Appendix I
Proposal Submission Guide

This appendix provides submission instructions for the T4RFP21-1 ("the RFP") Proposal Submissions.

This RFP requires two separate submissions from Proposers:

The **Step One Eligibility Application** must be submitted through the Step One Eligibility Application form, which is on NYSERDA’s Seamless interface. Instructions for completing the Step One Eligibility Application are provided in Sections 6.1 through 6.7 of the RFP. **Step One Eligibility Applications must be submitted through NYSERDA’s [On-Line Application](#)** and are due on February 16, 2021 by 3:00 p.m. ET.

**Step Two Proposals** will be submitted on NYSERDA’s Salesforce Portal. **Step Two Proposals must be submitted through NYSERDA’s [Tier 4 portal](#)** between April 30 and May 12th, 2021 at 3:00 p.m. ET. Incomplete application submissions will be locked after 3 p.m. ET.

It is recommended that Proposers set aside ample time, well in advance of the deadline, to gather the required information and documentation and to understand the requirements for both steps of the Proposal submission.

For additional help during the Step One Eligibility Application and Step Two Proposal process, please contact the Designated Contacts at res@nyserda.ny.gov.

**Important Reminders before Applying**

- Visit [NYSERDA’s Tier 4 website](#) to review the Tier 4 program. All relevant documents pertaining to this RFP are available on this site. Proposers are advised to check this website regularly for updates including any changes to dates, links, etc.
- For the Step One Eligibility Application, review the requirements in Section 6 of the RFP.
- For the Step Two Proposal, review the Instructions to Proposers, Section 7 of the RFP, to determine applicable files that must be submitted.
- When uploading required documentation, please use the standard naming convention detailed in Section 1.5.3 of this Appendix I.
- The electronic application systems for the Step One Eligibility Application and the Step Two Proposal close promptly at 3 p.m. ET on their respective deadlines. Incomplete submissions will be locked after 3 p.m. ET.
- Incomplete submissions may be subject to disqualification. The Proposer is responsible for ensuring that all required documentation has been included in the submissions.
I.1 T4RFP21-1 Webinar

NYSERDA will host a webinar on the RFP and the application process for potential Proposers on January 28, 2021, at 10:00 a.m. (EST). The webinar will cover topics and questions related to both Step One Eligibility Application and Step Two Proposals. Pre-registration for this webinar is not required. Proposers are encouraged to submit questions prior to the webinar via email to res@nyserda.ny.gov and during the Proposers’ webinar using the built-in Q&A feature. Written responses will be posted to the NYSERDA’s Tier 4 website and will supersede any oral responses given by NYSERDA during the Proposers’ webinar.

I.2 Notice of Intent to Propose

Prospective Proposers are encouraged but not required to submit a Notice of Intent to Propose, which is attached as Appendix A to the RFP. NYSERDA will email updates regarding this RFP to prospective Proposers who submit a Notice of Intent to Propose. This does not relieve prospective Proposers of their responsibility to check NYSERDA’s Tier 4 website for news and updates. Prospective Proposers who submit a Notice of Intent to Propose are not obligated to submit either a Step One Eligibility Application or a Step Two Proposal. Step One Eligibility Applications and Step Two Proposals will be accepted from parties who do not submit a Notice of Intent to Propose. The Notice of Intent to Propose form should be sent to res@nyserda.ny.gov by the date indicated in Section 1.3 of the RFP using the subject line: “T4RFP21-1 Notice of Intent to Propose.”

I.3 Step One Eligibility Application

The Step One Eligibility Application utilizes NYSERDA’s Seamless interface. Appendix B of the RFP is a copy of the Step One Eligibility Application for reference only. The Step One Eligibility Application, including hydropower baseline data, must be completed and submitted electronically online through the Step One Eligibility Application before the deadline. Responses provided through any other means will not be accepted.

As part of the Step One Eligibility Application, Proposers must complete and upload the Project Resources Form, which is provided as Appendix C of the RFP and also on the Seamless interface.

