



**Quality Assurance Services for
NYSERDA RES Advanced Technology Solar Programs
Request for Proposals (RFP) No. 2280
Up to \$2,171,607 available
*REVISED August 5, 2011***

Proposals Due: August 31, 2011 by 5:00 P.M. Eastern Time

The New York State Energy Research and Development Authority (NYSERDA) requests proposals to provide Quality Assurance (QA) services for the New York State **Renewable Portfolio Standard Customer Sited Tier (RPS-CST) Solar Photovoltaic (PV) and Solar Thermal (ST) Programs**, delivered through NYSEDA's Residential Energy Services (RES) New Construction and Advanced Technology group. NYSEDA's PV Program is delivered through Program Opportunity Notice (PON) 2112; the ST Program is delivered through PON 2149. The Quality Assurance Services Provider(s) obtained through this RFP will be overseen by the RES Quality, Standards and Compliance group. Web addresses provided within RFP 2280 provide additional information and access to PONs 2112 and 2149.

The Quality Assurance services provided as a result of this RFP will be delivered in the following utility service territories: Central Hudson Gas & Electric Corporation; Consolidated Edison Company of New York, Inc.; Orange and Rockland Utilities, Inc.; National Grid; New York State Electric & Gas Corporation; and Rochester Gas & Electric Corporation.

The objective of this Request for Proposals (RFP) is to select one or more independent, third-party QA Services Providers, to provide services in one or more of the geographic regions defined in this RFP, for an initial contract term of up to 18 months. Each contract will include an option for annual renewal for up to an additional three (3) years. Proposals may offer to provide QA Services for one or both of the PV and ST Programs and for one, two or three of the geographic regions. Between one and six contractors to be selected based upon the proposals received. To minimize contractor management costs and to ensure uniformity of services state-wide, preference will be given to a single state-wide provider serving both technologies and all three regions.

In addition to the delivery of QA services for individual projects under the PV and ST Programs, the successful proposer(s) will work with NYSEDA's Quality, Standards and Compliance team to continually refine the systems that verify adherence to the quality standards of the Programs. A proposer may be selected to provide QA services for both the PV and ST Programs. The expected start date of the contract is December 1, 2011.

NYSERDA will conduct a pre-bid teleconference on Wednesday, August 3, 2011 at 10:30 a.m. Albany, NY time. At that time, we will provide updated production estimates and Questions will be taken and, to the extent possible, responses will be provided during the conference. Bidders who intend to participate must send an email indicating such to mdl@nyserda.org, by 12:00 noon on Monday, August 1, 2011, with the subject line "Bidders' Teleconference." Respondents will be provided with a teleconference dial-in number and pass code.

Proposers must submit ten (10) copies of their proposal with a completed and signed Proposal Checklist attached to the front of each copy, one of which must contain an original signature. **Proposals must be received by NYSEDA on or before 5:00 PM on August 31, 2011***, and should be clearly labeled and submitted to:

**Roseanne Viscusi, RFP 2280
NYS Energy Research and Development Authority
17 Columbia Circle
Albany, NY 12203-6399**

If you have technical questions concerning this solicitation, contact Michael Levitz at (518) 862-1090, ext. 3429 or mdl@nyserda.org. If you have contractual questions concerning this solicitation, contact Elsyda Ahmed at (518) 862-1090, ext. 3232 or ela@nyserda.org.

No communication intended to influence this procurement is permitted except by contacting Michael Levitz (Designated Contact) at (518) 862-1090, ext. 3429 or mdl@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, incomplete proposals, or proposals lacking the appropriate completed and signed Proposal Checklist will not be accepted and will be returned. Faxed or e-mailed proposals will not be accepted. Proposals will not be accepted at any other NYSERDA location other than the address above. If changes are made to this solicitation, notification will be posted on NYSERDA's Funding Opportunities web site identified above.**

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. NYSEDA's principal mission is to advance innovative energy solutions in ways that improve New York's economy and environment. NYSEDA was selected by the New York State Public Service Commission (PSC) to administer the RPS Programs. For background information on the RPS Programs visit the following link to the PSC website:

<http://www3.dps.state.ny.us/W/PSCWeb.nsf/All/1008ED2F934294AE85257687006F38BD?OpenDocument>

NYSERDA requests proposals from organizations to act as a Quality Assurance Services Provider(s) for the **Photovoltaic** and **Solar Thermal** Programs (See Section II) in defined **geographic regions**. For the purposes of this RFP, QA services will be defined as the processes involved in evaluating installations after they have been completed under the Program(s). The QA Services Provider(s) will assess whether installations comply with Program requirements and are consistent with approved system schematics and site evaluation documents. The QA Services Provider(s) will then report to NYSEDA on those assessments in an agreed upon time frame and in an approved format. The QA Services Provider(s) will also work with NYSEDA to develop or refine systems to verify adherence to the adopted quality standards of the Programs while supporting on-going efforts to refine and enhance the quality of services supported by these Programs.

Although Proposers may offer to provide service to one or both of these Programs, and for one, two or all three of the **geographic regions** (see below), proposals must be structured to allow evaluation of the proposer's ability to serve each Program in each area to which they are responding. If proposing to serve a Program in more than one geographic area, any potential advantage of providing QA services in multiple geographic areas should be clearly delineated and described within the proposal. Similarly, if proposing to serve both Programs, any potential advantage of providing QA services to both the PV and ST Programs should be delineated and described within the proposal. The estimated number of total annual inspections across all geographic regions for Solar PV and Solar Thermal are as follows:

Solar PV: 480 per year based on an average of 40 per month

Solar Thermal: 480 per year based on an average of 40 per month

Annual production estimates are based on a full twelve months of production. These are only estimates and the actual number of inspection will vary. The projected eighteen (18) month contract period covered in this proposal represents approximately nine months from each production year, subject to modification based upon the contract's specific execution date.

The percentage breakdown between Commercial PV system installations and Residential PV system installations is roughly one third (1/3) Commercial PV and two thirds (2/3) Residential PV. For Solar Thermal there is insufficient data to give estimates for the breakdown between commercial and residential systems.

NYSERDA cannot guarantee any specific number of inspections to the successful proposer because the number of completed installations and the number of new provisional installers is unknown. In addition to the standard inspections described in this document there will be an additional number of custom inspections and technical review activities representing approximately 5% of the estimates above.

Geographic Regions

The geographic regions are listed by county and also shown in a map below. It is expected that the number of installations and inspections will be approximately equal among the three regions. Adjustments to the regions may be made at the time of contract renewal or extension, as deemed necessary by NYSEDA.

Region I:

Dutchess County, Orange County, Putnam County, Westchester County, Rockland County, Bronx County, New York County, Richmond County, Queens County, Kings County.

Region II:

Ulster County, Sullivan County, Columbia County, Greene County, Delaware County, Otsego County, Herkimer County, St. Lawrence County, Franklin County, Clinton County, Essex County, Hamilton County, Warren County, Washington County, Fulton County, Montgomery County, Saratoga County, Schenectady County, Schoharie County, Albany County, Rensselaer County.

Region III: All remaining New York State Counties not included in Regions I or II, except Nassau and Suffolk Counties, which are not covered under this RFP.



II. BACKGROUND

Photovoltaic Program

Proposers should review all the materials related to PON 2112 to become familiar with the PV Program. PON 2112 Program materials are posted on the NYSERDA website at: <http://www.nyserdera.org/funding/2112pon.asp>

Solar Thermal Program

Proposers should review all the materials related to PON 2149 to become familiar with the ST Program. PON 2149 Program materials are posted on the NYSERDA website at: <http://www.nyserdera.org/funding/2149pon.asp>

III. ELIGIBILITY TO PROVIDE QUALITY ASSURANCE SERVICES

If a contractor, primary or sub-contractor, is an eligible installer or an affiliated entity under PON 2112 or PON 2149, they are ineligible to propose under this RFP. Also, manufacturers, distributors of PV or ST equipment or their affiliates are ineligible to submit proposals under this RFP.

