

Proposals Due: **July 17, 2013** by 5:00 PM Eastern Time*

The New York State Energy Research and Development Authority (NYSERDA) requests proposals from contractors interested in providing technical review and program support services for several NYSERDA programs. There are four (4) specific components to this RFP. Proposals will be accepted for any combination of the following RFP components:

- 1. Technical Review and Program Support Contractors** [*10 or more Contractors will be selected*]: NYSERDA is requesting proposals from contractors to provide technical review services including, but not limited to: reviewing technical studies, providing technical reviews, performing on-site pre/post construction inspections, responding to customer inquiries, and ensuring program compliance. If you have technical questions, please contact Michael Pioggia at (518) 862-1090 x3253 or mjp@nyserda.ny.gov.
- 2. Direct Program Implementation Contractor: Pre-Qualified** [*1 Contractor will be selected*]: NYSERDA is requesting proposals from contractors to implement and administer NYSERDA's Existing Facilities and New Construction Pre-Qualified incentive offerings. If you have technical questions, please contact Harris Schaer at (518) 862-1090 x3021 or hms@nyserda.ny.gov.
- 3. Direct Program Implementation Contractor: Agriculture Energy Efficiency Program (AEEP)** [*1 Contractor will be selected*]: NYSERDA is requesting proposals from contractors to implement the Agriculture Energy Efficiency Program (AEEP) by providing outreach, enrollment and installation support for NYSERDA and eligible customers. If you have technical questions, please contact Jessica Zweig at (518) 862-1090 x3346 or jlz@nyserda.ny.gov.
- 4. Energy Assessment Contractors: Small Commercial Energy Efficiency Program** [*3 or more Contractors will be selected*]: NYSERDA is requesting proposals from contractors to conduct energy assessments and provide project implementation services to small-to-medium sized business and not-for-profit customers, including support for Green Jobs Green New York (GJGNY). If you have technical questions, please contact Kathryn Fantauzzi at (518) 862-1090 x3456 or kf3@nyserda.ny.gov.

Informational Meeting: Two (2) non-mandatory, informational sessions for potential proposers on May 30, 2013 at 1:00pm and June 10, 2013 at 1:00pm. These meetings will serve as question and answer sessions for the RFP. The questions and responses will be posted on NYSERDA's web site at <http://nyserda.ny.gov> under *Funding Opportunities*.

Proposal Submission: Proposers must submit ten (10) paper copies per component selected and one (1) digital copy on CD-ROM of the proposal with a completed and signed Proposal Checklist attached to the front of each hard copy, one of which **must** contain an original signature.

Proposals must be clearly labeled and submitted to:

New York State Energy Research and Development Authority
Attn: Roseanne Viscusi / RFP 2621
17 Columbia Circle
Albany, NY 12203-6399

Proposal Evaluation: Proposals will be reviewed by Technical Evaluation Panels. Each component will have a separate Technical Evaluation Panel, for a total of four (4) Technical Evaluation Panels. If a proposer responds to multiple RFP components, the proposer should submit a separate proposal for each component. The proposals submitted for each individual component will be evaluated independently by the appropriate Technical Evaluation Panel. If the Technical Evaluation Panel deems that there are an insufficient number of well qualified proposals submitted to meet the needs and requirements for any one of the components, NYSERDA will resolicit that specific component through a separate RFP.

If you have contractual questions concerning this solicitation, please contact Venice Forbes at (518) 862-1090 x3507 or vwf@nyserda.ny.org.

No communication intended to influence this procurement is permitted except by contacting the Designated Contacts listed above. 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 will be returned. Incomplete proposals may be subject to disqualification. It is the bidder's responsibility to ensure that all pages have been included in the proposal. 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 web site at <http://www.nysesda.ny.gov> under **Funding Opportunities**.

I. INTRODUCTION

The objective of this RFP is to select contractors to provide technical and program support services for NYSERDA programs which serve a range of customers across New York State. A customer may be small, medium or large in energy consumption or square footage; a public, private, or a non-for-profit entity; and include a variety of verticals, including but not limited to: commercial, industrial, agricultural, healthcare, institutional, data centers and retail.

There are four (4) components to this RFP:

1. **Technical Review and Program Support Contractors**
2. **Direct Program Implementation Contractor: Pre-Qualified**
3. **Direct Program Implementation Contractor: Agriculture Energy Efficiency Program (AEEP)**
4. **Energy Assessment Contractors: Small Commercial Energy Efficiency Program**

1. **Technical Review and Program Support Contractors**

Through the Energy Efficiency Portfolio Standard (EEPS), NYSERDA has been tasked with supporting New York State in achieving its energy efficiency goals. The 3.2 million megawatt hours (MWh) and 5 million metric British thermal units (MMBtu) goals will be achieved through NYSERDA's Energy Efficiency Services Program budgets totaling \$571 million. Selected Technical Review Contractors will provide technical and program support services to electric and natural gas energy intensive verticals to deliver results in the most efficient and cost-effective manner.

As part of this effort, this RFP is seeking qualified contractors to provide Technical Review and Program Support services and expertise to facilitate projects, with four (4) fundamental objectives:

- Objective Technical Expertise – analysis and technical support throughout project installation
- Measurement & Verification (M&V) – data collection and analysis to support verifiable energy saving projects
- Customer Service – flexible and responsive to customer needs
- Facilitate Future Projects – success in the items above will increase program participation and future projects

Technical Review and Program Support services will include tasks such as: reviewing technical studies, providing technical review milestone memos, performing on-site pre/post inspections, completing engineering analyses to determine energy savings, administrative support, analysis and support of *New York's Standard Approach for Estimating Energy Savings* technical manual, Total Resource Cost (TRC) screening support and ensuring program compliance. A sufficient number of firms will be selected such that NYSERDA has coverage throughout the New York State. The scope of the requested Technical Review and Program Support services is defined in *II. Program Requirements: Section E. Services Requested* within this RFP.

NYSERDA Programs supported by the contractors selected through this RFP component include, but are not limited to:

Existing Facilities Program (EFP)

EFP offers integrated electric and natural gas incentives through the Pre-Qualified and Performance-Based Paths to offset the cost of implementing cost-effective energy efficiency measures. EFP builds upon the successes of the New York Energy \$martSM Program, and focuses on both paths:

- Lower cost, high volume Pre-Qualified technology solutions that can be quickly implemented to result in immediate energy savings; and
- Long-term, comprehensive, custom systems-based performance-based energy projects that may require more time to implement, yet realize greater energy savings over time.

Measures that deliver verifiable savings and meet cost-effectiveness requirements are eligible. Incentives are offered for a variety of measures including, but not limited to: lighting efficiency upgrades, heating, ventilation and air-conditioning (HVAC), motors, variable frequency drives (VFDs), Energy Management Systems (EMS), and other custom measures.

In addition to the traditional offerings listed above, performance-based incentives are offered to customers for implementing and enabling technologies and measurement tools that lead to kWh and MMBtu savings through more efficient day-to-day operations in existing facilities. Monitoring-Based Commissioning (MBCx) incentives are offered to install data gathering technologies or enhance building management systems that provide critical information to monitor and alter building operation. Technologies include temperature sensors for chilled water supplies, condenser water, flow rates, and wet and dry bulb temperatures.

Overall, performance-based incentives are not fully paid by NYSERDA until the performance of the project, (i.e., all energy savings expected) is proven. If the project savings is sizeable, M&V may be required. The M&V process is conducted by the Applicant in collaboration with NYSERDA's technical review contractors.

To obtain more information on the EFP Program, please visit NYSERDA's website: <http://nyserdera.ny.gov/efp>.

Industrial and Process Efficiency (IPE)

Industrial and process improvement projects can be complex and have potential for significant energy, economic development, and productivity benefits. Through its IPE Program, NYSERDA provides performance-based incentives for energy efficient improvements to processes, support systems, and facilities.

The IPE Program is available to the manufacturing vertical in New York State and targets key industries such as: chemicals and pharmaceuticals, printing and publishing, automotive, food processing, and forest products. Data centers in all industries are included in the IPE Program as their energy use profile is similar to manufacturing in that they parallel the load shape; have process-oriented characteristics; have improvements that can positively impact economic development; have unique power quality requirements; have a mission critical nature; and have an exponential load growth potential. Agriculture, mining and extraction, and water and wastewater are additional process-driven customer segments covered by the IPE Program. Incentives are offered for projects that reduce energy use per unit of production.

Given the unique and complex nature of each project and facility, industry and processes require customized approaches to energy efficiency. Production lines and processes often have distinctive characteristics and functions. Site and vertical-specific approaches are used to ensure that the best energy efficiency opportunities are identified and addressed. This approach maximizes process and energy reliability, productivity and energy savings. NYSERDA has increased its engagement of service providers to include expert's in particular industrial processes and data centers. The credibility and quality of project technical input are essential to the success of the IPE Program, as are customer and stakeholder engagement.

To obtain more information on the IPE Program, please visit NYSERDA's website: <http://nyserdera.ny.gov/ipe>.

Combined Heat & Power (CHP)

The CHP Performance Program funds installations of CHP systems using energy, demand, efficiency, and environmental performance-based payments. The CHP Performance Program focus is on clean, efficient, cost-effective gas fired systems that maximize ratepayer benefit and system operation during summer peak demand periods. Systems are required to achieve 60% annualized fuel conversion efficiency, with incentive reductions for nonperformance. To quantify the performance-based payments, the CHP Performance Program applies rigorous, multi-year system performance measurements, which is a groundbreaking approach for energy efficiency program administrators.

CHP system viability is affected by external variables such as the spark spread (difference in cost of grid-supplied electricity and pipeline-supplied natural gas), siting and space constraints, adequacy of fuel supplies, environmental compliance, and interconnection issues. The CHP Performance Program assists customers in developing solutions and uses a performance-based approach to support reliable and persistent energy, economic, and environmental performance.

Applicants, entities receiving the approved incentive amount upon project completion and who will be responsible for delivering the energy savings, must meet the Eligibility Requirements. Applicants can include third parties such as Energy Service Companies (ESCOs), facility owners, management companies, and tenants with the authority to make improvements.

To obtain more information on the CHP Performance Program, please visit NYSERDA's website: <http://nyserdera.ny.gov/chp>.

FlexTech

The FlexTech Program provides objective and customized information to help customers make informed energy decisions. Program participants receive cost-shared analysis targeting their particular energy and business needs. The FlexTech Program's goal is to increase productivity and economic competitiveness of participating facilities by identifying and encouraging the implementation of cost-effective energy efficiency projects, technical evaluations, process improvement analysis, energy master plans, retro-commissioning, and development of peak load curtailment plans (PLCPs) as well as CHP projects.

Eligible customers for the FlexTech Program include commercial, industrial, institutional, government, and not-for-profit verticals. Customers may use FlexTech Consultants under contract with NYSERDA or their own independent consultant. FlexTech Consultants under NYSERDA contract are competitively selected to provide a statewide geographic distribution of needed technical services.

To obtain more information on the FlexTech Program, please visit NYSERDA's website: <http://nyserda.ny.gov/flextech>.

Small Commercial Energy Efficiency Program

The Small Commercial Energy Efficiency Program offers small-to-mid-sized commercial customers access to cost-shared energy assessments, project implementation assistance and low-interest energy efficiency financing options to provide customers in this sector with objective, fuel-neutral information about their energy use, recommended energy efficiency improvements they can make to lower their energy bills and help them access available financial incentives and low-interest financing options to implement energy efficiency projects.

Proposers are encouraged to visit the Small Commercial Energy Assessment web page at: <http://www.nyserda.ny.gov/small-commercial-energy-assessment>

For more information on NYSERDA's Small Commercial Energy Efficiency Financing options visit: <http://www.nyserda.ny.gov/small-commercial-financing>

Emerging Technologies and Accelerated Commercialization (ETAC) for the Commercial/Institutional Sector

New energy-saving technologies and strategies face hurdles in being accepted by the marketplace, including perception of risk, upfront costs, contractor awareness, and limitations as far as established service and support networks. NYSERDA's ETAC Program will support demonstrations of selected commercially available yet under-used technologies and strategies, along with targeted dissemination of project results, to help overcome these barriers. NYSERDA will document costs, performance, and savings through M&V. Both technology developers and facility owners will be eligible to apply to the ETAC Program.

