



**ANDREW M. CUOMO**  
Governor

**NYSERDA**

**RICHARD L. KAUFFMAN**  
Chair

**ALICIA BARTON**  
President and CEO

**NOTICE OF MEETING AND AGENDA**

April 16, 2019

TO THE GUESTS OF THE NEW YORK STATE ENERGY RESEARCH AND DEVELOPMENT AUTHORITY:

PLEASE TAKE NOTICE that a regular (the 242<sup>nd</sup>) meeting of the New York State Energy Research and Development Authority (“Authority”) will be held at the office of the New York State Dormitory Authority (“DASNY”), One Penn Plaza, 52<sup>nd</sup> Floor, New York, New York, and in the Authority’s Albany Office at 17 Columbia Circle, Albany, New York, on Tuesday, April 30, 2019, commencing at 1:30 p.m., for the following purposes:

1. To receive a report from the Governance Committee:
  - a. to consider and act upon a resolution approving revisions to the Authority’s Whistleblower Policy;
  - b. to consider and act upon a motion to enter into private session for the purpose of reviewing the results of the Annual Confidential Board Member Performance Evaluation; and
  - c. to consider and act upon a resolution approving of the Annual Confidential Board Member Performance Evaluation Report.
2. To receive a report from the Audit and Finance Committee.
3. To receive a report from the Program Planning Committee.
4. To consider and act upon a resolution approving the Committee Charters.
5. To consider and act upon a resolution approving a periodic contracts report.
6. To consider and act upon a resolution appointing members to various Committees.
7. To receive a status report on New York Green Bank.
8. To receive a report on one of the Authority’s Programs.
9. To transact such other business as may properly come before the meeting.

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**New York State Energy Research and Development Authority**

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**West Valley Site  
Management Program**  
9030-B Route 219  
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Members of the public may attend the meeting at either of the above locations. In order to expedite the entry procedures established by the building management, any members of the public planning to attend the meeting at DASNY's office should notify DASNY's receptionist at 212-273-5000, 24 hours in advance of the meeting, and must be prepared to show valid photo identification upon arrival at One Penn Plaza.

Video conferencing will be used at both locations and the Authority will be posting a video of the meeting to the web within a reasonable time after the meeting. The video will be posted at <http://www.nyserda.ny.gov/About/Board-Governance/Board-and-Committee-Meetings>.



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Noah C. Shaw  
Secretary

**GOVERNANCE  
COMMITTEE  
ORAL REPORT**

## APPENDIX C

### WHISTLE BLOWER POLICY

April ~~2012~~2019

#### PURPOSE

It is the policy of NYSERDA to afford certain protections to individuals who, in good faith, report violations of NYSERDA's Code of ~~Ethics-Conduct~~ or other instances of potential wrongdoing within NYSERDA. The Whistleblower Policy and Procedures set forth below are intended to encourage and enable employees to raise concerns in good faith within NYSERDA and without fear of retaliation or adverse employment action.

#### DEFINITIONS

**Good Faith:** Information concerning potential wrongdoing is disclosed in "good faith" when the individual making the disclosure reasonably believes such information to be true and reasonably believes that the information constitutes potential wrongdoing.

**NYSERDA Employee:** All NYSERDA board members, officers, and staff whether full-time, part-time, employed pursuant to contract, employees on probation, and temporary employees.

**Personnel action:** Any action affecting compensation, appointment, promotion, transfer, assignment, reassignment, reinstatement, or evaluation of performance.

**Whistleblower:** Any NYSERDA Employee who in good faith discloses information concerning wrongdoing by another NYSERDA Employee, or wrongdoing concerning the business of NYSERDA itself.

**Wrongdoing:** Any alleged corruption, fraud, criminal or unethical activity, misconduct, waste, conflict of interest, intentional reporting of false or misleading information, or abuse of authority engaged in by a NYSERDA Employee that relates to NYSERDA.

#### SECTION I: REPORTING WRONGDOING

All NYSERDA Employees who discover or have knowledge of potential Wrongdoing concerning board members, officers, or employees of NYSERDA; or a person having business dealings with NYSERDA; or concerning NYSERDA itself, shall report such activity in accordance with the following procedures:

a) All NYSERDA Employees who discover or have knowledge of Wrongdoing shall report such Wrongdoing in a prompt and timely manner.

b) The NYSERDA Employee shall disclose any information concerning Wrongdoing either orally or in a written report to his or her supervisor, or to the Director of Internal Audit, an Officer, any member of Counsel's Office, an independent Fraud and Abuse Hotline service available to NYSERDA employees, the Ethics Officer, or a representative from human resources.

c) The identity of the whistleblower and the substance of his or her allegations will be kept confidential to the maximum extent possible.

d) Upon receipt of an allegation of Wrongdoing, the individual to whom the potential Wrongdoing is reported shall notify the General Counsel, and the General Counsel shall determine who will conduct the investigation. All claims or reporting of Wrongdoing will be thoroughly investigated by NYSERDA under the direction and supervision of the Office of the General Counsel, unless the General Counsel refers the investigation to the Office of the Inspector General, Authorities Budget Office or other outside governmental authority to investigate. Once the investigation is complete, the General Counsel or the individual who conducted the investigation shall provide to the President and CEO and the Director of Internal Audit a summary report, which shall include the findings of the investigation and a recommendation for resolving the matter. The Director of Internal Audit shall advise the Audit and Finance Committee at its next regularly scheduled meeting of any material or significant weaknesses or deviations identified in such report. Should the findings of such investigation(s) reveal substantiated claims of Wrongdoing, NYSERDA shall take appropriate action, which may include referral to the Inspector General's Office, referral to the Members for recommended action requiring Member approval, or referral to NYSERDA's President and CEO for recommended disciplinary or administrative action.

e) The individual to whom the potential Wrongdoing is reported may refer such information to the Authorities Budget Office or an appropriate law enforcement agency where applicable.

f) Allegations of corruption, fraud, criminal activity, conflicts of interest or abuse by a NYSERDA Employee or any persons having business dealings with NYSERDA must be reported to the State Inspector General.

g) All NYSERDA Employees shall cooperate fully with internal investigations and investigations by the State Inspector General pertaining to NYSERDA operations.

h) All reports and draft reports delivered to NYSERDA by the State Inspector General shall be reviewed by the Audit and Finance Committee, which shall serve as the point of contact on such reports.

i) Should a NYSERDA Employee believe in good faith that disclosing information within NYSERDA pursuant to Section 1(a) above would likely subject him or her to adverse personnel action or be wholly ineffective, the NYSERDA Employee may instead disclose the information to the Authorities Budget Office or an appropriate law enforcement agency, if applicable. The Authorities Budget Office's toll free number (1-800-560-1770) should be used in such circumstances.

## SECTION II: NO RETALIATION OR INTERFERENCE

No NYSERDA Employee shall retaliate against any Whistleblower for the disclosure of potential Wrongdoing, whether through threat, coercion, or abuse of authority; and, no NYSERDA Employee shall interfere with the right of any other NYSERDA Employee by any improper means aimed at deterring disclosure of potential Wrongdoing. Any attempts at retaliation or interference are strictly prohibited. In addition:

a) No NYSERDA Employee who in good faith discloses potential violations of the NYSERDA Code of Conduct or other instances of potential Wrongdoing, shall suffer harassment, retaliation or adverse personnel action as a result of such disclosure.

b) All allegations of retaliation against a Whistleblower or interference with an individual seeking to disclose potential Wrongdoing shall be thoroughly investigated by NYSERDA.

c) Any NYSERDA Employee who retaliates against or attempts to interfere with any individual for

disclosing or attempting to disclose potential violations of the NYSERDA Code of Conduct or other instances of potential Wrongdoing is subject to discipline, which may include termination of employment.

d) Any allegation of retaliation or interference will be taken and treated seriously and irrespective of the outcome of the initial complaint, such allegation will be treated as a separate matter.

### SECTION III: OTHER LEGAL RIGHTS NOT IMPAIRED

The Whistleblower Policy and Procedures set forth herein are not intended to limit, diminish, or impair any other rights or remedies that an individual may have under the law with respect to disclosing potential Wrongdoing free from retaliation or adverse personnel action.

a) Specifically, these Whistleblower Policy and Procedures are not intended to limit any rights or remedies that an individual may have under the laws of the State of New York, including but not limited to the following provisions: Civil Service Law § 75-b, Labor Law § 740, State Finance Law § 191 (commonly known as the “False Claims Act”), and Executive Law § 55(1).

b) With respect to any rights or remedies that an individual may have pursuant to Civil Service Law § 75- b or Labor Law § 740, any NYSERDA Employee who wishes to preserve such rights shall prior to disclosing information to a government body, have made a good faith effort to provide the appointing authority or his or her designee the information to be disclosed and shall provide the appointing authority or designee a reasonable time to take appropriate action unless there is imminent and serious danger to public health or safety. (See Civil Service Law § 75-b[2][b]; Labor Law § 740[3])

Resolution No. \_\_\_\_

RESOLVED, that the amendments to the Authority's Whistleblower Policy presented at this April 30, 2019 meeting are hereby approved and adopted.

