

# 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](mailto: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 I.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@nyserdera.ny.gov](mailto:res@nyserdera.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@nyserdera.ny.gov](mailto:res@nyserdera.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.<sup>1</sup>
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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<sup>1</sup> Please contact [res@nysesda.ny.gov](mailto:res@nysesda.ny.gov) if NYSERDA does not follow-up within one business day of the original request.

## PORTAL LOGIN

Use this page to apply for the following funding opportunity: **Purchase of New York Tier 4 Eligible Renewable Energy Certificates(RECs)**. If this is not the opportunity you are applying for then please visit our [Current Funding Opportunities](#) page and select the appropriate funding opportunity.

**Returning Users:** The Username for the proposal submission system is your email address followed by ".nyserderda". For example, [jsmith@abc.com.nyserderda](mailto:jsmith@abc.com.nyserderda). You must include the ".nyserderda" or you will not be able to login to the system.

Create an account' and '[Forgot Password?](#)'." data-bbox="371 209 610 409"/>

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.

## Purchase of Tier 4 Renewable Energy Certificates

Proposer Contact Information (Step 1 of 5)

Add a contact for each person involved in the proposed project and identify their role. At a minimum, you must have a Primary Contact and an Authorized Signatory identified. Click "ADD A CONTACT" to enter each person's information.

[ADD A CONTACT](#)

Action	Name	Email	Phone	Organization Name	Primary
At least one project contact is required.					

PREVIOUS **CONTINUE**

### Edit Contact

Alternate Party

My Company is Outside of the United States & Canada

Organization Name \*

First Name \*

Last Name \*

Title

Email \*

Phone \*

Primary Contact

Contract Signer

Address 1 \*

Address 2

City \*

State \*

Zip Code/Postal Code \*

County

[CLOSE](#) [SAVE CHANGES](#)

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.

## Purchase of Tier 4 Renewable Energy Certificates

Proposer Contact Information (Step 1 of 5)

Add a contact for each person involved in the proposed project and identify their role. At a minimum, you must have a Primary Contact and an Authorized Signatory identified.  
Click 'ADD A CONTACT' to enter each person's information.

[ADD A CONTACT](#)

Action	Name	Email	Phone	Organization Name	Primary
<a href="#">Edit</a>   <a href="#">Clone</a>	JOHN DOE	john@doe.com	(800) 800-8000	SAMPLE	<input checked="" type="checkbox"/> Yes

[PREVIOUS](#) [CONTINUE](#)

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(RECs)



## Proposal Information (Step 2 of 5)

In the Proposer Company Information field please provide the name of the Proposer and all additional Project team members. Select 'A' under 'Proposed Proposal Category.'

\* indicates required field  
Describe the project you are proposing.

### Proposed Information

Proposal Title *	<input type="text" value="Name of Tier 4 Proposal"/>
Proposed Proposal Category *	<input type="text" value="A"/>
Proposer Company Information *	<input type="text"/> ⓘ
Proposal Description *	<input type="text"/> ⓘ

# 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 *	<input type="text" value="Name of Tier 4 Project"/>
Proposed Proposal Category *	<input type="text" value="Renewable Energy Standard"/>
Proposer Company Information *	<input type="text"/> ⓘ
Proposal Description *	<input type="text"/> ⓘ <div style="border: 1px solid gray; padding: 5px; width: fit-content;">Please provide a 2-3 sentence description of the proposed project.</div>

### **I.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.
4. A redline version of the Tier 4 Renewable Energy Certificate Purchase and Sale Agreement.
5. Other supporting attachments, should be attached in the Other Documents section.

# Purchase of New York Tier 4 Eligible Renewable Energy Certificates(RECs)



Proposal Documents (Step 3 of 5)

Required Documents				
Document Name	Add / Update Document	Recent Uploaded Document	Uploaded History	Status
Appendix F-1 - Master Offers Data Form *	<input type="button" value="Choose File"/>	No file chosen		
Appendix F-2 - Offer Data Form *	<input type="button" value="Choose File"/>	No file chosen		
Appendix H - Proposal Certification Form *	<input type="button" value="Choose File"/>	No file chosen		
Narrative - Confidential *	<input type="button" value="Choose File"/>	No file chosen		
Narrative - Public *	<input type="button" value="Choose File"/>	No file chosen		
Resource Data File *	<input type="button" value="Choose File"/>	No file chosen		

Other Documents					
Document Name	Add / Update Document	Recent Uploaded Document	Uploaded History	Status	Remove
Proof of Provision of Proposal Fee	<input type="button" value="Choose File"/>	No file chosen			<input type="button" value="X"/>
<a href="#">+ ADD ANOTHER DOCUMENT</a>					

## Purchase of Tier 4 Renewable Energy Certificates

Proposal Documents (Step 3 of 5)

Required Documents				
Document Name	Add / Update Document	Recent Uploaded Document	Uploaded History	Status
Narrative - Public *	<input type="button" value="Choose File"/>	No file chosen		
Narrative - Confidential *	<input type="button" value="Choose File"/>	No file chosen		
Resource Data File *	<input type="button" value="Choose File"/>	No file chosen		
Appendix C - Project Resources Form *	<input type="button" value="Choose File"/>	No file chosen		
Appendix F-1 - Master Offers Data Form - Available Shortly *	<input type="button" value="Choose File"/>	No file chosen		
Appendix F-2 - Offer Data Form - Available Shortly *	<input type="button" value="Choose File"/>	No file chosen		
Appendix H - Proposal Certification Form *	<input type="button" value="Choose File"/>	No file chosen		

Other Documents					
Document Name	Add / Update Document	Recent Uploaded Document	Uploaded History	Status	Remove
<a href="#">+ ADD ANOTHER DOCUMENT</a>					

PREVIOUS

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.