The ETAC Program is a developing program expected to launch over the first half of 2013, more information will be posted to NYSERDA's website as available.

2. Direct Program Implementation Contractor: Pre-Qualified

NYSERDA offers customers Pre-Qualified incentives for the installation of energy efficient equipment within small-scale projects. The Direct Program Implementation Contractor will manage NYSERDA's Pre-Qualified offerings as well as work with a range of customers and ESCO Applicants seeking Pre-Qualified incentives.

NYSERDA is seeking a contractor to implement and administer the Pre-Qualified incentives for NYSERDA's EFP and New Construction Program (NCP). The selected Direct Program Implementation Contractor will field applications, provide customer service, and report applicant participation and incentive metrics to NYSERDA. At NYSERDA's discretion, the selected Direct Program Implementation Contractor may issue incentive payments to Pre-Qualified Path Applicants directly.

3. Direct Program Implementation Contractor: Agriculture Energy Efficiency Program (AEEP)

New York State is a leader among states in the production of several agriculture commodities and is a \$4 billion industry in New York. AEEP provides implementation incentives for energy efficiency measures and facilitates the receipt of energy audits to help identify energy efficiency measures to farms and on-farm producers. Farms and on-farm producers who pay the System Benefits Charge on their utility bill are assisted in becoming more energy efficient and more sustainable, helping New York State's rural economy.

According to NYSERDA's Energy Efficiency Portfolio Standard (EEPS) Operating Plan submitted to the Department of Public Service on December 22, 2011, the AEEP has \$6,397,497 (\$5,757,750 for electric and \$639,747 for natural gas) in implementation incentives for 2013 through 2015. The energy savings goal of the AEEP is 9,975 megawatt hours (MWh) in electricity savings and 10,890 Decatherms (Dth) in natural gas savings. The AEEP provides an average incentive amount of \$20,000 per farm at an incentive level of 75% of implementation costs. The average energy savings is 40,000 kWh per farm installing electric measures and 1,000 Dth per farm installing natural gas measures. More information about the AEEP (Program Opportunity Notice 2644) is available here: <http://nysesda.ny.gov/agriculture>.

NYSERDA is seeking one contractor to implement the AEEP. The AEEP Implementation Contractor would be responsible for customer and agriculture community outreach to encourage farms to apply to the AEEP; educating customers on implementation procedures, guidelines, eligibility requirements and payment information; reviewing audits; coordinating with utilities; verifying installation of projects to inform payment processing; and tracking and reporting AEEP results.

Proposers must demonstrate past experience with the New York State agriculture vertical. In addition, the proposers should demonstrate the ability to organize and track the interactions and data requirements with each farm. Proposers should be able to: easily access the agriculture community to market the AEEP; provide clear communications in regards to AEEP requirements and project eligibility; assess the validity of energy audit recommendations; assist farms in accessing implementation vendors and obtaining quotes; organize projects for NYSERDA approval; provide site inspections to verify energy efficiency measures were installed and operational; and accurately maintain records to report AEEP results. NYSERDA will pay the customers directly for their incentives.

4. Energy Assessment Contractors: Small Commercial Energy Efficiency Program

NYSERDA offers small-to-mid-sized commercial customers access to cost-shared energy assessments and project implementation services that provide business and not-for-profit customers with information about their present energy use and the upgrades they can make to improve their energy efficiency and lower their energy bills, as well as help in identifying and accessing implementation assistance services including financial incentives and low-interest financing opportunities. The Small Commercial Energy Efficiency Program is geared to meet the unique needs and opportunities in this vertical. The Energy Assessment Contractors' understanding of the technical and decision making factors of these participants underpin energy assessment and project implementation services that serve small-to-mid-sized commercial customers across New York State.

Selected contractors will be responsible for delivering a suite of streamlined services including but not limited to: performing targeted customer outreach, assisting eligible customers with the Small Commercial Energy Efficiency Program application processes, scheduling site visits to conduct energy assessments of customer facilities, performing energy assessments, presenting energy assessment results to customers, presenting projected financial scenarios associated with potential projects, identifying and helping customers access available financial incentives and financing opportunities, and providing information and recommendations to NYSERDA.

Small Commercial Energy Efficiency Program services will be delivered by selected contractors having technical competence providing American Society of Heating, Refrigeration, and Air-Conditioning Engineers (ASHRAE) Level I energy assessments in commercial and institutional buildings as well as excellent communication skills, experience developing and presenting economically viable energy efficiency projects, customer service experience, and data tracking and management skills.

NYSERDA's Small Commercial Energy Efficiency Program uses Regional Greenhouse Gas Initiative (RGGI) funding to offer cost-shared energy assessments and project implementation assistance to small-to-mid-sized commercial customers statewide, including small businesses and not-for-profits. Additional funding sources may be used to provide Program services as they become available. The Small Commercial Energy Efficiency Program offers a suite of energy efficiency services to help customers identify and implement efficiency improvements that can improve their energy consumption and lower their energy bills.

NYSERDA seeks three (3) or more Energy Assessment Contractors to provide outreach to encourage eligible customers to participate in the Small Commercial Energy Efficiency Program, assist customers with applications, perform energy assessments, develop energy assessment reports for customer use, present report results to customers, identify available financial incentives and financing opportunities to assist in project implementation, review financial projections associated

with potential projects (including e.g. Life Cycle Cost (LCC) analysis, cash flows and simple payback scenarios), and offer assistance with the development of energy efficiency projects.

Selected Energy Assessment Contractors will also be responsible for providing project implementation services for those customers that choose to implement measures recommended on their assessment reports. Project implementation services shall include but are not limited to: providing application assistance, reviewing installation quotes, and recommending project approval to NYSERDA.

Selected Energy Assessment Contractors will also be responsible for managing customer work flows, data tracking and reporting progress to NYSERDA. Preference will be given to proposers that demonstrate a strategy for delivering streamlined energy assessment and project implementation services, making it easy for the customer to participate, as well as a strategy to collect and manage customer, site, and project data.

II. PROGRAM REQUIREMENTS

A. Funding

There is approximately \$91 million available to support this RFP.

1. **Technical Review and Program Support Contractors** ~ \$58.3 million
2. **Direct Program Implementation Contractor: Pre-Qualified** ~ \$24 million
3. **Direct Program Implementation Contractor: Agriculture Energy Efficiency Program (AEEP)** ~ \$2.3 million
4. **Energy Assessment Contractors: Small Commercial Energy Efficiency Program** ~ \$6.6 million

NYSERDA reserves the right to adjust funding based on Program success and participation, funding source approval requirements, availability of new funds, or other factors addressing the Program(s). Funding may be added proportionately through additional contract extensions and amendments.

B. Contracting

NYSERDA anticipates awarding:

1. Ten (10) or more contracts for **Technical Review and Program Support**,
2. One (1) contract for a **Pre-Qualified** implementation contractor,
3. One (1) contract for an **Agriculture Energy Efficiency Program (AEEP)** implementation contractor,
4. Three (3) or more contracts for **Energy Assessment Contractors: Small Commercial Energy Efficiency Program**

Contracting Period: The initial contract will be for a three-year period, with three, two-year optional contract extensions. If a proposer is selected for more than one of the above RFP components, a separate contract will be awarded to that proposer for each component in which they were selected. Under these contracts, specific work will be completed through individually approved Task Work Orders (TWOs).

NYSERDA reserves the right to:

- Incorporate programmatic changes as needed, thus modifying or adding to the services outlined,
- Tailor proposed services within the bounds of the contract based on cost-effectiveness, performance, participation, or other considerations,
- Reallocate funding among the firms(s) selected at the end of the first-year and any subsequent contract years,
- Negotiate among finalists to assure statewide services and access to specific technical expertise, and
- Add other program areas and associated funding to the contract should other Program funding sources become available.

Due to the nature of the programs, proposers are encouraged to consider developing teams to better leverage a diverse range of expertise and resources. If a proposer is in a unique position to provide or leverage services from their own and other organizations, this opportunity should be identified in the proposal. A prime contractor and a single contact will be required for each proposal. This single contact will handle communications with the NYSERDA project manager, project approvals, and invoicing to insure program consistency and budget compliance.

NYSERDA will negotiate contracts for services in fulfillment of the needs of this RFP on the basis of demonstrated competence and qualifications, at fair and reasonable fees. Contract negotiations may include the proposed contractor's fee schedules to ensure work is accomplished at fair and reasonable rates.

Confidential and proprietary customer information shared with selected contractors while providing services is to be kept confidential by the selected contractor. Such information is not to be shared with other parties or used by the contractor for any purpose outside of the specific project.

These contracts will not guarantee any specific amount of work, but may contain a maximum dollar amount. The amount of work assigned to each contractor will depend on, but not be limited to: particular technical expertise, geographic area, current NYSERDA workload, and the ability of the contractor to provide high quality, cost-effective, and timely services. The number of proposers selected for contracts will be determined by the number of firms required to efficiently and effectively provide the sought services as well as ensure statewide coverage.

C. Compensation

Compensation for each service will be based upon the applicant's direct and indirect personnel services costs plus allowable expenses to an upset maximum dollar amount. Contract payments will be tied to satisfactory completion and acceptance of the specified deliverables from the Task Work Orders. Satisfactory completion means that the NYSERDA Project Manager approves the deliverables as complete and satisfactory.

D. Conflict of Interest

The selected firm and individuals must not have any financial interest in products or services that may conflict, or appear to conflict, with the services provided to NYSERDA and its customers. Examples of this include, but are not limited to: financial interest in products or services eligible for NYSERDA incentives, affiliation with service or energy providers directly involved in a project, and ability to provide construction / installation services. Proposers may be asked to include a listing of all current contracts with NYSERDA and how conflict between contracts will be avoided.

The firm and principals of the proposing firm must be free from any financial interest in any product or service which may conflict with or appear to conflict with the objectivity of the services provided to NYSERDA and its customers. Selected contractors will not be allowed to provide services on projects where they would be reviewing or validating their own engineering work.

If a proposer is selected in both the Technical Review and Program Support component and the Energy Assessment Contractor: Small Commercial Energy Efficiency Program component, the proposer may not provide energy assessment services for a project on which it serves as a Technical Review and Program Support Contractor and vice versa.

E. Services Requested

1. Technical Review and Program Support Contractors

a) NYSERDA Responsibilities

NYSERDA will maintain overall management and control for all technical review services including the selection, supervision, and coordination of the Technical Review and Program Support Contractors. The major responsibilities of NYSERDA are to:

- Market services to various customer groups and organizations.
- Assign projects to contractors based on expertise, location, and workload to best support NYSERDA and the customer.
- Assist contractors in developing Task Work Order plans.
- Provide contractors with administrative procedures.
- Monitor the progress of each contractor through ongoing telephone contact, review of status reports and field monitoring activities, etc., for the purpose of meeting NYSERDA and customer needs, identifying problems and initiating corrective action.
- Provide technical review of project reports and deliverables to ensure that the deliverables conform to the Task Work Order and program requirements.
- Ensure adherence to NYSERDA's established policies and procedures.
- Disseminate technical and financial-related energy efficiency information to contractors.
- Process properly documented payment reimbursement requests

b) Contractor Responsibilities

Contractors will be responsible for completing various tasks dependent on the level and type of services requested by NYSERDA and the program to which they are providing Technical Review Services. All tasks will be clearly defined in a Task Work Order (See *Attachment F, Task Work Order Template*).

The major responsibilities of the Technical Review and Program Support Contractors are to:

- Prepare a budget for review and approval by NYSERDA according to the task assigned.
- Negotiate the scope and cost of the technical review.
- Upon agreement by all parties to the budget, provide the required assistance within the agreed upon time frame.
- Submit the deliverable to NYSERDA for review and approval.

