Green Jobs – Green New York Outreach Program
Request for Proposal (RFP) 2038
$6,000,000 Available

Proposals Due: January 12, 2011 by 5:00 P.M. Eastern Time*

Green Jobs - Green NY (GJGNY) is a Statewide program that promotes energy efficiency, reduces energy consumption and green house gas emissions, supports sustainable community development, and creates job opportunities. The GJGNY Program delivers services in targeted communities with the support of Constituency Based Organizations (CBOs), as that term is defined in the GJGNY statute. CBOs will conduct outreach, marketing, and education through a coordinated approach that targets priority communities. More information about GJGNY can be found on the program web site, www.nyserda.org/GreenNY/.

The New York State Energy Research and Development Authority (NYSERDA) seeks proposals from **eligible** CBOs, and coalitions of CBOs, to assist in regional outreach services in 12 regions throughout New York State. The Outreach Contractor will be responsible for recruiting small businesses, Not-for-Profits (NFP), residential, and multi-family building owners into the audit and financing programs; and encouraging workers to take advantage of training opportunities. There is $6,000,000 of available funding for the GJGNY Outreach Program. NYSERDA has allocated funding among 12 specific geographic areas of New York State. CBOs can bid on one or more of the regions in which they are eligible, and should target specific communities within the region. CBOs can propose an Aggregation strategy within their proposals. Aggregation is a process of recruiting a group of homes within a neighborhood, who have all agreed up-front to use the same contractor (or contractor team) for audit and energy services. The term of the contract will be two years.

The proposing organization, and all of the outreach services team members (if applicable), must be a CBO and must submit proof of eligibility to NYSERDA to be considered for funding. **Potential proposers are encouraged to submit their proof of eligibility in accordance with solicitation requirements as soon as possible,** but no later than the proposal due date. **A pre bid webinar will be held to discuss the RFP.** Please refer to NYSERDA's GJGNY webpage (http://www.nyserda.org/GreenNY/) for more information on the event.

Proposal Submission: Proposers must submit 10 copies of Attachment E CBO Eligibility and supporting documentation, and 10 copies of the proposal with a completed and signed Proposal Checklist attached to the front of each copy, one of which must contain an original signature.* One electronic copy of the proposal, on disc, is also required. Proposals must be clearly labeled and submitted to:

Roseanne Viscusi, RFP 2038
NYS Energy Research and Development Authority
17 Columbia Circle
Albany, NY 12203-6399

If you have technical questions concerning this solicitation, contact Susan Andrews at 518-862-1090, ext. 3234 or sta@nyserda.org. If you have contractual questions concerning this solicitation, contact Venice Forbes at (518)862-1090, ext. 3507 or vwf@nyserda.org.

No communication intended to influence this procurement is permitted except by contacting Susan Andrews at (518) 862-1090, ext. 3234 or sta@nyserda.org; or Erin Schucker at 518-862-1090, ext. 3352 or eas@nyserda.org. Contacting anyone other than this Designated Contact (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.

*Late proposals and proposals lacking the appropriate completed and signed Proposal Checklist will be returned. Faxed or e-mailed proposals will not be accepted. Proposals will not be accepted at any other NYSERDA location than the address above. If changes are made to this solicitation, notification will be posted on NYSERDA's web site at www.nyserda.org.

I. INTRODUCTION

A. Background

The New York State Energy Research and Development Authority (NYSERDA) seeks proposals from qualified Constituency-Based Organizations (CBOs) and coalitions of CBOs to assist in regional outreach in connection with the Green Jobs – Green New York (GJGNY) Program.

On October 9, 2009, the Green Jobs Green New York Act of 2009[1] was signed into law. The Act directs NYSERDA to establish and administer the program. Section 1894 authorizes NYSERDA to issue solicitations seeking proposals (1) from "partnerships or consortiums of CBOs" to facilitate awareness and enrollment of homeowners, small businesses, and not-for-profits in the Green Jobs energy efficiency services programs ("Customer Outreach" proposal) , and (2) from CBOs partnering with contractors, workforce development organizations, or organized trades to facilitate awareness of and enrollment in the training services program created under section 1897 of the Act ("Workforce Training" proposal).

The Act provides $112 million in funds that will be used for 1) the performance of energy audits and energy efficiency retrofits or improvements for residential, small business, and not-for-profit property owners; 2) a revolving loan fund to finance eligible projects and innovative mechanisms to repay energy efficiency improvements through energy cost savings; 3) aggressive workforce development programs; and 4) outreach, enrollment, and other related program support services performed by CBOs. Customer Outreach is targeted to economically distressed communities, non-attainment areas under the federal Clean air Act, and communities with high energy costs in relation to income. Workforce Training efforts will target areas with high populations of minorities, low income individuals and populations with barriers to employment.

