



"Green Jobs – Green NY Outreach Program – Round 2"
Request for Proposal (RFP) 2773
\$4.5 Million Available

Proposals Due: August 20, 2013 by 5:00 PM Eastern Time*

Green Jobs - Green NY (GJGNY) is a Statewide program that promotes energy efficiency, reduces energy consumption, supports sustainable community development, and creates job opportunities. The GJGNY Program delivers services in targeted communities with the support of Constituency-based Organizations (CBOs), as that term is defined in the GJGNY statute. CBOs will conduct outreach and education through a coordinated approach that targets priority communities. More information about GJGNY can be found on the program web site, <http://www.nyserda.ny.gov/Energy-Efficiency-and-Renewable-Programs/Green-Jobs-Green-New-York.aspx>.

NYSERDA seeks proposals from **eligible** CBOs, and coalitions of CBOs, to assist in outreach services in 14 regions throughout New York State. The Outreach Contractors will be primarily responsible for recruiting residential and multifamily building owners into the audit and financing programs. Recruitment of small businesses, Not-for-Profits (NFPs), and potential workforce participants are a secondary priority. CBOs in the five downstate boroughs will also be responsible for encouraging the expansion of the residential energy efficiency industry in the downstate market. There is \$4,500,000 of available funding for the GJGNY Outreach Program. NYSERDA has allocated funding among 14 specific geographic areas of New York State. CBOs can bid on one or more of the regions in which they are eligible, and should target specific communities within the region. CBOs can propose an Aggregation strategy within their proposals. The term of the contract will be two years with the option to renew for up to two additional one year periods.

The proposing organization, and all of the outreach services team members (subcontractors), must be a CBO and must submit proof of eligibility, or equivalent, to NYSERDA to be considered for funding. CBOs who have already been qualified as a CBO under previous solicitations will have an abbreviated qualification process, which is outlined in the RFP. **All proposers are encouraged to submit their proof of eligibility in accordance with solicitation requirements as soon as possible**, but no later than the proposal due date.

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

**Roseanne Viscusi, RFP 2773
NYS Energy Research and Development Authority
17 Columbia Circle
Albany, NY 12203-6399**

If you have technical questions concerning this solicitation, contact Sue Andrews at (518) 862-1090, ext.3234, or sta@nyserda.ny.gov. If you have contractual questions concerning this solicitation, contact Elsyda Ahmed at (518) 862-1090, ext. 3232 or ela@nyserda.ny.gov.

No communication intended to influence this procurement is permitted except by contacting Sue Andrews (Designated Contact) at (518) 862-1090, ext.3234 or STA@nyserda.ny.gov. 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 www.nyserda.ny.gov.

I. INTRODUCTION

A. Background

On October 9, 2009, the Green Jobs Green New York Act of 2009¹ was signed into law. The Act directs NYSERDA to establish and administer the program. Section 1894 authorizes NYSERDA to issue solicitations seeking proposals from “partnerships or consortiums of CBOs” to facilitate awareness and enrollment of homeowners, small businesses, and not-for-profits in the Green Jobs energy efficiency services, and from CBOs partnering with contractors, workforce development organizations, or organized trades to facilitate awareness of and enrollment in the training services program created under section 1897 of the Act.

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

The GJGNY energy efficiency services are delivered through NYSERDA’s existing programs, which are described in more detail at the following links:

- Residential sector – [Home Performance with ENERGY STAR®](#) and [Assisted Home Performance with ENERGY STAR](#)
- Multifamily sector – [Multifamily Performance Program](#)
- [Small business/not-for-profit](#) sector

NYSERDA’s workforce development initiatives are also described on NYSERDA’s [web site](#). The NYSERDA website also includes information on NYSERDA’s [On-bill Recovery Financing and Smart Energy Loans](#) programs.

NYSERDA provides marketing support for CBOs through its GJGNY Marketing contract. Support may include templates for case studies, brochures and fact sheets, NYSERDA CBO web pages with lead nurturing capabilities, call scripts, and boilerplate language for use in social media applications or other CBO generated customer materials.

This Request for Proposal (RFP) seeks proposals from eligible CBOs to conduct outreach, enrollment, and other services targeting potential program participants. There is a total budget of \$4,500,000 to be allocated to the 14 State regions, as defined by NYSERDA (Table 1). Regional budget allocations were developed after a review of statewide housing statistics and reflect an equitable statewide distribution of the available resources.

