KW PV, PON 2112 NY SUN	7,600
		Monroe	Rochester Gas and El..	<200KW PV, PON 2112 NY SUN	6,840
		Orleans	National Grid	<200KW PV, PON 2112 NY SUN	19,800
	Solar Liberty Energy Systems, Inc	Genesee	National Grid	<200KW PV, PON 2112 NY SUN	6,552
		Livingston	National Grid	<200KW PV, PON 2112 NY SUN	17,820
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,760
		Monroe	Rochester Gas and El..	<200KW PV, PON 2112 NY SUN	23,675
		Orleans	National Grid	<200KW PV, PON 2112 NY SUN	34,884
	Solar Village Company LLC	Ontario	NYS Electric and Gas	New Construction Housing, NCP Housing	28,000
	State University Construction Fund	Livingston	Rochester Gas and El..	NYCH: Technical Assistance, FT13830 - SUNY ..	178,079
		Monroe	National Grid	NYCH: Technical Assistance, FT13823 - SUNY ..	207,364
	Steed Energy LLC	Livingston	National Grid	<200KW PV, PON 2112 NY SUN	20,528
		Monroe	Rochester Gas and El..	<200KW PV, PON 2112 NY SUN	5,670
	Sustainable Comfort, Inc	Livingston	National Grid	Single Family New Construction, NCP Housing	10,000
	Sustainable Energy Developments Inc.	Genesee	National Grid	<200KW PV, PON 2112 NY SUN	12,500
		Livingston	National Grid	<200KW PV, PON 2112 NY SUN	6,660
			Monroe	National Grid	<200KW PV, PON 2112 NY SUN
		Ontario	Rochester Gas and El..	<200KW PV, PON 2112 NY SUN	119,655
			National Grid	<200KW PV, PON 2112 NY SUN	6,475
			Rochester Gas and El..	<200KW PV, PON 2112 NY SUN	23,680
		Wayne	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	30,340
			Rochester Gas and Electric	<200KW PV, PON 2112 NY SUN	46,730
		Wyoming	Talent Pipeline:CE and OJT, OJT	23,520	
			National Grid	<200KW PV, PON 2112 NY SUN	12,410
	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	112,420		
Tesla Energy Operations Inc	Livingston	National Grid	<200KW PV, PON 2112 NY SUN	6,549	
Trane	Wayne	NYS Electric and Gas	Real Time Enrgy Management, Trane-1666 Divis..	78,351	
True Energy Solutions	Monroe	Municipal Utilities	Talent Pipeline:CE and OJT, OJT	5,760	
		Rochester Gas and El..	Talent Pipeline:CE and OJT, OJT	43,200	
Total					11,480,858

Projects Selected for Funding by Region
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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Long Island	Ascendant Neighborhood Dev..	Suffolk	Long Island Power Au..	NYCH: Technical Assistance, FT13741 - Ascend..	50,100
	Bonded Energy Solutions Corp.	Nassau	Long Island Power Au..	WORKFORCE DEVELOPMENT, OJT	15,360
	Bright Power, Inc.	Nassau	Long Island Power Au..	NYCH: Technical Assistance, FT13775 - 26 Harb..	6,750
	Empower CES, LLC	Nassau	Long Island Power Au..	ENERGY STORAGE, PON 2112 NY SUN	215,375
		Suffolk	Long Island Power Au..	ENERGY STORAGE, PON 2112 NY SUN	112,500
	GI Endurant LLC	Suffolk	Long Island Power Au..	ENERGY STORAGE, Retail Storage	5,561,500
	Green Team USA, LLC	Suffolk	Long Island Power Au..	WORKFORCE DEVELOPMENT, OJT	61,440
	GreenLogic, LLC	Suffolk	Long Island Power Au..	ENERGY STORAGE, PON 2112 NY SUN	18,750
	GSPP 641 Ferris Road East, ..	Nassau	Long Island Power Au..	NY-SUN, NY-Sun ICSA	354,960
	GSPP 641 Ferris Road West, ..	Nassau	Long Island Power Au..	NY-SUN, NY-Sun ICSA	221,850
	Harvest Power, LLC	Nassau	Long Island Power Au..	ENERGY STORAGE, PON 2112 NY SUN	12,500
	Hytech Solar Inc	Nassau	Long Island Power Au..	ENERGY STORAGE, PON 2112 NY SUN	12,500
		Suffolk	Long Island Power Au..	COMMUNITY SOLAR, PON 2112 NY SUN	10,880
	IPPsolar Integration LLC	Nassau	Long Island Power Au..	ENERGY STORAGE, Retail Storage	786,500
	J Synergy Green Inc	Nassau	Long Island Power Au..	WORKFORCE DEVELOPMENT, OJT	12,000
	J Synergy Solar LLC	Nassau	Long Island Power Au..	COMMUNITY SOLAR, PON 2112 NY SUN	5,840
	Long Island Power Solutions	Nassau	Long Island Power Au..	ENERGY STORAGE, PON 2112 NY SUN	5,050
		Suffolk	Long Island Power Authority	COMMUNITY SOLAR, NY-Sun	7,752
				ENERGY STORAGE, NY-Sun	7,200
				ENERGY STORAGE, PON 2112 NY SUN	10,250
	NYSS LLC	Nassau	Long Island Power Authority	COMMUNITY SOLAR, PON 2112 NY SUN	10,240
				ENERGY STORAGE, PON 2112 NY SUN	5,050
		Suffolk	Long Island Power Authority	COMMUNITY SOLAR, PON 2112 NY SUN	5,600
				ENERGY STORAGE, PON 2112 NY SUN	5,050
	SuNation Solar Systems, Inc.	Nassau	Long Island Power Authority	COMMUNITY SOLAR, NY-Sun	3,120
				ENERGY STORAGE, NY-Sun	5,400
				ENERGY STORAGE, PON 2112 NY SUN	68,750
		Suffolk	Long Island Power Authority	COMMUNITY SOLAR, PON 2112 NY SUN	5,120
				ENERGY STORAGE, PON 2112 NY SUN	131,250
	SunRun, Inc	Nassau	Long Island Power Au..	ENERGY STORAGE, PON 2112 NY SUN	6,250
		Suffolk	Long Island Power Au..	ENERGY STORAGE, PON 2112 NY SUN	6,250
	Surf Clean Energy Inc	Suffolk	Long Island Power Au..	COMMUNITY SOLAR, PON 2112 NY SUN	5,632
	United Way of Long Island	Suffolk	Long Island Power Au..	CLEANER GREENER COMMUNITIES, CEEP L..	31,888
	Total			7,778,657	
Mid-Hudson	AASPEN HVAC	Putnam	NYS Electric and Gas	NYCH: Talent Ppln:CE and OJT, OJT	12,960
				Talent Pipeline:CE and OJT, OJT	7,360
	Adam C. Boese	Orange	Orange and Rockland..	Technical Services, AEAP1383 - Citiva Medical L..	2,500
	Advanced Radiant Design, Inc.	Ulster	Central Hudson Gas a..	NYCH: Talent Ppln:CE and OJT, OJT	10,240
	AES DE RS X, LLC	Orange	Orange and Rockland Utilities	>200KW PV, NY Sun	802,913
				Solar Plus Energy Storage, NY Sun	2,184,000
	AES DE RS XV, LLC	Dutchess	Central Hudson Gas a..	>200KW PV, NY Sun	420,810
	Albany Solar Solutions L.L.C.	Ulster	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	13,706
	All-State Air Control Sales & Service In	Westchester	Consolidated Edison	NYCH: Talent Ppln:CE and OJT, OJT	14,400
				NYCH: Talent Ppln:CE and OJT, OJT HIRE	15,360
	Allen Power, Inc.	Ulster	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	7,403
	AMERESCO, Inc.	Rockland	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	335,412
	Amergy Solar Inc.	Rockland	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	26,026
	Amie Gross Architect, P.C.	Westchester	Consolidated Edison	Buildings of Excellence, BoE Rnd. 2 - DTL Hudso..	150,000
	Apex Roofing, LLC	Orange	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	9,810
	Arcadis of New York, Inc.	Westchester	Consolidated Edison	Technical Services, FT13874 - Knollwood - FTC	40,775
	Autonomous Energies LLC	Ulster	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	6,474
	Biddle Real Estate Ventures L..	Westchester	Consolidated Edison	Technical Services, FT14031 - Edge-on-Hudson ..	18,470

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Mid-Hudson	Borrego Solar Systems, Inc.	Orange	Orange and Rockland..	NY-SUN, NY Sun	871,040
	Bowman Consulting Group Ltd	Westchester	Consolidated Edison	NY-SUN, NY-Sun	100,000
	City of Yonkers	Westchester	Consolidated Edison	CLEANER GREENER COMMUNITIES, City of Y..	150,000
	CON EDISON SOLUTIONS, I..	Westchester	Consolidated Edison	ESTOR:Retail Storage Incentive, Retail Storage	457,800
	Cornell Cooperative Ext. Dutchess County	Dutchess	Central Hudson Gas and Electric	CLEANER GREENER COMMUNITIES, CEEP M..	87,992
				OTHER PROGRAM AREA, CEEP Mid-Hudson R..	61,144
	County Cooling, Corp.	Westchester	Consolidated Edison	NYCH: Talent Ppln:CE and OJT, OJT	10,240
	County Heat & AC, LLC	Westchester	Consolidated Edison	NYCH: Talent Ppln:CE and OJT, OJT	9,600
	Croton Energy Group, Inc.	Westchester	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,198
	CVE US E12 C. Mill, LLC	Westchester	Consolidated Edison	NY-SUN, NY-Sun - ICSA	556,800
	Distributed Solar Developmen..	Westchester	Consolidated Edison	>200KW PV, NY-Sun	176,715
	Distributed Solar Operations, ..	Orange	Central Hudson Gas a..	>200KW PV, NY Sun	654,947
	Dual Fuel Corp	Westchester	Consolidated Edison	Real Time Enrgy Management, Dual Fuel - Multi ..	39,150
				Talent Pipeline:CE and OJT, OJT	43,040
	Earthlight Technologies LLC	Westchester	Consolidated Edison	>200KW PV, NY-Sun	27,522
	Eastern Correctional Napanoc..	Ulster	Central Hudson Gas a..	>200KW PV, NY Sun Assignment	1,174,173
	Ecogy Solar LLC	Westchester	Consolidated Edison	ESTOR:Retail Storage Incentive, Retail Storage	87,850
	Eiger 3970 Consultants Inc.	Dutchess	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	5,320
		Ulster	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	56,997
	Empire Solar Solutions LLC	Dutchess	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	101,610
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	20,296
		Orange	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	56,037
			Orange and Rockland..	<200KW PV, PON 2112 NY SUN	94,691
		Putnam	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	39,321
		Rockland	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	70,714
		Sullivan	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	10,175
		Ulster	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	67,050
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	6,188
		Energy Management Solutions, LLC	Rockland	Orange and Rockland Utilities	Talent Pipeline:CE and OJT, OJT
	Talent Pipeline:CE and OJT, OJT HIRE				5,440
	WORKFORCE DEVELOPMENT, OJT				11,680
	EnterSolar LLC	Westchester	Consolidated Edison	>200KW PV, PON 2112 NY SUN	638,260
				ESTOR:Retail Storage Incentive, Retail Storage	1,400,000
	Florenton River LLC	Dutchess	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	17,900
	FORK IN THE ROAD SOLAR ..	Dutchess	Central Hudson Gas a..	NY-SUN, NY-Sun - ICSA	123,201
	G&S Operations LLC	Westchester	Consolidated Edison	>200KW PV, PON 2112 NY SUN	175,703
	GenPro Energy Solutions, LLC	Orange	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	234,455
	Greenhaven Correctional Stor..	Dutchess	NYS Electric and Gas	>200KW PV, NY Sun Payee Assignment	848,640
	Healthy Home Energy & Cons..	Putnam	NYS Electric and Gas	Talent Pipeline:CE and OJT, OJT	7,680
	Highland Gardens LLC	Orange	Central Hudson Gas and Electric	<200KW PV, NY-Sun	194,832
				NY-SUN, NY-Sun	224,807
	Homes for Heroes, Inc.	Rockland	Orange and Rockland..	Single Family New Construction, 2020 LRNCP	28,000
	Housing Action Council, Inc.	Westchester	Consolidated Edison	New Construction Housing, NCP Housing	23,600
	Hudson River Renewables	Sullivan	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	14,280
		Ulster	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	19,040
	Hudson Valley Housing Devel..	Ulster	Central Hudson Gas a..	New Construction Housing, 2019 LRNCP	154,000
	IGS Solar, LLC	Orange	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	6,460
	Infinity Solar Systems, LLC	Dutchess	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	18,558
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	6,570
		Orange	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	23,215
			Orange and Rockland..	<200KW PV, PON 2112 NY SUN	52,080
		Rockland	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	19,524

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Mid-Hudson	Infinity Solar Systems, LLC	Sullivan	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	6,337
			Orange and Rockland..	<200KW PV, PON 2112 NY SUN	5,504
	Integral Building & Design, Inc.	Rockland	Orange and Rockland..	Talent Pipeline:CE and OJT, OJT	9,806
		Ulster	Central Hudson Gas a..	Talent Pipeline:CE and OJT, OJT	11,539
	Integrity Solar Solutions, LLC	Orange	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	5,236
			Orange and Rockland..	<200KW PV, PON 2112 NY SUN	5,780
		Rockland	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	17,450
		Ulster	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	8,840
	Iowa Wind and Solar, LLC	Westchester	Consolidated Edison	>200KW PV, PON 2112 NY SUN	41,040
	IPPsolar Integration LLC	Dutchess	Central Hudson Gas a..	NY-SUN, NY Sun	2,250,000
	J&A Electrical Construction LL..	Ulster	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	9,500
	JP Bus & Truck Repair LTD	Westchester	Consolidated Edison	CLEAN TRANSPORTATION, NYTVIP - Croton-..	120,000
	Kasselmann Solar LLC	Dutchess	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	38,027
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,100
		Orange	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	6,163
		Putnam	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	15,301
		Rockland	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	29,616
		Ulster	Central Hudson Gas and Electric	<200KW PV, NY-Sun	7,120
				<200KW PV, PON 2112 NY SUN	9,345
	Kingsley House Owner LP	Westchester	Consolidated Edison	Multifam Performance Pgm, Multifamily	49,200
	Kite Realty Group, LP	Westchester	Consolidated Edison	Technical Services, OsEM87-C - Kite Realty Gro..	110,000
	Long Island Power Solutions	Dutchess	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	17,650
			Orange	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN
			Orange and Rockland..	<200KW PV, PON 2112 NY SUN	22,145
		Putnam	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	16,866
		Rockland	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	11,385
	Malcarne Contracting, Inc.	Dutchess	Central Hudson Gas a..	NYCH: Talent Ppln:CE and OJT, OJT HIRE	9,120
	Mannino Electric, Inc.	Ulster	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	11,760
	Michael Vance Consulting Inc.	Westchester	Consolidated Edison	>200KW PV, PON 2112 NY SUN	18,480
	Midland Avenue Owners Corp	Westchester	Consolidated Edison	NYCH: Technical Assistance, FT13786 - Midland..	7,909
	Mount Hope Community Deve..	Westchester	Consolidated Edison	New Construction Housing, NCP Housing	142,400
	Mountain Gardens LLC	Orange	Central Hudson Gas a..	>200KW PV, NY Sun	1,559,750
	New Flyer of America, Inc.	Ulster	Central Hudson Gas a..	CLEAN TRANSPORTATION, NYTVIP - UCAT	979,071
	New York State Solar Farm Inc.	Dutchess	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	13,680
			Orange	Orange and Rockland..	<200KW PV, PON 2112 NY SUN
		Putnam	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	45,090
		Sullivan	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,400
			Orange and Rockland..	<200KW PV, PON 2112 NY SUN	5,400
	Novel Approaches Solar Applications, LLC	Orange	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	26,292
		Sullivan	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	6,750
			Orange and Rockland..	<200KW PV, PON 2112 NY SUN	5,400
	NY CDG 005 LLC	Westchester	Consolidated Edison	>200KW PV, NY-Sun	222,033
	NY TICE LANE 1 LLC	Orange	Orange and Rockland..	NY-SUN, NY-Sun - ICSA	447,744
	NY TICE LANE 2 LLC	Orange	Orange and Rockland..	NY-SUN, NY-Sun - ICSA	105,600
	Onsite Energy, Inc.	Orange	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	5,735
	Orange EV LLC	Orange	Central Hudson Gas a..	CLEAN TRANSPORTATION, NYTVIP - Lazerspot	140,542
	Park Hill Housing, LLC	Orange	Orange and Rockland Utilities	Multifam Performance Pgm, Multifamily	52,500
				Tech Assistanc Multifamily LMI, FT13974 - 63-34..	9,500
	PlugPV, LLC	Dutchess	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	221,710
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	7,140
Orange		Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	73,402	
		NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,800	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Mid-Hudson	PlugPV, LLC	Orange	Orange and Rockland Utilities	<200KW PV, NY-Sun	8,432
				<200KW PV, PON 2112 NY SUN	33,016
		Putnam	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	17,680
		Sullivan	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	18,200
				Orange and Rockland..	<200KW PV, NY-Sun
		Ulster	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	132,192
		Westchester	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	9,660
	Point and Ravine, LLC	Westchester	Consolidated Edison	New Construction Housing, NCP Housing	146,000
	Pro Custom Solar LLC	Orange	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	5,826
				Orange and Rockland..	<200KW PV, PON 2112 NY SUN
	Pure Point Energy	Dutchess	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	5,292
	Rural Ulster Preservation Co..	Ulster	Central Hudson Gas a..	New Construction Housing, 2019 LRNCP	32,000
	Salina 1st LLC	Westchester	Consolidated Edison	Net Zero Energy for Eco Dev, Net Zero Economi..	1,000,000
	Sol Customer Solutions LLC	Westchester	Consolidated Edison	ESTOR:Retail Storage Incentive, Retail Storage	2,625,000
	Solar Energy Systems, LLC	Westchester	Consolidated Edison	<200KW PV, NY-Sun	43,120
				>200KW PV, NY-Sun	10,780
	Solar Liberty Energy Systems, Inc	Dutchess	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	272,426
		Sullivan	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	12,240
		Westchester	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,220
	SolarCommunities Inc.	Dutchess	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	112,587
				NYS Electric and Gas	<200KW PV, PON 2112 NY SUN
		Orange	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	10,540
		Putnam	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	12,500
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	6,840
	Ulster	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	52,479	
	Spring Valley Preservation Li..	Rockland	Orange and Rockland..	Multifam Performance Pgm, Multifamily	154,000
	State University Construction ..	Ulster	Central Hudson Gas a..	NYCH: Technical Assistance, FT13824 - SUNY ..	251,996
	Sun Source Technologies	Dutchess	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	25,859
		Putnam	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	9,010
		Rockland	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	5,365
		Ulster	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	40,165
	Sunnova Energy Corp	Orange	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	7,400
		Rockland	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	5,382
		Sullivan	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	5,400
		Ulster	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	6,440
	SunPower Capital, LLC	Dutchess	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	21,536
		Orange	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	13,860
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,403
			Orange and Rockland Utilities	<200KW PV, NY-Sun	12,960
				<200KW PV, PON 2112 NY SUN	26,271
		Putnam	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	17,078
		Rockland	Orange and Rockland Utilities	<200KW PV, NY-Sun	15,886
				<200KW PV, PON 2112 NY SUN	39,186
		Sullivan	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	8,075
		Ulster	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	30,854
	Westchester	Consolidated Edison	<200KW PV, PON 2112 NY SUN	5,000	
	SunPower SolarProgram 1, L..	Westchester	Consolidated Edison	ESTOR:Retail Storage Incentive, Retail Storage	2,156,280
	SUNRISE ELECTRICAL SER..	Westchester	Consolidated Edison	<200KW PV, NY-Sun	101,024
	Sunrise Solar Solutions, LLC	Putnam	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	12,240
		Westchester	Consolidated Edison	<200KW PV, PON 2112 NY SUN	5,000
	SunRun, Inc	Dutchess	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	86,167
		Orange	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	24,265

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Mid-Hudson	SunRun, Inc	Orange	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	6,460
			Orange and Rockland..	<200KW PV, PON 2112 NY SUN	153,861
		Putnam	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	16,532
		Rockland	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	84,568
		Sullivan	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,270
		Ulster	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	55,969
	Tesla Energy Operations Inc	Orange	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	6,460
			Orange and Rockland..	<200KW PV, PON 2112 NY SUN	26,635
		Rockland	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	21,400
		Westchester	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,894
	The Center for New York City	Dutchess	Central Hudson Gas a..	CLEANER GREENER COMMUNITIES, CEEP N..	118,778
	The Energy Studio, Inc.	Westchester	Consolidated Edison	New Construction- Commercial, Commercial Ne..	49,990
	The Metro Group, Inc.	Westchester	Consolidated Edison	Real Time Enrgy Management, Metro Group - 11..	58,820
	Thermodynamix LLC	Putnam	NYS Electric and Gas	NYCH: Talent Ppln:CE and OJT, OJT	9,600
		Westchester	Consolidated Edison	NYCH: Talent Ppln:CE and OJT, OJT	36,480
	NYCH: Talent Ppln:CE and OJT, OJT HIRE			7,680	
	Trane	Dutchess	Central Hudson Gas a..	Real Time Enrgy Management, Trane US Inc- M..	219,747
	Trinity Financial, Inc.	Westchester	Consolidated Edison	New Construction Housing, NCP Housing	750,000
	Trinity Solar Inc	Orange	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	24,240
			Orange and Rockland..	<200KW PV, PON 2112 NY SUN	42,880
		Rockland	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	26,280
		Sullivan	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	9,000
			Orange and Rockland..	<200KW PV, PON 2112 NY SUN	18,400
	Urban Electric Power, LLC	Rockland	Orange and Rockland Utilities	Talent Pipeline:CE and OJT, OJT	7,040
				Talent Pipeline:CE and OJT, Workforce Dev & Tr..	7,040
	US Energy Concierge Inc	Putnam	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	8,526
	Vivint Solar	Rockland	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	5,801
	Walkkill Senior Housing	Orange	Orange and Rockland Utilities	Multifam Performance Pgm, Multifamily	89,600
				Tech Assistanc Multifamily LMI, FT14020 - 35 Se..	10,000
	Watchtower Bible &	Rockland	Orange and Rockland..	New Construction Housing, NCP Housing	480,500
	West Shore Solar	Ulster	Central Hudson Gas a..	NY-SUN, NY-Sun - ICSA	171,072
Westchester Community Opp..	Westchester	Consolidated Edison	NYCH: Talent Ppln:CE and OJT, PON3981 Roun..	250,000	
Westhab, Inc.	Westchester	Consolidated Edison	Buildings of Excellence, BoE Rnd. 2 - Hudson Hill	850,000	
			New Construction Housing, 2019 MFCNP	31,200	
Wiltshire Renewable Energy S..	Dutchess	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	7,200	
You Save Green Incorporated	Rockland	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	6,570	
Total					31,760,142
Mohawk Valley	Active Solar Development, LLC	Fulton	National Grid	<200KW PV, PON 2112 NY SUN	453,600
	Albany Solar Solutions L.L.C.	Otsego	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	9,880
	Alternative Power Solutions of..	Oneida	National Grid	<200KW PV, NY-Sun	9,632
	American Energy Care, Inc.	Montgomery	National Grid	<200KW PV, PON 2112 NY SUN	21,934
		Schoharie	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,250
	Ampersand Kayuta Lake Hydr..	Oneida	Municipal Utilities	REC:CES REC Contracts, Large-Scale Renewab..	95,212
	Apex Solar Power LLC	Herkimer	National Grid	<200KW PV, PON 2112 NY SUN	14,280
	C&S Engineers, Inc.	Oneida	Municipal Utilities	Technical Services, FT14137 - Alder Creek Beve..	18,835
	City of Oneonta	Otsego	NYS Electric and Gas	NYCH: District, PON4614 Rnd #1 City of Oneonta	100,000
	City of Utica	Oneida	National Grid	NYCH: District, PON4614 Round #1 City of Utica	100,000
	Country Suburban Heating & Air Condition	Oneida	National Grid	NYCH: Talent Ppln:CE and OJT, OJT	43,200
				NYCH: Talent Ppln:CE and OJT, OJT HIRE	6,720
	CP Manheim One LLC	Herkimer	National Grid	>200KW PV, NY Sun	824,932
	DCF Energy Group, LLC	Fulton	National Grid	<200KW PV, NY-Sun	6,528
	Doherty Electric, LLC	Schoharie	National Grid	<200KW PV, PON 2112 NY SUN	5,236

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Mohawk Valley	Drinkwater Solar, LLC	Montgomery	National Grid	>200KW PV, NY-Sun C&I	1,109,185
	Extraterrestrial Materials Inc.	Montgomery	National Grid	<200KW PV, PON 2112 NY SUN	7,140
		Otsego	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	9,010
	Fred F. Collis & Sons, Inc.	Oneida	National Grid	OJT	14,400
				Talent Pipeline:CE and OJT, OJT	37,920
	GSPP 1450 Curtis Rd, LLC	Oneida	National Grid	NY-SUN, NY Sun - ICESA	763,776
	Herkimer Affordable Housing	Herkimer	National Grid	Multifam Performance Pgm, Multifamily	55,300
				Technical Services, FT13936 - Mid-Town Apts - ..	6,750
	Herkimer Housing Authority	Herkimer	National Grid	New Construction Housing, NCP Housing	24,000
	Highway 233 Solar, LLC	Oneida	National Grid	>200KW PV, NY-Sun	1,010,952
	Kasselmann Solar LLC	Fulton	National Grid	<200KW PV, NY-Sun	15,308
				<200KW PV, PON 2112 NY SUN	10,125
		Herkimer	National Grid	<200KW PV, PON 2112 NY SUN	10,800
				<200KW PV, PON 2112 NY SUN	22,882
		Oneida	National Grid	<200KW PV, NY-Sun	9,256
				<200KW PV, PON 2112 NY SUN	6,090
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	6,525
				<200KW PV, NY-Sun	11,748
				<200KW PV, PON 2112 NY SUN	7,437
		Leon A Clifford ET AL PTR	Oneida	National Grid	Multifam Performance Pgm, Multifamily
	Midstate Correctional Marcy N..	Oneida	National Grid	>200KW PV, NY Sun Assignment	848,640
	Mohawk Valley Economic Dev..	Herkimer	Municipal Utilities	CLEANER GREENER COMMUNITIES, CEEP M..	43,115
	New York Power Authority	Oneida	National Grid	Technical Services, FT13854 - City of Rome - FTC	49,189
	New York State Solar Farm Inc.	Montgomery	National Grid	<200KW PV, PON 2112 NY SUN	15,288
	Next Generation Solar, LLC	Oneida	National Grid	<200KW PV, NY-Sun	5,100
				<200KW PV, PON 2112 NY SUN	5,760
	Nexus Renewables U.S Inc.	Fulton	National Grid	<200KW PV, PON 2112 NY SUN	1,049,216
	NP Environmental LLC	Oneida	NYS Electric and Gas	NYCH: Talent Ppln:CE and OJT, OJT	50,880
	OYA State Route 5 LLC	Oneida	National Grid	NY-SUN, NY-Sun - ICESA	234,024
	PlugPV, LLC	Fulton	National Grid	<200KW PV, PON 2112 NY SUN	6,800
				<200KW PV, PON 2112 NY SUN	6,200
		Oneida	National Grid	<200KW PV, PON 2112 NY SUN	9,600
				NYS Electric and Gas	<200KW PV, PON 2112 NY SUN
		Otsego	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	6,290
		Schoharie	National Grid	<200KW PV, PON 2112 NY SUN	9,600
	Potentia Management Group ..	Oneida	National Grid	Talent Pipeline:CE and OJT, OJT	8,000
	Ramboll Americas Engineering Solutions,	Otsego	NYS Electric and Gas	NYCH: District, PON 4614 Round #2 SUNY One..	93,749
				NYCH: District, PON4614 Round #2 Oneonta Rail	100,000
	Rivercrest Development Corp.	Montgomery	National Grid	Multifam Performance Pgm, Multifamily	2,800
	Rome Housing Authority	Oneida	National Grid	Buildings of Excellence, BoE Rnd. 2 - Colonial II ..	850,000
				New Construction Housing, NCP Housing	296,000
	Sigora Solar	Schoharie	National Grid	<200KW PV, PON 2112 NY SUN	6,650
	Simple Integrity LLC	Otsego	NYS Electric and Gas	New Construction Housing, NCP Housing	29,900
	Solar Liberty Energy Systems,...	Oneida	National Grid	<200KW PV, PON 2112 NY SUN	5,220
	Solitude Solar LLC	Oneida	National Grid	NY-SUN, NY-Sun - ICESA	524,064
	Standard Insulating Company	Oneida	National Grid	Talent Pipeline:CE and OJT, OJT HIRE	19,200
	State University Construction Fund	Oneida	National Grid	Technical Services, FT13834 - SUNY Polytech - ..	58,770
Schoharie		National Grid	Technical Services, FT13835 - SUNY Cobleskill -..	107,313	
Tesla Energy Operations Inc	Montgomery	National Grid	<200KW PV, PON 2112 NY SUN	5,100	
	Oneida	National Grid	<200KW PV, PON 2112 NY SUN	5,525	
Trane	Oneida	National Grid	K-12 SCHOOLS, P12GC-50E - Vernon Verona -..	20,888	
Total				9,392,172	

Projects Selected for Funding by Region
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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
New York City	6-Nines Inc.	New York	Consolidated Edison	NY-SUN, PON 3414 - Nicky's Garden	75,000
	15 William Street Condominium	New York	Consolidated Edison	NYCH: Technical Assistance, FT13627 - 15 Willi..	30,080
	30 East 37th Street Condomin..	New York	Consolidated Edison	NYCH: Technical Assistance, FT13928 - 30 E 37..	7,909
	32 East 64th Street Corporation	New York	Consolidated Edison	NYCH: Technical Assistance, FT13785 - 32 E 64..	7,909
	39 Tenants Corporation	New York	Consolidated Edison	NYCH: Technical Assistance, FT13571 - 39 Gram..	7,909
	43 West 33rd Street Realty LL..	New York	Consolidated Edison	NYCH: Technical Assistance, FT13759 - 43 West..	8,375
	44 Gramercy Park North	New York	Consolidated Edison	NYCH: Technical Assistance, FT13691 - 44 Gra..	7,909
	50th Street HDFC	Kings	Consolidated Edison	Multifam Performance Pgm, Multifamily	33,600
	63 Madison Owners LLC	New York	Consolidated Edison	NYCH: Technical Assistance, FT13966 - 63 Madi..	34,586
	128 West 138th Street HDFC	New York	Consolidated Edison	Multifam Performance Pgm, Multifamily	42,000
	129- 82 Owners Corp	New York	Consolidated Edison	NYCH: Technical Assistance, FT13573 - 129 E 8..	7,909
	145-151 Grand Street HDFC	Kings	Consolidated Edison	Multifam Performance Pgm, Multifamily	5,600
				NYCH: LMI, Clean Heating & Cooling	35,200
	175 West 12th Street Condom..	New York	Consolidated Edison	NYCH: Technical Assistance, FT13572 - 175 W ..	7,909
	180 Tenants Corporation	New York	Consolidated Edison	NYCH: Technical Assistance, FT13746 - 180 E. ..	47,650
	200 Madison Owner LLC	New York	Consolidated Edison	NYCH: Technical Assistance, FT13967 - 200 Ma..	34,586
	220 East 73rd Street	New York	Consolidated Edison	NYCH: Technical Assistance, FT13981 - 220 E 7..	7,909
	225 East 73rd Owners Corp	New York	Consolidated Edison	NYCH: Technical Assistance, FT13690 - 225 E 7..	7,909
	230 East 73rd Street Owners	New York	Consolidated Edison	Low Carbon Tech Demos, MF Low Carbon Path..	607,200
	300 Owners Corp	New York	Consolidated Edison	NYCH: Technical Assistance, FT13720 - 300 Riv..	10,797
	330 Hudson Street LLC	New York	Consolidated Edison	Technical Services, FT13707 - 330 Hudson - PON	12,575
	333 East 43 Owners Corp	New York	Consolidated Edison	NYCH: Technical Assistance, FT13692 - 333 E 4..	10,100
	414 Gerard LLC	Bronx	Consolidated Edison	New Construction Housing, NCP Housing	101,600
	420 Carroll Street LLC	Kings	Consolidated Edison	New Construction Housing, NCP Housing	216,600
	498 Seventh LLC	New York	Consolidated Edison	NYCH: Technical Assistance, FT13866 - 498 7th ..	34,586
	501 W 133 LLC	New York	Consolidated Edison	Multifam Performance Pgm, Multifamily	17,500
	520 W 136 LLC	New York	Consolidated Edison	Multifam Performance Pgm, Multifamily	25,200
	535 East 86th Street Corporati..	New York	Consolidated Edison	NYCH: Technical Assistance, FT13614 - 535 E 8..	7,909
	545 Sackett LLC	Kings	Consolidated Edison	New Construction Housing, NCP Housing	153,000
	575 Lex Parent, LLC	New York	Consolidated Edison	Technical Services, FT13420 - 575 Lexington - P..	61,178
	900 Third Avenue LP	New York	Consolidated Edison	NYCH: Technical Assistance, FT13604 - 900 Thir..	40,078
	1500 Lexington Associates LL..	New York	Consolidated Edison	Multifam Performance Pgm, Multifamily	147,700
	2074 White Plains Road Buildi..	Bronx	Consolidated Edison	Technical Services, FT13869 -2074 White Plains..	9,001
	Abyssinian Towers	New York	Consolidated Edison	Multifam Performance Pgm, Multifamily	70,000
	Acacia Real Estate Developm..	Queens	Consolidated Edison	Buildings of Excellence, Buildings of Excellence ..	637,500
	Accord Power, Inc.	Kings	Consolidated Edison	<200KW PV, NY-Sun	21,802
				>200KW PV, NY-Sun	5,538
		Queens	Consolidated Edison	<200KW PV, NY-Sun	6,336
	Adam C. Boese	Bronx	Consolidated Edison	NYCH: Technical Assistance, FT13616 - 349 E 1..	7,860
				NYCH: Technical Assistance, FT13600 - 220 So..	5,060
		New York	Consolidated Edison	NYCH: Technical Assistance, FT13601 - 260 Spr..	8,180
				NYCH: Technical Assistance, FT13602 - 729 7th ..	7,510
				NYCH: Technical Assistance, FT13603 - 299 Bro..	14,236
				NYCH: Technical Assistance, FT13607 - 5030 Br..	11,520
		Queens	Consolidated Edison	NYCH: Technical Assistance, FT13613 - 120 W ..	12,530
				NYCH: Technical Assistance, FT13598 - 30-56 ..	6,355
	AECOM USA INC.	New York	Consolidated Edison	NYCH: Technical Assistance, FT13858 - 215 E. ..	16,524
AFIAA 125 West 25th Street L..	New York	Consolidated Edison	Technical Services, FT13615 - 125 W 25th - PON	21,200	
Agarabi Engineering, PLLC	Kings	Consolidated Edison	Talent Pipeline:CE and OJT, OJT	15,360	
AKF-engineers	New York	Consolidated Edison	NYCH: Technical Assistance, FT13934 - 3 Bryan..	44,000	
			Technical Services, FT13946 - 540 Madison - FTC	24,940	
Altanova LLC	New York	Consolidated Edison	Technical Services, FT13955 - 227 E 30th - FTC	29,428	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount		
New York City	Altanova LLC	Queens	Consolidated Edison	NYCH: Technical Assistance, FT13762 - 47-40 2..	8,350		
	Amergy Solar Inc.	Queens	Consolidated Edison	>200KW PV, PON 2112 NY SUN	1,425,420		
	American Solar Partners, LLC	New York	Consolidated Edison	>200KW PV, PON 2112 NY SUN	10,840		
	Antares Group, Inc.	Queens	Consolidated Edison	NYCH: Technical Assistance, FT13633 - 8000 Ut..	15,290		
				REV Campus Challenge, FT13487 - St. Albert - F..	8,046		
	Ardowork Corporation	Bronx	Consolidated Edison	NYCH: Technical Assistance, FT13859 - 2865 U..	22,000		
	Arthur Ransome House, LP	New York	Consolidated Edison	Multifam Performance Pgm, Multifamily	81,200		
	Asian Americans for Equality, ..	New York	Consolidated Edison	New Construction Housing, NCP Housing	26,000		
	Association for Energy Affordability, In	Bronx	Consolidated Edison	Technical Services, FT13569 - 1705 Hoe - MF	8,058		
				Technical Services, FT13570 - 1662-1664 Hoe - ..	8,058		
		Kings	Consolidated Edison	Tech Assistanc Multifamily LMI, FT13872 - 2320 ..	7,273		
				Technical Services, FT14045-Starrett Oceangate..	21,667		
	Baker Engineering, LLC	Queens	Consolidated Edison	Technical Services, FT14085 - 30-30 47th - FTC	16,450		
	Barrow Street Owners, Inc.	New York	Consolidated Edison	Technical Services, FT14018 - 111 Barrow - PON	7,909		
	BDO USA LLP	Kings	Consolidated Edison	TWO - BofA	15,000		
	Bergmann Associates, Archite..	Kings	Consolidated Edison	Technical Services, FT13995 - 1133 NY 86 - FTC	5,150		
	Best Energy Power	Bronx	Consolidated Edison	<200KW PV, NY-Sun	150,656		
				>200KW PV, NY-Sun	37,664		
		Kings	Consolidated Edison	<200KW PV, NY-Sun	15,120		
				>200KW PV, NY-Sun	3,780		
		New York	Consolidated Edison	<200KW PV, NY-Sun	360,000		
				>200KW PV, NY-Sun	49,192		
				>200KW PV, PON 2112 NY SUN	22,066		
	Blackrock Financial Managem..	Kings	Consolidated Edison	Commercial New Construc, Commercial New Co..	205,254		
	BlocPower LLC	Kings	Consolidated Edison	Multifam Performance Pgm, Multifamily	150,500		
				NYCH: LMI, Clean Heating & Cooling	136,700		
	Borrego Solar Systems, Inc.	Richmond	Consolidated Edison	ESTOR:Retail Storage Incentive, Retail Storage	10,500,000		
	Bright Power, Inc.	Bronx	Consolidated Edison	NYCH: Technical Assistance, FT13771 - 535 E. ..	6,400		
				NYCH: Technical Assistance, FT13772 - 1150 G..	6,400		
				NYCH: Technical Assistance, FT13799 - 1020 Gr..	12,250		
				NYCH: Technical Assistance, FT13986 - 10-40 R..	20,250		
				Real Time Enrgy Management, BP-345 St Ann's ..	120,000		
				Real Time Enrgy Management, Bright Power -Mu..	10,650		
				Kings	Consolidated Edison	<200KW PV, NY-Sun	72,864
						>200KW PV, NY-Sun	18,216
						NYCH: Technical Assistance, FT13938 -325-365 ..	10,900
						NYCH: Technical Assistance, FT13939 - 165-210..	12,200
				New York	Consolidated Edison	Technical Services, FT14009 - 100 Jay - FTC	10,000
						Technical Services, FT14056 - 550J Grand - FTC	51,000
						>200KW PV, PON 2112 NY SUN	21,888
		New York	Consolidated Edison	NYCH: Technical Assistance, FT13767 - Alma R..	5,400		
				NYCH: Technical Assistance, FT13782 - 2534 A..	6,550		
				NYCH: Technical Assistance, FT13783 - 245 W ..	9,000		
				NYCH: Technical Assistance, FT13801 - 435 W. ..	16,853		
				NYCH: Technical Assistance, FT13807 - 250 W. ..	12,900		
				NYCH: Technical Assistance, FT13813 - 510 W ..	6,300		
				NYCH: Technical Assistance, FT13816 - 515 W ..	6,300		
New York	Consolidated Edison	NYCH: Technical Assistance, FT13862 - 130 E. ..	8,775				
		NYCH: Technical Assistance, FT13945 - 315 W ..	10,300				
		NYCH: Technical Assistance, FT13952 - 300 CP..	11,850				
New York	Consolidated Edison	NYCH: Technical Assistance, FT13958 - 301 E 7..	10,250				
		Real Time Enrgy Management, Bright Power-Mul..	37,690				

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount		
New York City	Bright Power, Inc.	New York	Consolidated Edison	Technical Services, FT13970 - 640 Riverside - F..	8,950		
				Technical Services, FT13993 - 400 Broome - FTC	9,923		
				Technical Services, FT13998 - 1650 Broadway - ..	11,000		
				Technical Services, FT14005 - Sutton Garden - F..	8,350		
				Technical Services, FT14012 - 153-155 E 29th - ..	11,835		
				Technical Services, FT14013 - 111 4th - FTC	9,500		
				Technical Services, FT14017 - 400 W 43rd - FTC	13,500		
				Technical Services, FT14026 - 111 W 71st - FTC	6,400		
				Technical Services, FT14033 - 320 W 76th - FTC	15,200		
				Technical Services, FT14075 - 1020 Fifth - FTC	9,750		
				Technical Services, FT14077 - 30 5th - FTC	8,550		
				Queens	Consolidated Edison	Technical Services, FT13991 - 140-55 34th - FTC	6,800
						Technical Services, FT13994 - 83-80 118th - FTC	6,500
Technical Services, FT14089 - 39-34 2st - FTC	6,750						
Broadway Terrace Associates..	Bronx	Consolidated Edison	Multifam Performance Pgm, Multifamily	67,900			
Brooklyn SolarWorks LLC	Kings	Consolidated Edison	>200KW PV, PON 2112 NY SUN	29,201			
	Queens	Consolidated Edison	>200KW PV, PON 2112 NY SUN	11,900			
Buro Happold Consulting Engineers, P.C.	New York	Consolidated Edison	NYCH: Technical Assistance, FT13404 - 1333 Br..	31,940			
			NYCH: Technical Assistance, FT13543 - 250 W. ..	121,792			
			NYCH: Technical Assistance, FT13985 - 1359 Br..	108,116			
Cadman Plaza North, Inc.	Brooklyn	Consolidated Edison	NYCH: Technical Assistance, FT13778 - 140 Ca..	18,001			
CAMBA Housing Ventures, Inc.	Kings	Consolidated Edison	New Construction Housing, NCP Housing	450,000			
Cameron Engineering & Associates LLP	New York	Consolidated Edison	NYCH: Technical Assistance, FT13748 - 419 E. ..	5,075			
			Technical Services, FT14014 - 155 E 34th - FTC	36,375			
Canal/Rider LLC	Bronx	Consolidated Edison	Technical Services, FT14079 - 366 Canal - PON	5,000			
CCMH Fin Center LLC	New York	Consolidated Edison	Technical Services, FT13643 - 85 West - PON	64,256			
CHA Consulting Inc.	New York	Consolidated Edison	NYCH: Technical Assistance, FT13753 - Multiple..	105,000			
Chelsea Mercantile	New York	Consolidated Edison	Technical Services, FT14024 - 252 Seventh - PO..	14,250			
CHP St. James LLC	Bronx	Consolidated Edison	New Construction Housing, NCP Housing	102,000			
Code Green Solutions, Inc.	Kings	Consolidated Edison	NYCH: Technical Assistance, FT13931 - Industry..	21,000			
			Technical Services, FT13997 - 66 Rockwell - FTC	10,000			
			Technical Services, FT14037 - Building 7&8 - FTC	19,000			
			Technical Services, FT14038 - Building 9&10 - F..	18,500			
			Technical Services, FT14039 - Building 22-24 - F..	19,000			
	New York	Consolidated Edison	Technical Services, FT13940 - 915 Broadway - F..	10,000			
			Technical Services, FT13965 - 1251 AoA - FTC	51,000			
			Technical Services, FT13989 - 180 CPS - FTC	37,421			
			Technical Services, FT13990 - 220 E 72nd - FTC	10,000			
			Technical Services, FT14053 - 545 Madison - FTC	24,000			
	Queens	Consolidated Edison	Technical Services, FT13996 - 89-15 Parsons - F..	10,000			
			Technical Services, FT14055 - 58-30 Grand - FTC	7,848			
COLLECTIF Engineering, PLL..	Queens	Consolidated Edison	Talent Pipeline:CE and OJT, OJT	22,846			
Colliers International Holdings..	New York	Consolidated Edison	Technical Services, OsEM78-C-ColliersInternatio..	213,999			
Commercial Cleaning NY Sunshine, Inc.	New York	Consolidated Edison	NYSERDA ADMINISTRATION, Janitorial Cleanin..	75,600			
			NYSERDA ADMINISTRATION, Janitorial Cleanin..	15,600			
Compass One A LLC	Bronx	Consolidated Edison	Multifam Performance Pgm, Multifamily	168,000			
Compass Two A LLC	Bronx	Consolidated Edison	Multifam Performance Pgm, Multifamily	89,600			
Compass Two B LLC	Bronx	Consolidated Edison	Multifam Performance Pgm, Multifamily	115,500			
Compass V LLC	Bronx	Consolidated Edison	Multifam Performance Pgm, Multifamily	153,300			
Convergent Energy and Power LP	Kings	Consolidated Edison	ESTOR:Retail Storage Incentive, Retail Storage	1,500,000			
	Richmond	Consolidated Edison	ESTOR:Retail Storage Incentive, Retail Storage	1,500,000			
Coral Lafayette LLC	New York	Consolidated Edison	Technical Services, FT13978 - 80 Lafayette - PON	9,125			

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount	
New York City	Cortex Building Intelligence, Inc.	Kings	Consolidated Edison	RTEM and Tenants, Cortex-60E42-RTEM+T	400,000	
		New York	Consolidated Edison	RTEM and Tenants, Cortex-111W33-RTEM+T	60,000	
				RTEM and Tenants, Cortex-250W57-RTEM+T	60,000	
				RTEM and Tenants, Cortex-350_5thAve-RTEM+T	400,000	
				RTEM and Tenants, Cortex-501 7ave-RTEM+T	300,000	
				RTEM and Tenants, Cortex-1333 Bway-RTEM+T	340,000	
				RTEM and Tenants, Cortex-1350Bway-RTEM+T	300,000	
				RTEM and Tenants, Cortex-1359 Bway-RTEM+T	300,000	
				RTEM and Tenants, Cortex-1400 Bway-RTEM+T	340,000	
Cutone & Company Consultants, LLC	New York	Consolidated Edison	Commercial Real Estate Ten, LCA - 151 W 26th ..	9,828		
			NYCH: Talent Ppln:CE and OJT, OJT	23,040		
			Talent Pipeline:CE and OJT, OJT	9,693		
DNV Energy Insights USA Inc.	New York	Consolidated Edison	NYCH: Technical Assistance, FT13740 - 68 Brad..	28,464		
Do-It-With Inc.	Kings	Consolidated Edison	OJT	21,600		
			Talent Pipeline:CE and OJT, OJT	117,120		
	Richmond	Consolidated Edison	>200KW PV, PON 2112 NY SUN	18,810		
DSM Engineering Assoc, P.C.	New York	Consolidated Edison	Technical Services, FT14030 - 20 E 9th - FTC	28,714		
			Technical Services, FT14032 - 531 Main - FTC	12,788		
Dual Fuel Corp	Kings	Consolidated Edison	Real Time Enrgy Management, Dual Fuel-425 Pr..	39,506		
E-Mobility Market Services, Inc.	Kings	Consolidated Edison	Talent Pipeline:CE and OJT, OJT	10,240		
East River Tenants Corp	New York	Consolidated Edison	Technical Services, FT14022 - 200 East End - P..	14,400		
East West General Constructi..	Queens	Consolidated Edison	NYCH: Talent Ppln:CE and OJT, OJT	10,240		
Ecogy New York V LLC	Richmond	Consolidated Edison	>200KW PV, NY-Sun	23,944		
Ecosystem Energy Services U..	New York	Consolidated Edison	Low Carbon Tech Demos, MF Low Carbon Path..	250,850		
Edison Energy, LLC	New York	Consolidated Edison	Technical Services, FT13949 - 475 Riverside - F..	28,360		
EME Consulting Engineering Group, LLC	Bronx	Consolidated Edison	NYCH: Technical Assistance, FT13956 - Hughes..	39,100		
			REV Campus Challenge, FT14023 - Fordham Ca..	37,960		
	New York	Consolidated Edison	NYCH: Technical Assistance, FT13794 - 128 W. ..	7,500		
			Technical Services, FT13969 - 227 E 30th - FTC	24,850		
			Technical Services, FT14070 - 11 Waverly - FTC	18,825		
Emes Solar	Bronx	Consolidated Edison	>200KW PV, PON 2112 NY SUN	15,138		
Empire State Realty OP, LP	New York	Consolidated Edison	Technical Services, FT13960 - 60 E 42nd - PON	6,000		
			Technical Services, FT13962 - 1400 Broadway - ..	5,000		
Empower CES, LLC	Kings	Consolidated Edison	>200KW PV, PON 2112 NY SUN	7,632		
Enel X North America Inc	Queens	Consolidated Edison	ESTOR:Retail Storage Incentive, Retail Storage	1,500,000		
Energy and Environmental Economics Inc.	New York	Consolidated Edison	ENERGY ANALYSIS, TWO 2 - BER Scenario Run	100,000		
			NYCH: Roadmap, TWO 2 - BER Scenario Run	150,000		
Energy Conservation & Suppl..	Kings	Consolidated Edison	Talent Pipeline:CE and OJT, OJT	60,386		
Energy EDC Corp.	New York	Consolidated Edison	NYCH: Talent Ppln:CE and OJT, PON3981 Roun..	447,950		
			Talent Pipeline:CE and OJT, OJT	10,240		
			Workforce Industry Partnership, PON 3715 (BOM)	400,000		
Energy Technology Savings, Inc.	Kings	Consolidated Edison	Real Time Enrgy Management, ETS - 29 Flatbus..	27,060		
			New York	Consolidated Edison	Real Time Enrgy Management, ETS - 21 West E..	91,500
					Real Time Enrgy Management, ETS - 101 West ..	76,209
			Real Time Enrgy Management, ETS-777 6ave-R..	21,589		
EnergyPro Insulation, LLC	Richmond	Consolidated Edison	<200KW PV, NY-Sun	10,304		
ESNY-303, LLC	Richmond	Consolidated Edison	>200KW PV, NY-Sun	1,499,940		
Fifth Lenox Terrace Associate..	New York	Consolidated Edison	Multifam Performance Pgm, Multifamily	14,050		
First Lenox Terrace Associate..	New York	Consolidated Edison	Multifam Performance Pgm, Multifamily	14,250		
Fourth Lenox Terrace Associa..	New York	Consolidated Edison	Multifam Performance Pgm, Multifamily	14,150		
Franklin Plaza Apartments	New York	Consolidated Edison	Multifam Performance Pgm, Multifamily	1,142,400		
Gainsborough Studios Inc.	New York	Consolidated Edison	Technical Services, FT13984 - 222 CPS - PON	7,909		

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount			
New York City	GBA Commissioning Services..	New York	Consolidated Edison	NYCH: Technical Assistance, FT13680 - 2 Colu..	53,338			
	Geatrain Engineering PLLC	Kings	Consolidated Edison	Technical Services, FT14046 - 140 8th - FTC	8,800			
		New York	Consolidated Edison	Technical Services, FT14043 - 31 W 34th - FTC	32,868			
				Technical Services, FT14052 - 36 W 47th - FTC	42,810			
		Queens	Consolidated Edison	Technical Services, FT13988 - New World Mall - ..	17,828			
	Georgica Green Ventures, LLC	Kings	Consolidated Edison	Multifam Performance Pgm, Multifamily	162,000			
	GI Endurant LLC	Bronx	Consolidated Edison	ESTOR:Retail Storage Incentive, Retail Storage	1,200,000			
		Queens	Consolidated Edison	NYCH: District, PON4614 Round #2_Willets Point	95,250			
		Richmond	Consolidated Edison	ESTOR:Retail Storage Incentive, Retail Storage	4,500,000			
	NYCH: District, PON 4614 Round #1 Wagner			70,240				
	Glenmore Manor Managers L..	Kings	Consolidated Edison	New Construction Housing, NCP Housing	200,000			
	Goldman Copeland Associates, P.C.	New York	Consolidated Edison	NYCH: Technical Assistance, FT13948 - 120 E 2..	29,994			
				Technical Services, FT13776 - 286 Madison - FTC	12,496			
				Technical Services, FT13947 - 60 Hudson - FTC	29,983			
				Technical Services, FT13968 - 606 Broadway - F..	5,996			
				Technical Services, FT13980 - 40 Fulton - FTC	12,482			
				Technical Services, FT13999 - 888 7th - FTC	13,993			
				Technical Services, FT14021 - 150 W 65th - FTC	11,989			
				Technical Services, FT14088 - 500 5th - FTC	9,484			
					Queens	Consolidated Edison	Technical Services, FT13979 - 1 Park - FTC	7,985
				Gouverneur Gardens Housing..	New York	Consolidated Edison	Multifam Performance Pgm, Multifamily	547,400
	Gowanus Green Partners LLC	Kings	Consolidated Edison	NYCH: District, PON4614 Round #1 Gowanus	85,920			
	Green Street Power Partners LLC	Kings	Consolidated Edison	>200KW PV, PON 2112 NY SUN	113,144			
				NY-SUN, NY Sun - ICESA	22,629			
	Grid City Electric Corp	New York	Consolidated Edison	<200KW PV, NY-Sun	19,272			
				>200KW PV, NY-Sun	4,818			
	Group-S LLC	Kings	Consolidated Edison	>200KW PV, PON 2112 NY SUN	6,364			
				New York	Consolidated Edison	K-12 SCHOOLS, FT13873 - 35 E 125th - FTC	33,200	
		NYCH: Technical Assistance, FT13650 - 101 Gre..	24,500					
		NYCH: Technical Assistance, FT13802 - 201 W ..	13,000					
		NYCH: Technical Assistance, FT13808 - 340 E. ..	8,500					
		NYCH: Technical Assistance, FT13809 - 200-220..	17,200					
		NYCH: Technical Assistance, FT13820 - 505 W. ..	26,000					
		NYCH: Technical Assistance, FT13847 - 444 W. ..	8,000					
		NYCH: Technical Assistance, FT13850 - 387 Par..	11,600					
		NYCH: Technical Assistance, FT13856 - 54 Rive..	10,000					
		NYCH: Technical Assistance, FT13865 - 152 W. ..	26,000					
		NYCH: Technical Assistance, FT13870 - 230 Par..	19,600					
		NYCH: Technical Assistance, FT13902 - 455 W. ..	14,800					
			Queens			Consolidated Edison	>200KW PV, PON 2112 NY SUN	1,213,056
							NYCH: Technical Assistance, FT13812 - 47-20 C..	15,600
							NYCH: Technical Assistance, FT13896 - 46-15 C..	11,600
					NYCH: Technical Assistance, FT13899 - 45-40 C..	11,600		
				NYCH: Technical Assistance, FT13900 - 21-66 3..	9,750			
				NYCH: Technical Assistance, FT13901 - 45-45 C..	31,600			
			Long Island Power Au..	NYCH: Technical Assistance, FT13848 - 46-10 C..	14,800			
	GSPP 28 Erasmus St, LLC	Kings	Consolidated Edison	>200KW PV, NY-Sun	43,848			
NY-SUN, NY-Sun - ICESA				8,770				
GSPP 74-04 Grand Ave, LLC	Queens	Consolidated Edison	>200KW PV, NY-Sun	63,597				
			NY-SUN, NY-Sun - ICESA	19,079				
GSPP 76-02 Woodhaven Blvd, LLC	Queens	Consolidated Edison	>200KW PV, NY-Sun	72,297				
			NY-SUN, NY-Sun - ICESA	21,689				

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
New York City	GSPP 131 Lynhurst Ave, LLC	Richmond	Consolidated Edison	>200KW PV, NY-Sun	24,404
	GSPP 200 Empire Blvd, LLC	Kings	Consolidated Edison	>200KW PV, NY-Sun	64,467
				NY-SUN, NY-Sun - ICSA	12,893
	GSPP 218-28 97th Ave, LLC	Kings	Consolidated Edison	>200KW PV, NY-Sun	26,100
				NY-SUN, NY-Sun - ICSA	7,830
	GSPP 1414 Ralph Ave, LLC	Kings	Consolidated Edison	>200KW PV, NY-Sun	19,053
				NY-SUN, NY-Sun - ICSA	5,716
	GSPP 2385 Hollers Ave, LLC	Bronx	Consolidated Edison	>200KW PV, NY-Sun	65,903
				NY-SUN, NY-Sun - ICSA	13,181
	GSPP 4710 Glenwood Road, LLC	Kings	Consolidated Edison	>200KW PV, NY-Sun	141,984
				NY-SUN, NY-Sun - ICSA	28,397
	GSPP 6335 Fresh Pond, LLC	Queens	Consolidated Edison	>200KW PV, NY-Sun	12,789
	GSPP KR Hylan, LLC	Richmond	Consolidated Edison	NY-SUN, NY Sun - ICSA	57,143
	Guggenheim Museum	New York	Consolidated Edison	Technical Services, OsEM82-C - Guggenheim M..	118,997
	Hakimian Management Corp	New York	Consolidated Edison	NYCH: Technical Assistance, FT13982 - 460 W ..	16,150
				Technical Services, FT13749 - 10 W 46th - PON	9,250
	Handel Architect	Queens	Consolidated Edison	Buildings of Excellence, BoE Rnd 1 - Design Tea..	112,500
	Harvest Power, LLC	Kings	Consolidated Edison	<200KW PV, NY-Sun	144
				>200KW PV, NY-Sun	186
	Hi TECH HVAC Services CORP	Queens	Consolidated Edison	NYCH: Talent Ppln:CE and OJT, OJT	141,246
				NYCH: Talent Ppln:CE and OJT, OJT HIRE	10,240
	Hobbs Ciena Associates, LP	New York	Consolidated Edison	Multifam Performance Pgm, Multifamily	238,000
	Horizon Engineering Assoc. LLP	New York	Consolidated Edison	K-12 SCHOOLS, P12GC-59E - 24-50 FDR - FTC	43,631
				Technical Services, FT13963 - 8 Stone - FTC	11,993
	Hudson Hill Condominium	New York	Consolidated Edison	Technical Services, FT14051 - 462 W 58th - PON	7,909
	Hyatt Corporation as agent for..	New York	Consolidated Edison	Technical Services, FT13972 - 485 5th - PON	26,000
	INF Associates LLC	Kings	Consolidated Edison	NYCH: Technical Assistance, FT13780 - 17 Smit..	16,000
				NYCH: Technical Assistance, FT13781 - 300 W. ..	17,313
				NYCH: Technical Assistance, FT13795 - 5 Times..	80,104
		Queens	Consolidated Edison	NYCH: Technical Assistance, FT13797 - 32 Old ..	80,104
				NYCH: Technical Assistance, FT13798 - 1285 A..	133,699
				NYCH: Technical Assistance, FT13796 - 37-18 N..	57,202
	Integrated HVAC Systems an..	Kings	Consolidated Edison	Real Time Enrgy Management, Integrated HVAC..	155,000
	J Synergy Solar LLC	Queens	Consolidated Edison	<200KW PV, NY-Sun	5,840
	Jaros, Baum & Bolles	New York	Consolidated Edison	NYCH: Technical Assistance, FT13498 - 1271 A..	6,875
				NYCH: Technical Assistance, FT13744 - 432 Par..	43,037
	JBI Construction Group	Bronx	Consolidated Edison	>200KW PV, PON 2112 NY SUN	85,068
	Jefferson Tenants Corp.	New York	Consolidated Edison	Technical Services, FT13595 - 55 E 9th - PON	5,650
	Kamtech Restoration Corp	Kings	Consolidated Edison	<200KW PV, NY-Sun	24,768
				>200KW PV, PON 2112 NY SUN	40,832
		Richmond	Consolidated Edison	<200KW PV, NY-Sun	5,760
	Kawi Energy Group Corp.	New York	Consolidated Edison	Talent Pipeline:CE and OJT, OJT HIRE	15,360
	Kinetic Communities Consulti..	Queens	Consolidated Edison	NYCH: Talent Ppln:CE and OJT, OJT	69,120
	Kings Village Corp.	Kings	Consolidated Edison	Technical Services, FT13954 - 1755 Utica - PON	9,723
	La Central Manager II LLC	Bronx	Consolidated Edison	New Construction Housing, NCP Housing	250,000
	Laura B Thomas LP	New York	Consolidated Edison	Multifam Performance Pgm, Multifamily	57,400
	Lemle & Wolff Development C..	Bronx	Consolidated Edison	NY-SUN, Lemle & Wolff Community Solar	200,000
Lighthouse Brooklyn, LLC	Kings	Consolidated Edison	Multifam Performance Pgm, Multifamily	35,700	
Linden Terrace III Developer L..	Kings	Consolidated Edison	Buildings of Excellence, BoE Rnd. 2 - Linden Blv..	850,000	
Loring Consulting Engineers, I..	New York	Consolidated Edison	Technical Services, FT13973 - 660 First - FTC	32,946	
Magnusson Architecture and Planning PC	Kings	Consolidated Edison	Buildings of Excellence, BoE Rnd. 2 - DTL Dekal..	150,000	
			Buildings of Excellence, BoE Rnd. 2 - DTL Linde..	150,000	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount	
New York City	Maison East Condominium	New York	Consolidated Edison	NYCH: Technical Assistance, FT13693 - 1438 3r..	9,125	
	Mark MaGrann Associates	Kings	Consolidated Edison	Technical Services, FT13959 - RiseBoro - FTC	69,650	
	MGX Associates Phase 2 CE LLC	Kings	Consolidated Edison	New Construction Housing, NCP Housing - 380 ..	308,000	
				New Construction Housing, NCP Housing-763 Th..	308,000	
	MGX Associates Phase 2 G L..	Kings	Consolidated Edison	New Construction Housing, NCP Housing-305 C..	381,500	
	MIR Queens Place, LLC	Queens	Consolidated Edison	Technical Services, FT13894 - 88-01 Queens - P..	32,914	
	MR. AIR NYC Corp.	Kings	Consolidated Edison	NYCH: Talent Ppln:CE and OJT, OJT	67,680	
	Mutual Apartments, Inc.	Kings	Consolidated Edison	Multifam Performance Pgm, Multifamily	112,000	
	MVN Realty, LLC	Kings	Consolidated Edison	Multifam Performance Pgm, Multifamily	55,300	
	Navy Yard Houses HDFC	Kings	Consolidated Edison	Multifam Performance Pgm, Multifamily	110,600	
	Netgains Engineering P.C.	Bronx	Consolidated Edison	NYCH: Technical Assistance, FT13871 - 3475 Gr..	15,000	
				NYCH: Technical Assistance, FT13975 - 2044 W..	14,300	
		Kings	Consolidated Edison	Technical Services, FT13987 - 505 Court - FTC	8,000	
				Technical Services, FT14047 - 520 Prospect - FT..	23,400	
				Technical Services, FT14058 - 55 Eastern - FTC	8,121	
		New York	Consolidated Edison	NYCH: Technical Assistance, FT13898 - 7 E. 14t..	13,972	
				Technical Services, FT14011 - 408 E 92nd - FTC	18,000	
				Technical Services, FT14050 - 19 St Marks - FTC	25,863	
				Technical Services, FT14059 - 536 W 153rd - FTC	6,100	
				Technical Services, FT14060 - 483 West End - F..	21,224	
		Queens	Consolidated Edison	NYCH: Technical Assistance, FT13695 - 78-10 1..	24,000	
				NYCH: Technical Assistance, FT13976 - 4705 M..	29,400	
		Richmond	Consolidated Edison	Technical Services, FT14062 - 1081 Tompkins - ..	6,148	
		New York Institute for Human ..	Bronx	Consolidated Edison	New Construction Housing, NCP Housing	326,000
		New York Solar Energy Indust..	Queens	Consolidated Edison	>200KW PV, NYSEIA Sponsorship	20,000
	New York University	New York	Consolidated Edison	Technical Services, OsEM80-C - NYU Dental	211,196	
	New York University Langone Medical Cent	New York	Consolidated Edison	REV Campus Challenge, RM42 - NYU Langone ..	41,469	
				RM42 - NYU Langone Health	46,000	
	Noresco LLC	Kings	Consolidated Edison	K-12 SCHOOLS, FT13686 - Bedford Stuyv. - FTC	16,250	
		New York	Consolidated Edison	NYCH: Technical Assistance, FT13765 - 1 Centr..	15,660	
				Technical Services, FT14063 - 308 E 8th - FTC	8,877	
	NYSS LLC	Richmond	Consolidated Edison	<200KW PV, NY-Sun	5,168	
	Oak Drive Mutual Housing	Bronx	Consolidated Edison	Multifam Performance Pgm, Multifamily	70,000	
	Ocean Towers Partners LLC	Kings	Consolidated Edison	Multifam Performance Pgm, Multifamily	252,000	
	Park Regis Apartment Corp.	New York	Consolidated Edison	NYCH: Technical Assistance, FT13787 - 50 E 89..	7,909	
	Partner Energy, Inc.	New York	Consolidated Edison	Technical Services, FT14135 - 645 Madison - FTC	9,515	
	Partridge Venture Engineering..	Bronx	Consolidated Edison	Technical Services, FT14074 - 1455-1499 - FTC	15,150	
	Phipps Houses	Kings	Consolidated Edison	New Construction Housing, NCP Housing	200,000	
	Pratt Institute	Kings	Consolidated Edison	NYCH: District, PON 4614 Round #1 Pratt	75,879	
				Talent Pipeline:CE and OJT, OJT	14,067	
	Premier Solar Solutions LLC	Kings	Consolidated Edison	<200KW PV, NY-Sun	108,360	
				>200KW PV, NY-Sun	27,090	
		Queens	Consolidated Edison	>200KW PV, PON 2112 NY SUN	45,880	
	Richair Mechanical Inc.	Queens	Consolidated Edison	NYCH: Talent Ppln:CE and OJT, OJT	85,680	
				Talent Pipeline:CE and OJT, OJT	35,280	
	Riseboro Community Partners..	Kings	Consolidated Edison	New Construction Housing, NCP Housing	550,000	
	Riverbend Housing Company ..	New York	Consolidated Edison	Multifam Performance Pgm, Multifamily	436,800	
Riverview Towers Inc	New York	Consolidated Edison	Multifam Performance Pgm, Multifamily	269,500		
Rockhill Management LLC	New York	Consolidated Edison	Technical Services, OsEM81-C - Rockhill Manag..	163,992		
Rose Capital, LLC	New York	Consolidated Edison	Empire Building Challenge, EBC-Phase I-JRCo	125,000		
			NYCH: Empire Build Challenge, EBC-Phase I-JR..	125,000		
Ruppert Housing Company, In..	New York	Consolidated Edison	Multifam Performance Pgm, Multifamily	456,400		

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
New York City	RXR Realty LLC	New York	Consolidated Edison	Technical Services, OsEM88-C - RXR Realty 1	214,000
				Technical Services, OsEM89-C - RXR Realty 2	214,000
				Technical Services, OsEM90-C - RXR Realty 3	213,751
	Seaview Estates Preservation..	Richmond	Consolidated Edison	Multifam Performance Pgm, Multifamily	221,200
	Second Lenox Terrace Associ..	New York	Consolidated Edison	Multifam Performance Pgm, Multifamily	14,300
	Services for the Underserved	Kings	Consolidated Edison	New Construction Housing, NCP Housing	450,000
	Sixth Lenox Terrace Associat..	New York	Consolidated Edison	Multifam Performance Pgm, Multifamily	14,150
	Smart Home Energy Source	Kings	Consolidated Edison	<200KW PV, NY-Sun	8,176
	Smith Engineering PLLC	New York	Null	Technical Services, FT13699 - 250 Vesey - FTC	46,522
			Consolidated Edison	Technical Services, FT13696 - 680 5th - FTC	76,562
			Technical Services, FT13697 - 1 Liberty - FTC	129,626	
			Technical Services, FT13698 - 225 Liberty - FTC	48,126	
			Technical Services, FT13700 - 1 New York - FTC	128,622	
			Technical Services, FT13702 - 10 Hudson - FTC	77,648	
			Technical Services, FT13703 - 20 Hudson - FTC	106,912	
			Technical Services, FT13704 - 30 Hudson - FTC	72,296	
			Technical Services, FT13705 - 35 Hudson - FTC	72,386	
			Technical Services, FT13706 - 55 Hudson - FTC	67,406	
			Technical Services, FT13708 - 60 Columbus - FT..	89,990	
			Technical Services, FT14040 - 1114 6th - FTC	68,306	
			Technical Services, FT14041 - 55 E 59th - FTC	22,691	
	Technical Services, FT14049 - 5 Bryant - FTC	83,778			
	SOLANTA CORP	Bronx	Consolidated Edison	>200KW PV, PON 2112 NY SUN	34,020
		Kings	Consolidated Edison	Talent Pipeline:CE and OJT, OJT	76,800
	Solar Energy Systems, LLC	Kings	Consolidated Edison	<200KW PV, NY-Sun	72,072
				>200KW PV, NY-Sun	30,888
		Queens	Consolidated Edison	<200KW PV, NY-Sun	218,412
				>200KW PV, NY-Sun	31,228
	Soltage, LLC	Queens	Consolidated Edison	ESTOR:Retail Storage Incentive, Retail Storage	1,500,000
	St. Nicks Alliance	Kings	Consolidated Edison	Buildings of Excellence, BoE Rnd. 2 - Dekalb Co..	850,000
				Retrofit NY, RetrofitNY St. Nick's Alliance	50,000
	Staten Island Economic Devel..	Richmond	Consolidated Edison	NY-SUN, Staten Island Solar Master Pla	125,000
	Steven Winter Associates, Inc.	Bronx	Consolidated Edison	NYCH: Technical Assistance, FT13763 - 235 W ..	9,700
				Real Time Enrgy Management, Steven Winter - 1..	124,752
		Kings	Consolidated Edison	NYCH: Technical Assistance, FT13575 - 440 Ke..	25,000
				NYCH: Technical Assistance, FT13655 - 2652 Cr..	22,000
				NYCH: Technical Assistance, FT13657 - 2165 Br..	35,000
				NYCH: Technical Assistance, FT13658 - 2250 Br..	33,000
				NYCH: Technical Assistance, FT13668 - 175-191..	30,000
				NYCH: Technical Assistance, FT13672 - 509 Pac..	12,350
				Technical Services, FT13933 - 6702 Ridge - FTC	5,500
		New York	Consolidated Edison	NYCH: Technical Assistance, FT13548 - 82 Beav..	19,875
				NYCH: Technical Assistance, FT13574 - 309-311..	12,750
				NYCH: Technical Assistance, FT13578 - 111 W. ...	25,000
				NYCH: Technical Assistance, FT13626 - 45 E 89..	20,480
				NYCH: Technical Assistance, FT13656 - 300 E. ...	30,806
				NYCH: Technical Assistance, FT13659 - 201 W. ...	25,000
				NYCH: Technical Assistance, FT13660 - 500 W. ...	30,000
				NYCH: Technical Assistance, FT13663 - 212 Fift..	25,000
				NYCH: Technical Assistance, FT13664 - 200 E. ...	20,000
				NYCH: Technical Assistance, FT13665 - 30 W. 6..	20,541
	NYCH: Technical Assistance, FT13667 - 225 Fift..	19,875			

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount			
New York City	Steven Winter Associates, Inc.	New York	Consolidated Edison	NYCH: Technical Assistance, FT13669 - 325 Lex..	20,541			
				NYCH: Technical Assistance, FT13670 - 153 Eas..	20,000			
				NYCH: Technical Assistance, FT13673 - 40 East ..	20,541			
				NYCH: Technical Assistance, FT13674 - 1355 Fir..	25,000			
				NYCH: Technical Assistance, FT13675 - 20 West..	37,000			
				NYCH: Technical Assistance, FT13677 - 414 Eas..	30,909			
				NYCH: Technical Assistance, FT13678 - 55 Wall ..	40,000			
				NYCH: Technical Assistance, FT13709 - 399 E. ...	20,541			
				NYCH: Technical Assistance, FT13710 - 944 Par..	12,750			
				NYCH: Technical Assistance, FT13711 - 243 W. ...	20,000			
				NYCH: Technical Assistance, FT13712 - 150 E. ...	22,000			
				NYCH: Technical Assistance, FT13713 - 515 E. ...	19,875			
				NYCH: Technical Assistance, FT13715 - 220 E. ...	23,800			
				NYCH: Technical Assistance, FT13723 - 245 Sull..	37,584			
				NYCH: Technical Assistance, FT13724 - 40 Was..	45,781			
				NYCH: Technical Assistance, FT13766 - 250 W. ...	28,500			
				NYCH: Technical Assistance, FT13855 - 1107 5t..	20,000			
				NYCH: Technical Assistance, FT13941 - 304 W. ...	7,750			
				Workforce Industry Partnership, PON 3715 (R6) ..	140,591			
				Queens	Consolidated Edison	NYCH: Technical Assistance, FT13557 - 39-60 5..	20,000	
						NYCH: Technical Assistance, FT13661 - 26-25 1..	30,000	
						NYCH: Technical Assistance, FT13666 - 43-34 U..	20,000	
						NYCH: Technical Assistance, FT13676 - 99-32 6..	25,000	
						NYCH: Technical Assistance, FT13679 - 86-15 B..	20,000	
				STRATCO PROPERTY GROUP INC	Kings	Consolidated Edison	Multifam Performance Pgm, Multifamily	81,200
					New York	Consolidated Edison	Multifam Performance Pgm, Multifamily NYCH: Talent Ppln:CE and OJT, OJT	634,200 12,960
Summit Ridge Energy, LLC	Kings	Consolidated Edison	ESTOR:Retail Storage Incentive, Retail Storage	1,482,400				
	Richmond	Consolidated Edison	ESTOR:Retail Storage Incentive, Retail Storage	1,185,900				
Sunkeeper Solar LLC	Kings	Consolidated Edison	>200KW PV, PON 2112 NY SUN	18,048				
Sunlight Energy Group LLC	New York	Consolidated Edison	Talent Pipeline:CE and OJT, OJT	22,541				
Sunlight General Capital LLC	New York	Consolidated Edison	Talent Pipeline:CE and OJT, OJT	15,000				
			Talent Pipeline:CE and OJT, OJT HIRE	15,360				
SunPower Capital, LLC	Kings	Consolidated Edison	<200KW PV, NY-Sun	45,216				
	Queens	Long Island Power Au..	COMMUNITY SOLAR, PON 2112 NY SUN	5,184				
	Richmond	Consolidated Edison	<200KW PV, NY-Sun	72,497				
Sunwealth Power, Inc.	Kings	Consolidated Edison	<200KW PV, NY-Sun	400,760				
			>200KW PV, NY-Sun	84,370				
Surf Clean Energy Inc	Bronx	Consolidated Edison	<200KW PV, NY-Sun	12,720				
	Kings	Consolidated Edison	<200KW PV, NY-Sun	16,224				
			<200KW PV, PON 2112 NY SUN	4,161				
	Queens	Consolidated Edison	<200KW PV, NY-Sun <200KW PV, PON 2112 NY SUN	13,056 4,473				
Sustainable Investment Group	New York	Consolidated Edison	NYCH: Technical Assistance, FT13930 - 15 E 57..	11,750				
			Technical Services, FT13929 - 3 Bryant - FTC	11,200				
The Cadmus Group, LLC	New York	Consolidated Edison	Statewide EE&BE PotentialStudy, TWO 12 StWi..	889,862				
The Center for New York City	New York	Consolidated Edison	OTHER PROGRAM AREA, CEEP New York City..	113,413				
The Doe Fund Inc	Bronx	Consolidated Edison	New Construction Housing, NCP Housing	96,000				
The Energy Studio, Inc.	Bronx	Consolidated Edison	New Construction- Commercial, Commercial Ne..	49,990				
	Kings	Consolidated Edison	New Construction- Commercial, Commercial Ne..	49,990				
	Queens	Consolidated Edison	New Construction- Commercial, Commercial Ne..	49,990				
	Richmond	Consolidated Edison	New Construction- Commercial, Commercial Ne..	49,990				

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
New York City	The Hudson Companies Inco...	Kings	Consolidated Edison	New Construction Housing, 2019 MFCNP	250,000
	The Levy Partnership, Inc.	Kings	Consolidated Edison	Technical Services, FT13184 - AE Duke Mgmt - ..	10,000
		New York	Consolidated Edison	NYCH: Technical Assistance, FT13249 - 38 E 29..	36,707
				Technical Services, FT13022 - JOE Housing - FT..	10,000
				Technical Services, FT13983 - Heights 170 - FTC	9,233
	The Trustees of Columbia Uni..	New York	Consolidated Edison	Carbontech Development, The Carbon Foundry	10,000,000
	The Young Men's and Young ..	New York	Consolidated Edison	NYCH: Technical Assistance, FT13589 - 1395 Le..	28,278
	Third Lenox Terrace Associat..	New York	Consolidated Edison	Multifam Performance Pgm, Multifamily	14,300
	Unique Electric Solutions of NYS LLC	Kings	Consolidated Edison	CLEAN TRANSPORTATION, NYTVIP - L&M Bu..	240,000
				CLEAN TRANSPORTATION, NYTVIP - Pride Tr..	240,000
				CLEAN TRANSPORTATION, NYTVIP - Quality T..	240,000
		New York	Consolidated Edison	CLEAN TRANSPORTATION, NYTVIP - United P..	220,000
				CLEAN TRANSPORTATION, NYTVIP - UPS	660,000
	Urban Green Council	New York	Consolidated Edison	Workforce Industry Partnership, PON 3715 (R7) ..	143,276
	VBK C3 Owner LLC	Kings	Consolidated Edison	New Construction Housing, New Construction	434,000
	VD 50th LLC	Queens	Consolidated Edison	New Construction Housing, NCP Housing	200,000
	Venture Home Solar LLC	Queens	Consolidated Edison	>200KW PV, PON 2112 NY SUN	10,328
	Vermilyea Partners LLC	New York	Consolidated Edison	NYCH: LMI, Clean Heating & Cooling	40,500
	Victory One, HDFC	New York	Consolidated Edison	Multifam Performance Pgm, Multifamily	77,000
	Vidaris, Inc.	New York	Consolidated Edison	New Construction- Commercial, Commercial Ne..	82,042
				Technical Services, FT14081 - 10 Columbus - FT..	61,016
	Vincent P. Cyrus Plaza LP	New York	Consolidated Edison	Multifam Performance Pgm, Multifamily	72,800
	Volunteers of America- Greater New York	New York	Consolidated Edison	Multifam Performance Pgm, Multifamily	102,200
				NYCH: LMI, Clean Heating & Cooling	511,000
	West Harlem Environmental A..	New York	Consolidated Edison	NY-SUN, PON 3414 Solar Uptown Now	200,000
	WFHA Brooklyn LP	Kings	Consolidated Edison	Multifam Performance Pgm, Multifamily	168,000
	Willdan Lighting & Electric, Inc.	New York	Consolidated Edison	Talent Pipeline:CE and OJT, OJT	50,054
		Queens	Consolidated Edison	Talent Pipeline:CE and OJT, OJT	33,048
	Williams and Georgia Towers ..	Kings	Consolidated Edison	Multifam Performance Pgm, Multifamily	98,000
	Woodlawn Veterans Mutual H..	Bronx	Consolidated Edison	Multifam Performance Pgm, Multifamily	70,000
	WOTC Tenants Corporation	Queens	Consolidated Edison	Technical Services, FT14061 - 73-10 220th - PON	12,278
	WSP USA Corp.	New York	Consolidated Edison	Technical Services, FT13942 - 105 Duane - FTC	8,750
				Technical Services, FT14015 - 205 E 85th - FTC	8,250
WVF-Paramount 745 Property..	New York	Consolidated Edison	NYCH: Technical Assistance, FT13567 - 745 Fift..	45,235	
You Save Green Incorporated	Kings	Consolidated Edison	>200KW PV, PON 2112 NY SUN	29,192	
ZBF Geothermal LLC	Kings	Consolidated Edison	NYCH: District, 1 Java St Community Heat Pump	415,000	
Total				76,221,757	
North Country	31606 Felt Mills LLC	Jefferson	National Grid	NY-SUN, NY-Sun - ICSA	818,844
	ADK Solar	Essex	National Grid	<200KW PV, PON 2112 NY SUN	9,177
		Franklin	National Grid	<200KW PV, PON 2112 NY SUN	5,280
	Albany Solar Solutions L.L.C.	Essex	National Grid	<200KW PV, PON 2112 NY SUN	26,546
	Alternative Power Solutions of..	Jefferson	National Grid	<200KW PV, PON 2112 NY SUN	5,103
	Apex Solar Power LLC	Clinton	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,625
		St. Lawrence	National Grid	<200KW PV, PON 2112 NY SUN	24,958
	Borrego Solar Systems, Inc.	Jefferson	National Grid	REC:CES REC Contracts, RESRFP20-1	24,050,258
	CEP NY Borrower 1 LLC	Jefferson	National Grid	>200KW PV, NY Sun	5,163,607
	Core Climate Systems LLC	Essex	National Grid	Renewable Heat NY, Ray Brook Large Biomass ..	125,209
	Fourth Coast, Inc.	Jefferson	National Grid	<200KW PV, PON 2112 NY SUN	22,827
	GSPP 126 Little Bow Rd N, L..	St. Lawrence	National Grid	NY-SUN, NY-Sun ICSA	229,723
	GSPP 126 Little Bow Rd S, LL..	St. Lawrence	National Grid	NY-SUN, NY-Sun ICSA	235,049
	GSPP 409 Ferris Road, LLC	St. Lawrence	National Grid	NY-SUN, NY-Sun ICSA	443,700
	Hamilsun Community Solar LL..	Clinton	NYS Electric and Gas	NY-SUN, NY-Sun - ICSA	215,395

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount		
North Country	Heat Keepers, Inc.	Essex	Municipal Utilities	NYCH: Talent Ppln:CE and OJT, OJT	12,240		
	Kasselman Solar LLC	Franklin	National Grid	<200KW PV, NY-Sun	5,340		
		Jefferson	National Grid	<200KW PV, NY-Sun	6,408		
		Lewis	National Grid	<200KW PV, NY-Sun	8,236		
	L&S Energy Services, Inc.	Essex	NYS Electric and Gas	Technical Services, FT13774 - 803 Mountain - F..	18,317		
	Max Solar Inc	Lewis	National Grid	<200KW PV, PON 2112 NY SUN	10,710		
	New Leaf Solar LLC	Essex	National Grid	<200KW PV, NY-Sun	10,656		
	OYA ROBINSON ROAD LLC	Jefferson	National Grid	NY-SUN, NY-Sun - ICSA	149,464		
	OYA WAYSIDE DRIVE LLC	Jefferson	National Grid	NY-SUN, NY-Sun - ICSA	298,927		
	PlugPV, LLC	Clinton	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,200		
		Essex	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	6,120		
		Jefferson	National Grid	<200KW PV, PON 2112 NY SUN	7,200		
	RHM Inc.	Essex	National Grid	RENEWABLE HEAT NY, Biomass Boiler - Strett..	16,000		
	Sheland Farms LLC	Jefferson	National Grid	Anaerobic Digesters, PON 3739 CAT C	277,750		
	Solar Liberty Energy Systems, Inc	Jefferson	National Grid	<200KW PV, NY-Sun	8,976		
		St. Lawrence	National Grid	<200KW PV, NY-Sun	13,824		
	St. Lawrence-Lewis Boces	St. Lawrence	National Grid	Talent Pipeline:CE and OJT, Zero Emission Vehi..	24,966		
	State University Construction Fund	St. Lawrence	National Grid	NYCH: Technical Assistance, FT13826 - SUNY ..	234,085		
				Technical Services, FT13838 - SUNY Canton - F..	80,076		
	Surf Clean Energy Inc	St. Lawrence	National Grid	<200KW PV, NY-Sun	20,000		
	Wilna PV, LLC	Jefferson	National Grid	NY-SUN, NY-Sun - ICSA	380,016		
Total				32,975,812			
Southern Tier	3rd ROC Solar LLC	Tompkins	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	16,363		
	237 State Route 96 Site 1, LLC	Tioga	NYS Electric and Gas	NY-SUN, NY Sun	1,011,712		
	237 State Route 96 Site 2, LLC	Tioga	NYS Electric and Gas	NY-SUN, NY Sun	961,126		
	Arnot Ithaca 2, LLC	Tompkins	NYS Electric and Gas	New Construction Housing, NCP Housing	66,000		
	Bashing Panels LLC	Chemung	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	8,750		
				Tompkins	NYS Electric and Gas	<200KW PV, NY-Sun	20,000
						<200KW PV, PON 2112 NY SUN	13,303
	CDS Monarch Inc	Broome	NYS Electric and Gas	New Construction Housing, 2019 LRNCP	24,800		
	Day Automation Systems, Inc.	Steuben	NYS Electric and Gas	Real Time Enrgy Management, Day-Addison-RT..	309,408		
	DEMCO New York Corp.	Schuyler	Municipal Utilities	<200KW PV, PON 2112 NY SUN	10,920		
	DSHINESAGAIN SOLAR LLC	Chemung	NYS Electric and Gas	>200KW PV, NY Sun	823,680		
	Extraterrestrial Materials Inc.	Broome	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	110,515		
				Chemung	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	10,320
				Tioga	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	41,684
				Tompkins	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	9,200
	Fingerlakes Renewables	Tioga	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	7,140		
	First Ward Action Council, Inc.	Broome	NYS Electric and Gas	New Construction Housing, NCP Housing	105,000		
	Foam It Insulation, LLC	Broome	NYS Electric and Gas	Talent Pipeline:CE and OJT, OJT	111,840		
	Generate Capital Inc.	Tioga	NYS Electric and Gas	NY-SUN, NY-Sun ICSA	651,000		
	George E Denmark II	Chemung	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	8,572		
	Halcyon, Inc.	Tompkins	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,160		
	Ithaca Electricians Inc.	Tompkins	NYS Electric and Gas	NYCH: Talent Ppln:CE and OJT, OJT	9,600		
	Ithaca Neighborhood Housing ..	Tompkins	NYS Electric and Gas	New Construction Housing, 2019 LRNCP	18,800		
	Keiryn Ross	Steuben	NYS Electric and Gas	Workforce Industry Partnership, PON 3715 (R6) ..	237,600		
	M/E Engineering, P.C.	Broome	NYS Electric and Gas	Rmve Barriers Dist Enrgy Storg, FT14025 - 4400 ..	41,576		
	Nautilus Owner 2021, LLC	Steuben	NYS Electric and Gas	>200KW PV, NY Sun	1,159,526		
	Norwich Housing Authority	Chenango	NYS Electric and Gas	Multifam Performance Pgm, Multifamily	6,200		
				NYCH: LMI, Clean Heating & Cooling	124,000		
	O'Brien & Gere Engineers, Inc.	Tompkins	NYS Electric and Gas	NYCH: Technical Assistance, FT13632 - Cornell ..	120,000		
	Park Grove Development, LLC	Tompkins	NYS Electric and Gas	New Construction Housing, 2019 LRNCP	147,000		