- Provide required documentation of expenditures by task based on the approved Task Work Order when seeking reimbursement from NYSERDA.
- Make appropriate staff and equipment resources available for performing work (e.g. metering).
- Submit invoices based on time and materials, not to exceed the approved budget. It is expected that final invoices for technical review services must be submitted to NYSERDA within 90 days of either project cancellation or when the final report has been accepted by NYSERDA. Such acceptance or project cancellation shall be marked by email or written notice to contractors, and should contractors fail to submit final invoices for this project within 90 days, NYSERDA reserves the right not to pay upon receipt.

Technical Review and Program Support work will be assigned to selected contractors through TWOs. The type and level of services will be identified, approved and supervised by NYSERDA program staff. Proposers must be capable of providing technical review services that include, but are not limited to: reviewing scopes of work, engineering reports, and energy feasibility studies; providing project verification in connection with program incentives; developing and implementing or reviewing energy savings measurement and verification plans. Credibility and quality of technical support are essential to program success, as well as customer and stakeholder engagement.

The common steps in the Technical Review process that selected contractors will be expected to perform include, but are not limited to:

Application Review

- Provide application assistance which includes, but is not limited to: determining program area, as well as program and measure eligibility, and cost-effectiveness.
- Review applications for compliance with program rules and procedures, including eligibility of customers, service providers, projects, and measures; completeness of the application; and the reasonableness of the overall project scope, savings estimates, and proposed approach to M&V if applicable.
- Review scopes of work to ensure the projects are appropriate, the language is clear, that they comply with program requirements, and the costs are commensurate with the work outlined.
- Provide assistance to NYSERDA in the assessment of environmental impacts of funded measures pursuant to the State Environmental Quality Review Act (SEQRA).
- Recommend scope of work approvals to NYSERDA program staff.

Detailed Engineering Analysis (DEA) Review

- Review reports and supporting engineering analysis for compliance with the scope of work and program rules and procedures.
- Review, assess, vet, and/or develop (at NYSERDA's discretion) engineering analysis to quantify expected energy savings. Determine accuracy of the engineering calculations and if the implementation costs are reasonable.
- Provide comments to customers and service providers and recommend approvals on submitted reports to NYSERDA program staff.

Pre-Installation Inspection(s)

- Schedule and conduct pre-installation site inspection(s) with the Applicants (customers and/or service providers) to verify equipment inventory and determine if the proposed energy system improvement is capable of achieving the estimated savings and/or demand reduction.
- Verify the pre-installation conditions are in compliance with the scope of work provided, the supporting engineering analysis and the proposed measurement and verification activities to capture the estimated project savings.

M&V Plan Development

- Review, propose and collaborate on cost-effective measurement and verification activities. Develop M&V plans when applicable and as requested by NYSERDA.
- Understand and be able to apply International Performance Measurement and Verifications Protocol (IPMVP), typically Retrofit Isolation, for projects requiring M&V. Data gathered and duration of monitoring for M&V of emerging/underused technologies may exceed the normal parameters required for verification of energy efficiency retrofit projects.
- Provide M&V Plan report comments to customers and service providers and recommend report approvals to NYSERDA program staff.

Project Installation Review (PIR) and Inspection(s)

- Schedule and conduct post-installation site inspection(s) with the Applicants (customers and/or service providers) to verify equipment inventory and determine if the installed replacement equipment is achieving the estimated savings and/or demand reduction.
- Verify the post-installation conditions are in compliance with the scope of work completed and installed, the supporting engineering analysis and the proposed measurement and verification activities to capture the installed project savings
- Review installation/revised reports and supporting engineering analysis for compliance with the scope of work completed and installed, as well as the program rules and procedures.
- Review, assess, vet, and/or develop (at NYSERDA's discretion) engineering analysis to quantify expected energy savings of the installed project measures.

M&V Review and Implementation

- Expanding upon the information included in the installation/revised reports, review, assess, and vet the supporting engineering analysis with measured and verified data to quantify expected energy savings of the completed and installed project measures. These savings should be in compliance with the scope of work installed, program rules and procedures, the approved DEA M&V Plan and follow IPMVP, typically Retrofit Isolation.
- Conduct measurement and verification activities for project, when applicable and requested by the NYSERDA Program being served.
- Provide M&V report comments to customers and service providers and recommend report approvals to NYSERDA program staff.

Reporting and Project Continuity

- Coordinate with program participants and their service providers as they proceed through the program, answering any questions that arise. Ensure that project schedules are maintained and that changes in the projects are noted in the project files.
- Provide progress/milestone reports applicable to the NYSERDA program being served.

Implementation and Program Support

The proposer shall be able to assist NYSERDA staff with Implementation and Program Support functions. Proposers must provide these Implementation and Program Support services at a lower cost than the technical support described elsewhere in this component through:

- Subcontractor relationships,
- Reduced rates or multipliers, or
- Other cost reduction strategies at the proposer's discretion.

Administrative support services provided through the contracts that are executed with proposers through this component shall not exceed an all in cost to NYSERDA of \$75 per hour. This discounted rate is only applicable to Implementation and Program Support services requested under the Technical Review and Program Support component of this RFP. As discussed below, preference will be given to proposing teams that can demonstrate the lowest all in cost to NYSERDA of these services with the highest quality service.

Responsibilities under this task shall include, but not be limited to:

- General programmatic support and project-related document processing.
- Managing data in NYSERDA's databases. This includes, but is not limited to: data entry, routine and ad-hoc data quality assurance reviews, and data cleanup. Data will be treated confidentially and managed according to NYSERDA data quality and data management standards.
- Process incoming Consolidated Funding Application (CFA) applications, including direct follow-up with applicants,
- Assistance with complying with reporting and application processing requirements.
- Gather, review, and verify appropriate documentation of the completion of customer projects and verification of NYSERDA program requirements.
- Attend progress meetings, participate in conference calls and participate in other programmatic communications as deemed necessary by the NYSERDA project manager(s) on an as-needed basis.
- Provide additional on-going program support consistent with this task as directed by the NYSERDA project manager.

Program Design

The selected Technical Review and Program Support Contractors shall assist NYSERDA staff with developing new program offerings, or improving the participation in existing programs. The selected Technical Review and Program Support Contractors shall provide support to NYSERDA in developing program goals; developing reporting structures; assisting in writing, reviewing and commenting on solicitations; and performing all other tasks as assigned by the NYSERDA project manager.

Some tasks and/or deliverables under this section shall include, but are not limited to:

- Provide general program support activities as assigned by NYSERDA, including but not limited to; custom measure analysis, market research to support program development, assessment of savings calculation and reporting methodology, assistance with project case studies, sample measurement and verification plans, assistance to energy service companies in complying with program requirements, and meetings with customers and/or service providers.
- Conduct information gathering and analysis to determine possible program improvements and develop incentive levels for future iterations and offerings.
- Review and report on the market of available technologies, systems, codes and standards.
- Analyze impacts on program resulting from:
 - Adding or eliminating certain measures or changing existing conditions baselines,
 - Current and pending industry standards, or imposed reporting or evaluation requirements, and
 - Pending codes, standards, and regulations.
- Review current industry standards, proposed program changes, or imposed reporting requirements; recommending program adjustments based on those standards and determining that sufficient equipment exists in the market that meet these changes.
- Analyze environmental and other non-energy benefits associated with existing and/or proposed NYSERDA programs.
- Evaluate New York State Independent System Operator's (NYISO) Demand Side Ancillary Services Program (DSASP) program for environmental impacts/implications. NYISO ancillary services, characterize environmental issues/impacts based on supply side only and part blend of demand side resources
- Examine impacts of the new energy conservation code on NYSERDA's programs and provide recommendations.
- Review the methodologies presented in the *New York Standard Approach for Estimating Energy Savings from Energy Efficiency Programs* and provide methods and recommendations for compliance.

Data Management

- Enter data into NYSERDA databases, as requested.
- Ensure compliance with NYSERDA data quality governance requirements.
- Ensure, with NYSERDA's assistance, segregation of duties related to data entry and approval.
- Ensure the accuracy of data entered into NYSERDA program databases.

Areas of Expertise / Relevant Experience

In addition to the Technical Review and Program Support services above, NYSERDA is seeking coverage based on vertical, technology, and geography. Proposers should clearly indicate their ability and experience working in specific verticals (e.g. manufacturing and data centers), on specific technologies and applications (e.g. CHP and emissions testing) and their ability to cover the State of New York. Proposers opting to submit for more than one specialized service need to indicate such on *Attachment C: RFP Component Checklist*. The ability to cover multiple verticals, technologies and diverse geography will be considered during the evaluation process. Specific areas of focus are acceptable and will be evaluated accordingly. NYSERDA will choose contractors to ensure vertical, technology and geographic coverage.

Industrial/Manufacturing Process Efficiency

Manufacturing facilities and processes require customized approaches to energy efficiency. Production lines and processes often have unique characteristics and functions. Manufacturing process equipment and associated facility systems have complex interactions. Site and vertical specific approaches will be used to ensure that the best energy efficiency opportunities are identified and addressed. This approach will maximize process and energy reliability, productivity and energy savings. Through this RFP, NYSERDA seeks to increase its engagement of service providers who are experts in particular manufacturing processes

NYSERDA will have an increased focus on industrial process improvements that increase the efficiency of energy or material use. Projects may also focus on improving productivity, increasing capacity, improving quality, or minimizing

waste. In addition to strong general industry experience, NYSERDA is seeking contractors with expertise and experience in process improvement methodologies (Lean Manufacturing, Six Sigma, etc.), and demonstrated project experience with specific sub-verticals and processes (e.g. ceramics, pulp and paper, chemicals, microelectronics chip fabrication, pharmaceuticals, separations/purification). Engineering Analysis, baseline definition, and M&V plans will predominantly focus on defining and reducing energy use per unit of production.

Data Center Information Technology Efficiency

Data Center facilities require customized approaches to energy efficiency. These facilities typically support mission critical operations within the technology, communications, financial, government, medical, and university verticals, which represent different computing work load types. Information Technology (IT) equipment has direct impact and complex interactions with the associated facility support systems. Site and vertical specific approaches will be used to ensure that the best energy efficiency opportunities are identified and addressed. This approach will maximize system uptime and energy reliability, productivity and energy savings. Through this RFP, NYSERDA seeks to increase its engagement of service providers who are experts in information technology systems. .

NYSERDA will have an increased focus on data center projects that increase the efficiency of energy, while improving productivity or increasing capacity. IT projects will include but are not limited to: IT equipment replacement or upgrades, server virtualization, storage consolidation, thin clients, applications management, and server load prioritization and optimization. NYSERDA is looking for contractors with expertise and experience working to improve the efficiency of these IT systems. Engineering analysis, baseline definition, and M&V plans will predominantly focus on defining and reducing energy use per unit of productive computing.

CHP Implementation Technical Review Services

The type and level of services will be identified, approved, and supervised by program staff. Technical review services are needed to provide all of the tasks listed in *II. Program Requirements: Section E. Services Requested 1. Technical Review and Program Support Contractors* in addition to detailed design review. Proposers must demonstrate their ability to perform services specifically for the implementation of CHP systems. Specific experience in the Con Edison Territory should be highlighted. Work will be assigned based on expertise and current workload. Experience in the following items must be demonstrated:

- System design optimization,
- Interconnection issues, regulations, and approvals,
- Monitoring, calculation, and verification of overall system efficiency, including thermal recovery,
- Permitting requirements, and
- Tariff structure and stand-by rates.

Contractors will be required to review and approve various technical reports and site specific data such as generator power output at 15-minute intervals during key periods, system thermal efficiency, and overall fuel efficiency in order to determine system performance and proper incentive amounts. Contractors will also be required to review detailed feasibility studies and system designs to identify potential flaws.