CBOs may include an initiative to aggregate customers under this RFP. Aggregation is the recruitment by a CBO of eligible homes within a neighborhood, who have agreed to use the same contractor (or contractor team) to perform audits and energy services work. Aggregation is a program option, not a requirement.

The selected CBOs will not be allowed to perform audits and retrofits resulting from the Green Jobs – Green New York program and will not be permitted to serve as providers of training incorporated in the workforce development component of Green Jobs – Green New York. These activities will be performed by contractors currently participating in the program.

Proposals will only be accepted from eligible CBOs.

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

B. Proposer Eligibility and Qualifications

1. Proposer Eligibility. In order to bid on any of the 14 regions, the bidding organization, and all of the team members performing outreach services (if applicable) must be a Constituency-based Organization (CBO). The Act defines a CBO as "an organization incorporated for the purpose of providing services or other assistance to economically or socially disadvantaged persons within a specified community, and which is supported by, or whose actions are directed by, members of the community in which it operates."² Additionally, the statutory language refers to "partnerships or consortiums" of CBOs, thereby requiring that each entity performing outreach services must itself meet the definition of a CBO.

NYSERDA requires that **ALL proposers submit proof of CBO status in order to be considered eligible for funding under this solicitation**. In an effort to address confusion over eligibility and to avoid unnecessary time and resources devoted to developing a proposal that may not be evaluated, NYSERDA will review an organization's proof of eligibility upon receipt, if received prior to the due date of the proposal. Proposers are not required to obtain pre-approval of eligibility prior to submitting their proposal; however, pre-approval is strongly recommended. **All proposers must submit proof of eligibility (Attachment E and supporting documentation) – either through the pre-approval process or as an attachment to the proposal**. CBOs who have already been determined to be an eligible CBO by NYSERDA through RFP 2038 or 2327 can submit a letter attesting that the organizational chart, Board of Directors and contact information, and mission statement have not changed since the previous solicitation, and the documentation we currently have on file for the organization remains accurate. However, CBOs still need to submit a copy of the Board minutes approving the submittal of an Outreach proposal under the new RFP, a copy of the most recent audit or financial statement, as well as a signed Attachment E - CBO Eligibility Requirements. The Letter attesting that the information has not changed can be attached to Attachment E. Only those CBOs, and consortia of CBOs, determined "eligible" can be considered and will have their proposals evaluated under RFP 2773.

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

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

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

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

² Public Authorities Law Section 1891(3).

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

- Demonstrated experience in providing services in the community, particularly those services related to affordable housing.
- Demonstrated experience providing outreach services.
- Strong familiarity with the types of energy efficiency services addressed by the GJGNY program, particularly those that address residential customers.
- Dedicated staffing resources to support the GJGNY Outreach Program.
- Demonstrated experience in record-keeping and tracking of program activities and resources.
- Reliable and well-organized.
- Proficiency in Microsoft Office, including, Word, PowerPoint, and Excel, as well as databases, with the ability to produce and deliver professional-quality reports, presentations, and other documents.

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

C. Application Procedure

NYSERDA reserves the right to reject any or all proposals if it determines that a proposal is not responsive to RFP 2773. NYSERDA reserves the right to interview applicants and the right to solicit any applicant for additional information or to clarify submitted information.

D. Project Targets and Budget

There are \$4.5 million dollars available to fund 14 regions across New York State. Specific regional budget allocations are detailed in Table 1 below. Contracts will be awarded under RFP 2773 on a regional basis. It is anticipated that one contract will be awarded in each region; however, the actual number of contracts awarded in each region will be directly related to an assessment of appropriate coverage of targeted populations and the ability to meet the goals of the program.

Because the market for energy efficiency in the New York metropolitan market is not as robust as in other areas of the state, and the number of contractors participating in the GJGNY program is limited, proposals from CBOs located in any of the five boroughs may include market development strategies along with outreach to consumers. CBOs intending to propose market development strategies must include an assessment of the existing regional condition; identify the niche or target to be addressed and develop a strategic position to be explored; define how success will be determined; and provide information on how the approach will be monitored, measured and reported. Example tasks to be performed by CBO interested in performing market development activities are listed below in Section IIA. Market Development Goals can be eligible for the below described performance payment.

