PON 2569, Advanced Clean Power Technologies
Attachment C

Statement of Work Format

Instructions: Fill out the Statement of Work below. Areas highlighted, in italics, and in square brackets are instructions that indicate where you should enter information. Areas that are not highlighted are 'boilerplate' language that should not be changed unless you have a particular exception to the language.

Project Goals: [*Describe the technical, performance, and business goals of the proposed project. These goals should be as specific as possible and include quantitative measures where possible. The goals should clearly identify any technical and business progress that you expect to achieve during the course of this work. The goals should allow for measurement and verification of the success of the proposed project once it is complete.*]

Work Tasks: In order to carry out the objectives of this project, the following tasks shall be performed during this program by [*enter name of proposing entity*] ("the Contractor"):

Task 1: Project Management

Project Personnel: [*insert the name of the Proposer's Project Manager*] shall serve as Project Manager and as such shall have the responsibility of the overall supervision and conduct of the project work on behalf of the Contractor. Any substantive change of project personnel by the Contractor shall be subject to the prior written approval of NYSERDA. Such approval shall not be unreasonably withheld.

Subcontracts: [*Include one of the following paragraphs for each subcontractor*] The Contractor shall enter into an agreement with [*insert name of subcontractor if applicable*] to perform work in the area of [*insert one-phrase description of area of work*].

[*Include the following for Category D demonstration projects*] The Contractor shall enter into an agreement with [*insert name and address of host site*] to host the demonstration of [*insert one-phrase description of unit*] for at least [*insert number of months*] months.

Regardless of subcontracting arrangements, the Contractor shall be solely responsible for the timely completion of all tasks and deliverables included herein.

At NYSERDA's request, the Contractor shall submit a copy of the above agreement(s) to NYSERDA's Project Manager.

Internal Project Coordination and Coordination with Project Partners: The Contractor shall coordinate program-wide activities including internal and external communications, milestone and cost tracking, annual full team review meetings, and reports.

Meetings: The Contractor shall hold a Kickoff Meeting at the start of the project, a meeting to present Phase 1 results [*include Phase 1 meeting if the project has phases*], and a Wrap-Up Meeting at the end of the project. Additional meetings shall be held as necessary to keep NYSERDA's Project Manager informed of project progress. The Contractor shall schedule meetings at a time and place agreeable to all participants, shall provide a written agenda five days in advance of each meeting, and shall document each meeting with minutes, which shall be distributed within ten business days.

Project Facilities: A substantial portion of the project work shall be conducted at the Contractor's facilities in [*indicate city*]. Additional work shall be conducted at locations in [*indicate other locations if applicable*]. Any change of project facilities by the Contractor shall be subject to the prior written approval of NYSERDA. Such approval shall not be unreasonably withheld.

[Include the following section for Category D, Demonstration Projects:]
Demonstration Site Owner Agreement: *(Only applicable to projects in which the demonstration site is not owned/controlled by the Contractor)*
With regard to the demonstration site, The Contractor shall:

- Enter into a written Site Owner Agreement (between the Contractor and the demonstration site owner) to obtain access to the site and authorization to install and demonstrate the project. The Site Owner Agreement shall clearly define responsibilities including, but not limited to: installation; access by the Contractor for monitoring; maintenance; term; final ownership/disposition of equipment; publicity; insurance; indemnification; (including a provision by which the site owner disclaims any liability against NYSERDA for any damages or losses occurring by virtue of the demonstration); payments and costs. The Site Owner Agreement shall be consistent with this Agreement between the Contractor and NYSERDA;
- Include in the Site Owner Agreement a provision for NYSERDA's Project Manager and invited guests to visit the site to inspect the project and to witness test operations. Invited guests may include other NYSERDA personnel, New York State agency representatives, and other stakeholders. The Contractor shall coordinate arrangements for these inspection visits with the site operator;
- Submit a draft copy of the written Site Owner Agreement to the NYSERDA Project Manager for review and approval prior to actual signing; and
- Incorporate into the written Site Owner Agreement(s) changes requested by the NYSERDA Project Manager.