This Request for Proposals (RFP) seeks proposals from eligible CBOs to conduct outreach, enrollment, and other services to potential program participants. CBOs may choose to bid on only the customer outreach component; the workforce training, enrollment and recruitment component; or both. There is a total budget of $6,000,000 to be allocated to the 12 State regions, as defined by NYSERDA (Table 1). Regional budget allocations were developed after a thorough review of statewide housing, economic, and other social statistics and reflect an equitable statewide distribution of the available resources.

CBOs may include a pilot program to aggregate customers under this RFP. Aggregation is recruitment by a CBO of eligible homes within a neighborhood, who have agreed to use the same contractor (or contractor team) to perform audits and energy services work. CBOs can propose an aggregation strategy within their Customer Outreach proposal.

The CBOs selected cannot also serve as the Training and Implementation Contractor as requested in RFP 2080, Green Jobs – Green New York Training and Implementation Contractor. The selected CBOs will not be allowed to also perform audits and retrofits resulting from the Green Jobs – Green New York program.

Proposals will only be accepted from eligible CBOs.

B. Proposer Eligibility and Qualifications

1. Proposer Eligibility. In order to bid on any of the 12 regions, the bidding organization, and all of the team members performing outreach services (if applicable) must be a CBO. The Act defines a CBO as "an organization incorporated for the purpose of providing services or other assistance to economically or socially disadvantaged persons within a specified community, and which is supported by,

[1] A.8901/S.5888 and Chapter amendment A.9031/S.6032.

or whose actions are directed by, members of the community in which it operates."[2] Additionally, the statutory language refers to "partnerships or consortiums" of CBOs, thereby requiring that each entity performing outreach services must itself meet the definition of a CBO.

NYSERDA requires that **ALL proposers submit proof of CBO status in order to be considered eligible for funding under this solicitation**. In an effort to address confusion over eligibility and to avoid unnecessary time and resources devoted to developing a proposal that may not be evaluated, NYSERDA will review an organization's proof of eligibility upon receipt, if prior to the due date of the proposal. Proposers are not required to obtain pre-approval of eligibility prior to submitting their proposal; however, pre-approval is strongly recommended. **All proposers must submit proof of eligibility (Attachment E and supporting documentation) – either through the pre-approval process or as an attachment to the proposal**. Only those CBOs, and consortia of CBOs, determined "eligible" can be considered and will have their proposals evaluated under RFP 2038.

Under New York State law, corporations must file a Certificate of Incorporation with the Department of State, adopt bylaws, elect Directors, and keep correct and complete books and records, including a record of the names and addresses of all its members.

The applicant AND each team members (if applicable), **MUST complete and submit Attachment E**, CBO Eligibility Requirements, and the following supporting documentation:

- Certificate of Incorporation (must be in good standing with the Department Of State);
- List of Board of Directors;
- Information about the Directors or members (proof that they are members of the Community) or other evidence of meeting the criteria that the organization is "supported by, or whose actions are directed by, members of the community in which it operates;"
- Copy of bylaws;
- Mission statement and any existing strategic or long range plan;
- Most recent audit or financial statement; and
- Board minutes approving GJGNY proposal submittal (note that this may be submitted with the proposal if not available for the pre-approval process).

Any organization that meets the definition of CBO as provided in the Act, and as evidenced by the documentation listed above, is eligible to apply. NYSERDA will notify every proposer submitting Attachment E and supporting documentation of the findings of the review of those materials on a first-come, first-served basis. NYSERDA will make every effort to determine eligibility within 15 days of receiving the request for pre-approval; actual response time will depend on volume of submissions and the completeness of the application.

2. Proposer Qualifications. In addition to meeting the eligibility requirements above, Proposers should have the following qualifications, which will be considered during the proposal evaluation process.

- Demonstrated experience and effectiveness in providing services in their community;
- Demonstrated experience providing outreach services;
- Familiarity with the types of energy services, workforce development, or outreach initiatives addressed by the GJGNY program;
- Adequate resources to support the GJGNY Outreach Program;
- Demonstrated experience in record-keeping and documentation of activities and resources;

[2] Public Authorities Law Section 1891(3).

- Reliable and well-organized; and
- Proficiency in Microsoft Office, including, Word, PowerPoint, and Excel, as well as databases, with the ability to produce and deliver professional-quality reports, presentations, and other documents.

Each proposal from a consortium must designate a lead organization to act as the contracting and fiscal agent for project funds. The lead organization must demonstrate experience and success in managing grants or contracts.

C. Application Procedure

A pre-bid webinar will be held shortly after the release of the RFP. A notification of the webinar date will be posted on NYSERDA's Green Jobs - Green New York web page (http://www.nyserda.org/GreenNY/). Participation in the pre-bid webinar is not mandatory. Questions and answers from the webinar will be posted on the Green Jobs – Green New York website.

NYSERDA reserves the right to reject any or all proposals if it determines that a proposal is not responsive to RFP 2038. NYSERDA reserves the right to interview applicants and the right to solicit any applicant for additional information or to clarify submitted information.