**PRIVATE SESSION**



Resolution No. \_\_\_\_\_

RESOLVED, that pursuant to Section 108 of the Public Officers Law and Section 2800 of the Public Authorities Law, the Members shall convene in private session on April 30, 2019 for the purpose of reviewing the Annual Confidential Board Member Performance Evaluation of the Authority.

ORAL REPORT  
AUDIT & FINANCE  
COMMITTEE

ORAL REPORT  
PROGRAM PLANNING  
COMMITTEE

# **AUDIT AND FINANCE COMMITTEE CHARTER**

**Established September 18, 1980**

## **Purposes**

Pursuant to Article V, Section 5, of the Authority's By-laws, the purposes of the Audit and Finance Committee are to recommend the hiring of a certified independent auditing firm, including the compensation to be paid, and provide direct oversight of the performance of the independent audit performed; review the annual financial statements of the Authority prior to submission for approval to the Members of the Authority; and may examine and consider such other matters in relation to the internal and external audit of the Authority's accounts, the Authority's financings, and in relation to the financial affairs of the Authority and its accounts as the Audit and Finance Committee may determine to be desirable.

## **Powers of the Committee**

The Committee will:

- recommend appointment, including compensation, and oversee the work, of the independent auditors and, as appropriate, any other public accounting firm employed by the Authority;
- conduct or authorize investigations into any matters within its scope of responsibility;
- seek any information it requires from Authority employees; and
- meet with Authority staff and independent auditors, as necessary.

The Committee shall have sufficient resources to carry out its duties.

## **Composition of Committee and Selection of Members**

The Committee shall be established as set forth in and pursuant to Article V, Section 5, of the Authority's By-laws. The Committee shall be a standing advisory committee of the Authority. The Committee shall have not fewer than three nor more than six Members. The Committee shall consist of not less than three independent Members who shall constitute a majority on the Committee and who shall possess the necessary skills to understand the duties and function of the Committee, provided however, that in the event that there are less than three independent Members, the Members may appoint non-independent Members, provided that the independent Members constitute a majority of the Members of the Committee. In addition, the membership of

the Committee shall include the Chair of the Authority who shall serve ex-officio and who shall enjoy all the rights and privileges of membership, including the right to vote. A majority of the members of the Committee then in office, not including the Chair of the Authority, gathered together in the presence of each other or through the use of videoconferencing, shall constitute a quorum, and the Chair of the Authority if present shall be counted toward a quorum.

The Members of the Authority will appoint the Chair of the Committee.

Committee members shall be familiar with corporate financial and accounting practices and at least one should be a financial expert. The financial expert should have: (a) an understanding of generally accepted accounting principles and financial statements; (b) experience in preparing or auditing financial statements of comparable entities; (c) experience in applying such principles in connection with the accounting for estimates, accruals and reserves; (d) experience with internal accounting controls; and (e) an understanding of audit committee functions.

### **Meetings**

The Committee will meet, as necessary, and special meetings may be called in accordance with the Bylaws. Members of the Committee are expected to attend each committee meeting, in person or by video conference. The Committee may invite other individuals to attend meetings and provide pertinent information, as necessary.

The Committee will meet with the independent auditor at least annually to discuss the financial statements of the Authority.

Notices of meetings will be prepared in accordance with the By-laws and agendas and briefing materials will be prepared and provided to the Committee members. To the extent practicable, briefing materials will be provided to the Committee members not less than 5 business days prior to each meeting. Minutes of each meeting will be maintained in a central location at the Authority's principal office.

Meetings will be conducted in accordance with the open meetings law.

### **Responsibilities**

The Committee will be responsible for reporting on significant material matters related to its: (a) oversight of the independent auditors and financial statements; (b) oversight of internal audit activities; (c) oversight of management's internal controls, compliance, and risk assessment practices; (d) review and approval or recommendations concerning approval of Authority financings; (e) review and recommendations concerning approval of investments and investment activities; (f) oversight of special investigations and whistle blower policies; and (g) review or

oversight of any other issues related to the audit and finance practices of the Authority as it deems appropriate.

*Independent Auditors and Financial Statements.* The Committee will:

- recommend appointment and approval of compensation and oversee independent auditors retained by the Authority and approve all audit services provided by the independent auditor;
- review the procedures for the selection of the independent auditor to ensure compliance with procurement guidelines, internal controls, and any other applicable requirements. The independent auditors will be prohibited from providing non-audit services unless having received previous written approval from the Committee (Non-audit services include tasks that directly support operations, such as bookkeeping or other services related to the accounting records or financial statements of the Authority, financial information systems design and implementation, appraisal or valuation services, actuarial services, investment banking services, and other tasks that may involve performing management functions or making management decisions);
- review audited financial statements and the associated management letter, and report on internal controls and all other auditor communications;
- review significant accounting and reporting issues, new accounting requirements and understand their impact on the financial statements;
- meet with the independent audit firm and discuss any significant issues that may have surfaced during the course of the audit; and
- review and discuss any significant risks reported in the independent audit findings and recommendations and assess the responsiveness and timeliness of management's follow-up activities.

*Internal Audit and Other Activities.* The Committee will:

- approve the Internal Audit Section of the Internal Control Manual and the risk-based audit plan on an annual basis;
- provide input to the Director of Internal Audit on the internal audit function's budget and resource plan;
- review with management and the Director of Internal Audit, the audit plans and

activities of the internal audit function.

- approve significant changes to the risk-based audit plan;
- receive communications from the Director of Internal Audit regarding internal audit's performance related to the audit plan and other matters;
- approve the appointment or removal of the Director of Internal Audit;
- ensure that the internal audit function is organizationally independent from operations and that the Director of Internal Audit confirms, at least annually, the organizational independence of the internal audit activity;
- make appropriate inquiries of management and the Director of Internal Audit to determine whether there are inappropriate scope or resource limitations;
- review the internal audit function's conformance with the Institute of Internal Auditors' International Professional Practices Framework, including the Definition of Internal Auditing, the Core Principles for the Professional Practice of Internal Auditing, the Code of Ethics, and the *International Standards for the Professional Practice of Internal Auditing* (the *Standards*), and action plans to address any significant conformance issues;
- as permitted by law, meet separately with the Director of Internal Audit to discuss any matters that the Audit and Finance Committee or the Director of Internal Audit believes should be discussed privately;
- review the results of audit activities and approve procedures for implementing accepted recommendations of the internal auditor; and
- review the results of audits performed by the Office of the State Comptroller and any other federal or State agencies, and procedures for implementing accepted recommendations of the audit.

*Internal Controls, Compliance, and Risk Assessment Practices.* The Committee will:

- review internal controls policies and procedures; and
- review annually management's assessment of the effectiveness of internal controls; and review the report on compliance with internal controls by the independent auditors as a part of the financial audit engagement.

Authority Financings. The Committee will:

- review and approve declarations of intent;
- review Authority financings;
- review and make recommendations concerning proposals for issuance of debt; and
- review and make recommendations concerning approval of an annual bond sale report.

Investment Activities. The Committee will:

- require the Authority's independent auditors to perform a review of, and issue a report on, the Authority's compliance with Section 201.3 of Title Two of the New York Codes, Rules, and Regulations, under *Government Auditing Standards* issued by the Comptroller General of the United States;
- review the quarterly, annual, and any other periodic investment reports, and recommend to the Members of the Authority such changes in the annual investment report as it deems necessary or appropriate; and
- review not less frequently than annually the Investment Guidelines, and recommend to the Members of the Authority such changes in the Investment Guidelines as it deems necessary or appropriate.

Special Investigations. The Committee will:

- ensure availability of an appropriate confidential mechanism for individuals to report suspected fraudulent activities, allegations of corruption, fraud, criminal activity, conflicts of interest or abuse by the directors, officers, or employees and any persons having business dealings with the Authority, and breaches of internal control;
- review and recommend approval of procedures for the receipt, retention, investigation and referral of complaints concerning accounting, internal controls, and auditing to the appropriate body;
- request and oversee special investigations as needed and refer specific issues to the appropriate body for further investigation; and
- review all reports delivered to it by the Inspector General and serve as a point of



contact with the Inspector General.

Other Responsibilities. The Committee will:

- report significant material issues to the Members;
- obtain information and assess training needs to enhance the Committee members' understanding of the role of internal audits and the independent auditor, the risk management process, internal controls, and familiarity with financial reporting standards;
- review the Committee's charter, reassess its adequacy, and recommend proposed changes, as it deems appropriate; and
- review and make recommendations concerning approval of the annual report required by the Public Authorities Law and such other guidelines, policies, procedures, and reports, as deemed appropriate.

# **GOVERNANCE COMMITTEE CHARTER**

**Established April 3, 2006**

## **Purposes**

Pursuant to Article V, Section 7 of the Authority's By-laws, the purposes of the Committee are to: keep the Members informed of current best practices of corporate governance, review and advise on corporate governance trends, update the Authority's corporate governance principles, as necessary, and advise appointing authorities on the skills and qualifications required of Members.

## **Powers of the Committee**

The Committee will:

- develop qualifications applicable to Members;
- meet with and obtain advice and assistance from Authority staff, including in-house counsel, and any other persons having special competencies, including legal, accounting or other consultants as the Committee deems necessary to fulfill its responsibilities;
- retain, at the Authority's expense, such outside counsel, experts and other advisors as the Committee may deem appropriate, as approved by the Members;
- conduct or authorize investigations into any matters within its scope of responsibility; and
- seek any assistance it requires from Authority employees.