Compensation for Performance

The primary goal of the Customer Outreach program is to increase the number of residents making efficiency improvements. CBOs may earn up to an additional 15% of their total regional budget for meeting their proposed retrofit or market development goals. The additional performance payment will be paid on verifiable metrics, and is subject to availability of funds (actual amount will be indicated during contract negotiations). This includes actual residential work contracted and “approved” as confirmed in NYSERDA’s Comprehensive Residential Information System (CRIS) database, verification of work completed by small business and/or Not-for-Profit (NFP) customers, or a Notice to Proceed for multifamily buildings. Market development goals should also be quantifiable, and a plan for confirming success toward those goals should be included. Goals should be established for each of four, six-month periods of the contract term, illustrating the expected ramp-up rate, and enabling better monitoring of accomplishments compared to expectations.

Each applicant is asked to propose a goal plan for the number of retrofits it can generate over the course of the contract, and, if appropriate, goals demonstrating development of the market for energy efficiency retrofits in the five boroughs. Goals shall be based on knowledge of historical program performance and the region being bid on. A copy of historical

residential Home Performance Program activity, in each region, is included as Attachment G to this RFP. The CBO shall base its multifamily and/or small business/NFP goals on their knowledge of the potential for this activity in their region.

The additional performance payment amount will be distributed in installments upon completion of portions of the goal plan. NYSERDA will release 25% when 15% of the total goal is achieved, 25% when 40% of the total goal is achieved, 25% when 75% of the total goal is achieved, and the final 25% when the CBO meets 100% of its contractual goal³. This methodology takes into account the need for adequate start-up time. CBOs shall plan their budgets accordingly to ensure sufficient distribution of the full contract award over the term of the contract, and should not count on the performance payment as part of their base budget.

The proposer must explicitly state their proposed two-year retrofit goals in their proposal. CBOs in the five boroughs must provide tangible examples of the market development activities to be performed over the contract period, along with the expected outcome.

Table 1. Regional Funding Allocations

CBO Region	Counties Associated with the Region	Total Outreach Budget*
North Country	Hamilton, Jefferson, Franklin, St. Lawrence, Lewis, Essex, Washington, Clinton, Warren, and Herkimer Counties	\$166,703
Bronx	Bronx County	\$206,863
Kings	Kings County	\$439,658
Richmond	Richmond County	\$117,724
Queens	Queens County	\$456,504
New York	New York County	\$336,720
Southern Tier	Schuyler, Steuben, Chenango, Broome, Otsego, Tompkins, Tioga, and Chemung Counties	\$183,193
Western	Chautauqua, Allegany, Cattaraugus, Niagara, and Erie Counties	\$415,029
Finger lakes	Seneca, Yates, Orleans, Genesee, Monroe, Livingston, Wayne, Ontario and Wyoming Counties	\$341,599
Central	Oswego, Oneida, Cortland, Cayuga, Onondaga, and Madison Counties	\$283,340
Mid Hudson and Westchester	Delaware, Greene, Sullivan, Ulster, Columbia, Dutchess, Orange, Rockland, Westchester, and Putnam Counties	\$562,350
Nassau	Nassau County	\$346,650
Suffolk	Suffolk County	\$374,249
Capital	Rensselaer, Schenectady, Albany, Saratoga, Schoharie, Montgomery, and Fulton Counties	\$269,418
Total		\$4,500,000

*Performance payments of up to 15% of the total budget per region are over and above (in addition to) the stated total budget.

The geographic area covered by a proposal **must be clearly labeled on the proposal**. If a Proposer seeks to provide Customer Outreach services in more than one region, a separate proposal must be prepared and submitted for each region, and the Proposer must be determined to be eligible within each region. The GJGNY law directs that Customer Outreach be targeted to economically-distressed communities, communities with high energy costs in relation to income, and nonattainment areas for one or more pollutants under the federal Clean Air Act. In general, CBOs primary audiences are customers that are greater than 60% of the state median income. Proposers should identify target communities for Customer Outreach within the region(s) for which they are applying and consider those communities when establishing

³ For example, if the CBO proposed 100 residential retrofits, they would be paid 25% of their payment when they reach 15 retrofits (15% of goal), 25% when they reached 40 retrofits (40% of goal), 25% when they reached 75 retrofits (75% of goal), and the final 25% when they reached all 100 of their retrofit goals (100% of goal).

budgets for different team members, if applicable. Funds awarded under RFP 2773 may not be used to support any other program, project or purposes. NYSEDA reserves the right to make adjustments to the budgets above in response to program needs and opportunities.