Proposers who are proposing Resources that include hydropower must complete and upload the Hydropower Data Form, which is provided as Appendix D of the RFP and also on the Seamless interface.

All other information required for Step One, including Parts A, B, C, D.1, D.2, and the Proposer Certification must be submitted electronically through the Seamless interface. All fields marked with an asterisk are required.

I.4 Step Two Proposal Submission Process

I.4.1 Accessing the NYSERDA Portal

The Step Two Proposal utilizes the NYSERDA Portal (Salesforce Platform) for the aggregation of application materials. The NYSERDA Portal is a centralized contact point that leverages NYSERDA’s
Salesforce application to allow users to enter application details and upload any supporting documentation. Before beginning a Proposal, a NYSERDA Portal account must first be created.

I.4.2 Creating a NYSERDA Portal Account

Proposers must register to create NYSERDA Portal account and profile between April 14 and May 10, 2021 at 3:00 p.m. ET. The link to request a new NYSERDA Portal account, or to request access to the Tier 4 Step Two Proposal application for your existing NYSERDA Portal Account, will be available at the Tier 4 website on April 14th. **This link will not be open prior to April 14, 2021.**

If you have an existing NYSERDA Portal account as a result of participating in a prior NYSERDA solicitation, it is not necessary to create a new account.

1. Complete the fields under the “Company Information” and “Contact Information” headings. All fields with an asterisk are required.
2. Click “CREATE” to register an account.
3. A message will indicate that the account has been registered successfully, and that a message will be sent to the email provided to set up a password. Proposers that have previously registered an account with NYSERDA may receive a message indicating that the account registration is being reviewed by NYSERDA. If this occurs, the Proposer will be contacted with a follow-up message indicating that the account has been approved within one business day. ¹
4. Navigate to the registered email account and locate the NYSERDA application portal message. Click the hyperlink in the message to open the “Change Your Password” page.
5. Enter a new password that contains at least:
   a. Fifteen characters
   b. One letter
   c. One number
6. Confirm the new password and click “Change Password” to open the NYSERDA Portal.

Starting a Proposal

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¹ Please contact res@nyserda.ny.gov if NYSERDA does not follow-up within one business day of the original request.
The NYSERDA Portal allows for Proposal submission through a five-step process. Each step in the application relies on the previous step. Proposers cannot advance without completing the current step (the “CONTINUE” button will be disabled until each step is complete). However, Proposers can return to and edit completed steps at any time prior to the Deadline for Submission of Proposals. To navigate among the completed steps, click “PREVIOUS” to move backward and “CONTINUE” to move forward or click the grey check-marked boxes to skip back or forward to a completed step (shown below). Also, keep in mind that clicking “SAVE” will only save current progress and will not move onward to the next step.

Finally, keep in mind that all application fields, menus, checkboxes, etc. with a red asterisk are required.

**I.4.3 Step 1 of 5: Proposer Contact Information**

This page allows for contact information to be collected from the Proposer.

Click “ADD A CONTACT” to add additional contacts. This will open a pop-up window to enter the appropriate contact details.
Please leave the “Alternate Party” field at the top of the “Edit Contact” window unchecked. Click “SAVE CHANGES” at the bottom of the window to add the contact and save it to the project record.

Proposers should add all contacts that it wishes to receive email updates from NYSERDA. Multiple contacts may be added but a single contact must be deemed the “Primary Contact” before proceeding to Step 2.
The portal user’s information may be pre-populated on the Contact Information Page at initial login. If this should be the Primary Contact on the proposal, click the “Edit” button next to the Contact and check the “Primary Contact” box as shown above.

I.4.4 Step 2 of 5: Proposal Information and Mandatory Questions and Disclosures

On Step 2 of 5, Proposers must provide information about the Proposal and answer checklist questions and questions regarding the disclosure of prior findings of non-responsibility. Where indicated, if applicable, provide additional information. If additional information is required beyond the forms available, please upload this in Step 3 of 5 in the “Other Documents” section.

The name of the Proposal should be entered as the Proposal Title.