The Committee shall have sufficient resources to carry out its duties.

## **Composition and Selection**

The Committee shall be established as set forth in and pursuant to Article V, Section 7 of the Authority's By-laws. The Committee shall be a standing advisory committee of the Authority. The Committee shall have not fewer than three nor more than six Members. The Committee shall consist of not less than three independent Members who shall constitute a majority on the Committee and who shall possess the necessary skills to understand the duties and function of the Committee, provided, however, that in the event that there are less than three independent Members, the Members may appoint non-independent Members,

provided that the independent Members constitute a majority of the Members of the Committee. In addition, the membership of the Committee shall include the Chair of the Authority who shall serve ex-officio and who shall enjoy all the rights and privileges of membership, including the right to vote. A majority of the members of the Committee then in office, not including the Chair of the Authority, gathered together in the presence of each other or through the use of videoconferencing, shall constitute a quorum, and the Chair of the Authority if present shall be counted toward a quorum.

The Members of the Authority will appoint the Chair of the Committee.

To the extent practicable, Committee members should be familiar with matters pertaining to governance, as it relates to public authorities and comparable corporations.

### **Meetings**

The Committee will meet, as necessary, and special meetings may be called in accordance with the By-laws. Members of the Committee are expected to attend each committee meeting, in person or by video conference. The Committee may invite other individuals to attend meetings and provide pertinent information, as necessary.

The Committee will meet at least annually to discuss the developments in the area of good governance principles and practices, including enactment of legislation that may affect governance.

Notices of meetings will be prepared in accordance with the By-laws and agendas and briefing materials will be prepared and provided to the Committee members. To the extent practicable, briefing materials will be provided to the Committee members not less than 5 business days prior to each meeting. Minutes of each meeting will be maintained in a central location at the Authority's principal office.

Meetings shall be conducted in accordance with the open meetings law.

### **Responsibilities**

The Committee will be responsible for reporting to the Members on significant and material matters related to: (a) identifying individuals qualified to become Members of the Authority, consistent with the qualifications established in its enabling statute and any other established criteria; (b) developing, reviewing, monitoring, and re-evaluating the Authority's governance principles and practices and, when appropriate, recommending changes to such principles and practices; (c) reviewing ethics standards and whistle blower protections; (d) developing and recommending performance criteria and an evaluation process to be used in

evaluating the Board's functioning as a whole and coordinating and overseeing such evaluation; and (e) performing such other functions as may be assigned.

Identifying Member Qualifications. The Committee will:

- consistent with the Authority's governance principles and the statutory requirements for Members, evaluate the needs of the Board to determine the qualifications of individuals suited to enhance the composition of the Board;
- assist in attracting candidates who meet Member qualifications and review the qualifications of persons identified to the Committee as prospective members of the various Authority committees and of the Board, as requested; and
- develop and provide recommendations regarding Member education, including but not limited to, new Member orientation and training to be obtained from State-approved or other trainers.

Governance Principles and Practices. The Committee will:

- develop, review, monitor, and re-evaluate no less than annually, and recommend such changes to governance principles and practices including those that address transparency, independence, accountability, fiduciary responsibilities, and management oversight, as it deems appropriate; and
- monitor compliance with the governance principles and practices.

Ethics Standards and Whistle Blower Protection. The Committee will:

- develop, review on a regular basis, and update as necessary the Authority's Code of Conduct and written policies regarding conflicts of interest, such code and policies to be no less stringent than the laws, rules, regulations, and policies applicable to State officers and employees;
- review and make recommendations as appropriate on revisions to the Authorities By-laws regarding the conduct of Board business; and
- periodically review and make recommendations, if necessary, on revisions to the Authority's written policies regarding the protection of whistle blowers.

Other Responsibilities. The Committee will:

- review compensation and related policies and procedures;

- review and recommend for approval such governance-related reports, guidelines, policies, procedures, assessments, and reports as may be required; and
- perform such other functions as may be assigned to it from time to time.

# **PROGRAM PLANNING COMMITTEE CHARTER**

**Established September 20, 1983**

## **Purposes**

Pursuant to Article V, Section 5 of the Authority's By-Laws, the purposes of the Committee are to: review the annual updating of the Authority's Strategic Program Plan; and preparation of the portions of the Authority's annual budget related to the energy research and innovation, market development, clean energy financing, and other related programs and initiatives; provide guidance to the Authority's officers and employees in the preparation of those plans and those portions of the budget; and shall consider such other matters related to the Authority's innovation, market development, clean energy financing, and other related programs and initiatives as the officers of the Authority may refer to the Committee.

## **Powers of the Committee**

The Committee will:

- review the annual update of the Authority's Strategic Program Plan;
- review preparation of the portions of the Authority's annual budget related to innovation, market development, clean energy financing, and other related programs and initiatives;
- consider such other matters related to the Authority's innovation, market development, clean energy financing, and other related programs and initiatives as the officers of the Authority may refer to the Committee; and
- meet with and request information from Authority staff as necessary.

The Committee shall have sufficient resources to carry out its duties.

## **Composition and Selection**

The Committee shall be established as set forth in and pursuant to Article V, Section 5 of the Authority's By-Laws. The Committee shall be a standing advisory committee of the Authority. The Committee shall have not fewer than three nor more than six Members, who shall be elected from among the Members of the Authority other than the Chair. A majority of these committee members shall be other than Members of the Authority who serve ex-officio. In addition, the membership of the Committee shall include the Chair of the Authority, who shall serve ex-officio and who shall enjoy all the rights and privileges of membership, including the right to vote. A majority of the members of the Committee then in office, not including the

Chair, gathered together in the presence of each other or through the use of videoconferencing, shall constitute a quorum, and the Chair of the Authority if present shall be counted toward a quorum.

The Members of the Authority will appoint the Chair of the Committee.

### **Meetings**

The Committee will meet, as necessary, and special meetings may be called in accordance with the By-laws. Members of the Committee are expected to attend each committee meeting, in person or by video conference. The Committee may invite other individuals to attend meetings and provide pertinent information, as necessary.

Notices of meetings will be prepared in accordance with the By-Laws and agendas and briefing materials will be prepared and provided to the Committee members. To the extent practicable, briefing materials will be provided to the Committee members not less than 5 business days prior to each meeting. Minutes of each meeting will be maintained in a central location at the Authority's principal office.

Meetings shall be conducted in accordance with the open meetings law.

### **Responsibilities**

The Committee will be responsible for reporting to the Members on significant and material matters related to: (a) the annual updating of the Authority's Strategic Program Plan; (b) the preparation of the portions of the Authority's annual budget related to innovation, market development, clean energy financing, and other related programs and initiatives; (c) such other matters related to the Authority's innovation, market development, clean energy financing, and other related programs and initiatives as the officers of the Authority may refer to the Committee;

*Review the annual update of the Strategic Program Plan.* The Committee will:

- review the process Authority staff uses to prepare the Strategic Program Plan;
- review a draft of the Strategic Program Plan document; and
- recommend such revisions to the process and document as the Members deem necessary.

*Review the preparation of the portions of the Authority's annual budget related to innovation, market development, clean energy financing, and other related programs and initiatives.* The Committee will:

- review drafts of the annual spending plan and the annual operating budget with respect to the program areas within its jurisdiction;
- recommend such revisions to these documents as the Members deem necessary;
- review any proposed revisions by the Officers to the operating budget with respect to the program areas within its jurisdiction.

Provide guidance in the preparation of plans and budgets. The Committee will:

- receive reports from Authority staff concerning progress in the various program areas within its jurisdiction;
- make such recommendations with respect to program direction and planning as the Members deem necessary.

Consider such other matters related to the Authority's programs within its jurisdiction as the officers of the Authority may refer to the Committee. The Committee will:

- receive reports on any other matters with respect to the program areas within its jurisdiction as the officers of the Authority may refer to the Committee and make such recommendations on such matters as the Members deem necessary.



# **WASTE AND FACILITIES MANAGEMENT COMMITTEE CHARTER**

**Established September 21, 1987**

## **Purposes**

Pursuant to Article V, Section 6 of the Authority's By-laws, the purposes of the Waste and Facilities Management Committee are to: review the Authority's program and plans for management of the Western New York Nuclear Service Center, including the West Valley Demonstration Project, and for radioactive waste policy and nuclear coordination; to review the preparation of the Authority's annual West Valley site management program and radioactive waste policy and nuclear coordination budgets; to provide guidance to the Authority's officers and employees in the preparation of the plans and in preparation of such annual program budgets; and to consider such other matters related to West Valley site management and radioactive waste policy and nuclear coordination as the officers of the Authority may refer to the Committee.

## **Powers of the Committee**

The Committee will:

- review the Authority's program and plans for management of the Western New York Nuclear Service Center, including the West Valley Demonstration Project, and for radioactive waste policy and nuclear coordination;
- review the preparation of the Authority's annual West Valley site management program and radioactive waste policy and nuclear coordination budgets;
- provide guidance to the Authority's officers and employees in the preparation of the plans and in preparation of such annual program budgets;
- consider such other matters related to West Valley site management and radioactive waste policy and nuclear coordination as the officers of the Authority may refer to the Committee;
- meet with and seek assistance from Authority staff as necessary.