Project Funding. It is understood and agreed that NYSERDA and the Contractor are sharing the costs for the project work to be performed and that the cost share identified below shall be readily available. The table below documents the cost sharing by tasks for this research effort. Any change of cost share by the Contractor shall be subject to the prior written approval of NYSERDA. Such approval shall not be unreasonably withheld. [*Fill out the task titles and budget numbers in following 'Cost-Sharing Table'*]

Cost-Sharing Table			
Task	NYSERDA Funding	Contractor cost-share	Total Task Funding
Task 1: Project Management	$	$	$
PHASE 1 TASKS [*include this line if you have a Category C proposal requesting over $500,000 of NYSERDA funding*]	$	$	$
Task 2: [*insert task title*]	$	$	$
Task 3: [*insert task title*]	$	$	$
[*insert as many tasks as necessary*]	$	$	$
PHASE 2 TASKS [*include this line if you have a Category C proposal requesting over $500,000 of NYSERDA funding*]	$	$	$
[*insert as many Phase 2 tasks as necessary*]	$	$	$
TOTAL	$	$	$

Invoicing: Pursuant to this Agreement, invoices shall set forth total project costs incurred during the progress reporting period. Costs shall be broken down into NYSERDA funding share and cost share provided by others, and they shall be in a format consistent with the cost categories set forth in the Budget. The Contractor shall be responsible to provide adequate cost documentation, including those incurred by the subcontractor, and the total

costs per task should be in reasonable agreement with those listed above. NYSERDA reserves the right to limit the amount of progress payment made in any reporting interval to an amount commensurate to the documented cost share incurred.

Metrics Reporting: On an annual basis during and for a period of *[for product/technology development projects insert, 'ten years after the project is completed'; for demonstration projects insert, 'five years after commissioning of the equipment'; and for technology facilitation studies insert, 'two years after the project is completed']*, the Contractor shall submit, to NYSERDA's Project Manager, a prepared analysis and summary of metrics addressing the anticipated energy, environmental and economic benefits that are realized by the project. All estimates shall reference credible sources and estimating procedures, and all assumptions shall be documented. Reporting shall commence the first calendar year after the contract was executed. Reports shall be submitted by January 31st for the previous calendar years activities (i.e. reporting period). The Contractor shall provide metrics in accordance with the attached Metrics Reporting Guide. [Examples of metrics data that will be reported can be found in Attachment E. The appropriate form for the type of project proposed will be used.]

Project Dissemination: The Contractor shall prepare and present technical papers at appropriate conferences and symposia, exhibit displays at trade shows where economically viable, and write articles for publication in technical journals. At the appropriate time in the product development and in accordance with this Agreement, the Contractor shall prepare media presentation packages and submit them to NYSERDA for review and approval.

During the performance period of this Agreement and upon 90-days notice, the Contractor shall be prepared to attend an annual one-day workshop at a New York State venue and conduct a technical presentation of project results. Organized by NYSERDA, it is envisioned that numerous projects will be presented over the course of the day to relevant stakeholders and that each individual presentation will require approximately 30-minutes.

Progress Reports: The Contractor shall prepare reports [*insert monthly (required for Category D demonstration projects) or quarterly as appropriate. Note that invoicing should be on the same schedule as reporting*]. The progress reports shall be in a letter format and shall include the following subjects in the order indicated, with appropriate explanation and discussion:

a. Title of project.
b. Agreement number.
c. Period of this report.
d. Progress of this report
e. Planned progress in the future.
f. Identification of problems.
g. Planned Solutions.
h. Ability to meet schedule, reasons for slippage in schedule.
i. Schedule - percentage completed and projected percentage of completion of performance by months - could be a bar chart or milestone chart.
j. Analysis of actual cost incurred in relation to budget.

Copies of the progress reports shall be submitted to NYSERDA's Project Manager by the 15th of each month following the period of work that was performed.

[*Include Phase 1 Report paragraph if applicable; required for all Category C projects exceeding $500,000 of NYSERDA funding*] Phase 1 Report: The Contractor shall prepare a report summarizing the actual and projected progress made in Phase 1. The report shall be submitted at least one month prior to the completion of Phase 1 tasks. The report shall compare actual and expected outcomes to Phase 1 objectives. If outcomes were less than expected, the report shall identify possible reasons for the reduced outcome and describe how challenges will be addressed.