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount	
Southern Tier	Park Grove Realty LLC	Steuben	NYS Electric and Gas	New Construction Housing, NCP Housing	39,000	
	PlugPV, LLC	Delaware	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	10,400	
		Tioga	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	20,800	
	Providence Housing Develop..	Tompkins	NYS Electric and Gas	New Construction Housing, NCP Housing	228,000	
	Renewable Rochester LLC	Steuben	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	6,460	
	Renovus Energy, Inc.	Broome	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	13,770	
		Tioga	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	17,213	
		Tompkins	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	23,438	
	Sigora Solar	Broome	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	7,434	
		Tioga	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,200	
	Singlebrook Technology Inc.	Tompkins	NYS Electric and Gas	Talent Pipeline:CE and OJT, CJF Program Supp..	130,000	
				Talent Pipeline:Internship Pgm, CJF Program Su..	100,000	
	Snug Planet, LLC	Tompkins	NYS Electric and Gas	NYCH: Talent Ppln:CE and OJT, OJT	32,280	
				OJT	9,600	
				Talent Pipeline:CE and OJT, OJT	50,400	
	Solar Liberty Energy Systems, Inc	Steuben	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	11,880	
		Tompkins	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	6,426	
	SOLAR TROUPSBURG LLC	Steuben	NYS Electric and Gas	>200KW PV, NY-Sun C/I Assignment	1,407,672	
	State University Construction ..	Delaware	NYS Electric and Gas	Technical Services, FT13836 - SUNY Delhi - FTC	146,365	
	Steuben Churchpeople Again..	Chemung	NYS Electric and Gas	New Construction Housing, NCP Housing	42,000	
	Sustainable Comfort, Inc	Broome	NYS Electric and Gas	New Construction Housing, NCP Housing	6,000	
		Tompkins	NYS Electric and Gas	New Construction Housing, NCP Housing	8,400	
	Sustainable Energy Developm..	Steuben	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,600	
	Taitem Engineering, P.C.	Tompkins	NYS Electric and Gas	Commercial Real Estate Ten, Taitem-110 S Alba..	13,600	
				Technical Services, AEAP1382 - Backbone Farm	5,859	
				Technical Services, FT14054 - 166 Main - FTC	6,488	
	Tesla Energy Operations Inc	Tompkins	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	9,648	
	The Insulation Man LLC	Broome	NYS Electric and Gas	Talent Pipeline:CE and OJT, OJT	11,160	
	Trane	Delaware	NYS Electric and Gas	K-12 SCHOOLS, P12GC-67_E - Sidney CSD - F..	101,520	
	Total				8,667,408	
	Statewide	74&WEST LLC	STATEWIDE	Statewide	Novel Bus Models & Offers, Market Discovery/V..	50,000
		120 Broadway Acquisitions JV LLC	STATEWIDE	Statewide	Empire Building Challenge, EBC TA-120 Broadw..	125,000
					NYCH: Empire Build Challenge, EBC TA-120 Bro..	125,000
455 Hospitality LLC		STATEWIDE	Statewide	Environmental Research, State of the Science 20..	14,000	
Abt Associates Inc.		STATEWIDE	Statewide	ENERGY ANALYSIS, TWO #3 Pathways Health ..	175,000	
				ENVIRONMENTAL RESEARCH, TWO #3 Pathw..	175,000	
Activate Global, Inc		STATEWIDE	Statewide	Carbontech Development, Carbontech Fellowshi..	9,146,000	
Adirondack Area Network		STATEWIDE	Statewide	2021 Climate Action Council Mt	5,976	
ADL Ventures LLC		STATEWIDE	Statewide	Retrofit NY, Feasibility Study	50,000	
AEF Ice Systems, Inc.		STATEWIDE	Statewide	Cleantech Ignition, PON4534 NY Climate Progre..	500,000	
Aequita Consulting LLC		STATEWIDE	Statewide	OTHER PROGRAM AREA, Resilience Consultan..	218,000	
Affordable Housing Partnership		STATEWIDE	Statewide	CLEANER GREENER COMMUNITIES, CEEP C..	66,905	
AIA - New York Chapter		STATEWIDE	Statewide	New Construction Housing, Gen. marketing & out..	40,000	
				New Construction- Commercial, Gen. marketing ..	10,000	
Akimeka, LLC		STATEWIDE	Statewide	OTHER PROGRAM AREA, Hydrogen economic ..	250,000	
Albany, City of,		STATEWIDE	Statewide	Talent Pipeline:CE and OJT, Climate Justice Fell..	40,000	
Alliance for Sustainable Energy, LLC		STATEWIDE	Statewide	ENERGY ANALYSIS, TWO #7 T&D Tool Dev Co..	115,176	
				High Performing Grid, TWO #8 NREL TWO for R..	380,215	
				OREC: Technical Support, TWO #9 OSW Seco..	830,759	
Alliance to Save Energy		STATEWIDE	Statewide	Prof & Expert Engagement, 2021 ASE Members..	35,000	
American Council for an Energy Efficient		STATEWIDE	Statewide	Market Tests, 2022 ACEEE Finance Forum	45,000	
				Prof & Expert Engagement, 2022 ACEEE Ally me..	12,000	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Statewide	AMP NY Sponsor II LLC	STATEWIDE	Statewide	NY Green Bank, Amp Solar CTL	29,200,000
	AOGC Consulting LLC	STATEWIDE	Statewide	NEW YORK GREEN BANK, NYGB Contractor	118,000
	APX Inc.	STATEWIDE	Statewide	REC:CES REC System Dev Costs, NYGATS	115,000
	Arcadis of New York, Inc.	STATEWIDE	Statewide	ORES Support, ORES Technical Assistance	2,000,000
				REC2:CES REC2 Tech Support, Tech Support N..	20,000
	Arch Street Communications, Inc.	STATEWIDE	Statewide	ENERGY ANALYSIS, Climate Action Council Pu..	222,000
				Talent Pipeline:CE and OJT, Arch Street Commu..	250,000
				Talent Pipeline:Internship Pgm, Arch Street Com..	150,000
	Arena Transit Holdings LLC	STATEWIDE	Statewide	Prize Planning Grant - XL	150,000
	Asthma and Allergy Foundation of America	STATEWIDE	Statewide	New Construction Housing, Strategic Industry Pa..	40,000
				New Construction- Commercial, Strategic Industr..	10,000
	Atlas Public Policy	STATEWIDE	Statewide	Electric Vehicles - Innovation, Updating EValuate..	10,350
	Bard Rao + Athanas Consultin..	STATEWIDE	Statewide	Code to Zero, TWO #1	17,000
	BDO USA LLP	STATEWIDE	Statewide	Background Investigation Servi	9,020
				Cleantech Ignition, Background Investigation Servi	55,200
				NEW YORK GREEN BANK, Background Investig..	1,100
	Beacon Wind LLC	STATEWIDE	Statewide	OREC: OSW Solicitations, OSWRFP20-1 Award..	4,100,000,000
	Benchmark Printing, Inc.	STATEWIDE	Statewide	Electric Vehicles - Innovation, Printing EV Mailing..	18,161
	Bishop House Consulting, Inc.	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Bishop House Tr..	49,887
	BlocPower LLC	STATEWIDE	Statewide	Code to Zero, NYStretch 2023 Working Groups	12,000
				NYCH: Innovation, Buildings Innovations	46,465
	Bloomberg Finance LP	STATEWIDE	Statewide	ENERGY ANALYSIS, Bloomberg Datafeed Acce..	10,544
				REC:CES REC System Dev Costs, Bloomberg D..	10,544
	BME Yellowjacket LLC	STATEWIDE	Statewide	Anaerobic Digesters, PON 3739 CAT C	375,415
	Bond, Schoeneck & King, PLLC	STATEWIDE	Statewide	CI Engy Siting & Soft Cost Red, TWO 2 - CES Le..	200,000
				OREC: Technical Support, TWO 4 GLW Feasibili..	37,500
	Booz Allen Hamilton, Inc.	STATEWIDE	Statewide	Energy Storage Tech/Prod Dev, Task Work Orde..	35,643
				Energy Storage Tech/Prod Dev, Task Work Orde..	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 1	310,547
				Novel Bus Models & Offers, Task Work Order 2	180,685
				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			
	Brattle Group Inc.	STATEWIDE	Statewide	ENERGY ANALYSIS, Post-Conference Commen..	25,000
				OREC: Technical Support, TWO#1 Clean Energy..	32,000
				REC4:CES REC4 Tech Support, Large-Scale Re..	50,000
				REC:CES REC System Dev Costs, Transmission..	500,000
	Bright Power, Inc.	STATEWIDE	Statewide	Code to Zero, TWO #1	17,000
	Bruce Harley Energy Consulti..	STATEWIDE	Statewide	Air Source Heat Pumps, Heat Pump Technical S..	200,000
	BTMI Engineering, PC	STATEWIDE	Statewide	OREC: Technical Support, State's Engineer for P..	170,000
				OREC: Technical Support, TWO for COWI MTW..	125,000
				OREC: Technical Support, TWO for COWI Navig..	31,200
	Buckeye Terminals, LLC	STATEWIDE	Statewide	FUEL NY, Upstate NY Strategic Fuels Res	1,280,483
	Business Network for Marylan..	STATEWIDE	Statewide	OREC: Technical Support, DAC sponsorship to I..	25,000
	BW Research Partnership	STATEWIDE	Statewide	ENERGY ANALYSIS, TWO# 2 JTWG Jobs Study	55,664
				Talent Pipeline:CE and OJT, TWO# 1 CE Industr..	6,000
	C.J. Brown Energy, P.C.	STATEWIDE	Statewide	Direct Injection Program, HCR Minibid TWO #3	50,000
New Construction Housing, HCR Minibid TWO #3				100,000	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Statewide	Calstart	STATEWIDE	Statewide	CLEAN TRANSPORTATION, Capital Region Mo..	250,000
				EVPRZ:Community Partner Funds, Prize Plannin..	50,000
				EVPRZ:Planning Grants, Prize Planning Grant C..	100,000
Capital District Regional Planning Comm.	STATEWIDE	Statewide	Statewide	Clean Energy Communities, Clean Energy Com..	1,941,631
				NYCH: Communities, Cap Dist Heat & Cool Sma..	50,000
				NYCH: Communities, Clean Energy Communities	266,022
Caroprese & Company	STATEWIDE	Statewide	Statewide	PPP Customer Acquisition	10,000
Cascade Energy, Inc.	STATEWIDE	Statewide	Statewide	Strategic Energy Manager, SEM Energy Coach	4,776,115
Center for Sustainable Energy	STATEWIDE	Statewide	Statewide	TWO #3 - Drive Clean Program	915,674
CHA Consulting Inc.	STATEWIDE	Statewide	Statewide	>200KW PV, DC for SEQR Assistance	40,000
				CI Carbon Challenge, Outreach Support	87,566
				Industrial Process Effic, Outreach Support	24,934
				On-Site Energy Manager, Outreach Support	24,934
				Strategic Energy Manager, Outreach Support	87,566
Christina Abmann	STATEWIDE	Statewide	Statewide	Code to Zero, NYStretch 2023 Working Groups	17,000
City of Beacon	STATEWIDE	Statewide	Statewide	Clean Energy Communities, CEC LR - Beacon - ..	40,000
City of Kingston	STATEWIDE	Statewide	Statewide	Clean Energy Communities, CEC LR - Kingston - ..	40,000
Clean Borrowing Co., LLC	STATEWIDE	Statewide	Statewide	NY Green Bank, e2i Net-Zero Portfolio	8,000,000
Clean Communities of Central..	STATEWIDE	Statewide	Statewide	CLEAN TRANSPORTATION, NYTVIP Outreach ..	33,000
Clean Energy States Alliance	STATEWIDE	Statewide	Statewide	Prof & Expert Engagement, CESA 2021-22 mem..	68,500
Clean Power Research	STATEWIDE	Statewide	Statewide	Electric Vehicles - Innovation, 2022 WattPlan Lic..	19,800
CLEAResult Consulting, Inc.	STATEWIDE	Statewide	Statewide	ASSISTED HOME PERFORMANCE WITH ENE..	12,000
				Community RH&C, Centralized Services & Supp..	81,990
				EMPOWER NY, Centralized Services & Support	12,000
				Home Perf w Energy Star, Centralized Services ..	3,446,000
				Multifam Performance Pgm, Centralized Services..	50,000
				NY-SUN, Centralized Services & Support	20,000
				NYSERDA ADMINISTRATION, Phone Email & ..	126,473
Renewable Heat NY, Centralized Services & Sup..	3,276				
Climate Action Associates LLC	STATEWIDE	Statewide	Statewide	Clean Energy Communities, Utility Energy Regist..	500,000
Code Green Solutions, Inc.	STATEWIDE	Statewide	Statewide	Empire Building Challenge, EBC - Market Charac..	9,000
				NYCH: Empire Build Challenge, EBC - Market C..	9,000
Cody R. Koch	STATEWIDE	Statewide	Statewide	Net Zero Energy for Eco Dev, New Construction ..	166,928
Cohen Ventures Inc	STATEWIDE	Statewide	Statewide	Product Standards, Task Work Order #3	49,997
				Product Standards, Task Work Order #5	750,000
COI Energy Services Inc	STATEWIDE	Statewide	Statewide	Cleantech Ignition, PON4534 NY Climate Progre..	500,000
Collado Engineering, DPC	STATEWIDE	Statewide	Statewide	Code to Zero, TWO #1	22,000
Commercial Investigations LLC	STATEWIDE	Statewide	Statewide	NYSERDA ADMINISTRATION, Background Che..	10,000
Comrie Enterprises, LLC	STATEWIDE	Statewide	Statewide	NYCH: Talent Ppln:CE and OJT, Climate Justice ..	40,000
Consolidated Edison Company	STATEWIDE	Statewide	Statewide	Pay for Performance, P4P Con Ed MOU and NDA	8,106,666
Consortium for Energy Efficie..	STATEWIDE	Statewide	Statewide	NYCH: Critical Tools, ASHP Education and Awar..	20,000
Cornell University-Office of Sp..	STATEWIDE	Statewide	Statewide	Energy Storage Tech/Prod Dev, CABES	250,000
Couch White, LLP	STATEWIDE	Statewide	Statewide	Code to Zero, TWO 1 - NYStretch	92,125
CTG:I LLC	STATEWIDE	Statewide	Statewide	OTHER PROGRAM AREA, i3 1 year subscription	8,925
Culver Company, LLC	STATEWIDE	Statewide	Statewide	POLICY DEVELOPMENT, 2021 NYS Fair Promo..	20,055
CVENT, Inc.	STATEWIDE	Statewide	Statewide	Environmental Research, Event Management/Vir..	3,234
				OREC: Technical Support, OSW Virtual Supplier ..	25,000
Dawn Dzurilla	STATEWIDE	Statewide	Statewide	NYSERDA ADMINISTRATION, Executive Recrui..	50,000
Dextall	STATEWIDE	Statewide	Statewide	NYCH: Innovation, Prefab Panels Retrofit	237,938
DNV Energy Insights USA Inc.	STATEWIDE	Statewide	Statewide	Commercial Real Estate Ten, TWO 8 CEF Com..	99,928
				Eval MCDC Solar/NY-Sun, TWO 3 - Solar PV/En..	136,748
				Eval MCDC: Ind Fac Stock Study, Statewide Indu..	2,588,537

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Statewide	DNV Energy Insights USA Inc.	STATEWIDE	Statewide	EVALUATION, TWO 3 - Solar PV/Energy Stor	1,605,442			
				K-12 SCHOOLS, TWO 8 CEF Comm Impact_DNV	187			
				Nat'l OffShWind R&D Consortium, TWO 3 - Solar..	125,000			
				NYCH: District, Concierge Services - DNV - TWO	231,240			
				NYCH: District, PON4614 Project Management	50,000			
				OREC: Technical Support, RFP3855 Cat2 DMAC..	71,300			
				Real Time Enrgy Management, TWO 8 CEF Co..	397,546			
				REV Campus Challenge, TWO 8 CEF Comm Im..	104,821			
				Rmve Barriers Dist Enrgy Storg, TWO 3 - Solar P..	500,000			
				Solar Plus Energy Storage, TWO 3 - Solar PV/En..	400,000			
				Workforce Industry Partnership, TWO 1 - WFD B..	32,700			
				DNV GL Energy Services US..	STATEWIDE	Statewide	NEW YORK GREEN BANK, Level Solar Assess..	104,340
				Dollaride, Inc.	STATEWIDE	Statewide	Cleantech Ignition, PON4534 NY Climate Progre..	500,000
EVPRZ:Community Partner Funds, Prize plannin..	50,000							
EVPRZ:Planning Grants, Prize planning grant Do..	100,000							
Dowd-Witbeck Printing Corp.	STATEWIDE	Statewide	POLICY DEVELOPMENT, NYS DPS Printing Se..	35,000				
DTN, LLC	STATEWIDE	Statewide	ENERGY ANALYSIS, Purchase 12-month subscr..	23,760				
Dutchess County	STATEWIDE	Statewide	Clean Transportation	75,000				
E4TheFuture Inc.	STATEWIDE	Statewide	Eval MCDC: ccASHP Summer Meter, ccASHP C..	25,000				
EagleHawk One, Inc.	STATEWIDE	Statewide	Cleantech Ignition, NY Climate Progress	500,000				
East Light Partners PBC	STATEWIDE	Statewide	NY-SUN, NY-Sun ICSA	1,499,040				
EC Infosystems, Inc.	STATEWIDE	Statewide	EDI Vendor, EC Infosys - EDI Processing	69,000				
Electric Power Research Instit..	STATEWIDE	Statewide	REC:CES REC System Dev Costs, Transmission..	128,571				
ELP BV1 LLC	STATEWIDE	Statewide	NY Green Bank, East Light Partners - Fund II	5,000,000				
EME Consulting Engineering ..	STATEWIDE	Statewide	Strategic Energy Manager, FT13218 - Rose Hill ..	26,540				
Empire Offshore Wind LLC	STATEWIDE	Statewide	OREC: OSW Solicitations, OSWRFP20-1 Award..	3,800,000,000				
Empire State Development Co..	STATEWIDE	Statewide	OREC: Technical Support, NY Pavilion--IPF 2022	25,000				
Empower Equity Inc	STATEWIDE	Statewide	Talent Pipeline:CE and OJT, Climate Justice Fell..	40,000				
Energetics, Incorporated	STATEWIDE	Statewide	EVPRZ:Implementation, Prize Contractors Solicit..	1,099,941				
Energy and Environmental Economics Inc.	STATEWIDE	Statewide	>200KW PV, TWO#27 CValue&Solar Wht Papers	288,368				
			ENERGY ANALYSIS, TWO 1 - CAC Scoping Plan	297,117				
			ENERGY ANALYSIS, TWO#4 Policy Case Revie..	50,000				
			ENVIRONMENTAL RESEARCH, TWO 1 - CAC ..	198,078				
			ESTOR: Implementation Support, TWO5 Energy ..	399,741				
			Product Standards, E3 TWO#3 RFQL4810	88,000				
			REC:CES REC System Dev Costs, Transmission..	128,571				
			TWO 1 - CAC Scoping Plan	499,931				
Enerxiv Inc.	STATEWIDE	Statewide	Cleantech Ignition, PON4534 NY Climate Progre..	500,000				
Enervee Corporation	STATEWIDE	Statewide	LMI Pilots, Energy and Climate Equity	852,665				
			Market Tests, NY Prize	1,500,001				
Ensava, Inc.	STATEWIDE	Statewide	Technical Services, Agricultural Best Practices	18,357				
Evicient, LLC	STATEWIDE	Statewide	NextGen HVAC, Low cost thermal storage	92,938				
Expert Environmental & Const..	STATEWIDE	Statewide	Home Perf w Energy Star, Repairs Insulation Em..	9,414				
Fotobabble, Inc.	STATEWIDE	Statewide	Combined Heat and Power, Field inspection date..	4,800				
			Low Carbon Tech Demos, Field inspection date c..	6,800				
			Multifam Performance Pgm, Field inspection date..	7,200				
			NYCH: Comfort Home, Field inspection date capt..	1,200				
Frontier Energy, Inc.	STATEWIDE	Statewide	ESTOR: Implementation Support, TWO 2 Cat. 3 ..	400,000				
			NYCH: Critical Tools, Heat Pump Purch Specs	19,910				
General Electric International I..	STATEWIDE	Statewide	GE MAPS Software 2021-2024	436,500				
General Electric International, ..	STATEWIDE	Statewide	REC:CES REC System Dev Costs, Transmission..	128,571				
GEOMETRICS, INC.	STATEWIDE	Statewide	OTHER PROGRAM AREA, Magnetometer Purch..	59,390				

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Statewide	Gladstein, Neandross & Associates, LLC	STATEWIDE	Statewide	EVPRZ:Community Partner Funds, Prize Plannin..	50,000
				EVPRZ:Planning Grants, Prize Planning Grant - ..	100,000
	Green Light New York, Inc.	STATEWIDE	Statewide	Empire Building Challenge, EBC Event Series Su..	25,000
				NYCH: Empire Build Challenge, EBC Event Serie..	25,000
	Guidehouse Inc.	STATEWIDE	Statewide	Code to Zero, NYStretch 2023 Working Group	12,000
				NYCH: LMI, LMI-E Database Support	50,000
				NYCH: LMI, TWO 5	50,000
	Guth Deconzo Consulting Eng..	STATEWIDE	Statewide	Technical Services, IAQ-Higher Education-Guth ..	19,000
	HALO Branded Solutions, Inc.	STATEWIDE	Statewide	POLICY DEVELOPMENT, 2021 NYS Fair Promo..	26,133
				POLICY DEVELOPMENT, 2021 Promotional lte..	33,948
	HEVO Inc.	STATEWIDE	Statewide	Cleantech Ignition, PON4534 NY Climate Progre..	500,000
	Hodgson Russ LLP	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, EmPower Claim ..	2,500
	Holland & Knight LLP	STATEWIDE	Statewide	NEW YORK GREEN BANK, RFP 12 - NYGB Leg..	178,567
				NYSERDA ADMINISTRATION, RFP 12 - NYGB ..	16,589
				OREC: Technical Support, RFP 12 - NYGB Legal..	22,856
	HomeCycle Technologies, Inc.	STATEWIDE	Statewide	REC:CES REC System Dev Costs, RESRFP21-..	49,500
	Honeywell International Inc.	STATEWIDE	Statewide	NYCH: Comfort Home, Technical Assurance	15,000
	Housing Trust Fund Corporati..	STATEWIDE	Statewide	New Construction Housing, HCR 2021	7,500,000
	HPDC Energy LLC	STATEWIDE	Statewide	NEW YORK GREEN BANK, NYGB DAC Stakeh..	35,000
	Huddl Mobility Limited	STATEWIDE	Statewide	Pub Transit & Elect Rail, CitySwift MTA Pilot	50,000
	ICF Incorporated LLC	STATEWIDE	Statewide	EVPRZ:Community Partner Funds, Prize plannin..	50,000
				EVPRZ:Planning Grants, Prize planning grant - I..	100,000
	ICF Resources, LLC	STATEWIDE	Statewide	ENERGY ANALYSIS, TWO#9 NYS Elect System..	60,000
				Mkt Char: Tech Assist, TWO #4 - Statewide NG ..	116,043
				NYCH: District, PON 4614 Round #2 Identify Ops	213,300
	IHS Global Inc.	STATEWIDE	Statewide	>200KW PV, IHS Markit Global Sarl – North	21,667
				CI Engy Siting & Soft Cost Red, IHS Markit Globa..	21,667
				ENERGY ANALYSIS, IHS Markit Subscription 20..	60,506
				NYSERDA ADMINISTRATION, IHS Markit Globa..	21,667
	Illume Advising LLC	STATEWIDE	Statewide	Eval MCDC:Climate Act Benefits, TWO #2 - DAC..	452,350
				Low-Income Forum on Energy, Energy and Clim..	50,000
	Indeed Inc.	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Social Media Job..	60,000
	Industrial Economics, Incorpor..	STATEWIDE	Statewide	Eval MCDC: MD&IR Case Studies, TWO 3 - Cas..	385,016
	Innoenergy USA, LLC	STATEWIDE	Statewide	EVPRZ:Community Partner Funds, Prize Plan Gr..	50,000
				EVPRZ:Planning Grants, Prize Plan Grnt - Innoe..	100,000
	Institute for Building Technolo..	STATEWIDE	Statewide	NY-SUN, TWO 4 NYSUN Res NonRes	702,568
	Integral Building & Design, Inc.	STATEWIDE	Statewide	Code to Zero, TWO #1	17,000
	International Energy Program	STATEWIDE	Statewide	EVALUATION, IEPEC Jan 2022 Sponsorship	5,000
	Jaros, Baum & Bolles	STATEWIDE	Statewide	Cleantech POCC, Support Empire Tech Prize	355,000
				Empire Building Challenge, Support Empire Tech..	100,000
	Jasmine Graham	STATEWIDE	Statewide	Code to Zero, NYStretch 2023 Working Groups	12,000
	John Siegenthaler	STATEWIDE	Statewide	NYCH: Critical Tools, AWHP Technical & Econo..	50,000
	Karp Strategies, LLC	STATEWIDE	Statewide	OREC: Technical Support, Secondment for OSW..	489,384
				REC4:CES REC4 Tech Support, Stakeholder En..	438,000
	Karpman Consulting, LLC	STATEWIDE	Statewide	Code to Zero, TWO #1	22,000
	Kearns & West, Inc.	STATEWIDE	Statewide	Energy Storage Tech/Prod Dev, TWO 7 - H2 pub..	60,205
				Environmental Research, K&W TWO#11 Hudson..	49,999
OREC: Technical Support, TWO #9 ORECRFP2..				50,000	
OREC: Technical Support, TWO #10 ORECRFP..				50,000	
Kelliher Samets LTD	STATEWIDE	Statewide	Clean Energy Communities, TWO 29 Global Paid..	4,324	
			Clean Energy Hub, TWO44: Clean Energy Hubs ..	37,540	
			Consumer Ed and Market Support, TWO#45 SFR	500,000	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount			
Statewide	Kelliher Samets LTD	STATEWIDE	Statewide	GJGNY Market Rate Audits, TWO#45 SFR	17,500			
				Home Perf w Energy Star, TWO#45 SFR	70,000			
				KSV TWO 41 Loan Loss Reserve	149,890			
				KSV TWO 42 IPNA Bridge Loan	149,760			
				LMI Marketing, KSV TWO 32 LMI Website Hub	540,950			
				New Construction Housing, TWO 28 Carbon Neu..	465,200			
				NYCH: Comfort Home, TWO#45 SFR	300,000			
				NYCH: District, TWO40:Community Heat Pumps ..	120,000			
				NYCH: Technical Assistance, TWO#45 SFR	82,500			
				Pay for Performance, TWO#45 SFR	250,000			
				Kinetic Communities Consulti..	STATEWIDE	Statewide	NYCH: Communities, KC3 Queens Community C..	350,000
				Krueger Transport LLC	STATEWIDE	Statewide	EVPRZ:Community Partner Funds, Prize Plannin..	50,000
							EVPRZ:Planning Grants, Prize Planning Grant - ..	100,000
				L&S Energy Services, Inc.	STATEWIDE	Statewide	Clean Energy Communities, L&S GJGNY Energy..	249,460
							Code to Zero, TWO #1	17,000
Direct Injection Program, HCR Minibid TWO #1	50,000							
New Construction Housing, HCR Minibid TWO #1	100,000							
Technical Services, Tech Review - OsEM	100,000							
LaGuardia Community Colleg..	STATEWIDE	Statewide	Talent Pipeline:OSW Training, OWTI Workforce ..	299,623				
Levitan & Associates, Inc.	STATEWIDE	Statewide	>200KW PV, TWO 2 CES Solicitation Support	300,000				
			OREC: Technical Support, TWO#3 ORECRFP22..	831,000				
			REC:CES REC System Dev Costs, Transmission..	128,574				
			TWO 1 Future of Solar White Pp	75,000				
Liberty Utilities St Lawrence G..	STATEWIDE	Statewide	Energy Storage Tech/Prod Dev, Hydrogen Feasi..	49,000				
LinkedIn	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Social Media Job..	108,000				
Local Initiatives Support Corporation	STATEWIDE	Statewide	EVPRZ:Community Partner Funds, Prize Plannin..	50,000				
			EVPRZ:Planning Grants, Prize Planning Grant - ..	100,000				
Loeb & Loeb LLP	STATEWIDE	Statewide	NEW YORK GREEN BANK, RFP 12 - NYGB Leg..	16,997				
Mack Trucks, Inc.	STATEWIDE	Statewide	EVPRZ:Community Partner Funds, Prize Plannin..	50,000				
			EVPRZ:Planning Grants, Prize Planning Grant - ..	100,000				
Main Street Farms LLC	STATEWIDE	Statewide	Net Zero Energy for Eco Dev, New Construction ..	410,590				
Mark MaGrann Associates	STATEWIDE	Statewide	NextGen HVAC, Downstate gas fired heat pump	129,798				
Mason Tillman Associates, LTD	STATEWIDE	Statewide	OREC: Technical Support, MWBE Disparity Study	42,225				
Matthew C Desmarais	STATEWIDE	Statewide	NYCH: Innovation, Double Hybrid Demonstrations	50,000				
McMahon and Mann Consulti..	STATEWIDE	Statewide	WEST VALLEY DEVELOPMENT PROGRAM, T..	20,045				
Metro IAF	STATEWIDE	Statewide	IMS Metro IAF TWO - Anchor Ins	500,000				
Micro Nano Technologies	STATEWIDE	Statewide	NYCH: Innovation, New Gen Ultra-Efficient AC	716,968				
MicroEra Power, Inc.	STATEWIDE	Statewide	NYCH: Innovation, Multi-mode TES & Commerci..	280,000				
Mintz, Levin, Cohn, Ferris, Glo..	STATEWIDE	Statewide	Cleantech Ignition, RFP 12 - NYGB Legal Servic..	72,112				
National Home Performance Council	STATEWIDE	Statewide	Code to Zero, 2022 Home Performance Conf	10,000				
			Consumer Ed and Market Support, 2022 Home P..	30,000				
			NYCH: Critical Tools, 2022 Home Performance C..	10,000				
National Renewable Energy L..	STATEWIDE	Statewide	Novel Bus Models & Offers, NREL Industry Grow..	25,000				
National Wind Technology Consortium, Inc	STATEWIDE	Statewide	Nat'l OffShWind R&D Consortium, NOWRDC-10..	549,150				
			Nat'l OffShWind R&D Consortium, NOWRDC-10..	375,000				
			Nat'l OffShWind R&D Consortium, NOWRDC-11..	121,430				
			Nat'l OffShWind R&D Consortium, NOWRDC-11..	128,595				
			Nat'l OffShWind R&D Consortium, NOWRDC-11..	399,865				
			Nat'l OffShWind R&D Consortium, NOWRDC-11..	400,000				
			Nat'l OffShWind R&D Consortium, NOWRDC-11..	149,988				
			Nat'l OffShWind R&D Consortium, NOWRDC-11..	150,000				
			Nat'l OffShWind R&D Consortium, NOWRDC-12..	273,977				

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Statewide	National Wind Technology Consortium, Inc	STATEWIDE	Statewide	Nat'l OffShWind R&D Consortium, NOWRDC-12..	232,500
				NOWRDC-105-ESTECO	549,150
				NOWRDC-108-PNNL	375,000
				NOWRDC-112-Cable	121,430
				NOWRDC-113-Worley	128,595
				NOWRDC-114-Cornell	399,865
				NOWRDC-116-Keystone	400,000
				NOWRDC-117-DEME	149,988
				NOWRDC-119-ESTEYCO	150,000
				NOWRDC-121-ULC Robotics	273,977
NOWRDC-122-GE Renewable	232,500				
NESCAUM	STATEWIDE	Statewide	ENVIRONMENTAL RESEARCH, TWO #11 Woo..	300,000	
			ENVIRONMENTAL RESEARCH, TWO#12 Side..	185,000	
			ENVIRONMENTAL RESEARCH, TWO#14 Acce..	515,000	
			RENEWABLE HEAT NY, TWO #13 RHNY Asses..	155,000	
New Buildings Institute, Inc.	STATEWIDE	Statewide	K-12 SCHOOLS, NBI - Getting to Zero Workshop	10,000	
			New Construction Housing, CNB Roadmap Writi..	112,500	
			New Construction- Commercial, CNB Roadmap ..	112,500	
New Ecology, Inc.	STATEWIDE	Statewide	Code to Zero, NYStretch 2023 Working Groups	10,000	
New Energy Nexus New York ..	STATEWIDE	Statewide	Cleantech POCC, Cleantech Accelerator	375,000	
New York Geothermal Energy..	STATEWIDE	Statewide	NYCH: Critical Tools, Geothermal Performance A..	45,000	
New York Power Authority,	STATEWIDE	Statewide	NYCHA Building Decarbonization	12,950,000	
New York Solar Energy Indust..	STATEWIDE	Statewide	>200KW PV, NYSEIA Sponsorship	10,000	
New York State Ag & Markets	STATEWIDE	Statewide	POLICY DEVELOPMENT, 2021 DPS NYS Fair E..	10,329	
Newport Ventures, Inc.	STATEWIDE	Statewide	Code to Zero, TWO #6 NYStretch Zero Energy	281,545	
NextCorps Inc	STATEWIDE	Statewide	M-Corps, ACT Prototypes to Mass Prod NY	1,110,466	
Niagara Mohawk Power Corp..	STATEWIDE	Statewide	Pay for Performance, National Grid P4P MOU	7,068,534	
Nixon Peabody LLP	STATEWIDE	Statewide	NEW YORK GREEN BANK, RFP 12 - NYGB Leg..	1,714	
			RFP 12 - NYGB Legal Services	71,564	
Noresco LLC	STATEWIDE	Statewide	Code to Zero, Third-party E-Code Support	91,722	
			Code to Zero, TWO #4	108,632	
Normandeau Associates, Inc.	STATEWIDE	Statewide	Environmental Research, Digital Aerial Baseline ..	124,255	
Northeast Energy Efficiency P..	STATEWIDE	Statewide	NYCH: Critical Tools, Heat Pump Rating	50,000	
Northeast Green Building Consulting, LLC	STATEWIDE	Statewide	Code to Zero, TWO #1	22,000	
			Code to Zero, TWO #2	99,300	
Northeast Organic Farming As..	STATEWIDE	Statewide	New Construction- Commercial, Industry Partner ..	35,000	
Norton Rose Fulbright US LLP	STATEWIDE	Statewide	NEW YORK GREEN BANK, RFP 12: NYGB Leg..	22,852	
NY USLE Carthage SR26 A L..	STATEWIDE	Statewide	NY-SUN, NY-Sun ICSA	749,939	
NY USLE Carthage SR26 B L..	STATEWIDE	Statewide	NY-SUN, NY-Sun ICSA	494,971	
NYC & Lower Hudson Valley ..	STATEWIDE	Statewide	CLEAN TRANSPORTATION, NYTVIP Outreach ..	30,000	
NYC School Bus Umbrella Se..	STATEWIDE	Statewide	EVPRZ:Planning Grants, RFP 4745	100,000	
Oakvale Construction Co. Ltd.	STATEWIDE	Statewide	REC:CES REC Contracts, Black Brook Hydro _M..	125,331	
Office of the Brooklyn Borough President	STATEWIDE	Statewide	Community RH&C, Cap Dist Heat & Cool Smart ..	125,000	
			Community RH&C, CH&C Campaign Brooklyn 3..	100,000	
ONE ARCHITECTURE AND ..	STATEWIDE	Statewide	NYCH: District, ATES Market Potential Study	246,930	
Opinion Dynamics Corporation	STATEWIDE	Statewide	EVPRZ:Implementation, MEL Contractor for Priz..	3,979,622	
Orange and Rockland Utilities,..	STATEWIDE	Statewide	High Performing Grid, O&R Distribution System	2,236,988	
Orenda Inc	STATEWIDE	Statewide	Cleantech Ignition, PON4534 NY Climate Progre..	500,000	
Orrick Herrington & Sutcliffe LLP	STATEWIDE	Statewide	Cleantech Ignition, RFP 12: NYGB Legal Services	111,975	
			NEW YORK GREEN BANK, RFP 12: NYGB Leg..	23,947	
Ove Arup & Partners Consulting Engineers	STATEWIDE	Statewide	Environmental Research, TWO 5 Elect. Resilience	300,000	
			New Construction- Commercial, TWO #6CN Poli..	50,000	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Statewide	Ove Arup & Partners Consulting Engineers	STATEWIDE	Statewide	Pub Transit & Elect Rail, TWO 4 Traction Power ..	410,693
	Owahgena Consulting, Inc.	STATEWIDE	Statewide	Air Source Heat Pumps, Heat Pump Technical A..	30,000
				Geothermal Incentive Program, Heat Pump Tech..	25,000
				NYCH: Critical Tools, Heat Pump Technical Assi..	188,587
	Oya Solar CDG2 LLC; Oya So..	STATEWIDE	Statewide	NY Green Bank, OYA Solar Construction-to-Term	54,000,000
	Pace University	STATEWIDE	Statewide	Environmental Research, ATWG Tech Services	50,000
	Passive House Institute US	STATEWIDE	Statewide	New Construction Housing, Strategic Industry Pa..	20,000
				New Construction- Commercial, Strategic Industr..	10,000
				Single Family New Construction, Strategic Indust..	20,000
	Paul A. Bradbury	STATEWIDE	Statewide	POLICY DEVELOPMENT, 2021 NYS Fair Promo..	12,841
	Penn Power Group LLC	STATEWIDE	Statewide	BR: Program Implementation, Commercial Excell..	45,000
	Performance Systems Develo..	STATEWIDE	Statewide	Code to Zero, TWO #1	12,000
	PitchBook Data, Inc.	STATEWIDE	Statewide	OTHER PROGRAM AREA, One Year Subscripti..	25,000
	Pivotal 180, LLC	STATEWIDE	Statewide	NEW YORK GREEN BANK, FinOps Financial M..	5,000
				NEW YORK GREEN BANK, NYGB New Hire Co..	30,000
	Plugin Stations Online, LLC	STATEWIDE	Statewide	Electric Vehicles - Innovation, EVSE at schools d..	150,001
	Popli, Architecture + Engineeri..	STATEWIDE	Statewide	Code to Zero, TWO #1	17,000
	Power Advisory LLC	STATEWIDE	Statewide	REC:CES REC System Dev Costs, Inform LSR E..	24,000
	Power to Hydrogen LLC	STATEWIDE	Statewide	Energy Storage Tech/Prod Dev, PON4169 Roun..	100,000
	PowerGEM, LLC	STATEWIDE	Statewide	REC:CES REC System Dev Costs, Transmission..	128,571
	ProsumerGrid, Inc	STATEWIDE	Statewide	High Performing Grid, Integrated EV & DER Fore..	1,346,470
	Protek Information Technolog..	STATEWIDE	Statewide	NYSERDA/DEC AQ Monitoring	7,949,375
	Public Utility Law Project of N..	STATEWIDE	Statewide	SFY 20-21 PULP Appropriation	900,000
	Quanta Technology LLC	STATEWIDE	Statewide	REC:CES REC System Dev Costs, Transmission..	128,571
	Radiator Labs Inc.	STATEWIDE	Statewide	Cleantech Ignition, PON4534 NY Climate Progre..	500,000
	Radix Ecological Sustainabilit..	STATEWIDE	Statewide	Talent Pipeline:CE and OJT, Climate Justice Fell..	40,000
	Randstad North America, Inc.	STATEWIDE	Statewide	Code to Zero, Payroll Services_CPS	12,600
	RCAM Technologies, Inc.	STATEWIDE	Statewide	Energy Storage Tech/Prod Dev, PON4169 Roun..	1,220,000
	RE-Nuble, Inc.	STATEWIDE	Statewide	Cleantech Ignition, NY Climate Progress R2	500,000
	Reed Midem SAS	STATEWIDE	Statewide	RTEM and Tenants, 2021 Propel NYC Conf	10,000
	Renewable Energy Shared As..	STATEWIDE	Statewide	NYESD: OREC Complete Guarantee, ESD Agre..	40,000,000
	Rensselaer Polytechnic Institu..	STATEWIDE	Statewide	NYCH: Innovation, RPI 3D Printed Insulation Asse	50,000
	Reos US Inc.	STATEWIDE	Statewide	Commercial Real Estate Ten, Playbook Planning ..	50,000
	Research Foundation of CUNY	STATEWIDE	Statewide	Environmental Research, AQHE PON 3921	45,000
				Rmve Barriers Dist Enrgy Storg, RFP 3407 TWO 3	392,784
	Resource Refocus LLC	STATEWIDE	Statewide	Code to Zero, TWO 1	12,000
				Code to Zero, TWO 2 NYStretch Res CE	41,782
	Resource Systems Group, Inc.	STATEWIDE	Statewide	CLEAN TRANSPORTATION, Modeling support f..	1,608
	Responsible Offshore Develo..	STATEWIDE	Statewide	Environmental Research, ENV & Fisheries Rsrch..	25,000
	Revel Transit, Inc.	STATEWIDE	Statewide	EVPRZ:Community Partner Funds, Prize plannin..	50,000
				EVPRZ:Planning Grants, Prize planning grant - R..	100,000
	River Architects, PLLC	STATEWIDE	Statewide	New Construction- Commercial, New Construction	250,000
	Robert Ettinger PE, PC	STATEWIDE	Statewide	New Construction Housing, HCR Minibid TWO #1	75,000
Roccera, LLC	STATEWIDE	Statewide	Energy Storage Tech/Prod Dev, PON4169 Roun..	100,000	
Rochester People's Climate C..	STATEWIDE	Statewide	Talent Pipeline:CE and OJT, Climate Justice Fell..	40,000	
Rocky Mountain Institute	STATEWIDE	Statewide	New Construction Housing, TWO6-HCREnergy..	50,000	
RTH Realty Holdings LLC	STATEWIDE	Statewide	Net Zero Energy for Eco Dev, New Construction ..	1,331,957	
Rudin Management Co. Inc.	STATEWIDE	Statewide	Empire Building Challenge, EBC TA - Rudin	125,000	
			NYCH: Empire Build Challenge, EBC TA - Rudin	125,000	
Rural Housing Coalition of Ne..	STATEWIDE	Statewide	Workforce Industry Partnership, PON 3715 (R8) ..	95,372	
SBMT Asset LLC	STATEWIDE	Statewide	NYESD: OREC Complete Guarantee, Grant Agre..	60,000,000	
Sealed New York I, LLC	STATEWIDE	Statewide	NY Green Bank, Sealed \$10.00 MM upsize	10,000,000	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Statewide	SecondMuse LLC	STATEWIDE	Statewide	M-Corps, MCorps Pilot in NYC	1,103,834
	Sense Labs, Inc.	STATEWIDE	Statewide	NYCH: Technical Assistance, Single Family Resi..	197,600
	Shared Mobility, Inc.	STATEWIDE	Statewide	Talent Pipeline:CE and OJT, Climate Justice Fell..	40,000
	Siemens Industry, Inc.	STATEWIDE	Statewide	High Performing Grid, Load forecasting & impact ..	741,000
				REC4:CES REC4 Tech Support, TWO#3 ZERO ..	141,000
				REC:CES REC System Dev Costs, Transmission..	128,571
	Sive Paget & Riesel PC	STATEWIDE	Statewide	NEW YORK GREEN BANK, RFP 12: NYGB Leg..	49,624
				REC4:CES REC4 Tech Support, Tier 4 Outside ..	325,000
				RFP 12: NYGB Legal Services	4,935
				WEST VALLEY DEVELOPMENT PROGRAM, T..	15,000
	SkyFront Corporation	STATEWIDE	Statewide	OTHER PROGRAM AREA, RPAS procurement	105,980
	Solar Tompkins Inc.	STATEWIDE	Statewide	Community RH&C, CH&C Communities Round 3	25,000
	Solitude Solar LLC	STATEWIDE	Statewide	NY-SUN, NY-Sun ICSA	1,501,500
	Soulful Synergy, LLC	STATEWIDE	Statewide	Talent Pipeline:CE and OJT, Climate Justice Fell..	80,000
	St. Nicks Alliance	STATEWIDE	Statewide	NYCH: Talent Ppln:CE and OJT, Career Pathwa..	504,466
	Stantec Consulting Services, I..	STATEWIDE	Statewide	WEST VALLEY DEVELOPMENT PROGRAM, W..	591,762
	Steven Winter Associates, Inc.	STATEWIDE	Statewide	Code to Zero, NYStretch 2023 Working Group	15,000
				Code to Zero, TWO #5 ANSI IECC NYStretch2023	250,000
				Housing Agencies Support, Multifamily	69,474
				NYCH: Critical Tools, TWO 3 - Heat Pump Patter..	100,000
	Sunrun Inc	STATEWIDE	Statewide	NY Green Bank, Sunrun Working Capital Facility	15,000,000
	SUNX, LLC	STATEWIDE	Statewide	NY Green Bank, SUNX IX Loan Upsize 1	2,200,000
	SUNY - ESF	STATEWIDE	Statewide	Environmental Research, Biofiltration drainage m..	49,986
	SUNY Binghamton	STATEWIDE	Statewide	Net Zero Energy for Eco Dev, Net Zero Economi..	5,000,000
	SUNY Buffalo	STATEWIDE	Statewide	Safe Deployment of Automated V	200,000
	Sustainable Comfort, Inc	STATEWIDE	Statewide	Direct Injection Program, HCR Minibid TWO #1	25,000
				New Construction Housing, HCR Minibid TWO #1	50,000
	Sustainable Investment Group	STATEWIDE	Statewide	Workforce Industry Partnership, PON 3715 (R7) ..	373,025
	Sustainable Westchester	STATEWIDE	Statewide	EVPRZ:Community Partner Funds, Prize Plannin..	50,000
				EVPRZ:Planning Grants, Prize Planning Grant S..	100,000
				Talent Pipeline:CE and OJT, Climate Justice Fell..	40,000
	Tadcon Electric LLC	STATEWIDE	Statewide	NY-SUN, NY-Sun ICSA	1,499,940
	Taitem Engineering, P.C.	STATEWIDE	Statewide	Code to Zero, TWO #1	17,000
				Direct Injection Program, HCR Minibid TWO #10	30,000
				Direct Injection Program, NYSERDA/HPD Electrifi..	1,100,000
				Multifam Performance Pgm, Multifamily	500,000
				New Construction Housing, External Targeted Su..	20,000
				New Construction Housing, HCR Minibid TWO #..	70,000
				New Construction Housing, M&V - Arthaus	32,571
				New Construction- Commercial, External Targete..	10,000
				Single Family New Construction, External Target..	20,000
				Terri Hartwell Easter Consulti..	STATEWIDE
TFR Transit Inc	STATEWIDE	Statewide	Prize Planning Grant - Circuit	150,000	
The Cadmus Group, LLC	STATEWIDE	Statewide	Code to Zero, RFQ3183 Umbrella Agreement	200,612	
			ENERGY ANALYSIS, TWO #10 Climate Facilitati..	319,400	
			Eval MCDC: LMI Insights&Impact, 4162 TWO 1: ..	850,939	
			High Performing Grid, Resilience Integration Anc..	774,985	
			Home Perf w Energy Star, Energy and Climate E..	191,350	
			On-Site Energy Manager, RFQ3183 Umbrella Ag..	22,500	
			OREC: Technical Support, RFP 3462 Umbrella A..	365,000	
			Strategic Energy Manager, RFQ3183 Umbrella A..	22,500	
			The HOPE Program, Inc.	STATEWIDE	Statewide

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Statewide	The Real Estate Board of New..	STATEWIDE	Statewide	Real Time Enrgy Management, PropTech Challe..	35,000
	The Research Foundation for the State	STATEWIDE	Statewide	New Construction Housing, 2022 NYS Green Bui..	4,000
				New Construction- Commercial, 2022 NYS Gree..	2,000
	The Trustees of Columbia Uni..	STATEWIDE	Statewide	Cleantech EIR, PON 3819	105,000
	Thomas Eisele	STATEWIDE	Statewide	Code to Zero, NYStretch 2023 Working Groups	27,000
	Throop Corners Community L..	STATEWIDE	Statewide	NY Green Bank, Riseboro Broadway Triangle: Sit..	2,600,000
	Tompkins Consolidated Area Transit	STATEWIDE	Statewide	EVPRZ:Community Partner Funds, Prize Plannin..	50,000
				EVPRZ:Planning Grants, Prize Planning Grant - ..	100,000
	Town of Greenburgh	STATEWIDE	Statewide	Clean Energy Communities, CEC LR – Town of ..	15,000
	Town of Ossining	STATEWIDE	Statewide	NYCH: Communities, Cedar Lane Arts Center 4	30,000
	Town of Saugerties	STATEWIDE	Statewide	Clean Energy Communities, CEC500701 - Town ..	10,000
	Transportation Alternatives, Inc.	STATEWIDE	Statewide	EVPRZ:Community Partner Funds, Prize Plannin..	50,000
				EVPRZ:Planning Grants, Prize Planning Grant - ..	100,000
	TRC Energy Services	STATEWIDE	Statewide	K-12 SCHOOLS, RFP3628FlexTechConsultUmb..	813,500
				NYCH: Comfort Home, Comfort Home Implement..	488,599
				NYCH: Critical Tools, CHC Data Analysis TWO - ..	49,500
				NYCH: Technical Assistance, RFP3628FlexTech..	45,000
	United Solar Energy Supporte..	STATEWIDE	Statewide	CI Enrgy Siting & Soft Cost Red, USES Video - M..	40,500
	University at Albany	STATEWIDE	Statewide	Net Zero Energy for Eco Dev, Net Zero Economi..	2,000,000
	University of Rochester	STATEWIDE	Statewide	Environmental Research, Changes in PM Compo..	133,370
	Urban Electric Power, Inc.	STATEWIDE	Statewide	Cleantech Ignition, NYCP Urban Electric	500,000
	Urban Green Council	STATEWIDE	Statewide	Code to Zero, RFQL 3711 TWO#2	104,305
				New Construction Housing, Gen. Marketing & Ou..	40,000
				New Construction- Commercial, Gen. Marketing ..	10,000
	Vermont Energy Investment Corporation	STATEWIDE	Statewide	NYCH: Innovation, Advanced Market Tools for R..	171,500
				NYCH: LMI, TWO #1 LMI Electrification	45,000
	Via Transportation, Inc.	STATEWIDE	Statewide	EVPRZ:Community Partner Funds, Prize Plannin..	50,000
				EVPRZ:Planning Grants, Prize Planning Grant - ..	100,000
	Vidaris, Inc.	STATEWIDE	Statewide	Code to Zero, NYStretch 2023 Working Groups	10,000
	Village of Irvington	STATEWIDE	Statewide	Clean Energy Communities, EV for Bld Dept	10,000
	Vornado Office Management LP	STATEWIDE	Statewide	Empire Building Challenge, EBC-Phase I-Vornado	125,000
				NYCH: Empire Build Challenge, EBC-Phase I-Vo..	125,000
	We are the New Farmers Inc.	STATEWIDE	Statewide	Talent Pipeline:CE and OJT, Climate Justice Fell..	40,000
	Wendel Energy Services, LLC	STATEWIDE	Statewide	K-12 SCHOOLS, RFP3628FlexTechConsultUmb..	1,135,200
				NYCH: Technical Assistance, RFP3628FlexTech..	90,000
	West Harlem Environmental A..	STATEWIDE	Statewide	Low-Income Forum on Energy, Sponsor of WE A..	15,000
	Willdan Energy Solutions	STATEWIDE	Statewide	Commercial Real Estate Ten, Advanced Efficienc..	200,000
	Windels Marx Lane & Mittend..	STATEWIDE	Statewide	NEW YORK GREEN BANK, RFP 12 - NYGB Leg..	32,103
	Wood Mackenzie Inc	STATEWIDE	Statewide	NY-SUN, Wood Mackenzie Subscriptions	29,000
				REC:CES REC System Dev Costs, Wood Macke..	85,000
	Wood Mackenzie Power & Renewables, Inc.	STATEWIDE	Statewide	NY-SUN, Wood Mackenzie Subscriptions	29,000
REC:CES REC System Dev Costs, Wood Macke..				85,000	
Worley Group, Inc.	STATEWIDE	Statewide	OREC: Technical Support, Determination Study ..	181,400	
			OREC: Technical Support, TWO#1 Advisian GL ..	23,952	
WSP USA Corp.	STATEWIDE	Statewide	Clean Energy Communities, TA Community Sup..	1,018,182	
			Environmental Research, Suppt Svcs for Solar D..	274,295	
Xerox Corp	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Facilities Manag..	67,200	
Total				8,289,866,463	
Western New York	Abundant Solar Power Inc.	Chautauqua	National Grid	NY-SUN, NY-Sun - ICSEA	125,705
	Association for Energy Affordability, In	Erie	National Grid	Technical Services, FT14072 - 5 Main - FTC	11,200
		Niagara	National Grid	Technical Services, FT14071 - 901 Cedar - FTC	16,875
			NYS Electric and Gas	Technical Services, FT14073 - 77 Main - FTC	13,544

Projects Selected for Funding by Region
Period 10/1/2021 through 3/31/2022

REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount	
Western New York	Brenda J. Sayers	Cattaraugus	National Grid	WEST VALLEY DEVELOPMENT PROGRAM, Ja..	62,880	
	Buffalo Neighborhood Stabilization Co	Erie	National Grid	Buildings of Excellence, BoE Rnd. 2 - West Side ..	308,227	
				New Construction Housing, NCP Housing	124,000	
	Buffalo Solar Solutions Inc	Allegany	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	69,552	
				Rochester Gas and El..	<200KW PV, PON 2112 NY SUN	6,800
		Cattaraugus	NYS Electric and Gas	National Grid	<200KW PV, PON 2112 NY SUN	22,003
				NYS Electric and Gas	<200KW PV, NY-Sun	7,735
		Chautauqua	National Grid	<200KW PV, PON 2112 NY SUN	28,807	
		Erie	NYS Electric and Gas	National Grid	<200KW PV, PON 2112 NY SUN	31,867
				NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	22,750
		Niagara	National Grid	<200KW PV, PON 2112 NY SUN	5,525	
	C.J. Brown Energy, P.C.	Chautauqua	National Grid	Technical Services, FT13756 - 28-48 Water - FTC	7,148	
		Erie	National Grid	Technical Services, FT13754 - Bryant Place - FTC	7,092	
				Technical Services, FT13758 - 150 Myrtle - FTC	7,092	
				Technical Services, FT13895 - 111 Porter - FTC	7,540	
		Niagara	National Grid	Technical Services, FT13757 - 282 Schenck - FTC	6,986	
				Technical Services, FT14034 - Joseph S Presti - ..	9,224	
	NYS Electric and Gas	Technical Services, FT13751 - 295-321 Beattie - ..	7,442			
	C&R Housing Inc.	Erie	National Grid	OJT	20,160	
	CDS Monarch Inc	Cattaraugus	National Grid	New Construction Housing, 2019 LRNCP	46,000	
	CIR ELECTRICAL CONSTRUCTION CORP.	Cattaraugus	NYS Electric and Gas	National Grid	<200KW PV, PON 2112 NY SUN	5,400
				NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,040
		Chautauqua	NYS Electric and Gas	National Grid	<200KW PV, PON 2112 NY SUN	25,165
				NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	7,380
		Erie	NYS Electric and Gas	National Grid	<200KW PV, NY-Sun	7,488
				National Grid	<200KW PV, PON 2112 NY SUN	68,312
				NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	62,890
		Niagara	National Grid	<200KW PV, PON 2112 NY SUN	21,681	
	CleanFiber LLC	Erie	National Grid	OJT	11,520	
				Talent Pipeline:CE and OJT, OJT	5,600	
	Cuba Rushford Central School	Allegany	National Grid	K-12 SCHOOLS, P12GC-19D - Cuba ESESA - P..	237,090	
				K-12 SCHOOLS, P12GC-66_D Cuba MSHSBG -..	199,350	
	Dailey Electric Inc	Erie	National Grid	NYCH: Talent Ppln:CE and OJT, OJT	7,680	
	Dimension Energy LLC	Chautauqua	National Grid	NY-SUN, NY-Sun ICSA	2,200,800	
	East Morris Avenue Acquisitions GP	Erie	National Grid	Low Carbon Tech Demos, MF Low Carbon Path..	391,500	
				Technical Services, FT14036 - Morris Manor - P..	10,000	
	Elk Street Solar LLC	Erie	National Grid	NY-SUN, NY-Sun - ICSA	224,683	
	Erie Road Acquisitions GP LLC	Erie	National Grid	Low Carbon Tech Demos, MF Low Carbon Path..	883,300	
				Technical Services, FT14048 - 7008 Erie - PON	12,488	
	Go Solar, LLC	Erie	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	13,770	
	GSPP 4474 Lower Birch Run ..	Cattaraugus	National Grid	NY-SUN, NY Sun - ICSA	227,354	
	LH Niagara Towers LLC	Niagara	National Grid	Multifam Performance Pgm, Multifamily	140,000	
	LH Tonawanda Towers LLC	Erie	National Grid	Multifam Performance Pgm, Multifamily	70,000	
LH Urban Park Towers LLC	Niagara	NYS Electric and Gas	Multifam Performance Pgm, Multifamily	105,000		
Machias PV, LLC	Cattaraugus	National Grid	NY-SUN, NY-Sun - ICSA	222,768		
New Flyer of America, Inc.	Erie	National Grid	CLEAN TRANSPORTATION, NYTVIP - NFTA	3,850,000		
New York Bus Sales LLC	Erie	National Grid	CLEAN TRANSPORTATION, NYTVIP - Evans-B..	200,000		
Norstar Development USA, LP	Erie	National Grid	NYCH: Technical Assistance, FT13944 - Ellicott ..	9,950		
NYS Office of Parks, Recreati..	Niagara	National Grid	<200KW PV, PON 2112 NY SUN	100,389		
Oak-Michiagn Housing Develo..	Erie	National Grid	Multifam Performance Pgm, Multifamily	94,500		
OYA Independence East LLC	Allegany	National Grid	NY-SUN, NY-Sun - ICSA	299,936		
OYA Independence North LLC	Allegany	National Grid	NY-SUN, NY-Sun - ICSA	266,240		

Projects Selected for Funding by Region
Period 10/1/2021 through 3/31/2022

REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount	
Western New York	OYA INDEPENDENCE ROAD..	Allegany	National Grid	NY-SUN, NY-Sun - ICESA	298,927	
	OYA Ruhlmann A LLC	Niagara	NYS Electric and Gas	NY-SUN, NY-Sun - ICESA	299,936	
	People United for Sustainable ..	Erie	National Grid	CLEANER GREENER COMMUNITIES, CEEP W..	73,845	
	PlugPV, LLC	Niagara	National Grid	<200KW PV, PON 2112 NY SUN	6,000	
	Ryan Homes (Virginia)	Erie	NYS Electric and Gas	Single Family New Construction, NCP Housing	11,400	
	SANFILIPPO SOLUTIONS INC.	Chautauqua	Municipal Utilities	Talent Pipeline:CE and OJT, OJT	11,520	
			National Grid	OJT	5,760	
			Talent Pipeline:CE and OJT, OJT	7,040		
	Sigora Solar	Chautauqua	National Grid	<200KW PV, PON 2112 NY SUN	8,200	
		Erie	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	8,760	
		Niagara	National Grid	<200KW PV, PON 2112 NY SUN	10,795	
	Solar Liberty Energy Systems, Inc	Allegany	National Grid	<200KW PV, PON 2112 NY SUN	8,127	
			National Grid	<200KW PV, PON 2112 NY SUN	19,200	
		Chautauqua	Municipal Utilities	<200KW PV, NY-Sun	27,265	
			National Grid	<200KW PV, NY-Sun	5,184	
		Erie	National Grid	<200KW PV, PON 2112 NY SUN	15,180	
				<200KW PV, NY-Sun	9,408	
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	44,985	
				>200KW PV, NY Sun	779,328	
		Niagara	National Grid	<200KW PV, NY-Sun	6,912	
			National Grid	<200KW PV, PON 2112 NY SUN	8,568	
	State University Construction Fund	Allegany	NYS Electric and Gas	Technical Services, FT13839 - SUNY Alfred - FTC	110,379	
			NYS Electric and Gas	Technical Services, FT13840 - SUNY Ceramics -..	46,306	
		Chautauqua	National Grid	Technical Services, FT13831 - SUNY Fredonia - ..	238,771	
		Erie	National Grid	NYCH: Technical Assistance, FT13829 - SUNY ..	227,352	
	Stuart Alexander and Associates	Erie	National Grid	New Construction Housing, 2019 LRNCP	98,800	
				New Construction Housing, 2020 LRCNP	96,200	
	SUNY Buffalo	Erie	National Grid	Commercial New Construc, 2019 CNCP	154,176	
				New Construction- Commercial, Commercial Ne..	154,886	
	Sustainable Comfort, Inc	Erie	National Grid	Buildings of Excellence, BoE Rnd. 2 - DTL West ..	54,393	
				New Construction Housing, NCP Housing	36,200	
	Trane	Chautauqua	NYS Electric and Gas	K-12 SCHOOLS, P12GC-65_E - Forestville - FTC	9,200	
	U.S. Department of Energy/Wv	Cattaraugus	National Grid	WVDP PO – FFY 2022	17,200,000	
	Wende Correctional Alden NY..	Erie	NYS Electric and Gas	>200KW PV, NY Sun Assignment	1,174,173	
	Wendel Energy Services, LLC	Erie	National Grid	NYCH: Technical Assistance, FT13743 - South C..	431,995	
				Technical Services, FT14044 - 8443 Lake Shore-..	15,311	
	Wendel Energy Services, LLC.	Erie	National Grid	NYCH: District, PON 4614 Round #1 NFG	100,000	
	West Valley Solar, LLC	Cattaraugus	National Grid	>200KW PV, NY Sun	4,500,000	
	Total					37,376,899
	Grand Total					8,557,460,896

Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation
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Contractor	Contract Description	Total Expended Amount
2G Energy Inc.	Combined Heat and Power, CHPA - 2070-2080 Housing Corp	235,634
	Combined Heat and Power, CHPA - 2100 1st Avenue Bldg BC	323,904
	Combined Heat and Power, CHPA - Building D	235,634
3 BP REIT	Technical Services, OsEM71-C - Ivanhoe Cambridge	66,173
3M Company	On-Site Energy Manager, OsEM46-I - 3M Tonawanda	18,942
3rd ROC Solar LLC	<200KW PV, PON 2112 NY SUN	133,413
6-Nines Inc.	NY-SUN, PON 3414 - Nicky's Garden	5,000
22nd Century Technologies, Inc.	Home Perf w Energy Star, TWO #1 Single Family Res. BA -	40,092
42 West Broad Developers LLC	Low Carbon Tech Demos, Multifamily	57,270
63 Madison Owners LLC	NYCH: Technical Assistance, FT13966 - 63 Madison - PON	2,414
70 North MM LLC	New Construction Housing, 2019 LRNCP	50,000
112 East Clarke Housing Development..	Multifam New Construction, MFNC_Clarke Place Sr. Res.	46,600
120 Broadway Acquisitions JV LLC	Empire Building Challenge, EBC TA-120 Broadway	125,000
	NYCH: Empire Build Challenge, EBC TA-120 Broadway	125,000
200 Madison Owner LLC	NYCH: Technical Assistance, FT13967 - 200 Madison - PON	2,414
230 East 88th Street Corporation	Multifam Performance Pgm, Multifamily	21,800
233 West 125th Street Danforth, LLC	Multifam Performance Pgm, Multifamily	95,500
237 State Route 96 Site 1, LLC	>200KW PV, NY Sun	790,400
	NY-SUN, NY Sun	505,856
237 State Route 96 Site 2, LLC	>200KW PV, NY Sun	750,880
	NY-SUN, NY Sun	480,563
498 Seventh LLC	NYCH: Technical Assistance, FT13866 - 498 7th - PON	2,414
712 Fifth Avenue Owner LP	Technical Services, FT13225 - 712 Fifth Ave - PON	13,973
770 Electric Corp.	<200KW PV, NY-Sun	55,364
	>200KW PV, NY-Sun	5,476
	>200KW PV, PON 2112 NY SUN	36,732
1397 E. 2nd LLC	Multifam Performance Pgm, Multifamily	6,200
2018 Vento XVIII LLC	REC:CES REC Contracts, 9th RPS Main Tier Solicitation	2,843,508
3104 Batavia Solar, LLC	>200KW PV, NY Sun	446,148
3475 Third Avenue Owner Realty LLC	Multifam Performance Pgm, Multifamily	32,130
4455 Genesee St. LLC	On-Site Energy Manager, OsEM54-I Calspan Corporation	56,373
AASPEN HVAC	Talent Pipeline:CE and OJT, OJT	2,030
Abt Associates Inc.	ENERGY ANALYSIS, TWO 2 formerly 30191 TWO #5	51,905
	ENERGY ANALYSIS, TWO#1 Pathways Health	7,457
	ENVIRONMENTAL RESEARCH, TWO#1 Pathways Health	51,468
Abundant Solar Power Inc.	>200KW PV, NY Sun	342,038
Access Supports for Living Inc.	New Construction Housing, 2019 LRNCP	25,200
Accion Group, LLC	REC:CES REC System Dev Costs, RFP 4146 LSR Support	60,400
Accord Power, Inc.	<200KW PV, NY-Sun	400,818
	>200KW PV, NY-Sun	129,843
ACPBKI LLC	Technical Services, FT13214 - 630 Flushing - PON	18,035
Actasys	Talent Pipeline:CE and OJT, OJT HIRE	4,038
Activate Global, Inc	Carbontech Development, Carbontech Fellowship Program	325,000
Active Solar Development, LLC	<200KW PV, PON 2112 NY SUN	140,760
Adam C. Boese	Commercial New Construc, Commercial New Construction	28,840
	Technical Services, AEAP	12,000
Adirondack Lakes Survey Corporation	Environmental Research, RFP 3702 Stream Sampling	53,261
Adirondack North Country Association	CLEANER GREENER COMMUNITIES, CGC54038 - ANCA	84,119

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Contractor	Contract Description	Total Expended Amount
Advanced Radiant Design, Inc.	NYCH: Talent Ppln:CE and OJT, OJT HIRE	10,240
AECOM USA INC.	NYCH: Technical Assistance, FT13419 - 230 E 73rd - FTC	21,136
AEF Ice Systems, Inc.	Cleantech Ignition, PON4534 NY Climate Progress R1	500,000
Aegis Energy Services Inc.	Combined Heat and Power, CHPA - 63 Wall Street	156,060
	Combined Heat and Power, CHPA - 2501 Nostrand Ave.	14,280
	Combined Heat and Power, CHPA - Regina Pacis	21,420
	Combined Heat and Power, CHPA-Alexandria	44,550
	Combined Heat and Power, CHPA-Archer Green Apartments	143,913
AES DE RS VII, LLC.	>200KW PV, NY-Sun C&I	25,578
AES DE RS VIII, LLC	>200KW PV, NY-Sun	227,275
	>200KW PV, NY-Sun C&I	320,382
AES DE RS X, LLC	>200KW PV, NY-Sun CI	722,924
AES DE RS XI, LLC.	>200KW PV, NY-Sun C&I	827,656
	NY-SUN, NY-Sun C&I	875,875
	Solar Plus Energy Storage, NY-Sun C&I	1,536,500
AES DE RS XV, LLC	>200KW PV, NY Sun	338,442
AES Distributed Energy, Inc.	>200KW PV, NY-Sun	609,073
	>200KW PV, NY-Sun C&I	498,841
Affordable Housing Partnership	CLEANER GREENER COMMUNITIES, CEEP Capital Region (AHP)	0
	Community Energy Engagement, CEEP Capital Region (AHP)	2,446
	OTHER PROGRAM AREA, CEEP Capital Region (AHP)	156,704
Agarabi Engineering, PLLC	Talent Pipeline:CE and OJT, OJT	13,440
Air Company Holdings, Inc.	Talent Pipeline:CE and OJT, OJT HIRE	14,510
Aircuity, Inc.	Real Time Enrgy Management, Aircuity-85 Murray Hill-RTEM	6,737
AKF-engineers	NYCH: Technical Assistance, FT12285 - 1 Liberty Plaza -FTC	9,060
	NYCH: Technical Assistance, FT13414 - Sovereign - FTC	63,702
	NYCH: Technical Assistance, FT13460 - 1221 AoA - FTC	27,560
	NYCH: Technical Assistance, FT13478 - 150 E. 58th - FTC	578
	NYCH: Technical Assistance, FT13687 - 1411 Broadway - FTC	33,000
	NYCH: Technical Assistance, FT13934 - 3 Bryant - FTC	33,000
	Technical Services, FT13007 - Related - FTC	8,661
	Technical Services, FT13101 - 333 W 34th - FTC	1,667
	Technical Services, FT13608-Blythdale Hospital-FTC	18,057
	Technical Services, Indoor Air Quality TWO - AKF	115,474
Akimeka, LLC	Electric Vehicles - Innovation, Used EV Sales Demo	45,932
	EVPRZ:Implementation, Clean Transportation	98,052
Albany Engineering Corp.	LARGE SCALE RENEWABLES, Stuyvesant Falls Hydroelectric	126,633
Albany Medical Center	Technical Services, OsEM3-C Albany Medical Center	7,000
Albany Solar Solutions L.L.C.	<200KW PV, NY-Sun	12,480
	<200KW PV, PON 2112 NY SUN	26,783
Albany, City of,	Clean Energy Communities, City of Albany	97,500
	Talent Pipeline:CE and OJT, Climate Justice Fellow PON4772	2,846
Albireo Energy, LLC	Real Time Enrgy Management, AE LLC - 60 Charlton St - RTEM	71,079
	Real Time Enrgy Management, Alberio Energy-500 W 33rd-RTEM	26,501
	Real Time Enrgy Management, Albireo - 161 William St -RTEM	1,223
	Real Time Enrgy Management, Albireo-237 Park-RTEM	54,472
	Real Time Enrgy Management, ARE - 69 fifth Ave - RTEM	1,221
	Real Time Enrgy Management, RXR Realty-340Madison Ave-RTEM	10,404

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Contractor	Contract Description	Total Expended Amount
Algonquin Power Holdings LLC	>200KW PV, NY-Sun	2,384,280
All-State Air Control Sales & Service In	NYCH: Talent Ppln:CE and OJT, OJT HIRE	26,312
Allegis Group Holdings Inc	76 West, SA.078 - Innovation_APM	44,362
	Community RH&C, Staff Augmentation Services	32,337
	ENERGY ANALYSIS, Staff Augmentation Services	48,541
	High Performing Grid, SA.078 - Innovation_APM	11,091
	Home Perf w Energy Star, SA.070_TWO#11 - EAE PM	36,720
	Informat. Products & Brokering, Staff Augmentation Services	4,973
	NYCH: Supply Chain, SA.054_TWO #9 - SFR PM	68,582
	Renewable Heat NY, Staff Augmentation Services	32,337
Allen Power, Inc.	<200KW PV, PON 2112 NY SUN	31,028
Alliance for Sustainable Energy, LLC	ENERGY ANALYSIS, TWO #7 T&D Tool Dev Co-Optimiz	59,367
	Energy Storage Tech/Prod Dev, TWO 6 NYS Hydro Strategy Study	629,126
	High Performing Grid, TWO #7 T&D Tool Dev Co-Optimiz	345,633
	High Performing Grid, TWO #8 NREL TWO for Resilience	150,000
	OREC: Technical Support, TWO 5 - NREL NY Great Lakes	275,537
alpha-En Corporation	Energy Storage Tech/Prod Dev, PON3585 R4 Energy Storage Tech	85,000
Altanova LLC	Commercial New Construc, Commercial New Construction	7,723
	New Construction- Commercial, Commercial New Construction	5,193
	NYCH: Technical Assistance, FT13306 - 430 W 50th - FTC	3,115
	NYCH: Technical Assistance, FT13762 - 47-40 21st - FTC	5,405
	Technical Services, FT13955 - 227 E 30th - FTC	22,793
Alternative Power Solutions of NY, LLC	<200KW PV, NY-Sun	9,632
	<200KW PV, PON 2112 NY SUN	51,049
	NYCH: Talent Ppln:CE and OJT, OJT	11,360
AltPOWER, Inc.	<200KW PV, NY-Sun	66,240
AME Zion Trinity HDFC	Multifam Performance Pgm, Multifamily	65,000
AMERESCO, Inc.	<200KW PV, PON 2112 NY SUN	15,120
Amergy Solar Inc.	>200KW PV, PON 2112 NY SUN	7,524
American Energy Care, Inc.	<200KW PV, NY-Sun	37,409
	<200KW PV, PON 2112 NY SUN	64,114
American Organic Energy, LLC	CLEANER GREENER COMMUNITIES, CGC31123 - AO Energy	165,000
American Society of Heating,Refrigerat..	Technical Services, ASHRAE - EPE Team Support TWO	32,525
American Solar Grazing Association, I..	Environmental Research, PON 4270 PV Site Design	34,689
American Solar Partners, LLC	<200KW PV, PON 2112 NY SUN	8,750
Amie Gross Architect, P.C.	Buildings of Excellence, BoE Rnd. 2 - DTL Hudson Hill	100,000
Ampersand Tannery Island Hydro, LLC	REC:CES REC Contracts, 11th Main Tier Solicitation	1,387
Amphenol Corporation	>200KW PV, NY Sun	265,213
AMPLY Power Inc.	Novel Bus Models & Offers, Fleet Charging as a Service	5,928
Analemma Solar Corp.	>200KW PV, PON 2112 NY SUN	21,600
Andromeda Community Initiative Inc.	Talent Pipeline:CE and OJT, PON3981 Round 10	104,706
Annadale Community Clean Energy P..	Fuel Cells, Fuel Cell Incentive - FC-027	500,000
Antares Group, Inc.	ANAEROBIC DIGESTER, ADG - Antares - TWO	1,229
	Combined Heat and Power, ADG - Antares - TWO	1,229
	NYCH: Technical Assistance, FT13633 - 8000 Utopia - FTC	27,306
Apex Solar Power LLC	<200KW PV, PON 2112 NY SUN	132,385
Applied Energy Group, Inc.	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION, P..	67,334
APX Inc.	LARGE SCALE RENEWABLES, NYGATS	0

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Contractor	Contract Description	Total Expended Amount
APX Inc.	REC2:CES REC2 Syst Development, NYGATS	16,173
	REC:CES REC System Dev Costs, NYGATS	14,082
	ZEC:CES ZEC System Dev Costs, NYGATS	255,423
Arcadis of New York, Inc.	Commercial New Construc, Staff Augmentation Services	12,140
	Commercial Real Estate Ten, SA.046_TWO #4 - EPE	0
	Low Rise New Construction, Staff Augmentation Services	34,801
	Multifam New Construction, Staff Augmentation Services	13,759
	New Construction Housing, Staff Augmentation Services	8,093
	New Construction- Commercial, Staff Augmentation Services	12,140
	ORES Support, ORES Technical Assistance	296,311
	REV Campus Challenge, SA.046_TWO #4 - EPE	0
	Strategic Energy Manager, SA.046_TWO #4 - EPE	54,960
	Technical Services, AEAP	1,467
	Technical Services, FT13067 - 1 Canal Road - FTC	4,369
	Technical Services, FT13596-Monroe NQWRRF - FTC	15,053
Arcadis U.S., Inc.	Technical Services, SA.046_TWO #4 - EPE	0
	Advancing Ag Enrgy Technologie, AAET Tech Review_Arcadis TWO	657
	ANAEROBIC DIGESTER, ADG - Arcadis - TWO	1,718
Arch Street Communications, Inc.	Combined Heat and Power, ADG - Arcadis - TWO	1,718
	OTHER PROGRAM AREA, RFP4459 Marketing Support	52,386
Arnot Ithaca 2, LLC	New Construction Housing, NCP Housing	78,000
Association for Energy Affordability, In	Workforce Industry Partnership, PON 3715 Workforce Training	55,188
Astrum Solar, Inc.	>200KW PV, PON 2112 NY SUN	599,610
Atash Energy, LLC	Commercial Real Estate Ten, Atash Energy - 11 Madison -CTP	24,775
	Commercial Real Estate Ten, Atash Energy - 60 Wall St -CTP	15,008
	Commercial Real Estate Ten, Atash Energy - Multisite - CTP	129,999
	Commercial Real Estate Ten, Atash-4 Metrotech Center	5,000
	Commercial Real Estate Ten, Atash-875 3rd Ave FI 25-27	6,790
Atelier Ten	Commercial New Construc, Commercial New Construction	22,824
	New Construction- Commercial, Commercial New Construction	1,426
Automated Logic Contracting Service..	Real Time Enrgy Management, ALCS-412 E 9th St-RTEM	112,064
Autonomous Energies LLC	<200KW PV, PON 2112 NY SUN	6,474
Aztech Geothermal, LLC	NYCH: Talent Ppln:CE and OJT, OJT HIRE	6,432
Bacon Triangle LLC	>200KW PV, NY-Sun C&I	16,403
Ballston Mouningkill Associates LLC	Low Rise New Construction, 2019 LRNCP	75,200
Barbera Homes and Development, Inc.	Low Rise New Construction, 2019 LRNCP	1,900
	Low Rise New Construction, New Construction	-950
	New Construction Housing, 2019 LRNCP	5,700
Bard College	REV Campus Challenge, RFP 3214 REV Campus Challenge	8,041
Bard Rao + Athanas Consulting Engin..	New Construction- Commercial, Commercial New Construction	45,777
Barton & Loguidice, D. P.C.	Technical Services, FT13576 - City of Fulton WPCP	6,483
	Technical Services, FT14057 - 1 Canal - FTC	2,957
Bashing Panels LLC	<200KW PV, NY-Sun	26,256
	<200KW PV, PON 2112 NY SUN	8,750
Battelle Memorial Institute	Code to Zero, BMI TWO #1-NYStretch Support	410
	Code to Zero, TWO #2 NYStretch Comm Modeling	88,160
	Code to Zero, TWO #3 NYStretch Res Modeling	50,273
BDO USA LLP	Background Investigation Servi	12,620

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BDO USA LLP	Cleantech Ignition, Background Investigation Servi	55,200
	NEW YORK GREEN BANK, Background Investigation Servi	1,100
	TWO - BofA	10,000
Beacon Power, LLC	Pub Transit & Elect Rail, Beacon flywheel ESS for NYCT	21,619
Beech-Nut Nutrition Company	On-Site Energy Manager, OsEM37-I - Beech-Nut Nutrition	43,379
Bergmann Associates, Architects,	CI Carbon Challenge, CICC1902	829
	Flexible Tech Assistance, Bergmann Tech Review TWO	14,032
	Industrial Process Effic, IPE16237	2,542
	Industrial Process Effic, Tech Review_Support_Umbrella	1,969
	K-12 SCHOOLS, Bergmann Tech Review TWO	5,067
	OTHER PROGRAM AREA, Just Transition Toolkit	14,955
	REV Campus Challenge, Bergmann Tech Review TWO	26,541
	Technical Services, AGG1009-Bergmann-Portfolio 1	16,229
	Technical Services, Bergmann Tech Review TWO	16,842
	Technical Services, FT13995 - 1133 NY 86 - FTC	4,926
	Technical Services, Tech Review_Program Support	407
Best Energy Power	<200KW PV, NY-Sun	348,541
	>200KW PV, NY-Sun	42,779
	>200KW PV, PON 2112 NY SUN	206,519
Bettergy Corporation	Energy Storage Tech/Prod Dev, NH3 Cracking Membrane Reactor	183,999
Bigwood Systems Inc	High Performing Grid, PON4074 High Perfrm Grid Prgr	148,000
Binghamton Regional	Community RH&C, CH&C Communities Round 3	9,250
	NY-SUN, PON 3414 - CDG Toolkit	17,500
	NYCH: LMI, CH&C Communities Round 3	49,750
BioDiversity Research Institute	Environmental Research, ENV & Fisheries Rsrch for OSW	66,113
	OREC: Technical Support, BRI TWO #5 E-TWG Services	126,796
Black Mountain Architecture, PLLC	Buildings of Excellence, BoE Rnd. 2 - DTL Solara III	75,000
Black River Hydroelectric, LLC	REC:CES REC Contracts, 11th Main Tier Solicitation	171,015
BlocPower LLC	Novel Bus Models & Offers, Novel Business Models R2	80,000
	NYCH: Talent Ppln:CE and OJT, OJT HIRE	7,680
Bloom Energy Corporation	REC:CES REC Contracts, 11th Main Tier Solicitation	20,794
BLUEPRINT POWER TECHNOLOGIES..	High Performing Grid, A DECARBONIZATION BLUEPRINT	242,500
Bond, Schoeneck & King, PLLC	BR: Program Implementation, BR-Outside Legal	7,872
	CI Engy Siting & Soft Cost Red, TWO 2 - CES Legal Support	15,597
	NYSERDA ADMINISTRATION, HR Outside Counsel Assistance	1,989
	NYSERDA ADMINISTRATION, TWO 6 HR Counsel Services	6,089
	OREC: Technical Support, RFP 3300 Outside Counsel Servi	2,916
	OREC: Technical Support, TWO 4 GLW Feasibility Study	5,884
Bonded Energy Solutions Corp.	NYCH: Talent Ppln:CE and OJT, OJT HIRE	2,256
	NYCH: Talent Ppln:CE and OJT, peter.tompkins	2,763
BOP NW LLC	Commercial New Construc, SF106903 - BOP NW LLC	53,906
Borg Warner	Industrial Process Effic, Industrial Process Efficiency	122,181
Borrego Solar Systems, Inc.	Rmve Barriers Dist Enrgy Storg, Energy Storage +CommunitySolar	33,335
Bourne & Kenney Redevelopment Company LL	Tech Assistanc Multifamily LMI, FT13156 - Kenney Apts. - PON	10,000
	Technical Services, FT13156 - Kenney Apts. - PON	-10,000
BPP MFNY Employer LLC	Real Time Enrgy Management, BPP - multisite - RTEM	105,407
	Real Time Enrgy Management, BPPMFNYEmpLLC1	111,263
	Real Time Enrgy Management, BPPMFNYEmpLLC#3-Multi-RTEM	93,695

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BPP MFNY Employer LLC	Real Time Enrgy Management, BPPMFNYEmpLLC#4-Multi-RTEM	400,276
Brattle Group Inc.	High Performing Grid, TWO #4 Grid Performance Gaps	73,750
	High Performing Grid, TWO#1 Clean Energy Deliv	49,714
	OREC: Technical Support, TWO#1 Clean Energy Deliv	0
	REC4:CES REC4 Tech Support, TWO #4 Large Scale Hydropower	1,104
	REC:CES REC System Dev Costs, TWO #4 Large Scale Hydropower	7,171
Breathe Easy of CNY Inc.	NYCH: Talent Ppln:CE and OJT, OJT	6,502
	NYCH: Talent Ppln:CE and OJT, OJT HIRE	2,592
	Talent Pipeline:CE and OJT, OJT	0
Bridges Development, Inc.	Low Rise New Construction, 2019 LRNCP	114,800
Bright Power, Inc.	<200KW PV, NY-Sun	645,831
	>200KW PV, NY-Sun	419,601
	>200KW PV, PON 2112 NY SUN	25,056
	ADVANCED BUILDINGS, PV Battery backup system demo	30,000
	Campus/Technical Assistance, FT12238-LeFracCity-5917Jct-FTC	40,616
	Code to Zero, TWO #1	930
	Housing Agencies Support, Notice to Proceed	65,780
	Multifam Performance Pgm, Notice to Proceed	0
	NY-Sun	150,810
	NYCH: Technical Assistance, FT13290 - 320 W 38th - FTC	4,460
	NYCH: Technical Assistance, FT13466 - 560 W. 43rd - FTC	4,515
	NYCH: Technical Assistance, FT13473 - 160 Schermer. - FTC	3,730
	NYCH: Technical Assistance, FT13489 - 63 W. 35th - FTC	4,625
	NYCH: Technical Assistance, FT13490 - 152 W 26th - FTC	6,250
	NYCH: Technical Assistance, FT13492 - 2405 Southern - FTC	1,540
	NYCH: Technical Assistance, FT13500 - Lakeview Apts - FTC	5,538
	NYCH: Technical Assistance, FT13501- Highview Apts. - FTC	4,500
	NYCH: Technical Assistance, FT13507 - 21-10 51st - FTC	2,165
	NYCH: Technical Assistance, FT13639 - 321 W. 44th - FTC	1,605
	NYCH: Technical Assistance, FT13653 -40-26 College Pt- FTC	14,250
	NYCH: Technical Assistance, FT13807 - 250 W. 50th - FTC	6,450
	NYCH: Technical Assistance, FT13813 - 510 W 52nd - FTC	3,150
	NYCH: Technical Assistance, FT13816 - 515 W 52nd - FTC	3,150
	NYCH: Technical Assistance, FT13862 - 130 E. 57th - FTC	4,443
	Real Time Enrgy Management, BP - Multisite - RTEM	5,000
	Real Time Enrgy Management, Bright Power - Multi - RTEM	8,880
	Real Time Enrgy Management, Bright Power -Multisite- RTEM	13,925
	Real Time Enrgy Management, Bright Power-655 Morris-RTEM	3,500
	Real Time Enrgy Management, Bright Power-Multisite-RTEM	77,023
	Real Time Enrgy Management, Bright Power, Inc - Multisites	14,153
	Real Time Enrgy Management, Bright-41 Barker Ave-RTEM	16,362
	Real Time Enrgy Management, Bright-86DeKalb-RTEM	7,000
	Real Time Enrgy Management, BrightPower-201 E 86th St-RTEM	3,690
	Real Time Enrgy Management, BrightPower-333 Lenox-RTEM	3,078
	Real Time Enrgy Management, Selfhelp Comm-Multisite-RTEM	15,180
	Real Time Enrgy Management, TwoTrees-300 Ashland PI-RTEM	3,075
	REV Campus Challenge, RM45 - Marymount Manhattan	16,380
	Technical Services, FT13192 - 438-448 W 37th - FTC	3,205