The Committee shall have sufficient resources to carry out its duties.

## **Composition and Selection**

The Committee shall be a standing advisory committee of the Authority. The Committee shall have not fewer than three nor more than six members, who shall be elected from among the Members of the Authority other than the Chair. A majority of these committee members shall be other than Members of the Authority who serve ex-officio. In addition, the membership of the Committee shall include the Chair of the Authority, who shall serve ex-officio and who shall enjoy all the rights and privileges of membership, including the right to vote. A majority of the members of the Committee then in office, not including the Chair of the Authority, gathered together in the presence of each other or through the use of videoconferencing, shall constitute a quorum, and the Chair of the Authority if present shall be counted toward a quorum.

The Members of the Authority will appoint the Chair of the Committee.

## **Meetings**

The Committee will meet, as necessary, and special meetings may be called in accordance with the By-laws. Members of the Committee are expected to attend each committee meeting, in person or by video conference. The Committee may invite other individuals to attend meetings and provide pertinent information, as necessary.

Notices of meetings will be prepared in accordance with the By-laws and agendas and briefing materials will be prepared and provided to the Committee members. To the extent practicable, briefing materials will be provided to the Committee members not less than 5 business days prior to each meeting. Minutes of each meeting will be maintained in a central location at the Authority's principal office.

Meetings shall be conducted in accordance with the open meetings law.

## **Responsibilities**

The Committee will be responsible for reporting to the Members on significant and material matters related to: (a) the Authority's program and plans for management of the Western New York Nuclear Service Center, including the West Valley Demonstration Project, and for radioactive waste policy and nuclear coordination; (b) the preparation of the Authority's annual West Valley site management program and radioactive waste policy and nuclear coordination budgets; and (c) such other matters related to West Valley site management and radioactive waste policy and nuclear coordination as the officers of the Authority may refer to the Committee;

*Review the Authority's program and plans for management of the Western New York Nuclear Service Center, including the West Valley Demonstration Project, and for*

radioactive waste policy and nuclear coordination. The Committee will:

- receive and review reports from the Authority's officers and staff regarding the program and plans;
- recommend such revisions to the program and plans as the Committee deems necessary.

Review the preparation of the Authority's annual West Valley site management program and radioactive waste policy and nuclear coordination budgets. The Committee will:

- review drafts of the annual spending plan and the annual operating budget with respect to the West Valley site management and radioactive waste policy and nuclear coordination programs;
- recommend such revisions to these documents as the Members deem necessary;
- review any proposed revisions by the Officers to the operating budget with respect to the West Valley site management and radioactive waste policy and nuclear coordination programs.

Consider such other matters related to the Authority's programs within its jurisdiction as the officers of the Authority may refer to the Committee. The Committee will:

- receive reports on any other matters with respect to the West Valley site management and radioactive waste policy and nuclear coordination programs as the officers of the Authority may refer to the Committee and make such recommendations on such matters as the Members deem necessary.

Resolution No. \_\_\_\_

RESOLVED, the Audit and Finance Committee Charter, the Governance Committee Charter, the Program Planning Committee Charter, and the Waste and Facilities Management Committee Charter, as presented to the Members for consideration at this April 30, 2019 meeting, with such non-substantive, editorial changes and grammatical changes as the President and Chief Executive Officer, in her discretion, may deem necessary or appropriate, are approved..

**NYSERDA PERIODIC CONTRACTS APPROVAL REPORT: Section 1**  
**Summary - 12/16/2018 to 3/15/2019**

<b>Category</b>	<b>Report Type</b>	<b>Type</b>	<b>Count of Contracts</b>	<b>Committed this period</b>
<b>PCMT</b>	Procurement	Competitive	45	\$14,367,549
		Discretionary	13	\$526,601
	<b>Total</b>		58	\$14,894,150
<b>PGRM</b>	Procurement	Competitive	6	\$514,634,348
	<b>Total</b>		6	\$514,634,348
<b>Grand Total</b>			64	\$529,528,498

**Section 1 Summary - Percentages**

**% Contract Counts Competitively**

**% of \$Committed this period Competitively**

100.00%	100.00%
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NYSERDA PERIODIC CONTRACTS APPROVAL REPORT - 12/16/2018 to 3/15/2019

Category	Initiative	Type	Term > 1 Year	Contract ID	Contractor	Contract Description	Date	Committed this period	Committed to Date	Amt Paid this Period	Amt Paid to Date
PCMT	>200KW PV	Competitive	Y	104259	Hodgson Russ LLP	RFP 3300 & RFP 3776 Outside Co	09/27/2016	\$50,000	\$280,000	\$515	\$17,851
	AGRICULTURE ENERGY EFFICIENCY	Competitive	Y	35743	Ensave, Inc.	AEEP Implementation Contractor	09/26/2013	\$1,092,660	\$4,217,605	\$101,936	\$3,091,056
	CI Engy Siting & Soft Cost Red	Competitive	Y	101044	Arcadis of New York, Inc.	Large Scales Renewables Techni	07/15/2016	\$43,500	\$632,727	\$9,304	\$120,559
	Code to Zero	Competitive	Y	104542	The Cadmus Group, LLC	RFQ3183 Umbrella Agreement	10/05/2016	\$491,512	\$1,577,229	\$11,939	\$812,977
	Commercial Market Mapping	Competitive	Y	136264	Meister Consultants Group, Inc.	NYSERDA-Utility Collaboration	01/18/2019	\$200,000	\$200,000		
	ENERGY ANALYSIS	Competitive	Y	135251	Industrial Economics, Incorporated	EE Supply Curve Analysis	12/17/2018	\$249,668	\$249,668	\$20,782	\$20,782
	Environmental Research	Discretionary	Y	134909	Praveen Amar	Amar ENV Rsch Science Advisor	12/07/2018	\$45,000	\$45,000	\$16,718	\$16,718
	Eval MDCDC EE Master Soft Cost	Competitive	Y	137083	The Cadmus Group, LLC	TWO#4 Soft Cost study	02/12/2019	\$614,886	\$614,886		
	EVALUATION	Competitive	Y	104536A	DNV GL Energy Insights USA Inc.	RFQ 3183 KEMA, Inc	01/18/2019	\$2,215,928	\$2,215,928	\$275,273	\$275,273
		Competitive	Y	123365	Energetics, Incorporated	RFQL3685 Round 1	02/13/2018	\$7,605	\$65,281	\$21,016	\$50,309
		Discretionary	Y	136265	The Cadmus Group, LLC	EVALUATION	01/18/2019	\$50,000	\$50,000		
	EXISTING FACILITIES	Competitive	Y	135071	Bergmann Associates	TWO_EFP/DMP_QA/QC	12/12/2018	\$17,600	\$17,600		
	FLEXIBLE TECHNICAL ASSISTANCE	Competitive	Y	37376	L&S Energy Services, Inc.	Technical Review and Program S	11/15/2013	\$3,816	\$1,326,767	\$6,516	\$1,296,777
	Home Perf w Energy Star	Competitive	Y	107771	CLEAResult Consulting, Inc.	Centralized Services & Support	12/08/2016	\$2,243,481	\$6,259,169	\$919,311	\$2,979,326
	Industrial Process Effic	Competitive	Y	121104	CHA Consulting Inc.	Outreach Support	11/29/2017	\$19,000	\$1,211,500	\$198,351	\$769,100
	INDUSTRIAL PROCESS EFFICIENCY	Competitive	Y	117925	CHA Consulting Inc.	Staff Augmentation Services	09/06/2017	\$391,833	\$953,246	\$69,230	\$115,646
	K-12 SCHOOLS	Competitive	Y	117926	TRC Energy Services	Staff Augmentation Services	09/06/2017	\$1,531,861	\$4,819,057	\$416,979	\$1,136,004
	Multifam Performance Pgm	Competitive	Y	117924	Willdan Energy Solutions	Staff Augmentation Services	09/06/2017	\$150,230	\$457,559	\$56,082	\$205,554
	NEW YORK GREEN BANK	Competitive	Y	39066	Nixon Peabody LLP	Green Bank Outside Legal Serv.	01/21/2014	\$21,105	\$771,880	\$17,217	\$486,715
		Competitive	Y	39069	Loeb & Loeb LLP	Green Bank Outside Legal Couns	01/21/2014	\$4,851	\$583,634	\$4,851	\$583,634
		Competitive	Y	46963	Navigant Consulting Inc.	Outside Technical and Eng. Srv	09/05/2014	\$175,774	\$376,587	\$43,749	\$181,514
	NY-SUN	Competitive	Y	117927	EME Consulting Engineering Group, LLC	Staff Augmentation Services	09/06/2017	\$919,403	\$2,905,878	\$211,131	\$366,953
	NYSERDA ADMINISTRATION	Competitive	Y	85025	Tech Valley Talent, LLC	RFP3143 Umbrella Agreement	12/18/2015	\$6,000	\$6,176,870	\$324,061	\$4,511,432
		Competitive	Y	96514	Randstad North America, Inc.	Temp Services Contract.	04/21/2016	\$201,000	\$2,633,826	\$124,967	\$2,155,165
		Competitive	Y	134907	SHI, Inc.	ADA-Compliance Subscription	12/07/2018	\$15,544	\$15,544	\$15,544	\$15,544
		Competitive	Y	135247	Oracle America, Inc.	Peoplesoft -Oracle 2019 - 2020	12/17/2018	\$53,598	\$53,598		
		Competitive	Y	136369	Unique Comp Inc.	TWO SQL ETL Dev.	01/23/2019	\$176,800	\$176,800		
		Competitive	Y	136430	SHI, Inc.	Embarcadero Enterprise Support	01/24/2019	\$16,829	\$16,829	\$16,829	\$16,829
		Competitive	Y	136980	Unique Comp Inc.	TWO Sr. Systems Admin.- Bhanu	02/08/2019	\$176,800	\$176,800		