D. Project Targets and Budget

It is expected that contracts resulting from RFP 2038 will begin in the first quarter of 2011, with a two – year budget.

Six million dollars is available to fund 12 regions across New York State. Specific budget allocations have been made for Customer Outreach and Workforce Training as reflected in Table 1 below. CBOs may choose to bid on only the Customer Outreach component; the Workforce Training component; or both. Contracts will be awarded under RFP 2038 on a regional basis. The number of contracts awarded in each region will be directly related to an assessment of appropriate coverage of targeted populations and the ability to meet the goals of the program.

As a result of a federal grant, NYSERDA is working with the Community Development Corporation of Long Island, Inc. (CDC) for CDC to coordinate and manage marketing and outreach in support of the Green Jobs–Green New York program by the Long Island Green Homes and Buildings Consortium. The Consortium includes seven Towns on Long Island including Babylon, Brookhaven, Huntington, Islip, North Hempstead, Smithtown and Southampton. This effort will be funded by a United States Department of Energy (DOE) grant award to NYSERDA under the Better Buildings Program. Proposers for the Nassau and Suffolk regions are encouraged to demonstrate how their proposed activities will complement the activities of CDC-led Long Island Green Homes and Buildings Consortium.

Compensation
Twenty-five percent of the compensation for CBOs participating in the program will be paid on a performance basis. The primary goal of the Customer Outreach program is to increase the number of individuals or businesses making efficiency improvements and to increase training and enrollment in workforce training programs. The CBOs will be compensated on meeting those goals. The compensation structure is as follows:

- 75% base pay, 25% pay for performance
    - 10% upon execution of contract for staffing/ramp up;
    - Up to 65% paid on a monthly basis, based on invoices submitted that document actual costs, over term of contract;
    - 25% pay for performance.

Each applicant is asked to propose a goal plan for the number of energy services retrofits it can generate over the course of the contract for outreach; or the goal for achieving enrollment in the training services program. The 25% performance payment will be distributed, depending on the component being bid on, in 25% installments upon completion of portions of each goal plan.

Performance metrics to include in the strategy may include, but are not limited to:

- Outreach: Number of leads (small commercial, residential, etc) resulting in contracts for eligible energy measures.
- Workforce: number of individuals completing training programs, and the number of trainees connected with contractors/employers.

The proposed performance payment strategy should describe the goals, as well as how the goals will be tracked. Regional descriptions and associated planned budgets are outlined below in Table 1.

Table 1. Regional Funding Allocations

Region	Counties Associated with the Region	Outreach Budget	Workforce Enrollment and Recruitment	Total Two-year Budget
North Country	Hamilton, Jefferson, Franklin, St. Lawrence, Lewis, Essex, Washington, Clinton, Warren, and Herkimer Counties	$258,049	$34,703	$292,752
Bronx	Bronx County	$511,659	$85,041	$596,700
Kings and Richmond	Kings and Richmond Counties	$640,016	$167,240	$807,256
Queens	Queens County	$466,810	$123,061	$589,871
New York	New York County	$395,005	$93,213	$488,218
Southern Tier	Schuyler, Steuben, Chenango, Broome, Otsego, Tompkins, Tioga, and Chemung Counties	$245,967	$33,400	$279,367
Western	Chautauqua, Allegany, Cattaraugus, Niagara, and Erie Counties	$578,498	$73,788	$652,286
Finger lakes	Seneca, Yates, Orleans, Genesee, Monroe, Livingston, Wayne, Ontario and Wyoming Counties	$454,489	$59,694	$514,183
Central	Oswego, Oneida, Cortland, Cayuga, Onondaga, and Madison Counties	$334,964	$50,576	$385,540
Mid Hudson and Westchester	Delaware, Greene, Sullivan, Ulster, Columbia, Dutchess, Orange, Rockland, Westchester, and Putnam Counties	$504,715	$107,545	$612,260
Long Island Region	Nassau and Suffolk Counties	$270,908	$126,969	$397,877
Capital	Rensselaer, Schenectady, Albany, Saratoga, Schoharie, Montgomery, and Fulton Counties	$338,920	$44,770	$383,690
Total		**$5,000,000**	**$1,000,000**	**$6,000,000**

The geographic area covered by a proposal **must be clearly labeled on the proposal**. If a Proposer seeks to provide Customer Outreach services in more than one region, a separate proposal must be prepared and

submitted for each region, and the Proposer must be determined to be eligible within each region. The GJGNY law directs that Customer Outreach be targeted to economically distressed communities, communities with high energy costs in relation to income, and nonattainment areas for one or more pollutants under the federal Clean Air Act. Proposers should identify target communities for Customer Outreach within the region(s) for which they are applying and consider those communities when establishing budgets for different team members, if applicable. Funds awarded under RFP 2038 may not be used for any other project or purposes. NYSERDA reserves the right to make adjustments to the budgets above in response to program needs and opportunities.

