

NYSERDA

Public Authority Law Report

April 1, 2016 to September 30, 2016

Section Break

NYSERDA
Revenues Collected - April 1, 2016 through September 30, 2016

Revenue Source	Amount (\$000's)
State appropriations	17,045
Clean Energy Fund Assessments	28,618
RGI allowance proceeds	51,624
Third-party program funding	10,619
Federal grants	4,022
QECB bond interest subsidies	249
Project repayments	5
Lease rentals	611
Fees and other income	2,098
GJGNY loan interest	3,553
Investment income	4,428
Total revenues	122,871

Internal note:

Ratepayer assessments now classified as Clean Energy Fund Assessments

NYSERDA

Public Authority Law Report

April 1, 2016 to September 30, 2016

Section Break

Solicitation Summary April 1, 2016 to September 30, 2016

Solicitation No.	Title of Solicitation	Solicitation Description	Issue Date	Due Date/Round #	Dollar Value
RFQL 3209	Marketing Support for NYSERDA Initiatives	NYSERDA is issuing this solicitation to establish prequalified marketing firms approved to provide NYSERDA with a wide range of marketing and communications support services for a diverse set of programs and initiatives that vary in scope, audience, and objective.	6/28/16	7/21/16	No maximum value was stated in the solicitation
PON 3298	Clean Energy Communities Program	Local governments are critical partners in achieving a new energy vision for New York State. As such, municipal leaders play a critical role in affecting energy choices in their communities, both in terms of government operations, and also across homes, businesses, and community institutions. The Clean Energy Communities Program provides grants, direct technical support to communities, and recognition to local governments that demonstrate leadership in the area of clean energy.	8/3/16	9/30/19	No maximum value was stated in the solicitation
PON 3319	Multifamily New Construction Program	MF NCP is designed to support developers serving multifamily high rise new construction and gut rehabilitation projects by providing technical support and guidance. MF NCP requires the Applicant to hire a Multifamily New Construction Partner (Partner) to act as the primary resource for their participation in MF NCP. The incentive structure is multi-tiered, focusing support and incentives toward promotion of higher levels of comprehensive building and energy performance, up to and inclusive of net zero performance. Use of solar photovoltaic generation and other renewable energy systems is specifically encouraged to achieve the higher performance targets. MF NCP is closely aligned with the Low-Rise Residential New Construction Program (LR NCP) to more seamlessly support the higher performance multifamily new construction market.	8/9/16	12/29/17	No maximum value was stated in the solicitation
RFP 3355	Financial Advisor Services	NYSERDA seeks proposals from firms interested in providing financial advisor services in connection with its implementation of financing structures across relevant NYSERDA initiatives, including but not limited to NY Green Bank and the Green Jobs – Green New York program. The services will include performing the role of Independent Registered Municipal Advisor (“IRMA”) for NY Green Bank, a division of NYSERDA, in accordance with SEC Dodd-Frank-related regulations.	8/18/16	9/12/16	No maximum value was stated in the solicitation

Solicitation Summary April 1, 2016 to September 30, 2016

Solicitation No.	Title of Solicitation	Solicitation Description	Issue Date	Due Date/Round #	Dollar Value
RFQ 3164	Real Time Energy Manager Qualified Vendor	<p>NYSERDA is seeking to pre-qualify RTEM vendors, installers, and service providers that demonstrate the ability to meet the following RTEM Eligibility Requirements. Firms interested in applying to be on the NYSERDA RTEM Qualified Vendors List may include, but are not limited to: system providers, Energy Service Companies (ESCOs), energy consultants, and engineering companies. Firms must provide proof of potential, and demonstrate they can successfully provide customers with ways to monitor energy usage, provide optimization, and deliver energy efficiency services. Potential vendors will be evaluated qualitatively and quantitatively on past RTEM projects that have been implemented within 24 months of submitting to this RFQ.</p>	4/19/16	1/4/2016	No maximum value was stated in the solicitation
PON 2568	CHP Program	<p>The Combined Heat and Power (CHP) Program provides incentives for the installation of grid-connected CHP systems at customer sites that pay the System Benefits Charge (SBC) on their electric bill.</p> <p>The CHP Program supports an accelerated procurement process where customers select from a set of pre-engineered CHP modules supplied by approved CHP vendors (the Catalog Approach) or the more traditional design/build procurement process specifically for larger CHP systems where requirements are not adequately met by the Catalog Approach (the Custom Approach).</p>	5/3/2016	12/31/2018	21,000,000
PON 2439 (Revised)	Small Wind Turbine Incentive Program	<p>NYSERDA announces the availability of approximately \$6 million in incentives to encourage the installation of end-use wind energy systems for residential, commercial, institutional or government use. The incentives, of up to \$1,000,000 per site/customer, will be paid to Eligible Installers who install new approved grid-connected wind energy systems using qualified equipment, in accordance with the eligibility requirements described below. The maximum equipment size shall be 2 MW (2,000 kW) per site/customer. NYSERDA's incentive shall not exceed 50% of the total installed cost of the system</p>	6/8/2016	12/31/2018	6,000,000
PON 3309	Real Time Energy Management (RTEM)	<p>The New York State Energy Research and Development Authority (NYSERDA) Real Time Energy Management ("RTEM") Program (the "Program") seeks to achieve deep energy savings through the collection and analysis of energy usage data from buildings at a system level. To accelerate the adoption of RTEM practices, NYSERDA is offering cost-shared support for integrating RTEM systems and services into existing facilities. This Program works in conjunction with NYSERDA RFQ 3164 Real Time Energy Management Qualified Vendor, launched in April 2016. Applicants must be qualified as a NYSERDA RTEM Qualified Vendor to apply to this Program.</p>	6/15/2016	6/30/2021	30,000,000

Solicitation Summary April 1, 2016 to September 30, 2016

Solicitation No.	Title of Solicitation	Solicitation Description	Issue Date	Due Date/Round #	Dollar Value
PON 3249	Advanced Clean Energy (ACE) Exploratory Research Funding	ACE is an ongoing funding opportunity that supports inspired, innovative, and disruptive thinking about technologies and business models that will transform New York State's energy landscape. The aim of ACE is to provide NYSERDA with useful information to develop focused technology or proof-of-concept research not currently supported by or eligible for NYSERDA funding.	6/28/2016	11/30/2018	3,000,000
PON 3308	Commercial Tenant Program	NYSERDA's Commercial Tenant Program (Program) seeks to achieve significant energy efficiency improvements in commercial tenant office spaces particularly during lease negotiations and space design. The Program aims to encourage building owners and tenants to work together to achieve energy efficiency in commercial buildings.	7/19/2016	7/31/2019	5,075,000
RFP 3300	Outside Legal Services	NYSERDA invites proposals from law firms interested in providing outside legal services related to a wide array of legal issues, including: commercial real estate matters associated with the Saratoga Technology + Energy Park (STEP); Green Jobs Green New York On-Bill recovery program; energy regulatory matters; human resources matters; program and transactional related financing issues; environmental issues (including New York's State Environmental Quality Review Act (SEQRA) and the National Environmental Policy Act (NEPA)); legal and regulatory compliance; intellectual property; federal and state taxation; litigation, whether NYSERDA is a party or third party; government procurement and contracting; insurance, and all matters related to NYSERDA's ownership of the Western New York Nuclear Service Center at West Valley. The firm or firms selected will be expected to act as outside counsel for NYSERDA for an initial three-year contract period with two (2) 1-year options to renew at NYSERDA's sole discretion. NYSERDA reserves the right to add additional time and funding.	7/1/2016	7/27/2016	No maximum value was stated in the solicitation
RFP 3257	Renewable Portfolio Standard Program Purchase of Renewable Energy Attributes	The New York State Energy Research and Development Authority (NYSERDA) seeks to procure the environmental attributes created by eligible generation resources under the Renewable Portfolio Standard Program (RPS Attributes).	4/22/2016	5/26/2016	750,000

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Solicitation No.	Title of Solicitation	Solicitation Description	Issue Date	Due Date/Round #	Dollar Value
PON 3011	Community Solar NY	<p>NYSERDA invites local governments, school districts, and other community partners to participate in the third round of Community Solar NY, an effort to make solar easier and more affordable through community-driven initiatives. In 2016, communities across New York State launched more than thirty “Solarize” campaigns with support from NYSERDA. These local campaigns have drawn thousands of New Yorkers to attend solar workshops and community events, resulting in hundreds of households and businesses going solar. Solarize campaigns bring together groups of potential solar customers through widespread outreach and education, and help customers choose solar companies that are offering competitive, transparent pricing.</p>	8/31/2016	11/3/2016 / Round 3	No maximum value was stated in the solicitation
PON 3082	NY-Sun Commercial / Industrial Incentive Program	<p>NYSERDA seeks proposals for performance-based incentives for the installation of new grid-connected solar photovoltaic (PV) systems greater than 200 kW that offset the use of grid-supplied electricity. PV systems must be sized primarily to serve project load.</p>	9/8/2016	12/29/2023	271,468,988
PON 2112 REV 21	NY-Sun Incentive and/ or Financing Program	<p>NYSERDA seeks proposals to provide incentives for the installation by Contractors/Builders of new grid-connected Solar Electric or Photovoltaic (PV) systems.</p>	9/8/2016	12/29/2023	384,100,099

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Solicitation No.	Title of Solicitation	Solicitation Description	Issue Date	Due Date/Round #	Dollar Value
PON 3334	On-site Energy Manager Pilot	<p>NYSERDA PON 3334 seeks applications from Industrial facilities interested in participating in the On-site Energy Manager Pilot (the "Pilot") to demonstrate how a dedicated On-site Energy Manager can improve a company's profitability by delivering energy, process, and operational improvements. As part of the Pilot, NYSERDA will provide cost share of up to 75% of contracted On-site Energy Manager fees for up to 15 Industrial sites.</p>	9/13/2016	11/30/2016	No maximum value was stated in the solicitation
PON 3256	Permanent Generator Initiative	<p>NYSERDA is seeking applications for the Permanent Generator Initiative (Initiative). Eligible applicants can apply for a project grant to offset the implementation costs associated with the electrical modifications and installation of a permanently affixed generators at the most highly strategic retail gasoline stations (gas stations) in the downstate region.</p>	9/13/2016	12/15/2016	12,000,000
PON 3261	Commercial Implementation Assistance Program	<p>The Commercial Implementation Assistance Program (Program) seeks to offer cost-sharing to eligible energy-efficiency projects. Applicants are not eligible to receive incentives from another NYSERDA or utility program for the same measure.</p> <p>Eligible measure categories include:</p> <ul style="list-style-type: none"> • Advanced Lighting. • Deep Energy Retrofit Projects. • Advanced Monitoring and Control Systems. • Oil Space Heating Efficiency Upgrades. • Advanced Technologies that are submitted with a Utility Referral requesting that NYSERDA consider funding the measure(s). 	9/13/2016	12/29/2016	11,000,000

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Solicitation No.	Title of Solicitation	Solicitation Description	Issue Date	Due Date/Round #	Dollar Value
PON 3345	Making Transportation Smart and Sustainable	In partnership with the New York State Department of Transportation, NYSERDA seeks proposals that have the potential to reduce the greenhouse gas emissions and the associated energy consumption of the existing multi-modal transportation system in New York State. Five categories of projects are eligible for funding: 1. Education and Technology Transfer. 2. Policy Research and Feasibility Studies.	9/29/2016	11/29/2016	3,000,000
RFQL 3323	External Technical Review Assistance	The New York State Energy Research and Development Authority (NYSERDA) is issuing this solicitation to seek qualified technical reviewers to review proposals submitted to NYSERDA funding opportunities and to provide due diligence analysis and expertise for ongoing projects.	10/6/2016	7/16/2018	No maximum value was stated in the solicitation
PON 3309 (Change in Cost Structures) (Revised)	Real Time Energy Management (RTEM)	NYSERDA Real Time Energy Management (“RTEM”) Program (the “Program”) seeks to achieve deep energy savings through the collection and analysis of energy usage data from buildings at a system level. To accelerate the adoption of RTEM practices, NYSERDA is offering cost-shared support for integrating RTEM systems and services into existing facilities. This Program works in conjunction with NYSERDA RFQ 3164 Real Time Energy Management Qualified Vendor, launched in April 2016.	10/11/2016	6/30/2021	30,000,000

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Solicitation No.	Title of Solicitation	Solicitation Description	Issue Date	Due Date/Round #	Dollar Value
PON 3413	Clean Energy Incubators	<p>NYSERD PON 3413, Clean Energy Incubators, seeks proposals to catalyze the continued development and growth of a vibrant, self-sustaining clean energy innovation ecosystem in New York State through the support of clean energy business incubators. This PON is a continuation of NYSERDA's successful clean energy incubator program and will continue the evolution of the existing incubator program by making additional, competitively awarded funding available for clean energy incubators across New York State. NYSERDA's strategy is to provide operational and programming support for clean energy incubators that offer commercialization resources, technical assistance, and business development support to early-stage companies in order to help them achieve key milestones and accelerate their time to market.</p>	10/13/2016	12/1/2016	10,000,000
RFP 3365	Private Cloud Hosting	<p>NYSERDA is soliciting proposals from qualified contractors to provide private cloud hosting services. From among the Proposals received, NYSERDA intends to select a qualified vendor to provide hosting services related to NYSERDA's Information Systems infrastructure (hardware and software systems).</p>	10/13/2016	11/08/2016	No maximum value was stated in the solicitation
PON 3404	Electric Power Transmission and Distribution (EPTD) Distributed Energy Resource Integration	<p>NYSERDA Program Opportunity Notice (PON) 3404 seeks proposals to support the development, demonstration, and commercialization of innovative technology and techniques to facilitate the interconnection of distributed energy resources (DER) to the electric grid. Proposals seeking to lower interconnection burdens for commercial and industrial scale DER (>200 kW) will be given preference. All proposals must address DER interconnection as identified in the full solicitation.</p>	10/21/2016	11/28/2016	3,500,000

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Solicitation No.	Title of Solicitation	Solicitation Description	Issue Date	Due Date/Round #	Dollar Value
RFP 3240	Residential Financing and Income Verification Services	<p>NYSERDA is seeking proposals from qualified financing companies (“Originator”) to provide the following services for residential energy efficiency and renewable energy system improvements: (1) loan origination and underwriting services to New York State residents for fixed rate loans between \$1,500 and \$25,000 for terms of 5-, 10- or 15-years; (2) income eligibility verification for NYSERDA financing and incentive applications; and (3) payment of loan funds and incentive funds to participating contractors, to be reimbursed by NYSERDA</p>	10/21/2016	11/15/2016	No maximum value was stated in the solicitation
PON 3397	Electric Power Transmission and Distribution (EPTD) High Performing Grid Program	<p>NYSERDA announces the availability of up to \$10 million in funds to support research and engineering studies, product development and demonstration projects that improve the resiliency, reliability, efficiency, quality, and overall performance of the electric power delivery system in New York State. Proposals must demonstrate significant statewide public benefit and quantify all energy, environmental and economic impacts. The primary objective of the program is to promote the development of a high performing smart grid that accommodates a diverse supply of clean energy generation resources, enhances overall grid performance and enables customers to reduce their energy costs, energy consumption, and environmental impacts.</p>	10/27/2016	1/11/2017	10,000,000
RFP 3352	Industrial Strategic Energy Management Implementation Contractor (Energy Coach)	<p>NYSERDA requests proposals from contractors interested in providing program support services for the upcoming Industrial Strategic Energy Management (SEM) Pilot, including cohort training and market dissemination activities. NYSERDA is requesting proposals from contractors to serve as an Energy Coach for the three years of the Pilot to develop SEM training materials, guide participants through the SEM process and monthly cohort sessions, and provide technical support to assist participants in achieving key SEM milestones. NYSERDA anticipates awarding one contract through this RFP, although multiple awards may be made</p>	10/28/2016	12/19/2016	No maximum value was stated in the solicitation

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Solicitation No.	Title of Solicitation	Solicitation Description	Issue Date	Due Date/Round #	Dollar Value
RFP 3399	Customer Service: Phone, Email, and Web Inquiry Support	The New York State Energy Research and Development Authority (NYSERDA) seeks proposals providing services to maintain and respond to phone, email, and web inquiries related to NYSEDA's services. The successful proposer will be responsible for answering and referring inquiries to designated NYSEDA staff, assisting customers in navigating the www.nyserda.ny.gov website, and collecting customer information that will be provided to NYSEDA. The successful proposer will also provide market intelligence and trends, foster lead generation, and support data and metrics tracking that encourages continuous improvement of these services for NYSEDA.	9/16/2016	10/20/2016	900,000
RFP 3174	Property Management Services- Saratoga Technology + Energy Park® (STEP®)	The New York State Energy Research and Development Authority ("NYSEDA") requests proposals from firms interested in providing full service, comprehensive professional building management services to maintain and preserve the grounds and building located at 10 Hermes Road, and the common areas of the 280-acre site known as the Saratoga Technology + Energy Park ("STEP") in Malta, New York. It is expected the contract will commence on July 1, 2016. The term will be for three years, with two (1) year renewals at NYSEDA's option.	8/4/2016	8/30/2016	No maximum value was stated in the solicitation
RFP 3044 Stage 2	NY Prize Community Grid Competition	NY Prize Stage 2: Detailed Engineering Design and Financial and Business Plan. NYSEDA is accepting proposals for funding to conduct detailed engineering and commercial assessments that evaluate the feasibility of installing/operating a community microgrid at a site within New York State. Proposals must be received by NYSEDA by 5:00 PM Eastern Time on October 12th, 2016.	4/21/2016	10/12/2016	No maximum value was stated in the solicitation

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Solicitation No.	Title of Solicitation	Solicitation Description	Issue Date	Due Date/Round #	Dollar Value
RFP 3239	Zero Emission Vehicle Support Contractor	The 2016-17 New York State budget includes a provision establishing a zero emission vehicle (ZEV) rebate program to be administered by NYSERDA. This Zero Emission Vehicle Support Contractor solicitation seeks to select a ZEV Support Contractor to assist New York State in evaluating potential options for developing a ZEV rebate for New York State and, if New York State chooses to pursue a rebate program, to administer such a program. Proposed activities under this program would be structured in two phases among key stakeholders, and conduct and analyze program participant surveys.	4/12/2016	5/3/2016	700,000
RFP 3328	DG Integrated Data System Operation and Support	NYSERDA is seeking a qualified vendor to continue the Distributed Generation (DG) – Combined Heat and Power (CHP) performance data collection, analysis, and presentation effort currently being performed by CDH Energy Corp. as represented by NYSERDA's DG Integrated Data System website http://chp.nyserda.ny.gov .	8/24/2016	9/20/2016	No maximum value was stated in the solicitation
RFP 3370	New York Clean Energy Jobs Study	NYSERDA seeks proposals from organizations or individuals to quantify, characterize, and analyze clean energy industry jobs in the State of New York. The project will principally count and map jobs, as well as integrate innovation metrics and clean energy business information, and identify trends in job vacancies/growth areas for clean energy employment in order to produce a comprehensive report on the Clean Energy Economy (CEE) in New York State. The information resulting from this project will be used to inform policy makers, educational institutions and the broader clean energy marketplace about growth trends and opportunities within the CEE, workforce development and recruitment solutions that address any skills gaps identified, and how best to capitalize on the growth of the CEE job market in NYS. After the initial draft, the study may be updated annually for two additional years; the available funding reflects the expectation of completion of an initial study and two subsequent updates.	9/6/2016	10/6/2016	257,000

Solicitation Summary April 1, 2016 to September 30, 2016

Solicitation No.	Title of Solicitation	Solicitation Description	Issue Date	Due Date/Round #	Dollar Value
PON 2568 (Revised)	CHP Program	<p>The Combined Heat and Power (CHP) Program provides incentives for the installation of grid-connected CHP systems at customer sites that pay the System Benefits Charge (SBC) on their electric bill.</p> <p>The CHP Program supports an accelerated procurement process where customers select from a set of pre-engineered CHP modules supplied by approved CHP vendors (the Catalog Approach) or the more traditional design/build procurement process specifically for larger CHP systems where requirements are not adequately met by the Catalog Approach (the Custom Approach).</p>	5/3/2016	12/31/2018	21,000,000 Incentive cap increased
RFQL 3265 (Revised)	Technical Assistance for Reform of the Electric Distribution System and Markets	The New York State Energy Research and Development Authority (NYSERDA) is issuing this solicitation to establish a pool of contractors qualified to assist in conducting objective economic, policy, and technical analysis and analytical modeling to inform the modernization of the electric distribution system and markets in New York State, toward greater investment in and integration of clean distributed energy resources (DER).	5/17/2016	5/23/2016	No maximum value was stated in the solicitation
RFI 3335 NY Green Bank	Back Leverage Financing Arrangements For Photovoltaic Solar Projects in NY With Remote Net Metering	To acquire information that will assist in developing a Request For Proposals targeted at developers of photovoltaic solar projects selling to commercial, industrial and other institutional organizations in New York State who plan to utilize third party tax equity and seek back leveraged financing for projects that (1) generate revenue by selling remote net metering credits to C&I power users under NY Public Service Law 66-j; (2) use Tier 1 Technology; (3) are in the advanced stage of development; and (4) are 500kW to 2MW in size, ground mounted, canopy mounted and non-residential rooftop PV solar projects.	6/23/2016	8/5/2016	No maximum value was stated in the solicitation

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Solicitation No.	Title of Solicitation	Solicitation Description	Issue Date	Due Date/Round #	Dollar Value
RFP 3255	Engineering Services Contract for the State-Licensed Disposal Area(SDA) and the Western New York Nuclear Service Center (WNYNSC)	<p>NYSERDA seeks proposals for providing the West Valley Site Management Program (WVSMP) with Professional Engineering and Land Surveying services at the Western New York Nuclear Service Center (WNYNSC). This Task Order Contract will be for support services in the disciplines of structural, geo-technical engineering design and evaluations, geo-membrane design and evaluations. Additional, support services such as testing, surveying, planning, regulatory submittals, may also be requested to assist with the management of the State-Licensed Radioactive Waste Disposal Area (SDA), and on the undeveloped areas of the WNYNSC.</p>	6/28/2016	7/20/2016	No maximum value was stated in the solicitation
RFI 3320 NY Green Bank	Subordinated Debt Financing Arrangements for Renewable & Energy Efficiency Projects	<p>The purpose of this Request for Information (RFI) is to acquire information that will assist the New York Green Bank (“NYGB”) in developing a Request For Proposal (RFP) targeted at commercial and multifamily building owners, relevant lenders and investors, and clean energy contractors/service providers targeting such properties, who seek to finance the purchase of energy efficiency and/or renewable energy assets.</p> <p>NYGB’s desire is that this RFI will open a dialogue with stakeholders from New York State’s commercial and multi-family real estate community to better understand the barriers that the anticipated RFP might address.</p>	7/1/2016	7/29/2016	No maximum value was stated in the solicitation
PON 2828 (Revised)	Anaerobic Digester Gas-To-Electricity	<p>Approximately \$4 million in funding from the Clean Energy Fund (CEF) is available in 2016 to support the installation and operation of Anaerobic Digester Gas (ADG)-to-Electricity Systems in New York State. PON 2828 is being reopened at this time to allow the \$4 million budgeted for anaerobic digestion projects under the CEF for 2016 to be made available for funding projects in the waitlist, or “queue” of projects submitted through February 29, 2016, which were determined to be complete and compliant with the PON but which did not receive a funding award.</p>	7/8/2016	8/1/2016	4,000,000

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Solicitation No.	Title of Solicitation	Solicitation Description	Issue Date	Due Date/Round #	Dollar Value
RFP 3267	Innovation Advisory Services Pilot Program	<p>NYSERDA is seeking to establish a distinguished advisement program that provides an opportunity for top tier management and technical talent to actively contribute towards achievement of New York's energy and environment goals, and to the overall growth of the clean energy market within the state. As such, NYSERDA is seeking to secure the services of Innovation Advisors: Business and technology experts with extensive experience in corporate management, startups, technology development and commercialization, investment, and operational transformation.</p>	7/21/2016	8/25/2016	750,000
RFP 3305	License Consultation Services - West Valley Nuclear Service Center	<p>The New York State Energy Research and Development Authority (NYSERDA) seeks assistance from qualified individuals or firms to assist NYSERDA in developing a strategy and preparing required documents to amend its 10 CFR Part 50 License for the Western New York Nuclear Service Center (WNYNSC). NYSERDA proposes to update the license to reflect current site conditions and responsibilities, incorporate an up-to-date Radiation Protection Program and Safety Analysis Report, and eliminate unnecessary requirements, amendments, and technical specifications, if any.</p>	6/3/2016	7/7/2016	No maximum value was stated in the solicitation

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Section Break



NY-Sun Financial Incentives
Program Opportunity Notice (PON) 2112 - Rev. 21
September 8, 2016
\$384,100,099.00*

**NY-Sun Incentive and/or Financing Program
NY-Sun Incentive and/or Financing Applications and NY-Sun
Contractor Applications Accepted August 12, 2010 through
December 29, 2023
By 5:00 PM Eastern Time**

The New York State Energy Research and Development Authority (NYSERDA) provides cash incentives/and or financing for the installation by Contractors of new grid-connected Electric Photovoltaic (PV) systems that are 25kW or less for residential, and 200 kW or less for non-residential sites. Funding for the NY-Sun Incentive/and or financing Program ("Program") has been allocated by the New York State Renewable Portfolio Standard and Regional Greenhouse Gas Initiative and the Order Authorizing Funding and Implementation of the Solar Photovoltaic MW Block Programs, dated April 24th, 2014.

Incentives will be granted on a first-come, first-served basis, and PV incentive/and or financing applications will be accepted through December 29, 2023, or until funds are fully committed, whichever comes first. Total Incentives/and or financing available is subject to change. NYSERDA reserves the right to extend and/or add funding to the Solicitation should other program funding sources become available.

*Current available incentives can be found here: <http://ny-sun.ny.gov/For-Installers/Megawatt-Block-Incentive-Dashboard>. Total funding includes all funding available as of date noted from all funding sources. RGGI NYPA funding is shared by PON 3082.

Additional incentives for solar PV installations are available for customer households who qualify as low-to-moderate income. The additional incentive matches or doubles the standard incentive if available and can apply for up to 6kW of the total system size. Funding for the additional incentive is available until exhausted. If MW block standard funding is exhausted prior to additional incentive, the additional incentive will continue at the standard incentive amount in place at time the MW block incentive was exhausted, until the funding for the additional incentive is exhausted as well.

PV Incentive Application/and or financing submission: Eligible Contractors must submit completed and signed Project Application package into NYSERDA Portal, the Program database, as detailed in the Program Manual.

Contractor Eligibility Application submission: Potential Contractors may apply on-line at: https://nyserda-portal.force.com/CORE_CONAPP_Program_Page, or submit one [1] clearly labeled, completed and signed Contractor Application package to:

**Contractor Application PON 2112
Attn: Program Manager
NYS Energy Research and Development Authority
17 Columbia Circle
Albany, NY 12203-6399
Or by email to PVForms@nyserda.ny.gov.**

Contractor Application questions may be sent to pvforms@nyserda.ny.gov. Please reference PON 2112 when contacting NYSERDA with questions.

All Contractual questions should be directed to Venice Forbes at (518) 862-1090, ext. 3507 or venice.forbes@nyserda.ny.gov. All Technical questions should be directed to Frank Mace at (518) 862-1090, ext. 3433 or frank.mace@nyserda.ny.gov.

Applications will not be accepted at any other NYSERDA location other than the address above. If changes are made to this solicitation, notification will be posted on NYSERDA's website at www.nyserda.ny.gov.

I. INTRODUCTION

WHAT IS THE NY-Sun Incentive Program?

The New York State Energy Research and Development Authority (NYSERDA) provides cash incentives and/or financing for the installation by Contractors/Builders of new grid-connected Electric Photovoltaic (PV) systems that are 25kW or less for residential, and 200kW or less for non-residential sites. Funding for the NY-Sun Incentive and/or financing ("Program") has been allocated by the New York State Renewable Portfolio Standard and Regional Greenhouse Gas Initiative and Order Authorizing Funding and Implementation of the Solar Photovoltaic MW Block Programs, dated April 24th, 2014.

Incentives will be granted on a first-come, first-served basis and applications will be accepted through December 31, 2023, or until funds are fully committed, whichever comes first.

HOW DOES THE PROGRAM WORK?

Standard incentive

Cash incentives and/or financing is available for qualified customers who wish to install PV systems through applications submitted by a Participating Contractor. A Participating Contractor has signed a Participation Agreement (with NYSERDA, agreeing to abide by Program terms and conditions). The Participating Contractor have established relationships with Builders. Contractors are responsible for the quality of the builders. Builders are responsible for the installation and quality of project. Builders are responsible for maintaining a credentialed person on-staff.

Incentives are paid directly to the Contractor, and must be applied in full to the cost of the PV system, thereby reducing the out-of-pocket cost to the customer.

Affordable Solar additional incentive

Additional incentives for solar PV installations are available for customer households who qualify as low-to-moderate income. The additional incentive matches or doubles the standard incentive (if available) and can apply for **up to 6kW of the total system size**. The standard incentive will still apply on the total system size according to the general NY-Sun program terms and conditions. Funding for the additional incentive is available until exhausted. If MW block standard funding is exhausted prior to additional incentive, the additional incentive will continue at the standard incentive amount in place at time the MW block incentive was exhausted, until the funding for the additional incentive is exhausted as well.

A Builder must have demonstrated technical competence in the PV field) and the Contractor/Builder is responsible for preparing and submitting all necessary project application and incentive paperwork to NYSERDA. A Builder must employ an individual who meets one of the three paths. The current three eligibility paths for Individuals are:

1. North American Board of Certified Energy Practitioners (NABCEP): installers choosing this path must be NABCEP certified Solar PV Installers within 24 months of entering the PON 2112 Program to retain their eligibility.
2. IBEW-NECA: Installers who are Journeymen Electrician with IBEW-NECA PV training, and meet all other program requirements may gain and retain eligibility.
3. UL (Underwriters Labs): Installers who choose to become credentialed through the UL must fulfill the following requirement as a prerequisite to participate in the Program:
Be certified by UL as a PV System Installer

More information on how to become a Contractor can be found in the *NY-Sun CONTRACTOR/BUILDER APPLICATION*. In general, incentives for a typical residential or commercial system cover approximately 25-35% of the installed cost of a PV system.

In addition to financing that may be offered through a Contractor, the Program offers financing through Green Jobs-Green New York (GJGNY) Information on financing options, terms and qualification criteria can be found on NYSERDA's web site at the following link:

<http://www.nysERDA.ny.gov/All-Programs/Programs/Residential-Financing-Options>

Contractor tools to facilitate customer use of GJGNY financing are attached to this solicitation.

II. PROGRAM REQUIREMENTS

The following rules apply to the Program and the payment of incentives:

Energy Efficiency Audit.

Residential Projects: A “Clipboard” Energy Efficiency Audit must be performed. A clipboard energy audit consists of two components: an interview of the home/building owners to ascertain energy use habits and the age of the building, and an inspection of the building to identify energy saving opportunities. The inspection component of the Clipboard Audit includes an assessment of the hard-wired lighting systems and free-standing light fixtures, appliance ages and whether they are ENERGY STAR® qualified, the presence of advanced power strips, existence of “vampire loads” related to consumer electronics and battery chargers, use of programmable thermostats or timers for air conditioners, age and condition of the doors and windows, and details on recent energy efficiency upgrades, such as installation of insulation. The Clipboard Audit should take no more than 60 minutes.

The Clipboard audit also includes a debriefing, during which the Participating Contractor will review with the homeowner the results of the Clipboard Audit. The Participating Contractor will also provide informational brochures on low cost/no cost tips for reducing energy consumption, as well as other NYSERDA, and utility, energy efficiency programs. The Participating Contractor will also leave a list of Home Performance Contractors who the homeowner can contact should they be interested in making more comprehensive energy efficiency improvements to their home. Customers will not be required to implement energy efficiency measures as a pre-requisite to receiving a PV incentive, except in the case that the PV installation is also applying to receive the Affordable Solar for All additional incentive. For installations applying for the Affordable Solar for All additional incentive, certification of the presence of lighting and electric hot water efficiency measures must be included with the incentive application.

Non-Residential Projects: Building owners are provided with information on ENERGY STAR’s Portfolio Manager Benchmarking Tool or other equivalent tool. If requested by the building owner, the Participating Contractor shall assist them to enter utility bill information into the Tool in order to produce a EUI (Energy Use Index) and, where applicable, an ENERGY STAR score. Customers will not be required to benchmark or implement energy efficiency measures as a pre-requisite to receiving Program incentives. A copy of the signed acknowledgement must accompany the application and be uploaded into Powerclerk at time of application.

Incentive highlights:

- Incentives are paid directly to “Contractor” but must be passed on in the full amount to the customer. Incentives will not be provided directly to customers purchasing or installing PV systems.
- Incentives are only available for new equipment and PV systems that have not been installed (partially or completely) prior to being submitted to NYSERDA in accordance with the terms and conditions of this Program.
- Incentives are capped based on a PV system size that does not exceed 110% of the total kWh consumption for the previous 12 months of electric usage. For New Construction, systems must be sized not to exceed 110% of the calculated yearly projected kWh of electric usage.
- All potential PV system output losses associated with shading, system orientation, tilt angle, etc., must be analyzed and detailed for each PV System by the Contractor/Builder. If your system is shaded by trees, faces east or west, or is installed on a flat roof, the kWh output of your PV System will be less than ideal. All impacts on system output must be quantified and are considered during the review of project applications submitted by the Contractor/Builder. Incentives are reduced in proportion to output losses when losses from factors such as shading and orientation exceed 20%.
- The Program uses a MW Block incentive structure that is designed to provide certainty and transparency to the industry regarding incentive levels, accounts for regional market differences, provides a clear signal to industry that New York intends to eliminate cash incentives in a reasonable timeframe, and allows for the elimination of those incentives sooner in regions where the market conditions can support it, based on market penetration, demand, and payback. Information on the Program progress through the MW Blocks will be provided through a Counter/Dashboard. The Counter/Dashboard is an online, publicly facing tool that shows real-time progression in the current blocks, provides incentive levels and MW targets for subsequent blocks and provide details on the progress towards the overall NY-Sun Statewide PV initiative installed capacity goal of 3.175 GW.

Limitation - This solicitation does not commit NYSERDA to award a contract or to pay any costs incurred in preparing any application. NYSERDA reserves the right to accept or reject any or all applications received, and to cancel in part or in its entirety the solicitation when it is in NYSERDA’s best interest.

- III. **ADDITIONAL INFORMATION AND ATTACHMENTS, please visit:** <http://www.nyserda.ny.gov/All-Programs/Programs/NY-Sun/Project-Developers/Residential-Small-Commercial-MW-Block/Resources-Residential-Small-Commercial-MW-Block>



NYSERDA

Small Wind Turbine Incentive Program Program Opportunity Notice (PON) 2439

\$6,000,000 Available

Applications accepted from May 2016 through December 31, 2018 by 5:00 PM Eastern Time

NYSERDA announces the availability of approximately \$6 million in incentives to encourage the installation of end-use wind energy systems for residential, commercial, institutional or government use. The incentives, of up to \$1,000,000 per site/customer, will be paid to Eligible Installers who install new approved grid-connected wind energy systems using qualified equipment, in accordance with the eligibility requirements described below. The maximum equipment size shall be 2 MW (2,000 kW) per site/customer. NYSERDA's incentive shall not exceed 50% of the total installed cost of the system. The program will continue through December 31, 2018 or until funds are fully committed, whichever comes first. (NYSERDA reserved the right to add additional funds to this solicitation and/or extend the timeframe of this solicitation. Depending on market conditions at the time, NYSERDA reserves the right to create a "Wait List" regarding applications received for which funds were not available at the time.

Incentives are intended to benefit both the installer for business development, and the wind energy system owner, where generated power offsets the customer's utility power purchases. Eligible Installers must pass incentives, in their entirety, through to their customers. Incentives will be based on the predicted annual output of the wind energy system, on the proposed tower, at the proposed site, as determined by the NYSERDA-approved wind resource assessment tool. Visit <http://www.nyserda.ny.gov/All-Programs/Programs/Small-Wind-Program> for more details. System designs and annual energy estimates will be reviewed prior to the approval of incentive applications, and systems may be inspected during and following installations. Incentives will not be approved for wind energy systems that are already completely or partially installed prior to approval.

Installers must be approved as eligible by NYSERDA before they may submit an application on behalf of a customer. Installer eligibility will be determined for specific equipment and based on professional experience, company history, and installer credentialing. A list of Eligible Installers is posted on <http://nyserda.ny.gov/Contractors/Find-a-Contractor/Wind-Installers.aspx>. All Eligible Installers receive a letter from NYSERDA that attests to their eligibility to participate in this program.

Individuals or organizations interested in purchasing a wind energy system should first visit the New York State Small Wind Explorer (<http://nyswe.awstruepower.com/>) to see the wind energy potential at their site. Generally, NYSERDA does not recommend wind energy systems for sites where the "Wind Energy Potential," as shown on the Customer Report, is "Below Average" or "Very Poor."

The application forms for this program are available directly from NYSERDA at <http://nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities/PON-2439-On-Site-Wind-Turbine-Incentive-Program.aspx>, by contacting NYSERDA at 1-866-NYSERDA, or at info@nyserda.ny.gov. Completed application forms for incentives for specific installations by Eligible Installers will be processed and approved, until funds are fully committed, under the conditions outlined below. Completed application forms for eligibility as an installer will not be accepted after September 30, 2018. Applications for the qualification of wind turbines will be accepted at any time throughout the duration of this program.

Application Submission: Completed application forms must be clearly labeled, contain all required information, have original signatures, and be mailed to:

New York State Energy Research and Development Authority
PON 2439 Small Wind
17 Columbia Circle
Albany, NY 12203-6399

Envelopes must be addressed as indicated above or processing may be delayed.

Installers may direct any questions to Mark Mayhew at 1-866-NYSERDA, 518-862-1090, extension 3319 or smallwind@nyserda.ny.gov. Please indicate that you are calling in reference to PON 2439.

*Late, incomplete, or unsigned applications for incentives will be returned. Faxed applications for incentives will not be accepted. Applications to become an Eligible Installer or to have a wind turbine listed for eligibility may be e-mailed. Applications will not be accepted at any other NYSERDA location other than the address above. If changes are made to this solicitation, notification will be posted on NYSERDA's website at <http://www.nyserda.ny.gov/>.

I. INTRODUCTION

Wind energy benefits the public by enhancing the reliability of the electricity grid, reducing peak electric demand, increasing in-state electricity generation, increasing the diversity of the state's energy supply portfolio including carbon-free electricity that improves the environment, and making the electric supply market more competitive by promoting consumer choice. To qualify, the small wind energy system must be connected on the customer's side of the electric meter and electricity generated by the system must offset the customer's utility electricity purchases.

This program provides incentives to Eligible Installers who install approved, grid-connected, small wind energy systems. Incentives must be passed on in their entirety to the customer. The program will accept applications for eligibility from installers who would like to participate in the program until September 30, 2018, and will accept applications continuously from wind turbine manufacturers who would like to have their wind turbines listed as eligible to receive funding. Once eligible, installers may apply for incentives for approved wind energy systems, for specific customers, until December 31, 2018 or for as long as funds are available.

To be eligible to install wind energy systems under this program, installers must demonstrate that they have adequate training **and** experience installing wind energy systems, including wind turbines and towers, and must be authorized by the wind turbine manufacturer or distributor to be an installer of the Eligible Wind Turbine.

NYSERDA provides complementary programs that encourage companies, organizations, and individuals to enter or improve their position in the sustainable marketplace. Visit the Funding Opportunities page on NYSERDA's web-site (<http://www.nyserda.ny.gov>) or call 866-NYSERDA for more information. NYSERDA has developed installer training programs to educate and expand New York's wind installer community. Training opportunities will be posted at: <http://www.nyserda.ny.gov/Business-and-Industry/Training-Opportunities>.

Individuals, companies, or organizations interested in purchasing a wind turbine should first visit <http://www.nyserda.ny.gov/All-Programs/Programs/Small-Wind-Program> to see the wind energy potential at the site. If the Wind Energy Potential is "Below Average" or "Very Poor," a wind energy system is not recommended for this location.

II. FUNDING, ELIGIBLE CUSTOMERS, INCENTIVES, LIMITATIONS

A. Program Funding

The Clean Energy Fund (CEF) is the next evolution of clean energy programs and is part of a strategy to build a clean, more resilient, and affordable energy infrastructure in New York State. This fund will operate four major portfolios and Market Development is one of these. The Market Development portfolio will focus on facilitating the market for on-site, behind-the-meter clean energy solutions including energy efficiency, distributed generation, renewable thermal, and energy storage. A core premise of this portfolio is the recognition that, in the absence of a fully functioning market, initiatives are needed to spur solutions and innovations that accelerate the

transition to market mechanisms. The Market Development portfolio will address the diverse barriers to clean energy deployment. Bridge incentives will be deployed alongside new techniques that spur self-sustaining clean energy markets and seek to mobilize capital to create the greatest opportunity for market penetration. The CEF Resource Acquisition Transition plan details the process to transition away from legacy programs. For the Small Wind Incentive program, this will be carried out by an extension through 12/31/2018 of the existing program with a budget of \$6,000,000.

Approximately \$6 million is available for incentives to install approved wind energy turbines for Eligible Customers as defined below. Funding is allocated in two tranches (A, and B) of \$3 million per tranche, with different incentive rates applied in each tranche. The program is expected to be available through December 31, 2018 or until funds are fully committed, whichever comes first.

This program includes an appropriate mechanism to ensure that the smallest-sized, “mini” wind turbines will have funding opportunities. For purposes of this set-aside, a “mini” wind turbine shall be defined as a wind turbine with a rotor swept area of 200 meters squared or less. The program’s budget will include funds specifically dedicated (set-aside) for “mini” wind turbines.

The budget allocated to the program, including the “mini” wind turbine set-aside, is as follows. Different incentive rates will be applied in each tranche, and therefore accessing the Set Aside and/or the General Fund of any given tranche has implications, as does the rolling of uncommitted funds from the Set Aside into the General Fund, whereat they become subject to the incentive rate of the General Fund’s tranche into which they will have been rolled, as further described below):

Tranche	Overall Budget*	Fraction of Budget as “Mini” Wind Turbine <u>Set-Aside</u> *	Fraction of Budget as <u>General Fund</u> *
A	\$3.0	\$1.5 (SA-A)	\$1.5 (GF-A)
B	\$3.0	\$1.5 (SA-B)	\$1.5 (GF-B)
Total	\$6.0	\$3.0	\$3.0

* Dollars are in millions

Until September 30, 2017, the Set-Aside funds in tranches SA-A and SA-B (see third column) will be available exclusively for “mini” wind turbines. If the funds in SA-A (the first tranche) are exhausted and there are uncommitted funds remaining in GF-A (the first tranche), a “mini” wind turbine project may use funds from GF-A. However, if both SA-A and GF-A funds are exhausted, a “mini” wind turbine project shall be awarded funds from SA-B. If the funds in both SA-A and SA-B are exhausted and there are uncommitted funds remaining in GF-B, a “mini” wind turbine project may use funds from GF-B.

Wind turbines not designated as “mini” wind turbines may use funds only from the General Fund; if the funds in GF-A are exhausted, then the wind turbine project may use funds from GF-B.

On September 30, 2017, any Set-Aside funds in tranches SA-A and SA-B not already committed will be rolled into the General Fund and therefore available for any size on-site wind turbine application. Set Aside funds will be rolled into the General Fund of their corresponding tranche if at the time of such rolling that tranche’s General Fund is not exhausted. Specifically, in order to avoid replenishing a General Fund in a tranche which offers incentives via a more-lucrative formula than the incentive formula of the tranche of the General Fund which is prevailing at the time of the rolling, funds shall roll as follows:

SA-A funds will roll:

- Into GF-A if funds remain in GF-A (and will be administered using the incentive rate formula applicable for Tranche A), otherwise
- Into GF-B if GF-A is exhausted (and will be administered using the incentive rate formula applicable for Tranche B)

SA-B funds will roll:

- Into GF- B (and will be administered using the incentive rate formula applicable for Tranche B)

In general, this program will be first-come, first-served with queue position determined based on the date that a full-and-complete application is received by NYSERDA. When the funds remaining in a specific tranche are less than what is requested by the next applicant, the incentive will be split between the two tranches, with the initial fraction of kWh awarded at the incentive rate applicable to the tranche being exhausted, and the remaining fraction of kWh awarded at the incentive rate applicable to the subsequent tranche. If and when funds remaining in the program are less than what is requested by the next applicant, that applicant will be given the right to first refusal of the funds remaining. If that applicant declines, the remaining funds will be offered in the same manner to the next applicant until such time as all funding is exhausted or the close of the program, whichever occurs first. Depending on market conditions at the time, NYSERDA reserves the right to create a “Wait List Queue” regarding applications received for which funds were not available at the time.

Projects eligible under this CEF Program may also be eligible under a Large-Scale Renewables (LSR) solicitation. However, once a project application or proposal has been approved by NYSERDA or becomes the subject of an award under this CEF Program, for which funds are available, that project is ineligible for funding under the LSR Program. Applicants will not be permitted to withdraw or cancel a project application, proposal, or contract in order to apply or pursue an application or proposal in the LSR for the same project (or for any portion of the project).

B. Eligible Customers

Financial incentives for the installation of wind energy systems are available for all sectors, including but not limited to residential, commercial, industrial, agricultural, institutional, educational, not-for-profit, and government-owned facilities. Projects that have been funded or partially funded by other NYSERDA programs are not eligible for funding under this PON. To be eligible, the installation site owner (customer) must be an electricity distribution customer of: Central Hudson Gas & Electric Corporation, Consolidated Edison Company of New York, Inc., New York State Electric & Gas Corporation, National Grid, Orange and Rockland Utilities, Inc. or Rochester Gas and Electric Corporation, who pays the Systems Benefit Charge surcharge. This charge typically appears as an itemized charge on the electric utility bill, with a reference to SBC.

Wind energy systems owned by third-parties may be eligible for funding under this program, provided that the site host (customer) pays the SBC surcharge, and that any contractual relationship involving the customer, system owner, or the installer provides that the entire incentive payment is being passed on to the customer, and that the program requirements required of Eligible Installers are provided to the customer by an Eligible Installation company.

C. Incentive Levels

The NYSERDA incentive will be based on the expected annual energy output (AEO) of the proposed wind energy system, at the proposed location. The AEO must be calculated by the NYSERDA-approved wind resource assessment tool. Visit <http://www.nyserdera.ny.gov/All-Programs/Programs/Small-Wind-Program> for more details. It will also be necessary to complete a Wind Site Assessment, as further explained in Section IV. A.

The incentive rate at Tranche A is identical to the program's recent historic incentive rate, but the incentive rate will decline at Tranche B (to 80% of Tranche A). An application which exhausts the funds in a given tranche and requires funds from the next subsequent tranche will be awarded funds on a pro-rated basis, receiving funds from each tranche at the incentive rate associated with that particular tranche.

Incentive Rate at Tranche A:

If the AEO is 10,000 kWh or less, the NYSERDA incentive is \$3.50 per kWh.

*Example: If the AEO of the wind energy system is 7,400 kWh, the NYSERDA incentive is \$25,900.
[7,400 kWh x \$3.50/kWh]*

If the AEO is greater than 10,000 kWh and less than or equal to (\leq) 125,000 kWh, the NYSERDA incentive is \$35,000 plus \$1.00 per kWh for every kWh greater than 10,000 kWh.

*Example: If the AEO of the wind energy system is 32,500 kWh, the NYSERDA incentive is \$57,500.
[\$35,000 + (22,500 kWh x \$1.00/kWh)]*

If the AEO is greater than 125,000 kWh and less than or equal to (\leq) 1,000,000 kWh, the NYSERDA incentive is \$150,000 plus \$.30 per kWh for every kWh greater than 125,000 kWh.

*Example: If the AEO of the wind energy system is 200,000 kWh, the NYSERDA incentive is \$172,500.
[\$150,000 + (75,000 kWh x \$.30/kWh)]*

If the AEO is greater than 1,000,000 kWh, the NYSERDA incentive is \$412,500 plus \$.15 per kWh for every kWh greater than 1,000,000 kWh (up to a maximum incentive of \$1,000,000).

*Example: If the AEO of the wind energy system is 2,500,000 kWh, the NYSERDA incentive is \$637,500.
[\$412,500 + (1,500,000 kWh x \$.15/kWh)]*

Incentive Rate at Tranche B:

If the AEO is 10,000 kWh or less, the NYSERDA incentive is \$2.80 per kWh.

*Example: If the AEO of the wind energy system is 7,400 kWh, the NYSERDA incentive is \$20,720.
[7,400 kWh x \$2.80/kWh]*

If the AEO is greater than 10,000 kWh and less than or equal to (\leq) 125,000 kWh, the NYSERDA incentive is \$28,000 plus \$0.80 per kWh for every kWh greater than 10,000 kWh.

*Example: If the AEO of the wind energy system is 32,500 kWh, the NYSERDA incentive is \$46,000.
[\$28,000 + (22,500 kWh x \$0.80/kWh)]*

If the AEO is greater than 125,000 kWh and less than or equal to (\leq) 1,000,000 kWh, the NYSERDA incentive is \$120,000 plus \$.24 per kWh for every kWh greater than 125,000 kWh.

*Example: If the AEO of the wind energy system is 200,000 kWh, the NYSERDA incentive is \$138,000.
[\$120,000 + (75,000 kWh x \$.24/kWh)]*

If the AEO is greater than 1,000,000 kWh, the NYSERDA incentive is \$330,000 plus \$.12 per kWh for every kWh greater than 1,000,000 kWh (up to a maximum incentive of \$1,000,000).

Example: If the AEO of the wind energy system is 2,500,000 kWh, the NYSERDA incentive is \$510,000. [$\$330,000 + (1,500,000 \text{ kWh} \times \$.12/\text{kWh})$]

Changes in Incentive Level - Although incentives are expected to stay at the above levels, incentives may be changed at any given time during the program, for any reason. Eligible Installers will be notified of any program changes via e-mail and the changes will also be posted on NYSERDA's web site. Applications that are complete when received by NYSERDA will not be subject to subsequent changes in incentive levels.

Visit <http://www.nyserdera.ny.gov/All-Programs/Programs/On-Site-Wind-Program> for more details on the NYSERDA-approved wind resource assessment tool. This assessment tool may not be appropriate for building-mounted wind turbines, short towers (typically less than 60 feet tall), tall towers (typically, greater than 140 feet tall), wind turbines to be installed in an urban environment, or wind turbines with a nameplate rating equal to or greater than 100 kW. For these systems, additional site assessment procedures will be required in order to validate the wind resource available to the wind turbine and the estimated AEO. The information provided by the installer will be reviewed on a case-by-case basis; additional information may be requested.

D. Limitations.

The maximum incentive available is \$1,000,000 per site/customer. The maximum total equipment size is 2 MW (2,000 kW) per site/customer. The NYSERDA incentive will not exceed 50% of the total installed cost of the wind energy system.

The purpose of NYSERDA's Small Wind Turbine Incentive Program is to support the installation of customer generation that will produce electricity primarily for use by that customer. Consistent with this purpose, this program limits the size (kW) of the electric generation system that can be installed. Systems shall be sized such that the expected annual energy produced (kWh/year) by the system will not exceed 110% of the customer's grid-supplied electric energy usage per annum, including eligible remote meters. To be eligible each remote net meter(s) must be subject to the payment of the SBC surcharge on the account served by each remote meter, also known as a satellite account. For sites that do not have 12 months of electric consumption or that are increasing their electric use, an estimated energy use analysis may be used to predict that usage.

If multiple wind turbines are installed at a site, the NYSERDA incentive is based on the AEO of all wind turbines combined and is not based on the AEO of each individual wind turbine. For example (shown using incentive rates from Tranche A): If two wind turbines are installed and the AEO for each wind turbine is 10,000 kWh (and thus the overall installation has an AEO of 20,000 kWh), the NYSERDA incentive will be \$45,000 (\$35,000 + \$10,000) and not \$70,000 (\$35,000 + \$35,000).

Applications will be accepted for review in accordance with the following limitations:

- The first application submitted by a new Installer must be approved by NYSERDA before any additional applications may be submitted.
- If more than five (5) of an Eligible Installation Company's open projects (i.e., application for which NYSERDA has issued a Purchase Order but NYSERDA has not yet paid the final invoice) are not proceeding in a timely manner, as defined in Section II.F of this PON, NYSERDA will not process or approve any additional applications involving that company, until the non-timely projects are reduced to no more than five (5). Relatedly, the one-time batch of applications being re-directed into this PON from

the previous program which closed 2/29/2016 will be allocated funds from Tranche A at the Tranche A incentive rate but, for an Eligible Installation Company with more than five (5) open projects that are not proceeding in a timely manner, NYSERDA will not further process applications until the non-timely projects are reduced to no more than five (5).

Incentives are only available for the installation of new equipment and wind energy systems that have not been installed (partially or completely) prior to NYSERDA approval of an incentive application submitted in accordance with the terms and conditions of this PON. Incentives are only available to Eligible Installers and incentives must be passed on in their entirety to customers. Incentives will not be provided directly to customers who purchase and install their own wind energy systems.

E. Incentive Payment Schedule

Incentives will be paid to Eligible Installers in two increments and will be tied to specific installation milestones. The first incentive payment, which is 65% of the total incentive amount approved by NYSERDA, will be paid upon demonstration that all wind energy system components have been delivered to the customer's site and the tower foundation is complete. Attachment D must be completed, submitted, and approved by NYSERDA to receive payment. Supporting documentation must be included, which shall consist of a copy of the equipment packing slip(s) for the turbine, tower, and balance of system, signed by the customer, to indicate that the all system components have been delivered to a customer's site and copies of the concrete delivery slips or other equivalent approved documentation. The second incentive payment, which is the remaining 35% of the total incentive amount approved by NYSERDA, will be paid upon demonstration that the wind energy system has been connected to the utility grid, inspected by all authorities having jurisdiction, and/or inspected by NYSERDA or its representatives and Attachment E has been completed, submitted and approved by NYSERDA. Documentation for all applicable utility, state, city, town, and other inspections and approvals must be attached to Attachment E.

F. Application and Payment Approval Timing

Complete, accurate, and legible incentive applications will help facilitate a quick review. NYSERDA will not consider or process applications that are not complete. Applications that are not complete and signed by both the Eligible Installer and Customer when submitted will not be processed. In general, this program will be first-come, first-served with queue position determined based on the date that a full-and-complete application is received by NYSERDA.

Incentive Application Form Part 1 (Attachment A) will be reviewed and installers will be notified within 30 days of NYSERDA's receipt of the completed application. Applications for proposed installations that (1) do not meet the requirements of PON 2439, (2) have installation and interconnection schedules in the customer purchase agreement that are not reasonable, and/or (3) indicate that the proposed wind energy system has been installed (partially or completely) before NYSERDA approval will be rejected and returned.

Incentive Application Form Part 2 (Attachment B) will be reviewed and, for situations where the Town or other permit-granting body has completed the requirements of the State Environmental Quality Review Act (SEQR) (<http://www.dec.ny.gov/permits/357.html>), installers will be notified within 30 days of receipt of the application. If no zoning, land-use or other approval-granting body has jurisdiction, at least an additional 30 days will be necessary.

Upon NYSERDA's approval of a full and complete application, the installer will receive an approval letter with a Purchase Order attached; this is the point at which funds will be allocated for the project. The date on the Purchase Order shall serve as the starting date of the project. All the wind energy system components should be delivered to the customer's site within 120 days of this starting date (**the first milestone**). With the delivery of

this equipment, the Eligible Installation Company may request their initial 65% payment from NYSERDA. Otherwise, the project will be deemed to be delinquent and may be subject to corrective action at NYSERDA's sole discretion including but not limited to termination of the incentive award and/or withholding the award of further contracts to the involved Eligible Installation Company based on the company's overall portfolio of then delinquent projects.

The remaining 35% shall be paid once the wind energy system is operating, has been connected to the utility grid, inspected by all Authorities Having Jurisdiction, and/or after a NYSERDA system inspection to verify that the system installation was consistent with the NYSERDA application. Documentation for all applicable utility, state, city, town, and other inspections and approvals must be attached to Attachment F. Final incentive payments may be contingent on NYSERDA inspecting an installed system. Inspections will be made within a reasonable time after a system is installed and are not intended to significantly delay a final incentive payment if all program requirements have been met. The wind energy system must be shown to be operational within 120 days of achieving the **first milestone**. Otherwise, the project will be deemed to be delinquent and may be subject to corrective action at NYSERDA's sole discretion including but not limited to termination of the Contract and/or withholding the awarding of further contracts to the involved Eligible Installation Company based on the company's overall portfolio of then delinquent projects.

For both the initial and the final payments, when all deliverables have been met, incentives for approved wind energy systems will be paid under the terms of NYSERDA's prompt payment policy.

(http://nyserda.ny.gov/~media/Files/FO/Standard%20Forms%20and%20Agreements/exhibitd.ashx?sc_database=web)

III. WIND ENERGY SYSTEM AND SITE REQUIREMENTS

A. Wind Energy Systems and Components

Systems must be for grid-connected, on-site applications to be eligible for an incentive. Small wind energy systems are those connected on the customer's side of the electric meter; the electricity generated by the wind energy system must offset the customer's utility electricity purchases. All components of wind energy systems installed under this program must be new equipment. **Incentives are only available for wind energy systems that have not been installed (partially or completely) prior to NYSERDA approval of an incentive application submitted in accordance with the terms and conditions of this PON.** Construction or partial construction of the foundation is considered partial installation of the wind energy system and should not occur prior to NYSERDA's approval of an incentive application.

Wind Turbines - Only wind turbines that have been pre-approved by NYSERDA are eligible for funding under this program. A list of Eligible Wind Turbines is available at <http://www.nyserda.ny.gov/All-Programs/Programs/Small-Wind-Program/Eligible-Wind-Turbines>.

Towers - Wind turbines must be mounted on an appropriate tower and the towers must be designed to accommodate the proposed wind turbine. It is recommended that towers be at least 60 feet in height; however, the bottom of the rotor must be at least 30 feet above any obstacle, in any direction, within 500' of the turbine. NYSERDA reserves the right to consider installations on a case-by-case basis.

Building-Mounted Turbines – In situations where the local municipality has an ordinance that stipulates the criteria for building-mounted wind turbines, a wind turbine may be mounted on a pre-existing structure such as a building or a pre-existing tower. For turbines mounted on a pre-existing structure, a structural analysis must be

provided demonstrating sufficient structural integrity. NYSERDA reserves the right to approve such applications on a case-by-case basis.

Inverters and Interconnection - Inverters and interconnection devices must be listed on the New York State Department of Public Service's list of Certified Interconnection Equipment (<http://www3.dps.ny.gov/W/PSCWeb.nsf/All/DCF68EFCA391AD6085257687006F396B?OpenDocument>) or the interconnection must be in agreement with the most current version of the Public Service Commission's Standardized Interconnection Requirements. All wind energy systems must have an appropriate interconnection agreement with the utility and the wind energy system must be installed in compliance with that agreement.

Other Electrical Components - All other electrical components of the wind energy systems such as charge controllers, batteries, wiring, and metering equipment must be certified as meeting the requirements of any relevant national and state codes and standards.

Monitoring Equipment - Each wind energy system must include, at a minimum, a cyclometer register kilowatt-hour meter (or a meter that can be read numerically by a customer or an "easy read meter") to read total energy output. The energy metering data must be automatically stored independently of the inverter display. In lieu of a meter, a data acquisition system (DAS) capable of transmitting and storing data off-site may be used. The meter must have an accuracy of within $\pm 5\%$ and include a certificate of compliance from the manufacturer. Energy production (including the date of first production and the date of each meter reading) must be collected by the installer or customer at least once per month and the installer must submit this data to NYSERDA twice per year for two years following interconnection of the wind energy system. A DAS does not alleviate the installer's responsibility to submit timely data to NYSERDA. At NYSERDA's cost, NYSERDA may require that additional monitoring equipment be installed.

B. Siting Considerations

Under the provisions of the State Environmental Quality Review Act (SEQR), NYSERDA must determine if the funding of any action may have a significant impact on the environment. All wind installations must meet the requirements of the local zoning ordinances.

In addition, the following general criteria will apply:

- The minimum work zone distance between the tower base, and a property line or power line is the height of the wind energy system, above ground level, including the blades, plus 10%. (i.e., 1.1 times the total height of the wind energy system)
 - o Customers may apply for an exemption with written permission from the neighbor and an indication from the neighbor that the use of land in the vicinity is consistent with the proposed wind energy system. There is no exemption for power lines.
- The minimum setback distance between the tower base and any human-occupied building is five times the rotor diameter.
 - o Customers may apply in writing for an exemption from this minimum distance requirement for buildings they own; however, the customer must demonstrate that the potential problems that may arise by locating the wind energy system less than the required distance from the building have been addressed.
- For building-mounted applications, if the local municipality has an ordinance that stipulates the criteria for building-mounted wind turbines, then building-mounted wind turbines may be eligible for funding under this program, provided all other program requirements are met. If the local municipality does not have an ordinance that stipulates the criteria for building-mounted wind turbines, then a building-mounted wind turbine is not eligible for funding under this program.

- If multiple turbines are proposed for a site, there must be a distance of at least ten times the rotor diameter between the tower bases.
- The bottom of the rotor must be at least 30 feet above any obstacle, in any direction, within 500' of the turbine.

IV. REQUIRED DOCUMENTATION FOR CUSTOMER INCENTIVE APPLICATIONS

There are two parts to the incentive application: Attachment A, "Installation Information," and Attachment B, "Permitting and SEQR Information." Installers may submit Attachment A prior to obtaining permits for the wind energy system as it is possible that the review of Attachment A could result in recommendations to make changes to the wind energy system location or tower height. Both Attachments A and B include lists of the supporting documentation that must be provided with each. Only after Attachments A and B and all supporting documents are reviewed and approved by NYSERDA will a Purchase Order be issued.

A. Attachment A – Installation Information

Attachment A describes the site and the wind energy system that will be erected. Installers must supply all of the information requested in Attachment A, "Installation Information." Applications that do not include all of the information requested will be returned.

Wind Site Assessment - A wind site assessment provides customers with site-specific information and will be the basis for determining the NYSERDA incentive. At a minimum, this assessment shall include the following; however, applications for turbines with a nameplate rating of greater than 100 kW will require a more detailed analysis:

- An evaluation of the wind resource at the potential location of the wind turbine(s) at hub height. This information will be generated by the NYSERDA-approved wind resource assessment tool. *
- Eight photographs taken from the proposed wind energy system location looking in the following directions: N, NE, E, SE, S, SW, W, NW.
- Site contour map.
- Demonstrated historic annual site electric use (kWh). For sites that do not have 12 months of electric consumption or that are increasing their electric use, an energy-use analysis may be used to predict that usage. Copy of a utility bill(s) showing proof of payment by customer of the System Benefits Charge surcharge (SBC) (or letter from utility if not indicated on electric bill) and annual kWh usage. Attachment I – Electric Utility Information must also be completed.
- Details about the proposed turbine, including manufacturer and model, rotor diameter, tower height, and tower type.
- A description of potential obstructions that may affect the proposed turbine's AEO. NYSERDA may apply additional turbulence losses to the analysis. When the obstacles are trees, their mature height must be used to determine minimum turbine height.
- Aerial photos or images of the potential wind site.

- Elevation of the site (feet about sea level).
- A plot plan, on 8-1/2" x 11" paper, (multiple plans may be submitted, if scaling is an issue.) which includes the following:
 - o Property lines and physical dimensions of the property
 - o Location, dimensions, and types of existing major structures on the property
 - o Location of the proposed wind system tower(s)
 - o The right-of-way of any public road that is contiguous with the property;
 - o Location of any overhead utility lines;
 - o Location of utility meter; and
 - o Electrical interconnection location.
- Estimated AEO of the proposed turbine.*

Only the NYSERDA-approval wind resource assessment tool may be used to determine average annual wind speed and estimated AEO. NYSERDA reserves the right to use its own estimate for the purpose of determining the NYSERDA incentive.

- * Visit <http://www.nyserdera.ny.gov/All-Programs/Programs/On-Site-Wind-Program> for more details on the NYSERDA-approved wind resource assessment tool. This assessment tool may not be appropriate for building-mounted turbines, short towers (typically less than 60 feet tall), tall towers (typically, greater than 140 feet tall), turbines to be installed in an urban environment, or turbines with a nameplate rating equal to or greater than 100 kW. For these systems, additional site assessment procedures will be required in order to validate the wind resource available to the turbine and the estimate AEO. The information provided by the installer will be reviewed on a case-by-case basis.

Wind Site Assessment for wind turbines with a nameplate rating equal to or greater than 100 kW shall also include a review of the following:

- Accessibility of site and availability of work area
- Ease of interconnection to existing electrical infrastructural (on-site and utility)
- Economic analysis
- Shadow flicker and sound issues
- Any additional reviews required by any Authority Having Jurisdiction (AHJ).

One-Line Diagram - A legible diagram using unique line characteristics and standard symbols to clearly describe the wind energy system as it will be installed. The One-Line Diagram must show all major system components from the wind turbine to the utility meter. Each conductor's size and type is to be shown, as well as the relevant conduit characteristics (i.e. size and type, and length, if greater than 20'). The make, model, and voltage and amperage ratings of all overcurrent devices, switches, inverters, batteries and other relevant equipment are to be shown, as applicable. The Diagram should also make clear whether the system will be connected via a line-side tap or if it will be back-fed through a circuit breaker in the main service panel.

System designs must be in accordance with applicable local, State, and national codes and regulations, including Article 694, Small Wind Electric Systems, of the National Electrical Code.

Installation Drawings - Provide copies of any tower foundation blueprints or drawings, tower blueprint or drawing, and any other documentation required by the AHJ.

B. Attachment B - State Environmental Quality Review

Attachment B, Permitting and SEQR Information, provides a list of the steps and supporting documents that are necessary for approval of NYSERDA funding. It is the Eligible Installer's responsibility to insure that all necessary permits, approvals, certificates, etc. from any applicable AHJ are obtained for all installed systems.

The Eligible Installer is responsible for ensuring that each project complies with the requirements of the State Environmental Quality Review Act (SEQR). Under the provisions of SEQR, NYSERDA must determine if the funding of any action may have a significant impact on the environment, regardless of any other authority's determination. SEQR review should begin with an application to the Town board, zoning, land-use or other local approval-granting body. A SEQR negative declaration or other determination by a local authority will be considered by NYSERDA in its determination. NYSERDA does not consider the installation of a wind turbine to be a Type II Action.

For incentive applications where the combined total name plate rating of the wind turbines is equal to or greater than 100 kW, the application must include the Full Environmental Assessment Form with the Visual EAF. During NYSERDA's review, particular attention will be paid to questions A-11, A-14, A-18, B-9, B-10, C-11 and C-17.

Eligible Installers are encouraged to review the SEQR requirements early in the developmental stage, before entering a contract with a customer that reflects NYSERDA participation. Please contact NYSERDA if you have any questions regarding these requirements. For a more comprehensive description of the SEQR process visit <http://www.dec.ny.gov/permits/357.html>. NYSERDA will not commit to providing incentives on any project until it makes a determination under SEQR.

V. INSTALLER ELIGIBILITY

To apply for status as an Eligible Installer, an individual must complete and submit Attachment F - Installer Eligibility Application Form along with the required supporting documentation. An applicant's eligibility will be determined and maintained for specific wind turbines depending on the types of wind energy systems the applicant has experience installing. Attachment J - Manufacturer Authorization Letter must also be completed; this letter stipulates that the installer is authorized to install the specified wind turbine and that the manufacturer will honor the NYSERDA required warranty, as stated in Attachment C - Addendum to Customer Purchase Agreement, in the event of a default by the installer.

Determinations of eligibility will be based on factors such as acceptance of all program terms and conditions, training, extent and type of installation experience, customer references, and proof that at least one of NYSERDA's Eligible Wind Turbine manufacturers or dealers will sell product to the applicant. Site assessment skills, wind resource and energy estimation skills, and professionalism will also be evaluated. Past performance under NYSERDA programs is a critical criterion for determining eligibility and the conditions of eligibility under this solicitation.

Once determined otherwise eligible, applicants will be required to sign and comply with the Standard Terms and Conditions (Attachment G). If the Eligible Installer, Installation Company employees, or subcontractors do not meet all program terms and conditions or program requirements, the Eligible Installer will be subject to termination or suspension actions as described in Section 3(b) of Attachment G, Eligible Installer Agreement - Standard Terms and Conditions.

Installers will be required to meet all insurance requirements (both commercial general liability and commercial automobile liability insurance) as specified under Section 10 of Standard Terms and Conditions (Attachment G). Each insurance certificate must name NYSERDA and the State of New York as additional insureds. Proof of insurance must be provided to NYSERDA and submitted with the signed copy of the Standard Terms and Conditions.

Once the above requirements have been satisfied and the installer has been notified in writing by NYSERDA of Eligible Installer status, an Eligible Installer may then submit applications for incentives for specific customers, under the terms and conditions described in PON 2439, and the Eligible Installer will be placed on NYSERDA's list of Eligible Installers. Review of Eligible Installer Applications may take up to 30 days. Since the incentives offered under this program will close on December 31, 2018, until further notice installer eligibility applications will only be accepted until September 28, 2018.

A list of Eligible Installers is posted on <http://nyserda.ny.gov/Contractors/Find-a-Contractor/Wind-Installers.aspx>.

To maintain eligibility under this program, all installers must meet the following conditions every calendar year:

- Their insurance is current
- They can show proof that they have had a significant role in a wind turbine installation, attended at least one in-depth wind installation training course, or attended an in-depth wind site assessor course. (NABCEP Certified Small Wind Installers are exempt from this initiative.)
- There have been no other substantial changes that could affect their program eligibility.

NYSERDA's Rights and Limitations - NYSERDA may deny or revoke eligibility for any reason, including, but not limited to: inadequate training, inadequate experience, poor references, failure to act professionally, fairly, and in good faith with NYSERDA or customers, providing false information to NYSERDA or customers, poor performance in previous NYSERDA programs, and committing actions that would be subject to disciplinary actions under Section 3(b) of Attachment G, Compliance with program terms and conditions.

Neither NYSERDA nor the State of New York endorses any Eligible Installer, Installation Company, or Eligible Wind Turbine. In addition, NYSERDA and the State of New York does not guarantee, warrant, or in any way represent or assume liability for any work proposed or carried out by an Eligible Installer or Installation Company. NYSERDA is not responsible for assuring that the design, engineering, or construction of the project or installation of any wind energy system is proper or complies with any particular laws, regulations, codes, licensing, certification and permit requirements, or industry standards. NYSERDA does not make any representations of any kind regarding the results to be achieved by the wind energy systems or the adequacy or safety of such measures.

VI. ELIGIBLE WIND TURBINES

Only commercially available wind turbines with a proven record for power performance, reliability, safety, and acoustics will be considered for funding. NYSERDA is a member of the Interstate Turbine Advisory Council (ITAC), established under the Clean Energy States Alliance. One of ITAC's goals is to establish a collaborative group of public clean energy programs to evaluate and identify small and medium wind turbines that fit the performance and durability expectations of incentive providers. ITAC has published its Unified List of Turbines, which is available at <http://www.cleanenergystates.org/projects/ITAC/itac-unified-list-of-wind-turbines/>. NYSERDA has adopted this list for all wind turbine sizes included in the list, as they pertain to PON 2439.

NYSERDA reserves the right to impose additional restrictions or modify ITAC's requirements dependent on program needs.

For wind turbines outside the ITAC purview to be considered for eligibility to receive funding under this program, a manufacturer or dealer must complete and submit Attachment H, Eligible Wind Turbine Application Form, with all of the information requested.

NYSERDA requires that manufacturers or dealers of wind turbine provide evidence that an international organization, accredited to ISO/IEC Guide 65 or EN45011, has certified that the wind turbine meets the appropriate sections of IEC 61400 for acoustics, durability, safety, and performance standards.

In addition, in order to participate in the program, the manufacturer or dealer must submit the technical specifications on the wind turbine, inverter, and tower, as well as the power curve in graphic and table form, from IEC 61400-12-1. NYSERDA reserves the right to deny eligibility of any wind turbine for any reason including but not limited to: poor performance, concerns about wind turbine's design, concerns about the quality of data presented, or lack of manufacturer support for maintenance and warranties. Review of Wind Turbine Applications may take up to 60 days.