II. PROGRAM REQUIREMENTS

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

Tasks to be performed by the CBO must include those in Section IIA Customer Outreach Recruitment and Enrollment, and may include additional customer outreach tasks such as the examples provided in Section IIA, General Outreach and Education, Workforce Opportunities. All proposers are required to perform tasks described in Section IIB, Coordination, and IIC, Project Management and Reporting. In addition, the CBO may also propose to perform aggregation of homes, as described in Section IID Aggregation.

A. Customer Outreach

Recruitment and Enrollment tasks must include:

- Qualifying residents for free or reduced-price residential or small commercial audits.
- Prescreening homes to assess the need for energy efficiency work and the homeowner's willingness and ability to finance the work.
- Following up with prospects to determine interest, whether an audit was scheduled, or any next steps to be taken.
- Contacting prospects who plan to participate in an audit to determine potential to move project to retrofit.
- Maintaining customer lists to move customers through the process and guide customers to appropriate resources and programs.

General Outreach and Education tasks may include:

- Facilitating awareness of the GJGNY energy audit and loan programs, specifically targeting small businesses, Not-For-Profits (NFPs), residential, and multi-family building owners.
- Developing alliances with Centers of Influence (COIs) to extend the reach of the GJGNY outreach and marketing activity. COIs include organizations that serve targeted constituencies such as Small Business Development Centers, local governments, trade organizations, educational centers, community centers, religious organizations, among others.
- Conducting one-to-one "grassroots" outreach efforts.
- Identifying target areas, i.e. neighborhoods and business districts, and developing strategies for reaching them.
- Educating prospective participants on the benefits of the program.
- Providing specific program information including: a description of the audit and retrofit process, program strategies including the "comprehensive whole building" approach; a list of participating contractors; a list of financing options and incentive programs; CBO contact information for follow-up questions.
- Conducting joint meetings to introduce programs and encourage participation.

Workforce Opportunities tasks may include:

- Facilitating awareness of the various GJGNY workforce training programs, partners, and initiatives such as basic skills training, technical training, on-the-job training, apprenticeships, internships, preparation for certifications, etc.; connect students and workers to appropriate training opportunities, including on-the-job training.
- Encouraging additional contractors, including Minority- and Women-Owned Businesses (MWBE), to become

BPI Accredited to prepare for business growth opportunities delivered by GJGNY.

- Educating prospects on the benefits of participation in workforce training programs.
- Educating contractors and potential employers on the benefits and availability of the new workforce.
- Connecting trainees with contractors/employers.
- Coordinating with New York State Department of Labor (NYSDOL) Career One-Stop Centers to leverage other Federal and State training resources and identify employment opportunities.

Market Development tasks may include (ONLY for CBOs located within the five boroughs of New York City):

- Coordinate with Home Performance industry players, such as the [Building Performance Institute \(BPI\)](#), the [Building Performance Contractors Association \(BPCA\)](#) or [Efficiency First](#), to develop strategies to recruit, train and credential potential contractors, including MWBEs and non-English speaking populations.
- Develop and support novel ideas and potential pilot efforts that could advance the foundation for a sustainable home retrofit market.
- Facilitate mutually beneficial business alliances that could advance the energy efficiency industry (promoting clean energy training and placement, building working relationships with key regional and local stakeholders, etc.).
- Facilitate pilot efforts that support and encourage interest in Home Performance such as equipment leasing or purchase programs to support potential new contractors.
- Conduct targeted meetings with local contractors (Remodelers, HVAC contractors, Home Inspectors, insulation installers, Not-for-Profit groups, and general contractors) to encourage participation in the Home Performance program.
- Coordinate with Home Performance workforce development programs.

B. Coordination tasks must include:

- Coordinating with NYSERDA, the Training and Implementation contractor, Home Performance Contractors, Small Commercial Auditors, utilities, and other key program participants and stakeholders to facilitate further participation in the GJGNY program.
- Working closely with the Training and Implementation contractor to ensure that all CBO staff is appropriately trained and current on GJGNY program components, NYSERDA programs, and other related programs and processes.