E. Statewide Training and Implementation Contractor

NYSERDA has developed a separate RFP 2080 to procure the services of a Training and Implementation Contractor (TIC). This contractor will support the effective roll-out and ongoing efficiency of GJGNY Outreach activities through CBOs on a statewide basis. This TIC will be responsible for providing: structured training for the CBO organizations, geographic coordination and support of CBO Outreach programs, and effective communication across all regions; tracking of CBO goals including recruiting efforts; assessing and fulfilling CBO needs; assistance in planning and coordinating events, if necessary; tracking progress of referrals made to the GJGNY programs; data gathering; and regular reporting of program activities and results to NYSERDA. CBOs will be required to work closely with the TIC in its fulfillment of these tasks.

II. PROGRAM REQUIREMENTS

The success of the GJGNY Outreach effort is dependent on CBOs committed to improving the energy efficiency of homes and businesses within their communities and promoting workforce training, development and recruitment opportunities. Given the complexity of the program, the diversity of the regions to be addressed, and the often large geographic coverage area, NYSERDA may opt to select more than one CBO in a region to accomplish the outreach and workforce goals. Creative, competent, cost-effective, and culturally-appropriate strategies suitable for the CBOs specific targeted population are encouraged. Organizations considering this opportunity are encouraged to propose a plan that will target communities in need, fulfilling the requirements of the program.

Depending on the component (outreach or workforce) selected by the proposer, tasks to be performed by the CBO may include those in Section IIA Customer Outreach; or Section IIB Workforce Training; or both. All proposers are required to perform tasks described in section IIC. Coordination and IID. Project Management and Reporting. In addition, CBOs proposing to perform Customer Outreach tasks (Section IIA) may also propose to perform aggregation of homes, as described in section IIE Aggregation.

A. Customer Outreach

Outreach tasks may include:

- Developing a strategic plan to provide outreach and education for the GJGNY Program within the targeted community including building partnerships with local community-based groups, and conducting joint meetings to introduce programs.
- Facilitating awareness of the GJGNY energy audit and loan program, specifically targeting small businesses, Not-For-Profits (NFPs), residential, and multi-family building owners.
- Developing and implementing a formal referral program to encourage residential and business program participants to refer friends, neighbors, and colleagues to the program.

- Developing alliances with Centers of Influence (COIs) to extend the reach of the GJGNY outreach and marketing activity. COIs include organizations that serve targeted constituencies such as Small Business Development Centers, local governments, trade organizations, and educational centers.
- Conducting one-to-one "grassroots" outreach efforts.
- Identifying target areas, i.e. neighborhoods and business districts, and developing strategies for reaching them.

Education tasks include:

- Educating prospective participants on the benefits of the program.
- Providing specific program information including: a description of the retrofit process, program strategies including the "comprehensive whole building" approach; a list of participating contractors (handout by county or referral to Web site); a list of available financing options and incentive programs including a description of the financing program and the process for obtaining a loan; general information on contractor standards and qualification process; lists of financial partners; CBO contact information for follow-up questions; and a description of other NYSERDA programs as appropriate for their needs and circumstances.
- Conducting joint meetings to introduce programs and encourage participation.

Recruitment and Enrollment tasks include:

- Qualifying residents for free or reduced-price residential or small commercial audits.
- Prescreening homes to assess the need for energy efficiency work and the homeowner's willingness and ability to finance the work.
- Following up with prospects to determine interest, whether an audit was scheduled, or any next steps to be taken.
- Contacting prospects who plan to participate in an audit to determine interest and potential to move project to retrofit.
- Maintaining customer lists to move customers through the process and guide customers to appropriate resources and programs. Recruiting and aggregating, where feasible, customers to participate in GJGNY. Not all participants will be part of an "aggregation," nor will all CBOs necessarily aggregate customers. However, any proposer who does not intend to perform aggregation must indicate how their outreach strategies will ensure significant rates of participation by building owners in the program, and the expected success of those strategies will be considered in the evaluation of proposals.
- Requirements for aggregation are included in section IIE below.

B. Workforce Training, Enrollment and Recruitment tasks include:

- Facilitating awareness of the various GJGNY training programs, partners, and initiatives such as basic skills training, technical training, on-the-job training, apprenticeships, internships, preparation for certifications, etc.; work with NYSERDA training partners to connect students and workers to appropriate training opportunities, including on-the-job training, and assist with educating trainees about career steps and opportunities for employment and advancement.
- Coordinating with New York State Department of Labor (NYSDOL) Career One-Stop Centers to leverage other Federal and State training resources and identify employment opportunities. The One-Stop Centers offer a variety of services that can support the GJGNY program. The selected CBOs should access those services accordingly.
- Encouraging additional contractors, including Minority- and Women-Owned Businesses (MWBE), to become BPI Accredited to prepare for business growth opportunities delivered by

GJGNY.