Details on Eligible Wind Turbines may be found at: <http://www.nyserda.ny.gov/All-Programs/Programs/Small-Wind-Program/Eligible-Wind-Turbines>.

VII. GENERAL CONDITIONS

Proprietary Information - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes.

The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to exempt it from disclosure, including a written statement of the reasons why the information should be exempted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <http://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

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

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

Empire State Development
Division For Small Business

625 Broadway
Albany, NY 12207

A directory of certified minority- and women-owned business enterprises is available from:

Empire State Development
Minority and Women's Business Development Division
625 Broadway
Albany, NY 12207

State Finance Law sections 139-j and 139-k - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain new procurement lobbying requirements which can be found at

<http://www.ogs.ny.gov/aboutogs/regulations/advisoryCouncil/StatutoryReferences.html>

The attached Proposal Checklist calls for a signature certifying that the proposer will comply with State Finance Law sections 139-j and 139-k and the Disclosure of Prior Findings of Non-responsibility form includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years.

Tax Law Section 5-a - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. *See*, ST-220-TD (available at http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department. The Department has created a second form that must be completed by a perspective contractor prior to contacting and filed with NYSERDA. *See*, ST-220-CA (available at http://www.tax.ny.gov/pdf/2006/fillin/st/st220ca_606_fill_in.pdf). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

Contract Award - NYSERDA anticipates making multiple awards under this solicitation. It may award a contract based on initial applications without discussion, or following limited discussion or negotiations. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will issue a Purchase Order and cover letter to contract successful proposals. NYSERDA expects to notify applicants in approximately four weeks from the receipt of an application whether your application has been selected to receive an award.

Limitation - This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest.

Disclosure Requirement - The proposer shall disclose any indictment for any alleged felony, or any conviction for a felony within the past five years, under the laws of the United States or any state or territory of the United States, and shall describe circumstances for each. When a proposer is an association, partnership, corporation, or other organization, this disclosure requirement includes the organization and its officers, partners, and directors or members of any similarly governing body. If an indictment or conviction should come to the attention of

NYSERDA after the award of a contract, NYSERDA may exercise its stop-work right pending further investigation, or terminate the agreement; the contractor may be subject to penalties for violation of any law which may apply in the particular circumstances. Proposers must also disclose if they have ever been debarred or suspended by any agency of the U.S. Government or the New York State Department of Labor.

VIII. ATTACHMENTS

Attachment A - Customer Incentive Application Form

Attachment B - Permitting and SEQR Information

Attachment C - Addendum to the Customer Purchase Agreement - Standard Terms and Conditions

Attachment D - Initial Incentive Payment Form (65% of Approved Incentive)

Attachment E - Final Incentive Payment Form (35% of Approved Incentive)

Attachment F – Installer Eligibility Application Form

Attachment G - Eligible Installer Agreement - Standard Terms and Conditions

Attachment H - Eligible Wind Turbine Application Form

Attachment I – Electric Utility Information

Attachment J – Manufacturer Authorization Letter



CHP Program
Program Opportunity Notice (PON) 2568
\$21 Million Through 2018 **

Applications for installation of projects up through 3MW accepted through 5:00 PM ET on December 31, 2018*
Applications for installation projects over 3MW accepted through 5:00 PM ET on December 30, 2016*

The Combined Heat and Power (CHP) Program provides incentives for the installation of grid-connected CHP systems at customer sites that pay the System Benefits Charge (SBC) on their electric bill.

The CHP Program supports an accelerated procurement process where customers select from a set of pre-engineered CHP modules supplied by approved CHP vendors (the Catalog Approach) or the more traditional design/build procurement process specifically for larger CHP systems where requirements are not adequately met by the Catalog Approach (the Custom Approach).

Under the Catalog Approach, approved CHP vendors act as a single point of responsibility for the entire project and provide a minimum 5-year maintenance/warranty agreement on the CHP system. Under this approach, NYSERDA will only accept applications from, and will only contract with, approved CHP vendors.

Under the Custom Approach, NYSERDA will accept applications from the site owner, the CHP System owner, or any member of the project team that is willing and capable of taking responsibility for the proper design, integration, installation, commissioning and maintenance of the CHP System. NYSERDA will contract only with the applicant. The Custom Approach is available for projects 1MW and larger in size.

For studies, NYSERDA provides incentives for in-depth technical and financial site-specific CHP feasibility investigations through NYSERDA's FlexTech Program (<http://www.nyserda.ny.gov/flextech>).

NOTE: Incentives for CHP Systems with aggregate generator capacity between 50kW to 3MW are scheduled to decline in 5% increments off the original incentive for applications received in full starting September 1, 2016, March 1, 2017, and September 1, 2017. Subsequent incentive reductions for CHP systems larger than 50kW and initial incentive reductions for CHP systems 50kW and smaller have not been established at this time.

Application Submission: Send two (2) clearly labeled, completed and signed Incentive Application forms and two (2) completed and signed Disclosure of Prior Findings of Non-Responsibility Forms, all of which must contain original signatures, to:

CHP Program, PON 2568
NYS Energy Research and Development Authority
17 Columbia Circle
Albany, NY 12203-6399

Digital copies of required documentation may be submitted on compact disc mailed to the above address, or via email to CHP@nyserda.ny.gov with the subject line "PON 2568 Application for [site name]".

CHP Inquiries:

Please direct Program questions to: Edward Kear 518 862-1090 ext. 3269, edward.kear@nyserda.ny.gov

Please direct Contractual questions to: Venice Forbes, 518 862-1090 ext. 3507, venice.forbes@nyserda.ny.gov

** No more than \$9 Million of this is available for installations over 3MW through December 31, 2016.

*Late, incomplete, or unsigned applications will not be accepted. Applications will not be accepted at any other NYSERDA location other than the address above. If changes are made to this solicitation, notification will be posted on NYSERDA's website at www.nyserda.ny.gov.

Introduction

CHP can provide both economic and resiliency benefits to the sites where it is used. CHP is generally more efficient than the traditional means of supplying electricity and heat, so the use of CHP can also have significant greenhouse gas reduction benefits. Since CHP is a reliable form of distributed generation, it can also reduce the load on the electric grid during periods of high demand when the grid is under the most stress. In addition, most CHP systems can provide electric power during grid outages. For these reasons and more, NYSERDA encourages the use of CHP where appropriate. This PON is part of a larger effort to build CHP sales and support infrastructure in New York State, and reduce barriers to its use. The goal is to eventually result in a self-sustaining CHP marketplace.

A hallmark of this solicitation is NYSERDA's emphasis to principally provide consumer protection. In that regard, this program supports only commercially-mature products. This program is not intended to assist inventors with developing or demonstrating prototypes or other pre-commercial activities for bringing a new product to market. NYSERDA addresses the two most important aspects of consumer protection through features of this program as follows:

- (1) To ensure that customers acquire durable, quality CHP equipment, furnished by competent solution providers, projects can proceed in an expedited fashion using Catalog-based products consisting of equipment and solution providers that have been vetted by NYSERDA, or projects can proceed using a Custom approach where NYSERDA will vet the proposed equipment and the project team; and
- (2) To ensure that a proposed CHP system is properly size-matched to the needs of the customer, projects can proceed in an expedited fashion using NYSERDA's conservative sizing guidelines, or projects can proceed using a customized sizing approach where NYSERDA will vet the rationale of the proposed size.

In order to assist potential CHP users to learn about CHP, determine if CHP is right for them, and assist in navigating the process of installing a CHP system, NYSERDA has contracted with ERS Inc. (ERS) to provide CHP out-reach and technical assistance at no cost to the customer. Please note: sophisticated customers that have, or are expected to be able to acquire, sufficient technical resources will receive limited assistance from ERS. If you are interested in taking advantage of the no-cost services available, contact:

ERS Inc.
Gita Subramony
212-789-8182 x 292
gsubramony@ers-inc.com

If you are interested in installing a CHP system on your site using the Catalog Approach, NYSERDA recommends the following course of action:

LEARN: What is CHP? Am I a good candidate?

1. Read about the basics of CHP.
 - The Northeast Clean Heat and Power Initiative (NECHPI) has a great summary of CHP (<http://www.nechpi.org/chp-basics/>).
 - The US Environmental Protection Agency (EPA) also has information on the basics of CHP technology (<http://www.epa.gov/chp/what-chp>).
 - The US Department of Energy CHP Technical Assistance Partnership (DOE TAP) also has some collected papers on CHP implementation (<http://www.northeastchptap.org/good-reads>).
2. Determine if your building could be a good candidate for CHP. If your building has a year round need for electricity *and* thermal energy, CHP could be a good energy saving option. The DOE TAP has a quick questionnaire for initial site screening (<http://www.northeastchptap.org/screening-site-qualification>).
3. If you need more information on CHP technology or its benefits, contact ERS.

PLAN: What are the site-specific considerations for CHP at my building?

1. ERS can help customers through the process of planning a CHP project.
2. Complete a preliminary analysis. This includes determining facility characteristics and outlining energy efficiency and resiliency goals.
 - ERS offers a free preliminary analysis to help estimate CHP feasibility and potential sizing options including financial information.
 - The DOE TAP (<http://www.northeastchptap.org/contact>) can also provide, at no cost, additional information on CHP feasibility.
3. Schedule a visit to your building with ERS to identify potential installation obstacles.
4. If you are seeking a CHP system outside of NYSERDA's sizing guidelines, or if you feel that the Custom Approach better meets your need, a more detailed study will be required. NYSERDA's FlexTech Program (<http://www.nysERDA.ny.gov/flextech>) might be able to help.

SHOP: How do I get the information that I need from the vendors?

1. ERS can help customers through the process of issuing a request for vendor bids.
2. Based on the results of either the preliminary analysis or a detailed study, investigate options in the CHP Catalog ([http://www.nysERDA.ny.gov/PON_2568 Attachment C](http://www.nysERDA.ny.gov/PON_2568_Attachment_C)).
3. Gauge vendor interest.
4. Invite vendors to tour the site so that they can formulate and submit detailed proposals with price estimates and procurement style (e.g., buy, lease, power purchase agreement, etc.).

BUY: How do I know if I am buying the right system for the right price?

1. Receive proposals from multiple vendors for installation and maintenance of the CHP system. ERS can assist with analyzing vendor proposals.
2. Ask follow-up questions regarding proposals and receive proposal revisions if necessary.
3. Select the proposal that best meets your building's needs (the proposal must come from a NYSERDA approved vendor and the system must be in the program catalog to qualify for incentives under the Catalog Approach).
4. The selected vendor prepares and submits the application to NYSERDA.

Upon NYSERDA'S acceptance of your project into the program, assist your vendor with meeting the program's milestones for installation and commissioning.

The following is a summary of required documentation prior to application. Please review the Application Requirements listed within this offering:

- A Feasibility Study, such as a NYSERDA FlexTech CHP study or equivalent, if not within NYSERDA CHP sizing guidelines (see below for requirements)
- 30% design (minimum)
- Financial plan (structure of the deal is defined; the customer knows how the CHP system installation will be paid for)
- An installation schedule showing delivery dates for major components and full operation within 10 months of the NYSERDA approval. (Full operation within 24 months for Custom Approach)
- A list of all permits and approvals required.
- Electric interconnect application submitted and a Preliminary Determination and Cost Estimate for the Coordinated Electric System Interconnection Review (CESIR) received from the electric utility.
- Preliminary determination of gas availability from the gas utility, if the CHP System will be fueled by pipeline natural gas.

Program Requirements

The New York State Energy Research and Development Authority (NYSERDA) will provide financial incentives for the installation of grid-connected CHP systems at customer sites that pay the System Benefits Charge (SBC) on their electric bill, or if new construction, will pay the SBC surcharge on the electric bill once interconnected. Incentive funds will be allocated on a project-by-project, first-come-first-served basis in the order of receipt of full and complete applications for projects up to 3MW until December 31, 2018 or until all funds are committed, whichever comes first. Applications for projects with an aggregate generator nameplate size greater than 3MW will be accepted through December 30, 2016. In all instances, the maximum incentive per project, including bonuses, is \$2.5M.

CHP System

For the purposes of this program, a “CHP System” is either:

- A pre-engineered grouping of equipment as described in the CHP Catalog (Attachment C) with a unique catalog model number (a Catalog Module);
- One or more Catalog Modules installed within the same area of customer’s site regardless of whether or not individual Catalog Modules are serving different electric and/or thermal loads; or
- A custom designed grouping of CHP equipment not already available in the CHP Catalog.

A CHP System may consist of more than one prime mover/generator units, and may also include absorption chillers or other thermally activated devices, such as organic Rankine cycle (ORC) generators.

CHP equipment installed at dispersed locations within a campus or a large building, and serving different electric and/or thermal loads may be considered to be separate CHP Systems at the sole discretion of NYSERDA.

CHP Catalog Approach

NYSERDA maintains a catalog of pre-approved CHP equipment supplied by approved vendors (the CHP Catalog). The CHP Catalog may be updated frequently. Vendors may seek qualification of their CHP equipment through RFI 2568.

Each pre-approved CHP module in the CHP Catalog (Catalog Module) has been evaluated for reasonable component sizing and are comprised of reputable components. In addition, Catalog Modules designated as “pre-qualified” have demonstrated real-world performance through long-term monitoring. The approved vendors in the catalog are required to take full, single point-of-contact responsibility for proper installation and performance, and must provide a warranty/service agreement for a minimum of 5 years for the pre-qualified and conditionally qualified Catalog Modules that they offer.

Customers selecting CHP equipment from the CHP Catalog work with the approved vendor who will submit an application to NYSERDA representing the vendor-customer team. Applications for incentives for CHP Systems using Catalog Modules can only be submitted by the pre-approved Vendors. If the application for the incentive is approved, NYSERDA will contract with the Vendor and all incentive payments will be made to the Vendor.

Through December 31, 2016, Applicants that are contemplating systems greater than 3MW using multiples of catalog equipment are encouraged to use the Catalog Approach.

Custom Approach

Customers with larger electric and thermal loads that have requirements that are not adequately met through the CHP Catalog, or by using variants of the equipment from the pre-approved Vendors, may use an optional Custom Approach. Under this approach, NYSERDA will accept applications from the site owner, the CHP System owner,

or any member of the project team that is willing and capable of taking responsibility for the proper design, integration, installation, commissioning and maintenance of the CHP System. NYSERDA will contract only with the applicant. The Custom Approach is available for projects 1MW and larger in size.

Applicants using the Custom Approach must meet the same program requirements as applicants using the Catalog Approach. In addition, Custom Approach applicants must demonstrate that the equipment selected is quality equipment from reputable suppliers, that it meets NYSERDA emission requirements of no more than 1.6 lbs-NOx/MWh, and the components are properly matched to each other and to the building.

Black-Start Capability

Black-start capability refers to the ability of a CHP System to operate in a grid-independent mode during grid outages or emergencies, including the ability to re-start from a non-operating (or “black”) condition without grid power. Typically, this involves the use of a synchronous generator (optionally paired with an inverter). Induction generators are not capable of grid-independent operation or black-start. The transition between grid-connected and grid-independent modes of operation may be either manual or automatic.

In order to receive an incentive under this Program, all CHP Systems with an aggregate nameplate rating greater than 50kW (except back pressure steam turbines and ORC devices) must be capable of grid-independent operation during grid outages (black-start capable), and must be installed to provide priority power (to on-site priority loads as determined by the customer) during grid outages.

All Catalog Modules listed in the CHP Catalog (except, in some instances, non-directly-fueled back pressure steam turbines and ORC devices, and some directly-fueled modules 50kW and smaller), are capable of grid-independent operation during grid outages (black-start capable). In order to receive an incentive under this Program, all Catalog Modules that are black-start capable must be installed to provide priority power (to on-site priority loads as determined by the customer) during grid outages.

The CHP Program provides a limited incentive for the use of non-black-start capable, directly-fueled Catalog Modules 50kW and smaller. If these non-black-start capable directly-fueled Catalog Modules are used in a CHP Systems which is also 50kW and smaller, the incentive will be 2/3 of the incentive for the same sized black-start capable Catalog Module. There will be no incentive for non-black-start capable Catalog Modules when used in CHP Systems larger than 50kW.

Examples:

- A CHP System consisting of two generators at 20kW each, where neither has black-start capability, each generator will be incentivized at the 2/3 rate;
- A CHP System consisting of two generators at 20kW each, where one is black-start capable and the other is not, one will be incentivized at the full rate and the other will be incentivized at the 2/3 rate;
- A CHP System consisting of two generators at 30kW each, where one is black-start capable and the other is not, one will be incentivized at the full rate and the other will receive no incentive.

Conservative CHP System Sizing Guidelines

NYSERDA has developed a set of conservative CHP System sizing guidelines for common building types based on combinations of site characteristics and CHP System sizes that have been shown to perform well. Applications that fall within the sizing guidelines require significantly less engineering analysis and will receive a streamlined review by NYSERDA. The CHP System sizing guidelines can be found in NYSERDA’s CHP Catalog. The sizing guidelines may be updated frequently.

Base Incentives

CHP Program incentives are based on the size of the CHP System, capacities of any thermally activated devices (chillers, ORCs) included in the CHP System, and the region of the State where it is installed.

The incentive regions are defined as:

- Upstate – Customer sites located in the area of the State north and west of Westchester County.
- Downstate – Customer sites located in New York City and Westchester County.

The size of a CHP System is determined by the aggregate prime mover/generator nameplate rating.

If the installation of a CHP System involves the installation of multiple Catalog Modules, or if a Custom Approach is being used, the CHP Program incentive will be based on the aggregate size of the CHP System. All projects, in the same region, with the same aggregate size will receive the same incentive. For example: The Upstate incentive for a CHP System totaling 1.2MW will be the same if it is comprised of a single 1.2MW Catalog Module; two 600kW Catalog Modules; three 400kW Catalog Modules; etc., or if it resulted from a custom design.

The CHP Program Incentive Calculator (Attachment E) can be used to estimate the incentive that will be available for a particular CHP System design. Note: The Incentive Calculator is only to be used to obtain an estimate of the CHP Incentive applicable to a proposed project. NYSEERDA takes no responsibility for errors or misinterpretations resulting from its use. NYSEERDA will review each application, and in its sole discretion, assign the appropriate incentive.

Bonus Incentives

Target Zones have been established by Consolidated Edison for load service areas of particular interest. Each of these Target Zones has been assigned a target year. If a project site is within a Target Zone based on the Consolidated Edison Target Zone map that is in effect as of the date of application approval by NYSEERDA, an additional bonus equal to 10% of the base CHP Program incentive will be paid as part of the final invoice, provided the CHP System is fully operational prior to May of the target year and the total CHP Program incentive does not exceed \$2.5M. Information about Target Zones, and maps showing their locations, can be found at: http://www.coned.com/dg/incentive_programs/incentivePrograms.asp. The Target Zone maps may be updated frequently. Sites appearing on a map in close proximity to the border of a Target Zone may be subject to confirmation by Consolidated Edison whether the site is in fact within the Target Zone.

The base CHP Program incentive for the full CHP System will be increased by 10% if the CHP system is installed to support critical infrastructure, the electric and thermal outputs of the CHP System benefit the portion of the building designated as such, all Catalog Modules used in the CHP System are black-start capable, and the total CHP Program incentive does not exceed \$2.5M. Determination of eligibility is at NYSEERDA's sole discretion.

Critical infrastructure are those systems and assets so vital to the state that the disruption, incapacitation or destruction of such systems or assets, could jeopardize the health, safety, welfare or security of the state, its residents or its economy, including sites that are designated to be an official "facility of refuge" (as recognized by the American Red Cross or the local Office of Emergency Management).

Examples of critical infrastructure include, but are not limited to:

- Hospitals and nursing homes
- Public safety facilities (police, fire, emergency medical services, emergency management, dispatch center or public safety answering point)
- Communications facilities (broadcasting, telecommunications)
- Utilities (water, wastewater treatment)
- Food and medicine warehousing and distribution centers (supermarkets, pharmacies)

Increased Resiliency – The N+1 Option

Sites that desire increased resiliency can install a CHP System with redundant, additional prime mover/generator unit(s) of the same size.

The CHP Program will provide an incentive for one (1) such redundant prime mover units (N+1 Option) as long as:

- The electric and thermal load profiles (or sizing guidelines) justify the base number of prime mover units.
- The CHP System is configured so that, in general, no more than the base number of units are operating under normal conditions.
- The CHP System, as installed in the building, is capable of full operation (all units, base plus redundant, are operating simultaneously) in both grid connected and grid independent (grid outage) modes.
- The aggregated output of all units does not significantly exceed the annual peak electric demand of the meter behind which it is installed.
- The size of no single prime mover significantly exceeds the annual average electric demand (annual kWh/8760) of the electric meter behind which it is installed.

The incentive for a project employing the N+1 Option will be calculated as though a CHP System sized to include a single redundant unit will be installed, regardless of the number of redundant units actually installed. For example, if the design for a CHP System without redundancy includes the installation of two (2) prime mover units, under the N+1 Option, the CHP Program will provide an incentive for a CHP System with one additional unit, in this case, a total of three (3) prime mover units. The customer is free to install additional redundant prime mover units if further resiliency is desired.

The N+1 option is only available for CHP Systems that are capable of full operation during a grid outage (no non-black-start modules). If such a system is installed, the CHP System owner/site owner should consider participating in a demand response program.

Back Pressure Steam Turbines (BPST)

BPST based CHP Systems are eligible using either the Catalog or Custom Approaches. The incentive will be based on annual average hourly production estimated using an 8760-hour analysis of steam supply flow. BPST systems are not required to be capable of grid-independent operation (i.e., black-start capable), however the incentive for a non-black-start system will be only 2/3 that of a black-start capable system.

Organic Rankine Cycle (ORC) Generators

In general, ORCs can either be a standalone system, using some site specific waste heat, or integrated into a CHP system as a bottoming cycle powered by the thermal output of the system's other prime mover(s).

The incentive for standalone ORCs is based on the estimated annual average output using an 8760-hour model of the waste heat availability and the ORC performance curve. Just like BPSTs, black-start is not required, but the incentive is 2/3rd for non-black-start ORCs.

The incentive for integrated ORCs is based on the output of the ORC when powered by the thermal output of the CHP System's prime mover(s) under full load. Black-start is not required, but the incentive is 2/3rd for non-black-start ORCs. However, if the combined system (prime mover and ORC) is black-start capable, and can provide full electric output during grid outages, then the ORC component will receive the full incentive.

Project Requirements

In order to be approved for an incentive, the site must show that it is subject to the SBC surcharge on its electric bill.

The Applicant must demonstrate that the site's electric and thermal load profiles justify the size of the CHP System such that the annual fuel energy utilization would be expected to exceed 60% based on fuel Higher Heating Value (HHV), or that the proposed CHP System size falls within NYSERDA's conservative CHP System sizing guidelines as specified in the CHP Catalog.

If the site is located within a 500-year flood zone then the CHP System, including all components required for proper operation (pumps, controls, switch gear, etc.) must be located above the expected flood level.

The CHP System prime mover(s) cannot produce more than 1.6 lbs-NO_x/MWh (pounds of NO_x per megawatt hour of electric production) at any point over the entire operating range of the system.

The CHP System may include equipment fueled by pipeline natural gas, propane or compressed natural gas. CHP Systems where the prime mover is fueled directly by low BTU or adulterated fuels, such as biogas, landfill gas, and gasifier gas are not eligible under this Program. However, on a case by case basis, at NYSERDA's sole discretion, external-combustion-driven CHP Systems such as back pressure steam turbines or ORC devices may be considered eligible when using steam and/or waste heat derived from low BTU or adulterated fuels (the NYSERDA discretion will primarily consider the long-term availability of the steam and/or waste heat source relative to the anticipated lifespan of the CHP equipment).

Recommissioning

NYSERDA intends to dispatch a re-commissioning agent, at NYSERDA's expense, to a selected number of CHP Program sites in general between the 12th and 24th month of CHP System operation to inspect the CHP System, analyze its operation and performance, identify any areas for improvements, and make recommendation as appropriate. The re-commissioning activity may include the temporary (approximately one month) installation of additional monitoring equipment. The vendor, site owner and system owner (if applicable) must agree to provide site access and to cooperate with NYSERDA's re-commissioning agent.

Monitoring

All CHP Systems larger than 50kW installed under this PON must be instrumented so that CHP System performance (including thermal use) can be measured on 15 minute intervals. In addition, NYSERDA intends to sample the performance of small CHP Systems (50kW and less) by accessing any monitoring system included within the CHP System by the Vendor, or by installing monitoring equipment at NYSERDA's expense at select CHP project sites. In any case, the site owner must provide a communications route (phone line or internet connection) so that this performance data can be automatically uploaded to NYSERDA's DG Performance Website (<http://chp.nyserderda.ny.gov>) on a daily basis for at least 3 years, where such performance data will be available to the public.

Project Schedule – CHP Systems less than 1MW.

You should be ready to proceed – Your project schedule should be more aggressive than the following milestone schedule (time measured from formal approval of your application by NYSERDA):

- Within 120 days: Major CHP system components delivered to site or staging area approved by NYSERDA project manager.
- Within 300 days: CHP system fully installed, operational, and final approval to operate received from the electric utility. This will trigger a post installation inspection by NYSERDA or NYSERDA's agent.
- Within 365 days: CHP system fully commissioned, performance data reliably transmitted to NYSERDA's DG Performance website, and commissioning report accepted by NYSERDA's project manager.

Missing any of these milestones without prior communication and coordination with NYSERDA may result in termination of NYSERDA's agreement and forfeiture of any unpaid incentive payments.

Project Schedule – Custom Approach for CHP Systems 1MW and larger

You should be ready to proceed – Your project schedule should be more aggressive than the following milestone schedule (time measured from formal approval of your application by NYSERDA).

- Within 30 days: Purchase order from the CHP System customer (site owner, system owner, etc.) received and accepted by the CHP System Vendor.
- Within 3 months: Proof of major CHP System components being ordered for the project.
- Within 6 months: Final design signoff by customer.
- Within 15 months: Major CHP system components delivered to site or staging area approved by NYSERDA project manager.
- Within 24 months: CHP system fully installed, operational, and final approval to operate received from the electric utility.
- Within 30 months: CHP system fully commissioned, performance data reliably transmitted to NYSERDA's DG Performance website, and commissioning report accepted by NYSERDA's project manager.

Missing any of these milestones without prior written permission may result in termination of NYSERDA's agreement and forfeiture of any unpaid incentive payments.

Incentive Payment Schedule

Incentive payments will be made as follows:

- 33% of the base incentive and Critical Infrastructure bonus (if eligible) when the following have been accepted by NYSERDA's project manager:
 - Copy of the final design.
 - Copy of the building permit.
 - Copy of the preliminary electric utility interconnect approval.
 - Copy of the preliminary gas utility interconnect approval (if required).
 - Proof of application of all other required permits/approvals.
 - A copy of the signed agreement(s) between the site owner and the CHP System vendor, developer, and/or installer that permits the Project to proceed at the site.
 - A copy of the signed 5-year warranty/service/maintenance/performance agreement (if following the Catalog Approach).
 - Evidence that major equipment has been delivered to the site or staging area approved by NYSERDA's project manager.
- 33% of the base incentive and Critical Infrastructure bonus (if eligible) when the CHP System is fully installed including interconnections to building systems, and written permission to operate has been obtained from the electric utility and submitted to NYSERDA.
- The remainder of the base incentive and Critical Infrastructure bonus (if eligible) when:
 - The CHP system is fully commissioned and operational.
 - A commissioning report, including a detailed cost breakdown, has been accepted by NYSERDA's project manager,
 - A copy of the final as-built design drawings,
 - A post-installation inspection has been completed by NYSERDA or NYSERDA's agent.
 - A copy of the final electric interconnection agreement has been received by NYSERDA's project manager.
 - A copy of a signed maintenance agreement for the CHP System (if following the Custom Approach)

- Performance data is being reliably and correctly delivered to NYSERDA's DG Performance website, if monitoring is required.

In addition, if the project is eligible for a Targeted Zone bonus and the CHP System is fully operational prior to May of the target year, the Targeted Zone bonus will be paid at this time.

Application Requirements

NYSERDA discourages premature applications, where the project will not be able to achieve the Program's required timelines; however, NYSERDA will not accept an application for an incentive if major components of the CHP System have already been delivered to the site prior to application submittal unless prior written approval has been received from NYSERDA's Project Manager. All Catalog applications must be submitted by the Vendor.

Required Documentation

- A Feasibility Study or Project Description containing the following (at a minimum):
 - A description of the building including, but not limited to:
 - Location,
 - Usage (multi-family, hotel, industrial, etc.).
 - Size (square footage and a size metric appropriate for the usage such as 300 units in an apartment building, or 100 hotel rooms, etc.).
 - The overall annual electric and thermal consumptions, and peak electric demand.
 - The portions of the building, or the particular processes and systems that will be impacted by the proposed CHP system.
 - A description of the thermal loads and thermal storage.
 - A description of existing systems to be impacted by the installation of the CHP system (boilers, chillers, etc.) and whether or not any of this equipment will be replaced, removed, or decommissioned as part of this project.
 - A description of all existing distributed generation equipment (PV, fuel cell, other CHP, etc.) and all backup generation equipment on the site which is connected to serve the same electric load as the proposed CHP system.
 - Actual monthly electric consumption (for the meter or meters being impacted by the project)
 - Actual or modeled monthly thermal consumption for the relevant thermal load(s) (hot water, space heating, etc. including chilled water loads if a chiller is proposed) covering a 12-month period.
 - Actual monthly gas or fuel oil consumption covering a 12-month period (preferably the same period as above).
 - If the CHP System is not sized in accordance with NYSERDA's conservative sizing guidelines, provide a compendium of actual or modeled electric and thermal hourly load profiles for a 24-hour day representative of a weekday and a weekend for each of the four seasons, and an 8760-hour electric and thermal load profile representative of a complete year. When actual data is not available, modeled profiles can be generated using any industry recognized building modeling software that generates an 8760 profile for both electric and thermal loads. For existing buildings, modeled profiles must be calibrated using actual monthly consumption data and actual hourly coincident electric and thermal measurements for a period of not less than 14 continuous days during which no unusual events were happening in the building, such that the measured profiles are representative of typical operation.
 - If the CHP System is not sized in accordance with NYSERDA's conservative sizing guidelines, provide an analysis of the expected operation and performance of the proposed CHP system based on the 8760-hour load profile including monthly (12 consecutive months) and annual performance estimates, including:
 - operating efficiency,
 - fuel input, net electric (kWh) output (i.e. less parasitic electric use),
 - thermal energy generated,
 - thermal energy usable, and

- run hours.
 - Financial analysis showing estimated costs (capital and operating) and savings, including the impact of transferring to a stand-by tariff for electric delivery (as well as staying on the parent tariff if eligible for such an option), and simple payback both with and without the expected NYSERDA incentive. The stand-by tariff analysis (and the parent tariff analysis, if applicable) must include the impact of scheduled maintenance, and should include a sensitivity analysis for unplanned CHP system downtime.
- Drawings showing:
 - Floor plan showing equipment location, utility interconnection locations, and layout within the building/site. Indicated required maintenance and service clearances.
 - Any required changes to the building's structural components.
 - Mechanical and Plumbing (M&P) design, including makeup air and exhaust chimney - must show thermal monitoring sensor locations and type.
 - Electrical design - must show meter/sensor locations and type.
 - Gas design – must show meter location and type (if not included with the M&P drawings).
 - A Piping and Instrumentation Diagram (P&ID) of the complete CHP System formatted as an 8.5 x 11-inch PDF. If the Application is approved, this will become part of the contract.
- If the CHP System was not selected from the Catalog (projects using the Custom Approach) provide:
 - The make, model, and performance characteristic of all major components.
 - Cut sheets or web URLs for major components.
 - Documentation that the CHP System prime mover(s) will produce no more than 1.6 lbs-NOx/MWh (pounds of NOx per megawatt hour of electric production) at any point over the entire operating range of the prime mover.
 - Process diagram showing design flowrates, temperatures, and locations of meters and sensors, if not already included on the P&ID.
 - Description of the monitoring system and plan consistent with NYSERDA's CHP Monitoring Standard which can be found under RFI 2568.
 - Indicate means of noise attenuation to be employed.
- If rigging is required, provide a description.
- Description of the priority electric load(s).
- A copy of a letter from the electric utility either indicating that further review is not necessary, or providing a cost estimate for the Coordinated Electric System Interconnection Review (CESIR).
- A letter from your gas utility indicating that a preliminary determination shows that sufficient gas is available, if the CHP System will be fueled by pipe-line natural gas.
- A list of all required permits/approvals.
- A detailed project schedule.
- A completed and signed Part 1 of the Short Environmental Assessment Form (SEQRA)
- A copy of an electric utility bill showing payment of the relevant SBC Electric surcharge.
- If the CHP system will be installed to support critical infrastructure, provide documentation to support that claim.
- If the site is a facility of refuge, provide a letter from the American Red Cross or the local emergency management official designating the site as such, and documentation showing that the CHP system will benefit the portion of the building designated as a facility of refuge during a grid outage.
- If the site is within a Target Zone, provide documentation.
- Incentive Application (Attachment A) signed by the applicant (i.e. Vendor for the Catalog Approach), the building owner and the CHP system owner, if applicable.
- Completed Disclosure of Prior Findings of Non-Responsibility Form (Attachment B) signed by the applicant.

Application Review

All applications will receive a technical review by NYSERDA staff or technical contractors to ensure the following:

- The proposed project meets Program requirements.
- The site energy profile modeling (if required) is reasonable and consistent with procedures and techniques acceptable to NYSERDA.
- The system design and estimated performance is consistent with equipment performance profiles, proposed operating profiles and (if available) the site energy profile models.

In addition, NYSERDA will perform an estimation of the annual reduction in net greenhouse gas emissions resulting from the proposed project. This estimate must show that the proposed project is expected to result in a net decrease in greenhouse gas emissions when compared to either the status quo for existing buildings, or to the expected non-CHP emissions for new construction.

Consistent with NYSERDA's programmatic emphasis on consumer protection, NYSERDA may reject an application based on the results of the technical review, or if in NYSERDA's opinion, the project is not in the best interest of the customer.

Program Funding

This Program is funded using multiple funding sources, some of which have limitations as to the location and size of eligible projects. Applicants should be aware that as Program funds are committed there may come a time when specific projects may not be approved due to limitations tied to the remaining funds.

Coordination of Public/Utility Funding

If a project to install a CHP System is awarded other public grant funding and/or utility incentive funding, NYSERDA may reduce the incentive amount with the intent that total public/utility funding, including NYSERDA's incentive, will not exceed 100% of the total project cost. The Applicants must inform NYSERDA's project manager of all pending and awarded public grant funding and utility incentives related to the project.

General Conditions

Program Terms & Incentive Levels - NYSERDA reserves the right to change program terms (including rules and incentive amounts) at any time without prior notice. Projects resulting from approved applications will continue to be subject to the program terms in effect at the time of application approval. If NYSERDA changes a required form template after an applicant has submitted a completed copy to NYSERDA for review, it is in NYSERDA's discretion to require resubmission. NYSERDA reserves the right, for any reason, to stop approving incentive applications at any time without prior notice. NYSERDA reserves the right to extend and/or add funding to the solicitation should other program funding sources become available.

Proprietary Information - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your application. Review should include whether it is critical for evaluating an application, and whether general, non-confidential information, may be adequate for review purposes.

The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the applicant wishes to have treated as proprietary and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written

request to exempt it from disclosure, including a written statement of the reasons why the information should be exempted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <http://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx> However, NYSEDA cannot guarantee the confidentiality of any information submitted.

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

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

Empire State Development
Division for Small Business
30 South Pearl Street
Albany, NY 12245

A directory of certified minority- and women-owned business enterprises is available from:

Empire State Development
Minority and Women's Business Development Division
30 South Pearl Street
Albany, NY 12245

State Finance Law sections 139-j and 139-k - NYSEDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain new procurement lobbying requirements which can be found at <http://www.ogs.ny.gov/aboutogs/regulations/advisoryCouncil/StatutoryReferences.html>
The attached Application calls for a signature certifying that the proposer will comply with State Finance Law sections 139-j and 139-k and the Disclosure of Prior Findings of Non-responsibility form includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years.

Tax Law Section 5-a - NYSEDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSEDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf). Prior to contracting with NYSEDA, the prospective contractor must also certify to NYSEDA whether it has filed such certification with the Department. The Department has created a second form that must be completed by a perspective contractor prior to contacting and filed with NYSEDA. See, ST-220-CA (available at https://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

Limitation - This solicitation does not commit NYSEDA to award a contract, pay any costs incurred in preparing an application, or to procure or contract for services or supplies. NYSEDA reserves the right to accept or reject any or all applications received, or to cancel in part or in its entirety the solicitation when it is in NYSEDA's best interest.

Disclosure Requirement - The applicant shall disclose any indictment for any alleged felony, or any conviction for a felony within the past five years, under the laws of the United States or any state or territory of the United States, and shall describe circumstances for each. When an applicant is an association, partnership, corporation, or other organization, this disclosure requirement includes the organization and its officers, partners, and directors or members of any similarly governing body. If an indictment or conviction should come to the attention of NYSEDA after the award of a contract, NYSEDA may exercise its stop-work right pending further investigation, or

terminate the agreement; the contractor may be subject to penalties for violation of any law which may apply in the particular circumstances. Applicants must also disclose if they have ever been debarred or suspended by any agency of the U.S. Government or the New York State Department of Labor.

Attachments

The following Attachments can be found at <http://www.nyserda.ny.gov/PON2568>

Attachment A - Application

Attachment B - Disclosure of Prior Findings of Non-responsibility Form

Attachment C - CHP Catalog

Attachment D - Sample Agreement

Attachment E - Incentive Calculator



ANAEROBIC DIGESTER GAS-to-ELECTRICITY
Program Opportunity Notice (PON) 2828
\$4 Million Available

Applications accepted through August 1, 2016, 5:00 PM Eastern Time

Approximately \$4 million in funding from the Clean Energy Fund (CEF) is available in 2016 to support the installation and operation of Anaerobic Digester Gas (ADG)-to-Electricity Systems in New York State. PON 2828 is being reopened at this time to allow the \$4 million budgeted for anaerobic digestion projects under the CEF for 2016 to be made available for funding projects in the waitlist, or “queue” of projects submitted through February 29, 2016, which were determined to be complete and compliant with the PON but which did not receive a funding award.

Funding is limited to \$2 million of funding per project, depending on the project specifications.

At NYSEERDA’s sole discretion the administration of a waitlist of projects in the queue may continue, even after the \$4 million budget is committed and/or even after this solicitation has closed. This may allow for other projects in the waitlist to be contracted for incentives should any funds previously awarded to ADG-to-Electricity System projects through the CEF or Renewable Portfolio Standard Customer Sited Tier (RPS-CST) Program become available due to project attrition.

NYSEERDA may add additional funds to this PON should they become available. If the existing queue of projects becomes fully satisfied, and surplus funds remain or become available, then this solicitation may be revised to invite newcomer applications. Since any such revised solicitation may include revised requirements for eligibility and proposal content, newcomer applications will not be accepted at this time. For other potential funding opportunities see Section VIII, below.

All Program Questions should be directed to: Tom Fiesinger, (518) 862-1090, ext. 3218, Tom.Fiesinger@nyserda.ny.gov, or Steve Hoyt, ext. 3587, Stephen.Hoyt@nyserda.ny.gov. All Contractual Questions should be directed to: Venice Forbes, ext. 3507, Venice.Forbes@nyserda.ny.gov.

No communication intended to influence this procurement is permitted except by contacting Tom Fiesinger or Stephen Hoyt (Designated Contacts). Contacting anyone other than these Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer’s behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offeror, and (2) may result in the proposer not being awarded a contract.

*If changes are made to this solicitation, notification will be posted on NYSEERDA’s website at www.nyserda.ny.gov.

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I. INTRODUCTION

The ADG-to-Electricity Program is included in the Resource Acquisition Transition Chapter of the Investment Plan for the Clean Energy Fund administered by NYSERDA to support projects commonly described as “behind the meter” electric generation that is sited and used at the electric customer’s location. For 2016, this Chapter provides \$4 million dollars for project incentives: \$2 million is initially allocated to projects in the farm-related sector and \$2 million is initially allocated to waste water treatment plant (WWTP)-related projects. Any of these funds or previously-awarded RPS-CST funds subsequently freed-up from withdrawal of awards or termination of contracts for ADG projects may be re-allocated to the queue without limitation as to whether they are farm-related or WWTP-related. Funding is available through the program on a first-come, first-served basis, until all funding is fully committed. If funding is exhausted, eligible projects may be held, at NYSERDA’s sole discretion, in a queue of projects for possible contracting should funding become available.

Sections II through VII include descriptions of the program application and evaluation processes. These basic processes are planned to be used should additional funding become available in excess of that needed to fund projects in the existing queue. Some changes to these processes may be made if NYSERDA revises the PON to accept newcomer proposals.

II. INCENTIVES

A total of up to \$2 million is available per project depending on project specifications. This consists of up to \$2 million in combined Performance, Capacity, and Interconnection Incentives; these

categories of incentives are described in detail in the following paragraphs. NYSERDA has developed an *Incentive Calculation Tool*, located in Appendix B (Section C), for Applicants to use in determining the incentives for which their project may be eligible. Please note that Appendix C also outlines in detail how the incentive values are determined by the *Incentive Calculation Tool*.

PERFORMANCE INCENTIVES

Performance Incentives are designed to offset on-going operational costs for ADG-to-Electricity Systems and/or H₂S reduction components. They are paid in annual installments over a period of 10 years. A budget for these incentives is calculated using the *Incentive Calculation Tool*, and are based on a fixed incentive value per kWh for each Performance Incentive and the projected kWh of power generation production from the project. Actual Performance Incentive payments for electricity production are based on the verified electricity generated by the ADG-to-Electricity System (as described in Appendix C *Using the Incentive Calculation Tool and Specific Incentive Requirements*). Therefore, the total Performance Incentives actually paid to any particular project will depend on the project's actual verified production, and may be less than the amount budgeted using the *Incentive Calculation Tool*.

ANAEROBIC DIGESTER COMPONENT AND POWER GENERATION COMPONENT CAPACITY INCENTIVES

Capacity Incentives are intended to offset the capital costs of the anaerobic digester and power generation equipment. A list of eligible anaerobic digester and power generation components is included in Appendix B (Section C). In the *Incentive Calculation Tool*, these capacity incentives are based on a fixed incentive element and a variable incentive rate element applied to the proposed power generation capacity of the ADG-to-Electricity System.

PROJECT ENHANCEMENT COMPONENT CAPACITY INCENTIVES

Greater power generation can result from the incorporation of certain enhancements to a digester system, including equipment and/or management/operational techniques. Enhancements for which incentives are available are listed in Appendix B (Section C).

INTERCONNECTION REVIEW INCENTIVE

In order to interconnect with the electrical grid, ADG-to-Electricity Systems generally require a Coordinated Electrical System Interconnection Review (CESIR) to be completed by the utility per NYS Standardized Interconnection Requirements (SIR). For many farms New York State's net-metering laws limit interconnection costs (including the cost for completing the CESIR) to \$5,000. However, farms that plan to install power generation capacity that will exceed 20% of the grid line capacity, as well as non-farm projects, must generally cover the full cost of any required grid upgrades, including the CESIR costs associated with such upgrades. The Interconnection Review Incentive can pay up to 75% of the costs exceeding \$5,000 to complete a CESIR for the project up to a maximum incentive of \$50,000 per project, provided that the ADG project proposal has been determined to be complete and compliant with the requirements of this PON.

INTERCONNECTION IMPLEMENTATION INCENTIVE

Significant grid interconnection costs have been barriers to implementing some ADG-to-Electricity Systems. As noted above, New York State's net-metering laws limit interconnection costs for many farms to \$5,000. For projects where interconnection implementation costs are not limited to \$5,000 by net-metering laws, the Interconnection Implementation Incentive is intended to offset 50% of the interconnection cost estimated by the CESIR up to a maximum incentive of \$300,000 per project (within the total project cap of \$2,000,000 according to the limitations described below). However

Interconnection Implementation Incentives payments will be limited to reimbursement of 50% of *actual costs incurred* upon completion of the interconnection or \$300,000, whichever is less.

Determining Total Incentives:

In determining the total incentives available to a project, a Performance Incentives budget is calculated first. Any funds remaining after subtracting the Performance Incentives budget from the \$2 million cap are available for Interconnection and then Capacity Incentive budgets. Refer to the *Incentive Calculation Tool* in Appendix B (Section C) and Appendix C *Using the Incentive Calculation Tool and Specific Incentive Requirements*.

Limitations on Incentives:

- If previous NYSERDA funding was received for the purchase and/or installation of ADG-to-Electricity System components, the maximum available funding through this solicitation may be reduced by the amount of the previous funding received, or in a manner to be determined by NYSERDA based on factors such as useful equipment life.
- Funding cap per project/site: Total funding awarded through the ADG Program is limited to \$2 million per Project/Host Site. (Previously-awarded NYSERDA funding in support of ADG-to-Electricity activities at a given site may be counted toward this funding cap, thereby diminishing the amount of new funds that a subsequent project may qualify for). Once a Project supported through a previous award has operated successfully for a period of 18 months or longer beyond the start of the Performance Period of its Agreement, it will be considered to be its own installation (as opposed to being a previous phase of an ongoing installation) and therefore its previously-awarded funding will no longer count against the \$2 million cap of a proposal to launch a subsequent Project. For example, if a Project that was awarded the maximum \$2 million ADG incentive for a new digester and generator has successfully operated for 18 months, and the site has secured additional feedstock and can produce more biogas, the site could then propose a separate additional project for an additional generator and would be eligible for an additional \$2 million.
- Projects that have or will receive Federal 1603 Treasury Grant funding, USDA REAP, or NRCS/EQIP anaerobic digester funding will have their total awards under PON 2828 reduced by 50% of that additional funding. Award reductions may be applied to Performance, Interconnection or Capacity Incentives in a manner to be determined by NYSERDA.
- To be eligible for Interconnection Review and Interconnection Implementation Incentives, total project interconnection costs, including the CESIR, grid upgrades, safety relays, transformers, etc. must exceed \$5,000. NYSERDA will review the CESIR interconnection implementation cost estimate provided by the utility and reserves the right to request an additional review by one of its technical consultants and/or the NYS Department of Public Service and may reduce the amount of any Interconnection Implementation Incentive if a less expensive interconnection design is found to be acceptable.

If a proposed project does not fit into the constraints of the *Incentive Calculation Tool* (e.g., Applicants have received prior NYSERDA funding), but the proposed project meets the requirements

of the Program, NYSERDA will consider alternative methods of estimating incentives available to such a proposed project on a case by case basis. Please contact Tom Fiesinger or Steve Hoyt to discuss (contact information provided above).

III. ELIGIBILITY

In order to participate in this program, Applicants/Program Participants must comply with all program rules, procedures, and eligibility requirements, submit all required forms and supplemental documentation, and enter into a Standard Performance Contract Agreement with NYSERDA (see Appendix F). Program Participants must also adhere to all Quality Assurance/Quality Control (QA/QC) requirements throughout the term of the Agreement. QA/QC is the process of documenting that the system has been installed and commissioned as specified in the contract; and also specifies the process by which electrical generation shall be monitored, measured, and verified (see Appendix E).

Proposed projects must include one or more of the following:

- Proposed new ADG-to-Electricity System installations* that will result in new ADG-fueled electricity generation at the site (where none had been before) or;
- Proposed new ADG-to-Electricity System installations* that will result in an incremental increase in ADG-fueled electricity generation over any existing ADG-to-Electricity generation at the site or;
- New equipment applied to existing Systems as noted under the Project Enhancement component section of Appendix B (Section C). Requirements for the Project Enhancement component are detailed in Appendix C.

Note that the incremental increase over any existing ADG-to-Electricity System generation at the site will be determined considering the maximum electric output of the power generation system, in a manner acceptable to NYSERDA.

* Proposed new ADG-to-Electricity System projects can include either new (not previously operated other than for manufacturer testing) engine-generators and anaerobic digester equipment; or previously operated engine-generators and anaerobic digester equipment that have been adequately reconditioned and upgraded to NYSERDA's satisfaction.

Additionally, to participate in the Program, the following criteria must be met:

- Host sites must be located in New York State.
- Generally, systems must be located at or serving sites owned or operated by electric utility customers who currently pay the NYS SBC surcharge for electric service or will pay such surcharge, e.g. for new construction of a site.
- ADG-to-Electricity Systems, including Project Enhancement Components must consist of Commercially Available Technologies, which are defined as technologies that have operated satisfactorily for a minimum of one year at similar scale, with similar inputs and with similar output as described in the Application Package; or which can be otherwise demonstrated to NYSERDA's satisfaction of having a proven operating history specific to the ADG-to-Electricity System design described in the Application Package. Additionally if someone other than the supplier of the Commercially Available Technology will construct and/or install the technology, NYSERDA strongly prefers that the supplier provide on-site

supervision of the construction and installation process and that the supplier verify that the new system has been installed to a standard consistent with the supplier's previous installations.

- Applicants must have submitted an application to the electric utility for interconnection to the grid and received a completed Preliminary / Supplemental Screening Analysis (as per STEP 4 of the NYS Standardized Interconnection Requirements (SIR) for systems from 50 kW to 5 MW), if applicable, from the utility *before* NYSERDA will provide an Agreement for incentives through this PON. Applicants must include a completed Preliminary Review / Supplemental Screening Analysis, if applicable and available, from the electrical utility or documentation from the utility that a Preliminary / Supplemental Screening Analysis has been deemed unnecessary as part of their Application Package (see Appendix A). Note that the SIR requires the utility to respond to a completed interconnection application with a Preliminary / Supplemental Screening Analysis within 15 business days. A copy of the current SIR is included in the Appendix G to this PON or can be accessed from the Department of Public Service website: <http://www.dps.ny.gov/>. Applicants should note that they will need to identify all power generation sources at the site when applying for interconnection, including solar and back-up power generation.
- The initial awarding of CEF incentives through this PON will be for ADG-to-Electricity systems that are either farm-related or WWTP-related. Farm-related systems include those either located on a farm or digesting a significant amount of livestock manure and other farm wastes. WWTP-related systems include those located at a WWTP or digesting feedstock from a WWTP.
- To participate in this PON, the proposed new ADG-to-Electricity system installation must have a power generation capacity of 50 kW or more, unless the application is solely for installation of certain Project Enhancements, specified in Appendix B, for existing ADG-to-Electricity power generation capacity.
- Applicants who have applied for funding under PON 2828 but have not yet been approved for funding may proceed with their project at their own risk. However, NYSERDA will not approve funding for any major components of the ADG-to-Electricity System that have already been (a) delivered to the site or a staging area or (b) installed or constructed (including associated grid upgrades) prior to the submittal of this application to NYSERDA for funding under PON 2828.
- NYSERDA will not fund projects that are determined by NYSERDA to be unable to meet the projected energy production or that cannot demonstrate reasonable financial sustainability for at least the first 10 years of operation.
- Eligible Biomass Feedstocks include manure, agricultural residues and biomass, industrial organic wastes (e.g., food wastes), municipal wastewater and municipal organic solids. [Note: Electricity generated by landfill biogas is not eligible for the ADG-to-Electricity Program.]
- Contracted Capacity is the real power production capacity of the new equipment as determined by the rated kW output of the generator at a power factor of 1.0, except as may be limited by (a) a lower power output of the engine at 100% load, with consideration of the generator efficiency, (b) equipment limiting generator output, (c) existing power generation associated with Project Enhancement incentives (Appendix B) and, (d) any other factors, all as determined in a manner satisfactory to NYSERDA. In most cases, NYSERDA will limit

the Contracted Capacity of the project to the greater of (a) the eligibility capacity limit in the current Net Energy Metering Law (for projects eligible for Net Energy Metering)(PSL § 66-j) or (b) the approximate Peak Connected Load at the Customer's meter. However, where there are recognized public benefits (such as a project which accepts food wastes from the region that might otherwise be landfilled), or where practical considerations suggest, NYSERDA may approve a larger Contracted Capacity. For example, NYSERDA may approve a Contracted Capacity larger than the Customer's Peak Connected Load due to the incremental sizes of electric power generation and ancillary equipment currently available, or to effectively use the maximum volume of biogas produced.

- Applicants/program participants (and host sites owners, if different) must comply with all applicable:
 - Federal, State and Local codes and regulations;
 - Federal, State and Local permitting requirements;
 - State Environmental Quality Review (SEQR);
 - Federal, State and Local emissions limits; and
 - Concentrated Animal Feeding Operation (CAFO) requirements.

Additional Eligibility Notes:

Third Party Ownership: Third party ownership of an ADG-to-Electricity System is permitted under this program contingent upon: the electric power generation equipment being located at or serving a site owned or operated by an electric utility customer who pays (or will pay, for new construction of a site for example) the SBC surcharge on the electric bill for the utility meter to which the ADG-to-Electricity system will be connected; and the host site or site being served by the power generation (e.g., farm, waste water treatment plant or business) agreeing to contract terms with the third party. Generally, ADG-fueled electricity must be generated and must be used by the host site in conjunction with a utility meter that is interconnected with the grid.

ADG Fuel from Pipeline: Electric generation equipment fueled by ADG from a dedicated ADG pipeline may be eligible to participate in the Program; please contact Tom Fiesinger or Steve Hoyt to discuss (contact information provided above).

IV. HOW THE PROGRAM WORKS

This section describes the steps of participation in the ADG-to-Electricity Program, from submitting an application to requesting Performance Incentive payments for verified ADG-fueled electricity generation.

1. Submit Application Package

A complete Application Package must be submitted to NYSERDA. Detailed Application Package requirements are included in Appendix A. NYSERDA will conduct a review of the proposal and may request additional information in support of the Application Package and/or may conduct a site inspection to verify the accuracy of the information provided. NYSERDA will determine whether the proposal meets all eligibility requirements and fulfills program requirements.

2. Sign Standard Performance Contract Agreement

After approval of the Application Package, assuming NYSERDA has received the required SIR documentation, and if adequate funding is available, NYSERDA will send the Applicant a Standard Performance Contract Agreement for signature. The Agreement will specify the dollar amount that has been awarded to the project; going forward this will be referred to as the “Total Contracted Project Incentive”. NYSERDA will not commit funds to a project until the signed Agreement has been received from the Applicant. Funding will be committed to Applicants who return a signed Standard Performance Contract Agreement within the timeframe specified in NYSERDA’s cover letter which transmits the Agreement (typically, this is specified as being within thirty days of the date of the transmittal letter). NYSERDA reserves the right to rescind contract offers that have not been signed within 30 days of mailing or emailing.

Once NYSERDA countersigns the agreement it will be considered “fully executed” with an assigned “Effective Date.” A copy of the fully executed Agreement will be mailed or emailed to the program participant. (For your reference, a sample agreement is included in Appendix F.) Once the agreement has been fully executed, NYSERDA will assign a Technical Consultant to the project.

3. Develop Quality Assurance/Quality Control (QA/QC) Plan

A QA/QC Plan must be developed for the Project. The plan can either be developed by the Technical Consultant, or by the Program Participant in conjunction with the Technical Consultant. Guidance on developing the QA/QC Plan is included in Appendix E *QA/QC and Reporting Requirements*. A sample QA/QC Plan can be requested from Tom Fiesinger or Steve Hoyt (contact information provided above).

PLEASE NOTE: Specific electric metering and gas measuring equipment is required by NYSERDA. The specifications for this equipment are included in Appendix E. Unless the required equipment has been installed, payment of incentives may be withheld by NYSERDA until such time as a full year of data has been recorded with acceptable instrumentation.

4. Procurement and Installation Milestones

Contracted projects must meet procurement and installation milestone requirements or risk contract termination. Please refer to requirements within Appendix F *Sample Standard Performance Contract Agreement* for a detailed description of the milestone requirements.

5. Incentive Payment Distributions

Performance, Capacity and Interconnection Incentive payment distributions are estimated in the *Incentive Calculation Tool* (Appendix B: Application Form) and payment descriptions and requirements are outlined in Appendix C: *Using the Incentive Calculation Tool and Specific Incentive Requirements*.

V. APPLYING FOR THE PROGRAM

APPLICATION PACKAGE

Should sufficient additional funds become available and this PON revised to invite newcomer applications, the basic application processes planned to be used are described below and in Appendix A. Some changes may be made in these processes in any PON revision to accept newcomer proposals.

APPLICATION PACKAGE REVIEW AND APPROVAL

NYSERDA will date-stamp and log all program materials as they are received. NYSERDA recommends that all program materials be sent via delivery service, certified mail or registered mail. It is the sole responsibility of the Applicant to ensure that the application is received by NYSERDA by the due date. Applicants should retain proof of delivery (such as a return receipt for certified, registered, or overnight mail) for all program materials submitted. NYSERDA will accept Application Packages until July ____, 2016 at 5:00 PM Eastern Standard Time

Upon receiving an Application Package, NYSERDA will review the materials to ensure that the project meets all eligibility requirements of this PON. To secure the earliest possible position in the funding queue (in the event that funding for a particular year is exhausted), please ensure that your submitted application package is complete and fully compliant with all PON requirements.

1. If at any time NYSERDA determines that a proposed project changes significantly (e.g., design, scale, ownership, location, etc.), the Application Package may be returned to the beginning of the review process, regardless of when the proposal was submitted or the position of the proposal in the funding queue.
2. In the Application Review Process, projects are technically and financially evaluated. If additional information is required, Applicants will have 30 days to provide such information. Applicants that fail to provide the required information will have their application rejected as incomplete. Extensions to this 30 day period may be requested and can be granted at NYSERDA's sole discretion. Applications will only be considered complete and compliant when all required information has been provided to NYSERDA's satisfaction and until such time, the application will have no standing in the Queue Process for funding.
3. Not all possible circumstances have been foreseen in preparing this PON. If circumstances arise where a waiver of any provision of the PON is determined by NYSERDA to be warranted, NYSERDA at its sole discretion may grant a request for such a waiver for documented good cause.

VI. ADDITIONAL INFORMATION AND REQUIREMENTS

ENVIRONMENTAL ATTRIBUTES ASSESSMENT AND REPORTING

NYSERDA will register all ADG-to-Electricity Projects that receive incentives awarded through PON 2828 in the New York Generation Attribute Tracking System (NYGATS) and will route any certificates created by the NYGATS for the project into a NYSERDA account. The renewable energy certificate retirement rules associated with the operation of the NYGATS are based on the Public

Service Commission's reporting requirements under the Renewable Portfolio Standard (03-E-0188) and CEF programs (14-M-0094) for Projects that have received a financial incentive by participating in those programs.

STATE ENVIRONMENTAL QUALITY REVIEW ACT (SEORA)

NYSERDA is required, under SEQRA, to consider the environmental implications of all projects receiving NYSERDA funding. All proposals must include a completed SEQRA Environmental Assessment Form along with supporting documentation. If any local governmental entity has discretionary permitting or approval authority, the program participant must complete the appropriate SEQRA Environmental Assessment Form and submit it to that local governmental entity. A copy of the completed and signed Environmental Assessment Form must be attached to the Application Package. SEQRA forms are available from: <http://www.dec.ny.gov/permits/6191.html>

EMISSION STANDARDS FOR BIOGAS-FUELED DISTRIBUTED GENERATION SYSTEMS

The applicant is responsible for compliance with all applicable State and Federal emission standards and regulations for biogas-fueled distributed generation. The U.S. Environmental Protection Agency has adopted numerical emission standards and requirements for spark ignition engines: *Standards of Performance for Stationary Compression Ignition and Spark Ignition Internal Combustion Engines* <https://www.federalregister.gov/articles/2011/06/28/2011-15004/standards-of-performance-for-stationary-compression-ignition-and-spark-ignition-internal-combustion>

Likewise, the NYS Department of Environmental Conservation generally requires biogas-fueled spark ignition engines to have an Air Facility Registration. Assistance in understanding and complying with these regulations may be available, free of charge, via the NYS Environmental Facilities Corporation's "Small Business Environmental Assistance Program" www.efc.ny.gov/sbeap.

For all technologies proposed, NYSERDA reserves the right to review emissions performance and determine whether the technology meets all environmental standards. NYSERDA prefers the use of the cleanest technologies available.

PREVENTION OF FUGITIVE DIGESTER EMISSIONS

New Systems should be designed and installed in accordance with standard engineering practice and the manufacturer's recommendations. The installation must include a flare (with a capacity equal to or greater than the anticipated maximum biogas production) to burn collected gas whenever such gas cannot be beneficially used, unless an alternative method of biogas emissions control is approved by NYSERDA. **NYSERDA may withhold payment from any project determined by NYSERDA to be emitting or venting significant quantities of methane not combusted by a flare or other means.**

VII. GENERAL CONDITIONS

Proprietary Information - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes.

The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSEDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSEDA that the proposer wishes to have treated as proprietary and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <http://nyserda.ny.gov/~media/Files/About/Contact/NYSEDARegulations.ashx>. However, NYSEDA cannot guarantee the confidentiality of any information submitted.

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

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

Empire State Development
Division For Small Business
625 Broadway
Albany, NY 12207

A directory of certified minority- and women-owned business enterprises is available from:

Empire State Development
Minority and Women's Business Development Division
625 Broadway
Albany, NY 12207

State Finance Law sections 139-j and 139-k - NYSEDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain new procurement lobbying requirements which can be found at:

<http://www.ogs.ny.gov/aboutogs/regulations/advisoryCouncil/StatutoryReferences.html>.

The attached Proposal Checklist calls for a signature certifying that the proposer will comply with State Finance Law sections 139-j and 139-k and the Disclosure of Prior Findings of Non-responsibility form includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years.

Contract Award - NYSEDA anticipates making multiple awards under this solicitation. It may award a contract based on initial applications without discussion, or following limited discussion or negotiations. Each offer should be submitted using the most favorable cost and technical terms. NYSEDA may request additional data or material to support applications. NYSEDA will use the Sample Agreement to contract successful proposals.

Limitation - This solicitation does not commit NYSEDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSEDA

reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest.

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

VIII. RELATIONSHIP WITH RPS MAIN TIER PROGRAM

Projects eligible under this ADG-to-Electricity Program may also be eligible under the RPS Main Tier or other NYSERDA programs. However, once a Project application or proposal has been approved by NYSERDA or becomes the subject of an award under this ADG-to-Electricity Program, for which funds are available, that Project is ineligible for funding under the RPS Main Tier Program or other NYSERDA programs. Applicants will not be permitted to withdraw or cancel a Project application or proposal, or seek to nullify a contract in order to apply or pursue an application or proposal in the RPS Main Tier or other NYSERDA programs for the same Project (or for the same portion of the ADG-to-Electricity System).

If NYSERDA makes available funds and offers an award under PON 2828 in the amount requested, the Applicant will have 48 hours from the time of notification by NYSERDA to affirm and accept such award (and thereby become ineligible under the RPS Main Tier), or NYSERDA can consider the PON 2828 offer to have been declined and cancelled, and the project application will be ejected from the PON 2828 program. However, the Applicant will continue to be eligible to pursue an award under the RPS Main Tier. Furthermore, if a project persists in the PON 2828 queue while awaiting the availability of PON 2828 funds, and while waiting if an award is offered under the RPS Main Tier, the project will become ineligible under the ADG-to-Electricity Program regardless of whether or not the Applicant accepts the RPS Main Tier award.

IX. MERGED APPENDICES

Appendix A: Application Package Requirements

Appendix B: Application Form

Appendix C: Using the Incentive Calculation Tool and Specific Incentive Requirements

Appendix D: Disclosure of Prior Findings

Appendix E: Quality Assurance/Quality Control (QA/QC) and Reporting Requirements

Appendix F: Sample Standard Performance Contract Agreement

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Community Solar NY
Program Opportunity Notice (PON) 3011

Round 3 of Community Solar NY, which is meant for projects launching in spring 2017, will be open for application through 5pm on November 3, 2016*

PROGRAM SUMMARY

NYSERDA invites local governments, school districts, and other community partners to participate in Community Solar NY, an effort to make solar easier and more affordable through community-driven initiatives. In 2017, NYSERDA will be supporting community solar projects known as “Solarize” campaigns. These are short term (approximately 6-9 months, including planning and outreach) local efforts to bring together groups of potential solar customers through widespread outreach and education in order to help customers choose a solar installation company that is offering competitive, transparent pricing. NYSERDA will provide marketing materials and technical assistance for qualifying projects, as well as funding for campaign expenses.

Please visit the Community Solar NY website for additional information and resources: ny-sun.ny.gov/solarize

CONTACT INFORMATION

For questions, please contact program staff at communitysolar@nysesda.ny.gov.

APPLICATION SUBMISSION

Applications are accepted online at ny-sun.ny.gov/solarize.

*Late, incomplete, or inaccurate applications will not be accepted. Faxed or mailed applications will not be accepted. If changes are made to this solicitation, notification will be posted on NYSERDA’s website at www.nysesda.ny.gov.

I. Overview

NYSERDA invites local governments, school districts, and other community partners to participate in Community Solar NY, an effort to make solar easier and more affordable through community-driven initiatives.

In 2017, NYSERDA will be supporting community solar projects known as “Solarize” campaigns. These are short term (approximately 6-9 months, including planning and outreach) local efforts to bring together groups of potential solar customers through widespread outreach and education to help these customers choose a solar installation company that is offering competitive, transparent pricing. Community-driven Solarize campaigns around the state and country have resulted in thousands of new solar installations and significant cost reductions and environmental benefits.

Bringing together multiple solar customers within a community provides opportunities for the solar installer(s) to realize economies of scale, and ultimately cost savings for the customer. By educating the local community, streamlining marketing efforts, and aggregating sales, Solarize campaigns help make solar a more accessible and affordable energy option.

II. Schedule

Round 3 of Community Solar NY, which is meant for projects launching in spring 2017, will be open through November 3, 2016. Applications will be accepted at any time up to then, and will be reviewed as they are received.

III. How we support your community initiative

NYSERDA will provide marketing materials and technical assistance for qualifying projects, as well as funding for campaign expenses. This support is available to all eligible applicants that meet program qualifications and commit to program requirements. Participating campaigns will be recognized on the NY-Sun website and in state and local media releases.

Funding

- NYSERDA will provide up to \$5,000 in funding for campaign expenses. Projects within a region may, with NYSERDA approval, pool some or all of their funding for shared expenses.
- Funding through this program may not be used for the direct costs of solar installations, but participating building owners remain eligible for all NY-Sun solar incentives.

Materials and Technical Assistance

- NYSERDA will provide participating campaigns with templates for print and online marketing materials, templates for media communications, and customer education materials.
- Technical guidance and document templates for the installer selection process.
- Regular calls and webinars with Solarize campaigns statewide.
- Other assistance as deemed necessary by NYSERDA.

IV. Eligibility

New York State local governments, school districts, and nonprofit community organizations are eligible to participate:

- One entity must be designated the lead organization, with an individual designated as Project Manager. The lead organization is responsible for completing this application, contracting with NYSERDA, and completing all deliverables.
- Applicants must clearly state the potential impact the campaign will have on the community and how the proposed initiative will positively affect the market.
- A demonstrated partnership with the local jurisdiction is required.
- In order to be eligible, projects must not be redundant with other NYSERDA-funded projects or activities.

V. Qualifications

In order to qualify for participation in Community Solar NY, communities must demonstrate through the application:

- A clear commitment and ability to conduct community-wide education and outreach around solar energy.
- Local support and interest in a Solarize campaign.
- Engagement, capacity, and preparation by the applicant and partners.
- Commitment of local jurisdiction to streamlining planning and permitting for solar.
- Ability to achieve campaign goals for new solar installations and cost reductions in the community and geography served.
- Commitment to follow all program rules and requirements.

VI. Next steps

- Sign up for program updates at ny-sun.ny.gov/solarize.
- Visit the Community Solar NY website for further information and resources at ny-sun.ny.gov/solarize
- Review the Community Solar NY Community Agreement sample at ny-sun.ny.gov/solarize
- Apply by downloading the Community Solar NY application at ny-sun.ny.gov/solarize and submit it to communitysolar@nyserda.ny.gov .

VII. Contact information

For program questions, please email communitysolar@nyserda.ny.gov .

VIII. General Conditions

Proprietary Information - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes.

The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <http://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

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

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

Empire State Development
Division For Small Business
625 Broadway
Albany, NY 12207

A directory of certified minority- and women-owned business enterprises is available from:

Empire State Development
Minority and Women's Business Development Division
625 Broadway
Albany, NY 12207

Contract Award - NYSERDA anticipates making multiple awards under this solicitation. It may award a contract based on initial applications without discussion, or following limited discussion or negotiations. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA expects to notify applicants in approximately 4 weeks from the receipt of an application whether your application has been selected to receive an award.

Limitation - This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest.

Disclosure Requirement - The proposer shall disclose any indictment for any alleged felony, or any conviction for a felony within the past five years, under the laws of the United States or any state or territory of the United States, and shall describe circumstances for each. When a proposer is an association, partnership, corporation, or other organization, this disclosure requirement includes the organization and its officers, partners, and directors or members of any similarly governing body. If an indictment or conviction should come to the attention of NYSERDA after the award of a contract, NYSERDA may exercise its stop-work right pending further investigation, or

terminate the agreement; the contractor may be subject to penalties for violation of any law which may apply in the particular circumstances. Proposers must also disclose if they have ever been debarred or suspended by any agency of the U.S. Government or the New York State Department of Labor.

IX. Attachments:

Attachment A: Sample Application

Attachment B: Sample Agreement



NY-Sun Commercial / Industrial Incentive Program
Program Opportunity Notice (PON) 3082
\$271,468,988.00 Available
September 8, 2016

**NY-Sun Commercial / Industrial Incentive Program
NY-Sun Incentive Applications and
NY-Sun Contractor Applications
May 4, 2015 through December 29, 2023
By 5:00 PM Eastern Time****

The New York State Energy Research and Development Authority (NYSERDA) offers performance-based incentives for the installation of new grid-connected solar photovoltaic (PV) systems greater than 200 kW that offset the use of grid-supplied electricity. PV systems must be sized primarily to serve project load. Funding for the NY-Sun Incentive Program ("Program") has been allocated by the New York State Renewable Portfolio Standard and Regional Greenhouse Gas Initiative and the Order Authorizing Funding and Implementation of the Solar Photovoltaic MW Block Programs, dated April 24th, 2014

. Incentives will be granted on a first-come, first-served basis, and PV incentive applications will be accepted through December 29, 2023, or until funds are fully committed, whichever comes first. Incentives available are subject to change.

Eligible Contractors must submit a completed and signed Project Application package into a designated online Program platform/database https://nyserda-portal.force.com/CORE_CONAPP_Program_Page, as detailed in the NY-Sun Incentive Program Manual. <http://www.nyserda.ny.gov/All-Programs/Programs/NY-Sun/Project-Developers/Commercial-Industrial-MW-Block>

Contractor Eligibility Application submission: Potential PV Contractors may submit one [1] clearly labeled, completed and signed Contractor Application package to:

**PV Installer: Program Manager
NYS Energy Research and Development Authority
17 Columbia Circle
Albany, NY 12203-6399
Or by email to PVForms@nyserda.ny.gov.**

Contractor Application questions may be sent to PVForms@nyserda.ny.gov.
All Contractual questions should be directed to Venice Forbes at (518) 862-1090, ext. 3507 or venice.forbes@nyserda.ny.gov. All technical questions should be directed to: Commercial.IndustrialPV@nyserda.ny.gov.

Applications will not be accepted at any NYSERDA location other than the address above. If changes are made to this solicitation, notification will be posted on NYSERDA's website at www.nyserda.ny.gov.

NY-Sun Commercial and Industrial Program

The New York State Energy Research and Development Authority (NYSERDA) offers performance-based financial incentives for the installation of new grid-connected solar photovoltaic (PV) systems greater than 200 kW that offset the use of grid-supplied electricity. PV systems must be sized primarily to serve project load.

Funding for the NY-Sun Commercial and Industrial Program has been allocated by the New York State Public Service Commission through the Renewable Portfolio Standard (RPS) with additional funding made available through the Regional Greenhouse Gas Initiative (RGGI) for New York State (NYS) electricity customers. and Order Authorizing Funding and Implementation of the Solar Photovoltaic MW Block Programs, dated April 24th, 2014.

Incentives will be allocated on a first-come, first-served basis and applications will be accepted on a rolling basis through December 31, 2023, or until funds are fully committed, whichever comes first.

How Does the Program Work?

The NY-Sun Commercial and Industrial Program provides incentives based upon the performance of the PV System as a function of annual energy production. A detailed description of the Program and the terms and conditions under which it operates is provided in the NY-Sun Incentive Program Manual.