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Bright Power, Inc.	Technical Services, FT13201 - 550 W 54th - FTC	5,840
	Technical Services, FT13222 - 25 Washington - FTC	2,810
	Technical Services, FT13618 - 80 Broad - FTC	7,650
	Technical Services, FT13998 - 1650 Broadway - FTC	5,500
Brockport Villager LLC	Multifam Performance Pgm, Multifamily	12,459
Bronx Park Phase II Preservation LLC	Multifam Performance Pgm, Multifamily	75,000
Bronx Pro Group, LLC	Multifam New Construction, MFNCP PHI T3-3365 Third Ave	36,750
Brook Avenue Development Company..	Multifam Performance Pgm, Multifamily	14,200
Brookhaven National Lab	ENVIRONMENTAL RESEARCH, AQHE PON 3921	55,929
Brooklyn Greenway Initiative, Inc.	Pub Transit & Elect Rail, Tech-based bike-transit study	13,664
Brooklyn Housing Preservation Limited Pa	<200KW PV, NY-Sun	151,219
	>200KW PV, NY-Sun	14,956
Brooklyn SolarWorks LLC	>200KW PV, PON 2112 NY SUN	31,473
Bruns Associates, LLC	Buildings of Excellence, BoE Rnd. 2 - Solara III	112,500
BTMI Engineering, PC	OREC: Technical Support, State's Engineer for Port Inve	5,496
	OREC: Technical Support, TWO for COWI MTWG support 2021	58,316
	OREC: Technical Support, TWO for COWI Navigation Studie	210,602
Buckeye Terminals, LLC	FUEL NY, Upstate NY Strategic Fuels Res	640,550
Buckley Park, LLC	Multifam Performance Pgm, Multifamily	22,000
Buffalo Federation of Neighborhood C..	Low Rise New Construction, New Construction	70,400
Buffalo Geothermal Heating	Geothermal Incentive Program, Large-Scale GSHP Rebate	234,022
Buffalo Neighborhood Stabilization Co	Low Rise New Construction, New Construction	10,000
Buffalo Renewables, Inc.	Small Wind, Wind Turbine Incentive	230,400
Buffalo Solar Solutions Inc	<200KW PV, PON 2112 NY SUN	354,276
Building Performance Institute, Inc.	Talent Pipeline:CE and OJT, Energy & Efficiency Credential	22,760
Building Skills NY	NYCH: Talent Ppln:CE and OJT, Career Pathway HVAC/Heat Pumps	126,008
Buro Happold Consulting Engineers, P.C.	Commercial Real Estate Ten, Buro Happold - 20 W 34th St	107,320
	NYCH: Technical Assistance, FT13404 - 1333 Broadway - FTC	74,297
	NYCH: Technical Assistance, FT13543 - 250 W. 57th - FTC	109,613
	NYCH: Technical Assistance, FT13544 - 1350 Broadway - FTC	82,063
	NYCH: Technical Assistance, FT13985 - 1359 Broadway - FTC	97,304
BVG Associates LLC	REC:CES REC System Dev Costs, TWO 4 - RESRFP21-1 TEP IE	45,180
BW Research Partnership	ENERGY ANALYSIS, TWO# 1 CE Industry Report	99,961
	ENERGY ANALYSIS, TWO# 2 JTWG Jobs Study	64,623
	Home Perf w Energy Star, TWO# 1 CE Industry Report	750
	NYCH: Talent Ppln:CE and OJT, TWO# 2 JTWG Jobs Study	71,676
	Talent Pipeline:CE and OJT, TWO# 1 CE Industry Report	5,249
C.J. Brown Energy, P.C.	K-12 SCHOOLS, FT13227 - Cooperstown CSD -FTC	1,957
	Tech Assistanc Multifamily LMI, FT13027 - Towers - FTC	5,300
	Tech Assistanc Multifamily LMI, FT13028 - Residences - FTC	4,828
	Tech Assistanc Multifamily LMI, FT13030 - 4710 Kehoe - FTC	4,856
	Tech Assistanc Multifamily LMI, FT13031 - 2001 E Henrietta-FTC	5,400
	Tech Assistanc Multifamily LMI, FT13032 - 18 N. Main - FTC	4,089
	Tech Assistanc Multifamily LMI, FT13034 - 4399 Plantation -FTC	4,980
	Technical Services, AEAP1299- Krehers Sunrise Farm	5,994
	Technical Services, AEAP#1319 - Durow Farms	5,997
	Technical Services, FT13027 - Towers - FTC	-2,647
Technical Services, FT13028 - Residences - FTC	-4,828	

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Contractor	Contract Description	Total Expended Amount
C.J. Brown Energy, P.C.	Technical Services, FT13030 - 4710 Kehoe - FTC	-4,856
	Technical Services, FT13031 - 2001 E Henrietta-FTC	-5,170
	Technical Services, FT13032 - 18 N. Main - FTC	-2,634
	Technical Services, FT13033 - Meadowbrook - FTC	2,121
	Technical Services, FT13034 - 4399 Plantation -FTC	-4,980
	Technical Services, FT13310 - 395 Tonawanda - FTC	2,295
	Technical Services, FT13311 - 840 Tonawanda - FTC	2,330
	Technical Services, FT13312 - 525 Oliver - FTC	2,295
	Technical Services, FT13313 - 16 Alpine - FTC	2,165
	Technical Services, FT13508 - Town of Evans - FTC	10,167
C&R Housing Inc.	Talent Pipeline:CE and OJT, OJT HIRE	24,360
C&S Engineers, Inc.	NYCH: Technical Assistance, FT13504 - 100 Park - FTC	12,775
	NYCH: Technical Assistance, FT13652 - 100 Woodland - FTC	7,127
	REV Campus Challenge, FT13048 - Maria College - FTC	15,234
	Technical Services, FT13459 - 22643 Fisher - FTC	6,081
	Technical Services, FT13868 - Town of Canaan - FTC	4,867
Cadenza Innovation, Inc.	Energy Storage Tech/Prod Dev, PON3249 ACE	112,500
CAMBA Housing Ventures, Inc.	Multifam New Construction, MFNCP PPES T2-210-214 Hege	31,100
Cameron Engineering & Associates L..	Technical Services, FT13205 - 395 Broadway - FTC	2,490
Canajoharie, Village of,	Clean Energy Communities, Communities & Local Government	1,000
Canyon Engineering Solutions LLC	K-12 SCHOOLS, FT13354 - 50 Wood Rd - FTC	3,728
Capital District Regional Planning Comm.	Clean Energy Communities, Clean Energy Communities	347,609
	Community RH&C, Cap Dist Heat & Cool Smart Cam	10,000
	NYCH: Communities, Clean Energy Communities	168,872
Catlin Solar 1 LLC	>200KW PV, NY-Sun C&I	225,630
Cayuga Developments, Inc	Multifam Performance Pgm, Multifamily	18,000
Cayuga Milk Ingredients	Industrial Process Effic, Industrial Process Efficiency	71,860
CBRE, Inc.	On-Site Energy Manager, OsEM57-I IBM Sterling Forest	84,551
CDS Monarch Inc	New Construction Housing, 2019 LRNCP	52,500
CEC Stuyvesant Cove, Inc.	Clean Energy Communities, RFP4641 CECC Downstate	104,186
	CLEANER GREENER COMMUNITIES, CGC55294 - Solar One	35,025
	CLEANER GREENER COMMUNITIES, RFP4641 CECC Downstate	197,022
	NY-SUN, Affordable Solar Predevelopment	13,825
	NY-SUN, HPD Technical Assistance	87,707
	NY-SUN, PON 3414 Solar for Enterprise	40,000
	NYCH: Communities, RFP4641 CECC Downstate	34,729
	Talent Pipeline:CE and OJT, PON3981 Round 6	29,561
	Talent Pipeline:CE and OJT, PON3981 WFD Capacity Building	1,563
Center for Community Transportation	CLEAN TRANSPORTATION, Ithaca Bikeshare Demonstration	4,546
Center for Sustainable Energy	CLEAN TRANSPORTATION, Centralized Services & Support	-457
	CLEAN TRANSPORTATION, PEV Enabling Technology Demons	51,257
	Consumer Ed and Market Support, RFP3945 Home Energy Rating Pil	0
	Electric Vehicles - Rebate, ChargeNY ZEV Rebate Imp Contra	3,663
	Electric Vehicles - Rebate, TWO #3 - Drive Clean Program	104,599
	Home Energy Ratings, RFP3945 Home Energy Rating Pil	74,603
	OTHER PROGRAM AREA, Centralized Services & Support	116,731
Centerstate Corporation for	Cleantech Incubator, PON3413 Clean Energy Incubator	30,000
Central New York Regional Planning	Clean Energy Communities, Clean Energy Communities	235,986

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Central New York Regional Planning and	Community RH&C, CH&C Communities Round 3	37,500
	NYCH: Communities, Clean Energy Communities	82,963
	NYCH: District, PON 4614 Round #1 Syracuse	13,400
CH4 Biogas, LLC	Anaerobic Digesters, PON 3739 CAT C	55,499
CHA Consulting Inc.	CI Carbon Challenge, CICC RED Roch. Tech Review	9,882
	CI Carbon Challenge, CICC1906 - SABIC	1,924
	CI Carbon Challenge, Outreach Support	30,320
	CI Carbon Challenge, SA.019_TWO#1 - Industrial	37,348
	CI Carbon Challenge, SA.030_TWO#2 - Industrial	3,197
	CI Carbon Challenge, SA.031_TWO#3 - Industrial	46,158
	CI Carbon Challenge, SA.034_TWO#5 - Industrial	33,532
	Commercial Real Estate Ten, SA.051_TWO #6_EP&E APM	1,758
	Flexible Tech Assistance, FT12261 - Union Coll CHP - FTC	5,365
	Industrial Process Effic, IPE16249	355
	Industrial Process Effic, Outreach Support	24,934
	Industrial Process Effic, SA.019_TWO#1 - Industrial	3,522
	Industrial Process Effic, SA.030_TWO#2 - Industrial	13,060
	Industrial Process Effic, SA.031_TWO#3 - Industrial	9,232
	Industrial Process Effic, SA.034_TWO#5 - Industrial	0
	Industrial Process Effic, Staff Augmentation Services	10,242
	Industrial Process Effic, Technical Review and Program S	6,053
	K-12 SCHOOLS, FT13860 - Rotterdam CSD - FTC	4,517
	K-12 SCHOOLS, SA.035_TWO#4 - EPE	16,739
	K-12 SCHOOLS, SA.051_TWO #6_EP&E APM	-98,910
	NYCH: District, PON4614 Round #1 City of Troy	90,000
	NYCH: District, PON4614 Round #1 Masonic	72,539
	On-Site Energy Manager, Outreach Support	1,681
	REV Campus Challenge, SA.051_TWO #6_EP&E APM	47,946
	Strategic Energy Manager, Outreach Support	30,320
	Strategic Energy Manager, SA.019_TWO#1 - Industrial	12,770
	Strategic Energy Manager, SA.030_TWO#2 - Industrial	839
	Strategic Energy Manager, SA.031_TWO#3 - Industrial	4,130
	Strategic Energy Manager, SA.034_TWO#5 - Industrial	0
	Strategic Energy Manager, SA.035_TWO#4 - EPE	24,368
	Strategic Energy Manager, SA.051_TWO #6_EP&E APM	27,242
	Strategic Energy Manager, Staff Augmentation Services	1,973
	Tech Assistanc Multifamily LMI, SA.051_TWO #6_EP&E APM	103,021
	Technical Services, FT13334 - 9567 Main - FTC	1,721
Technical Services, FT13527 - 2400 Buffalo - FTC	2,790	
Technical Services, FT13773 - 2400 Buffalo - FTC	15,087	
Technical Services, FT13977 - 1666 Division - FTC	5,683	
Technical Services, SA.019_TWO#1 - Industrial	34,061	
Technical Services, SA.051_TWO #6_EP&E APM	1,408	
Charis Realty Corp.	Multifam Performance Pgm, Multifamily	6,000
Charter Communications, Inc.	Industrial Process Effic, Industrial Process Efficiency	373,055
Chautauqua County	Clean Energy Communities, CEC111465 Chautauqua Co	4,000
Chester NY 1, LLC	>200KW PV, NY-Sun C/I	56,692
Christina Abmann	Code to Zero, NYStretch 2023 Working Groups	1,500

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Christopher Community, Inc.	New Construction Housing, 2019 LRNCP	63,000
CIR ELECTRICAL CONSTRUCTION CORP.	<200KW PV, NY-Sun	7,488
	<200KW PV, PON 2112 NY SUN	85,067
Citizens Chenango Solar LLC	>200KW PV, NY Sun	346,403
City of Auburn	LARGE SCALE RENEWABLES, Mill Street Dam Hydro	6,379
	REC:CES REC Contracts, 11th Main Tier Solicitation	18,203
	Technical Services, FT13009 - Auburn WWTF - PON	23,988
City of Beacon Housing Authority	Multifam Performance Pgm, Multifamily	31,950
City of Glens Falls Housing Authority	Multifam Performance Pgm, Multifamily	20,000
City of Ithaca	Clean Energy Communities, City of Ithaca	60,000
City of Jamestown	Cleantech Geo Coverage, PON 4242	186,000
City of Rochester	Clean Energy Communities, City of Rochester	187,500
	Community RH&C, PON3723 RH&C Campaigns	2,000
	NYCH: Technical Assistance, OsEM32-C - City of Rochester	39,461
City of Saratoga Springs, NY	CLEANER GREENER COMMUNITIES, CGC31779 - City of Saratoga	20,000
City of Utica	Community RH&C, Heat & Cool for Utica NYTBD	32,200
	Community RH&C, HeatSmart Utica LMI HP Study	26,250
	NYCH: District, PON4614 Round #1 City of Utica	30,000
	NYCH: LMI, HeatSmart Utica LMI HP Study	26,250
Classic American Vintage, LLC	Tech Assistanc Multifamily LMI, FT13172 - 300 Main Ave - PON	9,675
	Technical Services, FT13172 - 300 Main Ave - PON	-9,675
Clean Energy of New York Inc	NYCH: Innovation, NextGen HVAC Innovation	3,170
Clean Technologies A LLC	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	11,531
CleanFiber LLC	76 West, 76West Clean Energy Bus. Comp	50,000
CLEAResult Consulting, Inc.	>200KW PV, Centralized Services & Support	49,783
	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Centralized S..	2,070
	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Technical Sup..	6,506
	Centralized Services & Support	262,717
	Commercial New Construc, Centralized Services & Support	15,867
	Commercial Real Estate Ten, Centralized Services & Support	482
	Community RH&C, Centralized Services & Support	49,080
	EMPOWER NY, Centralized Services & Support	40,877
	EMPOWER NY, Technical Support SFR	6,506
	ESTOR: Implementation Support, Centralized Services & Support	13,527
	Geothermal Incentive Program, Centralized Services & Support	6,716
	GJGNY Market Rate Audits, TWO #13 - SFR	40,657
	Healthy Homes VB Payment Pilot, Centralized Services & Support	0
	Healthy Homes VB Payment Pilot, Technical Support SFR	1,930
	Home Energy Ratings, TWO #13 - SFR	7,302
	Home Perf w Energy Star, Centralized Services & Support	1,030,733
	Home Perf w Energy Star, Technical Support SFR	1,714,622
	HOME PERFORMANCE WITH ENERGY STAR, Centralized Services & Su..	0
	LMI Community Solar, Centralized Services & Support	11,511
	Low Rise New Construction, Centralized Services & Support	18,513
	Multifam New Construction, Centralized Services & Support	18,513
	Multifam Performance Pgm, Centralized Services & Support	35,960
	New Construction Housing, Centralized Services & Support	53,288
New Construction- Commercial, Centralized Services & Support	17,189	

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Contractor	Contract Description	Total Expended Amount
CLEARresult Consulting, Inc.	NY-SUN, Centralized Services & Support	0
	NYCH: Technical Assistance, TWO #13 - SFR	2,455
	NYSERDA ADMINISTRATION, Phone Email & Web Support	41,211
	Real Time Enrgy Management, Centralized Services & Support	5,004
	Renewable Heat NY, Centralized Services & Support	8,593
	Technical Support SFR	602,133
Clearview Consultants, LLC	BR: Prospecting, TWO #1 Notice to Proceed	89,846
CMC Energy Services, Inc	Electrification, RFP 4645 Bldg Env Roundtables	35,521
	NYCH: Supply Chain, RFP 4645 Bldg Env Roundtables	17,760
CMR Solar LLC	>200KW PV, NY-Sun C/I	264,969
Coastal States Stewardship Foundation	Environmental Research, RFQL 4550	18,000
	RFQL 4550	18,000
Code Green Solutions, Inc.	Commercial Real Estate Ten, CGS-1221 Ave of the Americas	8,500
	Empire Building Challenge, EBC - Market Character TWO	57,193
	NYCH: Empire Build Challenge, EBC - Market Character TWO	8,170
	NYCH: Technical Assistance, FT13091 - 470 Park S - FTC	-10,125
	NYCH: Technical Assistance, FT13138 - 158 W 27th - FTC	2,350
	NYCH: Technical Assistance, FT13209 - 25 East 78th - FTC	-5,000
	NYCH: Technical Assistance, FT13405 - 309 5th - FTC	5,875
	NYCH: Technical Assistance, FT13434 - 383 Lafayette - FTC	7,856
	NYCH: Technical Assistance, FT13452 - NYU - FTC	5,609
	NYCH: Technical Assistance, FT13482 - 125 W. 55th - FTC	8,563
	NYCH: Technical Assistance, FT13503 - 2 Gansevoort - FTC	14,011
	NYCH: Technical Assistance, FT13509 - 77 Water - FTC	15,360
	NYCH: Technical Assistance, FT13522 - 767 Third - FTC	19,797
	NYCH: Technical Assistance, FT13524 - 747 Third - FTC	7,762
	NYCH: Technical Assistance, FT13526 - 99 Gansevoort - FTC	24,600
	NYCH: Technical Assistance, FT13931 - Industry City - FTC	7,125
	Technical Services, FT13056 - 1140 AOA - FTC	2,965
	Technical Services, FT13057 - 200 W 41st - FTC	7,525
	Technical Services, FT13069 - 381 Park - FTC	3,645
	Technical Services, FT13079 - 101 W. End - FTC	3,475
	Technical Services, FT13081 - 21 West End - FTC	3,350
	Technical Services, FT13090 - 158-15 Liberty - FTC	9,500
	Technical Services, FT13091 - 470 Park S - FTC	13,500
	Technical Services, FT13093 - Kestrel - FTC	5,450
	Technical Services, FT13107 - 51 Astor Place - FTC	16,060
	Technical Services, FT13125 - 2 Park - FTC	30,306
	Technical Services, FT13152 - 170 E 83rd - FTC	4,313
	Technical Services, FT13209 - 25 East 78th - FTC	14,249
	Technical Services, FT13495 - 524 Broadway - FTC	8,100
	Technical Services, FT13496 - Park Ave Tower - FTC	27,744
	Technical Services, FT13514 - 240 W. 35th - FTC	4,444
	Technical Services, FT13523 - 777 Third - FTC	21,197
	Technical Services, FT13534 - 40 Central Park S	5,006
Technical Services, FT13537 - 437 Madison - FTC	8,484	
Technical Services, FT13585 - 590 Madison - FTC	22,250	
Technical Services, FT13965 - 1251 AoA - FTC	12,750	

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Contractor	Contract Description	Total Expended Amount
Code Green Solutions, Inc.	Technical Services, FT13989 - 180 CPS - FTC	9,355
Cogeneration Contractors, Inc.	COMBINED HEAT AND POWER, CHPA - Compass Residences	78,897
	Combined Heat and Power, CHPA - Compass Residences 2A	39,780
	Combined Heat and Power, CHPA - Compass Residences 2B	39,780
	Combined Heat and Power, CHPA - La Casa Del Mundo	39,780
	COMBINED HEAT AND POWER, CHPA - POD Hotel	78,897
COGENT Infotech Corporation	NYSERDA ADMINISTRATION, TWO 1 Asst. BA Ops - Nurul	45,360
Cohen Ventures Inc	Air Source Heat Pumps, Task Work Order #3	0
	Code to Zero, Task Work Order #4	192,452
	Product Standards, Task Work Order #3	193,372
	Product Standards, Task Work Order #5	114,270
	Product Standards, TWO2 Emissions Appliance Stand	88,967
COI Energy Services Inc	Cleantech Ignition, PON4534 NY Climate Progress R1	500,000
Cold Spring Harbor Laboratory	RM41 - Cold Spring Harbor Lab	68,091
Collado Engineering, DPC	Code to Zero, TWO #1	4,001
COLLECTIF Engineering, PLLC	Talent Pipeline:CE and OJT, OJT	7,235
Columbia Property Trust	NYCH: Technical Assistance, OsEM64-C-575 Lexington	28,021
Columbia University	OTHER PROGRAM AREA, On-Site Power	63,333
Combined Energies LLC	Cleantech Ignition, PON 3871 Ignition Grants	20,000
Complex Inc	76 West, 76West Clean Energy Business C	150,000
Commercial Cleaning NY Sunshine, In..	NYSERDA ADMINISTRATION, Janitorial Cleaning for NYGB	79,200
Common Ground Community II HDFC	Multifam Performance Pgm, Multifamily	65,100
Comrie Enterprises, LLC	NYCH: Talent Ppln:CE and OJT, Climate Justice Fellow PON4772	2,960
Comunilife, Inc	Multifam Performance Pgm, Multifamily	129,000
CON EDISON SOLUTIONS, INC.	>200KW PV, PON 2112 NY SUN	268,704
Consensus Building Institute, Inc.	CI Engy Siting & Soft Cost Red, TWO #2 A-TWG Facilitator	31,433
	Environmental Research, TWO #1 -Facilitator	65,302
	REC:CES REC System Dev Costs, TWO #2 A-TWG Facilitator	15,724
Consolidated Edison Solutions, LLC	>200KW PV, NY-Sun C&I	376,543
	NY-SUN, NY-Sun C&I	812,152
Continental Buchanan, LLC	Industrial Process Effic, Industrial Process Efficiency	100,000
Corelogic, Inc.	Informat. Products & Brokering, RFQL 3711 CoreLogic Bldg Data	46,305
Cornell Cooperative Ext. Dutchess County	Community Energy Engagement, CEEP Mid-Hudson Region (CCEDC)	66,340
	OTHER PROGRAM AREA, CEEP Mid-Hudson Region (CCEDC)	144,362
Cornell Cooperative Extension - Tompkins	Clean Energy Hub, CEEP Central New York (CCETC)	1,800
	Community Energy Engagement, CEEP Southern Tier Region (CCE	41,617
	OTHER PROGRAM AREA, CEEP Central New York (CCETC)	25,362
	OTHER PROGRAM AREA, CEEP North Country	22,274
	OTHER PROGRAM AREA, CEEP Southern Tier Region (CCE	51
Cornell Cooperative Extension of Sch..	Community RH&C, CH&C Communities Round 3	64,000
Cornell NCRE Solar 1 LLC	<200KW PV, NY-Sun	187,220
Cornell University	Advancing Ag Enrgy Technologie, Advancing Ag Energy Tech PON	5,000
	Cleantech Geo Coverage, PON 4242	294,750
	Industrial Process Effic, Industrial Process Efficiency	11,195
Cornerstone Energy Services	RENEWABLE HEAT NY, Cornerstone Services - Quinn	20,979
Corning Inc.	Industrial Process Effic, Industrial Process Efficiency	563,025
Cortex Building Intelligence, Inc.	Real Time Enrgy Management, CBI-1359 Broadway-RTEM	68,040
Couch White, LLP	Code to Zero, TWO 1 - NYStretch	32,989

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Contractor	Contract Description	Total Expended Amount
Council Rock Enterprises	Talent Pipeline:CE and OJT, OJT	10,240
	Talent Pipeline:CE and OJT, OJT HIRE	11,205
County Cooling, Corp.	NYCH: Talent Ppln:CE and OJT, OJT	10,081
	NYCH: Talent Ppln:CE and OJT, OJT HIRE	7,771
County Heat & AC, LLC	NYCH: Talent Ppln:CE and OJT, OJT HIRE	18,400
CRE Spruce Haven LLC	ANAEROBIC DIGESTER, RPS CST ADG-to-Electricity Dai	26,762
	NEW CONSTRUCTION PROGRAM, RPS CST ADG-to-Electricity Dai	26,762
Cream Street Solar, LLC	NY-SUN, NY Sun	197,061
Credit Suisse USA	Industrial Process Effic, Industrial Process Efficiency	48,862
CrystalCreek Organics Inc.	OTHER PROGRAM AREA, Trial to enhance anaerobic dig	25,000
CTY, Inc	Pub Transit & Elect Rail, Data analytics for bus network	213,467
Cuba Rushford Central School	K-12 SCHOOLS, P12GC-19_E -Cuba-Rushford -PON	41,675
CubeSmart TRS Inc	>200KW PV, NY-Sun	24,720
Cutone & Company Consultants, LLC	Commercial Real Estate Ten, Cutone (LCA) - MultiSite - CTP	20,290
	Commercial Real Estate Ten, LCA - 151 W 26th St Fl 8 - CTP	9,828
Dagmy Motors Inc.	Energy Storage Tech/Prod Dev, PON 3585 R2	61,670
Dailey Electric Inc	NYCH: Talent Ppln:CE and OJT, OJT	7,680
	NYCH: Talent Ppln:CE and OJT, OJT HIRE	2,791
	NYCH: Talent Ppln:CE and OJT, Workforce Dev & Train	3,060
Darling Advertising Agency Inc.	Off-Shore Wind Master Plan, Marketing Support for NYSERDA	10,227
	Off-Shore Wind Pre-Dev Act, Marketing Support for NYSERDA	58,423
	OREC: Technical Support, TWO 8 GLW Marketing Support	25,000
David P Bruns	Low Rise New Construction, New Construction	184,800
Day Automation Systems, Inc.	K-12 SCHOOLS, P12GC-54E - Elmira Heights-PON	10,695
Dayton T. Brown, Inc.	Pub Transit & Elect Rail, Subway energy use analysis	13,181
DCF Energy Group, LLC	<200KW PV, NY-Sun	6,528
Delaware Court Apartments LLC	Tech Assistanc Multifamily LMI, FT13494 - 3 Delaware - PON	6,500
Delaware River Solar, LLC	>200KW PV, NY Sun C&I	350,242
	>200KW PV, NY Sun CI Assignment	310,089
	>200KW PV, NY-Sun C&I	324,887
	>200KW PV, NY-Sun CI Assignment	79,970
Deloitte Consulting LLP	IEDR: Program Manager, IEDR Program Manager RFP CM	817,350
Delta Connects, Inc.	Real Time Enrgy Management, Delta - 55 Water St - RTEM	344,756
	Real Time Enrgy Management, Delta - 1930 Broadway - RTEM	38,400
Delta Dental of New York	NYSERDA ADMINISTRATION, Delta Dental Prem. 2022-23	54,734
	NYSERDA ADMINISTRATION, Delta Dental Premiums 2020-202	106,393
DePaul Properties, Inc.	New Construction Housing, 2019 LRNCP	40,000
Deutsche Bank	Industrial Process Effic, Industrial Process Efficiency	31,544
DG New York CS, LLC	>200KW PV, NY Sun	637,500
	ESTOR:Retail Storage Incentive, Retail Storage	5,400,000
DG Northeast 1 LLC	>200KW PV, NY Sun	110,925
Digital Realty Trust	Industrial Process Effic, Industrial Process Efficiency	49,723
DiLernia Marine Services, Inc	OREC: Technical Support, OSW Fisheries Liaison	44,369
Dillon Klepetar	Advancing Ag Enrgy Technologie, Advancing Ag Energy Tech PON	6,281
Distributed Solar Development, LLC	>200KW PV, NY-Sun	1,099,584
District Council 37 Education Fund	Talent Pipeline:CE and OJT, PON3981 Round 3	108,616
DMV EQUITY, INC.	<200KW PV, PON 2112 NY SUN	16,128
DNV Energy Insights USA Inc.	Air Source Heat Pumps, TWO 6 - Performance Monitoring	83,027

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Contractor	Contract Description	Total Expended Amount
DNV Energy Insights USA Inc.	CI Carbon Challenge, CICC1904 - IBM Corporation	6,084
	Commercial Real Estate Ten, TWO 8 CEF Comm Impact_DNV	186,424
	Eval MCDC Solar/NY-Sun, TWO 3 - Solar PV/Energy Stor	1,217
	Eval MCDC: StatewideHP Tech.St, TWO 1 Statewide EMV Study HP	379,468
	Eval MCDC:I&R Product Dev.Stud, TWO#2 I&R Product Dev 2016-20	59,933
	EVALUATION, TWO 1 - WFD BLDG/Talent	75,216
	EVALUATION, TWO 3 - Solar PV/Energy Stor	14,284
	Geothermal Incentive Program, TWO 6 - Performance Monitoring	83,027
	Industrial Process Effic, Technical Review and Program	5,166
	K-12 SCHOOLS, TWO 8 CEF Comm Impact_DNV	40,878
	Nat'l OffShWind R&D Consortium, TWO 3 - Solar PV/Energy Stor	1,112
	NYCH: District, Concierge Services - DNV - TWO	40,880
	Off-Shore Wind Pre-Dev Act, RFP3855 Cat2 DMAC Float. LiDar	44,950
	Real Time Enrgy Management, TWO 8 CEF Comm Impact_DNV	42,344
	REV Campus Challenge, TWO 8 CEF Comm Impact_DNV	46,116
	Rmve Barriers Dist Enrgy Storg, TWO 3 - Solar PV/Energy Stor	4,449
	Solar Plus Energy Storage, TWO 3 - Solar PV/Energy Stor	3,559
	Talent Pipeline:CE and OJT, TWO 1 - WFD BLDG/Talent	107,554
	Technical Services, FT13163 - 650 Brush Ave - FTC	16,878
	Technical Services, FT13461 - Sheraton - FTC	14,000
Workforce Industry Partnership, TWO 1 - WFD BLDG/Talent	148,666	
DNV GL Energy Services USA Inc.	NEW YORK GREEN BANK, Level Solar Assessment	88,448
	TWO #3	475
DNV GL Energy USA, Inc.	Environmental Research, PV Solar Site Design- PON 4270	7,355
	High Performing Grid, Backfeed Control Testing	145,000
Do-It-With Inc.	Talent Pipeline:CE and OJT, OJT	32,784
Doherty Electric, LLC	<200KW PV, PON 2112 NY SUN	39,270
Dollaride, Inc.	Cleantech Ignition, PON 3871 Ignition Grants	4,830
	Cleantech Ignition, PON4534 NY Climate Progress R2	500,000
	Pub Transit & Elect Rail, Tech-enabled dollar vans	182,709
Donati Solar, LLC	>200KW PV, NY-Sun C&I	546,120
Dual Fuel Corp	Real Time Enrgy Management, DF - 569 W 173rd St - RTEM	360
	Real Time Enrgy Management, DF - 4526 44th Street - RTEM	225
	Real Time Enrgy Management, DF-320 East 58th St-RTEM	5,850
	Real Time Enrgy Management, Dual - 333 E 43rd - RTEM	63,000
	Real Time Enrgy Management, Dual Fuel - Multi - RTEM	32,400
	Real Time Enrgy Management, Dual Fuel-220 E 27th St-RTEM	540
	Real Time Enrgy Management, Dual Fuel-611 Academy St-RTEM	540
	Real Time Enrgy Management, Dual Fuel-Multisite-RTEM	6,762
Ducted Wind Turbines, Inc	Cleantech Ignition, PON 3871 Ignition Grants	85,600
Dunn Paper	On-Site Energy Manager, OsEM73-I - Dunn Paper	49,815
Dunsky Energy Consulting	NEW YORK GREEN BANK, NYGB Financial Market Transfor	94,122
DVM Industries	Talent Pipeline:CE and OJT, OJT HIRE	10,240
E Source Companies LLC	Informat. Products & Brokering, DER Data Platform Pilot	25,354
E-Mobility Market Services, Inc.	Talent Pipeline:CE and OJT, OJT	10,240
Eagle Creek Hydro Power LLC	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	61,750
	REC:CES REC Contracts, 11th Main Tier Solicitation	81,750
EagleHawk One, Inc.	Cleantech Ignition, NY Climate Progress	500,000

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Contractor	Contract Description	Total Expended Amount
Earth Environmental Group, LLC	RENEWABLE THERMAL, Solar Thermal	13,241
	RENEWABLE THERMAL, Solar Thermal Incentives	26,481
East Fishkill Solar LLC	>200KW PV, NY Sun	79,475
East West General Construction	NYCH: Talent Ppln:CE and OJT, OJT	7,200
	NYCH: Talent Ppln:CE and OJT, OJT HIRE	11,520
Eastern Research Group, Inc.	ENERGY ANALYSIS, TWO #1 CLCPA GHG	19,967
	Environmental Research, TWO #2 Coordinator Assessment	444,438
	EVPRZ:Implementation, Clean Transportation	58,031
Ecogy New York II LLC	>200KW PV, NY-Sun	721,280
Ecolectro Inc	Energy Storage Tech/Prod Dev, Modular Ultra-Stable Alkaline	7,920
Ecology & Environment, Inc.	Environmental Research, Owner's Engineering	100,403
Ecology and Environment Engineering	OREC: Technical Support, E&E TWO 21	248,364
EcoMarkets LLC	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	13,560
Ecosave, Inc.	NYCH: District, PON 4614 Round #1 Coney Island	161,202
Ecosystem Energy Services USA Inc.	Empire Building Challenge, EBC Tech Advisory - Ecosystem	17,675
	NYCH: Empire Build Challenge, EBC Tech Advisory - Ecosystem	17,675
Ecovis, Inc.	<200KW PV, PON 2112 NY SUN	13,745
Edison Energy, LLC	Real Time Enrgy Management, EnerActive-300 E 66th St-RTEM	16,200
	Technical Services, Indoor Air Quality TWO -Edison	16,797
EDPR NA Distributed Generation LLC	>200KW PV, NY Sun	449,026
Eiger 3970 Consultants Inc.	<200KW PV, NY-Sun	129,276
	<200KW PV, PON 2112 NY SUN	34,822
	NY-SUN, NY-Sun	147,744
Ekostinger, Inc.	Cleantech ICC Engage, Co-Investment Fund Prgm RFQL	105,000
Electric Power Research Institute	DER Integration(Intrcnct), PON4094 DER Interconnection	110,000
	High Performing Grid, "Learning" Smart Inverters	312,793
	High Performing Grid, PON 3397 CAT B	185,015
	High Performing Grid, PON 3397 CAT D	98,900
	High Performing Grid, PON 3397 Round 2 - Category D	755,315
	High Performing Grid, PON 3770	157,809
	High Performing Grid, PON4128 Future Grid Challenge	27,117
	High Performing Grid, Smart Inverter Setting Guide	35,698
	SMART GRID SYSTEMS, EPTD Smart Grid Program	160,000
Electrical Distribution Design, Inc.	High Performing Grid, Solar, Load, Outage Forecast	53,785
Elisa Miller-Out	Innovation Advisors, RFP 3859	68,759
ELP Ghent Solar LLC	>200KW PV, NY Sun	365,364
ELP Greenport Solar LLC	>200KW PV, NY Sun	325,772
ELP Kinderhook Solar LLC	>200KW PV, NY Sun	360,022
ELP Myer Solar LLC	>200KW PV, NY Sun	254,923
	NY-SUN, NY Sun	449,865
ELP Saugerties Solar LLC	NY-SUN, NY Sun	489,335
ELP Stanford Solar LLC	>200KW PV, NY Sun	637,092
	NY-SUN, NY Sun	1,124,280
ELP Union Vale Solar	>200KW PV, NY Sun	233,397
	NY-SUN, NY Sun	394,947
EMCOR Services Betlem	NYCH: Talent Ppln:CE and OJT, OJT	11,244
	NYCH: Technical Assistance, FT13725 - 100 Borinquen - FTC	4,145
	Real Time Enrgy Management, EMCOR - Multisite - RTEM	184,572

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Contractor	Contract Description	Total Expended Amount
EMCOR Services Betlem	Real Time Enrgy Management, EMCOR-St Bonaventure-RTEM	196,100
	Technical Services, FT13415 - Keurig - FTC	4,392
	Technical Services, FT13851 - 755 Jefferson - FTC	3,079
EME Consulting Engineering Group, LLC	CI Carbon Challenge, SA.034_TWO#4 - Industrial	24,064
	Commercial New Construc, SA.038A_TWO #7 - New Con	13,317
	Commercial Real Estate Ten, FlexTech Consultant Selection	3,333
	Commercial Real Estate Ten, SA.045_TWO# 6_AES PM	82,900
	Commercial Real Estate Ten, SA.052_TWO #9 - EP&E	0
	Commercial Real Estate Ten, Staff Augmentation Services	0
	Empire Building Challenge, SA.065a - TWO #12 - AES_PM	94,837
	EXISTING FACILITIES, Staff Augmentation Services	0
	Flexible Tech Assistance, Staff Augmentation Services	0
	Home Perf w Energy Star, Staff Augmentation Services	37,487
	Industrial Process Effic, SA.034_TWO#4 - Industrial	11,986
	Industrial Process Effic, Staff Augmentation Services	0
	K-12 SCHOOLS, SA.036c_TWO #8 - EP&E	35,307
	K-12 SCHOOLS, SA.052_TWO #9 - EP&E	48,528
	New Construction Housing, SA.038A_TWO #7 - New Con	57,705
	New Construction- Commercial, SA.038A_TWO #7 - New Con	17,755
	NY-SUN, Staff Augmentation Services	0
	NYCH: Comfort Home, Staff Augmentation Services	1,591
	NYCH: Technical Assistance, FT13169 - 577 First - FTC	9,054
	NYCH: Technical Assistance, FT13326 - 105-05 69th - FTC	10,000
	NYCH: Technical Assistance, FT13956 - Hughes Hall - FTC	16,635
	NYCH: Technical Assistance, Westchester Tech Services	2,000
	Real Time Enrgy Management, FlexTech Consultant Pool	66,128
	Real Time Enrgy Management, SA.056_TWO #10 - RTEM MF	78,642
	Real Time Enrgy Management, SA.073_TWO# 13_AES PM	83,325
	Renewable Heat NY, Staff Augmentation Services	10,420
	Retrofit NY, SA.057_TWO #11 - Multifamily	63,450
	REV Campus Challenge, FT13218 - Rose Hill - FTC	176,427
	REV Campus Challenge, SA.036c_TWO #8 - EP&E	0
	REV Campus Challenge, SA.052_TWO #9 - EP&E	1,473
	REV Campus Challenge, Staff Augmentation Services	0
	SA.076_TWO# 14_FS BA	14,570
	Staff Augmentation Services	56,007
Strategic Energy Manager, FT13218 - Rose Hill - FTC	0	
Strategic Energy Manager, SA.034_TWO#4 - Industrial	2,639	
Strategic Energy Manager, SA.036c_TWO #8 - EP&E	44,705	
Strategic Energy Manager, SA.044_TWO#5_EPE PM	39,822	
Strategic Energy Manager, SA.052_TWO #9 - EP&E	20,011	
Strategic Energy Manager, Staff Augmentation Services	0	
Talent Pipeline:CE and OJT, OJT HIRE	9,988	
Technical Services, EPE Team Analysis - EME TWO	11,706	
Technical Services, FT13061 - NYU Langone - FTC	54,301	
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	51,081	

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Contractor	Contract Description	Total Expended Amount
EME Consulting Engineering Group, LLC	Technical Services, Staff Augmentation Services	104,709
Empire Solar Solutions LLC	<200KW PV, PON 2112 NY SUN	366,568
Empire State Realty Trust, Inc.	Empire Building Challenge, EBC-Phase I-ESRT	75,000
	NYCH: Empire Build Challenge, EBC-Phase I-ESRT	75,000
Employee Leasing of Greater NY	NEW YORK GREEN BANK, TS.024_NYGB_Database Admin	5,445
	TS.023 - SQA_Coordinator	22,712
Empower CES, LLC	<200KW PV, NY Sun	112,500
	>200KW PV, PON 2112 NY SUN	40,023
	COMMUNITY SOLAR, PON 2112 NY SUN	5,760
	ENERGY STORAGE, PON 2112 NY SUN	187,500
Empower Equity Inc	Talent Pipeline:CE and OJT, Climate Justice Fellow PON4772	6,167
Endurant Energy LLC	NYCH: Talent Ppln:CE and OJT, OJT HIRE	9,344
ENER-G Rudox, LLC	Combined Heat and Power, CHPA - St. Mary's Hospital	123,911
	Combined Heat and Power, CHPA - The Rector	116,060
Energetic Insurance, Inc.	Novel Bus Models & Offers, 3932 R 2 Novel Business Model	125,000
Energetics, Incorporated	EVPRZ:Implementation, Prize Contractors Solicitation	42,854
Energy and Environmental Economics Inc.	>200KW PV, TWO#27 CValue&Solar Wht Papers	210,646
	ENERGY ANALYSIS, TWO 1 - CAC Scoping Plan	297,093
	ENERGY ANALYSIS, TWO 2 - BER Scenario Run	85,336
	ENERGY ANALYSIS, TWO #28 BEEM Tool & Scenarios	93,430
	ENERGY ANALYSIS, TWO#4 Policy Case Review	13,488
	ENERGY ANALYSIS, TWO#15 Solar PV Adoption Forec	776
	ENERGY ANALYSIS, TWO#21 - NG Avoided Cost Tool	11,008
	ENERGY ANALYSIS, TWO#23 CLCPA Techno-Economic	18,414
	ENVIRONMENTAL RESEARCH, TWO 1 - CAC Scoping Plan	198,062
	ENVIRONMENTAL RESEARCH, TWO#23 CLCPA Techno-Economic	17,757
	ESTOR: Implementation Support, TWO5 Energy Storage Roadmap 2	23,313
	Grid Emissions Whitepaper, TWO#26 Grid Emission Factors	18,350
	Mkt Char: Tech Assist, TWO#27 CValue&Solar Wht Papers	14,523
	NYCH: Roadmap, TWO 2 - BER Scenario Run	128,004
	Product Standards, E3 TWO#3 RFQL4810	60,000
	Product Standards, TWO #28 BEEM Tool & Scenarios	28,748
Energy Conservation & Supply, Inc.	Talent Pipeline:CE and OJT, OJT	24,419
	Talent Pipeline:CE and OJT, OJT HIRE	6,860
	Talent Pipeline:CE and OJT, Workforce Dev & Train	5,000
	WORKFORCE DEVELOPMENT, OJT HIRE	10,240
Energy Futures Group, Inc.	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION, P..	4,896
Energy Management Solutions, LLC	Talent Pipeline:CE and OJT, OJT	7,391
Energy Power investment Company, L..	LARGE SCALE RENEWABLES, Large-Scale Renewables	434,450
Energy Savers Inc	Talent Pipeline:CE and OJT, OJT HIRE	10,560
Energy Saving Solutions, LLC	Renewable Heat NY, Energy Saving Solutions- Scott	12,000
Energy Technology Savings, Inc.	Real Time Enrgy Management, Edison Prop-5020 Broadway-RTEM	3,360
	Real Time Enrgy Management, Energy Tec-108 W 107th St-RTEM	319
	Real Time Enrgy Management, Energy Tech-131 Varick St-RTEM	907
	Real Time Enrgy Management, Energy Tech-552 Main St-RTEM	1,968
	Real Time Enrgy Management, Energy Tech-645 W 45th St-RTEM	1,771
	Real Time Enrgy Management, Energy Tech-2138 1st Ave-RTEM	2,399
	Real Time Enrgy Management, Energy-2655 Richmond Av-RTEM	195,200

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Contractor	Contract Description	Total Expended Amount
Energy Technology Savings, Inc.	Real Time Enrgy Management, ETS - 70 Pine St - RTEM	13,526
	Real Time Enrgy Management, ETS - 90 Washington St - RTEM	1,080
	Real Time Enrgy Management, ETS - 525 W52nd St - RTEM	21,501
Enertiv Inc.	Cleantech Ignition, PON4534 NY Climate Progress R1	500,000
	Real Time Enrgy Management, Enertiv-10Barclay-RTEM	9,700
	Real Time Enrgy Management, Enertiv-350 E 79th - RTEM	17,479
	Real Time Enrgy Management, Enertiv-515 W 52nd	17,122
	Real Time Enrgy Management, Enertiv-Sibley 250 E Main-RTEM	4,187
	Real Time Enrgy Management, SL Green - 919 3rd Ave - RTEM	2,052
	Talent Pipeline:CE and OJT, OJT HIRE	10,240
Energie Corporation	LMI Pilots, Energy and Climate Equity	213,166
	Market Tests, NY Prize	375,001
Enica Engineering, PLLC	NYCH: Technical Assistance, FT13147 - NYPH Manhattan - FTC	5,127
	REV Campus Challenge, FT13436 - 410 W. 118th - FTC	8,163
	Technical Services, FT13348 - 777 Old Saw - FTC	9,135
Ensave, Inc.	Advancing Ag Enrgy Technologie, Advancing Ag Energy Tech PON	61,500
	Technical Services, AEEP Implementation Contractor	170,564
	Technical Services, Agricultural Best Practices	25,338
Eonix LLC	Energy Storage Tech/Prod Dev, PON 3585 R2	24,636
Equinix Inc.	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	92,761
Erdman Anthony & Associates, Inc.	Commercial New Construc, Commercial New Construction	4,212
	NYCH: Technical Assistance, FT13533 - City of Rochester	9,406
	NYSERDA ADMINISTRATION, Building 17 FlexTech Study TWO	1,284
	Technical Services, Ft13435 - 165 Court - FTC	44,796
Erie Boulevard Hydropower LP	LARGE SCALE RENEWABLES, Stewarts Bridge Hydro Project	99,204
	REC2:CES REC2 Contracts, T2RFP21-1_Baldwinsville	12,010
	REC2:CES REC2 Contracts, T2RFP21-1_Talcville	17,712
	REC:CES REC Contracts, 10th RPS Main Tier Solicitatio	10,549
	REC:CES REC Contracts, 11th Main Tier Solicitation	30,606
Erie County	CLEANER GREENER COMMUNITIES, CGC - Erie County	53,520
Erie Wind LLC	LARGE SCALE RENEWABLES, Steel Winds II (RFP1851)	140,760
ERY Retail Podium LLC	COMBINED HEAT AND POWER, Supllier Name Change	1,620,000
ESNY-PLD-BRONX LLC	>200KW PV, NY-Sun	288,765
Essense Partners Inc.	Electric Vehicles - Innovation, Marketing Support for NYSERDA	42,991
Extraterrestrial Materials Inc.	<200KW PV, PON 2112 NY SUN	60,348
FAC Sunset Park, LP	Multifam Performance Pgm, Multifamily	16,500
Faraday, Inc.	Community RH&C, RFP3761 Customer Targeting Too	88,800
	NYCH: Comfort Home, RFP3761 Customer Targeting Too	11,100
	NYCH: Supply Chain, RFP3761 Customer Targeting Too	11,100
Farmingdale, Village of	CLEANER GREENER COMMUNITIES, Village of Farmingdale	12,500
Feedback Solutions Inc.	NYCH: Innovation, Real-Time Occupancy based	39,720
Felix Schoeller Paper	Industrial Process Effic, Industrial Process Efficiency	6,761
Ficazzola Consulting, LLC	<200KW PV, NY-Sun	5,000
Fifth Avenue Committee, Inc.	NY-SUN, FAC Solar	73,619
Fifth Lenox Terrace Associates LLC	Multifam Performance Pgm, Multifamily	56,200
Fingerlakes Renewables	<200KW PV, PON 2112 NY SUN	15,890
First Columbia Property Services, LLC	NYSERDA ADMINISTRATION, Property Management	108,074
First Lenox Terrace Associates LLC	Multifam Performance Pgm, Multifamily	57,000

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Foam It Insulation, LLC	Talent Pipeline:CE and OJT, OJT	1,814
	Talent Pipeline:CE and OJT, OJT Hire	34,965
Fobare & Co. LLC	<200KW PV, PON 2112 NY SUN	6,650
ForeFront Power, LLC	>200KW PV, NY Sun	10,335
Fort Hill Development Fund Company,...	Multifam Performance Pgm, Multifamily	25,650
Fourth Coast, Inc.	<200KW PV, PON 2112 NY SUN	13,295
Fourth Lenox Terrace Associates LLC	Multifam Performance Pgm, Multifamily	56,600
Fox Television Stations, Inc.	NYCH: Technical Assistance, FT13185 - 205 East 67th - PON	12,423
Fran Corp	>200KW PV, NY-Sun C&I	185,295
Fred F. Collis & Sons, Inc.	NYCH: Talent Ppln:CE and OJT, OJT HIRE	46,803
	Talent Pipeline:CE and OJT, OJT HIRE	1,440
Fredonia Solar LLC	>200KW PV, NY Sun	121,108
Freehold Solar, LLC	>200KW PV, NY Sun	496,492
Fresenius KabiUSA, LLC	On-Site Energy Manager, OsEM44-I Fresenius KabiUSA	72,948
Frontier Energy, Inc.	ANAEROBIC DIGESTER, ADG - Frontier - TWO	10,919
	Campus/Technical Assistance, Technical Review_Prgm Support	198
	Combined Heat and Power, ADG - Frontier - TWO	17,526
	Combined Heat and Power, DG Integrated Data System	324,776
	COMBINED HEAT AND POWER, Technical Review_Prgm Support	6,522
	ESTOR: Implementation Support, TWO 1 Cat 2 Energy Storage	22,870
	ESTOR: Implementation Support, TWO 2 Cat. 3 Energy Storage	85,387
	Geothermal Incentive Program, 3695 TWO Umbrella Agreement	12,161
	Geothermal Incentive Program, Technical Review_Prgm Support	3,491
	Industrial Process Effic, IPE16229	4,006
Fund for Public Health in New York, In..	Environmental Research, Assessment for Energy Policy	38,596
Fusco Personnel, Inc.	Cleantech ICC Engage, TS.020_TBI_Coordinator	5,541
	Energy Storage Tech/Prod Dev, TS.020_TBI_Coordinator	5,541
	High Performing Grid, TS.020_TBI_Coordinator	5,541
	NYCH: Innovation, TS.020_TBI_Coordinator	5,541
	Pub Transit & Elect Rail, TS.020_TBI_Coordinator	5,541
	REC:CES REC System Dev Costs, TS.007 - LSR_Office Admin	28,688
	REC:CES REC System Dev Costs, TS.026 - LSR_Coordinator	9,555
Fusion Energy Services LLC	<200KW PV, NY-Sun	13,120
	<200KW PV, PON 2112 NY SUN	26,456
G&S Operations LLC	>200KW PV, PON 2112 NY SUN	655,760
Gas Technology Institute	ADVANCED BUILDINGS, Advanced Buildings Technology	39,000
	NYCH: Innovation, PON3519 Round 1.	17,694
GBA Commissioning Services, Inc	NYCH: Technical Assistance, FT13680 - 2 Columbus - FTC	26,669
GCOM Software LLC	NYSERDA ADMINISTRATION, Salesforce	887,150
Geatrain Engineering PLLC	Technical Services, FT13988 - New World Mall - FTC	8,905
	Technical Services, FT14043 - 31 W 34th - FTC	16,428
	Technical Services, FT14052 - 36 W 47th - FTC	21,405
General Electric Co. Global Research	Nat'l OffShWind R&D Consortium, Natl Offshore Wind R&D	260,497
	Natl Offshore Wind R&D	260,497
General Electric International, Inc.	High Performing Grid, Grid Performance Gaps	89,000
Generate Capital Inc.	<200KW PV, NY-Sun	693,393
	>200KW PV, NY Sun	165,092
	>200KW PV, NY-Sun	113,295

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Contractor	Contract Description	Total Expended Amount
Generate NY Community Solar I, LLC	>200KW PV, NY-Sun C&I	1,039,635
Generate NY Community Solar Lessor II, L	>200KW PV, NY Sun	374,531
	>200KW PV, NY Sun Assignment	125,700
	>200KW PV, NY Sun C&I	258,889
	>200KW PV, NY Sun CI Assignment	301,214
	>200KW PV, NY-Sun C&I	258,891
	>200KW PV, NY-Sun C&I Assignment	265,628
	>200KW PV, NY-Sun Full/Payee Assignment	215,033
Generate NY Community Solar Lessor III,	>200KW PV, NY-Sun C&I	214,940
	ESTOR:Retail Storage Incentive, Retail Storage	814,000
Generate NY Solar Community Lessor..	>200KW PV, NY Sun	126,075
Genesee Biogas LLC	CLEANER GREENER COMMUNITIES, CGC26970 - Genesee Biogas LLC	7,500
Genesis Housing Development Corpo..	New Construction Housing, NCP Housing	18,000
George E Denmark II	<200KW PV, PON 2112 NY SUN	8,572
Georgia Tech Research Corporation	SMART GRID SYSTEMS, Setting-less Protection Device	128,649
Georgica Green Ventures, LLC	Multifam Performance Pgm, Multifamily	64,800
Geotherm Inc.	NYCH: Talent Ppln:CE and OJT, OJT	6,414
	NYCH: Talent Ppln:CE and OJT, OJT HIRE	7,680
GI Endurant LLC	NYCH: District, PON 4614 Round #1	26,744
	NYCH: District, PON4614 Rnd #1 Innovation QNS	25,434
	NYCH: District, PON4614 Round #1 Pratt Landing	64,429
	NYCH: District, PON4614 Round #1 The Peninsula	35,425
Go Solar, LLC	<200KW PV, PON 2112 NY SUN	8,100
Goldman Copeland Associates, P.C.	Commercial Real Estate Ten, GCA - 485 Lexington Ave	5,000
	Commercial Real Estate Ten, GCA - 485 Lexington Ave - CTP	5,000
	Commercial Real Estate Ten, GCA-245 Park Ave(multisite)	15,000
	Commercial Real Estate Ten, GCA-420 Lexington Ave	10,000
	Commercial Real Estate Ten, GCA-1333 Broadway Ave	5,986
	Commercial Real Estate Ten, GCA-3300 Northern 7FI	6,986
	Commercial Real Estate Ten, GCA-Multisite	5,000
	Commercial Real Estate Ten, Goldman-60 E 42nd St Fl 44	6,990
	K-12 SCHOOLS, P12GC-12_E - Grace Church -FTC	14,984
	NYCH: Technical Assistance, FT13155 - 10 East 53rd - FTC	16,752
	NYCH: Technical Assistance, FT13750 - 20 Old Post - FTC	22,752
	REV Campus Challenge, FT13271 - 101 Ludlow - FTC	9,580
	Technical Services, AGG1007 - GoCo - Portfolio 4	45,000
	Technical Services, FT13003 - 1466 Manor - FTC	3,513
	Technical Services, FT13122 - Roxy Hotel - FTC	3,049
	Technical Services, FT13123 - Soho Grand - FTC	3,600
	Technical Services, FT13260 - 601 W 26th - FTC	29,970
	Technical Services, FT13272 - 555-557 Broad. - FTC	14,998
	Technical Services, FT13292 - 866 UN Plaza - FTC	17,986
	Technical Services, FT13308 - 750 7th - FTC	29,990
	Technical Services, FT13400 - 30 Lincoln - FTC	3,214
	Technical Services, FT13468 - Vornado - 330 W 34th	5,996
	Technical Services, FT13469 - 7 W. 34th - FTC	5,970
	Technical Services, FT13535 - Heavenly Rest - FTC	3,136
	Technical Services, FT13611 - 145 W 44th - FTC	10,260

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Contractor	Contract Description	Total Expended Amount
Goldman Copeland Associates, P.C.	Technical Services, FT13630 - 575 Madison - FTC	12,323
	Technical Services, FT13979 - 1 Park - FTC	6,104
Gotham 360 LLC	Remote Energy Management, RFP 3683 REM Program	114,780
Gowanus Green Partners LLC	NYCH: District, PON4614 Round #1 Gowanus	18,352
GPSDC New York Inc	Industrial Process Effic, Industrial Process Efficiency	320,120
Grabinski Solar LLC	>200KW PV, NY Sun	262,302
Green Action Studio, LLC	Talent Pipeline:CE and OJT, OJT	8,018
Green City Force	Talent Pipeline:CE and OJT, PON3981 Round 6	92,585
	Talent Pipeline:CE and OJT, PON3981 WFD Capacity Building	51,975
Green Eagle Solar VI, LLC	>200KW PV, NY Sun CI Assignment	206,950
	>200KW PV, NY-Sun	211,933
	>200KW PV, NY-Sun C&I	1,250,107
Green Home Logic, Inc.	WORKFORCE DEVELOPMENT, OJT HIRE	6,800
	WORKFORCE DEVELOPMENT, OJT Hire Ferrara	8,000
Green Hybrid Energy Solutions Inc.	<200KW PV, PON 2112 NY SUN	7,945
	>200KW PV, PON 2112 NY SUN	14,400
Green Light New York, Inc.	Commercial Real Estate Ten, Energy Efficiency Training TWO	72,743
Green Street Power Partners LLC	>200KW PV, PON 2112 NY SUN	445,896
Green Team USA, LLC	NYCH: Talent Ppln:CE and OJT, OJT HIRE	15,615
	WORKFORCE DEVELOPMENT, OJT HIRE	4,707
Green Visions Solar LLC	<200KW PV, NY-Sun	18,492
GreenLogic, LLC	ENERGY STORAGE, PON 2112 NY SUN	6,250
GreenStar Cooperative Market	Commercial New Construc, Commercial New Construction	35,878
Greenville NY 1, LLC	>200KW PV, NY-Sun C/I	119,422
Greenway Apartments Vintage, LLC	Multifam Performance Pgm, Multifamily	8,400
Greenwood Dairy Farm, LLC	ANAEROBIC DIGESTER, RPS CST ADG to Electricity Pro	30,442
	NEW CONSTRUCTION PROGRAM, RPS CST ADG to Electricity Pro	30,442
Grid City Electric Corp	<200KW PV, NY-Sun	19,272
	>200KW PV, NY-Sun	4,818
	>200KW PV, PON 2112 NY SUN	82,467
GridEdge Networks, Inc.	High Performing Grid, Power Grid Innovation	163,200
Groundswell, Inc.	NY-SUN, PON 3414 Exchange St Rochester	30,000
Group-S LLC	Flexible Tech Assistance, FT12224-2 CharltonHouseCHP-FTC	28,500
	NYCH: Technical Assistance, Natural Gas Constrained Areas	30,000
	Real Time Enrgy Management, Group S - 308 W 103 St - RTEM	1,800
	Real Time Enrgy Management, SGRp-280 Collins-RTEM	25,530
	Talent Pipeline:CE and OJT, OJT HIRE	16,581
	Technical Services, FT13098 - 57 Reade - FTC	11,500
	Technical Services, FT13102 - 333 E 69th - FTC	20,150
	Technical Services, FT13136 - 43 E 53rd St - FTC	8,950
	Technical Services, FT13179 - 1293 Broadway - FTC	10,500
	Technical Services, FT13183 - D&D Building - FTC	18,800
	Technical Services, FT13234 - 42 W 39th - FTC	14,800
	Technical Services, FT13242 - 11 Chapel - FTC	9,750
Technical Services, FT13296 - 47-25 34th - FTC	13,000	
Technical Services, FT13361 - 375 Pearl - FTC	8,000	
GSPP Avenue H, LLC	>200KW PV, NY-Sun	191,808
GSPP SP 1 55-30 58th St., LLC	>200KW PV, NY-Sun C&I	130,261

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Contractor	Contract Description	Total Expended Amount
GSPP SP 2 Sing Po, LLC	>200KW PV, NY-Sun C&I	55,536
Guidehouse Inc.	Advancing Ag Enrgy Technologie, RFQ3183 Umbrella Agreement	1,590
	Energy Storage Tech/Prod Dev, RFQ3183 Umbrella Agreement	1,116
	ENVIRONMENTAL RESEARCH, TWO #3 HFC Mitigation	12,144
	Greenhouse Light & Systems Eng, RFQ3183 Umbrella Agreement	1,590
	Healthy Homes VB Payment Pilot, TWO 3 NYS Healthy Homes VBP	48,053
	NEW YORK GREEN BANK, TWO #1 - Price Forecast	67,499
	NYCH: LMI, TWO 5	72,997
	REV Connect, REV Connect Initiative	173,197
	Rmve Barriers Dist Enrgy Storg, RFQ3183 Umbrella Agreement	1,075
	Technical Services, RFQ3183 Umbrella Agreement	1,590
Gutchess Lumber Company	Industrial Process Effic, Industrial Process Efficiency	43,974
Guth Deconzo Consulting Engineers	Technical Services, FT13631 - Menorah Center - FTC	6,991
	Technical Services, IAQ-Higher Education-Guth TWO	19,000
	Technical Services, Indoor Air Quality TWO - Guth	2,535
Halcyon Inc.	Novel Bus Models & Offers, Clean Energy as a Service	92,382
	NYCH: Talent Ppln:CE and OJT, OJT	46,962
	Talent Pipeline:CE and OJT, OJT	12,804
Halcyon, Inc.	<200KW PV, NY-Sun	21,216
	NYCH: Talent Ppln:CE and OJT, OJT HIRE	78,531
	Talent Pipeline:CE and OJT, OJT HIRE	8,607
Hamilton College	REV Campus Challenge, RM31-Hamilton College	154,000
Harolds Holding LLC	Multifam New Construction, New Construction	65,560
Harris Beach PLLC	Code to Zero, Codes	1,079
	NYSERDA ADMINISTRATION, On Bill Financing Doc	5,387
	NYSERDA ADMINISTRATION, Real Estate Issues	3,663
	SARATOGA TECHNOLOGY & ENERGY PARK, RFP 3300 Outside Couns..	2,053
Harrisburg University of Science and ..	Environmental Research, spatial and temporal variation	110,254
Harvest Power, LLC	<200KW PV, NY-Sun	2,376
	>200KW PV, NY-Sun	3,564
	ENERGY STORAGE, PON 2112 NY SUN	6,250
Hatch Associates Consultants, Inc.	OREC: Technical Support, OSW Mesh Grid Technical Appen	40,109
Hawn Heating & Energy Services LLC	NYCH: Talent Ppln:CE and OJT, OJT HIRE	16,249
Hazen & Sawyer, P.C.	ENVIRONMENTAL RESEARCH, Climate & algal blooms	159
HDFC 185 East 2nd Street Corp.	Technical Services, FT13151 - 185 East - PON	6,250
Healthy Home Energy & Consulting, I..	Talent Pipeline:CE and OJT, OJT	3,804
Heat Keepers, Inc.	NYCH: Talent Ppln:CE and OJT, OJT	2,945
Hebrew Home for the Aged at Riverdale	COMBINED HEAT AND POWER, CHP Performance - PON2701	1,400,000
Helios NY I, LLC	>200KW PV, NY-Sun	99,838
	>200KW PV, NY-Sun C&I	125,775
Helix Power Corporation	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Advanced Clean..	362,333
Henkel US Operations Corporation	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	42,840
Henningson, Durham & Richardson P..	OREC: Technical Support, RFQL 3685 Umbrella Contract	253,931
HEVO Inc.	Cleantech Ignition, PON4534 NY Climate Progress R1	500,000
Hi TECH HVAC Services CORP	NYCH: Talent Ppln:CE and OJT, OJT	48,457
	NYCH: Talent Ppln:CE and OJT, OJT HIRE	22,976
	Talent Pipeline:CE and OJT, OJT	0
	Talent Pipeline:CE and OJT, OJT HIRE	0

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Hodgson Russ LLP	NYSERDA ADMINISTRATION, EmPower Claim Costs	1,890
Holland & Knight LLP	NEW YORK GREEN BANK, RFP 12 - NYGB Legal Services	154,621
	NYSERDA ADMINISTRATION, RFP 12 - NYGB Legal Services	16,589
	OREC: Technical Support, RFP 12 - NYGB Legal Services	22,856
Hollingsworth & Vose Company	On-Site Energy Manager, OsEM49-I Hollingsworth & Vose	54,837
Honeywell International Inc.	3695 TWO Umbrella Agreement	49,358
	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, 3695 TWO U..	0
	EMPOWER NY, 3695 TWO Umbrella Agreement	15,659
	Home Perf w Energy Star, 3695 TWO Umbrella Agreement	532,845
	RENEWABLE HEAT NY, RHHY Pellet Stove QA Services	2,396
Hope Solar Farm, LLC	>200KW PV, NY Sun C&I	229,924
Housing Trust Fund Corporation	New Construction Housing, HCR 2021	7,500,000
Howard Wind LLC	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	84,471
	LARGE SCALE RENEWABLES, Howard Wind Farm	542,414
	LARGE SCALE RENEWABLES, Howard Wind Farm - Expansion	116,024
HUB Controls USA Inc	Cleantech Ignition, PON 3871 Ignition Grants	8,650
Hudson River Renewables	<200KW PV, PON 2112 NY SUN	40,380
Hudson Valley Clean Energy Inc.	<200KW PV, NY-Sun	143,780
	<200KW PV, PON 2112 NY SUN	17,500
	NY-SUN, NY-Sun	123,240
Hudson Valley Community College	Talent Pipeline:CE and OJT, PON3981 Round 3	27,609
	Talent Pipeline:OSW Training, OWTI Workforce Training	2,622
Hudson Valley Wind Energy, LLC	<200KW PV, PON 2112 NY SUN	15,092
HyperGen Inc	NYSERDA ADMINISTRATION, PeopleSoft Support Services	539,429
Hytech Solar Inc	ENERGY STORAGE, PON 2112 NY SUN	6,250
IBM - East Fishkill Site	Industrial Process Effic, Industrial Process Efficiency	72,779
iCatalysts LLC	Innovation Advisors, Innovation Advisor - Innov Ops	15,600
ICF Resources, LLC	ADVANCED ENERGY CODES, ECode Microsite	0
	Campus/Technical Assistance, Natural Gas Constrained Area	50,981
	CLEAN TRANSPORTATION, TWO # 10	79,299
	Code to Zero, ECode Microsite	2,043
	Combined Heat and Power, TWO #5 - RNG Potential	7,392
	ENERGY ANALYSIS, RFQL 3685 - Flexergy 3.0	970
	ENERGY ANALYSIS, TWO #4 - Statewide NG Study	95,304
	ENERGY ANALYSIS, TWO#9 NYS Elect System Model	44,479
	Environmental Research, TWO #5 - RNG Potential	1,848
	Environmental Research, TWO #6 Climate Technical Asst.	7,812
	ENVIRONMENTAL RESEARCH, TWO #8 Electricity System Mode	1,846
	ENVIRONMENTAL RESEARCH, TWO#9 NYS Elect System Model	80,000
	Eval MCDC:I&R Macroeconomic St, Tech Assist, REV Pool	61,358
	Mkt Char: Tech Assist, TWO #4 - Statewide NG Study	0
	NYCH: District, PON 4614 Round #2 Identify Ops	110,140
ICONICS, Inc.	Real Time Enrgy Management, ICONICS - Multisite - RTEM	59,929
IGS Solar, LLC	<200KW PV, PON 2112 NY SUN	5,950
IGS Ventures, Inc.	>200KW PV, NY Sun	17,481
IKEA US Retail LLC	Fuel Cells, Fuel Cell Incentive - FC-022	144,375
	Fuel Cells, Fuel Cell Incentive - IKEA 1 B	82,500
Illume Advising LLC	EVAL MCDC: DAC Barriers/Opport, TWO No 1 - DAC Barriers Report	280,637

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Contractor	Contract Description	Total Expended Amount
Illume Advising LLC	Eval MCDC:Climate Act Benefits, TWO #2 - DAC Benefits	74,415
Incorporated Villlage of Philmont	CEC400097 - Villlage of Philmon	22,500
	Clean Energy Communities, CEC400097 - Villlage of Philmon	3,750
Industrial Economics, Incorporated	CLEAN TRANSPORTATION, TWO 2 New York State Truck – V	120,472
	Community Energy Engagement, TWO1 - CEEP Evaluation	11,324
	Electric Vehicles - Innovation, TWO2 - CT Evaluation	61,066
	Electric Vehicles - Rebate, TWO2 - CT Evaluation	122,132
	ENERGY ANALYSIS, TWO 1 EE Supply Curve Analysis	14,162
	Environmental Research, TWO#4 Climate Econ. Impact	106,261
	Mkt Char: Tech Assist, TWO 3 Utility Outages Phase II	13,634
	OTHER PROGRAM AREA, Market Evaluation Dev. Study	136,744
	OTHER PROGRAM AREA, TWO 2 New York State Truck – V	0
	Product Standards, TWO 1 EE Supply Curve Analysis	4,046
	Pub Transit & Elect Rail, TWO2 - CT Evaluation	14,411
INF Associates LLC	NYCH: Technical Assistance, FT13795 - 5 Times Sq. - FTC	9,216
	NYCH: Technical Assistance, FT13796 - 37-18 Northern - FTC	9,216
	NYCH: Technical Assistance, FT13797 - 32 Old Slip - FTC	9,216
	NYCH: Technical Assistance, FT13798 - 1285 AoA - FTC	9,216
Infinite Invention	Cleantech ICC Engage, Co-Investment Fund Prgm RFQL	40,000
	High Performing Grid, ConnectDER Monitor & Control	402,200
	High Performing Grid, Meter Adapt for Energy Storage	418,675
Infinity Solar Systems, LLC	<200KW PV, PON 2112 NY SUN	91,176
Institute for Building Technology and Sa	>200KW PV, TWO 3 CAT 1 NY-Sun Large C&I	69,825
	ESTOR: Implementation Support, TWO 2 Cat 1 Energy Storage	3,848
	NY-SUN, TWO 4 NYSUN Res NonRes	610,407
Institute for Market Transformation	NYCH: Innovation, VHE HVAC	13,514
Integral Building & Design, Inc.	Talent Pipeline:CE and OJT, OJT	12,335
Integrated HVAC Systems and Services	Real Time Enrgy Management, Int.HVAC- 40 Debevoise St-RTEM	118,500
	Real Time Enrgy Management, Integrated HVAC - 894 Fountain	143,840
	Real Time Enrgy Management, Integrated-10 Schroeders-RTEM	151,280
	Real Time Enrgy Management, Integrated-702 Vandalia-RTEM	69,858
	Real Time Enrgy Management, Integrated-940 Garrison-RTEM	10,000
	Real Time Enrgy Management, Integrated-3446 Vernon -RTEM	151,250
	Real Time Enrgy Management, IntegratedHVA-911 Erskine-RTEM	151,280
Integrated Solar Technology, LLC	OTHER PROGRAM AREA, Technology to Market	50,000
Integrity Solar Solutions, LLC	<200KW PV, PON 2112 NY SUN	30,166
International Business Machines	CI Carbon Challenge, C&I Carbon Challenge	39,959
	Technical Services, FT13294 - 1 North Castle - PON	33,948
IPPsolar Integration LLC	<200KW PV, NY-Sun	75,477
	NY-SUN, NY-Sun	8,240
IRN 694 Binnewater LLC	<200KW PV, NY-Sun	61,582
Isaac TEC LLC	NYCH: Talent Ppln:CE and OJT, PON3981 Round 11	6,598
Ithaca Electricians Inc.	NYCH: Talent Ppln:CE and OJT, OJT	4,887
Ithaca Neighborhood Housing Service..	On-Site Energy Manager, OsEM45-M - INHS	28,673
J Synergy Green Inc	WORKFORCE DEVELOPMENT, OJT	6,425
	WORKFORCE DEVELOPMENT, OJT HIRE	16,042
J Synergy Solar LLC	<200KW PV, NY-Sun	5,840
	COMMUNITY SOLAR, PON 2112 NY SUN	19,232

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Contractor	Contract Description	Total Expended Amount
J. Grace Corporation	NYCH: Talent Ppln:CE and OJT, OJT HIRE	8,190
	Talent Pipeline:CE and OJT, OJT HIRE	10,080
Jaros, Baum & Bolles	Market Tests, Market Insights	230,152
	NYCH: Technical Assistance, FT13024 - NYU - FTC	-40,343
	NYCH: Technical Assistance, FT13498 - 1271 AoA - FTC	33,179
	NYCH: Technical Assistance, FT13744 - 432 Park - FTC	12,156
	NYCH: Technical Assistance, FT13803 - 1301 AoA - FTC	39,656
	REV Campus Challenge, FT13024 - NYU - FTC	40,343
	Technical Services, FT13350 - 55 Water - FTC	45,614
	Technical Services, Indoor Air Quality TWO - JB&B	31,365
JBI Construction Group	>200KW PV, PON 2112 NY SUN	89,208
JC Solutions LLC	Nat'l OffShWind R&D Consortium, Natl Offshore Wind R&D	47,500
	Natl Offshore Wind R&D	47,500
Jefferson Tenants Corp.	Technical Services, FT13595 - 55 E 9th - PON	2,825
JEM ENGINEERING SERVICES	High Performing Grid, PN3770 Model Fault overvoltage	19,583
Jericho Rise Wind Farm, LLC	REC:CES REC Contracts, 9th RPS Main Tier Solicitation	2,549,568
Jill Joseph Tower, LLC	Multifam Performance Pgm, Multifamily	57,150
John Betlem Heating & Cooling Inc	NYCH: Talent Ppln:CE and OJT, OJT	8,969
	NYCH: Talent Ppln:CE and OJT, OJT HIRE	47,550
	Talent Pipeline:CE and OJT, OJT HIRE	11,211
John Siegenthaler	Renewable Heat NY, RFP 3165 Hydronic System Desig	4,200
Jones Lang LaSalle Americas, Inc.	Commercial Real Estate Ten, JLL Americas-Multisite	12,218
	On-Site Energy Manager, OsEM25-I - IBM North Castle	35,915
	On-Site Energy Manager, OsEM29-I - IBM Poughkeepsie	19,698
	On-Site Energy Manager, OsEM61-I - IBM Yorktown	149,820
Joseph R Chimera	WEST VALLEY DEVELOPMENT PROGRAM, Ops and Maintenance	510,702
Joseph Technology Corporation,	NYCH: District, PON4614 Round #1 Guidebook	30,000
Joule Assets Inc	CLEANER GREENER COMMUNITIES, CGC57954 - Joule Assets	37,500
JouleSmart Solutions, Inc.	Real Time Enrgy Management, Joule Smart-Multisite-RTEM	4,434
	Real Time Enrgy Management, JouleSmart - MultiSite - RTEM	20,505
	Real Time Enrgy Management, JouleSmart- 97 Lake Ave - RTEM	2,861
Kamtech Restoration Corp	<200KW PV, NY-Sun	5,760
	<200KW PV, PON 2112 NY SUN	5,000
Karpman Consulting, LLC	Code to Zero, KARPMAN TWO#1 Training	134,076
	Code to Zero, TWO #1	371
Kasselman Solar LLC	<200KW PV, NY-Sun	93,516
	<200KW PV, PON 2112 NY SUN	375,109
Kawi Energy Group Corp.	Commercial Real Estate Ten, Kawi Energy Group - Multisite	42,608
	Commercial Real Estate Ten, Kawi Energy Group-Multisite	50,051
	Commercial Real Estate Ten, Kawi-1 Liberty Plaza FI38-39	9,018
	Talent Pipeline:CE and OJT, OJT HIRE	30,464
Kearns & West, Inc.	Consumer Ed and Market Support, TWO 1 - RMAG	52,513
	Energy Storage Tech/Prod Dev, TWO 7 - H2 public outreach sup	57,271
	Environmental Research, TWO 4 Learning from Experts	23,874
Keiryn Ross	Workforce Industry Partnership, PON 3715 (R6) BOM	16,550
Kelliher Samets LTD	Air Source Heat Pumps, Marketing Support for NYSERDA	17,841
	BR: Program Implementation, TWO 43 Build Ready Marketing	35,233
	Capital Planning, TWO 38 MF Low Carbon	1,875

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Kelliher Samets LTD	Clean Energy Communities, TWO 29 Global Paid Search	4,000
	Clean Energy Hub, TWO44: Clean Energy Hubs Mktg	37,513
	Code to Zero, TWO 26 Codes Marketing	4,845
	Commercial Real Estate Ten, Marketing Support for NYSERDA	645
	Community RH&C, Marketing Support for NYSERDA	44,603
	Consumer Awareness, KSV TWO 30 Consumer Awareness	678,349
	Consumer Ed and Market Support, KSV TWO 38 Heat Pump Planner	11,324
	Consumer Ed and Market Support, Marketing Support for NYSERDA	107,477
	Consumer Ed and Market Support, TWO#45 SFR	3,640
	ENERGY ANALYSIS, KSVTWO 37: Climate Act Website	6,163
	Flexible Tech Assistance, Marketing Support for NYSERDA	1,038
	Geothermal Incentive Program, Marketing Support for NYSERDA	44,603
	GJGNY Market Rate Audits, TWO#45 SFR	127
	Home Perf w Energy Star, KSV TWO 32 LMI Website Hub	119,451
	Home Perf w Energy Star, Marketing Support for NYSERDA	4,038
	Home Perf w Energy Star, TWO#45 SFR	510
	Industrial Process Effic, TWO 23: Industrial Mktg	789
	KSV TWO 41 Loan Loss Reserve	54,053
	KSV TWO 42 IPNA Bridge Loan	7,395
	LMI Marketing, KSV TWO 32 LMI Website Hub	427,890
	Market Tests, TWO 22 Building Labeling Mkt	25,608
	New Construction Housing, TWO 28 Carbon Neutral Bldgs	40,127
	New Construction- Commercial, TWO 28 Carbon Neutral Bldgs	20,063
	NY-SUN, Marketing Support for NYSERDA	34,536
	NYCH: Comfort Home, TWO#45 SFR	2,184
	NYCH: Consumer Awareness, KSV TWO 34 NYS Clean Heat	1,833,317
	NYCH: Critical Tools, KSV TWO 38 Heat Pump Planner	11,324
	NYCH: District, TWO40:Community Heat Pumps MKT	47,508
	NYCH: LMI, KSV TWO 38 Heat Pump Planner	11,324
	NYCH: Technical Assistance, TWO#45 SFR	601
	NYSERDA ADMINISTRATION, KSV TWO 36 Website User Exper	36,338
	NYSERDA ADMINISTRATION, TWO 29 Global Paid Search	1,120
	On-Site Energy Manager, TWO 23: Industrial Mktg	1,053
	Pay for Performance, KSVTWO39: Business Energy Pro	2,773
Pay for Performance, TWO#45 SFR	1,820	
Real Time Enrgy Management, Marketing Support for NYSERDA	1,474	
Real Time Enrgy Management, TWO 23: Industrial Mktg	526	
Renewable Heat NY, Marketing Support for NYSERDA	5,947	
Retrofit NY, Marketing Support for NYSERDA	23,435	
Strategic Energy Manager, TWO 23: Industrial Mktg	789	
Talent Pipeline:CE and OJT, TWO 21 WFD Talent Pipeline Mkt	4,746	
Talent Pipeline:Internship Pgm, TWO 21 WFD Talent Pipeline Mkt	949	
Key Capture Energy, LLC	ESTOR:Bulk Storage Incentive, Bulk Storage Incentive	340,313
Kilowatt Engineering, Inc.	Commercial Real Estate Ten, FlexTech Consultant Selection	9,931
	Industrial Process Effic, Industrial Process Efficiency	19,061
	Industrial Process Effic, IPE16261	5,506
	Industrial Process Effic, IPE16265	3,292
	Remote Energy Management, RFP 3683 REM Program	81,049

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Kinetic Communities Consulting Corporati	NYCH: Talent Ppln:CE and OJT, OJT	1,536
	NYCH: Talent Ppln:CE and OJT, OJT HIRE	10,496
	Talent Pipeline:CE and OJT, OJT HIRE	18,122
	WORKFORCE DEVELOPMENT, OJT HIRE	9,040
Kingsley House Owner LP	Multifam Performance Pgm, Multifamily	32,800
Kingston, City of	Clean Energy Communities, City of Kingston	70,500
KPMG LLP	NEW YORK GREEN BANK, Audit Services	35,200
	NYSERDA ADMINISTRATION, Audit Services	0
KRN CG LLC	Multifam Performance Pgm, Multifamily	67,200
L&M Builders Group LLC	New Construction Housing, 2019 MFCNP	62,200
L&S Energy Services, Inc.	ANAEROBIC DIGESTER, RPS-CST Quality Assurance/Qual	11,150
	Campus/Technical Assistance, L&S Technical Review - TWO	8,226
	Code to Zero, TWO #1	9,072
	Commercial Real Estate Ten, FlexTech Consultant Selection	24,636
	Flexible Tech Assistance, L&S GJGNY Energy Audits	179,187
	Flexible Tech Assistance, L&S Technical Review - TWO	19,158
	GJGNY REVOLVING LOAN FUND, L&S GJGNY Energy Audits	43,673
	Industrial Process Effic, IPE16220	2,867
	Industrial Process Effic, Umbrella Contract	10,561
	K-12 SCHOOLS, L&S Technical Review - TWO	8,398
	NYCH: Technical Assistance, L&S GJGNY Energy Audits	200,000
	On-Site Energy Manager, Umbrella Contract	14,926
	Pay for Performance, L&S Technical Review - TWO	6,328
	REV Campus Challenge, L&S Technical Review - TWO	3,037
	REV Campus Challenge, RM43 - Paul Smith's College	8,561
Technical Services, AGG1004 - L&S Energy Services	4,518	
Technical Services, L&S Technical Review - TWO	44,461	
Technical Services, Tech Review - OsEM	19,101	
La Central Manager II LLC	New Construction Housing, 2019 MFCNP	43,100
LaBella Associates, P.C.	BR: Prospecting, Site Prospecting Services	245,766
	Flexible Tech Assistance, FT12278 - 3 Pultney - FTC	1,929
	Geothermal Incentive Program, Large-Scale GSHP Rebate	218,000
	K-12 SCHOOLS, P12GC-51E - Rome CSD - FTC	11,728
	K-12 SCHOOLS, P12GC-52E - Hornell CSD - FTC	23,481
	New Construction- Commercial, Commercial New Construction	607
	NYCH: Technical Assistance, FT13363 - 30 Campus - FTC	53,704
	Rmve Barriers Dist Enrgy Storg, FT13467 - 95 Perry - FTC	48,000
Technical Services, FT13437 - 711 North - FTC	20,304	
Lake Breeze Fruit Farms Inc	>200KW PV, NY Sun	73,248
Lake Country Geothermal, Inc.	NYCH: Talent Ppln:CE and OJT, OJT HIRE	14,400
Lakeview Mental Health Services, Inc.	New Construction Housing, 2019 LRNCP	56,000
Landau Solar, LLC	>200KW PV, NY Sun	327,474
Lapeer-Cortland Solar, LLC	>200KW PV, NY Sun	2,250,000
Launch New York, Inc.	Cleantech Incubator, Launch NY ECO Incubator	204,500
Lawrence Avenue Community Partner..	Multifam Performance Pgm, Multifamily	36,127
Lefrak Estates LP	Workforce Industry Partnership, PON 3715 Workforce Training	99,764
Lemle & Wolff Development Company..	NY-SUN, Lemle & Wolff Community Solar	75,000
Levitan & Associates, Inc.	>200KW PV, TWO 2 CES Solicitation Support	299,849

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Levitan & Associates, Inc.	CI Engy Siting & Soft Cost Red, TWO 2 CES Solicitation Support	175,624
	NY-SUN, TWO 1 Future of Solar White Pp	-114,280
	OREC: Technical Support, Large-Scale Renewables	199,165
	OREC: Technical Support, TWO#3 ORECRFP22 Support	68,711
	REC4:CES REC4 Tech Support, TWO 2 CES Solicitation Support	167,333
	REC:CES REC System Dev Costs, Large-Scale Renewables 2020 So	146,751
	REC:CES REC System Dev Costs, TWO 2 CES Solicitation Support	0
	TWO 1 Future of Solar White Pp	206,851
Liberty Square Associates LLC	New Construction Housing, 2019 LRNCP	53,000
Libolt & Sons, Inc.	Low Rise New Construction, New Construction	18,750
Light Green Machines LLC	Pub Transit & Elect Rail, Lightweight bus chassis develo	52,933
Lime Hollow Solar, LLC	>200KW PV, NY-Sun C&I	375,997
Lincoln Center for the Performing Arts	Technical Services, OsEM10-Lincoln Center Perform	10,984
Little Falls Solar I, LLC	>200KW PV, NY Sun	153,222
Little Falls Solar, LLC	>200KW PV, NY Sun	138,821
Livingston Energy Group	Talent Pipeline:CE and OJT, OJT	13,850
Local 32BJ Thomas Shortman Training	Talent Pipeline:CE and OJT, PON3981 WFD Capacity Building	6,861
Loeb & Loeb LLP	NEW YORK GREEN BANK, RFP 12 - NYGB Legal Services	16,997
Long Island High Technology Incubat..	Cleantech Incubator, PON3413 Clean Energy Incubator	270,000
Long Island Power Authority	NY-SUN, LIPA MOU RGGI Compliance Progr	-10,000,000
	NY-SUN, MOU - 3 year term	20,000,000
Long Island Power Solutions	<200KW PV, PON 2112 NY SUN	78,091
	COMMUNITY SOLAR, NY-Sun	7,752
	ENERGY STORAGE, NY-Sun	7,200
	ENERGY STORAGE, PON 2112 NY SUN	5,050
Long Island Progressive Coalition	COMMUNITY SOLAR, PON 3414 - Long Beach HA	56,475
Loring Consulting Engineers, Inc.	Technical Services, FT13063 - 333 East 38th - FTC	45,262
	Technical Services, FT13973 - 660 First - FTC	3,820
LR Wheatfield Solar 1, LLC	>200KW PV, NY-Sun C&I	447,643
Luthin Associates, Inc.	Informat. Products & Brokering, Market Engagement support	57,470
	Real Time Enrgy Management, Market Engagement support	57,470
M.J. Beck Consulting LLC	REC:CES REC System Dev Costs, TWO 4 - RESRFP21-1 TEP IE	40,500
M/E Engineering, P.C.	Commercial New Construc, Commercial New Construction	895
	K-12 SCHOOLS, P12GC-9_E - Cortland CSD - FTC	23,075
	New Construction- Commercial, Commercial New Construction	9,925
	NYCH: District, PON 4614 Rd #1 Syracuse U	18,000
	NYCH: Technical Assistance, FT13581 - SUNY Cortland - FTC	16,168
Main Street Lofts Yonkers, LLC	Technical Services, FT13457 - 66 Main - PON	11,975
Malcarne Contracting, Inc.	NYCH: Talent PpIn:CE and OJT, OJT HIRE	10,677
Manifold Robotics, Inc.	High Performing Grid, PON4074 High Perfrm Grid Prgr	15,000
Manlius Acad LLC	Multifam Performance Pgm, Manlius Academy Apartments,	34,600
Mannino Electric, Inc.	<200KW PV, PON 2112 NY SUN	11,760
Marathon Solar Farm II, LLC	>200KW PV, NY- Sun C&I	167,895
Marathon Solar Farm, LLC	>200KW PV, NY-Sun C&I	171,890
Marble River Wind Farm LLC	LARGE SCALE RENEWABLES, Marble River Wind Farm	4,786,946
Marsh Hill Energy, LLC	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	859,457
Marshall & Sterling, Inc.	NYSERDA ADMINISTRATION, RFP 4301 Insurance	10,549
Martin Energy Group Services, LLC	Combined Heat and Power, CHPA - VAMC Albany Samuel	343,929