- Supporting the continued growth of a strong foundation of accredited contractors, including MWBE, and encourage workers to leverage training opportunities currently in place.
- Connecting trainees with contractors/employers.
- Building the pipeline of New Yorkers participating in Green Jobs training.
- Educating prospects on the benefits of participation in workforce training programs.
- Educating contractors and potential employers on the benefits and availability of the new workforce.
- Providing specific program information including: types of workforce training opportunities, names of organizations or other entities providing training, contractors and trade organizations providing on-the-job training opportunities, dates and other schedules, contacts, and process for enrollment or participation.

C. Coordination tasks include:

- Coordinating with Home Performance Contractors, Small Commercial Auditors, NYSERDA Business Partners, New York Energy $mart Community Coordinators, utilities, and other key program participants and stakeholders to facilitate further participation in the GJGNY program.
- Working closely with the Training and Implementation contractor to ensure that all CBO staff is appropriately trained and current on GJGNY program components, NYSERDA programs, and other related programs and processes.
- Building relationships and leveraging the benefit of partnerships with Centers of Influence (COIs) to extend the reach of the GJGNY outreach activity. COIs include organizations that serve targeted constituencies such as Small Business Development Centers, local governments, trade organizations, and educational centers.

D. Project Management and Reporting tasks include:

- Developing realistic, measureable goals for recruitment of customers and workforce enrollment, as appropriate.
- Collecting, organizing, interpreting, and reporting customer/worker information.
- Managing customer/worker referral process and reporting referral to conversion statistics on a regular basis.
- Attending regular trainings sponsored by NYSERDA regarding program information and updates.
- Submitting data as required to NYSERDA's on-line outreach database.

The proposer must identify target communities and provide a strategic plan on how to conduct successful outreach and education within the region(s) they are bidding on.

E. Aggregation

Proposers may include a strategy for a pilot aggregation initiative in their proposals. Aggregation is a collection of eligible homes brought to the GJGNY Program by a CBO, under contract with NYSERDA to perform Customer Outreach services, and who have agreed, up-front, to use the same contractor or contractor team to perform audits and retrofit work.

An aggregation strategy must include a plan that clearly describes the rationale to support aggregation and a description of how it will be deployed, managed, and evaluated. Aggregation must provide benefits to the homeowner such as lower costs through standardized pricing and a simplified participation process. Aggregation should also provide benefits to contractors by reducing costs associated with travel and marketing, allowing more efficient use of crews and bulk material purchases, and providing a ready

audience of potential leads. Aggregation should benefit the targeted community by creating jobs that may comply with certain standards and may be filled by residents of the community. Aggregation must complement ongoing market transformation efforts by expanding awareness, increasing education, and reaching populations not currently responding to programs.

Aggregation shall consist of an adequate number of buildings to provide the cost reduction and other related benefits. It is estimated that at a minimum, aggregations should consist of at least five buildings in a targeted neighborhood. However, the maximum number of buildings included in an aggregation should be a reflection on the ability of the contractor/contractor team to perform the audits and ensuing work in a reasonable amount of time. Contracts for audits and retrofit work will be between the homeowner and the contractor/contractor team. Homes should be pre-screened by the CBO to determine their suitability for energy efficiency services and ability to pay for or finance the work under the program before they are considered part of the aggregation.

Neighborhoods will differ from region to region, and strategies to address neighborhoods will depend on housing density and other community characteristics. Proposed aggregation strategies shall take this into consideration and define how the proposed strategy targets specific neighborhoods and/or populations and the motivation behind the selection.

Participation in an aggregation pilot is not required, and willingness to include aggregation will NOT factor into the general selection process for CBOs for outreach services. However, any proposer who does not intend to perform aggregation must indicate how their outreach strategies will ensure significant rates of participation by building owners and homeowners in the program, and the expected success of those strategies will be considered in the evaluation of proposals.

Any proposal for aggregation must adhere to the following guidelines:

1) The proposal shall:
    - Define "neighborhood" as it applies to "aggregating buildings within a neighborhood," including characteristics such as the number of streets or blocks, or other characteristics that will help result in the ability to deliver the desired cost savings through proximity and volume.
    - Identify the neighborhoods that will be targeted for aggregation, and the rationale for selecting those neighborhoods.
    - Define the minimum and maximum number of buildings to be included in a single aggregation.
    - Include protocols and procedures for the implementation and oversight of aggregation.
    - Include procedures to screen homes and buildings to determine their suitability and willingness for energy efficiency services under the GJGNY program and for aggregation (Note that NYSERDA will review and may adjust any screening tool developed for use to ensure all appropriate program qualifiers are addressed.)
    - Include procedures to qualify the households and/or buildings for free or reduced-cost audits and discuss, at a high level, the applicant's ability to qualify for the financing offered through the program, or to otherwise pay for services. CBOs will not qualify applicants for financing, but should determine whether the applicant is likely to qualify.
    - Identify at least three contractors within their region who will agree to participate in the aggregation initiative, based on the contractor standards as described in paragraph (3) below. A Letter of Commitment from each of the three the Contractors must be attached to the proposal. Upon award of a contract to the CBO, NYSERDA will develop an Aggregation Participation Agreement based on the proposed standards that must be

signed by any contractor participating in the aggregation pilot with the selected CBO. The CBO must agree to allow any eligible contractor serving the local region who agrees to the standards outlined in the Aggregation Participation Agreement to participate in the aggregation initiative.