Proposers are expected to demonstrate (a) expertise in quality assurance systems, with a strong knowledge of Photovoltaic and/or Solar Thermal (Solar Hot Water Heating) technologies; (b) knowledge as to the application of corresponding building, electrical and plumbing codes; (c) the ability to work effectively with a diverse group of stakeholders, and the ability to successfully complete projects on time and within budget, and (d) an ability to provide the services identified within Section IV: RANGE OF RESPONSIBILITIES AND SERVICES in a cost-effective, high quality manner, while remaining flexible and responsive to changing Program needs.

The successful proposer(s) will develop and maintain credentialed and technically proficient QA field staffs that are appropriately located to cover each Program area they propose to serve. The successful proposer(s) shall:

- Retain adequate staff to service the designated program areas,
- Satisfy the general staffing requirements necessary to meet this RFP's objectives,
- Include a viable plan within their Proposal which identifies how these requirements will be met prior to execution of the contract, and
- Maintain the relevant certifications and licensing requirements for each specific Program area.

Technical Requirements for Field Inspectors

PV:

- Licensed Electrician or equivalent. If not licensed, a degree in engineering is strongly recommended with a preference for a bachelor's degree.
- Combined 3 years or more experience in installing, designing and inspection of electrical systems with a significant emphasis on PV systems.
- Extensive knowledge of codes, standards, and trade practices.
- Ability to communicate effectively with homeowners, business owners and PV installation contractors

ST:

- Licensed Plumber or equivalent. If not licensed, a degree in engineering is strongly recommended with a preference for a bachelor's degree.
- Combined 3 or more years experience in installing, designing and inspection of plumbing systems with a significant emphasis ST systems
- Extensive knowledge of codes and standards, and trade practices.
- Ability to communicate effectively with homeowners, business owners and ST installation contractors.

IV. RANGE OF RESPONSIBILITIES AND SERVICES

Through this RFP, proposers or proposing teams with specific expertise in quality assurance and a strong technical knowledge of PV systems and/or ST systems and relevant electrical, mechanical and building codes will be retained to provide QA services. Sub-section A of this section identifies tasks which are common to both PV and ST Programs. Sub-section B of this section outlines specific requirements and processes for each Program.

The goal of the Quality Assurance process is to verify that systems installed through the Program meet all program requirements while maintaining safe living conditions for the occupants. Overall, each installation will undergo a thorough review process that includes a review of all of the application materials submitted by the installer for project approval under PON 2112 or 2149.

Activities, processes and materials developed to support delivery of the QA services in the PV and ST Programs are subject to NYSERDA's review and approval. All materials developed as a result of any subsequent contract award will become the property of NYSERDA.

The expected start date of work is December 1, 2011. As stated above, due to the complexity of these Programs and the large geographic coverage area, more than one award may be made as a result of this RFP. The initial contract term will be for up to 18 months, with options for annual renewals for up to an additional three (3) years.

A. Common Program Tasks

Task 1: QA Development and Implementation

The successful proposer(s) to this RFP will be responsible for the delivery of the QA services and procedures outlined in this solicitation. The services delivered and installations completed by installers under the Programs will be reviewed by the successful proposer(s) for:

- Adherence to all requirements relating to eligibility and administrative processes,
- Compliance with all requirements relating to technical specifications and performance specifications for each Program,
- Quality of the work completed under the specific Program,
- Consistency with reported installation schematics,
- Accuracy of required and reported shading analysis,
- Customer satisfaction with the installation services and finished product.

Task 2: Coordinate with NYSERDA

The successful proposer(s) shall:

- Develop an overall inspection plan, estimating the number and locations of inspections to be accomplished each month. This plan will delineate the number of inspections to be accomplished on work done by provisional installers.
- Obtain the necessary information from NYSERDA on recent installs to schedule inspections.
- Report to NYSERDA on upcoming inspection schedules on a weekly basis.
- Develop/Refine and implement a plan to notify installers of inspections occurring on their projects.