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Contractor	Contract Description	Total Expended Amount
Martin Energy Group Services, LLC	Combined Heat and Power, CHPA-Amalgamated Housing Corp	135,498
Masaryk Towers Corp.	Multifam Performance Pgm, Multifamily	249,750
Max Solar Inc	<200KW PV, PON 2112 NY SUN	50,876
McCarthy Solar, LLC	>200KW PV, NY Sun	327,474
McCloskey Community Services Corp..	New Construction Housing, 2020 LRNCP	75,200
McMahon and Mann Consulting Engineers	WEST VALLEY DEVELOPMENT PROGRAM, Engineering Services WV	18,250
	WEST VALLEY DEVELOPMENT PROGRAM, TWO #6 Engineering Servic..	119,221
	WEST VALLEY DEVELOPMENT PROGRAM, TWO#7 Geotech Investigati..	44,179
MDRC	Pay for Success CE Training	201,618
Meadowbrook Reality Holding LLC	Multifam Performance Pgm, Multifamily	18,000
Mechanical Solutions, Inc.	NYCH: Innovation, Two Stage Centrifugal Compress	12,000
Meister Consultants Group, Inc.	REV Campus Challenge, Efficiency Planning & Engineer	38,152
Meltek Inc.	Talent Pipeline:CE and OJT, OJT HIRE	7,680
MEP Geothermal Engineering, PLLC	NYCH: District, PON 4614 Round #1 Fleet	90,000
	NYCH: District, PON4614 Round #1 Children's V	60,706
Metro IAF	IMS Metro IAF TWO - Anchor Ins	0
	Market Tests, IMS Metro IAF TWO - Anchor Ins	197,750
	NYCH: Technical Assistance, IMS Metro IAF TWO - Anchor Ins	28,250
Michaels Energy, Inc.	Evaluation External, TWO 2 - Impact Eval PM Assist	22,458
	On-Site Energy Manager, TWO 1 - EMP Impact Evaluation	44,438
	Strategic Energy Manager, TWO 1 - EMP Impact Evaluation	14,813
Michelangelo Preservation LLC	Multifam Performance Pgm, Multifamily	24,700
MicroEra Power, Inc.	NYCH: Innovation, Multi-mode TES & Commercial He	23,354
Milea Truck Sales Inc	CLEAN TRANSPORTATION, NYT-VIP	545,455
	CLEAN TRANSPORTATION, NYTVIP	109,091
MIMiC Systems Inc	NYCH: Innovation, NextGen HVAC Innovation	14,000
Minisink Solar LLC	>200KW PV, NY Sun	111,045
Mintz, Levin, Cohn, Ferris, Glovsky and	Cleantech Ignition, RFP 12 - NYGB Legal Services	72,112
MIR Queens Place, LLC	Technical Services, FT13318 - 88-01 Queens - PON	3,765
MJW Technical Services, Inc.	WEST VALLEY DEVELOPMENT PROGRAM, Radiation Protection Support	145,219
Mobileware Inc	Pub Transit & Elect Rail, On-demand commuter carpooling	95,510
Mohawk Valley Economic Development Dist.	CLEANER GREENER COMMUNITIES, CEEP Mohawk Valley Region (MVE)	13,320
	OTHER PROGRAM AREA, CEEP Mohawk Valley Region (MVE)	57,927
Molloy College	CLEANER GREENER COMMUNITIES, CGC42044 - Molloy College	113,886
Montefiore Medical Center	Workforce Industry Partnership, PON 3442	33,250
Morgan Stanley Services Holding, LLC	REC:CES REC Contracts, 10th RPS Main Tier Solicitatio	28,920
Mount Hope Solar 1, LLC	>200KW PV, NY-Sun C&I	230,930
Mount Sinai Medical Center	Flexible Tech Assistance, FT12248-Mt Sinai-Brooklyn-PON	17,850
	Technical Services, OsEM - Mount Sinai Hospital	7,000
	Technical Services, OSEM34-C - Mount Sinai West	50,000
	Technical Services, OsEM35 - Mount Sinai St Lukes	50,000
MR. AIR NYC Corp.	NYCH: Talent Ppln:CE and OJT, OJT	513
	NYCH: Talent Ppln:CE and OJT, OJT HIRE	20,480
	Talent Pipeline:CE and OJT, OJT	0
MyPower Corp	>200KW PV, NY Sun C&I	842,689
	>200KW PV, NY Sun CI Assignment	201,258
	>200KW PV, NY-Sun	322,147
	>200KW PV, NY-Sun Assignment	145,548

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Contractor	Contract Description	Total Expended Amount
Naber Electric Corp	>200KW PV, NY-Sun	13,584
NanoHydroChem	Energy Storage Tech/Prod Dev, Renewable Optimz Energy Storge	45,237
Natale Builders	New Construction Housing, 2019 LRNCP	27,950
National Oilheat Research Alliance	ADVANCED BUILDINGS, Advanced Buildings Technology	36,526
	ADVANCED BUILDINGS, Tankless Coil Boilers	7,029
National Renewable Energy Laboratory	Environmental Research, ENV & Fisheries Rsrch for OSW	48,152
	Nat'l OffShWind R&D Consortium, Nat'l Offshore Wind R&D	376,962
	Nat'l Offshore Wind R&D	376,962
National Wind Technology Consortium, Inc	Nat'l OffShWind R&D Consortium, National OSW R&D Concorcium.	198,213
	Nat'l OffShWind R&D Consortium, NOWRDC-103-Crowley	63,000
	Nat'l OffShWind R&D Consortium, NOWRDC-104-Exmar	34,870
	Nat'l OffShWind R&D Consortium, NOWRDC-105-ESTECO	219,500
	Nat'l OffShWind R&D Consortium, NOWRDC-106-TexasA&M	78,709
	Nat'l OffShWind R&D Consortium, NOWRDC-108-PNNL	375,000
	Nat'l OffShWind R&D Consortium, NOWRDC-110-Tufts	4,013
	Nat'l OffShWind R&D Consortium, NOWRDC-115-ThayerMahan	132,543
	Nat'l OffShWind R&D Consortium, NOWRDC-118-PCCI	64,300
	Nat'l OffShWind R&D Consortium, NOWRDC-119-ESTEYCO	77,068
	Nat'l OffShWind R&D Consortium, NOWRDC-120-Deep Reach Tech	38,775
	National OSW R&D Concorcium.	108,630
	NOWRDC-103-Crowley	63,000
	NOWRDC-104-Exmar	34,870
	NOWRDC-105-ESTECO	219,500
	NOWRDC-106-TexasA&M	78,709
	NOWRDC-108-PNNL	375,000
	NOWRDC-110-Tufts	4,013
	NOWRDC-115-ThayerMahan	132,543
	NOWRDC-118-PCCI	64,300
	NOWRDC-119-ESTEYCO	77,068
	NOWRDC-120-Deep Reach Tech	38,775
NBC Universal Media, LLC	Real Time Enrgy Management, NBC - 30 Rockefeller PI - RTEM	349,461
Neighborhood Housing Services of Q..	NY-SUN, PON 3414 Electrify Queens	35,000
Neighborhood Housing Services State..	NY-SUN, PON 3414 Electrify SI	35,000
NESCAUM	ENVIRONMENTAL RESEARCH, 123059 TWO#5	5,901
	ENVIRONMENTAL RESEARCH, RFQL3685 Round 1	30,857
	ENVIRONMENTAL RESEARCH, Tech Assist, REV Pool	119,595
	ENVIRONMENTAL RESEARCH, TWO #7 Comparative Assessment	52,602
	ENVIRONMENTAL RESEARCH, TWO #7 LISTOS Air Quality Mode	18,037
	ENVIRONMENTAL RESEARCH, TWO #8 AEROMMA	9,983
	ENVIRONMENTAL RESEARCH, TWO #8 Wood Analytical	39,806
	ENVIRONMENTAL RESEARCH, TWO #9 IDC Techology Transfer	20,171
	ENVIRONMENTAL RESEARCH, TWO #10 Air Quality	52,001
	ENVIRONMENTAL RESEARCH, TWO #11 Wood Heating	72,179
	OTHER PROGRAM AREA, Tech Assist, REV Pool	0
	OTHER PROGRAM AREA, TWO #6 VOCs on Staten Island	26,499
	Renewable Heat NY, 123059 TWO#5	3,592
	Renewable Heat NY, RFQL3685 Round 1	10,048
	Renewable Heat NY, TWO #10 Air Quality	27,195

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Netgains Engineering P.C.	Commercial Real Estate Ten, Netgains-2500 Third Ave	5,000
	NYCH: Technical Assistance, FT13372 - Montten Slope - FTC	5,000
	NYCH: Technical Assistance, FT13423 - 314 W 142nd - FTC	5,000
	NYCH: Technical Assistance, FT13483 - 1 Tiffany - FTC	6,000
	NYCH: Technical Assistance, FT13488 - 37-30 73rd - FTC	5,000
	NYCH: Technical Assistance, FT13493 - 105 Lexington - FTC	5,000
	NYCH: Technical Assistance, FT13532 - 222-224 W 21st - FTC	5,000
	NYCH: Technical Assistance, FT13540 - 250 E 30th - FTC	8,000
	Technical Services, FT13370 - Stages 1-6 - FTC	20,450
	Technical Services, FT13371 - Stages 10-15 - FTC	5,000
Technical Services, FT13612 - 815 AoA - FTC	25,000	
New Buildings Institute, Inc.	Buildings of Excellence, BoE Rnd.1 Perform. Validation	96,528
	Code to Zero, TWO # 4	433,161
	New Construction- Commercial, RFQL 3711- GTZ NY 2021 Update	13,647
	NYCH: Cost Reduction, TWO #2 Bldg Elec Roadmap Writi	1,635
	NYCH: Roadmap, TWO #2 Bldg Elec Roadmap Writi	39,238
New Energy Nexus New York LLC	Cleantech POCC, Cleantech Accelerator	1,110,000
New England Waste Services of NY Inc.	LARGE SCALE RENEWABLES, Clinton Co. Landfill	99,560
New Leaf Solar LLC	<200KW PV, PON 2112 NY SUN	8,750
New Paltz, Town of	Commercial New Construc, Commercial New Construction	9,643
New Water Street Corporation	Technical Services, OsEM56-C-New Water Street Corp	5,145
New York City Housing Authority	NYCH: Communities, CEC811010 - City of New York	187,500
New York City Operating Partnership, ..	Technical Services, OsEM65-C-NYCOP-1140 AoA	34,718
New York Foundling Hospital	New Construction Housing, 2019 MFCNP	135,000
New York Homeowners Construction ..	Talent Pipeline:CE and OJT, OJT HIRE	1,784
New York Medical College	REV Campus Challenge, REVCC_ETL_Comp_Round 3	1,101,597
New York Power Authority,	High Performing Grid, PON 3770	201,000
New York State Solar Farm Inc.	<200KW PV, PON 2112 NY SUN	142,756
New York State Weatherization Direct..	Talent Pipeline:CE and OJT, PON3981 Round 3	47,983
New York University	Cleantech Incubator, PON3413 Clean Energy Incubator	497,500
	Net Zero Energy for Eco Dev, Net Zero Economic Development	94,706
	Technical Services, OsEM80-C - NYU Dental	66,907
Newburgh Housing Authority	Tech Assistanc Multifamily LMI, FT13020 - Newburgh - PON	7,500
	Technical Services, FT13020 - Newburgh - PON	-7,500
Newport Ventures, Inc.	Code to Zero, Newport TWO #1 Training	87,096
	Code to Zero, TWO #4	16,329
	Code to Zero, TWO3 Energy Code and NYStretch	79,686
Nexamp Capital, LLC	>200KW PV, NY Sun	355,655
	NY-SUN, NY Sun	376,576
Nexamp Inc.	>200KW PV, NY Sun	568,529
Nexant, Inc.	Electric Vehicles - Innovation, TWO #1	34,450
Next Generation Solar, LLC	<200KW PV, PON 2112 NY SUN	6,694
NextCorps Inc	Cleantech POCC, Cleantech Accelerator	374,000
	M-Corps, ACT Prototypes to Mass Prod NY	1,966,483
NIC Holding Corp	FUEL NY, NYS Strategic Gasoline Reserve	257,834
Nicholas Noyes Memorial Hospital	Technical Services, FT13175 - 111 Clara - PON	5,423
Nickels Energy Solutions LLC	<200KW PV, PON 2112 NY SUN	25,174
Nixon Peabody LLP	NEW YORK GREEN BANK, RFP 12 - NYGB Legal Services	1,714

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Contractor	Contract Description	Total Expended Amount
Nixon Peabody LLP	RFP 12 - NYGB Legal Services	71,564
NMR Group, Inc.	EVALUATION, RFQ 3183 NMR Group, Inc.	2,750
	Home Perf w Energy Star, RFQ 3183 NMR Group, Inc.	6,708
	NEW YORK GREEN BANK, RFQ 3183 NMR Group, Inc.	0
Nontraditional Employment for Women	Talent Pipeline:CE and OJT, PON3981 Round 6	65,453
Noresco LLC	Code to Zero, Third-party E-Code Support	52,240
	Code to Zero, TWO #4	31,307
	Commercial New Construc, Commercial New Construction	4,570
	Commercial New Construc, TWO Commercial NC	10,675
	New Construction- Commercial, Commercial New Construction	8,206
	NYCH: Technical Assistance, FT13484 - 75 Clinton - FTC	4,578
	REV Campus Challenge, FT13325 - Morningside - FTC	77,848
	Technical Services, FT13149 - 1 State - FTC	8,437
	Technical Services, FT13440 - Smilow - FTC	26,000
	Technical Services, FT13629 - 50 Vanderbilt - FTC	11,321
	Technical Services, FT13638 - 1233 York - FTC	5,904
	Technical Services, IAQ - Tech Review - NORESCO	32,359
Normandeu Associates, Inc.	Environmental Research, Digital Aerial Baseline Survey	20,000
North Park Innovations Group, Inc.	Talent Pipeline:CE and OJT, PON3981 Round 3	21,447
North Syracuse Central School District	K-12 SCHOOLS, FT13128 - N. Syracuse - PON	58,679
Northeast Energy Efficiency Partners..	NYCH: Technical Assistance, Single Family Residential	106,746
Northeast Green Building Consulting, LLC	Code to Zero, TWO #1	4,305
	Code to Zero, TWO #2	34,213
Northeast States for Coordinated Air ..	Environmental Research, NY climate clearinghouse	16,924
Norton Rose Fulbright US LLP	NEW YORK GREEN BANK, RFP 12: NYGB Legal Services	17,016
Novel Approaches Solar Applications,..	<200KW PV, PON 2112 NY SUN	13,513
NP Environmental LLC	NYCH: Talent Ppln:CE and OJT, OJT	19,759
	NYCH: Talent Ppln:CE and OJT, OJT HIRE	10,240
NY Baldwin I, LLC	>200KW PV, NY-Sun C&I	258,839
NY Bath I, LLC	>200KW PV, NY-Sun C&I	587,520
NY Delaware II, LLC	>200KW PV, NY Sun C&I	189,166
NY Delaware V, LLC	>200KW PV, NY-Sun C&I	256,482
NY Delaware VI, LLC	>200KW PV, NY-Sun C&I	233,594
NY DIX I LLC	>200KW PV, NY-Sun C&I	511,920
NY ENFIELD I LLC	>200KW PV, NY-Sun C&I	271,794
NY Mooers I, LLC	>200KW PV, NY-Sun	277,953
NY Mooers II, LLC	>200KW PV, NY-Sun C/I	279,455
NY Mooers III, LLC	>200KW PV, NY-Sun C/I	275,895
NY PLATTSBURGH I LLC	>200KW PV, NY-Sun C&I	503,010
NY Troupsburg I, LLC	>200KW PV, NY Sun	447,525
NYS Labor Management Cooperation ..	Talent Pipeline:CE and OJT, PON3981 Round 9	35,604
NYS Office of Parks, Recreation and	<200KW PV, PON 2112 NY SUN	33,086
NYS Olympic Regional Development ..	Industrial Process Effic, Industrial Process Efficiency	27,015
NYS School Facilities Association, Inc.	Workforce Industry Partnership, PON 3715 (BOM)	54,987
NYSDEC	WEST VALLEY DEVELOPMENT PROGRAM, WV-Admin	162,734
NYSS LLC	COMMUNITY SOLAR, PON 2112 NY SUN	11,504
	ENERGY STORAGE, PON 2112 NY SUN	10,100
NYU Langone Hospitals	Technical Services, OsEM13-C - NYU Langone Health	28,097

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Contractor	Contract Description	Total Expended Amount
O'Brien & Gere Engineers, Inc.	Commercial New Construc, New Construction	40,312
O'Connell Electric Company	<200KW PV, PON 2112 NY SUN	77,350
Ocean Tech Services LLC	Off-Shore Wind Pre-Dev Act, RFP 3855 Metocean Cat. 1: FLSS	445,196
	OREC: Technical Support, RFP 3855 Metocean Cat. 1: FLSS	0
OFD Foods	Industrial Process Effic, Industrial Process Efficiency	32,270
Office of the Brooklyn Borough President	Community RH&C, Cap Dist Heat & Cool Smart Cam	29,400
	Community RH&C, CH&C Campaign Brooklyn 3&17	66,500
Okeenea Digital	Pub Transit & Elect Rail, Transit accessibility beacons	22,041
OLA Consulting Engineers, P.C.	New Construction- Commercial, Commercial New Construction	6,955
	Technical Services, Westchester Tech Services	7,393
	Technical Services, WP05 - Stone Barns - FTC	13,772
OLEDWorks LLC	ADVANCED BUILDINGS, Advanced Buildings Technology	60,645
Olin Corporation	On-Site Energy Manager, OsEM76-I - Olin Corporation	9,653
Omni New York LLC	Empire Building Challenge, EBC-Phase I-Omni	75,000
	NYCH: Empire Build Challenge, EBC-Phase I-Omni	75,000
OnForce Solar	>200KW PV, NY Sun	200,321
OnRout Co.	OTHER PROGRAM AREA, Dynamic Pricing for Parcels	86,261
Opinion Dynamics Corporation	Clean Energy Communities, RFQ3183 Umbrella Agreement	276,956
	Cleantech Startup Growth, RFQ3183 Umbrella Agreement	31,096
	Remote Energy Management, RFQ3183 Umbrella Agreement	11,639
Optimus Technologies Inc	76 West, 76 West Bus.Energy Comp.	150,000
Orange EV LLC	CLEAN TRANSPORTATION, NYT-VIP	140,080
	CLEAN TRANSPORTATION, NYTVIP	216,160
	CLEAN TRANSPORTATION, NYTVIP - Wegman's	140,542
Orenda Inc	Cleantech Ignition, PON4534 NY Climate Progress R1	500,000
Orrick Herrington & Sutcliffe LLP	Cleantech Ignition, RFP 12: NYGB Legal Services	110,543
	NEW YORK GREEN BANK, RFP 12: NYGB Legal Services	23,947
Otsego County Conservation Associa..	Community RH&C, PON3723 RH&C Campaigns	7,500
Ove Arup & Partners Consulting Engineers	Empire Building Challenge, TWO 3 SDA tool, partner engage	25,000
	ENERGY ANALYSIS, TWO1 CommBldg Elect Rdmap	1,592
	Environmental Research, TWO 5 Elect. Resilience	38,970
	NYCH: Empire Build Challenge, TWO 3 SDA tool, partner engage	25,000
	Product Standards, TWO #2_ARUP	11,239
	Pub Transit & Elect Rail, TWO 4 Traction Power BEB Study	15,010
OYA 2643 Moore Road LLC	>200KW PV, NY Sun	878,210
OYA BLANCHARD ROAD 2 LLC	>200KW PV, NY Sun	937,500
	ESTOR:Retail Storage Incentive, NY Sun	3,750,000
OYA BLANCHARD ROAD LLC	>200KW PV, NY-Sun	937,500
	ESTOR:Retail Storage Incentive, NY-Sun	3,750,000
OYA NYS RTE 12 LLC	>200KW PV, NY Sun	937,500
	ESTOR:Retail Storage Incentive, NY Sun	3,750,000
Pace University School of Law	>200KW PV, CGC31911 - Pace Law School	22,337
Pametan, Inc.	Real Time Enrgy Management, Ecorithm-350 Park Ave - RTEM	7,800
Paradise Energy Solutions, LLC	<200KW PV, PON 2112 NY SUN	19,506
Parity Inc	Real Time Enrgy Management, Parity-300 East 75th St-RTEM	3,155
Park Hill Housing, LLC	Multifam Performance Pgm, Multifamily	15,000
Pathfinder Engineers & Architects, LLP	Commercial New Construc, Commercial New Construction	31,638
	Commercial New Construc, RFP3771 Umbrella Contract	14,384

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Contractor	Contract Description	Total Expended Amount
Pathfinder Engineers & Architects, LLP	New Construction- Commercial, Commercial New Construction	36,923
	NYCH: Talent Ppln:CE and OJT, OJT HIRE	10,240
	Talent Pipeline:CE and OJT, OJT HIRE	9,600
Pathstone Corporation	Community Energy Engagement, CEEP Finger Lakes Region (PATH)	35,724
Pathstone Housing Action Corporation	New Construction Housing, 2019 LRNCP	63,800
	New Construction Housing, New Construction	70,400
Pecan Street Inc.	IEDR: Program Manager, IEDR Utility Data Advisor	53,213
Pelham Fifth Ave JV LLC	Net Zero Energy for Eco Dev, Net Zero Economic Development	89,650
PEMM LLC	Technical Services, FT13364 - Hess Mart - PON	2,786
	Technical Services, FT13365 - 265 E Main - PON	2,786
	Technical Services, FT13366 - 1279 Coffeen - PON	2,786
	Technical Services, FT13367 - 23582 NY-342 - PON	2,786
Pendleton Solar 1, LLC	>200KW PV, NY-Sun C&I	250,745
Penrose LLC	Low Rise New Construction, 2019 LRNCP	73,400
People United for Sustainable Housing In	CLEANER GREENER COMMUNITIES, CEEP Western New York Region	20,192
	Community Energy Engagement, CEEP Western New York Region	66,208
	Community RH&C, Community CH&C Dev in WNY	19,000
Performance Systems Development	Code to Zero, PSD TWO #1 Training	521,345
	Code to Zero, TWO #1	882
Performance Systems Development, Inc.	NYCH: Comfort Home, TWO 3 - HPR OpenStudio/EPI	127,924
	NYCH: Critical Tools, TWO 3 - HPR OpenStudio/EPI	19,255
Petrecky Consulting LLC	OTHER PROGRAM AREA, RFP 3859	6,900
PGREF I 1633 Broadway Land, LP	Technical Services, OsEM59-C - Paramount Group	36,204
Phase Innovations LLC	NYCH: Innovation, Modular Membrane Dehumidifying	34,000
Pine Plains School District	>200KW PV, NY Sun	18,197
Plattsburgh Community Housing, Inc	Low Rise New Construction, 2019 LRNCP	40,000
PlugPV, LLC	<200KW PV, NY-Sun	52,496
	<200KW PV, PON 2112 NY SUN	441,459
	Talent Pipeline:CE and OJT, OJT HIRE	7,144
Popli, Architecture + Engineering & LS,	Code to Zero, TWO #1	5,117
Port Jervis Solar Project One, LLC	>200KW PV, NY Sun	25,104
Potentia Management Group LLC	Talent Pipeline:CE and OJT, OJT	1,481
	Talent Pipeline:CE and OJT, OJT HIRE	13,846
	Talent Pipeline:CE and OJT, OJT Hire Alberici	4,736
Power Advisory LLC	OREC: Technical Support, IE ORECRFP20-1	65,000
	REC:CES REC System Dev Costs, Inform LSR Energy Forecast	24,000
PowerGEM, LLC	BR: Interconnection, Benson Mines Interconnection	9,920
	BR: Screening, TWO - Build Ready - Cat 1	13,200
	CI Engy Siting & Soft Cost Red, TWO - Build Ready - Cat 1	0
Powerhouse Dynamics, Inc	Real Time Engry Management, Powerhouse - Multisite - RTEM	2,736
	Real Time Engry Management, TexasRoadhouse-MultiSites-RTEM	660
Pratt Institute	Talent Pipeline:CE and OJT, OJT	1,539
Prescriptive Data	Real Time Engry Management, PD - 40 W 57 Street - RTEM	16,972
	Real Time Engry Management, PD - 300 Vesey St - RTEM	12,528
	Real Time Engry Management, Prescriptive-555 5th Ave-RTEM	5,040
	Real Time Engry Management, Prescriptive-630 3rd Ave-RTEM	5,500
	Real Time Engry Management, Prescriptive-767 Fifth-RTEM	30,457
	Real Time Engry Management, PrescriptiveData-40E 52nd-RTEM	6,432

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Contractor	Contract Description	Total Expended Amount
Principle Power Inc	Natl OffShWind R&D Consortium, Natl Offshore Wind R&D	57,631
	Natl Offshore Wind R&D	57,631
Pro Custom Solar LLC	<200KW PV, PON 2112 NY SUN	5,826
Project Hospitality	New Construction Housing, 2019 MFCNP	12,000
Prospect Realty Group LLC	Multifam Performance Pgm, Multifamily	17,125
ProsumerGrid, Inc	76 West, 76 West Clean Energy	25,000
	High Performing Grid, Integrated EV & DER Forecast	158,820
Pterra, LLC	High Performing Grid, PTerra work for ITWG	80,665
Quanta Technology LLC	DER Integration(Intrcnct), Next Generation DER Gateway	62,833
	High Performing Grid, Grid Performance Gaps	98,000
	High Performing Grid, Power Grid Innovation	70,000
Quest Energy Group	Commercial Real Estate Ten, Quest Energy - 20 W 34 Street	9,500
	Commercial Real Estate Ten, Quest Energy - 100 W 33rd St	7,750
	Commercial Real Estate Ten, Quest Energy - 257 Park Ave S	6,500
Quidnet Energy Inc	High Performing Grid, EPTD High Performance	809,302
Quixotic Systems, Inc.	<200KW PV, NY-Sun	145,000
	>200KW PV, NY-Sun	154,728
QwikSolar, LLC	<200KW PV, PON 2112 NY SUN	18,319
R Roopnarine	CLEAN TRANSPORTATION, Switched Reulctance Motor	20,258
R.W. Beck Group, Inc.	Technical Services, Targeted Healthcare Engagement	10,728
Radiant Labs, LLC	Informat. Products & Brokering, Dynamic Market Data Tool	181,113
	NYCH: Technical Assistance, Radiant Labs Roadmap Tool	34,894
Radiator Labs Inc.	Cleantech Ignition, PON4534 NY Climate Progress R1	500,000
Radix Ecological Sustainability Center	Talent Pipeline:CE and OJT, Climate Justice Fellow PON4772	3,344
Raj Technologies Inc.	NYSERDA ADMINISTRATION, Modification - Name Change	168,919
Ramboll Americas Engineering Soluti..	Real Time Enrgy Management, Ramboll - 4815 Ellicott Street	58,023
Randstad North America, Inc.	Air Source Heat Pumps, Payroll Services_CHC	12,188
	Campus/Technical Assistance, Payroll Services_CHC	9,750
	Clean Energy Communities, Payroll Services - Communities	2,160
	Clean Energy Communities, Payroll Services_CEC PM-1	15,200
	Cleantech ICC Engage, Payroll Services_Innovation	76,781
	Cleantech Incubator, Payroll Services_T2M	40,355
	Code to Zero, Payroll Services_CPS	9,271
	Code to Zero, Payroll Services_CPS Sr. PM	82,413
	Code to Zero, Payroll Services_Market Dev	9,497
	Community RH&C, Payroll Services_CHC	12,188
	Community RH&C, PS.056_CHC APM	46,297
	ENERGY ANALYSIS, Data and Markets Intern	14,818
	Geothermal Incentive Program, Payroll Services_CHC	12,188
	Healthy Homes VB Payment Pilot, Payroll Services_EAE	9,167
	Home Perf w Energy Star, Payroll Services	30,459
	Home Perf w Energy Star, Payroll Services_EAE	38,883
	Home Perf w Energy Star, Payroll Services_EAE Intern	1,127
	NEW YORK GREEN BANK, Payroll Services_NYGB_intern	5,424
	NYCH: District, Clean Heating & Cooling	9,263
	NYCH: Innovation, Payroll Services_Advanced Buil	6,857
	NYSERDA ADMINISTRATION, Payroll Services	53,119
	NYSERDA ADMINISTRATION, Payroll Services_EAE_intern	0

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Randstad North America, Inc.	NYSERDA ADMINISTRATION, Payroll Services_SFR_intern	0
	NYSERDA ADMINISTRATION, Payroll Services_SS APM	41,987
	NYSERDA ADMINISTRATION, Payroll Services_Web Ops	31,857
	NYSERDA ADMINISTRATION, PS.063 - Statistics_Intern	1,823
	NYSERDA ADMINISTRATION, Temp Services - Marketing	16,352
	NYSERDA ADMINISTRATION, TS.022 - Facilities Clerk	27,569
	OTHER PROGRAM AREA, Payroll Services_Innovation	31,315
	Payroll Services	561
	Renewable Heat NY, Payroll Services_CHC	12,188
	Solar Thermal, Payroll Services_CHC	0
RCPI Landmark Properties, LLC	Real Time Enrgy Management, RCPI - Multisite - RTEM	1,261,861
	Technical Services, OsEM63-C-TS-Rockefeller Center	50,386
RE-Nuble, Inc.	Cleantech Ignition, NY Climate Progress R2	500,000
re: Charge-e, Inc.	CLEAN TRANSPORTATION, Inductive charging for e-bikes	25,000
Re:Vision Architecture, Inc.	New Construction- Commercial, Commercial New Construction	31,476
Recurve Analytics, Inc.	NYCH: Comfort Home, RFP 3901 P4P-AMV Platform	25,000
	Pay for Performance, RFP 3901 P4P-AMV Platform	38,170
	RFP 3901 P4P-AMV Platform	48,740
Red Hook CSA, LLC	>200KW PV, NY-Sun C&I	114,250
ReEnergy Black River LLC	LARGE SCALE RENEWABLES, Black River Facility	4,821,432
Remelt Solar 1, LLC	>200KW PV, NY Sun	509,888
Renew Solar CS4 Fund LLC	>200KW PV, NY-Sun C&I	561,617
Renewable Rochester LLC	<200KW PV, PON 2112 NY SUN	23,835
	<200KW PV, NY-Sun	119,543
Renovus Energy, Inc.	<200KW PV, PON 2112 NY SUN	37,397
	NY-SUN, NY-Sun	61,479
Reos US Inc.	Empire Building Challenge, EBC - Partner Cohort - Reos	44,163
	NYCH: Empire Build Challenge, EBC - Partner Cohort - Reos	44,163
Research Foundation of CUNY	CLEAN TRANSPORTATION, Virtual TMA Demo	7,542
	Environmental Research, AQHE PON 3921	67,940
	High Performing Grid, PON 3397 Round 2 - Category A	28,700
	Rmve Barriers Dist Enrgy Storg, RFP 3407 TWO 3	64,558
Research Foundation of SUNY	Anaerobic Digesters, PON 3739 CAT B	63,630
	Computational control codesign	150,000
	Environmental Research, IDEA-NYS air quality forecast	23,784
	High Performing Grid, Machine Learning for Hi-fideli	59,851
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, EFRC co-funding	50,296
	Nat'l OffShWind R&D Consortium, Computational control codesign	150,000
Research Foundation of The City	Talent Pipeline:CE and OJT, PON3981 Round 4	1,010
Resilience Education Training and Inn..	NY-SUN, NY-Sun	26,000
Resource Refocus LLC	Buildings of Excellence, Task Work Order No. 3	157,675
	Code to Zero, TWO 2 NYStretch Res CE	5,971
Responsible Offshore Development AI..	Environmental Research, ENV & Fisheries Rsrch for OSW	6,358
RFP Enterprises LLC	Innovation Advisors, Innovation Advisory Services 2	82,226
RHM Inc.	RENEWABLE HEAT NY, Biomass Boiler - Stretton	16,000
Richair Mechanical Inc.	NYCH: Talent PpIn:CE and OJT, OJT	6,438
	NYCH: Talent PpIn:CE and OJT, OJT Hire	2,980
Ricoh USA Inc	NYSERDA ADMINISTRATION, RFP 3919-Sitecore CMS Admin	405,625

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Contractor	Contract Description	Total Expended Amount
Ridgeline Heating and Cooling, LLC	NYCH: Talent Ppln:CE and OJT, OJT HIRE STEVEN OSTROTH	10,240
Riley Road Windsor, LLC	>200KW PV, NY Sun C/I	163,346
	>200KW PV, NY-Sun C/I	140,972
Riseboro Community Partnership, Inc.	On-Site Energy Manager, OsEM67-M-RiseBoro Community	27,220
	Retrofit NY, PON 4062	249,129
	Workforce Industry Partnership, PON 3442 Workforce Training	28,372
Rivercrest Development Corp.	Multifam Performance Pgm, Multifamily	39,000
Robert Derector Associates	Commercial Real Estate Ten, RDA - 225 Liberty St - CTP	12,548
	Commercial Real Estate Ten, RDA- 28 Liberty St Fl 22,44-49	17,365
	Commercial Real Estate Ten, RDA-1 Penn Plaza FL 9	10,000
Robert K. Harmon & Company LLC	Pay for Performance, MEETS - Robert K. Harmon - TWO	8,559
Rochester Civic Housing, Inc.	New Construction Housing, 2019 LRNCP	45,000
Rochester District Heating Cooperative	NYCH: District, PON 4614 Round #2 Rochester	6,103
Rochester Institute of Technology	Cleantech Incubator, PON3413 Clean Energy Incubator	185,000
	High Performing Grid, PON 3770	26,000
	REV Campus Challenge, REV CC ETL_Rd. 2	287,431
	REV Campus Challenge, RM23 - RIT	73,504
Rochester People's Climate Coalition	Community RH&C, CH&C Communities Round 3.	49,000
	Talent Pipeline:CE and OJT, Climate Justice Fellow PON4772	6,018
Rochester Regional Health	Technical Services, OsEM42-C - Rochester Regional	30,239
Rocky Mountain Institute	Empire Building Challenge, Empire Bldg. Challenge - RMI	15,592
	ENERGY ANALYSIS, TWO# 2 Bldg. Elec. Roadmap	4,982
	New Construction Housing, 140390 TWO#1	75,786
	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	37,893
	NYCH: Empire Build Challenge, Empire Bldg. Challenge - RMI	15,592
	Pub Transit & Elect Rail, Clean Transportation	50,297
Rosenblum Property Services, LLC	SARATOGA TECHNOLOGY & ENERGY PARK, STEP Property Mgmt Ser..	30,441
	SARATOGA TECHNOLOGY & ENERGY PARK, TWO #7- Concrete Repairs	11,016
Rouse RPC	Multifam Performance Pgm, Multifamily	17,200
	Tech Assistanc Multifamily LMI, FT13951 - 1-9 Country - PON	9,500
Royal Realty Corp.	Empire Building Challenge, EBC-Royal Realty Corp.	125,000
	NYCH: Empire Build Challenge, EBC-Royal Realty Corp.	125,000
Ruffalo Appliance	NYCH: Talent Ppln:CE and OJT, OJT HIRE	16,099
Rural Ulster Preservation Company	New Construction Housing, 2019 LRNCP	20,000
RXR SL Owner LLC	Technical Services, OsEM70-C-RXR - Starrett Lehigh	90,243
Ryan Homes (Virginia)	New Construction Housing, NCP Housing	30,600
	Single Family New Construction, 2019 LRNCP	9,000
	Single Family New Construction, NCP Housing	66,000
Saint Gobain Adfors America, Inc.	Industrial Process Effic, Industrial Process Efficiency	50,390
Salmon River Solar LLC	>200KW PV, NY-Sun C&I	138,536
Same Sun of Vermont, Inc	<200KW PV, NY-Sun	20,000
SANFILIPPO SOLUTIONS INC.	Talent Pipeline:CE and OJT, OJT	16,271
	Talent Pipeline:CE and OJT, OJT HIRE	8,456
Sanford Plaza Apartment Corp	Multifam Performance Pgm, Multifamily	22,500
Sangolqui Solar, LLC	>200KW PV, NY-Sun C&I	554,592
Saratoga Solar II, LLC	>200KW PV, NY Sun	421,621

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Contractor	Contract Description	Total Expended Amount
Saratoga Solar II, LLC	NY-SUN, NY Sun	583,783
Scanify, Inc.	Cleantech Ignition, PON 3871 Ignition Grants	1,500
Schenectady County Solar Projects 2019,	>200KW PV, NY-Sun C&I Assignment	640,560
	>200KW PV, NY-Sun CI Full/Payee Assignmen	201,733
	>200KW PV, NY-Sun Full & Payee Assignment	101,114
	>200KW PV, NY-Sun Full/Payee Assignment	322,650
	ESTOR:Retail Storage Incentive, NY-Sun C&I Assignment	2,500,000
Schneider Electric Buildings Americas, I	Real Time Enrgy Management, Schneider - 1045 6th Ave -RTEM	18,434
	Real Time Enrgy Management, Schneider-100 E. 77th St-RTEM	100,000
	Real Time Enrgy Management, Schneider-225 Liberty St-RTEM	21,149
	Real Time Enrgy Management, Schneider-390 Madison Ave-RTEM	33,693
	Real Time Enrgy Management, SEBA Inc - 445 E 69 St - RTEM	30,900
Second Lenox Terrace Associates LLC	Multifam Performance Pgm, Multifamily	57,200
SecondMuse LLC	M-Corps, MCorps Pilot in NYC	2,411,245
Seed Renewables Inc.	<200KW PV, PON 2112 NY SUN	6,307
Sen Engineering Solutions Inc	High Performing Grid, Power Grid Innovation	122,000
Sentient Science Corporation	Pub Transit & Elect Rail, DigitalClone for rail	63,898
Setpoint AI Inc	NYCH: Talent Ppln:CE and OJT, OJT HIRE	10,240
Shared Mobility, Inc.	CLEAN TRANSPORTATION, Informing Electric Micromobili	52,259
	Talent Pipeline:CE and OJT, Climate Justice Fellow PON4772	2,960
Sheland Farms LLC	Anaerobic Digesters, PON 3739 CAT C	15,000
Siemens Industry, Inc.	ENERGY ANALYSIS, TWO#3 ZERO EMISSIONS IN 2040	15,499
	OREC: Technical Support, TWO 2 Econ Study of Ntwrk OSW	10,000
	Real Time Enrgy Management, Siemens - 10 Columbus Cir-RTEM	37,942
	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 - Multisite - RTEM	569,956
	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	10,500
	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	39,376
	Real Time Enrgy Management, Siemens-57 Pan Creek Dr-RTEM	2,057
	Real Time Enrgy Management, Siemens-84 Greenwood St-RTEM	47,497
	Real Time Enrgy Management, Siemens-100 Mendon-RTEM	6,638
	Real Time Enrgy Management, Siemens-150 W 65th-RTEM	12,582
	Real Time Enrgy Management, Siemens-153 W Buffalo-RTEM	3,720
	Real Time Enrgy Management, Siemens-248 Rt 11-RTEM	44,740
	Real Time Enrgy Management, Siemens-260 Cooper Rd-RTEM	2,461
	Real Time Enrgy Management, Siemens-277Park-RTEM	53,522
	Real Time Enrgy Management, Siemens-745 7th Ave-RTEM	50,668
	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-1585 Broadway-RTEM	57,915
	Real Time Enrgy Management, Siemens-3325 Marvin Sands-RTEM	5,551
	Real Time Enrgy Management, Siemens-3338 E Main St-RTEM	143,016

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Contractor	Contract Description	Total Expended Amount
Siemens Industry, Inc.	Real Time Enrgy Management, Siemens-5285 Lewiston-RTEM	4,410
	Real Time Enrgy Management, Siemens-11060 US Rt 11-RTEM	4,922
	Real Time Enrgy Management, Siemens-Multisite-RTEM	402,231
	REC4:CES REC4 Tech Support, TWO#3 ZERO EMISSIONS IN 2040	141,000
Sif Capital Advisors LLC	Innovation Advisors, Innovation Advisory Services	30,240
Sigora Solar	<200KW PV, PON 2112 NY SUN	56,174
Silver Creek Solar, LLC	>200KW PV, NY Sun	637,500
Simple Energy, Inc.	Electric Vehicles - Innovation, PON 3578 R1 CAT4	46,598
Simply Installs LLC	NYCH: Talent Ppln:CE and OJT, OJT HIRE	22,028
Sive Paget & Riesel PC	NEW YORK GREEN BANK, RFP 12: NYGB Legal Services	49,624
	ORES Support, Large-Scale Renewables	8,712
	REC4:CES REC4 Tech Support, Tier 4 Outside Counsel Support	387,634
	RFP 12: NYGB Legal Services	4,935
	WEST VALLEY DEVELOPMENT PROGRAM, TWO 1 - West Valley SEQRA	2,633
Sixth Lenox Terrace Associates LLC	Multifam Performance Pgm, Multifamily	56,600
Skyline Solar Inc.	<200KW PV, PON 2112 NY SUN	8,750
Slate Hill Solar LLC	>200KW PV, NY Sun	194,450
Smart Home Energy Source	<200KW PV, NY-Sun	8,176
Smart Wires Inc.	High Performing Grid, Power Grid Innovation	122,000
Smith Engineering PLLC	NYCH: Technical Assistance, FT13634 - 521 5th - FTC	27,313
	Technical Services, FT13193 - 150 East 42nd - FTC	10,140
	Technical Services, FT13696 - 680 5th - FTC	76,562
	Technical Services, FT13697 - 1 Liberty - FTC	69,596
	Technical Services, FT13698 - 225 Liberty - FTC	17,260
	Technical Services, FT13699 - 250 Vesey - FTC	16,696
	Technical Services, FT13703 - 20 Hudson - FTC	22,052
	Workforce Industry Partnership, PON 3715 BOM Training	77,964
	Workforce Industry Partnership, PON 3715 Workforce Training	139,487
Snug Planet, LLC	NYCH: Talent Ppln:CE and OJT, OJT	12,172
	NYCH: Talent Ppln:CE and OJT, OJT HIRE	22,350
	Talent Pipeline:CE and OJT, OJT	18,951
	Talent Pipeline:CE and OJT, OJT HIRE	-2,021
Social Finance Inc.	NYCH: Talent Ppln:CE and OJT, Social Finance Contract	97,579
Socore Energy, LLC	>200KW PV, NY Sun	45,255
SOL NY Staten Island 1 Ellis, LLC	>200KW PV, NY-Sun	148,007
SOLANTA CORP	<200KW PV, PON 2112 NY SUN	6,388
	>200KW PV, PON 2112 NY SUN	133,434
	Talent Pipeline:CE and OJT, OJT	5,250
Solar Bear Energy LLC	<200KW PV, PON 2112 NY SUN	5,719
Solar Dad and Sons Inc	ENERGY STORAGE, PON 2112 NY SUN	5,000
Solar Energy Systems, LLC	<200KW PV, NY-Sun	78,048
	>200KW PV, NY Sun	79,605
	>200KW PV, NY-Sun	24,552
Solar Liberty Energy Systems, Inc	<200KW PV, NY-Sun	49,068
	<200KW PV, PON 2112 NY SUN	313,823
	>200KW PV, NY-Sun	10,890
	>200KW PV, PON 2112 NY SUN	59,070
Solar One, Inc.	ESTOR:Retail Storage Incentive, Retail Storage	81,270

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Contractor	Contract Description	Total Expended Amount
Solar Tompkins Inc.	Community RH&C, CH&C Communities Round 3	45,700
	Community RH&C, PON3723 RH&C Campaigns	11,000
Solar Village Company LLC	Buildings of Excellence, Buildings of Excellence R1	150,000
	New Construction Housing, NCP Housing	90,000
SolarCommunities Inc.	<200KW PV, NY-Sun	11,200
	<200KW PV, PON 2112 NY SUN	161,356
Sologistics, LLC	Talent Pipeline:CE and OJT, OJT HIRE	9,472
Soulful Synergy, LLC	Talent Pipeline:CE and OJT, Climate Justice Fellow PON4772	11,812
Spencer-Tioga Solar, LLC	>200KW PV, NY-Sun C&I	1,735,340
SRS Holdings LLC	Energy Storage Tech/Prod Dev, PON 3585 R2 Polymer-Clay separ	1,999
St. Anthony's Associates LLC	New Construction Housing, 2019 LRNCP	52,400
St. Catherine's Center for Children	Low Rise New Construction, 2019 LRNCP	20,000
Stacks and Joules Inc.	NYCH: Talent Ppln:CE and OJT, Career Pathway HVAC/Heat Pumps	65,836
Standard Insulating Company	Talent Pipeline:CE and OJT, OJT HIRE	3,442
Standard Solar, Inc	>200KW PV, NY-Sun	311,343
	>200KW PV, NY-Sun C&I	335,394
Stantec Consulting Services, Inc.	Industrial Process Effic, Technical Review and Program S	3,388
	WEST VALLEY DEVELOPMENT PROGRAM, WVSMP ENV. Support Servi..	87,917
State University of New York College	Technical Services, OsEM36-C - SUNY Geneseo	18,081
Steed Energy LLC	<200KW PV, PON 2112 NY SUN	31,866
Stem Inc	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION, E..	162,024
Steven Winter Associates, Inc.	Air Source Heat Pumps, TWO 3 - Heat Pump Pattern Book	6,460
	Code to Zero, NYStretch 2023 Working Group	6,061
	Code to Zero, TWO #4 - ANSI Standards	30,835
	Consumer Ed and Market Support, TWO 3 - Heat Pump Pattern Book	6,460
	Empire Building Challenge, EBC TA - SWA	89,169
	Market Tests, Market Insights	6,643
	Market Tests, TWO 3 - Heat Pump Pattern Book	6,460
	New Construction Housing, TWO #4 - ANSI Standards	9,288
	Novel Bus Models & Offers, Novel Business Models R2	200,000
	NYCH: Comfort Home, Heat Pump Ready Training	5,174
	NYCH: Critical Tools, TWO 3 - Heat Pump Pattern Book	0
	NYCH: Empire Build Challenge, EBC TA - SWA	89,169
	NYCH: Innovation, BAS for small & medium bldgs	685
	NYCH: Innovation, Cold Climate PTHP	72,351
	NYCH: Innovation, PON3519 Round 1	1,048
	NYCH: Supply Chain, ASHP SupplyChain Develop Mtgs	15,549
	NYCH: Talent Ppln:CE and OJT, PON3981 Round 8	9,831
	NYCH: Talent Ppln:CE and OJT, Steven Winter Assoc. Training	33,847
	NYCH: Technical Assistance, FT13276 - 75 Livingston - FTC	10,125
	NYCH: Technical Assistance, FT13369 - 80 LaSalle - FTC	14,092
	NYCH: Technical Assistance, FT13429 - 1485 5th - FTC	13,743
	NYCH: Technical Assistance, FT13430 - 389 East 89th - FTC	1,044
	NYCH: Technical Assistance, FT13548 - 82 Beaver - FTC	3,968
NYCH: Technical Assistance, FT13551 - One Park - FTC	7,750	
NYCH: Technical Assistance, FT13557 - 39-60 54th - FTC	2,688	
NYCH: Technical Assistance, FT13575 - 440 Kent - MF	788	
NYCH: Technical Assistance, FT13578 - 111 W. 67th - FTC	3,656	

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Contractor	Contract Description	Total Expended Amount
Steven Winter Associates, Inc.	NYCH: Technical Assistance, FT13665 - 30 W. 61st - FTC	18,225
	NYCH: Technical Assistance, FT13667 - 225 Fifth - FTC	2,298
	NYCH: Technical Assistance, FT13678 - 55 Wall - FTC	1,034
	NYCH: Technical Assistance, FT13723 - 245 Sullivan - FTC	3,287
	NYCH: Technical Assistance, FT13724 - 40 Washington - FTC	6,416
	NYCH: Technical Assistance, FT13941 - 304 W 89th - FTC	7,750
	Real Time Enrgy Management, FS Energy-220 E 54th St-RTEM	2,550
	Real Time Enrgy Management, Steven Winter - 1880 Bathgate	94,731
	Real Time Enrgy Management, Steven Winter-11220 72 Dr-RTEM	16,885
	Real Time Enrgy Management, SWA - 255 Hudson Street - RTEM	2,700
	Real Time Enrgy Management, SWA - 2051 Ryer Ave - RTEM	37,325
	Real Time Enrgy Management, SWA - Multisite - RTEM	4,200
	REV Connect, IMS SWA - Scalable Afford	7,500
	Single Family New Construction, TWO #4 - ANSI Standards	9,288
	Talent Pipeline:CE and OJT, PON3981 Round 4	1,400
	Workforce Industry Partnership, PON 3715 (BOM)	8,947
	Workforce Industry Partnership, PON 3715 (R5) BOM	2,610
	Workforce Industry Partnership, PON 3715 BOM Training	20,252
	Workforce Industry Partnership, PON 3715 Workforce Training	130,844
	Stony Creek Energy LLC	LARGE SCALE RENEWABLES, Stony Creek Wind Farm
StorEn Technologies Inc.	Energy Storage Tech/Prod Dev, PON 3585 R2	74,541
Storke, LLC	Small Wind, Wind Turbine Incentive	32,214
Suffolk County Community College	REV CAMPUS CHALLENGE, RFP 3675 REV Campus Challenge	94,551
	RFP 3675 REV Campus Challenge	95,449
Sun Source Technologies	<200KW PV, PON 2112 NY SUN	49,567
Sunamp Projects, Inc	NYCH: Innovation, Demo Tech Trans High Dens Ther	57,884
SuNation Solar Systems, Inc.	COMMUNITY SOLAR, NY-Sun	3,120
	COMMUNITY SOLAR, PON 2112 NY SUN	5,120
	ENERGY STORAGE, NY-Sun	5,400
	ENERGY STORAGE, PON 2112 NY SUN	256,250
Sunkeeper Solar LLC	>200KW PV, PON 2112 NY SUN	77,126
Sunlight Energy Group LLC	Talent Pipeline:CE and OJT, OJT	12,354
Sunlight General Capital LLC	>200KW PV, PON 2112 NY SUN	191,576
	Talent Pipeline:CE and OJT, OJT	7,002
	Talent Pipeline:CE and OJT, OJT HIRE	13,184
SunPower Capital, LLC	<200KW PV, NY-Sun	103,745
	<200KW PV, PON 2112 NY SUN	64,351
SUNRISE ELECTRICAL SERVICES	<200KW PV, NY Sun	412,540
	<200KW PV, NY-Sun	19,080
	<200KW PV, PON 2112 NY SUN	79,515
Sunrise Solar Solutions, LLC	<200KW PV, PON 2112 NY SUN	13,064
	>200KW PV, NY-Sun	806,652
	ESTOR:Retail Storage Incentive, Retail Storage	284,200
	Solar Plus Energy Storage, Energy Storage	1,026,000
SunRun, Inc	<200KW PV, PON 2112 NY SUN	131,149
	ENERGY STORAGE, PON 2112 NY SUN	123,400
SUNSTARTER SOLAR XL LLC	>200KW PV, NY-Sun C&I Assignment	260,554
SUNSTARTER SOLAR XXXII LLC	>200KW PV, NY-Sun C&I	44,747

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Contractor	Contract Description	Total Expended Amount
Sunvestment Energy Group NY 63, LLC	>200KW PV, NY-Sun C&I	226,966
Sunwealth Power, Inc.	<200KW PV, NY-Sun	1,039,808
	>200KW PV, NY-Sun	310,183
Sunwealth Project Pool 14 LLC	>200KW PV, NY-Sun	42,102
SUNY - ESF	Environmental Research, ALTM Streams 2018-2022	13,049
	ENVIRONMENTAL RESEARCH, Biofiltration drainage media	79,682
SUNY Buffalo	Industrial Process Effic, Industrial Process Efficiency	69,275
SUNY Morrisville	Technical Services, OsEM30-C - SUNY Morrisville	25,502
SUNY Ulster	Talent Pipeline:CE and OJT, PON3981 Round 4	17,964
SUNY: Polytechnic Institute	Commercial New Construc, Comm NC Incentives - SF182319	7,932
	Talent Pipeline:CE and OJT, PON3981 Round 7	36,191
Surf Clean Energy Inc	<200KW PV, PON 2112 NY SUN	6,424
	COMMUNITY SOLAR, PON 2112 NY SUN	5,632
Sustainable Comfort, Inc	Buildings of Excellence, BoE Rnd 1 - Design Team Incen.	100,000
	New Construction Housing, NCP Housing	24,600
	Talent Pipeline:CE and OJT, OJT HIRE	28,701
Sustainable Endowment Institute	REV Campus Challenge, GRITS Goals Development - SEI	10,006
Sustainable Energy Advantage, LLC	REC:CES REC System Dev Costs, Large Scales Renewables Techni	0
	REC:CES REC System Dev Costs, Supply Curve Update 101124-15	3,892
	ZEC:CES ZEC System Dev Costs, Large Scales Renewables Techni	29,710
Sustainable Energy Developments Inc.	<200KW PV, PON 2112 NY SUN	176,516
Sustainable South Bronx Inc.	Talent Pipeline:CE and OJT, PON3981 WFD Capacity Building	49,195
Sustainable Westchester	Community RH&C, CH&C Communities Round 3	91,250
	NY-SUN, NY-Sun	25,000
	Talent Pipeline:CE and OJT, Climate Justice Fellow PON4772	2,704
Switch Operations Inc.	Real Time Enrgy Management, SwitchAuto-10HudsonYards-RTEM	186,250
Switched Source LLC	High Performing Grid, Transient Studies	30,750
Switched Source TC LLC	High Performing Grid, Tie Controller for Renewable	175,008
Syracuse University	ENVIRONMENTAL RESEARCH, Monitoring of NYS fish for Hg	3,471
	NextGen HVAC, PON3519 Round 1	104,260
	NYCH: Innovation, Advanced Buildings	70,000
	NYCH: Innovation, NextGen HVAC Innovation	330,000
	REV Campus Challenge, REVCC_ETL_Comp_Round 3	110,000
Syracuse, City	Clean Energy Communities, CEC210174 - City of Syracuse	50,288
Syska Hennessy Group	Commercial New Construc, Commercial New Construction	26,127
	NYCH: Technical Assistance, FT13590 - 51 Madison - FTC	34,741
	Technical Services, FT13066 - Crothall - FTC	73,283
T.M. Bier & Associates	Real Time Enrgy Management, TMB&A - Multisite - RTEM	407,442
Tagup Inc.	High Performing Grid, PON 3770	128,038
	Nat'l OffShWind R&D Consortium, Nat'l Offshore Wind R&D	11,955
	Nat'l Offshore Wind R&D	11,955
Taitem Engineering, P.C.	Air Source Heat Pumps, 3695 TWO Umbrella Agreement	71,670
	CI Carbon Challenge, CICC1903 - Cornell	15,691
	Commercial New Construc, Commercial New Construction	10,874
	Commercial Real Estate Ten, Taitem-110 S Albany St	13,600
	Industrial Process Effic, Technical Review and Program S	5,155
	Low Carbon Tech Demos, 3695 TWO Umbrella Agreement	0
	Multifam Performance Pgm, 3695 TWO Umbrella Agreement	30,624

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Contractor	Contract Description	Total Expended Amount
Taitem Engineering, P.C.	Multifam Performance Pgm, Multifamily	285,079
	NYCH: Critical Tools, Heat Pump Conversion M&V	21,467
	NYCH: Low Carbon Tech Demos, 3695 TWO Umbrella Agreement	0
	NYCH: Technical Assistance, FT13228 - 1240 Bedford - FTC	3,184
	Real Time Enrgy Management, Taitem-55 Brown-RTEM	7,457
	Technical Services, FT13188 - 115 E 9th - FTC	15,791
Talen Energy Marketing, LLC	LARGE SCALE RENEWABLES, Locust Ridge Wind Farm	178,782
Talisen Technologies, Inc	Real Time Enrgy Management, Energy Mangt Data_Tech Supp	344,172
Tech Valley Talent, LLC	NYSERDA ADMINISTRATION, TWO 2Sr.Software Eng – Carrick	86,048
	NYSERDA ADMINISTRATION, TWO 5 .Net Software Dev.B Khan	59,911
	NYSERDA ADMINISTRATION, TWO # 3 Salesforce BA-Brochste	7,482
	NYSERDA ADMINISTRATION, TWO #7 Software Dev. Zaheen	92,654
	NYSERDA ADMINISTRATION, TWO #9 QA Analyst Beth Graves	101,241
	NYSERDA ADMINISTRATION, TWO #10 Server Ops – Ross	83,990
	NYSERDA ADMINISTRATION, TWO #11 Info Security Services	78,447
	NYSERDA ADMINISTRATION, TWO #12 Project Mgr GIS, Brad	78,428
	NYSERDA ADMINISTRATION, TWO #13 Tableau Dev. Suresh	24,754
	NYSERDA ADMINISTRATION, TWO #14 Salesforce BA.- Robles	78,987
	NYSERDA ADMINISTRATION, TWO #16 Technical BA – Garrett	16,688
	NYSERDA ADMINISTRATION, TWO #17 .Net Software Dev.	6,698
	NYSERDA ADMINISTRATION, TWO Salesforce BA - Himmelfarb	97,930
	REC2:CES REC2 Syst Development, TWO #6 Salesforce Tech -Portia	26,905
	REC2:CES REC2 Tech Support, TWO #6 Salesforce Tech -Portia	4,265
	REC:CES REC System Dev Costs, TWO 1 Salesforce Dev. Rajesh K	42,740
REC:CES REC System Dev Costs, TWO #6 Salesforce Tech -Portia	49,106	
ZEC:CES ZEC System Dev Costs, TWO 1 Salesforce Dev. Rajesh K	49,984	
ZEC:CES ZEC System Dev Costs, TWO #6 Salesforce Tech -Portia	17,936	
Technology Professionals Group Inc.	NYSERDA ADMINISTRATION, TWO #1 Salesforce PM Kerollos	68,080
Tecogen	Combined Heat and Power, CHPA - 200 East 57th Street	88,481
	Combined Heat and Power, CHPA - 3333 Broadway	258,400
	COMBINED HEAT AND POWER, CHPA - Aron Hall	59,400
	Combined Heat and Power, CHPA - Brooklyn United Methodi	212,496
	Combined Heat and Power, CHPA - Domino Building E	119,000
	Combined Heat and Power, CHPA - Fairview	173,400
	Combined Heat and Power, CHPA - LeFrak - LeFrance Paris	28,140
	Combined Heat and Power, CHPA - LeFrak - West Side Mano	14,280
	Combined Heat and Power, CHPA-22 South West St Tower	60,775
	Combined Heat and Power, CHPA-485 First Ave-Phipps Hous	37,868
	Combined Heat and Power, CHPA-Ballston Spa Schools	273,049
	Combined Heat and Power, CHPA-Dorchester Towers	313,277
	Combined Heat and Power, CHPA-Normandie Court	109,969
	Combined Heat and Power, CHPA-Windsor Court	216,703
Combined Heat and Power, LeFrak - London Leasing	28,140	
Tern Construction & Development, LLC	New Construction Housing, 2019 LRNCP	65,000
Tesla Energy Operations Inc	<200KW PV, PON 2112 NY SUN	61,598
	>200KW PV, Commercial/Industrial PV	52,572
	>200KW PV, PV System @ Dutchess County Ai	191,156
	COMMUNITY SOLAR, NY-Sun	4,352

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Contractor	Contract Description	Total Expended Amount
Tesla Energy Operations Inc	ENERGY STORAGE, NY-Sun	10,000
	ENERGY STORAGE, PON 2112 NY SUN	150,000
Tetra Tech Engineers, Architects and ..	Commercial New Construc, Commercial New Construction	18,287
Tetra Tech MA, Inc.	OREC: Technical Support, TWO#1 OSW Fisheries WG	28,806
Tetra Tech, Inc.	Environmental Research, PON 4270 PV Site Design	8,350
	ORES Support, ORES Technical Assistance	2,871
The Cadmus Group, LLC	Clean Energy Communities, BOB Support Contractor	123,286
	CLEAN TRANSPORTATION, TWO 5 Clean Transp Roadmap	55,007
	Code to Zero, RFQ3183 Umbrella Agreement	381,826
	Community RH&C, RFP3751 Clean Heating & Coolin	110,539
	COMMUNITY SOLAR, RFP 3764Solarize TA Provider	400
	Electric Vehicles - Innovation, TWO No. 7	657
	ENERGY ANALYSIS, TWO #10 Climate Facilitation	0
	Eval MCDC EE Master Soft Cost, TWO#4 Soft Cost study	71,841
	Eval MCDC: LMI Insights&Impact, 4162 TWO 1: HP Insights Impact	11,069
	Eval MCDC: MF Building Stock, Statewide Multifamily Baseline	572,040
	Home Perf w Energy Star, Energy and Climate Equity	36,615
	K-12 SCHOOLS, P-12 Schools Outreach - Cadmus	5,474
	On-Site Energy Manager, RFQ3183 Umbrella Agreement	2,433
	OREC: Technical Support, RFP 3462 Umbrella Agreement	55,999
	Real Time Enrgy Management, RFQ3183 Umbrella Agreement	62,504
	REV Campus Challenge, REV Campus Challenge Market Ev	25,365
	Statewide EE&BE PotentialStudy, TWO 12 StWide Potential Study	171,622
Strategic Energy Manager, RFQ3183 Umbrella Agreement	2,433	
TWO #10 Climate Facilitation	165,483	
The Center for New York City	CLEANER GREENER COMMUNITIES, CEEP New York City Region (CNY	3,368
	Community Energy Engagement, CEEP New York City Region (CNY	15,607
	OTHER PROGRAM AREA, CEEP New York City Region (CNY	115,141
The City College of New York	REV CAMPUS CHALLENGE, REVCC_ETL_Comp_Round 3	143,574
	Workforce Industry Partnership, PON 3715 Workforce Training	27,295
The Common Pool, LLC	EVPRZ:Implementation, Prize Administrator	580,500
The Community Builders, Inc.	Multifam New Construction, New Construction	52,400
The Cooper Union for the Advanceme..	Workforce Industry Partnership, PON 3715 Workforce Training	77,287
The Culinary Institute of America	Technical Services, OsEM47-C - Culinary Institute	10,062
The Insulation Man LLC	Talent Pipeline:CE and OJT, OJT	930
	Talent Pipeline:CE and OJT, OJT HIRE	8,751
The Levy Partnership, Inc.	ADVANCED BUILDINGS, Building Zero Energy readyhome	39,197
	Air Source Heat Pumps, NextGen HVAC Innovation	42,237
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION, P..	56,300
	NextGen HVAC, Downstate gas fired heat pump	0
	NextGen HVAC, Through-Wall Mini-Split Demo	24,426
	NYCH: Innovation, Downstate gas fired heat pump	93,483
	NYCH: Innovation, Electrifying Hydronic Building	4,000
	NYCH: Innovation, NextGen HVAC Innovation	513
	NYCH: Technical Assistance, FT13249 - 38 E 29th - FTC	36,707
	Technical Services, FT13022 - JOE Housing - FTC	10,000
Technical Services, FT13184 - AE Duke Mgmt - FTC	10,000	
The Logue Group	WEST VALLEY DEVELOPMENT PROGRAM, WV- Demonstration Project	11,327

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The Nature Conservancy	Environmental Research, PV Site Design (PON 4270)	22,470
The Radiant Store	RENEWABLE HEAT NY, Clean Heating & Cooling	4,800
	Renewable Heat NY, The Radiant Store - Fagan	7,200
The Research Foundation for the State	Environmental Research, Low-Cost AQ Sensors	80,877
	Environmental Research, Mobile Laboratory Measurements	11,721
	RENEWABLE HEAT NY, Lignocellulosic pellets	1,075
The Research Foundation of SUNY at ..	Cleantech Incubator, PON3413 Clean Energy Incubator	274,000
The RF of SUNY Binghamton University	Cleantech Geo Coverage, PON 4242	79,000
	Energy Storage Tech/Prod Dev, PON 3585 R2	150,000
	Pub Transit & Elect Rail, XFC onboard charger	125,000
The Standard Hydrogen Corporation	High Performing Grid, Economical Long-Duration	52,472
The Trustees of Columbia University	Carbontech Development, The Carbon Foundry	250,000
	Cleantech EIR, PON 3819	1,136,850
	OTHER PROGRAM AREA, PON 3249 ACE Electrofuels	124,551
ThermoAI INC	76 West, 76West Clean Energy Business C	450,000
	OTHER PROGRAM AREA, 76West Clean Energy Business C	0
Thermodynamix LLC	NYCH: Talent Ppln:CE and OJT, OJT	15,120
	NYCH: Talent Ppln:CE and OJT, OJT HIRE	23,320
Third Lenox Terrace Associates LLC	Multifam Performance Pgm, Multifamily	57,200
Thornton Tomasetti, Inc.	Commercial New Construc, Commercial New Construction	815
	Commercial Real Estate Ten, TTI - 100 6th Avenue	24,159
Timothy Marlett	Talent Pipeline:CE and OJT, OJT HIRE	3,176
tkFabricate, LLC	Air Source Heat Pumps, VHE HVAC	0
	NYCH: Innovation, VHE HVAC	88,782
TM Montante Solar Developments, LLC	<200KW PV, PON 2112 NY SUN	503,272
Tompkins Consolidated Area Transit	Pub Transit & Elect Rail, First/Last Mile in Tompkins Co	63,344
Towers on the Hudson LLC	Multifam Performance Pgm, Multifamily	26,800
Town of Ancram	CEC400050 - Town of Ancram	2,447
	Clean Energy Communities, CEC400050 - Town of Ancram	4,078
Town of Black Brook	Clean Energy Communities, CEC701091 - Town of Black Broo	36,500
Town of Danby	Clean Energy Communities, CEC001242 - Town of Danby	69,986
Town of Enfield	Clean Energy Communities, CEC001221 - Town of Enfield	37,500
Town of Hempstead, Department of C..	CLEANER GREENER COMMUNITIES, CEC910525 - Town of Hempstead	45,000
Town of Knox	Clean Energy Communities, Town of Knox	3,808
	Town of Knox	1,142
Town of Marletown	Clean Energy Communities, Town of Marletown	50,000
Town of Middletown	Clean Energy Communities, CEC001299 - Town of Middletown	1,449
Town of Mount Morris	CLEANER GREENER COMMUNITIES, CGC40438 - Mt Morris Comp Zoni	25,750
Town of Red Hook	Clean Energy Communities, CEC500662 - Town of Red Hook	12,000
Town of Rosendale	Clean Energy Communities, PON 3298 CEC	12,500
Town of Skaneateles	Clean Energy Communities, Town of Skaneatele	50,000
Town of Smithtown	CLEANER GREENER COMMUNITIES, Town of Smithtown	48,000
Town of Somers	Clean Energy Communities, CEC500636 - Town of Somers	18,750
Town of St Armand	Clean Energy Communities, CEC701206-Town of St. Armand	37,500
Town of Windsor	Clean Energy Communities, Town of Windsor	45,000
Trane	K-12 SCHOOLS, P12GC-43E - Johnson - FTC	114,344
	Real Time Enrgy Management, Americas Soc-680 Park Ave-RTEM	3,393
	Real Time Enrgy Management, Fountain House-425 W 47th-RTEM	7,834

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Trane	Real Time Enrgy Management, Mosholu-3450 Dekalb Ave-RTEM	8,824
	Real Time Enrgy Management, St Ann'sWarehou-45WaterSt-RTEM	5,619
	Real Time Enrgy Management, Trane - 1 Manhattan Sq - RTEM	5,400
	Real Time Enrgy Management, Trane - 48 E 84 St - RTEM	14,997
	Real Time Enrgy Management, Trane - 107 Gross St-RTEM	53,065
	Real Time Enrgy Management, Trane - 685 3rd Ave - RTEM	87,330
	Real Time Enrgy Management, Trane - 8954 Jackson St- RTEM	75,178
	Real Time Enrgy Management, Trane - Multisite - RTEM	64,975
	Real Time Enrgy Management, Trane Us - 41 S Main St - RTEM	1,973
	Real Time Enrgy Management, Trane-85 Livingston-RTEM	19,782
	Real Time Enrgy Management, Trane-320 Park-RTEM	235,600
	Real Time Enrgy Management, Trane-403 Main-RTEM	137,100
	Real Time Enrgy Management, Trane-1883 Genesee St-RTEM	57,308
	Real Time Enrgy Management, Trane-North Colonie CSD-RTEM	15,442
	Real Time Enrgy Management, Trane-Wells College-RTEM	7,357
	Remote Energy Management, RFP 3683 REM Program	169,191
TransCore ITS LLC	CLEAN TRANSPORTATION, Green Traffic Control Cabinet	1,317
TRC Energy Services	Capital Planning, SA.075_TWO #26_MF_PM	17,524
	Cleantech ICC Engage, SA.063_TWO #22 - T2M	12,817
	Commercial New Construc, SA.040_TWO #16 - NC PM	0
	Commercial New Construc, SA.041_TWO#14 - NCP PM	11,970
	Commercial New Construc, SA.042_TWO#17b - NCP NYC PM	0
	Commercial New Construc, Staff Augmentation Services	15,762
	Commercial Real Estate Ten, SA.047_TWO #19 - EPE	0
	Commercial Real Estate Ten, SA.086a_TWO #27_AES_PM-1	8,439
	ENERGY ANALYSIS, SA.053a_TWO #20 - EEA	49,173
	ENERGY ANALYSIS, Staff Augmentation Services	107,411
	Energy Storage Tech/Prod Dev, SA.063_TWO #22 - T2M	12,817
	EVPRZ:Implementation, SA.071_TWO# 20_Clean Trans_PM	115,816
	High Performing Grid, SA.063_TWO #22 - T2M	12,817
	Informat. Products & Brokering, SA.086a_TWO #27_AES_PM-1	8,439
	K-12 SCHOOLS, RFP3628FlexTechConsultUmbrella	87,774
	K-12 SCHOOLS, SA.026a_TWO#13 - EPE	30,173
	Low Carbon Tech Demos, SA.012_TWO #5_MF_PM	0
	Low Carbon Tech Demos, SA.075_TWO #26_MF_PM	70,096
	Low Carbon Tech Demos, Staff Augmentation Services	20,051
	Low Rise New Construction, SA.040_TWO #16 - NC PM	0
	Low Rise New Construction, SA.041_TWO#14 - NCP PM	33,009
	Low Rise New Construction, SA.042_TWO#17b - NCP NYC PM	0
	Low Rise New Construction, Staff Augmentation Services	35,056
	Multifam New Construction, SA.040_TWO #16 - NC PM	0
	Multifam New Construction, SA.042_TWO#17 - NCP NYC PM	36,067
	Multifam New Construction, SA.042_TWO#17b - NCP NYC PM	31,505
	Multifam New Construction, Staff Augmentation Services	17,863
	Multifam Performance Pgm, SA.012_TWO #5_MF_PM	2,609
	Multifam Performance Pgm, SA.014_TWO #7_MF_PM	42,160
	Multifam Performance Pgm, SA.016_TWO #8_MF_APM	0
	Multifam Performance Pgm, SA.017_TWO #9_MF_APM	38,774

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Contractor	Contract Description	Total Expended Amount	
TRC Energy Services	Multifam Performance Pgm, Staff Augmentation Services	170,011	
	New Construction Housing, SA.040_TWO #16 - NC PM	0	
	New Construction Housing, SA.041_TWO#14 - NCP PM	32,039	
	New Construction Housing, SA.042_TWO#17 - NCP NYC PM	16,030	
	New Construction Housing, SA.042_TWO#17b - NCP NYC PM	11,172	
	New Construction Housing, Staff Augmentation Services	20,636	
	New Construction- Commercial, SA.040_TWO #16 - NC PM	0	
	New Construction- Commercial, SA.041_TWO#14 - NCP PM	17,800	
	New Construction- Commercial, SA.042_TWO#17 - NCP NYC PM	8,846	
	New Construction- Commercial, SA.042_TWO#17b - NCP NYC PM	7,728	
	New Construction- Commercial, Staff Augmentation Services	15,762	
	NYCH: Comfort Home, Comfort Home Implementation	216,501	
	NYCH: Critical Tools, CHC Data Analysis TWO - TRC	43,361	
	NYCH: Innovation, SA.063_TWO #22 - T2M	12,817	
	NYCH: Low Carbon Tech Demos, SA.075_TWO #26_MF_PM	0	
	NYCH: Talent Ppln:CE and OJT, Technical Review and Program S	112,772	
	NYCH: Talent Ppln:CE and OJT, TWO #4 SIPPR Implementation	2,665	
	NYCH: Technical Assistance, SA.061_TWO#23 - Multifamily	9,598	
	NYSERDA ADMINISTRATION, SA.059_TWO #21 - Financing Sol	85,952	
	NYSERDA ADMINISTRATION, SA.069_TWO#19 - Contracts	69,903	
	Pub Transit & Elect Rail, SA.063_TWO #22 - T2M	12,817	
	Real Time Enrgy Management, SA.028_TWO #10_AES_PM	50,898	
	Real Time Enrgy Management, Staff Augmentation Services	7,061	
	Renewable Heat NY, Technical Review and Program S	49,384	
	REV Campus Challenge, SA.047_TWO #19 - EPE	0	
	SA.059_TWO #21 - Financing Sol	0	
	SA.072_TWO #25_NY-SUN_Sr. PM	132,975	
	Single Family New Construction, SA.041_TWO#14 - NCP PM	4,747	
	Single Family New Construction, SA.042_TWO#17 - NCP NYC PM	5,610	
	Single Family New Construction, SA.042_TWO#17b - NCP NYC PM	7,731	
	Strategic Energy Manager, SA.026a_TWO#13 - EPE	71,875	
	Strategic Energy Manager, SA.047_TWO #19 - EPE	74,560	
	Talent Pipeline:CE and OJT, Technical Review and Program S	119,592	
	Talent Pipeline:CE and OJT, TWO #4 SIPPR Implementation	2,665	
	Talent Pipeline:Internship Pgm, Technical Review and Program S	93,976	
	Talent Pipeline:OSW Training, Technical Review and Program S	103,373	
	Technical Services, SA.047_TWO #19 - EPE	0	
	Technical Services, SA.061_TWO#23 - Multifamily	74,940	
	Technical Services, Staff Augmentation Services	162,200	
	Workforce Industry Partnership, Technical Review and Program S	187,806	
	TRC Engineers, Inc	NYCH: Innovation, PON3519 Round 1	44,961
	TRC Engineers, Inc.	BR: Design, BR Benson Mines Engineering	175,533
		BR: Environmental, BR Benson Mines Env Permitting	84,666
		BR: Environmental, Cat 3: Feasibility Design	4,958
BR: Screening, Cat 3: Feasibility Design		45,509	
BR: Screening, Environmental Research		2,295	
BR: Screening, TWO- Cat 2_BR Site Crit. Issue		36,508	
CI Engy Siting & Soft Cost Red, Cat 3: Feasibility Design		0	

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Contractor	Contract Description	Total Expended Amount
TRC Engineers, Inc.	CI Engy Siting & Soft Cost Red, Large-Scale Renewables	0
	CI Engy Siting & Soft Cost Red, TWO- Cat 2_BR Site Crit. Issue	0
	NYCH: Innovation, Plug-and-Play Optimized Contro	55,949
	NYCH: Supply Chain, Upstream Partners Initiative	93,971
Trees New York	GREENING THE BRONX, Efficiency Planning & Engineer	7,099
Tremont Renaissance, LLC	Multifam Performance Pgm, Multifamily	148,325
Trinity Hudson Holdings, LLC	Empire Building Challenge, EBC-Phase I-Hines	125,000
	NYCH: Empire Build Challenge, EBC-Phase I-Hines	125,000
Trinity Solar Inc	<200KW PV, PON 2112 NY SUN	65,882
Triton Systems, Inc	Nat'l OffShWind R&D Consortium, Natl Offshore Wind R&D	22,500
	Natl Offshore Wind R&D	22,500
True Building Performance LLC	Talent Pipeline:CE and OJT, OJT HIRE	8,712
True Energy Solutions	NYCH: Talent Ppln:CE and OJT, OJT HIRE	6,377
	Talent Pipeline:CE and OJT, OJT	8,695
	Talent Pipeline:CE and OJT, OJT HIRE	23,303
Trustees of Tufts College	Nat'l OffShWind R&D Consortium, Natl Offshore Wind R&D	184,690
	Natl Offshore Wind R&D	184,690
Tungsten Sources, LLC	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Transformative ..	45,000
Turin Solar Fund, LLC	>200KW PV, NY Sun	340,340
U&S Services, Inc.	Remote Energy Management, RFP3683 REM Program	231,257
Ulster County BOCES	Talent Pipeline:CE and OJT, PON3981 Round 11	1,444
Ulster, County of	Pub Transit & Elect Rail, Bus fleet electrification plan	40,000
Ultra Dairy, LLC	Industrial Process Effic, Industrial Process Efficiency	38,228
Unique Comp Inc.	NYSERDA ADMINISTRATION, RFP3143 Umbrella Agreement	104,506
	NYSERDA ADMINISTRATION, TWO #2 Web Content Editor	55,510
	NYSERDA ADMINISTRATION, TWO #3 Database Admin. Vinaya	112,716
	NYSERDA ADMINISTRATION, TWO #4 Salesforce PM - Nichols	28,003
	NYSERDA ADMINISTRATION, TWO #5 Tableau Dev. Sudhanshu	45,342
	NYSERDA ADMINISTRATION, TWO #6 Sr. Software Dev. Ralph	43,747
	NYSERDA ADMINISTRATION, TWO Sr. Software Eng. -Bhanu	87,890
Unique Electric Solutions of NYS LLC	CLEAN TRANSPORTATION, NYTVIP	-15,600
	CLEAN TRANSPORTATION, NYTVIP - United Parcel Service	220,000
	CLEAN TRANSPORTATION, NYTVIP - UPS	330,000
	NYTVIP	15,600
United States Department of the Interi..	Environmental Research, ENV & Fisheries Rsrch for OSW	13,144
United Way of Long Island	CLEANER GREENER COMMUNITIES, CEEP Long Island (UWLI)	0
	OTHER PROGRAM AREA, CEEP Long Island (UWLI)	19,482
University at Albany	Environmental Research, AQHE PON 3921	107,863
	High Performing Grid, Enhancing Predictability	50,000
University of Maine	Nat'l OffShWind R&D Consortium, Natl Offshore Wind R&D	31,604
	Natl Offshore Wind R&D	31,604
University of Massachusetts Amherst	Nat'l OffShWind R&D Consortium, Natl Offshore Wind R&D	64,825
	Natl Offshore Wind R&D	64,825
University of North Carolina at Chapel..	Environmental Research, AQHE PON 3921	15,725
University of Rochester	Environmental Research, AQHE PON 3921	112,367
	Environmental Research, Changes in PM Composition	150,988
	ENVIRONMENTAL RESEARCH, Long-Term Monitoring of Methan	0
	REV Campus Challenge, RFP 3675 REV Campus Challenge	40,000

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Contractor	Contract Description	Total Expended Amount
University of Wisconsin System	Environmental Research, NADP LTM Ecosystems in NYS	37,998
University System of New Hampshire	U.S. DOE SEP Grant for oTherm	82,273
Uplight, Inc.	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Residential Pr..	4,842
	EMPOWER NY, Residential Program MgtRFP3545	4,842
	GJGNY Market Rate Audits, Residential Program MgtRFP3545	0
	Home Perf w Energy Star, Residential Program MgtRFP3545	486,889
	Residential Program MgtRFP3545	0
Upstate Alternative Energy	<200KW PV, PON 2112 NY SUN	34,328
Urban Electric Power, Inc.	Cleantech Ignition, NYCP Urban Electric	500,000
	Energy Storage Tech/Prod Dev, PON 3585 R2	125,000
Urban Electric Power, LLC	Talent Pipeline:CE and OJT, OJT	7,040
	Talent Pipeline:CE and OJT, OJT HIRE	27,693
	Talent Pipeline:CE and OJT, Workforce Dev & Train	7,040
Urban Green Council	Code to Zero, Urban Green TWO#1 Training	104,862
	Talent Pipeline:CE and OJT, PON3981 Round 9	34,130
	Talent Pipeline:CE and OJT, PON3981 Round 10	22,102
	Workforce Industry Partnership, PON 3715 (R7) BOM	5,625
Urban Homesteading Assistance Inc	NY-SUN, PON 3414 Coops Go Solar	80,000
Urban League of Westchester County, Inc.	Community RH&C, CH&C Communities Round 3	66,273
	NYCH: LMI, CH&C Communities Round 3	14,727
USE ACQUISITION LLC	Real Time Enrgy Management, US Energy-161 Corbin PI-RTEM	1,890
Utilidata, Inc.	High Performing Grid, PON4128 NationalGrid Challenge	929,741
Utilities Program & Metering, Inc.	Real Time Enrgy Management, Josie Robinson Surgery - RTEM	6,113
	Real Time Enrgy Management, Utilities-160 E 53rd St-RTEM	4,500
	Real Time Enrgy Management, Utility Prog-1 NY Plaza-RTEM	28,314
	Real Time Enrgy Management, Utilivisor-327 E 64th St-RTEM	3,960
Valentine Gardens Vintage, LLC	Multifam Performance Pgm, Multifamily	10,000
Vassar College	REV Campus Challenge, REVCC_ETL_Comp_Round 3	15,500
	Technical Services, OsEM8-C Vassar College	46,643
Vecino Group New York, LLC	New Construction Housing, 2019 MFCNP	27,700
Venture at Endicott LLC	Tech Assistanc Multifamily LMI, FT13171 - 15 Delaware - PON	10,000
	Technical Services, FT13171 - 15 Delaware - PON	-10,000
Venture Home Solar LLC	>200KW PV, PON 2112 NY SUN	9,950
Vermont Energy Investment Corporation	NYCH: LMI, TWO #1 LMI Electrification	85,455
	Pay for Performance, Umbrella Contract	30,718
	Strategic Energy Manager, RFP 3352	361,491
Vervent Inc.	GJGNY REVOLVING LOAN FUND, Financing Solutions	35,064
Vidaris, Inc.	Commercial New Construc, Commercial New Construction	481
	Commercial Real Estate Ten, Vidaris- 1 Bryant Park - RTEM	24,402
Village of Amityville	CLEANER GREENER COMMUNITIES, Village of Amityville	12,500
Village of Athens	CEC400117 - Village of Athens	22,500
Village of Centre Island	CLEANER GREENER COMMUNITIES, Village of Centre Island	30,000
Village of Cold Spring	CLEANER GREENER COMMUNITIES, CGC30400 - Village of Cold Sp	7,000
Village of Goshen	Clean Energy Communities, Village of Goshen	1,500
Village of Hastings on Hudson	CLEANER GREENER COMMUNITIES, Hastings-on-Hudson	21,750
Village of Saranac Lake	Clean Energy Communities, CEC701022 - Village of Saranac	50,000
Village of Sea Cliff	CLEANER GREENER COMMUNITIES, Village of Sea Cliff	37,500
Vistex Composites, LLC	Cleantech Ignition, PON 3871 Ignition Grants	8,500

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Contractor	Contract Description	Total Expended Amount
Vivint Solar	<200KW PV, PON 2112 NY SUN	5,801
Volunteers of America- Greater New Y..	New Construction Housing, 2019 MFCNP	30,000
W & E Phillips Locksmith, Inc	NYSERDA ADMINISTRATION, Facilities Management	4,582
Wadsworth Energy LLC	Rmve Barriers Dist Enrgy Storg, TWO #2 MDIWG Support	14,325
Wagner Farms	Anaerobic Digesters, PON 3739 CAT C	92,995
Wallkill Senior Housing	Multifam Performance Pgm, Multifamily	25,600
Washingtonville Solar LLC	>200KW PV, NY-Sun CI Payee Assignment	305,991
Wavelength Group, LLC	Talent Pipeline:CE and OJT, OJT HIRE	6,113
Wayne County Action Program	Talent Pipeline:CE and OJT, OJT HIRE	12,220
WB Engineering & Consulting PLLC	Commercial Real Estate Ten, WB Eng+Con - 1250 Broadway	4,025
	Commercial Real Estate Ten, WBE 510 Madison CTP	-5,150
Wendel Energy Services, LLC	K-12 SCHOOLS, RFP3628FlexTechConsultUmbrella	108,108
	NYCH: Technical Assistance, FT13268 - Group A - FTC	96,698
	NYCH: Technical Assistance, FT13269 - Group B - FTC	67,099
	NYCH: Technical Assistance, FT13530 - 300 S. Parkway - FTC	18,832
	REV Campus Challenge, FT13252 - Uni. Rochester - FTC	2,170
	REV Campus Challenge, RM34 - University of Rochester	23,121
	Technical Services, FT13207 - Amherst WWTF - FTC	5,500
	Technical Services, FT13319 - Plattsburg - FTC	19,816
	Technical Services, FT13330 - Multiple - FTC	10,776
	Technical Services, FT13502 - 27 East Main - FTC	13,157
Westhab, Inc.	Buildings of Excellence, BoE Rnd. 2 - Hudson Hill	150,000
	New Construction Housing, 2019 MFCNP	46,570
Westtown NY 1, LLC	>200KW PV, NY-Sun C&I	239,890
Westtown NY 2, LLC	>200KW PV, NY Sun	168,191
Whiteface Mountain Solar 1, LLC	>200KW PV, NY-Sun CI Payee Assignment	257,657
Willdan Energy Solutions	Clean Energy Communities, RFP 4478	10,849
	Cleantech Ignition, SA.062a_TWO#4 Tech to Market	46,101
	Cleantech Incubator, SA.062a_TWO#4 Tech to Market	46,101
	Code to Zero, SA.060_TWO #3 - Codes	123,490
	Commercial Real Estate Ten, Advanced Efficiency Solutions	75,216
	Industrial Process Effic, Industrial Process Efficiency	2,949
	Industrial Process Effic, IPE16195	588
	Industrial Process Effic, IPE16224	3,835
	Industrial Process Effic, IPE16247	11,569
	Industrial Process Effic, Technical Review and Program S	13,796
	K-12 SCHOOLS, RFP 3788 P-12 Benchmarking	31,320
	Multifam Performance Pgm, Staff Augmentation Services	73,876
	NYCH: District, PON 4614 Round #1 Phelps Hosp	16,485
	NYCH: Technical Assistance, Natural Gas Constrained Areas	5,571
	Real Time Enrgy Management, Assignment of Agreement	4,500
	Technical Services, FT13038 - Phelps - FTC	7,708
	Technical Services, Natural Gas Constrained Areas	31,345
Willdan Lighting & Electric, Inc.	Talent Pipeline:CE and OJT, PON3981 Round 7	102,604
Willet Dairy, LLC	Anaerobic Digesters, Willet-Belltown Refurbishment	39,401
Windels Marx Lane & Mittendorf, LLP	NEW YORK GREEN BANK, RFP 12 - NYGB Legal Services	32,103
Wise Home Energy, LLC	NYCH: Talent Ppln:CE and OJT, OJT HIRE	7,844
WNY Rural Preservation, LP	Multifam Performance Pgm, Multifamily	36,900