- Describe an approach to standardized pricing for aggregation. Standardized pricing will enable assignment of projects to all participating aggregation contractors in turn without the need to bid projects among contractors. Standardized pricing generally is considered to be a lower price than normally used by a contractor for single projects and may be associated with labor rates, "per-square-foot" rates, and bulk-purchase rates for materials. The nature of standardized pricing established through aggregation may be different from region to region and should be established by the proposing CBO and contractor team.
- Identify a process for assigning aggregated projects to participating contractors, and timelines for accomplishing audits, starting and completing work. Participating aggregation contractors within a region will be placed on a "wheel" for assignment of projects, meaning that each contractor has a turn at receiving projects, but must be able to begin and complete projects in a timely manner at the time of assignment. Include a process for ensuring that the audits and approved work scopes resulting from the audit are on schedule, and to notify the contractor and NYSERDA if audits and/or work have not started on time.

2) All contractors participating in aggregation must be participants in good standing in the relevant NYSERDA program. For example, a contractor who is intending to perform work in aggregated one-to-four family residential buildings must be participating in NYSERDA's or Long Island Power Authority's (LIPA) Home Performance with ENERGY STAR® program, not be on probationary status with the program, and must maintain their participation in good standing throughout the aggregation initiative. Contractors participating in LIPA's program must agree to also become a participant in NYSERDA's program. Contractors must have received favorable ratings through NYSERDA's or LIPA's Quality Assurance (QA) process, be responsive to findings of the QA process, and not have any outstanding QA findings at the time of enrollment in the aggregation model.
3) CBOs proposing an aggregation strategy must also include in their proposals community benefit standards to which contractors must commit by signing an Aggregation Participation Agreement with NYSERDA (upon selection of the CBO through this competitive process). The nature of the standards may include, but are not limited to, the following:
    - The contractor must agree to hire some percentage of future employees over the term of their Aggregation Participation Agreement from the local region. The percentage and the location and size of the "local region" will be defined by the CBO, taking into consideration the characteristics of the region.
    - The contractor must commit to assist with the development of new contractors entering the business by making efforts to hire those contractors, particularly MWBEs, as subcontractors.
    - The contractor must implement a structured training program such as contractor-sponsored classroom, on-the-job, pre-apprenticeship or apprenticeship program, to enable entry-level staff to develop and to support continued career development for employees. The training program may be in-house or in coordination with a local training or labor organization, and include certain health and safety training.

- The contractor must agree to pay its employees at certain minimum wages for aggregation projects.
- The contractor must agree to offer its employees certain benefits, such as health care, sick days and vacation days.

The proposer should be very explicit in establishing the terms of the standards; however, NYSERDA reserves the right to negotiate exact terms of the standards with the selected CBO to support the development of the Aggregation Participation Agreement and to ensure that such standards are legal and enforceable. The "pilot" nature of the aggregation initiative will enable close monitoring by NYSERDA, the CBO and its team, and adjustment over time, if needed, of the strategies and standards implemented. The goal is to develop more permanent strategies and standards for aggregations after evaluating the effectiveness of the pilot initiatives.

If a proposer intends to implement aggregation but is unable to fully develop all aspects of the guidelines above, the proposer should state so, provide the results of planning to date, and provide a timeline for the completion of aggregation planning and re-submittal of the aggregation proposal to NYSERDA.

IV. AVAILABLE FUNDING

NYSERDA has allocated up to $6,000,000 for this two-year program. Table 1 describes the planned budget for each of the 12 regions. NYSERDA reserves the right to make adjustments to the budgets in response to program needs and opportunities.

V. PROPOSAL REQUIREMENTS

Proposers must submit Proposer Eligibility Requirements (Attachment E and supporting documentation, which may be submitted in advance for pre-approval); and 10 paper copies of the proposal with a completed and signed Proposal checklist attached to the front of each copy. One copy **must** contain an original signature. One electronic copy of the proposal and Attachment E and supporting documentation also must be submitted on a standard compact disk (CD). This electronic document (.pdf format only) must be an exact scanned image of the final paper copy proposal and include all relevant forms and signatures.

Proposals that include teaming arrangements **must** designate one party as the Coordinating CBO Contractor. The Coordinating Contractor will have overall responsibility for the administration of the Agreement and completion of the Statement of Work.