<http://www.nyserdera.ny.gov/-/media/NYSun/files/Residential-SC-Program-Manual.pdf>

In addition to performance-based incentives, the program includes additional incentives for project installations in utility-identified strategic locations as well as projects that integrate energy storage or comprehensive energy efficiency. Participating Contractors may invoice for project incentives in four separate increments: one invoice when the system is installed, interconnected, and commercially operational and one in each of the three subsequent consecutive years (Performance Period) based upon measured annual kilowatt hour (kWh) output of the PV system (System Actual Annual Energy Production). For details, see NY-Sun Incentive Program Manual, Metering requirements.

Incentives are available for new customer-sited PV systems, greater than 200 kW per electric meter, that are connected to the electric distribution grid and displace utility provided electricity. Prior to submitting applications for incentives, organizations must become a Participating Contractor by registering with the NY-Sun Commercial and Industrial Program. After completing the registration process, the organization will be provided access to the NY-Sun Commercial and Industrial Program online applications platform. Participating Contractors may submit applications for project funding under either of two tracks: Track One-Project Maturity, or Track Two-Financial Security

To become a Participating Contractor in the NY-Sun Commercial and Industrial Program, interested parties must complete a Contractor Application Form in which they agree to abide by the terms and conditions of the NY Sun Incentive Program Participation Agreement. These documents are available on the NY-Sun website:

<http://www.nyserdera.ny.gov/-/media/Files/FO/Current-Funding-Opportunities/PON-2112/SampleParticipationAgreement.pdf>

Applicants must also provide the following credentials:

- Complete the PV Installation Experience section of the Application Form detailing three commercial-scale projects that entered into commercial operation in the past three years that, in aggregate, sum to at least 500 kW. These must be verifiable references for specific projects and be accompanied by a brief description of the systems installed and the applicant's role in the project.

OR

- Indicate that your organization has successfully completed a PV project under any of the prior Competitive PONs that has been reporting data to the NYSEERDA DG Integrated Data System website for at least three months.

Participating Contractors are responsible for preparing and submitting all required PV Project Incentive Application



documentation to NYSERDA.

Financial Incentives

The incentive amounts identified on approved project applications in the NY-Sun Commercial and Industrial Program are Not-to-Exceed (NTE) values. The maximum dollar value of the NTE Incentive will be equal to the PV System Estimated Annual Energy Production for three years (Base Incentive) plus strategic location or integration incentives, when applicable.

The Base Incentive for an eligible project is based on 3 years of PV System Estimated Annual Energy Production using a designated 13.4% Capacity Factor (CF) for fixed-mount systems, 16.0% CF for single-axis tracking, or 17.5% CF for dual-axis tracking at the incentive associated with the block in which the project application is approved by NYSERDA.

PV System Estimated Annual Energy Production is calculated in the following manner:

$$PV \text{ System DC rating (kW)} \times 8760 \text{ hours} \times \text{Designated Capacity Factor} = PV \text{ System Estimated Annual Energy Production (kWh)}$$

The Base Incentive is calculated in the following manner:

$$PV \text{ System Estimated Annual Energy Production (kWh)} \times \text{Incentive (\$/kWh)} \times 3 \text{ (yr)} = \text{Base Incentive (\$)}$$

The NTE Incentive is equal to the Base Incentive, or, to the extent that the Contractor demonstrates that the project is sited at an Investor Owned Utility identified strategic location or includes storage or efficiency integration, as appropriate, the following incentives augment the Base Incentive:

- Projects sited in strategic locations multiply the Base Incentive by 1.20
- Projects integrating energy storage add \$50,000 to the Base Incentive
- Projects integrating energy efficiency add \$50,000 to the Base Incentive

The Base Incentive amount (excluding any strategic location, energy efficiency, and or energy storage incentives) for each PV Project may not exceed 50% of the total installed system costs for the PV project installation. Contractors are required to provide an estimate for the total installed costs for the PV Project and show that the Base Incentive amount is no greater than 50% of the total installed costs for the project.

Limitation

This solicitation does not commit NYSERDA to award a contract or to pay any costs incurred in preparing any application. NYSERDA reserves the right to accept or reject any or all applications received, and to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest.

Additional Information and Attachments

Forms are available on the NY-Sun Website: <http://ny-sun.ny.gov/>.



NYSERDA

**Advanced Clean Energy (ACE)
Exploratory Research Program
Opportunity Notice (PON) 3249 Concept Paper
Program Opportunity Notice (PON) 3249**

**Applications accepted through November 30, 2018 by 5:00 PM Eastern Time
or until all funds are committed ***

Approximately \$3 Million* Available

Summary of Revisions

The following changes have been made to PON 3249 “Advanced Clean Energy (ACE) Exploratory Research Program Opportunity Notice (PON) 3249 Concept Paper:”

- The PON has been amended to clarify the procedure NYSERDA will use for Concept Papers not selected for full proposal submission.
- Attachment A – Concept Paper Template has been modified to include the request for mailing address, email address and phone number.

The revisions appear on Page 4, under Concept Paper Submittal, and on Attachment A on Page 10 of the Solicitation package.



**Fuel NY - Permanent Generator Initiative
Program Opportunity Notice (PON) 3256
\$ 12,000,000 available**

Applications accepted through 12/15/2016 by 5:00 PM Eastern Time

INITIATIVE SUMMARY

The New York State Energy Research and Development Authority (NYSERDA) is seeking applications for the Permanent Generator Initiative (Initiative). Eligible applicants can apply for a project grant to offset the implementation costs associated with the electrical modifications and installation of permanently affixed generators at the most highly strategic retail gasoline stations (gas stations) in the downstate region.

GRANT AMOUNTS

The Initiative will offset up to 100% of a competitively selected gas station's cost of purchasing and installing a permanent emergency generator.

CONTACT INFORMATION

Program questions should be directed to: Mark Decker 866-NYSERDA x3494,
Mark.Decker@nyserda.ny.gov

Contractual questions should be directed to: Venice Forbes 866-NYSERDA x3507,
Venice.Forbes@nyserda.ny.gov.

Application assistance is available at the Fuel NY hotline. Applicants are encouraged to contact the hotline for support at:

Phone: Toll free 855-323-3030
Email: GeneratorGrants@arcadis.com

APPLICATION SUBMISSION

Applications are accepted only online [here](#).* For assistance, please call 855-323-3030.

*Incomplete or inaccurate applications will not be accepted. Application must be completed and submitted online. Hard copies mailed or faxed will not be accepted. If changes are made to this solicitation, a notification will be posted on NYSERDA's website at www.nyserda.ny.gov

INTRODUCTION

Many gas stations in the downstate area lost electric power as a result of damage caused by Superstorm Sandy. This loss of power contributed to widespread disruptions in the gasoline supply that impacted public safety and well-being as well as economic activity in the downstate region.

NYSERDA will provide grants to offset the cost of installing permanently-affixed generators at highly strategic gas stations in the downstate region. The installation of permanent generators at strategic gas stations allow these locations to provide service to their community and first responders during a power outage whether the cause was a localized event or a widespread disaster.

AVAILABLE FUNDS

Up to \$12,000,000 in funds are available. The funding for this Initiative will be from a grant from the Federal Emergency Management Agency (FEMA), Hazard Mitigation Grant Program (HMGP). NYSERDA reserves the right to add funding to the solicitation should other program funding sources become available. NYSERDA reserves the right to extend the program deadline.

APPLICANT ELIGIBILITY REQUIREMENTS

Eligible gas stations are located in the downstate region, comprised of Nassau, Suffolk, Rockland, Westchester, Bronx, Kings, Queens, Richmond, and New York Counties; and meet the following criteria:

- Located outside of the 500-year floodplain
 - Refer to <http://nysandyhelp.ny.gov/fuel-ny> to review the 500-year flood plain limits relative to your station.
- Have a minimum of 4 dispensers.
 - A dispenser can serve 2 vehicles simultaneously. One vehicle on the front side and one vehicle on the back side.

At a minimum, the permanent generator must be of sufficient capacity to provide power to operate all dispensers and dispensing equipment, life safety systems, environmental monitoring systems, payment-acceptance equipment, and other systems necessary to ensure that such gas stations can continue safe fuel sales and dispensing operations during an electricity outage. Applicants are encouraged to include **additional** systems such as convenience store electrical loads in the sizing of the electrical upgrades.

Eligible gas stations, with a minimum 4 dispensing units, and outside the 500-year floodplain, that installed permanently affixed generators through contracts in the Fuel NY Gas Station Back-Up Power Program (PON 2758), do not need to re-apply. NYSERDA will consider the gas station for further reimbursement, if the cost to install the permanently-affixed generator exceeded the previous \$13,000 incentive limit offered through PON 2758.

Applicants must be the property owner or franchisee of a gas station, or applicant will need to demonstrate they have received authorization from the property owner to make changes to the building.

GRANT SELECTION

The goal of the Initiative selection process is to identify the most strategically located gas stations that are capable of servicing the largest number of customers with motor fuel and additional services to support community disaster recovery efforts.

In order to determine which gas stations will receive grants for permanent generators, gas stations will be selected based on the following:

- Services offered, including fuel types, whether the gas station is also a convenience store, etc.
- Fuel capacity including number and size of dispensers and fuel storage

- Accessibility including proximity to major highways and area traffic patterns
- Type of clientele such as first responders, local and state emergency officials, etc.
- Project Cost, including cost per kW and cost optimization

(See Attachment A: Scoring and Evaluation Guide for details)

Gas stations will be ranked by a Scoring Committee comprised of external experts and NYSERDA staff. Applicants that are not selected in their initial round will be eligible for consideration in future rounds, without having to re-apply.

NYSERDA may consider the following program policy factors in making award selection decisions:

- The degree to which there is diversity in geographic location to best achieve the overall goals and objectives of the Fuel NY Program.
- The degree to which the proposed project optimizes the use of available funding.

The award selection process contains multiple phases including an initial eligibility review, ranking by a Scoring Committee, and consideration of program policy factors and the amount of funds available.

GRANT AMOUNTS

Installation of transfer switch and permanent generator	Up to 100% of project cost*
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* Cost sharing is not required. Applicants who propose 90% funding can improve their cost scoring in the selection process.

Applicants are not authorized to start work until an award notification is received from NYSERDA.

SCOPE OF SELECTED GAS STATION PROJECTS

Selected projects must:

- Install a permanently affixed generator as well as any associated necessary electrical or other modifications, including a transfer switch if needed, at the gas station.
- Maintain the generator to ensure operation over the generator’s lifetime.

PARTICIPATION

The following describes the process that will be followed by all parties for Initiative participation:

1. Applicant must complete the Application Form available [here](#) .
 - a. Incomplete or inaccurate applications will not be accepted.
 - b. A complete project price quote with a breakdown of costs is required. Refer to Attachment B for guidance.
 - c. Application must be completed and submitted online. Hard copies mailed or faxed will not be accepted.
2. A Scoring Committee will score each complete application in independent selection rounds.
 - a. Selection rounds will be held at a minimum of every four weeks.
 - b. Applicants that are not selected in their initial selection round will be eligible

for consideration in following rounds, without having to re-apply. They will also be given the opportunity for a debriefing of their application, and may update their application for consideration in following rounds as a result of the debriefing.

3. NYSERDA or its Contractor will collect and verify the W-9 and Certificate of Insurance from selected Applicants.
4. NYSERDA will issue a grant agreement to selected applicants for signature. (see example in Attachment C)
5. Applicant returns signed grant agreement to NYSERDA.
6. NYSERDA countersigns grant agreement and issues executed agreement to Applicant.
7. Applicant completes project.
8. Applicant submits completed Payment Request Form (see Exhibit E in Attachment C) and required documents to NYSERDA or its Contractor.
9. NYSERDA or its Contractor reviews the payment request package for completeness.
10. NYSERDA or its Contractor schedules and performs a site visit to verify project completeness.
 - a. Site visit must be completed prior to NYSERDA issuing payment.
11. NYSERDA or its Contractor compares the payment request package and Site Visit Report for accuracy.
12. NYSERDA issues payment within thirty (30) days of completing a site visit and verifying the accuracy of all documentation provided for the Payment Request. All payments shall be made in accordance with NYSERDA's Prompt Pay Policy Statement.

NYSERDA reserves the right to visit any installation, during regular business hours, to verify the Applicant's compliance with the requirements of the Initiative.

GRANT PAYMENT

Payment will be made after installation of the project and a site visit is completed. No progress payments will be made. A single payment for reasonable, eligible costs will be issued upon completion of a site visit and receipt and review of necessary documentation. Eligible costs include documented and verified reasonable labor, equipment and materials costs incurred to wire and install an emergency generator

A Payment Request Form (see Exhibit E in Attachment C), including a list of required documentation will be sent to the Applicant with their executed agreement.

Work must be completed and properly documented with the Payment Request Form submittal. The project costs do not have to be paid prior to submitting the Payment Request Form.

A complete Payment Request form must be submitted no later than 12/2/2017.

NYSERDA must conduct a site visit upon project completion, prior to grant payment. The site visit will address grant payment verification only. NYSERDA will issue payment within thirty (30) days of completing a site visit which confirms the installation is complete and the Payment Request Form information is accurate and complete. All payments shall be made in accordance with NYSERDA's Prompt Pay Policy Statement.

GENERAL CONDITIONS

Proprietary Information - Careful consideration should be given before confidential information is submitted to NYSEDA as part of your application. Review should include whether it is critical for evaluating an application, and whether general, non-confidential information, may be adequate for review purposes.

The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSEDA possesses. Public Officers Law, Section 87(2) (d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSEDA that the Applicant wishes to have treated as proprietary and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to exempt it from disclosure, including a written statement of the reasons why the information should be exempted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <http://nyserda.ny.gov/~media/Files/About/Contact/NYSEDARegulations.ashx>. However, NYSEDA cannot guarantee the confidentiality of any information submitted.

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

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

Empire State Development
Division for Small Business
30 South Pearl Street
Albany, NY 12245

A directory of certified minority- and women-owned business enterprises is available from:

Empire State Development
Minority and Women's Business Development Division
30 South Pearl Street
Albany, NY 12245

Contract Award - NYSEDA anticipates making multiple awards under this PON. It may award a contract based on initial applications without discussion, or following limited discussion or negotiations. Each application should be submitted using the most favorable cost and technical terms. NYSEDA may request additional data or material to support applications.

Limitation - This PON does not commit NYSEDA to award a contract, pay any costs incurred in preparing an application, or to procure or contract for services or supplies. NYSEDA reserves the right to accept or reject any or all applications received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSEDA's best interest.

Disclosure Requirement - The Applicant shall disclose any indictment for any alleged felony, or any conviction for a felony within the past five (5) years, under the laws of the United States or any state or territory of the United States, and shall describe circumstances for each. When an Applicant is an association, partnership, corporation, or other organization, this disclosure requirement includes the organization and its officers, partners, and directors or members of any similarly governing body. If an indictment or conviction should come to the attention of NYSEDA after the award of a contract, NYSEDA may exercise its stop-work right pending further investigation, or terminate the agreement; the Applicant may be subject to penalties for violation of any law which may apply in the particular circumstances. Applicants must also disclose if they have ever been debarred or suspended by any agency of the United States Government or the New York State Department of Labor.

I. ATTACHMENTS

Attachment A: Scoring and Evaluation Guide

Attachment B: Quote Information Required

Attachment C: Sample NYSERDA Agreement, including Exhibit E: Payment Request Form

Attachment D: Example Application (All applications must be submitted electronically [here](#)).



Commercial Implementation Assistance Program Program Opportunity Notice (PON) 3261 \$11 Million Available in Incentives

Eligible Applications will be accepted on a first-come, first-served basis until December 31, 2016

or until funds are exhausted, whichever comes first

** Updated September 9, 2016 **

The Commercial Implementation Assistance Program (Program) seeks to offer cost-sharing to eligible energy-efficiency projects. Applicants are not eligible to receive incentives from another NYSERDA or utility program for the same measure. Eligible measure categories include:

- Advanced Lighting.
- Deep Energy Retrofit Projects.
- Advanced Monitoring and Control Systems.
- Oil Space Heating Efficiency Upgrades.
- Advanced Technologies that are submitted with a Utility Referral requesting that NYSERDA consider funding the measure(s).

The Program offers cost-sharing, up to 50% of the eligible costs of eligible measures. Minimum project cost to be eligible is \$50,000 and the incentive is capped at the lesser of \$150,000 per project or at \$10/MMBtu for measures deemed by NYSERDA to primarily reduce fossil fuel consumption. Only those measures listed above or submitted to NYSERDA via a utility referral and meeting all Program requirements contained herein will be eligible for financial support.

Application Submission: Applicants should visit the [NYSERDA Consolidated Funding Application \(CFA\)](#) page to complete the CFA online form. If you have questions about completing the CFA, please email cfa@nyserda.ny.gov.

Additional Documents:

1. Applicants must submit the following within 30 days of CFA submission:
 - ✓ W-9 tax form: Applicants should only submit Federal Tax ID electronically. If an Applicant is submitting the W-9 using an individual's Social Security Number, then the W9 should be mailed to NYSERDA at 17 Columbia Circle Albany, NY 12203, Attn: Commercial Implementation Assistance Program).
 - ✓ A copy of a current and complete electric utility bill for the site receiving the benefits provided by the Program to verify SBC payment and eligibility.
 - ✓ Proposed Scope of Work Form (Attachment A-1).

NYSERDA evaluates the Project based on the submitted documentation. NYSERDA may request additional information and may coordinate projects with the Applicant's electric utility provider, including but not limited to sharing scopes of work, measure savings and project cost information. If

Applicants are unresponsive or do not provide sufficient documentation at any point in the project, NYSERDA reserves the right to cancel the Application at its sole discretion.

All Program questions should be directed to: Peter Hoffman
866-NYSERDA ext. 3585
commercialprograms@nyserda.ny.gov

All Contractual questions should be directed to: Venice Forbes
866-NYSERDA ext. 3507
Venice.Forbes@nyserda.ny.gov

**** If changes are made to this solicitation, notification will be posted on NYSERDA's website at www.nyserda.ny.gov**

INTRODUCTION

This solicitation is divided into the following components:

- Section II: Eligibility
- Section III: Participation Process
- Section IV: Project Payment
- Section V: General Conditions
- Section V: Attachments

All eligible Applications will be reviewed on a first-come, first-served basis dependent on funding availability.

II. ELIGIBILITY

Commercial Spaces: Eligible end-use customer space building types include commercial facilities located in New York State that include, but are not limited to: office buildings, retail, colleges and universities, health care facilities, state and local governments, not-for-profit and private institutions, and public and private K-12 schools. Some measure categories have additional restrictions. Commercial spaces not specifically listed above should contact NYSERDA regarding potential eligibility. Please note that some eligible measure categories are only offered for certain space use types and may have size restrictions.

System Benefits Charge (SBC): The site that is installing the measures being funded by the Program must be located in New York State in one of the six (6) investor owned utility territories listed below. Applicants must provide proof of payment into the SBC at the site receiving the benefit from the Program. A current and complete copy of a utility bill will be required to verify the Facility's SBC contribution. The six investor owned utilities are:

- Central Hudson Gas & Electric Corporation
- Consolidated Edison Company of New York, Inc.
- National Grid Generation d/b/a National Grid

- New York State Electric & Gas Corporation
- Orange and Rockland Utilities, Inc.
- Rochester Gas and Electric Corporation

Eligible Measure Categories: The following measures categories are eligible for funding in the Program:

- **Advanced Lighting:**
 - Only commercial office space is eligible to apply to the Advanced Lighting measure category.
 - Only two measures are eligible:
 - Full replacement of interior fluorescent fixtures with all new interior LED lighting fixtures. Entire fixture must be new and be listed by the DesignLights Consortium (DLC). Each individual fixture must have integrated daylight and occupancy sensors. Fixtures with retro-fit kits or LED replacement bulbs are not eligible.
 - A networked interior lighting controls system. The networked control system shall be listed by the DLC. Each project shall control a minimum of 25,000 sq. ft. of office space. The networked control system must control 150 or more lighting interior and exterior fixtures. The retrofit baseline to be used shall be IECC 2012 as modified by ECCCNY 2014 for lighting and controls. Energy usage reports generated from the networked control system shall be supplied to verify savings. The fixtures being controlled must be dimmable LED fixtures. Control of fixtures that had LED bulb replacement only are not eligible. Control of non-LED fixtures are not eligible.
- **Deep Energy Retrofit Projects:**
 - Only office and retail spaces are eligible to apply to the Deep Energy Retrofit measure category.
 - Total building size must be less than 200,000 square feet.
 - Projects must be designed to achieve at least 40% or more annual energy savings (Source Btus/square foot) from current annual energy consumption as a baseline. At a minimum, savings must be achieved in at least two of the following measure categories, and no single measure category can achieve 75% or more of the total project savings:
 - Lighting and Lighting Controls,
 - HVAC and HVAC controls,
 - Building Envelope,
 - Building Management System,
 - Kitchen Equipment,
 - Domestic Hot Water, and
 - Green/Cool Roofs.

Note: See list below for measures that are not eligible for funding. Ineligible measures cannot contribute to the 40% savings reduction goal or receive funding from this Program, but shall be included in the baseline calculations.

- **Advanced Controls and Monitoring Systems:**
 - Only office and retail spaces are eligible to apply to the Advanced Controls and Monitoring Systems measure category.

- Total building size must be less than 100,000 square feet, and cannot have an existing Building Management System in place.
- Eligible systems must enable remote, real-time control of primary HVAC equipment and lighting at a minimum. Systems should be able to link controls to occupancy schedules, or occupancy indicators (such as but not limited to demand control ventilation or electronic access cards). Additional building systems, and peak load reduction capabilities is strongly encouraged. Additional building control features can include, but are not limited: to refrigeration systems, or allowing customers to respond to demand response signals or price responsive controls for Time of Use rate classes. The integrated monitoring system must at a minimum break out all primary building system consumption in 15 minute intervals and include a dashboard that is capable of trending and comparison reporting. Savings calculations must be provided and must include specific expected condition changes, such as but not limited to:
 - Improved shut down for evenings, weekends and holidays;
 - Ability to manage individual equipment due to occupancy; or
 - Ability to reduce load (e.g. lighting levels or modify temperature set points) in response to price or demand signals.
- Oil Space Heating Efficiency Upgrades:
 - Upgrades must be primary oil heating components or control systems for primary oil heating systems.
 - Building envelope improvements are not eligible as part of this measure category.
- Measures that are submitted with a Utility Referral requesting that NYSERDA consider funding the measure:
 - Individual measures cannot be co-funded with utilities.
 - Each measure must have less than a 14-year simple payback with an expected measure life that exceeds the simple payback in years.
 - The Utility must indicate in their referral that they have interest in evaluating the measure category for future program or rate models under the Reforming the Energy Vision (REV), or other reason for referral.
 - Minimum code compliant measures are not eligible.
 - If the utility has a program available to fund the measure, the measure cannot be referred to NYSERDA on the basis that the NYSERDA incentive would be greater than the utility incentive.

Cost Share and Incentive Caps: The Program offers cost-sharing, up to 50% of the eligible costs of eligible measures. Minimum project cost to be eligible is \$50,000 and the incentive is capped at the lesser of \$150,000 per project or at \$10/MMBtu for measures deemed by NYSERDA to primarily reduce fossil fuel consumption. Only those measures listed above or submitted to NYSERDA via a utility referral and meeting all Program requirements contained herein will be eligible for financial support.

Measurement and Verification: NYSERDA may require the development and execution of a Measurement & Verification (M&V) plan for:

- Deep Energy Retrofit Projects, Advanced Lighting Projects and Advanced Monitoring and Controls Projects.
- Electric efficiency projects saving more than 500,000 kWh annually.
- Fossil fuel efficiency projects saving more than 10,000 MMBtu annually.

- At NYSERDA's discretion, M&V may be required or waived for any project.
 - If required, NYSERDA's Technical Reviewer will develop an M&V plan in collaboration with the Applicant. NYSERDA will pay up to 60% of the incentive upon installation. The balance, up to 100% of the PO, will be issued after NYSERDA receives and approves the final M&V report and verifies project costs.

Ineligible Measures:

- The following measures are not eligible for funding under this program offering:
 - On-site and renewable generation. Please visit <http://www.nyserda.ny.gov/> for information on potential funding.
 - Steam Trap replacements.
 - Operations and Maintenance measures.
 - Behavioral change measures.
 - Power quality, and power factor improvements.
 - Plug load measures.
 - Non-regulated load measures.
 - Industrial and process measures.
 - Data center measures.
 - Liquid additives.

Additional Eligibility Requirements and Limitations:

- Applicants are not eligible to receive incentives from another NYSERDA program or a utility program for the same measure.
- Eligible measures must have a simple payback period that is greater than or equal to four years, AND less than or equal to fourteen years. _as documented in the Scope of Work Form (Attachment A-2). NYSERDA incentives may not be included in the payback period. Please see the equation below for your reference:

$SPB = \frac{PC}{ACS}$ <ul style="list-style-type: none"> ● SPB = Simple Payback ● PC = Project Cost ● ACS = Annual Cost Savings (energy only)
--

- Applicants may select their own third party/service provider to perform the energy savings calculations and installation or complete the calculations and installations themselves. In-kind costs are not eligible for reimbursement.
- The entirety of the customer's portion of the cost-share must be a cash contribution. In-kind contributions of any type are not allowed as matching funds. The total NYSERDA cost-share is capped at the lesser of either \$150,000 or fifty percent (50%) of the project cost. Measures related to fossil fuel savings shall have an additional funding cap not to exceed \$10/MMBtu. Project cost may include: demolition, equipment, external labor, and engineering or other design

expenses. Facility in-kind labor costs are not an eligible project cost. If multiple measures are being applied for, costs must be broken out at the measure level.

- Only one site is allowed per Application. Master-metered campuses will be reviewed for possible eligibility on a case-by-case basis.
- No single entity (e.g. Applicant, service provider, building owner, etc.) can apply for more than \$1,000,000 in available incentives.
- Applicants are encouraged to wait to commence work until after NYSERDA has issued a Purchase Order (PO). Commencement of projects prior to the issuance of a PO is at their own risk and may effect Program eligibility.
- NYSERDA is not committed to any cost-shared amount until a PO is issued.
- New facilities, those that have undergone substantial renovations, or change of use, must be occupied for more than one year in its current use to be eligible for this Program. Major renovation projects eligible under the New Construction Program should apply for funding under the New Construction Program: [New Construction Program - NYSERDA](#).
- Fuel switching is not eligible.
- If a measure is replacing a piece of equipment that is past its expected useful life, energy savings will be calculated from a baseline New York State Energy Conservation Construction Code requirements, not current energy consumption.
- Measures that minimally comply with New York Energy Conservation Construction Code are not eligible.
- Measures must be commercially available.
- Applicants must submit a construction schedule with their Application and show progress within 3 months of receipt of PO issuance. Projects must have all construction and final customer acceptance of all measures completed within 4 years of PO issuance. The Applicant's inability to complete projects in a timely manner or according to project schedules may result in NYSERDA limiting the number of new applications by the Applicant accepted into the Program and may result in termination of a project by NYSERDA.

III. PARTICIPATION PROCESS

1. Customer or Third Party Service Provider submits:
 - a. Consolidated Funding Application (CFA): [NYSERDA Consolidated Funding Application \(CFA\)](#)
2. Applicants must complete the following within 30 days of CFA submission:
 - a. Submit a W-9 tax form (only submit Federal Tax ID electronically; any Individual's Social Security Number on a W9 should be mailed to NYSERDA at 17 Columbia Circle Albany, NY 12203, Attn: Commercial Implementation Assistance Program);

- b. A copy of a current and complete electric utility bill verifying SBC payment;
 - c. Proposed Scope of Work Form (Attachment A-1)
2. NYSERDA reviews the project documentation to verify it meets the requirements of this solicitation and places an introductory phone call to the customer verifying Program interest and contact information.
3. NYSERDA may review the Application with the appropriate utility company representatives.
4. If the project is determined to meet all program requirements at the time of Application, NYSERDA assigns a Project Manager for continued review and final acceptance/rejection to the Program.
 - a. A pre-site inspection may be requested at this time and additional information may be required.
5. The Applicant must submit revised or additional project information as requested within 30 days to commercialprograms@nyserda.ny.gov and their assigned NYSERDA Project Manager, if requested.
 - a. Failure to submit all required documentation in this timeframe may result in Application cancellation.
6. A NYSERDA Technical Reviewer, under contract to NYSERDA, will then be assigned to review all documentation and confirm final project eligibility.
7. NYSERDA issues approval of the project and a Purchase Order for the project. * *Cost-share amounts are not set-aside until a Purchase Order is issued.*
8. The Applicant must submit deliverables according to the project schedule.
9. NYSERDA Reviews the deliverables and will issue comments or request additional information within 30 days.
 - a. The NYSERDA Technical Reviewer, will assist with review and comments. A post-site inspection may be requested at this time.
10. After installation, the Applicant submits final documentation and notifies NYSERDA of project completion.
11. The NYSERDA Technical Reviewer will confirm installation of all measures, energy savings, and proof of payment by the facility. Additional documentation may be required.
12. NYSERDA issues approval of the project and payment.
 - a. Note: Projects that require M&V may require additional site visits and multiple payments.

IV. PROJECT PAYMENT

Upon approval of all required deliverables, NYSERDA will provide payment (full payment for Projects not requiring M&V and partial payment for Projects requiring M&V). Projects requiring M&V must complete M&V in accordance with the M&V plan in the approved Engineering Analysis. When the M&V is completed, NYSERDA will review the results and release any remaining funds (which may be adjusted, based upon the M&V results). Incentive payment may be reduced if final projects costs are less than estimated at the time of issuance of the Purchase Order. NYSERDA is not responsible for scope expansions, or cost overruns during construction.

The Applicant shall provide NYSERDA copies of all invoices (including all materials, labor, and equipment discounts) reflecting the costs of purchasing and installing the Project. The invoices shall include a breakdown of all equipment purchased for installation under this Agreement (the application and these

Terms and Conditions). In addition, NYSERDA may request any other reasonable documentation or verification of the cost to the Applicant of purchasing and installing the equipment.

VI. GENERAL CONDITIONS

PROPRIETARY INFORMATION

Proprietary Information - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes.

The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <http://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

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

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

Empire State Development
Division For Small Business
625 Broadway
Albany, NY 12207

A directory of certified minority- and women-owned business enterprises is available from:

Empire State Development
Minority and Women's Business Development Division
625 Broadway
Albany, NY 12207

State Finance Law sections 139-j and 139-k - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain new procurement lobbying requirements which can be found at

<http://www.ogs.ny.gov/aboutogs/regulations/advisoryCouncil/StatutoryReferences.html>

The attached Proposal Checklist calls for a signature certifying that the proposer will comply with State Finance Law sections 139-j and 139-k and the Disclosure of Prior Findings of Non-responsibility form

includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years.

Tax Law Section 5-a - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. *See*, ST-220-TD (available at http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department. The Department has created a second form that must be completed by a perspective contractor prior to contacting and filed with NYSERDA. *See*, ST-220-CA (available at http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

Limitation - This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest.

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

CONTRACT AWARDS

NYSERDA may request additional data or material to support before issuing a Purchase Order. Each application should be submitted using the most favorable cost and technical terms. NYSERDA will use the Terms and Conditions found in the Commercial Facilities Program Terms and Conditions, Attachment 2, to contract successful applications. A sample Purchase Order is available on request. NYSERDA expects to notify customers in approximately three (3) weeks from the receipt of a complete project package whether the submission has been selected to receive an award.

VII. ATTACHMENTS

- Attachment 1: Proposed Scope of Work Form
- Attachment 2: Terms and Conditions

New York State Energy Research and Development Authority (NYSERDA)

Clean Energy Communities Program

Guidance Document

Program Opportunity Notice (PON) 3298

APPLICATION DUE DATES

Clean Energy Communities Program: NYSERDA will accept applications for PON 3298 on a rolling basis until 4:00p.m. Eastern Time on September 30, 2019, until funds are exhausted, or until the solicitation is revised by NYSERDA, whichever comes first.



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INTRODUCTION

Local governments are critical partners in achieving a new energy vision for New York State. As such, municipal leaders play a critical role in affecting energy choices in their communities, both in terms of government operations, and also across homes, businesses, and community institutions. The Clean Energy Communities Program provides grants, direct technical support to communities, and recognition to local governments that demonstrate leadership in the area of clean energy.

NYSERDA has identified ten high-impact actions that local governments can take to save money, foster a vibrant economy, and improve the environment. By completing four of the ten high-impact actions, the applying jurisdiction shall earn the Clean Energy Community designation as well as a grant, up to \$250,000 per municipality with no local cost share, to support additional clean energy projects. To earn the Clean Energy Community designation, at least two of the high-impact actions must be completed after August 1, 2016.

Dedicated and knowledgeable local Clean Energy Coordinators are available to applicants to provide on-demand technical assistance, step-by-step guidance, case studies, model ordinances, project development support and other tools and resources. To access this support, please send an email to cec@nyserda.ny.gov or visit www.nyserda.ny.gov/cec.

The Clean Energy Communities Program is funded through the Cleaner, Greener Communities (CGC) Program with proceeds from the Regional Greenhouse Gas Initiative (RGGI) and the Clean Energy Fund (CEF).

PROGRAM REQUIREMENTS

Eligible Applicants

Municipalities (county, city, town, village, or Native American tribes and nations located within NYS) in New York State are eligible to apply for funds. Municipalities may form partnerships and submit a joint proposal, but one entity must be identified as the lead applicant on behalf of the group or consortium. A single municipality, or a group or consortium of municipalities, may choose to designate a non-municipal entity (private, non-profit, etc.) to be the lead applicant, but the lead applicant must provide letters of support from each municipality involved in the project. The lead applicant, if successful, will have a contractual obligation to NYSERDA and will act as the main point of contact for NYSERDA for all project-related matters. Municipalities who have previously received funding through Cleaner, Greener Communities PON 3106 Category 2 Flexible Funding Pilots are not eligible for funding under this solicitation. However, these municipalities are encouraged to apply for the Clean Energy Communities designation.

Funding Levels

In each of New York State's Economic Development Regions (REDCs), funding levels are as follows:

Municipality Size by Population	Tier 1 Awards Number of Awards in each Economic Development Region and Amount		Tier 2 Awards Number of Awards in each Economic Development Region and Amount	
	Large (40,000+)	2	\$250,000	2
Small/Medium (0-39,999)	4	\$100,000	10	\$50,000

Grants are available to designated Clean Energy Communities on a first-come-first-served basis until the funds are exhausted. NYSERDA reserves the right to adjust funding levels and eligibility criteria as necessary to ensure the success of the program. Any changes to this solicitation will be posted on the Clean Energy Communities website at www.nyserda.ny.gov/cec.

Application Process

The application process includes two steps. The first step is to document completion of at least four high-impact actions to earn the Clean Energy Community designation. Please visit www.nyserda.ny.gov/cec to submit action item documentation. In the second step, once you have been designated a Clean Energy Community, you are eligible to apply for a grant at www.nyserda.ny.gov/cec.

NYSERDA will accept applications on a rolling basis until 4:00p.m. Eastern Time on September 30, 2019, until funds are exhausted, or until the solicitation is revised by NYSERDA, whichever comes first.

STEP 1: BECOME A CLEAN ENERGY COMMUNITY

Demonstrate that you have completed at least four of the ten high-impact actions by submitting the requested documentation at www.nyserda.ny.gov/cec. To earn the Clean Energy Community designation, at least two of the high-impact actions must be completed after August 1, 2016. Applicants are encouraged to submit documentation in stages as each high-impact action is completed.

STEP 2: ACCESS GRANT FUNDING

Once the applying jurisdiction receives email confirmation that it has earned the Clean Energy Community designation, **the applicant has three months** to submit a proposal for grant funding at www.nyserda.ny.gov/cec. Projects must be ready to commence within six months of NYSERDA award notification and should be completed within three years of contract execution.

STEP 1: BECOME A CLEAN ENERGY COMMUNITY

Complete Four of Ten High-Impact Actions

To become a Clean Energy Community, the applicant must demonstrate completion of at least four of the ten high-impact actions listed below by submitting the requested documentation using the online submittal form at www.nyserda.ny.gov/cec. To earn the Clean Energy Community designation, at least two of the high-impact actions must be completed after August 1, 2016. More information on how to meet the requirements for each high-impact action, including what documentation is required, is provided on separate pages following the high level list below. Applicants are encouraged to submit documentation in stages as each high-impact action is completed.

For assistance implementing these actions including technical support, step-by-step guidance, case studies, model ordinances, RFPs, and other tools and resources, please visit www.nyserda.ny.gov/cec.

The High-Impact Actions include:

1. Benchmarking

Adopt a policy to report the energy use of municipal buildings on an annual basis. If the applicant is a large city, town, or village, it must also adopt legislation requiring the annual disclosure of energy use in large private buildings.

2. Clean Energy Upgrades

Achieve a 10 percent reduction in the greenhouse gas emissions from municipal buildings through energy efficiency upgrades and renewable energy.

3. LED Street Lights

Convert at least half of the municipal cobra-head-style street lights within the jurisdiction to energy-efficient LED technology.

4. Clean Fleets

Install an EV charging station and/or other alternative fuel infrastructure or deploy alternative fuel vehicles in the municipal fleet.

5. Solarize

Undertake a solarize campaign to increase the number of solar rooftops in the jurisdiction through group purchasing, locally-organized community education and outreach, and a limited time offer.

6. Unified Solar Permit

Pass legislation to adopt the New York State Unified Solar Permit to reduce costs and delays for solar projects in the jurisdiction.

7. Energy Code Enforcement Training

Train code compliance officers and other municipal officials in best practices in energy code enforcement through training, collaborative plans reviews, and joint onsite inspections of local construction projects.

8. Climate Smart Communities Certification

Earn Climate Smart Community (CSC) Certification at the certified, bronze, silver or gold levels through compliance with this robust, comprehensive rating system.

9. Community Choice Aggregation

Transition to a cleaner, more affordable energy supply by facilitating the aggregated purchase of electric supply for residential and small commercial customers within the jurisdiction.

10. Energize NY Finance

Allows property owners to pay back the cost of clean energy upgrades to their commercial or non-profit property through a special charge on their property tax bill.

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Benchmarking

Applicable to All Communities

Rationale

Benchmarking is a policy that a local government adopts that requires the annual reporting of energy used in municipal buildings and, in large communities, also requires the annual disclosure of energy used in large private buildings. It's important because buildings account for over 60% of the energy used in New York State. Setting up a system for measuring and sharing data on building energy use over time will allow owners and occupants to compare energy usage against other buildings, and better identify opportunities to cut energy waste. Collecting, reporting, and sharing benchmarking data regularly also helps the public and government agencies make smarter investment decisions, reward efficiency, and drive widespread, continuous improvement.

Requirements

Demonstrate completion of the Benchmarking action by submitting the following documentation:

For small and medium size communities (0-39,999 population) and all county governments

Submit a copy of adopted legislation that requires the applying jurisdiction to make available to the public on the internet on an annual basis, energy use information for each municipal building that is owned or occupied by the applying jurisdiction that is 1,000 square feet or larger. At a minimum, publicly disclosed energy use information shall include each building's energy use intensity (EUI), annual greenhouse gas emissions, and an energy performance score where available. The legislation must require the following:

Benchmark

- Create a EPA Portfolio Manager Account
- Gather basic information required by Portfolio Manager and set up property profile(s)
- Obtain monthly, whole building energy use data for all fuel types including, but not limited to, electricity, natural gas, fuel oil, chilled water, steam, and diesel
- Enter property uses and details into profile(s)
- Enter energy use data for all fuel types

Report

- Generate and review the building's report in Portfolio Manager
- Submit the report to the municipality through Portfolio Manager
- Make available to the public on the internet annual summary statistics for each covered property including Energy Use Intensity (EUI), annual greenhouse gas emissions, an energy performance score where available, and other descriptive information as required by EPA Portfolio Manager

For large-size cities, towns, and villages (40,000+ population)

Submit a copy of adopted legislation as described for Small communities above, but also include a requirement for the owners of commercial and multifamily buildings 25,000 square feet or larger to also comply.

Recommendations

- Use benchmarking data to streamline outreach efforts to building owners about specific efficiency programs

Resources

- Dedicated and knowledgeable local Clean Energy Coordinators are available to assist municipal staff as they implement this action. To access this support, please send an email to cec@nyserda.ny.gov.
- A toolkit of resources is available at www.nyserda.ny.gov/cec.

Rationale

Clean Energy Upgrades are energy efficiency and renewable energy projects in municipal buildings and facilities. By replacing outdated equipment with new smart and efficient technology, municipalities are well positioned to save energy and money over time. State programs can help get these projects accomplished with no or low up-front cost while generating net savings to your bottom line. Everything from municipal headquarters to public works facilities, fire stations, police precincts, parks facilities, and even water treatment plants are good candidates for upgrades. Perhaps most important, Clean Energy Upgrades show leadership and contribute to building healthier, more vibrant communities.

Requirements

Demonstrate completion of the Clean Energy Upgrades action by submitting the following documentation:

- Submit an EPA Portfolio Manager benchmarking report including energy use information for each municipal building that is owned or occupied by the applying jurisdiction that is 1,000 square feet or larger. The report shall include each building's energy use intensity (EUI), annual greenhouse gas emissions, and an energy performance score where available. The report should cover at least 12 months of energy use of the portfolio from the year prior to the date of the upgrades as the baseline.
- Submit succinct and relevant documentation that demonstrates a minimum 10 percent reduction in greenhouse gas emissions against the baseline. The documentation may include an ASHRAE Energy Audit or an approved pre-and-post engineering study that identifies implemented Energy Conservation Measures.
- Submit a complete Clean Energy Upgrades Calculator, available in the Clean Energy Upgrades toolkit at www.nyserda.ny.gov/cec. Please be sure to complete the most recent version. Information requested will include, but is not limited to, specific equipment or infrastructure upgrades and estimated energy savings of implemented measures.
- Up to half of the required reduction in greenhouse gas emissions may be achieved with renewable energy sources including solar, wind, geothermal, premium-efficiency wood pellets, anaerobic digester gas, or renewable energy attributes or credits certified by Green-e.
- The upgrades must have been substantially completed after January 1, 2014.

Recommendations

- The New York Power Authority (NYPA) provides turn-key energy efficiency upgrades to municipal buildings of qualifying jurisdictions. Working closely with your team, NYPA and their contractors handle every aspect of design and construction. NYPA offers low-interest rate financing and projects can typically be accomplished with no or low up-front cost while generating net savings to your bottom line.
- Energy performance contracts can also be used to procure energy savings and facility improvements with no or low up-front capital costs.
- Consult your utility to identify incentives that may be available for energy efficiency improvements.

Resources

- Dedicated and knowledgeable local Clean Energy Coordinators are available to assist municipal staff as they implement this action. To access this support, please send an email to cec@nyserda.ny.gov.
- A toolkit of resources is available at www.nyserda.ny.gov/cec.

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LED Street Lights

Applicable to All Communities

Rationale

By replacing conventional street lights with energy efficient LED technology, communities can reduce street light energy use by as much as 65 percent, generating cost savings and emission reductions. In addition, street light projects can contribute to creating a well-lit, safer, and more attractive community. LED street lights last up to 100,000 hours and require much less maintenance than conventional street lights. The opportunity to incorporate smart, connected technology such as dimming functions, enhanced law enforcement response, and parking management offers a world of almost unlimited possibilities. Even those communities that do not own their own streetlights have options for converting street lights in their jurisdiction to LED.

Requirements

Demonstrate completion of the LED Street Lights action by submitting the following documentation:

- Submit documentation showing that a minimum of 50 percent of all municipal and utility-owned cobra-head-style street lights have been converted to LED within the geographic jurisdiction. This documentation should include the number of street lights converted, including the proportion of converted cobra-head street lights to total cobra-head street lights.
- A minimum of 10 fixtures must be converted to LED to qualify.

Recommendations

- Consult with NYSERDA regarding which LED conversion and technology options make the most sense to meet your economic and operational goals.
- Check with your utility regarding options for converting street lights to LED.
- Municipalities that do not own their own street lights may pursue a negotiated agreement with their utility for transfer of ownership of the complete system of street lights and supporting infrastructure.
- Energy performance contracts may be used to upgrade street light systems with no or low up-front capital costs.
- The New York Power Authority (NYPA) offers a program to convert street lights to LEDs using low-interest rate financing.

Resources

- Dedicated and knowledgeable local Clean Energy Coordinators are available to assist municipal staff as they implement this action. To access this support, please send an email to cec@nyserderda.ny.gov.
- A toolkit of resources is available at www.nyserderda.ny.gov/cec.

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Clean Fleets

Applicable to All Communities

Rationale

Clean Fleets is an effort by local governments to invest in alternative fuel vehicles and infrastructure while increasing opportunities for constituents to access electric vehicle charging stations. Compared to gasoline-powered cars, Electric Vehicles (EVs) are more energy efficient and cost about 50 to 70% less to operate per mile. Clean vehicles reduce greenhouse gas emissions and pollutants that cause smog and acid rain. Charging stations are being installed at a wide variety of locations across New York State. In communities large and small, urban and rural, there are sites well-suited to hosting charging stations.

Requirements

Demonstrate completion of the Clean Fleets action by submitting the following documentation:

- Submit documentation to demonstrate municipal provision of at least one electric vehicle charging station or compressed natural gas (CNG) fueling station. Electric vehicle charging stations must consist of either two (2) or more Level 2 charging ports or one (1) or more DC fast charge ports. Equipment may have been installed at any time prior to the application date, but must be active at the time of submittal. The municipality or a state or local government entity located wholly within the municipality (i.e. a parking authority) must own or lease the equipment. Alternative fuel supply infrastructure may be used for government operations or public use.

OR

- Submit a copy of documentation to demonstrate municipal deployment of at least one alternative fuel vehicle in the municipality's fleet. Qualifying alternative fuel vehicles include plug-in electric vehicles, CNG vehicles, and hydrogen fuel cell vehicles. Vehicles may be light-duty, medium duty, or heavy-duty vehicles. Vehicles may have been purchased or leased at any time prior to the application date, but must be active at the time of submittal.

Recommendations

- Applicants should gauge local and regional demand for alternative fueling stations and consider the most appropriate fuel type for the area.
- The first step in supporting alternative fuel transportation infrastructure is assessing the demand for and feasibility of an alternative fueling station.

Resources

- Dedicated and knowledgeable local Clean Energy Coordinators are available to assist municipal staff as they implement this action. To access this support, please send an email to cec@nyserda.ny.gov.
- A toolkit of resources is available at www.nyserda.ny.gov/cec.

Rationale

Solarize is a short term (approximately 6-9 months, including planning and outreach), local effort that brings together groups of potential solar customers through widespread outreach and education. This model helps customers choose a solar installation company that is offering competitive, transparent pricing. Historically, Solarize campaigns lower the cost of solar 10 to 20 percent. After a thorough pre-qualification process, a designated solar installer(s) will be named for the campaign. Residents and businesses who sign up for solar installations by a specific deadline will be able to take advantage of group rates below market prices. The more customers who sign up, the lower the price will be for everyone. Well-organized Solarize campaigns are a great way to support solar while being active and visible in your community.

Requirements

Demonstrate completion of the Solarize action as follows:

- Submit documentation to demonstrate direct municipal participation in previous rounds of NYSERDA Community Solar NY. To earn credit for this action, the Solarize campaign must have been launched after January 1, 2014. Documentation may include, but is not limited to, a letter of commitment submitted with the Community Solar NY application, a press release, flyers from an event in the jurisdiction, a screenshot of the solarize website, newspaper article, or adopted resolution.
- Submit a list of at least ten (10) solar customers that resulted from the solarize campaign within your jurisdiction including, but not limited to, the location, installer, date contract was signed, type of financing, and date contract was canceled if applicable.

OR

- For new Solarize campaigns, before you start the planning process, please send an email to cec@nyserda.ny.gov to ensure all NYSERDA requirements are met to earn credit for this action, including those outlined in the Solarize Scoping Document Terms and Conditions.
- Submit a completed Solarize Campaign Scoping Document, available in the Solarize toolkit at www.nyserda.ny.gov/cec. Please be sure to complete the most recent version. The scoping document will detail the campaign's goals and objectives, roles and responsibilities of project partners, deliverables, and milestones. The applicant shall sign off on the Terms and Conditions included with the Scoping Document to earn credit for this action.
- Submit a list of at least ten (10) solar customers that resulted from the solarize campaign within your jurisdiction including, but not limited to, the location, installer, date contract was signed, type of financing, and date contract was canceled if applicable.

Recommendations

- Team up with individuals, organizations, and nearby jurisdictions that are willing and able to conduct community-wide education and outreach around solar energy.
- Consider incorporating Shared Solar projects into your campaign. NYSERDA's Shared Renewables initiative (also referred to as community distributed generation) provides opportunities for renters, homeowners, low-income residents, schools, and businesses to join together to set up shared solar, wind, and other renewable energy projects.
- Adopt a local resolution in support of the Solarize campaign.

Resources

- Dedicated and knowledgeable local Clean Energy Coordinators are available to assist municipal staff as they implement this action. To access this support, please send an email to cec@nyserda.ny.gov.
- A toolkit of resources is available at www.nyserda.ny.gov/cec.

6

Unified Solar Permit

Applicable to All Communities that Issue Building Permits

Rationale

The Unified Solar Permit is a standardized permit application designed to streamline the approval process for installing solar in the community. The standardized permit is expected to cut costs by creating a uniform permitting process in municipalities across the State. As municipalities adopt the permit, installers and municipalities alike will save time and resources permitting solar electric systems. An expedited process will allow these standard systems to pass quickly through the jurisdictional review process, freeing up time for all involved parties, decreasing the overall installation time for customers, and allowing non-standard systems the necessary time for detailed review.

Requirements

Demonstrate completion of the Unified Solar Permit action by submitting the following documentation:

- Submit a copy of the notification of eligibility email from NYSERDA indicating the jurisdiction is eligible to receive the Streamlined Permitting PV incentive (formerly known as Cleaner, Greener Communities Category 1).
- This can be attained by meeting program participation requirements for Streamlined PV Permitting as detailed in the Streamlined Permitting funding opportunity. Municipalities that adopt the Unified Solar Permit are eligible for up to \$5,000, depending on population, through the Streamlined Permitting PV incentive to implement the new procedures. For more information, please visit the Unified Solar Permit toolkit at www.nyserdera.ny.gov/cec.

OR

- Submit a copy of NYSERDA's official list of communities that have adopted the Unified Solar Permit showing that the applying jurisdiction is listed. This list can be accessed in the Unified Solar Permit toolkit at www.nyserdera.ny.gov/cec.

Recommendations

- Adopt the permit as a way to reduce the amount of time both applicants and the building department spend applying for, reviewing, and issuing permits.
- Consider a flat fee that fairly reflects the time needed for municipal staff to review and issue a permit.
- Post information about the permit application process online including timelines for permit application review and issuance.

Resources

- Dedicated and knowledgeable local Clean Energy Coordinators are available to assist municipal staff as they implement this action. To access this support, please send an email to cec@nyserdera.ny.gov.
- A toolkit of resources is available at www.nyserdera.ny.gov/cec.

Energy Code Enforcement Training

Applicable to All Communities that Issue Building Permits

Rationale

The Energy Code is a minimum building standard for energy efficiency, applicable to new construction and renovation of commercial and residential buildings in New York State. The Energy Code is a complex document and one of nine building codes in New York State, making implementation and enforcement complex and time consuming. Since buildings represent roughly 60% of New York's total energy consumption, there is significant opportunity for energy savings through improved Energy Code compliance. This training focuses on what code enforcement officials need to know about the Energy Code in the context of its practical application on active construction projects.

Requirements

Demonstrate completion of the Energy Code Enforcement Training action as follows:

- Enroll in the Clean Energy Communities Energy Code Enforcement Training Module by sending an email to cec@nyserderda.ny.gov.
- Take part in a preliminary meeting between the NYSERDA training provider, the local code enforcement officer and at least two other municipal officials followed by collaborative plans review and joint onsite inspection of two (2) building projects in the municipality. The entire building department staff is encouraged to participate.
- Participate in a presentation by the NYSERDA Training Provider summarizing results of the module, including key considerations and guidance for moving forward. Once complete, you will receive a notification of completion email from the NYSERDA Training Provider.
- Submit a copy of this notification of completion email to earn credit for this action.

Recommendations

Follow up the training module by hosting or attending a NYSERDA Energy Code Essentials training course (in person or online). To register for a course, please visit www.nyserdacodetraining.com

Resources

- Dedicated and knowledgeable local Clean Energy Coordinators are available to assist municipal staff as they implement this action. To access this support, please send an email to cec@nyserderda.ny.gov.
- A toolkit of resources is available at www.nyserderda.ny.gov/cec.

Rationale

The Climate Smart Communities Certification (CSC) program provides local governments with a robust framework to guide their climate action and enables high-performing communities to achieve recognition for their leadership. Designed around the CSC pledge elements, the certification program recognizes communities for their accomplishments through a rating system leading to four levels of award: Certified, Bronze, Silver and Gold.

Requirements

Demonstrate completion of the Climate Smart Communities Certification action by submitting the following documentation:

- Submit documentation that demonstrates your community has been listed as a Certified Climate Smart Community at the certified, bronze, silver or gold level on the New York State Department of Environmental Conservation (NYSDEC) website.

Recommendations

- For more information, please visit the DEC website at <http://www.dec.ny.gov/energy/56876.html>. If you are interested in Climate Smart Communities, please contact the DEC Office of Climate Change at (518) 402-8448 or by email at climatechange@dec.ny.gov.

Resources

- Dedicated and knowledgeable local Clean Energy Coordinators are available to assist municipal staff as they implement this action. To access this support, please send an email to cec@nyscrda.ny.gov.
- A toolkit of resources is available at www.nyscrda.ny.gov/cec.

Rationale

Community Choice Aggregation (CCA) is a municipal energy procurement model that replaces the utility as the default supplier of electricity for virtually all homes and small businesses within your jurisdiction. CCA puts control of choosing energy supply in local hands. By pooling demand, communities build the clout necessary to negotiate lower rates with private suppliers, and are able to choose cleaner energy. A CCA can allow whole communities to participate in the clean energy economy by ensuring that a greater percentage of electricity is coming from renewable sources. CCA has the potential to simultaneously deliver lower monthly bills and cleaner energy for your constituents.

Requirements

Demonstrate completion of the Community Choice Aggregation action by submitting the following documentation:

- Submit a copy of the adopted legislation authorizing the municipality's participation in an opt-out CCA program.
- Submit a copy of an executed electric service agreement between the applying jurisdiction and an Energy Services Company (ESCO) to supply electricity to participating customers on an opt-out basis that is a 100% renewable clean energy product mix, to be produced in North America and certified by Green-e.

Recommendations

- Consider teaming up with other nearby municipalities and allowing a local or regional group to administer the CCA program.

Resources

- Dedicated and knowledgeable local Clean Energy Coordinators are available to assist municipal staff as they implement this action. To access this support, please send an email to cec@nyserda.ny.gov.
- A toolkit of resources is available at www.nyserda.ny.gov/cec.

Rationale

Energize NY Finance, also known as Property Assessed Clean Energy (PACE) Financing, is a program adopted by an eligible local government that allows property owners to pay back the cost of clean energy upgrades to their commercial or non-profit property through a special charge on their property tax bill. Energize NY Finance enables eligible commercially-owned buildings in New York State to secure funds to tackle significant energy upgrades and renewable energy projects. This financing structure is available through the Energy Improvement Corporation (EIC) for projects that aim to install permanent improvements that reduce energy costs in existing buildings. EIC is a local development corporation and a New York State nonprofit established specifically to assist municipalities and property owners achieve long-term energy savings and/or generate renewable power for use on site.

Requirements

Demonstrate completion of the Energize NY Finance action by submitting the following documentation:

- Submit a copy of the adopted legislation authorizing the municipality to establish an Energize NY Finance Program.
- Submit a copy of an executed Energy Improvement Corporation (EIC) Municipal Agreement.
- Submit a copy of a letter confirming EIC membership.

Recommendations

- If you are interested in establishing an Energize NY Finance program, please contact the Energy Improvement Corporation at (914) 302-7300 or by email at info@energizeny.org.
- If your municipality has been allocated Qualified Energy Conservation Bonds (QECBs), consider using them in support of your Energize NY Finance Program.

Resources

- Dedicated and knowledgeable local Clean Energy Coordinators are available to assist municipal staff as they implement this action. To access this support, please send an email to cec@nyscrda.ny.gov.
- A toolkit of resources is available at www.nyscrda.ny.gov/cec.

STEP 2: ACCESS GRANT FUNDING

Applicants must earn the Clean Energy Community designation to be eligible for grant funding under this program. Once the applying jurisdiction receives email confirmation that it has earned the Clean Energy Community designation, **the applicant has three months** to submit a proposal for grant funding at www.nyserda.ny.gov/cec. Projects must be ready to commence within three months of award notification and should be complete within three years of contract execution. At NYSERDA's discretion, one extension may be granted.

No local cost share is required and up to 25% of the grant funds may be available as an advanced payment upon contract execution.

Eligible Project Types

Applicants must propose a project(s) or initiative(s) for funding. Good projects will score highly when evaluated according to the criteria outlined in the section of this document entitled "Selection Criteria."

Ineligible Project Types

Projects that do not meet the Selection Criteria outlined in the section of this document entitled "Selection Criteria" are not eligible.

Proposal Requirements

Projects will be scored and awarded on a rolling basis. No project or applicant is guaranteed funding. Applications will be reviewed as outlined below.

- The grant application is available at www.nyserda.ny.gov/cec.
- Required attachments, described in more detail on the website, include the following:
 - Project Subcontractors
 - Signed Letter of Commitment(s)
 - Statement of Work (SOW)
 - Contract Pricing Proposal Form (CPPF)
 - Terms and Conditions
 - Disclosure of Prior Findings of Non-Responsibility form
- NYSERDA may reach out to applicants via email with specific follow-up questions after reviewing proposals. Should NYSERDA request additional information, applicants will have five business days to respond in order for that information to be considered in the evaluation process.
- Applicants must earn a minimum of 50% of available selection criteria points to be considered eligible.
- Review meetings will be held periodically, on at least a quarterly basis, depending on the volume of applications.
- NYSERDA may condition awards upon applicant acceptance of requests for minor modifications to project scopes to ensure that NYSERDA program goals are met. NYSERDA reserves the right to request additional information.
- NYSERDA reserves the right to reject proposals that would otherwise be eligible for other existing NYSERDA or other New York State funding opportunities.
- NYSERDA, in order to avoid double-funding projects or measures within projects, may adjust awarded funding amounts at any time based on new information regarding other project funding secured.
- NYSERDA reserves the right to adjust award amounts at its sole discretion.
- Applicants must agree, or provide written exceptions, to NYSERDA's standard contracting Terms and Conditions, which can be found at www.nyserda.ny.gov/cec.

Selection Criteria

Applications will be evaluated based on the following criteria, with a total number of possible points allocated to each. Applicants must earn a minimum of 50% of the selection criteria points to be considered eligible.

1. To what extent does the proposer present a thorough, sound, detailed approach for accomplishing the objectives of their proposal within a reasonable timeframe? (25 possible points)
2. To what extent does the project/initiative have a positive direct impact on energy use and greenhouse gas emissions? (15 possible points)
3. To what extent does the project/initiative have other sustainability benefits? (15 possible points)
4. To what extent will efforts be made to collaborate with other municipalities and to transfer knowledge to the broader region and state? (15 possible points)
5. To what extent does the project/initiative involve an innovative and/or replicable approach? (15 possible points)
6. To what extent will the project/initiative leverage public and private dollars and/or generate economic development benefits (i.e. temporary or permanent job creation and investment)? (15 possible points)

Project Benefits Metrics Report

It is important to begin considering project benefits at the application stage. Anticipated benefits associated with Clean Energy Communities projects should be measured. Each successful applicant shall, throughout the course of the contract with NYSERDA, collect the required metrics described in the "Project Benefits Metrics Report" section of the Statement of Work (SOW), which can be found on the www.nyserda.ny.gov/cec webpage.

GENERAL CONDITIONS

Proprietary Information: Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to exempt it from disclosure, including a written statement of the reasons why the information should be exempted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <http://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

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

NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at

<http://www.ogs.ny.gov/aboutogs/regulations/advisoryCouncil/StatutoryReferences.html>

The attached Proposal Checklist calls for a signature certifying that the proposer will comply with State Finance Law sections 139-j and 139-k and the Disclosure of Prior Findings of Non-responsibility form includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years.

Tax Law Section 5-a – NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf). Prior

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

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

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

Empire State Development
Division For Small Business
625 Broadway
Albany, NY 12207

A directory of certified minority- and women-owned business enterprises is available from:

Empire State Development
Minority and Women's Business Development Division
625 Broadway
Albany, NY 12207

Contract Award

NYSERDA may award a contract based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the submitted proposal. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

Limitation

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

Disclosure Requirement

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

Disclaimer

All projects must address the qualifications and eligibility requirements listed in this Guidance Document. NYSERDA reserves the right to issue revisions to this solicitation at any time. Any revisions will be announced and posted on NYSERDA's website at www.nyserderda.ny.gov. High-Impact Actions may be adjusted, phased out, or newly developed based on a variety of factors including, but not limited to, new opportunities to help communities drive local energy action, level of uptake in communities relative to other actions, changes in the regulatory environment, consistency with NYSERDA and other New York State agency program offerings, and availability of external assistance, such as federal programs, tools, and resources.

Additional Resources

All program resources and guidelines can be found on the Clean Energy Communities webpage at the following location: www.nyserderda.ny.gov/cec. All other questions about this solicitation should be submitted to NYSERDA, in writing, at cec@nyserderda.ny.gov. Due to the large number of inquiries expected, NYSERDA may not be able to return phone calls.

Commercial Tenant Program
Program Opportunity Notice (PON) 3308
\$5.75 million in available funds

Applications accepted on a first-come, first-serve basis dependent on funding availability through July 31, 2019.

NYSERDA's Commercial Tenant Program (Program) seeks to achieve significant energy efficiency improvements in commercial tenant office spaces particularly during lease negotiations and space design. The Program aims to encourage building owners and tenants to work together to achieve energy efficiency in commercial buildings. To fulfill these goals, entities are eligible to apply for cost-shared support for energy modeling and energy efficiency package development for commercial tenant office space. This Program will test the ability to standardize energy efficiency packages for tenant spaces within commercial buildings.

Architecture firms, engineering firms, or other third party modeling entities (Modeling Entity) with experience in the tenant design and fit-out process and that are familiar with energy conservation measures specific to tenant spaces are encouraged to apply. All firms must have at least one team member qualified to develop energy models (see Section II: Eligibility for Modeling Entity Qualifications).

This Program provides cost-share for the development of three (3) different types of energy efficiency packages:

- Tenant-specific package: NYSERDA will cost-share the development of a custom energy model resulting in a list of energy efficiency measures, or package, tailored to the unique needs and requirements of a tenant. The package includes a financial analysis to allow the tenant to choose the options that work best for its business.
- Building-tenant package: NYSERDA will cost-share the development of a generic energy model and energy efficiency package applicable to standard tenant spaces in the building. This Building-tenant Package can be used by a building owner or manager in future lease negotiations and fit-out designs for tenants. This will allow existing or new tenants to use the Building-tenant Package and may eliminate the need for additional customized tenant-specific packages.
- Combined Package: For buildings where NYSERDA has cost-shared a Tenant-specific Package, a Building-tenant Package can be developed at no cost to the building owner or manager.

How to Apply:

Commercial Tenant Program cost-share requests **must be** submitted to the following at this time commercialprograms@nyserda.ny.gov:

1. Commercial Tenant Project Application (Attachment A)
2. Proof of System Benefits Charge (SBC) payment in the form of a utility bill
3. Proof of qualifications of Modeling Entity (see Section II)
4. Letter of commitment from the applicable Tenant or Building Owner (Attachment B)
5. Proposed Budget (Attachment C)

For questions regarding the Application process or program specific questions please contact, commercialprograms@nyserda.ny.gov or Sophie Cardona (866-NYSERDA ext. 3590). All contractual questions should be directed to Venice Forbes (866-NYSERDA ext. 3507, Venice.Forbes@nyserda.ny.gov).

Incomplete or unsigned Applications will be returned. NYSERDA reserves the right to close or extend the Solicitation at any time and/or add funding to the Solicitation should other program funding sources become available. If changes are made to this solicitation, notification will be posted on NYSERDA's website at www.nyserda.ny.gov.

I. INTRODUCTION

NYSERDA's Commercial Tenant Program is designed to stimulate investment in energy efficiency improvements in tenant spaces during lease negotiation and space design and to encourage building owners and tenants to work together to achieve energy efficiency in commercial buildings. The Program aims to drive energy efficiency efforts above the current energy code requirements by demonstrating to tenants a cost-effective approach to energy efficient, high performance office space as well as demonstrating to building owners, real estate brokers, and architecture and engineering (A&E) firms a cost-effective and replicable approach to delivering those spaces.

The Program will offer cost-share to offset the cost of Modeling Entities hired by tenants, building owners, or building management firms to perform modeling of a tenant space and identify energy efficiency measures to enable the design of high performing office space. The Program aims to help tenants realize energy bill savings and improve controllability, productivity, employee retainage and recruitment. The Program aims to enable building owners and managers to offer a new service to prospective building tenants during the lease negotiation process. In addition, if the base building systems run more efficiently, building owners may see lower operating costs, and, potentially, increased asset value.

This solicitation is divided into the following components:

- Section I: Introduction
- Section II: Eligibility
- Section III: Application Requirements & Process Overview
- Section IV: Program Cost-Share
- Section V: Program Conditions
- Section VI: General Conditions
- Section VII: Attachments

DEFINITIONS:

Applicant: Eligible Applicants include, but are not limited to architecture firms, engineering firms, building owners, building management firms or tenants. At time of Application, the Applicant shall notify NYSERDA of any subcontractors participating in the project and in what capacity. The Applicant shall have the sole responsibility for providing reasonable staffing resources for, and completion of, all work in accordance with this Program and Terms and Conditions.

Customer: The Customer is the entity paying for the design and energy modeling services. This may include a tenant, building owner or manager. The Customer must have the ability to install the recommendations provided in the energy efficiency package. In certain cases, the Customer may also be the Applicant.

Site: The site is the building location of the project.

Modeling Entity: The entity contracting with the Customer, possessing the required qualifications to develop the energy model and energy efficiency packages per Section II.

Project Team: The Project Team includes the Applicant, Customer and any design professionals hired by the Customer or Applicant to perform space design and construction services. The Project Team shall be identified in the Application and the Applicant is responsible for keeping the NYSERDA Project Manager apprised of any changes to the Project Team.

Technical Reviewer: Entity contracted by NYSERDA to review the qualifications of the Modeling Entity and the accuracy of the energy model and energy efficiency packages. The Technical Reviewer is also involved in the monitoring and verification of energy savings during the project's post-installation phase.

Tenant-specific Package: The custom energy model and energy efficiency package developed for the tenant's new commercial office space. The Tenant-specific Package contains options for different levels of energy savings to be integrated into the tenant's space design and includes a financial analysis to allow the tenant to choose the options that work best for its business.

Building-tenant Package: The standard energy model and energy efficiency package developed for existing and prospective tenants in a commercial building. The Building-tenant Package includes a more generic set of energy efficiency measures suitable for, and easily transferable to, other similar tenant spaces in the building. This package is specific to the building, but more flexible than a Tenant-specific Package. It can be derived from a tenant-specific model or created as a stand-alone model and energy efficiency package. The Building-tenant Package can be presented to new tenants in leasing materials or after the lease negotiation process as a space design tool and may eliminate the need for further energy modeling.

Combined Package: A Combined Package includes the development of a Tenant-specific Package and a Building-tenant Package. The Program offers added incentives for building owners and managers to collaborate with a tenant creating a customized Tenant-specific Package to develop a Building-tenant Package for the building. See Section IV: Program Payments for more information.

System Benefits Charge: Fee levied on ratepayers of the following utilities: Central Hudson Gas & Electric Corporation, Consolidated Edison Company of New York, New York State Electric & Gas Corporation, National Grid, Orange and Rockland Utilities, Inc., and Rochester Gas and Electric Corporation.

II. ELIGIBILITY

ELIGIBLE APPLICANTS

Eligible Applicants include but are not limited to: A&E firms and other third party modeling entities (Modeling Entity), building management firms, building owners or tenants. Modeling Entities that have experience in modeling “above-code” tenant spaces are particularly encouraged to apply.

Modeling Entities approved as Energy Modeling Partners under NYSERDA’s RFP 3036 (Energy Modeling Partners) are automatically eligible to participate in this Program. Otherwise, the Modeling Entity must provide documentation of the following in order to participate in this Program:

- At least one (1) staff member trained and experienced in whole building energy modeling or a named subcontractor with such qualifications.
- At least five (5) years of energy efficiency experience (such as executed energy audits, delivered performance contracts, or demand response projects).
- Two (2) building or tenant level energy models for review by a NYSERDA Technical Reviewer with the following supporting documentation:
 - Brief narrative describing project context (e.g. U.S. Green Building Council Leadership in Energy and Environmental Design (LEED), incentive program participation, etc.) and timeline
 - Current project status (e.g. LEED review completed with 15 Energy and Atmosphere Credit 1 points documented; incentive program report approved with 25% improvement over code documented, and which energy code was followed.)
 - Simulation protocol used (e.g. ASHRAE 90.1 2010 Appendix G)
 - Project outcome (i.e. recommended measures installed)
 - Description of energy conservation measures
 - Backup documentation, as requested by the program Technical Reviewer, which may include but is not limited to input and output modeling files
 - Name of the energy modeler on the project (must be a current member of the Modeling Entity team)
 - Resume or curriculum vitae (CV) of the energy modeler, as well as evidence to support the following required qualifications:
 - Three (3) years of experience in building modeling
 - Experience with energy modeling following ASHRAE Standard 90.1 Appendix G
 - Energy modeling training (eQUEST, EnergyPlus, or equivalent energy modeling tool), or evidence of at least two (2) energy models since 2009 validated by an independent third party (i.e., LEED)
 - ASHRAE Building Energy Modeling Professional (BEMP) or Association of Energy Engineers (AEE) Building Energy Simulation Analyst (BESA) Certification is a plus.

Building owners, building management firms, or tenants applying to the Program must have identified a Modeling Entity to contract with for the development of the energy model and energy efficiency package. This Modeling Entity must meet the minimum requirements for qualification listed above.

The entity paying for the energy model and energy efficiency package (i.e. the tenant, building owner or management firm) must have the ability to install the recommendations detailed in the energy efficiency package. NYSERDA will provide its cost-share to the entity listed as the Applicant in the Application form. For details refer to Section IV: Program Cost Share.

Individual Applicants may submit more than one Application, however, no single Applicant may receive more than 30% of total program funding or \$1,725,000, regardless of the number of projects submitted.

In addition, tenants who install at least one (1) of the energy savings measures recommended in the energy efficiency package must provide available utility data and access to the space for monitoring and verification (M&V). For more details about M&V requirements, please refer to Section V: Program Limitations.

ELIGIBLE SITES

Eligible sites for tenant-specific projects:

Must be commercial real estate office space that is currently leased by a tenant or will be leased by a tenant and:

- The tenant is renewing, signing, or undergoing the lease negotiation process, or the tenant currently occupies the space and is interested in renovating it to meet high performance standards.
 - This applies to tenant-led new fit-outs, building owner/manager led new fit-outs, and tenant-led renovations.
- The tenant or the facility where the leased space is located must be a New York State electricity distribution customer of a participating utility company paying into the SBC.
 - Proof of SBC contribution is required at the time of Application. A tenant without a utility bill in its name may instead submit a utility bill in the name of the building owner, showing the SBC contribution for the building.
- There is no square footage threshold for eligible tenants, however the tenant space cannot occupy more than fifty percent (50%) of the building's total square footage.
- If the tenant is renovating a space, the renovation must be significant enough to require permits for New York State Energy Conservation Construction Code (ECCC) compliance and the energy efficiency package must include measures that exceed the current ECCC requirements for at least two (2) of the following five (5) building systems: lighting, heating, ventilation and air conditioning (HVAC), service water heating, unregulated loads and process loads, or building envelope.

Eligible sites for building-tenant projects:

Commercial real estate office building owners or managers interested in providing energy efficiency packages to their future and/or existing tenants and:

- The building where the leased space is located must be a New York State electricity distribution customer of a participating utility company paying into the SBC. A utility bill must be provided to document such SBC contribution.
- The building must be occupied by more than one commercial office tenant, and a single tenant space cannot exceed more than fifty percent (50%) of the building's total square footage. This applies regardless of whether the building is owner-occupied.