C. Project Management and Reporting tasks must include:

- Developing realistic, measureable goals for recruitment of customers, as appropriate.
- Collecting, organizing, interpreting, and reporting information.
- Attending all trainings sponsored by NYSERDA regarding program information and updates.
- Submitting data to NYSERDA's on-line outreach database (SharePoint site).

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

D. Aggregation

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

An aggregation strategy must include a plan that clearly describes the rationale to support aggregation and a description of how it will be deployed, managed, and evaluated. Aggregation must provide benefits to the homeowner such as lower costs through standardized or otherwise discounted bulk pricing and a simplified participation process. Aggregation should also provide benefits to contractors by reducing costs associated with travel and marketing, allowing more efficient use of crews and materials, and providing a ready audience of potential leads. Aggregation should benefit the targeted community by creating jobs that may comply with certain standards and may be filled by residents of the community. Aggregation must complement ongoing market transformation efforts by expanding awareness, increasing education, and reaching populations not currently responding to programs.

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

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

Participation in an aggregation pilot is not required, and willingness to include aggregation will NOT factor into the general selection process for CBOs for outreach services.

Any proposal for aggregation must adhere to the following guidelines:

1) The proposal shall:

- Define “neighborhood” as it applies to “aggregating buildings within a neighborhood,” including characteristics such as the number of streets or blocks, or other characteristics that will help result in the ability to deliver the desired cost savings through proximity and volume.
- Identify the neighborhoods that will be targeted for aggregation, and the rationale for selecting those neighborhoods.
- Define the minimum and maximum number of buildings to be included in a single aggregation.
- Include protocols and procedures for the implementation and oversight of aggregation.
- Include procedures to screen homes and buildings to determine their suitability and willingness for energy efficiency services under the GJGNY program and for aggregation (Note that NYSERDA will review and may adjust any screening tool developed for use to ensure all appropriate program qualifiers are addressed).
- Include procedures to qualify the households and/or buildings for free or reduced-cost audits and discuss, at a high level, the applicant’s ability to qualify for the financing offered through the program, or to otherwise pay for services. CBOs will not qualify applicants for financing, but should determine whether the applicant is likely to qualify, and may work with the program lender to facilitate the submission of customer financing applications.
- Identify at least three contractors within their region who will agree to participate in the aggregation initiative, based on the contractor standards as described in paragraphs (2) and (3) below. A Letter of Commitment from each of the three Contractors must be attached to the proposal. Upon award of a contract to the CBO, NYSERDA will develop an Aggregation Participation Agreement based on the proposed standards and protocols that must be signed by any contractor participating in the aggregation pilot with the selected CBO. NYSERDA, or its program implementer, may conduct additional screening or “onboarding” activities with the goal of confirming a contractor’s current capacity to meet program standards and timelines; however, the CBO must agree to allow any eligible contractor serving the local region, who both agrees and demonstrates the ability to meet the standards outlined in the Aggregation

Participation Agreement, to participate in the aggregation initiative. CBOs may not apply any additional criteria for participation beyond those outlined in the Aggregation Participation Agreement.