NYSERDA PERIODIC CONTRACTS APPROVAL REPORT - 12/16/2018 to 3/15/2019

Category	Initiative	Type	Term > 1 Year	Contract ID	Contractor	Contract Description	Date	Committed this period	Committed to Date	Amt Paid this Period	Amt Paid to Date
PCMT	NYSERDA ADMINISTRATION	Competitive	Y	137225	Systems Management Planning, Inc.	Webex Services - 2019 2020	02/15/2019	\$19,011	\$19,011		
		Competitive	Y	137985	Unique Comp Inc.	TWO 1 Server Op's Support	03/12/2019	\$203,775	\$203,775		
		Discretionary	Y	131667	Network Experts of New York, Inc.	Helpdesk Technician - Campagna	09/24/2018	\$12,000	\$142,000	\$23,693	\$32,370
		Discretionary	Y	136005	ThunderCat Technology LLC	Jira Software User Count	01/11/2019	\$18,338	\$18,338	\$18,338	\$18,338
		Discretionary	Y	136601	ThunderCat Technology LLC	Jira Plug-in Licenses	01/29/2019	\$5,065	\$5,065	\$5,065	\$5,065
		Discretionary	Y	136882	ThunderCat Technology LLC	DocuSign - Subscription 19-20	02/06/2019	\$84,516	\$84,516		
		Discretionary	Y	137220	Bizodo Inc	Seamless Docs 2019 - 2020	02/15/2019	\$29,950	\$29,950		
		Discretionary	Y	137222	Systems Management Planning, Inc.	AeroHive Subscription 1 year	02/15/2019	\$5,414	\$5,414		
		Discretionary	Y	137436	Randstad North America, Inc.	Temporary NYSUN Coordinator	02/22/2019	\$112,476	\$112,476		
		Discretionary	Y	137480	ThunderCat Technology LLC	Precise Peoplesoft Software	02/25/2019	\$66,842	\$66,842		
		Discretionary	Y	137525	AmTrust North America Inc.	NYSERDA ADMINISTRATION	02/26/2019	\$42,000	\$42,000		
Off-Shore Wind Master Plan	Competitive	Y	104258	Sive Paget & Riesel PC	RFP 3300 & RFP 3776 Outside Co	09/27/2016	\$150,000	\$914,219	\$89,193	\$690,372	
OREC: Technical Support	Competitive	Y	123374	ABB, Incorporated	RFQL3685 Round 1	02/13/2018	\$236,500	\$236,500			
	Competitive	Y	134231	Merrimack Energy Group, Inc.	RFQL3926 Umbrella Contract	11/20/2018	\$65,000	\$65,000			
	Competitive	Y	134235	Power Advisory LLC	RFQL3926 Umbrella Contract	11/20/2018	\$65,000	\$65,000			
	Competitive	Y	134428	M.J. Beck Consulting LLC	RFQL3926 Umbrella Contract	11/27/2018	\$65,000	\$65,000			
OTHER PROGRAM AREA	Discretionary	Y	112570	Benchmark Printing, Inc.	Printing Services - EV Rebate	04/07/2017	\$5,000	\$29,500	\$3,296	\$27,214	
Real Time Enrgy Management	Competitive	Y	117928	Allegis Group Holdings Inc	Staff Augmentation Services	09/06/2017	\$14,638	\$992,405	\$143,165	\$358,772	
	Competitive	Y	117989	Arcadis of New York, Inc.	Staff Augmentation Services	09/08/2017	\$646,795	\$646,795	\$36,157	\$36,157	
REV Campus Challenge	Competitive	Y	121106	Meister Consultants Group, Inc.	REV Campus Challenge	11/29/2017	\$36,265	\$586,265	\$74,523	\$166,160	
	Competitive	Y	135754	Ecology and Environment Engineering, PC	Commercial Market Engagement	01/03/2019	\$266,950	\$266,950			
	Competitive	Y	137243	TRC Energy Services	SA TWO #19 - Amanda Trombly	02/19/2019	\$269,178	\$269,178			
SARATOGA TECHNOLOGY & ENER..	Competitive	Y	104265	Harris Beach PLLC	RFP 3300 Outside Counsel Servi	09/27/2016	\$10,000	\$124,606		\$95,117	
Subscription/Data Access	Discretionary	Y	135794	American Council for an Energy Efficient	Research Support for NYSERDA	01/04/2019	\$50,000	\$50,000			
Technical Services	Competitive	Y	136881	L&S Energy Services, Inc.	Tech Review - OsEM	02/06/2019	\$100,522	\$100,522			
WEST VALLEY DEVELOPMENT PROGRAM	Competitive	Y	69474	Seven Springs West LLC	Operations and Maintenance Sup	07/22/2015	\$700,000	\$3,110,000	\$13,238	\$2,269,160	
	Competitive	Y	104075	Enercon Services Inc	RFP 3305 Licence Consultation	09/21/2016	\$19,483	\$372,676		\$325,577	
Workforce Industry Partnership	Competitive	Y	104544	Research Into Action, Inc.	RFQ3183 Umbrella Agreement	10/05/2016	\$139,647	\$646,859	\$9,845	\$394,654	
PGRM	FLEXIBLE TECHNICAL ASSISTANCE	Competitive	Y	37376	L&S Energy Services, Inc.	Technical Review and Program S	11/15/2013	\$31,530	\$3,064,864	\$123,472	\$2,031,930



**NYSDERDA PERIODIC CONTRACTS APPROVAL REPORT - 12/16/2018 to 3/15/2019**

Category	Initiative	Type	Term > 1 Year	Contract ID	Contractor	Contract Description	Date	Committed this period	Committed to Date	Amt Paid this Period	Amt Paid to Date
PGRM	INDUSTRIAL PROCESS EFFICIENCY	Competitive	Y	37383	CHA Consulting Inc.	Technical Review and Program S	11/15/2013	\$117,057	\$4,516,324	\$160,329	\$3,173,776
	REC:CES REC Contracts	Competitive	Y	134729	PPM Roaring Brook, LLC	REC:CES REC Contracts	12/04/2018	\$118,949,065	\$118,949,065		
		Competitive	Y	134730	Mohawk Solar LLC	REC:CES REC Contracts	12/04/2018	\$98,332,809	\$98,332,809		
		Competitive	Y	135134	Morris Ridge Solar Energy Center, LLC	Morris Ridge Solar	12/13/2018	\$99,364,518	\$99,364,518		
		Competitive	Y	135427	Apex Clean Energy Holdings, LLC	Heritage Wind, LLC	12/20/2018	\$197,839,368	\$197,839,368		
<b>Grand Total</b>								<b>\$529,259,998</b>	<b>\$570,419,277</b>	<b>\$3,582,612</b>	<b>\$28,850,378</b>

NYSERDA PERIODIC CONTRACTS APPROVAL REPORT: Contractor Addresses - 12/16/2018 to 3/15/2019