III: APPLICATION REQUIREMENTS & PROCESS OVERVIEW

APPLICANT:

Applicants must complete and submit the following documentation:

1. Commercial Tenant Project Application (Attachment A)
2. Proof of SBC payment in the form of a utility bill
3. Proof of Qualifications of Modeling Entity (outlined in Section II above)
4. Letter of Commitment from Tenant or Building Owner (Attachment B)
5. Proposed Budget (Attachment C)

NYSERDA will review the Application and all required documentation. Additional information may be requested at NYSERDA's discretion. All Applications will be reviewed on a first-come, first-served basis dependent on funding availability

After the Applicant submits the Application and all required documentation, a NYSERDA Project Manager will be assigned to review the Application package. If the Application package is incomplete, the NYSERDA Project Manager will notify the Applicant of any missing documentation. The Applicant will then have two weeks to complete the Application package, otherwise the Application will be cancelled and the Applicant will be encouraged to apply again once all necessary documentation is ready for submission.

During review of the Application NYSERDA will assign a Technical Reviewer who is responsible for ensuring the Modeling Entity has the required qualifications. Upon review and approval of the Application and supporting documentation, NYSERDA will notify the Applicant that the Application is approved. NYSERDA will issue a Purchase Order committing its cost-share. **NYSERDA is not committed to cost-sharing a project until a purchase order is issued.**

The Applicant may then schedule a kick-off meeting with all interested parties to discuss project timeline, next steps, and the energy modeling and energy efficiency package development process.

Note: NYSERDA reserves the right to reject an Application that has completed design development and is in the construction development phase. NYSERDA will not cost share any energy modeling or energy efficiency measure recommendations already implemented at the time of applying to the Program.

PROGRAM DELIVERABLES:

Participation in the Program requires a third party Modeling Entity to work with either a commercial real estate tenant to develop a custom Tenant-specific Package and/or a building owner or building management firm to develop a Building-tenant Package.

The Applicant must submit all deliverables outlined below to the NYSERDA Project Manager once a task is completed. The Applicant shall submit all deliverables in Microsoft Word and PDF format (or other format as identified in the tasks below). Within fifteen (15) business days of receipt of each deliverable, the NYSERDA Project Manager shall provide comments to the Applicant or, if the deliverable is acceptable, the NYSERDA Project Manager shall provide final approval. The Applicant shall prepare revisions to the deliverable reflecting the NYSERDA Project Manager's comments, and resubmit the revised deliverable within fifteen (15) business days after receipt of comments.

The NYSERDA Project Manager may provide additional comments and requests for information following receipt of the Applicant's revisions. In the event that NYSERDA requires additional time for considering approval, NYSERDA shall specify the additional amount of review time necessary up to an additional fifteen (15) business days. All deliverables shall not be considered final until approved by NYSERDA in writing to the Applicant.

TASKS

The following tasks and associated deliverables are applicable to both tenant-specific and building-tenant projects. NYSERDA may make adjustments to these tasks and deliverables at its sole discretion.

Task 1. SITE VISIT, ENERGY MODEL COORDINATION MEETINGS AND BASELINE MODEL

1. **Building Survey and Data Gathering:** The Modeling Entity will conduct an onsite building survey with facility staff and Project Team. This will include a walkthrough of the tenant space and assessment of the central building heating, ventilation and air conditioning (HVAC) systems.

Deliverables:

- Written summary of onsite Building Survey and Data Gathering.
- Written summary of additional building and/or project information from the facility staff/Project Team.

2. **Scoping Meeting and Coordination:** The Modeling Entity will participate in the tenant space design process and assist team members in identifying potential energy conservation measures for the tenant space. The Modeling Entity shall hold kick-off discussions, meetings, and/or review of early stage project documentation relevant to the most significant areas of tenant space energy use.

Deliverables:

- Meeting minutes.
- Identification of version of the energy code used for the project, and other relevant summary information.
- List, or other written summary, of energy efficiency measures under consideration.
- Attendance at design and other tenant meetings, as appropriate and as directed by NYSERDA.

3. **Baseline Energy Model Development:** The Modeling Entity shall undertake energy modeling of the Site, in accordance with ASHRAE Standard 90.1 2013, the Energy Conservation Construction Code of New York State, and NYSERDA Program requirements. The Modeling Entity shall calibrate the model using existing utility information and/or comparable benchmark data, as appropriate.

Deliverable:

- Baseline energy model and report
- Schedule of assumptions used in the modeling including reference to applicable energy code, energy model tool defaults, and/or existing building conditions for baseline parameters, as relevant.

Task 2. DEVELOPMENT OF DESIGN OPTIONS

1. **Energy Efficient Design Development Charrette:** The Modeling Entity will work with the Project Team and the NYSERDA Project Manager to develop a list of design options for consideration in the model, including high efficiency systems, external and internal load reduction, lighting, plug load and other energy savings opportunities. This will result in the development of a preliminary list of energy efficiency measures to be evaluated through energy modeling.

The preliminary energy efficiency measures must be categorized based on the most significant anticipated barrier to their successful implementation. These barriers include:

- a. **Cost:** Typically plant or equipment upgrades (high cost, low risk energy saving "assets")
- b. **On-going Management Challenge:** Typically measures involving process changes and/or controls (medium cost, with moderate risk of being reversed over time)
- c. **Impact on End-User Experience:** This includes people-dependent measures (low cost, but likely to require engagement with end-users).

Deliverable:

- A draft list of potential energy efficiency measures by type submitted to the tenant and the NYSERDA Project Manager. This list shall be shared with the building owner/manager when the building owner/manager is leading the tenant space fit-out process.
2. **Design Options Modeling:** The Modeling Entity shall model energy efficiency measures as adaptations of the baseline model, as appropriate, based on the Design Development Charrette.

Deliverables:

- Initial model inputs and outputs for energy efficiency measures for the tenant's space provided to the tenant, the NYSERDA Project Manager, and NYSERDA's Technical Reviewer.
- A schedule of assumptions used in the modeling, including reference to information sources and/or supplemental calculations, as relevant.

Task 3. DEVELOPMENT OF FINAL ENERGY EFFICIENCY PACKAGE

1. **Final List of Measures:** The Modeling Entity will use energy modeling to inform energy efficiency measure selection, and will work with the Project Team to develop the final list of the tenant's energy efficiency measures for consideration in the final model. The Modeling Entity will review the design development modeling results with the Tenant / Project Team, and recommend a final list of measures, to be included in the Tenant-specific Package, and categorized based on likelihood of implementation (per Task 2.1).

Deliverables:

- Final list of energy efficiency measures to be provided to the tenant, Project Team, and the NYSERDA Project Manager.
- Incremental cost estimates for each of the energy efficiency measures on the final list from the Project Team to be provided to the Tenant and the NYSERDA Project Manager.

2. **Final Energy Model and Financial Analysis:** The Modeling Entity shall model and analyze a final energy efficiency package for the tenant space. This model will include the final list of measures the tenant intends on implementing. The schedule of modeling assumptions shall be updated as appropriate. The Modeling Entity shall undertake a financial analysis of the final energy efficiency package based on model outputs and upon incremental cost estimates for each measure, including energy savings, load reduction, payback period, return on investment, net present value, and internal rate of return.

Deliverables:

- Final Tenant-specific Package, including: each energy efficiency measure, the incremental cost for each measure, the incremental energy savings above code, the incremental annual operational cost savings, simple payback period, net present value, and internal rate of return, to be provided to the tenant, the NYSERDA Project Manager, and NYSERDA's Technical Reviewer.

- Final scenario model inputs and outputs for energy efficiency measures for the tenant's space provided to the tenant, the NYSERDA Project Manager, and NYSERDA's Technical Reviewer.
- Meeting with the tenant, Project team, and NYSERDA Project Manager to review the final results.

Task 4. BUILDING-TENANT PACKAGE DEVELOPMENT (as applicable, either as a stand-alone energy efficiency package, or as part of a Combined Package)

1. **Develop Building-tenant Package:** Based on the Tenant-specific Package, the Modeling Entity shall create a more generic set of measures that would be suitable for, or easily transferable to other, similar, tenant spaces in the building, either new or renovated. In the case where no Tenant-specific Package exists and a building owner wishes to develop an energy efficiency package applicable to generic tenant spaces in the building, the Modeling Entity will develop the Building-tenant Package following the same procedures as outlined in all applicable tasks required for the development of a Tenant-specific Package:
 - a. The energy efficiency package will be specific to the building, and based on the measures identified in the initial tenant model (if applicable), but more flexible than the original energy efficiency package. This may include measures that were not requested by the original tenant or were removed because of the original tenant's specific needs and preferences.
 - b. The Building-tenant Package shall be derived from the same methodology as the Tenant-specific Package.

Deliverables:

- A list of energy efficiency measures to be included in a Building-tenant Package.
- Incremental cost estimates for each of the energy efficiency measures on the building-tenant list from the Project Team, as well as cost savings estimates.

2. **Energy Model and Financial Analysis:** The Modeling Entity shall adapt the tenant-specific model to develop a Building-tenant Package, or create a model if no tenant-specific model is available. The Modeling Entity shall also update the schedule of modeling assumptions for the building-tenant measures as appropriate.

The Modeling Entity shall undertake a financial analysis of the energy efficiency package based on model outputs and upon incremental costing estimates for each measure, including energy savings, load reduction, payback period, return on investment, net present value, and internal rate of return.

Deliverables:

- Final Building-tenant Package, including: each energy efficiency measure, the incremental cost for each measure, the incremental energy savings above code, the incremental annual operational cost savings, simple payback period, net present value, and internal rate of return, to be provided to the Building Owner/Manager, the NYSERDA Project Manager, and NYSERDA's Technical Reviewer.

Task 5. MEASUREMENT AND VERIFICATION (if at least one measure from the energy efficiency package is installed)

1. **Data Gathering:** The Site shall allow NYSERDA and its Technical Reviewer to conduct one (1) year of reasonable tenant system level technical review including, reasonable energy metering of tenant controlled systems and other reasonable sources of data gathering, at NYSERDA's sole expense and not from any amounts due the Applicant under this Program. The data will be collected by NYSERDA and/or its Technical Reviewer, at NYSERDA's sole expense and not from any amounts due the Applicant under this Program to verify the energy savings predicted by the tenant-specific energy model.

Deliverables:

- The Site shall allow NYSERDA and its Technical Reviewer reasonable access to the tenant space for at least one (1) year to gather reasonable data to verify the energy savings achieved from the energy conservation measures installed, if any. This will include the installation of data loggers on certain pieces of equipment and circuits.
 - NYSERDA will summarize for the Applicant and Customer (if different than the Applicant) results of the data gathering analysis and note any inconsistencies with the predicted savings.
2. **Utility Bill Analysis:** The Site shall allow NYSERDA and its Technical Reviewer to conduct five (5) years of utility bill analysis (if available) of the tenant space to determine persistence of energy savings above code, at NYSERDA's sole expense and not from any amounts due the Contractor under this Agreement.

Deliverables:

- The Site shall provide NYSERDA and its Technical Reviewer reasonable access to submetered utility bill data to enable at least five (5) years of analysis of tenant space energy use. Analysis shall not be distributed or used by NYSERDA for any purpose other than the obligations under this Agreement without prior written approval of Site.
- NYSERDA will provide the Site a summary of the results of the utility bill analysis and note any inconsistencies with the predicted savings.

IV: PROGRAM COST-SHARE

Eligible project costs are those costs incurred by the Modeling Entity in creating the energy model and energy efficiency package for the commercial tenant office spaces. A budget shall be provided per Attachment C outlining expected project costs.

Tenant-specific projects - NYSERDA will provide up to fifty percent (50%) of the eligible project costs.

Building-tenant projects - NYSERDA will provide up to fifty percent (50%) of the eligible project costs.

Combined tenant-specific and building-tenant projects – If a Building-tenant Package is created for the building in which a custom Tenant-specific Package was developed under this Program, NYSERDA will provide up to one hundred percent (100%) of the development of the Building-tenant Package.

PROJECT PAYMENTS:

NYSERDA will provide its cost-share to the entity listed as the Applicant in the Commercial Tenant Project Application (Attachment A).

If the Applicant is the third party Modeling Entity: NYSERDA will contribute up to 50% of the project cost directly to the Modeling Entity, subject to the maximum dollar amount listed in the issued Purchase Order. The Customer under contract with the Modeling Entity is responsible for paying the remaining balance of the project costs, under the terms and conditions to be negotiated by the Modeling Entity and the Customer. As proof that the Customer has paid their portion of the cost-share, NYSERDA may require a copy of the Customer's canceled check, if applicable. Unless otherwise agreed upon, payments will be sent to the authorized Applicant listed in the Commercial Tenant Project Application (Attachment A).

If the Applicant is a tenant, building owner or building management firm: At the conclusion of the project and upon receipt of the required documentation, NYSERDA will reimburse successful Applicants up to 50% of the project costs, subject to the maximum dollar amount listed in the issued purchase order. Reimbursement will be based on services actually rendered by the Modeling Entity and as documented by the approved deliverables, invoices and other documentation deemed necessary by NYSERDA. As proof that the Customer has paid the full project cost, NYSERDA may require a copy of the Customer's canceled check, if applicable. Progress payments will not be provided. Unless otherwise noted, payments will be sent to the authorized Applicant listed in the Commercial Tenant Project Application (Attachment A).

Required Documentation: In order to process payment, NYSERDA must receive the following documentation: 1) an invoice from the Applicant to NYSERDA, and 2) a copy of the invoice(s) from the Modeling Entity to the Customer clearly indicating the *total* project cost (broken out by non-labor costs, individuals, titles, hourly rates, dates and hours worked on each task). As proof of payment, if applicable, NYSERDA may require a copy of the Customer's canceled check indicating the total amount paid to the Modeling Entity. At NYSERDA's discretion, a copy of the canceled check(s) from the Customer to the Modeling Entity showing the total project cost and a copy of the lump-sum invoice may be accepted in lieu of a detailed invoice.

All invoices and other reimbursement documentation must be sent to invoices@nyserda.ny.gov.

ADDITIONAL OPPORTUNITY FOR INCENTIVES:

Before proceeding with implementation, any tenant, building owner or building management firm that has reviewed their energy efficiency packages and decided to implement some or all of the recommendations should inquire about the eligibility requirements of other NYSERDA programs to determine if installation incentives are available. The program offerings of local utility providers should also be consulted.

V: PROGRAM CONDITIONS

General Conditions:

- This Program Opportunity Notice does not commit NYSERDA to award a Purchase Order, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies.
- Individual Applicants are limited to 30% of total program funding, \$1,725,000.
- NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the PON when it is in NYSERDA's best interest.
- NYSERDA may award a Purchase Order based on Applications without discussion, or following limited discussion. NYSERDA may request additional data or material to support Applications. A sample Purchase Order is available on request. NYSERDA will notify Applicants whether the Application has been selected to receive an award.
- The following are ineligible for funding:
 - Work completed prior to NYSERDA's receipt of the Application.
 - Owner occupied buildings without a leased space.
 - Buildings occupied by only one tenant or a single tenant that occupies more than fifty percent (50%) of the building's total square footage.
 - Buildings, both new or that have undergone substantial renovations, that have been occupied for less than one year.
 - Tenant spaces that have undergone substantial renovation within the last year and meet current energy code requirements.

For Tenant-specific Projects:

- The tenant is not required to implement any of the energy saving measures provided in the energy efficiency package. If the tenant does not implement any of the improvements suggested by the model, NYSERDA will not conduct M&V or technical review of the space. NYSERDA will reach out for information as to why the energy savings measures are not being implemented. This feedback will provide valuable input for future real estate tenant initiatives therefore it is highly encouraged that the site, customer and modeler participate in the feedback.
- The Tenant-specific Package must include measures that exceed the current applicable energy code requirements for at least two (2) of the following five (5) building systems: Lighting, HVAC, Service Water Heating, Plug and Process Loads, and Building Envelope.
- The Tenant-specific Package should be completed in agreement with the project's space design and construction schedule to ensure tenants have the option of implementing measures if desired.
- If the tenant does implement at least one of the energy saving measures the tenant will be highly encouraged to provide NYSERDA with pre- and post-occupancy evaluations of employee satisfaction, productivity, absenteeism, performance, and health metrics. NYSERDA may work with a tenant's or building owner's Human Resources Department to support this process as needed.
- The Tenant-specific Package must be completed within one year of Purchase Order (PO) issuance. A one-time extension of up to twelve months may be requested with justification for NYSERDA to consider. Failure to complete the model and energy efficiency package within the one-year timeframe or approved extension timeframe will result in project cancellation. Cancelled projects may reapply if funds remain available

For Building-tenant Projects:

- The energy model produced for a building-tenant project must include at least one (1) typical floor of leased tenant space and the energy efficiency package must provide energy savings measures applicable to more than one (1) typical tenant within the building.

- The Building-tenant Package must include energy efficiency measures that exceed the current energy code requirements for at least two (2) of the following five (5) building systems: lighting, HVAC, service water heating, plug and process loads, and building envelope.
- The building owner or manager must be willing to provide the Building-tenant Package to all tenants.
- The Building-tenant Package must be completed within one year of Purchase Order (PO) issuance. A one-time extension of up to twelve (12) months may be requested. Failure to complete the model and energy efficiency package within the one-year timeframe or approved extension timeframe will result in project cancellation.

For Combined Projects:

- The requirements listed above for a tenant-specific project and a building-tenant project are applicable to the completion of a Combined Project.

VI: GENERAL CONDITIONS

Proprietary Information - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes.

The NYS Freedom of Information Law, Public Officers Law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <http://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

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

Information on the availability of New York subcontractors and suppliers is available from: Empire State Development
Division For Small Business
625 Broadway
Albany, NY 12207

A directory of certified minority- and women-owned business enterprises is available from: Empire State Development
Minority and Women's Business Development Division 625 Broadway
Albany, NY 12207

If State Finance Law lobbying amendment and Tax Law 5-a provisions apply, include the following two sections:

State Finance Law sections 139-j and 139-k - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain new procurement lobbying requirements which can be found at <http://www.ogs.ny.gov/aboutogs/regulations/advisoryCouncil/StatutoryReferences.html>

The attached Proposal Checklist calls for a signature certifying that the proposer will comply with State Finance Law sections 139-j and 139-k and the Disclosure of Prior Findings of Non-responsibility form includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years.

Tax Law Section 5-a - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. *See*, ST-220-TD (available at http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department. The Department has created a second form that must be completed by a perspective contractor prior to contacting and filed with NYSERDA. *See*, ST-220-CA (available at https://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

Contract Award - NYSERDA anticipates making multiple awards under this solicitation. NYSERDA may request additional data or material to support submissions including scope of work modifications or negotiations before issuing a Purchase Order. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. A sample Purchase Order is available on request. NYSERDA expects to notify customers in approximately three (3) weeks from the receipt of a complete project package whether the submission has been selected to receive an award.

Limitation - This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies.

NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest.

Disclosure Requirement - The proposer shall disclose any indictment for any alleged felony, or any conviction for a felony within the past five (5) years, under the laws of the United States or any state or territory of the United States, and shall describe circumstances for each. When a proposer is an association, partnership, corporation, or other organization, this disclosure requirement includes the organization and its officers, partners, and directors or members of any similarly governing body. If an indictment or conviction should come to the attention of NYSERDA after the award of a contract, NYSERDA may exercise its stop-work right pending further investigation, or terminate the agreement; the contractor may be subject to penalties for violation of any law which may apply in the particular circumstances.

Proposers must also disclose if they have ever been debarred or suspended by any agency of the U.S. Government or the New York State Department of Labor.

VI: ATTACHMENTS

LIST OF ATTACHMENTS:

1. Commercial Tenant Project Application (Attachment A)
2. Letter of Commitment from Tenant or Building Owner (Attachment B)
3. Proposed Budget (Attachment C)
4. Terms and Conditions (Attachment D)



**Commercial Tenant Program
Attachment A: Program Application (1 of 2)**

Applicant and Customer Eligibility- The Customer listed on this Application must be an electric customer who pays the System Benefits Charge (“SBC”) as part of its electric bill or must be a tenant in a building in which the Building Owner pays the System Benefits Charge. The New York State Energy Research and Development Authority (“NYSERDA”) will determine the eligibility of the Applicant and Customer as part of the Application review process. The party seeking the incentive is the Applicant.

Applicant Information:		
Applicant Name:	Contact Name/Title:	Fed Tax ID #:
	Email:	Phone:
Applicant Address:		
City	Zip Code	
State		
Customer and Site Information (the Customer is the tenant, building owner or manager paying for the project work under this Program; the Site is the location being modeled):		
Customer Name:	Contact Name:	Title:
	Email:	Phone:
Customer Address:		
City	Zip Code	Floor(s)
State		
Site Address (if modeling is taking place at a different location than address listed above, please provide):		
City	State	Zip Code
		Floor(s):
Payment Information (if different than Applicant information provided above):		
Contact Name:	Title:	
Address (if different than Applicant address provided above):		
City	State	Zip Code
		Floor(s):
Modeling Entity Information:		
Company Name:	Contact Name:	Title:
	Email:	Phone:
Address:		
City	State	Zip Code
		Floor(s):

Turn over

Commercial Tenant Program
Attachment A: Program Application (2 of 2)

Agreement and Signature		
I certify that all statements made in this Application and required documents provided are true and correct to the best of my knowledge. I agree to the terms and conditions of the Program set forth in this Application. A signature is required from the Applicant.		
Applicant Name and Title:	Applicant Signature:	Date:

Please send Application Package to commercialprograms@nyserda.ny.gov.

Commercial Tenant Program Attachment B: Participant Letter of Commitment (1of 2)

Please check all the appropriate boxes

Terms for Tenants

I, the Tenant, certify that I will be renewing a lease, signing a lease, or currently occupy the commercial real estate office space named in the Application. The space is within a commercial building located within New York State and I or the facility is a New York State electricity distribution customer of a participating utility company who pays into the Systems Benefits Charge (SBC). I certify that I have hired a third party modeling entity to develop an energy model and energy efficiency package for the space named in the Application. This space does not occupy more than fifty percent (50%) of the building's total square footage. By participating in the Commercial Tenant Program, I agree to allow NYSERDA and its contractors access to my space, access to the metered and submetered utility data for up to five (5) years, and access to the space to enable at least one (1) year of system level technical review (which will require data logging of equipment) if applicable per the Program.

Terms for Building Owners or Building Management Firms

I, the Building Owner/Manager (please circle one), certify that I own/manage (please circle one) the building named in the Application. I certify that the building is a New York State electricity distribution customer of a participating utility company who pays into the Systems Benefits Charge (SBC). I certify that I have hired a third party modeling entity to develop an energy model and Building-tenant energy efficiency package specific to the building named in the Application. The building has at least two (2) leased tenant spaces, neither which exceeds fifty percent (50%) of the building's total square footage.

Participant Certifications

I, Tenant or Building Owner/Manager, certify I have neither applied for or received, nor will apply for or receive, an incentive or other compensation from an energy efficiency program administered by a New York State investor-owned utility or from NYSERDA for the same energy model that is covered by this application.

I, Building Owner/Manager, agree to make the Building-tenant Package available to all tenants.

Yes, the Tenant (upon occupancy) or Building Owner contributes to the SBC as part of its electric bill.

If the Customer installs recommendations from the model, the Customer agrees to allow NYSERDA and its Technical Reviewer access to submetered utility bill data for up to (5) years, if applicable.

If the Customer installs recommendations from the model, the Customer agrees to allow NYSERDA and its Technical Reviewer access to its space for at least one (1) year of system level technical review.



**Commercial Tenant Program
Attachment B: Participant Letter of Commitment (2 of 2)**

AUTHORIZED ENTITY PAYING FOR ENERGY MODELING SERVICES

SIGNATURE: _____ DATE: _____

NAME AND TITLE:

ORGANIZATION:

AUTHORIZED TENANT REPRESENTATIVE (if applicable and different than above)

SIGNATURE: _____ DATE: _____

NAME AND TITLE:

ORGANIZATION:

AUTHORIZED BUILDING OWNER OR BUILDING MANAGEMENT FIRM REPRESENTATIVE (if applicable and different than above)

SIGNATURE: _____ DATE: _____

NAME AND TITLE:

ORGANIZATION:

Please send Application Package to commercialprograms@nyserdera.ny.gov.

Commercial Tenant Program Attachment C: Proposed Budget Template

APPLICANT:
PROJECT:
Date:

Task	Task Description	Title Rate	Title Rate	Title Rate	Title Rate	Title Rate	Title Rate	Title Rate	Total
1	Energy Model Coordination Meeting and Site Visit								
	1. Survey and data gathering								
	2. Energy model coordination								
2	Development of Design Options								
	1. Energy Conservation Charette								
	2. Final list of measures								
3	Energy Modeling								
	1. Baseline energy model								
	2. Design Options Modeling								
	3. Final Energy Model								
4	Building-Specific Package Development								
	1. Develop building-specific package								
	2. Model and Analysis								
	Total Hours		0	0	0	0	0	0	0
	Total Labor Fee		\$0	\$0	\$0	\$0	\$0	\$0	\$0

Project Expenses				
Item	Amount	Unit	Unit Cost	Total
Expenses			\$0	\$0
Mileage		mile	\$0.00	\$0
			Total	\$0

Labor Effort =	\$0
Expenses =	\$0
TOTAL PROJECT BUDGET =	\$0
Customer Share =	\$0
NYSERDA Share =	\$0

Applicants may create their own budget table, however all information contained in the table above must be provided.

Commercial Tenant Program

Attachment D: Terms and Conditions

1. Approval

Incentives are not payable unless NYSERDA has approved the Energy Model and Energy Efficiency Package and approved the other activities and documentation provided by the Applicant.

2. Amounts Payable

The Purchase Order is a not-to-exceed amount, based on the budget and scope of work provided. Payment will be based on completion of the required documents as outlined in the Solicitation and upon request by the Applicant. NYSERDA also reserves the right to seek a refund for incentives paid if, at any time, it learns that the Project was actually completed prior to application.

3. Inspections, Follow-up Visits and On-Site Monitoring

(a) NYSERDA reserves the right to make a reasonable number of pre- and post-installation visits to the facility. Such visit(s) will be at a time convenient to the Applicant, building owner, manager or tenant and made with at least one-week advance notice to all parties by NYSERDA.

(b) Generally, the purpose of the follow-up visit(s) is to evaluate the installed Project, speak with the Applicant and site staff to learn about the project implementation and utilization, and help validate the actual energy savings for program evaluation purposes, which may occur well after the project is completed.

(c) The scope of review by NYSERDA of the design and installation of the Project is limited to solely determining the energy savings and whether program conditions have been met. It does not include any kind of safety, quality or other review.

4. Cost and Invoice Documentation

Upon completion of the post-installation site visit and data collection, and at any other time upon NYSERDA's request, the Applicant shall provide NYSERDA copies of all invoices (including all materials, labor, and equipment discounts) reflecting the costs of conducting the model and creation of the energy efficiency package. The invoices shall include a breakdown of all tasks under this Purchase Order (the application and these Terms and Conditions). In addition, NYSERDA may request any other reasonable documentation or verification of the cost to the Applicant.

5. Incentive Payments

NYSERDA shall pay the incentive in accordance with and subject to the provisions of NYSERDA's Prompt Payment Policy upon the applicants' meeting the requirements of Commercial Tenant Program. This includes, but is not limited to: (1) installation of the Project in the identified building is completed; (2) all necessary documentation is provided; and (3) NYSERDA has verified installation costs and satisfactory installation of the Project, all in accordance with the specifications.

6. Changes in the Program

Notwithstanding paragraph 21 (b), the program and these Terms & Conditions may be changed by NYSERDA at any time without notice. Approved applications, however, will be processed to completion under the Terms & Conditions in effect at the time of application to NYSERDA.

7. Indemnification

The Applicant shall protect, indemnify and hold harmless NYSERDA and the State of New York from and against all liabilities, losses, claims, damages, judgments, penalties, causes of action, costs and expenses (including, without limitation, attorneys' fees and expenses) imposed upon or incurred by or asserted against NYSERDA or the State of New York resulting from, arising out of or relating to Applicant's or its subcontractors' performance of this Purchase Order. The obligations of the Applicant under this Article shall survive any expiration or termination of this Purchase Order, and shall not be limited by any enumeration herein of required insurance coverage.

8. Insurance

8.01. Maintenance of Insurance; Policy Provisions. The Applicant, at no additional direct cost to NYSERDA, shall maintain or cause to be maintained throughout the term of this Purchase Order, insurance of the types and in the amounts specified in the Section hereof entitled Types of Insurance. All such insurance shall be evidenced by insurance policies, each of which shall:

- (a) except policies in evidence of insurance required under Section 8.02(b), name or be endorsed to cover NYSERDA and the State of New York as additional insureds;
- (b) provide that such policy may not be cancelled or modified until at least 30 days after receipt by NYSERDA of written notice thereof; and
- (c) be reasonably satisfactory to NYSERDA in all other respects.

8.02. Types of Insurance. The types and amounts of insurance required to be maintained under this Article are as follows:

- (a) Commercial general liability insurance for bodily injury liability, including death, and property damage liability, incurred in connection with the performance of this Purchase Order, with minimum limits of \$1,000,000 in respect of claims arising out of personal injury or sickness or death of any one person, \$1,000,000 in respect of claims arising out of personal injury, sickness or death in any one accident or disaster, and \$1,000,000 in respect of claims arising out of property damage in any one accident or disaster; and
- (b) Workers Compensation, Employers Liability, and Disability Benefits as required by New York State.

8.03. Delivery of Policies; Insurance Certificates. Prior to commencing the Work, the Applicant shall deliver to NYSERDA certificates of insurance issued by the respective insurers, indicating the Purchase Order number thereon, evidencing the insurance required hereof. In the event any policy furnished or carried pursuant to this section will expire on a date prior to acceptance of the Work by NYSERDA, the Applicant, not less than 15 days prior to such expiration date, shall deliver to NYSERDA certificates of insurance evidencing the renewal of such policies, and the Applicant shall promptly pay all premiums thereon due. In the event of threatened legal action, claims, encumbrances, or liabilities that may affect NYSERDA hereunder, or if deemed necessary by NYSERDA due to events rendering a review necessary, upon request the Applicant shall deliver to NYSERDA a certified copy of each policy.

9. No Warranties

- (a) NYSERDA does not endorse, guarantee, or warrant any particular manufacturer or product, and NYSERDA provides no warranties, expressed or implied, for any product or services. The Applicant's reliance on warranties is limited to any warranties that may arise from, or be provided by contractors, vendors, etc.
- (b) The Applicant acknowledges that neither NYSERDA nor any of its consultants are responsible for assuring that the design, engineering and construction of the Project is proper or complies with any particular laws (including patent laws), codes, or industry standards. NYSERDA does not make any representations of any kind regarding the results to be achieved by the Project or the adequacy or safety of such measures.

10. Limit of Incentive Payments

NYSERDA reserves the right, for any reason, to stop approving incentive applications and limit or stop making incentive payments at any time without notice.

11. Release by the Applicant

The acceptance by the Applicant of final payment shall release NYSERDA from any and all claims and liability the applicant, its representatives, and assigns might otherwise have relating to this award.

12 Vendor Selection

NYSERDA has the right not to allow a vendor or contractor to participate in this program.

13. Miscellaneous

- (a) This Purchase Order (the Application, Program Opportunity Notice 3308 and these Terms and Conditions) is the entire agreement between the parties and supersedes all other communications and representations.

(b) If either NYSERDA or the Applicant desires to modify this Purchase Order, the modification must be in writing and signed by an authorized representative of both parties.

14. Audit

The Applicant shall keep, maintain, and preserve at its principal office throughout the term of the Purchase Order and for a period of three (3) years after acceptance of the Work, full and detailed books, accounts, and records pertaining to this Purchase Order, including without limitation, all data, bills, invoices, payrolls, time records, expense reports, subcontracting efforts and other documentation evidencing, or in any material way related to, Applicant's performance under this Purchase Order.

NYSERDA shall have the right from time to time and at all reasonable times during this period to inspect and audit any and all books, accounts and records related to this Purchase Order or reasonably necessary to the performance of an audit at the office or offices of the Applicant where they are then being kept, maintained and preserved. Any payment made under the Purchase Order shall be subject to retroactive reduction for amounts included therein which are found by NYSERDA on the basis of any audit of the Applicant by NYSERDA, the State of New York or an agency of the United States not to constitute an allowable charge or cost hereunder.

18. Stop Work Order

(a) NYSERDA may at any time, by written Order to the Applicant, require the Applicant to stop all or any part of the Work called for by this Purchase Order for a period of up to ninety (90) days after the Stop Work Order is delivered to the Applicant, and for any further period to which the parties may agree. Any such order shall be specifically identified as a Stop Work Order issued pursuant to this Section. Upon receipt of such an Order, the Applicant shall forthwith comply with its terms and take all reasonable steps to minimize the incurrence of costs allocable to the Work covered by the Order during the period of work stoppage consistent with public health and safety. Within a period of ninety (90) days after a Stop Work Order is delivered to the Applicant, or within any extension of that period to which the parties shall have agreed, NYSERDA shall either:

(i) by written notice to the Applicant, cancel the Stop Work Order, which shall be effective as provided in such cancellation notice, or if not specified therein, upon receipt by the Applicant, or

(ii) terminate the Work covered by such order as provided in the Termination Section of this Purchase Order.

(b) If a Stop Work Order issued under this Section is cancelled or the period of the Order or any extension thereof expires, the Applicant shall resume Work. An equitable adjustment shall be made in the delivery schedule, the estimated cost, the fee, if any, or a combination thereof, and in any other provisions of the Purchase Order that may be affected, and the Purchase Order shall be modified in writing accordingly, if:

(i) the Stop Work Order results in an increase in the time required for, or in the Applicant's cost properly allocable to, the performance of any part of this Purchase Order, and

(ii) the Applicant asserts a claim for such adjustments within 30 days after the end of the period of Work stoppage; provided that, if NYSERDA decides the facts justify such action, NYSERDA may receive and act upon any such claim asserted at any time prior to final payment under this Purchase Order.

(c) If a Stop Work Order is not cancelled and the Work covered by such Order is terminated, the reasonable costs resulting from the Stop Work Order shall be allowed by equitable adjustment or otherwise.

(d) Notwithstanding the provisions of this Section, the maximum amount payable by NYSERDA to the Applicant pursuant to this Section shall not be increased or deemed to be increased except by specific written amendment hereto.

19. Termination

(a) This Purchase Order may be terminated by NYSERDA at any time during the term of this Purchase Order with or without cause, upon ten (10) days prior written notice to the Applicant. In such event, payment shall be paid to the Applicant for Work performed and expenses incurred prior to the effective date of termination in accordance with the provisions of the Article hereof entitled Incentive Payment and in reimbursement of any amounts required to be paid by the Applicant pursuant to Subcontracts; provided, however, that upon receipt of any such notice of termination, the Applicant shall cease the performance of Work, shall make no further commitments with respect thereto and shall reduce insofar as possible the amount of outstanding commitments (including, to the extent requested by NYSERDA, through termination of subcontracts containing provisions therefor).

(b) NYSERDA specifically reserves the right to terminate this Purchase Order in the event that the certification filed by the Applicant in accordance with State Finance Law Sections 139-j and 139-k is found to have been intentionally false or intentionally incomplete, or that the certification filed by the Applicant in accordance with New York State Tax Law Section 5-a is found to have been intentionally false when made. Terminations under this subsection (b) will be effective upon Notice.

(c) Nothing in this Article shall preclude the Applicant from continuing to carry out the Work called for by the Purchase Order after receipt of a Stop Work Order or termination notice at its own election, provided that, if the Applicant so elects: (i) any such continuing Work after receipt of the Stop Work Order or termination notice shall be deemed not to be Work pursuant to the Purchase Order, and (ii) NYSERDA shall have no liability to the Applicant for any costs of the Work continuing after receipt of the Stop Work Order or termination notice.

20. Suspension or Termination for Non-Responsibility

(a) Suspension. NYSERDA, in its sole discretion, reserves the right to suspend any or all activities under this Purchase Order, at any time, when it discovers information that calls into question the Responsibility of the Applicant. In the event of such suspension, the Applicant will be given written notice outlining the particulars of such suspension. Upon issuance of such notice, the Applicant must comply with the terms of the suspension order. Contract activity may resume at such time as NYSERDA issues a written notice authorizing a resumption of performance under the Contract.

(b) Termination. Upon written notice to the Applicant, and a reasonable opportunity to be heard with appropriate NYSERDA officials or staff, this Purchase Order may be terminated by NYSERDA at the Applicant's expense where the Applicant is determined by NYSERDA to be non-Responsible. In such event, NYSERDA may complete the contractual requirements in any manner it may deem advisable and pursue available legal or equitable remedies for breach.

Incentives are not payable unless NYSERDA has approved the Engineering Analysis, conducted site visits, and approved the other activities and documentation provided by the applicant.

21. Independent Contractor

(a) The status of the Applicant under this Purchase Order shall be that of an independent contractor and not that of an agent, and in accordance with such status, the Applicant, the subcontractors, and their respective officers, agents, employees, representatives and servants, including the Project Director, shall at all times during the term of this Purchase Order conduct themselves in a manner consistent with such status and by reason of this Purchase Order shall neither hold themselves out as, nor claim to be acting in the capacity of, officers, employees, agents, representatives or servants of NYSERDA nor make any claim, demand or application for any right or privilege applicable to NYSERDA, including, without limitation, vicarious liability, professional liability coverage or indemnification, rights or privileges derived from workers' compensation coverage, unemployment insurance benefits, social security coverage and retirement membership or credit. It is understood and agreed that the personnel furnished by Applicant to perform the Work shall be Applicant's employee(s) or agent(s), and under no circumstances are such employee(s) to be considered NYSERDA's employee(s) or agent(s), and shall remain the employees of Applicant, except to the extent required by section 414(n) of the Internal Revenue Code.

(b) Applicant expressly acknowledges NYSERDA's need to be advised, on an immediate basis, of the existence of any claim or event that might result in a claim or claims against NYSERDA, Applicant and/or Applicant's personnel by virtue of any act or omission on the part of NYSERDA or its employees. Accordingly, Applicant expressly covenants and agrees to notify NYSERDA of any such claim or event, including but not limited to, requests for accommodation and allegations of harassment and/or discrimination, immediately upon Applicant's discovery of the same, and to fully and honestly cooperate with NYSERDA in its efforts to investigate and/or address such claims or events, including but not limited to, complying with any reasonable request by NYSERDA for disclosure of information concerning such claim or event even in the event that this Purchase Order should terminate for any reason.

EXHIBIT B

REVISED 5/12

STANDARD TERMS AND CONDITIONS
FOR ALL NYSERDA AGREEMENTS

(Based on Standard Clauses for New York State Contracts and Tax Law Section 5-a)

The parties to the Agreement agree to be bound by the following clauses which are hereby made a part of the Agreement:

1. NON-DISCRIMINATION REQUIREMENTS. To the extent required by Article 15 of the Executive Law (also known as the Human Rights Law) and all other State and Federal statutory and constitutional non-discrimination provisions, the Applicant will not discriminate against any employee or applicant for employment because of race, creed, color, sex, national origin, sexual orientation, age, disability, genetic predisposition or carrier status, or marital status. Furthermore, in accordance with Section 220-e of the Labor Law, if this is an Agreement for the construction, alteration or repair of any public building or public work or for the manufacture, sale or distribution of materials, equipment or supplies, and to the extent that this Agreement shall be performed within the State of New York, Applicant agrees that neither it nor its subcontractors shall, by reason of race, creed, color, disability, sex or national origin: (a) discriminate in hiring against any New York State citizen who is qualified and available to perform the work; or (b) discriminate against or intimidate any employee hired for the performance of work under this Agreement. If this is a building service Agreement as defined in Section 230 of the Labor Law, then, in accordance with Section 239 thereof, Applicant agrees that neither it nor its subcontractors shall, by reason of race, creed, color, national origin, age, sex or disability: (a) discriminate in hiring against any New York State citizen who is qualified and available to perform the work; or (b) discriminate against or intimidate any employee hired for the performance of work under this contract. Applicant is subject to fines of \$50.00 per person per day for any violation of Section 220-e or Section 239 as well as possible termination of this Agreement and forfeiture of all moneys due hereunder for a second subsequent violation.

2. WAGE AND HOURS PROVISIONS. If this is a public work Agreement covered by Article 8 of the Labor Law or a building service Agreement covered by Article 9 thereof, neither Applicant's employees nor the employees of its subcontractors may be required or permitted to work more than the number of hours or days stated in said statutes, except as otherwise provided in the Labor Law and as set forth in prevailing wage and supplement schedules issued by the State Labor Department. Furthermore, Applicant and its subcontractors must pay at least the prevailing wage rate and pay or provide the prevailing supplements, including the premium rates for overtime pay, as determined by the State Labor Department in accordance with the Labor Law. Additionally, effective April 28, 2008, if this is a public work contract covered by Article 8 of the Labor Law, the Applicant understands and agrees that the filing of payrolls in a manner consistent with Subdivision 3-a of Section 220 of the Labor Law shall be a condition precedent to payment by NYSERDA of any NYSERDA-approved sums due and owing for work done upon the project.

3. NON-COLLUSIVE BIDDING REQUIREMENT. In accordance with Section 2878 of the Public Authorities Law, if this Agreement was awarded based upon the submission of bids, Applicant warrants, under penalty of perjury, that its bid was arrived at independently and without collusion aimed at restricting competition. Applicant further warrants that, at the time Applicant submitted its bid, an authorized and responsible person executed and delivered to NYSERDA a non-collusive bidding certification on Applicant's behalf.

4. INTERNATIONAL BOYCOTT PROHIBITION. If this Agreement exceeds \$5,000, the Applicant agrees, as a material condition of the Agreement, that neither the Applicant nor any substantially owned or affiliated person, firm, partnership or corporation has participated, is participating, or shall participate in an international boycott in violation of the Federal Export Administration Act of 1979 (50 USC App. Sections 2401 et seq.) or regulations thereunder. If such Applicant, or any of the aforesaid affiliates of Applicant, is convicted or is otherwise found to have violated said laws or regulations upon the final determination of the United States Commerce Department or any other appropriate agency of the United States subsequent to the Agreement's execution, such Agreement, amendment or modification thereto shall be rendered forfeit and void. The Applicant shall so notify NYSERDA within five (5) business days of such conviction, determination or disposition of appeal. (See and compare Section 220-f of the Labor Law, Section 139-h of the State Finance Law, and 2 NYCRR 105.4).

5. SET-OFF RIGHTS. NYSERDA shall have all of its common law and statutory rights of set-off. These rights shall include, but not be limited to, NYSERDA's option to withhold for the purposes of set-off any moneys due to the Applicant under this Agreement up to any amounts due and owing to NYSERDA with regard to this Agreement, any other Agreement, including any Agreement for a term commencing prior to the term of this Agreement, plus any amounts due and owing to NYSERDA for any other reason including, without limitation, tax delinquencies, fee delinquencies or monetary penalties relative thereto.



6. **PROPRIETARY INFORMATION.** Notwithstanding any provisions to the contrary in the Agreement, Applicant and NYSERDA acknowledge and agree that all information, in any format, submitted to NYSERDA shall be subject to and treated in accordance with the NYS Freedom of Information Law (“FOIL,” Public Officers Law, Article 6). Pursuant to FOIL, NYSERDA is required to make available to the public, upon request, records or portions thereof which it possesses, unless that information is statutorily exempt from disclosure. Therefore, unless the Agreement specifically requires otherwise, Applicant should submit information to NYSERDA in a non-confidential, non-proprietary format. FOIL does provide that NYSERDA may deny access to records or portions thereof that “are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise.” [See Public Officers Law, § 87(2)(d)]. Accordingly, if the Agreement specifically requires submission of information in a format Applicant considers a proprietary and/or confidential trade secret, Applicant shall fully identify and plainly label the information “confidential” or “proprietary” at the time of disclosure. By so marking such information, Applicant represents that the information has actual or potential specific commercial or competitive value to the competitors of Applicant. Without limitation, information will not be considered confidential or proprietary if it is or has been (i) generally known or available from other sources without obligation concerning its confidentiality; (ii) made available by the owner to others without obligation concerning its confidentiality; or (iii) already available to NYSERDA without obligation concerning its confidentiality. In the event of a FOIL request, it is NYSERDA’s policy to consider records as marked above pursuant to the trade secret exemption procedure set forth in 21 New York Codes Rules & Regulations § 501.6 and any other applicable law or regulation. However, NYSERDA cannot guarantee the confidentiality of any information submitted. More information on FOIL, and the relevant statutory law and regulations, can be found at the website for the Committee on Open Government (<http://www.dos.state.ny.us/coog/foil2.html>) and NYSERDA’s Regulations, Part 501 (<http://www.nyserda.ny.gov/en/About/~media/Files/About/Contact/NYSERDAREgulations.ashx>).

7. **IDENTIFYING INFORMATION AND PRIVACY NOTIFICATION.** (a) **FEDERAL EMPLOYER IDENTIFICATION NUMBER and/or FEDERAL SOCIAL SECURITY NUMBER.** As a condition to NYSERDA’s obligation to pay any invoices submitted by Applicant pursuant to this Agreement, Applicant shall provide to NYSERDA its Federal employer identification number or Federal social security number, or both such numbers when the Applicant has both such numbers. Where the Applicant does not have such number or numbers, the Applicant must give the reason or reasons why the payee does not have such number or numbers.

(b) **PRIVACY NOTIFICATION.** The authority to request the above personal information from a seller of goods or services or a lessor of real or personal property, and the authority to maintain such information, is found in Section 5 of the State Tax Law. Disclosure of this information by Applicant to the State is mandatory. The principal purpose for which the information is collected is to enable the State to identify individuals, businesses and others who have been delinquent in filing tax returns or may have understated their tax liabilities and to generally identify persons affected by the taxes administered by the Commissioner of Taxation and Finance. The information will be used for tax administration purposes and for any other purpose authorized by law.

8. **CONFLICTING TERMS.** In the event of a conflict between the terms of the Agreement (including any and all attachments thereto and amendments thereof) and the terms of this Exhibit B, the terms of this Exhibit B shall control.

9. **GOVERNING LAW.** This Agreement shall be governed by the laws of the State of New York except where the Federal supremacy clause requires otherwise.

10. **NO ARBITRATION.** Disputes involving this Agreement, including the breach or alleged breach thereof, may not be submitted to binding arbitration (except where statutorily required) without the NYSERDA’s written consent, but must, instead, be heard in a court of competent jurisdiction of the State of New York.

11. **SERVICE OF PROCESS.** In addition to the methods of service allowed by the State Civil Practice Law and Rules (“CPLR”), Applicant hereby consents to service of process upon it by registered or certified mail, return receipt requested. Service hereunder shall be complete upon Applicant’s actual receipt of process or upon NYSERDA’s receipt of the return thereof by the United States Postal Service as refused or undeliverable. Applicant must promptly notify NYSERDA, in writing, of each and every change of address to which service of process can be made. Service by NYSERDA to the last known address shall be sufficient. Applicant will have thirty (30) calendar days after service hereunder is complete in which to respond.

12. **CRIMINAL ACTIVITY.** If subsequent to the effectiveness of this Agreement, NYSERDA comes to know of any allegation previously unknown to it that the Applicant or any of its principals is under indictment for a felony, or has been, within five (5) years prior to submission of the Applicant’s proposal to NYSERDA, convicted of a felony, under the laws of the United

States or Territory of the United States, then NYSERDA may exercise its stop work right under this Agreement. If subsequent to the effectiveness of this Agreement, NYSERDA comes to know of the fact, previously unknown to it, that Applicant or any of its principals is under such indictment or has been so convicted, then NYSERDA may exercise its right to terminate this Agreement. If the Applicant knowingly withheld information about such an indictment or conviction, NYSERDA may declare the Agreement null and void and may seek legal remedies against the Applicant and its principals. The Applicant or its principals may also be subject to penalties for any violation of law which may apply in the particular circumstances. For an Applicant which is an association, partnership, corporation, or other organization, the provisions of this paragraph apply to any such indictment or conviction of the organization itself or any of its officers, partners, or directors or members of any similar governing body, as applicable.

13. PERMITS. It is the responsibility of the Applicant to acquire and maintain, at its own cost, any and all permits, licenses, easements, waivers and permissions of every nature necessary to perform the work.

14. PROHIBITION ON PURCHASE OF TROPICAL HARDWOODS. The Applicant certifies and warrants that all wood products to be used under this Agreement will be in accordance with, but not limited to, the specifications and provisions of State Finance Law Section 165 (Use of Tropical Hardwoods), which prohibits purchase and use of tropical hardwoods, unless specifically exempted by NYSERDA.

15. OMNIBUS PROCUREMENT ACT OF 1992. It is the policy of New York State to maximize opportunities for the participation of New York State business enterprises, including minority and women-owned business enterprises as bidders, subcontractors and suppliers on its procurement contracts.

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

NYS Department of Economic Development
Division for Small Business
30 South Pearl St -- 7th Floor
Albany, New York 12245
Telephone: 518-292-5220
Fax: 518-292-5884
<http://www.esd.ny.gov>

A directory of certified minority and women-owned business enterprises is available from:

NYS Department of Economic Development
Division of Minority and Women's Business Development
30 South Pearl St -- 2nd Floor
Albany, New York 12245
Telephone: 518-292-5250
Fax: 518-292-5803
<http://www.empire.state.ny.us>

The Omnibus Procurement Act of 1992 requires that by signing this Agreement, Applicants certify that whenever the total amount is greater than \$1 million:

(a) The Applicant has made reasonable efforts to encourage the participation of New York State Business Enterprises as suppliers and subcontractors, including certified minority and women-owned business enterprises, on this project, and has retained the documentation of these efforts to be provided upon request to the State;

(b) The Applicant has complied with the Federal Equal Opportunity Act of 1972 (P.L. 92-261), as amended;

(c) The Applicant agrees to make reasonable efforts to provide notification to New York State residents of employment opportunities on this project through listing any such positions with the Job Service Division of the New York State Department of Labor, or providing such notification in such manner as is consistent with existing collective bargaining contracts or agreements. The Applicant agrees to document these efforts and to provide said documentation to the State upon request; and

(d) The Applicant acknowledges notice that the State may seek to obtain offset credits from foreign countries as a result of this contract and agrees to cooperate with the State in these efforts.

16. RECIPROCITY AND SANCTIONS PROVISIONS. Bidders are hereby notified that if their principal place of business is located in a country, nation, province, state or political subdivision that penalizes New York State vendors, and if the goods or services they offer will be substantially produced or performed outside New York State, the Omnibus Procurement Act 1994 and 2000 amendments (Chapter 684 and Chapter 383, respectively) require that they be denied contracts which they would otherwise obtain. NOTE: As of May 15, 2002, the list of discriminatory jurisdictions subject to this provision includes the states of South Carolina, Alaska, West Virginia, Wyoming, Louisiana and Hawaii. Contact NYS Department of Economic Development for a current list of jurisdictions subject to this provision.

17. COMPLIANCE WITH NEW YORK STATE INFORMATION SECURITY BREACH AND NOTIFICATION ACT. Applicant shall comply with the provisions of the New York State Information Security Breach and Notification Act (General Business Law Section 899-aa; State Technology Law Section 208).

18. PROCUREMENT LOBBYING. To the extent this Agreement is a “procurement contract” as defined by State Finance Law Sections 139-j and 139-k, by signing this Agreement the Applicant certifies and affirms that all disclosures made in accordance with State Finance Law Sections 139-j and 139-k are complete, true and accurate. In the event such certification is found to be intentionally false or intentionally incomplete, NYSERDA may terminate the agreement by providing written notification to the Applicant in accordance with the terms of the agreement.

19. COMPLIANCE WITH TAX LAW SECTION 5-a. The following provisions apply to Applicants that have entered into agreements in an amount exceeding \$100,000 for the purchase of goods and services:

- a) Before such agreement can take effect, the Applicant must have on file with the New York State Department of Taxation and Finance an Applicant Certification form (ST-220-TD).
- b) Prior to entering into such an agreement, the Applicant is required to provide NYSERDA with a completed Applicant Certification to Covered Agency form (Form ST-220-CA).
- c) Prior to any renewal period (if applicable) under the agreement, the Applicant is required to provide NYSERDA with a completed Form ST-220-CA.

Certifications referenced in paragraphs (b) and (c) above will be maintained by NYSERDA and made a part hereof and incorporated herein by reference.

NYSERDA reserves the right to terminate this agreement in the event it is found that the certification filed by the Applicant in accordance with Tax Law Section 5-a was false when made.

20. IRANIAN ENERGY SECTOR DIVESTMENT. In accordance with Section 2879-c of the Public Authorities Law, by signing this contract, each person and each person signing on behalf of any other party certifies, and in the case of a joint bid or partnership each party thereto certifies as to its own organization, under penalty of perjury, that to the best of its knowledge and belief that each person is not on the list created pursuant to paragraph (b) of subdivision 3 of [section 165-a of the State Finance Law](#) (See www.ogs.ny.gov/about/regs/ida.asp).

EXHIBIT C

NYSERDA PROMPT PAYMENT POLICY STATEMENT

504.1. Purpose and Applicability. (a) The purpose of this Exhibit is to provide a description of Part 504 of NYSERDA's regulations, which consists of NYSERDA's policy for making payment promptly on amounts properly due and owing by NYSERDA under this Agreement. The section numbers used in this document correspond to the section numbers appearing in Part 504 of the regulations.¹

(b) This Exhibit applies generally to payments due and owing by the NYSERDA to the Applicant pursuant to this Agreement. However, this Exhibit does not apply to Payments due and owing when NYSERDA is exercising a Set-Off against all or part of the Payment, or if a State or Federal law, rule or regulation specifically requires otherwise.

504.2. Definitions. Capitalized terms not otherwise defined in this Exhibit shall have the same meaning as set forth earlier in this Agreement. In addition to said terms, the following terms shall have the following meanings, unless the context shall indicate another or different meaning or intent:

(a) "Date of Payment" means the date on which NYSERDA requisitions a check from its statutory fiscal agent, the Department of Taxation and Finance, to make a Payment.

(b) "Designated Payment Office" means the Office of NYSERDA's Controller, located at 17 Columbia Circle, Albany, New York 12203.

(c) "Payment" means payment properly due and owing to Applicant pursuant to Exhibit A of this Agreement.

(d) "Prompt Payment" means a Payment within the time periods applicable pursuant to Sections 504.3 through 504.5 of this Exhibit in order for NYSERDA not to be liable for interest pursuant to Section 504.6.

(e) "Payment Due Date" means the date by which the Date of Payment must occur, in accordance with the provisions of Sections 504.3 through 504.5 of this Exhibit, in order for NYSERDA not to be liable for interest pursuant to Section 504.6.

(f) "Proper Invoice" means a written request for Payment that is submitted by an Applicant setting forth the description, price or cost, and quantity of goods, property or services delivered or rendered, in such form, and supported by such other substantiating documentation, as NYSERDA may reasonably require, including but not limited to any requirements set forth in Exhibits A or B to this Agreement; and addressed to NYSERDA's Controller, marked "Attention: Accounts Payable," at the Designated Payment Office.

(g)(1) "Receipt of an Invoice" means:

(i) if the Payment is one for which an invoice is required, the later of:

(a) the date on which a Proper Invoice is actually received in the Designated Payment Office during normal business hours; or

(b) the date by which, during normal business hours, NYSERDA has actually received all the purchased goods, property or services covered by a Proper Invoice previously received in the Designated Payment Office.

(ii) if the Agreement provides that a Payment will be made on a specific date or at a predetermined interval, without having to submit a written invoice the 30th calendar day, excluding legal holidays, before the date so specified or predetermined.

(2) For purposes of this subdivision, if the Agreement requires a multifaceted, completed or working system, or delivery of no less than a specified quantity of goods, property or services and only a portion of such systems or less than the required goods, property or services are working, completed or delivered, even though the Applicant has invoiced NYSERDA for the portion working, completed or delivered, NYSERDA will not be in Receipt

¹ This is only a summary; the full text of Part 504 can be accessed at:
<http://www.nyserda.ny.gov/en/About/~media/Files/About/Contact/NYSERDARegulations.ashx>

of an Invoice until the specified minimum amount of the systems, goods, property or services are working, completed or delivered.

(h) "Set-off" means the reduction by NYSERDA of a payment due an Applicant by an amount equal to the amount of an unpaid legally enforceable debt owed by the Applicant to NYSERDA.

504.3. Prompt Payment Schedule. Except as otherwise provided by law or regulation or in Sections 504.4 and 504.5 of this Exhibit, the Date of Payment by NYSERDA of an amount properly due and owing under this Agreement shall be no later than thirty (30) calendar days, excluding legal holidays, after Receipt of a Proper Invoice.

504.4. Payment Procedures.

(a) Unless otherwise specified in this Agreement, a Proper Invoice submitted by the Applicant to the Designated Payment Office shall be required to initiate payment for goods, property or services. As soon as any invoice is received in the Designated Payment Office during normal business hours, such invoice shall be date-stamped. The invoice shall then promptly be reviewed by NYSERDA.

(b) NYSERDA shall notify the Applicant within fifteen (15) calendar days after Receipt of an Invoice of:

- (1) any defects in the delivered goods, property or services;
- (2) any defects in the invoice; or
- (3) suspected improprieties of any kind.

(c) The existence of any defects or suspected improprieties shall prevent the commencement of the time period specified in Section 504.3 until any such defects or improprieties are corrected or otherwise resolved.

(d) If NYSERDA fails to notify an Applicant of a defect or impropriety within the fifteen (15) calendar day period specified in subdivision (b) of this section, the sole effect shall be that the number of days allowed for Payment shall be reduced by the number of days between the 15th day and the day that notification was transmitted to the Applicant. If NYSERDA fails to provide reasonable grounds for its contention that a defect or impropriety exists, the sole effect shall be that the Payment Due Date shall be calculated using the original date of Receipt of an Invoice.

(e) In the absence of any defect or suspected impropriety, or upon satisfactory correction or resolution of a defect or suspected impropriety, NYSERDA shall make Payment, consistent with any such correction or resolution and the provisions of this Exhibit.

504.5. Exceptions and Extension of Payment Due Date. NYSERDA has determined that, notwithstanding the provisions of Sections 504.3 and 504.4 of this Exhibit, any of the following facts or circumstances, which may occur concurrently or consecutively, reasonably justify extension of the Payment Due Date:

(a) If this Agreement provides Payment will be made on a specific date or at a predetermined interval, without having to submit a written invoice, if any documentation, supporting data, performance verification, or notice specifically required by this Agreement or other State or Federal mandate has not been submitted to NYSERDA on a timely basis, then the Payment Due Date shall be extended by the number of calendar days from the date by which all such matter was to be submitted to NYSERDA and the date when NYSERDA has actually received such matter.

(b) If an inspection or testing period, performance verification, audit or other review or documentation independent of the Applicant is specifically required by this Agreement or by other State or Federal mandate, whether to be performed by or on behalf of NYSERDA or another entity, or is specifically permitted by this Agreement or by other State or Federal provision and NYSERDA or other entity with the right to do so elects to have such activity or documentation undertaken, then the Payment Due Date shall be extended by the number of calendar days from the date of Receipt of an Invoice to the date when any such activity or documentation has been completed, NYSERDA has actually received the results of such activity or documentation conducted by another entity, and any deficiencies identified or issues raised as a result of such activity or documentation have been corrected or otherwise resolved.

(c) If an invoice must be examined by a State or Federal agency, or by another party contributing to the funding of the Contract, prior to Payment, then the Payment Due Date shall be extended by the number of calendar days from the date of Receipt of an Invoice to the date when the State or Federal agency, or other contributing party to the Contract, has completed

the inspection, advised NYSERDA of the results of the inspection, and any deficiencies identified or issues raised as a result of such inspection have been corrected or otherwise resolved.

(d) If appropriated funds from which Payment is to be made have not yet been appropriated or, if appropriated, not yet been made available to NYSERDA, then the Payment Due Date shall be extended by the number of calendar days from the date of Receipt of an Invoice to the date when such funds are made available to NYSERDA.

504.6. Interest Eligibility and Computation. If NYSERDA fails to make Prompt Payment, NYSERDA shall pay interest to the Applicant on the Payment when such interest computed as provided herein is equal to or more than ten dollars (\$10.00). Interest shall be computed and accrue at the daily rate in effect on the Date of Payment, as set by the New York State Tax Commission for corporate taxes pursuant to Section 1096(e)(1) of the Tax Law. Interest on such a Payment shall be computed for the period beginning on the day after the Payment Due Date and ending on the Date of Payment.

504.7. Sources of Funds to Pay Interest. Any interest payable by NYSERDA pursuant to Exhibit shall be paid only from the same accounts, funds, or appropriations that are lawfully available to make the related Payment.

504.8. Incorporation of Prompt Payment Policy Statement into Contracts. The provisions of this Exhibit shall apply to all Payments as they become due and owing pursuant to the terms and conditions of this Agreement, notwithstanding that NYSERDA may subsequently amend its Prompt Payment Policy by further rulemaking.

504.9. Notice of Objection. Applicant may object to any action taken by NYSERDA pursuant to this Exhibit that prevents the commencement of the time in which interest will be paid by submitting a written notice of objection to NYSERDA. Such notice shall be signed and dated and concisely and clearly set forth the basis for the objection and be addressed to the Vice President, New York State Energy Research and Development Authority, at the notice address set forth in this Agreement. The Vice President of NYSERDA, or his or her designee, shall review the objection for purposes of affirming or modifying NYSERDA's action. Within fifteen (15) working days of the receipt of the objection, the Vice President, or his or her designee, shall notify the Applicant either that NYSERDA's action is affirmed or that it is modified or that, due to the complexity of the issue, additional time is needed to conduct the review; provided, however, in no event shall the extended review period exceed thirty (30) working days.

504.10. Judicial Review. Any determination made by NYSERDA pursuant to this Exhibit that prevents the commencement of the time in which interest will be paid is subject to judicial review in a proceeding pursuant to Article 78 of the Civil Practice Law and Rules. Such proceedings shall only be commenced upon completion of the review procedure specified in Section 504.9 of this Exhibit or any other review procedure that may be specified in this Agreement or by other law, rule, or regulation.

504.11. Court Action or Other Legal Processes.

(a) Notwithstanding any other law to the contrary, the liability of NYSERDA to make an interest payment to an Applicant pursuant to this Exhibit shall not extend beyond the date of a notice of intention to file a claim, the date of a notice of a claim, or the date commencing a legal action for the payment of such interest, whichever occurs first.

(b) With respect to the court action or other legal processes referred to in subdivision (a) of this section, any interest obligation incurred by NYSERDA after the date specified therein pursuant to any provision of law other than Public Authorities Law Section 2880 shall be determined as prescribed by such separate provision of law, shall be paid as directed by the court, and shall be paid from any source of funds available for that purpose.



REAL TIME ENERGY MANAGEMENT (RTEM)
Program Opportunity Notice (PON) 3309
\$30 Million available

Applications accepted on a first-come, first-served basis dependent on funding availability until June 30, 2021 by 5:00 PM Eastern Time

The New York State Energy Research and Development Authority (NYSERDA) Real Time Energy Management (“RTEM”) Program (the “Program”) seeks to achieve deep energy savings through the collection and analysis of energy usage data from buildings at a system level. To accelerate the adoption of RTEM practices, NYSEDA is offering cost-shared support for integrating RTEM systems and services into existing facilities. This Program works in conjunction with NYSEDA RFQ 3164 Real Time Energy Management Qualified Vendor, launched in April 2016. Applicants must be qualified as a NYSEDA RTEM Qualified Vendor to apply to this Program.

Real Time Energy Management (RTEM) technology is the combination of building data collection systems (sensors, meters, equipment feeds) with data analytics and building data information services that are able to show building management the actual state of building performance at any point in time. Service providers then capture the discreet data such as set points, power loads, flow rates, temperature and humidity, and feed the information back to building operators with key insights about operations and systems that they then use to fine-tune the building and identify capital projects.

NYSERDA’s RTEM Qualified Vendor list consists of both RTEM System Providers and RTEM Service Providers. RTEM System Providers are defined as providers of the monitoring hardware and software used to extract, process, and store energy usage data. RTEM Service Providers are defined as consulting services that customers contract with to analyze the data from the RTEM system installation and provide, enable, and/or implement energy savings measures based on the data.

RTEM System Providers and RTEM Service Providers who are listed on NYSEDA’s RTEM Qualified Vendor list are eligible Applicants.

The Program offers cost-sharing for RTEM system implementation and services for up to five (5) years (see Table 1: Incentive Levels).

How to Apply:

RTEM Qualified Vendors with eligible projects can log on to <https://nyserda-portal.force.com/login> to complete an Application.

Building Owners and Managers in need of an RTEM Qualified Vendor can visit the NYSEDA list at <http://www.nyserda.ny.gov/Contractors/Find-a-Contractor/RTEM-Qualified-Vendors>.

Program questions should be directed to commercialprograms@nyserda.ny.gov or Joshua Clyburn (866-NYSERDA, ext. 3071). All Contractual questions should be directed to Nancy Marucci (866-NYSERDA, ext. 3335) or nancy.marucci@nyserda.ny.gov.



*Incomplete or unsigned applications will be returned. NYSERDA reserves the right to close or extend the Solicitation at any time and/or add funding to the Solicitation should other program funding sources become available. If changes are made to this solicitation, notification will be posted on NYSERDA's website at www.nysesda.ny.gov



I. INTRODUCTION

NYSERDA's RTEM Program is designed to accelerate market adoption of RTEM systems and services over the next five years. Furthermore, the Program will identify and expand the industry's best practices for leveraging RTEM technologies. The Program will focus on how to efficiently extract and analyze data that enables customers to receive the full potential of RTEM benefits.

Research shows that customers who unlock their building's energy data, at the system level, make better energy related decisions than if they were to use only monthly utility bills. NYSERDA seeks to demonstrate the value of comprehensive monitoring and metering analytics, and the advantages gained by obtaining system level energy usage data. The Program seeks to illustrate how customers can use RTEM to maximize energy performance, improve equipment/building optimization, and provide better informed capital investment recommendations.

This solicitation is divided into the following components:

Section II: Eligibility

Section III: Program Incentives

Section IV: Application Requirements & Approval Process Overview

Section V: Program Conditions & Limitations

Section VI: General Conditions

Section VII: List of Attachments



II. ELIGIBILITY

ELIGIBLE APPLICANTS

NYSERDA intends for RTEM Qualified Vendors to apply to the Program with eligible participant site(s). Sites must work with an RTEM Qualified Vendor to receive project funding. To become an RTEM Qualified Vendor (RFQ 3164) apply on-line at http://nyserda-site.force.com/CORE_CONAPP_Program_Page.

If a provider is not already on NYSERDA's RTEM Qualified Vendor List, they are required to apply to RFQ 3164: RTEM Qualified Vendor. Applications to this Program from providers that are not on the RTEM Qualified Vendor List will not be approved until such time that the provider is accepted or rejected. If the provider is rejected, the project application will be rejected. NYSERDA will make all System Installation and Service Cost-Share payments in this Program directly to the RTEM Service Provider. If the RTEM System Provider is different from the RTEM Service Provider, then the RTEM Service Provider and the RTEM System Provider will be responsible for establishing their own payment arrangements.

Building Owners and Managers seeking NYSERDA funding for their sites must choose from NYSERDA's RTEM Qualified Vendor List. Firms interested in applying to be on the NYSERDA RTEM Qualified Vendor List may include, but are not limited to: energy management system providers, Energy Service Companies (ESCOs), energy consultants, and engineering companies. Providers that fail to qualify for the list will not be eligible to submit applications to this Program.

ELIGIBLE PARTICIPANT SITES

Eligible participant sites include: New York State commercial facilities which include, but are not limited to, office buildings, retail, colleges and universities, health care facilities, state and local governments, not-for-profit and private institutions, and public and private K-12 schools that are New York State electricity distribution customers of a participating utility company that pays into the System Benefits Charge (SBC) (Central Hudson Gas & Electric Corporation, Consolidated Edison, New York State Electric & Gas Corporation, National Grid, Orange and Rockland Utilities, Inc., and Rochester Gas and Electric Corporation).

- Sites must choose from NYSERDA's RTEM Qualified Vendor List. Please visit the website at: <http://www.nyserda.ny.gov/Contractors/Find-a-Contractor/RTEM-Qualified-Vendors> for the current listing of RTEM Qualified Vendors.
- Sites may select providers that are not on the RTEM Qualified Vendor List. However, the provider must apply and be approved as an RTEM Qualified Vendor (as detailed above in this Section II). If the provider fails to qualify, the project will be cancelled and the site will have to enlist a different provider.



ELIGIBLE PROJECTS

Eligible project requirements:

Sites must be greater than 50,000 square feet. Individual sites that do not meet this minimum requirement may be aggregated to meet the requirement.

Awarded projects must be installed and commissioned within one year of receiving a NYSERDA Purchase Order (“PO”). A one-time extension of up to twelve months may be requested. Failure to install within the one-year timeframe or the approved extension timeframe will result in project cancellation.

RTEM systems that are installed prior to the launch of this Program are not eligible to receive a System Installation Cost-Share (as defined in Section III below).

Existing operational RTEM systems and service agreements are eligible for service cost-share (as defined in Section III below) provided all other Program requirements are met.

Monitoring requirements:

Projects must monitor energy usage at levels more granular than the whole-building, or whole-space for tenant applicants. The time frequency of monitoring must be at least hourly, or more frequent. Monitoring hardware must be permanently installed, and not intended for temporary use.

III: PROGRAM INCENTIVES

All projects must include cost-sharing in the form of matching cash support from the site(s). NYSERDA will issue a single PO with a maximum incentive of \$155,000 to include as follows per site:

For RTEM System Installations:

- NYSERDA System Installation Cost-Shares are provided per TABLE 1. The higher cost-share in the first two years of the Program is intended to encourage early adoption of the technology.

For RTEM Services (1-5 years eligible):

- NYSERDA Service Cost-Shares are provided per TABLE 1. The higher cost-share in the first two years of the Program is to encourage early adoption of the technology.
- Additionally, those Applicants submitting for more than three years of service length will receive a reduced cost share in the fourth and fifth year of service



There are two cost-share incentive options available from which to choose. RTEM Applicants will be able to select, on project-by-project basis, either Option A or Option B, as seen below. It is important to note, system and service costs must be disclosed to NYSERDA, regardless of the payment option chosen. Additionally, for both options, payments will only be made to the RTEM service provider.

Incentive Levels

Option A: available for when customers pay upfront costs for RTEM System installations

Types of Incentives	Applications received 6/14/16 – 6/30/18		Applications received 7/1/18-6/30/21	
	NYSERDA Cost-Share	Cap per Project per year	NYSERDA Cost-Share	Cap per Project per year
System Installation	30%	\$75,000	20%	\$50,000
Service Years 1-3	30%	\$20,000	20%	\$15,000
Service Years 4-5	20%	\$10,000	15%	\$10,000

Option B: available when the RTEM System costs are embedded in the RTEM Services costs, and the customer pays little or no upfront costs, allowing both the system and service costs-sharing structure to be stretched over a five-year period.

Types of Incentives	Applications received 6/14/16 – 6/30/18		Applications received 7/1/18-6/30/21	
	NYSERDA Cost-Share	Cap per Project per year	NYSERDA Cost-Share	Cap per Project per year
Years 1-3	30%	\$35,000	20%	\$30,000
Years 4-5	20%	\$25,000	15%	\$25,000

Additional requirements

- NYSERDA will issue a maximum of 5 years of payments regardless of contract length (i.e. system or service costs that extend past 5 years will not be eligible for cost-sharing).
- If the RTEM system costs are embedded into the RTEM services costs, the incentive structure will provide cost sharing for the RTEM service, as well as a weighted portion of the systems costs. The system cost-sharing shall not exceed the length of the RTEM contract, nor the 5-year requirement mentioned above. The RTEM vendor will indicate, to the extent possible, the expected costs of the RTEM Systems and RTEM Services payments in the contract.



FUNDING LIMITATIONS

Site Cap

Each qualifying project site is limited to receiving \$155,000 of program funding.

Provider Cap

Each Applicant (RTEM Service Provider) is limited to receiving \$6 million in total program funding.

Portfolio Expansion Cap

A portfolio of sites submitted as an aggregated project (per the Multiple Sites Template) or as separate Applications having the same ownership or management capable of authorizing the installation of and acting upon information from an RTEM system are limited to receiving funding for ten (10) sites in the portfolio, or campus.

Sites already receiving financial assistance in the form of grants through NYPA for compliance with Executive Order 88, or programs offered by their local utilities, are not eligible to receive incentives for the same activities under this Program. (Financing from NYPA or NY Green Bank is allowable in combination with cost-share from this Solicitation).