Task 3: Quality Assurance Reporting

The successful proposer(s) to this RFP will provide timely and accurate feedback to NYSERDA on field inspections and administrative reviews. To facilitate this interaction and the necessary exchange of information, the successful proposer(s) will be provided access to the PowerClerk database and other relevant sources of information. PowerClerk is the database currently used to implement the PV and ST Programs. It will also be used to facilitate the QA process and house field inspection and administrative review reports. (See <http://www.cleanpower.com/PowerClerk> to learn more about PowerClerk software.) The successful proposer(s) will:

- Provide direct feedback to NYSERDA through the PowerClerk database in an approved format. The reports will be submitted electronically in both a printable format and as a CSV compatible data file.
- Create a detailed report for each field inspection completed. The report will contain all of the information gathered during the inspection and any necessary pre-inspection information that was used to complete the inspection. This would be reflected in the checklists. Completed inspection reports will be transmitted to NYSERDA's Implementation Database (currently running on PowerClerk software) no later than one week after the completion of the inspection. The report will be transmitted in comma-separated variable (.csv) format and include a printer-friendly coversheet that outlines the field inspection findings. **All proposers must include with their submission a sample report using details from an actual existing PV or ST system field installation. In addition to a sample report, the proposer must provide a sample pre-inspection checklist and a sample field inspection checklist.**
- Create similar reports for customized inspections or other technical requests.

Task 4: Data Collection and Reporting

The successful proposer(s) to this RFP will be responsible for assembling all data required to produce and submit Monthly Progress Reports, and the Final Report required under this RFP. Monthly progress reports will be submitted to NYSERDA no later than the 10th of each month for the previous month. Monthly reports will include, but are not limited to, the following: Title of Project; Contract Number; Reporting Period; QA Inspection Rate (historical, current and planned for the next reporting period), Comparison of Actual to Planned Inspection Percentages, Installer QA score/evaluation, and Identification of Problems & Planned Solutions. Monthly reports are to be submitted electronically by the 10th of each month for the previous month

A Final Report will also be submitted to NYSERDA covering all aspects of work performed as a result of this RFP. The Final Report will be submitted no later than 45 days after the completion of the contract. The report will be submitted to NYSERDA in an approved format and be delivered in hard copy to NYSERDA within 45 days of the completion of the contract term.

Task 5: Program Implementation

PON 2112 and PON 2149 use the PowerClerk software to implement the Programs. The successful proposer will be given administrative access to PowerClerk, which will allow for the selection of projects for field inspection based on the selection criteria listed below. NYSERDA will provide the successful proposer access to obtain participant and project information as necessary. The customer information will be used to schedule QA inspections with the program participant within thirty (30) days of project completion to meet the required specified percentage of projects.

The successful proposer will review the PowerClerk database daily to find installations that are labeled complete. Inspections will be scheduled on a weekly basis and the schedule for all inspections will be transmitted to NYSERDA at a minimum of one week in advance of the inspection appointments. In addition, the successful proposer will be required to provide detailed information to NYSERDA on all administrative reviews and QA field inspections results. If the inspector identifies any urgent and /or hazardous situations regarding technical compliance, the inspector is to notify NYSERDA and the responsible installer immediately to initiate follow-up procedures.

The successful proposer to this RFP will be responsible for obtaining the following specific information for projects scheduled for inspection:

- Installer contact information
- Owner address and contact information
- Site map/diagram of installation
- Design drawing (ST); 3-line design drawing (PV)
- Shading analysis, equipment list and other information necessary to conduct the field examination.

The successful proposer will conduct comprehensive field inspections on completed projects. The selection criteria used will be:

- The first 3 projects of a provisional (newly enrolled) eligible installer to the PV or ST Program
- Random selection of fifteen percent (15%) of completed projects in a particular region for full eligible installers
- Inspection rate of 30% for participants that are in probationary or suspended status due to having a history of completing projects that do not fully meet Program standards.