Environmental Assessment Services

Contractors will be required to review the environmental impacts of submitted applications and projects to NYSERDA's programs described in this RFP. Environmental assessment services will be used for CHP installations, although other technologies may apply. Assistance on determining the potential impact of changing emissions regulations, program participation and incentive offerings, review of available technology and costs associated with installations, and other programmatic changes may be needed. Experience in the following items must be demonstrated:

- Federal and State regulations for air, noise, and solid waste [i.e. State Environmental Quality Review Act (SEQRA) review].
- Emissions testing and review to ensure program requirements are met (i.e. Stack testing for NOx emissions)
- Emissions dispersion modeling.

Emerging Technologies Technical Support

The type and level of services will be identified, approved, and supervised by program staff. Technical review services are needed to provide many of the tasks listed above in addition to ongoing services to support increased uptake of underused energy efficient technologies in the market. New technologies and strategies may offer significant energy savings potential, yet barriers such as perception of risk, upfront costs, contractor or end-user awareness, and the lack of supply chain development may inhibit their adoption. Based on validated performance demonstrations of selected technologies and strategies, support will include targeted dissemination of project results to help overcome these barriers

and accelerate commercialization. Technical Review and Program Support Contractor support and analysis for demonstration sites, aggregations of sites, and market channels will be provided to ensure that the best emergent energy efficiency opportunities are identified, addressed and adopted. Support for market adoption is expected to occur through an increased pool of cost-effective systems and solutions eligible for EEPS deployment programs, but is also expected to support technologies and approaches that will be taken up by the market without further financial incentives. In addition to expertise and experience described above to support and promote emerging technologies, ongoing services may include, but not be limited to:

- Developing systematic approaches to provide end-use facility participation and support and effective technology transfer activities;
- Recommending, analyzing and/or reporting on methods for identifying and assessing opportunities and information regarding energy, capacity, non energy and systems impacts; for organizing and drawing lessons from aggregate M&V data; for assessing cost-effectiveness; and, for incorporating lessons learned into Program scale-up.

2. Direct Program Implementation Contractor: Pre-Qualified

The selected contractor will be responsible for, but not limited to, the levels of program support outlined below. Each of these tasks must be itemized in the proposed budget:

Application Review

The selected contractor will review project applications for compliance with NYSERDA's Pre-Qualified Path rules and procedures including the eligibility of the Applicant, Facility and the installed measures, completeness of the application, and completeness of project deliverables. The selected contractor must then correspond with the appropriate NYSERDA program (EFP or NCP) to provide Quality Control Reports and project batches on a monthly or weekly basis, which will be determined by program staff.

Customer Support

Upon application submittal, the selected contractor is expected to maintain correspondence with the customer electronically and via telephone to maintain customer satisfaction and project flow. Each individual must fully understand and be able to explain to eligible customers the variety of NYSERDA Energy Efficiency Services programs and services available.

Additionally, the selected contractor should be prepared to receive and respond to inquiries from existing and potential customers. For instance, if the customer is interested in applying for Pre-Qualified incentives but has not completed the project installation, the Pre-Qualified contractor may have the customer complete a pre-registration which is then entered into database/tracking systems.

Lastly, the contractor should propose a customer oriented front-end to enhance NYSERDA's interface with Pre-Qualified Path participants. This front-end should feature a range of capabilities including, but not limited to: a web-based application, online customer support, incentive payment, and project tracking. The front-end and data management system developed for the purposes of the Pre-Qualified Path may be utilized for other NYSERDA programs, including the Small Commercial Energy Efficiency Program which is discussed in *II. Program Requirements: Section E. Services Requested 4. Energy Assessment Contractors: Small Commercial Energy Efficiency Program*. All components must seamlessly interface with NYSERDA's internal databases. The selected contractor may choose to partner, team or subcontract with an additional firm to assist with implementing and maintaining a web-based application and any associated online resources.

Incentive Budget Allocation

Following project approval and quality control, the selected contractor will prepare a batch (weekly, monthly, and/or annually) Pre-Qualified Path activity report which identifies contact and abridged project information from the Pre-Qualified applications which are ready for incentive payment to be released. NYSERDA will make periodic issuances of the Pre-Qualified Path incentive budget directly to the selected contractor based on the batch program activity reports.

Incentive Payment

The selected contractor may be tasked with directly issuing incentive payments to Applicants in a timely manner. The contractor must also provide a paper-based payment option for cases where preferred electronic payments cannot be used. The primary proposer may choose to partner with an additional firm to assist with implementing and maintaining a system for dispatching paper and electronic payments to the end-users.

Database/Reporting

The selected contractor will be responsible for maintaining an up-to-date customer database, interfacing with NYSERDA's own data-stores, and complying with quality control measures assigned by NYSERDA. This database must include project documentation, energy savings, authorization and tracking of incentive payments, and a list of involved personnel.

In addition, the selected contractor will work with NYSERDA to identify and subsequently track important trends in the Pre-Qualified Path activity based on applicant information as well as validating the accuracy, completeness, and permanency of the applicants' claimed energy savings. The latter will involve correspondence with NYSERDA-approved Quality Control contractors. If non-compliance of less than 10% of projects cannot be maintained by the selected contractor, NYSERDA may require the contractor to institute measures to improve overall project quality. The selected contractor will develop and use energy savings estimation techniques that are in compliance with the *New York Standard Approach for Estimating Energy Savings from Energy Efficiency Programs*.

Ongoing Program Revision

The selected contractor will be expected to support NYSERDA's Pre-Qualified offerings through ongoing review and revision. All revisions are intended to match emerging trends along various fronts of energy efficiency technology and changes to industry standards. In addition, NYSERDA works closely with the New York State (NYS) Department of Public Service (DPS) when revising or making additions to its programs to ensure that all incentives offered meet standardized cost-effectiveness criteria.

Specific tasks regarding Pre-Qualified revisions

- Recommend and implement revisions of existing PQ measures based on changes to current codes and standards including but not limited to NYS and New York City (NYC) Energy Conservation Code, ASHRAE 90.1 and technology specific standards and qualified product lists maintained by organizations such as Consortium for Energy Efficiency (CEE) and Energy Star.
- Recommend and implement NEW Pre-Qualified measures based upon key market trends with a focus on state of commercialization, reliability and overall savings potential.
- Analyze program and technology penetration activity on an active basis and recommend actions to ensure that all measure incentives offered are achieving the desired cost-effective impact across major Commercial & Industrial (C&I) market verticals and state regions.
- Provide support in regulatory compliance efforts with the NYS DPS for all new or revised measures. The selected contractor may provide draft reports including measure costs, energy savings, Total Resource Cost (TRC) screening analysis and to assist NYSERDA overall with submissions to DPS and responses to questions from DPS on the Pre-Qualified Path.

3. *Direct Program Implementation Contractor: Agriculture Energy Efficiency Program (AEEP)*

NYSERDA is seeking a Direct Program Implementation Contractor for the AEEP to implement the AEEP by providing outreach, enrollment, and installation support for NYSERDA and eligible customers. The services requested of the selected contractor would include, but are not limited to:

Contract Management

The selected contractor will be responsible for management of the AEEP with guidance and continuous communication with the NYSERDA AEEP team and the proposer's project manager lead. Contract management includes reporting to NYSERDA for continuous and consistent AEEP program management on a pre-determined frequency. Weekly, monthly, quarterly and annual reports on AEEP program activities, status, issues, and budget status will be required.

Outreach

To market and enroll customers in the AEEP, the selected contractor will perform, but not be limited to, the following outreach tasks: identify effective mediums for outreach, determine which agriculture sector stakeholders to leverage, determine entities within the agriculture community which can facilitate direct outreach, identify and participate in trade events, and develop and implement methods to inform producers about energy efficiency and the AEEP. The selected contractor will work with NYSERDA to develop a consistent message when communicating with parties outlined herein.

Program Customer Enrollment

The selected contractor will assist potential farm and on-farm customers in participating in the AEEP. The selected contractor will provide assistance in: identifying and recommending applicable programs, identifying and developing

energy efficiency projects, accessing the AEEP including confirming program eligibility, completing program applications, and providing easy access to program guidance, through the use of mechanisms such as a toll-free number and/or e-mail address.

Customer Installation Support

The selected contractor will provide technical assistance to farms implementing energy efficiency measures. Installation assistance includes, but is not limited to: determining project eligibility, identifying complex energy efficiency projects in which third party review may be required to determine actual energy savings (technical reviewers will be available through NYSERDA to provide assistance), and providing periodic status updates to the customer and NYSERDA per individual project need or as requested by NYSERDA or the customer. The selected contractor will inform NYSERDA about viable projects in order to issue a purchase order for incentives; assist customers in fully implementing their energy-efficient projects; and use the appropriate mechanisms to be in contact with the customer throughout the project life-cycle. .

Implementation Verification

The selected contractor will develop and implement procedures to verify installation of energy efficiency measures. Major services will include but not limited to the development of: on-site verification processes, invoice collecting protocols, and a process to notify NYSERDA of the completed project and request for incentive payment.

Program Management and Tracking

The selected contractor will track all AEEP project information and program metrics to meet reporting requirements and any information requested by NYSERDA. Typical information includes: outreach results, site impacts, measures installed, incentive dollars spent, and energy saved per project and for the entire AEEP.

4. Energy Assessment Contractors: Small Commercial Energy Efficiency Program

NYSERDA seeks three (3) or more contractors to provide energy assessments and project implementation assistance to small-to-mid-sized commercial customers including small business and not-for-profit organizations. The selected contractors will conduct targeted outreach to this customer vertical, provide application assistance to receive an energy assessment, perform energy assessments, develop energy efficiency recommendations, present energy assessment reports to customers, review financial projections associated with implementation which may include but are not limited to: Life Cycle Cost (LCC) analysis, simple payback and cash flow projection. In addition, selected contractors will identify available implementation assistance opportunities (e.g. financial incentives and financing options).

Selected contractors must also assist customers that choose to implement measures recommended on their assessment report. This assistance includes but is not limited to: assisting customers in applying for available incentives and financing opportunities, reviewing quotes, and recommending project approval to NYSERDA. Selected contractors will also be responsible for working with NYSERDA to maintain a customer-oriented interface and data management systems that allows for workflow management, and project and data tracking.

Customer Outreach

Outreach will be necessary to enroll small-to-mid-sized commercial customers into the Small Commercial Energy Efficiency Program. Selected contractors shall develop Outreach proposals that target small-to-mid-sized business and not-for-profit customers that are likely to use energy assessments as a basis for energy efficiency project implementation. Outreach strategy and messaging will be developed in close collaboration with NYSERDA.

Application Assistance

The selected contractors will assist customers in completing and submitting applications for the Small Commercial Energy Efficiency Program, including assistance, if-needed, in completing and submitting Consolidated Funding Applications (CFA) for Small Commercial Energy Assessments. Should customers choose to seek NYSERDA incentives or financing options to implement energy efficiency measures identified on their energy assessment, selected contractors shall provide Customer Assistance described below.

Energy Assessments

Selected contractors will perform cost-shared ASHRAE Level I energy assessments for eligible small commercial customers including small business and not-for-profit organizations. Small Commercial Energy Assessments may also provide more in-depth analysis of energy consumption and evaluation of discrete building systems as appropriate to meet customer need. The selected contractors will be responsible for scheduling site visits with customers whose applications

are approved by NYSERDA. The selected contractors will also be responsible for collecting NYSERDA's cost-share from the customer, tracking payment and submitting payment to NYSERDA on the customer's behalf.

Selected contractors will interview eligible small commercial customers before performing the ASHRAE Level I walk-through assessments to assess customer needs and priorities, and to determine if the customer is considering or planning future projects that would affect energy consumption. In addition, the selected contractors will be responsible for determining whether a more detailed analysis of energy consumption and evaluation of specific building systems is warranted.