IV: APPLICATION REQUIREMENTS AND APPROVAL PROCESS OVERVIEW

APPLICANT:

The Applicant will apply on-line through a NYSERDA portal. The following information will be requested:

1. RTEM Project Application (Attachment A-1)
2. Current, complete utility bill of each site documenting the SBC payment.
3. For projects containing multiple sites, a completed Multiple Site Template (Attachment A-2)
4. A copy of the signed agreement between RTEM Vendor(s) and the site(s) installing and committing to services. The agreement(s) should specify the dollar amount and length of service years.
5. Applicants must also work with an assigned RTEM Advisor (a NYSERDA contracted Consultant) to assist in their submittal of a project summary report

NYSERDA evaluates the project based on the above submitted information. All Applications will be reviewed on a first-come, first-served basis until funds are fully committed.

After the Applicant submits the Application, NYSERDA and the RTEM Advisor will review the application in its entirety, and evaluate the RTEM System specifications and RTEM Services offered. NYSERDA's RTEM Advisor will conduct a pre-installation site visit on at least the first two projects for all new Applicants. Applicants are encouraged to continuously engage with the RTEM Advisor as they submit more projects for funding. Upon review and approval of the



Application information and completion of the pre-installation site visit (if required), NYSERDA will notify the Applicant and site contact(s) that the Application is approved. NYSERDA will then issue a PO committing the system installation cost-share and a full five years of eligible cost-sharing services. After installation, the RTEM Advisor will conduct a post-installation site visit.

Note: An Applicant proceeding with project demolition or installation prior to the NYSERDA conducted pre-installation site visit and approval will not receive a system installation cost-share. NYSERDA is not committed to cost-sharing a project until a PO is issued.

If at any time the project, RTEM system, or services do not meet the minimum requirements established by the Program, the Applicant will not be eligible to receive funds and the project will be cancelled.

PROGRAM DELIVERABLES:

Participation in the Program requires the Applicant to work with the RTEM Advisor to develop a plan to collect and submit the following deliverables to NYSERDA during the course of the project:

1. Project Summary Report – As stated above, prior to receiving a PO from NYSERDA.
The Applicant will provide information and supporting documentation to the RTEM Advisor to help summarize the projects scope of work and to ensure it meets the intent of the Program.
2. Installation and Commissioning Report – Prior to receiving the system cost-share from NYSERDA.
The Applicant will provide information and supporting documentation to the RTEM Advisor to help summarize the completion of installing the RTEM System and to explain the roles and responsibilities of project participants.
3. Services Quarterly Report
The Applicant will provide information and supporting documentation to the RTEM Advisor to help summarize the performance of the project on a quarterly basis. This includes providing a list of recommended energy saving measures that may be operational improvements or capital upgrades. The list shall also specify the expected energy savings and installation cost from each measure.

PROJECT PAYMENTS:

NYSERDA intends to issue progress payments based on the following:

1. System installation cost-share will be issued to the Applicant upon review and approval of installation and commissioning of the RTEM system. The RTEM Advisor will authorize NYSERDA to issue the payment after the post-installation site visit and approval of required documents needed to prepare the Installation and Commissioning report. Failure to provide documents needed to complete the Installation and Commissioning report within 30 days after the commissioning date may forfeit funding from this Program.



2. Service cost-share will be provided annually, after review and approval of the first Services Quarterly Report. (Example: RTEM services begin in September 2016. The Applicant submits December 2016 quarterly reporting. NYSERDA reviews and approves. NYSERDA issues funding for the September 2016- September 2017 reporting period). This process will repeat each following year. If reporting is not received within the first six months after commissioning, and quarterly thereafter, Applicants may forfeit project funding from the Program.

V: PROGRAM CONDITIONS & LIMITATIONS

CONDITIONS

- RTEM services cannot solely consist of software as a service (SaaS). RTEM services can incorporate SaaS in to the services contract to use as a tool to provide, enable, and/or implement energy savings measures.
 - RTEM systems are the monitoring hardware and software used to extract, process, and store energy usage data.
 - RTEM services are consulting services that customers contract with to analyze energy usage data and provide, enable, and/or implement energy savings measures, such as energy efficiency or renewable energy, based on the data.
- RTEM services must initially occur for at least 1 year. Projects are encouraged to participate for the full five (5) years of the Program cycle.
- Applicants must provide proof of payment for the RTEM systems and service by the site(s) in order to receive payment from NYSERDA. Documentation can include, but is not limited to, invoices and proof of purchase.
- RTEM Systems installed prior to submitting a project application are not eligible for a system cost share.
- Awarded projects must be installed and commissioned within one year of receiving a NYSERDA PO. A one-time extension for up to twelve additional months may be requested. Failure to install within the one-year timeframe or approved extension timeframe will result in project cancellation.
- Applicants must submit project level information to receive Program incentives.
- Project information, in addition to requirements listed in the Program Deliverables section above, shall be submitted to comply with project evaluation. Project information includes, but is not limited to, building profile, catalogue of facility's equipment profile, occupation and facility use, installed monitoring points, hardware/software/network specifications, incremental energy usage, measurement and verification data on implemented energy related projects such as energy efficiency or distributed energy resource installations, benchmarking data, and utility billing data.

LIMITATIONS

This PON does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. Applicants are limited to 20% (\$6 million) of total program funding. NYSERDA reserves the right to accept or reject any or all applications received, to negotiate with all qualified sources, or to cancel in part or in its entirety the PON when it is in NYSERDA's best interest.



NYSEERDA may award a PO based on applications without discussion, or following limited discussion. NYSEERDA may request additional data or material to support applications. A sample PO is available on request. NYSEERDA will notify Applicants whether the application has been selected to receive an award.

Inability to complete project installation in a timely manner or adhere to the project schedule may result in project cancellation by NYSEERDA.

NYSEERDA does not guarantee work to RTEM Qualified Vendors. NYSEERDA is not responsible for the relationship between customers and RTEM Vendor(s). NYSEERDA is not liable for damages caused by RTEM Vendors.

The following are ineligible for funding:

- Whole-building monitoring or the installation of sub-meters in tenant spaces. Tenant-only projects may not receive NYSEERDA cost-sharing for whole-space monitoring.
- Building Management Systems or Building Automation Systems, or other systems designed to control equipment or components.
- New facilities, or those that have undergone substantial renovations, must be occupied for more than one year to be eligible for funding under this solicitation.

VI: GENERAL CONDITIONS

Proprietary Information - Careful consideration should be given before confidential information is submitted to NYSEERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes.

The NYS Freedom of Information Law, Public Officers Law, Article 6, provides for public access to information NYSEERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSEERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <http://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSEERDA-Regulations.ashx>. However, NYSEERDA cannot guarantee the confidentiality of any information submitted.

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



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

Empire State Development
Division For Small Business
625 Broadway
Albany, NY 12207

A directory of certified minority- and women-owned business enterprises is available from:

Empire State Development
Minority and Women's Business Development Division
625 Broadway
Albany, NY 12207

If State Finance Law lobbying amendment and Tax Law 5-a provisions apply, include the following two sections:

State Finance Law sections 139-j and 139-k - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain new procurement lobbying requirements which can be found at

<http://www.ogs.ny.gov/aboutogs/regulations/advisoryCouncil/StatutoryReferences.html>

The attached Proposal Checklist calls for a signature certifying that the proposer will comply with State Finance Law sections 139-j and 139-k and the Disclosure of Prior Findings of Non-responsibility form includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years.

Tax Law Section 5-a - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. *See*, ST-220-TD (available at http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department. The Department has created a second form that must be completed by a perspective contractor prior to contacting and filed with NYSERDA. *See*, ST-220-CA (available at https://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

Contract Award - NYSERDA anticipates making multiple awards under this solicitation. NYSERDA may request additional data or material to support submissions including scope of work modifications or negotiations before issuing a Purchase Order. Each offer should be



submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. A sample Purchase Order is available on request. NYSERDA expects to notify customers in approximately three (3) weeks from the receipt of a complete project package whether the submission has been selected to receive an award.

Limitation - This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest.

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

VII: ATTACHEMENTS FOR REFERENCE

Attachment A-1 - RTEM Application
Attachment A-2 - Multiple Sites Template
Attachment A-3 - Terms and Conditions



NYSERDA

Multifamily New Construction Program (MF NCP) Guidelines

Program Opportunity Notice (PON) 3319

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Multifamily New Construction Program (MF NCP)
MF NCP Guidelines
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1 INTRODUCTION

The Multifamily New Construction Program (MF NCP) focuses on:

- Increasing awareness of, information about, and demand for deep energy savings and zero net energy performance in the multifamily high rise new construction and gut rehabilitation markets.
- Strengthening the capacity of clean energy professionals to deliver design and construction services to the multifamily markets.
- Supporting New York State (NYS) and New York City (NYC) housing agencies, funding authorities, and municipalities in their efforts to secure the most efficient, durable, resilient and healthy housing, based on technical and economic feasibility, while striving to maximize effective use of the resources available to achieve those goals. These activities are significantly, but not exclusively, targeting the Low to Moderate Income (LMI) housing sector.
- Identifying and promoting integrated design solutions that can be replicated, with a focus on cost optimization analysis and financing strategies that recognize operational costs and savings and management of perceived risks.

MF NCP is designed to support developers serving multifamily high rise new construction and gut rehabilitation projects by providing technical support and guidance. MF NCP requires the Applicant to hire a Multifamily New Construction Partner (Partner) to act as the primary resource for their participation in MF NCP. The incentive structure is multi-tiered, focusing support and incentives toward promotion of higher levels of comprehensive building and energy performance, up to and inclusive of net zero performance. Use of solar photovoltaic generation and other renewable energy systems is specifically encouraged to achieve the higher performance targets. MF NCP is closely aligned with the Low-Rise Residential New Construction Program (LR NCP) to more seamlessly support the higher performance multifamily new construction market.

For additional information and related documents, please visit the Multifamily New Construction website page at:

<http://www.nyserda.ny.gov/All-Programs/Programs/Residential-and-Multifamily>

2 REQUIREMENTS FOR PARTICIPATING IN MF NCP

MF NCP offers project teams technical support and guidance to achieve higher levels of energy performance and health & safety from planning through construction. Projects must meet the requirements detailed in these MF NCP Guidelines and achieve their approved performance targets to receive NYSERDA's financial incentives (if applicable).

2.1 Compliance Paths

At the time of application, projects must select one of the following compliance paths:

2.1.1 Performance Path with ENERGY STAR®

This compliance path follows the standards developed by the US Environmental Protection Agency (EPA) for the ENERGY STAR Multifamily High Rise (MFHR) program. This pathway requires the Partner to create a model of the proposed building design based on ASHRAE standards and compare it to a baseline model. The difference in the utility cost savings of the two models must equal or exceed the performance target specified in the project's approved performance tier. Projects following the Performance Path with ENERGY STAR are required to adhere to all *ENERGY STAR MFHR Performance Path Prerequisites* and *Testing & Verification Protocols*. See Application Section 3.1.1 for information on ENERGY STAR MFHR eligibility. See Section 4 of these Guidelines for more information on this pathway.

2.1.2 Passive House Institute US (PHIUS)

Projects following this compliance path must comply with the PHIUS+ Multifamily Certification Standard developed by the Passive House Institute US (PHIUS). The project must contract with a Certified Passive House Consultant (CPHC®) and a PHIUS+ Verifier, and must pursue, and obtain, certification by PHIUS. In addition to meeting the PHIUS requirements, PHIUS path projects are required to submit the *ENERGY STAR MFHR Photo Template*.

2.1.3 Passive House Institute (PHI)

Projects following this compliance path must comply with the Passive House Standard developed by the Passive House Institute (PHI). The project must contract with a certified PHI Consultant or Designer and an accredited PHI Certifier, and must pursue, and obtain, certification by PHI. In addition to meeting the PHI requirements, PHI path projects are required to submit the *ENERGY STAR MFHR Photo Template*.

The North American Certifiers Circle is currently developing a third-party verification program called VeriPHY. Until VeriPHY is released, projects following this compliance path must record the results of all testing and verification in the corresponding sections of the *ENERGY STAR MFHR Testing & Verification Workbook*. Once VeriPHY is released, NYSERDA will evaluate the program and consider allowing that process to replace this requirement for PHI projects.

2.1.4 Modified Prescriptive Path (MoPP)

This compliance path requires the project to meet the set of requirements specified in the *Modified Prescriptive Path Requirements (MoPP)* as set forth in Section 7 of these Guidelines and the *ENERGY STAR MFHR Testing & Verification Protocols*. Inclusion of these requirements is considered to equal or exceed the performance target specified in the project's approved performance tier. The MoPP allows some exceptions to its requirements for gut rehabs and historical buildings. This pathway does not result in an ENERGY STAR label, but may result in the New York Energy \$mart designation from NYSERDA. See Section 7 of these Guidelines for more information on this pathway.

2.2 Performance Tiers

At the time of application, projects must select and commit to meeting one of the following performance tiers. To be eligible to receive the associated incentives, the project must achieve the performance target associated with their approved performance tiers.

2.2.1 Tier 1

Tier 1 is available to new construction projects following the Performance Path with ENERGY STAR or the MoPP.

For gut rehab projects, Tier 1 is only available to projects following the Performance Path with ENERGY STAR.

For projects following the Performance Path with ENERGY STAR, the project must, at minimum, achieve a performance rating of 15% above ASHRAE Standard 90.1. The version of ASHRAE 90.1 that must be used is dependent on what version of NYS Energy Code the project is permitted under. If the project is permitted under Energy Conservation Construction Code-New York State (ECCCNYS) 2014, then the project's performance rating is in reference to ASHRAE 90.1-2010. If the project is permitted under ECCCNYS 2016, then the project's performance rating is in reference to ASHRAE 90.1-2013.

Additionally, projects pursuing either the PHIUS or the PHI compliance path that are designed to achieve either Tier 2 or 3 and that meet all requirements of Stages 1 and 2 for that path and tier, may qualify for Tier 1 if they submit a Stage 3 submittal that is complete and approvable with the exception of having received full certification from the applicable standard organization.

2.2.2 Tier 2

Tier 2 is available to new construction and gut rehabilitation projects following the Performance Path with ENERGY STAR, the PHI path or the PHIUS+ path. Tier 2 is also available to gut rehabilitation projects following the MoPP.

For projects following the Performance Path with ENERGY STAR, the project must, at minimum, achieve a performance rating of 25% above ASHRAE Standard 90.1. The version of ASHRAE 90.1 that must be used is dependent on what version of NYS Energy Code the project is permitted under. If the project is permitted under ECCCNYS 2014, then the project's performance rating is in reference to ASHRAE 90.1-2010. If the project is permitted under ECCCNYS 2016, then the project's performance rating is in reference to ASHRAE 90.1-2013.

Projects following either Passive House path need to comply with the minimum requirements of the applicable Passive House standard, achieving certification to either PHI or PHIUS+.

2.2.3 Tier 3

Tier 3 is available to new construction projects following the Performance Path with ENERGY STAR, the PHI path or the PHIUS path. Tier 3 is available to gut rehab projects following the Performance Path with ENERGY STAR, with an adjusted baseline equivalent to that required of a new construction project.

For projects following the Performance Path with ENERGY STAR, the project must, at a minimum, achieve a performance rating of **35%** above ASHRAE Standard 90.1 without inclusion of any renewable or distributed generation and a performance rating of **42%** above ASHRAE Standard 90.1 including any renewable or distributed generation. The version of ASHRAE 90.1 that must be used is dependent on what version of NYS Energy Code the project is permitted under. If the project is permitted under ECCCNY 2014, then the project's performance rating is in reference to ASHRAE 90.1-2010. If the project is permitted under ECCCNY 2016, then the project's performance rating is in reference to ASHRAE 90.1-2013.

For projects following the PHI path, the project must be designed, constructed, and certified to PHI standards and must achieve, at maximum, a Primary Energy Demand calculation of **33** kBtu/ft²/year without inclusion of any renewable or distributed generation, and a Primary Energy Demand calculation of **29** kBtu/ft²/year including any renewable or distributed generation. Calculation of this Primary Energy Demand threshold must rely on use of the PHI-required energy modeling tool; and the project must meet the minimum PHI requirements needed for the project to be certified as meeting the PHI standard. Both Primary Energy Demand thresholds may exclude the energy use attributed to amenities, such as dishwashers, laundry and exterior lighting, as discussed in Section 5.5.1 of this document.

For projects following the PHIUS path, the project must be designed, constructed, and certified to PHIUS+ standards and must achieve, at maximum, a Primary Energy Demand calculation of **5,200** kWh/person/year without inclusion of any renewable or distributed generation, and a Primary Energy Demand calculation of **4,200** kWh/person/year including any renewable or distributed generation. Calculation of this Primary Energy Demand threshold must rely on use of the PHIUS-required energy modeling tool; and the project must meet the minimum PHIUS+ requirements needed for the project to be certified as meeting the PHIUS+ standard. Both Primary Energy Demand thresholds may exclude the energy use attributed to amenities, such as dishwashers, laundry and exterior lighting, as discussed in Section 6.5.1 of this document.

2.3 Deadlines

For projects following any path, the Stage 1 submittal for each path, as detailed in Sections 4, 5, 6, and 7, must be submitted no later than 30 days after the Buildings Department's final approval of New Building Architectural, Mechanical, and Plumbing plans.

2.4 Incentive Caps

Incentives are capped on a per project basis, and vary based on market type, year of application approval, and Performance Tier. These caps can be found in Section 3.2.1 of this document.

3 APPLICATION

This section details the requirements for participation in MF NCP. Prior to submitting an MF NCP Application Package to NYSERDA, the Partner must work with the potential Applicant to determine MF NCP eligibility, market type and estimated incentives. The Partner is expected to take the leading role in the Application process.

3.1 Establishing a project

At the onset of their relationship with a potential Applicant, the Partner must determine whether the project is eligible for MF NCP. This section details the requirements for determining MF NCP eligibility.

3.1.1 Eligibility Requirements

Applicants will be required to execute an MF NCP Terms and Conditions Agreement with NYSERDA, and deliver completed projects that, at a minimum, meet the requirements detailed in these Guidelines and other MF NCP documents. To be eligible for MF NCP participation, a project must be, or be capable of and intend to be, a New York State electricity distribution customer of a participating utility company that pays into the System Benefits Charge. Project eligibility is fuel-neutral.

NYSERDA has the sole discretion for determining an Applicant's eligibility to participate.

3.1.1.1 Project Size

The project must be a multifamily building(s) with ten (10) or more units and four (4) or more stories.

Low-rise buildings, defined as having three (3) or fewer stories, and projects with less than 10 units are not eligible for MF NCP, and may apply to NYSERDA's PON 2309 Low-Rise Residential New Construction Program (LR NCP). For additional information on the LR NCP, please visit: <http://www.nyserda.ny.gov/All-Programs/Programs/Low-Rise-Residential/Low-Rise-Residential-New-Construction-Multifamily>

3.1.1.2 Eligible Types of Construction

The MF NCP will accept both new construction and gut rehabilitation, as defined below:

New Construction: A new building, or portion within a new building, where a licensed professional architect or engineer has prepared and certified the building plans.

Gut Rehabilitation: Substantial renovation, one of the following types of projects where a licensed professional architect or engineer has prepared and certified the building plans:

- Change of use and reconstruction of an existing building or space within;
- Construction work of a nature requiring that the building or space within be out of service for at least 30 consecutive days;
- Reconstruction of a vacant structure or space within.

3.1.1.3 Intended Use

The primary intended use of the building must be residential.

Projects may contain non-residential (commercial and/or retail) space if that space does not consist of more than 50 percent of the occupiable square footage of the entire building.

Commercial facilities, such as motels/hotels, group homes, dormitories, shelters, monasteries, nunneries, assisted living facilities and nursing homes are not eligible for MF NCP.

Supportive Housing, single room occupancy (SRO) facilities, and senior living residences that do not include nursing or hospitalization amenities are eligible for MF NCP based on a case-by-case review by NYSERDA. Supportive Housing is defined as residences that are owned and operated by non-profit organizations. Tenants are individuals and families who require both affordable permanent housing and support services, have lease agreements, pay rent (often a percentage of their income) and abide by the terms of their lease. This includes people who have been homeless, have histories of substance abuse, are coping with mental illness, have chronic illnesses like HIV/AIDS, are young adults aging out of foster care, are homeless veterans, or are grandparents raising grandchildren.

This is not a comprehensive list of property types that are eligible for MF NCP. Special circumstances may be reviewed by NYSERDA and considered for eligibility on a case-by-case basis.

3.1.1.4 ENERGY STAR Eligibility

Projects that have applied to MF NCP that meet the Performance Path with ENERGY STAR requirements are eligible to apply directly to the EPA for the ENERGY STAR MFHR label for the units within the building. Use the EPA ENERGY STAR Multifamily New Construction Program Decision Tree to determine whether your project qualifies for the ENERGY STAR label:

https://www.energystar.gov/ia/partners/bldrs_lenders_raters/downloads/mfhr/MFHR_Flowchart_v1.1.pdf?5546-0786

All EPA ENERGY STAR referenced documentation is located at:

https://www.energystar.gov/index.cfm?c=bldrs_lenders_raters.nh_mfhr_guidance

Please refer to the EPA for more information on the ENERGY STAR MFHR Certification Process:

https://www.energystar.gov/index.cfm?c=bldrs_lenders_raters.nh_mfhr_certification

3.1.2 Definition of a Project

For the purpose of MF NCP, a project is defined as a building or group of identical buildings. The Partner will develop one Building Performance Plan or complete one Modified Prescriptive Path Calculator for each project. Each building in a project must adhere to the requirements of the approved compliance path, including the applicable testing and verification protocols. Each building must receive separate Open Wall Inspections.

A group of buildings that includes more than one building design must apply to MF NCP as multiple projects. The Partner must submit a separate Application Package for each building design. At the modeling stages, the Partner must submit a separate Building Performance Plan or Modified Prescriptive Path Calculator for each design.

Final determination of how a project is defined is at NYSERDA's discretion.

3.1.3 Determining Market Type

Once the Partner has worked with the Applicant to verify that the project is eligible for MF NCP, they must determine the project's market type: Low to Moderate Income or Market Rate. NYSERDA defines Low to Moderate Income (LMI) projects as projects in which the majority of dwelling units are expected to be occupied by households earning no more than 80 percent of the State or Area Median Income,

whichever is greater. All properties are considered Market Rate unless eligibility for the LMI incentive amounts can be established, on a per dwelling unit basis, by applying one of the methods detailed in Section 3.1.3.1.

3.1.3.1 Low to Moderate Income (LMI)

To establish eligibility for the LMI incentive amounts and project caps, documentation must be submitted as soon as possible and prior to the first incentive payment the project is eligible for, which is dictated by the path selected. There are three methods to verify that the project is eligible for LMI incentives:

- a. *Proxy*: NYSERDA allows certain proxies to verify LMI eligibility. Please see Table 3.1 for approved proxies. Additional proxies may be considered by NYSERDA to establish eligibility for LMI incentives on a case by case basis. The number of eligible LMI dwelling units for projects funded through NYS Housing Finance Agency's (HFA's) 80/20 Program or NYC HDC's 80/20 or Mixed Income Programs may be established based on their regulatory funder's award letter or contract documents.
- b. *Rent Roll*: The Rent Roll method applies only to gut rehabilitation projects that do not meet the LMI eligibility proxies; or to projects funded through NYS HFA's 80/20 Program or NYC HDC's 80/20 or Mixed Income Programs. This method may not be combined with the Resident Income method. Applicants must submit the annual rent, size, and occupancy for each apartment in the project. The majority of dwelling units must have a calculated household income no greater than 80 percent of the State or Area Median Income based on the assumption that 30 percent of household income is applied to housing costs (i.e. rent). A calculation spreadsheet tool is available on the MF NCP Partner Portal for determining Rent Roll income eligibility.
- c. *Resident Income*: The Resident Income method applies only to gut rehabilitation projects that do not meet the LMI eligibility proxies; or to projects funded through NYS HFA's 80/20 Program or NYC Housing Development Corporation's (HDC's) 80/20 or Mixed Income Programs. This method may not be combined with the Rent Roll method. Applicants must submit signed Resident Income Certification forms with supporting documentation for a majority of the project's dwelling units. Resident Income Certification Instructions and related forms are available on the MF NCP Partner Portal.

3.1.3.2 Market Rate

Eligible projects that do not qualify for LMI incentive amounts and project caps as detailed above may be eligible for Market Rate incentives.

Multifamily New Construction Program Guidelines

Table 3.1 Low-to-Moderate (LMI) Proxies

ELIGIBILITY PROXY	DETAILS	TYPE OF DOCUMENTATION
1. U.S. HUD-Regulated Affordable Housing	<p>Properties that receive one of the following subsidies from HUD are defined as LMI:</p> <ul style="list-style-type: none"> • Section 8 Contract • Sections 202, 236, 811 • Public Housing Authorities 	Provide a copy of the HUD contract or contract award notice.
2. NYS HCR-Regulated Affordable Housing	Buildings with subsidized mortgages or contracts that place them under the regulatory control of HCR are defined as LMI.	Provide a copy of HCR contract or contract award notice.
3. Low Income Housing Tax Credits	Properties that receive tax credits for at least 50% of its units are defined as LMI.	Submit a copy of tax credit award notice from HCR or HPD.
4. NYC HPD-Regulated Affordable Housing (or other local housing agency)	Properties with loans, mortgages, or deeds of purchase (HDFC incorporation) from HPD or other local housing agencies are defined as LMI.	Provide documentation of current mortgage, loan closing, HDFC incorporation, or deeds.
5. SONYMA Mortgage Insurance	Properties subsidized for Low to Moderate Income multifamily residents with SONYMA subsidized financing through the HFA are defined as LMI.	Provide a copy of loan closing/mortgage insurance award documents.
6. Participation in NYS HFA's 80/20 Program	Properties that have been accepted into the Housing Finance Agency's 80/20 Program that do not incorporate a majority of LMI dwelling units are eligible to request LMI incentives for each dwelling unit that meets the definition detailed in Section 3.1.3 or 3.1.3.1.b, with the total incentives subject to the Market Rate project cap.	Provide a copy of the award letter or HFA contract documents.
7. Participation in NYC HDC's 80/20 or Mixed Income Programs	Properties that have been accepted into the New York City Housing Development Corporation's 80/20 Program or Mixed Income Program that do not incorporate a majority of LMI dwelling units are eligible to request LMI incentives for each dwelling unit that meets the definition detailed in Section 3.1.3 or 3.1.3.1.b, with the total incentives subject to the Market Rate project cap.	Provide a copy of the award letter or HDC contract documents.

3.2 Incentives

Projects that have received a funding commitment from NYSERDA for Tier 2 or Tier 3 performance targets and that have met all those requirements are eligible to request payment of the corresponding incentives. The incentives available through MF NCP are based on market type, year of application approval, number of dwelling units and performance tier.

3.2.1 Calculating Incentives

There are separate incentive schedules for LMI and market rate projects. Additionally, within each market type incentive schedule, there are different incentives based on the year of application approval, number of dwelling units and performance tier associated with the project.

For projects that have fewer than 50 dwelling units, the incentive per dwelling unit amount listed for “10-49 dwelling units” applies to all dwelling units. For projects that have 50 or more dwelling units, the first 49 dwelling units receive the incentive per dwelling unit amount listed for “10-49 dwelling units”, and the balance of the units receive the incentive per unit amount listed for “50+ dwelling units”.

For example, an LMI 40 dwelling unit project with an application approved in 2016 would receive:
 $40 \text{ dwelling units} \times \$1,000/\text{unit} = \$40,000$

An LMI 80 dwelling unit project with an application approved in 2016 would receive:
 $(49 \text{ dwelling units} \times \$1,000/\text{unit}) + (31 \text{ dwelling units} \times \$600) = \$67,600$

Incentives are capped for each project based on market type, year of application approval and Performance Tier as listed here.

LMI						
2016			Performance Tier	2017		
10-49 dwelling units	50+ dwelling units	Cap		10-49 dwelling units	50+ dwelling units	Cap
\$ -	\$ -	\$ -	Tier 1	\$ -	\$ -	\$ -
\$ 1,000	\$ 600	\$100,000	Tier 2	\$ 1,000	\$ 500	\$100,000
\$ 3,500	\$ 3,000	\$300,000	Tier 3	\$ 3,500	\$ 3,000	\$300,000

Market Rate						
2016			Performance Tier	2017		
10-49 dwelling units	50+ dwelling units	Cap		10-49 dwelling units	50+ dwelling units	Cap
\$ -	\$ -	\$ -	Tier 1	\$ -	\$ -	\$ -
\$ 500	\$ 300	\$ 50,000	Tier 2	\$ 400	\$ 200	\$ 40,000
\$ 2,500	\$ 2,000	\$200,000	Tier 3	\$ 1,400	\$ 1,200	\$120,000

3.2.2 Incentive Payment Schedules

The Applicant will receive the incentives that NYSERDA has approved for their project after each submittal Stage has been approved.

Incentive payment at each Stage is a set percentage of the total approved incentive. The incentive payment schedule is based on Compliance Path and Performance Tier.

In order to receive the full incentive amount, projects must verify that they have achieved the performance targets specified in their approved performance tier and each submittal must be approved by NYSERDA. If the project does not meet the performance target, the Partner must contact the Case Manager, as defined in 3.3.3(2), prior to submittal. The Case Manager will provide the adjusted incentive amount, if applicable.

MF NCP - Incentive Payment Schedule						
Stage 1		Stage 2		Stage 3		
Performance Path, PHI, PHIUS	MoPP	Performance Path, PHI, PHIUS	MoPP	Performance Path, PHI, PHIUS	MoPP	
Performance Tier	LMI and Market Rate					
Tier 1	N/A	N/A	N/A	N/A	N/A	N/A
Tier 2	25%	N/A	25%	50%*	50%	50%*
Tier 3	10%	N/A	25%	N/A	65%	N/A

*gut rehabs only

3.2.3 Renewable Energy Measures

MF NCP encourages Applicants to incorporate photovoltaics and other renewables into their projects to achieve performance targets¹. Although on-site and/or renewable generation are not eligible for installation incentives through this offering, integration or use of renewable generation will be strongly encouraged for projects aiming to meet Tier 3 performance targets. By participation in MF NCP, the resulting on-site and and/or renewable generation solutions are not restricted from receiving incentives through NY-Sun or others for the use of renewable energy technologies.

3.3 Application Documents and Processing

Upon identifying an eligible project, the Partner, in consultation with the Applicant, should submit a MF NCP Application. This Section outlines the process and requirements for submitting a complete Application Package. Reference the *Application Submittal Checklist*, which can be found on NYSERDA’s website or the MF NCP Partner Portal, for more details.

¹ Projects that otherwise meet the Tier 3 requirements intending to seek NYSERDA’s commitment for and payment of those Tier 3 incentives will be required to locate the solar electric array(s) on-site, co-located with the project’s buildings. Project applicants may seek a waiver from NYSERDA to allow a properly sized solar electric array to be located on a remote site and in a manner that allows a remote net metering arrangement to achieve the required offset of the project’s predicted energy use. To receive NYSERDA’s approval of the waiver request, the Applicant must demonstrate the solar electric array’s ownership is structured in a manner that assures its output will be dedicated to the project for a minimum term of twenty years. Additionally, the remote net metering arrangement and interconnection must be approved by the distribution utility.

3.3.1 Application Package Contents

1. *Project Information Form*: identifies basic information about the project. Although this form is not a required Application document, it has been provided to assist the Partner in gathering information about the project in one place, to simplify data entry into the online Application.
2. *Terms and Conditions*: an acknowledgement by the Applicant of the MF NCP requirements. The person who signs the Terms and Conditions must be the authorized signatory for the Applicant organization. An authorized signatory has the ability to contractually bind your organization. (An authorized signatory may be different from the project manager or primary contact.)
3. *W-9*: required document for payment. The Applicant (Property Owner/ Company Name) must exactly match the *Project Information Form*, *W-9*, *Terms and Conditions* and *EFT Form*. The name of the Applicant must be complete, including the company designation (Inc., Co., LLC, LP, etc.).
4. *LMI Documentation* (if applicable)
5. *Electronic Funds Transfer (EFT) Form*: required document for payment
6. *EPA ENERGY STAR MFHR Developer Partnership Agreement* (if not previously submitted, for Performance Path with Energy Star projects only): to be completed by the developer/owner responsible for the project's design, financing and construction. A copy of the Agreement can be obtained from the following ENERGY STAR website:
https://www.energystar.gov/index.cfm?c=bldrs_lenders_raters.nh_mfhr_dev_partners

3.3.2 Completion Instructions

1. Review the Application documentation for completeness. Check the *Project Information Form*, *Terms and Conditions*, *W-9*, *LMI Documentation* (if applicable), *EFT Form* and *EPA MFHR Developer Partnership Agreement* (if applicable) for completeness and accuracy before starting an online application.
2. Start an online application. The Application Package must be submitted online via the CRIS Database. The Partner will log in to the CRIS database using the Partner's login and password. Use the *Project Information Form* to complete the Application.
3. Upload Application documents. Upload the *Terms and Conditions*, *W-9*, *LMI Documentation* (if applicable), *EFT Form* and *EPA MFHR Developer Partnership Agreement* (if applicable).
4. The CRIS database will acknowledge your complete application via email.
5. NYSERDA will review the application. NYSERDA will contact the Partner and the Applicant to confirm application receipt.

NOTE: Submission of a completed application does not entitle the Applicant to MF NCP participation, nor payment of incentives. Final determination of project eligibility, NYSERDA's commitment of incentives, and payment of incentives resides with NYSERDA.

3.3.3 Contact Information

1. Eligibility, Intake and Application Inquiries - A team of individuals reviews each Application and responds to inquiries related to applications, eligibility and intake. Inquiries should be directed to NYSERDA at MFNCP@trcsolutions.com.
2. Project Inquiries - After receiving the Application Approval Letter, all project related correspondence must be directed to the Program Implementer's Case Manager assigned to the project. The Case Manager is the liaison between the Partner and NYSERDA, receives and reviews MF NCP submittals from the Partner, answers programmatic questions, and serves as daily contact informed of your project's programmatic progress. Contact information will be provided upon assignment.

3.4 Scoping Session

Once NYSERDA has approved the project’s application, the next step is for NYSERDA to schedule a Scoping Session with the Applicant, the Partner and the project team. The intent of the Scoping Session is to discuss general project information and review MF NCP requirements and responsibilities for each party. The Scoping Session may also identify additional documents that will need to be completed in order to establish the project in NYSERDA’s financial systems. Knowledgeable representatives from both the Partner and Applicant are required to attend the Scoping Session. After the Scoping Session, if all parties agree to move forward with this project in MF NCP, NYSERDA will send an Award Letter to the Applicant verifying that the application is approved to participate in the MF NCP. Final approval and issuance of the Award Letter are at NYSERDA’s discretion.

4 PERFORMANCE PATH WITH ENERGY STAR

The following section describes the requirements of the Performance Path with ENERGY STAR. Please reference Appendix A of this document for the Performance Path Process Flow Chart.

4.1 Submittal Requirements

In order for the Applicant to receive the NYSERDA incentives approved for their project, the Partner must submit the required documentation as detailed in the Stages below. These submittals will be reviewed by the MF NCP Implementer and NYSERDA. The three submittal Stages are described below. The incentives will only be paid if these submittals are approved by NYSERDA. All documents listed in this section must be submitted to the project’s assigned Case Manager and approved by NYSERDA.

4.1.1 Stage 1: Energy Modeling Submittal

The first NYSERDA incentive is available to the Applicant when the project has reached design completion and NYSERDA has approved the Energy Modeling Submittal. This submittal must show that the project achieves the Performance Target and meets the requirements of the *ENERGY STAR MFHR Performance Path*. If the energy model indicates the intended performance target will not be met, the Partner must contact the Case Manager prior to submittal.

The Energy Modeling Submittal must be submitted no later than 30 days after the Buildings Department’s final approval of New Building Architectural, Mechanical, and Plumbing plans. The Buildings Department’s approval shall be submitted to the project’s Case Manager upon receipt, but must be received by the submission of the Open Wall Submittal.

	Documents Required for Stage 1:	Document Obtained From:
<input type="checkbox"/>	Applicant-Partner Contract (signed by both parties)	Partner created document
<input type="checkbox"/>	LMI Documentation (if not previously submitted)	See Table 3.1
<input type="checkbox"/>	Buildings Department’s final New Building approval of Architectural, Mechanical, and Plumbing plans (if available at the time of submittal)	Permitting office that approved the Construction Documents
<input type="checkbox"/>	<i>Proposed BPP Tables</i>	Partner Portal
<input type="checkbox"/>	<i>Testing & Verification Worksheets</i>	EPA
<input type="checkbox"/>	Statement of Energy Design Intent	EPA
<input type="checkbox"/>	Energy Modeling files*	Partner created documents
<input type="checkbox"/>	Complete Construction Documents (CDs)	Applicant/Developer/Design Team

*For eQUEST models, please submit the .inp, .pd2, and .prd files

4.1.2 Stage 2: Open Wall Submittal

The second NYSERDA incentive is available to the Applicant when the project has reached the Open Wall milestone and NYSERDA has approved the Open Wall submittal and Site Inspection Report. The Partner must submit a complete Open Wall Submittal to the Case Manager at least two weeks before the project reaches the Open Wall Milestone. This gives the MF NCP Site Inspector time to properly schedule the Open Wall inspection. The purpose of this Inspection is to verify that typical Open Wall components are installed in accordance with MF NCP requirements. This includes measures from the *Proposed Building Performance Plan (BPP)* and *ENERGY STAR MFHR Performance Path Prerequisites*.

Documents Required for Stage 2:		Document Obtained From:
<input type="checkbox"/>	<i>Inspection Request Form</i>	Partner Portal
<input type="checkbox"/>	<i>Photo Template</i>	EPA
<input type="checkbox"/>	<i>Testing & Verification Worksheets</i>	EPA
<input type="checkbox"/>	Buildings Department’s final New Building approval of Architectural, Mechanical, and Plumbing plans (if available at the time of submittal) (if not previously submitted)	Permitting office that approved the Construction Documents

4.1.3 Stage 3: As-Built Submittal

The third NYSERDA incentive is available to the Applicant when the project construction is complete, and NYSERDA has approved the As-Built Submittal, and *Data Release Authorization Forms (DRAF)* or Addendum 1 documents, as detailed below. This submittal must show that the project meets or exceeds the performance target specified in its approved performance tier and meets the requirements of the *ENERGY STAR MFHR Performance Path Prerequisites*. If the project does not meet the performance target, the Partner must contact the Case Manager prior to submittal.

The Partner must work with the Applicant to determine whether to submit *DRAFTs* or to follow the Addendum 1 process.

- *DRAFTs*: All projects are eligible to follow the DRAF process. The Partner must submit the *Owner and Tenant Data Release Authorization Forms (DRAFTs)*, which must include utility information for all common areas of the building and a representative sample of apartments. The apartment sample shall consist of at least 10 percent of the apartments with no fewer than five (5) apartments. Of the 10 percent sample, at least one of each apartment type (e.g. studio, 1 bedroom, large 1 bedroom) must be represented.
- Addendum 1: To be eligible to follow the Addendum 1 process, Consolidated Edison Company of New York, Inc. (“Con Edison”) must be the project’s electric and/or gas utility. The *Addendum 1 Contract* gives the MF NCP Implementer access to the project’s Con Edison accounts and allows the Implementer to request and obtain data from Con Edison on the Applicant’s behalf. This replaces the need for *Tenant Data Release Authorization Forms*. The Partner must request a draft *Addendum 1 Contract* from their Case Manager and they must forward it to the Applicant for

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signature. The Applicant must sign two copies of the *Addendum 1 Contract*, which the Applicant or the Partner will mail to the Case Manager. The Applicant must complete the *Owner Data Release Authorization Form*, sign the Con Edison Letter of Authorization and send a copy of the building's Con Edison bill to the Partner. The Partner must then complete the application tab of Con Edison's Aggregated Consumption Data Request form, compile all documents, and submit to the Case Manager.

By opting to follow this alternative, the Applicant authorizes NYSERDA to withhold \$307.50* per borough-block-lot number (BBL#) from the final payment via an Addendum 1 (the number of BBL#s are determined by the Department of Buildings). The money withheld from the final payment offsets the cost incurred by NYSERDA to obtain the data from Con Edison. All data is kept strictly confidential and only used to estimate the energy performance of the building as a whole, not of individual apartments.

Documents Required for Stage 3:		Document Obtained From:
<input type="checkbox"/>	<i>As-Built BPP Tables</i>	Partner Portal
<input type="checkbox"/>	<i>Photo Template</i>	EPA
<input type="checkbox"/>	<i>Testing & Verification Worksheets</i>	EPA
<input type="checkbox"/>	Modeling files*	Partner created documents

*For eQUEST models, please submit the .inp, .pd2, and .prd files

DRAF Documents (not required if pursuing Addendum 1)

<input type="checkbox"/>	<i>Owner Data Release Authorization Forms</i> (for all common area utility accounts) (executed)	Partner Portal
<input type="checkbox"/>	<i>Tenant Data Release Authorization Forms</i> (executed)	Partner Portal
<input type="checkbox"/>	List of each apartment number and type (e.g., studio, 1 bedroom)	Partner created document

Addendum 1 Documents (only required if pursuing Addendum 1)

<input type="checkbox"/>	<i>Owner Data Release Authorization Forms</i> (for all common area utility accounts) (executed)	Partner Portal
<input type="checkbox"/>	Signed <i>Addendum 1 Contract</i> (Email scanned copy and mail 2 original hard copies)	Case Manager created document
<input type="checkbox"/>	Con Edison Letter of Authorization*	http://www.coned.com/energyefficiency/city_benchmarking.asp
<input type="checkbox"/>	Con Edison Spreadsheet - Aggregated Consumption Data Request	http://www.coned.com/energyefficiency/city_benchmarking.asp
<input type="checkbox"/>	Copy of Con Edison bill for project address and account numbers	Applicant/Developer
<input type="checkbox"/>	Partner must provide "lease-up" date (date when the building will be occupied)	Partner/Applicant

* The signatory of this Authorization Form must be the Con Edison utility account holder

4.2 Software Requirements

The modeling software used to determine the project's utility cost savings must satisfy the requirements detailed in ASHRAE 90.1-2010 Appendix G simulation and documentation requirements, as modified in the *ENERGY STAR MFHR Simulation Guidelines*. The *Simulation Guidelines* contains a list of examples of simulation programs that meet the requirements. The *Simulation Guidelines* can be obtained from the following ENERGY STAR website:

https://www.energystar.gov/index.cfm?c=bldrs_lenders_raters.nh_mfhr_guidance

4.3 Associated Documents

4.3.1 Building Performance Plan

The *Building Performance Plan (BPP)* is a comprehensive reporting tool that provides general information about the project, details regarding the project's scope of work and achievement of the performance target. In addition, the BPP collects project-level cost information for Tier 3 projects. The *BPP* is a Microsoft Excel spreadsheet that assists the Partner in analyzing model inputs. It incorporates the *ENERGY STAR MFHR Simulation Guidelines Appendix*, as well as tabs that report information to NYSERDA and the EPA. There is extensive linking between the tabs in this document to reduce the amount of data entry required of the Partner. All tabs must be completed to ensure the spreadsheet works properly. The more complicated tabs have numbered instructions on how to properly fill in the required information. Instruction tabs provide further information.

The cells and tabs are color-coded to guide the Partner in properly filling in the *BPP*. All cells that require the Partner to input information are blue. All grey and green tabs must be completed for Stage 1 and 3 submittals:

- *Introduction Tabs* (yellow): Provides general instructions for completing the *BPP*.
- *Version History Tab* (yellow): Provides information about the changes made in this version of the *BPP*.
- *Basic Info Tab* (grey): Enter basic building information. The Partner should fill out this section first since it is linked to other cells in the tool.
- *Model Inputs Tab* (grey): Enter details of how the baseline and proposed buildings were modeled. Follow the formatting guidelines presented as comments (red corners) where available.
- *Reporting Summary Tab* (grey): Enter general information about the project and the model. Provides specifics about the ASHRAE compliant design of the Baseline Building and the energy efficient design in the Proposed Design.
- *Detailed Measures Tab* (grey): A summary of all energy-saving measures and their associated savings.
- *Results from eQuest Tab* (grey): For eQuest users only, this worksheet is based upon the *Parms.csv* file that is generated upon simulation of your project. If those results are pasted into this worksheet according to the directions, a significant amount of this workbook will autofill. If the Partner used modeling software other than eQUEST, this tab does not need to be completed.
- *Simulation Guidelines Appendix Tabs* (green): These worksheets assist the Partner in calculating the inputs needed to model their projects in eQUEST or similar modeling tools. These tabs are required to be completed for the Stage 1 and Stage 3 submittals.

4.3.2 Testing and Verification Protocols and Worksheets

Projects following the Performance Path are required to comply with the *ENERGY STAR MFHR Testing & Verification Protocols*. The *ENERGY STAR MFHR Testing & Verification Protocols* are mandatory requirements for the inspection, testing, and verification of components related to the project's energy performance. All inspections, diagnostic tests, and photo documentation described within the Protocols are required for each of the participating project's components and systems. Results of testing and verification must be documented in the *ENERGY STAR MFHR Testing & Verification Worksheets* and *Photo Template*. The *Testing & Verification Protocols*, *Worksheets*, and *Photo Template* can be obtained from the following ENERGY STAR website:

https://www.energystar.gov/index.cfm?c=bldrs_lenders_raters.nh_mfhr_guidance

4.3.3 ENERGY STAR MFHR Performance Path Prerequisites

Projects following the Performance Path are required to comply with *the ENERGY STAR MFHR Performance Path Prerequisites*. Though the MF NCP Performance Path is performance-based and does allow trade-offs between various building components, the *ENERGY STAR MFHR Performance Path Prerequisites* provide a lower limit to the trade-offs for many building components. The *ENERGY STAR MFHR Performance Path Prerequisites* can be obtained from the following ENERGY STAR website: https://www.energystar.gov/index.cfm?c=bldrs_lenders_raters.nh_mfhr_guidance

4.3.4 Simulation Guidelines

The *ENERGY STAR MFHR Simulation Guidelines* is a companion document to ASHRAE 90.1 Appendix G. It contains MF NCP requirements to assist Partners in developing the Baseline Building Design, Proposed Building Design, and As-Built models for each project. The *Simulation Guidelines* can be obtained from the following ENERGY STAR website:

https://www.energystar.gov/index.cfm?c=bldrs_lenders_raters.nh_mfhr_guidance

All NYSERDA MF NCP projects following the Performance Path shall follow the EPA's ENERGY STAR Multifamily High Rise Simulation Guidelines, with the following revisions.

LIGHTING (Simulation Guidelines Section 3.6)

SG 3.6.2 In-unit Lighting

Replace the 1.1 W/ft² baseline and unspecified proposed lighting power density with 0.7 W/ft² in Simulation Guidelines Section 3.6.2, as shown below:

SG 3.6.2.2 In the Baseline Building Design, in-unit lighting power density of 0.7 W/ft² 1.1 W/ft² shall be incorporated into the model.

SG 3.6.2.3 In the Proposed Design, in-unit lighting power density of 0.7 W/ft² 1.1 W/ft² shall be modeled for rooms or portions of the rooms with no specified hardwired lighting.

VENTILATION AND INFILTRATION (Simulation Guidelines Section 3.12)

SG 3.12.1.2 Infiltration Rates

Replace Simulation Section 3.12.1.2 with the following:

Projects *may* pursue performance credit for air sealing. To receive this credit, the actual air leakage rate measured during the inspection phase of the project as part of the *Testing and Verification Protocols* conducted on the building, must be below 0.4 cfm/ft² at 75 Pa. To model the energy savings, the air leakage rate used to calculate the infiltration rates for the *Baseline Building Design* shall be 0.4 cfm/ft² at 75 Pa. In the Modeling submittal, the air leakage rate used to calculate the infiltration rates must be no less than 0.35 CFM/ft² at 75 Pa for the *Proposed Design*. In the As-Built model, the actual measured air leakage rate shall be used to calculate the infiltration rates for the *Proposed Design*. The air leakage rate of the building envelope shall be converted to appropriate units for the simulation program using one of the methods in ASHRAE 90.1-2013 Section G3.1.1.4.

Note: Currently, the ENERGY STAR MFHR Program does not allow this measure for projects following ASHRAE 90.1-2010. As such, projects following ASHRAE 90.1-2010 must be able to meet the MFHR performance rating target of 15% without this credit.

SG 3.12.2 Baseline Building Design-Ventilation

Replace Simulation Guidelines Section 3.12.2.1 and 3.12.2.2 with the following:

SG 3.12.2.1 Local Mechanical Exhaust. The Baseline Building Design local mechanical exhaust in all dwelling unit bathrooms and kitchens shall be modeled using the recommended continuous/intermittent rates as listed in ASHRAE 62.2-2010 (5 ACH/100 CFM in kitchens and 20 CFM/50 CFM in bathrooms). If not specified otherwise, intermittent exhaust shall be modeled with a 2 hr/day runtime, or converted to an equivalent 24 hr/day runtime if combined with whole-unit ventilation in the model.

SG 3.12.2.2 Whole-Unit Ventilation. The Baseline Building Design whole-unit ventilation rates in all dwelling units shall be modeled using the recommended rates as listed in ASHRAE 62.2-2010.

FAN MOTOR ENERGY (Simulation Guidelines Section 3.14)

SG 3.14.5 Demand Control Ventilation

Replace Simulation Guidelines Section 3.14.5 with the following:

SG 3.14.5.1 Enclosed Parking Garages

Exhaust fans serving enclosed parking garages may be required to have demand control ventilation as per mandatory section 6.4.3.4.5. Fan energy savings in the enclosed parking garages must be calculated as follows:

Baseline

$$E_{\text{base}} = \text{CFM}_{\text{ex,base}} \times P_{\text{fan, [W/CFM]}} \times 365 \text{ [days/yr]} \times (8.4 \text{ [hrs/day]} + \text{FFLP}_{\text{base}} \times 15.6 \text{ [hrs/day]})$$

where,

E_{base} [kWh] = annual energy consumption of the baseline garage exhaust fan

$\text{CFM}_{\text{ex,base}}$ = the lesser of specified exhaust CFM and $A[\text{ft}^2] \times 1.5[\text{CFM}/\text{ft}^2]$, where A is the floor area of garage

P_{fan} [kW/CFM]= design exhaust fan power; $P_{fan}=0.0003$

$FFLP_{base}$ = Fraction of Full Load Power at reduced air flow rate ($FFLP=0.5$ for installations where demand control ventilation is required by Section 6.4.3.4.5; $FFLP=1$ for installations subject to exceptions to 6.4.3.4.5)

8.4 [hrs/day] = hours per day when exhaust fan runs at full CFM_{ex}

15.6 [hrs/day] = hours per day when contaminant level allows lower CFM

Proposed

$E_{prop} = BHP \times 0.746[kW/bhp] / Eff \times 365[days/yr] \times (8.4 [hrs/day] + FFLP_{prop} \times 15.6 [hrs/day])$
where,

$E_{prop}[kWh]$ = annual energy consumption of the proposed garage exhaust fan

BHP = break horse power of specified exhaust fan

Eff = electrical efficiency of fan motor

CFM_{ex,prop} = specified design exhaust CFM

$FFLP_{prop}$ = fraction of Full Load Power determined from Figure 6-V of 90.1 2007 User's Manual copied below, based on the specified flow control method and the minimum Percent Design CFM, equal to the ration of design exhaust CFM and the minimum CMF allowed by the specified controls. The minimum CFM cannot be below 0.05 CFM/ft² in enclosed parking garages, per Section 404.2 of Mechanical Code of New York State.

SG 3.14.5.2 Other Demand Control Ventilation Applications

Fan motor energy savings from other demand control ventilation applications may be modeled by reducing fan runtime in the Proposed Design compared to the Baseline. If Demand Control Ventilation is modeled in the Proposed Design, the baseline ventilation CFM must be based on the lesser of the design ventilation flow rates required by the applicable code and the actual specified flow rate. The modeled reduction in runtime hours must be documented and is subject to approval by the rating authority.

ENERGY RATE (Simulation Guidelines Section 3.16)

Replace Simulation Guidelines Section 3.16.1 with the following:

SG 3.16.1 The following average annual prices must be used for performance rating calculations of all projects:

Electricity: 0.1858 \$/kWh (1)

Natural Gas: 13.22 \$/Mcf (2)

Oil: 2.82 \$/gallon (3)

(1) One-year state-wide average, U.S. DOE Energy Information Administration residential data. "Electric Power Monthly", summarized at <https://www.nyserda.ny.gov/Cleantech-and-Innovation/Energy-Prices>

(2) One-year state-wide average, U.S. DOE Energy Information Administration residential data. "Natural Gas Navigator", summarized at <https://www.nyserda.ny.gov/Cleantech-and-Innovation/Energy-Prices>

(3) NYSERDA, "New York Home Heating Oil Price Monitoring Program", (Posted #2 Fuel Oil Credit Price), summarized at <https://www.nyserdera.ny.gov/Cleantech-and-Innovation/Energy-Prices>

4.4 Quality Control (QC) Processes

NYSERDA and its MF NCP Implementer perform two different types of QC on each MF NCP project: technical reviews and site inspections. This section explains how these apply to projects following the Performance Path.

4.4.1 Technical Reviews

The Technical Review process occurs at the Modeling and As-Built stages of each Performance Path project. The intent is to provide a thorough technical review of the submittal documents and verify that the project is meeting the performance target, in addition to meeting all requirements of the *ENERGY STAR MFHR Performance Path Prerequisites*. Failure to meet the performance target and all requirements of the *ENERGY STAR MFHR Performance Path Prerequisites* will result in termination of the project.

At any stage if the submittal is not accepted, the Technical Reviewer, a NYSERDA Contractor, will provide comments in a review document identifying the issues of each submittal revision. The Partner should review all comments, and find and correct the errors causing each identified issue or explain why an identified issue is justified. When all issues are resolved, the Partner should respond to the Technical Reviewer's comments in the review document and include it in the next revision of the submittal.

It is the Partner's responsibility to identify any modeling issues causing the identified issues and to resolve them. MF NCP staff are available to provide any needed technical assistance if the Partner is having difficulties. However, we encourage you first to use the following resources to assist you during the technical review process:

- *Partner Guidance for Technical Review Process*: This document is available to all Partners on the MF NCP Partner Portal to assist the Partner throughout the entire technical review submittal process. It includes information about internal QC procedures, common modeling issues, strategies for resolving issues, and how to verify measure savings are reasonable.
- *End Use Comparison Tool*: This tool allows Partners to compare the energy consumption of the project they are currently working on to the average energy consumption of past NYSERDA funded multifamily projects. The tool will flag any end use that falls outside of the typical range.

All Partners are expected to QC their work and to submit a high quality model along with fully completed tools and documents. Partner status may be affected if a good-faith effort is not made. If at any time during the Technical Review process the Technical Reviewer or Case Manager deems the submittal as incomplete or missing information, the submittal will be rejected and sent back to the Partner to resubmit.

At the Energy Modeling Stage, the Technical Reviewer will review the energy model, *Building Performance Plan*, and *Testing & Verification Worksheets* to verify that all requirements listed in the *ENERGY STAR MFHR Performance Path Prerequisites* have been met in addition to meeting the performance target. Additionally, the Technical Reviewer will verify that simulation outputs are

reasonable, evaluate the general quality of the model, review submittal documents to ensure that ASHRAE 90.1 Appendix G and the *ENERGY STAR MFHR Simulation Guidelines* were followed, and evaluate whether or not the projected savings are consistent with the features of the design.

At the As-Built stage, the Technical Reviewer will also review the model, *Building Performance Plan*, and *Testing & Verification Worksheets* as during the Modeling stage. Additionally, the Technical Reviewer will review the *ENERGY STAR MFHR Photo Template* to ensure that all submittals reflect the installed conditions.

4.4.2 Site Inspections

Open Wall site inspections are performed by a MF NCP Site Inspector on all Performance Path projects. This Site Inspector may be a staff member of the MF NCP Implementation Team, one of NYSERDA's Quality Assurance Contractors, or NYSERDA.

Partner and Applicant representatives are required to attend the site inspections. These representatives must have detailed knowledge of the project and must be prepared to answer any project-related questions that arise.

The Partner must submit the Open Wall Submittal to the Case Manager at least two weeks prior to the Open Wall Milestone. The Partner must remain in communication with the construction site superintendent or construction manager regarding the construction schedule and any anticipated deviations that may affect the Inspection.

The Open Wall Milestones are based on the type of installed above-grade wall insulation:

- Exterior insulation: Inspection should occur when approximately 30% of windows have been installed. This allows the MF NCP Site Inspector to view cross sections of the above-grade wall assemblies at window rough openings, as well as air-sealing details at installed windows.
- Insulated concrete form (ICF): Inspection should occur when approximately 30% of windows have been installed. This allows the MF NCP Site Inspector to view cross sections of the above-grade wall assemblies at window rough openings, as well as air-sealing details at installed windows.
- Exterior Insulation and Finishing Systems (EIFS): Inspection should occur when 30% of the EIFS has been installed.
- Interior insulation only: Inspection should occur when 30% of insulation is installed and visible.
- Exterior insulation with interior insulation: Inspection should occur when 30% of interior insulation is installed and visible.
- Pre-fabricated exterior wall assemblies and modular construction: Inspection should occur when 30% of the pre-fabricated assemblies have been installed on-site. The Partner may need to visit the pre-fabrication facility to complete required testing and verification. The Partner must provide photo documentation of components that will not be visible during the Open Wall inspection.

The Partner must contact the Case Manager early in construction to determine the Open Wall Milestone for projects with above-grade wall insulation types or combinations not listed here.

If the Partner fails to submit the Open Wall Submittal at least two weeks prior to the Open Wall Milestone or the Partner/Applicant is unresponsive to attempts to schedule the Open Wall inspection, the project will be required to expose sections of walls for inspection and all remaining incentive payments will be in jeopardy.

The MF NCP Site Inspector will ask to see the construction drawings while on site to verify the planned installation of any components that the MF NCP Site Inspector cannot inspect because either it has been covered or installation has not commenced.

For any completed component no longer visible during the inspection (below-grade exterior insulation, roof insulation, pre-fabricated assembly items, etc.), the Partner must submit photographs using the *ENERGY STAR MFHR Photo Template* before the Inspection Report can be approved.

The Site Inspector will inspect all installed measures from the Detailed Measures tab of the *BPP* table, as well as all installed *ENERGY STAR MFHR Performance Path Prerequisites*. The Site Inspector will develop a report detailing the Open Wall Inspection findings, which the Case Manager will return to the Partner. The report may contain Additional Requirements or Action Items for measures and prerequisites. Additional Requirements can be resolved at the As-Built submittal. Action Items must be resolved before the Open Wall Incentive can be paid. The report will provide an explanation of what is required to resolve Additional Requirements and Action Items.

If severe violations of the *ENERGY STAR MFHR Performance Path Prerequisites* are discovered during this inspection, NYSEDA and its representatives reserve the right to request that the Partner instruct the construction team to remove sections of sealed walls in order to fully inspect insulation and air sealing components. Additionally, NYSEDA and its representatives reserve the right to require a second Open Wall inspection take place once all of the required corrections are complete.

Failure to meet the requirements of this Open Wall Inspection may result in termination of the project.

4.5 Additional Requirements

4.5.1 ENERGY STAR Benchmarking

Building performance is as much a function of proper building management as the design and construction. Therefore, after earning the ENERGY STAR for the project, the developer or building owner must commit to benchmarking their building in Portfolio Manager for a period of two years in order to maintain their listing on the ENERGY STAR website.

Portfolio Manager is an online, interactive energy management tool that allows Applicants to measure and track their building's energy and water consumption, identify investment priorities, and verify improvements over time. Multifamily housing communities can use Portfolio Manager to track weather-normalized energy use intensity (EUI), energy costs, greenhouse gas emissions, and water consumption. For more information on how to use Portfolio Manager, see the Portfolio Manager – Multifamily Housing Quick Reference Guide document at the following ENERGY STAR website: https://www.energystar.gov/ia/business/multifam_housing/QRG_Multifamily_Housing.pdf

To accomplish this goal, the developer, building owner, or an entity working on their behalf, must be capable of evaluating the utility consumption of the residential-associated spaces independent of any commercial/retail space. These non-residential associated parts of the building shall be separately metered (or sub-metered) for electricity, gas, fuel oil, water, steam, and hot water for domestic and/or space heating purposes. The developer or building owner should also work with tenants to secure consumption information. If the building is direct-metered for utilities to the apartments, the building owner must secure signed releases from individual apartment occupants to allow for benchmarking. In addition, the building owner must provide a signed release for the common area/whole-building utility

meters. All data uploaded to Portfolio Manager is strictly confidential and only used to estimate the energy performance of the building as a whole, not of individual apartments.

NOTE: Receipt of NYSERDA incentives and the ENERGY STAR will not be delayed due to this EPA requirement.

4.5.2 Gut Rehabilitation Projects

Gut rehab projects following the Performance Path must meet the same requirements as newly constructed buildings. There are no allowances or exceptions for gut rehab projects under the Performance Path.

However, the Performance Path relies on the modeling requirements of ASHRAE 90.1-2010 Appendix G, as supplemented by the *Simulation Guidelines*. ASHRAE 90.1-2010 Appendix G Table G3.1, however, does allow the following adjustment: for existing building envelopes, the baseline building design shall reflect existing conditions prior to any revisions that are part of the scope of work being evaluated.

5 PASSIVE HOUSE INSTITUTE US (PHIUS)

The following section describes the requirements of the Passive House Institute US (PHIUS) path. Please reference Appendix A of this document for the PHIUS path Process Flow Chart.

5.1 Submittal Requirements

In order for the Applicant to receive the NYSERDA incentives approved for their project, the Partner must submit the required documentation as detailed in the Stages below. These submittals will be reviewed by the MF NCP Implementer and NYSERDA. The three submittal Stages are described below. The incentives will only be paid if these submittals are approved by NYSERDA. All documents listed in this section must be submitted to the project’s assigned Case Manager and approved by NYSERDA.

5.1.1 Stage 1: Energy Modeling Submittal

The first NYSERDA incentive is available to the Applicant when the project has reached design completion and NYSERDA has approved the Energy Modeling Submittal. This submittal must show that the project achieves the performance thresholds and meets the requirements of the PHIUS+ Multifamily Certification Standard. If the energy model does not project the required performance thresholds, the Partner must contact the Case Manager prior to submittal. The Applicant must show that a Certified Passive House Consultant (CPHC) and a PHIUS+ Verifier have been hired to work on this project in order to be eligible for this incentive. Additionally, the project must be pre-certified by PHIUS prior to submittal to NYSERDA.

The Energy Modeling Submittal must be submitted no later than 30 days after the Buildings Department’s final approval of New Building Architectural, Mechanical, and Plumbing plans. The Buildings Department’s approval shall be submitted to the project’s Case Manager upon receipt, but must be received by the submission of the Open Wall Submittal.

	Documents Required for Stage 1:	Document Obtained From:
<input type="checkbox"/>	Applicant-Partner Contract (signed by both parties)	Partner created document
<input type="checkbox"/>	LMI Documentation (if not previously submitted)	See Table 3.1
<input type="checkbox"/>	Buildings Department’s final New Building approval of Architectural, Mechanical, and Plumbing plans (if available at the time of submittal)	Permitting office that approved the Construction Documents
<input type="checkbox"/>	<i>Passive BPP</i>	Partner Portal
<input type="checkbox"/>	WUFI v 3.0.3.0 modeling files	PHIUS
<input type="checkbox"/>	Proof of Pre-certification	PHIUS
<input type="checkbox"/>	Complete Construction Documents (CDs)	Applicant/Developer/Design Team

5.1.2 Stage 2: Open Wall Submittal

The second NYSERDA incentive is available to the Applicant when NYSERDA has approved the Open Wall Submittal and Site Inspection Report. The Partner must submit a complete Open Wall Submittal to the Case Manager at least two weeks before the project reaches the Open Wall Milestone. This gives the MF NCP Site Inspector time to properly schedule the Open Wall inspection. The purpose of this Inspection is to verify that typical Open Wall components are installed in accordance with MF NCP

requirements. This includes measures from the proposed *Passive Building Performance Plan (Passive BPP)*.

Documents Required for Stage 2:		Document Obtained From:
<input type="checkbox"/>	<i>Inspection Request Form</i>	Partner Portal
<input type="checkbox"/>	<i>Photo Template</i>	EPA
<input type="checkbox"/>	<i>PHIUS+ Quality Control Workbook for Multifamily Projects</i>	PHIUS
<input type="checkbox"/>	Buildings Department's final New Building approval of Architectural, Mechanical, and Plumbing plans (if available at the time of submittal) (if not previously submitted)	Permitting office that approved the Construction Documents

5.1.3 Stage 3: As-Built Submittal

The third NYSERDA incentive is available to the Applicant when the project construction is complete and NYSERDA has approved the As-Built Submittal, and *Data Release Authorization Forms (DRAF)* or Addendum 1 documents. This submittal must show that the project meets or exceeds the performance thresholds specified in its approved performance tier and meets the requirements of the PHIUS+ Multifamily Certification Standard. The submitted WUFI model file must have been reviewed and approved by PHIUS prior to submittal to NYSERDA. If the project does not meet the performance thresholds, the Partner must contact the Case Manager prior to submittal.

The Partner must work with the Applicant to determine whether to submit *DRAFTs* or to follow the Addendum 1 process.

- *DRAFTs*: All projects are eligible to follow the DRAF process. The Partner must submit the *Owner and Tenant Data Release Authorization Forms (DRAFTs)*, which must include utility information for all common areas of the building and a representative sample of apartments. The apartment sample shall consist of at least 10 percent of the apartments with no fewer than five (5) apartments. Of the 10 percent sample, at least one of each apartment type (e.g. studio, 1 bedroom, large 1 bedroom) must be represented.
- Addendum 1: To be eligible to follow the Addendum 1 process, Con Edison must be the project's electric and/or gas utility. The *Addendum 1 Contract* gives the MF NCP Implementer access to the project's Con Edison accounts and allows the Implementer to request and obtain data from Con Edison on the Applicant's behalf. This replaces the need for *Tenant Data Release Authorization Forms*. The Partner must request a draft *Addendum 1 Contract* from their Case Manager and they must forward it to the Applicant for signature. The Applicant must sign two copies of the *Addendum 1 Contract*, which the Applicant or the Partner will mail to the Case Manager. The Applicant must complete the *Owner Data Release Authorization Form*, sign the Con Edison Letter of Authorization and send a copy of the building's Con Edison bill to the Partner. The Partner must then complete the application tab of Con Edison's Aggregated Consumption Data Request form, compile all documents, and submit to the Case Manager.

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By opting to follow this alternative, the Applicant authorizes NYSERDA to withhold \$307.50* per borough-block-lot number (BBL#) from the final payment via an Addendum 1 (the number of BBL#s are determined by the Department of Buildings). The money withheld from the final payment offsets the cost incurred by NYSERDA to obtain the data from Con Edison. All data is kept confidential as per NYSERDA's guidelines and regulations, and only used to estimate the energy performance of the building as a whole, not of individual apartments.

Documents Required for Stage 3:

Document Obtained From:

<input type="checkbox"/>	As-Built Passive BPP	Partner Portal
<input type="checkbox"/>	<i>Photo Template</i>	EPA
<input type="checkbox"/>	<i>PHIUS+ Quality Control Workbook for Multifamily Projects</i>	PHIUS
<input type="checkbox"/>	WUFI v 3.0.3.0 modeling files	PHIUS
<input type="checkbox"/>	PHIUS+ Certificate	PHIUS

DRAF Documents (not required if pursuing Addendum 1)

<input type="checkbox"/>	<i>Owner Data Release Authorization Forms</i> (for all common area utility accounts) (executed)	Partner Portal
<input type="checkbox"/>	<i>Tenant Data Release Authorization Forms</i> (executed)	Partner Portal
<input type="checkbox"/>	List of each apartment number and type (e.g., studio, 1 bedroom)	Partner created document

Addendum 1 Documents (only required if pursuing Addendum 1)

<input type="checkbox"/>	<i>Owner Data Release Authorization Forms</i> (for all common area utility accounts) (executed)	Partner Portal
<input type="checkbox"/>	Signed <i>Addendum 1 Contract</i> (Email scanned copy and mail 2 original hard copies)	Case Manager created document
<input type="checkbox"/>	Con Edison Letter of Authorization*	http://www.coned.com/energyefficiency/city_benchmarking.asp
<input type="checkbox"/>	Con Edison Spreadsheet - Aggregated Consumption Data Request	http://www.coned.com/energyefficiency/city_benchmarking.asp
<input type="checkbox"/>	Copy of Con Edison bill for project address and account numbers	Applicant/Developer
<input type="checkbox"/>	Partner must provide "lease-up" date (date when the building will be occupied)	Partner/Applicant

* The signatory of this Authorization Form must be the Con Edison utility account holder

5.2 Software Requirements

All MF NCP projects pursuing the PHIUS path must model the project using WUFI Version 3.0.3 and following PHIUS+ Multifamily Certification Standard Book V1.01. The use of other versions of WUFI software or certification standard is subject to MF NCP review, must receive pre-approval by NYSERDA, and may result in a change to the performance threshold.

5.3 Associated Documents

5.3.1 Passive Building Performance Plan

The *Passive Building Performance Plan* (Passive BPP) is a comprehensive reporting tool that provides details regarding the project's scope of work and achievement of the performance thresholds. In addition, the *Passive BPP* collects general information about the project, cost information about the project, and verification that a Certified Passive House Consultant (CPHC) and a PHIUS+ Verifier have been hired by the Applicant.

5.3.2 Testing & Verification documents

In addition to following all requirements of the PHIUS Passive House certification, projects following the PHIUS path are also required to document the results of testing and verification in the *ENERGY STAR MFHR Photo Template*. The *Photo Template* can be obtained from the following ENERGY STAR website:

https://www.energystar.gov/index.cfm?c=bldrs_lenders_raters.nh_mfhr_guidance

5.4 Quality Control (QC) Processes

NYSERDA and its MF NCP Implementer perform two different types of QC on each MF NCP project: technical reviews and site inspections. This section explains how these apply to projects following the PHIUS path.

5.4.1 Technical Review

The Technical Review process occurs at the Modeling and As-Built stages of each PHIUS path project. The intent is to provide a thorough technical review of the submittal documents and verify that the project is meeting all MF NCP requirements. Failure to meet the performance thresholds and all MF NCP requirements will result in termination of the project.

At any stage, if the submittal is not accepted, the Technical Reviewer, a NYSERDA Contractor, will provide comments in a review document identifying the issues of each submittal revision. The Partner should review all comments, and find and correct the errors causing each identified issue or explain why an identified issue is justified. When all issues are resolved, the Partner should respond to the Technical Reviewer's comments in the review document and include it in the next revision of the submittal.

All Partners are expected to QC their work and to submit a high quality model along with fully completed tools and documents. Partner status may be affected if a good-faith effort is not made. If at any time during the Technical Review process the Technical Reviewer or Case Manager deems the submittal as incomplete or missing significant information, the submittal will be rejected and sent back to the Partner to resubmit.

At the Modeling Stage, the Technical Reviewer will review the model, the *Passive Building Performance Plan*, and *PHIUS+ Quality Control Workbook for Multifamily Projects* to verify that all MF NCP requirements have been met, in addition to meeting the performance thresholds. Additionally, the Technical Reviewer will verify that simulation outputs are reasonable, evaluate the general quality of the model, and evaluate whether or not the projected savings are consistent with the features of the design.

At the As-Built stage, the Technical Reviewer will also review the model, the *Passive Building Performance Plan*, and *PHIUS+ Quality Control Workbook for Multifamily Projects* as during the Modeling stage. Additionally, the Technical Reviewer will review the *ENERGY STAR MFHR Photo Template* to ensure that all submittals reflect the installed conditions.

5.4.2 Site Inspections

Open Wall inspections are performed by a MF NCP Site Inspector on all PHIUS path projects. This Site Inspector may be a staff member of the MF NCP Implementation Team, one of NYSERDA's Quality Assurance Contractors, or NYSERDA.

Partner and Applicant representatives are required to attend these site inspections. These representatives must have detailed knowledge of the project and must also be prepared to answer any project-related questions that arise.

The Partner must submit the Open Wall Submittal to the Case Manager at least two weeks prior to the Open Wall Milestone. The Partner must remain in communication with the construction site superintendent or construction manager regarding the construction schedule and any anticipated deviations that may affect the Inspection.