- Describe an approach to standardized or otherwise discounted scalable pricing for aggregation. Standardized pricing will enable assignment of projects to all participating aggregation contractors in turn without the need to bid projects among contractors. Standardized pricing generally is considered to be a lower price than normally used by a contractor for single projects and may be associated with labor rates, “per-square-foot” rates, and bulk-purchase rates for materials. The nature of standardized pricing established through aggregation may be different from region to region and should be established by the proposing CBO and contractor team. CBOs may propose alternate strategies for delivering reduced costs to consumers, including percentage discounts off the combined cost of eligible measures, or other methods of delivering cost-savings to customers achieved through the aggregation approach.
 - Identify a process for assigning aggregated projects to participating contractors, and timelines for accomplishing audits, starting and completing work. Participating aggregation contractors within a region will be placed on a “wheel” for assignment of projects, meaning that each contractor has a turn at receiving projects, but must be able to begin and complete projects in a timely manner at the time of assignment. Include a process for ensuring that the audits and approved work scopes resulting from the audit are on schedule, and to notify the contractor and NYSERDA if audits and/or work have not started on time.
- 2) All contractors participating in aggregation must be participants in good standing in the relevant NYSERDA program. For example, a contractor who is intending to perform work in aggregated one-to-four family residential buildings must be participating in NYSERDA’s or Long Island Power Authority’s (LIPA) Home Performance with ENERGY STAR® program, not be on probationary status with the program, and must maintain its participation in good standing throughout the aggregation initiative. Contractors participating in LIPA’s program must agree to also become a participant in NYSERDA’s program. Contractors must have received favorable ratings through NYSERDA’s or LIPA’s Quality Assurance (QA) process, be responsive to findings of the QA process, and not have any outstanding QA findings at the time of enrollment in the aggregation model.
- 3) CBOs proposing an aggregation strategy must also include in their proposals community benefit standards to which contractors must commit by signing an Aggregation Participation Agreement with NYSERDA (upon selection of the CBO through this competitive process). The nature of the standards may include, but are not limited to:
- The contractor agrees to hire some percentage of future employees over the term of its Aggregation Participation Agreement from the local region and/or from a targeted cohort of the population. The percentage and the location and size of the “local region” will be defined by the CBO, as may the nature of targeted population cohorts, taking into consideration the characteristics of the region. Targeted hires may include individuals recruited through Green Jobs Green New York Workforce Development initiatives, individuals who have historically been underrepresented in career-oriented construction jobs, or other attributes identified by the CBO and supported by the CBO proposal.
 - The contractor commits to assist with the development of new contractors entering the business by making efforts to subcontract or refer work to those contractors, particularly MWBEs. The contractor must implement a structured training program such as contractor-sponsored classroom, on-the-job, pre-apprenticeship or apprenticeship program, to enable entry-level staff to develop and to support continued career development for employees. The training program may be in-house or in coordination with a local training or labor organization, and include certain health and safety training.
 - The contractor agrees to pay its employees at certain minimum wages for aggregation projects.
 - The contractor agrees to offer its employees certain benefits, such as health care, sick days, and vacation days.

The proposer should be very explicit in establishing the terms of the standards; however, NYSERDA reserves the right to negotiate exact terms of the standards with the selected CBO to support the development of the Aggregation Participation

Agreement and to ensure that such standards are legal and enforceable. The “pilot” nature of the aggregation initiative will enable close monitoring by NYSERDA, the CBO and its team, and adjustment over time, if needed, of the strategies and standards implemented. The goal is to develop more permanent strategies and standards for aggregations after evaluating the effectiveness of the pilot initiatives.

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

III. PROPOSAL REQUIREMENTS

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

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

Proposers must submit the appropriate number of copies of the completed proposal to the attention of Roseanne Viscusi at the address on the front of this Program Opportunity Notice/Request for Proposal. A completed and signed Proposal Checklist must be attached as the front cover of your proposal, one of which must contain an original signature. **Late proposals will be returned and proposals lacking the appropriate completed and signed Proposal Checklist may be returned. Faxed or e-mailed copies will not be accepted.**

Procurement Lobbying Requirements - State Finance Law sections 139-j and 139-k

Procurement lobbying requirements contained in State Finance Law sections 139-j and 139-k became effective on January 1, 2006. (The text of the laws is available at:

<http://www.ogs.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.

Proposals should not be excessively long or submitted in an elaborate format that includes expensive binders or graphics. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. Each page of the proposal should state the name of the proposer, the RFP number, and the page number. The proposal must be in the following format:

Section 1: Introduction and General Information (limit to 2 pages). Identify key information and include a brief narrative about:

- The proposing organization, organizational purpose and day-to-day functions, organizational structure including location of main office and any other offices in New York State.
- Additional proposing team members, if applicable. Include letters of commitment from each team member in an Appendix.
- A brief overview of the targeted communities within the region, and approach to providing services.
- Goals for customer recruitment for each of the targeted communities, broken down into six month time periods (to show expected ramp-up rate).
- Whether an aggregation strategy is included.
- A brief description of market development activities and goals, if applicable (five boroughs of New York City

only).

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

Section 2: Statement of Work (limit to 10 pages). The Statement of Work should support the Program Requirements identified in Section II.