Contractor	SupplierAddress	SupplierCity	SupplierState	SupplierZipCode	Business Type	WBE	MBE	SDVOB	SBE
ABB, Incorporated	901 Main Campus Drive, Ste300	Raleigh	NC	27606	FSBE				
Allegis Group Holdings Inc	d/b/a EASI, LLC	Hanover	MD	21076	FSBE				
American Council for an Energy Efficient	529 14th Street, NW Suite 600	Washington	DC	20045	FSBE				
AmTrust North America Inc.	800 Superior Ave, E Floor 20	Cleveland	OH	44114	FSBE				
Apex Clean Energy Holdings, LLC	Heritage Wind, LLC	Charlottesville	VA	22902	FSBE				
Arcadis of New York, Inc.	6723 Towpath Rd	Syracuse	NY	13214	NYSBE				
Benchmark Printing, Inc.	1890 Maxon Rd Ext	Schenectady	NY	12308-1140	NYSBE				
Bergmann Associates	200 First Federal Plaza, 28 East Main St	Rochester	NY	14614	NYSBE				
Bizodo Inc	30 Vandam St. Fl2	New York	NY	10013	NYSBE				
CHA Consulting Inc.	3 Winners Circle	Albany	NY	12205	NYSBE				
CLEAResult Consulting, Inc.	4301 Westbank Dr., A-150	Austin	TX	78746	FSBE				
DNV GL Energy Insights USA Inc.	1400 Ravello Drive	Katy	TX	77449	FSBE				
Ecology and Environment Engineering, PC	368 Pleasant View Drive	Lancaster	NY	14086	NYSBE				
EME Consulting Engineering Group, LLC	129 West 27th Street	New York	NY	10001	NYSBE				
Enercon Services Inc	500 Town Park Lane	Kennesaw	GA	30144	FSBE				
Energetics, Incorporated	7075 Samuel Morse Drive	Columbia	MD	21046	FSBE				
Ensave, Inc.	65 Millett Street, Suite #105	Richmond	VT	05477	FSBE				
Harris Beach PLLC	99 Garnsey Road	Pittsford	NY	14534	NYSBE				
Hodgson Russ LLP	The Guaranty Building	Buffalo	NY	14202	NYSBE				
Industrial Economics, Incorporated	2067 Massachusetts Avenue	Cambridge	MA	02140	FSBE				
L&S Energy Services, Inc.	58 Clifton Country Road	Clifton Park	NY	12065	NYSBE				
Loeb & Loeb LLP	345 Park Avenue	New York	NY	10154	NYSBE				
M.J. Beck Consulting LLC	111 Rockingham Rd	Cherry Hill	NJ	08034	FSBE				
Meister Consultants Group, Inc.	One Center Plaza, Ste 320	Boston	MA	02108	FSBE				
Merrimack Energy Group, Inc.	26 Shipway Place	Charlestown	MA	02129	FSBE				
Mohawk Solar LLC	1125 NW Couch Street	Portland	OR	97209	FSBE				
Morris Ridge Solar Energy Center, LLC	15445 Innovation Drive	San Diego	CA	92128	FSBE				
Navigant Consulting Inc.	30 S. Wacker Dr.	Chicago	IL	60606-7444	FSBE				
Network Experts of New York, Inc.	407 Vesper Court	Slingerlands	NY	12159	NYSBE	X	X		
Nixon Peabody LLP	437 Madison Avenue	New York	NY	10022	NYSBE				

NYSERDA PERIODIC CONTRACTS APPROVAL REPORT: Contractor Addresses - 12/16/2018 to 3/15/2019

Contractor	SupplierAddress	SupplierCity	SupplierState	SupplierZipCode	Business Type	WBE	MBE	SDVOB	SBE
Oracle America, Inc.	PO Box 203448	Dallas	TX	75320-3448	FSBE				
Power Advisory LLC	212 Thoreau Street	Concord	MA	01742	FSBE				
PPM Roaring Brook, LLC	1125 NW Couch Street	Portland	OR	97209	FSBE				
Praveen Amar	119 Simonds Road	Lexington	MA	02420	FSBE				
Randstad North America, Inc.	d/b/a Accustaff	Carol Stream	IL	60132-2084	FSBE	X			
Research Into Action, Inc.	3934 NE MLK Boulevard	Portland	OR	97212	FSBE	X			
Seven Springs West LLC	7186 Peters Road	Springville	NY	14141	NYSBE	X			
SHI, Inc.	P.O. Box 952121	Dallas	TX	75395	FSBE				
Sive Paget & Riesel PC	560 Lexington Ave., Floor 15	New York	NY	10022-1994	NYSBE				
Systems Management Planning, Inc.	1020 John St	West Henrietta	NY	14586	NYSBE				
Tech Valley Talent, LLC	c/o Millennium Funding	Atlanta	GA	31193-5587	FSBE	X			
The Cadmus Group, LLC	100 5th Ave., Ste 100	Waltham	MA	02451	FSBE				
ThunderCat Technology LLC	1925 Isaac Newton Square	Reston	VA	20190	FSBE			X	
TRC Energy Services	21 Griffin Rd North	Windsor	CT	06095	FSBE				
Unique Comp Inc.	2708 42nd Road	Long Island City	NY	11101	NYSBE	X	X		
Willdan Energy Solutions	Wall Street Plaza	New York	NY	10005	NYSBE				

**NYSDA PERIODIC CONTRACTS APPROVAL REPORT: Anticipated Contracts - 12/16/2018 to 3/15/2019**

Category	Type	Term > 1 Year	Contract ID	Contractor	Contract Description	Reason	Date	Anticipated Amount	Total Contract Amount
PCMT	Competitive	Y	20896	Bergmann Associates	STEP Engineering, Design and C	Added New Tasks	10/19/2010	\$31,000	\$204,350
	Competitive	Y	37380	CDH Energy Corporation	Technical Review and Program S	Added New Tasks	11/15/2013	\$12,000	\$923,255
	Competitive	Y	39069	Loeb & Loeb LLP	Green Bank Outside Legal Couns	Added New Tasks	01/21/2014	\$85,790	\$669,424
	Competitive	Y	46973A	DNV GL Energy Services USA Inc.	Outside Technical Eng. Srv.	Added New Tasks	05/06/2015	\$43,010	\$81,730
	Competitive	Y	62858	Marshall & Sterling, Inc.	Property Liability and Other	Extend Contract Term	04/20/2015	\$346,844	\$1,401,882
	Competitive	Y	70333	Cornell University	76West Building a Clean Energy	Added New Tasks	08/03/2015	\$15,755	\$4,648,668
	Competitive	Y	85025	Tech Valley Talent, LLC	RFP3143 Umbrella Agreement	Added New Tasks	12/18/2015	\$98,438	\$6,275,308
	Competitive	Y	98840	KPMG LLP	Audit Services	Added New Tasks	05/24/2016	\$14,960	\$547,960
	Competitive	Y	104265	Harris Beach PLLC	RFP 3300 Outside Counsel Servi	Added New Tasks	09/27/2016	\$10,000	\$134,606
	Competitive	Y	107762	Rosenblum Property Services, LLC	STEP Property Mgmt Services	Added New Tasks	12/07/2016	\$194,000	\$676,685
	Competitive	Y	117924	Willdan Energy Solutions	Staff Augmentation Services	Added New Tasks	09/06/2017	\$164,409	\$621,968
	Competitive	Y	117926	TRC Energy Services	Staff Augmentation Services	Added New Tasks	09/06/2017	\$3,995,043	\$8,814,100
	Competitive	Y	117928	Allegis Group Holdings Inc	Staff Augmentation Services	Added New Tasks	09/06/2017	\$183,006	\$1,175,411
	Competitive	Y	126362	Moelis & Company Group LP	3PC raise advisory Services	Added New Tasks	05/01/2018	\$100,000	\$850,000
	Competitive	Y	129931	The Cadmus Group, LLC	RFP3916 Res Bldg Stock Assessm	New Agreement	08/09/2018	\$109,662	\$2,035,881
	Competitive	Y	134906	New York Power Authority,	RTEM Data Store	New Agreement	12/07/2018	\$1,500,000	\$1,500,000
	Competitive	Y	137240	EME Consulting Engineering Group, LLC	SA.038A_TWO #7 - New Con		02/19/2019	\$530,043	\$798,543
	Competitive	Y	137565	Systems Management Planning, Inc.	VMWare Airwatch 2019 - 2020	New Agreement	02/27/2019	\$6,439	\$6,439
	Competitive	Y	137653	Rochester Institute of Technology	REV CC ETL_Rd. 2	New Agreement	03/04/2019	\$999,664	\$999,664
	Competitive	Y	137759	Kelliher Samets Volk	TWO 27: 2019 SEP Marketing	New Agreement	03/06/2019	\$250,000	\$250,000
	Competitive	Y	137992	Center for Sustainable Energy	TWO #3 - Drive Clean Program	Added New Tasks	03/12/2019	\$1,331,278	\$1,331,278
	Competitive	Y	138056	Gartner Inc.	Gartner Services 2019-2020	New Agreement	03/13/2019	\$55,356	\$55,356
	Competitive	Y	138079	SHI, Inc.	Adobe Creative Cloud Licenses	New Agreement	03/14/2019	\$12,312	\$12,312
	Competitive	Y	138080	SHI, Inc.	Adobe Acrobat Pro DC - 1 yr.	New Agreement	03/14/2019	\$48,064	\$48,064
	Discretionary	Y	34356	U.S. Geological Survey (Troy).	ALTM Stream Monitoring	Added New Tasks	08/07/2013	\$44,600	\$644,815
	Discretionary	Y	133472	ThunderCat Technology LLC	Atlassian (Jira) - Phase 1	Added New Tasks	11/02/2018	\$94,567	\$199,875
	Non-Competitive	Y	29226	Taitem Engineering, P.C.	MEPP Quality Assurance Contrac	Exercising Option to Renew	09/17/2012	\$219,336	\$2,758,875
Non-Competitive	Y	41690A	Level 3 Communications, LLC	NYSDA ADMINISTRATION		03/02/2016	\$49,999	\$329,734	
Non-Competitive	Y	67434	Pratt Institute Center for Community & E	Pratt Standardized Retrofit	New Agreement	06/18/2015	\$997,932	\$997,932	
Non-Competitive	Y	125834	Level 3 Communications, LLC	NYSDA ADMINISTRATION	Added New Tasks	04/17/2018	\$216,000	\$265,999	
Non-Competitive	Y	138090	General Electric International Inc	GE MAPS Software	New Agreement	03/15/2019	\$391,500	\$391,500	
PGRM	Competitive	Y	37383	CHA Consulting Inc.	Technical Review and Program S	Added New Tasks	11/15/2013	\$23,000	\$4,539,324