The Open Wall Milestones are based on the type of installed above-grade wall insulation:

- Exterior insulation: Inspection should occur when approximately 30% of windows have been installed. This allows the MF NCP Site Inspector to view cross sections of the above-grade wall assemblies at window rough openings, as well as air-sealing details at installed windows.
- Insulated concrete form (ICF): Inspection should occur when approximately 30% of windows have been installed. This allows the MF NCP Site Inspector to view cross sections of the above-grade wall assemblies at window rough openings, as well as air-sealing details at installed windows.
- Exterior Insulation and Finishing Systems (EIFS): Inspection should occur when 30% of the EIFS has been installed.
- Interior insulation only: Inspection should occur when 30% of insulation is installed and visible.
- Exterior insulation with interior insulation: Inspection should occur when 30% of interior insulation is installed and visible.
- Pre-fabricated exterior wall assemblies and modular construction: Inspection should occur when 30% of the pre-fabricated assemblies have been installed on-site. The Partner may need to visit the pre-fabrication facility to complete required testing and verification. The Partner must provide photo documentation of components that will not be visible during the Open Wall inspection.

The Partner must contact the Case Manager early in construction to determine the Open Wall Milestone for projects with above-grade wall insulation types or combinations not listed here.

If the Partner fails to submit the Open Wall Submittal at least two weeks prior to the Open Wall Milestone or the Partner/Applicant is unresponsive to attempts to schedule the Open Wall inspection, the project will be required to expose sections of walls for inspection and all remaining incentive payments will be in jeopardy.

The MF NCP Site Inspector will ask to see the construction drawings while on site to verify any component listed on the Open Wall Checklist that the MF NCP Site Inspector cannot inspect because either it has been covered or installation has not commenced.

For any completed component no longer visible during the inspection (below-grade exterior insulation, roof insulation, pre-fabricated assembly items, etc.), the Partner must submit photographs using the *ENERGY STAR MFHR Photo Template* before the Inspection Report can be approved.

The Site Inspector will inspect all installed measures from the *Passive BPP*. The Site Inspector will develop a report detailing the Open Wall Inspection findings, which the Case Manager will return to the Partner. The report may contain Additional Requirements or Action Items for measures and prerequisites or requirements. Additional Requirements can be resolved at the As-Built submittal. Action Items must be resolved before the Open Wall Incentive can be paid. The report will provide an explanation of what is required to resolve Additional Requirements and Action Items.

If severe violations of the *Passive BPP* are discovered during this inspection, NYSERDA and its representatives reserve the right to request that the Partner instruct the construction team to remove sections of sealed walls in order to fully inspect insulation and air sealing components. Additionally, NYSERDA and its representatives reserve the right to require a second Open Wall inspection take place once all of the required corrections are complete.

Failure to meet the requirements of this Open Wall Inspection may result in termination of the project

5.5 Additional Requirements

5.5.1 Modeling Guidelines

All MF NCP projects following the PHIUS path shall follow the PHIUS+ Multifamily Certification Standard Book V1.01, with the following revisions:

- When calculating the Primary Energy Demand metric to determine a project's compliance with the performance thresholds specified in its approved performance tier, the project may choose to exclude the energy use associated with optional amenities, including dishwashers, laundry facilities, and exterior lighting. If excluded, however, that component must, at minimum, meet the modified prescriptive path requirement for that component as defined in the *Modified Prescriptive Path Requirements* (e.g., dishwashers and clothes washers must be ENERGY STAR® certified). Additional optional amenities, such as vending machines, on-site gym equipment, etc. may be excluded with prior NYSERDA approval.
- Any deviations from program defaults for operating assumptions, such as site-to-source conversion, plug loads and hours of operation, are subject to review and must be specifically noted in the *Passive BPP*.
- If a project includes an HVAC configuration or system type that cannot be explicitly modeled in the WUFI software, the Partner or CPHC must work directly with PHIUS staff to ensure that the energy use of that system is accurately captured in the model.
- Any calculations performed outside of the approved version of WUFI, including but not limited to HVAC systems that are not directly supported, capturing power of continuously running fans integral to heating/cooling units, methodology for aggregating heating systems of different type /efficiency for input into WUFI, etc. must be included in the NYSERDA submittal and are subject to NYSERDA approval.

5.5.2 ENERGY STAR Benchmarking

NYSERDA requires benchmarking for all PHIUS path projects. Building performance is as much a function of proper building management as the energy conservation measures incorporated into the structure. Therefore, after completing the MF NCP, the developer or building owner must commit to benchmarking their building in Portfolio Manager.

Portfolio Manager is an online, interactive energy management tool that allows Applicants to measure and track their building's energy and water consumption, identify investment priorities, and verify improvements over time. Multifamily housing communities can use Portfolio Manager to track weather-normalized energy use intensity (EUI), energy costs, greenhouse gas emissions, and water consumption. For more information on how to use Portfolio Manager, see the Portfolio Manager – Multifamily Housing Quick Reference Guide document at the following ENERGY STAR website: https://www.energystar.gov/ia/business/multifam_housing/QRG_Multifamily_Housing.pdf

To accomplish this goal, the developer, building owner, or an entity working on their behalf, must be capable of evaluating the utility consumption of the residential-associated spaces independent of any commercial/retail space. These non-residential associated parts of the building shall be separately metered (or sub-metered) for electricity, gas, fuel oil, water, steam, and hot water for domestic and/or space heating purposes. The developer or building owner should also work with tenants to secure consumption information. If the building is direct-metered for utilities to the apartments, the building owner must secure signed releases from individual apartment occupants to allow for benchmarking. In addition, the building owner must provide a signed release for the common area/whole-building utility meters. All data uploaded to Portfolio Manager is strictly confidential and only used to estimate the energy performance of the building as a whole, not of individual apartments.

6 PASSIVE HOUSE INSTITUTE (PHI)

The following section describes the requirements of the Passive House Institute (PHI) path. Please reference Appendix A of this document for the PHI Path Process Flow Chart.

6.1 Submittal Requirements

In order for the Applicant to receive the NYSERDA incentives approved for their project, the Partner must submit the required documentation as detailed in the Stages below. These submittals will be reviewed by the MF NCP Implementer and NYSERDA. The three submittal Stages are described below. The incentives will only be paid if these submittals are approved by NYSERDA. All documents listed in this section must be submitted to the project’s assigned Case Manager and approved by NYSERDA.

6.1.1 Stage 1: Energy Modeling Submittal

The first NYSERDA incentive is available to the Applicant when the project has reached design completion and NYSERDA has approved the Energy Modeling Submittal. This submittal must show that the project achieves the primary energy demand thresholds and meets the requirements of PHI Passive House standard. If the energy model does not project the performance threshold, the Partner must contact the Case Manager prior to submittal. The Applicant must show that a PHI Consultant or Designer and PHI Certifier have been hired to work on this project in order to be eligible for this incentive. Additionally, the submitted PHPP modeling file must have been reviewed and found to be compliant with the PHI standard by both the PHI Consultant or Designer and Certifier prior to submittal to NYSERDA.

The Energy Modeling Submittal must be submitted no later than 30 days after the Buildings Department’s final approval of New Building Architectural, Mechanical, and Plumbing plans. The Buildings Department’s approval shall be submitted to the project’s Case Manager upon receipt, but must be received by the submission of the Open Wall Submittal.

Documents Required for Stage 1:		Document Obtained From:
<input type="checkbox"/>	Applicant-Partner Contract (signed by both parties)	Partner created document
<input type="checkbox"/>	LMI Documentation (if not previously submitted)	See Table 3.1
<input type="checkbox"/>	Buildings Department’s final New Building approval of Architectural, Mechanical, and Plumbing plans (if available at the time of submittal)	Permitting office that approved the Construction Documents
<input type="checkbox"/>	Proof of Pre-certification	PHI
<input type="checkbox"/>	<i>Passive BPP</i>	Partner Portal
<input type="checkbox"/>	PHPP v9.5 modeling files	PHI
<input type="checkbox"/>	Complete Construction Documents (CDs)	Applicant/Developer/Design Team

6.1.2 Stage 2: Open Wall Submittal

The second NYSERDA incentive is available to the Applicant when NYSERDA has approved the Open Wall Submittal and Site Inspection Report. The Partner must submit a complete Open Wall Submittal to the Case Manager at least two weeks before the project reaches the Open Wall Milestone. This gives the MF NCP Site Inspector time to properly schedule the Open Wall inspection. The purpose of this Inspection is to verify that typical Open Wall components are installed in accordance with MF NCP

requirements. This includes measures from the proposed *Passive Building Performance Plan (Passive BPP)*.

Documents Required for Stage 2:		Document Obtained From:
<input type="checkbox"/>	<i>Inspection Request Form</i>	Partner Portal
<input type="checkbox"/>	<i>Photo Template</i>	EPA
<input type="checkbox"/>	<i>Testing & Verification Worksheets</i>	EPA
<input type="checkbox"/>	Buildings Department’s final New Building approval of Architectural, Mechanical, and Plumbing plans (if available at the time of submittal) (if not previously submitted)	Permitting office that approved the Construction Documents

6.1.3 Stage 3: As-Built Submittal

The third NYSERDA incentive is available to the Applicant when the project construction is complete and NYSERDA has approved the As-Built Submittal, and *Data Release Authorization Forms (DRAF)* or Addendum 1 documents. This submittal must show that the project meets or exceeds the performance thresholds specified in its approved performance tier and meets the requirements of the PHI Passive House standard. The submitted PHPP model file must have been reviewed and approved by both the PHI Consultant/Designer and Certifier prior to submittal to NYSERDA. If the project does not meet the performance thresholds, the Partner must contact the Case Manager prior to submittal.

The Partner must work with the Applicant to determine whether to submit *DRAFTs* or to follow the Addendum 1 process.

- *DRAFTs*: All projects are eligible to follow the DRAF process. The Partner must submit the *Owner and Tenant Data Release Authorization Forms (DRAFTs)*, which must include utility information for all common areas of the building and a representative sample of apartments. The apartment sample shall consist of at least 10 percent of the apartments with no fewer than five (5) apartments. Of the 10 percent sample, at least one of each apartment type (e.g. studio, 1 bedroom, large 1 bedroom) must be represented.
- Addendum 1: To be eligible to follow the Addendum 1 process, Con Edison must be the project’s electric and/or gas utility. The *Addendum 1 Contract* gives the MF NCP Implementer access to the project’s Con Edison accounts and allows the Implementer to request and obtain data from Con Edison on the Applicant’s behalf. This replaces the need for *Tenant Data Release Authorization Forms*. The Partner must request a draft *Addendum 1 Contract* from their Case Manager and they must forward it to the Applicant for signature. The Applicant must sign two copies of the *Addendum 1 Contract*, which the Applicant or the Partner will mail to the Case Manager. The Applicant must complete the *Owner Data Release Authorization Form*, sign the Con Edison Letter of Authorization and send a copy of the building’s Con Edison bill to the Partner. The Partner must then complete the application tab of Con Edison’s Aggregated Consumption Data Request form, compile all documents, and submit to the Case Manager.

By opting to follow this alternative, the Applicant authorizes NYSERDA to withhold \$307.50* per borough-block-lot number (BBL#) from the final payment via an Addendum 1 (the number of BBL#s are determined by the Department of Buildings). The money withheld from the final payment offsets the cost incurred by NYSERDA to obtain the data from Con Edison. All data is kept

confidential as per NYSERDA’s guidelines and regulations, and only used to estimate the energy performance of the building as a whole, not of individual apartments.

Document Required for Stage 3:		Document Obtained From:
<input type="checkbox"/>	As-Built Passive BPP	Partner Portal
<input type="checkbox"/>	<i>Photo Template</i>	EPA
<input type="checkbox"/>	<i>Testing & Verification Worksheets</i>	EPA
<input type="checkbox"/>	PHPP v9.5 modeling files	PHI
<input type="checkbox"/>	PHI Certificate	PHI

DRAF Documents (not required if pursuing Addendum 1)

<input type="checkbox"/>	<i>Owner Data Release Authorization Forms</i> (for all common area utility accounts) (executed)	Partner Portal
<input type="checkbox"/>	<i>Tenant Data Release Authorization Forms</i> (executed)	Partner Portal
<input type="checkbox"/>	List of each apartment number and type (e.g., studio, 1 bedroom)	Partner created document

Addendum 1 Documents (only required if pursuing Addendum 1)

<input type="checkbox"/>	<i>Owner Data Release Authorization Forms</i> (for all common area utility accounts) (executed)	Partner Portal
<input type="checkbox"/>	Signed <i>Addendum 1 Contract</i> (Email scanned copy and mail 2 original hard copies)	Case Manager created document
<input type="checkbox"/>	Con Edison Letter of Authorization*	http://www.coned.com/energyefficiency/city_benc_hmarking.asp
<input type="checkbox"/>	Con Edison Spreadsheet - Aggregated Consumption Data Request	http://www.coned.com/energyefficiency/city_benc_hmarking.asp
<input type="checkbox"/>	Copy of Con Edison bill for project address and account numbers	Applicant/Developer
<input type="checkbox"/>	Partner must provide "lease-up" date (date when the building will be occupied)	Partner/Applicant

* The signatory of this Authorization Form must be the Con Edison utility account holder

6.2 Software Requirements

All MF NCP projects pursuing the PHI path must model the project using PHPP Version 9.5 and following PHI Passive House Standard v9.5 – PH Classic. The use of other versions of PHPP software or certification standard is subject to MF NCP review, must receive pre-approval by NYSERDA, and may result in a change to the performance thresholds.

6.3 Associated Documents

6.3.1 Passive Building Performance Plan

The *Passive Building Performance Plan* (Passive BPP) is a comprehensive reporting tool that provides details regarding the project’s scope of work and achievement of the performance thresholds. In addition, the *Passive BPP* collects general information about the project, cost information about the project, and verification that a PHI Consultant or Designer and a PHI Certifier have been hired by the Applicant.

6.3.2 Testing and Verification Worksheets

MF NCP projects following the PHI compliance path are required to report all performance testing results in the *ENERGY STAR MFHR Testing & Verification Worksheets* and *Photo Template*. Note that where the requirements stated in the *Testing & Verification Worksheets* conflict with PHI requirements, the PHI requirement stands.

The *Testing & Verification Worksheets* and *Photo Template* can be obtained from the following ENERGY STAR website:

https://www.energystar.gov/index.cfm?c=bldrs_lenders_raters.nh_mfhr_guidance

6.4 Quality Control (QC) Processes

NYSERDA and its MF NCP Implementer perform two different types of QC on each MF NCP project: technical reviews and site inspections. This section explains how these apply to projects following the PHI path.

6.4.1 Technical Review

The Technical Review process occurs at the Modeling and As-Built stages of each PHI path project. The intent is to provide a thorough technical review of the submittal documents and verify that the project is meeting all MF NCP requirements. Failure to meet the performance thresholds and all MF NCP requirements will result in termination of the project.

At any stage, if the submittal is not accepted, the Technical Reviewer, a NYSERDA Contractor, will provide comments in a review document identifying the issues of each submittal revision. The Partner should review all comments, and find and correct the errors causing each identified issue or explain why an identified issue is justified. When all issues are resolved, the Partner should respond to the Technical Reviewer's comments in the review document and include it in the next revision of the submittal.

All Partners are expected to QC their work and to submit a high quality model along with fully completed tools and documents. Partner status may be affected if a good-faith effort is not made. If at any time during the Technical Review process the Technical Reviewer or Case Manager deems the submittal as incomplete or missing information, the submittal will be rejected and sent back to the Partner to resubmit.

At the Modeling Stage, the Technical Reviewer will review the model, the *Passive Building Performance Plan*, and *Testing & Verification Worksheets* to verify that all MF NCP requirements have been met, in addition to meeting the performance thresholds. Additionally, the Technical Reviewer will verify that simulation outputs are reasonable, evaluate the general quality of the model, and evaluate whether or not the projected savings are consistent with the features of the design.

At the As-Built stage, the Technical Reviewer will also review the model, the *Passive Building Performance Plan*, and *Testing & Verification Worksheets* as during the Modeling stage. Additionally, the Technical Reviewer will review the *ENERGY STAR MFHR Photo Template* to ensure that all submittals reflect the installed conditions.

6.4.2 Site Inspections

Open Wall inspections are performed by a MF NCP Site Inspector on all PHI path projects. This Site Inspector may be a staff member of the MF NCP Implementation Team, Quality Assurance Contractor, or NYSERDA.

Partner and Applicant representatives are required to attend these site inspections. These representatives must have detailed knowledge of the project and must also be prepared to answer any project-related questions that arise.

The Partner must submit the Open Wall Submittal to the Case Manager at least two weeks prior to the Open Wall Milestone. The Partner must remain in communication with the construction site superintendent or construction manager regarding the construction schedule and any anticipated deviations that may affect the Inspection.

The Open Wall Milestones are based on the type of installed above-grade wall insulation:

- Exterior insulation: Inspection should occur when approximately 30% of windows have been installed. This allows the MF NCP Site Inspector to view cross sections of the above-grade wall assemblies at window rough openings, as well as air-sealing details at installed windows.
- Insulated concrete form (ICF): Inspection should occur when approximately 30% of windows have been installed. This allows the MF NCP Site Inspector to view cross sections of the above-grade wall assemblies at window rough openings, as well as air-sealing details at installed windows.
- Exterior Insulation and Finishing Systems (EIFS): Inspection should occur when 30% of the EIFS has been installed.
- Interior insulation only: Inspection should occur when 30% of insulation is installed and visible.
- Exterior insulation with interior insulation: Inspection should occur when 30% of interior insulation is installed and visible.
- Pre-fabricated exterior wall assemblies and modular construction: Inspection should occur when 30% of the pre-fabricated assemblies have been installed on-site. The Partner may need to visit the pre-fabrication facility to complete required testing and verification. The Partner must provide photo documentation of components that will not be visible during the Open Wall inspection.

The Partner must contact the Case Manager early in construction to determine the Open Wall Milestone for projects with above-grade wall insulation types or combinations not listed here.

If the Partner fails to submit the Open Wall Submittal at least two weeks prior to the Open Wall Milestone or the Partner/Applicant is unresponsive to attempts to schedule the Open Wall inspection, the project will be required to expose sections of walls for inspection and all remaining incentive payments will be in jeopardy.

The MF NCP Site Inspector will ask to see the construction drawings while on site to verify any component listed on the Open Wall Checklist that the MF NCP Site Inspector cannot inspect because either it has been covered or installation has not commenced.

For any completed component no longer visible during the inspection (below-grade exterior insulation, roof insulation, pre-fabricated assembly items, etc.), the Partner must submit photographs using the *ENERGY STAR MFHR Photo Template* before the Inspection Report can be approved.

The Site Inspector will inspect all installed measures from the *Passive BPP*. The Site Inspector will develop a report detailing the Open Wall Inspection findings, which the Case Manager will return to the Partner. The report may contain Additional Requirements or Action Items for measures and prerequisites or requirements. Additional Requirements can be resolved at the As-Built submittal. Action Items must be resolved before the Open Wall Incentive can be paid. The report will provide an explanation of what is required to resolve Additional Requirements and Action Items.

If severe violations of the *Passive BPP* are discovered during this inspection, NYSERDA and its representatives reserve the right to request that the Partner instruct the construction team to remove sections of sealed walls in order to fully inspect insulation and air sealing components. Additionally, NYSERDA and its representatives reserve the right to require a second Open Wall inspection take place once all of the required corrections are complete.

Failure to meet the requirements of this Open Wall Inspection may result in termination of the project.

6.5 Additional Requirements

6.5.1 Modeling Guidelines

All MF NCP projects following the PHI path shall follow the PHI Passive House Standard v9.5 – PH Classic, with the following revisions.

- When calculating the Primary Energy Demand metric to determine a project's compliance with the performance thresholds specified in its approved performance tier, the project may choose to exclude the energy use associated with optional amenities, including dishwashers, laundry facilities, and exterior lighting. If excluded, however, that component must, at minimum, meet the modified prescriptive path requirement for that component as defined in the *Modified Prescriptive Path Requirements* (e.g., dishwashers and clothes washers must be ENERGY STAR® certified). Additional optional amenities, such as vending machines, on-site gym equipment, etc., may be excluded with prior NYSERDA approval.
- Any deviations from program defaults for operating assumptions, such as site-to-source conversion, plug loads and hours of operation, are subject to review and must be specifically noted in the *Passive BPP*.
- If a project includes an HVAC configuration or system type that cannot be explicitly modeled in the PHPP software, the project team must work directly with PHI staff to ensure that the energy use of that system is accurately captured in the model.
- Any calculations performed outside of the approved version of PHPP, including but not limited to HVAC systems that are not directly supported, capturing power of continuously running fans integral to heating/cooling units, methodology for aggregating heating systems of different type /efficiency for input into PHPP, etc. must be included in the NYSERDA submittal and are subject to NYSERDA approval.

6.5.2 ENERGY STAR Benchmarking

NYSERDA requires benchmarking for all PHI path projects. Building performance is as much a function of proper building management as the energy conservation measures incorporated into the structure. Therefore, after completing the MF NCP, the developer or building owner must commit to benchmarking their building in Portfolio Manager.

Portfolio Manager is an online, interactive energy management tool that allows Applicants to measure and track their building's energy and water consumption, identify investment priorities, and verify improvements over time. Multifamily housing communities can use Portfolio Manager to track weather-normalized energy use intensity (EUI), energy costs, greenhouse gas emissions, and water consumption. For more information on how to use Portfolio Manager, see the Portfolio Manager – Multifamily Housing Quick Reference Guide document at the following ENERGY STAR website: https://www.energystar.gov/ia/business/multifam_housing/QRG_Multifamily_Housing.pdf

To accomplish this goal, the developer, building owner, or an entity working on their behalf, must be capable of evaluating the utility consumption of the residential-associated spaces independent of any commercial/retail space. These non-residential associated parts of the building shall be separately metered (or sub-metered) for electricity, gas, fuel oil, water, steam, and hot water for domestic and/or space heating purposes. The developer or building owner should also work with tenants to secure consumption information. If the building is direct-metered for utilities to the apartments, the building owner must secure signed releases from individual apartment occupants to allow for benchmarking. In addition, the building owner must provide a signed release for the common area/whole-building utility meters. All data uploaded to Portfolio Manager is strictly confidential and only used to estimate the energy performance of the building as a whole, not of individual apartments.

7 MODIFIED PRESCRIPTIVE PATH (MOPP)

The following section describes the requirements for the MoPP. This compliance path does not result in an ENERGY STAR label for the final project’s units, but may result in the New York Energy Smart designation from NYSERDA. Please reference Appendix A of this document for the Modified Prescriptive Path Process Flow Chart.

Projects following this path must comply with the *Modified Prescriptive Path Requirements* and the *ENERGY STAR MFHR Testing & Verification Protocols*.

New Construction projects following the MoPP will be eligible for Tier 1 only. Gut rehabs following the MoPP will be eligible for Tier 2.

7.1 Submittal Requirements

In order for the Applicant to receive the NYSERDA incentives approved for their project, the Partner must submit the required documentation as detailed in the States below. These submittals will be reviewed by the MF NCP Implementer and NYSERDA. The three submittal Stages are described below. The incentives will only be paid if these submittals are approved by NYSERDA. All documents listed in this section must be submitted to the project’s assigned Case Manager and approved by NYSERDA.

7.1.1 Stage 1: Modified Prescriptive Path Calculator

The submittal must show that the project achieves the performance target and meets the requirements detailed in the *Modified Prescriptive Path Requirements* and the *ENERGY STAR MFHR Testing & Verification Protocols*. Note there are no incentives associated with this submittal.

These submittal documents must be submitted prior to, or with, the Open Wall Submittal.

	Document	Document Obtained From
<input type="checkbox"/>	Applicant-Partner Contract (signed by both parties)	Partner created document
<input type="checkbox"/>	LMI Documentation (if not previously submitted)	See Table 3.1
<input type="checkbox"/>	<i>Proposed Modified Prescriptive Path Calculator</i>	Partner Portal
<input type="checkbox"/>	Complete Construction Documents (CDs)	Applicant/Developer/Design Team
<input type="checkbox"/>	Buildings Department’s final New Building approval of Architectural, Mechanical, and Plumbing plans (if available at the time of submittal)	Permitting office that approved the Construction Documents

7.1.2 Stage 2: Open Wall Submittal

For the MoPP, the first NYSERDA incentive is available to the Applicant when the project has an approved Open Wall Site Inspection performed by NYSERDA or MF NCP Implementation staff. The Partner must submit the Open Wall Submittal to the Case Manager at least two weeks before the project achieves the Open Wall Milestone in order to properly schedule an inspection. The purpose of the Open Wall Inspection is for the MF NCP Site Inspector to verify that typical Open Wall components

– measures of the *Modified Prescriptive Path Requirements* and the *ENERGY STAR MFHR Testing & Verification Protocols* – are installed in accordance with MF NCP requirements.

	Document	Document Obtained From
<input type="checkbox"/>	Inspection Request Form	Partner Portal
<input type="checkbox"/>	Photo Template	EPA
<input type="checkbox"/>	Testing & Verification Worksheets	EPA
<input type="checkbox"/>	Buildings Department's final New Building approval of Architectural, Mechanical, and Plumbing plans (if available at the time of submittal) (if not previously submitted)	Permitting office that approved the Construction Documents

7.1.3 Stage 3: As-Built Submittal

The second incentive is available to the Applicant when the project construction is complete and NYSERDA has approved the As-Built Submittal, and approved *Data Release Authorization Forms* or Addendum 1 documents. The As-Built Submittal must show that the project has complied with all *Modified Prescriptive Path Requirements* and the *ENERGY STAR MFHR Testing & Verification Protocols*.

The Partner must work with the Applicant to determine whether to submit *DRAFTs* or to follow the Addendum 1 process.

- *DRAFTs*: All projects are eligible to follow the *DRAFT* process. The Partner must submit the *Owner and Tenant Data Release Authorization Forms* (*DRAFTs*), which must include utility information for all common areas of the building and a representative sample of apartments. The apartment sample shall consist of at least 10 percent of the apartments with no fewer than five (5) apartments. Of the 10 percent sample, at least one of each apartment type (e.g. studio, 1 bedroom, large 1 bedroom) must be represented.
- Addendum 1: To be eligible to follow the Addendum 1 process, Con Edison must be the project's electric and/or gas utility. The *Addendum 1 Contract* gives the MF NCP Implementer access to the project's Con Edison accounts and allows the Implementer to request and obtain data from Con Edison on the Applicant's behalf. This replaces the need for *Tenant Data Release Authorization Forms*. The Partner must request a draft *Addendum 1 Contract* from their Case Manager and they must forward it to the Applicant for signature. The Applicant must sign two copies of the *Addendum 1 Contract*, which the Applicant or the Partner will mail to the Case Manager. The Applicant must complete the *Owner Data Release Authorization Form*, sign the Con Edison Letter of Authorization and send a copy of the building's Con Edison bill to the Partner. The Partner must then complete the application tab of Con Edison's Aggregated Consumption Data Request form, compile all documents, and submit to the Case Manager.

By opting to follow this alternative, the Applicant authorizes NYSERDA to withhold \$307.50* per borough-block-lot number (BBL#) from the final payment via an Addendum 1 (the number of BBL#s are determined by the Department of Buildings). The money withheld from the final payment offsets the cost incurred by NYSERDA to obtain the data from Con Edison. All data is kept strictly

confidential and only used to estimate the energy performance of the building as a whole, not of individual apartments.

Document	Document Obtained From
<input type="checkbox"/> <i>As-Built Modified Prescriptive Path Calculator</i>	Partner Portal
<input type="checkbox"/> <i>Photo Template</i>	EPA
<input type="checkbox"/> <i>Testing & Verification Worksheets</i>	EPA

Required DRAF Documents (not required if pursuing Addendum 1)

<input type="checkbox"/> <i>Owner Data Release Authorization Forms</i> (for all common area utility accounts) (executed)*	Partner Portal
<input type="checkbox"/> <i>Tenant Data Release Authorization Forms</i> (executed)	Partner Portal
<input type="checkbox"/> List of each apartment number and type (e.g., studio, 1 bedroom)	Partner created document

Required Addendum 1 Documents (only required if pursuing Addendum 1)

<input type="checkbox"/> <i>Owner Data Release Authorization Forms</i> (for all common area utility accounts) (executed)	Partner Portal
<input type="checkbox"/> Signed <i>Addendum 1 Contract</i> (Email scanned copy and mail 2 original hard copies)	Case Manager created document
<input type="checkbox"/> Con Edison Letter of Authorization*	http://www.coned.com/energyefficiency/city_benchmarking.asp
<input type="checkbox"/> Con Edison Spreadsheet - Aggregated Consumption Data Request	http://www.coned.com/energyefficiency/city_benchmarking.asp
<input type="checkbox"/> Copy of Con Edison bill for project address and account numbers	Applicant/Developer
<input type="checkbox"/> Partner must provide "lease-up" date (date when the building will be occupied)	Partner/Applicant

* The signatory of this Authorization Form must be the Con Edison utility account holder

7.2 Associated Documents

7.2.1 Modified Prescriptive Path Calculator

In lieu of submitting the *Building Performance Plan*, MoPP projects must submit the *Modified Prescriptive Path Calculator*. This calculator includes a checklist where the Partner and Applicant confirm that all *Modified Prescriptive Path Requirements* and *ENERGY STAR MFHR Testing & Verification Protocols* are met. It also calculates estimated savings based on project-specific data for NYSERDA reporting purposes. It incorporates the *ENERGY STAR MFHR Testing & Verification Worksheets*, as well as tabs that report information to NYSERDA. There is extensive linking between the tabs in this document to reduce the amount of data entry required of the Partner.

The cells and tabs are color-coded to guide the Partner in properly filling in the calculator. All cells that require the Partner to input information are blue.

- *Modified Prescriptive Path Checklist*. This tab outlines the Modified Prescriptive Path Requirements in checklist form. In addition to checking each box to indicate that the requirement has been met, certain components require basic information be entered. These cells are colored blue.

- *Savings*: This tab calculated the savings of each measure and the project as a whole, based on MF NCP-wide assumptions. No information should be changed in this sheet, it is for informational purposes only.
- *Testing & Verification Worksheets (Remainder of the tabs)*: After the final plan review confirms all recommendations have been integrated into the construction documents, the *T&V Worksheets* are intended to be printed and brought to the field. They list the measures and building components to be inspected, mandatory requirements to be confirmed, and any additional relevant information identified during the plan review. Once completed, they are used to document that each Modified Prescriptive Path requirement and each measure included in the As-Built Building meets all requirements and follows *T&V Protocols*.

7.2.2 Testing and Verification Protocols and Worksheets

Projects following the Modified Prescriptive Path are required to comply with the *ENERGY STAR MFHR Testing & Verification Protocols*. The *ENERGY STAR MFHR Testing & Verification Protocols* are mandatory requirements for the inspection, testing, and verification of components related to the project's energy performance. All inspections, diagnostic tests, and photo documentation described within the Protocols are required for each of the participating project's components and systems. Results of testing and verification must be documented in the *ENERGY STAR MFHR Testing & Verification Worksheets* (included in the *Modified Prescriptive Path Calculator*) and *Photo Template*. The *Testing & Verification Protocols* and *Photo Template* can be obtained from the following ENERGY STAR website: https://www.energystar.gov/index.cfm?c=bldrs_lenders_raters.nh_mfhr_guidance

7.3 Quality Control Processes

NYSERDA and its MF NCP Implementer perform two different types of quality control on each MF NCP project: technical reviews and site inspections. This section explains how these apply to projects following the Modified Prescriptive Path.

7.3.1 Technical Reviews

The Technical Review process occurs at the *Modified Prescriptive Path Calculator* submittal stage and As-Built stages of each Modified Prescriptive Path project. The intent is to provide a thorough technical review of the submittal documents and to verify compliance with the *Modified Prescriptive Path Requirements*. The Technical Reviewers focus on identifying errors within the *Modified Prescriptive Path Calculator*. Failure to meet the *Modified Prescriptive Path Requirements* will result in termination of the project.

At the *Modified Prescriptive Path Calculator* submittal stage, the Technical Reviewer, a NYSERDA Contractor, will review all inputs made in the *Modified Prescriptive Path Calculator* to determine that they are complete and reasonable. Additionally, the Technical Reviewer will verify that all requirements listed in the *Modified Prescriptive Path Requirements* have been met.

At the As-Built stage, the Technical Reviewer will also be reviewing the *Modified Prescriptive Path Calculator* in comparison to the *Photo Template* to ensure that all inputs and photos reflect the actual and installed conditions.

At any stage if the submittal is not accepted, the Technical Reviewer will provide comments in a review document identifying the issues of each submittal revision. The Partner should review all comments,

and find and correct the errors causing each identified issue or explain why an identified issue is justified. When all issues are resolved, the Partner should respond to the Technical Reviewer's comments in the review document and include it in the next revision of the submittal.

All Partners are expected to QC their work and submit high quality and fully completed tools and documents. Partner status may be affected if a good-faith effort is not made. If at any time during the Technical Review process the Technical Reviewer or Case Manager deems the submittal as incomplete or missing information, the submittal will be rejected and sent back to the Partner to resubmit.

7.3.2 Site Inspections

Open Wall inspections are performed by a MF NCP Site Inspector on all Modified Prescriptive Path projects. This Site Inspector may be a staff member of the MF NCP Implementation Team, the Quality Assurance Contractor, or NYSERDA.

Partner and Applicant representatives are required to attend these site inspections. These representatives must have detailed knowledge of the project and must also be prepared to answer any project-related questions that arise.

The Partner must submit the Open Wall Submittal to the Case Managers at least two weeks prior to the Open Wall Milestone. The Partner must remain in communication with the construction site superintendent or construction manager regarding the construction schedule and any anticipated deviations that may affect the Inspection.

The Open Wall Milestones are based on the type of installed above-grade wall insulation:

- Exterior insulation: Inspection should occur when approximately 30% of windows have been installed. This allows the MF NCP Site Inspector to view cross sections of the above-grade wall assemblies at window rough openings, as well as air-sealing details at installed windows.
- Insulated concrete form (ICF): Inspection should occur when approximately 30% of windows have been installed. This allows the MF NCP Site Inspector to view cross sections of the above-grade wall assemblies at window rough openings, as well as air-sealing details at installed windows.
- Exterior Insulation and Finishing Systems (EIFS): Inspection should occur when 30% of the EIFS has been installed.
- Interior insulation only: Inspection should occur when 30% of insulation is installed and visible.
- Exterior insulation with interior insulation: Inspection should occur when 30% of interior insulation is installed and visible.
- Pre-fabricated exterior wall assemblies and modular construction: Inspection should occur when 30% of the pre-fabricated assemblies have been installed on-site. The Partner may need to visit the pre-fabrication facility to complete required testing and verification. The Partner must provide photo documentation of components that will not be visible during the Open Wall inspection.

The Partner must contact the Case Manager early in construction to determine the Open Wall Milestone for projects with above-grade wall insulation types or combinations not listed here.

If the Partner fails to submit the Open Wall Submittal at least two weeks prior to the Open Wall Milestone or the Partner/Applicant is unresponsive to attempts to schedule the Open Wall inspection, the project will be required to expose sections of walls for inspection and all remaining incentive payments will be in jeopardy.

The MF NCP Site Inspector will ask to see the construction drawings while on site to verify any component listed on the Open Wall Checklist that the MF NCP Site Inspector cannot inspect because either it has been covered or installation has not commenced.

For any completed component no longer visible during the inspection (below-grade exterior insulation, roof insulation, pre-fabricated assembly items, etc.), the Partner must submit photographs using the *ENERGY STAR MFHR Photo Template* before the Inspection Report can be approved.

The Site Inspector will inspect all installed measures from the *Modified Prescriptive Path Calculator*, as well as all installed *Modified Prescriptive Path Requirements*. The Site Inspector will develop a report detailing the Open Wall Inspection findings, which the Case Manager will return to the Partner. The report may contain Additional Requirements or Action Items for measures and prerequisites or requirements. Additional Requirements can be resolved at the As-Built submittal. Action Items must be resolved before the Open Wall Incentive can be paid. The report will provide an explanation of what is required to resolve Additional Requirements and Action Items.

If severe violations of the *Modified Prescriptive Path Requirements* are discovered during this inspection, NYSERDA and its representatives reserve the right to request that the Partner instruct the construction team to remove sections of sealed walls in order to fully inspect insulation and air sealing components. Additionally, NYSERDA and its representatives reserve the right to require a second Open Wall inspection take place once all of the required corrections are complete.

Failure to meet the requirements of this Open Wall Inspection will result in termination of the project.

7.4 Additional Requirements

7.4.1 Energy Star Benchmarking

NYSERDA requires benchmarking for all MoPP projects. Building performance is as much a function of proper building management as the energy conservation measures incorporated into the structure. Therefore, after completing the MF NCP, the developer or building owner must commit to benchmarking their building in Portfolio Manager.

Portfolio Manager is an online, interactive energy management tool that allows Applicants to measure and track their building's energy and water consumption, identify investment priorities, and verify improvements over time. Multifamily housing communities can use Portfolio Manager to track weather-normalized energy use intensity (EUI), energy costs, greenhouse gas emissions, and water consumption. For more information on how to use Portfolio Manager, see the Portfolio Manager – Multifamily Housing Quick Reference Guide document at the following ENERGY STAR website: https://www.energystar.gov/ia/business/multifam_housing/QRG_Multifamily_Housing.pdf

To accomplish this goal, the developer, building owner, or an entity working on their behalf, must be capable of evaluating the utility consumption of the residential-associated spaces independent of any commercial/retail space. These non-residential associated parts of the building shall be separately metered (or sub-metered) for electricity, gas, fuel oil, water, steam, and hot water for domestic and/or space heating purposes. The developer or building owner should also work with tenants to secure consumption information. If the building is direct-metered for utilities to the apartments, the building owner must secure signed releases from individual apartment occupants to allow for benchmarking. In

addition, the building owner must provide a signed release for the common area/whole-building utility meters. All data uploaded to Portfolio Manager is strictly confidential and only used to estimate the energy performance of the building as a whole, not of individual apartments.

7.4.2 Gut Rehabilitation Projects

Gut rehabilitations following the Modified Prescriptive Path must meet the requirements listed in *Modified Prescriptive Path Requirements and ENERGY STAR MFHR Testing & Verification Protocols*, with the following exceptions:

Envelope and Compartmentalization Requirements

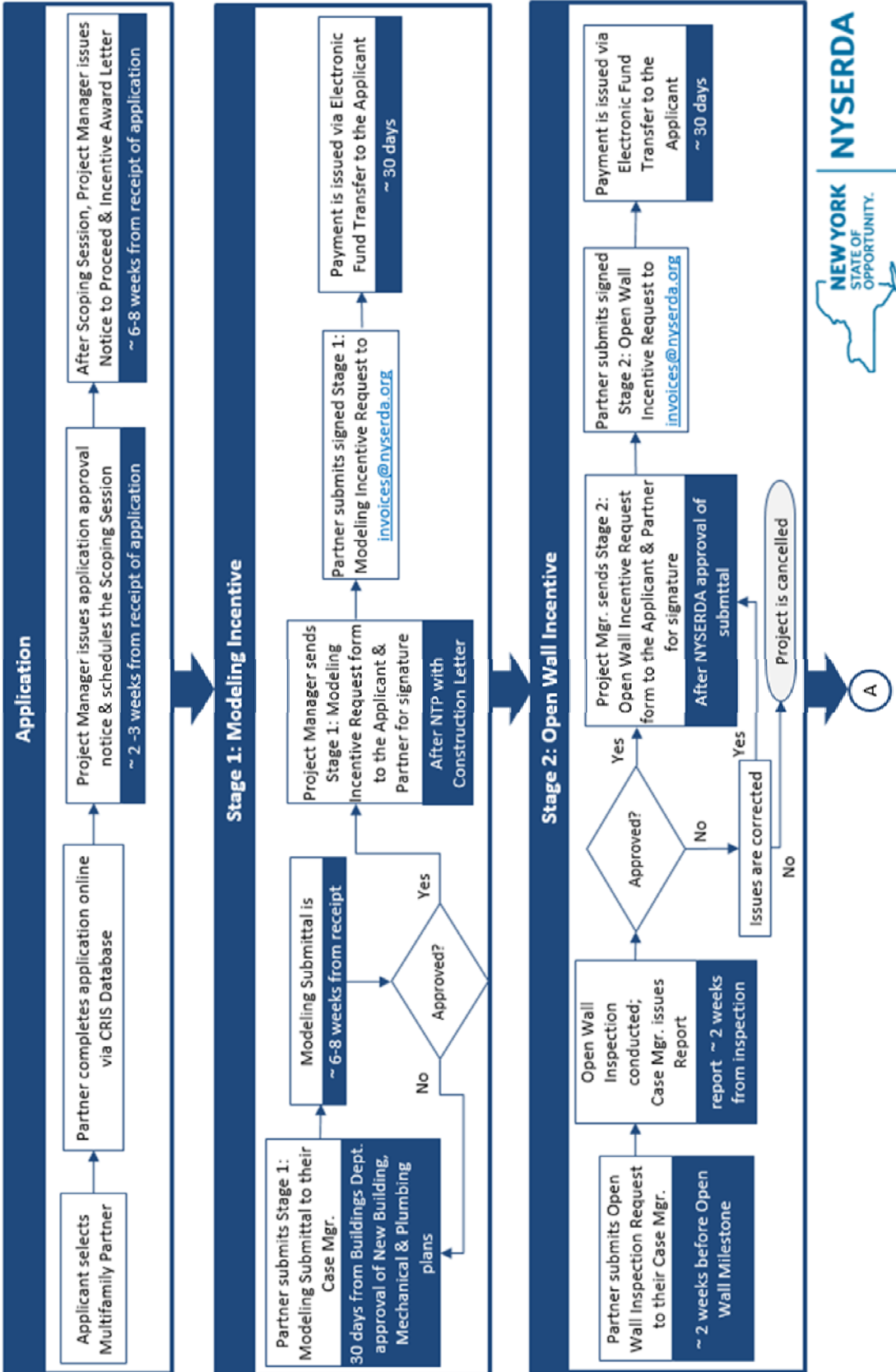
Gut rehab projects are excluded from complying with the Envelope Section and all compartmentalization requirements of the table in the *Modified Prescriptive Path Requirements* provided the assembly is not included within the scope of work or modified in any way during construction.

Historic Buildings

Buildings that are considered to be Historic Buildings according to the 19 NYCRR Part 1240.2, need not comply with the Envelope Section or the compartmentalization requirements listed in the table provided in the *Modified Prescriptive Path Requirements*.

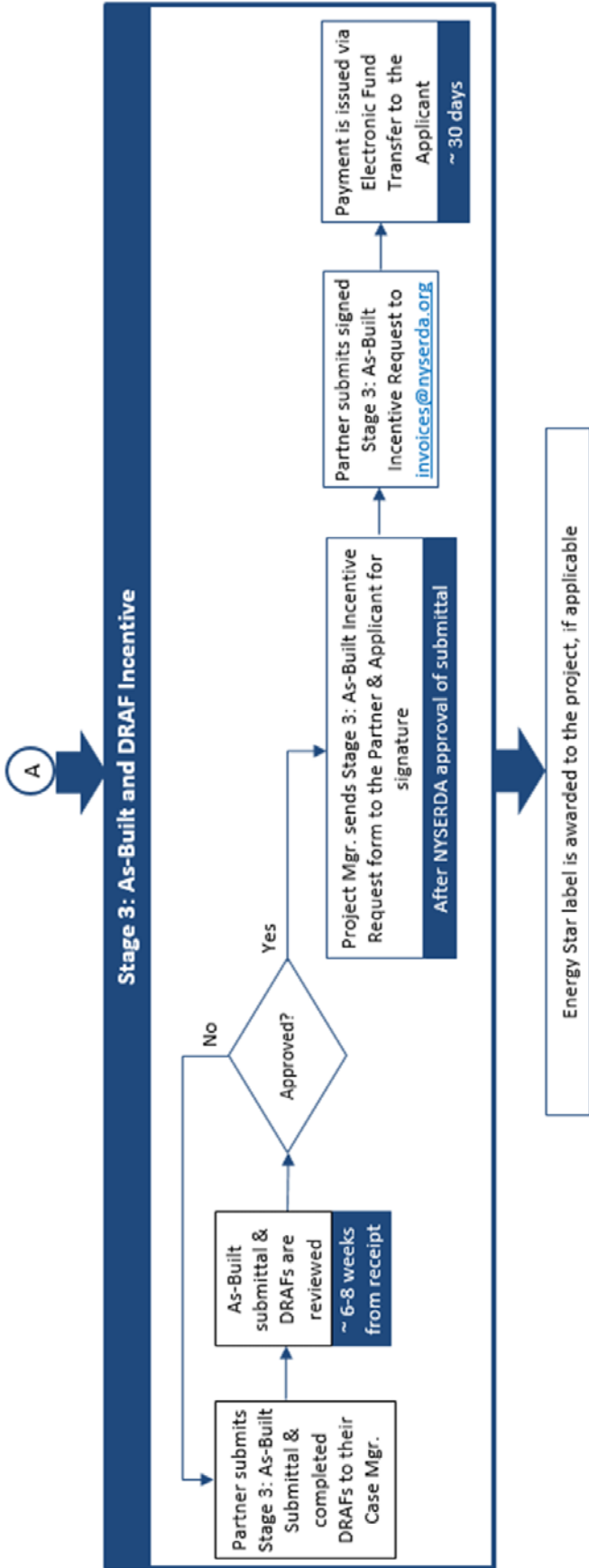
APPENDIX A: MF NCP PROCESS FLOW CHARTS

Multifamily New Construction Program Process

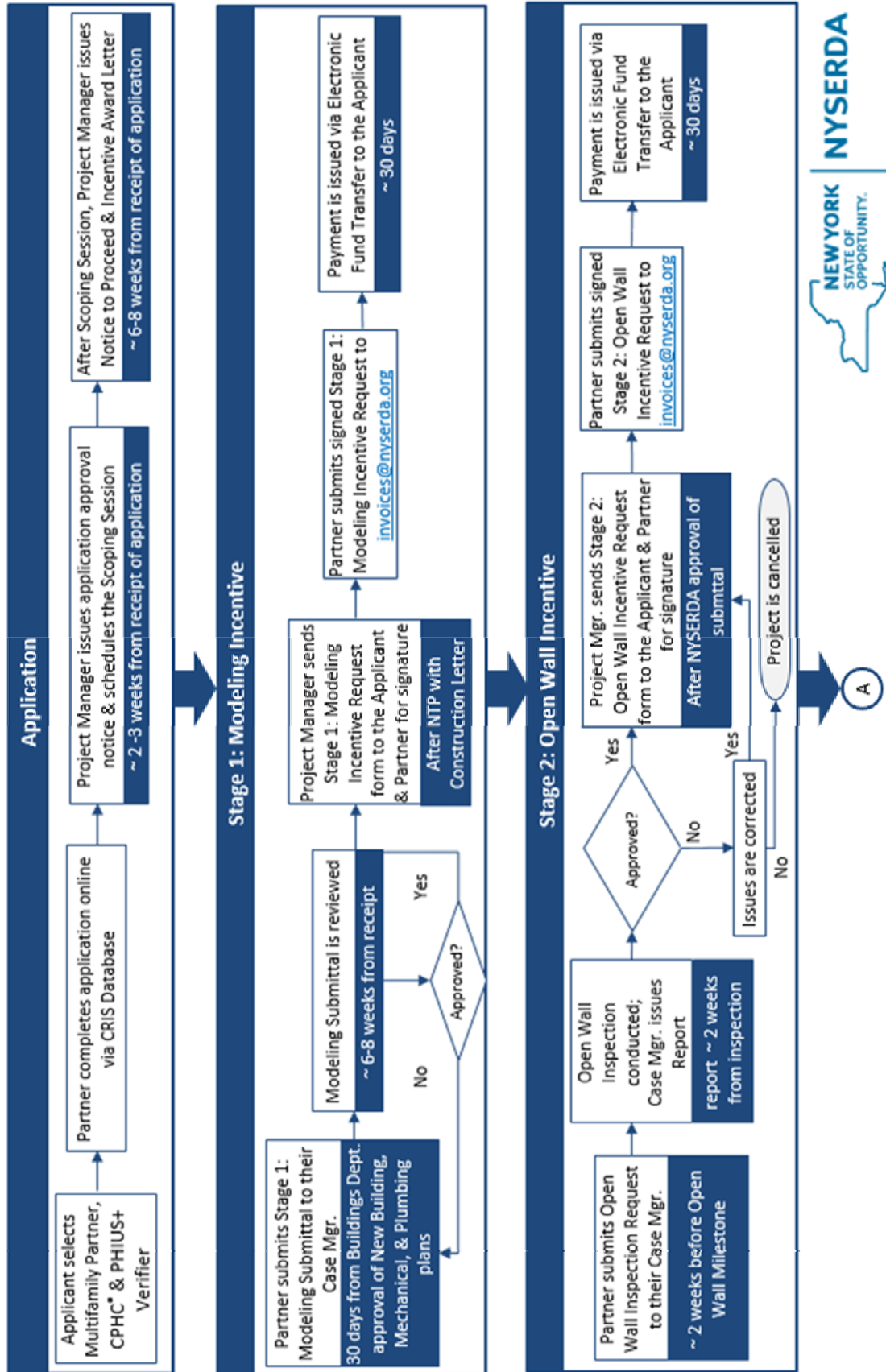


Multifamily New Construction Program Process

Performance Path

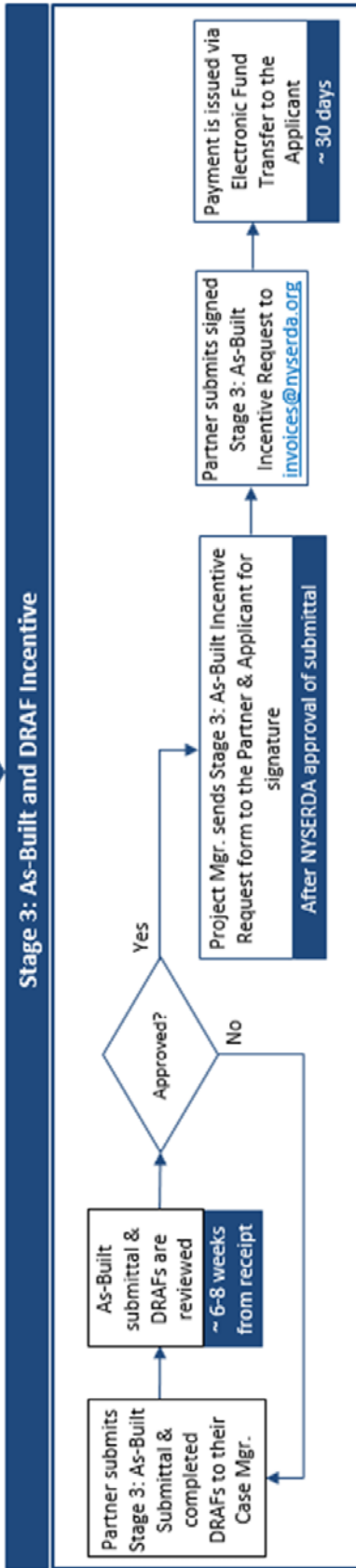


Multifamily New Construction Program Process **Passive House Institute US (PHIUS)**



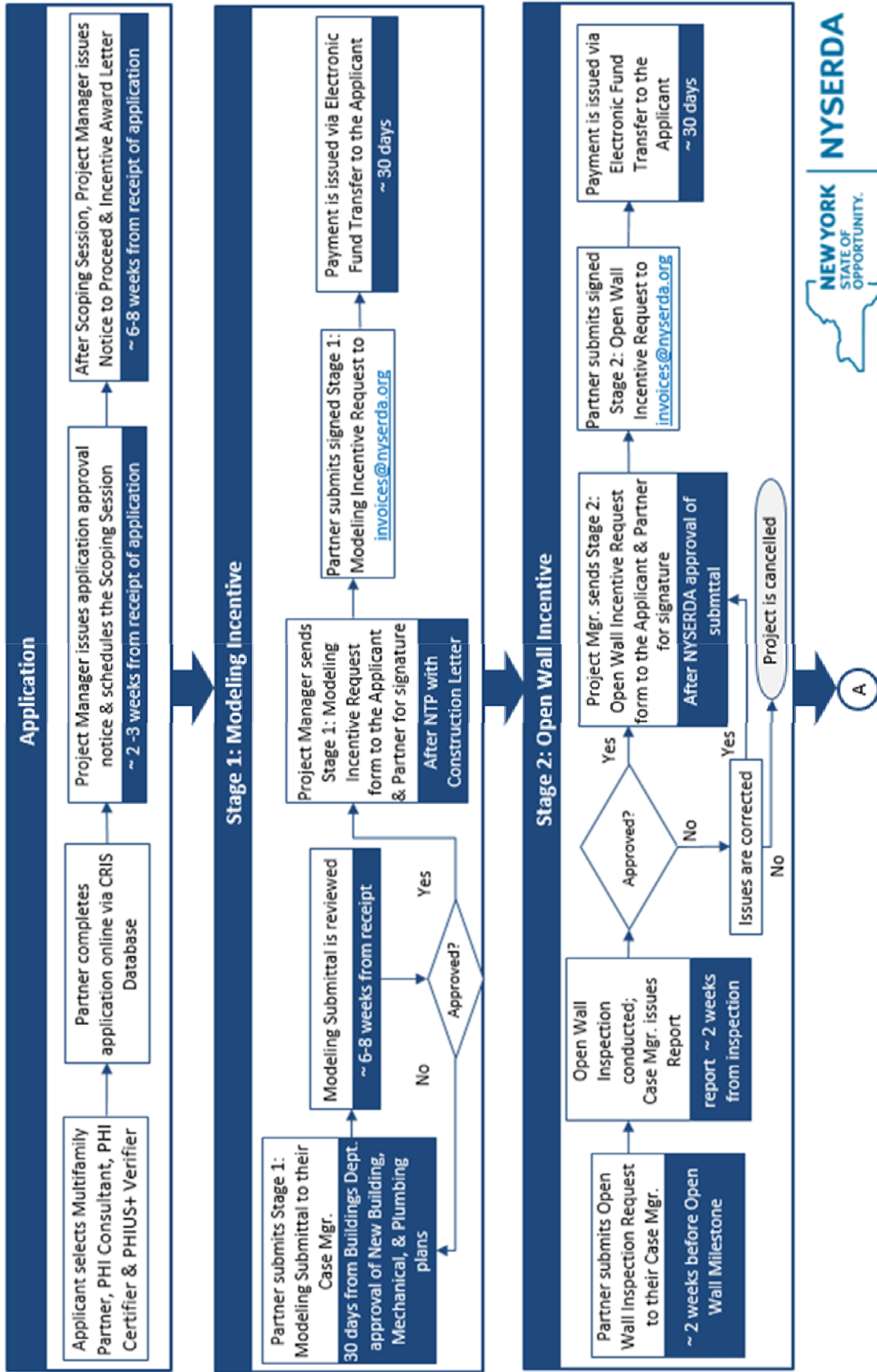
Multifamily New Construction Program Process

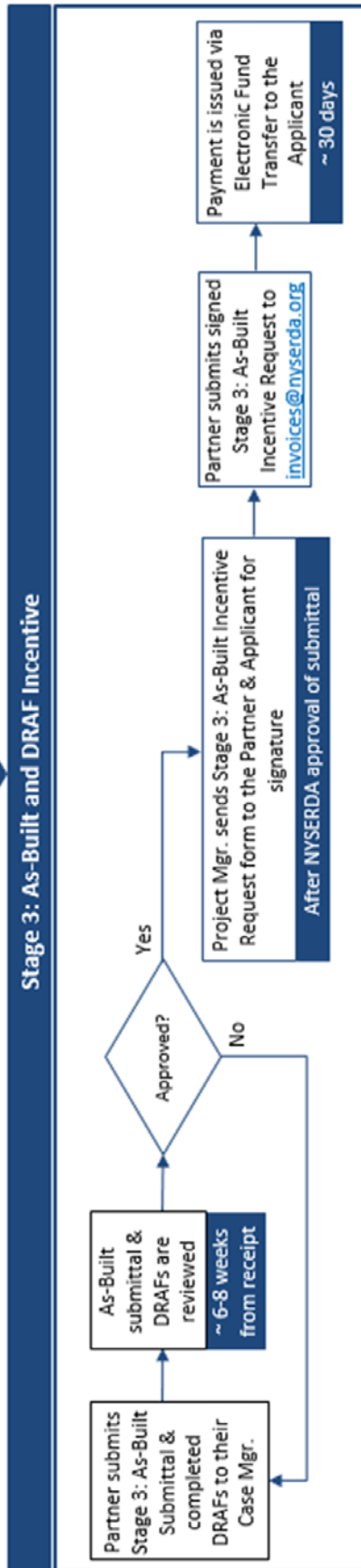
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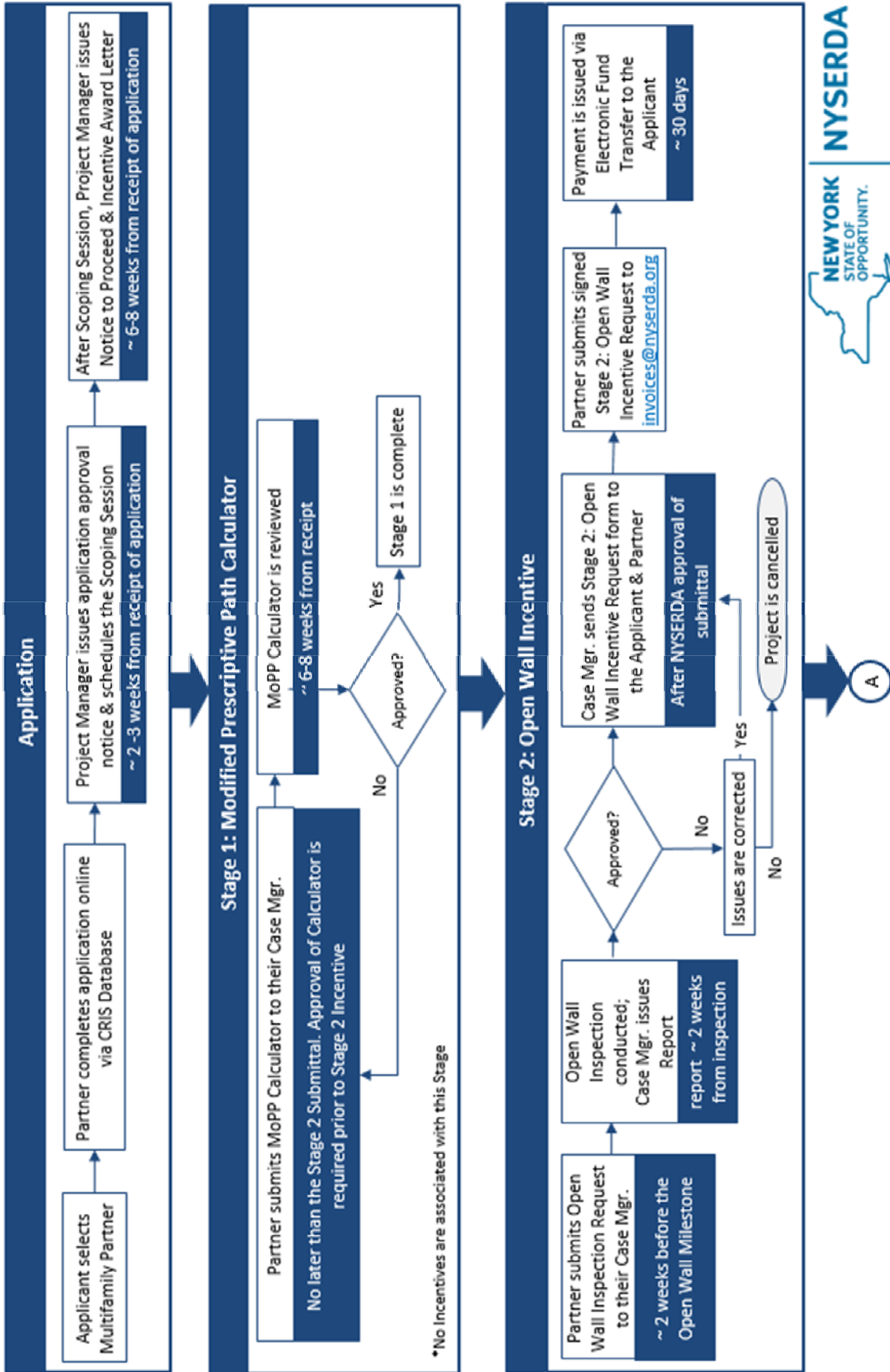
Multifamily New Construction Program Process

Passive House Institute (PHI)

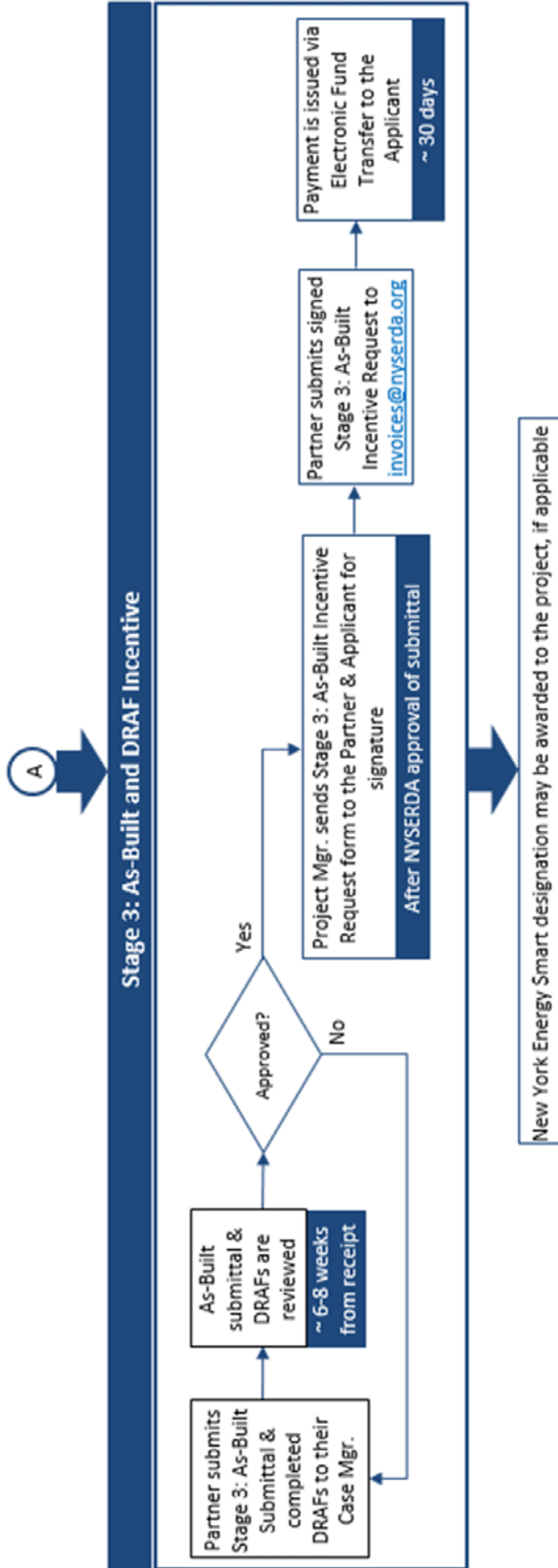




Multifamily New Construction Program Process **Modified Prescriptive Path**



Multifamily New Construction Program Process Modified Prescriptive Path





On-site Energy Manager Pilot
Program Opportunity Notice (PON) 3334

Applications accepted through November 30, 2016 by 5:00 PM Eastern Time*

This New York State Energy Research and Development Authority (NYSERDA) Program Opportunity Notice (PON) 3334 seeks applications from Industrial facilities interested in participating in the On-site Energy Manager Pilot (the "Pilot") to demonstrate how a dedicated On-site Energy Manager can improve a company's profitability by delivering energy, process, and operational improvements. As part of the Pilot, NYSEDA will provide cost share of up to 75% of contracted On-site Energy Manager fees for up to 15 Industrial sites.

The Pilot targets 10 Large Sites, defined as manufacturing facilities or campuses with greater than \$1,000,000 total (all fuels) annual energy spend who shall use the On-site Energy Manager on a full-time basis, and 5 Medium Sites, defined as manufacturing facilities or campuses with \$500,000 to \$1,000,000 total (all fuels) annual energy spend who shall use the On-site Energy Manager on a part-time (50%) basis. Pilot participants must not have an existing dedicated energy manager on-site, must show a desire to continue the role beyond the 15-month Pilot engagement, and must be willing to share results and lessons learned to further the Pilot's objective of increasing the penetration of energy managers at industrial facilities. Proposals will be evaluated every other week using the Evaluation Criteria detailed in Section III. Awards will be made to the first successful applications from 10 Large Sites and 5 Medium Sites.

Industrial sites will select On-site Energy Managers from the pool of NYSEDA Flexible Technical Assistance (FlexTech) Consultants. Directions to access the pool of FlexTech Consultants, and for qualified firms to become FlexTech Consultants, are linked in the Eligibility Requirements section of this solicitation.

Application Submission: Applications will be accepted through November 30, 2016, until 10 Large Sites and 5 Medium Sites are awarded or until all funds are fully committed, whichever happens first. Applicants may apply by mail or electronically online when available.

Submittal by Mail: Send two clearly labeled, completed and signed application forms, one of which must contain an original signature, to:

Jillina Baxter, PON 3334
NYS Energy Research and Development Authority
17 Columbia Circle Albany, NY 12203-6399

Submittal Electronically: Instructions for submitting electronically are located as Attachment F to this solicitation. When submitting electronically, application documents must be in PDF, MS Excel, or MS Word format with all required documentation. Application PDFs must be searchable and created by direct conversion from MS Word, or other conversion utility, rather than scanning. All electronic files must be named using the applicant's entity name in the title of the document. Applications may be submitted electronically by following the link for electronic submissions found on this solicitation's webpage, which is located in the "Current Opportunities" section of NYSEDA's website (<http://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

All Program questions should be directed to: Stacey Sabo, 716-842-1522 ext. 3037, stacey.sabo@nyserda.ny.gov or Wendy MacPherson, 518-862-1090 ext. 3553, wendy.macpherson@nyserda.ny.gov. All Contractual questions should be directed to: Nancy Marucci, 518-862-1090 ext. 3335, nancy.marucci@nyserda.ny.gov.

*Late, incomplete, or unsigned applications will be returned. Faxed or e-mailed applications will not be accepted. Applications will not be accepted at any other NYSEDA location other than the address above. If changes are made to this solicitation, notification will be posted on NYSEDA's website at www.nyserda.ny.gov.

I. Introduction

The Pilot seeks to demonstrate the value of an On-site Energy Manager role in industrial facilities such that the role becomes standardized and self-sustaining. Industrial sites will benefit from the successful energy and productivity projects that will be driven by On-site Energy Managers. Projects include operation and maintenance projects, behavioral changes, energy efficiency upgrades, process improvement projects, throughput and scrap reduction improvements, cost management, and other improvements such as water savings.

The purpose of the Pilot is to prove the business case for an On-site Energy Manager role and to disseminate developed case studies and tools to the market for broader adoption. Pilot participants are required to share success stories and best practices to facilitate this market transformation activity. Post Pilot, participants are encouraged to continue sharing success stories through NYSERDA Industrial Best Practice events.

II. Program Requirements

- Pilot participants must:
 - Not have an existing dedicated energy manager on-site.
 - Show how the On-site Energy Manager will be incorporated into the existing business structure, including
 - Providing an individual at the site who will be responsible for overseeing the effort and ensuring successful integration of the On-site Energy Manager.
 - Providing on-site work space (with computer and phone).
 - Showing desire to continue the role post Pilot engagement.
 - Sharing results and lessons learned to further the Pilot's objective of increasing the penetration of energy managers at industrial facilities.
 - Providing necessary data and other support to the On-site Energy Manager to enable successful performance of duties.
- Each site must apply with a Consultant from the NYSERDA FlexTech Consultant list comprised of firms under contract with NYSERDA, and identify the specific Consultant staff member who will be performing the On-site Energy Manager role. There must be one dedicated individual who performs the on-site services and is the direct customer contact. It is acceptable to have junior Consultant staff perform lower level administrative tasks, although such delegation should not hinder the Pilot's intention of demonstrating the business case for a dedicated energy manager. Resumes of all Consulting staff involved must be included in the proposal.
- Each On-site Energy Manager engagement must perform the tasks listed in Attachment D: Scope of Work Requirements. Additional tasks related to energy management and productivity improvement may be added.

Eligibility Requirements:

Eligible Pilot participants include NYS industrial facilities with annual energy costs greater than \$500,000 that pay into the electric System Benefits Charge (SBC).

- Pilot participants must select their On-site Energy Manager from NYSERDA's FlexTech Consultant list comprised of firms under NYSERDA contract. Please visit the website at: www.nyserda.ny.gov/Flextech for the current listing of FlexTech Consultants.
- Firms interested in applying to becoming a NYSERDA FlexTech Consultant may do so through PON 1746: <http://www.nyserda.ny.gov/All-Programs/Programs/FlexTech-Program/Become-a-FlexTech-Consultant>. Consultants must have a FlexTech contract in place to be included in an application to the On-site Energy Manager Pilot solicitation.
- Commitment from site's upper management (corporate officer or executive staff) required
- Customers may not participate in both NYSERDA's On-site Energy Manager Pilot and Strategic Energy Management Pilot at the same time.
- No more than two awards per FlexTech Consultant will be made per Pilot.

Program Deliverables

- Quarterly savings reports that document results from both capital upgrades and operational changes
- Project management check-ins with NYSERDA via conference call at least once per month and twice per year on-site (kick-off and exit), or at NYSERDA's discretion
- Final report that documents overall effort and progress against site energy goal
- Peer to peer sharing throughout the Pilot
- Tool development
 - Case study, including savings metrics, for online publishing
 - Road map of the On-site Energy Manager on-boarding process, for online publishing. The road map is expected to be a look-back of the participant's experience, with recommendations and adjustments made to reflect lessons learned during the process.
- NYSERDA reserves the right to cancel or prorate NYSERDA cost share based upon program deliverables not being met.

Funding and Payment

- In order to obtain the benefit of one full year dedicated to energy management, the term of the On-site Energy Manager contract will be 15 months in total- 12 months for direct on-site energy management and 3 months for final deliverable completion (final report, case study, and road map; see Program Deliverables, Section III. Program Requirements) and transition.
- NYSERDA will contribute up to 75% towards the allowable On-site Energy Manager fees, directly to the FlexTech Consultant per the approved scope of work. Maximum awards for the 15 month terms are \$234,375 for Large Sites and \$117,185 for Medium Sites. Successful applicants will pay the remaining balance of the On-site Energy Manager fees directly to the FlexTech Consultant under the terms and conditions to be negotiated by the site and FlexTech Consultant.
- All On-site Energy Manager engagements must include cost-sharing in the form of cash support from the customer. In-kind contributions of any type are not allowed as cash support
- Funds may be used for On-site Energy Manager services only and may not be used for implementation or equipment purchase.
- Travel costs are limited to 3% of the total On-site Energy Manager engagement cost.
- Invoices for On-site Energy Manager services should be broken out by non-labor costs, individuals, titles, hourly rates, dates and hours worked on each task. Invoices should also indicate the amount that is being invoiced concurrently to the site. If applicable, NYSERDA may also require a copy of the customer's canceled check paying their On-site Energy Manager engagement cost-share. Invoices may be submitted no more frequently than monthly to invoices@nyserda.ny.gov. NYSERDA reserves the right to withhold payment in cases where program deliverables are not being met.
- Adjustments to the contract period and funding levels may be made at NYSERDA's discretion.

III. Application Requirements

On-site Energy Manager Application Package, Required Documentation:

1. Proposal Checklist (Attachment A)
2. Disclosure of Prior Findings of Non-responsibility Form (Attachment B)
3. Completed and signed Applicant Information and Certification (Attachment C)
4. Scope of Work (per Scope of Work Requirements, Attachment D) with schedule, detailed budget (per Attachment E, Budget Template or equivalent) including a breakout by task and by title, hourly rate, hours, and non-labor costs, and site energy reduction goal
5. Description of energy projects, corporate sustainability initiatives, and general energy and other cultures (e.g. safety, quality) at the site in the Scope of Work
6. On-Site Energy Manager resume. Please highlight:
 - a. Relevant qualifications such as licensed Professional Engineer (P.E.), Certified Energy Manager (CEM), Certified Energy Auditor (CEA), etc.
 - b. Past experience as energy advisor to the Industrial sector
 - c. Demonstrated business acumen and leadership skills to be able to sell energy projects to upper management

7. Industrial site company organizational chart and reporting structure for On-site Energy Manager role.

Application Evaluation: Applications that meet all the Application Requirements will be reviewed at least every other week by a Scoring Committee using the Evaluation Criteria identified below. After the proposals are reviewed, NYSERDA will inform each proposer of their selection status. Applicants receiving favorable evaluations may also be asked to address specific questions or recommendations of the Scoring Committee, or make modifications to the Scope of Work, before awarding funding.