The Statement of Work is the primary contractual document that identifies the deliverables and provides the basis for payment. It is an action document that specifically delineates each step or procedure required to accomplish the tasks outlined. The Statement of Work must be prepared as a complete set of tasks including subtasks as necessary.

The Statement of Work should address the communities and populations that will be targeted within the region and give a detailed description of how this will be done, including the specific outreach strategies that will be deployed. The proposer must establish task-based budgets.

The proposal should present concrete and specific ideas for each of the tasks, to enable NYSERDA to effectively evaluate a proposer's Statement of Work. Proposers should describe each task, how it will be performed, who will perform it, and the anticipated outcome and deliverables. Each proposer will be evaluated on how much thought and consideration is given to each aspect of this Program. Use the following format to describe each task or subtask:

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

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

Section 4: Schedule and Staff Plan (limit to 2 pages) - Include a basic timeline for completing tasks identified in the Statement of Work provided in Section 2. This timeline should show anticipated start and completion times for each task. The timeline should show the anticipated ramp-up rate for meeting proposed goals.

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

Section 5: Cost Proposal and Budget - The Contract Pricing Proposal Form (CPPF) is included as an attachment to this RFP. The proposal must include a completed CPPF for the program including a breakout of the total budget by task (including coordination, project management and reporting) in the Statement of Work. The budget must not exceed the total budget for the region, as indicated in Table 1, and must ensure that an adequate level of effort will be provided over the full contract term. Any performance incentive provided by NYSERDA (up to 15% of the total budget, pending availability of funds and to be established during contract negotiations) should not be considered part of the base budget, as there is no guarantee of payment. The amount of potential performance payments will be determined during contract negotiations, and is subject to availability of funds. Labor costs must be consistent with the staffing plan.

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

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

Provide detailed budget breakdowns (using the Supporting Schedule for the CPPF) for materials, equipment, and travel. Cost sharing is not required, but if it is a part of the proposal, it should be documented in the format below. Letters of commitment for any third parties providing cost sharing must be included in an appendix.

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

Appendices - Materials to be submitted in appendices include:

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

IV. Proposal Evaluation

Proposals that meet Proposal requirements will be reviewed by a Technical Evaluation Panel (TEP) using the Evaluation Criteria below:

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

Approach and Management Plan: Has the proposer demonstrated an understanding of the GJGNY program goals and objectives? Does the proposer present a realistic and effective plan and strategy to support the Program? Does the proposer have clear and achievable goals? Does the Statement of Work adequately address all the program tasks? Does the proposer demonstrate the ability to perform outreach in an effective and economical manner? Does the proposer clearly and concisely describe the target population to be served? Are results and deliverables clearly stated and consistent with the proposer’s activities? Is their sufficient staffing to implement the program? Is the project organization, including the staffing plan and schedule, clear and well-defined? Does the plan include a strategy for coordination and interaction with all of the relevant parties, including NYSERDA, key stakeholders, training partners and contractors, utilities, and various regional organizations? Are the program management/implementation plan and time line complete and does it include specific activities, target dates for completion, collaborative agencies, and responsible personnel? Does the team have the capability to adequately track, monitor, and report program activities?

Relevant Experience and Qualifications: Does the team have experience implementing programs that deal with affordable housing and workforce development? Is the proposed staffing plan and the qualifications, experience, and time

commitment of staff appropriate and adequate for implementation of the program? Does the project lead, responsible for oversight of the program, have the commitment, skill set, and managerial experience to ensure successful completion of the program? Does the proposer demonstrate familiarity with the programs offered through GJGNY?

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

Other: Is the proposal well-organized, well-written, and complete? How well does the Proposer make any particularly creative suggestions or ideas to achieve the goals of this RFP? Are there any suggestions that broaden or deepen the scope of this RFP that might not have been requested? Does the proposal include areas for collaboration with other organizations?

Approximately 70% of the points will be given for the proposed outreach approach, management plan, and experience conducting outreach.

IV. GENERAL CONDITIONS

Proprietary Information - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" 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://nyserda.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 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 8-10 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

Attachment B - Disclosure of Prior Findings of Non- Responsibility

Attachment C - CPPF and Instructions

Attachment D - Intent to Propose
Attachment E - CBO Eligibility and supporting documentation
Attachment F - Sample Agreement
Attachment G - Historical Home Performance with ENERGY STAR Program data