B. Program Specific Requirements

The following sub-sections will list the requirements that are specific to each individual program area. Successful proposer(s) to these individual programs must complete the tasks listed under Section IV A, Common Program Tasks, above in accordance with the relevant requirements below.

B1. Solar Photovoltaic Incentive Program under PON 2112

The following summarize the Quality Assurance (QA) Administrative Review Process and Field Inspection Procedures for the Solar PV Program, administered through PON 2112.

1: Inspection Requirements and Procedures

The successful proposer to this section of the RFP will be responsible for conducting administrative reviews and technical field inspections of installed systems to the required percentages stated above in this solicitation.

Technical Field Inspection:

The QA Services Provider will schedule all field inspections with the owner of installed systems. If the owner is willing, the installer has the option to attend the inspection. If the installer chooses not attend, or if the owner does not wish the installer to attend, the QA field inspector will have a phone contact number to contact the installer if details regarding the installation are needed, or if an urgent safety concern is identified.

The process for conducting a PV QA Field Inspection is outlined below:

- Brief introduction to the customer.
- Technical Compliance of the Installation
- Ensure that the installation matches the design and equipment entered into PowerClerk.
- Complete field inspection checklist of the PV array including specifics for ground mounted arrays.

- Ensure that warning labels and other signage is installed as required by the National Electric Code Article 690 (NEC 690).
- Ensure that all work complies with the most recently adopted version of the NEC, which is at present NEC 2008.
- Ensure that the equipment ratings are consistent with the application and signage
- Complete a worksheet in the field including a full checklist.
- Digitally photograph the installation, major components and specific locations where there is an area of concern regarding proper installation.
- In situations where a serious safety concern exists, notify the installer and NYSERDA immediately. In extreme emergency situations, the inspector may disable the system.
- Provide a score for rating the overall quality of the installation. The scoring system will be developed with NYSERDA as part of the final statement of work.

Administrative Review:

- Obtain the project details in PowerClerk,
- Compare with field observations for consistency.

2: Post Inspection Follow Up Procedures

The successful proposer to the PV Program section of the RFP will submit a report summarizing the results of all Quality Assurance field inspections to NYSERDA. A standard reporting format will be used and will contain all information gathered in the field. Post-Inspection Documentation and Reporting Forms will be submitted in an electronic format (as described above). Depending on the final statement of work, the final report may be expanded. The submission will, at minimum, include the following:

- Project Information:
 - Customer information
 - Installer information
 - Inspector information
 - Inspection date
 - NYSERDA PV Incentive tracking number
- System Description and Design. Inspect the system to insure compliance with the most recently adopted version of the NEC. Make a determination that the installed system matches what was approved by NYSERDA:
 - Major PV Equipment – PV modules and inverter
 - Module tilt and orientation
 - Shading of the array location. Conduct a shading analysis if shading concerns exist DC wiring and disconnects
 - AC wiring and disconnects
 - Interconnection
 - Grounding
 - Equipment labeling and signage
 - Quality of workmanship
 - NEC violations
 - Energy production at the inverter and the required NYSERDA PV meter is installed. Note in the report the energy production at the PV meter on the date of the inspection.

Each inspection report must specifically outline the problems that were found on the inspection and what follow-up tasks might be necessary (and at what degree of urgency). Inspection results will be scored against evaluation criteria to be developed as part of the statement of work.

B2. Solar Thermal Incentive Program under PON 2149

The following summarize the Quality Assurance (QA) Administrative Review Process and Field Inspection Procedures for the Solar Thermal Program administered through PON 2149.

1: Inspection Requirements and Procedures

The successful proposer to this section of the RFP will be responsible for conducting administrative reviews and technical field inspections to the required percentages stated in this solicitation.

Technical Field Inspection:

The QA Services Provider will schedule all field inspections with the owner of installed ST systems. If the owner is willing, the installer has the option to attend the inspection. If the installer chooses not attend, or if the owner does not wish the installer to attend, the QA field inspector will have a phone contact number to contact the installer if details regarding the installation are needed, or if an urgent safety concern is identified.