Under Proposer Company Information please provide the name of the Proposer and all additional Project team members.

Select ‘A’ as the Proposed Proposal Category.
Purchase of New York Tier 4 Eligible Renewable Energy Certificates (REC) 

Proposal Information (Step 2 of 5)

* Indicates required field
Describe the project you are proposing.

Proposed Information

Proposal Title *
Name of Tier 4 Proposal

Proposed Proposal Category *
A

Proposer Company Information *

Proposal Description *

Purchase of Tier 4 Renewable Energy Certificates

Proposal Information (Step 2 of 5)

* Indicates required field
Describe the project you are proposing.

In the "Proposer Company Information" field, provide the name of the local government.
In the "Proposal Description" field, please provide a 2-3 sentence description of the proposed project.

Proposed Information

Proposal Title *
Name of Tier 4 Project

Proposed Proposal Category *
Renewable Energy Standard

Proposer Company Information *

Proposal Description *

Please provide a 2-3 sentence description of the proposed project.
1.4.5 Step 3 of 5: Documentation Attachments

In Step 3 of 5, upload of all required documents associated with the Proposal submission. The following documents must be submitted, as described in the relevant RFP Sections:

1. Master Offers Form. See RFP Section 7.4 and Appendix F-1.
2. Offer Data Form. See RFP Section 7.5 and Appendix F-2. One Offer Data Form must be submitted under “Required Documents.” If more than one Offer Data Form is submitted corresponding to alternative Projects, the additional Offer Data Form(s) must be uploaded in the “Other Documents” section.
3. Proposal Narrative. See RFP Section 7.6. Submit a complete, unredacted version and a public version. The public version of the Proposal Narrative must include descriptive information on all categories described in Section 7.6 of the RFP. The confidential version of the Proposal will be treated as confidential and sensitive information by the Scoring Committee, subject to the treatment of confidential information discussed in Section 1.14 and 10.1 of the RFP.
4. Resource Data File. For each Resource, provide 12 x 24 P(50) matrix of energy deliveries at the Resources’ Injection Point, as described in RFP Section 7.6.8. One Resource Data file as an Excel workbook must be uploaded under “Required Documents.” Energy deliveries for each Resource must be on a separate worksheet in a single Excel workbook. This Resource Data file should correspond to the Project and Resources listed in the Offer Data Form that is uploaded under “Required Documents.”
5. Step Two Proposal Certification Form. See Appendix H.

Optional and other required documents must be provided in the Other Documents section:

1. Additional Offer Data Forms corresponding to additional Projects must be uploaded to the Other Documents section. For each additional Offer Data Form, a corresponding Resource Data file must also be uploaded in the Other Documents section.
2. If a Proposer is required to submit a Required Alternate Bid, as described in RFP Section 2.3, the unredacted version of the Proposal Narrative, the public version of the Proposal Narrative, the Offer Data Form, and Resource Data file corresponding to the Required Alternate Bid must be uploaded in the Other Documents Section.
3. A P(50) 8760 schedule of aggregate Zone J energy deliveries to supplement the 12 x 24 delivery schedule provided in the Offer Data Form(s), Delivery worksheet. See RFP Section 7.6.14.
5. Other supporting attachments, should be attached in the Other Documents section.
### Purchase of New York Tier 4 Eligible Renewable Energy Certificates (REC's)

#### Proposal Documents (Step 3 of 5)

**Required Documents**

<table>
<thead>
<tr>
<th>Document Name</th>
<th>Add / Update Document</th>
<th>Recent Uploaded Document</th>
<th>Uploaded History</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>Appendix F-1 - Master Offers Data Form *</td>
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<td></td>
</tr>
<tr>
<td>Appendix F-2 - Offer Data Form *</td>
<td>Choose File</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Appendix H - Proposal Certification Form *</td>
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<td></td>
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<tr>
<td>Narrative - Confidential *</td>
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<tr>
<td>Narrative - Public *</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Resource Data File *</td>
<td>Choose File</td>
<td>No file chosen</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Other Documents**