**NYSERDA PERIODIC CONTRACTS APPROVAL REPORT: Anticipated Contracts - 12/16/2018 to 3/15/2019**

Category	Type	Term > 1 Year	Contract ID	Contractor	Contract Description	Reason	Date	Anticipated Amount	Total Contract Amount
PGRM	Competitive	Y	57271	Energy Improvement Corporation	CGC39896 - EIC	Exercising Option to Renew	01/21/2015	\$286,645	\$4,828,885
	Competitive	Y	100030	50 HYMC Owner LLC	NCP15018-50 HudsonYards-OFLT	New Agreement	06/22/2016	\$3,250,000	\$3,250,000
	Competitive	Y	131209	Borrego Solar Systems, Inc.	NY Sun	Added New Tasks	09/12/2018	\$1,536,500	\$3,288,250
	Competitive	Y	132541	RED Rochester	RED C&I Carbon Challenge	New Agreement	10/15/2018	\$5,000,000	\$5,000,000
	Competitive	Y	134570	Calpine Corporation	REC:CES REC Contracts	New Agreement	12/03/2018	\$137,079,080	\$137,079,080
	Competitive	Y	134731	ELP Stillwater Solar LLC	REC:CES REC Contracts	New Agreement	12/04/2018	\$16,708,475	\$16,708,475
	Competitive	Y	134732	Hannacroix Solar Facility LLC	REC:CES REC Contracts	New Agreement	12/04/2018	\$5,460,400	\$5,460,400
	Competitive	Y	135312	Watkins Glen Solar Energy Center, LLC	Watkins Glen Solar Energy Cntr	New Agreement	12/18/2018	\$43,413,832	\$43,413,832
	Competitive	Y	135313	Trelina Solar Energy Center LLC	North Light Energy Center	New Agreement	12/18/2018	\$63,753,997	\$63,753,997
	Competitive	Y	135315	Excelsior Energy Center, LLC	Excelsior Energy Center	New Agreement	12/18/2018	\$239,959,044	\$239,959,044
	Competitive	Y	135429	Invenergy Solar Development North Americ	Horseshoe Solar	New Agreement	12/20/2018	\$174,449,410	\$174,449,410
	Competitive	Y	135621	Silver Lake Solar LLC	Silver Lake Solar	New Agreement	12/28/2018	\$19,252,800	\$19,252,800
	Competitive	Y	135627	Empire State Solar, LLC	Manchester Solar	New Agreement	12/28/2018	\$17,134,785	\$17,134,785
	Non-Competitive	Y	134735	Energy Improvement Corporation	EIC PACE financing program	Added New Tasks	12/04/2018	\$500,000	\$1,000,000
<b>Grand Total</b>								\$739,958,973	\$778,769,893

**NYSERDA PERIODIC CONTRACTS APPROVAL REPORT: Section 1**  
**Summary - 12/16/2018 to 3/15/2019**

<b>Category</b>	<b>Report Type</b>	<b>Type</b>	<b>Count of Contracts</b>	<b>Committed this period</b>
<b>PGRM</b>	Program	Competitive	464	\$620,057,689
		Discretionary	4	\$334,987
		Non-Competitive	1	\$500,000
<b>Total</b>			469	\$620,892,675
<b>Grand Total</b>			469	\$620,892,675

**Section 1 Summary - Percentages**

<b>% Contract Counts Competitively</b>	<b>% of \$Committed this period Competitively</b>
99.78%	99.92%

## NYSERDA PERIODIC PROGRAM REPORT

12/16/2018 to 3/15/2019

**Table: All Market Focus Committed this Period**

<b>MarketFocus</b>	<b>Count of Contracts</b>	<b>Committed this period</b>
	56	\$5,006,369
<b>Agriculture</b>	6	\$88,036
<b>Building Innovation</b>	6	\$1,142,186
<b>Clean Trans (Innov &amp; Research)</b>	5	\$805,282
<b>Codes</b>	1	\$250,000
<b>Combined Heat &amp; Power</b>	6	\$598,680
<b>Commercial</b>	62	\$5,003,736
<b>Communities and Local Governme</b>	17	\$1,554,789
<b>Energy Storage</b>	2	\$229,400
<b>Energy-RItd Environmental Res</b>	1	\$35,854
<b>Fuel Cells</b>	1	\$288,750
<b>Green Jobs-Green NY</b>	2	\$800,000
<b>Grid Modernization</b>	4	\$3,720,000
<b>Industrial</b>	52	\$5,826,677
<b>Innovation</b>	3	\$875,000
<b>Large Scale Renewables</b>	7	\$515,059,441
<b>LMI</b>	37	\$4,522,100
<b>Mkt Char &amp; Design (Mkt Dev)</b>	3	\$323,933
<b>Multifamily (Mkt Rate Only)</b>	1	\$48,000
<b>New Construction</b>	34	\$2,849,109
<b>NY-Sun</b>	170	\$68,204,684



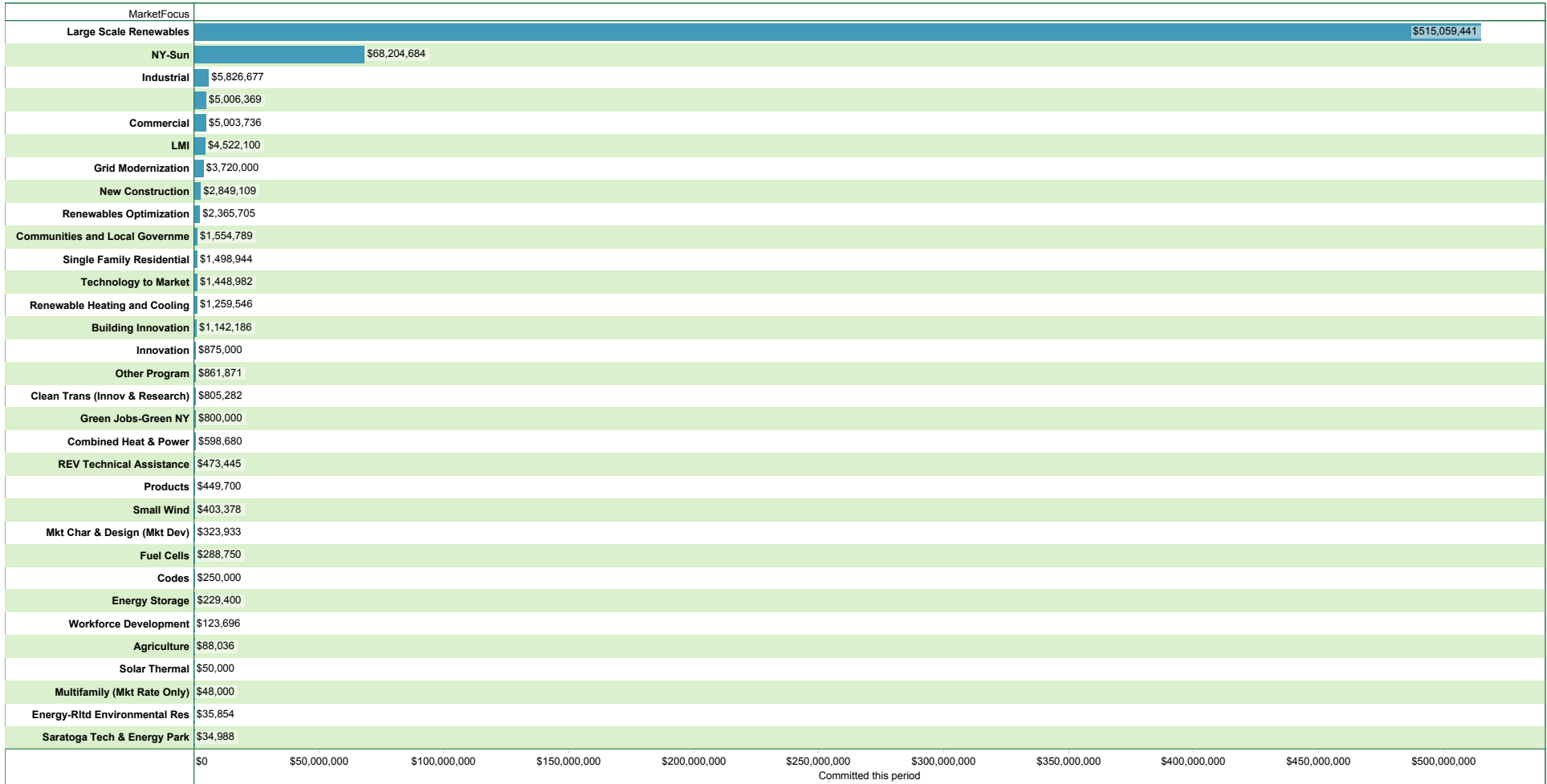
**NYSERDA PERIODIC PROGRAM REPORT**

12/16/2018 to 3/15/2019

**Table: All Market Focus Committed this Period**

<b>MarketFocus</b>	<b>Count of Contracts</b>	<b>Committed this period</b>
Other Program	1	\$861,871
Products	2	\$449,700
Renewable Heating and Cooling	20	\$1,259,546
Renewables Optimization	5	\$2,365,705
REV Technical Assistance	1	\$473,445
Saratoga Tech & Energy Park	1	\$34,988
Single Family Residential	4	\$1,498,944
Small Wind	6	\$403,378
Solar Thermal	1	\$50,000
Technology to Market	8	\$1,448,982
Workforce Development	16	\$123,696
<b>Grand Total</b>	<b>541</b>	<b>\$626,202,281</b>