The process for conducting a QA Field Inspection is outlined below:

- Brief introduction with the customer
- Technical Compliance of the Installation
- Insure that the installation matches the design and equipment entered into PowerClerk
- Field inspection checklist of the Solar Thermal Panel array including specifics for ground mounted arrays
- Inspect the piping in the attic to insure that all pipes are insulated to International Conservation Code (ICC) requirements
- Inspect the roof and all penetrations for weather tightness.
- Insure that solar fluid piping is compatible with the metal used in the panel absorber plate
- Check for leaks in the solar piping loop
- Make sure that all necessary plumbing equipment is installed and the installation is done properly.
- Complete a worksheet in the field including a checklist that can be scanned into a final report.
- Digitally photograph the installation, major components and specific locations where there is an area of concern regarding proper installation.
- In situations where a serious safety concern exists, notify the installer and NYSERDA immediately. In emergency situations, the inspector will disable the system.
- Provide a score for rating the overall quality of the installation. The scoring system will be developed with NYSERDA as part of the final statement of work.

Administrative Review:

- Obtain the project details in PowerClerk,
- Compare with field observations for consistency.

2: Post Inspection Follow Up Procedures

The successful proposer to the ST Program section of the RFP will submit results of the Quality Assurance field inspections to NYSERDA. A standard reporting format will be used and will contain all information gathered in the field. Post-Inspection Documentation and Reporting Forms will be submitted in an electronic format (as described above). The submission will at minimum include to the following. Depending on the final statement of work, the field inspection report may be expanded:

- Project Information
 - Customer information
 - Installer information
 - Inspector information
 - Inspection date
 - NYSERDA ST Incentive tracking number
- System Description and Design. Inspect the system to insure compliance with plumbing and building codes including a determination that the installed system matches what was approved by NYSERDA. Inspect overall workmanship.
 - Major ST Equipment – ST panels and solar storage tank match application
 - Panel tilt and orientation.
 - Check for sealing and weather-tightness of roof penetrations or building penetrations if a ground mount system.
 - Shading of the panel location. Conduct a shading analysis if shading concerns exist (more than 20% year round shading).
 - Plumbing connections are properly soldered or otherwise connected
 - Piping materials meet code and are compatible with all connected equipment
 - All necessary safety valves and pressure/temperature relief valves are present and are installed properly
 - Connection of the solar storage tank with existing back up water heater is correct
 - Quality of workmanship
 - Piping is insulated to minimum levels as required by ICC
 - Any building or plumbing code violations
 - If the system is not an SRCC OG-300 system insure that the Btu output monitoring system is functioning properly

Each inspection report must specifically outline the problems that were found on the inspection and what follow-up tasks might be necessary (and at what degree of urgency). Inspection results will be scored against evaluation criteria to be developed part of the statement of work.

V. PROPOSAL REQUIREMENTS

Proposers must submit ten (10) copies of the completed proposal to the attention of Roseanne Viscusi at the address on the front of this RFP. A completed and signed Proposal Checklist must be attached as the front cover each of your proposals, one of which must contain an original signature. Late proposals or proposals lacking the appropriate completed and signed Proposal Checklist will be returned. Faxed or e-mailed copies will not be accepted. Each page of the proposal should state the name of the proposer, the RFP number, and the page number. **Proposals must be received by NYSERDA on or before 5:00 PM on August 31, 2011.**

Proposers must demonstrate the expertise and experience to successfully complete all aspects of their plan, including the eligibility requirements in section III above. Proposals that include teaming arrangements must specify one party as the Prime Contractor. The Prime Contractor will have overall responsibility for the administration of the Agreement and completion of the Statement of Work. All responses submitted as part of RFP 2280 become the property of NYSERDA. Proposers will not be reimbursed by NYSERDA for any costs associated with preparation of their proposals.

Proposers must state how the objectives outlined within Section IV: 'Range of Responsibilities and Services' will be achieved, while remaining flexible and responsive to changing program needs. The proposal will be in the following format:

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

Section 1: General Information - Firm name, address, telephone number and fax number, an e-mail address, a primary contact person, the year firm was established, name and address of parent company (if applicable).