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Contractor	Contract Description	Total Expended Amount
Woodcrest Dairy, LLC	ANAEROBIC DIGESTER, PON 2828 - Woodcrest	64,144
Woods Hole Oceanographic Institution	Natl OffShWind R&D Consortium, Natl Offshore Wind R&D	102,870
	Natl Offshore Wind R&D	34,290
Worley Group, Inc.	OREC: Technical Support, Determination Study Buy Americ	103,153
	OREC: Technical Support, TWO 2 Buyer's Eng Support Se	57,498
	OREC: Technical Support, TWO#1 Advisian GL Wind Study	36,531
WSP USA Corp.	Clean Energy Communities, TA Community Support Services	0
	Environmental Research, ENV & Fisheries Rsrch for OSW	188,100
	Environmental Research, Suppt Svcs for Solar Dev & Ag	34,310
	New Construction- Commercial, Commercial New Construction	16,477
	OREC: Technical Support, TWO#1- Offshore Wind Cable	472,039
WVF-Paramount 745 Property LP	NYCH: Technical Assistance, FT13567 - 745 Fifth - PON	9,047
Xerox Corp	Industrial Process Effic, Industrial Process Efficiency	187,857
Yale University	U.S. DOE SEP Grant for oTherm	19,175
Yardi Systems, Inc.	Real Time Enrgy Management, Yardi - 200 Park Ave - RTEM	29,618
Yeshiva University	NYCH: Technical Assistance, FT13593 - Yeshiva U - PON	52,658
	NYCH: Technical Assistance, FT13932 - Yeshiva Group 2 -PON	54,103
YMCA of Greater New York	Commercial New Construc, NCP16038- Edenwald YMCA	154,921
You Save Green Incorporated	<200KW PV, PON 2112 NY SUN	6,570
Youth Action Programs and Homes, I..	Talent Pipeline:CE and OJT, PON3981 Round 3	43,893
Zerodraft Residential Inc.	Talent Pipeline:CE and OJT, OJT	12,083
	Talent Pipeline:CE and OJT, OJT HIRE	19,135
Grand Total		264,720,307

NYSERDA

Public Authority Law Report

October 1, 2021 to March 31, 2022

Section Break

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Contractor	Contract Description	Total Expended Amount
Agarabi Engineering, PLLC	Talent Pipeline: Internship Pgm, Workforce Dev & Train	25,026
Air Company Holdings, Inc.	Talent Pipeline: Internship Pgm, Workforce Dev & Train	14,688
Albany, City of,	OTHER PROGRAM AREA, Clean Transportation	63,000
Arch Street Communications, Inc.	Talent Pipeline: Internship Pgm, Workforce Dev & Train	6,411
Association for Energy Affordability, In	Home Perf w Energy Star, Single Family Residential	12,600
	Single Family Residential	24,396
Bettergy Corporation	Talent Pipeline: Internship Pgm, Workforce Dev & Train	5,603
Binghamton Regional	Talent Pipeline: Internship Pgm, Workforce Dev & Train	2,053
BlocPower LLC	Talent Pipeline: Internship Pgm, Workforce Dev & Train	36,743
Bonded Energy Solutions Corp.	Workforce Dev & Train	5,263
Breathe Easy of CNY Inc.	Home Perf w Energy Star, Single Family Residential	62,422
	NENY: NIMO Empower Electric, Single Family Residential	308
	NYCH: LMI, Single Family Residential	34,699
	Single Family Residential	23,612
Bright Power, Inc.	Talent Pipeline: Internship Pgm, Workforce Dev & Train	89,237
Buffalo Solar Solutions Inc	Talent Pipeline: Internship Pgm, Workforce Dev & Train	7,604
C&R Housing Inc.	Home Perf w Energy Star, Single Family Residential	63,955
	NENY: NFG Empower Gas, Single Family Residential	144,334
	NENY: NIMO Empower Electric, Single Family Residential	3,509
	Single Family Residential	10,235
	Talent Pipeline: Internship Pgm, Workforce Dev & Train	14,688
CEC Stuyvesant Cove, Inc.	Talent Pipeline: Internship Pgm, Workforce Dev & Train	4,452
COI Energy Services Inc	Talent Pipeline: Internship Pgm, Workforce Dev & Train	1,232
COLLECTIF Engineering, PLLC	NYCH: Talent Ppln: Intern Pgm, Workforce Dev & Train	3,573
	Talent Pipeline: Internship Pgm, Workforce Dev & Train	25,237
Cornerstone Energy Services	Single Family Residential	411
CTY, Inc	Talent Pipeline: Internship Pgm, Workforce Dev & Train	37,761
Do-it-With Inc.	Talent Pipeline: Internship Pgm, Workforce Dev & Train	10,993
Dollaride, Inc.	Talent Pipeline: Internship Pgm, Workforce Dev & Train	34,261
DVM Industries	Talent Pipeline: Internship Pgm, Workforce Dev & Train	7,344
EagleHawk One, Inc.	Talent Pipeline: Internship Pgm, Workforce Dev & Train	7,344
Empower Equity Inc	Talent Pipeline: Internship Pgm, Workforce Dev & Train	5,651
Endurant Energy LLC	Talent Pipeline: Internship Pgm, Workforce Dev & Train	1,796
Energy Management Solutions, LLC	EMPOWER NY, Single Family Residential	33
	GJGNY Market Rate Audits, Single Family Residential	9,900
	Home Perf w Energy Star, Single Family Residential	156,007
	NENY: CHGE Empower Electric, Single Family Residential	209
	NENY: CHGE Empower Gas, Single Family Residential	19,261
	NYCH: Comfort Home, Single Family Residential	74,400
	NYCH: LMI, Single Family Residential	15,700
Energy Savers Inc	EMPOWER NY, Single Family Residential	15,204
	Home Perf w Energy Star, Single Family Residential	547,742
	NENY: NIMO Empower Electric, Single Family Residential	13,202
	NENY: NIMO Empower Gas, Single Family Residential	174,520
	NENY: NYSEG Empower Electric, Single Family Residential	891
	NENY: NYSEG Empower Gas, Single Family Residential	21,358
	NYCH: Comfort Home, Single Family Residential	132,650
	Single Family Residential	69,632
Energy Saving Solutions, LLC	EMPOWER NY, Single Family Residential	154
	GJGNY Market Rate Audits, Single Family Residential	300
	Home Perf w Energy Star, Single Family Residential	139,860

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Contractor	Contract Description	Total Expended Amount
Energy Saving Solutions, LLC	NENY:NFG Empower Gas, Single Family Residential	203,682
	NENY:NIMO Empower Electric, Single Family Residential	4,928
	NENY:NYSEG Empower Electric, Single Family Residential	341
	NENY:NYSEG Empower Gas, Single Family Residential	15,348
	NENY:RGE Empower Electric, Single Family Residential	176
	NYCH: Comfort Home, Single Family Residential	900
	Single Family Residential	17,353
Foam It Insulation, LLC	EMPOWER NY, Single Family Residential	61,347
	GJGNY Market Rate Audits, Single Family Residential	8,850
	Home Perf w Energy Star, Single Family Residential	580,486
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	150
	NENY:NFG Empower Gas, Single Family Residential	378
	NENY:NYSEG Empower Electric, Single Family Residential	12,194
	NENY:NYSEG Empower Gas, Single Family Residential	134,827
	Single Family Residential	98,867
	Talent Pipeline: Internship Pgm, Workforce Dev & Train	10,273
Fred F. Collis & Sons, Inc.	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	25,574
	EMPOWER NY, Single Family Residential	28,564
	Home Perf w Energy Star, Single Family Residential	1,180,644
	NENY:NIMO Empower Electric, Single Family Residential	14,726
	NENY:NIMO Empower Gas, Single Family Residential	127,946
	NENY:NYSEG Empower Electric, Single Family Residential	979
	NENY:NYSEG Empower Gas, Single Family Residential	7,936
	NYCH: Comfort Home, Single Family Residential	6,950
	NYCH: LMI, Single Family Residential	13,500
	NYCH: Talent Ppln: Intern Pgm, Workforce Dev & Train	8,457
Single Family Residential	213,583	
Geatrain Engineering PLLC	Talent Pipeline: Internship Pgm, Workforce Dev & Train	20,777
GI Endurant LLC	Talent Pipeline: Internship Pgm, Workforce Dev & Train	1,782
Gotham 360 LLC	Talent Pipeline: Internship Pgm, Workforce Dev & Train	10,129
Green Action Studio, LLC	OTHER PROGRAM AREA, Clean Transportation	48,000
	Talent Pipeline: Internship Pgm, Workforce Dev & Train	73,004
Green Home Logic, Inc.	EMPOWER NY, Single Family Residential	36,100
	GJGNY Market Rate Audits, Single Family Residential	13,200
	Home Perf w Energy Star, Single Family Residential	41,043
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	750
	NENY:Con Ed Empower Electric, Single Family Residential	1,814
	NENY:Con Ed Empower Gas, Single Family Residential	23,072
	NENY:KEDNY Empower Gas, Single Family Residential	957
	NYCH: Comfort Home, Single Family Residential	28,500
Single Family Residential	47,649	
Green Team USA, LLC	Home Energy Ratings, Single Family Residential	597
Group-S LLC	Talent Pipeline: Internship Pgm, Workforce Dev & Train	51,521
Halcyon Inc.	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	3,480
	EMPOWER NY, Single Family Residential	80,183
	Home Perf w Energy Star, Single Family Residential	2,193,523
	NENY:NIMO Empower Electric, Single Family Residential	2,684
	NENY:NIMO Empower Gas, Single Family Residential	71,526
	NENY:NYSEG Empower Electric, Single Family Residential	10,582
	NENY:NYSEG Empower Gas, Single Family Residential	254,832
	NENY:RGE Empower Electric, Single Family Residential	6,243

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Contractor	Contract Description	Total Expended Amount
Halcyon Inc.	NENY:RGE Empower Gas, Single Family Residential	14,690
	NYCH: Comfort Home, Single Family Residential	21,550
	NYCH: LMI, Single Family Residential	333,383
	Single Family Residential	185,308
HALO Branded Solutions, Inc.	Environmental Research, Corporate Marketing	289
Hawn Heating & Energy Services LLC	Home Perf w Energy Star, Single Family Residential	40,795
	NENY:RGE Empower Electric, Single Family Residential	440
	NENY:RGE Empower Gas, Single Family Residential	10,931
High Peaks Solar	Talent Pipeline: Internship Pgm, Workforce Dev & Train	7,344
Incorporated Villlage of Philmont	Clean Energy Communities, Communities & Local Government	5,000
INF Associates LLC	Talent Pipeline: Internship Pgm, Workforce Dev & Train	14,688
Integral Building & Design, Inc.	Talent Pipeline: Internship Pgm, Workforce Dev & Train	7,222
J Synergy Green Inc	GJGNY Market Rate Audits, Single Family Residential	1,200
	Home Perf w Energy Star, Single Family Residential	15,478
Jaros, Baum & Bolles	Talent Pipeline: Internship Pgm, Workforce Dev & Train	3,347
John Betlem Heating & Cooling Inc	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	23,243
	EMPOWER NY, Single Family Residential	2,718
	GJGNY Market Rate Audits, Single Family Residential	8,550
	Home Perf w Energy Star, Single Family Residential	970,800
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	600
	NENY:NFG Empower Gas, Single Family Residential	6,048
	NENY:NYSEG Empower Electric, Single Family Residential	4,642
NENY:RGE Empower Gas, Single Family Residential	17,194	
Kawi Energy Group Corp.	Talent Pipeline: Internship Pgm, Workforce Dev & Train	24,817
Key Capture Energy, LLC	Talent Pipeline: Internship Pgm, Workforce Dev & Train	5,569
Kinetic Communities Consulting Corporati	Low-Income Forum on Energy, Events Management	5,000
	NYCH: Talent Ppln: Intern Pgm, Workforce Dev & Train	3,040
	Talent Pipeline: Internship Pgm, Workforce Dev & Train	2,219
Kool-Temp Heating & Cooling	GJGNY Market Rate Audits, Single Family Residential	600
	Home Perf w Energy Star, Single Family Residential	500
Livingston Energy Group	OTHER PROGRAM AREA, Clean Transportation	34,000
	Talent Pipeline: Internship Pgm, Workforce Dev & Train	80,784
Long Island Power Authority	GJGNY REVOLVING LOAN FUND, Single Family Residential	132,658
Malcarne Contracting, Inc.	Home Perf w Energy Star, Single Family Residential	250
	NYCH: Comfort Home, Single Family Residential	150
Matt Fronk and Associates LLC	Clean Transportation	850
Meltek Inc.	Talent Pipeline: Internship Pgm, Workforce Dev & Train	25,250
Michaels Group Homes, LLC	OTHER PROGRAM AREA, Clean Transportation	16,000
MicroEra Power, Inc.	Talent Pipeline: Internship Pgm, Workforce Dev & Train	6,273
Mohawk Valley Economic Development Dist.	Talent Pipeline: Internship Pgm, Workforce Dev & Train	6,472
MR. AIR NYC Corp.	NYCH: Talent Ppln: Intern Pgm, Workforce Dev & Train	1,897
New York City Energy Efficiency Corp	Talent Pipeline: Internship Pgm, Workforce Dev & Train	5,726
New York Independent Systems Operator	BR: Program Implementation, Environmental Research	3,000
	BR: Program Implementation, Large-Scale Renewables	2,000
Next Generation Solar, LLC	Talent Pipeline: Internship Pgm, Workforce Dev & Train	7,834
NP Environmental LLC	Home Perf w Energy Star, Single Family Residential	250
NYS Economic Development Council	Prof & Expert Engagement, Communities & Local Government	3,700
Orenda Inc	Talent Pipeline: Internship Pgm, Workforce Dev & Train	50,807
Otsego County Conservation Association	Talent Pipeline: Internship Pgm, Workforce Dev & Train	6,394
Pathfinder Engineers & Architects, LLP	Talent Pipeline: Internship Pgm, Workforce Dev & Train	9,058
Pathstone Corporation	Home Perf w Energy Star, Single Family Residential	5,158

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Contractor	Contract Description	Total Expended Amount
Pathstone Corporation	NENY:NIMO Empower Electric, Single Family Residential	805
	NENY:RGE Empower Electric, Single Family Residential	8,169
Patriot Energy Solutions Corp	EMPOWER NY, Single Family Residential	34,080
	Home Perf w Energy Star, Single Family Residential	2,226,142
	NENY:Con Ed Empower Electric, Single Family Residential	16,038
	NENY:Con Ed Empower Gas, Single Family Residential	58,324
	NENY:KEDNY Empower Gas, Single Family Residential	630,710
	Single Family Residential	12,028
Performance Systems Development, Inc.	Low Rise New Construction, New Construction	9,000
	Single Family New Construction, New Construction	100
re: Charge-e, Inc.	Talent Pipeline:Internship Pgm, Workforce Dev & Train	11,304
RHM Inc.	Home Perf w Energy Star, Single Family Residential	5,500
Rochester People's Climate Coalition	NYCH: Talent Ppln:Intern Pgm, Workforce Dev & Train	3,548
	Talent Pipeline:Internship Pgm, Workforce Dev & Train	7,344
SANFILIPPO SOLUTIONS INC.	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	6,150
	EMPOWER NY, Single Family Residential	29,153
	Home Perf w Energy Star, Single Family Residential	193,057
	NENY:NFG Empower Gas, Single Family Residential	190,325
	NENY:NIMO Empower Electric, Single Family Residential	3,324
	NENY:NYSEG Empower Electric, Single Family Residential	1,662
	NENY:NYSEG Empower Gas, Single Family Residential	38,085
	NENY:RGE Empower Electric, Single Family Residential	176
	NYCH: LMI, Single Family Residential	12,245
	Single Family Residential	114,658
	Talent Pipeline:Internship Pgm, Workforce Dev & Train	7,344
Sanford Plaza Apartment Corp	OTHER PROGRAM AREA, Clean Transportation	31,500
Setpoint AI Inc	Talent Pipeline:Internship Pgm, Workforce Dev & Train	17,450
Shared Mobility, Inc.	Talent Pipeline:Internship Pgm, Workforce Dev & Train	5,057
Snug Planet, LLC	EMPOWER NY, Single Family Residential	110
	Home Perf w Energy Star, Single Family Residential	445,241
	NENY:NYSEG Empower Electric, Single Family Residential	2,042
	NENY:NYSEG Empower Gas, Single Family Residential	20,966
	NYCH: Comfort Home, Single Family Residential	2,000
	NYCH: LMI, Single Family Residential	570,141
Single Family Residential	112,931	
SOLANTA CORP	Talent Pipeline:Internship Pgm, Workforce Dev & Train	28,688
Sunlight Energy Group LLC	Talent Pipeline:Internship Pgm, Workforce Dev & Train	35,416
Sustainable Comfort, Inc	Low Rise New Construction, New Construction	14,900
	New Construction Housing, New Construction	34,500
	Talent Pipeline:Internship Pgm, Workforce Dev & Train	12,528
Sustainable Westchester	NYCH: Talent Ppln:Intern Pgm, Workforce Dev & Train	11,308
	Talent Pipeline:Internship Pgm, Workforce Dev & Train	55,495
The Insulation Man LLC	EMPOWER NY, Single Family Residential	11,531
	Home Energy Ratings, Single Family Residential	597
	Home Perf w Energy Star, Single Family Residential	133,197
	NENY:NYSEG Empower Electric, Single Family Residential	2,893
	NENY:NYSEG Empower Gas, Single Family Residential	58,186
	NYCH: LMI, Single Family Residential	46,785
Single Family Residential	51,189	
The Levy Partnership, Inc.	Talent Pipeline:Internship Pgm, Workforce Dev & Train	7,344
The Radiant Store	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	250

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Contractor	Contract Description	Total Expended Amount
The Radiant Store	Home Perf w Energy Star, Single Family Residential	78,576
	NENY:NIMO Empower Electric, Single Family Residential	44
	NENY:NIMO Empower Gas, Single Family Residential	4,138
	NYCH: LMI, Single Family Residential	13,156
Town of Danby	NYCH: Communities, Communities & Local Government	5,000
Town of Marletown	Clean Energy Communities, Communities & Local Government	5,000
True Building Performance LLC	GJGNY Market Rate Audits, Single Family Residential	10,800
	Home Perf w Energy Star, Single Family Residential	150,504
	NENY:NIMO Empower Electric, Single Family Residential	5,393
	NENY:NIMO Empower Gas, Single Family Residential	7,745
	NYCH: LMI, Single Family Residential	22,146
	Single Family Residential	10,155
	Talent Pipeline: Internship Pgm, Workforce Dev & Train	4,712
True Energy Solutions	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	3,791
	EMPOWER NY, Single Family Residential	6,213
	GJGNY Market Rate Audits, Single Family Residential	150
	Home Perf w Energy Star, Single Family Residential	174,770
	NENY:NFG Empower Gas, Single Family Residential	14,493
	NENY:NYSEG Empower Electric, Single Family Residential	457
	NENY:RGE Empower Electric, Single Family Residential	2,004
	NENY:RGE Empower Gas, Single Family Residential	23,465
	NYCH: Talent Ppln: Intern Pgm, Workforce Dev & Train	5,076
	Single Family Residential	27,526
	Talent Pipeline: Internship Pgm, Workforce Dev & Train	10,319
U&S Services, Inc.	Talent Pipeline: Internship Pgm, Workforce Dev & Train	6,933
University at Albany	Geothermal Incentive Program, Clean Heating & Cooling	300,000
Urban Electric Power, Inc.	Talent Pipeline: Internship Pgm, Workforce Dev & Train	10,895
Urban Homesteading Assistance Inc	Talent Pipeline: Internship Pgm, Workforce Dev & Train	21,575
Village of Athens	Clean Energy Communities, Communities & Local Government	10,000
Village of Hastings on Hudson	Clean Energy Communities, Communities & Local Government	10,000
	NYCH: Communities, Communities & Local Government	5,000
Wayne County Action Program	EMPOWER NY, Single Family Residential	4,902
	Home Perf w Energy Star, Single Family Residential	42,903
	NENY:NYSEG Empower Electric, Single Family Residential	97,483
	NENY:NYSEG Empower Gas, Single Family Residential	30,665
	NENY:RGE Empower Electric, Single Family Residential	572
	NENY:RGE Empower Gas, Single Family Residential	35,319
	Single Family Residential	4,042
Wise Home Energy, LLC	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	5,005
	EMPOWER NY, Single Family Residential	3,097
	Home Energy Ratings, Single Family Residential	796
	Home Perf w Energy Star, Single Family Residential	506,929
	NENY:NFG Empower Gas, Single Family Residential	9,360
	NENY:NIMO Empower Electric, Single Family Residential	253
	NENY:NYSEG Empower Electric, Single Family Residential	33
	NENY:RGE Empower Electric, Single Family Residential	2,503
	NENY:RGE Empower Gas, Single Family Residential	35,725
	NYCH: Comfort Home, Single Family Residential	53,950
	NYCH: LMI, Single Family Residential	50,023
	Single Family Residential	68,048
You Save Green Incorporated	Talent Pipeline: Internship Pgm, Workforce Dev & Train	14,178

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Contractor	Contract Description	Total Expended Amount
Zerodraft Residential Inc.	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	5,750
	EMPOWER NY, Single Family Residential	110
	GJGNY Market Rate Audits, Single Family Residential	750
	Home Perf w Energy Star, Single Family Residential	1,286,409
	NENY:NIMO Empower Electric, Single Family Residential	5,657
	NENY:NIMO Empower Gas, Single Family Residential	91,820
	NENY:NYSEG Empower Electric, Single Family Residential	39,333
	NENY:NYSEG Empower Gas, Single Family Residential	119,671
	NYCH: LMI, Single Family Residential	126,567
	Single Family Residential	107,425
Grand Total		19,148,914

Contracts Executed

Period 10/1/2021 through 3/31/2022

Contractor	Date Encumbered	Contract Description	Total Contract Amount
3rd ROC Solar LLC	11/16/2021	<200KW PV, PON 2112 NY SUN	8,628
	11/30/2021	<200KW PV, PON 2112 NY SUN	5,950
	12/14/2021	<200KW PV, PON 2112 NY SUN	8,729
	1/21/2022	<200KW PV, PON 2112 NY SUN	5,950
	1/24/2022	<200KW PV, PON 2112 NY SUN	13,540
	1/26/2022	<200KW PV, PON 2112 NY SUN	7,650
	1/31/2022	<200KW PV, PON 2112 NY SUN	12,325
	2/2/2022	<200KW PV, PON 2112 NY SUN	28,513
	2/3/2022	<200KW PV, PON 2112 NY SUN	5,670
	2/4/2022	<200KW PV, PON 2112 NY SUN	8,500
	2/11/2022	<200KW PV, PON 2112 NY SUN	6,375
	3/7/2022	<200KW PV, PON 2112 NY SUN	19,035
6-Nines Inc.	3/17/2022	NY-SUN, PON 3414 - Nicky's Garden	75,000
15 William Street Condominium	11/22/2021	NYCH: Technical Assistance, FT13627 - 15 William - PON	30,080
22nd Century Technologies, Inc.	10/29/2021	Home Perf w Energy Star, TWO #1 Single Family Res. BA -	176,405
30 East 37th Street Condominium	10/28/2021	NYCH: Technical Assistance, FT13928 - 30 E 37th - PON	7,909
32 East 64th Street Corporation	10/28/2021	NYCH: Technical Assistance, FT13785 - 32 E 64th - PON	7,909
39 Tenants Corporation	10/28/2021	NYCH: Technical Assistance, FT13571 -39 Gramercy Park N-MF	7,909
43 West 33rd Street Realty LLC	10/19/2021	NYCH: Technical Assistance, FT13759 - 43 West 33rd - PON	8,375
44 Gramercy Park North	10/28/2021	NYCH: Technical Assistance, FT13691 - 44 Gramercy - PON	7,909
50th Street HDFC	10/18/2021	Multifam Performance Pgm, Multifamily	33,600
63 Madison Owners LLC	11/18/2021	NYCH: Technical Assistance, FT13966 - 63 Madison - PON	34,586
70 West MM LLC	12/9/2021	NYCH: LMI, Clean Heating & Cooling	218,000
74&WEST LLC	3/28/2022	Novel Bus Models & Offers, Market Discovery/VOC	50,000
120 Broadway Acquisitions JV LLC	10/14/2021	Empire Building Challenge, EBC TA-120 Broadway	125,000
		NYCH: Empire Build Challenge, EBC TA-120 Broadway	125,000
128 West 138th Street HDFC	12/31/2021	Multifam Performance Pgm, Multifamily	42,000
129- 82 Owners Corp	10/28/2021	NYCH: Technical Assistance, FT13573 - 129 E 82nd - MF	7,909
145-151 Grand Street HDFC	11/30/2021	Multifam Performance Pgm, Multifamily	5,600
		NYCH: LMI, Clean Heating & Cooling	35,200
175 West 12th Street Condominium	10/28/2021	NYCH: Technical Assistance, FT13572 - 175 W 12th - MF	7,909
180 Tenants Corporation	3/25/2022	NYCH: Technical Assistance, FT13746 - 180 E. End - PON	47,650
200 Madison Owner LLC	11/18/2021	NYCH: Technical Assistance, FT13967 - 200 Madison - PON	34,586
220 East 73rd Street	11/2/2021	NYCH: Technical Assistance, FT13981 - 220 E 73rd - PON	7,909
225 East 73rd Owners Corp	11/8/2021	NYCH: Technical Assistance, FT13690 - 225 E 73rd - PON	7,909
230 East 73rd Street Owners	12/21/2021	Low Carbon Tech Demos, MF Low Carbon Pathways	607,200
237 State Route 96 Site 1, LLC	10/12/2021	NY-SUN, NY Sun	1,011,712
237 State Route 96 Site 2, LLC	10/12/2021	NY-SUN, NY Sun	961,126
300 Owners Corp	10/28/2021	NYCH: Technical Assistance, FT13720 - 300 Riverside - PON	10,797
330 Hudson Street LLC	3/9/2022	Technical Services, FT13707 - 330 Hudson - PON	12,575
333 East 43 Owners Corp	11/2/2021	NYCH: Technical Assistance, FT13692 - 333 E 43rd - PON	10,100
414 Gerard LLC	10/27/2021	New Construction Housing, NCP Housing	101,600
420 Carroll Street LLC	2/18/2022	New Construction Housing, NCP Housing	216,600
455 Hospitality LLC	3/7/2022	Environmental Research, State of the Science 2022	14,000
498 Seventh LLC	11/18/2021	NYCH: Technical Assistance, FT13866 - 498 7th - PON	34,586
501 W 133 LLC	10/13/2021	Multifam Performance Pgm, Multifamily	17,500
520 W 136 LLC	10/13/2021	Multifam Performance Pgm, Multifamily	25,200
535 East 86th Street Corporation	10/28/2021	NYCH: Technical Assistance, FT13614 - 535 E 86th - PON	7,909
545 Sackett LLC	12/23/2021	New Construction Housing, NCP Housing	153,000
575 Lex Parent, LLC	11/17/2021	Technical Services, FT13420 - 575 Lexington - PON	61,178
900 Third Avenue LP	10/7/2021	NYCH: Technical Assistance, FT13604 - 900 Third - PON	40,078
1500 Lexington Associates LLC.	2/3/2022	Multifam Performance Pgm, Multifamily	147,700
2074 White Plains Road Building LLC	3/18/2022	Technical Services, FT13869 -2074 White Plains-PON	9,001
31606 Felt Mills LLC	2/10/2022	NY-SUN, NY-Sun - ICSA	818,844
AASPEN HVAC	1/6/2022	Talent Pipeline:CE and OJT, OJT	7,360
	2/11/2022	NYCH: Talent Ppln:CE and OJT, OJT	12,960

Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Abt Associates Inc.	11/2/2021	ENERGY ANALYSIS, TWO #3 Pathways Health Phase 2	175,000
		ENVIRONMENTAL RESEARCH, TWO #3 Pathways Health Ph..	175,000
Abundant Solar Power Inc.	3/3/2022	NY-SUN, NY-Sun - ICSA	405,733
Abyssinian Towers	10/7/2021	Multifam Performance Pgm, Multifamily	70,000
Acacia Real Estate Development Inc.	2/11/2022	Buildings of Excellence, Buildings of Excellence R1	637,500
Accord Power, Inc.	12/16/2021	<200KW PV, NY-Sun	490
		>200KW PV, NY-Sun	210
	1/11/2022	<200KW PV, NY-Sun	6,336
	2/7/2022	<200KW PV, NY-Sun	21,312
		>200KW PV, NY-Sun	5,328
Activate Global, Inc	10/25/2021	Carbontech Development, Carbontech Fellowship Program	9,146,000
Active Solar Development, LLC	12/13/2021	<200KW PV, PON 2112 NY SUN	226,800
	1/19/2022	<200KW PV, PON 2112 NY SUN	226,800
Adam C. Boese	11/24/2021	NYCH: Technical Assistance, FT13602 - 729 7th - FTC	7,510
	11/29/2021	NYCH: Technical Assistance, FT13598 - 30-56 Whitestone-FTC	6,355
		NYCH: Technical Assistance, FT13603 - 299 Broadway - FTC	14,236
	12/6/2021	NYCH: Technical Assistance, FT13613 - 120 W 106th - FTC	12,530
		NYCH: Technical Assistance, FT13616 - 349 E 149th - FTC	7,860
	12/7/2021	NYCH: Technical Assistance, FT13600 - 220 South - FTC	5,060
	12/8/2021	NYCH: Technical Assistance, FT13601 - 260 Spring - FTC	8,180
	12/14/2021	NYCH: Technical Assistance, FT13607 - 5030 Broadway - FTC	11,520
1/19/2022	Technical Services, AEAP1383 - Citiva Medical LLC	2,500	
Adirondack Area Network	11/22/2021	2021 Climate Action Council Mt	5,976
ADK Solar	1/20/2022	<200KW PV, PON 2112 NY SUN	9,177
	2/2/2022	<200KW PV, PON 2112 NY SUN	5,280
ADL Ventures LLC	1/24/2022	Retrofit NY, Feasibility Study	50,000
Advanced Energy Group L.L.C.	1/19/2022	>200KW PV, AEG Sponsorship	25,000
Advanced Radiant Design, Inc.	11/9/2021	NYCH: Talent Ppln:CE and OJT, OJT	10,240
AECOM USA INC.	11/22/2021	NYCH: Technical Assistance, FT13858 - 215 E. 73rd - FTC	16,524
AEF Ice Systems, Inc.	3/2/2022	Cleantech Ignition, PON4534 NY Climate Progress R1	500,000
Aequita Consulting LLC	10/4/2021	OTHER PROGRAM AREA, Resilience Consultancy with NY	218,000
AES DE RS X, LLC	10/15/2021	>200KW PV, NY Sun	802,913
		Solar Plus Energy Storage, NY Sun	2,184,000
AES DE RS XV, LLC	1/25/2022	>200KW PV, NY Sun	420,810
Affordable Housing Partnership	1/18/2022	CLEANER GREENER COMMUNITIES, CEEP Capital Region (..	66,905
AFIAA 125 West 25th Street LLC	10/4/2021	Technical Services, FT13615 - 125 W 25th - PON	21,200
Agarabi Engineering, PLLC	10/28/2021	Talent Pipeline:CE and OJT, OJT	15,360
AIA - New York Chapter	10/28/2021	New Construction Housing, Gen. marketing & outreach 2021	40,000
		New Construction- Commercial, Gen. marketing & outreach 2021	10,000
AKF-engineers	10/12/2021	NYCH: Technical Assistance, FT13934 - 3 Bryant - FTC	44,000
	1/19/2022	Technical Services, FT13946 - 540 Madison - FTC	24,940
Akimeka, LLC	3/24/2022	OTHER PROGRAM AREA, Hydrogen economic development	250,000
Albany Solar Solutions L.L.C.	10/15/2021	<200KW PV, PON 2112 NY SUN	7,613
	11/15/2021	<200KW PV, PON 2112 NY SUN	5,493
	11/16/2021	<200KW PV, PON 2112 NY SUN	8,750
	12/22/2021	<200KW PV, PON 2112 NY SUN	7,875
	1/3/2022	<200KW PV, PON 2112 NY SUN	5,296
	2/3/2022	<200KW PV, PON 2112 NY SUN	12,500
	2/10/2022	<200KW PV, PON 2112 NY SUN	6,000
	2/23/2022	<200KW PV, PON 2112 NY SUN	5,850
	3/1/2022	<200KW PV, NY-Sun	12,480
3/10/2022	<200KW PV, PON 2112 NY SUN	24,093	
Albany, City of,	2/9/2022	Talent Pipeline:CE and OJT, Climate Justice Fellow PON4772	40,000
All-State Air Control Sales & Service In	10/5/2021	NYCH: Talent Ppln:CE and OJT, OJT HIRE	15,360
	2/2/2022	NYCH: Talent Ppln:CE and OJT, OJT	14,400
Allen Power, Inc.	11/4/2021	<200KW PV, PON 2112 NY SUN	25,200

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Contractor	Date Encumbered	Contract Description	Total Contract Amount	
Allen Power, Inc.	3/3/2022	<200KW PV, PON 2112 NY SUN	7,403	
Alliance for Sustainable Energy, LLC	11/3/2021	High Performing Grid, TWO #8 NREL TWO for Resilience	380,215	
	1/13/2022	ENERGY ANALYSIS, TWO #7 T&D Tool Dev Co-Optimiz	115,176	
	2/9/2022	OREC: Technical Support, TWO #9 OSW Secondment	830,759	
Alliance to Save Energy	11/15/2021	Prof & Expert Engagement, 2021 ASE Membership	35,000	
Altanova LLC	11/15/2021	Technical Services, FT13955 - 227 E 30th - FTC	29,428	
	11/18/2021	NYCH: Technical Assistance, FT13762 - 47-40 21st - FTC	8,350	
Alternative Power Solutions of NY, LLC	10/18/2021	<200KW PV, PON 2112 NY SUN	7,252	
	10/27/2021	<200KW PV, NY-Sun	9,632	
	10/28/2021	NYCH: Talent Ppln:CE and OJT, OJT	7,200	
	11/2/2021	NYCH: Talent Ppln:CE and OJT, OJT	7,680	
	11/8/2021	NYCH: Talent Ppln:CE and OJT, OJT	7,680	
	12/8/2021	<200KW PV, PON 2112 NY SUN	6,720	
	12/15/2021	<200KW PV, PON 2112 NY SUN	8,750	
	12/17/2021	<200KW PV, PON 2112 NY SUN	8,750	
	12/30/2021	<200KW PV, PON 2112 NY SUN	5,103	
	1/11/2022	<200KW PV, PON 2112 NY SUN	12,500	
	1/18/2022	<200KW PV, PON 2112 NY SUN	12,150	
	3/8/2022	<200KW PV, PON 2112 NY SUN	5,890	
	AMERESCO, Inc.	10/5/2021	<200KW PV, PON 2112 NY SUN	251,244
		2/2/2022	<200KW PV, PON 2112 NY SUN	84,168
Amergy Solar Inc.	10/12/2021	>200KW PV, PON 2112 NY SUN	1,425,420	
	11/24/2021	<200KW PV, PON 2112 NY SUN	26,026	
American Council for an Energy Efficient	12/15/2021	Prof & Expert Engagement, 2022 ACEEE Ally membership	12,000	
	1/11/2022	Market Tests, 2022 ACEEE Finance Forum	45,000	
American Energy Care, Inc.	10/12/2021	<200KW PV, PON 2112 NY SUN	5,923	
	10/26/2021	<200KW PV, NY-Sun	6,017	
		<200KW PV, PON 2112 NY SUN	8,687	
	11/15/2021	<200KW PV, PON 2112 NY SUN	8,750	
	11/18/2021	<200KW PV, PON 2112 NY SUN	7,439	
	2/4/2022	<200KW PV, PON 2112 NY SUN	7,560	
	3/3/2022	<200KW PV, NY-Sun	5,472	
	3/8/2022	<200KW PV, PON 2112 NY SUN	18,743	
	3/10/2022	<200KW PV, PON 2112 NY SUN	6,704	
	3/11/2022	<200KW PV, PON 2112 NY SUN	16,731	
	3/21/2022	<200KW PV, PON 2112 NY SUN	5,220	
	3/22/2022	<200KW PV, PON 2112 NY SUN	17,510	
	3/25/2022	<200KW PV, PON 2112 NY SUN	5,250	
American Solar Partners, LLC	10/14/2021	>200KW PV, PON 2112 NY SUN	10,840	
	10/29/2021	<200KW PV, PON 2112 NY SUN	8,750	
Amie Gross Architect, P.C.	12/14/2021	Buildings of Excellence, BoE Rnd. 2 - DTL Hudson Hill	150,000	
AMP NY Sponsor II LLC	10/19/2021	NY Green Bank, Amp Solar CTL	29,200,000	
Ampersand Kayuta Lake Hydro LLC	1/19/2022	REC:CES REC Contracts, Large-Scale Renewables	95,212	
Antares Group, Inc.	1/20/2022	NYCH: Technical Assistance, FT13633 - 8000 Utopia - FTC	15,290	
	3/24/2022	REV Campus Challenge, FT13487 - St. Albert - FTC	8,046	
AOGC Consulting LLC	3/24/2022	NEW YORK GREEN BANK, NYGB Contractor	118,000	
Apex Roofing, LLC	2/1/2022	<200KW PV, PON 2112 NY SUN	9,810	
Apex Solar Power LLC	11/1/2021	<200KW PV, PON 2112 NY SUN	5,880	
	11/19/2021	<200KW PV, PON 2112 NY SUN	5,198	
	12/16/2021	<200KW PV, PON 2112 NY SUN	5,040	
	1/4/2022	<200KW PV, PON 2112 NY SUN	9,730	
	1/5/2022	<200KW PV, PON 2112 NY SUN	5,440	
	1/6/2022	<200KW PV, PON 2112 NY SUN	7,200	
	1/7/2022	<200KW PV, PON 2112 NY SUN	7,520	
	1/14/2022	<200KW PV, PON 2112 NY SUN	8,400	
	1/19/2022	<200KW PV, PON 2112 NY SUN	97,524	

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Apex Solar Power LLC	1/31/2022	<200KW PV, PON 2112 NY SUN	5,625
	2/2/2022	<200KW PV, PON 2112 NY SUN	5,940
	3/10/2022	<200KW PV, PON 2112 NY SUN	8,000
	3/15/2022	<200KW PV, PON 2112 NY SUN	11,600
APX Inc.	2/8/2022	REC:CES REC System Dev Costs, NYGATS	115,000
Arcadis of New York, Inc.	10/4/2021	Technical Services, FT13874 - Knollwood - FTC	40,775
	3/8/2022	ORES Support, ORES Technical Assistance	2,000,000
	3/9/2022	REC2:CES REC2 Tech Support, Tech Support NYGATS - TWO	20,000
Arch Street Communications, Inc.	1/27/2022	Talent Pipeline:CE and OJT, Arch Street Communications	250,000
		Talent Pipeline:Internship Pgm, Arch Street Communications	150,000
	3/22/2022	ENERGY ANALYSIS, Climate Action Council Public	222,000
Ardowork Corporation	12/15/2021	NYCH: Technical Assistance, FT13859 - 2865 University -PON	22,000
Arena Transit Holdings LLC	2/24/2022	Prize Planning Grant - XL	150,000
Argus Media Inc.	2/25/2022	ENERGY ANALYSIS, Renewal - Argus Subscriptions	16,368
Arnot Ithaca 2, LLC	2/2/2022	New Construction Housing, NCP Housing	66,000
Arthur Ransome House, LP	10/13/2021	Multifam Performance Pgm, Multifamily	81,200
ASANA, Inc.	3/9/2022	NYSERDA ADMINISTRATION, Asana 2022 License	29,994
Ascendant Neighborhood Development..	12/31/2021	NYCH: Technical Assistance, FT13741 - Ascendant - PON	50,100
Asian Americans for Equality, Inc.	2/9/2022	New Construction Housing, NCP Housing	26,000
Association for Energy Affordability, In	11/22/2021	Technical Services, FT13569 - 1705 Hoe - MF	8,058
		Technical Services, FT13570 - 1662-1664 Hoe - MF	8,058
	1/10/2022	Tech Assistanc Multifamily LMI, FT13872 - 2320 W. 11th - FTC	7,273
	1/20/2022	Technical Services, FT14045-Starrett Oceangate-FTC	21,667
	3/1/2022	Technical Services, FT14071 - 901 Cedar - FTC	16,875
		Technical Services, FT14072 - 5 Main - FTC	11,200
Asthma and Allergy Foundation of America	11/17/2021	New Construction Housing, Strategic Industry Partner Eng	40,000
		New Construction- Commercial, Strategic Industry Partner Eng	10,000
Atlas Public Policy	1/4/2022	Electric Vehicles - Innovation, Updating EvaluateNY	10,350
Autonomous Energies LLC	1/10/2022	<200KW PV, PON 2112 NY SUN	6,474
Aztech Geothermal, LLC	1/25/2022	NYCH: District, Round 3 Sheridan Hollow Albany	99,695
	3/22/2022	NYCH: Talent Ppln:CE and OJT, OJT	9,840
Baker Engineering, LLC	3/2/2022	Technical Services, FT14085 - 30-30 47th - FTC	16,450
Baldwin Real Estate Development, Corp.	12/3/2021	New Construction Housing, 2019 LRNCP	18,400
Bard Rao + Athanas Consulting Engine..	10/5/2021	Code to Zero, TWO #1	17,000
Barrow Street Owners, Inc.	1/19/2022	Technical Services, FT14018 - 111 Barrow - PON	7,909
Barton & Loguidice, D. P.C.	2/4/2022	Technical Services, FT14028 - Seneca Falls - FTC	26,000
	2/7/2022	Technical Services, FT14057 - 1 Canal - FTC	74,495
Bashing Panels LLC	10/6/2021	<200KW PV, PON 2112 NY SUN	8,750
	11/15/2021	<200KW PV, NY-Sun	20,000
	3/10/2022	<200KW PV, PON 2112 NY SUN	8,300
	3/14/2022	<200KW PV, PON 2112 NY SUN	5,003
BDO USA LLP	10/1/2021	Background Investigation Servi	220
	10/4/2021	Cleantech Ignition, Background Investigation Servi	55,200
	10/15/2021	TWO - BofA	15,000
	11/19/2021	NEW YORK GREEN BANK, Background Investigation Servi	1,100
	11/30/2021	Background Investigation Servi	5,500
	1/12/2022	Background Investigation Servi	3,300
Beacon Communities Services LLC	10/12/2021	New Construction Housing, 2019 LRNCP	7,200
	12/14/2021	Single Family New Construction, NCP Housing	227,500
	3/7/2022	New Construction Housing, NCP Housing	158,500
		Single Family New Construction, NCP Housing	49,334
3/14/2022	New Construction Housing, 2019 LRNCP	170,000	
Beacon Meadows Intergen LLC	10/12/2021	New Construction Housing, 2019 LRNCP	6,000
Beacon Wind LLC	1/14/2022	OREC: OSW Solicitations, OSWRFP20-1 Award_Beacon Wind	4,100,000,000
Belmonte Builders	11/8/2021	Single Family New Construction, NCP Housing	13,200

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Benchmark Printing, Inc.	10/28/2021	Electric Vehicles - Innovation, Printing EV Mailing Inserts	18,161
Bergmann Associates, Architects,	11/15/2021	Technical Services, FT13995 - 1133 NY 86 - FTC	5,150
	2/7/2022	Technical Services, AEAP 1388 - Apple Acres LLC	2,500
Best Energy Power	10/19/2021	>200KW PV, PON 2112 NY SUN	12,936
	10/27/2021	>200KW PV, PON 2112 NY SUN	9,130
	11/2/2021	<200KW PV, NY-Sun	15,120
		>200KW PV, NY-Sun	3,780
	12/1/2021	<200KW PV, NY-Sun	360,000
		>200KW PV, NY-Sun	49,192
	1/21/2022	<200KW PV, NY-Sun	75,328
		>200KW PV, NY-Sun	18,832
	1/24/2022	<200KW PV, NY-Sun	75,328
		>200KW PV, NY-Sun	18,832
Bethany Meys	3/22/2022	Environmental Research, Project Manager I	435,000
Bethesda House of Schenectady, Inc.	2/18/2022	New Construction Housing, NCP Housing	33,000
Biddle Real Estate Ventures LLC	2/2/2022	Technical Services, FT14031 - Edge-on-Hudson - PON	18,470
Bishop House Consulting, Inc.	12/31/2021	NYSERDA ADMINISTRATION, Bishop House Training and DISC	49,887
Black Mountain Architecture, PLLC	1/5/2022	Buildings of Excellence, BoE Rnd. 2 - DTL Solara III	112,500
Blackrock Financial Management, Inc	2/28/2022	Commercial New Construc, Commercial New Construction	205,254
BlocPower LLC	10/12/2021	Multifam Performance Pgm, Multifamily	136,500
		NYCH: LMI, Clean Heating & Cooling	136,700
	10/22/2021	Code to Zero, NYStretch 2023 Working Groups	12,000
	1/6/2022	Multifam Performance Pgm, Multifamily	14,000
	3/29/2022	NYCH: Innovation, Buildings Innovations	46,465
Bloomberg Finance LP	12/9/2021	ENERGY ANALYSIS, Bloomberg Datafeed Access	10,544
		REC:CES REC System Dev Costs, Bloomberg Datafeed Access	10,544
BME Yellowjacket LLC	11/17/2021	Anaerobic Digesters, PON 3739 CAT C	375,415
Bond, Schoeneck & King, PLLC	12/17/2021	CI Engy Siting & Soft Cost Red, TWO 2 - CES Legal Support	200,000
	1/5/2022	K-12 SCHOOLS, TWO 3 Clean Green Schools PON	15,000
	1/18/2022	OREC: Technical Support, TWO 4 GLW Feasibility Study	37,500
	1/21/2022	NYSERDA ADMINISTRATION, TWO 5 Cybersecurity Counsel	10,000
		NYSERDA ADMINISTRATION, TWO 6 HR Counsel Services	25,000
Bonded Energy Solutions Corp.	2/24/2022	WORKFORCE DEVELOPMENT, OJT	15,360
Booz Allen Hamilton, Inc.	1/19/2022	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 2	180,685
		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
	2/23/2022	Novel Bus Models & Offers, Task Work Order 1	310,547
Borrego Solar Systems, Inc.	10/25/2021	ESTOR:Retail Storage Incentive, Retail Storage	4,500,000
	11/15/2021	ESTOR:Retail Storage Incentive, Retail Storage	6,000,000
	11/24/2021	REC:CES REC Contracts, RESRFP20-1	24,050,258
	12/8/2021	NY-SUN, NY Sun	871,040
Bowman Consulting Group Ltd	1/31/2022	NY-SUN, NY-Sun	100,000
Brattle Group Inc.	2/14/2022	ENERGY ANALYSIS, Post-Conference Comment Dev	25,000
	2/22/2022	REC4:CES REC4 Tech Support, Large-Scale Renewables	50,000
	3/14/2022	OREC: Technical Support, TWO#1 Clean Energy Deliv	32,000
	3/17/2022	REC:CES REC System Dev Costs, Transmission Services-on-D..	500,000
Breathe Easy of CNY Inc.	11/5/2021	NYCH: Talent Ppln:CE and OJT, OJT	7,680
	12/7/2021	NYCH: Talent Ppln:CE and OJT, OJT	11,760
	2/24/2022	NYCH: Talent Ppln:CE and OJT, OJT	12,000

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Breathe Easy of CNY Inc.	3/15/2022	NYCH: Talent Ppln:CE and OJT, OJT	9,600
Brenda J. Sayers	3/10/2022	WEST VALLEY DEVELOPMENT PROGRAM, Janitorial Contra..	62,880
Bright Power, Inc.	10/5/2021	NYCH: Technical Assistance, FT13807 - 250 W. 50th - FTC	12,900
		NYCH: Technical Assistance, FT13813 - 510 W 52nd - FTC	6,300
		NYCH: Technical Assistance, FT13816 - 515 W 52nd - FTC	6,300
	10/7/2021	Code to Zero, TWO #1	17,000
	10/25/2021	NYCH: Technical Assistance, FT13862 - 130 E. 57th - FTC	8,775
	11/2/2021	Real Time Enrgy Management, Bright Power -Multisite- RTEM	10,650
	11/10/2021	Real Time Enrgy Management, BP-345 St Ann's Ave-RTEM	120,000
	11/12/2021	NYCH: Technical Assistance, FT13771 - 535 E. 182nd - FTC	6,400
		NYCH: Technical Assistance, FT13772 - 1150 Garrison - FTC	6,400
	11/18/2021	Real Time Enrgy Management, Bright Power-Multisite-RTEM	37,690
	11/22/2021	NYCH: Technical Assistance, FT13767 - Alma Rangel - FTC	5,400
		NYCH: Technical Assistance, FT13782 - 2534 Adam - FTC	6,550
		NYCH: Technical Assistance, FT13783 - 245 W 99th - FTC	9,000
		NYCH: Technical Assistance, FT13799 - 1020 Grand Con. - FT	12,250
		NYCH: Technical Assistance, FT13801 - 435 W. 23rd - FTC	16,853
		NYCH: Technical Assistance, FT13938 -325-365 Clinton - FTC	10,900
		NYCH: Technical Assistance, FT13939 - 165-210 Clinton-FTC	12,200
		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	20,250
		Technical Services, FT13970 - 640 Riverside - FTC	8,950
	11/23/2021	Technical Services, FT13998 - 1650 Broadway - FTC	11,000
	11/30/2021	NYCH: Technical Assistance, FT13775 - 26 Harbor Park - FTC	6,750
		NYCH: Technical Assistance, FT13945 - 315 W 33rd - FTC	10,300
	12/9/2021	Technical Services, FT13991 - 140-55 34th - FTC	6,800
		Technical Services, FT13993 - 400 Broome - FTC	9,923
		Technical Services, FT14009 - 100 Jay - FTC	10,000
	12/13/2021	<200KW PV, NY-Sun	72,864
		>200KW PV, NY-Sun	18,216
	12/23/2021	Technical Services, FT13994 - 83-80 118th - FTC	6,500
		Technical Services, FT14012 - 153-155 E 29th - FTC	11,835
	1/7/2022	Technical Services, FT14013 - 111 4th - FTC	9,500
	1/19/2022	Technical Services, FT14005 - Sutton Garden - FTC	8,350
		Technical Services, FT14017 - 400 W 43rd - FTC	13,500
	2/14/2022	Technical Services, FT14026 - 111 W 71st - FTC	6,400
	2/18/2022	Technical Services, FT14033 - 320 W 76th - FTC	15,200
	3/1/2022	>200KW PV, PON 2112 NY SUN	21,888
		Technical Services, FT14056 - 550J Grand - FTC	51,000
	3/16/2022	Technical Services, FT14089 - 39-34 2st - FTC	6,750
	3/21/2022	Technical Services, FT14075 - 1020 Fifth - FTC	9,750
		Technical Services, FT14077 - 30 5th - FTC	8,550
Brightmark Helios RNG LLC	2/10/2022	Anaerobic Digesters, PON 3739 CAT Assignment	568,120
Broadway Terrace Associates, L.P.	12/30/2021	Multifam Performance Pgm, Multifamily	67,900
Brooklyn SolarWorks LLC	10/14/2021	>200KW PV, PON 2112 NY SUN	11,573
	10/19/2021	>200KW PV, PON 2112 NY SUN	9,628
	11/15/2021	>200KW PV, PON 2112 NY SUN	8,000
	12/6/2021	>200KW PV, PON 2112 NY SUN	11,900
Bruce Harley Energy Consulting LLC	12/29/2021	Air Source Heat Pumps, Heat Pump Technical Services	200,000
Bruns Associates, LLC	12/22/2021	Buildings of Excellence, BoE Rnd. 2 - Solara III	637,500
BTMI Engineering, PC	3/14/2022	OREC: Technical Support, TWO for COWI MTWG support 2021	125,000
	3/16/2022	OREC: Technical Support, TWO for COWI Navigation Studie	31,200
	3/17/2022	OREC: Technical Support, State's Engineer for Port Inve	170,000
Buckeye Terminals, LLC	12/16/2021	FUEL NY, Upstate NY Strategic Fuels Res	1,280,483
Buckley Park, LLC	10/12/2021	Multifam Performance Pgm, Multifamily	77,000

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Buffalo Neighborhood Stabilization Co	10/4/2021	New Construction Housing, NCP Housing	124,000
	12/15/2021	Buildings of Excellence, BoE Rnd. 2 - West Side Homes	308,227
Buffalo Solar Solutions Inc	10/4/2021	<200KW PV, PON 2112 NY SUN	15,299
	10/21/2021	<200KW PV, PON 2112 NY SUN	5,418
	10/25/2021	<200KW PV, PON 2112 NY SUN	7,000
	10/26/2021	<200KW PV, PON 2112 NY SUN	6,883
	11/4/2021	<200KW PV, PON 2112 NY SUN	8,750
	11/9/2021	<200KW PV, PON 2112 NY SUN	20,720
	11/30/2021	<200KW PV, PON 2112 NY SUN	69,552
	12/7/2021	<200KW PV, PON 2112 NY SUN	8,694
	12/17/2021	<200KW PV, PON 2112 NY SUN	8,750
	1/6/2022	<200KW PV, PON 2112 NY SUN	6,800
	1/10/2022	<200KW PV, PON 2112 NY SUN	12,443
	1/13/2022	<200KW PV, NY-Sun	7,735
	2/3/2022	<200KW PV, PON 2112 NY SUN	18,865
	2/10/2022	<200KW PV, PON 2112 NY SUN	5,130
2/17/2022	<200KW PV, PON 2112 NY SUN	21,105	
Building Performance Institute, Inc.	10/29/2021	NYCH: Supply Chain, Electrification Audit Procedur	199,970
Buro Happold Consulting Engineers, P.C.	10/5/2021	NYCH: Technical Assistance, FT13543 - 250 W. 57th - FTC	121,792
	11/19/2021	NYCH: Technical Assistance, FT13404 - 1333 Broadway - FTC	31,940
	12/17/2021	NYCH: Technical Assistance, FT13985 - 1359 Broadway - FTC	108,116
Business Network for Maryland Offshor..	3/2/2022	OREC: Technical Support, DAC sponsorship to IPF	25,000
BW Research Partnership	10/12/2021	ENERGY ANALYSIS, TWO# 2 JTWG Jobs Study	55,664
	10/18/2021	Talent Pipeline:CE and OJT, TWO# 1 CE Industry Report	6,000
C.J. Brown Energy, P.C.	11/22/2021	Technical Services, FT13756 - 28-48 Water - FTC	7,148
		Technical Services, FT13758 - 150 Myrtle - FTC	7,092
		Technical Services, FT13895 - 111 Porter - FTC	7,540
	11/24/2021	Technical Services, FT13757 - 282 Schenck - FTC	6,986
	11/30/2021	Technical Services, FT13751 - 295-321 Beattie -FTC	7,442
	1/10/2022	Technical Services, FT13754 - Bryant Place - FTC	7,092
	3/15/2022	Direct Injection Program, HCR Minibid TWO #3	50,000
		New Construction Housing, HCR Minibid TWO #3	100,000
	3/21/2022	Technical Services, FT14034 - Joseph S Presti -FTC	9,224
C&R Housing Inc.	3/15/2022	OJT	20,160
C&S Engineers, Inc.	11/10/2021	Technical Services, FT13868 - Town of Canaan - FTC	7,567
	12/29/2021	Technical Services, FT14008 - 200 Cortland - FTC	30,309
	2/24/2022	Technical Services, FT14069 - 110 W 6th - FTC	8,312
	3/30/2022	Technical Services, FT14137 - Alder Creek Beverage	18,835
Cadman Plaza North, Inc.	11/12/2021	NYCH: Technical Assistance, FT13778 - 140 Cadman - PON	18,001
Calstart	2/24/2022	EVPRZ:Community Partner Funds, Prize Planning Grant CALS..	50,000
		EVPRZ:Planning Grants, Prize Planning Grant CALSTART	100,000
	3/17/2022	CLEAN TRANSPORTATION, Capital Region Mobility Hubs	250,000
CAMBA Housing Ventures, Inc.	1/14/2022	New Construction Housing, NCP Housing	450,000
Cameron Engineering & Associates LLP	10/28/2021	NYCH: Technical Assistance, FT13748 - 419 E. 57th - FTC	5,075
	1/18/2022	Technical Services, FT14014 - 155 E 34th - FTC	36,375
Canal/Rider LLC	2/23/2022	Technical Services, FT14079 - 366 Canal - PON	5,000
Capital District Regional Planning Comm.	3/3/2022	Clean Energy Communities, Clean Energy Communities	1,941,631
		NYCH: Communities, Clean Energy Communities	266,022
	3/29/2022	NYCH: Communities, Cap Dist Heat & Cool Smart Cam	50,000
Carahsoft Technology Corporation	11/5/2021	NYSERDA ADMINISTRATION, Salesforce Licensing 2022	1,578,266
	11/29/2021	NYSERDA ADMINISTRATION, Salesforce Marketing Cloud	38,340
	3/30/2022	NYSERDA ADMINISTRATION, Salesforce Marketing Cloud - 1	213,920
Caroprese & Company	1/20/2022	PPP Customer Acquisition	10,000
Carter Ledyard & Milburn LLP	2/24/2022	OREC: Technical Support, TWO 1 - ORECRFP22-1	50,000
Cascade Energy, Inc.	3/18/2022	Strategic Energy Manager, SEM Energy Coach	4,776,115
Cayuga Developments, Inc	3/25/2022	Multifam Performance Pgm, Multifamily	4,800

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Cayuga Milk Ingredients	11/10/2021	Real Time Enrgy Management, Cayuga Milk - 15 Eagle - RTEM	474,695
CCMH Fin Center LLC	3/17/2022	Technical Services, FT13643 - 85 West - PON	64,256
CDATA SOFTWARE, INC.	12/6/2021	NYSERDA ADMINISTRATION, DBAmp Pro. Edition Unlimited	8,990
CDS Monarch Inc	10/8/2021	New Construction Housing, 2019 LRNCP	46,000
	10/12/2021	New Construction Housing, 2019 LRNCP	24,800
Center for Sustainable Energy	3/15/2022	TWO #3 - Drive Clean Program	915,674
Central New York Regional Planning and	10/13/2021	NYCH: District, PON 4614 Round #1 Syracuse	99,990
CEP NY Borrower 1 LLC	10/18/2021	>200KW PV, NY Sun	2,243,946
	10/19/2021	>200KW PV, NY Sun	2,919,662
CHA Consulting Inc.	11/16/2021	Technical Services, FT13977 - 1666 Division - FTC	5,800
	11/18/2021	K-12 SCHOOLS, FT13860 - Rotterdam CSD - FTC	58,984
	11/24/2021	NYCH: Technical Assistance, FT13753 - Multiple - FTC	105,000
	12/7/2021	Technical Services, FT13957 - 1700 Lexington - FTC	12,775
	12/21/2021	CI Carbon Challenge, Outreach Support	87,566
		Industrial Process Effic, Outreach Support	24,934
		On-Site Energy Manager, Outreach Support	24,934
		Strategic Energy Manager, Outreach Support	87,566
	3/10/2022	NYCH: District, SA.089_TWO #7_CHC PM-2	455,228
	3/24/2022	>200KW PV, DC for SEQR Assistance	40,000
Chelsea Mercantile	1/7/2022	Technical Services, FT14024 - 252 Seventh - PON	14,250
CHP St. James LLC	1/18/2022	New Construction Housing, NCP Housing	102,000
Christina Abmann	10/7/2021	Code to Zero, NYStretch 2023 Working Groups	17,000
CIR ELECTRICAL CONSTRUCTION CORP.	10/19/2021	<200KW PV, PON 2112 NY SUN	63
	10/21/2021	<200KW PV, PON 2112 NY SUN	10,059
	10/26/2021	<200KW PV, NY-Sun	7,488
	11/4/2021	<200KW PV, PON 2112 NY SUN	238
	12/6/2021	<200KW PV, PON 2112 NY SUN	525
	1/5/2022	<200KW PV, PON 2112 NY SUN	103,185
	1/13/2022	<200KW PV, PON 2112 NY SUN	9,933
	1/18/2022	<200KW PV, PON 2112 NY SUN	5,890
	2/8/2022	<200KW PV, PON 2112 NY SUN	8,400
	2/11/2022	<200KW PV, PON 2112 NY SUN	185
	3/3/2022	<200KW PV, PON 2112 NY SUN	21,210
	3/4/2022	<200KW PV, PON 2112 NY SUN	6,845
	3/9/2022	<200KW PV, PON 2112 NY SUN	7,790
	3/10/2022	<200KW PV, PON 2112 NY SUN	8,360
	3/15/2022	<200KW PV, PON 2112 NY SUN	18,130
	3/17/2022	<200KW PV, PON 2112 NY SUN	5,510
	3/28/2022	<200KW PV, PON 2112 NY SUN	5,365
	3/31/2022	<200KW PV, PON 2112 NY SUN	12,000
Citizens Global Albany LLC	12/13/2021	>200KW PV, NY-Sun	247,680
City of Beacon	2/2/2022	Clean Energy Communities, CEC LR - Beacon - EV	40,000
City of Kingston	2/25/2022	Clean Energy Communities, CEC LR - Kingston - Solar	40,000
City of Oneonta	1/18/2022	NYCH: District, PON4614 Rnd #1 City of Oneonta	100,000
City of Utica	11/18/2021	NYCH: District, PON4614 Round #1 City of Utica	100,000
City of Yonkers	12/29/2021	CLEANER GREENER COMMUNITIES, City of Yonkers	150,000
Clean Borrowing Co., LLC	3/18/2022	NY Green Bank, e2i Net-Zero Portfolio	8,000,000
Clean Communities of Central New York	10/15/2021	CLEAN TRANSPORTATION, NYTVIP Outreach - CC of CNY	33,000
Clean Energy States Alliance	12/23/2021	Prof & Expert Engagement, CESA 2021-22 membership	68,500
Clean Power Research	3/23/2022	Electric Vehicles - Innovation, 2022 WattPlan License	19,800
CleanFiber LLC	3/3/2022	Talent Pipeline:CE and OJT, OJT	5,600
	3/21/2022	OJT	11,520
CLEAResult Consulting, Inc.	12/16/2021	Multifam Performance Pgm, Centralized Services & Support	0
	12/29/2021	Community RH&C, Centralized Services & Support	81,990
		Renewable Heat NY, Centralized Services & Support	3,276
	1/3/2022	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Ce..	12,000

Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
CLEAResult Consulting, Inc.	1/3/2022	EMPOWER NY, Centralized Services & Support	12,000
		Home Perf w Energy Star, Centralized Services & Support	3,446,000
		NY-SUN, Centralized Services & Support	20,000
	1/13/2022	NYSERDA ADMINISTRATION, Phone Email & Web Support	126,473
	3/25/2022	Multifam Performance Pgm, Centralized Services & Support	50,000
Climate Action Associates LLC	10/5/2021	Clean Energy Communities, Utility Energy Registry - NY	500,000
Code Green Solutions, Inc.	10/5/2021	Technical Services, FT13940 - 915 Broadway - FTC	10,000
	10/19/2021	NYCH: Technical Assistance, FT13931 - Industry City - FTC	21,000
	11/15/2021	Technical Services, FT13965 - 1251 AoA - FTC	51,000
		Technical Services, FT13989 - 180 CPS - FTC	37,421
	2/11/2022	Technical Services, FT14037 - Building 7&8 - FTC	19,000
		Technical Services, FT14038 - Building 9&10 - FTC	18,500
	2/15/2022	Technical Services, FT14039 - Building 22-24 - FTC	19,000
	2/25/2022	Empire Building Challenge, EBC - Market Character TWO	9,000
		NYCH: Empire Build Challenge, EBC - Market Character TWO	9,000
	3/9/2022	Technical Services, FT14055 - 58-30 Grand - FTC	7,848
	3/16/2022	Technical Services, FT14053 - 545 Madison - FTC	24,000
	3/21/2022	Technical Services, FT13990 - 220 E 72nd - FTC	10,000
		Technical Services, FT13996 - 89-15 Parsons - FTC	10,000
Technical Services, FT13997 - 66 Rockwell - FTC		10,000	
Cody R. Koch	3/4/2022	Net Zero Energy for Eco Dev, New Construction CNPD	166,928
Cohen Ventures Inc	12/15/2021	Product Standards, Task Work Order #5	750,000
	2/10/2022	Product Standards, Task Work Order #3	49,997
COI Energy Services Inc	11/11/2021	Cleantech Ignition, PON4534 NY Climate Progress R1	500,000
Collado Engineering, DPC	10/5/2021	Code to Zero, TWO #1	22,000
COLLECTIF Engineering, PLLC	12/14/2021	Talent Pipeline:CE and OJT, OJT	22,846
College Greene Rental Associates L.P.	12/8/2021	Multifam Performance Pgm, Multifamily	77,000
	1/10/2022	Tech Assistanc Multifamily LMI, FT14027 -45 College Greene-P..	10,000
Colliers International Holdings USA, Inc	10/25/2021	Technical Services, OsEM78-C-ColliersInternational	213,999
Commercial Cleaning NY Sunshine, Inc.	12/1/2021	NYSERDA ADMINISTRATION, Janitorial Cleaning for NYGB	75,600
	1/19/2022	NYSERDA ADMINISTRATION, Janitorial Cleaning NYC office	15,600
Commercial Investigations LLC	10/13/2021	NYSERDA ADMINISTRATION, Background Checks	10,000
Compass One A LLC	10/7/2021	Multifam Performance Pgm, Multifamily	168,000
Compass Two A LLC	10/7/2021	Multifam Performance Pgm, Multifamily	89,600
Compass Two B LLC	10/18/2021	Multifam Performance Pgm, Multifamily	115,500
Compass V LLC	10/18/2021	Multifam Performance Pgm, Multifamily	153,300
Comrie Enterprises, LLC	12/29/2021	NYCH: Talent Ppln:CE and OJT, Climate Justice Fellow PON47..	40,000
CON EDISON SOLUTIONS, INC.	11/4/2021	<200KW PV, NY-Sun	261,671
	11/9/2021	ESTOR:Retail Storage Incentive, Retail Storage	457,800
Consolidated Edison Company	10/13/2021	Pay for Performance, P4P Con Ed MOU and NDA	8,106,666
Consortium for Energy Efficiency, Inc.	1/28/2022	NYCH: Critical Tools, ASHP Education and Awareness	20,000
Convergent Energy and Power LP	10/25/2021	ESTOR:Retail Storage Incentive, Retail Storage	3,000,000
Coral Lafayette LLC	3/24/2022	Technical Services, FT13978 - 80 Lafayette - PON	9,125
Core Climate Systems LLC	10/20/2021	Renewable Heat NY, Ray Brook Large Biomass Boiler	125,209
Cornell Cooperative Ext. Dutchess County	10/12/2021	OTHER PROGRAM AREA, CEEP Mid-Hudson Region (CCEDC)	61,144
	3/18/2022	CLEANER GREENER COMMUNITIES, CEEP Mid-Hudson Reg..	87,992
Cornell University-Office of Sponsored P	11/11/2021	Energy Storage Tech/Prod Dev, CABES	250,000
Cortex Building Intelligence, Inc.	2/11/2022	RTEM and Tenants, Cortex-60E42-RTEM+T	400,000
		RTEM and Tenants, Cortex-501 7ave-RTEM+T	300,000
		RTEM and Tenants, Cortex-1333 Bway-RTEM+T	340,000
		RTEM and Tenants, Cortex-1359 Bway-RTEM+T	300,000
		RTEM and Tenants, Cortex-1400 Bway-RTEM+T	340,000
	2/14/2022	RTEM and Tenants, Cortex-250W57-RTEM+T	60,000
		RTEM and Tenants, Cortex-1350Bway-RTEM+T	300,000
	2/15/2022	RTEM and Tenants, Cortex-111W33-RTEM+T	60,000
		RTEM and Tenants, Cortex-350_5thAve-RTEM+T	400,000

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Couch White, LLP	10/22/2021	Code to Zero, TWO 1 - NYStretch	92,125
Council Rock Enterprises	10/28/2021	Talent Pipeline:CE and OJT, OJT	10,240
Country Suburban Heating & Air Condition	10/5/2021	NYCH: Talent Ppln:CE and OJT, OJT HIRE	6,720
	1/26/2022	NYCH: Talent Ppln:CE and OJT, OJT	31,680
	2/11/2022	NYCH: Talent Ppln:CE and OJT, OJT	11,520
County Cooling, Corp.	10/22/2021	NYCH: Talent Ppln:CE and OJT, OJT	10,240
County Heat & AC, LLC	3/28/2022	NYCH: Talent Ppln:CE and OJT, OJT	9,600
CP Manheim One LLC	12/17/2021	>200KW PV, NY Sun	824,932
Croton Energy Group, Inc.	3/1/2022	<200KW PV, PON 2112 NY SUN	5,198
CTG:I LLC	3/28/2022	OTHER PROGRAM AREA, i3 1 year subscription	8,925
Cuba Rushford Central School	10/28/2021	K-12 SCHOOLS, P12GC-19D - Cuba ESESA - PON	237,090
		K-12 SCHOOLS, P12GC-66_D Cuba MSHSBG - PON	199,350
Culver Company, LLC	10/28/2021	POLICY DEVELOPMENT, 2021 NYS Fair Promo Item (DPS)	20,055
Cutone & Company Consultants, LLC	11/30/2021	Commercial Real Estate Ten, LCA - 151 W 26th St Fl 8 - CTP	9,828
	1/11/2022	Talent Pipeline:CE and OJT, OJT	9,693
	1/26/2022	NYCH: Talent Ppln:CE and OJT, OJT	23,040
CVE US EI2 C. Mill, LLC	2/14/2022	NY-SUN, NY-Sun - ICSA	556,800
CVENT, Inc.	10/8/2021	OREC: Technical Support, OSW Virtual Supplier Forum	25,000
	1/6/2022	Environmental Research, Event Management/Virtual Event	2,834
	3/29/2022	Environmental Research, Event Management/Virtual Event	400
Dailey Electric Inc	10/28/2021	NYCH: Talent Ppln:CE and OJT, OJT	7,680
	2/11/2022	NYCH: Talent Ppln:CE and OJT, OJT	11,520
Data Nerds Marketing Ltd.	12/22/2021	Eval MCDC Cross Cutting, Purchase Building Data	15,000
Davies Office Refurbishing, Inc.	2/4/2022	Cubicle Furniture	48,331
Dawn Dzurilla	12/9/2021	NYSERDA ADMINISTRATION, Executive Recruiter Services	50,000
Day Automation Systems, Inc.	10/12/2021	Real Time Enrgy Management, Day-Addison-RTEM	309,408
DCF Energy Group, LLC	10/8/2021	<200KW PV, NY-Sun	6,528
Dell, Inc.	10/15/2021	NYSERDA ADMINISTRATION, Microsoft Teams Audio	10,380
	11/9/2021	NYSERDA ADMINISTRATION, Dell - laptops docks Qty. 5	5,674
	11/10/2021	NYSERDA ADMINISTRATION, Microsoft Advanced E-Discovery	76,908
	1/25/2022	NYSERDA ADMINISTRATION, Azure Cloud services - Add 21	35,118
	3/17/2022	NYSERDA ADMINISTRATION, Azure Cloud services - Add 26	35,807
Delta Dental of New York	2/2/2022	NYSERDA ADMINISTRATION, Delta Dental Prem. 2022-23	650,000
DEMCO New York Corp.	11/16/2021	<200KW PV, PON 2112 NY SUN	10,920
Dextall	10/22/2021	NYCH: Innovation, Prefab Panels Retrofit	237,938
Dimension Energy LLC	12/6/2021	NY-SUN, NY-Sun ICSA	2,200,800
Direct Packet Inc.	12/14/2021	NYSERDA ADMINISTRATION, Video Hardware Renewal – Cis..	11,881
	12/31/2021	NYSERDA ADMINISTRATION, Endpoint Services - 1 year	5,000
Distributed Solar Development, LLC	10/19/2021	>200KW PV, NY-Sun	176,715
Distributed Solar Operations, LLC	3/22/2022	>200KW PV, NY Sun	654,947
DNV Energy Insights USA Inc.	10/29/2021	Eval MCDC:I&R Product Dev.Stud, TWO#2 I&R Product Dev 20..	650,857
	11/2/2021	Workforce Industry Partnership, TWO 1 - WFD BLDG/Talent	32,700
	11/18/2021	Real Time Enrgy Management, TWO 8 CEF Comm Impact_DNV	258,780
	11/19/2021	Commercial Real Estate Ten, TWO 8 CEF Comm Impact_DNV	99,928
		K-12 SCHOOLS, TWO 8 CEF Comm Impact_DNV	187
		Real Time Enrgy Management, TWO 8 CEF Comm Impact_DNV	138,766
		REV Campus Challenge, TWO 8 CEF Comm Impact_DNV	104,821
	11/22/2021	NYCH: Technical Assistance, FT13740 - 68 Bradhurst - PON	28,464
	12/9/2021	NYCH: District, Concierge Services - DNV - TWO	231,240
	12/16/2021	OREC: Technical Support, GLW Tech and Economic Review	40,000
	1/6/2022	Eval MCDC Solar/NY-Sun, TWO 3 - Solar PV/Energy Stor	136,748
		EVALUATION, TWO 3 - Solar PV/Energy Stor	1,605,442
		Nat'l OffShWind R&D Consortium, TWO 3 - Solar PV/Energy Stor	125,000
		Rmve Barriers Dist Enrgy Storg, TWO 3 - Solar PV/Energy Stor	500,000
		Solar Plus Energy Storage, TWO 3 - Solar PV/Energy Stor	400,000
2/10/2022	OREC: Technical Support, Large-Scale Renewables	40,000	

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
DNV Energy Insights USA Inc.	2/16/2022	Eval MCDC: Ind Fac Stock Study, Statewide Industrial Facility	2,588,537
	3/2/2022	OREC: Technical Support, RFP3855 Cat2 DMAC Float. LiDar	71,300
	3/23/2022	NYCH: District, PON4614 Project Management	50,000
DNV GL Energy Services USA Inc.	12/15/2021	NEW YORK GREEN BANK, Level Solar Assessment	104,340
Do-It-With Inc.	12/7/2021	Talent Pipeline:CE and OJT, OJT	15,360
	12/22/2021	Talent Pipeline:CE and OJT, OJT	29,760
	2/9/2022	Talent Pipeline:CE and OJT, OJT	14,400
	2/10/2022	Talent Pipeline:CE and OJT, OJT	21,600
	3/15/2022	OJT	21,600
		Talent Pipeline:CE and OJT, OJT	14,400
	3/16/2022	>200KW PV, PON 2112 NY SUN	18,810
	3/17/2022	Talent Pipeline:CE and OJT, OJT	21,600
Doherty Electric, LLC	11/29/2021	<200KW PV, PON 2112 NY SUN	5,236
Dollaride, Inc.	12/20/2021	Cleantech Ignition, PON4534 NY Climate Progress R2	500,000
	2/23/2022	EVPRZ:Community Partner Funds, Prize planning grant Dollaride	50,000
		EVPRZ:Planning Grants, Prize planning grant Dollaride	100,000
Dowd-Witbeck Printing Corp.	1/6/2022	POLICY DEVELOPMENT, NYS DPS Printing Services 2022	35,000
Dragon Solar LLC	1/14/2022	<200KW PV, PON 2112 NY SUN	7,884
Drinkwater Solar, LLC	11/19/2021	>200KW PV, NY-Sun C&I	1,109,185
DSHINESAGAIN SOLAR LLC	10/1/2021	>200KW PV, NY Sun	823,680
DSM Engineering Assoc, P.C.	1/20/2022	Technical Services, FT14030 - 20 E 9th - FTC	28,714
	1/21/2022	Technical Services, FT14032 - 531 Main - FTC	12,788
DTN, LLC	10/8/2021	ENERGY ANALYSIS, Purchase 12-month subscription	23,760
Dual Fuel Corp	12/23/2021	Real Time Enrgy Management, Dual Fuel - Multi - RTEM	39,150
	2/9/2022	Real Time Enrgy Management, Dual Fuel-425 Prospect PI-RTEM	39,506
	2/11/2022	Talent Pipeline:CE and OJT, OJT	20,000
	3/17/2022	Talent Pipeline:CE and OJT, OJT	23,040
Dutchess County	10/4/2021	Clean Transportation	75,000
E4TheFuture Inc.	12/1/2021	Eval MCDC: ccASHP Summer Meter, ccASHP Cooling Study	25,000
E-Mobility Market Services, Inc.	11/15/2021	Talent Pipeline:CE and OJT, OJT	10,240
EagleHawk One, Inc.	11/30/2021	Cleantech Ignition, NY Climate Progress	500,000
Earthlight Technologies LLC	12/13/2021	>200KW PV, NY-Sun	27,522
East Light Partners PBC	12/1/2021	NY-SUN, NY-Sun ICESA	1,499,040
East Morris Avenue Acquisitions GP	12/20/2021	Low Carbon Tech Demos, MF Low Carbon Pathways	391,500
	1/10/2022	Technical Services, FT14036 - Morris Manor - PON	10,000
East River Tenants Corp	3/7/2022	Technical Services, FT14022 - 200 East End - PON	14,400
East West General Construction	10/28/2021	NYCH: Talent Ppln:CE and OJT, OJT	10,240
Eastern Correctional Napanoch NY Sol..	3/24/2022	>200KW PV, NY Sun Assignment	1,174,173
EC Infosystems, Inc.	10/19/2021	EDI Vendor, EC Infosys - EDI Processing	69,000
Eco Energy of NY	3/15/2022	NYCH: Talent Ppln:CE and OJT, OJT	12,240
Ecogy New York V LLC	3/1/2022	>200KW PV, NY-Sun	23,944
Ecogy Solar LLC	1/26/2022	ESTOR:Retail Storage Incentive, Retail Storage	87,850
Ecosystem Energy Services USA Inc.	1/14/2022	Low Carbon Tech Demos, MF Low Carbon Pathways	250,850
Edison Energy, LLC	10/19/2021	Technical Services, FT13949 - 475 Riverside - FTC	28,360
Eiger 3970 Consultants Inc.	10/12/2021	<200KW PV, PON 2112 NY SUN	8,505
	10/15/2021	<200KW PV, PON 2112 NY SUN	12,103
	10/19/2021	<200KW PV, PON 2112 NY SUN	8,645
	12/3/2021	<200KW PV, PON 2112 NY SUN	5,544
	1/20/2022	<200KW PV, PON 2112 NY SUN	11,911
	2/16/2022	<200KW PV, PON 2112 NY SUN	1,809
	2/23/2022	<200KW PV, PON 2112 NY SUN	6,000
	3/22/2022	<200KW PV, PON 2112 NY SUN	7,800
Electric Power Research Institute	3/17/2022	REC:CES REC System Dev Costs, Transmission Services on D..	128,571
Eik Street Solar LLC	3/16/2022	NY-SUN, NY-Sun - ICESA	224,683
ELP BV1 LLC	12/22/2021	NY Green Bank, East Light Partners - Fund II	5,000,000
ELP Kipp Solar LLC	11/22/2021	NY-SUN, NY-Sun	500,040

Contracts Executed
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Contractor	Date Encumbered	Contract Description	Total Contract Amount
EMCOR Services Betlem	10/5/2021	NYCH: Technical Assistance, FT13725 - 100 Borinquen - FTC	8,268
	11/16/2021	NYCH: Talent Ppln:CE and OJT, OJT	9,120
	12/22/2021	NYCH: Talent Ppln:CE and OJT, OJT	9,720
	3/21/2022	Technical Services, FT14086 - 81 Linden - FTC	5,119
EME Consulting Engineering Group, LLC	10/14/2021	Technical Services, SA.084_TWO# 15_MF PM-1	312,630
	10/19/2021	Real Time Enrgy Management, SA.056_TWO #10 - RTEM MF	181,350
	11/22/2021	NYCH: Technical Assistance, FT13794 - 128 W. 138th - FTC	7,500
	11/23/2021	NYCH: Technical Assistance, FT13956 - Hughes Hall - FTC	29,100
	11/29/2021	Strategic Energy Manager, FT13218 - Rose Hill - FTC	26,540
	12/9/2021	Technical Services, FT13969 - 227 E 30th - FTC	24,850
	12/15/2021	REV Campus Challenge, FT14023 - Fordham Camp. - FTC	37,960
	1/13/2022	NYCH: Technical Assistance, FT13956 - Hughes Hall - FTC	10,000
	2/18/2022	Technical Services, FT14070 - 11 Waverly - FTC	18,825
	3/4/2022	K-12 SCHOOLS, SA.045_TWO# 6_AES PM	275,365
		REV Campus Challenge, SA.045_TWO# 6_AES PM	148,635
Emes Solar	3/10/2022	>200KW PV, PON 2112 NY SUN	15,138
Empire Offshore Wind LLC	1/14/2022	OREC: OSW Solicitations, OSWRFP20-1 Award_Empire Wind 2	3,800,000,000
Empire Solar Solutions LLC	10/1/2021	<200KW PV, PON 2112 NY SUN	5,180
	10/5/2021	<200KW PV, PON 2112 NY SUN	6,087
	10/6/2021	<200KW PV, PON 2112 NY SUN	13,335
	10/15/2021	<200KW PV, PON 2112 NY SUN	11,970
	10/22/2021	<200KW PV, PON 2112 NY SUN	5,425
	11/3/2021	<200KW PV, PON 2112 NY SUN	11,248
	11/24/2021	<200KW PV, PON 2112 NY SUN	6,188
	12/1/2021	<200KW PV, PON 2112 NY SUN	5,051
	12/6/2021	<200KW PV, PON 2112 NY SUN	13,804
	12/7/2021	<200KW PV, PON 2112 NY SUN	8,029
	12/8/2021	<200KW PV, PON 2112 NY SUN	6,475
	12/9/2021	<200KW PV, PON 2112 NY SUN	10,878
	12/14/2021	<200KW PV, PON 2112 NY SUN	11,655
	12/16/2021	<200KW PV, PON 2112 NY SUN	6,216
	12/30/2021	<200KW PV, PON 2112 NY SUN	6,783
	12/31/2021	<200KW PV, PON 2112 NY SUN	6,993
	1/7/2022	<200KW PV, PON 2112 NY SUN	12,225
	1/11/2022	<200KW PV, PON 2112 NY SUN	16,150
	1/12/2022	<200KW PV, PON 2112 NY SUN	15,280
	1/18/2022	<200KW PV, PON 2112 NY SUN	20,350
	1/19/2022	<200KW PV, PON 2112 NY SUN	11,360
	1/28/2022	<200KW PV, PON 2112 NY SUN	6,105
	2/3/2022	<200KW PV, PON 2112 NY SUN	5,920
	2/7/2022	<200KW PV, PON 2112 NY SUN	16,250
	2/8/2022	<200KW PV, PON 2112 NY SUN	6,475
	2/9/2022	<200KW PV, PON 2112 NY SUN	14,620
	2/10/2022	<200KW PV, PON 2112 NY SUN	6,475
	2/11/2022	<200KW PV, PON 2112 NY SUN	6,120
	2/22/2022	<200KW PV, PON 2112 NY SUN	44,758
	2/28/2022	<200KW PV, PON 2112 NY SUN	21,668
	3/1/2022	<200KW PV, PON 2112 NY SUN	6,075
	3/3/2022	<200KW PV, PON 2112 NY SUN	7,770
	3/7/2022	<200KW PV, PON 2112 NY SUN	5,468
3/8/2022	<200KW PV, PON 2112 NY SUN	9,518	
3/10/2022	<200KW PV, PON 2112 NY SUN	14,783	
3/17/2022	<200KW PV, PON 2112 NY SUN	13,568	
3/23/2022	<200KW PV, PON 2112 NY SUN	8,200	
3/24/2022	<200KW PV, PON 2112 NY SUN	36,948	
3/30/2022	<200KW PV, PON 2112 NY SUN	9,923	