Procurement Lobbying Requirements - State Finance Law sections 139-j and 139-k
Procurement lobbying requirements contained in State Finance Law sections 139-j and 139-k became effective on January 1, 2006. (The text of the laws is available at: http://www.ogs.state.ny.us/aboutogs/regulations/advisoryCouncil/StatutoryReferences.html). In compliance with §139-j and §139-k of the State Finance Law, for proposals submitted in response to this solicitation that could result in agreements with an annual estimated value in excess of $15,000, an additional form (or forms) must be completed and filed with proposals: (1) a signed copy of the Proposal Checklist including required certifications under the State Finance Law and (2) a completed Disclosure of Prior Findings of Non-Responsibility form. Failure to include a signed copy of the Proposal Checklist referenced in this solicitation will disqualify your proposal.

Proposals should not be excessively long or submitted in an elaborate format that includes expensive binders or graphics. Each page of the proposal should state the name of the proposer, the RFP number, and the page number. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support proposals.

All proposals submitted as part of RFP 2038 become the property of NYSERDA. Proposers will not be reimbursed for any costs associated with preparation of their proposals.

Proposers shall state how the objectives of this initiative will be achieved and how the tasks will be completed. The proposal shall be in the following format (numbers in parentheses represent the estimated maximum number of pages expected for this section of the proposal):

Proposal Checklist - The proposal checklist to be completed is attached to this RFP. The checklist must be attached to all 10 copies of the proposal. At least one copy must contain an original signature.

Section 1: Introduction and General Information. Identify key information and include a brief narrative about:

- The proposing organization, organizational purpose and day-to-day functions, organizational structure including location of main office and any other offices in New York State.
- Additional proposing team members, if applicable. Include letters of commitment from each team member in an Appendix.
- Whether the proposer(s) intends to perform customer outreach; workforce training, enrollment and recruitment; or both.
- Whether an aggregation strategy is included.
- A brief overview of the targeted communities within the region, and approach to providing services.
- Goals for customer recruitment and worker enrollment, as applicable, for each of the targeted communities.

Proposers should describe why they feel they are qualified to perform and complete the services requested under this RFP. Proposers also should identify familiarity they have with NYSERDA programs, including any past relationship with NYSERDA or NYSERDA contracts.

Section 2: Statement of Work. The Statement of Work should support the Program Requirements identified in Section II.

The Statement of Work is the primary contractual document that identifies the deliverables and provides the basis for payment. It is an action document that specifically delineates each step or procedure required to accomplish the tasks outlined. The Statement of Work must be prepared as a complete set of tasks including subtasks as necessary. In addition to responding to the defined tasks, the proposer is invited to present additional tasks that further address program goals and objectives.

The Statement of Work should address the communities and populations that will be targeted within the region and give a detailed description of how this will be done, including the specific strategies that will be deployed. Separate Tasks must be included for Customer Outreach and Workforce Training, Enrollment and Recruitment, as the proposer must be able to establish task-based budgets for each, separately, as applicable, and NYSERDA may choose to contract with the Proposer for one or both of those services.

The proposal should present concrete and specific ideas for each element of all tasks, to enable NYSERDA to effectively evaluate a proposer's Statement of Work. Proposers are expected to demonstrate their understanding of each task and what it entails by elaborating on how each task would be performed, who will perform it, and the anticipated outcome and deliverables. Each proposer will be evaluated on how much forethought and consideration they have given to every aspect of this Program. Use the following format to describe each task or subtask:

Task 1: Task Title
Description: The Contractor shall…
Expected Result: Results will include…..
Deliverable:

Section 3: Qualifications. Clearly demonstrate the experience, skills, and abilities necessary to effectively develop and implement the GJGNY Outreach Program. Describe qualifications of current staff, the subcontracting staff, and a description of the qualifications of staff to be hired, if necessary, including a clear description of the roles and responsibilities for each key person. Proposals should include examples of relevant projects and programs that have been completed by the proposer that would demonstrate their qualification to support GJGNY. Proposers should include names and contact information for references. Resumes of key individuals should be included in an Appendix. Each resume should be limited to no more than two pages.

Section 4: Schedule and Staff Plan - Include a timeline for completing tasks and major subtasks identified in the Statement of Work provided in Section 2. This timeline should show anticipated start and completion times for each task in terms of weeks or months after execution of the Agreement. The timeline should show the anticipated ramp-up rate for meeting proposed goals.

In addition, include a staffing plan that identifies the key personnel, including any subcontractors or other resources, responsible for completing each task and major subtasks. Provide a table showing the number of hours each key person or subcontractor will spend on each task and the total hours per task.

Section 5: Cost Proposal and Budget - The Contract Pricing Proposal Form (CPPF) is included as an attachment to this RFP. The proposal must include a completed CPPF for each of the following:

- For Customer Outreach, a total budget by task (including coordination, project management and reporting) in the Statement of Work. The budget should be set up to provide a portion of the payments (25%) based on conversion of audits to retrofits.
- For Workforce Training Enrollment and Recruitment, a total budget by task (including coordination, project management and reporting) in the Statement of Work. The budget should be set up to provide a portion of the payments (25%) based on successful placement of students in training related to the GJGNY Program
- If applicable, the total proposal, showing any cost economies if NYSERDA were to award the Proposer both Customer Outreach and Workforce Training, Enrollment and Recruitment services.