Based on information gathered prior to and during the site visit, the selected contractors shall evaluate building energy systems at the facility to identify potential energy saving improvements. Energy Assessment Contractors should consider improvements to the following as appropriate: Building Envelope, Lighting, Heating, Ventilation, and Air Conditioning (HVAC), Controls and Facility Operations, Domestic Hot Water (DHW), and Plug Loads. Energy Assessment Contractors may include recommendations not included in this list. Selected contractors may also perform analysis of energy consumption for specific building systems to provide more detailed recommendations regarding discrete equipment improvements as determined by customer need. It is anticipated that 10% of customers that receive energy assessments through the Small Commercial Energy Efficiency Program will require more detailed recommendations regarding discrete equipment improvements.

Following the site visit the selected contractor will prepare an energy assessment report to be shared with the customer in a format agreed to by both NYSERDA and the selected contractor(s). The assessment report should include but is not limited to: a description of the facility, its size and major energy end uses, baseline conditions including energy bill information, an inventory of current equipment, and recommended energy efficiency improvements. A subset of participants in the Small Commercial Energy Efficiency Program may also choose to pay a larger energy assessment fee and have the selected contractor conduct a more in-depth analysis of potential energy efficiency improvements for discrete energy end-use systems based on customer need. This in-depth analysis could include but is not limited to: review of system sizing, controls and equipment removal and installation logistics (e.g. where a customer wishes to replace a chiller or a set of rooftop units). In addition, the energy assessment report will include a description of current NYSERDA or utility financial incentives and energy efficiency financing opportunities the customer may use to implement any or all energy efficiency improvements identified in the assessment report.

Following completion of the assessment report, the contractor will hold a mandatory energy assessment review and energy efficiency implementation planning meeting with the customer to provide the customer with a copy of the report, verbally present the findings and recommendations within the assessment report, discuss available implementation assistance opportunities including financial incentives and low-interest financing options, review the business case for making recommended improvements, which may include but are not limited to: Life Cycle Costs (LCC), simple payback, and cash flow scenarios, and respond to customer questions and comments. This meeting may occur in person, via phone, or video conference depending on customer need.

Customer Assistance

Following the review and implementation meeting customers can choose whether to implement some or all of the energy efficiency recommendations included in their assessment report. Selected contractors will provide Customer Assistance services to customers that choose to implement recommended energy efficiency measures. It is anticipated that approximately 20% of customers that receive energy assessments through the Small Commercial Energy Efficiency Program will seek to implement some or all of the recommended energy efficiency improvements included in their assessment reports. Customer Assistance may be provided in person, via phone, or via teleconference as is deemed necessary to meet customer need. These services shall include but are not limited to: providing technical assistance, including assisting the customer in requesting proposals from contractors to implement energy efficiency improvements identified in their assessment report, reviewing proposals and quotes, explaining financial incentive and financing opportunities available, and assisting the customer in the development and submittal of incentive and financing applications to NYSERDA.

Customer Management and Data Tracking

NYSERDA's Small Commercial Energy Efficiency Program offers energy assessment and customer implementation assistance as a bundled suite of services that help small-to-mid-sized business and not-for-profit customers easily obtain energy efficiency information and make energy efficiency improvements. In order to help customers seamlessly transition from one phase of the Small Commercial Energy Efficiency Program to another, NYSERDA requests that proposers provide a plan to use a customer-oriented interface that includes but is not limited to the following features: a web-based

application, online customer support, project status tracking, project data access, and document management. The interface should allow NYSERDA, selected contractors, and participating customers to access necessary customer, site, and project data. The interface must be capable of limiting rights and viewing access based on the needs of NYSERDA, the selected contractors, and participant users.

The selected contractors will also be responsible for maintaining a database which shall track, including but not limited to, the following: contractor interactions with customers, project status, project information including baseline conditions, recommended energy efficiency improvements, potential energy savings associated with recommended energy efficiency measures, whether the customer implemented the project, and if the customer used NYSERDA or utility financial incentives or financing, and any energy savings that can be attributed to project implementation. NYSERDA expects to select one front-end and data management system for the Small Commercial Energy Efficiency Program from those proposed by the selected contractors for Component 4, or one that was developed by the selected contractor for the Direct Program Implementation Contractor: Pre-Qualified component (Component 2). Selected contractors for the Small Commercial Energy Efficiency Program will be expected to transfer and track data and manage customer workflows plainly with the selected front-end and data management system.

All customer front-end and data management components must seamlessly interface with NYSERDA's internal databases.

In addition, many customers who receive an assessment report through the Small Commercial Energy Efficiency Program use Pre-Qualified incentives offered by the Existing Facilities Program to reduce the first cost associated with implementing energy efficiency improvements recommended on their assessment report. Therefore, customer interface and data management systems must be compatible with the interface developed for the Existing Facilities Program Pre-Qualified Path through this solicitation. NYSERDA requires that any data collected through a customer interface or data management system be capable of easily integrating with data collected through the Existing Facilities Program Pre-Qualified Path. Proposers are encouraged to coordinate or team with the proposer(s) proposing to provide services for the Existing Facilities Program (Component 2) to coordinate the development, implementation and maintenance of a customer-friendly interface, including a web-based application and any associated online resources.

Contract Management

Selected contractors will be required to provide monthly, quarterly and annual reports on program activities, project status, and budget status. Selected contractors will be expected to respond to NYSERDA inquiries and raise challenges to NYSERDA project management as necessary. Selected contractors will be expected to participate in meetings and program trainings at a frequency determined by NYSERDA.

Selected contractors will be required to propose subcontracting plans to NYSERDA for approval should they intend to subcontract to those not originally included in the proposed staffing plan, included in Section D of this solicitation.

III. PROPOSAL REQUIREMENTS

Proposers must submit ten (10) paper copies per component selected and one (1) digital copy on CD-ROM of the proposal with a completed and signed Proposal Checklist attached to the front of each hard copy, one of which **must** contain an original signature.

Late proposals will be returned. Incomplete proposals may be subject to disqualification. It is the bidder's responsibility to ensure that all pages have been included in the proposal. 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 web site at <http://www.nyserda.ny.gov> under **Funding Opportunities**.

As previously stated, there are four (4) components proposers are able to respond to in this RFP:

1. **Technical Review and Program Support**
2. **Direct Program Implementation Contractor: Pre-Qualified**
3. **Direct Program Implementation Contractor: Agriculture Energy Efficiency Program (AEEP)**
4. **Energy Assessment Contractors: Small Commercial Energy Efficiency Program**

Proposers may respond to one or more of the RFP components. Proposers should indicate which components are being applied to on *Attachment C: RFP Component Checklist*. If responding to serve more than one RFP component, proposers must provide a separate and complete proposal for each component. A complete proposal for each RFP component should include, as described in further detail for each component later in this section, Attachments A, B, and C, Sections A, B, C, D, and E, and applicable Appendices for that component. Proposals will be evaluated as described in Section IV.

Proposals must be clearly labeled and submitted to:

New York State Energy Research and Development Authority
Attn: Roseanne Viscusi / RFP 2621
17 Columbia Circle
Albany, NY 12203-6399

Proposals should not be excessively long. Nor should proposals be submitted in an elaborate format that includes expensive binders or graphics. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. Each page of the proposal should state the name of the proposer, the RFP number, and the page number.

To facilitate comparison, proposers must submit proposals for each component in a format that corresponds to the following outline:

- RFP 2621 – Proposal Checklist – Attachment A (Mandatory)
- RFP 2621 – Disclosure of Prior Findings of Non-Responsibility Form – Attachment B (Mandatory)
- RFP 2621 – RFP Component Checklist – Attachment C (Mandatory)
- Section A: Executive Summary
- Section B: Statement of Work
- Section C: Proposer's Past Experience
- Section D: Staffing Plan and Experience of Key Personnel
- Section E: Budget
- Appendices
 - Resumes – One (1) page/each
 - Letters of Commitment – One (1) for each subcontractor on company letterhead
 - RFP Component-specific examples/samples/requests

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.ny.gov/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, additional forms must be completed and filed with proposals: (1) a signed copy of the Proposal Checklist including required certifications under the State Finance Law and (2) a completed Disclosure of Prior Findings of Non-Responsibility form. Failure to include a signed copy of the Proposal Checklist referenced in this solicitation will disqualify your proposal.

1. Technical Review and Program Support Contractors Proposal Format/Outline

Section A: Executive Summary (2 page limit + Appendices)

In this section, proposers must summarize and exhibit a thorough understanding of this RFP component and the general approach to fulfilling and supporting the services requested. Proposers must summarize why NYSERDA should select the proposer's firm by including a list or summary of specific services they can provide, as well as any acknowledgements or accolades recently received.

In addition, proposers must identify all collaborating entities participating in the proposal, including a summary of the co-proposers and the services they provide. Proposers should provide a brief identification of key information about their organization, and all other organizations that are part of the proposer's team, as well as the range of team members and technical services that can be provided. Proposers may subcontract with appropriate individuals or firms and all parties must be identified in *Letters of Commitment* and *Attachment E: Contractor's Designated Contact(s)* in the proposal.

Lastly, if any firm is not based in New York State, discuss the mechanism which will guarantee its ability to deliver services in New York State in a cost-effective manner.

Section B: Statement of Work (10 page limit + Appendices)

Proposers should respond to the *Services Requested* by submitting a Statement of Work detailing how they will fulfill the requirements and objectives as outlined in *II. Program Requirements: Section E. Services Requested 1. Technical Review and Program Support Contractors*.

Section C: Proposer's Past Experience (6 page limit for each Area of Expertise chosen on Attachment C + Appendices)

A description of the proposer's experience relative to the tasks in Section B above should be provided here. Proposers should show experience providing assistance that is consistent with the services described in *II. Program Requirements: Section E. Services Requested 1. Technical Review and Program Support Contractors* to customers, with an emphasis on New York State. Each proposer should include a description of up to five (5) projects completed by the proposing firm within the specified component and moreover the specific Area(s) of Expertise / Relevant Experience identified. The sample projects should have been completed within the past three (3) years and should demonstrate the firm's experience in servicing the targeted customer base. The project descriptions should specify the level of involvement of the proposing firm and the results of the project. Include customer contact names and phone numbers for these projects and list the key personnel and their respective involvement on the project.

Appendices to this section may include: summary of the sample projects, examples of marketing plans, program materials, outreach materials, management plans, and data tracking or reporting for similar programs.

Section D: Staffing Plan and Experience of Key Personnel (2 page limit + Appendices)

In this section, proposers must provide documented ability to perform the services of this RFP component to NYSERDA.

Provide a description of the responsibilities of each key person in the execution of the proposed work plan, including subcontractors. Services should be accomplished with a weighted combination of staff (e.g. principal, senior, junior, technical, administrative, and clerical staff.) Include a description of the experience and qualifications of each of the key

personnel. If subcontractors are intended to be included as part of the proposer's team, please include *Letters of Commitment and Attachment E: Contractor's Designated Contact(s)*.

Proposals that include teaming arrangements must designate one party as the prime contractor who will be responsible for the administration of the contract. The prime contractor will have one individual who will be the **main contact** for this RFP component. This main contact should be experienced in client relations and project development. Again, the description of the main contact's expertise should highlight these abilities. In addition, and if applicable, please address computer/software programming development of a web-based customer interface.

Resumes of key personnel highlighting relevant experience should be included as appendices. **Individual resumes shall not exceed one (1) page.** Please include an organization chart showing the relationship among all personnel and subcontractors. It is preferred that individuals (within proposing firms) have a minimum of three (3) years experience in engineering or energy systems, with a technical background in energy efficiency for the marketing vertical being served. It is also preferred that individuals (within proposing firms) must also have strong oral and written communication and presentation skills, be experienced in client relations and project development, and possess a clear understanding and familiarity with the market/vertical they propose to serve. Each individual must fully understand and be able to explain to eligible customers the variety of NYSERDA programs and services available.

As outlined in *II. Program Requirements: D. Conflict of Interest*, all individuals involved in the proposal must be free of financial interest in any product or service which may be, or appear to be, in conflict with NYSERDA's services to its customers. If any affiliations exist, please describe them and verify that they do not conflict with the objectivity provided to NYSERDA and its customers.