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Empire Solar Solutions LLC	3/31/2022	<200KW PV, PON 2112 NY SUN	26,529
Empire State Development Corp.	2/9/2022	OREC: Technical Support, NY Pavilion--IPF 2022	25,000
Empire State Realty OP, LP	11/22/2021	Technical Services, FT13960 - 60 E 42nd - PON	6,000
		Technical Services, FT13962 - 1400 Broadway - PON	5,000
Employee Leasing of Greater NY	10/7/2021	NYSERDA ADMINISTRATION, TS016_Marketing	66,000
	10/21/2021	TS.023 - SQA_Coordinator	139,388
Empower CES, LLC	10/13/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
	10/14/2021	ENERGY STORAGE, PON 2112 NY SUN	62,500
	10/15/2021	ENERGY STORAGE, PON 2112 NY SUN	37,500
	10/18/2021	ENERGY STORAGE, PON 2112 NY SUN	12,500
	10/19/2021	ENERGY STORAGE, PON 2112 NY SUN	12,500
	10/25/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
	10/26/2021	ENERGY STORAGE, PON 2112 NY SUN	12,500
	11/3/2021	ENERGY STORAGE, PON 2112 NY SUN	12,500
	11/4/2021	>200KW PV, PON 2112 NY SUN	7,632
	11/10/2021	ENERGY STORAGE, PON 2112 NY SUN	12,500
	11/18/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
	11/30/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
	12/2/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
	12/6/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
	12/8/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
	12/16/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
	12/23/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
	1/5/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	1/6/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	1/11/2022	ENERGY STORAGE, PON 2112 NY SUN	12,500
	1/21/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	1/25/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	1/26/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	1/27/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	2/1/2022	ENERGY STORAGE, PON 2112 NY SUN	12,500
	2/4/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	2/28/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	3/1/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	3/2/2022	ENERGY STORAGE, PON 2112 NY SUN	2,875
	3/10/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	3/24/2022	ENERGY STORAGE, PON 2112 NY SUN	12,500
	3/29/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	Empower Equity Inc	1/5/2022	Talent Pipeline:CE and OJT, Climate Justice Fellow PON4772
Enel X North America Inc	10/25/2021	ESTOR:Retail Storage Incentive, Retail Storage	1,500,000
Energetics, Incorporated	12/14/2021	EVPRZ:Implementation, Prize Contractors Solicitation	1,099,941
Energy and Environmental Economics Inc.	10/8/2021	ENERGY ANALYSIS, TWO 1 - CAC Scoping Plan	297,117
		ENVIRONMENTAL RESEARCH, TWO 1 - CAC Scoping Plan	198,078
	10/15/2021	ENERGY ANALYSIS, TWO 2 - BER Scenario Run	100,000
		NYCH: Roadmap, TWO 2 - BER Scenario Run	150,000
	11/3/2021	Product Standards, E3 TWO#3 RFQL4810	60,000
	12/21/2021	ENERGY ANALYSIS, TWO#4 Policy Case Review	50,000
	1/7/2022	>200KW PV, TWO#27 CValue&Solar Wht Papers	288,368
	1/14/2022	Product Standards, E3 TWO#3 RFQL4810	28,000
	2/14/2022	ESTOR: Implementation Support, TWO5 Energy Storage Road..	399,741
	3/3/2022	TWO 1 - CAC Scoping Plan	499,931
3/17/2022	REC:CES REC System Dev Costs, Transmission Services on D..	128,571	
3/23/2022	Value Stack Calculator Support	50,000	
Energy Conservation & Supply, Inc.	10/28/2021	Talent Pipeline:CE and OJT, OJT	15,000
	12/7/2021	Talent Pipeline:CE and OJT, OJT	10,768
	2/2/2022	Talent Pipeline:CE and OJT, OJT	15,000

Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Energy Conservation & Supply, Inc.	2/9/2022	Talent Pipeline:CE and OJT, OJT	19,618
Energy EDC Corp.	10/28/2021	Talent Pipeline:CE and OJT, OJT	10,240
	11/30/2021	NYCH: Talent Ppln:CE and OJT, PON3981 Round 11	447,950
	1/17/2022	Workforce Industry Partnership, PON 3715 (BOM)	400,000
Energy Management Solutions, LLC	10/5/2021	Talent Pipeline:CE and OJT, OJT HIRE	5,440
	12/22/2021	Talent Pipeline:CE and OJT, OJT	6,080
	1/6/2022	Talent Pipeline:CE and OJT, OJT	5,760
	1/19/2022	Talent Pipeline:CE and OJT, OJT	5,760
	2/8/2022	Talent Pipeline:CE and OJT, OJT	8,640
	3/15/2022	Talent Pipeline:CE and OJT, OJT	5,760
	3/28/2022	WORKFORCE DEVELOPMENT, OJT	11,680
Energy Savers Inc	11/30/2021	Talent Pipeline:CE and OJT, OJT	5,440
Energy Technology Savings, Inc.	10/22/2021	Real Time Enrgy Management, ETS - 29 Flatbush Ave - RTEM	27,060
	2/16/2022	Real Time Enrgy Management, ETS-777 6ave-RTEM	21,589
	3/3/2022	Real Time Enrgy Management, ETS - 101 West End Ave - RTEM	76,209
	3/8/2022	Real Time Enrgy Management, ETS - 21 West End Ave - RTEM	91,500
EnergyPro Insulation, LLC	3/1/2022	<200KW PV, NY-Sun	10,304
Enertiv Inc.	10/18/2021	Cleantech Ignition, PON4534 NY Climate Progress R1	500,000
Enervee Corporation	11/22/2021	LMI Pilots, Energy and Climate Equity	852,665
		Market Tests, NY Prize	1,500,001
Ensave, Inc.	12/22/2021	Technical Services, Agricultural Best Practices	18,357
EnterSolar LLC	1/4/2022	>200KW PV, PON 2112 NY SUN	638,260
	1/25/2022	ESTOR:Retail Storage Incentive, Retail Storage	1,400,000
Environment & Energy Publishing, LLC	10/15/2021	NYSERDA ADMINISTRATION, 2021-22 Subscription E&E News	15,110
ePlus inc	2/9/2022	NYSERDA ADMINISTRATION, nVidia VDI Licensing - 1yr	18,315
Erie Road Acquisitions GP LLC	12/21/2021	Low Carbon Tech Demos, MF Low Carbon Pathways	883,300
	3/7/2022	Technical Services, FT14048 - 7008 Erie - PON	12,488
ESNY-303, LLC	3/4/2022	>200KW PV, NY-Sun	1,499,940
Evicient, LLC	1/24/2022	NextGen HVAC, Low cost thermal storage	92,938
Expert Environmental & Construction G..	2/4/2022	Home Perf w Energy Star, Repairs Insulation EmPower	9,414
Extraterrestrial Materials Inc.	11/5/2021	<200KW PV, PON 2112 NY SUN	182
	12/16/2021	<200KW PV, PON 2112 NY SUN	7,224
	12/22/2021	<200KW PV, PON 2112 NY SUN	7,259
	1/4/2022	<200KW PV, PON 2112 NY SUN	51,000
	1/5/2022	<200KW PV, PON 2112 NY SUN	7,740
	1/6/2022	<200KW PV, PON 2112 NY SUN	23,840
	1/21/2022	<200KW PV, PON 2112 NY SUN	7,740
	2/3/2022	<200KW PV, PON 2112 NY SUN	12,480
	2/17/2022	<200KW PV, PON 2112 NY SUN	7,200
	2/23/2022	<200KW PV, PON 2112 NY SUN	31,654
	2/28/2022	<200KW PV, PON 2112 NY SUN	7,200
	3/4/2022	<200KW PV, PON 2112 NY SUN	5,760
	3/7/2022	<200KW PV, PON 2112 NY SUN	7,200
	3/23/2022	<200KW PV, PON 2112 NY SUN	1,190
	3/24/2022	<200KW PV, PON 2112 NY SUN	8,200
3/25/2022	<200KW PV, PON 2112 NY SUN	5,280	
3/28/2022	<200KW PV, PON 2112 NY SUN	9,200	
Fifth Lenox Terrace Associates LLC	12/15/2021	Multifam Performance Pgm, Multifamily	14,050
Fingerlakes Renewables	11/30/2021	<200KW PV, PON 2112 NY SUN	7,140
First Lenox Terrace Associates LLC	12/15/2021	Multifam Performance Pgm, Multifamily	14,250
First Ward Action Council, Inc.	3/16/2022	New Construction Housing, NCP Housing	105,000
Florenton River LLC	1/11/2022	<200KW PV, PON 2112 NY SUN	12,500
	1/28/2022	<200KW PV, PON 2112 NY SUN	5,400
Foam It Insulation, LLC	10/25/2021	Talent Pipeline:CE and OJT, OJT	7,200
	10/28/2021	Talent Pipeline:CE and OJT, OJT	7,200
	12/7/2021	Talent Pipeline:CE and OJT, OJT	7,200

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Foam It Insulation, LLC	12/22/2021	Talent Pipeline:CE and OJT, OJT	15,360
	1/6/2022	Talent Pipeline:CE and OJT, OJT	14,400
	1/26/2022	Talent Pipeline:CE and OJT, OJT	7,200
	2/2/2022	Talent Pipeline:CE and OJT, OJT	7,200
	2/24/2022	Talent Pipeline:CE and OJT, OJT	7,680
	3/15/2022	Talent Pipeline:CE and OJT, OJT	38,400
Fobare & Co. LLC	12/16/2021	<200KW PV, PON 2112 NY SUN	6,650
	2/4/2022	<200KW PV, PON 2112 NY SUN	10,385
FORK IN THE ROAD SOLAR LLC	3/16/2022	NY-SUN, NY-Sun - ICESA	123,201
Fotobabble, Inc.	11/12/2021	Combined Heat and Power, Field inspection date capture	4,800
		Low Carbon Tech Demos, Field inspection date capture	6,800
		Multifam Performance Pgm, Field inspection date capture	7,200
		NYCH: Comfort Home, Field inspection date capture	1,200
Fourth Coast, Inc.	10/26/2021	<200KW PV, PON 2112 NY SUN	7,207
	1/25/2022	<200KW PV, PON 2112 NY SUN	5,325
	1/26/2022	<200KW PV, PON 2112 NY SUN	10,295
Fourth Lenox Terrace Associates LLC	12/31/2021	Multifam Performance Pgm, Multifamily	14,150
Franklin Plaza Apartments	10/21/2021	Multifam Performance Pgm, Multifamily	1,142,400
Fred F. Collis & Sons, Inc.	10/28/2021	Talent Pipeline:CE and OJT, OJT	14,400
	12/15/2021	Talent Pipeline:CE and OJT, OJT	5,760
	12/22/2021	Talent Pipeline:CE and OJT, OJT	5,760
	1/19/2022	Talent Pipeline:CE and OJT, OJT	6,240
	3/15/2022	OJT	8,640
	3/17/2022	Talent Pipeline:CE and OJT, OJT	5,760
Friello and Sons Heating and Cooling, In	3/22/2022	NYCH: Talent Ppln:CE and OJT, OJT	11,520
Frontier Energy, Inc.	1/13/2022	NYCH: Critical Tools, Heat Pump Purch Specs	19,910
	2/3/2022	ESTOR: Implementation Support, TWO 2 Cat. 3 Energy Storage	400,000
Fusco Personnel, Inc.	1/10/2022	REC:CES REC System Dev Costs, TS.007 - LSR_Office Admin	62,400
	2/2/2022	REC:CES REC System Dev Costs, TS.026 - LSR_Coordinator	25,000
Fusion Energy Services LLC	11/23/2021	<200KW PV, PON 2112 NY SUN	6,458
	12/16/2021	<200KW PV, PON 2112 NY SUN	5,740
	3/1/2022	<200KW PV, PON 2112 NY SUN	9,225
G&S Operations LLC	11/30/2021	>200KW PV, PON 2112 NY SUN	66,663
	2/4/2022	>200KW PV, PON 2112 NY SUN	32,526
	3/21/2022	>200KW PV, PON 2112 NY SUN	76,514
Gainsborough Studios Inc.	12/15/2021	Technical Services, FT13984 - 222 CPS - PON	7,909
Galvan Initiatives Foundation, Inc.	12/10/2021	New Construction Housing, NCP Housing	300,000
		New Construction- Commercial, NCP Housing	8,000
Gartner Inc.	12/1/2021	NYSERDA ADMINISTRATION, Gartner 2022 Renewal	40,143
GBA Commissioning Services, Inc	11/15/2021	NYCH: Technical Assistance, FT13680 - 2 Columbus - FTC	53,338
Geatrain Engineering PLLC	11/23/2021	Technical Services, FT13988 - New World Mall - FTC	17,828
	1/31/2022	Technical Services, FT14043 - 31 W 34th - FTC	32,868
	2/18/2022	Technical Services, FT14052 - 36 W 47th - FTC	42,810
	2/22/2022	Technical Services, FT14046 - 140 8th - FTC	8,800
General Electric International Inc	12/14/2021	GE MAPS Software 2021-2024	436,500
General Electric International, Inc.	3/17/2022	REC:CES REC System Dev Costs, Transmission Services on D..	128,571
Generate Capital Inc.	11/22/2021	NY-SUN, NY-Sun ICESA	651,000
Genesis Housing Development Corpora..	1/7/2022	New Construction Housing, NCP Housing	450,000
GenPro Energy Solutions, LLC	10/26/2021	<200KW PV, PON 2112 NY SUN	166,982
	11/5/2021	<200KW PV, PON 2112 NY SUN	67,473
GEOMETRICS, INC.	11/2/2021	OTHER PROGRAM AREA, Magnetometer Purchase	59,390
George E Denmark II	12/1/2021	<200KW PV, PON 2112 NY SUN	8,572
Georgica Green Ventures, LLC	11/17/2021	Multifam Performance Pgm, Multifamily	162,000
Geotherm Inc.	10/25/2021	NYCH: Talent Ppln:CE and OJT, OJT	7,680
	1/19/2022	NYCH: Talent Ppln:CE and OJT, OJT	9,600

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Geotherm Inc.	2/11/2022	<200KW PV, PON 2112 NY SUN	5,880
	3/3/2022	NYCH: Talent Ppln:CE and OJT, OJT	13,680
GI Endurant LLC	10/12/2021	NYCH: District, PON 4614 Round #1 Wagner	70,240
		NYCH: District, PON4614 Round #2_Willets Point	95,250
	10/21/2021	ESTOR:Retail Storage Incentive, Retail Storage	1,200,000
	10/25/2021	ESTOR:Retail Storage Incentive, Retail Storage	4,500,000
	11/15/2021	ENERGY STORAGE, Retail Storage	5,561,500
Gladstein, Neandross & Associates, LLC	2/22/2022	EVPRZ:Community Partner Funds, Prize Planning Grant - GNA	50,000
		EVPRZ:Planning Grants, Prize Planning Grant - GNA	100,000
Glenmore Manor Managers LLC	3/23/2022	New Construction Housing, NCP Housing	200,000
Go Solar, LLC	1/13/2022	<200KW PV, PON 2112 NY SUN	5,670
	1/26/2022	<200KW PV, PON 2112 NY SUN	8,100
Goldman Copeland Associates, P.C.	10/5/2021	NYCH: Technical Assistance, FT13948 - 120 E 23rd - FTC	29,994
		Technical Services, FT13947 - 60 Hudson - FTC	29,983
	11/17/2021	Technical Services, FT13776 - 286 Madison - FTC	12,496
	1/20/2022	Technical Services, FT13968 - 606 Broadway - FTC	5,996
	1/27/2022	Technical Services, FT13979 - 1 Park - FTC	7,985
		Technical Services, FT13980 - 40 Fulton - FTC	12,482
	2/3/2022	Technical Services, FT13999 - 888 7th - FTC	13,993
	2/22/2022	Technical Services, FT14088 - 500 5th - FTC	9,484
	3/23/2022	Technical Services, FT14021 - 150 W 65th - FTC	11,989
	Gouverneur Gardens Housing Co.	10/13/2021	Multifam Performance Pgm, Multifamily
GovOS, Inc.	2/28/2022	NYSERDA ADMINISTRATION, Seamlessdocs Licensing 22- 23	49,609
Gowanus Green Partners LLC	10/26/2021	NYCH: District, PON4614 Round #1 Gowanus	85,920
Great Oaks 150, LLC	12/29/2021	Buildings of Excellence, BoE Rnd. 2 - Great Oaks Mixed	850,000
Green Action Studio, LLC	10/25/2021	Talent Pipeline:CE and OJT, OJT	10,000
	11/9/2021	Talent Pipeline:CE and OJT, OJT	10,000
	1/12/2022	Talent Pipeline:CE and OJT, OJT	10,000
	1/26/2022	Talent Pipeline:CE and OJT, OJT	10,000
Green Light New York, Inc.	10/18/2021	Empire Building Challenge, EBC Event Series Support	25,000
		NYCH: Empire Build Challenge, EBC Event Series Support	25,000
Green Street Power Partners LLC	1/10/2022	>200KW PV, PON 2112 NY SUN	113,144
	1/20/2022	NY-SUN, NY Sun - ICSA	22,629
Green Team USA, LLC	10/28/2021	WORKFORCE DEVELOPMENT, OJT	15,360
	1/6/2022	WORKFORCE DEVELOPMENT, OJT	23,040
	2/2/2022	WORKFORCE DEVELOPMENT, OJT	23,040
Green Visions Solar LLC	10/22/2021	<200KW PV, NY-Sun	10,764
	1/12/2022	<200KW PV, PON 2112 NY SUN	69,930
Greenhaven Correctional Stormville NY..	3/24/2022	>200KW PV, NY Sun Payee Assignment	848,640
GreenLogic, LLC	1/21/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	2/8/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	2/23/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
Grid City Electric Corp	11/18/2021	<200KW PV, NY-Sun	19,272
		>200KW PV, NY-Sun	4,818
Group-S LLC	10/5/2021	NYCH: Technical Assistance, FT13802 - 201 W 70th - FTC	13,000
	10/25/2021	NYCH: Technical Assistance, FT13650 - 101 Greenwich - FTC	24,500
	11/22/2021	NYCH: Technical Assistance, FT13808 - 340 E. 34th - FTC	8,500
		NYCH: Technical Assistance, FT13809 - 200-220 W. 26th -FTC	17,200
		NYCH: Technical Assistance, FT13812 - 47-20 Center - FTC	15,600
		NYCH: Technical Assistance, FT13820 - 505 W. 37th - FTC	26,000
		NYCH: Technical Assistance, FT13847 - 444 W. 35th - FTC	8,000
		NYCH: Technical Assistance, FT13848 - 46-10 Center - FTC	14,800
		NYCH: Technical Assistance, FT13856 - 54 Riverside - FTC	10,000
		NYCH: Technical Assistance, FT13896 - 46-15 Center - FTC	11,600
		NYCH: Technical Assistance, FT13899 - 45-40 Center - FTC	11,600
		NYCH: Technical Assistance, FT13900 - 21-66 33rd - FTC	9,750

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Group-S LLC	11/22/2021	NYCH: Technical Assistance, FT13901 - 45-45 Center - FTC	31,600
		NYCH: Technical Assistance, FT13902 - 455 W. 37th - FTC	14,800
	11/29/2021	>200KW PV, PON 2112 NY SUN	179,712
	12/17/2021	NYCH: Technical Assistance, FT13850 - 387 Park - FTC	11,600
	12/21/2021	>200KW PV, PON 2112 NY SUN	1,033,344
		NYCH: Technical Assistance, FT13865 - 152 W. 57th - FTC	26,000
		NYCH: Technical Assistance, FT13870 - 230 Park - FTC	19,600
	12/31/2021	K-12 SCHOOLS, FT13873 - 35 E 125th - FTC	33,200
2/23/2022	>200KW PV, PON 2112 NY SUN	6,364	
GSPP 28 Erasmus St, LLC	1/19/2022	>200KW PV, NY-Sun	43,848
	2/7/2022	NY-SUN, NY-Sun - ICSA	8,770
GSPP 74-04 Grand Ave, LLC	1/20/2022	>200KW PV, NY-Sun	63,597
	2/7/2022	NY-SUN, NY-Sun - ICSA	19,079
GSPP 76-02 Woodhaven Blvd, LLC	1/20/2022	>200KW PV, NY-Sun	72,297
	2/14/2022	NY-SUN, NY-Sun - ICSA	21,689
GSPP 126 Little Bow Rd N, LLC	1/7/2022	NY-SUN, NY-Sun ICSA	229,723
GSPP 126 Little Bow Rd S, LLC	1/20/2022	NY-SUN, NY-Sun ICSA	235,049
GSPP 131 Lynhurst Ave, LLC	1/19/2022	>200KW PV, NY-Sun	24,404
GSPP 200 Empire Blvd, LLC	1/19/2022	>200KW PV, NY-Sun	64,467
	2/7/2022	NY-SUN, NY-Sun - ICSA	12,893
GSPP 218-28 97th Ave, LLC	1/20/2022	>200KW PV, NY-Sun	26,100
	2/14/2022	NY-SUN, NY-Sun - ICSA	7,830
GSPP 409 Ferris Road, LLC	12/21/2021	NY-SUN, NY-Sun ICSA	443,700
GSPP 641 Ferris Road East, LLC	12/29/2021	NY-SUN, NY-Sun ICSA	354,960
GSPP 641 Ferris Road West, LLC	12/21/2021	NY-SUN, NY-Sun ICSA	221,850
GSPP 1414 Ralph Ave, LLC	1/20/2022	>200KW PV, NY-Sun	19,053
	2/7/2022	NY-SUN, NY-Sun - ICSA	5,716
GSPP 1450 Curtis Rd, LLC	1/7/2022	NY-SUN, NY Sun - ICSA	763,776
GSPP 2385 Hollers Ave, LLC	1/19/2022	>200KW PV, NY-Sun	65,903
	2/14/2022	NY-SUN, NY-Sun - ICSA	13,181
GSPP 4474 Lower Birch Run Rd, LLC	1/20/2022	NY-SUN, NY Sun - ICSA	227,354
GSPP 4643 Twelve Corners Road, LLC	12/30/2021	NY-SUN, NY-Sun ICSA	438,376
GSPP 4710 Glenwood Road, LLC	1/20/2022	>200KW PV, NY-Sun	141,984
	2/10/2022	NY-SUN, NY-Sun - ICSA	28,397
GSPP 6335 Fresh Pond, LLC	1/20/2022	>200KW PV, NY-Sun	12,789
GSPP KR Hylan, LLC	1/7/2022	NY-SUN, NY Sun - ICSA	57,143
Guggenheim Museum	1/14/2022	Technical Services, OsEM82-C - Guggenheim Museum	118,997
Guidehouse Inc.	10/18/2021	NYCH: LMI, TWO 5	50,000
	12/14/2021	Code to Zero, NYStretch 2023 Working Group	12,000
	3/18/2022	NYCH: LMI, LMI-E Database Support	50,000
Guth Deconzo Consulting Engineers	10/27/2021	Technical Services, IAQ-Higher Education-Guth TWO	19,000
Hakimian Management Corp	11/4/2021	Technical Services, FT13749 - 10 W 46th - PON	9,250
	11/24/2021	NYCH: Technical Assistance, FT13982 - 460 W 20th - PON	16,150
Halcyon Inc.	10/28/2021	NYCH: Talent Ppln:CE and OJT, OJT	40,320
	11/18/2021	NYCH: Talent Ppln:CE and OJT, OJT	12,960
		Talent Pipeline:CE and OJT, OJT	10,560
	11/23/2021	NYCH: Talent Ppln:CE and OJT, OJT	15,840
	12/7/2021	NYCH: Talent Ppln:CE and OJT, OJT	13,320
		Talent Pipeline:CE and OJT, OJT	9,600
	12/22/2021	NYCH: Talent Ppln:CE and OJT, OJT	14,400
	1/6/2022	NYCH: Talent Ppln:CE and OJT, OJT	12,960
	1/11/2022	NYCH: Talent Ppln:CE and OJT, OJT	14,400
	2/11/2022	Talent Pipeline:CE and OJT, OJT	10,560
	3/15/2022	NYCH: Talent Ppln:CE and OJT, OJT	25,200
3/17/2022	Talent Pipeline:CE and OJT, OJT	9,600	
3/28/2022	NYCH: Talent Ppln:CE and OJT, OJT	14,400	

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Halcyon, Inc.	10/4/2021	Talent Pipeline:CE and OJT, OJT HIRE	9,120
	12/14/2021	<200KW PV, PON 2112 NY SUN	2,294
	12/30/2021	<200KW PV, PON 2112 NY SUN	2,950
	3/11/2022	<200KW PV, PON 2112 NY SUN	7,680
	3/15/2022	<200KW PV, PON 2112 NY SUN	5,160
HALO Branded Solutions, Inc.	10/28/2021	POLICY DEVELOPMENT, 2021 NYS Fair Promotional Item	26,133
	11/2/2021	POLICY DEVELOPMENT, 2021 Promotional Items NYS DPS	33,948
Hamilsun Community Solar LLC	3/16/2022	NY-SUN, NY-Sun - ICESA	215,395
Handel Architect	3/15/2022	Buildings of Excellence, BoE Rnd 1 - Design Team Incen.	112,500
Harris Beach PLLC	11/19/2021	SARATOGA TECHNOLOGY & ENERGY PARK, TWO 1 STEP ..	25,000
	12/7/2021	SARATOGA TECHNOLOGY & ENERGY PARK, RFP 3300 Out..	2,126
	1/26/2022	NYSERDA ADMINISTRATION, TWO 2 Financing Solutions Prog	25,000
Harvest Power, LLC	10/7/2021	<200KW PV, NY-Sun	36
		>200KW PV, NY-Sun	54
	10/20/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
	12/21/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
	2/11/2022	<200KW PV, NY-Sun	60
		>200KW PV, NY-Sun	60
	2/18/2022	<200KW PV, NY-Sun	48
		>200KW PV, NY-Sun	72
Hawn Heating & Energy Services LLC	1/6/2022	Talent Pipeline:CE and OJT, OJT	8,460
Healthy Home Energy & Consulting, Inc.	12/22/2021	Talent Pipeline:CE and OJT, OJT	7,680
Heat Keepers, Inc.	10/28/2021	NYCH: Talent Ppln:CE and OJT, OJT	12,240
Herkimer Affordable Housing	10/13/2021	Multifam Performance Pgm, Multifamily	55,300
	1/7/2022	Technical Services, FT13936 - Mid-Town Apts - PON	6,750
Herkimer Housing Authority	10/15/2021	New Construction Housing, NCP Housing	24,000
HEVO Inc.	10/6/2021	Cleantech Ignition, PON4534 NY Climate Progress R1	500,000
Hi TECH HVAC Services CORP	10/5/2021	NYCH: Talent Ppln:CE and OJT, OJT HIRE	10,240
	10/25/2021	NYCH: Talent Ppln:CE and OJT, OJT	10,240
	10/28/2021	NYCH: Talent Ppln:CE and OJT, OJT	8,640
	11/23/2021	NYCH: Talent Ppln:CE and OJT, OJT	20,520
	12/14/2021	NYCH: Talent Ppln:CE and OJT, OJT	14,400
	12/22/2021	NYCH: Talent Ppln:CE and OJT, OJT	14,400
	1/19/2022	NYCH: Talent Ppln:CE and OJT, OJT	26,966
	2/9/2022	NYCH: Talent Ppln:CE and OJT, OJT	10,560
High Peaks Solar	3/10/2022	NYCH: Talent Ppln:CE and OJT, OJT	11,520
	3/15/2022	NYCH: Talent Ppln:CE and OJT, OJT	8,640
	3/17/2022	NYCH: Talent Ppln:CE and OJT, OJT	15,360
	12/2/2021	<200KW PV, PON 2112 NY SUN	196,378
Highland Gardens LLC	10/8/2021	<200KW PV, NY-Sun	194,832
		NY-SUN, NY-Sun	224,807
Highway 233 Solar, LLC	1/3/2022	>200KW PV, NY-Sun	1,010,952
Hobart and William Smith Colleges	3/9/2022	Technical Services, OsEM51-C-Hobart&William Smith	17,736
Hobbs Ciena Associates, LP	10/13/2021	Multifam Performance Pgm, Multifamily	238,000
Hodgson Russ LLP	10/5/2021	NYSERDA ADMINISTRATION, EmPower Claim Costs	2,500
Holland & Knight LLP	10/1/2021	NEW YORK GREEN BANK, RFP 12 - NYGB Legal Services	796
	11/18/2021	NYSERDA ADMINISTRATION, RFP 12 - NYGB Legal Services	16,386
	11/19/2021	NEW YORK GREEN BANK, RFP 12 - NYGB Legal Services	1,989
	12/10/2021	NEW YORK GREEN BANK, RFP 12 - NYGB Legal Services	175,783
		NYSERDA ADMINISTRATION, RFP 12 - NYGB Legal Services	203
	12/20/2021	OREC: Technical Support, RFP 12 - NYGB Legal Services	6,627
	12/28/2021	OREC: Technical Support, RFP 12 - NYGB Legal Services	16,229
	3/8/2022	OREC: Technical Support, TWO 1 - ORECRFP22-1	50,000
Home Leasing, LLC	3/11/2022	Single Family New Construction, NCP Housing	105,000
	3/23/2022	New Construction Housing, NCP Housing	204,000
HomeCycle Technologies, Inc.	10/4/2021	REC:CES REC System Dev Costs, RESRFP21-1 TEP IE	49,500

Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Homes for Heroes, Inc.	10/12/2021	Single Family New Construction, 2020 LRNCP	28,000
Honeywell International Inc.	1/18/2022	NYCH: Comfort Home, Technical Assurance	15,000
Honkamp Krueger & Co., PC	1/12/2022	NYSERDA ADMINISTRATION, External QAR	18,700
Horizon Engineering Assoc. LLP	11/4/2021	Technical Services, FT13963 - 8 Stone - FTC	11,993
	11/17/2021	K-12 SCHOOLS, P12GC-59E - 24-50 FDR - FTC	43,631
Housing Action Council, Inc.	12/15/2021	New Construction Housing, NCP Housing	23,600
Housing Trust Fund Corporation	11/22/2021	New Construction Housing, HCR 2021	7,500,000
Housing Visions Consultants, Inc.	10/12/2021	New Construction Housing, 2019 LRNCP	207,500
HPDC Energy LLC	3/17/2022	NEW YORK GREEN BANK, NYGB DAC StakeholderListening	35,000
Huddl Mobility Limited	10/18/2021	Pub Transit & Elect Rail, CitySwift MTA Pilot	50,000
Hudson Hill Condominium	3/7/2022	Technical Services, FT14051 - 462 W 58th - PON	7,909
Hudson River Renewables	12/22/2021	<200KW PV, PON 2112 NY SUN	10,920
	1/14/2022	<200KW PV, PON 2112 NY SUN	7,840
	1/28/2022	<200KW PV, PON 2112 NY SUN	8,400
	2/15/2022	<200KW PV, PON 2112 NY SUN	46,800
Hudson Valley Housing Development F..	10/19/2021	New Construction Housing, 2019 LRNCP	154,000
Hyatt Corporation as agent for Hyatt Equ	12/3/2021	Technical Services, FT13972 - 485 5th - PON	26,000
HyperGen Inc	1/19/2022	NYSERDA ADMINISTRATION, PeopleSoft Support Services	670,000
Hytech Solar Inc	10/18/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
	11/16/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
	12/6/2021	COMMUNITY SOLAR, PON 2112 NY SUN	5,032
	12/13/2021	COMMUNITY SOLAR, PON 2112 NY SUN	5,848
IBC Engineering PC	12/23/2021	REV Campus Challenge, FT14006 - Syracuse U - FTC	5,027
ICE Data, LP	10/12/2021	ENERGY ANALYSIS, Energy Analysis	21,680
ICF Incorporated LLC	2/24/2022	EVPRZ:Community Partner Funds, Prize planning grant - ICF	50,000
		EVPRZ:Planning Grants, Prize planning grant - ICF	100,000
ICF Resources, LLC	11/23/2021	ENERGY ANALYSIS, TWO#9 NYS Elect System Model	60,000
	11/29/2021	Mkt Char: Tech Assist, TWO #4 - Statewide NG Study	116,043
	12/7/2021	NYCH: District, PON 4614 Round #2 Identify Ops	213,300
IGS Solar, LLC	3/23/2022	<200KW PV, PON 2112 NY SUN	6,460
IHS Global Inc.	2/9/2022	>200KW PV, IHS Markit Global Sarl – North	21,667
		CI Engy Siting & Soft Cost Red, IHS Markit Global Sarl – North	21,667
		NYSERDA ADMINISTRATION, IHS Markit Global Sarl – North	21,667
	3/21/2022	ENERGY ANALYSIS, IHS Markit Subscription 2022	60,506
Illume Advising LLC	12/13/2021	Eval MCDC:Climate Act Benefits, TWO #2 - DAC Benefits	452,350
	12/31/2021	Low-Income Forum on Energy, Energy and Climate Equity	50,000
Indeed Inc.	12/31/2021	NYSERDA ADMINISTRATION, Social Media Job Postings	60,000
Industrial Economics, Incorporated	1/13/2022	Eval MCDC: MD&IR Case Studies, TWO 3 - Case Studies	385,016
INF Associates LLC	10/5/2021	NYCH: Technical Assistance, FT13780 - 17 Smith - FTC	16,000
		NYCH: Technical Assistance, FT13781 - 300 W. 125th - FTC	17,313
	11/12/2021	NYCH: Technical Assistance, FT13795 - 5 Times Sq. - FTC	80,104
	11/18/2021	NYCH: Technical Assistance, FT13796 - 37-18 Northern - FTC	57,202
		NYCH: Technical Assistance, FT13797 - 32 Old Slip - FTC	80,104
		NYCH: Technical Assistance, FT13798 - 1285 AoA - FTC	133,699
Infinity Solar Systems, LLC	10/19/2021	<200KW PV, PON 2112 NY SUN	6,388
	11/30/2021	<200KW PV, PON 2112 NY SUN	6,337
	12/13/2021	<200KW PV, PON 2112 NY SUN	12,462
	12/14/2021	<200KW PV, PON 2112 NY SUN	12,549
	12/15/2021	<200KW PV, PON 2112 NY SUN	7,088
	1/5/2022	<200KW PV, PON 2112 NY SUN	6,099
	1/6/2022	<200KW PV, PON 2112 NY SUN	16,611
	1/26/2022	<200KW PV, PON 2112 NY SUN	34,409
	2/3/2022	<200KW PV, PON 2112 NY SUN	5,000
	3/1/2022	<200KW PV, PON 2112 NY SUN	7,000
	3/4/2022	<200KW PV, PON 2112 NY SUN	6,570
	3/10/2022	<200KW PV, PON 2112 NY SUN	5,800

Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Infinity Solar Systems, LLC	3/16/2022	<200KW PV, PON 2112 NY SUN	5,475
Info-Tech Research Group Inc.	12/6/2021	NYSERDA ADMINISTRATION, Info-Tech Research Group.1yr.	37,400
Infogroup Government Division	3/16/2022	Eval MCDC Cross Cutting, Data Purchase	475,000
Innoenergy USA, LLC	2/24/2022	EVPRZ:Community Partner Funds, Prize Plan Grnt - Innoenergy	50,000
		EVPRZ:Planning Grants, Prize Plan Grnt - Innoenergy	100,000
Institute for Building Technology and Sa	3/18/2022	NY-SUN, TWO 4 NYSUN Res NonRes	702,568
Integral Building & Design, Inc.	10/5/2021	Code to Zero, TWO #1	17,000
	10/28/2021	Talent Pipeline:CE and OJT, OJT	11,539
	1/6/2022	Talent Pipeline:CE and OJT, OJT	9,806
Integrated HVAC Systems and Services	10/5/2021	Real Time Enrgy Management, Integrated HVAC - 894 Fountain	155,000
Integrity Solar Solutions, LLC	10/1/2021	<200KW PV, PON 2112 NY SUN	5,236
	1/25/2022	<200KW PV, PON 2112 NY SUN	24,930
	3/24/2022	<200KW PV, PON 2112 NY SUN	7,140
International Energy Program	12/15/2021	EVALUATION, IEPEC Jan 2022 Sponsorship	5,000
Interstate Renewable Energy Council, I.	3/17/2022	NYCH: Talent Ppln:CE and OJT, PON3981 Round 12	140,903
IOvations Inc.	3/15/2022	NYSERDA ADMINISTRATION, Check Point Firewalls 1 year	153,135
Iowa Wind and Solar, LLC	1/10/2022	>200KW PV, PON 2112 NY SUN	41,040
IPPsolar Integration LLC	10/27/2021	NY-SUN, NY Sun	2,250,000
	1/25/2022	ENERGY STORAGE, Retail Storage	786,500
Ithaca Electricians Inc.	10/28/2021	NYCH: Talent Ppln:CE and OJT, OJT	9,600
Ithaca Neighborhood Housing Services, In	10/8/2021	New Construction Housing, 2019 LRNCP	165,200
	10/18/2021	New Construction Housing, 2019 LRNCP	18,800
	3/18/2022	New Construction Housing, NCP Housing	31,000
J Synergy Green Inc	11/23/2021	WORKFORCE DEVELOPMENT, OJT	12,000
J Synergy Solar LLC	1/13/2022	COMMUNITY SOLAR, PON 2112 NY SUN	5,840
	3/3/2022	<200KW PV, NY-Sun	5,840
J&A Electrical Construction LLC	3/10/2022	<200KW PV, PON 2112 NY SUN	9,500
Jaros, Baum & Bolles	11/24/2021	NYCH: Technical Assistance, FT13744 - 432 Park - FTC	43,037
	12/1/2021	NYCH: Technical Assistance, FT13498 - 1271 AoA - FTC	6,875
	2/3/2022	Cleantech POCC, Support Empire Tech Prize	355,000
		Empire Building Challenge, Support Empire Tech Prize	100,000
Jasmine Graham	10/26/2021	Code to Zero, NYStretch 2023 Working Groups	12,000
JBI Construction Group	10/26/2021	>200KW PV, PON 2112 NY SUN	25,578
	11/2/2021	>200KW PV, PON 2112 NY SUN	44,352
	1/10/2022	>200KW PV, PON 2112 NY SUN	15,138
Jefferson Tenants Corp.	12/15/2021	Technical Services, FT13595 - 55 E 9th - PON	5,650
John Betlem Heating & Cooling Inc	10/28/2021	NYCH: Talent Ppln:CE and OJT, OJT	13,440
	11/4/2021	NYCH: Talent Ppln:CE and OJT, OJT	6,720
	1/26/2022	NYCH: Talent Ppln:CE and OJT, OJT	10,080
	2/8/2022	NYCH: Talent Ppln:CE and OJT, OJT	6,720
John Siegenthaler	10/26/2021	NYCH: Critical Tools, AWHP Technical & Economic	50,000
Jones Lang LaSalle Americas, Inc.	11/19/2021	On-Site Energy Manager, OsEM83-I Phillips Medical	213,704
JP Bus & Truck Repair LTD	11/10/2021	CLEAN TRANSPORTATION, NYTVIP - Croton-Harmon UFSD	120,000
Kamtech Restoration Corp	1/21/2022	<200KW PV, NY-Sun	5,760
	2/4/2022	>200KW PV, PON 2112 NY SUN	40,832
	3/8/2022	<200KW PV, NY-Sun	16,128
	3/21/2022	<200KW PV, NY-Sun	8,640
Karp Strategies, LLC	11/11/2021	OREC: Technical Support, Secondment for OSW Stakeholder	489,384
	1/5/2022	REC4:CES REC4 Tech Support, Stakeholder Engagement Sup..	438,000
Karpman Consulting, LLC	10/5/2021	Code to Zero, TWO #1	22,000
Kasselman Solar LLC	10/5/2021	<200KW PV, PON 2112 NY SUN	12,880
	10/13/2021	<200KW PV, PON 2112 NY SUN	7,437
	10/15/2021	<200KW PV, PON 2112 NY SUN	1,078
	11/2/2021	<200KW PV, PON 2112 NY SUN	7,476
	11/3/2021	<200KW PV, PON 2112 NY SUN	5,329
	11/4/2021	<200KW PV, NY-Sun	7,040

Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Kasselman Solar LLC	11/9/2021	<200KW PV, NY-Sun	5,472
		<200KW PV, PON 2112 NY SUN	7,632
	11/11/2021	<200KW PV, PON 2112 NY SUN	6,248
	11/12/2021	<200KW PV, NY-Sun	27,768
	11/15/2021	<200KW PV, NY-Sun	10,788
	11/16/2021	<200KW PV, PON 2112 NY SUN	12,767
	11/17/2021	<200KW PV, PON 2112 NY SUN	8,306
	11/24/2021	<200KW PV, PON 2112 NY SUN	8,750
	11/29/2021	<200KW PV, NY-Sun	6,800
		<200KW PV, PON 2112 NY SUN	13,550
	12/3/2021	<200KW PV, PON 2112 NY SUN	5,763
	12/6/2021	<200KW PV, NY-Sun	8,236
	12/13/2021	<200KW PV, NY-Sun	9,256
	12/16/2021	<200KW PV, PON 2112 NY SUN	6,337
	12/17/2021	<200KW PV, PON 2112 NY SUN	5,670
	12/23/2021	<200KW PV, PON 2112 NY SUN	6,230
	1/6/2022	<200KW PV, PON 2112 NY SUN	6,375
	1/11/2022	<200KW PV, NY-Sun	6,408
		<200KW PV, PON 2112 NY SUN	40,768
	1/12/2022	<200KW PV, PON 2112 NY SUN	11,340
	1/14/2022	<200KW PV, PON 2112 NY SUN	6,008
	1/19/2022	<200KW PV, PON 2112 NY SUN	28,688
	1/24/2022	<200KW PV, PON 2112 NY SUN	5,100
	1/25/2022	<200KW PV, PON 2112 NY SUN	5,625
	1/26/2022	<200KW PV, PON 2112 NY SUN	6,163
	1/28/2022	<200KW PV, PON 2112 NY SUN	16,811
	2/3/2022	<200KW PV, PON 2112 NY SUN	14,600
	2/4/2022	<200KW PV, PON 2112 NY SUN	11,611
	2/10/2022	<200KW PV, NY-Sun	5,696
	2/16/2022	<200KW PV, PON 2112 NY SUN	23,728
	2/22/2022	<200KW PV, PON 2112 NY SUN	10,413
	2/23/2022	<200KW PV, NY-Sun	6,052
	2/28/2022	<200KW PV, PON 2112 NY SUN	13,746
	3/1/2022	<200KW PV, PON 2112 NY SUN	13,550
	3/2/2022	<200KW PV, PON 2112 NY SUN	5,600
	3/4/2022	<200KW PV, PON 2112 NY SUN	49,589
	3/7/2022	<200KW PV, PON 2112 NY SUN	5,950
	3/14/2022	<200KW PV, PON 2112 NY SUN	11,370
	3/16/2022	<200KW PV, PON 2112 NY SUN	15,725
	3/22/2022	<200KW PV, PON 2112 NY SUN	5,600
3/23/2022	<200KW PV, PON 2112 NY SUN	25,000	
3/25/2022	<200KW PV, NY-Sun	6,408	
3/29/2022	<200KW PV, PON 2112 NY SUN	20,213	
Kawi Energy Group Corp.	10/5/2021	Talent Pipeline:CE and OJT, OJT HIRE	15,360
Kearns & West, Inc.	11/10/2021	BR: Program Implementation, Build-Ready Facilitation Servi	17,238
	12/2/2021	Energy Storage Tech/Prod Dev, TWO 7 - H2 public outreach sup	60,205
	12/16/2021	OREC: Technical Support, TWO #9 ORECRFP22-1	50,000
	12/17/2021	OREC: Technical Support, TWO #10 ORECRFP22-1 Evaluation	50,000
	1/5/2022	Environmental Research, K&W TWO#11 Hudson River WS	49,999
Keirnyn Ross	11/8/2021	Workforce Industry Partnership, PON 3715 (R6) BOM	237,600
Kelliher Samets LTD	10/7/2021	KSV TWO 41 Loan Loss Reserve	149,890
	10/22/2021	Clean Energy Hub, TWO44: Clean Energy Hubs Mktg	34,140
	11/16/2021	Clean Energy Communities, TWO 29 Global Paid Search	4,324
	11/17/2021	KSV TWO 42 IPNA Bridge Loan	149,760
	12/1/2021	NYCH: District, TWO40:Community Heat Pumps MKT	120,000
	12/13/2021	Consumer Ed and Market Support, TWO#45 SFR	500,000

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Kelliher Samets LTD	12/13/2021	GJGNY Market Rate Audits, TWO#45 SFR	17,500
		Home Perf w Energy Star, TWO#45 SFR	70,000
		NYCH: Comfort Home, TWO#45 SFR	300,000
		NYCH: Technical Assistance, TWO#45 SFR	82,500
		Pay for Performance, TWO#45 SFR	250,000
	12/22/2021	LMI Marketing, KSV TWO 32 LMI Website Hub	540,950
2/3/2022	New Construction Housing, TWO 28 Carbon Neutral Bldgs	465,200	
3/7/2022	Clean Energy Hub, TWO44: Clean Energy Hubs Mktg	3,400	
Kinetic Communities Consulting Corporati	2/3/2022	NYCH: Talent Ppln:CE and OJT, OJT	69,120
	3/15/2022	NYCH: Communities, KC3 Queens Community Campaign	350,000
Kings Village Corp.	11/22/2021	Technical Services, FT13954 - 1755 Utica - PON	9,723
Kingsley House Owner LP	3/9/2022	Multifam Performance Pgm, Multifamily	49,200
Kite Realty Group, LP	1/28/2022	Technical Services, OsEM87-C - Kite Realty Group	110,000
Knowles Cazenova Inc	11/10/2021	Technical Services, FT13722 - 2777 US-20 - PON	15,700
KPMG LLP	2/15/2022	NEW YORK GREEN BANK, Audit Services	35,200
Krueger Transport LLC	2/25/2022	EVPRZ:Community Partner Funds, Prize Planning Grant - Krue..	50,000
		EVPRZ:Planning Grants, Prize Planning Grant - Krueger	100,000
L&S Energy Services, Inc.	10/5/2021	Code to Zero, TWO #1	17,000
	10/18/2021	Technical Services, FT13774 - 803 Mountain - FTC	18,317
	11/10/2021	Technical Services, FT13764 - 25 Hackett - FTC	7,500
	12/30/2021	Clean Energy Communities, L&S GJGNY Energy Audits	249,460
	2/15/2022	Technical Services, Tech Review - OsEM	100,000
	3/2/2022	New Construction- Commercial, Commercial New Construction	15,810
	3/15/2022	Direct Injection Program, HCR Minibid TWO #1	50,000
		New Construction Housing, HCR Minibid TWO #1	100,000
La Central Manager II LLC	12/24/2021	New Construction Housing, NCP Housing	250,000
LaBella Associates, P.C.	10/19/2021	New Construction- Commercial, Commercial New Construction	35,000
LaGuardia Community College/CUNY	10/15/2021	Talent Pipeline:OSW Training, OWTI Workforce Training	299,623
Lake Country Geothermal, Inc.	3/21/2022	NYCH: Talent Ppln:CE and OJT, OJT	11,040
Landmark Flooring Concepts Inc	1/31/2022	Replacement of Carpeting	23,998
Landsman Development Corp.	11/29/2021	Multifam Performance Pgm, Multifamily	75,600
		NYCH: LMI, Clean Heating & Cooling	475,200
Laura B Thomas LP	10/7/2021	Multifam Performance Pgm, Multifamily	57,400
Lemle & Wolff Development Company L..	10/29/2021	NY-SUN, Lemle & Wolff Community Solar	200,000
Leon A Clifford ET AL PTR	3/9/2022	Multifam Performance Pgm, Multifamily	56,700
Level 3 Communications, LLC	2/24/2022	NYSERDA ADMINISTRATION, Century Link_Extend Level 3	144,000
Levitan & Associates, Inc.	10/29/2021	>200KW PV, TWO 2 CES Solicitation Support	300,000
	1/5/2022	TWO 1 Future of Solar White Pp	75,000
	1/21/2022	OREC: Technical Support, TWO#3 ORECRFP22 Support	831,000
	3/17/2022	REC:CES REC System Dev Costs, Transmission Services on D..	128,574
LH Niagara Towers LLC	3/3/2022	Multifam Performance Pgm, Multifamily	140,000
LH Tonawanda Towers LLC	3/8/2022	Multifam Performance Pgm, Multifamily	70,000
LH Urban Park Towers LLC	3/8/2022	Multifam Performance Pgm, Multifamily	105,000
Liberty Utilities St Lawrence Gas Corp.	12/20/2021	Energy Storage Tech/Prod Dev, Hydrogen Feasibility Study	49,000
Lighthouse Brooklyn, LLC	10/13/2021	Multifam Performance Pgm, Multifamily	35,700
Lincoln Life & Annuity Company of NY	2/17/2022	NYSERDA ADMINISTRATION, Insurance SL/LT/PFL 2021-22	24,000
Linden Terrace III Developer LLC	1/13/2022	Buildings of Excellence, BoE Rnd. 2 - Linden Blvd. III	850,000
LinkedIn	12/29/2021	NYSERDA ADMINISTRATION, Social Media Job Postings	108,000
Livingston Energy Group	10/25/2021	Talent Pipeline:CE and OJT, OJT	6,925
	10/28/2021	Talent Pipeline:CE and OJT, OJT	6,925
	3/21/2022	OJT	6,925
Local Initiatives Support Corporation	3/7/2022	EVPRZ:Community Partner Funds, Prize Planning Grant - LISC	50,000
		EVPRZ:Planning Grants, Prize Planning Grant - LISC	100,000
Loeb & Loeb LLP	12/22/2021	NEW YORK GREEN BANK, RFP 12 - NYGB Legal Services	16,997
Long Island Power Authority	10/12/2021	NY-SUN, MOU - 3 year term	20,000,000
Long Island Power Solutions	11/12/2021	<200KW PV, PON 2112 NY SUN	7,616

Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Long Island Power Solutions	11/18/2021	<200KW PV, PON 2112 NY SUN	6,545
	12/7/2021	<200KW PV, PON 2112 NY SUN	5,481
	12/15/2021	<200KW PV, PON 2112 NY SUN	7,420
	12/17/2021	<200KW PV, PON 2112 NY SUN	95
		ENERGY STORAGE, PON 2112 NY SUN	5,000
	12/29/2021	ENERGY STORAGE, PON 2112 NY SUN	3,250
	1/10/2022	<200KW PV, PON 2112 NY SUN	6,864
	1/25/2022	COMMUNITY SOLAR, NY-Sun	7,752
		ENERGY STORAGE, NY-Sun	7,200
	1/26/2022	<200KW PV, PON 2112 NY SUN	9,800
	2/15/2022	<200KW PV, PON 2112 NY SUN	5,000
	3/4/2022	<200KW PV, PON 2112 NY SUN	44,790
	3/14/2022	<200KW PV, PON 2112 NY SUN	8,400
ENERGY STORAGE, PON 2112 NY SUN		2,000	
3/21/2022	ENERGY STORAGE, PON 2112 NY SUN	5,050	
Loring Consulting Engineers, Inc.	11/23/2021	Technical Services, FT13973 - 660 First - FTC	32,946
Low-Level Radioactive Waste Forum, In..	1/12/2022	NYSERDA ADMINISTRATION, LLW Forum Membership - 2022	5,000
Lumsden & McCormick, LLP	2/15/2022	NYSERDA ADMINISTRATION, Tax Compliance Engagement 2..	22,000
M/E Engineering, P.C.	2/9/2022	Rmve Barriers Dist Enrgy Storg, FT14025 - 4400 Vestal - FTC	41,576
	2/10/2022	NYCH: District, Round 3 SUNY Oswego	99,930
Machias PV, LLC	2/14/2022	NY-SUN, NY-Sun - ICSA	222,768
Mack Trucks, Inc.	3/16/2022	EVPRZ:Community Partner Funds, Prize Planning Grant - Volvo	50,000
		EVPRZ:Planning Grants, Prize Planning Grant - Volvo	100,000
Magnusson Architecture and Planning PC	2/11/2022	Buildings of Excellence, BoE Rnd. 2 - DTL Linden Blvd.	150,000
	3/15/2022	Buildings of Excellence, BoE Rnd. 2 - DTL Dekalb Common	150,000
Main Street Farms LLC	3/17/2022	Net Zero Energy for Eco Dev, New Construction CNPD	410,590
Maison East Condominium	11/2/2021	NYCH: Technical Assistance, FT13693 - 1438 3rd - PON	9,125
Malcarne Contracting, Inc.	10/5/2021	NYCH: Talent Ppln:CE and OJT, OJT HIRE	9,120
Mannino Electric, Inc.	10/12/2021	<200KW PV, PON 2112 NY SUN	11,760
Mark MaGrann Associates	3/3/2022	NextGen HVAC, Downstate gas fired heat pump	129,798
	3/25/2022	Technical Services, FT13959 - RiseBoro - FTC	69,650
Marshall & Sterling, Inc.	12/23/2021	NYSERDA ADMINISTRATION, RFP 4301 Insurance	20,000
Mason Tillman Associates, LTD	11/3/2021	OREC: Technical Support, MWBE Disparity Study	42,225
	3/29/2022	OREC: Technical Support, MWBE Disparity Study	85,000
Matthew C Desmarais	12/15/2021	NYCH: Innovation, Double Hybrid Demonstrations	50,000
Matthews Buses Incorporated	2/23/2022	CLEAN TRANSPORTATION, NYTVIP - Gates-Chili CSD	400,000
Max Solar Inc	1/21/2022	<200KW PV, PON 2112 NY SUN	10,710
McMahon and Mann Consulting Engine..	3/16/2022	WEST VALLEY DEVELOPMENT PROGRAM, TWO #6 Enginee..	20,045
Metro IAF	1/19/2022	IMS Metro IAF TWO - Anchor Ins	500,000
MGX Associates Phase 2 CE LLC	2/9/2022	New Construction Housing, NCP Housing - 380 Chester St	308,000
		New Construction Housing, NCP Housing-763 Thomas Boyland	308,000
MGX Associates Phase 2 G LLC	2/9/2022	New Construction Housing, NCP Housing-305 Chester St	381,500
Michael Vance Consulting Inc.	1/26/2022	>200KW PV, PON 2112 NY SUN	18,480
Michaels Group Homes, LLC	12/23/2021	Single Family New Construction, NCP Housing	6,000
Micro Nano Technologies	1/27/2022	NYCH: Innovation, New Gen Ultra-Efficient AC	716,968
MicroEra Power, Inc.	1/13/2022	NYCH: Innovation, Multi-mode TES & Commercial He	280,000
Midland Avenue Owners Corp	10/28/2021	NYCH: Technical Assistance, FT13786 - Midland - PON	7,909
Midstate Correctional Marcy NY Solar L..	3/24/2022	>200KW PV, NY Sun Assignment	848,640
Milliman, Inc.	3/10/2022	NYSERDA ADMINISTRATION, 2022 GASB74 Liab GASB75 O..	12,200
Mintz, Levin, Cohn, Ferris, Glovsky and	10/4/2021	Cleantech Ignition, RFP 12 - NYGB Legal Services	45,023
	12/7/2021	Cleantech Ignition, RFP 12 - NYGB Legal Services	9,115
	2/15/2022	Cleantech Ignition, RFP 12 - NYGB Legal Services	7,245
	3/18/2022	Cleantech Ignition, RFP 12 - NYGB Legal Services	10,728
Mintzer Mauch PLLC	3/11/2022	BR: Program Implementation, TWO 1 - Build-Ready – Deferiet	7,000
MIR Queens Place, LLC	11/12/2021	Technical Services, FT13894 - 88-01 Queens - PON	32,914
Mohawk Valley Economic Development..	1/25/2022	CLEANER GREENER COMMUNITIES, CEEP Mohawk Valley ..	43,115

Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount	
Morton Salt Inc	11/17/2021	Real Time Enrgy Management, Morton Salt - 45 Ribaud - RTEM	119,339	
Mount Hope Community Development	3/2/2022	New Construction Housing, NCP Housing	142,400	
Mountain Gardens LLC	10/27/2021	>200KW PV, NY Sun	1,559,750	
MR. AIR NYC Corp.	10/28/2021	NYCH: Talent Ppln:CE and OJT, OJT	14,400	
	11/23/2021	NYCH: Talent Ppln:CE and OJT, OJT	12,960	
	1/26/2022	NYCH: Talent Ppln:CE and OJT, OJT	23,040	
	3/15/2022	NYCH: Talent Ppln:CE and OJT, OJT	17,280	
Mutual Apartments, Inc.	10/7/2021	Multifam Performance Pgm, Multifamily	112,000	
MVN Realty, LLC	2/3/2022	Multifam Performance Pgm, Multifamily	55,300	
National Home Performance Council	11/19/2021	Code to Zero, 2022 Home Performance Conf	10,000	
		Consumer Ed and Market Support, 2022 Home Performance Co..	30,000	
		NYCH: Critical Tools, 2022 Home Performance Conf	10,000	
National Renewable Energy Laboratory	1/10/2022	Novel Bus Models & Offers, NREL Industry Growth Forum	25,000	
National Wind Technology Consortium, Inc	10/5/2021	Nat'l OffShWind R&D Consortium, NOWRDC-105-ESTECO	549,150	
		NOWRDC-105-ESTECO	549,150	
	10/8/2021	Nat'l OffShWind R&D Consortium, NOWRDC-116-Keystone	400,000	
		NOWRDC-116-Keystone	400,000	
	10/21/2021	Nat'l OffShWind R&D Consortium, NOWRDC-108-PNNL	375,000	
		Nat'l OffShWind R&D Consortium, NOWRDC-119-ESTEYCO	150,000	
		Nat'l OffShWind R&D Consortium, NOWRDC-122-GE Renewab..	232,500	
	11/8/2021	NOWRDC-108-PNNL	375,000	
		NOWRDC-119-ESTEYCO	150,000	
		NOWRDC-122-GE Renewable	232,500	
	11/8/2021	Nat'l OffShWind R&D Consortium, NOWRDC-114-Cornell	399,865	
		NOWRDC-114-Cornell	399,865	
	1/13/2022	Nat'l OffShWind R&D Consortium, NOWRDC-113-Worley	128,595	
		Nat'l OffShWind R&D Consortium, NOWRDC-117-DEME	149,988	
		NOWRDC-113-Worley	128,595	
1/24/2022	NOWRDC-117-DEME	149,988		
	Nat'l OffShWind R&D Consortium, NOWRDC-112-Cable	121,430		
3/18/2022	NOWRDC-112-Cable	121,430		
	Nat'l OffShWind R&D Consortium, NOWRDC-121-ULC Robotics	273,977		
3/18/2022	NOWRDC-121-ULC Robotics	273,977		
	Nautilus Owner 2021, LLC	10/27/2021	>200KW PV, NY Sun	2,146,559
Navy Yard Houses HDFC	10/7/2021	Multifam Performance Pgm, Multifamily	110,600	
Nazareth College of Rochester	3/25/2022	Technical Services, OsEM50-C - Nazareth College	750	
NESCAUM	2/22/2022	ENVIRONMENTAL RESEARCH, TWO#12 Sidewash Algorithm	185,000	
		ENVIRONMENTAL RESEARCH, TWO#14 Acceptance Tsting ..	515,000	
		RENEWABLE HEAT NY, TWO #13 RHNY Assessment	155,000	
	3/11/2022	ENVIRONMENTAL RESEARCH, TWO #11 Wood Heating	300,000	
Netgains Engineering P.C.	10/5/2021	NYCH: Technical Assistance, FT13695 - 78-10 147th - FTC	24,000	
		NYCH: Technical Assistance, FT13871 - 3475 Greystone - FTC	15,000	
	11/15/2021	NYCH: Technical Assistance, FT13975 - 2044 Webster - FTC	14,300	
		NYCH: Technical Assistance, FT13976 - 4705 Metro - FTC	29,400	
	11/24/2021	NYCH: Technical Assistance, FT13898 - 7 E. 14th - FTC	13,972	
		Technical Services, FT13987 - 505 Court - FTC	8,000	
	12/23/2021	Technical Services, FT14011 - 408 E 92nd - FTC	18,000	
	1/21/2022	Technical Services, FT14050 - 19 St Marks - FTC	25,863	
	1/26/2022	Technical Services, FT14047 - 520 Prospect - FTC	23,400	
	2/14/2022	Technical Services, FT14058 - 55 Eastern - FTC	8,121	
		Technical Services, FT14059 - 536 W 153rd - FTC	6,100	
	3/7/2022	Technical Services, FT14060 - 483 West End - FTC	21,224	
		Technical Services, FT14062 - 1081 Tompkins - FTC	6,148	
	New Buildings Institute, Inc.	12/2/2021	New Construction Housing, CNB Roadmap Writing	112,500
			New Construction- Commercial, CNB Roadmap Writing	112,500
12/9/2021		K-12 SCHOOLS, NBI - Getting to Zero Workshop	10,000	

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
New Ecology, Inc.	1/27/2022	Code to Zero, NYStretch 2023 Working Groups	10,000
New Energy Nexus New York LLC	10/13/2021	Cleantech POCC, Cleantech Accelerator	375,000
New Flyer of America, Inc.	10/22/2021	CLEAN TRANSPORTATION, NYTVIP - UCAT	979,071
	11/3/2021	CLEAN TRANSPORTATION, NYTVIP - NFTA	3,850,000
	12/9/2021	CLEAN TRANSPORTATION, NYTVIP - Rochester-Genesee RT..	3,850,000
New Leaf Solar LLC	11/2/2021	<200KW PV, NY-Sun	10,656
	2/3/2022	<200KW PV, PON 2112 NY SUN	5,200
	2/7/2022	<200KW PV, PON 2112 NY SUN	6,027
New York Bus Sales LLC	12/15/2021	CLEAN TRANSPORTATION, NYTVIP - Evans-Brant CSD	200,000
New York Geothermal Energy Organizat..	11/8/2021	NYCH: Critical Tools, Geothermal Performance Analsi	45,000
New York Institute for Human Development	3/11/2022	New Construction Housing, NCP Housing	200,000
	3/14/2022	New Construction Housing, NCP Housing	126,000
New York Power Authority	10/19/2021	Technical Services, FT13805 - Harriman - FTC	20,963
	12/9/2021	Technical Services, FT13854 - City of Rome - FTC	49,189
	12/17/2021	NYCH: Technical Assistance, FT13908 - Empire State - FTC	500,000
	3/16/2022	Technical Services, FT13815 - SUNY Oswego - FTC	237,332
	3/25/2022	REV Campus Challenge, FT13843 - SUNY ESF - PON	108,784
New York Power Authority,	12/21/2021	NYCHA Building Decarbonization	12,950,000
New York Solar Energy Industries Assoc.	10/25/2021	>200KW PV, NYSEIA Sponsorship	20,000
	1/12/2022	>200KW PV, NYSEIA Sponsorship	10,000
New York State Ag & Markets	11/3/2021	POLICY DEVELOPMENT, 2021 DPS NYS Fair Exhibit	10,329
New York State Solar Farm Inc.	10/1/2021	<200KW PV, PON 2112 NY SUN	39,501
	11/30/2021	<200KW PV, PON 2112 NY SUN	6,295
	1/26/2022	<200KW PV, PON 2112 NY SUN	13,320
	2/4/2022	<200KW PV, PON 2112 NY SUN	6,660
	2/23/2022	<200KW PV, PON 2112 NY SUN	5,589
	2/28/2022	<200KW PV, PON 2112 NY SUN	8,993
	3/2/2022	<200KW PV, PON 2112 NY SUN	6,120
	3/10/2022	<200KW PV, PON 2112 NY SUN	5,760
	3/11/2022	<200KW PV, PON 2112 NY SUN	5,400
	3/21/2022	<200KW PV, PON 2112 NY SUN	11,700
New York University	10/25/2021	Technical Services, OsEM80-C - NYU Dental	211,196
New York University Langone Medical Cent	11/8/2021	REV Campus Challenge, RM42 - NYU Langone Health	41,469
		RM42 - NYU Langone Health	46,000
Newport Ventures, Inc.	3/2/2022	Code to Zero, TWO #6 NYStretch Zero Energy	281,545
Next Generation Solar, LLC	11/26/2021	<200KW PV, PON 2112 NY SUN	8,750
	1/19/2022	<200KW PV, PON 2112 NY SUN	6,694
	1/26/2022	<200KW PV, PON 2112 NY SUN	5,760
	3/10/2022	<200KW PV, PON 2112 NY SUN	6,400
	3/21/2022	<200KW PV, NY-Sun	5,100
NextCorps Inc	10/26/2021	M-Corps, ACT Prototypes to Mass Prod NY	1,110,466
Nexus Renewables U.S Inc.	12/22/2021	<200KW PV, PON 2112 NY SUN	1,049,216
Niagara Mohawk Power Corporation	2/16/2022	Pay for Performance, National Grid P4P MOU	7,068,534
Nickels Energy Solutions LLC	10/1/2021	<200KW PV, PON 2112 NY SUN	5,376
	11/4/2021	<200KW PV, PON 2112 NY SUN	5,569
	11/15/2021	<200KW PV, PON 2112 NY SUN	6,622
Nixon Peabody LLP	10/5/2021	RFP 12 - NYGB Legal Services	71,564
	11/22/2021	NEW YORK GREEN BANK, RFP 12 - NYGB Legal Services	1,714
Noresco LLC	10/15/2021	Code to Zero, TWO #4	108,632
	10/25/2021	NYCH: Technical Assistance, FT13688 - 6304 Carrier - FTC	110,298
	11/18/2021	NYCH: Technical Assistance, FT13765 - 1 Central Park - FTC	15,660
	12/21/2021	K-12 SCHOOLS, FT13686 - Bedford Stuyv. - FTC	16,250
	1/20/2022	Code to Zero, Third-party E-Code Support	91,722
	3/7/2022	Technical Services, FT14063 - 308 E 8th - FTC	8,877
Normandeau Associates, Inc.	3/14/2022	Environmental Research, Digital Aerial Baseline Survey	124,255
Norstar Development USA, LP	11/2/2021	NYCH: Technical Assistance, FT13944 - Ellicott Town - PON	9,950

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Northeast Energy Efficiency Partnershi..	3/18/2022	NYCH: Critical Tools, Heat Pump Rating	50,000
Northeast Green Building Consulting, LLC	10/5/2021	Code to Zero, TWO #1	22,000
	10/15/2021	Code to Zero, TWO #2	99,300
Northeast Organic Farming Association..	12/9/2021	New Construction- Commercial, Industry Partner Engagement	35,000
Norton Rose Fulbright US LLP	10/1/2021	NEW YORK GREEN BANK, RFP 12: NYGB Legal Services	12,245
	12/15/2021	NEW YORK GREEN BANK, RFP 12: NYGB Legal Services	10,607
NortonLifeLock Inc	12/9/2021	NYSERDA ADMINISTRATION, Identity Theft Protection	15,390
Norwich Housing Authority	1/6/2022	Multifam Performance Pgm, Multifamily	6,200
		NYCH: LMI, Clean Heating & Cooling	124,000
Novel Approaches Solar Applications, LLC	11/30/2021	<200KW PV, PON 2112 NY SUN	5,679
	1/19/2022	<200KW PV, PON 2112 NY SUN	13,513
	1/20/2022	<200KW PV, PON 2112 NY SUN	12,500
	3/2/2022	<200KW PV, PON 2112 NY SUN	6,750
NP Environmental LLC	10/28/2021	NYCH: Talent Ppln:CE and OJT, OJT	24,960
	11/2/2021	NYCH: Talent Ppln:CE and OJT, OJT	15,360
	1/19/2022	NYCH: Talent Ppln:CE and OJT, OJT	10,560
Nukelaw LLC	3/23/2022	WEST VALLEY DEVELOPMENT PROGRAM, West Valley safe..	15,000
NY CDG 005 LLC	10/7/2021	>200KW PV, NY-Sun	222,033
NY Country Road 67 and Majorana LLC	11/2/2021	NY-SUN, NY Sun	889,056
NY TICE LANE 1 LLC	3/3/2022	NY-SUN, NY-Sun - ICSA	447,744
NY TICE LANE 2 LLC	3/3/2022	NY-SUN, NY-Sun - ICSA	105,600
NY USLE Carthage SR26 A LLC	12/1/2021	NY-SUN, NY-Sun ICSA	749,939
NY USLE Carthage SR26 B LLC	12/6/2021	NY-SUN, NY-Sun ICSA	494,971
NYC & Lower Hudson Valley Clean Co..	10/18/2021	CLEAN TRANSPORTATION, NYTVIP Outreach - ECC	30,000
NYC School Bus Umbrella Services Inc.	2/22/2022	EVPRZ:Planning Grants, RFP 4745	100,000
NYS Office for Technology	3/30/2022	NYSERDA ADMINISTRATION, Office 365: 3/15/2022 - 3/23	179,868
NYS Office of General Services	1/6/2022	SARATOGA TECHNOLOGY & ENERGY PARK, OGS design re..	48,253
NYS Office of Parks, Recreation and	2/3/2022	<200KW PV, PON 2112 NY SUN	100,389
NYSS LLC	10/8/2021	ENERGY STORAGE, PON 2112 NY SUN	5,050
	10/19/2021	ENERGY STORAGE, PON 2112 NY SUN	5,050
	12/3/2021	<200KW PV, NY-Sun	5,168
	12/27/2021	COMMUNITY SOLAR, PON 2112 NY SUN	5,120
	1/12/2022	COMMUNITY SOLAR, PON 2112 NY SUN	5,600
	2/23/2022	COMMUNITY SOLAR, PON 2112 NY SUN	5,120
O'Brien & Gere Engineers, Inc.	11/10/2021	NYCH: Technical Assistance, FT13632 - Cornell - FTC	120,000
Oak Drive Mutual Housing	10/13/2021	Multifam Performance Pgm, Multifamily	70,000
Oak-Michiagn Housing Development Fu..	12/9/2021	Multifam Performance Pgm, Multifamily	94,500
Oakvale Construction Co. Ltd.	1/17/2022	REC:CES REC Contracts, Black Brook Hydro _Maintenance	125,331
Ocean Towers Partners LLC	10/18/2021	Multifam Performance Pgm, Multifamily	252,000
Office of the Brooklyn Borough President	10/22/2021	Community RH&C, Cap Dist Heat & Cool Smart Cam	125,000
	10/25/2021	Community RH&C, CH&C Campaign Brooklyn 3&17	100,000
ONE ARCHITECTURE AND URBANISM	2/2/2022	NYCH: District, ATES Market Potential Study	246,930
Onsite Energy, Inc.	3/14/2022	<200KW PV, PON 2112 NY SUN	5,735
Opinion Dynamics Corporation	1/31/2022	EVPRZ:Implementation, MEL Contractor for Prizes	3,979,622
Oracle America, Inc.	12/15/2021	NYSERDA ADMINISTRATION, Oracle Peoplesoft Enterprise	54,308
Orange and Rockland Utilities, Inc.	11/15/2021	High Performing Grid, O&R Distribution System	2,236,988
Orange EV LLC	11/29/2021	CLEAN TRANSPORTATION, NYTVIP - Lazerspot	140,542
	2/11/2022	CLEAN TRANSPORTATION, NYTVIP - Wegmans Food Markets	421,625
Orenda Inc	10/6/2021	Cleantech Ignition, PON4534 NY Climate Progress R1	500,000
Orleans Niagara BOCES	11/3/2021	Talent Pipeline:CE and OJT, Electric Vehicle (EV)	24,967
Orrick Herrington & Sutcliffe LLP	12/10/2021	Cleantech Ignition, RFP 12: NYGB Legal Services	94,686
	12/20/2021	NEW YORK GREEN BANK, RFP 12: NYGB Legal Services	23,947
	12/22/2021	Cleantech Ignition, RFP 12: NYGB Legal Services	17,288
Ove Arup & Partners Consulting Engineers	12/22/2021	Environmental Research, TWO 5 Elect. Resilience	300,000
	1/4/2022	Pub Transit & Elect Rail, TWO 4 Traction Power BEB Study	410,693
	2/7/2022	New Construction- Commercial, TWO #6CN Policy Support 2022	50,000

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Owahgena Consulting, Inc.	1/18/2022	Air Source Heat Pumps, Heat Pump Technical Assistance	30,000
		Geothermal Incentive Program, Heat Pump Technical Assistance	25,000
		NYCH: Critical Tools, Heat Pump Technical Assistance	188,587
OwnBackup Inc.	10/4/2021	NYSERDA ADMINISTRATION, Own backupSalesforce.KeyMgt.	36,077
OYA Camillus A LLC	3/3/2022	NY-SUN, NY-Sun - ICSA	531,552
OYA Camillus B LLC	3/3/2022	NY-SUN, NY-Sun - ICSA	512,736
OYA Church Road A LLC	1/20/2022	NY-SUN, NY-Sun - ICSA	299,936
OYA Independence East LLC	1/20/2022	NY-SUN, NY-Sun - ICSA	299,936
OYA Independence North LLC	2/10/2022	NY-SUN, NY-Sun - ICSA	266,240
OYA INDEPENDENCE ROAD LLC	2/10/2022	NY-SUN, NY-Sun - ICSA	298,927
OYA Main Street LLC	1/20/2022	NY-SUN, NY-Sun - ICSA	299,936
OYA Pulaski LLC	1/20/2022	NY-SUN, NY-Sun - ICSA	190,112
OYA ROBINSON ROAD LLC	3/16/2022	NY-SUN, NY-Sun - ICSA	149,464
OYA Ruhlmann A LLC	1/20/2022	NY-SUN, NY-Sun - ICSA	299,936
Oya Solar CDG2 LLC; Oya Solar MM1 L..	12/7/2021	NY Green Bank, OYA Solar Construction-to-Term	54,000,000
OYA State Route 5 LLC	1/20/2022	NY-SUN, NY-Sun - ICSA	234,024
OYA WAYSIDE DRIVE LLC	2/10/2022	NY-SUN, NY-Sun - ICSA	298,927
Pace University	3/23/2022	Environmental Research, ATWG Tech Services	50,000
Paradise Energy Solutions, LLC	10/15/2021	<200KW PV, PON 2112 NY SUN	11,176
	2/1/2022	<200KW PV, PON 2112 NY SUN	8,330
	3/10/2022	<200KW PV, PON 2112 NY SUN	37,800
Park Grove Development, LLC	10/8/2021	New Construction Housing, 2019 LRNCP	42,000
	10/12/2021	New Construction Housing, 2019 LRNCP	105,000
Park Grove Realty LLC	3/24/2022	New Construction Housing, NCP Housing	39,000
Park Hill Housing, LLC	10/13/2021	Multifam Performance Pgm, Multifamily	52,500
	11/29/2021	Tech Assistanc Multifamily LMI, FT13974 - 63-34 South - PON	9,500
Park Regis Apartment Corp.	10/28/2021	NYCH: Technical Assistance, FT13787 - 50 E 89th - FTC	7,909
Partner Energy, Inc.	3/24/2022	Technical Services, FT14135 - 645 Madison - FTC	9,515
Partridge Venture Engineering, P.C.	2/9/2022	Technical Services, FT14074 - 1455-1499 - FTC	15,150
Passive House Institute US	3/23/2022	New Construction Housing, Strategic Industry Partner Eng	20,000
		New Construction- Commercial, Strategic Industry Partner Eng	10,000
		Single Family New Construction, Strategic Industry Partner Eng	20,000
PathStone Development Corporation	10/13/2021	Multifam Performance Pgm, Multifamily	142,100
Pathstone Housing Action Corporation	10/5/2021	Single Family New Construction, 2019 LRNCP	200,000
	10/8/2021	New Construction Housing, 2019 LRNCP	236,000
Paul A. Bradbury	10/28/2021	POLICY DEVELOPMENT, 2021 NYS Fair Promo Item (DPS)	12,841
Penn Power Group LLC	2/3/2022	BR: Program Implementation, Commercial Excellence Consult	45,000
People United for Sustainable Housing ..	1/31/2022	CLEANER GREENER COMMUNITIES, CEEP Western New Yo..	73,845
Performance Systems Development	10/5/2021	Code to Zero, TWO #1	12,000
Phipps Houses	3/29/2022	New Construction Housing, NCP Housing	200,000
PitchBook Data, Inc.	11/10/2021	OTHER PROGRAM AREA, One Year Subscription Agreemen	25,000
Pivotal 180, LLC	10/6/2021	NEW YORK GREEN BANK, NYGB New Hire Course	30,000
	3/17/2022	NEW YORK GREEN BANK, FinOps Financial Model Review	5,000
Plugin Stations Online, LLC	12/15/2021	Electric Vehicles - Innovation, EVSE at schools demo	150,001
PlugPV, LLC	10/5/2021	<200KW PV, PON 2112 NY SUN	6,902
	10/13/2021	<200KW PV, PON 2112 NY SUN	5,236
	10/18/2021	<200KW PV, PON 2112 NY SUN	5,355
	10/20/2021	<200KW PV, PON 2112 NY SUN	5,593
	10/22/2021	<200KW PV, NY-Sun	11,152
	11/1/2021	<200KW PV, PON 2112 NY SUN	5,117
	11/2/2021	<200KW PV, PON 2112 NY SUN	8,750
	11/16/2021	<200KW PV, PON 2112 NY SUN	5,236
	11/24/2021	<200KW PV, PON 2112 NY SUN	5,474
	11/26/2021	<200KW PV, PON 2112 NY SUN	9,632
	12/1/2021	<200KW PV, PON 2112 NY SUN	5,712
	12/8/2021	<200KW PV, PON 2112 NY SUN	6,188

Contracts Executed

Period 10/1/2021 through 3/31/2022

Contractor	Date Encumbered	Contract Description	Total Contract Amount
PlugPV, LLC	12/9/2021	<200KW PV, PON 2112 NY SUN	7,378
	12/10/2021	<200KW PV, PON 2112 NY SUN	12,754
	12/15/2021	<200KW PV, NY-Sun	8,432
	12/16/2021	<200KW PV, PON 2112 NY SUN	13,566
	12/22/2021	<200KW PV, PON 2112 NY SUN	5,712
	1/6/2022	<200KW PV, PON 2112 NY SUN	27,800
	1/7/2022	<200KW PV, PON 2112 NY SUN	18,800
	1/10/2022	<200KW PV, PON 2112 NY SUN	10,200
	1/11/2022	<200KW PV, PON 2112 NY SUN	6,800
	1/12/2022	<200KW PV, PON 2112 NY SUN	5,400
	1/13/2022	<200KW PV, PON 2112 NY SUN	7,200
	1/14/2022	<200KW PV, PON 2112 NY SUN	8,400
	1/17/2022	<200KW PV, PON 2112 NY SUN	30,200
	1/18/2022	<200KW PV, PON 2112 NY SUN	35,020
	1/19/2022	<200KW PV, PON 2112 NY SUN	44,710
	1/20/2022	<200KW PV, PON 2112 NY SUN	17,390
	1/21/2022	<200KW PV, PON 2112 NY SUN	12,000
	1/24/2022	<200KW PV, PON 2112 NY SUN	23,080
	1/25/2022	<200KW PV, PON 2112 NY SUN	22,820
	1/26/2022	<200KW PV, PON 2112 NY SUN	44,070
	1/27/2022	<200KW PV, PON 2112 NY SUN	19,960
	1/28/2022	<200KW PV, PON 2112 NY SUN	6,460
	1/31/2022	<200KW PV, PON 2112 NY SUN	17,300
	2/1/2022	<200KW PV, PON 2112 NY SUN	13,920
	2/2/2022	<200KW PV, PON 2112 NY SUN	11,000
	2/3/2022	<200KW PV, PON 2112 NY SUN	5,600
	2/4/2022	<200KW PV, PON 2112 NY SUN	6,970
	2/7/2022	<200KW PV, PON 2112 NY SUN	7,820
	2/8/2022	<200KW PV, PON 2112 NY SUN	11,800
	2/10/2022	<200KW PV, PON 2112 NY SUN	10,800
	2/11/2022	<200KW PV, PON 2112 NY SUN	5,000
	2/15/2022	<200KW PV, PON 2112 NY SUN	21,300
	2/16/2022	<200KW PV, PON 2112 NY SUN	14,000
	2/22/2022	<200KW PV, PON 2112 NY SUN	6,600
	2/28/2022	<200KW PV, PON 2112 NY SUN	30,750
	3/1/2022	<200KW PV, NY-Sun	7,344
		<200KW PV, PON 2112 NY SUN	18,800
	3/2/2022	<200KW PV, PON 2112 NY SUN	14,800
	3/4/2022	<200KW PV, NY-Sun	16,320
	3/7/2022	<200KW PV, PON 2112 NY SUN	6,600
	3/8/2022	<200KW PV, PON 2112 NY SUN	6,000
3/9/2022	<200KW PV, PON 2112 NY SUN	13,600	
3/10/2022	<200KW PV, PON 2112 NY SUN	9,660	
3/14/2022	<200KW PV, PON 2112 NY SUN	7,200	
3/15/2022	<200KW PV, PON 2112 NY SUN	7,820	
3/16/2022	<200KW PV, PON 2112 NY SUN	32,200	
3/17/2022	<200KW PV, PON 2112 NY SUN	7,800	
3/18/2022	<200KW PV, PON 2112 NY SUN	4,800	
3/21/2022	<200KW PV, PON 2112 NY SUN	12,400	
3/23/2022	<200KW PV, PON 2112 NY SUN	18,400	
3/25/2022	<200KW PV, PON 2112 NY SUN	24,200	
3/29/2022	<200KW PV, PON 2112 NY SUN	26,400	
3/30/2022	<200KW PV, PON 2112 NY SUN	18,800	
3/31/2022	<200KW PV, PON 2112 NY SUN	5,800	
Plymouth Gardens, Inc.	10/18/2021	Multifam Performance Pgm, Multifamily	161,000
	11/29/2021	Tech Assistanc Multifamily LMI, FT13971 - 1400 S Plymouth -P..	10,000

Contracts Executed

Period 10/1/2021 through 3/31/2022

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Point and Ravine, LLC	10/6/2021	New Construction Housing, NCP Housing	146,000
Popli, Architecture + Engineering & LS,	10/5/2021	Code to Zero, TWO #1	17,000
Potentia Management Group LLC	10/25/2021	Talent Pipeline:CE and OJT, OJT	8,000
Power Advisory LLC	11/2/2021	REC:CES REC System Dev Costs, Inform LSR Energy Forecast	24,000
Power Guru, LLC	12/6/2021	<200KW PV, PON 2112 NY SUN	5,712
Power to Hydrogen LLC	3/24/2022	Energy Storage Tech/Prod Dev, PON4169 Round #1	100,000
PowerGEM, LLC	3/17/2022	REC:CES REC System Dev Costs, Transmission Services on D..	128,571
Pratt Institute	10/13/2021	NYCH: District, PON 4614 Round #1 Pratt	75,879
	2/2/2022	Talent Pipeline:CE and OJT, OJT	14,067
Premier Solar Solutions LLC	11/29/2021	>200KW PV, PON 2112 NY SUN	45,880
	1/4/2022	<200KW PV, NY-Sun	26,280
		>200KW PV, NY-Sun	6,570
	1/6/2022	<200KW PV, NY-Sun	22,680
		>200KW PV, NY-Sun	5,670
	1/10/2022	<200KW PV, NY-Sun	25,920
		>200KW PV, NY-Sun	6,480
	1/13/2022	<200KW PV, NY-Sun	33,480
		>200KW PV, NY-Sun	8,370
Pro Custom Solar LLC	10/4/2021	<200KW PV, PON 2112 NY SUN	5,826
	2/10/2022	<200KW PV, PON 2112 NY SUN	7,380
ProsumerGrid, Inc	1/3/2022	High Performing Grid, Integrated EV & DER Forecast	1,346,470
Protek Information Technology Services	11/22/2021	NYSERDA/DEC AQ Monitoring	7,949,375
Providence Housing Development Corp	3/31/2022	New Construction Housing, NCP Housing	388,000
Public Utility Law Project of New York	12/14/2021	SFY 20-21 PULP Appropriation	900,000
Pure Point Energy	10/21/2021	<200KW PV, PON 2112 NY SUN	5,292
Quanta Technology LLC	3/17/2022	REC:CES REC System Dev Costs, Transmission Services-on-D..	128,571
QwikSolar, LLC	10/26/2021	<200KW PV, PON 2112 NY SUN	5,719
	12/22/2021	<200KW PV, PON 2112 NY SUN	6,048
Radiator Labs Inc.	3/4/2022	Cleantech Ignition, PON4534 NY Climate Progress R1	500,000
Radix Ecological Sustainability Center	12/29/2021	Talent Pipeline:CE and OJT, Climate Justice Fellow PON4772	40,000
Ramboll Americas Engineering Solutions,	12/3/2021	Real Time Enrgy Management, Ramboll - 4815 Ellicott Street	63,192
	1/10/2022	NYCH: District, PON4614 Round #2 Oneonta Rail	100,000
	1/11/2022	NYCH: District, PON 4614 Round #2 SUNY Oneonta	93,749
Randstad North America, Inc.	10/13/2021	Code to Zero, Payroll Services_CPS	12,600
	10/19/2021	NYSERDA ADMINISTRATION, Payroll Services_Web Ops	2,535
	10/20/2021	Code to Zero, Payroll Services_Market Dev	12,600
	10/22/2021	NEW YORK GREEN BANK, Payroll Services_NYGB_intern	5,772
	11/17/2021	ENERGY ANALYSIS, Data and Markets Intern	21,548
	12/15/2021	NYSERDA ADMINISTRATION, Payroll Services	205,234
	1/26/2022	NYSERDA ADMINISTRATION, PS.063 - Statistics_Intern	21,548
	2/3/2022	Clean Energy Communities, Payroll Services - Communities	21,548
	2/17/2022	Home Perf w Energy Star, Payroll Services	60,000
RCAM Technologies, Inc.	3/30/2022	Energy Storage Tech/Prod Dev, PON4169 Round #1	1,220,000
RE-Nuble, Inc.	2/3/2022	Cleantech Ignition, NY Climate Progress R2	500,000
Re:Vision Architecture, Inc.	2/11/2022	Buildings of Excellence, BoE Rnd. 2 - DTL Great Oaks	150,000
Reed Midem SAS	12/10/2021	RTEM and Tenants, 2021 Propel NYC Conf	10,000
Renewable Energy Shared Assets LLC	1/14/2022	NYESD: OREC Complete Guarantee, ESD Agreements for OS..	40,000,000
Renewable Rochester LLC	10/5/2021	<200KW PV, PON 2112 NY SUN	7,560
	10/8/2021	<200KW PV, PON 2112 NY SUN	5,544
	10/14/2021	<200KW PV, PON 2112 NY SUN	11,760
	12/2/2021	<200KW PV, PON 2112 NY SUN	13,104
	1/10/2022	<200KW PV, PON 2112 NY SUN	6,460
	2/14/2022	<200KW PV, PON 2112 NY SUN	16,040
	2/15/2022	<200KW PV, PON 2112 NY SUN	6,080
	3/1/2022	<200KW PV, PON 2112 NY SUN	7,220
	3/3/2022	<200KW PV, PON 2112 NY SUN	5,510