Evaluation Criteria (42 points is the minimum threshold of 60 possible):

- **Target savings as result of On-site Energy Manager engagement – 10 total points**
 - Reasonableness; savings target is attainable by site in one (1) year – 5 points
 - Percentage and total in relation to annual energy site usage by fuel type – up to 5 points
- **Industrial site energy acuity and project implementation history – 15 total points**
 - Existing corporate sustainability or energy goal – 5 points
 - Ability to implement sizeable (>1,000 MWh electric or >10,000 MMBtu fossil fuel), complicated (multi measure) energy and productivity projects – up to 5 points
 - Independent or peer recognition for energy projects – 5 points
- **Corporate culture and motivation – 20 total points**
 - Background that explains special need/desire for an On-site Energy Manager – up to 3 points
 - Plan for incorporating the On-site Energy Manager into the broader team: will the On-site Energy Manager be well positioned to effect change with respect to energy? – up to 10 points
 - Existing organizational cultures (e.g. safety culture, quality, energy, etc.) and awareness training programs – 3 points
 - Existing energy tracking and monitoring system – 2 points
 - Existing cross-functional energy team - 2 points
- **On-Site Energy Manager expertise & leadership – 10 total points**
 - Relevant qualifications such as licensed Professional Engineer (P.E.), Certified Energy Manager (CEM), Certified Energy Auditor (CEA), etc.- up to 2 points
 - Past experience as energy advisor to the Industrial sector – up to 5 points
 - Demonstrated business acumen and leadership skills to be able to sell energy projects to upper management – up to 3 points
- **On-Site Energy Manager Budget – 5 total points**
 - Reasonableness of cost and time allocation; appropriateness of labor rates and use of support staff – up to 5 points

Programmatic Considerations: In order for the Pilot to be as compelling as possible to the New York State industrial market, NYSERDA reserves the right to ensure distribution of Pilot participants across multiple industrial sectors and geographically across New York State.

NYSERDA is targeting 10 Large Sites and 5 Medium Sites through the Pilot. NYSERDA reserves the right to make adjustments to the number of Large Sites and Medium Sites actually contracted based upon applications received so long as no more than 15 sites are contracted for the Pilot and the allocated NYSERDA funding is not exceeded.

Denied Applications: Sites whose applications are denied may request a de-briefing and may reapply. Sites whose applications are denied twice may not reapply during the Pilot, but may apply to a potential future program.

Successful Applications: After review by the Scoring Committee, recommendations and comments on the Application documents will be resolved. Then NYSERDA will make a final selection decision, and issue a Notice to Proceed to the FlexTech Consultant, copying the applicant Industrial site. Cost-share amounts are not set-aside until a Purchase Order is issued.

IV. GENERAL CONDITIONS

GENERAL CONDITIONS

Proprietary Information - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes.

The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <http://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

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

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

Empire State Development
Division For Small Business
625 Broadway
Albany, NY 12207

A directory of certified minority- and women-owned business enterprises is available from:

Empire State Development
Minority and Women's Business Development Division
625 Broadway
Albany, NY 12207

State Finance Law sections 139-j and 139-k - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain new procurement lobbying requirements which can be found at <http://www.ogs.ny.gov/aboutogs/regulations/advisoryCouncil/StatutoryReferences.html> The attached Proposal Checklist calls for a signature certifying that the proposer will comply with State Finance Law sections 139-j and 139-k and the Disclosure of Prior Findings of Non-responsibility form includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years.

Tax Law Section 5-a - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the

Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department. The Department has created a second form that must be completed by a perspective contractor prior to contacting and filed with NYSERDA. See, ST-220-CA (available at http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

Contract Award - NYSERDA anticipates making multiple awards under this solicitation. It may award a contract based on initial applications without discussion, or following limited discussion or negotiations. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support submissions including scope of work modifications or negotiations before issuing a Purchase Order. Each application should be submitted using the most favorable cost and technical terms. NYSERDA will use Attachment C to contract successful applications. A sample Purchase Order is available on request. NYSERDA expects to notify customers in approximately six (6) weeks from the receipt of a complete project package whether the submission has been selected to receive an award.

Limitation - This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest.

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

V. Attachments:

Attachment A: Proposal Checklist

Attachment B: Disclosure of Prior Findings of Non-responsibility Form

Attachment C: Applicant Information and Certification

Attachment D: Scope of Work Requirements

Attachment E: Budget Template

Attachment F: NYSERDA Instructions for Submitting Electronic Proposals

Attachment G: Terms and Conditions

Making Transportation Smart and Sustainable Program Opportunity Notice (PON) No. 3345 \$3,000,000 Available

NYSERDA reserves the right to extend and/or add funding to the Solicitation should other program funding sources become available.

PROPOSALS DUE: November 29th, 2016 by 5:00 pm Eastern Time*

In partnership with the New York State Department of Transportation (NYSDOT), the New York State Energy Research and Development Authority (NYSERDA) seeks proposals that have the potential to reduce the greenhouse gas (GHG) emissions and the associated energy consumption of the existing multi-modal transportation system in New York State. Project Focus Areas will be limited to: 1) Smart Mobility Solutions, 2) Smart Infrastructure and Systems Planning, and 3) Smart Freight and Urban Delivery Systems. Total available funding is \$3,000,000. All, some, or none, of the available funding may be awarded. In funding this solicitation, the sponsors seek to promote an integrated, multi-faceted, energy-efficient, and sustainable transportation system through the identification of innovative strategies, policies, emerging technologies and partnerships, and through useful demonstrations that validate underutilized commercial products in New York State.

Proposal Submission: Electronic submission is preferable. NYSERDA will also accept proposals by mail or hand-delivery. If submitting electronically, proposers must submit the proposal in either PDF or MS Word format with a completed and signed Proposal Checklist and Disclosure of Prior Findings of Non-Responsibility, in PDF format. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility, rather than scanning. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. Proposals may be submitted electronically by following the link for electronic submissions found on this PON's webpage, which is located in the "Current Opportunities" section of NYSERDA's website (<https://www.nyserdera.ny.gov/Funding-Opportunities/Current-Funding-Opportunities>)

Instructions for submitting electronically are located in Attachment G to this PON. If mailing or hand-delivering, proposers must submit two (2) paper copies of their proposal with a completed and signed Proposal Checklist, along with a CD or DVD containing both a PDF and a MS Word digital copy of the proposal, following the above guidelines. Mailed or hand-delivered proposals must be clearly labeled and submitted to:

**Venice Forbes, PON 3345
New York State Energy Research and Development Authority
17 Columbia Circle, Albany, NY 12203-6399**

If you have technical questions concerning this solicitation, contact Joseph Tario, (518) 862-1090 ext. 3215 (Joseph.Tario@nyserdera.ny.gov). If you have contractual questions concerning this solicitation, contact Nancy Marucci, (518) 862-1090 ext. 3335 (Nancy.Marucci@nyserdera.ny.gov).

No communication intended to influence this procurement is permitted except by contacting Joseph Tario (Designated Contact) at (518) 862-1090, ext. 3215 (Joseph.Tario@nyserdera.ny.gov). Contacting anyone other than this Designated Contact (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offeror, and (2) may result in the proposer not being awarded a contract.

*Late proposals will be returned. Incomplete proposals may be subject to disqualification. It is the bidder's responsibility to ensure that all pages have been included in the proposal. Faxed or e-mailed proposals will not be accepted. Proposals will not be accepted at any other NYSERDA location other than the address above. If changes are made to this solicitation, notification will be posted on NYSERDA's web site at <http://www.nyserdera.ny.gov/>

I. INTRODUCTION

New York State seeks to provide safe, efficient, balanced and environmentally sound transportation. Effective and efficient transportation supports economic and community development. Cities and communities throughout New York are pursuing solutions that will provide a comprehensive response to improve transportation mobility, systems, and networks. New York's transportation system can be improved through a range of options that move toward dynamic, connected, and integrated mobility platforms. This Program Opportunity Notice (PON) seeks innovative transportation solutions that enhance transportation efficiency, resiliency, reliability, safety and energy efficiency; increase economic competitiveness and quality of life; and support community revitalization and environmental sustainability.

Smart cities and communities are adopting a connected "system-of-systems" approach that interfaces with transportation infrastructure, networks, and related services. Smart transportation solutions are scalable, use connected information and use digital technologies to improve mobility, reliability, safety, and security. Smart solutions use real-time operational data to enhance strategic decision-making; take advantage of collaborative service models focused on shared outcomes across organizational boundaries; and maximize energy efficiency through smart grid technologies and modal alternatives.¹

Three categories of projects or Focus Areas will be considered for funding. These are described in the following sections, but all three Focus Areas share the following common features:

- *Integrated Technologies and Communications.* Optimize the use of and access to broadband internet, sensor networks, Internet of Things (IoT), information and communications technology (ICT), intelligent transportation systems (ITS), and other technologies. This PON encourages use of digital innovations and platforms that enable intelligent, dynamic, and integrated communications between transportation organizations, networks, modes, and users.
- *Intermodal Connections.* Emphasize increased and more efficient use of multimodal choices and better management through systems engineering, operational improvements, and other planning strategies with the goal of enhancing network efficiencies, safety, resiliency, and redundancy.
- *Environmental Sustainability.* Reduce the energy impacts of transportation, reduce GHG emissions, balance planning for growth, protect and preserve limited natural resources, and support energy efficiency, resiliency, economic productivity, and livability.
- *Cooperative Governance.* Support integration of open data, digital technologies, and transparency resulting in improved outcomes aligned with strategic priorities, built on collaboration.
- *Applied Planning and Research.* Lead to the development and deployment of practical solutions that address New York's transportation needs, meet traveler expectations and desires, and enhance the reliability, efficiency, resiliency and safety of New York's transportation system.

Proposals should clearly indicate how these features will be incorporated or addressed in the proposed project delivery.

Within each Focus Area, there are five Funding Categories which vary with the type of project proposed (e.g. conference, paper study, field demonstration, etc.) The Funding Categories are further described later in this document, but each individual proposal must select a single Focus Area and a single Funding Category.

¹ Some of the elements that make transportation smart and sustainable are explored in the findings, conclusions, and recommendations of the report entitled *The Smart/Connected City and Its Implications for Connected Transportation*, Federal Highway Administration, 2014. http://ntl.bts.gov/lib/54000/54200/54204/smart_connected_city_FINAL_111314.pdf

II. PROGRAM REQUIREMENTS

Focus Area 1: Smart Mobility Solutions.

Transportation innovations are rapidly changing the way travelers and commuters move. This is seen by the growing implementation and use of shared use mobility and peer-to-peer networks – integrated operations that provide a variety of dynamic, connected, options enhanced with information and communications technology (ICT). Often, though, these innovations are not optimized to provide travelers with convenient, practical, affordable, and sustainable door-to-door transportation.

Smart mobility solutions optimize travel by using applications and offering services that process real-time conditions, provide accurate, instantaneous information about desired destination points, and how best to reach them. They provide multifaceted, readily accessible, efficient, easy to understand, and safe travel options. These solutions apply open multi-agency, multimodal data to support alternatives to driving alone, provide personalized travel information on modal and routing options and improve the travel experience. Smart mobility solutions bring together various sectors and sub-system components, working together to provide relevant, responsive information and choice of services.²

The objectives of this focus area are to engage in planning, applied research, exploration and deployment of solutions that improve the efficiencies of transportation systems, projects, processes, and products. Successful projects should support a redistribution of travel demand across various modes, routes, and time; alter the way travelers use transportation systems and services by equipping them with more and better information; and/or seek to achieve a balance that optimizes transportation services and demand for travelers who use them.

Activities in this area may include, but are not limited to, initiation and/or application of:

- Mobility services, products, designs, and solutions that are redefining how travelers commute and move about.
- Technologies that build or enhance efficiencies, relevancy, simplicity of alternative modes of transportation.
- Modal designs that enhance greater use of public transportation, bicycling, and walking.
- Business models, partnerships, and collaborative alliances that support next generation transportation options and system operations that enhance mobility; reduce congestion; and improve safety and resiliency, environmental sustainability and community livability.
- Innovative platforms and decision-support systems that facilitate optimized multi-modal travel responses before, during and after disruptive events including those caused by storms and extreme weather.

² These ideas are examined in Shared Mobility and the Transformation of Public Transit, American Public Transportation Association, 2016. <http://www.apta.com/resources/reportsandpublications/Documents/APTA-Shared-Mobility.pdf>

II. PROGRAM REQUIREMENTS, continued

Focus Area 2: Smart Infrastructure and Systems Planning.

Smart infrastructure and systems planning enhance and improve existing transportation systems, networks, and operations. Projects in this focus area should support operational coordination and optimization, which could include multiple transportation networks and connections. The primary focus is on optimizing traffic operations, expanding integrated modal options and intelligent infrastructure and processes. Smart infrastructure and systems projects should leverage frequently collected and rapidly disseminated, multi-source data procured from connected travelers, various alternative transportation modes, and infrastructure.

The objective of this focus area is to engage in planning, applied research, decision support system development, systems operation and engineering, concept development and deployment, outreach and training, partnerships, and community involvement. Concepts, strategies, and solutions should demonstrate how they are dynamic and integrated, build capacity and more efficiently use existing capacity in day-to-day operations, or improve flexibility and capacity in responding to disruptive events including storms and extreme weather.

Activities in this area may include, but are not limited to, initiation and/or application of:

- Active transportation demand management (ATDM), intelligent transportation systems (ITS), information and communications technology (ICT), and integrated corridor management (ICM) strategies that improve multi-modal network convenience, efficiency, and safety.
- Predictive analytics relative to highway, public transportation, and freight related systems and infrastructure that improve operations, management, efficiencies, functionalities, decision support, and collaboration.
- Connected and/or autonomous systems, infrastructure, vehicles, and technologies that leverage the capabilities of government, non-governmental organizations (NGOs), and the private sector to create integrated, multimodal system environments.

Focus Area 3: Smart Freight and Urban Delivery Systems.

Developing efficient freight transportation and related urban delivery systems are important for business and New York's economy. However, numerous challenges exist ranging from chronic congestion and unpredictable travel conditions, aging infrastructure regulated by multiple agencies, demanding delivery windows, rapidly changing technologies, varying rules, regulations, and policies between jurisdictions, and fragmented management. This is further exacerbated by a constrained funding environment making it difficult to develop projects aligned with future needs.

ICT, IoT, and ITS tools and technologies, methods, and processes can improve business operations and functions in ways that improve overall freight system efficiencies and logistics management. They can provide increased levels of reliability, connectivity, and capacity by increasing the potential for using open data; greatly enhanced predictive capabilities and digital networks; and real-time, dynamic decision-making that improves reliability, efficiency, and security in a complex transportation sector. These new capabilities offer the potential to dramatically improve freight system operations, logistics, and supply chain management.

The objective of this focus area is to engage in planning, applied research, and development of innovative technology-based approaches that reduce or eliminate barriers to the more widespread adoption of innovative tools and technologies in freight and goods movement operations, make better use of freight networks, reduce freight ton miles traveled, and reduce freight sector energy use and emissions without sacrificing reliability and freight performance, operations, or objectives.

II. PROGRAM REQUIREMENTS, continued

Activities in this area may include, but are not limited to, initiation and/or application of:

- Innovative and transformative technology or corridor management solutions that result in enhanced integration and interoperability of traffic management systems and freight operations, in day-to-day operations and/or in response and preparation for disruptive events.
- Innovative technologies and systems leading to improvements in freight vehicle operations and logistics; load and vehicle tracking; cost-benefit analyses; route and distribution facility optimization; and collaborative distribution through use of open source information and services, on-board equipment, or integrated wireless communications infrastructure.
- Standardization of communication protocols, equipment, and technologies demonstrating how feasibility, security, and cost savings can be optimally achieved.
- Innovative business models, partnerships, and functions that facilitate optimized, unimpeded integration and flow of information and goods within supply chains and beyond corporate boundaries.

Funding Categories. Five categories will be considered for funding, at the below enumerated funding levels. Further information follows this initial listing and all proposals MUST select one of the following:

1. Education and Technology Transfer (\$30,000 max). Outreach activities to advance the education and awareness of the general public, policy makers, stakeholders, students, metropolitan planning organizations (MPOs) and others on the issues, consequences, objectives and resources, associated with reductions in transportation GHGs/energy consumption.
2. Research, Policy, and Feasibility Studies (\$150,000 max). Applied research to develop and evaluate new strategies and policies for New York State that have the potential to achieve reductions in transportation GHGs/energy consumption, and to improve energy efficiency.
3. Demonstrations of Underutilized Strategies and Policies (\$200,000 max). Demonstrations that have not been previously deployed in New York State to any significant extent which have the potential to reduce transportation GHGs/energy consumption and that require only minor amounts of equipment and/or materials purchased for implementation (< 30% of the total project budget).
4. Integration of Existing Mobility Strategies through Collaborative Partnerships (\$300,000 max). Partnerships on a larger scale in which numerous and diverse public and private entities team up and pool resources to work together to reduce transportation GHGs/energy consumption.
5. Demonstrations of Underutilized Commercial Technologies (\$500,000 max). Demonstrations of technologies that have not been previously deployed in New York State to any significant extent which have the potential to reduce transportation GHGs/energy consumption and that require significant amounts of equipment and/or materials purchased for the proposed implementation (> 30% of the total project budget).

Category 1 seeks to fund technology transfer/outreach activities and materials, including workshops, webinars, publications, guidebooks, and brochures. Outreach activities may focus on implementing new strategies or technologies, as well as seek to modify the behavior of New York State residents. The funded activity should produce a project-specific deliverable to promote impact and replication beyond the timeframe of the project. (e.g. webcast, curriculum materials, etc.).

Category 2 is designed to fund specific research, plans, and studies, which may include feasibility assessments, engineering studies, policy research and related analysis necessary to establish the energy, environmental, and additional benefits of a relevant policy, strategy, product or technology. Examples of additional benefits include financial impacts, as well as potential impacts in the areas of operations, maintenance, safety, reliability, mobility, and security.

II. PROGRAM REQUIREMENTS, continued

Applied research is defined as the systematic inquiry to solve practical problems resulting in practical applications, whereas, basic research is defined as the systematic study toward gaining greater knowledge or understanding, but without focus on specific practical applications, end results or products.

Category 3 seeks to demonstrate underutilized strategies, plans, and policies that have been proven to be effective elsewhere, nationally or internationally. The intent, however, is to replicate fundamental changes in system operations, which can be readily implemented without major equipment expenditures. For this category, proposed purchases of materials and equipment are limited to 30% of the total project budget.

Examples of qualifying Category 3 demonstration proposals might include: a) demonstration of tailor-made ICMS or system of systems approaches to corridor management that facilitate the organization, integration, and communication of innovative, multimodal system concepts, products, and services; b) generation of an ICMS capability maturity framework of planning, operational, institutional, and technical deployments that produce optimal economies-of-scale and achieve full integration of system synergies that fully meet traveler needs; c) expanded access to and re-purposing of underutilized facilities for consolidated freight services; and d) emerging innovations in transportation research, standards, and practices related to pedestrian and bike-related infrastructure that ensure the safety and greater accommodation of pedestrians and bicyclists.

Category 4 seeks to support and implement larger Collaborative Partnerships that integrate and leverage across modes, strategies, agencies, and sectors. Innovations and opportunities are rapidly evolving and encompassing numerous aspects of commuting and traveling, urban goods movement and supply chain management, telecommunications, use of wireless technologies, e-business and social media, real estate and land use patterns, and design (products, services, technologies, and community). The quality of the Collaborative Partnership is as important as the transportation issue being addressed and proposers should establish diverse, innovative collaborations exploring social and business opportunities, as well as the emerging strategies and technologies being deployed.

Examples of Collaborative Partnerships are a) shared economy alliances and peer-to-peer transportation networks that bundle transportation modal options with related services such as smart parking solutions, insurance, toll charging, and multichannel single payment networks; b) optimal use of digital innovation, online information, and social media platforms that encourage open market insights and public and business collaboration; and c) utilizing the business community as strategic partners to assist in delivering and showcasing a dynamic 'solutions landscape' of innovative measures, creative problem solving initiatives, and cross-cutting solutions with respect to overcoming barriers and challenges to creating a fully integrated, multimodal transportation systems environment.

Category 5 is similar to Category 3, but differs in the amount of materials and equipment required to be procured for the demonstration. Category 5 is designed to fund the limited demonstration of existing underutilized commercial technologies that have been successfully deployed in other states or countries (e.g., adaptive traffic signal control systems and connected vehicle technologies), but have not been previously deployed in New York State to any significant extent. The intent is not to research the existing technology per se, but to quantify and validate potential benefits and identify specific barriers to adoption for New York. In contrast to Category 3, it is recognized that significant procurement of material and equipment may be necessary (>30% of the total project budget).

Category 3 and **Category 5** proposers will be required to establish that their proposed strategy or technology is truly underutilized in New York State. Proposers should conduct a review of available literature, news articles, and internet sites and published studies to present a convincing case for the value in a New York State demonstration.

II. PROGRAM REQUIREMENTS, continued

Category 5 proposers will also be required to establish that the transportation technology is fully commercial and that no significant product development is required. Transportation technologies requiring additional product development should be proposed to NYSERDA's Advanced Transportation Innovations solicitation, which is issued annually and specifically targets transportation product development.

A commercial technology is defined to be a product, such as an item, material, component, subsystem, or system, applicable to transportation and sold or traded in reasonable quantities on the open market within the course of normal business operations at prices based on established catalog or market prices with industry-standard deliveries, terms, and warranties.

Project Scope. To be selected for funding, proposals must:

- Offer readily quantifiable reductions in GHG emissions and transportation energy use in New York State with a clearly identified process for verifying these benefits.
- Demonstrate a viable path to market acceptance resulting in additional technology adoption and replication beyond a single demonstration.
- Emphasize the ultimate deployment of technical solutions rather than perform basic research.
- Document accessibility, sustainability, mobility, reliability, environmental, economic, safety and/or security benefits in New York State.
- Be consistent with metropolitan transportation plans in New York State and with transportation related regulations at the federal or state level.
- Provide the minimum required amount of cost-sharing by the proposer or third parties in the form of cash or in-kind labor, materials, equipment, facilities, and other resources, subject to reasonable and verifiable valuation. Co-funding may be from the proposer or other private or government sources. New York State funds cannot be used to reimburse or replace normal expenses of other government organizations.

Due to the objectives of PON 3345, teaming arrangements are encouraged and may be necessary to achieve project success. Proposal teams may include commercial firms, industry associations, research organizations, universities, government agencies, end-users, and other stakeholders.

Letters of Commitment. If you are relying on any other organization to provide services, equipment or cost share, include a letter from that organization describing its planned participation. Where appropriate, proposed field demonstrations should include Letters of Commitment from the host site or vehicle fleet owner. Absence of Letters of Commitment will be interpreted as the proposer not having support from the identified parties.

Letters of Support. In addition to Letters of Commitment, also include Letters of Support from other organizations and entities that are not on the Project Team, but that are critical to the success of the project. Letters of Support are highly valued by the sponsors and by the evaluation committee. The proposer should give strong consideration as to who the project will impact and seek Letters of Support where appropriate. However, due to their active sponsorship of this collaborative solicitation, Letters of Support should not be solicited from NYSDOT or NYSERDA personnel.

Other Considerations. In addition, note that:

- A proposal may be considered **non-responsive** if it fails to comply with the requirements above, the Proposal Requirements of Section III, or the General Conditions of Section VI.
- Prior to an award being made, potential awardees may be required to demonstrate: access to financial and staffing resources sufficient to perform the proposed work; technical experience and adequate facilities (or the ability to access them); a good performance record; and the ability to qualify for an award under applicable laws and regulations.

III. PROPOSAL REQUIREMENTS

The proposer's goal should be to concisely present the information needed to fully address the evaluation criteria (see Section V). Proposals that grossly exceed the word limits or fail to follow the format guidelines may be rejected as non-responsive. If you believe proprietary information must be submitted to provide an adequate proposal, you must comply with the Section V instructions for submitting proprietary material.

Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective proposal may reduce, rather than increase, a proposal's standing per the evaluation criteria. Each page of the proposal should state the name of the proposer, the PON number, and the page number. The proposal must be in the following format, with items in the sequence shown.

Proposal Sections. Sections of your proposal should be formatted and assembled as follows:

1. Proposal Checklist. Complete the specific Proposal Checklist attached as part of this PON (Attachment A), and include it as the front cover of the proposal (if mailing or hand delivering, the Proposal Checklist must be included as the front cover of the original and each copy of the proposal). Note the following:

- Indicate whether you accept the standard terms and conditions as contained in the attached Sample Agreement. If you do not accept the standard terms and conditions, provide alternate terms with justification based on the risk and benefit to NY State. NYSERDA reserves the right to consider only exceptions to terms that are specifically included with the proposal. Any negotiation of terms will be at NYSERDA's sole discretion.
- Do not leave any blanks. If a specific question is not applicable, indicate N/A.
- Be sure the individual signing the Proposal Checklist is authorized to commit the proposer's organization to the proposal as submitted.

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

In compliance with §139-j and §139-k of the State Finance Law (see Section V, General Conditions below for additional information), additional forms must be completed and filed with proposals: (1) a signed copy of the Proposal Checklist including required certifications under the State Finance Law and (2) a completed Disclosure of Prior Findings of Non-Responsibility form. Failure to include a signed copy of the Proposal Checklist referenced in this solicitation may disqualify your proposal.

3. Executive Summary (two pages maximum). Indicate the Focus Area and the Funding Category to which your proposal is being submitted. Briefly summarize the team members, the related problem or opportunity, the proposed solution and its innovative characteristics, and the potential for energy/GHG reductions in NY State. Use the following outline: a) Team Members; b) Background; c) Objective and Scope of Proposed Project; and d) Project Benefits.

4. Background and Proposed Approach (two to three pages). Provide a narrative of the transportation sector being impacted, how it currently operates and what opportunities exist for improvement. Explain fully how the transportation energy and GHGs will be reduced and how the efficiency of the existing NY State transportation system will be enhanced. If applicable, discuss your solution's relevance to any metropolitan transportation plan or transportation-related regulation.

For Category 3 funding, proposers must include a proposal section documenting the NY State underutilization of their strategy. This should include the results of literature reviews and internet scans as previously discussed and contrast New York to other areas where utilization occurs. For Category 5 funding, proposers must include a proposal section documenting the commercial availability and NY State underutilization of their technology. This should include previous sales and deployments, and include client references and contact information.

5. Proposed Statement of Work and Schedule (three to four pages). The Statement of Work (SOW) is the primary contractual document that outlines work activities and specifies deliverables. It delineates each step required to accomplish the project objectives. Therefore, each action needs to

III. PROPOSAL REQUIREMENTS, continued

be identified, indicating who will perform it, how it will be performed and its intended result. At the end of each task description, specific task deliverable(s) must be listed. Be sure to identify the task deliverable, as this will be a measure of your performance.

Be clear and specific: concentrate on “how” and not “why”. Use “active voice” sentence structure to make clear who is responsible for specific actions. Use the following phrase to start the description of every task and subtask (“The Contractor shall....”). The SOW structure should include:

Task 0: Project Management.

Subcontracts. The Contractor shall enter into the following agreements. Describe all required subcontracts, even if the subcontractor is yet to be defined.

Meetings. The Contractor shall hold a Kick-Off Meeting, Interim Review Meetings (as warranted), and a Wrap-Up Meeting at the end of the project.

Progress Reports. NYSERDA and NYSDOT will expect to receive written monthly or quarterly progress reports, as part of the project management task. These activities should be considered when developing your cost proposal. Such reports shall describe any difficulties encountered during the reporting period and shall include a statement of the Project Director setting forth the cost of the work during the reporting period.

Data Collection and Benefit Reporting. For Category 1 and 2 Outreach/Study Projects, NYSERDA will require two brief annual updates on the effectiveness of the information dissemination (e.g. conference presentations, workshops, publications, citations, etc.). A simple, web-based PDF form will be provided for electronic filing (Attachment F).

For Category 3, 4, and 5 Implementation/Demonstration Projects, the proposal should include a detailed plan to collect data and provide reporting to validate the claimed transportation benefits. Depending on the project, this may require periodic data collection and reporting activities, conducted by the proposer or subcontracted to an unbiased third party. This is an important aspect of a properly-crafted project and it will benefit the proposer and NY State if done properly.

For Category 3, 4, and 5 Implementation/Demonstration Projects, NYSERDA will also require five brief annual updates on the effectiveness and additional replication of the Strategy/Technology. A simple, web-based PDF form will be provided for electronic filing (Attachment F2).

Additionally, NYSERDA may retain an independent third party to evaluate the results of funded projects in selected areas of interest. Upon such a request from NYSERDA, the Contractor shall make available project files and data for evaluation for a period of time not to exceed 5 years.

Report. The Final Report is a significant project deliverable and should detail all of the work performed and task deliverables, but exclude proprietary information. The comprehensive Final Report shall cover all aspects of the project and shall merge together, and build further on, the previously generated monthly progress and benefit reports. Although not onerous, NYSERDA, NYSDOT and FHWA each have elements of required report formats, which need to be satisfied and which will be provided to successful proposers at the start of the project.

In the Final Report, the Contractor shall quantify the magnitude of the potential GHG and energy reductions under various scenarios. Annual estimates for the next five years shall be developed assuming realistic adoption in NY State. If appropriate, larger regional or national impacts shall be estimated assuming reasonable replication. All estimates shall reference credible sources and estimating procedures, and all assumptions shall be documented.

A payment based on the Final Report will be reserved until project completion. If awarded, NYSERDA may choose to negotiate the amount of such payment.

III. PROPOSAL REQUIREMENTS, continued

Task 1, 2, 3, etc. Project-specific Work Scope Tasks. Add as many tasks and subtasks as necessary to cover all actions needed to achieve the goals and objectives of the project. Each task should include a concise narrative description of the work that will be performed and how the work will be performed and specific deliverables to be provided. Typical tasks may include, but are not limited to, requirements definition, preliminary design, field testing, final design, and demonstration.

Schedule. Present a work schedule with a starting point and duration for each task and subtask. Presentation of the schedule in a table or bar chart is preferred starting with “Month 1,” “Month 2,” etc. along the top horizontally with tasks and subtasks running vertically down the left hand side. Although other timeframes will be considered, typical project schedules run nine to eighteen months.

6. Proposer Qualifications (two to three pages). Provide an overview of the relevant qualifications of the proposer, other team members and major subcontractors. Note that subcontracts of \$50,000 or more are subject to competitive bid procedures except where the proposal identifies a specific subcontractor as an integral participant in the proposed work (see Att. E: Sample Agreement). Resumes, facility qualifications, and data sheets do not belong in the body of the proposal, but should be included in the appendix. Key individuals identified in the proposal need to be available to commit to the project in the time frame proposed and subsequent personnel substitutions will require NY State approval. Additionally, discuss any NYSDOT and/or NYSERDA contracts awarded to the proposer in the past five years and identify the associated NY State project managers.

To the extent that proposed Category 5 activities include the use of any existing intellectual property (IP) assets, the proposer must describe the IP and provide details identifying any granted patents or pending applications related to the IP. If the proposer does not own the relevant IP, but is a licensee of the IP, then the proposal must specifically identify and describe any relevant license agreements. Proposers are encouraged to provide copies of relevant IP license agreement(s) and/or letter(s) of support from licensors as attachments to the proposal. To the extent any of the above represents non-public information, please refer to the “Proprietary Information” section in Article V below.

7. Project Benefits (one to two pages). Discuss how the proposed project will reduce GHG emissions and transportation energy in NY State and estimate the potential improvement. Quantify any additional project benefits to the extent possible: mobility and reliability benefits (e.g., congestion reduction, reduced travel variability, etc.), environmental benefits (e.g., emissions, minimizing hazardous materials, etc.), economic benefits (e.g., jobs created or retained, reduced life-cycle costs, etc.), safety and security benefits (e.g., reduction in deaths, injuries and real property losses, etc.), and other benefits (e.g., cost of compliance with regulations, enhanced quality of life, etc.). Describe the methodology that will be used to collect the necessary data and quantify the project benefits.

8. Path to Market Acceptance (one page). Provide evidence that relevant stakeholders are interested in the technology being investigated. Explain how they would benefit from the technology being widely introduced in New York State and why they would be likely to favor that adoption over alternatives. Describe the barriers standing in the way of broad acceptance of the technology being studied and explain how the project will educate stakeholders about ways to avoid or break down these barriers. Characterize a plausible path to broader adoption of the technology, including a description of the resources and stakeholders that must be engaged to accomplish this.

9. Budget. A Contract Pricing Proposal Form (CPPF), with associated instructions, is provided as Attachment D to this PON. Each proposal must include a completed CPPF and also a cost-sharing table (see example below) identifying the allocation of funding by task. NY State funds cannot pay for efforts that have already been undertaken or be used to reimburse or replace normal expenses of other government organizations. All proposals must provide additional funding as cost share and this shall be an important evaluation criteria. Cost share cannot include expenses that have already been incurred. The net cost to NY State is one of the evaluation criteria and will be closely considered.

III. PROPOSAL REQUIREMENTS, continued

Category 2 proposals seeking more than \$100,000 of NYS funds and Category 5 proposals seeking more than \$350,000 of NYS funds are required to provide a minimum of 35% of the total project cost as cost share. All other proposals must provide a minimum of 25% of the total project cost as cost share. For example, proposals seeking \$75,000 of NYS funds are required to provide a minimum of \$25,000 in cost share, which is 25% of the total project cost of \$100,000.

Contributions of direct labor (for which the laborer is paid as an employee) and purchased materials may be considered "cash" contributions. Unpaid labor, indirect labor, or other general overhead may be considered "in-kind" contributions. For example, labor may be provided at discount rates, while products for commercial demonstration may be provided at a significant discount or "at cost" to the project. It is the responsibility of the proposer to adequately document the level of cost share being provided from all sources. If funded, the proposer will also need to provide cost share documentation with each invoice submitted. Show the cost sharing plan in the following format within your proposal.

PROPOSAL COST SHARING TABLE (expand as needed)						
Proposed Funding By Task (Cash and In-Kind)					Project Total	
Funding Source	Task 0 (\$)	Task 1 (\$)	Task 2 (\$)	...	Cash (\$)	In-Kind (\$)
NY State						
Proposer						
Co-Funder (identify)						
Co-Funder (identify)						
Task Total (\$)						

Indirect Costs. Attach supporting documentation to support indirect cost (overhead) rate(s) included in your proposal. Describe the basis for the rates proposed (i.e., based on prior period actual results; based on projections; based on federal government or other independently approved rates). If the rate(s) is approved by an independent organization, such as the federal government, provide a copy of such approval. If the rate(s) is based on estimated costs or prior period actual results, include calculations to support proposed rate(s). Calculations should provide enough information for NYSERDA to evaluate and confirm that the rate(s) are consistent with generally accepted accounting principles for indirect costs. NYSERDA reserves the right to audit any indirect rate presented in the proposal and to make adjustment, if warranted. Requests for financial statements or other financial information may be made if deemed necessary.

10. Annual Metrics Reports. If awarded, the proposer will be required to submit to NYSERDA's Project Manager on an annual basis, a prepared analysis and summary of metrics addressing the anticipated energy, environmental and economic benefits that are realized by the project. All estimates shall reference credible sources and estimating procedures, and all assumptions shall be documented. Reporting shall commence the first calendar year after the contract is executed. Reports shall be submitted by January 31 for the previous calendar year's activities. Please see Attachments F, and F1: Sample Metrics Reporting Guides for the initial metrics that you will be expected to provide and the reporting duration.

It will be the responsibility of the awarded proposers to use the most current version of the metrics reporting guides, which are housed on the NYSERDA website. The guides may change as NYSERDA's needs evolve over time. Additionally, awardees are expected to cooperate with NYSERDA evaluation as needed during and after completion of the project, these activities will ensure that the NYSERDA transportation projects are both effective and responsive to the needs of the market. NYSERDA may decline to contract with awardees that are delinquent with respect to metrics reporting for any previous or active NYSERDA agreement.

11. Appendices. Include any resumes, company qualifications, or ancillary information which is deemed necessary to support your proposal. Also include Letters of Commitment and Letters of Support.

IV. PROPOSAL EVALUATION

Proposals will be reviewed by a Scoring Committee and will be scored and ranked according to the following criteria, **listed in order of importance**. After the proposals are reviewed, NYSERDA will issue a letter to each proposer indicating whether the proposal has been selected for contract negotiations. The proposer will be required to submit – and reach agreement on – a detailed Statement of Work, budget, and schedule, and may also be asked to address specific questions or recommendations of the Scoring Committee before contract award.

Requirements. A negative response to any one of the questions below may eliminate the proposal from further consideration. Does the proposal:

- Show the potential to reduce GHG emissions and transportation energy use in NY State?
- Adequately document the commercial availability and/or underutilization of the technology and/or strategy to be demonstrated?
- Provide the minimum required amount of cost share by the proposer or third parties?
- Provide additional mobility and reliability, environmental, economic, safety and security benefits in NY State?
- Provide Letters of Commitment/Support from all co-funders and key stakeholders?

Proposal Evaluation Criteria.

- **Proposed Solution/Scope.** How significant is the issue or opportunity for NY State? Is it likely to be adopted and result in NYS benefits? If a demonstration, is the technology/strategy truly commercial and underutilized in NY State? Is the proposed work plan technically feasible, innovative, and superior to potential alternatives? Has the proposer demonstrated that the technology being studied is something that stakeholders are interested in implementing and does the proposer identify a path to market acceptance and economic viability? Is there a path for it to be replicable beyond a single demonstration?
- **Project Benefits.** How significant is the statewide potential for NYS transportation energy and GHG reductions? Are the expected benefits likely to be realized, given other constraints or barriers? Are there additional significant mobility, reliability, environmental, economic, safety, and security benefits? If adopted, will there be economic benefits in NY State in the form of subsequent manufacturing or technical service activity? Are the processes for estimation of benefits in preparation of the project, during project implementation, and post project implementation clearly explained and do they reference defensible sources or reliable measurement methods?
- **Proposer(s).** To what degree does the team have relevant and necessary technical and business background and experience? If a Collaborative Partnership, is it truly diverse and potentially effective? Does the team include NY State businesses, thereby providing economic benefits in the form of NYS jobs? Does the proposal contain Letters of Commitment/Support from all essential participants, co-funders, and related businesses and other organizations?
- **Project Outcome and Cost.** Is the overall project cost justified based on the expected benefits? Relative to the project cost, how significant are the potential benefits? Has the minimum cost share requirement (25% or 35%) been met? How appropriate are the proposer's cost share contributions (sources and amounts) with respect to their potential to benefit from the work and the financial status of the proposing organization and project team? Is the pricing and hourly rates in line with the rest of the market?
- **Other Considerations.** Proposals will be reviewed to determine if they fit well within the elected Focus Area and that they have been submitted to the proper Funding Category. Proposals should emphasize the ultimate deployment of technical solutions rather than perform basic research.

IV. PROPOSAL EVALUATION, continued

Program Policy Evaluation Factors. NYSERDA may consider the following program policy factors in making award selection decisions:

- Whether the proposed project will advance the goals of the State Energy Plan and the Clean Energy Fund, which include improving resilience and reducing GHG emissions.
- The degree to which the proposed project directly addresses NYSERDA's mission and strategic goals.
- The degree to which there is diversity of technologies, approaches, methods and institutions that would be complementary to and support a diversity of geographic locations and of technical approaches and methods that, in conjunction with the existing portfolio of projects funded by NYSERDA, best achieve the overall goals and objectives of NYSERDA.
- The degree to which there is industry involvement and demonstrated ability to accelerate the adoption of energy or related technologies.
- Whether the proposed project will accelerate transformational technology advances in areas that industry by itself is not likely to undertake because of technical and financial uncertainty.
- The degree to which there are technical, market, organizational and/or environmental risks associated with the projects that outweigh the potential benefits.
- The degree to which the proposed project, including proposed cost shares, optimizes the use of available funding to achieve programmatic objectives.
- The degree to which the applicant has the resources (human and financial) to be able to complete the project.

The award selection process contains multiple phases including an initial eligibility review, ranking by a Scoring Committee of subject matter experts, considerations such as program policy factors and the amount of funds available to make the selection decisions.

V. GENERAL CONDITIONS

Proprietary Information. Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes.

The NYS Freedom of Information Law, Public Officers Law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise" (emphasis added). Information submitted to NYSERDA that the proposer wishes to have treated as proprietary and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501. <http://www.nysERDA.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx> However, NYSERDA cannot guarantee the confidentiality of any information submitted.

V. GENERAL CONDITIONS, continued

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

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

Empire State Development / Division for Small Business
625 Broadway, Albany, NY 12207

A directory of certified minority- and women-owned business enterprises is available from:

Empire State Development / Minority and Women's Business Development Division
625 Broadway, Albany, NY 12207

State Finance Law sections 139-j and 139-k. NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at: <http://www.ogs.ny.gov/aboutogs/regulations/advisoryCouncil/StatutoryReferences.html>.

The attached Proposal Checklist calls for a signature certifying that the proposer will comply with State Finance Law sections 139-j and 139-k and the Disclosure of Prior Findings of Non-responsibility form includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years.

Tax Law Section 5-a. NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See ST-220-TD, which is available at: http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf.

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

Contract Award. NYSERDA anticipates making multiple awards under this solicitation. It may award a contract based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the submitted proposal (see Attachment A: Proposal Checklist). Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately ten weeks from the proposal due date, whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

V. GENERAL CONDITIONS, continued

Limitation. This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement. NYSERDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information and the presence of a material possibility of any reputational or legal risk in making of the award.

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

VI. ATTACHMENTS

- Attachment A - Proposal Checklist
- Attachment B - Disclosure of Prior Findings of Non-Responsibility Form
- Attachment C - Statement of Work
- Attachment D - Contract Pricing Proposal Form and Instructions
- Attachment D1 - Contract Pricing Proposal Form and Instructions (Excel)
- Attachment E - Sample Agreement
- Attachment F - Information Dissemination Metrics Reporting Guides
- Attachment F1 - Demonstration Metrics Reporting Guide
- Attachment G - Instructions for Electronic Proposal Submission



**Electric Power Transmission and Distribution (EPTD)
High Performing Grid Program
Program Opportunity Notice (PON) 3397
Up to a total of \$10 Million Available for Two Rounds**

**Proposals Due: Round 1: January 11, 2017 by 5:00 PM Eastern Time *
Round 2: June 28, 2017 by 5:00 PM Eastern Time ***

The New York State Energy Research and Development Authority (NYSERDA) announces the availability of up to \$10 million in funds to support research and engineering studies, product development and demonstration projects that improve the resiliency, reliability, efficiency, quality, and overall performance of the electric power delivery system in New York State. Proposals must demonstrate significant statewide public benefit and quantify all energy, environmental and economic impacts. The primary objective of the program is to promote the development of a high performing smart grid that accommodates a diverse supply of clean energy generation resources, enhances overall grid performance and enables customers to reduce their energy costs, energy consumption, and environmental impacts.

Examples of preferred technologies include, but are not limited to, the following:

- | | |
|---|--|
| <ul style="list-style-type: none"> Advanced Monitoring, Measurement and Controls Renewable / Distributed Energy Resources Integration Advanced Materials, Cabling / Conductors Distributed Energy Resources Interconnections / Microgrids Innovative Data Analytics | <ul style="list-style-type: none"> Transmission & Distribution Automation / Management Advanced Power Electronics Advanced System Modeling / Applications Advanced Sensors / Devices / Systems Advanced / Adaptive Protection Systems / Controls |
|---|--|

NYSERDA is accepting proposals in the following categories:

Category	Maximum NYSERDA Funding Per Award	Total Project Cost Share
Category A: Research Studies	\$ 400,000	25%
Category B: Engineering Studies	\$ 400,000	25%
Category C: Product Development	No limit	50%
Category D: Demonstration Projects	No limit	50%

Proposal Submission: Electronic submission is preferable. NYSERDA will also accept proposals by mail or hand-delivery. Whether submitted electronically or by mail or hand delivery, proposals must be received by NYSERDA by 5:00 PM Eastern Standard Time on January 11, 2017 (Round 1) or June 28, 2017 (Round 2). If submitting electronically, proposers must submit the proposal in either PDF or MS Word format with a completed and signed Proposal Checklist and Disclosure of Prior Findings of Non-Responsibility, in PDF format. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility, rather than scanning. For ease of identification, all electronic files must be named using the proposer’s entity name in the title of the document. Proposals may be submitted electronically by following the link for electronic submissions found on this PON’s webpage, which is located in the “Current Opportunities” section of NYSERDA’s website (<http://www.nyserdera.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>). Instructions for submitting electronically are located in that section as Attachment G to this PON.

If mailing or hand-delivering, proposers must submit (2) paper copies of their proposal with a completed and signed Proposal Checklist, along with a storage device containing both a PDF or MS Word digital copy of the proposal, following the above guidelines. Mailed or hand-delivered proposals must be clearly labeled and submitted to: **Jillina Baxter, PON 3397, New York State Energy Research and Development Authority, 17 Columbia Circle, Albany, NY 12203-6399**. Technical programmatic questions should be directed to John Love, 518-862-1090 ext: 3317 (john.love@nyserdera.ny.gov), or Michael Razanousky, 518-862-1090 ext: 3245 (michael.razanousky@nyserdera.ny.gov). Contractual questions should be directed to Nancy Marucci, (518) 862-1090 ext: 3335 (nancy.marucci@nyserdera.ny.gov).

No communication intended to influence this procurement is permitted except by contacting Michael Razanousky, (518) 862-1090 ext: 3245. Contacting anyone other than this Designated Contact (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer’s behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offeror, and (2) may result in the proposer not being awarded a contract.

* Late proposals will be returned. Incomplete proposals may be subject to disqualification. It is the bidder's responsibility to ensure that all pages have been included in the proposal. Faxed or emailed proposals will not be accepted. Proposals will not be accepted at any other NYSERDA location other than the address above. If changes are made to this solicitation, notification will be posted on NYSERDA's web site: www.nyserda.ny.gov and in the Contract Reporter.

I. INTRODUCTION

The Electric Power Transmission and Distribution High Performing Grid Program, funded through the Clean Energy Fund authorized by the Public Service Commission will make investments in research that accelerate realization of an advanced, digitally enhanced and dynamically managed electric grid that results in more efficient asset utilization (e.g., reduced operating margins, reduced power demands, reduced energy losses) and improved reliability, and resiliency to climate change induced weather-events. Such investments are also expected to build the capacity to integrate and expand the use of clean distributed energy resources accommodating increased customer engagement in energy markets on a customer-by-customer basis, as well as enabling the development of community-based energy systems such as microgrids. The attributes of an advanced, dynamically managed electric grid are essential components of any comprehensive strategy to achieve the goals of the New York State Energy Plan, Clean Energy Standard, and the Reforming the Energy Vision (REV) initiative.

This Electric Power Transmission and Distribution High Performing Grid Program solicitation is issued for specific technology areas including, but not limited to: transmission and distribution automation and management; renewable energy integration; advanced monitoring and controls; distributed energy resource integration; microgrids; advanced sensors, devices and systems, advanced materials, cabling and conductors, and advanced system modeling and applications. Activities include demonstration projects, product development and studies that improve grid resiliency, reliability, efficiency, quality, and performance as the electric power delivery network accommodates clean energy technologies such as renewable power generation, electric vehicles, and efficient distributed generation systems. Projects that promote smart grid technologies, components and/or systems both within and outside of the six New York regulated electric service territories (Consolidated Edison, Orange and Rockland, New York State Electric and Gas, Rochester Gas and Electric, Central Hudson Gas and Electric, and National Grid) and meet the Program Requirements are eligible for funding under this solicitation. The program strives to coordinate its activities with the Reforming the Energy Vision (REV) initiative being pursued in New York State. **All projects must demonstrate broad public benefit.**

Proposals will be evaluated in select categories and scored on criteria listed in this solicitation. All of the proposals will be reviewed by an investment evaluation panel (IEP) consisting of both internal NYSERDA staff and outside experts. All proposals will be evaluated according to the quality and level of detail provided and must include substantive documentation addressing all evaluation criteria items.

II. PROJECT CATEGORIES

This solicitation includes four project categories. **The proposer must indicate under which category they are proposing.** Proposers should give careful consideration under which category to propose, as inappropriate choices could negatively affect project selection results. Proposers are encouraged to contact NYSERDA (see cover page for instructions) with technical questions to promote complete understanding of the project categories as described below:

Category A: Research Studies (NYSERDA's share of funding for any project of this type will be limited to a maximum of \$400,000. Proposer total project cost share at or above 25%.)

- Research aimed at exploring new policy, business models, regulatory, planning and cost recovery models, advanced concepts, innovative product and/or technology development. Studies that will reduce barriers to the deployment of advanced technologies that improve the resiliency, reliability, quality and efficiency of the electrical power delivery system.

Category B: Engineering Studies (NYSERDA's share of funding for any project of this type will be limited to a maximum of \$400,000. Proposer total project cost share at or above 25%.)

- Engineering studies that assess the feasibility, design and effectiveness of demonstrating new or under-utilized technologies at a New York site. Engineering studies are expected to ultimately lead to a project proposal under Category D: Demonstration Projects and are intended to support project development activity such as detailed design, site assessment, economic analysis, interconnection and permitting issues associated with potential demonstration projects that improve the resiliency, reliability, quality and efficiency of the electric power delivery system.

Category C: New Product Development (Proposer total project cost share at or above 50%.)

- Development and commercialization of products for improving the resiliency, reliability, quality and efficiency of the electrical power delivery system. Note that bench-scale testing and field verification or testing may be included in Category C projects. Technical and economic feasibility studies of the technology should have been demonstrated prior to submitting a Category C proposal. If they haven't, consider proposing in Category A.

Category D: Demonstration Projects (Proposer total project cost share at or above 50%.)

- Demonstrations of new or under-utilized technologies that are past the technology readiness level 3 or above stage. Projects in this category **should not** include technology or product development tasks. If technology or product development tasks are necessary, consider proposing in Category C. Projects in Category D should demonstrate innovative new or under-utilized products or technologies in pioneering applications. Proposals in this category should clearly identify how this project will bring the product or technology closer to commercial realization and how such demonstration will lead to increased use of the technology in New York State. Proposers must clearly identify whether the demonstration project will support either transmission or local distribution operations.

NOTE: NYSDA reserves the right to negotiate scope of work, budget and funding levels on all awarded projects. Efforts requesting more than \$250,000 of NYSDA funds may be phase funded.

III. ELIGIBLE TECHNOLOGIES

Technologies eligible under this solicitation include innovative and under-utilized high performing smart grid and other technologies that improve the resiliency, reliability, performance and efficiency of the electric power grid. Potential technologies include, but are not limited to:

- (1) Transmission and distribution advanced monitoring and control systems and subsystems;
- (2) Advanced power electronics and protection systems.
- (3) Transmission and distribution automation and management systems and subsystems;
- (4) Processes, systems and technologies, such as micro-grids, that promote integration of renewable or distributed energy resources and electric energy storage technologies into the distribution system;
- (5) Innovative monitoring and control systems related to power transmission and delivery, such as remote or on-site monitoring and diagnostic systems, intelligent remote or on-site control systems to provide command and communication with power delivery systems equipment, or control systems;
- (6) Equipment that enhances the reliability, efficiency, optimization, or enables integration of renewable power generation or storage technologies;
- (7) Advanced sensors, devices, control systems and other equipment innovations that improve transmission and distribution system performance and reliability;
- (8) Distributed and renewable energy integration and interconnection systems and subsystems;
- (9) Advanced systems modeling and applications, such as data processing, visualization, diagnostics and analytic technologies; and
- (10) Advanced materials, conductor and cabling technologies to improve resiliency, reliability, congestion and reduce losses.

IV. PROGRAM REQUIREMENTS

Projects selected for funding must:

- (1) Address an innovative technology that improves the performance, power quality, resiliency, reliability or cost effectiveness of the electric power grid.
- (2) Provide direct and quantifiable energy, environmental, and economic benefits to New York State such as emissions reductions (such as greenhouse gases and criteria air pollutants), job creation, product manufacturing and sales, increased resiliency and reliability, higher efficiency, and reduced electric costs.
- (3) Include a project budget using Attachment D showing total project cost and proposer cost-share. Include a cost-sharing breakdown by project task in the Statement of Work.
- (4) Provide for the sharing of project success by agreeing to pay recoupment, where required, to NYSERDA for any new technology or product development project requesting NYSERDA funding over \$100,000 upon product commercialization, if applicable (see terms and conditions in Attachment F, Sample Agreement).
- (5) Demonstrate that the proposer and/or team of proposers are qualified to carry out the submitted project proposal.
- (6) Provide a strong rationale as to how the project will overcome barriers impeding the implementation or adoption of any new or under-utilized technology.
- (7) For projects that develop technologies or products, emphasize development and/or application of marketable products for near-term commercialization, rather than basic research, and provide an assessment of the addressable market, and discuss an appropriate commercialization path and potential for manufacturing in New York State. Note that even in early-stage projects, initial activities focusing on commercialization (or technology deployment) paths and challenges are essential to assessing benefits, risks, and future resource requirements.
- (8) For demonstration projects, clearly identify how this project will bring the product closer to commercial readiness and how such demonstration will lead to increased use of the product in New York State. **Demonstration projects must be installed within New York State. See additional requirements for Demonstration Projects below.**
- (9) Provide a letter of support and commitment from all funding sources and entities responsible for managing, operating and maintaining all electric delivery infrastructure impacted by project.
- (10) Demonstrate that the project and funding request addresses a current challenge to technology evolution that is not being addressed adequately by current industry practices and/or federal and/or other state research priorities and funding. Include a cost and New York statewide public benefit analysis to justify allocation of funds.

Other Considerations

- A proposal may be considered non-responsive if it fails to comply with the requirements of this solicitation.
- Prior to an award being made, potential contractors may be required to demonstrate: access to financial resources sufficient to perform the proposed work, technical experience and adequate facilities (or the ability to access them), a good performance record, and the ability to qualify for an award under applicable laws and regulations.
- Preference will be given to proposers that provide higher cash contributions towards project costs.

- External funding partnerships are encouraged to leverage limited New York State resources. Proposers are encouraged to develop projects that leverage funding with external resources partners such as other research and development organizations.

ADDITIONAL PROGRAM REQUIREMENTS FOR CATEGORY D DEMONSTRATION PROJECTS ONLY

Category D projects selected for funding **must**:

- (1) Have a **New York State demonstration site**.
- (2) Be installed within 36 months of contract.
- (3) Address safety issues, including public safety, that are applicable to the demonstration project.
- (4) Comply with all applicable building, fire, electrical, and interconnection codes, standards, and requirements.
- (5) Provide equipment sensors, instrumentation, and a complete data acquisition system for remote monitoring and reporting as specified below.
- (6) Demonstrate the technology viability and monitor the performance, characteristics, and benefits for a period adequate to meet project goals. If the period is under 18 months, the proposer must discuss why the proposed time is adequate. Unless the proposer demonstrates a compelling reason otherwise, at least 365 operating days of data will be required after commissioning.
- (7) Present an economic analysis of the proposed technology demonstration including an estimated cost/benefit ratio, and a plan to measure the actual cost/benefit ratio during the demonstration.

Data Acquisition Requirements for Category D Demonstration Projects Only

NYSERDA intends to provide system level operation and performance information, including economic performance information, to the general public on each of the demonstration projects funded under this solicitation. In order to meet this objective, each demonstration project must provide sufficient instrumentation and data transmittal, and analytical capabilities to allow the collection and analysis of technical and economic performance data.

The demonstration project proposal should include system operating data to be used for evaluation and generation of reports on the overall performance of the technology being demonstrated. Data acquisition sampling rates must be adequate to characterize the benefits and the value proposition of the proposed application. For example, sampling rates for applications designed to enhance power quality or system stability would be much higher than sampling rates for peak shaving or arbitrage applications. In the event that the demonstration system performs multiple activities, the system must provide for the collection of data for all activities. All raw and summary data collected at the project sites must be archived and protected from loss on permanent media.

Benefits Data Tracking and Reporting for Category D Demonstration Projects Only

Data sufficient to demonstrate the **energy, environmental, and** economic benefits defined in the proposal must be measured, collected, analyzed, and recorded. For applications that claim multiple benefits, the proposed data and analysis scheme must adequately support the claimed benefit for each of the benefits specified in the proposal.

Reporting Requirements for Category D Demonstration Projects Only

The proposal must identify the project team member who will be responsible for the preparation and delivery of periodic written project reports. System operational summary information must be generated regularly and be included in progress reports. At a minimum, the system operational summary information must include the following:

- Raw data.
- System performance summary.
- Summary of system reliability and failure rates.
- A written summary of the economic benefit derived for the time period.
- A written summary of all operations and maintenance activities for the time period.
- System dispatch information and use patterns associated with the project, as appropriate.
- Energy consumption breakdown of parasitic loads introduced by the demonstration system, as appropriate.
- System performance under typical utility fault conditions, e.g. lightning strikes, primary phase to ground faults, voltage sags/spikes, electric outages, etc., as appropriate.

- System performance under user fault conditions, e.g. fault in customer plant, as appropriate.

Reports must be generated that consolidate all the information from the reports and summarize demonstration system performance for the preceding year.

Historical Performance Data Reporting for **Category D Demonstration Projects Only**

Where appropriate to document project benefits, historical utility system operational data prior to the installation of the demonstration system is required in order to provide credible baseline data on electrical system performance before and after the installation of the demonstration system. Information concerning load profiles, peaks, overloads, faults, power quality events, and any other information required to fully characterize the operation of the electrical utility at the demonstration site prior to installation of the demonstration system must be collected by the proposer for a reasonable period of time. Comparison information must be made part of the progress reports.

V. PROPOSAL REQUIREMENTS

Proposal Submission: Electronic submission is preferable. NYSERDA will also accept proposals by mail or hand-delivery. All proposals must be received by NYSERDA by 5:00 PM Eastern Standard Time on January 11, 2017 (Round 1) or June 28, 2017 (Round 2). If submitting electronically, proposers must submit the form fillable proposal in either PDF or MS Word format with a completed and signed Proposal Checklist (Attachment A) and Disclosure of Prior Findings of Non-Responsibility (Attachment B), in PDF format. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility, rather than scanning. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. Proposals may be submitted electronically by following the link for electronic submissions found on this PON's webpage, which is located in the "Current Opportunities" section of NYSERDA's website (<http://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>). Instructions for submitting electronically are located in that section as Attachment G to this PON.

If mailing or hand-delivering, proposers must submit (2) paper copies of their proposal with a completed and signed Proposal Checklist, along with a storage device containing both a PDF or MS Word digital copy of the proposal, following the above guidelines. Mailed or hand-delivered proposals must be clearly labeled and submitted to: **Jillina Baxter, PON 3397, NYS Energy Research and Development Authority, 17 Columbia Circle, Albany, NY 12203-6399. Late proposals and proposals lacking the appropriate completed and signed Proposal Checklist may be returned.** Faxed or e-mailed copies will not be accepted.

The proposer's goal should be to concisely present the information needed to fully address the evaluation criteria (see Section VI). Proposals that grossly exceed the word limits or fail to follow the format guidelines may be rejected as non-responsive. Proposals deemed non-responsive will not be eligible for awards. If you believe proprietary information must be submitted to provide an adequate proposal, you must comply with the Section VIII instructions for submitting proprietary material. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective proposal may reduce, rather than increase, a proposal's standing per the evaluation criteria. Each page of the proposal should state the name of the proposer, the PON number, and the page number. The proposal must be in the following format, with items in the sequence shown.

1. Proposal Checklist - Complete the specific Proposal Checklist attached as part of this PON, and include it as the front cover of the original and each copy of the proposal. Please note the following:

1. Indicate whether you accept the standard terms and conditions as contained in the attached Sample Agreement (Attachment F). If you do not accept the standard terms and conditions, provide alternate terms with justification based on the risk and benefit to NYSERDA and New York State. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement.
2. Be sure the individual who is signing the Proposal Checklist is authorized to commit the proposer's organization to the proposal as submitted.
3. Indicate to which category you are proposing on the proposal checklist. Each proposal will be considered for only one category of funding.

4. Do not leave any blanks. If a specific question is not applicable, indicate N/A.

2. Procurement Lobbying Requirements - State Finance Law sections 139-j and 139-k. In compliance with §139-j and §139-k of the State Finance Law (see Section VIII, General Conditions below for additional information), additional forms must be completed and filed with proposals: (1) a signed copy of the Proposal Checklist including required certifications under the State Finance Law and (2) a completed Disclosure of Prior Findings of Non-Responsibility form. Failure to include a signed copy of the Proposal Checklist referenced in this solicitation may disqualify your proposal.

3. Proposal Narrative. Complete the Proposal Narrative form-fillable document as part of the PON (Attachment C). The Funding Category must be clearly indicated. The Proposal Narrative contains the following sections:

- Executive Summary
- Problem Statement and Proposed Solution
 - Attachment C2: Business Model Canvas (Category C, and D)
- State of Research and Technology Targets
 - Attachment C3: Technology Readiness Level/Commercial Readiness Level Calculator
- Commercialization Potential of Proposed Product
 - Attachment C4: Three-Year Financial Projects Worksheet (Category C)
- Demonstration Project Information (Category D Only)
- Study Information (Category A and B)
- Statement of Work (Attachment C1) and Schedule
- Project Benefits
- Budget
- Proposer Qualifications
- Letters of Support
- Attachments

Proposers must carefully review the Proposal Narrative to ensure that all required sections are completed. Failure to do so may result in the proposal being rejected as non-responsive.

VI. PROPOSAL EVALUATION

Proposals will be reviewed by an Investment Evaluation Panel (IEP) and will be scored and ranked according to the following criteria. In addition to considering how project proposals satisfy the Evaluation Criteria listed below, NYSERDA reserves the right to make funding decisions on the basis of other programmatic reasons such as, but not limited to, NYSERDA's history/experience with particular contractors, geographic equity/distribution, customer diversity, scale of anticipated impacts, and prospects for learning opportunities. After the proposals are reviewed, NYSERDA will issue a letter to each proposer indicating its proposal evaluation results. Proposers receiving favorable evaluations will be invited to enter into contract negotiations with NYSERDA. The proposer will be required to submit a detailed Statement of Work, budget, and schedule, and may also be asked to address specific questions or recommendations of the IEP before contract award.

EVALUATION CRITERIA:

Problem and Proposed Solution (All Categories) -

- How significant is the problem or opportunity to New York State?
- Is the proposed work technically feasible, innovative, and superior to alternatives?
- Does the proposal address an eligible technology?
- How well does the proposed solution address the problem or opportunity?
- Are fundamental scientific principles well understood and clearly presented?
- How appropriate are the cost, technical, and performance goals for the proposed technology or product?
- Does the proposer exhibit an understanding of the state-of-the-art, competing products and alternative designs?
- If the proposed work is a follow-on project to a previously co-funded NYSERDA project, what was the outcome of the earlier phase?

- Is the proposed project addressing a current challenge or opportunity that is not being addressed adequately by current industry practices and/or federal and/or other state research priorities and funding?

Proposed Work (Category D only) –

- How significant is the demonstration opportunity to New York State?
- How well does the proposed solution address the problem or opportunity?
- Is the proposed demonstration innovative and is it appropriate that the proposed demonstration be funded under this program as opposed to a NYSERDA program that provides incentives to install certified, commercially-ready technologies?
- Does the proposal address an eligible technology?
- Is the proposed demonstration well-conceived, technically feasible, and superior to alternatives?
- Does the proposer exhibit an understanding of the state-of-the-art, competing products and alternative designs?
- What is the level of commitment of a New York State site?
- Is an appropriate performance monitoring and data analysis effort included in the proposal?
- If the proposed work is follow-on to a previously co-funded NYSERDA project, what was the outcome of the earlier phase?

New York State Impact and Project Benefits (All Categories) –

- To what extent does the project support Reforming the Energy Vision (REV) goals, grid modernization in general, the Clean Energy Standard, and the Clean Energy Fund goals in New York State?
- To what extent will there be economic benefits in New York State in the form of subsequent commercial activity and economic growth?
- Does the proposal include a New York State demonstration site?
- To what extent does the proposal involve the participation of one or more utilities?
- Are the appropriate letters of support and/or commitments included in the proposal?
- How well are the potential benefits to New York State quantified?
- How likely is it that the projected benefits will be realized?
- Does the proposed project have favorable energy, efficiency, environmental and economic impacts in New York State? How significant are these impacts?
- To what extent will there be economic benefits in New York State in the form of subsequent commercial activity?
- Are the technical risks identified, appropriately addressed, and balanced by project benefits?
- Does the proposal address an innovative technology that improves performance, quality or reliability / resiliency of the electric power system?

Statement of Work and Schedule (All Categories) -

- How appropriate are the technical and performance goals for the proposed project?
- Do the proposed technical and performance goals adequately allow for measurement and verification of the success of the proposed project?
- Is the work strategy in the Statement of Work sound and likely to achieve the technical and performance goals?
- Does the Statement of Work include an economic analysis of the technology based on performance measurements?
- Is the Statement of Work well organized, complete, and appropriate for the goals identified?
- How realistic is the schedule for achieving the goals of the proposed project?
- Is the proposed level of effort reasonable to complete the proposed project?
- Are the proposed milestones reasonable?

The following criteria apply to Category D projects only:

- Are the data acquisition, monitoring, and reporting plans reasonable and do they meet the requirements in Section V, ADDITIONAL PROGRAM REQUIREMENTS FOR CATEGORY D DEMONSTRATION PROJECTS ONLY?
- Is the benefits tracking plan reasonable and does it meet the requirements in Section V, ADDITIONAL PROGRAM REQUIREMENTS FOR CATEGORY D DEMONSTRATION PROJECTS ONLY?
- If monitoring baseline utility system operation is necessary to document system benefits, does the Statement of Work include a provision to adequately gather baseline utility operational data?

Proposer Qualifications (All Categories) -

- Has the proposer provided evidence of being qualified to perform the proposed work based on the qualifications of the organization(s) and the involved individual(s)?
- Were resumes of key individuals included in the proposal?
- To what degree does the proposer have the necessary technical and business background and experience?
- Does the team include a New York State business, thereby providing economic benefits in the form of jobs?
- Has the proposer provided evidence of good past performance on other relevant projects?
- Is the proposing team appropriately organized?
- Are staff allocations and responsibilities reasonable?

Project Cost and Value (All Categories) -

- Is the overall project cost justified and reasonable based on the level of effort proposed and the expected outcome and benefits?
- How significant is the potential market opportunity relative to the project cost?
- How appropriate are the proposer's co-funding contributions (sources and amounts) with respect to the degree of risk, potential to benefit from the work, and financial status of the organization?
- How firm are the commitments and support from essential participants, co-funders, and related businesses and other organizations?
- Are the overhead rates reasonable and supported with appropriate documentation?
- Are equipment, facility, material, and travel costs based on reasonable estimates?
- Are the labor rates reflective of the industry?

Technology Transfer / Repeatability (All Categories) –

- Does the proposed technology have commercial applications at other New York State sites?
- Does the proposed project demonstrate an effective strategy and strong potential for the project to lead to future use of the technology in New York?
- Does the proposed technology address market needs?

Business/Commercialization Plan (Category C only) -

- Is the proposed product or concept likely to be successful?
- Are there sufficient markets or needs for the concept/technology?
- Does the proposed project address customer needs?
- Are the business and commercialization or replication plans appropriate for the type of project and stage of development?
- How significant are the barriers to market entry?
- Does the proposer demonstrate a clear understanding of the steps required to overcome these barriers?
- Have customers been identified and consulted regarding the value of the technology or solution?"
- Is the value proposition of the technology well matched to the expressed needs of the customer segments being targeted?
- Does the proposal identify competing and alternate solutions, and clearly show why this product or concept is superior to, price competitive with, or provides value compared to alternative products or solutions?
If follow-on financial resources are necessary, are plans to raise necessary financial resources likely to be successful?
- How well are the project tasks directed at identifying and fulfilling customer requirements? How far will execution of the work plan take the product to full commercialization?
- Would achievement of technical and business goals position the company to raise capital or realize revenue from the product before NYSERDA funding is exhausted?

Other Considerations – Proposals will be reviewed to determine if they reflect NYSERDA’s overall objectives, including: risk/reward relationships, similar ongoing or completed projects, and the general distribution of projects among categories, technologies, industries and other organizations, and geographically within New York State.

VII. RECOUPMENT AND METRICS

Recoupment. For any new projects **exceeding \$100,000** that involve product development, including business development (see definition below), **NYSERDA will require a royalty based on sales and/or licensing of the new product developed** (Please see Attachment F, Sample Agreement for specific recoupment obligations).

Product Development: the method of bringing a new or improved product, system, or service to market, including technical feasibility, business case feasibility, market analysis, proof of concept, product design, engineering, scale up, and field testing. Field testing is the stage in which a technology, not yet commercially available with a warranty, is operated in real world conditions with results used for product iteration, market validation, or customer engagement. Projects where NYSERDA's share of funding is \$100,000 or less will generally not require recoupment. However, should subsequent funds be awarded for further product development of the same or a substantially similar product, any funds previously received under the \$100,000 threshold will be added to the future recoupment obligation. Please note: NYSERDA may decline to contract with awardees that are delinquent with respect to recoupment payments or sales reporting for any previous NYSERDA agreement.

Annual Metrics Reports. If awarded, the proposer will be required to submit to NYSERDA's Project Manager on an annual basis, a prepared analysis and summary of metrics addressing the anticipated energy, environmental and economic benefits that are realized by the project. All estimates shall reference credible sources and estimating procedures, and all assumptions shall be documented. Reporting shall commence the first calendar year after the contract is executed. Reports shall be submitted by January 31st for the previous calendar years' activities (i.e. reporting period). Please see Attachment E: Product Development Sample Metrics Reporting Guide for the metrics that you will be expected to provide and the reporting duration. NYSERDA may decline to contract with awardees that are delinquent with respect to metrics reporting for any previous or active NYSERDA agreement.

VIII. GENERAL CONDITIONS

PROPRIETARY INFORMATION

Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes.

The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to exempt it from disclosure, including a written statement of the reasons why the information should be exempted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501. <http://www.nyscrda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

OMNIBUS PROCUREMENT ACT OF 1992

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

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

Empire State Development
Division for Small Business
30 South Pearl Street
Albany, NY 12245

A directory of certified minority- and women-owned business enterprises is available from:

Empire State Development
Minority and Women's Business Development Division
30 South Pearl Street
Albany, NY 12245

State Finance Law sections 139-j and 139-k - NYSEDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <http://www.ogs.ny.gov/aboutogs/regulations/advisoryCouncil/StatutoryReferences.html>

The attached Proposal Checklist (Attachment A) calls for a signature certifying that the proposer will comply with State Finance Law sections 139-j and 139-k and the Disclosure of Prior Findings of Non-responsibility form (Attachment B) includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years.

Tax Law Section 5-a - NYSEDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSEDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf). Prior to contracting with NYSEDA, the prospective contractor must also certify to NYSEDA whether it has filed such certification with the Department. The Department has created a second form that must be completed by a prospective contractor prior to contacting and filed with NYSEDA. See, ST-220-CA (available at http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>

Contract Award - NYSEDA anticipates making multiple awards under this solicitation. It may award a contract based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most favorable cost and technical terms. NYSEDA may request additional data or material to support applications. NYSEDA will use the Sample Agreement to contract successful proposals. NYSEDA, at its sole discretion, will decide whether to contract successful projects using time and material or milestone payment terms. NYSEDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the submitted proposal. NYSEDA expects to notify proposers in approximately 10 weeks from the proposal due date whether your proposal has been selected to receive an award. **NYSEDA may decline to contract with awardees who are delinquent with respect to any obligation under any previous or active NYSEDA agreement.**

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

DISCLOSURE REQUIREMENT

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

IX. Attachments

Attachment A - Proposal Checklist

Attachment B - Disclosure of Prior Findings of Non-responsibility (mandatory)

Attachment C – Proposal Narrative Format

Attachment C1 - Statement of Work Format

Attachment C2 – Business Model Canvas Template

Attachment C3 – TRL-CRL Calculator Workbook

Attachment C4 – 3 Year Financial Projection Worksheet

Attachment D - Budget

Attachment E - Sample Product Development Metrics

Attachment E1 – Sample Demonstration Metrics

Attachment E2 – Sample Information Dissemination Metrics

Attachment F - Sample Agreement with Exhibits

Attachment G – Instructions for Electronic Proposal Submission



Electric Power Transmission and Distribution (EPTD)
Distributed Energy Resource Integration
 Program Opportunity Notice (PON) 3404
Up to a total of \$3.5 Million Available

Proposals Due: November 28, 2016 by 5:00 PM Eastern Time *

The New York State Energy Research and Development Authority (NYSERDA) invites proposals to support the development, demonstration, and commercialization of innovative technology and techniques to facilitate the interconnection of distributed energy resources (DER) to the electric grid. Proposals seeking to lower interconnection burdens for commercial and industrial scale (>200 kW) solar photovoltaic systems will be given preference. All proposals must address DER interconnection as discussed later in this solicitation.