Letters of Commitment

Proposers may subcontract with appropriate individuals or firms and all parties must be identified by including *Letters of Commitment and Attachment E: Contractor's Designated Contact(s)* in the proposal. If subcontracting, *Letters of Commitment and Attachment E: Contractor's Designated Contact(s)* must be provided from any subcontractors, co-funders, or other organization directly involved as appendices to the proposal. Lastly, NYSERDA reserves the right to direct limitations or expansions of these proposed services within the bounds of the proposal based on cost-effectiveness and other related considerations.

Section E: Budget (2 page limit + Appendices)

The NYSERDA programs are expected to operate through 2015. Proposers must prepare a task-based budget that shows cost details for all direct and indirect costs, overhead, production, labor, and subcontractors, if applicable for this RFP component. Proposers must also include billing rates for all applicable positions, including all positions listed in the staffing plan. Additionally, all proposers and proposed subcontractors must fill out the budget(s) (*Attachment D: Project Personnel and Billing Rates Form required for Technical Review and Program Support and/or Attachment I: Budget/Contract Pricing Proposal Form (CPPF) required for all Program areas other than Technical Review and Program Support*) with estimated costs for travel, materials, and equipment. The overall costs for services must be within the budgetary constraints while allowing the programs to meet their goals.

Attach supporting documentation to support indirect cost (overhead) rate(s) included in the proposal as follows:

- Describe the basis for the rates proposed (i.e. based on prior period actual results; based on projections; based on federal government or other independently approved rates).
- If rate(s) is based on estimated costs or prior period actual results, include calculations to support proposed rate(s). Calculations should provide enough information for NYSERDA to evaluate and confirm that the rate(s) is consistent with generally accepted accounting principles for indirect costs.
- If rate(s) is approved by an independent organization, such as the federal government, provide a copy of such approval.

NYSERDA reserves the right to audit any indirect rate presented in the proposal and to make adjustment for such difference. Requests for financial statements or other needed financial information may be made if deemed necessary.

Please provide example TWOs and budgets using the template in Attachment F for the following scenarios:

- Scenario A - A commercial space (40,000 sq ft.) undergoing a simple lighting efficiency project. The \$100,000 project proposes to replace standard 2x4 T12 fixtures to 2x4 High Efficiency T8 fixtures saving approximately 400,000 kWh savings.

- Scenario B - A franchised department store (10+ locations – each 50,000 sq. ft.) undergoing a statewide lighting efficiency and controls project. At each location, the \$100,000 projects propose to replace standard 2x4 T12 fixtures to 2x4 High Efficiency T8 fixtures saving approximately 250,000 kWh savings.
- Scenario C - A large hospital (1,500,000 sq. ft.) is upgrading their lighting efficiency and controls, as well as overhauling their complex central plant with high efficiency chillers, boilers, and systems to control the ancillary equipment – motors, drives, pumps, etc. The \$6,000,000 project proposes 6,000,000 kWh savings for all eligible measures.

2. *Direct Program Implementation Contractor: Pre-Qualified Proposal Format/Outline*

Section A: *Executive Summary (2 page limit + Appendices)*

In this section, proposers must summarize and exhibit a thorough understanding of this RFP component and the general approach to fulfilling and supporting the services requested. Proposers must summarize why NYSERDA should select the proposer's firm by including a list or summary of specific services they can provide, as well as any acknowledgements or accolades recently received.

In addition, proposers must identify all collaborating entities participating in the proposal, including a summary of the co-proposers and the services they provide. Proposers should provide a brief identification of key information about their organization, and all other organizations that are part of the proposer's team, as well as the range of team members and technical services that can be provided. Proposers may subcontract with appropriate individuals or firms and all parties must be identified in *Letters of Commitment* and *Attachment E: Contractor's Designated Contact(s)* in the proposal.

Lastly, if any firm is not based in New York State, discuss the mechanism which will guarantee its ability to deliver services in New York State in a cost-effective manner.

Section B: *Statement of Work (15 page limit + Appendices)*

Proposers must submit a Statement of Work of how they will fulfill the requirements and objectives as outlined in *II. Program Requirements: E. Services Requested 2. Direct Program Implementation Contractor: Pre-Qualified*.

In addition, the Statement of Work may also include a detailed description of how the proposer will deliver services using their own creative approach. Please include deliverables for each task. The Statement of Work must include, but is not limited to, the firm's proposed approaches to the following tasks:

- Implementing and administering Pre-Qualified incentives for NYSERDA's EFP and NCP,
- Corresponding with appropriate NYSERDA parties, customers, and service providers to establish relationships and review existing databases,
- Developing a customer database that will interface seamlessly with NYSERDA's existing customer and facilities database for the purposes of sharing project and energy savings data,
- Providing Pre-Qualified Path feedback and revision for quality assurance,
- Developing a hotline and web-based program to provide customers with up-to-date information about NYSERDA's Pre-Qualified offerings which includes application procedures and requirements, and
- Proposing ways that will assist NYSERDA in a seamless future transition to a consolidated Pre-Qualified Path, in addition to implementing and administering the Pre-Qualified Path and providing feedback and revision for quality assurance.

Section C: *Proposer's Past Experience (6 page limit + Appendices)*

A description of the proposer's experience relative to the tasks in Section B above should be provided here. Proposers should show experience providing assistance that is consistent with the services described in *II. Program Requirements: Section E. Services Requested 2. Direct Program Implementation Contractor: Pre-Qualified* to customers, with an emphasis on New York State. In addition, each proposer should include a description of past or current program implementation serving a similar energy efficiency rebate market. The sample projects should have been completed within the past three (3) years and should demonstrate the firm's experience in servicing the targeted customer base, building a successful and intuitive web interface and processing payments in a timely manner. The project descriptions should specify the level of involvement of the proposing firm and the results of the project. Include customer contact names and phone numbers for these projects and list the key personnel and their respective involvement on the project.

Appendices to this section may include: summary of the sample projects, examples of marketing plans, program materials, outreach materials, management plans, and data tracking or reporting for similar programs.

Section D: Staffing Plan and Experience of Key Personnel (2 page limit + Appendices)

In this section, proposers must provide documented ability to perform the services of this RFP component to NYSERDA.

Provide a description of the responsibilities of each key person in the execution of the proposed work plan, including subcontractors. Services should be accomplished with a weighted combination of staff (e.g. principal, senior, junior, technical, administrative, and clerical staff.) Include a description of the experience and qualifications of each of the key personnel. If subcontractors are intended to be included as part of the proposer's team, please include *Letters of Commitment* and *Attachment E: Contractor's Designated Contact(s)*.

Proposals that include teaming arrangements must designate one party as the prime contractor who will be responsible for the administration of the contract. The prime contractor will have one individual who will be the **main contact** for each selected RFP component. This main contact should be experienced in client relations and project development. Again, the description of the main contact's expertise should highlight these abilities. In addition, and if applicable, please address computer/software programming development of a web-based customer interface.

Resumes of key personnel highlighting relevant experience should be included as appendices. **Individual resumes shall not exceed one (1) page.** Please include an organization chart showing the relationship among all personnel and subcontractors. It is preferred that individuals (within proposing firms) have a minimum of three (3) years experience in engineering or energy systems, with a technical background in energy efficiency for the marketing vertical being served. It is also preferred that individuals (within proposing firms) must also have strong oral and written communication and presentation skills, be experienced in client relations and project development, and possess a clear understanding and familiarity with the market/vertical they propose to serve. Each individual must fully understand and be able to explain to eligible customers the variety of NYSERDA programs and services available.

As outlined in *II. Program Requirements: D. Conflict of Interest*, all individuals involved in the proposal must be free of financial interest in any product or service which may be, or appear to be, in conflict with NYSERDA's services to its customers. If any affiliations exist, please describe them and verify that they do not conflict with the objectivity provided to NYSERDA and its customers.

Letters of Commitment

Proposers may subcontract with appropriate individuals or firms and all parties must be identified by including *Letters of Commitment* and *Attachment E: Contractor's Designated Contact(s)* in the proposal. If subcontracting, *Letters of Commitment* and *Attachment E: Contractor's Designated Contact(s)* must be provided from any subcontractors, co-funders, or other organization directly involved as appendices to the proposal. Lastly, NYSERDA reserves the right to direct limitations or expansions of these proposed services within the bounds of the proposal based on cost-effectiveness and other related considerations.

Section E: Budget (2 page limit + Appendices)

The NYSERDA programs are expected to operate through 2015. Proposers must prepare a task-based budget that shows cost details for all direct and indirect costs, overhead, production, labor, and subcontractors, if applicable for this RFP component. Proposers must also include billing rates for all applicable positions, including all positions listed in the staffing plan. Additionally, all proposers and proposed subcontractors must fill out the budget(s) (*Attachment D: Project Personnel and Billing Rates Form required for Technical Review and Program Support* and/or *Attachment I: Budget/Contract Pricing Proposal Form (CPPF) required for all Program areas other than Technical Review and Program Support*) with estimated costs for travel, materials, and equipment. The overall costs for services must be within the budgetary constraints while allowing the programs to meet their goals.

Attach supporting documentation to support indirect cost (overhead) rate(s) included in the proposal as follows:

- Describe the basis for the rates proposed (i.e. based on prior period actual results; based on projections; based on federal government or other independently approved rates).
- If rate(s) is based on estimated costs or prior period actual results, include calculations to support proposed rate(s). Calculations should provide enough information for NYSERDA to evaluate and confirm that the rate(s) is consistent with generally accepted accounting principles for indirect costs.
- If rate(s) is approved by an independent organization, such as the federal government, provide a copy of such approval.

NYSERDA reserves the right to audit any indirect rate presented in the proposal and to make adjustment for such difference. Requests for financial statements or other needed financial information may be made if deemed necessary.

Please provide a budget table that includes the anticipated number of hours each of the key people will spend on each task and show the estimated total hours and dollars necessary per task. A sample budget table is shown below. Proposers must prepare a work schedule that outlines major steps and milestones upon the approval and agreement of this contract. This work schedule must address the tasks outlined in the Statement of Work in terms of weeks and months. Proposers should allow time for correspondence with and approval of tasks by NYSERDA. Note that hours allocated in the work schedule must be consistent with those in the budget.

Example Budget Table

Tasks (Add rows as needed)	2013		2014		2015		Totals	
	Hours	\$	Hours	\$	Hours	\$	Hours	\$
Task: <i>Task Title</i>								
Totals:								

Proposers should provide separate budgets for contracted Pre-Qualified Path implementation and direct payment of incentives to customers through the end of 2015. NYSERDA seeks to maximize the amount of the budget used to provide incentive payments to customers. Therefore, the relative amount of funding used for Pre-Qualified Path administration versus incentives will be considered during the evaluation of proposals. NYSERDA reserves the right to revise the proposed allocation between Pre-Qualified Path administration and incentives.

NYSERDA also seeks proposals that include the ability to issue checks directly to applicants on NYSERDA’s behalf. The proposal should clearly delineate a proposed process for issuing such payments, including subcontractor relationships, if any, a proposed procedure for billing NYSERDA for such incentive payments, and a specific separable budget for issuing the checks. At its discretion, based on costs and other considerations, NYSERDA may opt to continue issuing its own payments for Pre-Qualified incentives through EFP and NCP. If NYSERDA so chooses, the payment processing task will be eliminated from the successful proposers scope of work and the contract amount reduced commensurately.

3. Direct Program Implementation Contractor: Agriculture Energy Efficiency Program (AEEP) Proposal Format/Outline

Section A: Executive Summary (2 page limit + Appendices)

In this section, proposers must summarize and exhibit a thorough understanding of this RFP component and the general approach to fulfilling and supporting AEEP. Proposers must summarize why NYSERDA should select the proposer’s firm by identifying any acknowledgements or accolades recently received.