Section 2: Introduction - The proposer should briefly identify key information about their organization, and why they are qualified to perform and complete all the services outlined in this RFP. This section should provide an introduction of the company and their team members, a brief summary of the proposed operating plan, and if applicable, a description of past experience related to the requested services. Proposers to this RFP can respond to one or both Program areas, and one or more geographic regions, but will structure their proposal in a manner which allows evaluation of their ability to serve each Program area and each geographic region to which they are responding. If proposing to serve more than one Program or geographic area, any potential advantage of providing QA services in this manner will be clearly described and delineated.

Section 3: Statement of Programs, Geographic Regions – The proposer should clearly indicate which Programs (Photovoltaic Program/Solar Thermal Program) and which Geographic Regions for which the proposer wishes to offer services.

Section 4: Statement of Work - The Statement of Work details how the proposer will fulfill the tasks outlined within Section IVA and the related requirements of Section IVB. The Statement of Work is the primary contractual document that outlines work activities, identifies the deliverables, and provides a basis for payment. It is an action document that specifically delineates each step or procedure required to implement the proposal. The Statement of Work must be prepared as an ordered set of tasks, including subtasks as necessary. Proposers should describe the actions they will take to complete each task and what they anticipate as the outcome of each completed task. Each action should be identified, indicating who will perform it, how it will be performed, when it will be performed, and its anticipated deliverables. Use "active voice" sentence structure to make clear who is responsible for specific actions; for example, use the following phrase to start the description of every task and subtask: "The Contractor shall..."

Section 5: Management Structure - The proposal should identify all project participants, including the primary contact, who will be responsible for ensuring that the tasks within the statement of work are carried out properly and in a timely manner. The proposer should provide a clear description of the roles and responsibilities of each key person, including all consultants (i.e., subcontractors). Include letters of commitment, signed by a person authorized to bind the organization, for all consultants (subcontractors) included as team members. The proposer should also describe how coordination with NYSERDA and Program Installers will be accomplished. It is recommended that an organizational chart, with responsibilities identified, is included in the proposal.

Section 6: Qualifications - Proposer should clearly demonstrate how they are qualified to carry out the tasks in the Statement of Work, for each program area. Documentation of the proposer's ability to perform the work required in this RFP will include a description of the proposer's qualifications and experience in providing similar QA services, including summaries of experience for the personnel who will be directly involved in the delivery of Quality Assurance services. If the proposer intends to augment their capabilities with external consultants (i.e., subcontractors), that should be clearly delineated in their proposal.

Resumes must be provided for all persons, including subcontractors, who will be participating as managers, technical reviewers or field inspectors and will include education, experience and certifications that are relevant to the proposed work.

Section 7: Schedule - The proposer should include a timeline for completing each task and major subtask identified in the Statement of Work. This timeline should be in bar chart form showing anticipated starting and completion times for each task, as appropriate, as well as significant milestones, such as delivery of plans, dates of coordination meetings, and monthly reports...

Section 8: Cost Proposal and Budget – Proposers must provide a cost per inspection estimate that includes all administrative, travel and other expenses incurred in carrying out the requirements of the contract. The assumptions and calculations used to produce an estimated cost per inspection should be included with the estimate for purposes of clarity. It is expected that 95 percent of all costs incurred by the successful bidder will be based on standard inspections of completed Program installations. Approximately five percent of the work required under the contract may involve special circumstances where NYSERDA will request technical services in the field or administrative review of projects to aid in Program delivery. These could include but are not limited to: post inspection follow up in emergency situations, investigation of installer qualifications prior to admission to the Program, administrative review of flagged projects, customer requested field inspections and increased inspection percentages of probationary installers. Proposers must provide a cost to provide these services as part of their proposal. If prices are anticipated to vary by geographic area or Program area, this information should be clearly identified in the proposal.