Contracts Executed

Period 10/1/2021 through 3/31/2022

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Renovus Energy, Inc.	12/8/2021	<200KW PV, PON 2112 NY SUN	12,758
	12/13/2021	<200KW PV, PON 2112 NY SUN	7,088
	1/6/2022	<200KW PV, PON 2112 NY SUN	10,125
	1/10/2022	<200KW PV, PON 2112 NY SUN	24,450
	3/10/2022	<200KW PV, PON 2112 NY SUN	9,840
Rensselaer Polytechnic Institute-LRC	12/3/2021	NYCH: Innovation, RPI 3D Printed Insulation Asse	50,000
Reos US Inc.	10/27/2021	Commercial Real Estate Ten, Playbook Planning and Developm	50,000
Research Foundation of CUNY	12/22/2021	Rmve Barriers Dist Enrgy Storg, RFP 3407 TWO 3	392,784
	2/10/2022	Environmental Research, AQHE PON 3921	45,000
Research Foundation of SUNY	11/30/2021	Workforce Industry Partnership, PON 3715 BOM Training	397,637
Resource Refocus LLC	10/5/2021	Code to Zero, TWO 1	12,000
	1/14/2022	Code to Zero, TWO 2 NYStretch Res CE	41,782
Resource Systems Group, Inc.	12/15/2021	CLEAN TRANSPORTATION, Modeling support for TAP	1,608
Responsible Offshore Development Alli..	12/30/2021	Environmental Research, ENV & Fisheries Rsrch for OSW	25,000
Revel Transit, Inc.	3/7/2022	EVPRZ:Community Partner Funds, Prize planning grant - Revel	50,000
		EVPRZ:Planning Grants, Prize planning grant - Revel	100,000
RHM Inc.	1/20/2022	RENEWABLE HEAT NY, Biomass Boiler - Stretton	16,000
Richair Mechanical Inc.	12/7/2021	NYCH: Talent Ppln:CE and OJT, OJT	45,360
	12/22/2021	Talent Pipeline:CE and OJT, OJT	25,200
	2/8/2022	NYCH: Talent Ppln:CE and OJT, OJT	10,080
	3/9/2022	NYCH: Talent Ppln:CE and OJT, OJT	15,120
	3/15/2022	Talent Pipeline:CE and OJT, OJT	10,080
	3/22/2022	NYCH: Talent Ppln:CE and OJT, OJT	15,120
Ricoh USA Inc	3/28/2022	NYSERDA ADMINISTRATION, Sitecore Web CMS Admin	2,600,000
Rise Housing and Support Services Inc	3/17/2022	New Construction Housing, NCP Housing	240,000
Riseboro Community Partnership, Inc.	12/7/2021	New Construction Housing, NCP Housing	550,000
River Architects, PLLC	3/1/2022	New Construction- Commercial, New Construction	250,000
Riverbend Housing Company Inc.	10/13/2021	Multifam Performance Pgm, Multifamily	436,800
Rivercrest Development Corp.	3/28/2022	Multifam Performance Pgm, Multifamily	2,800
Riverview Towers Inc	10/13/2021	Multifam Performance Pgm, Multifamily	269,500
Robert Ettinger PE, PC	3/10/2022	New Construction Housing, HCR Minibid TWO #1	75,000
Rocera, LLC	3/10/2022	Energy Storage Tech/Prod Dev, PON4169 Round #1	100,000
Rochester District Heating Cooperative	10/19/2021	NYCH: District, PON 4614 Round #2 Rochester	87,857
Rochester Housing Authority	1/3/2022	New Construction Housing, NCP Housing	42,500
		Single Family New Construction, NCP Housing	9,000
Rochester Institute of Technology	2/28/2022	New Construction- Commercial, Commercial New Construction	7,350
Rochester People's Climate Coalition	12/29/2021	Talent Pipeline:CE and OJT, Climate Justice Fellow PON4772	40,000
Rockhill Management LLC	12/15/2021	Technical Services, OsEM81-C - Rockhill Managment	163,992
Rocky Mountain Institute	12/8/2021	New Construction Housing, TWO6-HCREnergyGrants as Source	50,000
Rome Housing Authority	11/9/2021	New Construction Housing, NCP Housing	296,000
	3/23/2022	Buildings of Excellence, BoE Rnd. 2 - Colonial II Apts.	850,000
Rose Capital, LLC	3/17/2022	Empire Building Challenge, EBC-Phase I-JRCo	125,000
		NYCH: Empire Build Challenge, EBC-Phase I-JRCo	125,000
Rosenblum Property Services, LLC	12/28/2021	SARATOGA TECHNOLOGY & ENERGY PARK, STEP PM Con..	404,958
Rouse RPC	10/18/2021	Multifam Performance Pgm, Multifamily	60,200
	11/24/2021	Tech Assistanc Multifamily LMI, FT13951 - 1-9 Country - PON	10,000
RTH Realty Holdings LLC	3/18/2022	Net Zero Energy for Eco Dev, New Construction CNPD	1,331,957
Rudin Management Co. Inc.	11/11/2021	Empire Building Challenge, EBC TA - Rudin	125,000
		NYCH: Empire Build Challenge, EBC TA - Rudin	125,000
Ruppert Housing Company, Inc.	2/10/2022	Multifam Performance Pgm, Multifamily	456,400
Rural Generation & Wind (Rodney Wea..	11/4/2021	<200KW PV, PON 2112 NY SUN	11,172
Rural Housing Coalition of New York	2/17/2022	Workforce Industry Partnership, PON 3715 (R8) BOM	95,372
Rural Housing Opportunities Corp.	12/10/2021	New Construction Housing, NC - Housing Program	48,400
Rural Ulster Preservation Company	10/4/2021	New Construction Housing, 2019 LRNCP	32,000
Ruth Horton	11/3/2021	Eval MCDC: CEF Plan Support, Senior Advisor Services	9,750
RXR Realty LLC	3/8/2022	Technical Services, OsEM88-C - RXR Realty 1	214,000

Contracts Executed

Period 10/1/2021 through 3/31/2022

Contractor	Date Encumbered	Contract Description	Total Contract Amount
RXR Realty LLC	3/8/2022	Technical Services, OsEM89-C - RXR Realty 2	214,000
	3/23/2022	Technical Services, OsEM90-C - RXR Realty 3	213,751
Ryan Homes (Virginia)	10/4/2021	Single Family New Construction, NCP Housing	13,800
	10/15/2021	Single Family New Construction, NCP Housing	10,800
	11/15/2021	Single Family New Construction, NCP Housing	11,400
	3/17/2022	Single Family New Construction, NCP Housing	12,000
Salina 1st LLC	2/3/2022	Net Zero Energy for Eco Dev, Net Zero Economic Development	1,000,000
Same Sun of Vermont, Inc	3/14/2022	<200KW PV, PON 2112 NY SUN	12,789
SANFILIPPO SOLUTIONS INC.	10/26/2021	Talent Pipeline:CE and OJT, OJT	5,760
	10/28/2021	Talent Pipeline:CE and OJT, OJT	12,800
	3/21/2022	OJT	5,760
SBMT Asset LLC	1/14/2022	NYESD: OREC Complete Guarantee, Grant Agreement for OS..	60,000,000
Sealed New York I, LLC	12/21/2021	NY Green Bank, Sealed \$10.00 MM upsize	10,000,000
Seaview Estates Preservation L.P.	3/8/2022	Multifam Performance Pgm, Multifamily	221,200
Second Lenox Terrace Associates LLC	12/31/2021	Multifam Performance Pgm, Multifamily	14,300
SecondMuse LLC	1/4/2022	M-Corps, MCorps Pilot in NYC	1,103,834
Sense Labs, Inc.	3/2/2022	NYCH: Technical Assistance, Single Family Residential	197,600
Services for the Underserved	10/27/2021	New Construction Housing, NCP Housing	450,000
Shared Mobility, Inc.	1/4/2022	Talent Pipeline:CE and OJT, Climate Justice Fellow PON4772	40,000
Sheland Farms LLC	2/4/2022	Anaerobic Digesters, PON 3739 CAT C	277,750
SHI, Inc.	10/29/2021	NYSERDA ADMINISTRATION, Software-Defined Network (SD..	76,813
	12/21/2021	NYSERDA ADMINISTRATION, Logitech Rallybars and access	15,112
	12/29/2021	NYSERDA ADMINISTRATION, Surface Laptops for Exec. - 5	7,425
	1/31/2022	NYSERDA ADMINISTRATION, ER/Studio Support 22 – 23	18,930
	2/14/2022	NYSERDA ADMINISTRATION, SilverPeak SDWAN Expansion	119,367
	3/17/2022	NYSERDA ADMINISTRATION, Surface Laptop 4 laptops - 5 m	7,361
	3/28/2022	NYSERDA ADMINISTRATION, Tableau Desktop Maintenance 1	90,354
Siemens Industry, Inc.	12/20/2021	REC4:CES REC4 Tech Support, TWO#3 ZERO EMISSIONS IN..	141,000
	3/1/2022	High Performing Grid, Load forecasting & impact asmt	741,000
	3/17/2022	REC:CES REC System Dev Costs, Transmission Services on D..	128,571
Sigora Solar	11/8/2021	<200KW PV, PON 2112 NY SUN	7,434
	1/24/2022	<200KW PV, PON 2112 NY SUN	36,275
	1/26/2022	<200KW PV, PON 2112 NY SUN	4,745
	2/2/2022	<200KW PV, PON 2112 NY SUN	6,000
	2/17/2022	<200KW PV, PON 2112 NY SUN	6,600
	2/23/2022	<200KW PV, PON 2112 NY SUN	13,850
	3/14/2022	<200KW PV, PON 2112 NY SUN	600
	3/21/2022	<200KW PV, PON 2112 NY SUN	5,320
	3/31/2022	<200KW PV, PON 2112 NY SUN	455
Simple Integrity LLC	12/15/2021	New Construction Housing, NCP Housing	29,900
Singlebrook Technology Inc.	2/2/2022	Talent Pipeline:CE and OJT, C/JF Program Support	130,000
		Talent Pipeline:Internship Pgm, C/JF Program Support	100,000
Sitecore USA, Inc.	3/28/2022	NYSERDA ADMINISTRATION, Sitecore CMS Software 1 year	24,750
Sive Paget & Riesel PC	10/29/2021	NEW YORK GREEN BANK, RFP 12: NYGB Legal Services	36,036
	11/22/2021	RFP 12: NYGB Legal Services	4,935
	12/10/2021	NEW YORK GREEN BANK, RFP 12: NYGB Legal Services	3,312
	12/30/2021	REC4:CES REC4 Tech Support, Tier 4 Outside Counsel Support	325,000
	1/21/2022	WEST VALLEY DEVELOPMENT PROGRAM, TWO 1 - West V..	15,000
	2/15/2022	NEW YORK GREEN BANK, RFP 12: NYGB Legal Services	10,275
	3/17/2022	OTHER PROGRAM AREA, TWO 2 - Antitrust Federal Proc	2,500
Sixth Lenox Terrace Associates LLC	12/31/2021	Multifam Performance Pgm, Multifamily	14,150
SkyFront Corporation	11/11/2021	OTHER PROGRAM AREA, RPAS procurement	105,980
Smart Home Energy Source	12/6/2021	<200KW PV, NY-Sun	8,176
Smith Engineering PLLC	10/21/2021	Technical Services, FT13698 - 225 Liberty - FTC	48,126
		Technical Services, FT13699 - 250 Vesey - FTC	46,522
	11/3/2021	Technical Services, FT13696 - 680 5th - FTC	76,562

Contracts Executed
Period 10/1/2021 through 3/31/2022

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Smith Engineering PLLC	11/10/2021	Technical Services, FT13697 - 1 Liberty - FTC	129,626
	11/12/2021	Technical Services, FT13703 - 20 Hudson - FTC	106,912
	11/15/2021	Technical Services, FT13706 - 55 Hudson - FTC	67,406
	11/19/2021	Technical Services, FT13700 - 1 New York - FTC	128,622
	11/22/2021	Technical Services, FT13702 - 10 Hudson - FTC	77,648
		Technical Services, FT13704 - 30 Hudson - FTC	72,296
		Technical Services, FT13705 - 35 Hudson - FTC	72,386
	11/23/2021	Technical Services, FT13708 - 60 Columbus - FTC	89,990
	1/19/2022	Technical Services, FT14041 - 55 E 59th - FTC	22,691
	3/7/2022	Technical Services, FT14040 - 1114 6th - FTC	68,306
	3/8/2022	Technical Services, FT14049 - 5 Bryant - FTC	83,778
	Snug Planet, LLC	10/28/2021	NYCH: Talent Ppln:CE and OJT, OJT
Talent Pipeline:CE and OJT, OJT			6,400
11/9/2021		Talent Pipeline:CE and OJT, OJT	9,600
11/18/2021		NYCH: Talent Ppln:CE and OJT, OJT	9,600
		Talent Pipeline:CE and OJT, OJT	6,400
11/30/2021		Talent Pipeline:CE and OJT, OJT	9,120
12/22/2021		NYCH: Talent Ppln:CE and OJT, OJT	14,040
		Talent Pipeline:CE and OJT, OJT	6,400
2/2/2022		Talent Pipeline:CE and OJT, OJT	6,400
2/24/2022		Talent Pipeline:CE and OJT, OJT	6,080
3/15/2022		OJT	9,600
Sol Customer Solutions LLC	12/3/2021	ESTOR:Retail Storage Incentive, Retail Storage	2,625,000
SOLANTA CORP	10/7/2021	>200KW PV, PON 2112 NY SUN	5,796
	10/28/2021	Talent Pipeline:CE and OJT, OJT	15,360
	11/5/2021	Talent Pipeline:CE and OJT, OJT	15,360
	11/9/2021	Talent Pipeline:CE and OJT, OJT	30,720
	11/16/2021	Talent Pipeline:CE and OJT, OJT	15,360
	3/10/2022	>200KW PV, PON 2112 NY SUN	28,224
Solar Energy Systems, LLC	12/3/2021	<200KW PV, NY-Sun	218,412
		>200KW PV, NY-Sun	31,228
	1/3/2022	<200KW PV, NY-Sun	72,072
		>200KW PV, NY-Sun	30,888
	1/25/2022	<200KW PV, NY-Sun	43,120
	>200KW PV, NY-Sun	10,780	
Solar Liberty Energy Systems, Inc	10/1/2021	<200KW PV, PON 2112 NY SUN	6,125
	10/7/2021	<200KW PV, PON 2112 NY SUN	8,568
	10/12/2021	<200KW PV, PON 2112 NY SUN	15,176
	10/15/2021	<200KW PV, PON 2112 NY SUN	10,626
	10/26/2021	<200KW PV, NY-Sun	5,184
		<200KW PV, PON 2112 NY SUN	9,777
	11/4/2021	<200KW PV, PON 2112 NY SUN	8,624
	11/8/2021	<200KW PV, NY-Sun	8,976
		<200KW PV, PON 2112 NY SUN	8,694
	11/10/2021	<200KW PV, PON 2112 NY SUN	5,292
	11/16/2021	>200KW PV, NY Sun	779,328
	11/18/2021	<200KW PV, PON 2112 NY SUN	6,552
	11/29/2021	<200KW PV, NY-Sun	6,912
	12/3/2021	<200KW PV, NY-Sun	13,824
	1/4/2022	<200KW PV, PON 2112 NY SUN	5,760
	1/5/2022	<200KW PV, PON 2112 NY SUN	24,500
	1/6/2022	<200KW PV, PON 2112 NY SUN	20,190
	1/7/2022	<200KW PV, PON 2112 NY SUN	31,310
	1/11/2022	<200KW PV, PON 2112 NY SUN	12,500
	1/12/2022	<200KW PV, PON 2112 NY SUN	5,400
1/13/2022	<200KW PV, PON 2112 NY SUN	6,660	

Contracts Executed

Period 10/1/2021 through 3/31/2022

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Solar Liberty Energy Systems, Inc	1/14/2022	<200KW PV, PON 2112 NY SUN	7,140
	1/19/2022	<200KW PV, PON 2112 NY SUN	5,940
	1/26/2022	<200KW PV, NY-Sun	9,408
	2/7/2022	<200KW PV, PON 2112 NY SUN	11,730
	2/15/2022	<200KW PV, PON 2112 NY SUN	58,793
	2/17/2022	<200KW PV, PON 2112 NY SUN	5,400
	2/22/2022	<200KW PV, PON 2112 NY SUN	22,680
	2/28/2022	<200KW PV, PON 2112 NY SUN	19,800
	3/7/2022	<200KW PV, PON 2112 NY SUN	5,040
	3/8/2022	<200KW PV, PON 2112 NY SUN	272,426
	3/10/2022	<200KW PV, NY-Sun	27,265
	3/11/2022	<200KW PV, PON 2112 NY SUN	7,560
	3/18/2022	<200KW PV, PON 2112 NY SUN	9,240
	3/24/2022	<200KW PV, PON 2112 NY SUN	6,120
	3/25/2022	<200KW PV, PON 2112 NY SUN	10,620
Solar Tompkins Inc.	2/8/2022	Community RH&C, CH&C Communities Round 3	25,000
SOLAR TROUPSBURG LLC	10/12/2021	>200KW PV, NY-Sun C/I Assignment	1,407,672
Solar Village Company LLC	10/13/2021	New Construction Housing, NCP Housing	28,000
SolarCommunities Inc.	10/4/2021	<200KW PV, PON 2112 NY SUN	18,879
	10/21/2021	<200KW PV, PON 2112 NY SUN	5,698
	10/25/2021	<200KW PV, PON 2112 NY SUN	5,481
	11/1/2021	<200KW PV, PON 2112 NY SUN	16,464
	11/11/2021	<200KW PV, PON 2112 NY SUN	8,750
	11/23/2021	<200KW PV, PON 2112 NY SUN	5,481
	12/27/2021	<200KW PV, PON 2112 NY SUN	46,102
	1/10/2022	<200KW PV, PON 2112 NY SUN	18,802
	1/11/2022	<200KW PV, PON 2112 NY SUN	588
	1/12/2022	<200KW PV, PON 2112 NY SUN	6,960
	1/13/2022	<200KW PV, PON 2112 NY SUN	18,690
	1/14/2022	<200KW PV, PON 2112 NY SUN	12,305
	1/17/2022	<200KW PV, PON 2112 NY SUN	13,680
	1/21/2022	<200KW PV, PON 2112 NY SUN	26,316
	1/31/2022	<200KW PV, PON 2112 NY SUN	24,670
	2/10/2022	<200KW PV, PON 2112 NY SUN	10,840
	2/14/2022	<200KW PV, PON 2112 NY SUN	9,240
	2/16/2022	<200KW PV, PON 2112 NY SUN	8,100
	2/17/2022	<200KW PV, PON 2112 NY SUN	8,265
	3/7/2022	<200KW PV, PON 2112 NY SUN	6,270
	3/14/2022	<200KW PV, PON 2112 NY SUN	12,180
	3/15/2022	<200KW PV, PON 2112 NY SUN	25,230
	3/18/2022	<200KW PV, PON 2112 NY SUN	6,840
	3/21/2022	<200KW PV, PON 2112 NY SUN	12,500
	3/22/2022	<200KW PV, PON 2112 NY SUN	5,890
	3/25/2022	<200KW PV, PON 2112 NY SUN	8,265
	3/28/2022	<200KW PV, PON 2112 NY SUN	5,890
Solitude Solar LLC	12/1/2021	NY-SUN, NY-Sun ICSA	1,501,500
	2/14/2022	NY-SUN, NY-Sun - ICSA	524,064
Soltage, LLC	10/25/2021	ESTOR:Retail Storage Incentive, Retail Storage	1,500,000
Soulful Synergy, LLC	1/10/2022	Talent Pipeline:CE and OJT, Climate Justice Fellow PON4772	40,000
	1/12/2022	Talent Pipeline:CE and OJT, Climate Justice Fellow PON4772	40,000
South Colonie Central School District	1/28/2022	Technical Services, OsEM86-C - South Colonie CSD	110,000
Spring Valley Preservation Limited Partn	1/25/2022	Multifam Performance Pgm, Multifamily	154,000
St. Lawrence-Lewis Boces	10/12/2021	Talent Pipeline:CE and OJT, Zero Emission Vehicle Training	24,966
St. Nicks Alliance	10/21/2021	NYCH: Talent Ppln:CE and OJT, Career Pathway HVAC/Heat P..	504,466
	2/24/2022	Buildings of Excellence, BoE Rnd. 2 - Dekalb Commons	850,000
	3/4/2022	Retrofit NY, RetrofitNY St. Nick's Alliance	50,000

Contracts Executed

Period 10/1/2021 through 3/31/2022

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Standard Insulating Company	10/5/2021	Talent Pipeline:CE and OJT, OJT HIRE	19,200
Stantec Consulting Services, Inc.	10/26/2021	WEST VALLEY DEVELOPMENT PROGRAM, WVSMP ENV. S..	29,690
	3/16/2022	WEST VALLEY DEVELOPMENT PROGRAM, WVSMP ENV. S..	562,072
State University Construction Fund	1/10/2022	NYCH: Technical Assistance, FT13821 - SUNY Cortland - FTC	236,247
		NYCH: Technical Assistance, FT13823 - SUNY Brockport - FTC	207,364
		NYCH: Technical Assistance, FT13824 - SUNY New Paltz - FTC	251,996
		NYCH: Technical Assistance, FT13826 - SUNY Potsdam - FTC	234,085
		NYCH: Technical Assistance, FT13829 - SUNY Buffalo - FTC	227,352
		NYCH: Technical Assistance, FT13830 - SUNY Geneseo - FTC	178,079
		NYCH: Technical Assistance, FT13832 - SUNY Empire - FTC	48,093
		Technical Services, FT13831 - SUNY Fredonia - FTC	238,771
		Technical Services, FT13833 - SUNY Medical - FTC	500,000
		Technical Services, FT13834 - SUNY Polytech - FTC	58,770
		Technical Services, FT13835 - SUNY Cobleskill -FTC	107,313
		Technical Services, FT13836 - SUNY Delhi - FTC	146,365
		Technical Services, FT13837 - SUNY Albany - FTC	441,374
		Technical Services, FT13838 - SUNY Canton - FTC	80,076
		Technical Services, FT13839 - SUNY Alfred - FTC	110,379
		Technical Services, FT13840 - SUNY Ceramics - FTC	46,306
	1/11/2022	Technical Services, FT13825 - SUNY Admin - FTC	56,684
Staten Island Economic Development C..	2/22/2022	NY-SUN, Staten Island Solar Master Pla	125,000
Steed Energy LLC	11/29/2021	<200KW PV, PON 2112 NY SUN	8,453
	11/30/2021	<200KW PV, PON 2112 NY SUN	5,670
	1/25/2022	<200KW PV, PON 2112 NY SUN	12,075
Steuben Churchpeople Against Poverty..	2/14/2022	New Construction Housing, NCP Housing	42,000
Steven Winter Associates, Inc.	10/5/2021	Code to Zero, NYStretch 2023 Working Group	15,000
		NYCH: Technical Assistance, FT13548 - 82 Beaver - FTC	19,875
		NYCH: Technical Assistance, FT13557 - 39-60 54th - FTC	20,000
		NYCH: Technical Assistance, FT13574 - 309-311 W 118th - MF	12,750
		NYCH: Technical Assistance, FT13575 - 440 Kent - MF	25,000
		NYCH: Technical Assistance, FT13578 - 111 W. 67th - FTC	25,000
	10/14/2021	Workforce Industry Partnership, PON 3715 (R6) BOM	140,591
	10/21/2021	NYCH: Technical Assistance, FT13723 - 245 Sullivan - FTC	37,584
		NYCH: Technical Assistance, FT13724 - 40 Washington - FTC	45,781
	11/2/2021	NYCH: Technical Assistance, FT13655 - 2652 Cropsey - FTC	22,000
	11/3/2021	NYCH: Technical Assistance, FT13656 - 300 E. 33rd - FTC	30,806
		NYCH: Technical Assistance, FT13657 - 2165 Brigham - FTC	35,000
		NYCH: Technical Assistance, FT13658 - 2250 Brigham - FTC	33,000
	11/8/2021	NYCH: Technical Assistance, FT13659 - 201 W. 72nd - FTC	25,000
	11/9/2021	NYCH: Technical Assistance, FT13660 - 500 W. 43rd - FTC	30,000
		NYCH: Technical Assistance, FT13661 - 26-25 141st - FTC	30,000
		NYCH: Technical Assistance, FT13663 - 212 Fifth - FTC	25,000
		NYCH: Technical Assistance, FT13665 - 30 W. 61st - FTC	20,541
	11/22/2021	NYCH: Technical Assistance, FT13713 - 515 E. 72nd - FTC	19,875
	11/23/2021	Real Time Enrgy Management, Steven Winter - 1880 Bathgate	124,752
	11/24/2021	NYCH: Critical Tools, TWO 3 - Heat Pump Pattern Book	100,000
		NYCH: Technical Assistance, FT13626 - 45 E 89th - FTC	20,480
		NYCH: Technical Assistance, FT13666 - 43-34 Union - FTC	20,000
		NYCH: Technical Assistance, FT13667 - 225 Fifth - FTC	19,875
		NYCH: Technical Assistance, FT13668 - 175-191 Willough-FTC	30,000
		NYCH: Technical Assistance, FT13669 - 325 Lexington - FTC	20,541
		NYCH: Technical Assistance, FT13670 - 153 East 57th - FTC	20,000
		NYCH: Technical Assistance, FT13672 - 509 Pacific - FTC	12,350
		NYCH: Technical Assistance, FT13673 - 40 East 94th - FTC	20,541
		NYCH: Technical Assistance, FT13674 - 1355 First Ave - FTC	25,000
		NYCH: Technical Assistance, FT13675 - 20 West 53rd - FTC	37,000

Contracts Executed
Period 10/1/2021 through 3/31/2022

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Steven Winter Associates, Inc.	11/24/2021	NYCH: Technical Assistance, FT13676 - 99-32 66th - FTC	25,000
		NYCH: Technical Assistance, FT13677 - 414 East 52nd - FTC	30,909
		NYCH: Technical Assistance, FT13678 - 55 Wall - FTC	40,000
		NYCH: Technical Assistance, FT13679 - 86-15 Broadway - FTC	20,000
		NYCH: Technical Assistance, FT13709 - 399 E. 72nd - FTC	20,541
		NYCH: Technical Assistance, FT13710 - 944 Park Ave	12,750
		NYCH: Technical Assistance, FT13711 - 243 W. End - FTC	20,000
		NYCH: Technical Assistance, FT13712 - 150 E. 61st - FTC	22,000
		NYCH: Technical Assistance, FT13715 - 220 E. 42nd - FTC	23,800
		NYCH: Technical Assistance, FT13763 - 235 W 108th - FTC	9,700
		NYCH: Technical Assistance, FT13766 - 250 W. 42nd - FTC	28,500
		NYCH: Technical Assistance, FT13855 - 1107 5th - FTC	20,000
		Technical Services, FT13933 - 6702 Ridge - FTC	5,500
	11/30/2021	NYCH: Technical Assistance, FT13941 - 304 W 89th - FTC	7,750
	12/31/2021	NYCH: Technical Assistance, FT13664 - 200 E. 90th - FTC	20,000
2/22/2022	Housing Agencies Support, Multifamily	69,474	
3/2/2022	Code to Zero, TWO #5 ANSI IECC NYStretch2023	250,000	
STRATCO PROPERTY GROUP INC	10/18/2021	Multifam Performance Pgm, Multifamily	406,000
	10/25/2021	Multifam Performance Pgm, Multifamily	47,600
	12/7/2021	Multifam Performance Pgm, Multifamily	261,800
	1/26/2022	NYCH: Talent Ppln:CE and OJT, OJT	12,960
Stuart Alexander and Associates	10/12/2021	New Construction Housing, 2019 LRNCP	98,800
		New Construction Housing, 2020 LRCNP	96,200
Summit Ridge Energy, LLC	10/25/2021	ESTOR:Retail Storage Incentive, Retail Storage	2,668,300
Sun Source Technologies	11/24/2021	<200KW PV, PON 2112 NY SUN	5,187
	12/22/2021	<200KW PV, PON 2112 NY SUN	8,512
	1/12/2022	<200KW PV, PON 2112 NY SUN	6,605
	1/25/2022	<200KW PV, PON 2112 NY SUN	11,360
	1/26/2022	<200KW PV, PON 2112 NY SUN	21,170
	2/3/2022	<200KW PV, PON 2112 NY SUN	9,435
	2/15/2022	<200KW PV, PON 2112 NY SUN	5,365
	2/23/2022	<200KW PV, PON 2112 NY SUN	6,290
	3/18/2022	<200KW PV, PON 2112 NY SUN	6,475
SuNation Solar Systems, Inc.	10/7/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
	10/12/2021	ENERGY STORAGE, PON 2112 NY SUN	18,750
	10/18/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
	10/19/2021	COMMUNITY SOLAR, NY-Sun	3,120
		ENERGY STORAGE, NY-Sun	5,400
	10/29/2021	ENERGY STORAGE, PON 2112 NY SUN	12,500
	11/2/2021	COMMUNITY SOLAR, PON 2112 NY SUN	5,120
		ENERGY STORAGE, PON 2112 NY SUN	6,250
	11/12/2021	ENERGY STORAGE, PON 2112 NY SUN	12,500
	11/19/2021	ENERGY STORAGE, PON 2112 NY SUN	18,750
	11/23/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
	11/26/2021	ENERGY STORAGE, PON 2112 NY SUN	12,500
	12/6/2021	ENERGY STORAGE, PON 2112 NY SUN	12,500
	12/7/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
	12/15/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
	1/12/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	1/14/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	1/21/2022	ENERGY STORAGE, PON 2112 NY SUN	12,500
	1/28/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	2/3/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	2/9/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	2/10/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	2/23/2022	ENERGY STORAGE, PON 2112 NY SUN	12,500

Contracts Executed

Period 10/1/2021 through 3/31/2022

Contractor	Date Encumbered	Contract Description	Total Contract Amount
SuNation Solar Systems, Inc.	3/3/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
	3/24/2022	ENERGY STORAGE, PON 2112 NY SUN	6,250
Sunkeeper Solar LLC	11/15/2021	>200KW PV, PON 2112 NY SUN	18,048
Sunlight Energy Group LLC	10/28/2021	Talent Pipeline:CE and OJT, OJT	6,400
	1/6/2022	Talent Pipeline:CE and OJT, OJT	7,501
	1/26/2022	Talent Pipeline:CE and OJT, OJT	8,640
Sunlight General Capital LLC	10/5/2021	Talent Pipeline:CE and OJT, OJT HIRE	15,360
	1/19/2022	Talent Pipeline:CE and OJT, OJT	15,000
Sunnova Energy Corp	12/15/2021	<200KW PV, PON 2112 NY SUN	6,440
	2/4/2022	<200KW PV, PON 2112 NY SUN	5,382
	2/15/2022	<200KW PV, PON 2112 NY SUN	7,400
	3/3/2022	<200KW PV, PON 2112 NY SUN	5,400
SunPower Capital, LLC	10/4/2021	<200KW PV, NY-Sun	12,960
	10/7/2021	<200KW PV, PON 2112 NY SUN	5,040
	10/15/2021	<200KW PV, NY-Sun	11,772
		<200KW PV, PON 2112 NY SUN	8,750
	10/18/2021	<200KW PV, PON 2112 NY SUN	5,957
	11/2/2021	<200KW PV, NY-Sun	9,648
	11/8/2021	<200KW PV, NY-Sun	10,987
	11/18/2021	<200KW PV, PON 2112 NY SUN	5,000
	12/2/2021	<200KW PV, PON 2112 NY SUN	6,524
	12/7/2021	<200KW PV, NY-Sun	9,418
	12/27/2021	<200KW PV, NY-Sun	10,368
	1/5/2022	<200KW PV, NY-Sun	10,080
		<200KW PV, PON 2112 NY SUN	8,400
	1/6/2022	<200KW PV, PON 2112 NY SUN	5,040
	1/7/2022	<200KW PV, PON 2112 NY SUN	7,521
	1/10/2022	<200KW PV, PON 2112 NY SUN	7,863
	1/12/2022	<200KW PV, PON 2112 NY SUN	5,040
		COMMUNITY SOLAR, PON 2112 NY SUN	5,184
	1/20/2022	<200KW PV, PON 2112 NY SUN	6,480
	1/21/2022	<200KW PV, NY-Sun	12,960
	1/25/2022	<200KW PV, NY-Sun	16,030
	2/2/2022	<200KW PV, NY-Sun	11,520
	2/7/2022	<200KW PV, PON 2112 NY SUN	6,840
	2/8/2022	<200KW PV, PON 2112 NY SUN	10,440
	2/9/2022	<200KW PV, PON 2112 NY SUN	8,075
	2/10/2022	<200KW PV, PON 2112 NY SUN	9,360
	2/14/2022	<200KW PV, NY-Sun	13,248
	2/28/2022	<200KW PV, PON 2112 NY SUN	7,073
	3/2/2022	<200KW PV, PON 2112 NY SUN	8,075
	3/3/2022	<200KW PV, PON 2112 NY SUN	5,400
	3/7/2022	<200KW PV, PON 2112 NY SUN	15,840
	3/10/2022	<200KW PV, NY-Sun	17,568
	3/18/2022	<200KW PV, PON 2112 NY SUN	5,069
3/23/2022	<200KW PV, PON 2112 NY SUN	5,940	
3/24/2022	<200KW PV, PON 2112 NY SUN	13,121	
3/28/2022	<200KW PV, PON 2112 NY SUN	5,760	
3/29/2022	<200KW PV, PON 2112 NY SUN	6,090	
3/31/2022	<200KW PV, PON 2112 NY SUN	11,785	
SunPower SolarProgram 1, LLC	2/28/2022	ESTOR:Retail Storage Incentive, Retail Storage	2,156,280
SUNRISE ELECTRICAL SERVICES	3/10/2022	<200KW PV, NY-Sun	101,024
Sunrise Solar Solutions, LLC	10/19/2021	<200KW PV, PON 2112 NY SUN	5,000
	3/3/2022	<200KW PV, PON 2112 NY SUN	12,240
Sunrun Inc	3/8/2022	NY Green Bank, Sunrun Working Capital Facility	15,000,000
SunRun, Inc	10/7/2021	ENERGY STORAGE, PON 2112 NY SUN	12,500

Contracts Executed

Period 10/1/2021 through 3/31/2022

Contractor	Date Encumbered	Contract Description	Total Contract Amount
SunRun, Inc	10/12/2021	<200KW PV, PON 2112 NY SUN	6,585
	11/1/2021	<200KW PV, PON 2112 NY SUN	5,840
	11/11/2021	<200KW PV, PON 2112 NY SUN	6,088
	11/23/2021	<200KW PV, PON 2112 NY SUN	5,023
	11/24/2021	<200KW PV, PON 2112 NY SUN	6,088
	11/26/2021	<200KW PV, PON 2112 NY SUN	8,687
	12/3/2021	<200KW PV, PON 2112 NY SUN	5,439
	12/8/2021	<200KW PV, PON 2112 NY SUN	5,355
	1/5/2022	<200KW PV, PON 2112 NY SUN	19,565
	1/12/2022	<200KW PV, PON 2112 NY SUN	6,105
	1/25/2022	<200KW PV, PON 2112 NY SUN	6,660
	2/1/2022	<200KW PV, PON 2112 NY SUN	6,205
	2/2/2022	<200KW PV, PON 2112 NY SUN	11,560
	2/3/2022	<200KW PV, PON 2112 NY SUN	24,480
	2/4/2022	<200KW PV, PON 2112 NY SUN	7,480
	2/7/2022	<200KW PV, PON 2112 NY SUN	5,549
	2/8/2022	<200KW PV, PON 2112 NY SUN	5,950
	2/11/2022	<200KW PV, PON 2112 NY SUN	6,460
	2/14/2022	<200KW PV, PON 2112 NY SUN	14,285
	2/22/2022	<200KW PV, PON 2112 NY SUN	36,361
	2/28/2022	<200KW PV, PON 2112 NY SUN	46,009
	3/1/2022	<200KW PV, PON 2112 NY SUN	5,270
	3/2/2022	<200KW PV, PON 2112 NY SUN	5,610
	3/3/2022	<200KW PV, PON 2112 NY SUN	13,981
	3/4/2022	<200KW PV, PON 2112 NY SUN	5,270
	3/7/2022	<200KW PV, PON 2112 NY SUN	11,132
	3/8/2022	<200KW PV, PON 2112 NY SUN	12,243
	3/11/2022	<200KW PV, PON 2112 NY SUN	5,440
	3/14/2022	<200KW PV, PON 2112 NY SUN	17,510
	3/15/2022	<200KW PV, PON 2112 NY SUN	10,200
	3/18/2022	<200KW PV, PON 2112 NY SUN	6,630
	3/21/2022	<200KW PV, PON 2112 NY SUN	26,656
	3/22/2022	<200KW PV, PON 2112 NY SUN	7,770
	3/23/2022	<200KW PV, PON 2112 NY SUN	6,660
	3/24/2022	<200KW PV, PON 2112 NY SUN	5,610
	3/25/2022	<200KW PV, PON 2112 NY SUN	7,001
	3/28/2022	<200KW PV, PON 2112 NY SUN	7,140
	3/29/2022	<200KW PV, PON 2112 NY SUN	6,290
	3/30/2022	<200KW PV, PON 2112 NY SUN	10,922
	3/31/2022	<200KW PV, PON 2112 NY SUN	21,593
Sunwealth Power, Inc.	10/19/2021	<200KW PV, NY-Sun	208,716
		>200KW PV, NY-Sun	43,940
	10/26/2021	<200KW PV, NY-Sun	171,667
		>200KW PV, NY-Sun	36,140
	1/31/2022	<200KW PV, NY-Sun	20,377
		>200KW PV, NY-Sun	4,290
SUNX, LLC	12/30/2021	NY Green Bank, SUNX IX Loan Upsize 1	2,200,000
SUNY - ESF	12/10/2021	Environmental Research, Biofiltration drainage media	49,986
SUNY Binghamton	1/31/2022	Net Zero Energy for Eco Dev, Net Zero Economic Development	5,000,000
SUNY Buffalo	2/28/2022	Commercial New Construc, 2019 CNCP	154,176
		New Construction- Commercial, Commercial New Construction	154,886
	3/30/2022	Safe Deployment of Automated V	200,000
SUNY College of Environmental Scienc..	11/12/2021	Technical Services, OsEM79-C - SUNY ESF	214,000
Surf Clean Energy Inc	10/6/2021	<200KW PV, PON 2112 NY SUN	4,161
	11/24/2021	<200KW PV, NY-Sun	6,248
	11/26/2021	<200KW PV, NY-Sun	8,480

Contracts Executed

Period 10/1/2021 through 3/31/2022

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Surf Clean Energy Inc	12/9/2021	COMMUNITY SOLAR, PON 2112 NY SUN	5,632
	12/13/2021	<200KW PV, PON 2112 NY SUN	4,473
	1/14/2022	<200KW PV, NY-Sun	20,000
	1/20/2022	<200KW PV, NY-Sun	6,808
	2/1/2022	<200KW PV, NY-Sun	12,720
	2/2/2022	<200KW PV, NY-Sun	7,744
Sustainable Comfort, Inc	10/5/2021	Talent Pipeline:CE and OJT, OJT HIRE	6,691
	10/25/2021	New Construction Housing, NCP Housing	20,000
	11/5/2021	New Construction Housing, NCP Housing	6,200
	11/12/2021	New Construction Housing, NCP Housing	8,400
	11/15/2021	Talent Pipeline:CE and OJT, OJT	6,538
	12/30/2021	Buildings of Excellence, BoE Rnd. 2 - DTL West Side	54,393
	2/8/2022	Talent Pipeline:CE and OJT, OJT	19,806
	2/14/2022	New Construction Housing, NCP Housing	10,000
	3/10/2022	Direct Injection Program, HCR Minibid TWO #1	25,000
		New Construction Housing, HCR Minibid TWO #1	50,000
	3/11/2022	Single Family New Construction, NCP Housing	10,000
	3/17/2022	OJT	8,845
3/30/2022	New Construction Housing, NCP Housing	6,000	
Sustainable Energy Developments Inc.	10/1/2021	<200KW PV, PON 2112 NY SUN	5,145
	10/8/2021	<200KW PV, PON 2112 NY SUN	5,880
	10/19/2021	<200KW PV, PON 2112 NY SUN	6,860
	11/10/2021	<200KW PV, PON 2112 NY SUN	5,180
	11/12/2021	<200KW PV, PON 2112 NY SUN	14,140
	11/18/2021	Talent Pipeline:CE and OJT, OJT	7,200
	11/24/2021	<200KW PV, PON 2112 NY SUN	5,880
	11/26/2021	<200KW PV, PON 2112 NY SUN	6,125
	12/15/2021	Talent Pipeline:CE and OJT, OJT	8,160
	1/6/2022	<200KW PV, PON 2112 NY SUN	6,660
	1/12/2022	<200KW PV, PON 2112 NY SUN	86,050
	1/19/2022	Talent Pipeline:CE and OJT, OJT	8,160
	1/20/2022	<200KW PV, PON 2112 NY SUN	8,140
	1/24/2022	<200KW PV, PON 2112 NY SUN	5,365
	1/26/2022	<200KW PV, PON 2112 NY SUN	6,475
	1/27/2022	<200KW PV, PON 2112 NY SUN	20,350
	2/1/2022	<200KW PV, PON 2112 NY SUN	6,660
	2/15/2022	<200KW PV, PON 2112 NY SUN	6,480
	2/17/2022	<200KW PV, PON 2112 NY SUN	13,135
	2/23/2022	<200KW PV, PON 2112 NY SUN	112,420
	3/1/2022	<200KW PV, PON 2112 NY SUN	12,500
	3/2/2022	<200KW PV, PON 2112 NY SUN	11,840
	3/8/2022	<200KW PV, PON 2112 NY SUN	5,365
	3/14/2022	<200KW PV, PON 2112 NY SUN	12,410
	3/18/2022	<200KW PV, PON 2112 NY SUN	12,500
	3/22/2022	<200KW PV, PON 2112 NY SUN	7,585
	3/24/2022	<200KW PV, PON 2112 NY SUN	6,660
	Sustainable Investment Group	11/18/2021	NYCH: Technical Assistance, FT13930 - 15 E 57th - FTC
11/24/2021		Technical Services, FT13929 - 3 Bryant - FTC	11,200
1/13/2022		Workforce Industry Partnership, PON 3715 (R7) BOM	373,025
Sustainable Westchester	12/29/2021	Talent Pipeline:CE and OJT, Climate Justice Fellow PON4772	40,000
	2/14/2022	EVPRZ:Community Partner Funds, Prize Planning Grant Sust ..	50,000
		EVPRZ:Planning Grants, Prize Planning Grant Sust West	100,000
Tadcon Electric LLC	12/1/2021	NY-SUN, NY-Sun ICSA	1,499,940
Taitem Engineering, P.C.	10/6/2021	Code to Zero, TWO #1	17,000
	1/3/2022	Commercial Real Estate Ten, Taitem-110 S Albany St	13,600
	1/20/2022	Technical Services, AEAP1382 - Backbone Farm	5,859

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Taitem Engineering, P.C.	2/7/2022	Direct Injection Program, NYSERDA/HPD Electrification	1,100,000	
	2/24/2022	Technical Services, FT14054 - 166 Main - FTC	6,488	
	3/10/2022	Direct Injection Program, HCR Minibid TWO #10	30,000	
		New Construction Housing, HCR Minibid TWO #10	70,000	
	3/11/2022	New Construction Housing, External Targeted Support	20,000	
		New Construction Housing, M&V - Arthaus	32,571	
		New Construction- Commercial, External Targeted Support	10,000	
	3/30/2022	Single Family New Construction, External Targeted Support	20,000	
3/30/2022	Multifam Performance Pgm, Multifamily	500,000		
Tech Valley Talent, LLC	10/6/2021	NYSERDA ADMINISTRATION, TWO #14 Salesforce BA.- Robl..	218,400	
	10/15/2021	NYSERDA ADMINISTRATION, TWO #15 Tableau Dev. M Adey..	208,650	
	12/15/2021	NYSERDA ADMINISTRATION, TWO #16 Technical BA – Garrett	194,025	
	12/21/2021	NYSERDA ADMINISTRATION, SecureAuth Renewal 2021-2024	142,450	
	1/6/2022	REC2:CES REC2 Tech Support, TWO #6 Salesforce Tech -Port..	109,200	
		REC:CES REC System Dev Costs, TWO #6 Salesforce Tech -P..	109,200	
	1/13/2022	NYSERDA ADMINISTRATION, TWO #17 .Net Software Dev.	182,325	
	1/20/2022	REC:CES REC System Dev Costs, TWO 1 Salesforce Dev. Raj..	93,132	
		ZEC:CES ZEC System Dev Costs, TWO 1 Salesforce Dev. Raj..	93,132	
	2/8/2022	NYSERDA ADMINISTRATION, TWO 2Sr.Software Eng – Carrick	183,300	
2/22/2022	NYSERDA ADMINISTRATION, Web Pro Forma	369,000		
Technology Professionals Group Inc.	10/29/2021	NYSERDA ADMINISTRATION, TWO #1 Salesforce PM Kerollos	224,250	
Terri Hartwell Easter Consulting LLC	3/21/2022	NYSERDA ADMINISTRATION, HR recruiting support	50,000	
Tesla Energy Operations Inc	10/12/2021	<200KW PV, PON 2112 NY SUN	5,894	
	11/5/2021	<200KW PV, PON 2112 NY SUN	5,712	
	1/7/2022	<200KW PV, PON 2112 NY SUN	5,386	
	1/20/2022	<200KW PV, PON 2112 NY SUN	6,549	
	1/28/2022	<200KW PV, PON 2112 NY SUN	15,768	
	2/1/2022	<200KW PV, PON 2112 NY SUN	5,525	
	2/2/2022	<200KW PV, PON 2112 NY SUN	12,450	
	2/16/2022	<200KW PV, PON 2112 NY SUN	15,683	
	3/16/2022	<200KW PV, PON 2112 NY SUN	13,719	
	3/18/2022	<200KW PV, PON 2112 NY SUN	7,535	
	3/24/2022	<200KW PV, PON 2112 NY SUN	5,525	
	3/31/2022	<200KW PV, PON 2112 NY SUN	5,100	
	TFR Transit Inc	3/1/2022	Prize Planning Grant - Circuit	150,000
	The Business Council of NYS, Inc.	11/15/2021	Prof & Expert Engagement, 2021 Sponsorship	5,000
The Cadmus Group, LLC	10/6/2021	Code to Zero, RFQ3183 Umbrella Agreement	200,612	
		Statewide EE&BE PotentialStudy, TWO 12 StWide Potential Stu..	889,862	
	1/5/2022	Home Perf w Energy Star, Energy and Climate Equity	191,350	
	1/17/2022	Eval MCDC: LMI Insights&Impact, 4162 TWO 1: HP Insights Im..	850,939	
	1/27/2022	On-Site Energy Manager, RFQ3183 Umbrella Agreement	22,500	
		Strategic Energy Manager, RFQ3183 Umbrella Agreement	22,500	
	3/18/2022	High Performing Grid, Resilience Integration Anchor	774,985	
	3/21/2022	OREC: Technical Support, RFP 3462 Umbrella Agreement	365,000	
3/23/2022	ENERGY ANALYSIS, TWO #10 Climate Facilitation	319,400		
The Center for New York City	10/7/2021	OTHER PROGRAM AREA, CEEP New York City Region (CNY	113,413	
	3/2/2022	CLEANER GREENER COMMUNITIES, CEEP New York City R..	118,778	
The Doe Fund Inc	2/3/2022	New Construction Housing, NCP Housing	96,000	
The Energy Studio, Inc.	11/24/2021	New Construction- Commercial, Commercial New Construction	49,990	
	1/28/2022	New Construction- Commercial, Commercial New Construction	149,970	
	2/28/2022	New Construction- Commercial, Commercial New Construction	49,990	
The HOPE Program, Inc.	10/18/2021	NYCH: Talent Ppln:CE and OJT, Career Pathway HVAC/Heat P..	604,288	
The Hudson Companies Incorporated	12/22/2021	New Construction Housing, 2019 MFCNP	250,000	
The Insulation Man LLC	10/25/2021	Talent Pipeline:CE and OJT, OJT	11,160	
The Levy Partnership, Inc.	1/24/2022	Technical Services, FT13022 - JOE Housing - FTC	10,000	
	1/25/2022	NYCH: Technical Assistance, FT13249 - 38 E 29th - FTC	36,707	

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
The Levy Partnership, Inc.	2/14/2022	Technical Services, FT13983 - Heights 170 - FTC	9,233
	3/2/2022	Technical Services, FT13184 - AE Duke Mgmt - FTC	10,000
The Metro Group, Inc.	11/12/2021	Real Time Enrgy Management, Metro Group - 1160 Midland	58,820
The Real Estate Board of New York, Inc.	2/2/2022	Real Time Enrgy Management, PropTech Challenge 2022	35,000
The Research Foundation for the State	3/1/2022	New Construction Housing, 2022 NYS Green Building Conf.	4,000
		New Construction- Commercial, 2022 NYS Green Building Conf.	2,000
The Trustees of Columbia University	11/8/2021	Carbontech Development, The Carbon Foundry	10,000,000
	3/22/2022	Cleantech EIR, PON 3819	105,000
The Young Men's and Young Women's ..	11/2/2021	NYCH: Technical Assistance, FT13589 - 1395 Lexington - PON	28,278
Thermodynamix LLC	10/5/2021	NYCH: Talent Ppln:CE and OJT, OJT HIRE	7,680
	10/28/2021	NYCH: Talent Ppln:CE and OJT, OJT	9,600
	2/2/2022	NYCH: Talent Ppln:CE and OJT, OJT	15,360
	2/24/2022	NYCH: Talent Ppln:CE and OJT, OJT	21,120
Third Lenox Terrace Associates LLC	12/31/2021	Multifam Performance Pgm, Multifamily	14,300
Thomas Eisele	10/5/2021	Code to Zero, NYStretch 2023 Working Groups	27,000
Throop Corners Community LLC	11/12/2021	NY Green Bank, Riseboro Broadway Triangle: Site C	2,600,000
Throughline Group, LLC	2/28/2022	NYSERDA ADMINISTRATION, NYSERDA Staff Media Training	8,000
ThunderCat Technology LLC	10/4/2021	NYSERDA ADMINISTRATION, Checkmarx licensing & support	63,076
	10/18/2021	NYSERDA ADMINISTRATION, Atlassian Licenses – Jira	71,296
	10/26/2021	NYSERDA ADMINISTRATION, Telerik Tools. Thundercat	5,666
	1/27/2022	NYSERDA ADMINISTRATION, Rightstar Scanstar - Inventory	5,530
	2/15/2022	NYSERDA ADMINISTRATION, Docusign Subscription 2022-202	98,173
	2/22/2022	NYSERDA ADMINISTRATION, Atlassian - Confluence Plug in	5,432
Tompkins Consolidated Area Transit	2/24/2022	EVPRZ:Community Partner Funds, Prize Planning Grant - TCAT	50,000
		EVPRZ:Planning Grants, Prize Planning Grant - TCAT	100,000
Towerstream 1 Incorporated	3/29/2022	NYSERDA ADMINISTRATION, Secondary WAN Circuit - NYGB	1,200
Town of Colonie	11/29/2021	CEC410033 - Town of Colonie	27,150
Town of Greenburgh	2/24/2022	Clean Energy Communities, CEC LR – Town of Greenburgh EV	15,000
Town of Ossining	3/29/2022	NYCH: Communities, Cedar Lane Arts Center 4	30,000
Town of Saugerties	2/9/2022	Clean Energy Communities, CEC500701 - Town of Saugerties	10,000
Trane	10/4/2021	K-12 SCHOOLS, P12GC-50E - Vernon Verona -FTC	20,888
	10/12/2021	Real Time Enrgy Management, Trane-1666 Division St-RTEM	78,351
	2/2/2022	Real Time Enrgy Management, Trane US Inc- Multisite - RTEM	219,747
	2/16/2022	K-12 SCHOOLS, P12GC-65_E - Forestville - FTC	9,200
	3/14/2022	K-12 SCHOOLS, P12GC-67_E - Sidney CSD - FTC	101,520
Transportation Alternatives, Inc.	2/22/2022	EVPRZ:Community Partner Funds, Prize Planning Grant - TA	50,000
		EVPRZ:Planning Grants, Prize Planning Grant - TA	100,000
TRC Energy Services	10/15/2021	NYCH: Critical Tools, CHC Data Analysis TWO - TRC	49,500
	11/17/2021	K-12 SCHOOLS, RFP3628FlexTechConsultUmbrella	813,500
		NYCH: Technical Assistance, RFP3628FlexTechConsultUmbrel..	45,000
	12/13/2021	ENERGY ANALYSIS, SA.053a_TWO #20 - EEA	166,000
	1/13/2022	Commercial Real Estate Ten, SA.086a_TWO #27_AES_PM-1	84,923
		Informat. Products & Brokering, SA.086a_TWO #27_AES_PM-1	84,923
	1/19/2022	NYSERDA ADMINISTRATION, SA.059_TWO #21 - Financing ..	351,000
	2/14/2022	NYCH: Comfort Home, Comfort Home Implementation	488,599
	3/10/2022	CI Engy Siting & Soft Cost Red, SA.088_TWO#28 - CES PM-2	696,725
	3/11/2022	Multifam Performance Pgm, SA.014_TWO #7_MF_PM	95,813
		Multifam Performance Pgm, SA.016_TWO #8_MF_APM	59,255
	3/18/2022	Multifam Performance Pgm, SA.012_TWO #5_MF_PM	82,557
	3/23/2022	New Construction Housing, SA.042_TWO#17 - NCP NYC PM	204,000
		New Construction- Commercial, SA.042_TWO#17 - NCP NYC ..	68,000
		Single Family New Construction, SA.042_TWO#17 - NCP NYC ..	68,000
3/28/2022	New Construction Housing, SA.042_TWO#17b - NCP NYC PM	189,000	
	New Construction- Commercial, SA.042_TWO#17b - NCP NYC ..	63,000	
	Single Family New Construction, SA.042_TWO#17b - NCP NY..	63,000	
3/31/2022	Multifam Performance Pgm, SA.017_TWO #9_MF_APM	138,938	

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Trinity Financial, Inc.	1/11/2022	New Construction Housing, NCP Housing	750,000
Trinity Solar Inc	10/1/2021	<200KW PV, PON 2112 NY SUN	7,140
	10/14/2021	<200KW PV, PON 2112 NY SUN	6,860
	10/15/2021	<200KW PV, PON 2112 NY SUN	5,600
	10/18/2021	<200KW PV, PON 2112 NY SUN	5,600
	11/2/2021	<200KW PV, PON 2112 NY SUN	6,160
	11/3/2021	<200KW PV, PON 2112 NY SUN	5,320
	11/23/2021	<200KW PV, PON 2112 NY SUN	5,600
	12/3/2021	<200KW PV, PON 2112 NY SUN	5,880
	12/9/2021	<200KW PV, PON 2112 NY SUN	6,440
	1/24/2022	<200KW PV, PON 2112 NY SUN	17,800
	1/25/2022	<200KW PV, PON 2112 NY SUN	9,000
	2/3/2022	<200KW PV, PON 2112 NY SUN	6,000
	2/4/2022	<200KW PV, PON 2112 NY SUN	6,400
	2/10/2022	<200KW PV, PON 2112 NY SUN	6,200
	2/14/2022	<200KW PV, PON 2112 NY SUN	8,600
	2/28/2022	<200KW PV, PON 2112 NY SUN	6,200
	3/3/2022	<200KW PV, PON 2112 NY SUN	5,400
	3/29/2022	<200KW PV, PON 2112 NY SUN	6,200
Troy Web Consulting, LLC	10/8/2021	NYSERDA ADMINISTRATION, Troy Web Hosting - Cloud 1yr	7,620
True Building Performance LLC	3/23/2022	WORKFORCE DEVELOPMENT, OJT	6,400
True Energy Solutions	11/5/2021	Talent Pipeline:CE and OJT, OJT	5,760
	12/14/2021	Talent Pipeline:CE and OJT, OJT	12,960
	2/11/2022	Talent Pipeline:CE and OJT, OJT	7,200
	3/10/2022	Talent Pipeline:CE and OJT, OJT	14,400
	3/15/2022	Talent Pipeline:CE and OJT, OJT	8,640
TVC Albany Inc.	3/1/2022	NYSERDA ADMINISTRATION, FirstLight Redundant Internet	48,960
Two Plus Four Construction Co., Inc.	2/28/2022	New Construction Housing, NCP Housing	144,000
U.S. Department of Energy/Wv	11/15/2021	WVDP PO – FFY 2022	17,200,000
Unique Comp Inc.	2/23/2022	NYSERDA ADMINISTRATION, TWO Sr. Software Eng. -Bhanu	176,800
Unique Electric Solutions of NYS LLC	10/25/2021	CLEAN TRANSPORTATION, NYTVIP - United Parcel Service	220,000
	12/31/2021	CLEAN TRANSPORTATION, NYTVIP - UPS	660,000
	2/23/2022	CLEAN TRANSPORTATION, NYTVIP - L&M Bus Corp	240,000
		CLEAN TRANSPORTATION, NYTVIP - Pride Transportation	240,000
		CLEAN TRANSPORTATION, NYTVIP - Quality Transport	240,000
United Solar Energy Supporters, Inc.	12/30/2021	CI Engy Siting & Soft Cost Red, USES Video - Mount Morris	40,500
United Way of Long Island	1/24/2022	CLEANER GREENER COMMUNITIES, CEEP Long Island (UW..	31,888
University at Albany	2/15/2022	Net Zero Energy for Eco Dev, Net Zero Economic Development	2,000,000
University of Rochester	12/14/2021	Environmental Research, Changes in PM Composition	133,370
Upstate Alternative Energy	11/4/2021	<200KW PV, PON 2112 NY SUN	8,750
	12/13/2021	<200KW PV, PON 2112 NY SUN	19,110
	1/3/2022	<200KW PV, PON 2112 NY SUN	7,350
	2/1/2022	<200KW PV, PON 2112 NY SUN	8,505
Urban Electric Power, Inc.	12/20/2021	Cleantech Ignition, NYCP Urban Electric	500,000
Urban Electric Power, LLC	10/5/2021	Talent Pipeline:CE and OJT, Workforce Dev & Train	7,040
	11/2/2021	Talent Pipeline:CE and OJT, OJT	7,040
Urban Green Council	10/28/2021	New Construction Housing, Gen. Marketing & Outreach 2021	40,000
		New Construction- Commercial, Gen. Marketing & Outreach 20..	10,000
	1/5/2022	Workforce Industry Partnership, PON 3715 (R7) BOM	143,276
	3/23/2022	Code to Zero, RFQL 3711 TWO#2	104,305
US Energy Concierge Inc	1/4/2022	<200KW PV, PON 2112 NY SUN	8,526
VBK C3 Owner LLC	11/23/2021	New Construction Housing, New Construction	434,000
VD 50th LLC	11/18/2021	New Construction Housing, NCP Housing	200,000
Venture Home Solar LLC	3/4/2022	>200KW PV, PON 2112 NY SUN	10,328
Verizon Wireless	10/18/2021	NYSERDA ADMINISTRATION, Verizon Wireless Cellular Serv	73,239
Vermilyea Partners LLC	10/12/2021	NYCH: LMI, Clean Heating & Cooling	40,500

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Vermont Energy Investment Corporation	1/4/2022	NYCH: Innovation, Advanced Market Tools for Refr	171,500
	1/10/2022	NYCH: LMI, TWO #1 LMI Electrification	45,000
Via Transportation, Inc.	3/7/2022	EVPRZ:Community Partner Funds, Prize Planning Grant - Via	50,000
		EVPRZ:Planning Grants, Prize Planning Grant - Via	100,000
Victory One, HDFC	10/12/2021	Multifam Performance Pgm, Multifamily	77,000
Vidaris, Inc.	10/19/2021	Code to Zero, NYStretch 2023 Working Groups	10,000
	11/10/2021	New Construction- Commercial, Commercial New Construction	82,042
	3/21/2022	Technical Services, FT14081 - 10 Columbus - FTC	61,016
Village of Irvington	2/25/2022	Clean Energy Communities, EV for Bld Dept	10,000
Vincent P. Cyrus Plaza LP	10/13/2021	Multifam Performance Pgm, Multifamily	72,800
Vivint Solar	10/26/2021	<200KW PV, PON 2112 NY SUN	5,801
Volunteers of America- Greater New York	10/7/2021	Multifam Performance Pgm, Multifamily	102,200
		NYCH: LMI, Clean Heating & Cooling	511,000
Vornado Office Management LP	2/22/2022	Empire Building Challenge, EBC-Phase I-Vornado	125,000
		NYCH: Empire Build Challenge, EBC-Phase I-Vornado	125,000
Wallkill Senior Housing	10/13/2021	Multifam Performance Pgm, Multifamily	89,600
	12/8/2021	Tech Assistanc Multifamily LMI, FT14020 - 35 Senior - PON	10,000
Watchtower Bible &	12/24/2021	New Construction Housing, NCP Housing	445,500
	12/30/2021	New Construction Housing, NCP Housing	35,000
Waterfield Farms	2/28/2022	Commercial New Construc, 2019 CNCP	350,000
We are the New Farmers Inc.	1/4/2022	Talent Pipeline:CE and OJT, Climate Justice Fellow PON4772	40,000
Wende Correctional Alden NY Solar LLC	3/24/2022	>200KW PV, NY Sun Assignment	1,174,173
Wendel Energy Services, LLC	11/2/2021	Technical Services, FT13846 - Multiple - FTC	34,869
	11/17/2021	K-12 SCHOOLS, RFP3628FlexTechConsultUmbrella	1,135,200
		NYCH: Technical Assistance, RFP3628FlexTechConsultUmbrel..	90,000
	12/15/2021	NYCH: Technical Assistance, FT13743 - South Campus - FTC	431,995
	1/25/2022	Technical Services, FT14044 - 8443 Lake Shore- FTC	15,311
Wendel Energy Services, LLC.	12/23/2021	NYCH: District, PON 4614 Round #1 NFG	100,000
West Harlem Environmental Action, Inc.	10/19/2021	Low-Income Forum on Energy, Sponsor of WE ACT's 2021 Gala	15,000
	2/14/2022	NY-SUN, PON 3414 Solar Uptown Now	200,000
West Shore Solar	3/16/2022	NY-SUN, NY-Sun - ICSA	171,072
West Valley Solar, LLC	10/22/2021	>200KW PV, NY Sun	2,250,000
	10/27/2021	>200KW PV, NY Sun	2,250,000
Westchester Community Opportunity P..	12/14/2021	NYCH: Talent Ppln:CE and OJT, PON3981 Round 10	250,000
Westhab, Inc.	10/22/2021	Buildings of Excellence, BoE Rnd. 2 - Hudson Hill	850,000
	2/11/2022	New Construction Housing, 2019 MFCNP	31,200
WFHA Brooklyn LP	10/7/2021	Multifam Performance Pgm, Multifamily	168,000
Willdan Energy Solutions	2/16/2022	Commercial Real Estate Ten, Advanced Efficiency Solutions	200,000
Willdan Lighting & Electric, Inc.	11/4/2021	Talent Pipeline:CE and OJT, OJT	13,848
	1/13/2022	Talent Pipeline:CE and OJT, OJT	42,240
	2/11/2022	Talent Pipeline:CE and OJT, OJT	27,014
Williams and Georgia Towers HDFC	10/13/2021	Multifam Performance Pgm, Multifamily	98,000
Wilna PV, LLC	2/14/2022	NY-SUN, NY-Sun - ICSA	380,016
Wiltshire Renewable Energy Systems, L..	2/15/2022	<200KW PV, PON 2112 NY SUN	7,200
Windels Marx Lane & Mittendorf, LLP	10/1/2021	NEW YORK GREEN BANK, RFP 12 - NYGB Legal Services	10,000
	2/9/2022	NEW YORK GREEN BANK, RFP 12 - NYGB Legal Services	22,103
Wood Mackenzie Inc	3/21/2022	NY-SUN, Wood Mackenzie Subscriptions	29,000
		REC:CES REC System Dev Costs, Wood Mackenzie Subscripti..	85,000
Wood Mackenzie Power & Renewables, Inc.	11/17/2021	NY-SUN, Wood Mackenzie Subscriptions	29,000
		REC:CES REC System Dev Costs, Wood Mackenzie Subscripti..	85,000
Woodlawn Veterans Mutual Housing Co.	10/7/2021	Multifam Performance Pgm, Multifamily	70,000
Worley Group, Inc.	10/15/2021	OREC: Technical Support, TWO#1 Advisian GL Wind Study	23,952
	11/2/2021	OREC: Technical Support, Determination Study Buy Americ	181,400
WOTC Tenants Corporation	3/7/2022	Technical Services, FT14061 - 73-10 220th - PON	12,278
WSP USA Corp.	10/29/2021	Environmental Research, Suppt Svcs for Solar Dev & Ag	274,295
	11/24/2021	Technical Services, FT13942 - 105 Duane - FTC	8,750

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Period 10/1/2021 through 3/31/2022

Contractor	Date Encumbered	Contract Description	Total Contract Amount
WSP USA Corp.	12/17/2021	OREC: Technical Support, Large-Scale Renewables	40,000
	12/23/2021	Technical Services, FT14015 - 205 E 85th - FTC	8,250
	1/26/2022	Clean Energy Communities, TA Community Support Services	1,018,182
WVF-Paramount 745 Property LP	10/15/2021	NYCH: Technical Assistance, FT13567 - 745 Fifth - PON	45,235
Xerox Corp	3/29/2022	NYSERDA ADMINISTRATION, Facilities Management	67,200
You Save Green Incorporated	11/9/2021	>200KW PV, PON 2112 NY SUN	29,192
	2/16/2022	<200KW PV, PON 2112 NY SUN	6,570
ZBF Geothermal LLC	2/22/2022	NYCH: District, 1 Java St Community Heat Pump	415,000
Zerodraft Residential Inc.	10/5/2021	Talent Pipeline:CE and OJT, OJT HIRE	16,320
	11/23/2021	Talent Pipeline:CE and OJT, OJT	5,440
	12/22/2021	Talent Pipeline:CE and OJT, OJT	7,040
	1/6/2022	Talent Pipeline:CE and OJT, OJT	5,440
	3/15/2022	OJT	5,440
		Talent Pipeline:CE and OJT, OJT	10,880
	3/21/2022	OJT	5,440
	3/28/2022	WORKFORCE DEVELOPMENT, OJT	5,440
Zones LLC	10/8/2021	NYSERDA ADMINISTRATION, Cisco Webex renewal 10.1.21	48,380
Grand Total			8,557,460,896

Contracts Completed

Period 10/1/2021 through 3/31/2022

Contractor	Contract Description	Total Contract Amount
3rd ROC Solar LLC	<200KW PV, PON 2112 NY SUN	145,313
42 West Broad Developers LLC	Low Carbon Tech Demos, Multifamily	144,420
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	29,880
70 North MM LLC	New Construction Housing, 2019 LRNCP	50,000
112 East Clarke Housing Development Fund	Multifam New Construction, MFNC_Clarke Place Sr. Res.	93,200
120 Broadway Acquisitions JV LLC	Empire Building Challenge, EBC TA-120 Broadway	125,000
	NYCH: Empire Build Challenge, EBC TA-120 Broadway	125,000
122-20 Ocean Promenade Owner, LLC	Multifam Performance Pgm, Multifamily	50,400
233 West 125th Street Danforth, LLC	Multifam Performance Pgm, Multifamily	95,500
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	95,500
770 Electric Corp.	<200KW PV, NY-Sun	55,364
	>200KW PV, NY-Sun	5,476
	>200KW PV, PON 2112 NY SUN	36,732
3475 Third Avenue Owner Realty LLC	Multifam Performance Pgm, Multifamily	32,130
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	59,670
Abundant Solar Power Inc.	>200KW PV, NY Sun	2,573,259
AC Power, LLC	>200KW PV, NY Sun	3,436,997
	NY-SUN, NY Sun	1,061,338
Access Supports for Living Inc.	New Construction Housing, 2019 LRNCP	171,200
Accord Power, Inc.	<200KW PV, NY-Sun	404,088
	>200KW PV, NY-Sun	131,153
	>200KW PV, PON 2112 NY SUN	13,057
ACPBKI LLC	Technical Services, FT13214 - 630 Flushing - PON	18,035
Actasys	Talent Pipeline:CE and OJT, OJT HIRE	9,232
Active Solar Development, LLC	<200KW PV, PON 2112 NY SUN	153,360
Adam C. Boese	Commercial New Construc, Commercial New Construction	28,840
	Technical Services, AEAP	12,000
Adam Hinge	Real Time Enrgy Management, New Efficiency NY Support	50,000
Adirondack Area Network	2021 Climate Action Council Mt	5,976
Adirondack Center for Loon	Environmental Research, Loons: monitor biotic mercury	103,515
ADM Associates, Inc.,	GJGNY Market Rate Audits, TWO # 1	457,592
	Home Energy Ratings, TWO # 1	457,592
ADP, Inc.	NYSERDA ADMINISTRATION, ADP Payroll and HR Svcs 2017	180,521
Advanced Energy Group L.L.C.	>200KW PV, AEG Sponsorship	25,000
Advanced Radiant Design, Inc.	NYCH: Talent Ppln:CE and OJT, OJT HIRE	10,240
AE Duke Management LLC	Technical Services, FT13184 - AE Duke - PON	10,000
AECOM USA INC.	NYCH: Technical Assistance, FT13419 - 230 E 73rd - FTC	21,137
AEF Ice Systems, Inc.	Cleantech Ignition, PON4534 NY Climate Progress R1	500,000
Aegis Energy Services Inc.	Combined Heat and Power, CHPA - 63 Wall Street	459,000
	Combined Heat and Power, CHPA - 2501 Nostrand Ave.	42,000
	Combined Heat and Power, CHPA - Regina Pacis	63,000
	Combined Heat and Power, CHPA-Archer Green Apartments	205,590
AES Distributed Energy, Inc.	>200KW PV, NY Sun	1,427,867
	NY-SUN, NY Sun	2,855,737
Air Company Holdings, Inc.	Talent Pipeline:CE and OJT, OJT HIRE	15,360
AKF-engineers	Technical Services, FT13007 - Related - FTC	37,000

Contracts Completed
Period 10/1/2021 through 3/31/2022

Contractor	Contract Description	Total Contract Amount
Akimeka, LLC	CLEANER GREENER COMMUNITIES, Animating the EV market in N..	226,087
Albany County Dept. of Public Works	CLEANER GREENER COMMUNITIES, CGC30552 - Albany County D..	1,003,478
Albany Engineering Corp.	LARGE SCALE RENEWABLES, Stuyvesant Falls Hydroelectric	2,172,378
Albany Solar Solutions L.L.C.	<200KW PV, NY-Sun	12,480
	<200KW PV, PON 2112 NY SUN	26,784
Albireo Energy, LLC	Real Time Enrgy Management, 1 Dag Hammarskjold Plaza-RTEM	78,120
	Real Time Enrgy Management, Albireo-48 Wall Street-RTEM	89,759
	Real Time Enrgy Management, ARE - 69 fifth Ave - RTEM	38,412
Algonquin Power Holdings LLC	>200KW PV, NY-Sun	2,384,280
All-State Air Control Sales & Service In	NYCH: Talent Ppln:CE and OJT, OJT HIRE	15,360
Allegis Group Holdings Inc	76 West, SA.078 - Innovation_APM	236,696
	High Performing Grid, SA.078 - Innovation_APM	59,174
	Home Perf w Energy Star, SA.070_TWO#11 - EAE PM	403,767
	NY-SUN, Staff Augmentation Services	164,697
Allen Power, Inc.	<200KW PV, PON 2112 NY SUN	31,028
Alliance for Sustainable Energy, LLC	OREC: Technical Support, TWO 5 - NREL NY Great Lakes	550,000
Alternative Power Solutions of NY, LLC	<200KW PV, NY-Sun	9,632
	<200KW PV, PON 2112 NY SUN	73,652
	NYCH: Talent Ppln:CE and OJT, OJT	7,680
AltPOWER, Inc.	<200KW PV, NY-Sun	303,828
AMERESCO, Inc.	<200KW PV, PON 2112 NY SUN	15,120
	>200KW PV, NY Sun	4,045,626
Amergy Solar Inc.	>200KW PV, PON 2112 NY SUN	7,524
American Council for an Energy Efficient	Market Tests, 2022 ACEEE Finance Forum	45,000
	Prof & Expert Engagement, 2022 ACEEE Ally membership	12,000
	Subscription/Data Access, Industrial Heat Pump Research	25,000
	Subscription/Data Access, Market Insights	70,000
American Energy Care, Inc.	<200KW PV, NY-Sun	37,409
	<200KW PV, PON 2112 NY SUN	77,769
American Institute of Chemical Engineers	Energy Storage Tech/Prod Dev, NYSERDA Membership	43,750
American Society of Heating,Refrigeratin	Technical Services, ASHRAE - EPE Team Support TWO	105,000
American Solar Partners, LLC	<200KW PV, PON 2112 NY SUN	8,750
Ampersand Kayuta Lake Hydro LLC	REC:CES REC Contracts, Large-Scale Renewables	66,129
Analemma Solar Corp.	>200KW PV, PON 2112 NY SUN	21,600
Andrew Seiden	NEW YORK GREEN BANK, NYGB Investment Support	50,000
Annadale Community Clean Energy Projects	Fuel Cells, Fuel Cell Incentive - FC-027	1,000,000
Apex Roofing, LLC	<200KW PV, PON 2112 NY SUN	6,867
Apex Solar Power LLC	<200KW PV, PON 2112 NY SUN	155,433
Arcadis of New York, Inc.	Technical Services, AEAP	11,971
	Technical Services, RFP3628FlexTechConsultUmbrella	5,978
Arcadis U.S., Inc.	Industrial Process Effic, Tech Review & Program Staff	29,579
Arch Street Communications, Inc.	CI Engy Siting & Soft Cost Red, TWO 3: LSR RFP Outreach	49,500
	Clean Energy Communities, Marketing Support for NYSERDA	846,000
Argus Media Inc.	ENERGY ANALYSIS, Renewal - Argus Subscriptions	16,368
Arnold & Porter Kaye Scholer LLP	WEST VALLEY DEVELOPMENT PROGRAM, RFP 3300 Outside Cou..	50,000
ASANA, Inc.	NYSERDA ADMINISTRATION, Asana 2022 License	29,994

Contracts Completed
Period 10/1/2021 through 3/31/2022

Contractor	Contract Description	Total Contract Amount
Association for Energy Affordability, In	Workforce Industry Partnership, PON 3715 Workforce Training	400,000
Astrum Solar, Inc.	>200KW PV, PON 2112 NY SUN	762,040
Atash Energy, LLC	Commercial Real Estate Ten, Atash Energy - 11 Madison -CTP	24,775
	Commercial Real Estate Ten, Atash Energy - 60 Wall St -CTP	15,008
	Commercial Real Estate Ten, Atash Energy - Multisite - CTP	129,999
	Commercial Real Estate Ten, Atash-4 Metrotech Center	5,000
	Commercial Real Estate Ten, Atash-875 3rd Ave Fl 25-27	6,790
Atelier Ten	Commercial Real Estate Ten, Atelier Ten USA-250 Greenwich	12,480
Autonomous Energies LLC	<200KW PV, PON 2112 NY SUN	6,474
Avangrid Inc.	Electric Vehicles - Innovation, Smart Home EV chargers	50,000
Avangrid Renewables, LLC	LARGE SCALE RENEWABLES, Hardscrabble Wind Energy	14,179,215
	LARGE SCALE RENEWABLES, Hardscrabble Wind Power LLC	16,753,240
Aztech Geothermal, LLC	NYCH: Talent Ppln:CE and OJT, OJT HIRE	17,760
Baileys Gap Solar, LLC	>200KW PV, NY Sun	244,744
	NY-SUN, NY Sun	489,489
Ballston Mouningkill Associates LLC	Low Rise New Construction, 2019 LRNCP	75,200
Banyan Infrastructure Corporation	NEW YORK GREEN BANK, Reporting Covenant Servicing	150,000
Barbera Homes and Development, Inc.	Low Rise New Construction, 2019 LRNCP	7,600
	Low Rise New Construction, New Construction	19,000
	New Construction Housing, 2019 LRNCP	5,700
Bashing Panels LLC	<200KW PV, NY-Sun	26,256
	<200KW PV, PON 2112 NY SUN	8,750
BCD:A, LLC	Multifam Performance Pgm, Multifamily	51,660
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	95,940
BDO USA LLP	Background Investigation Servi	3,820
	Cleantech Ignition, Background Investigation Servi	55,200
	NEW YORK GREEN BANK, Background Investigation Servi	1,100
	TWO - BofA	15,000
Benchmark Printing, Inc.	Electric Vehicles - Innovation, Printing EV Mailing Inserts	18,161
Best Energy Power	<200KW PV, NY-Sun	348,541
	>200KW PV, NY-Sun	42,779
	>200KW PV, PON 2112 NY SUN	206,519
BHP Energy LLC	>200KW PV, NY Sun	823,680
Bigwood Systems Inc	High Performing Grid, PON4074 High Perform Grid Prgr	285,000
BioDiversity Research Institute	Off-Shore Wind Pre-Dev Act, BRI: TWO umbrella agreement	74,355
	OREC: Technical Support, BRI TWO1 ETWG Support	338,483
Bishop House Consulting, Inc.	NYSERDA ADMINISTRATION, Bishop House Training and DiSC	49,887
Bizodo Inc	NYSERDA ADMINISTRATION, Seamlessdocs Licensing 21 - 22	46,363
BLIX Consultancy BV	Environmental Research, GG Procurement Support	33,984
BlocPower LLC	Novel Bus Models & Offers, Novel Business Models R2	500,000
	NYCH: Talent Ppln:CE and OJT, OJT HIRE	7,680
Bloomberg Finance LP	ENERGY ANALYSIS, Bloomberg Datafeed Access	80,324
Boice Dunham Group Inc	High Performing Grid, Power Grid Innovation	377,026
	OTHER PROGRAM AREA, Innv Pgrm Implementation Advis	150,000
Bonded Energy Solutions Corp.	NYCH: Talent Ppln:CE and OJT, OJT HIRE	10,240
	NYCH: Talent Ppln:CE and OJT, peter.tompkins	10,240

Contracts Completed

Period 10/1/2021 through 3/31/2022

Contractor	Contract Description	Total Contract Amount
BOP NW LLC	Commercial New Construc, SF106903 - BOP NW LLC	55,132
Borg Warner	Industrial Process Effic, Industrial Process Efficiency	156,936
Borrego Solar Systems, Inc.	>200KW PV, NY Sun	2,414,003
	Solar Plus Energy Storage, NY Sun	2,184,000
Bourne & Kenney Redevelopment Company LL	Tech Assistanc Multifamily LMI, FT13156 - Kenney Apts. - PON	10,000
Brattle Group Inc.	REC4:CES REC4 Tech Support, TWO #5 Tier 4 Evaluation	50,000
Breathe Easy of CNY Inc.	NYCH: Talent Ppln:CE and OJT, OJT	7,680
	NYCH: Talent Ppln:CE and OJT, OJT HIRE	8,640
Brenda Sayers	WEST VALLEY DEVELOPMENT PROGRAM, Janitorial contract	48,720
Bridges Development, Inc.	Low Rise New Construction, 2019 LRNCP	114,800
Bright Power, Inc.	<200KW PV, NY-Sun	699,887
	>200KW PV, Commerical/IndustrialPV	462,863
	>200KW PV, NY-Sun	404,535
	>200KW PV, PON 2112 NY SUN	25,056
	Campus/Technical Assistance, FT12238-LeFracCity-5917Jct-FTC	60,500
	NY-Sun	198,660
	NYCH: Technical Assistance, FT13473 - 160 Schermer. - FTC	7,400
	NYCH: Technical Assistance, FT13489 - 63 W. 35th - FTC	9,250
	NYCH: Technical Assistance, FT13490 - 152 W 26th - FTC	12,500
	NYCH: Technical Assistance, FT13500 - Lakeview Apts - FTC	11,050
	NYCH: Technical Assistance, FT13501- Highview Apts. - FTC	9,000
	NYCH: Technical Assistance, FT13639 - 321 W. 44th - FTC	6,750
	Technical Services, FT13192 - 438-448 W 37th - FTC	6,750
Bronx Pro Group, LLC	Multifam New Construction, New Construction	105,000
Brooklyn Housing Preservation Limited Pa	<200KW PV, NY-Sun	151,219
	>200KW PV, NY-Sun	14,956
Brooklyn SolarWorks LLC	>200KW PV, PON 2112 NY SUN	31,473
BTMI Engineering, PC	Off-Shore Wind Pre-Dev Act, RFP3462 Umbrella Agreement	650,900
Buffalo Federation of Neighborhood Cente	Low Rise New Construction, New Construction	70,400
Buffalo Geothermal Heating	Geothermal Incentive Program, Large-Scale GSHP Rebate	427,740
Buffalo Neighborhood Stabilization Co	Low Rise New Construction, New Construction	10,000
Buffalo Renewables, Inc.	Small Wind, Wind Turbine Incentive	230,400
Buffalo Solar Solutions Inc	<200KW PV, NY-Sun	7,735
	<200KW PV, PON 2112 NY SUN	380,887
Building Performance Institute, Inc.	Talent Pipeline:CE and OJT, COVID Energy Audit Procedures	115,000
Buro Happold Consulting Engineers, P.C.	Commercial Real Estate Ten, Buro Happold - 20 W 34th St	1,005,536
BVG Associates LLC	REC:CES REC System Dev Costs, TWO 4 - RESRFP21-1 TEP IE	45,180
BW Research Partnership	ENERGY ANALYSIS, TWO# 2 JTWG Jobs Study	88,997
	NYCH: Talent Ppln:CE and OJT, TWO# 2 JTWG Jobs Study	266,667
Byrne Dairy, Inc.	On-Site Energy Manager, OsEM2-I - Byrne Dairy-Ultra	213,785
C.J. Brown Energy, P.C.	Advancing Ag Enrgy Technologie, AAET - Tech Review - CJ Brown	9,320
	K-12 SCHOOLS, FT13227 - Cooperstown CSD -FTC	19,567
	Tech Assistanc Multifamily LMI, FT13027 - Towers - FTC	5,300
	Tech Assistanc Multifamily LMI, FT13031 - 2001 E Henrietta-FTC	5,400
	Technical Services, AEAP	5,997
	Technical Services, AEAP1299- Krehers Sunrise Farm	5,997

Contracts Completed
Period 10/1/2021 through 3/31/2022

Contractor	Contract Description	Total Contract Amount
C.J. Brown Energy, P.C.	Technical Services, AEAP#1319 - Durow Farms	5,997
	Technical Services, RFP3628FlexTechConsultUmbrella	7,500
C&R Housing Inc.	Talent Pipeline:CE and OJT, OJT HIRE	35,440
	Talent Pipeline:CE and OJT, OJT HIRE NICHOLAS NICOLAIDES	7,200
C&S Engineers, Inc.	REV Campus Challenge, FT13048 - Maria College - FTC	23,317
	Technical Services, FT13459 - 22643 Fisher - FTC	18,500
Cali Harris	EVPRZ:Implementation, Prize Program Implementation	50,000
Calstart	CLEANER GREENER COMMUNITIES, CGC54612 - CALSTART	1,700,000
CAMBA Housing Ventures, Inc.	Multifam New Construction, MFNCP PPES T2-210-214 Hege	62,200
Cameron Engineering & Associates LLP	Technical Services, FT13205 - 395 Broadway - FTC	5,075
Canyon Engineering Solutions LLC	K-12 SCHOOLS, FT13354 - 50 Wood Rd - FTC	13,609
Carahsoft Technology Corporation	EVALUATION, 2021-22 Qualtrics Software	60,695
	NYSERDA ADMINISTRATION, Salesforce Licensing 2022	1,578,266
	NYSERDA ADMINISTRATION, Salesforce Marketing Cloud	38,340
CBS Broadcasting Inc.	Industrial Process Effic, Industrial Process Efficiency	102,364
CDATA SOFTWARE, INC.	NYSERDA ADMINISTRATION, DBAmp Pro. Edition Unlimited	8,990
CDP North America Inc	OTHER PROGRAM AREA, Innovation	50,000
CEC Stuyvesant Cove, Inc.	CLEANER GREENER COMMUNITIES, CGC55294 - Solar One	2,902,488
	NY-SUN, Affordable Solar Predevelopmen	132,995
Center for Community Transportation	CLEAN TRANSPORTATION, Ithaca Bikeshare Demonstration	218,757
Center for Economic and Environmental Pa	Retrofit NY, Retrofit NY Assist	49,500
CHA Consulting Inc.	Industrial Process Effic, IPE16249	9,901
	Technical Services, FT13334 - 9567 Main - FTC	11,668
	Technical Services, FT13527 - 2400 Buffalo - FTC	5,901
Charter Communications, Inc.	Industrial Process Effic, Industrial Process Efficiency	403,729
Chautauqua County	Clean Energy Communities, CEC111465 Chautauqua Co	150,000
	LARGE SCALE RENEWABLES, Chautauqua LFGE	2,882,050
Cheektowaga, Town of	Clean Energy Communities, PON 3298 CEC	250,000
Chenango Contracting, Inc.	WEST VALLEY DEVELOPMENT PROGRAM, RFP 3456	1,238,102
Chester NY 1, LLC	>200KW PV, NY-Sun C/I	248,092
Christopher Alan Hunter	NYGB - Level Solar	50,000
Christopher Community, Inc.	New Construction Housing, 2019 LRNCP	63,000
CIR ELECTRICAL CONSTRUCTION CORP.	<200KW PV, NY-Sun	7,488
	<200KW PV, PON 2112 NY SUN	97,384
City of Auburn	Technical Services, FT13009 - Auburn WWTF - PON	23,988
City of Ithaca	Clean Energy Communities, City of Ithaca	100,000
City of Poughkeepsie	CLEANER GREENER COMMUNITIES, CGC40849 - City of Poughke..	250,000
City of Rochester	Clean Energy Communities, City of Rochester	250,000
City of Utica	CLEANER GREENER COMMUNITIES, CGC40774 - City of Utica	168,750
	Community RH&C, Heat & Cool for Utica NYTBD	150,000
CJ Plaza One LLC	Multifam Performance Pgm, Multifamily	25,933
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	379,067
CJ Plaza Two LLC	Multifam Performance Pgm, Multifamily	58,500
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	58,500
Clean Energy States Alliance	Prof & Expert Engagement, CESA 2021-22 membership	68,500
CleanFiber LLC	76 West, 76West Clean Energy Bus. Comp	250,000