Final Report: The Contractor shall prepare a Final Report in accordance with Exhibit C of this Agreement *[this is in Attachment F of this solicitation]*, detailing all of the work performed and task deliverables, but excluding

proprietary information. The comprehensive Final Report shall cover all aspects of the project and shall merge together, and build further on, the previously generated Progress Reports. Hard copy of pertinent data taken during the various testing programs shall be included. Conclusions and recommendations for further work shall be provided.

Two copies of the draft Final Report shall be submitted to the NYSERDA Project Manager, who will provide comments to the Contractor within 30 working days after receipt of the draft. The Contractor shall prepare the Final Report in final form, reflecting these comments. Within 30 working days after receipt of the comments, the Contractor shall submit the Final Report to the NYSERDA Project Manager.

Deliverables: The following list of deliverables shall be presented to NYSERDA from Task 1:

- Summary of meetings and meeting notes
- Appropriate metrics deliverables
- Annual Reports on product Metrics after all phases have been completed
- Regular Progress Reports to NYSERDA's Project Manager by the 15th of the month following completion of the Reporting Period
- Immediate written notification of any significant breakthroughs or problems
- Phase 1 completion report (Phased Category C projects only)
- Final Report on work completed and task deliverables

START WRITING TECHNICAL WORK SCOPE TASKS HERE

INSTRUCTIONS FOR WRITING TECHNICAL WORK SCOPE TASKS:
[Task 2.0, 3.0, 4.0, etc. Project-specific Work Scope Tasks. Add as many tasks and subtasks as necessary to cover all actions needed to achieve the goals and objectives of the project. These will be action steps. Each task should include a concise narrative description of the work that will be performed and how the work will be performed and deliverables to be provided. Task descriptions should NOT include proprietary information. Complicated tasks can be broken down into 'subtasks'.

While the focus of this program is technology and product development, proposers are encouraged to include business tasks, when appropriate, to ensure that progress in business activities occurs in parallel with progress in technology development. Business tasks should not require excessive funding, should be appropriate for the stage of technology development, and should be directly related to bringing the product to market (i.e., developing a business plan, attracting funding, developing strategic partnerships, etc.)

Category A Demonstration Feasibility Assessments, Technology Facilitation Projects or PV Balance-of-System (BOS) Soft Cost Projects:
Typical tasks for demonstration feasibility assessments may include, but are not limited to, site assessment and technical feasibility, economic analysis, permitting and interconnection, conceptual design, and preliminary data analysis plan. Technology facilitation project and PV balance-of-system project tasks will depend on the project and should be designed to achieve the goals of the project.

Category B and C Early-Stage Product Development and Product Development Projects:
Typical tasks for technology or product development projects may include, but are not limited to, requirements definition, preliminary design, prototype construction, testing, final design, and field testing. Category C projects requesting over $500,000 must clearly identify which tasks will be performed during Phase 1 and which will be performed during Phase 2.

Category D: Demonstration Projects:
Typical tasks for demonstration projects may include, but are not limited to, site-specific design (not technology or product development), equipment ordering/fabrication, system construction and installation, commissioning, monitoring and analysis, and technology transfer.

(INCLUDE MILESTONE PAYMENTS FOR CATEGORY D PROPOSALS ONLY) Milestone Payments – Provide a list of deliverables associated with each task with proposed milestone payments assigned to major deliverables. The magnitude of the milestone payments should be based on the amount of effort required to reach the deliverable. Completion of final design, equipment delivery, commissioning, submission of data, and acceptance of final report are examples of typical milestones for demonstration projects.

Statements of Work for Category D projects MUST include activities that meet the requirements in Section V, ***REQUIREMENTS FOR CATEGORY D DEMONSTRATION PROJECTS ONLY*** *for: Data Acquisition System (DAS) Requirements, Reporting Requirements, Benefits Data Tracking and Reporting, and Historical Performance Data Reporting. Include the type data that will be collected, sampling rates, and duration of monitoring. Include the type of analyses that will be performed on the data.]*