Proposals that include teaming arrangements must designate one party as the prime contractor who will be responsible for the administration of the contract. Proposers should provide a brief identification of key information about their organization, and all other organizations that are part of the proposer’s team.

If any firm is not based in New York State, discuss the mechanism which will guarantee its ability to deliver services in New York State in a cost-effective manner.

Section B: Statement of Work (5 page limit + Appendices)

The **AEEP Statement of Work** should be a detailed plan of how the proposer will execute customer and agriculture community outreach to encourage farms to apply to AEEP; educate customers on implementation procedures, guidelines, eligibility requirements and payment information; review audits; coordinate with utilities, if necessary; verify installation of projects to inform payment processing; and track and report AEEP results. Statement of Work must include a detailed description of how the proposer will deliver the AEEP as outlined in *II. Program Requirements: Section E. Services Requested 3. Direct Program Implementation Contractor: Agriculture Energy Efficiency Program (AEEP)*. Include deliverables for each task. In addition, the Statement of Work may also include a detailed description of how the proposer will deliver services using its own creative approach.

Section C: Proposer's Past Experience (6 page limit + Appendices)

A description of the proposer's experience relative to the tasks in Section B above should be provided here. Proposers should show experience on how they interacted, served, and/or provided assistance to New York State farms and on-farm producers. Proposers with program administration experience should include a description of a program involving the agriculture sector. The description should specify the level of involvement of the proposing firm. Include any relevant contact names and phone numbers for this program and their respective involvement on the program.

Appendices to this section may include: summary of the sample projects, examples of marketing plans, program materials, outreach materials, management plans, and data tracking or reporting for similar programs.

Section D: Staffing Plan and Experience of Key Personnel (2 page limit + Appendices)

In this section, proposers must provide documented ability to perform the services of this RFP component.

Provide a description of the responsibilities of each key person in the execution of the proposed work plan, including subcontractors. Services should be accomplished with a weighted combination of staff (e.g. principal, senior, junior, technical, administrative, and clerical staff.) Include a description of the experience and qualifications of each of the key personnel.

Proposals that include teaming arrangements must designate one party as the prime contractor who will be responsible for the administration of the contract. The prime contractor will have one individual who will be the **main contact** for this RFP component. This main contact should be experienced in client relations and program development. Again, the description of the main contact's expertise should highlight these abilities.

Resumes of key personnel highlighting relevant experience should be included as appendices. **Individual resumes shall not exceed one (1) page.** Please include an organization chart showing the relationship among all personnel and subcontractors. It is preferred that individuals have strong oral and written communication and presentation skills, be experienced in client relations and project development, and possess a clear understanding and familiarity with the agriculture sector. Each individual must fully understand and be able to explain to eligible customers the AEEP.

As outlined in *II. Program Requirements: D. Conflict of Interest*, all individuals involved in the proposal must be free of financial interest in any product or service which may be, or appear to be, in conflict with NYSERDA's services to its customers. If any affiliations exist, please describe them and verify that they do not conflict with the objectivity provided to NYSERDA and its customers.

Letters of Commitment

Proposers may subcontract with appropriate individuals or firms and all parties must be identified by including *Letters of Commitment* and *Attachment E: Contractor's Designated Contact(s)* as appendices to the proposal. Lastly, NYSERDA reserves the right to direct limitations or expansions of these proposed services within the bounds of the proposal based on cost-effectiveness and other related considerations.

Section E: Budget (2 page limit + Appendices)

The AEEP is expected to operate through 2015. Proposers must prepare a task-based budget that shows cost details for all direct and indirect costs, overhead, production, labor, and subcontractors, if applicable for this RFP component they are proposing to serve. Proposers must also include billing rates for all applicable positions, including all positions listed in the staffing plan. Additionally, all proposers and proposed subcontractors must fill out the budget(s) (*Attachment D: Project Personnel and Billing Rates Form*) with estimated costs for travel, materials, and equipment. The overall costs for services must be within the budgetary constraints while allowing the programs to meet their goals.

Attach supporting documentation to support indirect cost (overhead) rate(s) included in the proposal as follows:

- Describe the basis for the rates proposed (i.e. based on prior period actual results; based on projections; based on federal government or other independently approved rates).
- If rate(s) is based on estimated costs or prior period actual results, include calculations to support proposed rate(s). Calculations should provide enough information for NYSERDA to evaluate and confirm that the rate(s) is consistent with generally accepted accounting principles for indirect costs.
- If rate(s) is approved by an independent organization, such as the federal government, provide a copy of such approval.

NYSERDA reserves the right to audit any indirect rate presented in the proposal and to make adjustment for such difference. Requests for financial statements or other needed financial information may be made if deemed necessary.

Please provide a budget table that includes the anticipated number of hours each of the key people will spend on each task and show the estimated total hours and dollars necessary per task. A sample budget table is shown below.

Example Budget Table

Tasks (Add rows as needed)	2013		2014		2015		Totals	
	Hours	\$	Hours	\$	Hours	\$	Hours	\$
Task: <i>Task Title</i>								
Totals:								

4. Energy Assessment Contractors: Small Commercial Energy Efficiency Program Proposal Format/Outline

Section A: Executive Summary (2 page limit + Appendices)

In this section, proposers must summarize and exhibit a thorough understanding of this RFP component and the general approach to fulfilling and supporting the services requested. Proposers must summarize why NYSERDA should select the proposer’s firm by including a list or summary of specific services they can provide, as well as any acknowledgements or accolades recently received.

In addition, proposers must identify all collaborating entities participating in the proposal, including a summary of the co-proposers and the services they provide. Proposers should provide a brief identification of key information about their organization, and all other organizations that are part of the proposer’s team, as well as the range of team members and technical services that can be provided. Proposers may subcontract with appropriate individuals or firms and all parties must be identified in *Letters of Commitment* and *Attachment E: Contractor’s Designated Contact(s)* in the proposal.

Lastly, if any firm is not based in New York State, discuss the mechanism which will guarantee its ability to deliver services in New York State in a cost-effective manner.

Section B: Statement of Work (16 page limit + Appendices)

NYSERDA seeks to offer a suite of integrated energy assessment and implementation services for small commercial customers. Proposers should explain how they would organize and deliver the Small Commercial Energy Efficiency Program services described below, if selected. Preference will be given to proposals that demonstrate a streamlined delivery of services that makes it easy for a customer to transition from one phase of the Small Commercial Energy Efficiency Program to another.

The Statement of Work should include a detailed strategy for how the proposer would conduct outreach in order to encourage customer participation in the Small Commercial Energy Efficiency Program. The strategy should indicate how the proposer intends to target customers who are likely to use their energy assessment as the basis of an energy efficiency project.

The Statement of Work should also detail how energy assessments will be conducted and presented. Appendices to the Statement of Work should include a sample energy assessment report that would address the needs of the energy assessment customer who owns a 150,000 sq. ft. commercial building and seeks to replace the facility’s rooftop units, as described below in *Section E: Budget – Energy Assessment Contractor Scenarios* of this component. The sample assessment report should demonstrate the type and depth of data collection and analysis that the proposer would include in an ASHRAE Level I walk-through assessment of the facility, as well as the additional data the contractor would collect and analysis the contractor would perform to meet the customer’s needs. Finally, the sample assessment report should demonstrate the energy assessment report format the proposer would use if selected. Preference will be given to energy assessment reports that present the information identified in *II. Program Requirements: Section E. Services Requested 4. Energy Assessment Contractors: Small Commercial Energy Efficiency Program* in a format that would be readily understood by a customer that may be unfamiliar with building systems. Appendices to the Statement of Work should also identify the type of energy assessment software the proposing firm would use, if selected, to conduct energy assessments under this solicitation.

Proposers should include a detailed plan for customer assistance delivery in the Statement of Work. This plan should highlight the proposer's experience with small-to-mid-sized commercial customers, including small business and not-for-profit organizations. The plan should also highlight the proposer's experience providing customers with financial analysis of recommended improvements, helping customers to access Small Commercial Energy Efficiency Program implementation opportunities, and familiarity with NYSERDA's programs.

Proposals should include a detailed description of the customer interface system they intend to use to manage customer work flows and manage customer, site, and project data as described in *II. Program Requirements: Section E. Services Requested 4. Energy Assessment Contractors: Small Commercial Energy Efficiency Program*. Proposed systems must include but are not limited to the following features: customer-oriented front end that allows customers to submit applications online, track their application and review project status, access to necessary energy savings and financial information, which may include but is not limited to: simple payback, Life Cycle Cost (LCC) analysis, and projected cash flows for potential and current implementation projects. Finally, the systems should capture necessary customer, site, and project data required for NYSERDA program tracking and reporting.

The proposal should indicate how the proposer would use a customer interface to manage projects from application to installation and should demonstrate how the interface would be used to collect, track and use customer, site, and project data. As noted in *II. Program Requirements: Section E. Services Requested 4. Energy Assessment Contractors: Small Commercial Energy Efficiency Program*, many small commercial customers take advantage of NYSERDA incentives through the Existing Facilities Program Pre-Qualified Path to lower the first cost of implementing measures recommended on their energy assessment. As a result, NYSERDA seeks to track customer projects that use Pre-Qualified incentives to implement energy efficiency improvements that are recommended on an energy assessment. Proposals must demonstrate how data originating from the customer interface and data management system could be transferred or integrated with data collected through the customer front-end and data management tool developed for the Existing Facilities Program Pre-Qualified Path through this solicitation.

Section C: Proposer's Past Experience (6 page limit + Appendices)

A description of the proposer's experience relative to the tasks in Section B above should be provided here. Proposers should show experience providing assistance that is consistent with the services described in *II. Program Requirements: Section E. Services Requested 4. Energy Assessment Contractors: Small Commercial Energy Efficiency Program* to customers, with an emphasis on New York State. Each proposer should include a description of up to five (5) projects completed by the proposing firm within the specified component and moreover the specific Area(s) of Expertise / Relevant Experience identified. The sample projects should have been completed within the past three (3) years and should demonstrate the firm's experience in servicing the targeted customer base. The project descriptions should specify the level of involvement of the proposing firm and the results of the project. Include customer contact names and phone numbers for these projects and list the key personnel and their respective involvement on the project.

Appendices to this section may include: summary of the sample projects, examples of marketing plans, program materials, outreach materials, management plans, and data tracking or reporting for similar programs.

Section D: Staffing Plan and Experience of Key Personnel (2 page limit + Appendices)

In this section, proposers must provide documented ability to perform the services of this RFP component to NYSERDA.

Provide a description of the responsibilities of each key person in the execution of the proposed work plan, including subcontractors. Services should be accomplished with a weighted combination of staff (e.g. principal, senior, junior, technical, administrative, and clerical staff.) Include a description of the experience and qualifications of each of the key personnel. If subcontractors are intended to be included as part of the proposer's team, please include *Letters of Commitment* and *Attachment E: Contractor's Designated Contact(s)*.

Proposals that include teaming arrangements must designate one party as the prime contractor who will be responsible for the administration of the contract. The prime contractor will have one individual who will be the **main contact** for each selected RFP component. This main contact should be experienced in client relations and project development. Again, the description of the main contact's expertise should highlight these abilities. In addition, and if applicable, please address computer/software programming development of a web-based customer interface.

Resumes of key personnel highlighting relevant experience should be included as appendices. **Individual resumes shall not exceed one (1) page.** Please include an organization chart showing the relationship among all personnel and subcontractors. It is preferred that individuals (within proposing firms) have a minimum of three (3) years experience in

engineering or energy systems, with a technical background in energy efficiency for the marketing vertical being served. It is also preferred that individuals (within proposing firms) must also have strong oral and written communication and presentation skills, be experienced in client relations and project development, and possess a clear understanding and familiarity with the market/vertical they propose to serve. Each individual must fully understand and be able to explain to eligible customers the variety of NYSERDA programs and services available.