Contracts Completed
Period 10/1/2021 through 3/31/2022

Contractor	Contract Description	Total Contract Amount
CLEARresult Consulting, Inc.	Commercial Real Estate Ten, Centralized Services & Support	84,631
	EXISTING FACILITIES, Centralized Services & Support	87,790
	Real Time Enrgy Management, Centralized Services & Support	35,000
ClearPath Energy LLC	>200KW PV, NY Sun	4,642,215
	NY-SUN, NY Sun	3,914,783
ClearStak LLC	RENEWABLE HEAT NY, Round-Robin Testing Program	183,520
CMR Solar LLC	>200KW PV, NY-Sun C/I	1,174,745
Co-op Power, Incorporated	<200KW PV, NY-Sun	200,522
	>200KW PV, NY-Sun	200,528
Code Green Solutions, Inc.	Commercial Real Estate Ten, CGS-1221 Ave of the Americas	8,500
	NYCH: Technical Assistance, FT13405 - 309 5th - FTC	11,750
	Technical Services, FT13056 - 1140 AOA - FTC	29,650
	Technical Services, FT13057 - 200 W 41st - FTC	22,950
	Technical Services, FT13079 - 101 W. End - FTC	34,750
	Technical Services, FT13081 - 21 West End - FTC	33,500
	Technical Services, FT13090 - 158-15 Liberty - FTC	23,750
	Technical Services, FT13091 - 470 Park S - FTC	13,500
	Technical Services, FT13093 - Kestrel - FTC	27,250
	Technical Services, FT13107 - 51 Astor Place - FTC	32,120
	Technical Services, FT13209 - 25 East 78th - FTC	14,249
Cogeneration Contractors, Inc.	Combined Heat and Power, CHPA - 1049 Fifth Avenue Condo	364,238
	COMBINED HEAT AND POWER, CHPA - Compass Residences	232,050
	COMBINED HEAT AND POWER, CHPA - Compass Residences 2A	117,000
	COMBINED HEAT AND POWER, CHPA - Compass Residences 2B	117,000
	Combined Heat and Power, CHPA - La Casa Del Mundo	117,000
	Combined Heat and Power, CHPA - POD Hotel	232,050
COI Energy Services Inc	Cleantech Ignition, PON4534 NY Climate Progress R1	500,000
Columbia University	Environmental Research, Climate Info Needs Assessment	49,910
Common Ground Community II HDFC	Multifam Performance Pgm, Multifamily	65,100
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	120,900
Comunilife, Inc	Multifam Performance Pgm, Multifamily	297,600
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	297,600
CON EDISON SOLUTIONS, INC.	<200KW PV, NY-Sun	505,197
	>200KW PV, Commercial/Industrial	345,305
	>200KW PV, PON 2112 NY SUN	268,704
	NY-SUN, Commercial/Industrial	280,559
Concern for Independent Living, Inc.	Multifam Performance Pgm, Multifamily	162,000
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	32,400
Consensus Building Institute, Inc.	Environmental Research, CBI: LS solar vol guide devlpt	49,941
Consortium for Energy Efficiency, Inc.	NYCH: Critical Tools, ASHP Education and Awareness	20,000
Continental Buchanan, LLC	Industrial Process Effic, Industrial Process Efficiency	100,000
Convergent Energy and Power LP	>200KW PV, NY Sun	2,284,256
Corelogic, Inc.	Informat. Products & Brokering, RFQL 3711 CoreLogic Bldg Data	132,405
Cornell University	Industrial Process Effic, Industrial Process Efficiency	49,445
Cornerstone Energy Services	RENEWABLE HEAT NY, Cornerstone Services - Quinn	20,979
Corning Inc.	Industrial Process Effic, Industrial Process Efficiency	848,844

Contracts Completed

Period 10/1/2021 through 3/31/2022

Contractor	Contract Description	Total Contract Amount
Council Rock Enterprises	Talent Pipeline:CE and OJT, OJT	10,240
	Talent Pipeline:CE and OJT, OJT HIRE	29,712
Country Suburban Heating & Air Condition	NYCH: Talent Ppln:CE and OJT, OJT HIRE	17,280
County Cooling, Corp.	NYCH: Talent Ppln:CE and OJT, OJT	10,240
	NYCH: Talent Ppln:CE and OJT, OJT HIRE	10,240
County Heat & AC, LLC	NYCH: Talent Ppln:CE and OJT, OJT HIRE	18,400
Credit Suisse USA	Industrial Process Effic, Industrial Process Efficiency	49,002
CTG:I LLC	OTHER PROGRAM AREA, i3 1 year subscription	8,925
Cuba Rushford Central School	K-12 SCHOOLS, P12GC-19_E -Cuba-Rushford -PON	41,675
CubeSmart TRS Inc	>200KW PV, NY-Sun	24,720
Culver Company, LLC	POLICY DEVELOPMENT, 2021 NYS Fair Promo Item (DPS)	20,055
Cutone & Company Consultants, LLC	Commercial Real Estate Ten, Cutone (LCA) - MultiSite - CTP	20,290
	Commercial Real Estate Ten, LCA - 151 W 26th St Fl 8 - CTP	19,655
CVENT, Inc.	OREC: Technical Support, OSW Virtual Supplier Forum	25,000
Cypress Creek Renewables LLC	>200KW PV, NY Sun	1,128,204
	>200KW PV, NY-Sun C&I	1,109,185
	ESTOR:Retail Storage Incentive, Retail Storage	1,628,000
CyrusOne	Industrial Process Effic, Industrial Process Efficiency	75,541
D.L. English Consulting, Inc.	ENERGY ANALYSIS, Indian Point Consultant	0
	OTHER PROGRAM AREA, Indian Point Consultant	356,475
Dailey Electric Inc	NYCH: Talent Ppln:CE and OJT, OJT	7,680
	NYCH: Talent Ppln:CE and OJT, OJT HIRE	7,200
	NYCH: Talent Ppln:CE and OJT, Workforce Dev & Train	10,800
Darling Advertising Agency Inc.	NYSERDA ADMINISTRATION, Marketing Support for NYSERDA	301,752
	OREC: Technical Support, TWO 8 GLW Marketing Support	25,000
Data Nerds Marketing Ltd.	Eval MCDL Cross Cutting, Purchase Building Data	15,000
Datagryd Data Centers, LLC	Industrial Process Effic, Industrial Process Efficiency	715,933
	Industrial Process Effic, IPE16240 - Datagryd Data Cent	1,000,000
David Homes, Inc.	New Construction Housing, 2019 LRNCP	19,950
Day Automation Systems, Inc.	K-12 SCHOOLS, P12GC-54E - Elmira Heights-PON	10,695
DCF Energy Group, LLC	<200KW PV, NY-Sun	6,528
Delaware River Solar, LLC	>200KW PV, NY Sun	462,726
Dell, Inc.	NYSERDA ADMINISTRATION, Dell - laptops docks Qty. 5	5,674
DePaul Properties, Inc.	New Construction Housing, 2019 LRNCP	40,000
DG New York CS, LLC	ESTOR:Retail Storage Incentive, Retail Storage	5,400,000
Digital Realty Trust	Industrial Process Effic, Industrial Process Efficiency	210,981
Dillon Klepetar	Advancing Ag Enrgy Technologie, Advancing Ag Energy Tech PON	34,636
Direct Packet Inc.	NYSERDA ADMINISTRATION, Endpoint Services - 1 year	5,000
	NYSERDA ADMINISTRATION, Video Hardware Renewal – Cisco	11,881
Distributed Solar Development, LLC	>200KW PV, NY-Sun	1,099,584
DJ Acquisition Management	Industrial Process Effic, Industrial Process Efficiency	11,637
DMV EQUITY, INC.	<200KW PV, PON 2112 NY SUN	16,128
DNV Energy Insights USA Inc.	Air Source Heat Pumps, TWO 6 - Performance Monitoring	122,468
	Commercial Real Estate Ten, TWO 5 CEF Comm Impact_ERS	158,773
	ENERGY ANALYSIS, TWO#1 OSW Resource Planning	752,753
	EVALUATION, TWO 6 - Performance Monitoring	10,230

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Contractor	Contract Description	Total Contract Amount
DNV Energy Insights USA Inc.	Geothermal Incentive Program, TWO 6 - Performance Monitoring	209,795
	Industrial Process Effic, Technical Review and Program	5,376
	K-12 SCHOOLS, TWO 5 CEF Comm Impact_ERS	187
	New Construction- Commercial, Commercial New Construction	39,260
	OREC: Technical Support, TWO#1 OSW Resource Planning	500,000
	Real Time Enrgy Management, TWO 5 CEF Comm Impact_ERS	250,515
	REV Campus Challenge, TWO 5 CEF Comm Impact_ERS	104,821
	Technical Services, FT13163 - 650 Brush Ave - FTC	22,554
	Technical Services, FT13461 - Sheraton - FTC	14,000
Dodge Data & Analytics	Code to Zero, Business Intelligence Subscrip	12,245
	Eval MCDG Cross Cutting, Business Intelligence Subscrip	34,430
Doherty Electric, LLC	<200KW PV, PON 2112 NY SUN	39,270
Dollaride, Inc.	Cleantech Ignition, PON 3871 Ignition Grants	98,130
	Cleantech Ignition, PON4534 NY Climate Progress R2	500,000
Downtown Ithaca Alliance	CLEAN TRANSPORTATION, Ithaca TDM/TMA Demonstration	170,636
Dr. Richard Schlesinger	ENVIRONMENTAL RESEARCH, Environmental Research	30,000
DTN, LLC	ENERGY ANALYSIS, Purchase 12-month subscription	23,760
Dual Fuel Corp	Real Time Enrgy Management, Dual Fuel-Multisite-RTEM	153,180
DVM Industries	Talent Pipeline:CE and OJT, OJT HIRE	10,240
E4TheFuture Inc.	Eval MCDG: ccASHP Summer Meter, ccASHP Cooling Study	25,000
E-Mobility Market Services, Inc.	Talent Pipeline:CE and OJT, OJT	10,240
Eagle Creek Hydro Power LLC	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	970,050
EagleHawk One, Inc.	Cleantech Ignition, NY Climate Progress	500,000
East West General Construction	NYCH: Talent Ppln:CE and OJT, OJT	10,240
Eastern Research Group, Inc.	Environmental Research, Environmental Outreach	500,000
Eco Heating & Cooling Inc	NYCH: Talent Ppln:CE and OJT, OJT HIRE	23,400
Ecogy New York I LLC	>200KW PV, NY-Sun	257,500
Ecogy New York II LLC	>200KW PV, NY-Sun	721,280
Ecogy New York VI LLC	>200KW PV, NY-Sun	198,860
Ecology and Environment Engineering	Environmental Research, TWO #20 G&G Survey	84,700
	Off-Shore Wind Pre-Dev Act, RFP3462 Umbrella Agreement	318,420
	OREC: Technical Support, E&E TWO 21	261,350
Ecovis, Inc.	<200KW PV, PON 2112 NY SUN	13,745
EDF Renewables Distributed Solutions Inc	>200KW PV, NY Sun	1,686,388
Edison Energy, LLC	Technical Services, Indoor Air Quality TWO -Edison	200,000
EF Columbus Renewables, LLC	>200KW PV, NY Sun	975,000
	NY-SUN, NY Sun	1,350,000
Eiger 3970 Consultants Inc.	<200KW PV, NY-Sun	129,276
	<200KW PV, PON 2112 NY SUN	34,822
	>200KW PV, NY Sun	414,777
	NY-SUN, NY Sun	510,494
	NY-SUN, NY-Sun	147,744
Ekostinger, Inc.	Cleantech ICC Engage, Co-Investment Fund Prgm RFQL	500,000
Electric Power Research Institute	High Performing Grid, "Learning" Smart Inverters	350,000
	High Performing Grid, PON 3397 CAT B	255,015
	High Performing Grid, PON 3397 Round 2 - Category D	982,315

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Contractor	Contract Description	Total Contract Amount
Electric Power Research Institute	High Performing Grid, Smart Inverter Setting Guide	400,000
	SMART GRID SYSTEMS, EPTD Smart Grid Program	295,000
Electron Coil Inc.	CLEAN TRANSPORTATION, Lightweight Inductor	94,096
Elisa Miller-Out	Innovation Advisors, RFP 3859	300,000
	OTHER PROGRAM AREA, RFP 3859	150,000
Embertec USA, LLC	Market Tests, Purchase 390 Tier 2 APS	15,207
EMCOR Services Betlem	Technical Services, AGG1008-EMCOR Services Betlem	50,000
	Technical Services, FT13415 - Keurig - FTC	9,989
EME Consulting Engineering Group, LLC	NYCH: Technical Assistance, FT13169 - 577 First - FTC	9,054
	NYCH: Technical Assistance, FT13326 - 105-05 69th - FTC	10,000
	NYCH: Technical Assistance, Westchester Tech Services	200,000
	Talent Pipeline:CE and OJT, OJT HIRE	30,480
	Technical Services, FT13061 - NYU Langone - FTC	500,000
	Technical Services, Westchester Tech Services	200,000
Empire Solar Solutions LLC	<200KW PV, PON 2112 NY SUN	372,280
Empower CES, LLC	<200KW PV, NY Sun	112,500
	>200KW PV, PON 2112 NY SUN	55,359
	COMMUNITY SOLAR, PON 2112 NY SUN	5,760
	ENERGY STORAGE, PON 2112 NY SUN	193,750
Endurant Energy LLC	NYCH: Talent Ppln:CE and OJT, OJT HIRE	10,240
ENER-G Rudox, LLC	Combined Heat and Power, CHPA - The Rector	341,353
Energy & Environmental Research	ENERGY ANALYSIS, EEA Project and Program Review	25,000
Energy & Resource Solutions, Inc.	Rmve Barriers Dist Enrgy Storg, RFP 3407 Categories 2 & 3A	653,315
Energy and Environmental Economics Inc.	ENERGY ANALYSIS, TWO #28 BEEM Tool & Scenarios	325,000
	ENERGY ANALYSIS, TWO#15 Solar PV Adoption Forec	75,000
	ENERGY ANALYSIS, TWO#21 - NG Avoided Cost Tool	150,000
	Grid Emissions Whitepaper, TWO#26 Grid Emission Factors	180,667
	Product Standards, TWO #28 BEEM Tool & Scenarios	100,000
Energy Conservation & Supply, Inc.	Talent Pipeline:CE and OJT, OJT	15,000
	Talent Pipeline:CE and OJT, OJT HIRE	10,000
	Talent Pipeline:CE and OJT, Workforce Dev & Train	10,000
	WORKFORCE DEVELOPMENT, OJT HIRE	10,240
Energy Improvement Corporation	Clean Energy Communities, EIC PACE financing program	3,690,000
Energy Management Solutions, LLC	Talent Pipeline:CE and OJT, OJT	5,760
	Talent Pipeline:CE and OJT, OJT HIRE	5,440
Energy Savers Inc	Talent Pipeline:CE and OJT, OJT HIRE	10,560
Energy Saving Solutions, LLC	Renewable Heat NY, Energy Saving Solutions- Scott	12,000
Energiv Inc.	Cleantech Ignition, PON4534 NY Climate Progress R1	500,000
	Real Time Enrgy Management, Energiv-Sibley 250 E Main-RTEM	17,056
	Real Time Enrgy Management, Eric Mausukopf--255E.74th-RTEM	11,305
	Real Time Enrgy Management, SL Green - 919 3rd Ave - RTEM	16,088
	Talent Pipeline:CE and OJT, OJT HIRE	10,240
Ensave, Inc.	Advancing Ag Enrgy Technologie, Advancing Ag Energy Tech PON	142,719
Environment & Energy Publishing, LLC	NYSERDA ADMINISTRATION, 2021-22 Subscription E&E News	15,110
ePlus inc	NYSERDA ADMINISTRATION, EPlus - wireless migration	6,472
	NYSERDA ADMINISTRATION, nVidia VDI Licensing - 1yr	18,315

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Contractor	Contract Description	Total Contract Amount
Erdman Anthony & Associates, Inc.	NYSERDA ADMINISTRATION, Building 17 FlexTech Study TWO	25,849
Erie County	CLEANER GREENER COMMUNITIES, CGC40859 - Erie County	250,000
ERY Retail Podium LLC	COMBINED HEAT AND POWER, Supplier Name Change	2,400,000
ESNY-PLD-BRONX LLC	>200KW PV, NY-Sun	391,356
Essex County Government Center	CLEANER GREENER COMMUNITIES, CGC31777 - Essex County	804,508
EV Connect Inc.	CLEANER GREENER COMMUNITIES, CGC55811 - EV Connect	1,400,000
Extraterrestrial Materials Inc.	<200KW PV, PON 2112 NY SUN	119,297
FAC Sunset Park, LP	Multifam Performance Pgm, Multifamily	41,500
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	8,500
Felix Schoeller Paper	Industrial Process Effic, Industrial Process Efficiency	22,111
Ficazzola Consulting, LLC	<200KW PV, NY-Sun	5,000
Fingerlakes Renewables	<200KW PV, PON 2112 NY SUN	15,890
Foam It Insulation, LLC	Talent Pipeline:CE and OJT, OJT	23,040
	Talent Pipeline:CE and OJT, OJT HIRE	48,480
Fobare & Co. LLC	<200KW PV, PON 2112 NY SUN	6,650
ForeFront Power, LLC	>200KW PV, NY Sun	45,103
Fotobabble, Inc.	Combined Heat and Power, Field inspection date capture	4,800
	Low Carbon Tech Demos, Field inspection date capture	6,800
	Multifam Performance Pgm, Field inspection date capture	7,200
	NYCH: Comfort Home, Field inspection date capture	1,200
Fourth Coast, Inc.	<200KW PV, PON 2112 NY SUN	20,502
Fred F. Collis & Sons, Inc.	NYCH: Talent Ppln:CE and OJT, OJT HIRE	30,240
	Talent Pipeline:CE and OJT, OJT	5,760
	Talent Pipeline:CE and OJT, OJT HIRE	14,160
Frontier Energy, Inc.	Industrial Process Effic, IPE16229	5,460
FS Energy, LLC	Workforce Industry Partnership, PON 3442 Workforce Training	400,000
Fusco Personnel, Inc.	NYSERDA ADMINISTRATION, Temp Services - Marketing PM	189,810
Fusion Energy Services LLC	<200KW PV, NY-Sun	13,120
	<200KW PV, PON 2112 NY SUN	32,914
G&S Operations LLC	>200KW PV, PON 2112 NY SUN	497,376
Gardeau Crest Farm	Anaerobic Digesters, PON 3739 CAT C	15,000
Gartner Inc.	NYSERDA ADMINISTRATION, Gartner 2022 Renewal	40,143
	NYSERDA ADMINISTRATION, Gartner Services 2019-2020	55,356
Gas Technology Institute	ADVANCED BUILDINGS, Advanced Buildings Technology	188,111
GDS Associates, Inc.	Technical Services, Agricultural Best Practices	100,547
Generate Capital Inc.	<200KW PV, NY-Sun	231,840
Generate NY Community Solar I, LLC	>200KW PV, NY-Sun C&I	1,281,677
Generate NY Community Solar Lessor II, L	>200KW PV, NY Sun Assignment	529,046
	>200KW PV, NY-Sun C&I	1,087,146
Generate NY Community Solar Lessor III,	ESTOR:Retail Storage Incentive, Retail Storage	814,000
GENEVA Group Inc.	Cleantech Incubator, Innovation Team Consultant	50,000
GEOMETRICS, INC.	OTHER PROGRAM AREA, Magnetometer Purchase	59,390
George E Denmark II	<200KW PV, PON 2112 NY SUN	8,572
Georgia Tech Research Corporation	SMART GRID SYSTEMS, Setting-less Protection Device	897,994
Georgica Green Ventures, LLC	Multifam Performance Pgm, Multifamily	162,000
Geotherm Inc.	NYCH: Talent Ppln:CE and OJT, OJT	7,680

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Contractor	Contract Description	Total Contract Amount
Geotherm Inc.	NYCH: Talent Ppln:CE and OJT, OJT HIRE	7,680
Getty Images (US), Inc.	NYSERDA ADMINISTRATION, Getty Images Subscription	12,564
Go Solar, LLC	<200KW PV, PON 2112 NY SUN	13,770
Goldman Copeland Associates, P.C.	Commercial Real Estate Ten, GCA - 485 Lexington Ave	5,000
	Commercial Real Estate Ten, GCA - 485 Lexington Ave - CTP	5,000
	Commercial Real Estate Ten, GCA-1333 Broadway Ave	5,986
	Commercial Real Estate Ten, GCA-3300 Northern 7FI	6,986
	Commercial Real Estate Ten, Goldman-60 E 42nd St FI 44	6,990
	K-12 SCHOOLS, P12GC-12_E - Grace Church -FTC	14,984
	REV Campus Challenge, FT13271 - 101 Ludlow - FTC	9,580
	Technical Services, AGG1007 - GoCo - Portfolio 4	50,000
	Technical Services, FT13003 - 1466 Manor - FTC	16,488
	Technical Services, FT13122 - Roxy Hotel - FTC	15,991
	Technical Services, FT13123 - Soho Grand - FTC	17,468
	Technical Services, FT13260 - 601 W 26th - FTC	29,970
	Technical Services, FT13272 - 555-557 Broad. - FTC	14,998
	Technical Services, FT13292 - 866 UN Plaza - FTC	17,986
	Technical Services, FT13308 - 750 7th - FTC	29,990
	Technical Services, FT13400 - 30 Lincoln - FTC	14,991
	Technical Services, FT13468 - Vornado - 330 W 34th	5,996
Technical Services, FT13469 - 7 W. 34th - FTC	5,970	
Gotham 360 LLC	Remote Energy Management, RFP 3683 REM Program	750,000
GovOS, Inc.	NYSERDA ADMINISTRATION, Seamlessdocs Licensing 22- 23	49,609
GPSDC New York Inc	Industrial Process Effic, Industrial Process Efficiency	503,908
Grabinski Solar LLC	>200KW PV, NY Sun	1,045,803
Gree Mechanical Services USA Corp	NYCH: Talent Ppln:CE and OJT, OJT HIRE	10,240
Green Eagle Solar VI, LLC	>200KW PV, NY-Sun C&I	1,775,547
Green Home Logic, Inc.	WORKFORCE DEVELOPMENT, OJT HIRE	12,000
	WORKFORCE DEVELOPMENT, OJT Hire Ferrara	8,000
Green Hybrid Energy Solutions Inc.	<200KW PV, PON 2112 NY SUN	25,319
	>200KW PV, PON 2112 NY SUN	28,800
Green Light New York, Inc.	Real Time Enrgy Management, Market Engagement Support-RTEM	41,198
Green Street Power Partners LLC	>200KW PV, PON 2112 NY SUN	445,896
Green Team USA, LLC	NYCH: Talent Ppln:CE and OJT, OJT HIRE	50,080
	WORKFORCE DEVELOPMENT, OJT HIRE	35,280
Green Visions Solar LLC	<200KW PV, NY-Sun	18,492
GreenLogic, LLC	ENERGY STORAGE, PON 2112 NY SUN	12,500
GreenStar Cooperative Market	Commercial New Construc, Commercial New Construction	36,778
Greenville NY 1, LLC	>200KW PV, NY-Sun C/I	501,968
Grid City Electric Corp	<200KW PV, NY-Sun	19,272
	>200KW PV, NY-Sun	4,818
	>200KW PV, PON 2112 NY SUN	100,716
Group-S LLC	Flexible Tech Assistance, FT12224-2 CharltonHouseCHP-FTC	30,750
	Talent Pipeline:CE and OJT, OJT HIRE	17,664
	Technical Services, FT13098 - 57 Reade - FTC	11,500
	Technical Services, FT13102 - 333 E 69th - FTC	20,175

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Contractor	Contract Description	Total Contract Amount
Group-S LLC	Technical Services, FT13136 - 43 E 53rd St - FTC	8,950
	Technical Services, FT13179 - 1293 Broadway - FTC	10,500
	Technical Services, FT13183 - D&D Building - FTC	18,800
	Technical Services, FT13234 - 42 W 39th - FTC	14,800
	Technical Services, FT13242 - 11 Chapel - FTC	9,750
	Technical Services, FT13296 - 47-25 34th - FTC	13,000
	Technical Services, FT13361 - 375 Pearl - FTC	8,000
GSPP Avenue H, LLC	>200KW PV, NY-Sun	191,808
Guidehouse Inc.	Environmental Research, TWO #2 Equitable Cooling	261,887
	EVALUATION, TWO #4 PM&IP	47,137
Gutchess Lumber Company	Industrial Process Effic, Industrial Process Efficiency	131,427
Guth Deconzo Consulting Engineers	Technical Services, IAQ-Higher Education-Guth TWO	94,000
Habitat New Lots LLC	Low Rise New Construction, 2019 LRNCP	12,000
Halcyon Inc.	NYCH: Talent Ppln:CE and OJT, OJT	25,920
Halcyon, Inc.	<200KW PV, NY-Sun	8,976
	NYCH: Talent Ppln:CE and OJT, OJT Hire	108,960
	Talent Pipeline:CE and OJT, OJT HIRE	45,600
HALO Branded Solutions, Inc.	POLICY DEVELOPMENT, 2021 NYS Fair Promotional Item	26,133
Hamilton College	REV Campus Challenge, RM31-Hamilton College	154,000
Harolds Holding LLC	Multifam New Construction, New Construction	119,200
Harris Beach PLLC	Code to Zero, Codes	3,000
	Code to Zero, Codes, Products and Standards	20,000
	NYSERDA ADMINISTRATION, Financial Solutions	25,000
	NYSERDA ADMINISTRATION, On Bill Financing Doc	10,000
Harris Wiltshire & Grannis LLP	Code to Zero, Codes to Zero Outside Counsel	50,000
	NYSERDA ADMINISTRATION, Outside Counsel for Resource A	75,000
	OREC: Technical Support, RFP3776 Outside Counsel Servic	530,000
Harvest Power, LLC	<200KW PV, NY-Sun	85,176
	>200KW PV, NY-Sun	58,764
	ENERGY STORAGE, PON 2112 NY SUN	6,250
Hatch Associates Consultants, Inc.	OREC: Technical Support, OSW Mesh Grid Technical Appen	45,000
Hawn Heating & Energy Services LLC	NYCH: Talent Ppln:CE and OJT, OJT HIRE	26,760
	Talent Pipeline:CE and OJT, OJT	8,460
HDFC 185 East 2nd Street Corp.	Technical Services, FT13151 - 185 East - PON	6,250
Hebrew Home for the Aged at Riverdale	COMBINED HEAT AND POWER, CHP Performance - PON2701	2,400,000
Heritage Village Apartments, LLC	Multifam Performance Pgm, Multifamily	313,600
HEVO Inc.	Cleantech Ignition, PON4534 NY Climate Progress R1	500,000
HI TECH HVAC Services CORP	NYCH: Talent Ppln:CE and OJT, OJT	53,800
	NYCH: Talent Ppln:CE and OJT, OJT HIRE	51,200
Hilltop Heating Corporation	Renewable Heat NY, Ray Brook Large Biomass Boiler	125,209
HK Truck Services Inc.	CLEAN TRANSPORTATION, NYTVIP - STA of NY	800,000
Hodgson Russ LLP	>200KW PV, RFP 3300 & RFP 3776 Outside Co	200,000
Holland & Knight LLP	NEW YORK GREEN BANK, RFP 12 - NYGB Legal Services	154,621
	NYSERDA ADMINISTRATION, RFP 12 - NYGB Legal Services	16,589
	OREC: Technical Support, RFP 12 - NYGB Legal Services	22,856
	ZEC:CES ZEC Pgm Non-Rec Exp, RFP 3300 & RFP 3776 Outside Co	36,585

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Contractor	Contract Description	Total Contract Amount
Home Leasing, LLC	New Construction Housing, 2019 LRNCP	68,000
HomeCycle Technologies, Inc.	REC:CES REC System Dev Costs, RESRFP21-1 TEP IE	49,500
Honeywell International Inc.	RENEWABLE HEAT NY, RHHY Pellet Stove QA Services	49,999
Housing Trust Fund Corporation	New Construction Housing, HCR 2021	7,500,000
Hudson River Renewables	<200KW PV, PON 2112 NY SUN	59,140
Hudson River Trading	Industrial Process Effic, Industrial Process Efficiency	161,563
Hudson Valley Clean Energy Inc.	<200KW PV, NY-Sun	143,780
	<200KW PV, PON 2112 NY SUN	32,869
	NY-SUN, NY-Sun	123,240
Hudson Valley Wind Energy, LLC	<200KW PV, PON 2112 NY SUN	15,092
Hyland Facility Associates	LARGE SCALE RENEWABLES, RFP 2226-RPS Purchase of RE At	3,146,035
Hytech Solar Inc	ENERGY STORAGE, PON 2112 NY SUN	6,250
ICF Resources, LLC	Air Source Heat Pumps, P12 Clean Energy Screening TWO	59,681
	Campus/Technical Assistance, P12 Clean Energy Screening TWO	234,810
	ENVIRONMENTAL RESEARCH, TWO #8 Electricity System Mode	49,671
	K-12 SCHOOLS, P12 Clean Energy Screening TWO	58,703
IGS Solar, LLC	<200KW PV, PON 2112 NY SUN	5,950
IGS Ventures, Inc.	>200KW PV, NY Sun	95,106
IHS Global Inc.	ENERGY ANALYSIS, 2021-22 OPIS Alerts&Newsletter	6,708
	ENERGY ANALYSIS, OPIS Alerts and Newsletter	6,300
IKEA US Retail LLC	Fuel Cells, Fuel Cell Incentive - FC-022	288,750
	Fuel Cells, Fuel Cell Incentive - IKEA 1 B	165,000
Illume Advising LLC	EVAL MCDC: DAC Barriers/Ooport, TWO No 1 - DAC Barriers Report	280,661
	EVAL MCDC:SQA LMI Behav. Study, LMI Quality Assurance Inspecti	9,980
Impact by Design Inc.	Low-Income Forum on Energy, Facilitation Support NYSERDA	49,500
In Time of Need, Inc.	NY-SUN, New Gospel Temple Bronx	89,000
Incorporated Villlage of Philmont	CEC400097 - Village of Philmon	30,000
	Clean Energy Communities, CEC400097 - Village of Philmon	5,000
Industrial Economics, Incorporated	Eval MCDC LMI, TWO 3 QA Benchmarking Project	50,000
	Large Scale Renewables, RFQ3183 Umbrella Agreement	186,477
	Mkt Char: Tech Assist, TWO 3 Utility Outages Phase II	374,994
	Mkt Char: Tech Assist, TWO #2 Outage Damages	45,000
Infinity Solar Systems, LLC	<200KW PV, PON 2112 NY SUN	91,177
Info-Tech Research Group Inc.	NYSERDA ADMINISTRATION, Info-Tech Research Group.1yr.	37,400
Innovative Energy Systems, LLC	LARGE SCALE RENEWABLES, DANC LFGE	5,992,636
Institute for Building Technology and Sa	<200KW PV, RFQL 3434 IBTS Standards & QA	177,291
	COMMUNITY SOLAR, RFQL 3434 IBTS Standards & QA	44,409
	EMPOWER NY, RFQL 3434 IBTS Standards & QA	117,805
	Home Perf w Energy Star, RFQL 3434 IBTS Standards & QA	306,036
	NY-SUN, RFQL 3434 IBTS Standards & QA	1,354,906
	RFQL 3434 IBTS Standards & QA	75,600
InStream, LLC	microfilm reader/scanner	9,645
	WEST VALLEY DEVELOPMENT PROGRAM, microfilm reader/scanner	300
Integrated Solar Technology, LLC	OTHER PROGRAM AREA, Technology to Market	500,000
Integrity Solar Solutions, LLC	<200KW PV, PON 2112 NY SUN	30,166
International Business Machines	NYSERDA ADMINISTRATION, Replacement for PPSI Site	34,129

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Contractor	Contract Description	Total Contract Amount
International Business Machines	Technical Services, FT13294 - 1 North Castle - PON	33,948
International District Energy Associatio	District Heating Systems, International District Energy	50,000
International Electronic Machines Corp.,	CLEAN TRANSPORTATION, WISE Wheel Profile Demo	399,463
Interplay Learning Inc.	Talent Pipeline:CE and OJT, On-Line Training Subscription	100,000
Intralinks, Inc.	NEW YORK GREEN BANK, 3PC VDR Services	11,250
IPPsolar Integration LLC	<200KW PV, NY-Sun	124,837
	NY-SUN, NY-Sun	13,628
IRN 694 Binnewater LLC	<200KW PV, NY-Sun	61,583
J Synergy Green Inc	WORKFORCE DEVELOPMENT, OJT HIRE	36,592
J Synergy Solar LLC	<200KW PV, NY-Sun	5,840
	COMMUNITY SOLAR, PON 2112 NY SUN	19,232
J. Grace Corporation	NYCH: Talent Ppln:CE and OJT, OJT HIRE	10,240
	Talent Pipeline:CE and OJT, OJT HIRE	10,080
Jasper Van den Munckhof	Retrofit NY, Multifamily	200,000
JBI Construction Group	>200KW PV, PON 2112 NY SUN	100,044
JC Solutions LLC	Nat'l OffShWind R&D Consortium, Natl Offshore Wind R&D	378,447
	Natl Offshore Wind R&D	378,447
JDC Energy Services, LLC	ENERGY STORAGE, Retail Storage	448,750
JEM ENGINEERING SERVICES	High Performing Grid, PN3770 Model Fault overvoltage	325,833
John Betlem Heating & Cooling Inc	NYCH: Talent Ppln:CE and OJT, OJT	7,200
	NYCH: Talent Ppln:CE and OJT, OJT HIRE	62,880
	Talent Pipeline:CE and OJT, OJT HIRE	15,200
Joule Assets Inc	CLEANER GREENER COMMUNITIES, CGC57954 - Joule Assets	391,000
Kamtech Restoration Corp	<200KW PV, NY-Sun	5,760
	<200KW PV, PON 2112 NY SUN	12,021
Kasselman Solar LLC	<200KW PV, NY-Sun	101,420
	<200KW PV, PON 2112 NY SUN	424,791
Kathy Lambert	Environmental Research, Env Research Plan: Ecosystems	32,000
Kawi Energy Group Corp.	Commercial Real Estate Ten, Kawi Energy Group - Multisite	68,961
	Commercial Real Estate Ten, Kawi-1 Liberty Plaza FI38-39	9,018
	Talent Pipeline:CE and OJT, OJT HIRE	30,720
Kearns & West, Inc.	REC4:CES REC4 Tech Support, TWO 5 - T4__Eval Plan Servic	39,836
Kelliher Samets LTD	Clean Energy Communities, TWO 29 Global Paid Search	4,324
	Commercial Real Estate Ten, Marketing Support for NYSERDA	255,346
	Commercial Real Estate Ten, TWO 24: CI Awareness Pilot MKT	50,000
	Empire Building Challenge, TWO 35: EBC Strat. Plan	25,000
	ENERGY ANALYSIS, KSVTWO 37: Climate Act Website	46,000
	ENERGY ANALYSIS, TWO 27: 2019 SEP Marketing	250,000
	Flexible Tech Assistance, Marketing Support for NYSERDA	410,871
	Flexible Tech Assistance, TWO 24: CI Awareness Pilot MKT	200,000
	Home Perf w Energy Star, Marketing Support for NYSERDA	510,850
	Industrial Process Effic, TWO 23: Industrial Mktg	150,000
	Industrial Process Effic, TWO 24: CI Awareness Pilot MKT	350,000
	LMI Community Solar, Marketing Support for NYSERDA	250,000
	New Construction Housing, Marketing Support for NYSERDA	265,000
	New Construction- Commercial, Marketing Support for NYSERDA	7,500

Contracts Completed
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Contractor	Contract Description	Total Contract Amount
Kelliher Samets LTD	NYSERDA ADMINISTRATION, TWO 29 Global Paid Search	12,000
	NYSERDA ADMINISTRATION, TWO 33: Social Media Support	100,000
	On-Site Energy Manager, TWO 23: Industrial Mktg	200,000
	On-Site Energy Manager, TWO 24: CI Awareness Pilot MKT	100,000
	Pay for Performance, KSVTWO39: Business Energy Pro	42,400
	Real Time Enrgy Management, Marketing Support for NYSERDA	583,353
	Real Time Enrgy Management, TWO 23: Industrial Mktg	100,000
	Real Time Enrgy Management, TWO 24: CI Awareness Pilot MKT	300,000
	REV Campus Challenge, Marketing Support for NYSERDA	80,000
	Strategic Energy Manager, TWO 23: Industrial Mktg	150,000
Khawaja Ali Zubair	OTHER PROGRAM AREA, Consulting agreement	25,000
Kilowatt Engineering, Inc.	Remote Energy Management, RFP 3683 REM Program	371,064
Kinderhook AD1, LLC	Combined Heat and Power, CHPA - Kinderhook AD1	878,428
Kinetic Communities Consulting Corporati	NYCH: Talent Ppln:CE and OJT, OJT HIRE	15,360
	Talent Pipeline:CE and OJT, OJT HIRE	30,720
	WORKFORCE DEVELOPMENT, OJT HIRE	15,360
Kingston, City of	Clean Energy Communities, City of Kingston	100,000
KLD Engineering, P.C.	CLEAN TRANSPORTATION, ICM Framework Suffolk County	148,757
Knox PV, LLC	>200KW PV, NY Sun	720,720
KPMG LLP	NEW YORK GREEN BANK, Audit Services	175,310
	NYSERDA ADMINISTRATION, Audit Services	407,850
L&S Energy Services, Inc.	ANAEROBIC DIGESTER, RPS-CST Quality Assurance/Qual	59,869
	Industrial Process Effic, IPE16220	5,000
	Industrial Process Effic, Umbrella Contract	51,618
	NYCH: Technical Assistance, L&S GJGNY Energy Audits	200,000
	Technical Services, AGG1004 - L&S Energy Services	50,000
LaBella Associates, P.C.	Campus/Technical Assistance, RFP3628FlexTechConsultUmbrella	12,000
	Commercial New Construc, New Construction	10,401
Lake Country Geothermal, Inc.	NYCH: Talent Ppln:CE and OJT, OJT HIRE	14,400
Lakeview Mental Health Services, Inc.	New Construction Housing, 2019 LRNCP	56,000
LC DRives	Talent Pipeline:CE and OJT, OJT HIRE	175,320
Lewis Custom Homes, Inc.	>200KW PV, NY-Sun	1,010,952
LexisNexis	NYSERDA ADMINISTRATION, Online Legal Research Access	49,968
Liberty Square Associates LLC	New Construction Housing, 2019 LRNCP	53,000
Lighthouse Landing Communities, LLC	NYCH: Technical Assistance, FT13143 - Edge on Hudson - PON	15,370
LinkedIn	NYSERDA ADMINISTRATION, Social Media Job Postings	108,000
Livingston Energy Group	Talent Pipeline:CE and OJT, OJT	13,850
Loeb & Loeb LLP	NEW YORK GREEN BANK, RFP 12 - NYGB Legal Services	16,997
Long Island Power Authority	NY-SUN, MOU - 3 year term	20,000,000
Long Island Power Solutions	<200KW PV, PON 2112 NY SUN	85,801
	COMMUNITY SOLAR, NY-Sun	7,752
	ENERGY STORAGE, NY-Sun	7,200
Low-Level Radioactive Waste Forum, Inc.	NYSERDA ADMINISTRATION, LLW Forum Membership - 2022	5,000
LTM Ventures LLC	Cleantech ICC Engage, Customer Assessment	48,500
M.J. Beck Consulting LLC	REC:CES REC System Dev Costs, TWO 4 - RESRFP21-1 TEP IE	40,500
M.J. Bradley & Associates	CLEAN TRANSPORTATION, BCA of EV grid impacts	75,287

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Contractor	Contract Description	Total Contract Amount
M.J. Bradley & Associates	Electric Vehicles - Innovation, BCA of EV grid impacts	15,005
M/E Engineering, P.C.	New Construction- Commercial, Commercial New Construction	66,650
	NYCH: Technical Assistance, Westchester Tech Services	200,000
	Technical Services, Westchester Tech Services	200,000
Main Street Lofts Yonkers, LLC	Technical Services, FT13457 - 66 Main - PON	11,975
Malcarne Contracting, Inc.	NYCH: Talent Ppln:CE and OJT, OJT HIRE	43,360
Mannino Electric, Inc.	<200KW PV, PON 2112 NY SUN	11,760
Mark Worthington	District Heating Systems, Mark Worthington	50,000
Martin Energy Group Services, LLC	Combined Heat and Power, CHPA-Amalgamated Housing Corp	202,236
Masaryk Towers Corp.	Multifam Performance Pgm, Multifamily	582,750
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	249,750
Max Solar Inc	<200KW PV, PON 2112 NY SUN	50,876
Max Wei	ENERGY ANALYSIS, Technical Assistance for EEA	10,000
McCloskey Community Services Corporation	New Construction Housing, 2020 LRNCP	75,200
McMahon and Mann Consulting Engineers	WEST VALLEY DEVELOPMENT PROGRAM, TWO 2 - Evaluation of ..	117,000
	WEST VALLEY DEVELOPMENT PROGRAM, TWO 3 - Trench Cap D..	55,000
	WEST VALLEY DEVELOPMENT PROGRAM, TWO #5 - Catch Basin	20,000
	WEST VALLEY DEVELOPMENT PROGRAM, TWO #6 Engineering S..	363,263
Mechanical Solutions, Inc.	NYCH: Innovation, Two Stage Centrifugal Compress	500,000
Meister Consultants Group, Inc.	Commercial Real Estate Ten, Efficiency Planning & Engineer	36,265
	Real Time Enrgy Management, Efficiency Planning & Engineer	200,000
Meltek Inc.	Talent Pipeline:CE and OJT, OJT HIRE	7,680
MGT Property Management LLC	NYCH: Technical Assistance, FT13249 - 38 E 29th - PON	36,707
	Tech Assistanc Multifamily LMI, FT13619 - Slate Phase 2 - PON	41,443
Michaels Group Homes, LLC	Single Family New Construction, NCP Housing	6,000
Michelangelo Preservation LLC	Multifam Performance Pgm, Multifamily	395,200
Milea Truck Sales Inc	CLEAN TRANSPORTATION, NYT-VIP	545,455
	CLEAN TRANSPORTATION, NYTVIP	109,091
MIMiC Systems Inc	NYCH: Innovation, NextGen HVAC Innovation	330,945
Minisink Solar 2, LLC	>200KW PV, NY-Sun C/I	1,092,655
Mintz, Levin, Cohn, Ferris, Glovsky and	Cleantech Ignition, RFP 12 - NYGB Legal Services	54,139
Molecular Glasses, Inc.	Cleantech Ignition, PON 3871 Ignition Grants	100,000
Mount Hope Solar 1, LLC	>200KW PV, NY-Sun C&I	1,032,960
Mount Sinai Medical Center	Flexible Tech Assistance, FT12248-Mt Sinai-Brooklyn-PON	17,850
Move Systems, Inc.	CLEAN TRANSPORTATION, food truck charging pedestal	200,000
MR. AIR NYC Corp.	NYCH: Talent Ppln:CE and OJT, OJT HIRE	20,480
MyPower Corp	>200KW PV, NY Sun C&I	2,440,206
	>200KW PV, NY Sun CI Assignment	845,093
	>200KW PV, NY-Sun	1,331,022
MyPower Corp.	>200KW PV, NY Sun	508,470
Naber Electric Corp	>200KW PV, NY-Sun	13,584
NanoHydroChem	Energy Storage Tech/Prod Dev, Renewable Optimz Energy Storge	200,000
NASEO	Prof & Expert Engagement, 2021 NASEO Membership Dues	15,960
National Oilheat Research Alliance	ADVANCED BUILDINGS, Advanced Buildings Technology	59,663
	ADVANCED BUILDINGS, Tankless Coil Boilers	40,338
National Renewable Energy Laboratory	Nat'l OffShWind R&D Consortium, Natl Offshore Wind R&D	700,000

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Contractor	Contract Description	Total Contract Amount
National Renewable Energy Laboratory	Natl Offshore Wind R&D	700,000
National Wind Technology Consortium, Inc	Nat'l OffShWind R&D Consortium, NOWRDC-108-PNNL	375,000
	NOWRDC-108-PNNL	375,000
NESCAUM	ENVIRONMENTAL RESEARCH, 123059 TWO#5	115,000
	ENVIRONMENTAL RESEARCH, CFD Modeling	49,500
	ENVIRONMENTAL RESEARCH, Tech Assist, REV Pool	445,000
	Renewable Heat NY, 123059 TWO#5	70,000
Netgains Engineering P.C.	Commercial Real Estate Ten, Netgains-2500 Third Ave	5,000
	NYCH: Technical Assistance, FT13372 - Montten Slope - FTC	5,000
	NYCH: Technical Assistance, FT13423 - 314 W 142nd - FTC	5,000
	NYCH: Technical Assistance, FT13483 - 1 Tiffany - FTC	6,000
	NYCH: Technical Assistance, FT13488 - 37-30 73rd - FTC	5,000
	NYCH: Technical Assistance, FT13493 - 105 Lexington - FTC	5,000
	NYCH: Technical Assistance, FT13532 - 222-224 W 21st - FTC	5,000
	NYCH: Technical Assistance, FT13540 - 250 E 30th - FTC	8,000
	Technical Services, FT13370 - Stages 1-6 - FTC	20,450
	Technical Services, FT13371 - Stages 10-15 - FTC	5,000
	Technical Services, FT13612 - 815 AoA - FTC	25,000
Network Experts of New York, Inc.	NYSERDA ADMINISTRATION, Network Consulting Services	10,860
New Buildings Institute, Inc.	Code to Zero, TWO#1 Roadmap Zero Carbon Blds	250,000
New Leaf Solar LLC	<200KW PV, PON 2112 NY SUN	8,750
New Paltz, Town of	Commercial New Construc, Commercial New Construction	9,643
New York Battery and Energy Storage	CLEAN TRANSPORTATION, Clean Transportation	7,795,003
	ENERGY STORAGE, Clean Transportation	2,499,997
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Clean Tran..	750,000
	Rmve Barriers Dist Enrgy Storg, TWO #4	135,000
New York Bicycling Coalition	CLEAN TRANSPORTATION, Training Course Development	49,433
New York City Housing Authority	NYCH: Communities, CEC811010 - City of New York	250,000
New York Homeowners Construction Co., LL	Talent Pipeline:CE and OJT, OJT HIRE	10,240
New York Independent Systems Operator	REC4:CES REC4 Tech Support, TIER 4 TECHNICAL ANLAYSIS	150,000
New York Power Authority,	High Performing Grid, PON 3770	400,000
New York Presbyterian Hospital	Industrial Process Effic, Industrial Process Efficiency	385,203
New York Solar Energy Industries Assoc.	>200KW PV, NYSEIA Sponsorship	30,000
New York State Ag & Markets	NYSERDA ADMINISTRATION, 2021 NYS Fair	7,753
	POLICY DEVELOPMENT, 2021 DPS NYS Fair Exhibit	10,329
New York State Forum for IRM	NYSERDA ADMINISTRATION, NYS Forum Membership 21 – 22	5,500
New York State Solar Farm Inc.	<200KW PV, PON 2112 NY SUN	149,051
Newburgh Housing Authority	Tech Assistanc Multifamily LMI, FT13020 - Newburgh - PON	7,500
Nexant, Inc.	MARKET PATHWAYS, Behavioral Demonstrations Prog	429,579
Next Generation Solar, LLC	<200KW PV, PON 2112 NY SUN	6,694
Nicholas Noyes Memorial Hospital	Technical Services, FT13175 - 111 Clara - PON	5,465
Nickels Energy Solutions LLC	<200KW PV, PON 2112 NY SUN	25,174
Nixon Peabody LLP	NEW YORK GREEN BANK, RFP 12 - NYGB Legal Services	1,714
	RFP 12 - NYGB Legal Services	71,564
Noresco LLC	NYCH: Technical Assistance, FT13484 - 75 Clinton - FTC	5,633
	Technical Services, FT13149 - 1 State - FTC	38,892

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Contractor	Contract Description	Total Contract Amount
Noresco LLC	Technical Services, FT13629 - 50 Vanderbilt - FTC	11,321
Norstar Solar LLC	>200KW PV, NY-SUN C&I (Assignment)	999,593
North Country School	RENEWABLE HEAT NY, North Country School Boiler	278,625
North Park Innovations Group, Inc.	Talent Pipeline:CE and OJT, PON3981 Round 3	250,000
Northbrook Lyons Falls, LLC	REC:CES REC Contracts, Large-Scale Renewables	996,606
Northeast Energy Efficiency Partnerships	Air Source Heat Pumps, 2021 Membership	25,000
	Air Source Heat Pumps, NEEP 2017 Membership	39,000
	Clean Energy Communities, 2021 Membership	10,000
	Code to Zero, 2021 Membership	20,000
	Code to Zero, NEEP 2017 Membership	10,000
	Community RH&C, NEEP 2017 Membership	15,000
	Home Energy Ratings, 2021 Membership	25,000
	NYCH: Critical Tools, Heat Pump Spec Development	49,760
	NYCH: Innovation, NEEP 2017 Membership	10,000
	NYSERDA ADMINISTRATION, 2021 Membership	10,000
	Product Standards, 2021 Membership	25,000
	Product Standards, Prod & Appliance Stnd Portal	50,000
	Prof & Expert Engagement, 2021 Membership	50,000
	Prof & Expert Engagement, NEEP 2017 Membership	25,000
	Strategic Energy Manager, 2021 Membership	10,000
Strategic Energy Manager, NEEP 2017 Membership	10,000	
Novel Approaches Solar Applications, LLC	<200KW PV, PON 2112 NY SUN	19,192
NP Environmental LLC	NYCH: Talent Ppln:CE and OJT, OJT HIRE	17,920
NSF Chaumont Site 1, LLC	>200KW PV, NY Sun	1,121,973
NSF Chaumont Site 2, LLC	>200KW PV, NY Sun	1,121,973
NSF Chaumont Site 3, LLC	>200KW PV, NY Sun	1,121,973
NSF Chaumont Site 4, LLC	>200KW PV, NY Sun	1,121,973
NSF Chaumont Site 5, LLC	>200KW PV, NY Sun	675,716
Nsf Enfield Site 1, LLC	>200KW PV, NY Sun	820,958
Nsf Enfield Site 2, LLC	>200KW PV, NY Sun	820,958
Nsf Enfield Site 3, LLC	>200KW PV, NY Sun	820,958
NSF Torrey Site 1, LLC	>200KW PV, NY Sun	824,896
NSF Torrey Site 2, LLC	>200KW PV, NY Sun	824,896
NSF Torrey Site 3, LLC	>200KW PV, NY Sun	824,896
NuWorld Lighting Solutions Inc	WORKFORCE DEVELOPMENT, OJT HIRE	17,920
NY Delaware II, LLC	>200KW PV, NY Sun C&I	792,310
NY Delaware V, LLC	>200KW PV, NY-Sun C&I	1,087,146
NYS Office for Technology	NYSERDA ADMINISTRATION, Office 365 2018-2019	96,697
NYS Office of Parks, Recreation and	<200KW PV, PON 2112 NY SUN	33,086
NYS Olympic Regional Development Auth.	Industrial Process Effic, Industrial Process Efficiency	43,774
NYSS LLC	COMMUNITY SOLAR, PON 2112 NY SUN	11,504
	ENERGY STORAGE, PON 2112 NY SUN	10,100
NYU Langone Hospitals	Technical Services, OsEM13-C - NYU Langone Health	214,000
O'Brien & Gere Engineers, Inc.	Real Time Enrgy Management, OBrien -	63,192
O'Connell Electric Company	<200KW PV, PON 2112 NY SUN	77,350
Oakvale Construction Co. Ltd.	LARGE SCALE RENEWABLES, Black Brook Hydro	475,000

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Contractor	Contract Description	Total Contract Amount
OFD Foods	Industrial Process Effic, Industrial Process Efficiency	80,678
OLEDWorks LLC	ADVANCED BUILDINGS, Advanced Buildings Technology	100,645
Omniafiltra	Industrial Process Effic, Industrial Process Efficiency	214,842
Omnicap Group, LLC	GJGNY REVOLVING LOAN FUND, Financial Advisory Services	375,000
Opinion Dynamics Corporation	Cleantech Startup Growth, RFQ3183 Umbrella Agreement	178,757
	Commercial Real Estate Ten, RFQ3183 Umbrella Agreement	586,200
Oracle America, Inc.	MARKET PATHWAYS, Behavioral Demonstrations Prog	588,200
Orange EV LLC	CLEAN TRANSPORTATION, NYT-VIP	140,080
	CLEAN TRANSPORTATION, NYTVIP	216,160
	CLEAN TRANSPORTATION, NYTVIP - Wegman's	140,542
Orenda Inc	Cleantech Ignition, PON4534 NY Climate Progress R1	500,000
Orrick Herrington & Sutcliffe LLP	NEW YORK GREEN BANK, RFP 12: NYGB Legal Services	23,947
Ove Arup & Partners Consulting Engineers	Empire Building Challenge, TWO 3 SDA tool, partner engage	25,000
	NYCH: Empire Build Challenge, TWO 3 SDA tool, partner engage	25,000
OwnBackup Inc.	NYSERDA ADMINISTRATION, Own backupSalesforce.KeyMgt.	36,077
OYA Church Road B LLC	>200KW PV, NY Sun	224,640
	NY-SUN, NY Sun	269,568
OYA Ruhlmann B LLC	>200KW PV, NY Sun	377,208
	NY-SUN, NY Sun	522,288
Pace University	Environmental Research, A-TWG facilitation services	49,997
Pactiv Corp.	Industrial Process Effic, Industrial Process Efficiency	82,808
Paradise Energy Solutions, LLC	<200KW PV, PON 2112 NY SUN	19,506
Parity Inc	Real Time Enrgy Management, Parity - 655 6th Avenue - RTEM	15,182
Park Grove Development, LLC	New Construction Housing, 2019 LRNCP	44,000
Pathfinder Engineers & Architects, LLP	Commercial New Construc, Commercial New Construction	18,162
	New Construction- Commercial, Commercial New Construction	33,831
	NYCH: Talent Ppln:CE and OJT, OJT HIRE	10,240
	Talent Pipeline:CE and OJT, OJT HIRE	9,600
Pathstone Housing Action Corporation	New Construction Housing, 2019 LRNCP	63,800
	New Construction Housing, New Construction	70,400
Patriot Energy Solutions Corp	<200KW PV, NY-Sun	7,776
Paul A. Bradbury	POLICY DEVELOPMENT, 2021 NYS Fair Promo Item (DPS)	12,841
PEMM LLC	Technical Services, FT13364 - Hess Mart - PON	5,573
	Technical Services, FT13365 - 265 E Main - PON	5,573
	Technical Services, FT13366 - 1279 Coffeen - PON	5,573
	Technical Services, FT13367 - 23582 NY-342 - PON	5,573
Pennrose LLC	Low Rise New Construction, 2019 LRNCP	73,400
Phase Innovations LLC	NYCH: Innovation, Modular Membrane Dehumidifying	342,500
PitchBook Data, Inc.	OTHER PROGRAM AREA, One Year Subscription Agreeemen	25,000
Plattsburgh Community Housing, Inc	Low Rise New Construction, 2019 LRNCP	40,000
Plugin Stations Online, LLC	Talent Pipeline:CE and OJT, OJT HIRE	7,680
PlugPV, LLC	<200KW PV, NY-Sun	79,056
	<200KW PV, PON 2112 NY SUN	529,594
	Talent Pipeline:CE and OJT, OJT HIRE	19,200
Potentia Management Group LLC	Talent Pipeline:CE and OJT, OJT	8,000
	Talent Pipeline:CE and OJT, OJT HIRE	37,385

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Contractor	Contract Description	Total Contract Amount
Potentia Management Group LLC	Talent Pipeline:CE and OJT, OJT Hire Alberici	10,752
Potters Industries	Industrial Process Effic, Industrial Process Efficiency	272,421
Power Advisory LLC	OREC: Technical Support, IE ORECRFP20-1	65,000
	REC:CES REC System Dev Costs, Inform LSR Energy Forecast	24,000
Powerhouse Dynamics, Inc	Real Time Enrgy Management, Powerhouse - Multisite - RTEM	35,611
Premier Solar Solutions LLC	<200KW PV, PON 2112 NY SUN	6,711
Prescriptive Data	Real Time Enrgy Management, PrescriptiveData-40E 52nd-RTEM	29,151
Pro Custom Solar LLC	<200KW PV, PON 2112 NY SUN	5,826
Prospekt West LLC	NEW YORK GREEN BANK, Konstantin Driker	186,956
Prowind Renewables Inc.	>200KW PV, NY Sun	4,362,826
Quanta Technology LLC	DER Integration(Intrcnct), Next Generation DER Gateway	400,000
Quest Energy Group	Commercial Real Estate Ten, Quest Energy - 20 W 34 Street	9,500
	Commercial Real Estate Ten, Quest Energy - 100 W 33rd St	7,750
	Commercial Real Estate Ten, Quest Energy - 257 Park Ave S	6,500
Quixotic Systems, Inc.	<200KW PV, NY-Sun	145,000
	>200KW PV, NY-Sun	154,728
QwikSolar, LLC	<200KW PV, PON 2112 NY SUN	18,991
R.W. Beck Group, Inc.	Electric Vehicles - Innovation, Concierge Services - Leidos	25,000
	Industrial Process Effic, Concierge Services - Leidos	25,000
	Multifam Performance Pgm, Concierge Services - Leidos	25,000
	On-Site Energy Manager, Concierge Services - Leidos	25,000
	Real Time Enrgy Management, Concierge Services - Leidos	50,000
	Technical Services, Concierge Services - Leidos	50,000
Radiant Labs, LLC	Informat. Products & Brokering, TWO 1 SFR and MFR Data Analys	50,000
Radiator Labs Inc.	Cleantech Ignition, PON4534 NY Climate Progress R1	500,000
Randstad North America, Inc.	ENERGY ANALYSIS, Payroll Services_Modeling & An	22,926
	ENERGY ANALYSIS, Temp Services Contract.	64,500
	NEW YORK GREEN BANK, PS.026_NYGB	99,550
	NYCH: Innovation, Payroll Services_Advanced Buil	21,548
	NYSERDA ADMINISTRATION, Payroll Services_Eval Intern	5,387
	NYSERDA ADMINISTRATION, Payroll Services_Legal_Intern	10,774
	NYSERDA ADMINISTRATION, PS.063 - Statistics_Intern	21,548
	Payroll Services	74,132
	Payroll Services_Eval Intern	16,161
	Temporary Services	106,880
RE-Nuble, Inc.	Cleantech Ignition, NY Climate Progress R2	500,000
re: Charge-e, Inc.	CLEAN TRANSPORTATION, Inductive charging for e-bikes	250,000
Red Hook CSA, LLC	>200KW PV, NY-Sun C&I	488,852
Reed Midem SAS	RTEM and Tenants, 2021 Propel NYC Conf	10,000
Regan Development Corp	New Construction Housing, 2020 LRNCP	56,000
Renewable Rochester LLC	<200KW PV, PON 2112 NY SUN	54,472
Renovus Energy, Inc.	<200KW PV, NY-Sun	119,543
	<200KW PV, PON 2112 NY SUN	57,243
	>200KW PV, NY Sun	72,097
	NY-SUN, NY-Sun	61,479
Rensselaer Polytechnic Institute-LRC	Talent Pipeline:CE and OJT, PON3981 WFD Capacity Building	247,850

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Contractor	Contract Description	Total Contract Amount
Research Foundation of CUNY	CLEAN TRANSPORTATION, CAVs Impacts Study	149,990
	High Performing Grid, PON 3397 Round 2 - Category A	278,675
Research Foundation of SUNY	ENVIRONMENTAL RESEARCH, Forest Biomass	49,992
Resource Refocus LLC	Environmental Research, FTYM Literature Review	49,780
Resource Systems Group, Inc.	CLEAN TRANSPORTATION, PON 3345	120,000
Resources for the Future Inc	ENERGY ANALYSIS, Energy Analysis	100,000
	ENERGY ANALYSIS, Macroeconomic Methods	50,000
RHM Inc.	RENEWABLE HEAT NY, Biomass Boiler - Stretton	16,000
Richard E. Gibbs, Ph.D., P.E.	ENVIRONMENTAL RESEARCH, env program science advisor	35,000
Ridgeline Heating and Cooling, LLC	NYCH: Talent Ppln:CE and OJT, OJT HIRE STEVEN OSTROTH	10,240
Riseboro Community Partnership, Inc.	Multifam New Construction, New Construction	300,000
Robert Derector Associates	Commercial Real Estate Ten, RDA - 555 Madison Ave Fl 6-7	5,000
	Commercial Real Estate Ten, RDA - 1271 Avenue of the Ameri	33,300
	Commercial Real Estate Ten, RDA-1 Penn Plaza FL 9	10,150
	Commercial Real Estate Ten, RDA-1221 Avenue of the America	11,650
	Commercial Real Estate Ten, RobertDerector-530 5th Avenue	16,050
Rochester Civic Housing, Inc.	New Construction Housing, 2019 LRNCP	45,000
Rochester Institute of Technology	REV Campus Challenge, RM23 - RIT	143,504
Rocky Mountain Institute	ENERGY ANALYSIS, TWO# 2 Bldg. Elec. Roadmap	50,000
	New Construction Housing, TWO 5-Short -term Tech Support	50,000
Rosenblum Property Services, LLC	SARATOGA TECHNOLOGY & ENERGY PARK, STEP Property Mgmt..	1,138,065
	SARATOGA TECHNOLOGY & ENERGY PARK, TWO #7- Concrete R..	11,145
Royal Realty Corp.	Empire Building Challenge, EBC-Royal Realty Corp.	125,000
	NYCH: Empire Build Challenge, EBC-Royal Realty Corp.	125,000
Ruffalo Appliance	NYCH: Talent Ppln:CE and OJT, OJT HIRE	27,680
Ruggirello Solar, LLC	>200KW PV, NY Sun	654,947
Rural Ulster Preservation Company	CLEANER GREENER COMMUNITIES, CGC54322 - RUPCO	1,000,000
Ruth Horton	Eval MCDC: CEF Plan Support, Senior Advisor Services	9,750
Ryan Homes (Virginia)	New Construction Housing, 2019 LRNCP	22,800
	New Construction Housing, 2020 LRNCP	33,250
	New Construction Housing, NCP Housing	31,200
	Single Family New Construction, 2019 LRNCP	11,400
	Single Family New Construction, NCP Housing	87,600
SAAKC Buffalo Forge	Low Rise New Construction, 2019 LRNCP	114,800
Same Sun of Vermont, Inc	<200KW PV, NY-Sun	20,000
Sandy 350, LLC	Low Carbon Tech Demos, Multifamily	87,500
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	87,500
SANFILIPPO SOLUTIONS INC.	Talent Pipeline:CE and OJT, OJT	11,520
SAW Associates LLC	High Performing Grid, Integrated Energy Data Resourc	443,766
Scanify, Inc.	Cleantech Ignition, PON 3871 Ignition Grants	99,750
Schneider Electric Buildings Americas, I	Real Time Enrgy Management, Schneider - 1045 6th Ave -RTEM	53,705
	Real Time Enrgy Management, Schneider-100 E. 77th St-RTEM	300,000
	Real Time Enrgy Management, Schneider-225 Liberty St-RTEM	61,617
Seed Renewables Inc.	<200KW PV, PON 2112 NY SUN	6,307
Seneca Energy II, LLC	LARGE SCALE RENEWABLES, Ontario LFG	4,937,349
	LARGE SCALE RENEWABLES, Seneca Energy	10,341,240

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Contractor	Contract Description	Total Contract Amount
Sentient Science Corporation	Pub Transit & Elect Rail, DigitalClone for rail	610,460
Setpoint AI Inc	NYCH: Talent Ppln:CE and OJT, OJT HIRE	10,240
	Talent Pipeline:CE and OJT, OJT HIRE	24,480
SHI, Inc.	NYSERDA ADMINISTRATION, Docking stations - new Laptops	26,352
	NYSERDA ADMINISTRATION, ER/Studio Support 22 – 23	18,930
	NYSERDA ADMINISTRATION, Imaging /shipping -300 laptops	7,809
	NYSERDA ADMINISTRATION, SilverPeak SDWAN Expansion	119,367
	NYSERDA ADMINISTRATION, Surface Laptops for Exec. - 5	7,425
Siemens Industry, Inc.	>200KW PV, PON 2112 NY SUN	518,938
	OREC: Technical Support, TWO 2 Econ Study of Ntwrk OSW	50,000
	Real Time Enrgy Management, Siemens-1585 Broadway-RTEM	300,000
Sigora Solar	<200KW PV, PON 2112 NY SUN	61,214
Simply Installs LLC	NYCH: Talent Ppln:CE and OJT, OJT HIRE	21,600
Site 2 DSA Owner LLC	Multifam Performance Pgm, Multifamily	117,000
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	117,000
Site Capture LLC	Combined Heat and Power, Field inspection date capture	4,800
	Low Carbon Tech Demos, Field inspection date capture	6,800
	Multifam Performance Pgm, Field inspection date capture	7,200
	NYCH: Comfort Home, Field inspection date capture	1,200
Sive Paget & Riesel PC	NEW YORK GREEN BANK, RFP 12: NYGB Legal Services	49,624
	NYSERDA ADMINISTRATION, GJGNY Loan Offering Assistance	12,000
	RFP 12: NYGB Legal Services	4,935
SkyFront Corporation	OTHER PROGRAM AREA, RPAS procurement	105,980
Skyline Solar Inc.	<200KW PV, PON 2112 NY SUN	14,779
Smart Home Energy Source	<200KW PV, NY-Sun	8,176
Smith Engineering PLLC	Technical Services, FT13193 - 150 East 42nd - FTC	47,575
	Technical Services, FT13696 - 680 5th - FTC	76,562
Snug Planet, LLC	NYCH: Talent Ppln:CE and OJT, OJT	8,640
	NYCH: Talent Ppln:CE and OJT, OJT HIRE	33,840
	Talent Pipeline:CE and OJT, OJT HIRE	6,400
SOLANTA CORP	<200KW PV, PON 2112 NY SUN	6,388
	>200KW PV, PON 2112 NY SUN	213,192
Solar Bear Energy LLC	<200KW PV, PON 2112 NY SUN	5,719
Solar Dad and Sons Inc	ENERGY STORAGE, PON 2112 NY SUN	5,000
Solar Energy Systems, LLC	<200KW PV, NY-Sun	28,224
	>200KW PV, NY Sun	328,176
	>200KW PV, NY-Sun	12,096
Solar Liberty Energy Systems, Inc	<200KW PV, NY-Sun	65,196
	<200KW PV, PON 2112 NY SUN	346,199
	>200KW PV, NY Sun	420,810
	>200KW PV, NY-Sun	21,474
	>200KW PV, PON 2112 NY SUN	55,200
Solar One, Inc.	ESTOR:Retail Storage Incentive, Retail Storage	95,900
Solar Provider Group LLC	>200KW PV, NY Sun	411,066
SolarCommunities Inc.	<200KW PV, NY-Sun	11,200
	<200KW PV, PON 2112 NY SUN	215,376

Contracts Completed

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Contractor	Contract Description	Total Contract Amount
Solitude Solar LLC	>200KW PV, NY Sun	1,555,942
	NY-SUN, NY Sun	1,867,134
Sologistics, LLC	Talent Pipeline:CE and OJT, OJT HIRE	10,240
Southworth-Milton Inc.	Remote Asset Monitoring System	5,173
SRS Holdings LLC	Energy Storage Tech/Prod Dev, PON 3585 R2 Polymer-Clay separ	300,000
SSA Solar of NY 2 LLC	>200KW PV, NY-Sun	417,866
	NY-SUN, NY-Sun	409,979
St. Anthony's Associates LLC	New Construction Housing, 2019 LRNCP	52,400
St. Catherine's Center for Children	Low Rise New Construction, 2019 LRNCP	20,000
Stance Renewable Risk Partners LLC	Green Bank	18,000
Standard Insulating Company	Talent Pipeline:CE and OJT, OJT HIRE	22,560
Standard Solar, Inc	>200KW PV, NY Sun	1,046,549
	>200KW PV, NY-Sun C&I	1,627,920
	NY-SUN, NY Sun	1,255,861
Stantec Consulting Services, Inc.	Industrial Process Effic, Technical Review and Program S	5,546
Steed Energy LLC	<200KW PV, PON 2112 NY SUN	40,319
Stellar Renewable Designs, LLC	<200KW PV, PON 2112 NY SUN	7,952
Steven Winter Associates, Inc.	NYCH: Technical Assistance, FT13276 - 75 Livingston - FTC	19,875
	NYCH: Technical Assistance, FT13551 - One Park - FTC	7,750
	NYCH: Technical Assistance, FT13941 - 304 W 89th - FTC	7,750
	Workforce Industry Partnership, NYC Retrofit Demo	49,830
Stevens Institute of Technology	Environmental Research, SIT Storm Surge	42,500
Storke, LLC	Small Wind, Wind Turbine Incentive	32,214
Sun Source Technologies	<200KW PV, PON 2112 NY SUN	70,991
	>200KW PV, NY Sun	1,124,999
	NY-SUN, NY Sun	2,250,001
SuNation Solar Systems, Inc.	COMMUNITY SOLAR, NY-Sun	3,120
	COMMUNITY SOLAR, PON 2112 NY SUN	5,120
	ENERGY STORAGE, NY-Sun	5,400
	ENERGY STORAGE, PON 2112 NY SUN	256,250
Sunkeeper Solar LLC	>200KW PV, PON 2112 NY SUN	77,126
Sunlight Energy Group LLC	Talent Pipeline:CE and OJT, OJT	6,400
Sunlight General Capital LLC	>200KW PV, PON 2112 NY SUN	191,576
SunPower Capital, LLC	<200KW PV, NY-Sun	103,745
	<200KW PV, PON 2112 NY SUN	69,769
SUNRISE ELECTRICAL SERVICES	<200KW PV, NY Sun	477,580
	<200KW PV, PON 2112 NY SUN	79,515
Sunrise Solar Solutions, LLC	<200KW PV, PON 2112 NY SUN	13,064
	>200KW PV, NY-Sun	840,840
	ESTOR:Retail Storage Incentive, Retail Storage	284,200
	Solar Plus Energy Storage, Energy Storage	1,026,000
SunRun, Inc	<200KW PV, PON 2112 NY SUN	131,383
	ENERGY STORAGE, PON 2112 NY SUN	143,750
Sunset Green Home LLC	NEW YORK GREEN BANK, Third-Party Capital Consulting	250,000
Sunwealth Power, Inc.	<200KW PV, NY-Sun	987,012
	>200KW PV, NY-Sun	299,068

Contracts Completed
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Contractor	Contract Description	Total Contract Amount
Sunwealth Project Pool 14 LLC	>200KW PV, NY-Sun	51,108
Surf Clean Energy Inc	<200KW PV, NY-Sun	20,000
	<200KW PV, PON 2112 NY SUN	6,424
	COMMUNITY SOLAR, PON 2112 NY SUN	13,066
Sustainable Comfort, Inc	New Construction Housing, NCP Housing	24,600
	Talent Pipeline:CE and OJT, OJT HIRE	28,701
Sustainable Endowment Institute	REV Campus Challenge, GRITS Goals Development - SEI	50,000
Sustainable Energy Advantage, LLC	LARGE SCALE RENEWABLES, Large Scales Renewables Techni	33,033
	NYSERDA ADMINISTRATION, Large Scales Renewables Techni	83,000
	REC:CES REC Pgm Non-Rec Exp, Large Scales Renewables Techni	103,708
	REC:CES REC System Dev Costs, Large Scales Renewables Techni	565,707
	ZEC:CES ZEC System Dev Costs, Large Scales Renewables Techni	65,391
Sustainable Energy Developments Inc.	<200KW PV, PON 2112 NY SUN	177,251
Swiss Re Management (US) Corporation	>200KW PV, NY Sun	1,703,211
Switch Operations Inc.	Real Time Enrgy Management, Switch-450 E 29th-RTEM	32,370
Syncarpha Whitehall LLC	>200KW PV, NY-Sun	1,222,494
	NY-SUN, NY-Sun	432,778
Syracuse University	ENVIRONMENTAL RESEARCH, Accelerated Recovery and Envir	185,707
	ENVIRONMENTAL RESEARCH, Monitoring of NYS fish for Hg	700,000
	NYCH: Innovation, NextGen HVAC Innovation	350,000
Syracuse, City	Clean Energy Communities, CEC210174 - City of Syracuse	150,000
Syska Hennessy Group	Commercial New Construc, Commercial New Construction	131,605
Taitem Engineering, P.C.	Air Source Heat Pumps, 3695 TWO Umbrella Agreement	106,890
	Commercial New Construc, Commercial New Construction	7,838
	Commercial Real Estate Ten, Taitem-110 S Albany St	27,199
	Industrial Process Effic, Technical Review and Program S	8,453
	Technical Services, FT13188 - 115 E 9th - FTC	15,791
Tarm, USA	ENVIRONMENTAL RESEARCH, Tarm USA pellet boiler testing	22,000
Tech Valley Talent, LLC	EVALUATION, RFP3143 Umbrella Agreement	280,822
	NYSERDA ADMINISTRATION, RFP3143 Umbrella Agreement	2,229,503
	NYSERDA ADMINISTRATION, TWO # 3 Salesforce BA-Brochste	195,520
	NYSERDA ADMINISTRATION, TWO #13 Tableau Dev. Suresh	52,216
	NYSERDA ADMINISTRATION, TWO26 Server Ops	452,438
	REC:CES REC System Dev Costs, RFP3143 Umbrella Agreement	443,625
	ZEC:CES ZEC System Dev Costs, RFP3143 Umbrella Agreement	88,725
Tecogen	Combined Heat and Power, CHPA - 200 East 57th Street	221,203
	Combined Heat and Power, CHPA - 3333 Broadway	760,000
	Combined Heat and Power, CHPA - Brooklyn United Methodi	624,989
	Combined Heat and Power, CHPA - Domino Building E	350,000
	COMBINED HEAT AND POWER, CHPA - Fairview	561,000
	Combined Heat and Power, CHPA - LeFrak - LeFrance Paris	28,140
	Combined Heat and Power, CHPA - LeFrak - West Side Mano	28,140
	Combined Heat and Power, CHPA-22 South West St Tower	178,750
	Combined Heat and Power, CHPA-Ballston Spa Schools	803,086
	Combined Heat and Power, CHPA-Dorchester Towers	467,578
	Combined Heat and Power, CHPA-Normandie Court	323,438

Contracts Completed
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Contractor	Contract Description	Total Contract Amount
Tecogen	Combined Heat and Power, CHPA-Windsor Court	323,438
	Combined Heat and Power, LeFrak - London Leasing	28,140
Tern Construction & Development, LLC	New Construction Housing, 2019 LRNCP	65,000
Tesla Energy Operations Inc	<200KW PV, PON 2112 NY SUN	67,310
	>200KW PV, commercial/industrial pv	232,267
	COMMUNITY SOLAR, NY-Sun	4,352
	ENERGY STORAGE, NY-Sun	10,000
	ENERGY STORAGE, PON 2112 NY SUN	212,500
Tetra Tech Engineers, Architects and Lan	Commercial New Construc, Commercial New Construction	18,287
The Business Council of NYS, Inc.	Prof & Expert Engagement, 2021 Sponsorship	5,000
The Cadmus Group, LLC	>200KW PV, RFQL3434 Cat1 NYSUN C/I	760,903
	CLEAN TRANSPORTATION, TWO 5 Clean Transp Roadmap	1,438,979
	Electric Vehicles - Innovation, TWO 5 Clean Transp Roadmap	93,592
	Electric Vehicles - Innovation, TWO #3 DCFC design	75,000
	Eval MCDC LMI, Market Characterization & Eval	50,000
	Home Perf w Energy Star, TWO No. 6 COVID Consultant	120,000
	NY-SUN, RFQL3434 Cat1 NYSUN C/I	60,753
	OREC: Technical Support, TWO 4 - RegionalFundingEntity	69,130
	Rmve Barriers Dist Enrgy Storg, RFP 3407 Category 4	193,232
	Talent Pipeline:CE and OJT, TWO No. 6 COVID Consultant	40,000
TWO 4 - RegionalFundingEntity	34,180	
The Community Builders, Inc.	Multifam New Construction, New Construction	187,400
The Garrick Co., LLC	WEST VALLEY DEVELOPMENT PROGRAM, Probabilistic Evaluation	169,163
The Gunlocke Company	Industrial Process Effic, Industrial Process Efficiency	927,539
The Insulation Man LLC	Talent Pipeline:CE and OJT, OJT	11,160
	Talent Pipeline:CE and OJT, OJT HIRE	23,040
The Joint Ownership Entity New York City	Technical Services, FT13022 - JOE Housing - PON	10,000
The Levy Partnership, Inc.	Air Source Heat Pumps, NextGen HVAC Innovation	424,700
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATIO..	374,014
	New Construction- Commercial, Commercial New Construction	16,960
	NextGen HVAC, Downstate gas fired heat pump	129,798
	NextGen HVAC, Through-Wall Mini-Split Demo	306,521
	NYCH: Innovation, Downstate gas fired heat pump	570,505
	NYCH: Innovation, Electrifying Hydronic Building	250,000
	NYCH: Innovation, NextGen HVAC Innovation	109,520
	NYCH: Technical Assistance, FT13249 - 38 E 29th - FTC	36,707
	Technical Services, FT13022 - JOE Housing - FTC	10,000
	Technical Services, FT13184 - AE Duke Mgmt - FTC	10,000
Technical Services, FT13983 - Heights 170 - FTC	9,233	
The Lightman Company, LLC	Cleantech Ignition, Mi Lightman	225,000
	Innovation, Mi Lightman	225,000
The Radiant Store	Renewable Heat NY, The Radiant Store - Fagan	12,000
The Research Foundation for SUNY	CLEAN TRANSPORTATION, Autonomous EV Campus Demo	452,361
The Woodlawn Cemetery	Industrial Process Effic, Industrial Process Efficiency	15,096
Thermodynamix LLC	NYCH: Talent Ppln:CE and OJT, OJT HIRE	38,400
Throughline Group, LLC	NYSERDA ADMINISTRATION, NYSERDA Staff Media Training	8,000

Contracts Completed
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Contractor	Contract Description	Total Contract Amount
ThunderCat Technology LLC	NYSERDA ADMINISTRATION, Atlassian - Confluence Plug in	5,432
	NYSERDA ADMINISTRATION, Atlassian Licenses – Jira	71,296
	NYSERDA ADMINISTRATION, Checkmarx licensing & support	63,076
	NYSERDA ADMINISTRATION, Docusign Subscription 2022-202	98,173
	NYSERDA ADMINISTRATION, Telerik Tools. Thundercat	5,666
Timothy Marlett	Talent Pipeline:CE and OJT, OJT HIRE	7,680
TM Montante Solar Developments, LLC	<200KW PV, PON 2112 NY SUN	503,272
Total Comfort Heating and Air Conditioni	NYCH: Talent Ppln:CE and OJT, OJT HIRE	9,600
Town of Black Brook	Clean Energy Communities, CEC701091 - Town of Black Broo	50,000
Town of Danby	Clean Energy Communities, CEC001242 - Town of Danby	99,814
Town of Enfield	Clean Energy Communities, CEC001221 - Town of Enfield	50,000
Town of Marbletown	Clean Energy Communities, Town of Marbletown	50,000
Town of Skaneateles	Clean Energy Communities, Town of Skaneatele	50,000
Town of St Armand	Clean Energy Communities, CEC701206-Town of St. Armand	50,000
Town of Windsor	Clean Energy Communities, Town of Windsor	50,000
Trane	K-12 SCHOOLS, P12GC-43E - Johnson - FTC	114,344
	Real Time Enrgy Management, Trane - 1 Manhattan Sq - RTEM	28,045
	Real Time Enrgy Management, Trane Us - 41 S Main St - RTEM	31,276
	Real Time Enrgy Management, Trane-North Colonie CSD-RTEM	247,404
	Real Time Enrgy Management, Trane-Wells College-RTEM	271,771
	Remote Energy Management, RFP 3683 REM Program	470,500
TRC Energy Services	Multifam Performance Pgm, CRIS Project Macro Development	35,000
Trinity Hudson Holdings, LLC	Empire Building Challenge, EBC-Phase I-Hines	125,000
	NYCH: Empire Build Challenge, EBC-Phase I-Hines	125,000
Trinity Solar Inc	<200KW PV, PON 2112 NY SUN	60,646
Trireme Energy Development II, LLC	REC:CES REC Contracts, CESRFP1_Tier 1 RECS	408,502,640
Troy Web Consulting, LLC	NYSERDA ADMINISTRATION, SEP Comment Sysytem	14,985
	NYSERDA ADMINISTRATION, Troy Web Hosting - Cloud for 1	7,380
True Building Performance LLC	Talent Pipeline:CE and OJT, OJT HIRE	11,520
True Energy Solutions	NYCH: Talent Ppln:CE and OJT, OJT HIRE	10,240
	Talent Pipeline:CE and OJT, OJT	5,760
	Talent Pipeline:CE and OJT, OJT HIRE	22,240
Tully Rinckey PLLC	NYSERDA ADMINISTRATION, outside counsel services	15,500
Tungsten Sources, LLC	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Transforma..	400,000
TurnKey Internet, Inc.	Industrial Process Effic, Industrial Process Efficiency	1,094,981
Twin Lantern Solar Partners, LLC	>200KW PV, PV System @ City of Oneida	592,671
	NY-SUN, PV System @ City of Oneida	254,002
U&S Services, Inc.	Remote Energy Management, RFP3683 REM Program	417,436
UGE USA Inc.	>200KW PV, PON 2112 NY SUN	75,480
Ulster, County of	Pub Transit & Elect Rail, Bus fleet electrification plan	40,000
Unique Comp Inc.	NYSERDA ADMINISTRATION, RFP3143 Umbrella Agreement	2,942,940
Unique Electric Solutions of NYS LLC	CLEAN TRANSPORTATION, NYTVIP	110,000
	CLEAN TRANSPORTATION, NYTVIP - United Parcel Service	220,000
	NYTVIP	15,600
University of Rochester	ENVIRONMENTAL RESEARCH, Long-Term Monitoring of Methan	362,948
Upstate Alternative Energy	<200KW PV, PON 2112 NY SUN	27,860

Contracts Completed
Period 10/1/2021 through 3/31/2022

Contractor	Contract Description	Total Contract Amount
Urban Cycling Solutions, inc.	CLEAN TRANSPORTATION, Training Course Development	24,300
Urban Electric Power, Inc.	Cleantech Ignition, NYCP Urban Electric	500,000
Urban Electric Power, LLC	Talent Pipeline:CE and OJT, OJT	7,040
	Talent Pipeline:CE and OJT, OJT HIRE	41,133
	Talent Pipeline:CE and OJT, Workforce Dev & Train	7,040
Urban Green Council	Electrification, Advanced Electrification	50,000
US Ceiling CORP	Talent Pipeline:CE and OJT, OJT HIRE	33,600
USE ACQUISITION LLC	Real Time Enrgy Management, USE Acq LLC - Multisite - RTEM	20,399
USGS National Center MS270	Environmental Research, Biological Recovery	49,600
Utilities Program & Metering, Inc.	Real Time Enrgy Management, Utilivisor-1000 10th Ave-RTEM	66,298
Vecino Group New York, LLC	New Construction Housing, 2019 MFCNP	55,400
Venture at Endicott LLC	Tech Assistanc Multifamily LMI, FT13171 - 15 Delaware - PON	10,000
Venture Home Solar LLC	>200KW PV, PON 2112 NY SUN	27,590
Vermont Energy Investment Corporation	CLEAN TRANSPORTATION, EV Dealer Incentive Program	149,778
Village of Athens	CEC400117 - Village of Athens	30,000
Village of Centre Island	CLEANER GREENER COMMUNITIES, Village of Centre Island	50,000
Village of Hastings on Hudson	CLEANER GREENER COMMUNITIES, Hastings-on-Hudson	50,000
Village of Saranac Lake	Clean Energy Communities, CEC701022 - Village of Saranac	50,000
Village of Sea Cliff	CLEANER GREENER COMMUNITIES, Village of Sea Cliff	50,000
Vistex Composites, LLC	Cleantech Ignition, PON 3871 Ignition Grants	85,850
Vivint Solar	<200KW PV, PON 2112 NY SUN	5,801
Walter Snyder Printer, Inc.	Air Source Heat Pumps, Printing and Mailing services	7,000
Wappingers Falls Hydroelectric, LLC	LARGE SCALE RENEWABLES, RPS Program Purchase of Renewa	94,800
Wavelength Group, LLC	Talent Pipeline:CE and OJT, OJT HIRE	9,600
Wayne County Action Program	Talent Pipeline:CE and OJT, OJT HIRE	22,766
WB Engineering & Consulting PLLC	Commercial Real Estate Ten, WB Eng+Con - 1250 Broadway	37,675
	Commercial Real Estate Ten, WBE 510 Madison CTP	12,925
Wendel Energy Services, LLC	NYCH: Technical Assistance, FT13530 - 300 S. Parkway - FTC	48,000
	REV Campus Challenge, FT13252 - Uni. Rochester - FTC	20,434
	Technical Services, FT13207 - Amherst WWTF - FTC	55,000
	Technical Services, FT13330 - Multiple - FTC	32,000
	Technical Services, FT13502 - 27 East Main - FTC	13,157
West Harlem Environmental Action, Inc.	Low-Income Forum on Energy, Sponsor of WE ACT's 2021 Gala	15,000
West Valley Solar LLC	>200KW PV, NY Sun	4,500,000
Westtown NY 1, LLC	>200KW PV, NY-Sun C&I	1,075,574
Wildcat Renewables, LLC	>200KW PV, NY Sun	641,520
Willdan Energy Solutions	Industrial Process Effic, IPE16195	25,607
	Industrial Process Effic, IPE16247	49,393
	Industrial Process Effic, Technical Review and Program S	41,178
	Technical Services, FT13038 - Phelps - FTC	75,000
Willdan Lighting & Electric, Inc.	Talent Pipeline:CE and OJT, PON3981 Round 3	250,000
Willrab Realty Corp	Multifam Performance Pgm, Multifamily	24,500
Windels Marx Lane & Mittendorf, LLP	NEW YORK GREEN BANK, RFP 12 - NYGB Legal Services	32,103
Wise Home Energy, LLC	NYCH: Talent Ppln:CE and OJT, OJT HIRE	8,640
WNY Rural Preservation, LP	Multifam Performance Pgm, Multifamily	16,800
Wood Mackenzie Power & Renewables, Inc.	NY-SUN, GTM Squared, Solar and Wind	27,000

Contracts Completed

Period 10/1/2021 through 3/31/2022

Contractor	Contract Description	Total Contract Amount
Wood Mackenzie Power & Renewables, Inc.	Subscription/Data Access, GTM Squared, Solar and Wind	82,648
Xzerta Energy Group LLC	>200KW PV, NY Sun	529,046
Yale University	U.S. DOE SEP Grant for oTherm	98,611
You Save Green Incorporated	<200KW PV, PON 2112 NY SUN	6,570
ZBF Geothermal LLC	NYCH: Talent Ppln:CE and OJT, OJT HIRE	10,240
Zero Energy Solutions LTD	Cleantech Ignition, PON 3871 Ignition Grants	100,000
Zerodraft Residential Inc.	Talent Pipeline:CE and OJT, OJT	5,440
	Talent Pipeline:CE and OJT, OJT HIRE	30,944
Zones LLC	NYSERDA ADMINISTRATION, Cisco Webex renewal 10.1.21	48,380
	NYSERDA ADMINISTRATION, SMARTnet - Maintenance 21-22	22,731
Grand Total		783,839,206