The Budget Form is included as an attachment to this RFP. Proposers to this solicitation will complete the attached Budget Form. Use separate forms to identify costs by program area and for each program area to which the proposer is responding. For example, a Budget Form should be submitted for providing services for the PV program in Region I, and a separate form should be submitted for providing ST services in Region I. If there is expected to be cost savings if the proposer is awarded more than one technology or region, provide the details of the expected cost savings.

In order for NYSERDA to verify availability and flexibility of staff to perform effectively under this contract, proposers must provide a staffing plan including full-time equivalents (FTEs) available for completing the identified tasks and deliverables. (An “FTE” is a unit of measurement representing the commitment of personnel resources equal to one person working full-time for one year.) Include a detailed organizational chart identifying key personnel that would be working on this project and their title classifications. Include a clear description of each key personnel responsibility in executing the project, including any subcontractors. Proposers may also propose to commit a fraction of one FTE if they desire.

VI. PROPOSAL EVALUATION

All proposals 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 external technical experts. NYSERDA management’s final selection of the Quality Assurance Services Providers(s) can be expected approximately eight to ten weeks after the due date. NYSERDA will review each written proposal to determine whether NYSERDA’s overall objectives are met and the proposed costs are reasonable. NYSERDA may contact selected references during the review process.

Final rankings and contract award will be based on the following criteria:

Responsiveness, Relevant Experience and Qualifications: How well does the Proposer demonstrate an understanding of this RFP and the programs areas to be served? Is the proposal responsive to and based on the range of services requested within Section IV: ‘Range of Responsibilities and Services’? Does the proposer demonstrate a specific expertise and recent experience in providing QA services and what was the quality of performance on past projects? Has the Proposer demonstrated strong management and is management oversight and control adequate?

Technical Expertise: How well does the Proposer demonstrate their knowledge of photovoltaic and solar thermal technologies and relevant codes? Do the Proposer’s key personnel have technical education and experience necessary to serve the specific program area(s)? Do the personnel hold the certifications required by each program area? If not, does the Proposer’s plan identify how these requirements will be met prior to initiation of this agreement?

Location: How well does the Proposer demonstrate the capacity to provide the services in the area(s) they proposed? Are sufficient resources (staff, facilities and equipment) being devoted to fulfilling the Statement of Work on a regional, or if applicable, statewide basis? How well does the Proposer demonstrate an understanding of the differences across the various regions of the State in terms of local ordinances and licensing requirements? How well does the Proposer demonstrate an understanding of the differences across the various regions of the State in terms of expected performance, optimization and sizing of installed units?

Cost: How cost-effective is the proposal? Is the Budget Form responsive to the RFP and is it clear? Are the costs and total hours reasonable and appropriate for completion of each task? Are there any leveraged resources, in-kind contributions, or cost sharing arrangements? Is the proposer's total cost appropriate when compared to the cost of other comparable proposals and their projected results?

Proposals must meet all the requirements articulated in this RFP. Proposers that fail to meet one or more of the criteria, or that fail to address any tasks required in the RFP, may be determined to be non-responsive and may be disqualified from further consideration by the Technical Evaluation Panel.

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 will disclose any indictment for any alleged felony, or any conviction for a felony within the past five years, under the laws of the United States or any state or territory of the United States, and will describe circumstances for each. When a proposer is an association, partnership, corporation, or other organization, this disclosure requirement includes the organization and its officers, partners, and directors or members of any similarly governing body. If an indictment or conviction should come to the attention of NYSERDA after the award of a contract, NYSERDA may exercise its stop-work right pending further investigation, or terminate the agreement; the contractor may be subject to penalties for violation of any law which may apply in the particular circumstances. Proposers must also disclose if they have ever been debarred or suspended by any agency of the U.S. Government or the New York State Department of Labor.

Attachments:

- Attachment A - Proposal Checklist
- Attachment B - Disclosure of Prior Findings of Non-responsibility
- Attachment C- Budget Form
- Attachment D -Analysis Rate Table
- Attachment E- Sample Agreement
- Attachment F – PON 1050 & 2112 Completed Projects August 2008 – July 2011