<table>
<thead>
<tr>
<th>Document Name</th>
<th>Add / Update Document</th>
<th>Recent Uploaded Document</th>
<th>Uploaded History</th>
<th>Status</th>
<th>Remove</th>
</tr>
</thead>
<tbody>
<tr>
<td>Proof of Provision of Proposal Fee</td>
<td>Choose File</td>
<td>No file chosen</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

[ADD ANOTHER DOCUMENT]
The required and optional document types are listed in the table below, along with the required naming convention of each. The “ProposerID” is specified in Part I Cell F8 (default) or Cell F9 (Proposer-specified) of the Master Offers Form. The “ProjectName” is specified in Part II Cells E14:E23 of the Master Offers Form. The “ProjectName” refers to the Project associated with the Resource Data File.

<table>
<thead>
<tr>
<th>Document Type</th>
<th>Naming Convention</th>
</tr>
</thead>
<tbody>
<tr>
<td>Master Offers Form</td>
<td>ProposerID_MasterOffersForm</td>
</tr>
<tr>
<td>Offer Data Form(s)</td>
<td>ProposerID_OfferDataForm_BidID²</td>
</tr>
<tr>
<td>Confidential Proposal Narrative</td>
<td>ProposerID_ConfidentialProposalNarrative</td>
</tr>
<tr>
<td>Public Proposal Narrative</td>
<td>ProposerID_PublicProposalNarrative</td>
</tr>
<tr>
<td>Resource Data file(s)</td>
<td>ProposerID_ResourceData_ProjectName</td>
</tr>
<tr>
<td>Step Two Proposal Certification Form</td>
<td>ProposerID_ProposerCertificationForm</td>
</tr>
<tr>
<td>8760 schedule of aggregate Zone J energy deliveries</td>
<td>ProposerID_8760Schedule_ProjectName</td>
</tr>
<tr>
<td>Redline Tier 4 Standard Form</td>
<td>ProposerID_AgreementRedline_ProposerText</td>
</tr>
<tr>
<td>Purchase and Sale Agreement (Optional)</td>
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<tr>
<td>Supporting Attachments (Optional)</td>
<td>ProposerID_Attachment_ProposerText</td>
</tr>
<tr>
<td>Proof of Proposal Fee</td>
<td>ProposerID_Proposal Fee</td>
</tr>
</tbody>
</table>

All uploaded files must be less than 100 MB each. Each file should be uploaded and saved one at a time. All narrative files must be searchable PDFs. The Master Offers Form, Offer Data Form(s), and Resource Data must be XLSX files. Allowed file types for upload include: CSV, DOC, DOCX, GIF, JPEG, JPG, KML, PDF, PNG, PPS, PPSX, PPT, PPTX, SHP, TIF, TXT, XLSM, XLSX, XLS, and ZIP.

**I.4.6 Step 4 of 5: Application Review**

Step 4 of 5 is the final application page and allows Proposers to review and certify their Proposals. The details provided on each page of the previous four steps are provided for the Proposer to examine. If there are any errors, update the information by navigating back to the appropriate step. Step 4 of 5 also includes the Certification statement that must be checked prior to proceeding.

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² The BidID is automatically generated in the Master Offers Form.
To quickly navigate to a previous step, click the corresponding step on the progress indicator located at the top right of the record.

**I.4.7 Step 5 of 5: Proposal Submission**

Press the “SUBMIT” button to submit your proposal.
I.5 Editing Submitted Proposals

You can edit Proposals prior to 3 p.m. ET on May 12, 2021 (Deadline for Submission of Proposals). To do so:

- Login with your NYSERDA Portal username and password credentials.
- You will be asked if you would like to edit or create a new submission. If editing a Proposal, click the edit link and proceed through the submission process as noted in the steps above. You do not need to click “SUBMIT” again if the Proposal had already been submitted. Information will be saved and submitted as each page is saved.

Please contact the Designated Contacts at res@nyserda.ny.gov if you have questions.