Labor costs must be consistent with the staffing plan.

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 (are) approved by an independent organization, such as the federal government, provide a copy of such approval.
- If rate(s) is (are) 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 detailed budget breakdowns (using the Supporting Schedule for the CPPF) for materials, equipment, and travel. Cost sharing is not required, but if it is a part of the proposal, it should be documented in the format below. Letters of commitment for any third parties providing cost

sharing must be included in an appendix. Please show cost sharing separately for Customer Outreach vs. Workforce Training, Enrollment and Recruitment.

	Cash	In-Kind Contribution	Total
NYSERDA	$	$	$
Proposer	$	$	$
Others (list individually)	$	$	$
Total	$	$	$

Appendices - Materials to be submitted in appendices include:

- Resumes of key personnel (limit of two pages each),
- Letters of commitment for co-funding, if applicable
- Letters of commitment from all consortium partners.

VI. PROPOSAL EVALUATION

All proposals from eligible proposers received by the due date, and meeting the submission requirements established in this RFP, will be reviewed and ranked by a Technical Evaluation Panel (TEP) consisting of NYSERDA staff members and outside technical experts, with the selection of the CBOs expected approximately eight to ten weeks after the due date. NYSERDA reserves the right to interview applicants. Final rankings and contract award will be based on the following criteria, listed in order of importance:

Responsiveness to the Program Requirements: Has the proposer demonstrated an understanding of the GJGNY program goals and objectives? Does the proposer have clear and achievable goals? Does the Statement of Work adequately address all the program tasks? Does the proposer present a realistic and effective plan and strategy to support the Program? Does the proposer demonstrate the ability to perform outreach or workforce training, enrollment and recruitment in an effective and economical manner? Does the proposer clearly and concisely describe the target population to be served? Are results and deliverables clearly stated and consistent with the proposer's activities? Does the proposer present innovative Outreach or Workforce Training, Enrollment and Recruitment strategies? Do team members provide value to the outreach and enrollment and recruitment strategies?

Relevant Experience and Qualifications: Is the proposed staffing plan and the qualifications and experience of staff appropriate and adequate for implementation of the program? Does the team have experience with similar projects and populations? Does the project lead, responsible for oversight of the program, have the skill set and managerial experience to ensure successful completion of the program? Does the proposer demonstrate familiarity with the different types of programs to be offered through GJGNY?

Comprehensiveness of Approach and Management Plan: Are sufficient resources being devoted to the program and each individual task? Is the project organization, including the staffing plan and schedule, clear and well-defined? Does the plan include a strategy for coordination and interaction with all of the relevant parties, including NYSERDA, key stakeholders, training partners and contractors, utilities, and various regional organizations? Are the program management/implementation plan and time line complete and does it include specific activities, target dates for completion, collaborative agencies,

and responsible personnel? Does the team have the capability to adequately track, monitor, and report program activities?

Cost Effectiveness: Is the proposal cost effective? Are hourly rates and total hours reasonable and appropriate for completion of each task and for the personnel or subcontractors completing the tasks? Is the proposer's allocation of costs appropriate? Are travel costs reasonable? Are marketing costs reasonable? Are resources clearly described and accounted for? Does the budget include all identified potential expenses required to achieve successful completion of the program plan and its management?

Creativity: How much additional elaboration was provided for each task in the Statement of Work? How well does the Proposer make any particularly creative suggestions or ideas to achieve the goals of this RFP? Are there any suggestions that broaden or deepen the scope of this RFP that might not have been requested? Does the proposal include areas for collaboration with other organizations?

Other: Is the proposal well-organized, well-written, and complete? Is the schedule for project completion and deliverables clear? Are significant milestones and delivery of reports identified?

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 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 www.nyserda.org/about/nyserda.regulations.pdf. 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
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

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.ogs.state.ny.us/aboutogs/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.state.ny.us/pdf/2007/fillin/st/st220td_507_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.state.ny.us/pdf/2006/fillin/st/st220ca_606_fill_in.pdf). The Department has developed guidance for contractors which is available at http://www.tax.state.ny.us/pdf/publications/sales/pub223.pdf.

Contract Award - NYSERDA anticipates making multiple awards under this solicitation. It may award a contract 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 reserves the right to interview applicants. NYSERDA will use the Sample Agreement 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. NYSERDA expects to notify proposers in approximately six to eight weeks from the proposal due date whether their proposal has been selected to receive an award.

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.

VIII. ATTACHMENTS

Attachment A – Proposal Checklist
Attachment B – Disclosure of Prior Findings of Non-responsibility (mandatory)
Attachment C – Contract Pricing Proposal Form (CPPF) & Instructions
Attachment D – Intent to Propose (optional, but encouraged)
Attachment E – CBO Eligibility Requirements
Attachment F - Sample Agreement