<b>Document Type</b>	<b>Naming Convention</b>
Master Offers Form	ProposerID_MasterOffersForm
Offer Data Form(s)	ProposerID_OfferDataForm_BidID <sup>2</sup>
Confidential Proposal Narrative	ProposerID_ConfidentialProposalNarrative
Public Proposal Narrative	ProposerID_PublicProposalNarrative
Resource Data file(s)	ProposerID_ResourceData_ProjectName
Step Two Proposal Certification Form	ProposerID_ProposerCertificationForm
8760 schedule of aggregate Zone J energy deliveries	ProposerID_8760Schedule_ProjectName
Redline Tier 4 Standard Form Purchase and Sale Agreement (Optional)	ProposerID_AgreementRedline_ProposerText
Supporting Attachments (Optional)	ProposerID_Attachment_ProposerText
Proof of Proposal Fee	ProposerID_Proposal Fee

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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<sup>2</sup> The BidID is automatically generated in the Master Offers Form.

[Home](#)
[Submit a New Application](#)
[Projects](#)
[Project Invoices](#)
[Manage Users](#)
[Project Inspections](#)
[Dashboards](#)

Application Number: 0000274290

## Purchase of Tier 4 Renewable Energy Certificates

Authorized Signature and Certification (Step 4 of 5)

IMPORTANT! Review the details of your submission below. Check the attestation box, then press continue to move the final page where you will press submit. Failure to complete all steps of process, prior to 3:00 p.m. ET on the due date, means your submission will not be received or reviewed.

By checking this box and clicking Continue:

I certify that the above information, and all information submitted in connection with State Finance Law §139-j and §139-k, is complete, true, and accurate, that I have read and reviewed the Standard Terms and Conditions set forth in the attached Sample Agreement and that I accept all terms unless otherwise noted herein, and that the proposal requirements noted have been completed and are enclosed:

I affirm that I understand and will comply with NYSERDA's procedures under §139-j(3) and §139-j(6)(b) of the State Finance Law;

I affirm that my company has a written sexual harassment prevention policy addressing sexual harassment in the workplace and provides annual sexual harassment training to all employees.

I understand that this proposal may be disqualified if the solicitation requirements are not met, and I am authorized to commit my organization to this proposal.

[PREVIOUS](#)
[PRINT](#)
[CONTINUE](#)

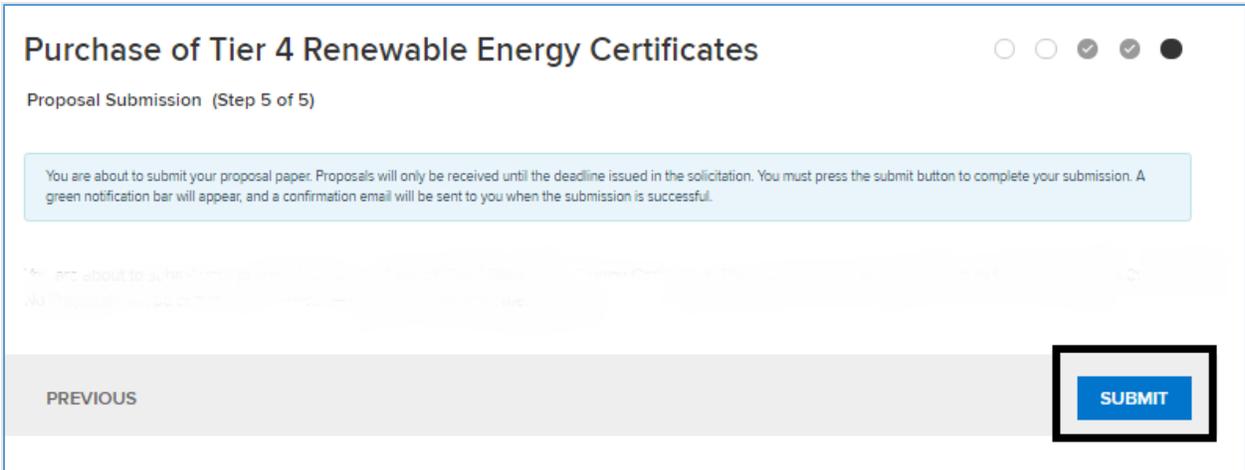
To quickly navigate to a previous step, click the corresponding step on the progress indicator located at the top right of the record.

## Purchase of Tier 4 Renewable Energy Certificates

Authorized Signature and Certification (Step 4 of 5)

### 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@nyserdera.ny.gov](mailto:res@nyserdera.ny.gov) if you have questions.