NYSDERDA PERIODIC PROGRAM REPORT  
 12/16/2018 to 3/15/2019  
 Graph: All Market Focus Committed this Period



**NYSDA PERIODIC PROGRAM REPORT**  
**12/16/2018 to 3/15/2019**  
**Table: By REDC Region and County**

<b>REDC Region</b>	<b>County</b>	<b>Count of Contracts</b>	<b>Committed this period</b>
<b>Capital Region</b>	Albany	18	\$1,766,028
	Columbia	5	\$85,121
	Greene	2	\$970,394
	Rensselaer	7	\$870,132
	Saratoga	7	\$4,393,608
	Schenectady	10	\$6,270,436
	Warren	5	\$124,577
	Washington	2	\$7,580
	<b>Total</b>	<b>56</b>	<b>\$14,487,875</b>
<b>Central New York</b>	Cayuga	5	\$113,860
	Cortland	3	\$141,172
	Madison	4	\$1,735,354
	Onondaga	8	\$261,072
	Oswego	3	\$1,023,824
	<b>Total</b>	<b>23</b>	<b>\$3,275,282</b>
<b>Finger Lakes</b>	Genesee	5	\$1,796,686
	Livingston	1	\$99,364,518
	Monroe	21	\$3,009,011
	Ontario	19	\$1,513,856
	Orleans	2	\$199,140,566
	Wayne	4	\$481,526

**NYSERDA PERIODIC PROGRAM REPORT**  
**12/16/2018 to 3/15/2019**  
**Table: By REDC Region and County**

<b>REDC Region</b>	<b>County</b>	<b>Count of Contracts</b>	<b>Committed this period</b>
<b>Finger Lakes</b>	Wyoming	1	\$2,500
	Yates	1	\$2,500
	<b>Total</b>	54	\$305,311,163
<b>Long Island</b>	Nassau	5	\$419,585
	Suffolk	9	\$407,324
	<b>Total</b>	14	\$826,909
<b>Mid-Hudson</b>	Dutchess	15	\$1,178,506
	Orange	22	\$7,704,549
	Putnam	1	\$10,694
	Rockland	13	\$144,922
	Sullivan	5	\$2,767,650
	Ulster	11	\$1,965,738
	Westchester	26	\$4,284,424
	<b>Total</b>	93	\$18,056,483
<b>Mohawk Valley</b>	Fulton	3	\$1,344,845
	Herkimer	2	\$726,780
	Montgomery	3	\$99,297,151
	Oneida	14	\$725,382
	Otsego	3	\$1,392,681
	Schoharie	4	\$861,163
	<b>Total</b>	29	\$104,348,002

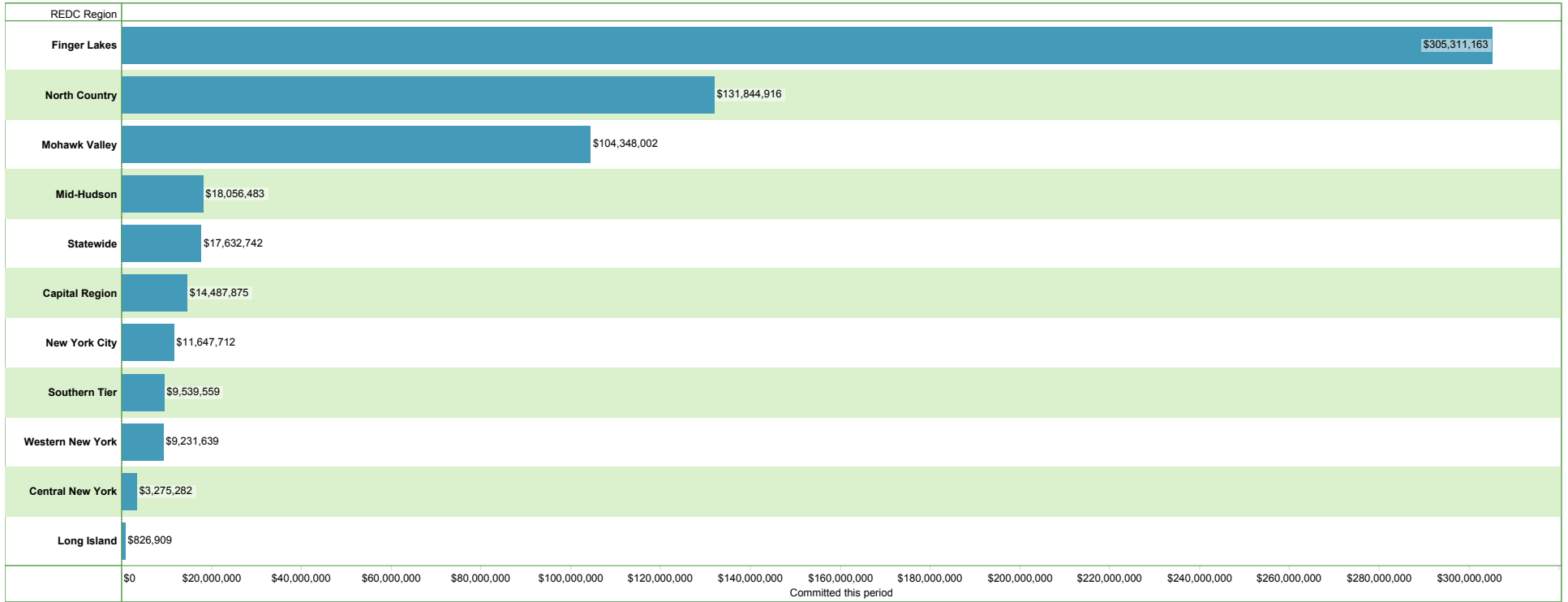
**NYSERDA PERIODIC PROGRAM REPORT**  
**12/16/2018 to 3/15/2019**  
**Table: By REDC Region and County**

<b>REDC Region</b>	<b>County</b>	<b>Count of Contracts</b>	<b>Committed this period</b>
<b>New York City</b>	Bronx	31	\$4,243,550
	Kings	25	\$1,667,342
	New York	50	\$4,327,047
	Queens	25	\$1,279,650
	Richmond	3	\$130,123
	<b>Total</b>	<b>134</b>	<b>\$11,647,712</b>
<b>North Country</b>	Clinton	3	\$1,157,619
	Essex	3	\$69,027
	Franklin	5	\$3,531,674
	Jefferson	10	\$8,051,387
	Lewis	2	\$118,951,565
	St. Lawrence	6	\$83,643
	<b>Total</b>	<b>29</b>	<b>\$131,844,916</b>
<b>Southern Tier</b>	Broome	11	\$362,498
	Chemung	2	\$1,288,672
	Chenango	9	\$46,836
	Delaware	6	\$2,321,670
	Schuyler	2	\$159,011
	Steuben	3	\$240,298
	Tioga	5	\$4,836,859
	Tompkins	5	\$283,716

**NYSERDA PERIODIC PROGRAM REPORT**  
**12/16/2018 to 3/15/2019**  
**Table: By REDC Region and County**

<b>REDC Region</b>	<b>County</b>	<b>Count of Contracts</b>	<b>Committed this period</b>
<b>Southern Tier</b>	<b>Total</b>	43	\$9,539,559
	STATEWIDE	61	\$17,632,742
<b>Statewide</b>	<b>Total</b>	61	\$17,632,742
	Allegany	2	\$17,349
<b>Western New York</b>	Cattaraugus	5	\$1,674,090
	Chautauqua	2	\$8,478
	Erie	26	\$2,995,871
	Niagara	7	\$4,535,851
	<b>Total</b>	42	\$9,231,639
	<b>Grand Total</b>		578

**NYSERDA PERIODIC PROGRAM REPORT**  
**12/16/2018 to 3/15/2019**  
**Graph: By REDC Region**



**NYSERDA PERIODIC PROGRAM REPORT**  
**12/16/2018 to 3/15/2019**  
**Table: By Electric Utility**

<b>Electric Utility</b>	<b>Count of Contracts</b>	<b>Committed this period</b>
Central Hudson Gas and Electric	30	\$4,140,692
Consolidated Edison	153	\$14,091,979
Long Island Power Authority	14	\$826,909
Municipal Utilities	1	\$21,000
National Grid	127	\$458,853,188
NYS Electric and Gas	93	\$21,693,321
Orange and Rockland Utilities	33	\$6,341,259
Rochester Gas and Electric	34	\$102,551,191
SHERRILL	1	\$50,000
Statewide	61	\$17,632,742
<b>Grand Total</b>	<b>547</b>	<b>\$626,202,281</b>





Resolution No. \_\_\_\_

RESOLVED, that the Periodic Contracts Report, covering the period December 16, 2018 through March 15, 2019, as presented at this meeting, including but not limited to the contracts identified therein which have been, or are expected to be, executed and which do have, or are expected to have, a period of performance in excess of one year, is hereby approved in accordance with Public Authorities Law Section 2879.

COMMITTEE MEMBER  
APPOINTMENT  
(Oral Report)

ORAL REPORT  
NEW YORK GREEN BANK

76 WEST  
PROGRAM REPORT