As outlined in *II. Program Requirements: D. Conflict of Interest*, all individuals involved in the proposal must be free of financial interest in any product or service which may be, or appear to be, in conflict with NYSERDA’s services to its customers. If any affiliations exist, please describe them and verify that they do not conflict with the objectivity provided to NYSERDA and its customers.

Letters of Commitment

Proposers may subcontract with appropriate individuals or firms and all parties must be identified by including *Letters of Commitment* and *Attachment E: Contractor’s Designated Contact(s)* in the proposal. If subcontracting, *Letters of Commitment* and *Attachment E: Contractor’s Designated Contact(s)* must be provided from any subcontractors, co-funders, or other organization directly involved as appendices to the proposal. Lastly, NYSERDA reserves the right to direct limitations or expansions of these proposed services within the bounds of the proposal based on cost-effectiveness and other related considerations.

Section E: Budget (2 page limit + Appendices)

The NYSERDA programs are expected to operate through 2015. Proposers must prepare a task-based budget that shows cost details for all direct and indirect costs, overhead, production, labor, and subcontractors, if applicable for this RFP component. Proposers must also include billing rates for all applicable positions, including all positions listed in the staffing plan. Additionally, all proposers and proposed subcontractors must fill out the budget(s) (*Attachment D: Project Personnel and Billing Rates Form required for Technical Review and Program Support and/or Attachment I: Budget/Contract Pricing Proposal Form (CPPF) required for all Program areas other than Technical Review and Program Support*) with estimated costs for travel, materials, and equipments. The overall costs for services must be within the budgetary constraints while allowing the programs to meet their goals.

Attach supporting documentation to support indirect cost (overhead) rate(s) included in the proposal as follows:

- Describe the basis for the rates proposed (i.e. based on prior period actual results; based on projections; based on federal government or other independently approved rates).
- If rate(s) is based on estimated costs or prior period actual results, include calculations to support proposed rate(s). Calculations should provide enough information for NYSERDA to evaluate and confirm that the rate(s) is consistent with generally accepted accounting principles for indirect costs.
- If rate(s) is approved by an independent organization, such as the federal government, provide a copy of such approval.

NYSERDA reserves the right to audit any indirect rate presented in the proposal and to make adjustment for such difference. Requests for financial statements or other needed financial information may be made if deemed necessary.

Please provide a budget table that includes the anticipated number of hours each of the key people will spend on each task and show the estimated total hours and dollars necessary per task. A sample budget table is shown below. Proposers must prepare a work schedule that outlines major steps and milestones upon the approval and agreement of this contract. This work schedule must address the tasks outlined in the Statement of Work in terms of weeks and months. Proposers should allow time for correspondence with and approval of tasks by NYSERDA. Note that hours allocated in the work schedule must be consistent with those in the budget.

Example Budget Table

Tasks (Add rows as needed)	2013		2014		2015		Totals	
	Hours	\$	Hours	\$	Hours	\$	Hours	\$
Task: <i>Task Title</i>								
Totals:								

The Small Commercial Energy Efficiency Program expects to offer energy assessments that vary in complexity depending on customer need. For instance, customers may require an ASHRAE Level I walk-through energy assessment, and some

may require an ASHRAE Level I energy assessment with a more detailed analysis of discrete energy end-use systems and equipment, as described in *II. Program Requirements: Section E: Services Requested 4. Energy Assessment Contractors: Small Commercial Energy Efficiency Program*. In addition, customers may not require Customer Assistance services, as described in *II. Program Requirements: Section E: Services Requested 4. Energy Assessment Contractors: Small Commercial Energy Efficiency Program*, while other organizations may opt for these services should they seek to use NYSERDA financial incentives and/or low-interest financing to implement recommendations made on their assessment report.

Energy Assessment Contractor Scenarios

Therefore, in addition to the required budget table included above, please provide example work scopes and budgets for the scenarios listed below. Example work scopes and budget for these scenarios may be included as appendices to the proposal.

- Scenario A - A commercial space (25,000 sq. ft.) that requires an energy assessment to survey present energy use and identify potential energy efficiency improvements the applicant can make to energy end-use equipment and systems. Recommendations may also include suggested improvements to operating procedures (e.g. having employees shut down computers and monitors before leaving for the day). The customer does not opt for Customer Assistance services, as described in *II. Program Requirements: Section E: Services Requested 4. Energy Assessment Contractors: Small Commercial Energy Efficiency Program*.
- Scenario B - A commercial space (75,000 sq. ft.) that requires an energy assessment to survey present energy end-uses and identify potential equipment and system upgrades to improve the facility's energy efficiency and lower energy costs. The customer opts to use Customer Assistance services, as previously described in *II. Program Requirements: Section E: Services Requested*, including assistance in the development and submission of financial incentive application(s) to NYSERDA's Existing Facilities Program and help in the development and submission of an application package for low-interest financing made available through NYSERDA's Small Commercial Energy Efficiency Program.
- Scenario C - A commercial space (150,000 sq. ft.) for which the customer seeks to replace the rooftop units (RTUs). The space would require an initial ASHRAE Level I walk-through assessment to survey energy consumption and baseline energy end-use equipment. The customer also requires additional data collection and detailed analysis of a discrete system; the facility's heating, ventilation and air-conditioning (HVAC) needs, including but not limited to HVAC system sizing, controls, and consideration of equipment removal and installation logistics. In addition, the customer opts for Customer Assistance services including help in the development and submission of financial incentive application(s) to the Existing Facilities Program. The customer is also interested in pursuing energy efficiency financing and requires assistance in the development and submission of an application package for low-interest financing through NYSERDA's Small Commercial Energy Efficiency Program.

IV. PROPOSAL EVALUATION

Proposals that meet Proposal Requirements will be reviewed by a Technical Evaluation Panel (TEP) using the Proposal Evaluation criteria below. A TEP consists of NYSERDA staff, a Department of Public Service staff member, and relevant selected outside reviewers. Each RFP component will have a separate TEP, for total of four (4) TEPs. The TEPs will review the written proposals, then score and rank the proposals.

NYSERDA, through its TEP process, may contact selected references to determine whether the proposer has the necessary technical experience, qualifications, resources, and competitive contract costs to successfully provide the requested services for NYSERDA. The TEP reserves the right to make decisions based on information obtained from these references.

NYSERDA is seeking coverage based on vertical, technology, and geography. Proposers should clearly indicate their ability and experience working in specific verticals (e.g. manufacturing and data centers), on specific technologies and applications (e.g. CHP and emissions testing) and their ability to cover the State of New York. The ability to cover multiple verticals, technologies and diverse geography will be considered during the evaluation process. Specific areas of focus are acceptable and will be evaluated accordingly. NYSERDA will choose contractors to ensure vertical, technology and geographic coverage.

NYSERDA reserves the right to invite the top ranked proposers in each RFP component to NYSERDA's office in Albany, NY to give an oral presentation. The oral presentation will consist of an overview and a question and answer period to explain the proposed approach and the proposer's qualifications presented in the written proposal. Oral presentations are also reviewed, scored and ranked by the TEP.

Final rankings will be made based on the written proposals and oral presentations. The highest ranked proposer(s) will be recommended for contract negotiations. The same TEP will review both the written proposals and oral presentations using the Evaluation Criteria below. A proposal that covers multiple components will be evaluated independently in each component. If the Technical Evaluation Panel deems that there are an insufficient number of well qualified proposals submitted to meet the needs and requirements for any one of the components, NYSERDA will resolicit that specific component through a separate RFP.

Section A: Executive Summary and General Information

Evaluate the overall proposal. Does the proposer understand what is being sought under the selected RFP component(s)? Does the proposal demonstrate an understanding of the major objectives of the RFP component(s)? Does the proposal satisfactorily address how the proposer will provide services to all New York State customers? Does the proposal leverage added value opportunities? Is the proposal well written, clear, concise, and well organized? Did the proposer provide all information requested in the selected RFP component?

Section B: Statement of Work

Does the proposal sufficiently address each task as outlined by the selected RFP component(s)? Does the proposer demonstrate an understanding of the range of services requested by the respective RFP component(s)? Will their technical support and outreach (if applicable) cover all of New York State? Is the Statement of Work well defined, comprehensive, realistic and consistent with the selected RFP component(s)? Does the Statement of Work instill confidence that the proposer will be successful? Does the proposer understand NYSERDA's program results and tracking needs? Does the proposer identify a single lead that will insure program consistency and budget compliance?

Section C: Proposer's Past Experience

Evaluate the proposer's past experience with providing the services described in the proposal for the selected RFP component(s). Does the proposer demonstrate relevant experience and technical expertise in the selected RFP component(s)? Evaluate the proposer's ability, necessary background and historic performance with delivering similar services to the selected RFP component(s). Has the proposer provided examples, which demonstrate their ability to deliver high quality, objective, energy related services? Do examples demonstrate the ability to support, implement and/or administer the program? Does the proposer demonstrate the ability to integrate with all New York State customers? Does the proposer clearly demonstrate a history of past energy-related work? Does the proposer demonstrate an understanding of NYSERDA, its mission and its programs?

Section D: Staffing Plan and Experience of Key Personnel

Do the resumes reflect the ability to deliver the services of the selected RFP component(s)? Are key personnel's education, experience, and capability relevant to the selected RFP component(s)? Does the proposer have experience with the New York State market verticals relevant to the selected RFP component(s)? Does the proposer demonstrate the ability to reach all New York State customers? Is there depth to the proposing team where full implementation responsibility does not fall on one individual? Does the proposer show a balance of technical, operations, outreach, administrative or other expertise necessary to accomplish the objectives of the selected RFP component(s)?

Section E: Budget

Are the proposer's time, cost estimates, and billing rates per task reasonable and appropriate for the selected RFP component(s)? Do the cost estimates demonstrate an understanding of and the ability to execute the proposal based on the strategy and overview included? Does the proposing team describe the ability to use junior and senior staff as appropriate to be cost-effective while achieving Program success? How well does the proposer demonstrate the capacity to deliver services throughout New York State while minimizing travel/lodging costs? Do the applicable budget tables and scenarios for the selected RFP component exhibit the proposer's understanding of the scope of work and do the hours and costs seem reasonable for that scope? Is the budget arranged such that the goals of the program will be met and resources appropriate allocated to each tasks?

V. GENERAL CONDITIONS

Proprietary Information - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The New York State 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 <http://nysesda.ny.gov/~media/Files/About/Contact/NYSERDARegulations.ashx>. *However, NYSERDA cannot guarantee the confidentiality of any information submitted.*

Omnibus Procurement Act of 1992 - *It is the policy of New York State to maximize opportunities for the participation of New York State business enterprises, including minority- and women-owned business enterprises, as bidders, subcontractors, and suppliers on its procurement Agreements.*

Information on the availability of New York subcontractors and suppliers is available from:

Empire State Development
Division for Small Business
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.ny.gov/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.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf).*

Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department. The Department has created a second form that must be completed by a prospective contractor prior to contacting and filed with NYSERDA. See, ST-220-CA (available at http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

Contract Award - NYSERDA anticipates making multiple awards under this solicitation. 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 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 (see *Attachment A - Proposal Checklist*). Proposers

should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately eighteen (18) weeks from the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

Limitation - This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement.

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

VI. ATTACHMENTS:

- Attachment A: Proposal Checklist (**Mandatory**)
- Attachment B: Disclosure of Prior Findings of Non-Responsibility Form (**Mandatory**)
- Attachment C: RFP Component Checklist (**Mandatory**)
- Attachment D: Project Personnel and Billing Rates Form (**Mandatory** for Technical Review and Program Support)
- Attachment E: Contractor's Designated Contact(s) (**Mandatory** if proposal includes teaming/subcontractors)
- Attachment F: Task Work Order Template (for Technical Review and Program Support)
- Attachment G: Sample Agreement (for Technical Review and Program Support)
- Attachment H: Sample Agreement (for all Program areas other than Technical Review and Program Support)
- Attachment I: Budget/Contract Pricing Proposal Form (CPPF) required for all RFP Component areas other than Technical Review and Program Support