Proposals will be evaluated on the basis of their potential for interconnection cost reduction and ability to increase DER penetration. Up to \$3,500,000 of NYSERDA funding is available. All, some, or none, of the available funds may be awarded. NYSERDA may increase the available funding at a later date.

Examples of preferred innovations include, but are not limited to, the following:

- **Alternatives or lower cost options for islanding protection (alternatives to direct transfer trip)**
- **Alternatives or lower cost options for neutral overvoltage protection (alternatives to 3Vo relaying)**
- **Advanced monitoring and control of distributed energy resources**
- **Applications of smart inverter functionality leading to higher allowable DER penetration**

NYSERDA is accepting proposals in the following categories:

Category	Maximum NYSERDA Funding Per Award	Total Project Cost Share
Category A: Research Studies	\$400,000	25%
Category B: Engineering Studies	\$400,000	25%
Category C: Product Development	No limit	50%
Category D: Demonstration Projects	No limit	50%

Proposal Submission: Electronic submission is preferable. NYSERDA will also accept proposals by mail or hand-delivery. Whether submitted electronically or by mail or hand delivery, proposals must be received by NYSERDA by 5:00 PM Eastern time on November 28, 2016. If submitting electronically, proposers must submit the proposal in either PDF or MS Word format with a completed and signed Proposal Checklist and Disclosure of Prior Findings of Non-Responsibility, in PDF format. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility, rather than scanning. For ease of identification, all electronic files must be named using the proposer’s entity name in the title of the document. Proposals may be submitted electronically by following the link for electronic submissions found on this PON’s webpage, which is located in the “Current Opportunities” section of NYSERDA’s website (<http://www.nysERDA.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>). Instructions for submitting electronically are located in that section as Attachment G to this PON.

If mailing or hand-delivering, proposers must submit (2) paper copies of their proposal with a completed and signed Proposal Checklist, along with a CD or DVD containing both a PDF or MS Word digital copy of the proposal, following the above guidelines. Mailed or hand-delivered proposals must be clearly labeled

and submitted to: **Jillina Baxter, PON 3404, New York State Energy Research and Development Authority, 17 Columbia Circle, Albany, NY 12203-6399**. Technical programmatic questions should be directed to Dave Crudele, 518-862-1090 ext: 3095 (dave.crudele@nyserda.ny.gov). Contractual questions should be directed to Nancy Marucci, (518) 862-1090 ext: 3335 (nancy.marucci@nyserda.ny.gov).

No communication intended to influence this procurement is permitted except by contacting Dave Crudele, (518) 862-1090 ext: 3095. Contacting anyone other than this Designated Contact (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offeror, and (2) may result in the proposer not being awarded a contract.

* Late proposals will be returned. Incomplete proposals may be subject to disqualification. It is the bidder's responsibility to ensure that all pages have been included in the proposal. Faxed or emailed proposals will not be accepted. Proposals will not be accepted at any other NYSERDA location other than the address above. If changes are made to this solicitation, notification will be posted on NYSERDA's web site: www.nyserda.ny.gov and in the Contract Reporter.

I. INTRODUCTION

Innovation that increases grid capacity to interconnect and expand the use of clean distributed energy resources is a necessary component of a comprehensive strategy to achieve the goals of the New York State Energy Plan, Clean Energy Standard, and the Reforming the Energy Vision (REV) initiative. The Electric Power Transmission and Distribution DER Integration Program, funded through the Clean Energy Fund¹ authorized by the Public Service Commission, will make investments in research that advances methods, technology, and industry knowledge to reduce the cost, complexity, and time to interconnect distributed energy resources with New York's electric grid.

This Electric Power Transmission and Distribution DER Integration Program solicitation is issued for technology areas including, but not limited to: DER islanding prevention, neutral overvoltage protection, advanced DER monitoring and control, and application of smart inverters to address interconnection challenges. Proposals that demonstrate the potential to lower interconnection burdens for commercial and industrial scale DER (>200 kW) will be given preference. Activities include demonstration projects, product development and studies that lower interconnection costs, facilitate faster DER interconnection, reduce the need for utility infrastructure upgrades, and allow for higher penetration of DER in the New York State electric grid. Projects that support DER interconnection both within and outside of the six NY regulated electric service territories (Consolidated Edison, Orange and Rockland, New York State Electric and Gas, Rochester Gas and Electric, Central Hudson Gas and Electric, and National Grid) and meet the Program Requirements are eligible for funding under this solicitation. This opportunity is designed to support innovation that is enabling with respect to the goals and objectives of the Reforming the Energy Vision (REV) initiative.² **All projects must demonstrate broad public benefit.** Projects outside the State's investor-owned utilities' territories must also provide direct energy, environmental, and economic benefits to the ratepayers of the State's investor-owned utilities.

Proposals will be evaluated in select categories and scored on criteria listed in this solicitation. All of the proposals will be reviewed by an investment evaluation panel (IEP) consisting of both internal NYSERDA staff and outside experts. All proposals will be evaluated according to the quality and level of detail provided and must include substantive documentation addressing all evaluation criteria items.

II. PROJECT CATEGORIES

¹ <https://www.nyserda.ny.gov/About/Clean-Energy-Fund>

² <http://www3.dps.ny.gov/W/PSCWeb.nsf/All/CC4F2EFA3A23551585257DEA007DCFE2?OpenDocument>

This solicitation includes four project categories. **The proposer must indicate under which category they are proposing.** Proposers should give careful consideration to which category they choose to propose under, as inappropriate choices negatively affect project selection results. Proposers are encouraged to contact NYSERDA (see cover page for instructions) with technical questions to promote complete understanding of the project categories as described below:

Category A: Research Studies (NYSERDA’s share of funding for any project of this type will be limited to a maximum of \$400,000. Proposer total project cost share at or above 25%.)

- Research aimed at exploring new policy, business models, regulatory, planning and cost recovery models, advanced concepts, innovative product and/or technology development. Studies that will reduce barriers to the deployment of advanced technologies that reduce the cost, complexity, and time to interconnect distributed energy resources with the electrical power delivery system.

Category B: Engineering Studies (NYSERDA’s share of funding for any project of this type will be limited to a maximum of \$400,000. Proposer total project cost share at or above 25%.)

- Engineering studies that assess the feasibility, design and effectiveness of demonstrating new or under-utilized technologies at a New York site. Engineering studies are expected to ultimately lead to widespread technology adoption or a project proposal in a future solicitation under Category D: Demonstration Projects and are intended to support project development activity such as detailed design, site assessment, economic analysis, interconnection and permitting issues associated with potential demonstration projects.

Category C: New Product Development (Proposer total project cost share at or above 50%.)

- Development and commercialization of products that reduce the cost, complexity, and time to interconnect distributed energy resources with New York’s electric grid. Note that bench-scale testing and field verification or testing may be included in Category C projects. For Category C proposals technical and economic feasibility studies of the technology must have been completed and must be included in the proposal. Proposers who cannot meet this requirement may consider proposing under Category A. See Section IV(7).

Category D: Demonstration Projects (Proposer total project cost share at or above 50%.)

- Demonstrations of new or under-utilized technologies that are past the technology readiness level 3 or above stage. Projects in this category **should not** include technology or product development tasks. If technology or product development tasks are necessary, consider proposing in Category C. Projects in Category D should demonstrate innovative new or under-utilized products or technologies in pioneering applications. Proposals in this category should clearly identify how this project will bring the product or technology closer to commercial realization and how such demonstration will lead to increased use of the technology in New York State. See Section IV(8).

NOTE: NYSERDA reserves the right to negotiate scope of work, budget and funding levels on all awarded projects. Efforts requesting more than \$250,000 of NYSERDA funds may be phase funded.

III. ELIGIBLE TECHNOLOGIES

Recent trends show continued growth in the number, size, and complexity of DER interconnection projects in New York. Innovation supporting DER interconnection is not occurring passively in the scope or scale needed to support the increasing number and size of DER projects requesting to interconnect with New York’s electric grid. As a result, DER projects are increasingly required to make expensive and time consuming electric grid infrastructure upgrades before they can be interconnected. Proposals to this PON must address the increasing cost, complexity, and protracted nature of the interconnection process by furthering innovation intended to reduce interconnection burdens.

Technologies eligible under this solicitation include innovative and under-utilized smart grid and other electric power deliver technologies and studies that facilitate increased DER adoption by reducing interconnection burdens and furthering industry knowledge of how DER interact with the electric grid.

Potential technologies include, but are not limited to:

- (1) Alternatives or lower cost options for islanding protection (alternatives to direct transfer trip)
- (2) Alternatives or lower cost options for neutral overvoltage protection (alternatives to 3Vo relaying)
- (3) Advanced monitoring and control of distributed energy resources
- (4) Applications of smart inverter functionality
- (5) Mitigation of overvoltage associated with DER (i.e. ground fault overvoltage and transient overvoltage)
- (6) Flicker mitigation
- (7) Methods to allow greater DER penetration on the electric grid
- (8) Methods to increase hosting capacity of existing circuits

IV. PROGRAM REQUIREMENTS

Projects selected for funding must:

- (1) Address an innovative DER interconnection technology that reduces interconnection burdens, increases allowable DER penetration, or otherwise supports DER adoption under New York's Reforming the Energy Vision (REV) initiative.
- (2) Provide direct and quantifiable energy, environmental, and economic benefits to New York State such as emissions reductions (such as greenhouse gases and criteria air pollutants), clean distributed energy resource deployment, job creation, product manufacturing and sales, increased resiliency and reliability, higher efficiency, and reduced electric costs.
- (3) Include a project budget using the attached Contract Pricing Proposal Form (CPPF) showing total project cost and proposer cost-share. Include a cost-sharing breakdown by project task in the Statement of Work.
- (4) Provide for the sharing of project success by agreeing to pay recoupment, where required, to NYSERDA for any new technology or product development project requesting NYSERDA funding over \$100,000 upon product commercialization, if applicable (see terms and conditions in Attachment F, Sample Agreement).
- (5) Demonstrate that the proposer and/or team of proposers are qualified to carry out the submitted project proposal.
- (6) Provide a strong rationale as to how the project will overcome barriers impeding the implementation or adoption of any new or under-utilized technology.
- (7) For projects that develop technologies or products, emphasize development and/or application of marketable products for near-term commercialization, rather than basic research, provide an assessment of the addressable market, and discuss an appropriate commercialization path and potential for manufacturing in New York State. Note that even in early-stage projects, initial activities focusing on commercialization (or technology deployment) paths and challenges are

essential to assessing benefits, risks, and future resource requirements. Technical and economic feasibility studies of the technology must be included.

- (8) For demonstration projects, clearly identify how this project will bring the product closer to commercial readiness and how such demonstration will lead to increased use of the product in New York State. **Demonstration projects must be installed within New York State. See additional requirements for Demonstration Projects, below.**
- (9) Provide a letter of support and commitment from all funding sources and entities responsible for managing, operating and maintaining all electric delivery infrastructure impacted by project.
- (10) Demonstrate that the project and funding request addresses a current challenge to technology evolution that is not being addressed adequately by current industry practices and/or federal and/or other state research priorities and funding. Include a cost and New York statewide public benefit analysis to justify allocation of funds.

Other Considerations

- A proposal may be considered non-responsive if it fails to comply with the requirements of this solicitation. Proposals deemed non-responsive will not be eligible for awards.
- Prior to an award being made, potential contractors may be required to demonstrate: access to financial resources sufficient to perform the proposed work, technical experience and adequate facilities (or the ability to access them), a good performance record, and the ability to qualify for an award under applicable laws and regulations.
- Preference will be given to proposers that provide higher cash contributions towards project costs.
- External funding partnerships are encouraged to leverage limited New York State resources. Proposers are encouraged to develop projects that leverage funding with external resources partners such as other research and development organizations.

ADDITIONAL PROGRAM REQUIREMENTS FOR CATEGORY D DEMONSTRATION PROJECTS ONLY

Category D projects selected for funding **must**:

- (1) Have a **New York State demonstration site**.
- (2) Be installed within 18 months of contract.
- (3) Address safety issues, including public safety, that are applicable to the demonstration project.
- (4) Comply with all applicable building, fire, electrical, and interconnection codes, standards, and requirements.
- (5) Provide equipment sensors, instrumentation, and a complete data acquisition system for remote monitoring and reporting as specified below.
- (6) Demonstrate the technology viability and monitor the performance, characteristics, and benefits for a period adequate to meet project goals. If the period is under 18 months, the proposer must discuss why the proposed time is adequate. Unless the proposer demonstrates a compelling reason otherwise, at least 365 operating days of data will be required after commissioning.
- (7) Present an economic analysis of the proposed technology demonstration including an estimated cost/benefit ratio, and a plan to measure the actual cost/benefit ratio during the demonstration.

Data Acquisition Requirements for Category D Demonstration Projects Only

It is the intent of NYSERDA to provide system level operation and performance information, including economic performance information, to the general public on each of the demonstration projects funded under this solicitation. In order to meet this objective, each demonstration project must provide sufficient instrumentation and data

transmittal, and analytical capabilities to allow the collection and analysis of technical and economic performance data.

The demonstration project proposal should include system operating data to be used for evaluation and generation of reports on the overall performance of the technology being demonstrated. Data acquisition sampling rates must be adequate to characterize the benefits and the value proposition of the proposed application. For example, sampling rates for applications designed to enhance power quality or system stability would be much higher than sampling rates for peak shaving or arbitrage applications. In the event that the demonstration system performs multiple activities, the system must provide for the collection of data for all activities. All raw and summary data collected at the project sites must be archived and protected from loss on permanent media.

Benefits Data Tracking and Reporting for Category D Demonstration Projects Only

Data sufficient to demonstrate the energy, environmental, and economic benefits defined in the proposal must be measured, collected, analyzed, and recorded. For applications that claim multiple benefits, the proposed data and analysis scheme must adequately support the claimed benefit for each of the benefits specified in the proposal.

Reporting Requirements for Category D Demonstration Projects Only

The proposal must identify the project team member who will be responsible for the preparation and delivery of periodic written project reports. System operational summary information must be generated regularly and be included in progress reports. At a minimum, the system operational summary information must include the following:

- Raw data.
- System performance summary.
- Summary of system reliability and failure rates.
- A written summary of the economic benefit derived for the time period.
- A written summary of all operations and maintenance activities for the time period.
- System dispatch information and use patterns associated with the project, as appropriate.
- Energy consumption breakdown of parasitic loads introduced by the demonstration system, as appropriate.
- System performance under typical utility fault conditions, e.g. lightning strikes, primary phase to ground faults, voltage sags/spikes, electric outages, etc., as appropriate.
- System performance under user fault conditions, e.g. fault in customer plant, as appropriate.

Reports must be generated that consolidate all the information from the reports and summarize demonstration system performance for the preceding year.

Historical Performance Data Reporting for Category D Demonstration Projects Only

Where appropriate to document project benefits, historical utility system operational data prior to the installation of the demonstration system is required in order to provide credible baseline data on electrical system performance before and after the installation of the demonstration system. Information concerning load profiles, peaks, overloads, faults, power quality events, and any other information required to fully characterize the operation of the electrical utility at the demonstration site prior to installation of the demonstration system must be collected by the proposer for a reasonable period of time. Comparison information must be made part of the progress reports.

V. PROPOSAL REQUIREMENTS

Proposal Submission: Electronic submission is preferable. NYSERDA will also accept proposals by mail or hand-delivery. All proposals must be received by NYSERDA by 5:00 PM Eastern time on November 28, 2016. If submitting electronically, proposers must submit the form fillable proposal in either PDF or MS Word format with a completed and signed Proposal Checklist and Disclosure of Prior Findings of Non-Responsibility, in PDF format. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility, rather than scanning. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. Proposals may be submitted electronically by following the link for electronic submissions found on this PON's webpage, which is located in the "Current Opportunities" section of NYSERDA's website (<http://www.nyserdera.ny.gov/Funding-Opportunities/Current->

[Funding-Opportunities.aspx](#)). Instructions for submitting electronically are located in that section as Attachment G to this PON.

If mailing or hand-delivering, proposers must submit (2) paper copies of their proposal with a completed and signed Proposal Checklist, along with a CD or DVD containing both a PDF or MS Word digital copy of the proposal, following the above guidelines. Mailed or hand-delivered proposals must be clearly labeled and submitted to: **Jillina Baxter, PON 3404, NYS Energy Research and Development Authority, 17 Columbia Circle, Albany, NY 12203-6399. Late proposals and proposals lacking the appropriate completed and signed Proposal Checklist may be returned.** Faxed or e-mailed copies will not be accepted.

The proposer's goal should be to concisely present the information needed to fully address the evaluation criteria (see Section VI). Proposals that grossly exceed the word limits or fail to follow the format guidelines may be rejected as non-responsive. If you believe proprietary information must be submitted to provide an adequate proposal, you must comply with the Section VIII instructions for submitting proprietary material. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective proposal may reduce, rather than increase, a proposal's standing per the evaluation criteria. Each page of the proposal should state the name of the proposer, the PON number, and the page number. The proposal must be in the following format, with items in the sequence shown.

1. Proposal Checklist - Complete the specific Proposal Checklist attached as part of this PON, and include it as the front cover of the original and each copy of the proposal. Please note the following:

1. Indicate whether you accept the standard terms and conditions as contained in the attached Sample Agreement (Attachment F). If you do not accept the standard terms and conditions, provide alternate terms with justification based on the risk and benefit to NYSERDA and New York State. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement.
2. Be sure the individual who is signing the Proposal Checklist is authorized to commit the proposer's organization to the proposal as submitted.
3. Indicate to which category you are proposing on the proposal checklist. Each proposal will be considered for only one category of funding.
4. Do not leave any blanks. If a specific question is not applicable, indicate N/A.

2. Procurement Lobbying Requirements - State Finance Law sections 139-j and 139-k. In compliance with §139-j and §139-k of the State Finance Law (see Section VIII, General Conditions below for additional information), additional forms must be completed and filed with proposals: (1) a signed copy of the Proposal Checklist including required certifications under the State Finance Law and (2) a completed Disclosure of Prior Findings of Non-Responsibility form. Failure to include a signed copy of the Proposal Checklist referenced in this solicitation may disqualify your proposal.

3. Proposal Narrative. Complete the Proposal Narrative form-fillable document as part of the PON (Attachment C). The Funding Category must be clearly indicated. The Proposal Narrative contains the following sections:

- Executive Summary
- Problem Statement and Proposed Solution
 - Attachment C2: Business Model Canvas (Category C, and D)
- State of Research and Technology Targets
 - Attachment C3: TRL/CRL Calculator
- Commercialization Potential of Proposed Product
 - Attachment C4: Three-Year Financial Projects Worksheet (Category C)
- Demonstration Project Information (Category D Only)
- Study Information (Category A and B)
- Statement of Work (Attachment C1) and Schedule
- Project Benefits
- Budget

- Proposer Qualifications
- Letters of Support
- Attachments

Proposers must carefully review the Proposal Narrative to ensure that all required sections are completed. Failure to do so may result in the proposal being rejected as non-responsive.

VI. PROPOSAL EVALUATION

Proposals will be reviewed by an Investment Evaluation Panel (IEP) and will be scored and ranked according to the following criteria. In addition to considering how project proposals satisfy the Evaluation Criteria listed below, NYSERDA reserves the right to make funding decisions on the basis of other programmatic reasons such as, but not limited to, NYSERDA's history/experience with particular contractors, geographic equity/distribution, customer diversity, scale of anticipated impacts, and prospects for learning opportunities. After the proposals are reviewed, NYSERDA will issue a letter to each proposer indicating if the proposal has been selected to enter into contract negotiations with NYSERDA. As part of contract negotiations, the proposer will be required to submit a detailed Statement of Work, budget, and schedule, and may also be asked to address specific questions or recommendations of the IEP before contract award.

EVALUATION CRITERIA:

Problem and Proposed Solution (All Categories) -

- How significant is the problem or opportunity to New York State?
- Is the proposed work technically feasible, innovative, and superior to alternatives?
- Does the proposal address an eligible technology?
- How well does the proposed solution address the problem or opportunity?
- Are fundamental scientific principles well understood and clearly presented?
- How appropriate are the cost, technical, and performance goals for the proposed technology or product?
- Does the proposer exhibit an understanding of the state-of-the-art, competing products and alternative designs?
- If the proposed work is a follow-on project to a previously co-funded NYSERDA project, what was the outcome of the earlier phase?
- Is the proposed project addressing a current challenge or opportunity that is not being addressed adequately by current industry practices and/or federal and/or other state research priorities and funding?

Proposed Work (Category D only) –

- How significant is the demonstration opportunity to New York State?
- How well does the proposed solution address the problem or opportunity?
- Is the proposed demonstration innovative and is it appropriate that the proposed demonstration be funded under this program as opposed to a NYSERDA program that provides incentives to install certified, commercially-ready technologies?
- Does the proposal address an eligible technology?
- Is the proposed demonstration well-conceived, technically feasible, and superior to alternatives?
- Does the proposer exhibit an understanding of the state-of-the-art, competing products and alternative designs?
- What is the level of commitment of a New York State host site?
- Is an appropriate performance monitoring and data analysis effort included in the proposal?
- If the proposed work is follow-on to a previously co-funded NYSERDA project, what was the outcome of the earlier phase?

New York State Impact and Project Benefits (All Categories) –

- To what extent does the project support Reforming the Energy Vision (REV) goals, Grid modernization, in general the Clean Energy Standard, and the Clean Energy Fund goals in New York State?
- To what extent will there be economic benefits in New York State in the form of subsequent commercial activity and economic growth?
- Does the proposal include a New York State demonstration site?
- To what extent does the proposal involve the participation of one or more utilities?
- Are the appropriate letters of support and/or commitments included in the proposal?
- How well are the potential benefits to New York State quantified?
- How likely is it that the projected benefits will be realized?
- Does the proposed project have favorable energy, efficiency, environmental and economic impacts in New York State? How significant are these impacts?
- To what extent will there be economic benefits in New York State in the form of subsequent commercial activity?
- Are the technical risks identified, appropriately addressed, and balanced by project benefits?
- Does the proposal address an innovative electric power delivery technology that improves performance, quality or reliability / resiliency?

Statement of Work and Schedule (All Categories) -

- How appropriate are the technical and performance goals for the proposed project?
- Do the proposed technical and performance goals adequately allow for measurement and verification of the success of the proposed project?
- Is the work strategy in the Statement of Work sound and likely to achieve the technical and performance goals?
- Does the Statement of Work include an economic analysis of the technology based on performance measurements?
- Is the Statement of Work well organized, complete, and appropriate for the goals identified?
- How realistic is the schedule for achieving the goals of the proposed project?
- Is the proposed level of effort reasonable to complete the proposed project?
- Are the proposed milestones reasonable?

(Category D Only) –

- Are the data acquisition, monitoring, and reporting plans reasonable and do they meet the requirements in Section V, ‘ADDITIONAL PROGRAM REQUIREMENTS FOR CATEGORY D DEMONSTRATION PROJECTS ONLY’?
- Is the benefits tracking plan reasonable and does it meet the requirements in Section V, ‘ADDITIONAL PROGRAM REQUIREMENTS FOR CATEGORY D DEMONSTRATION PROJECTS ONLY’?
- If monitoring baseline utility system operation is necessary to document system benefits, does the Statement of Work include a provision to adequately gather baseline utility operational data?

Proposer Qualifications (All Categories) -

- Has the proposer provided evidence of being qualified to perform the proposed work based on the qualifications of the organization(s) and the involved individual(s)?
- Were resumes of key individuals included in the proposal?
- To what degree does the proposer have the necessary technical and business background and experience?
- Does the team include a New York State business, thereby providing economic benefits in the form of jobs?
- Has the proposer provided evidence of good past performance on other relevant projects?
- Is the proposing team appropriately organized?
- Are staff allocations and responsibilities reasonable?

Project Cost and Value (All Categories) -

- Is the overall project cost justified and reasonable based on the level of effort proposed and the expected outcome and benefits?
- How significant is the potential market opportunity relative to the project cost?

- How appropriate are the proposer's co-funding contributions (sources and amounts) with respect to the degree of risk, potential to benefit from the work, and financial status of the organization?
- How firm are the commitments and support from essential participants, co-funders, and related businesses and other organizations?
- Are the overhead rates reasonable and supported with appropriate documentation?
- Are equipment, facility, material, and travel costs based on reasonable estimates?
- Are the labor rates reflective of the industry?

Technology Transfer / Repeatability (All Categories) –

- Does the proposed technology have commercial applications at other New York State sites?
- Does the proposed project demonstrate an effective strategy and strong potential for the project to lead to future use of the technology in New York?
- Does the proposed technology address market needs?

Business/Commercialization Plan (Category C only) -

- Is the proposed product or concept likely to be successful?
- Are there sufficient markets or needs for the concept/technology?
- Does the proposed project address customer needs?
- Are the business and commercialization or replication plans appropriate for the type of project and stage of development?
- How significant are the barriers to market entry?
- Does the proposer demonstrate a clear understanding of the steps required to overcome these barriers?
- Have customers been identified and consulted regarding the value of the technology or solution?" "Is the value proposition of the technology well matched to the expressed needs of the customer segments being targeted?
- Does the proposal identify competing and alternate solutions, and clearly show why this product or concept is superior to, price competitive with, or provides value compared to alternative products or solutions?
- If follow-on financial resources are necessary, are plans to raise necessary financial resources likely to be successful?
- How well are the project tasks directed at identifying and fulfilling customer requirements? How far will execution of the work plan take the product to full commercialization?
- Would achievement of technical and business goals position the company to raise capital or realize revenue from the product before NYSERDA funding is exhausted?

Other Considerations – Proposals will be reviewed to determine if they reflect NYSERDA’s overall objectives, including: risk/reward relationships, the general distribution of projects among categories, technologies, industries and other organizations, and geographically within New York State. NYSERDA may decline to fund proposals that duplicate or are similar to other proposals or ongoing or completed projects,

VII. RECOUPMENT AND METRICS

Recoupment. For any new projects **exceeding \$100,000** that involve product development, including business development (see definition below), **NYSERDA will require a royalty based on sales and/or licensing of the new product developed** (Please see Attachment F, Sample Agreement for specific recoupment obligations).

Product Development: the method of bringing a new or improved product, system, or service to market, including technical feasibility, business case feasibility, market analysis, proof of concept, product design, engineering, scale up, and field testing. Field testing is the stage in which a technology, not yet commercially available with a warranty, is operated in real world conditions with results used for product iteration, market validation, or customer engagement. Projects where NYSERDA’s share of funding is \$100,000 or less will generally not require recoupment. However, should subsequent funds be awarded for

further product development of the same or a substantially similar product, any funds previously received under the \$100,000 threshold will be added to the future recoupment obligation. Please note: NYSERDA may decline to contract with awardees that are delinquent with respect to recoupment payments or sales reporting for any previous NYSERDA agreement.

Annual Metrics Reports. If awarded, the proposer will be required to submit to NYSERDA's Project Manager on an annual basis, a prepared analysis and summary of metrics addressing the anticipated energy, environmental and economic benefits that are realized by the project. All estimates shall reference credible sources and estimating procedures, and all assumptions shall be documented. Reporting shall commence the first calendar year after the contract is executed. Reports shall be submitted by January 31st for the previous calendar years' activities (i.e. reporting period). Please see Attachment E: Product Development Sample Metrics Reporting Guide for the metrics that you will be expected to provide and the reporting duration. NYSERDA may decline to contract with awardees that are delinquent with respect to metrics reporting for any previous or active NYSERDA agreement.

VIII. GENERAL CONDITIONS

PROPRIETARY INFORMATION

Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes.

The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to exempt it from disclosure, including a written statement of the reasons why the information should be exempted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501.

<http://www.nyserdada.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>[Regulations.ashx](#). However, NYSERDA cannot guarantee the confidentiality of any information submitted.

OMNIBUS PROCUREMENT ACT OF 1992

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

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

Empire State Development
Division for Small Business
30 South Pearl Street
Albany, NY 12245

A directory of certified minority- and women-owned business enterprises is available from:

Empire State Development
Minority and Women's Business Development Division
30 South Pearl Street
Albany, NY 12245

State Finance Law sections 139-j and 139-k - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <http://www.ogs.ny.gov/aboutogs/regulations/advisoryCouncil/StatutoryReferences.html>. The attached Proposal Checklist calls for a signature certifying that the proposer will comply with State Finance Law sections 139-j and 139-k and the Disclosure of Prior Findings of Non-responsibility form includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years.

Tax Law Section 5-a - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. *See*, ST-220-TD (available at http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department. The Department has created a second form that must be completed by a prospective contractor prior to contacting and filed with NYSERDA. *See*, ST-220-CA (available at http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

Contract Award - NYSERDA anticipates making multiple awards under this solicitation. It may award a contract based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA, at its sole discretion, will decide whether to contract successful projects using time and material or milestone payment terms. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the submitted proposal. NYSERDA expects to notify proposers in approximately 10 weeks from the proposal due date whether your proposal has been selected to receive an award. **NYSERDA may decline to contract with awardees who are delinquent with respect to any obligation under any previous or active NYSERDA agreement.**

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

DISCLOSURE REQUIREMENT

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

IX. Attachments

Attachment A - Proposal Checklist

Attachment B - Disclosure of Prior Findings of Non-responsibility (mandatory)

Attachment C – Proposal Narrative Format

Attachment C1 - Statement of Work Format

Attachment C2 – Business Model Canvas Template

Attachment C3 – TRL-CRL Calculator Workbook

Attachment C4 – 3 Year Financial Projection Worksheet

Attachment D - Contract Pricing Proposal Form (CPPF)

Attachment D1 – Contract Pricing Proposal Form (Excel)

Attachment E - Sample Product Development Metrics

Attachment E1 – Sample Demonstration Metrics

Attachment E2 – Sample Information Dissemination Metrics

Attachment F - Sample Agreement with Exhibits

Attachment G – Instructions for Electronic Proposal Submission

Clean Energy Incubators
Program Opportunity Notice (PON) 3413
\$10,000,000 Available

NYSERDA reserves the right to extend and/or add funding to the Solicitation should other program funding sources become available.

Round 1 Proposals Due: December 1, 2016 by 5:00 PM Eastern Time*
Round 2 Proposals Due: October 25, 2017 by 5:00 PM Eastern Time*

This New York State Energy Research and Development Authority (NYSERDA) Program Opportunity Notice (PON) 3413, Clean Energy Incubators, seeks proposals to catalyze the continued development and growth of a vibrant, self-sustaining clean energy innovation ecosystem in New York State through the support of clean energy business incubators. This PON is a continuation of NYSERDA's successful clean energy incubator program and will continue the evolution of the existing incubator program by making additional, competitively awarded funding available for clean energy incubators across New York State. NYSERDA's strategy is to provide operational and programming support for clean energy incubators that offer commercialization resources, technical assistance, and business development support to early-stage companies in order to help them achieve key milestones and accelerate their time to market. Proposals will be evaluated on the basis of innovative and high-impact programming for client companies and graduates, utilization of institutional resources and regional assets, collaboration with partners, and leverage of funding and support from other sponsors. Enhancing the geographic coverage and distribution of clean energy incubation services within the Southern Tier of New York State, as defined in the 76West program, is also an objective of this solicitation. Up to \$10,000,000 of NYSERDA funding is available through this PON. The maximum award per incubator will be \$2,000,000. Awarded contracts will be for an initial term of four years with one, one-year option to renew. All, some, or none, of the available funds may be awarded in Round 1 and/or Round 2. NYSERDA reserves the right to add or reduce time and/or funding to awarded contracts.

Proposal Submission

Electronic submission is preferable. NYSERDA will also accept proposals by mail or hand-delivery. If submitting electronically, proposers must submit the proposal in either PDF or MS Word format with a completed and signed Proposal Checklist and Disclosure of Prior Findings of Non-Responsibility. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility, rather than scanning. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. Proposals may be submitted electronically by following the link for electronic submissions found on this PON's webpage, which is located in the "Current Opportunities" section of NYSERDA's website (<http://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>). Instructions for submitting electronically are located as Attachment E to this PON.

If mailing or hand-delivering, proposers must submit (2) paper copies of their proposal with a completed and signed Proposal Checklist, along with a CD or DVD containing either a PDF or MS Word digital copy of the proposal, following the above guidelines. Mailed or hand-delivered proposals must be clearly labeled and submitted to:

Jill Baxter, PON 3413
NYS Energy Research and Development Authority
17 Columbia Circle

Albany, NY 12203-6399

No communication intended to influence this procurement is permitted except by contacting Nicholas Querques (Designated Contact) at (518) 862-1090, ext. 3086 or nicholas.querques@nyserda.ny.gov or Michael Shimazu (Designated Contact) at 518-862-1090, ext. 3478 or michael.shimazu@nyserda.ny.gov. If you have contractual questions concerning this solicitation, contact Venice Forbes (Designated Contact) at (518) 862-1090, ext. 3507 or venice.forbes@nyserda.ny.gov. Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offeror, and (2) may result in the proposer not being awarded a contract.

* Late proposals will be returned. Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal. Faxed or e-mailed proposals will not be accepted. Proposals will not be accepted at any other NYSERDA location other than the address above. If changes are made to this solicitation, notification will be posted on NYSERDA's website at <https://www.nyserda.ny.gov/>.

I. INTRODUCTION

Many early-stage companies that are commercializing clean energy technologies and solutions continue to face a difficult path to market as a result of the capital intensity and long lead times associated with the clean energy commercialization process. In addition, clean energy companies – whether they are developing disruptive hardware technologies or innovating new business models – often lack active relationships and deep connections with the broader investment community and key development partners. Incubators, which are organizations that help new and early-stage ventures develop and scale, can dramatically improve the success rate of these clean energy companies.

For the purpose of this solicitation, clean energy is defined as hardware technologies, software technologies, services, or processes that broadly reduce energy consumption and greenhouse gas emissions and/or enable the transition to a sustainable and clean energy economy by increasing the supply of renewable energy and distributed energy resources, improving the efficiency of energy utilization at the consumer and industrial scale, improving the processes and systems that use energy, or more effectively enabling energy solutions to permeate the marketplace.

NYSERDA founded its incubator program in 2009 to foster the viability and growth of the state's most promising clean energy companies by providing ready access to investors, mentors, development partners, and commercialization resources. These six incubators, which span from Buffalo to Long Island, have assisted 146 client companies and graduates have raised over \$247 million in private investment, \$205 million in project finance capital, and \$82 million of non-NYSERDA grant funding to date, while generating over 1,000 jobs and bringing dozens of new clean energy products and solutions to the market.

The current NYSERDA-sponsored incubators include:

- Directed Energy – University at Buffalo (Western New York)
- Venture Creations – Rochester Institute of Technology (Finger Lakes)
- Clean Tech Center – The Tech Garden (Central New York)
- iClean – SUNY Polytechnic Institute (Capital Region)
- ACRE – NYU Tandon School of Engineering (New York City)
- CEBIP – Stony Brook University (Long Island)

This PON is a continuation of NYSERDA's successful clean energy incubator program and will continue the evolution of the existing incubator program by making additional, competitively awarded funding available for clean energy incubators across New York State, which could include existing NYSERDA-sponsored incubators and/or new incubators that are not currently supported by NYSERDA. For existing NYSERDA-sponsored incubators, any potential awards made through this solicitation will be new and separate contracts from the work that they are performing or have performed under current or past contracts. NYSERDA's strategy is to provide operational and programming support for clean energy incubators that offer commercialization resources, technical assistance, and business development support to early-stage companies in order to achieve key milestones and accelerate their time to market.

To date, NYSERDA's clean energy incubator program has not competitively awarded any incubators in the Southern Tier region of the state, defined in the 76West program (<https://www.nyserda.ny.gov/All-Programs/Programs/76west>) to include the following counties: Allegany, Broome, Cattaraugus, Chautauqua, Chemung, Chenango, Delaware, Schuyler, Steuben, Tompkins, and Tioga. Consequently, NYSERDA specifically encourages proposals to provide incubation services at physical facilities located in communities within this region, with the goals of enhancing the geographic coverage of its startup growth programs, and filling identified needs in the economies and entrepreneurial ecosystems of these communities.

The broad goal of NYSERDA's Technology and Business Innovation program is to support technologies and companies that will help New York State reach its energy and climate targets. Within that context, the goals of NYSERDA's clean energy incubator program include:

- Accelerating the time to market for clean energy incubator client companies and graduates, as evidenced through the following metrics: private investment raised, project finance capital secured, grants awarded, strategic partnerships executed, revenue generated, new products commercialized, jobs created/retained, and liquidity events realized.
- Evolving the operations and programming of NYSERDA-sponsored incubators so they are mainly targeted at achieving client-driven milestones and quickly able to address the needs of client companies and graduates.
- Serving as a foundational element of the regional and statewide clean energy innovation ecosystem in order to promote the continued transition to a robust, sustainable clean energy economy in New York State.

The subsequent sections of this PON are as follows:

- II. Program Requirements (page 3)
- III. Proposal Requirements (page 6)
- IV. Proposal Evaluation (page 7)
- V. General Conditions (page 10)
- VI. Attachments (page 12)

II. PROGRAM REQUIREMENTS

Eligibility and Proposer Qualifications

Proposers may be existing NYSERDA-sponsored incubators and/or new incubators that are not currently supported by NYSERDA. Proposers must be entities with a demonstrable and proven track record of successfully providing business incubation services to early-stage companies that are developing the full spectrum of clean energy technologies and solutions. Proposers may be organized as for-profit or non-profit entities. Proposers must be located in New York State, which means that their principal place of business and management team must entirely be based within the state.

Proposers must have the physical facilities and ability to provide on-site resources and co-location space for client companies and graduates at such location. Historically, incubators providing physical space, on-site resources, and co-location space have been more successful in regard to fostering an entrepreneurial culture and assisting client companies and graduates achieve significant milestones. Successful proposers will be required to, without exception, provide site-specific programming, services, and physical space to incubator client companies and graduates. However, this shall not preclude the delivery of commercialization resources, technical assistance, and business development support to clean energy companies who are not physically located within the organization's incubator facility.

Proposers will be evaluated on their track record and ability to achieve the following key outcomes:

- Communicate a clear value proposition to develop and deploy program offerings that are founded on continuous customer discovery and market validation.
- Curate and deliver innovative, impactful, and high-value add programming for incubator client companies and graduates.
- Utilize institutional and regional assets to provide targeted and timely commercialization resources, technical assistance, and business development support to incubator client companies and graduates.
- Collaborate with world-class partners, including venture development organizations, investors, service providers, and other relevant incubators and NYSERDA-sponsored resources in order to support client companies and graduates as well as raise the profile of the statewide clean energy innovation ecosystem.
- Leverage funding and support from private and public sponsors other than NYSERDA.

Proposers should be able to provide illustrative examples of clean energy companies that have directly benefited from their business incubation support. Proposers must also be able to clearly and succinctly articulate how they have helped specific client companies and graduates achieve significant technical and business milestones, such as attracting investment, securing partnerships, commercializing products, generating revenue, and realizing liquidity events. Proposers should provide contact information for any specified client companies listed in the proposal. NYSERDA reserves the right to verify any information provided in the proposal.

Available Funding and Cost Sharing

Up to \$10,000,000 of NYSERDA funding is available through this PON. The maximum award per incubator will be \$2,000,000. All, some, or none, of the available funds may be awarded in Round 1 and/or Round 2. NYSERDA reserves the right to add or reduce time and/or funding to awarded contracts. Successful proposers will be required to provide cost sharing; at least 25% of the total project cost is required. The proposer's cost share may be cash or in-kind and may come from the proposer itself or partner organizations. Cash is the preferred form of cost share.

Range/Scope of Services

Proposers are asked to submit proposals for business incubators that will support early-stage companies in the clean energy space. Such companies may range from concept-stage companies and startups to revenue-producing companies that require additional development to accelerate the commercialization of new products. Proposers are expected to develop models that leverage their institutional resources and regional assets while also utilizing national best practices from leading business incubators. To be selected for funding, proposals must outline strategies for how they will address and execute on the following key program activities:

- **Operations** – Strategies and activities related to the operation and administration of the incubator. Examples include, but are not limited to, acquisition of sufficient physical space to house incubator clients, hiring highly qualified and sufficient staff to manage programming, and implementing measurement and verification steps to collect and report high-quality performance metrics. Operations activities will be reported in required periodic reporting for NYSERDA that quantifies the impact of the incubator as well as progress made and milestones achieved by client companies and graduates.
- **Programs** – Strategies and activities that build, foster, and grow a culture of innovation and entrepreneurship throughout the incubator’s institution and broader region. For example, networking events, boot camps, founder meetups, mentor office hours, advisory board meetings, hackathons, prize competitions, etc. The results of these programs will be reported periodically and include an assessment of programming impacts in order to identify what works well and potential areas for adjustment.
- **Client-Driven Milestones** – Strategies and activities focused specifically on increasing the likelihood of incubator client company success. For example, client-specific support and assistance to raise private investment, form strategic partnerships, and bring products to market, etc. These client-driven milestones, which ensure that compensation for incubator is aligned with the performance and success of its client companies and graduates, will be the primary focus of NYSERDA’s support through this PON.

Schedule and Teaming

The following guidelines should be considered when developing proposals:

- Projects are expected to begin within 4 months of the proposal due date. Awarded contracts will be for an initial term of four years with one, one-year option to renew.
- Teaming arrangements and collaboration are highly encouraged, where appropriate, to enhance the likelihood of project success and overall impact. Teams may include partners such as venture development organizations, investors, service providers, academic and research institutions, government agencies, and other incubators. Include letters of commitment or interest from each identified team member in an appendix to the proposal.

Letters of Commitment or Interest

If you are relying on any other organization to do some of the work, provide services or equipment, participate as a key partner, or share in the non-NYSERDA cost, include a letter from that organization describing its planned participation. Also include letters of interest or commitment from partners or other organizations critical to the development, implementation, and success of the project. Absence of letters of commitment or interest may be interpreted as meaning that the proposer does not have support from the subject parties. Letters should not be solicited from NYSERDA personnel.

Potential Conflicts of Interest

Identify the nature of any potential conflicts of interest among team members and partners in providing services to NYSERDA under this PON. Fully discuss possible conflicts of interest, actual and perceived, which could arise in connection with performance by team members and partners of the proposed contract. Describe how your firm would resolve conflicts of interest. In the event that NYSERDA determines that a team member may have a conflict of interest or the appearance of such, NYSERDA may: (1) take this into consideration in evaluating the proposal; (2) exclude the proposer from consideration for an award; (3) adjust the scope of work to avoid the conflict or appearance of conflict; or (4) negotiate other appropriate actions with the team member to avoid the conflict or appearance of conflict.

Other Considerations

In addition, proposers should note that:

- A proposal may be considered non-responsive if it fails to comply with the requirements above, the Proposal Requirements of Section III, or the General Conditions of Section V.
- Prior to an award being made, potential awardees may be required to demonstrate the following via formal documentation: a strong track record, access to financial resources sufficient to perform the proposed work, technical experience and adequate facilities (or the ability to access them), and the ability to qualify for an award under applicable laws and regulations.
- Performance of awarded projects will be assessed on a continuous basis in order to ensure the contractor is meeting its commitments and achieving the milestones laid out in the Statement of Work.

III. PROPOSAL REQUIREMENTS

The proposer's goal should be to concisely present the information needed to fully address the Proposal Evaluation criteria (see Section IV). Proposals that grossly exceed the page limits or fail to follow the format guidelines in Attachment C may be rejected as non-responsive. If you believe proprietary information must be submitted to provide an adequate proposal, you must comply with the Section V instructions for submitting proprietary material.

Proposals should not be excessively long or submitted in an elaborate format that includes expensive binders or graphics. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective proposal may reduce, rather than increase, a proposal's standing per the evaluation criteria. Each page of the proposal should state the name of the proposer, the PON number, and the page number. The proposal must be in the following format, with items in the sequence shown.

Proposal Checklist

Complete the specific Proposal Checklist attached as part of this PON (Attachment A), and include it as the front cover of the original and each copy of the proposal. Note the following:

- Indicate whether you accept the standard terms and conditions as contained in the Sample Agreement (Attachment D). If you **do not accept** the standard terms and conditions, **provide alternate terms** with justification based on the risk and benefit to New York State. NYSERDA reserves the right to consider only exceptions to terms that are specifically included with the proposal. Any negotiation of terms will be at NYSERDA's sole discretion.
- Do not leave any blanks. If a specific question is not applicable, indicate "N/A".
- Be sure the individual signing the Proposal Checklist is authorized to commit the proposer's organization to the proposal as submitted.
- A completed and signed Proposal Checklist must be attached as the front cover of your proposal. **Late proposals will be returned and proposals lacking the appropriate completed and signed Proposal Checklist may be returned. Faxed or e-mailed copies will not be accepted.**

Procurement Lobbying Requirements

In compliance with §139-j and §139-k of the State Finance Law (see Section V, General Conditions below for additional information), additional forms must be completed and filed with proposals: (1) a signed copy of the Proposal Checklist including required certifications under the State Finance Law and (2) a completed Disclosure of Prior Findings of Non-Responsibility form. Failure to include a signed copy of the Proposal Checklist referenced in this solicitation may disqualify your proposal.

Proposal Narrative

Complete the Proposal Narrative form-fillable document as part of the PON (Attachment C). The Proposal Narrative contains the following sections:

- Executive Summary
- II. Background, Opportunity, and Needs Assessment
 - Attachment C1 - Mission Model Canvas
- III. Statement of Work, Milestone Payment Plan, and Schedule
- IV. Proposer Qualifications
- V. Project Benefits
- VI. Budget
- VII. Letters of Support
- VIII. Attachments

Proposers must carefully review the Proposal Narrative to ensure that all required sections are completed. Failure to do so may result in the proposal being rejected as non-responsive.

Cost Sharing

The proposal should show non-NYSERDA funding of at least 25% of the total cost of the project. The 25% cost sharing requirement is a minimum indicator of the commitment of the proposer to leverage the NYSEERDA investment to build and develop a vibrant, sustainable clean energy innovation ecosystem in their respective region. Cost sharing can be from the proposer, other team members and partners, and other private or public sources. Contributions of direct labor (for which the laborer is paid as an employee) and purchased materials may be considered "cash" contributions. Unpaid labor, indirect labor, or other general overhead may be considered "in-kind" contributions. NYSEERDA will not pay for efforts which have already been undertaken. The proposer or proposing team cannot claim as cost-share any expenses that have already been incurred. The proposer must provide the cost sharing information and their organization's overhead rate as directed in Attachment C.

IV. PROPOSAL EVALUATION

Proposals that meet the solicitation requirements will be reviewed by a Scoring Committee and will be scored and ranked according to the following criteria, **listed in order of importance**. At NYSEERDA's discretion, proposers may be requested to interview with all or part of the Scoring Committee to address any potential questions or clarifications outlined in the proposals. Proposers will be notified if they are requested to attend an interview. After the proposals are reviewed, NYSEERDA will issue a letter to each proposer indicating the proposal evaluation results. Proposers receiving favorable evaluations will be invited to enter into contract negotiations with NYSEERDA. The proposer will be required to submit a detailed Statement of Work, schedule, and budget as part of Attachment C, and may also be asked to address specific questions or recommendations of the Scoring Committee prior to any contract award.

Requirements

A negative response to any one of the questions below may eliminate the proposal from further consideration. Does the proposal:

- Communicate a clear value proposition and demonstrate compelling customer and market validation for the project from clean energy companies, investors, supporting venture development organizations, and service providers?
- Curate and deliver innovative, impactful, and high-value add programming for incubator client companies and graduates?

- Utilize institutional and regional assets to provide targeted and timely commercialization resources, technical assistance, and business development support to incubator client companies and graduates?
- Collaborate with world-class partners, including venture development organizations, investors, service providers, and other relevant incubators in order to support client companies and graduates as well as raise the profile of the statewide clean energy innovation ecosystem?
- Leverage funding and support from private and public sponsors other than NYSERDA?
- Address needs and gaps in economies or innovation ecosystems of one or more communities?
- Provide the required level of cost-sharing?

Evaluation Criteria in Order of Importance

Proposed Solution/Scope

- Does the proposed project define a clear and compelling value proposition and model that is validated with customers (clean energy companies) and partners (venture development organizations, investors, and service providers) in the market?
- Does the proposed project highlight how it will curate and deliver impactful, and high-value add programming for client companies and graduates?
- Does the proposed project utilize institutional and regional assets to provide targeted and timely commercialization resources, technical assistance, and business development support to incubator client companies and graduates?
- Does the proposed project provide a strategy for collaboration and provide concrete examples of strong commitment from world-class partners?
- Does the proposed project utilize and deploy national best practices from leading clean energy incubators?
- How meaningful and impactful are the proposed client-driven milestones? How aligned with client success is the proposed milestone payment plan?
- Is the proposed Statement of Work technically feasible, innovative, and superior to alternatives?
- Is the work strategy sound? Can the strategy be tested, measured, and adjusted with ease?

Project Benefits

- How significant are the economic benefits from the project, in the form of subsequent leveraged investment, new product commercialization, and job creation by incubator clients and graduates?
- Will the proposed project effectively leverage NYSERDA's investment by attracting additional funding and support from other sponsors? Are there existing or future commitments from other sponsors for the proposed project?
- Does the proposed project have a strategy or methodology for quantifying the potential energy and environmental benefits that will result from the technologies and products being commercialized by incubator and the client companies and graduates?
- How will the project develop and deploy programming that, while difficult to quantify, serves to build and develop a vibrant, sustainable clean energy innovation ecosystem in the target region?
- Will a significant part of the work take place in New York State?

Project Team and Support

- To what degree do the team members, partners, and advisory board members have relevant and necessary technical, commercialization, and entrepreneurial background and experience?
- Has the proposer previously operated a business incubator that served early-stage companies? What is the proposer's track record in providing business incubation to companies in the clean energy space?

- Has the proposer clearly identified the project team and allocated full-time staff that are focused exclusively on the proposed project?
- How firm are the commitments and support from essential team members, partners, co-funders, and other organizations?
- What has been the proposer's record of performance on prior NYSERDA-funded projects?

Market Potential

- Does the proposed project address a current challenge or opportunity in the market that is not being addressed by others?
- Does the proposed project clearly identify the clean energy sector(s) and company development stage(s) that it is looking to target?
- Does the proposed project outline a clear strategy for achieving long-term sustainability after the project period, as evidenced by the Mission Model Canvas?
- Is there a process or strategy in place to measure progress and success?

Project Value

- Is the overall project cost justified based on the expected benefits?
- How appropriate are the proposer's co-funding contributions (sources and amounts) in view of the proposer's overall financial resources, degree of risk exposure, and potential to benefit from the work?
- Does the proposer have a reasonable plan for pursuing any additional funding necessary for future sustainability of the incubator?

Geographic Coverage

- Does the proposal adequately identify needs and gaps in the economies or innovation ecosystems of one or more communities where the proposer provides physical space for the delivery of incubation services? How severe are these needs and gaps, and how well does the proposer address them?
- How well aligned is the proposed program with the strategic priorities of the Regional Economic Development Council (REDC) where the proposer is located as expressed, for example, in the REDC's Strategic Plan?
- Does the proposed project have the potential to recruit other resources within its community in support of early-stage clean energy companies?

Other Considerations

NYSERDA reserves the right to accept or reject proposals – or adjust award amounts – based on the following factor(s):

- Geographic coverage and distribution of awardees, including existing NYSERDA-sponsored incubators.
- Provision of incubation services at physical facilities located in communities within the Southern Tier, as defined in the 76West program.
- Duplication of other proposed or awarded projects.
- The degree to which the proposed project, including proposed cost shares, optimizes the use of available funding to achieve programmatic objectives.
- The degree to which there is industry involvement and demonstrated ability to commercialize energy or related technologies.
- The degree to which the proposed project directly addresses NYSERDA's mission and strategic goals.

- The degree to which the applicant has the resources (human and financial) to be able to complete the project.

V. GENERAL CONDITIONS

Proprietary Information

Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <http://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

Omnibus Procurement Act of 1992

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

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

Empire State Development
Division For Small Business
625 Broadway
Albany, NY 12207

A directory of certified minority- and women-owned business enterprises is available from:

Empire State Development
Minority and Women's Business Development Division
625 Broadway
Albany, NY 12207

State Finance Law sections 139-j and 139-k

NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx>. The attached Proposal Checklist calls for a signature certifying that the proposer will comply with State Finance Law sections 139-j and 139-k and the Disclosure of Prior Findings of Non-responsibility form includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years.

Tax Law Section 5-a

NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department. The Department has created a second form that must be completed by a prospective contractor prior to contacting and filed with NYSERDA. See, ST-220-CA (available at http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

Contract Award

NYSERDA anticipates making multiple awards under this solicitation. It may award a contract based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the submitted proposal (see Proposal Checklist). Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately 8 weeks from the proposal due date whether their proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

Limitation

This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement. NYSERDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information and the presence of a material possibility of any reputational or legal risk in making of the award.

Reporting

If awarded, the proposer will be required to submit to NYSERDA's Project Manager on a quarterly basis, a prepared analysis and summary of program funding leveraged from other sponsors by the incubator itself as well as the following metrics for incubator client companies and graduates for at least four years after their graduation date:

- Private investment raised
- Project finance capital secured
- Grants awarded
- Strategic partnerships executed
- Revenue generated

- New products commercialized
- Jobs created/retained
- Liquidity events realized

All metrics shall be documented, certified, and published to the best of the contractor's ability, in a manner which does not present any competitive harm to incubator client companies and graduates. Reporting shall commence the first calendar quarter after the contract is executed. Reports shall be submitted 30 days after the previous calendar quarter's activities (i.e. reporting period).

NYSERDA may decline to contract with awardees that are delinquent with respect to metrics reporting for any previous or active NYSERDA agreement.

Disclosure Requirement

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

VI. ATTACHMENTS

The following attachments are required for each submitted proposal to be considered complete:

- Attachment A - Proposal Checklist
- Attachment B - Disclosure of Prior Findings of Non-Responsibility Form
- Attachment C - Proposal Narrative
 - Attachment C1 - Mission Model Canvas
- Attachment D - Sample Agreement
- Attachment E - Instructions for Electronic Proposal Submission



CHP Program – CHP Module/Vendor Qualification
Request for Information (RFI) 2568

Applications accepted through November 30, 2018 at 5:00 PM Eastern Time*

The Combined Heat and Power (CHP) Program provides incentives for the installation of CHP systems through PON 2568, which supports an accelerated procurement process where customers select from a set of pre-approved, pre-engineered CHP modules supplied by approved CHP Vendors (the Catalog Approach) or the more traditional design/build procurement process specifically for larger customers that are not adequately met by the Catalog Approach (the Custom Approach).

Under the Catalog Approach, a CHP System consisting of one or more pre-approved Catalog Modules is installed with the approved Vendor acting as a single point of responsibility for the entire project and providing a minimum 5-year maintenance/warranty agreement on the CHP System. Under this approach, NYSERDA will only accept applications from, and will only contract with, approved Vendors.

Through this RFI 2568, NYSERDA is accepting applications from vendors of packaged CHP equipment that wish to become eligible to receive incentives under PON 2568's Catalog Approach (approved Vendor) through the installation of pre-approved CHP equipment (Catalog Module).

NYSERDA is seeking to pre-qualify Catalog Modules that have been completely pre-engineered and pre-tested, with the approved Vendor providing a single point of responsibility for design, installation, service and warranty including all system components. The Catalog Modules must be capable of acquiring proper air permits, transitioning from grid interconnected to grid islanding mode (except as allowed for systems 50kW and smaller, or certain back pressure steam turbines or certain ORC devices that do not have black-start capability), and capable of interconnecting to New York State electric utilities using radial distribution systems, secondary network distribution systems and/or spot network distribution systems. Catalog Modules that cannot pre-qualify because they do not meet the pre-tested requirement for pre-qualification may be considered for conditional-qualification provided performance test data is available for the major components and acceptable calculations showing proper sizing of the components is provided.

Approved Vendors must have demonstrated experience designing, installing and maintaining CHP equipment, either alone or with partners.

Packaged Catalog Modules may consist of one or more prime movers and can be up to and including 3 MW in total size. Vendors must submit a separate application for each different system design. Pre-approved Vendors will be able to receive incentives only for installation of pre-approved equipment.

Application Submission: Applicants must submit one (1) hard copy and one (1) digital copy on CD-ROM of the application and supporting documentation, including a completed Application Cover Sheet (Attachment A). Applications must be clearly labeled and submitted to:

**CHP Program, RFI 2568
NYS Energy Research and Development Authority
17 Columbia Circle
Albany, NY 12203-6399**

If you have questions concerning this Request for Information, contact Edward Kear at (518) 862-1090, ext. 3269 or edward.kear@nyserda.ny.gov.

*Faxed or emailed applications will not be accepted. Applications will not be accepted at any other NYSERDA location other than the address above. If changes are made to this Request for Information, notification will be posted on NYSERDA's web site at www.nyserda.ny.gov.

Introduction

NYSERDA's CHP Program PON 2568's Catalog Approach provides incentives for the installation of appropriately sized, packaged Catalog Modules that meet specified criteria in terms of system design and component integration; capability to meet a threshold of performance; and sales, installation and service support. Only CHP installations using pre-qualified, or conditionally qualified, packaged Catalog Modules will be eligible for incentives under PON 2568's Catalog Approach. The purpose of this RFI is to invite applications to pre-qualify/conditionally-qualify packaged CHP equipment and to become pre-approved CHP Vendors. In addition, as NYSERDA's interest in CHP evolves, compiling, and maintaining a list of vetted CHP systems and vendors might have value for a variety of market nurturing efforts beyond support of PON 2568.

The term "packaged" is not necessarily limited to, or defined as, a physically integrated prime mover, heat recovery and controls product on a single skid, but more broadly defined to include:

- An integrated Catalog Module design that includes one or more prime mover/generator(s) and matched heat recovery, interconnection, controls, and monitoring components with demonstrated performance,
- The module is pre-engineered and major components and assemblies are factory pre-tested prior to shipment to the site,
- A single point of responsibility for equipment, installation, service and warranty, and
- A single warranty for the module including all components.

Two categories of Catalog module pre-approval will be used based on the level of documented system performance:

- Pre-qualified CHP Modules – pre-engineered systems with a single point of responsibility for installation, service and warranty, and **demonstrated performance as an integrated system based on one of the three ASERTTI CHP Testing Protocols or equivalent.**
- Conditionally-qualified CHP Modules – pre-engineered systems of matched components and a single point of responsibility for installation service and warranty. **Components and subsystems must have been individually performance tested and the complete system must have been designed and performance rated using accepted engineering methods.** Conditionally qualified modules can be upgraded to pre-qualified status once integrated system performance is demonstrated and documented to NYSERDA's satisfaction.

A hallmark of this program is NYSERDA's emphasis to principally provide consumer protection. In that regard, this program supports only commercially-mature products (this program is not intended to assist inventors with developing or demonstrating prototypes or other pre-commercial activities for bringing a new product to market).

Program Requirements

Applicants (i.e., Respondents to this RFI) must be fully responsible for all aspects of vending/installing/maintaining/warranting the package and may be an original equipment manufacturer, a system integrator, or any other entity that offers to install packaged Catalog Modules at sites in New York State.

The Applicant must provide a single point of responsibility for site integration, installation, all warranties (defect and performance), maintenance and service activities related to packaged Catalog Modules offered by the Applicant (including all components) for a period of not less than five (5) years from the date of electric grid interconnection approval. The Applicant may use subcontracted teams to fulfill these obligations. Regardless of the teaming arrangement, however, the Applicant remains fully responsible for all aspects.

Applicants, or an applicant team, must have demonstrated experience designing, installing and maintaining CHP equipment.

The aggregate generator nameplate electric output rating of the packaged Catalog Module must not be greater than 3 MW.

Packaged Catalog Modules that utilize thermal energy to power the prime mover are eligible. For example, back pressure steam turbines and organic Rankine cycle generators. For those Catalog Modules that utilize a fuel to power the prime mover, only pipeline natural gas, propane or compressed natural gas are eligible fuels. Prime movers fueled directly by low BTU or adulterated fuels, such as biogas, landfill gas, and gasifier gas, or using liquid fuels, such as diesel or gasoline, are not eligible under this Program. Fuel cell systems are not eligible.

Eligible packaged Catalog Modules must be capable of operating in parallel with the utility electric grid. Catalog Modules greater than 50 kW that use fuel to power the prime mover(s) must also be capable of operating in stand-alone mode during a grid outage.

Eligible packaged CHP equipment may be configured to provide hot water, steam, chilled water, or any combination as thermal outputs. Eligible CHP equipment may also incorporate one or more organic Rankine cycle (ORC) generators in a combined cycle configuration, one or more ORC generators configured to use waste heat, or one or more back pressure steam turbines.

Packages selected for admittance into the Program will be listed in catalog-format in the CHP Catalog (CHP Program PON 2568 Attachment C) when it is updated. Excerpts from the materials submitted by the Applicant in response to this RFI will be used to create the "catalog entry" and thus the Applicant must work in good faith with NYSERDA to distinguish between confidential/proprietary materials which the Applicant may submit in order to convince NYSERDA of the merits of their packages, versus materials which NYSERDA would be allowed to publish in order to create a catalog that adequately describes the package.

Catalog Modules installed at a customer's site via PON 2568 may be subject to re-commission activities, at NYSERDA's expense, during the system's sophomore-year of operation. The Applicant will be expected to facilitate NYSERDA's re-commissioning agent's access to the site, the Catalog Module, and information regarding its legacy of performance. Additionally, the Applicant is expected to thoughtfully consider the merits of any recommendations for improvement of the CHP System and/or its operational dispatch that may result from such re-commissioning effort.

All CHP Systems larger than 50kW installed under PON 2568 must be instrumented with a performance monitoring system that, at a minimum, conforms to NYSERDA's Monitoring and Data Collection Standard (RFI 2568 Attachment C). The Standard requires that CHP System performance (including thermal use) be measured on 15 minute intervals, and be automatically uploaded to NYSERDA's DG Performance Website (<http://chp.nyserdera.ny.gov>) on a daily basis for at least 3 years, where such performance data will be available to the public. All Catalog Modules larger than 50kW must include a performance monitoring system consistent with Attachment C.

For CHP Systems 50kW and smaller, NYSERDA intends to sample the performance of small CHP Systems by accessing any monitoring system included within the CHP System by the Vendor, or by installing monitoring equipment at NYSERDA's expense at select CHP project sites. In any case, the site owner must provide a communications route (phone line or internet connection).

NYSERDA may require that each conditionally-qualified Catalog Module, and the first unit of a pre-qualified Catalog Module design supported under PON 2568, be factory witness tested prior to shipment to the site. If required, the witness test must be conducted with the system fully assembled. The witnesses shall include NYSERDA staff or designated representative. If the witness testing of the first pre-qualified unit proves acceptable then NYSERDA may allow subsequent units to be factory tested as a disaggregation of individual subsystems so as to assess the quality of workmanship.

NYSERDA may limit the number of simultaneous installations projects from any one Vendor. Vendors installing their first project under PON 2568 may be limited to as few as the single project. The number of projects using new system designs may be limited until performance can be verified. NYSERDA may also limit further applications from a Vendor if, in the view of NYSERDA, the Vendor may not have sufficient resources to adequately serve the projects.

CHP Equipment Demonstration

Vendors with commercially available CHP equipment 1MW and smaller that does not have sufficient operating history to meet RFI 2568 requirements, and that fills a hole in the CHP Catalog, can apply for a CHP Equipment

Demonstration Project at a test site to show that the equipment is robust and properly designed. Contact the NYSERDA contact person listed on page 1 of this RFI before applying. All information required for an equipment application under this RFI and for a site application under PON 2568 will need to be provided along with a letter from the site stating that it is understood that the proposed project is a demonstration and that the equipment has not been vetted by NYSERDA. If approved, the award for such a demonstration project will be the same as the incentive for a similarly sized project through PON 2568.

Applications for Equipment Demonstration Projects will be evaluated based on the qualifications of the proposing team, the relative technical risks of the project, whether a successful outcome would result in acceptance into the CHP Catalog, the suitability of the test site including tolerance for failure, the perceived market desirability of the proposed system relative to other Catalog equipment if the project is successful, and any unique or technically interesting features of the proposed equipment.

Qualification Requirements for Pre-Approved CHP Modules

Qualification Table		
Category	Minimum Requirements	Required Documentation
CHP Module submitted for pre-qualification	Completed	CHP Program – CHP Module Qualification Data Form (Attachment B)
Overall CHP efficiency Overall CHP Efficiency = (Net CHP Electric Output + CHP Thermal Output Available @ Temperature)/CHP Fuel Input; all calculated in Higher Heating Value (HHV). Operating conditions must be stated.	60% HHV	Documentation should provide confidence that annual efficiencies in the field will meet the 60% minimum requirement. Pre-qualified: Third party laboratory results based on one of the three ASERTTI CHP Testing Protocols or Equivalent. Field tested data such as data at chp.nyserda.org may be acceptable. Conditionally-qualified: Overall CHP Efficiency (HHV) based on accepted engineering methods.
NOx Emissions (Expressed as generator-out emissions, engine-out calculation should be based on 95% efficient generator)	Less than 1.6 lb/MWhe	Certified third party emissions measurements in accordance with latest EPA test requirements. Emissions data provided for full and part load (100%, 75%, 50%, 25% if appropriate).
Warranty/Service	Five year parts and labor for the complete CHP system ¹ for both planned and unplanned events.	Written warranty language and description of warranty/service plan.
Performance Monitoring System (required for systems >50 kW, optional for systems 50kW and smaller)	Conforming to NYSERDA Data Monitoring Standard	Written compliance. Coordination with NYSERDA's CHP Data Agent (CDH Energy Corp.) is recommended.
Installation and Commissioning Manual	Complete CHP system including heat recovery and intertie	Written manual
Operating Manual		Written manual
Maintenance and Repair Manual		Written manual

¹ A critical factor in qualification is single point responsibility for the entire system. This includes a single warranty covering all elements that make the CHP system function including prime mover, generator, waste heat recovery system, heat dump radiator (if required), supplemental heating (if required), valves, dampers, piping, ductwork, controls, monitoring and data export, etc. Single point responsibility also includes CHP system level drawings, part lists, installation, operation and maintenance manuals, and service and maintenance program.

Certifications	IEEE 1547 compliant UL 1741 certification	Written compliance with IEEE 1547 Written UL 1741 certification (if applicable)
Grid-parallel & stand-alone (required for systems >50kW, optional for systems 50kW and smaller. Systems 50kW and smaller will receive a reduced incentive if not capable of stand-alone operation)	Capable of operation in both grid-parallel and stand-alone configurations	Written description of capability and operational transition sequence from grid-parallel to stand-alone, and then back to grid-parallel
Interconnection	IEEE 1547 compliant	Description of interconnection and protective equipment and demonstrated compliance with minimum specifications.

Application Requirements

Approved Vendor Application

Applicants for Approved Vendor status must provide documentation showing experience designing, installing and maintaining CHP equipment. If the Applicant does not have sufficient experience in one of these areas, the Applicant may team with other entities to submit a joint application. If an Applicant team is approved by NYSERDA to become an Approved Vendor, the Applicant will be held responsible for meeting all program requirements. Changes to a key member of an Approved Vendor team will require review and approval by NYSERDA.

Applicants seeking Approved Vendor status are required to submit the following information at a minimum:

- Description of the company including its structure.
- If you operate an Operation Center that monitors CHP system telemetry, a description of its capabilities. what types of parameters are you monitoring and what level of system control do you have.
- Description of the form of the relationships with OEMs and other members of the Applicant's team.
- List of markets (locations) where the Applicant is actively selling, installing, and/or servicing CHP equipment.
- Total number of employees involved in CHP activities.
- Locations of your primary CHP manufacturing and warehousing facilities.
- Indicate locations of your CHP sales and service offices.
- Number of employees performing CHP functions that directly support the New York state market broken down by function (sales, equipment design and manufacturing, site integration design, project management, installation, and service).
- Types of relevant certifications held by your service staff, and the number of service staff holding such certifications.
- Descriptive list of CHP systems installed.
- Number of CHP systems that the Applicant is currently servicing through a maintenance agreement.
- A copy of the Warrant/Maintenance Agreement that the Applicant intends to use for CHP Systems installed under the CHP Program showing a minimum 5-year term (cost and financial information may be redacted).

Pre-Approved Catalog Module Application

Applicants must submit a separate application under this RFI for each different packaged CHP system design where qualification is requested.

Pre-qualified CHP systems

These systems are pre-engineered, pre-tested with single or multiple integrated prime movers, or matched components that have been previously integrated and performance tested as a complete system including controls, monitoring system, any interconnecting piping, ductwork and/or wiring as supplied by the manufacturer/developer.

Conditionally-qualified CHP systems

This category includes pre-engineered systems comprised of matched components and subsystems that have been individually tested. The complete systems including interconnecting piping, ductwork and or wiring which have been designed by the manufacturer/developer. Individual components and subsystems have been performance tested, and the complete system including all interconnecting equipment has been engineered, designed and performance rated using accepted engineering methods.

Applicants seeking Pre-approval of their packages are required to submit the following materials:

- System piping and instrumentation drawing (P&ID).
- System layout (configuration) drawing.
- Single line wiring diagram.
- Complete bill of materials that includes major system components, controls and piping, ductwork and wiring integral to the system.
- **Those applying for Conditional-Qualification status. System component and subsystems performance test documentation, and calculations combining the components and subsystems into a complete CHP system including: net electric output, useful thermal output(s) (form, flows, temperature, pressure, and energy - see data form for details), fuel requirements (flow, temperature, pressure, and energy in HHV), as well as the method of testing utilized and uncertainty analysis.**
- **Those applying for Pre-Qualification status. System performance test documentation including: net electric output, useful thermal output(s) (form, flows, temperature, pressure, and energy - see data form for details), fuel requirements (flow, temperature, pressure and energy in HHV), as well as testing entity, the method of testing utilized and uncertainty analysis.**
- All system performance and emissions data must be provided at full and part load conditions; Part load is defined as 75%, 50% and 25% of full load capacity.
- System monitoring and data export configuration and mechanisms (if applicable).
- System performance guarantees including net power and thermal outputs (temperature and energy) shall be provided at part and full loads.
- System installation and commissioning requirements to maintain system warranty including (as applicable) qualification requirements to be used to select subcontractors that will act as installers and associated quality control measures, training and responsibilities.
- System operation requirements including services provided and responsibilities.
- System warranty and service plan including information on parts and labor coverage, length of coverage, and warranty/service providers (Five-year term is mandatory, ten-year term is optional).
- System service requirements including parts, labor and maintenance requirements during the first ten years of operation.
- Factory test protocols for each major component and assembly, and the complete system.
- Description of the operational transition from grid-parallel to stand-alone, and then back to grid-parallel (if applicable), as well as black start while in stand-alone mode.
- **Those applying for Pre-Qualification status. List (with photos) of existing installations of the packaged CHP system.**
- A completed CHP System Qualification Data Form.

Application Format

The format of the qualification submittal is left to the Applicant. However, NYSERDA suggests that the submitted materials be organized in the following order:

- System drawings, schematics and diagrams must be of sufficient detail to fully understand the complete system that is being submitted for qualification. With respect to pre-qualification this includes all interconnecting piping, ductwork, valves wiring and controls including configuration and dimensions. Keep in mind that only the submitted system configuration will be pre-qualified. Conditionally-qualified

systems must include design and physical limitations with respect to interconnecting piping, ductwork, valves wiring and controls including configuration and dimensions.

- The Bill of Materials should be at a level of detail where major components are identified including prime mover, generator, heat recovery devices, thermally activated technologies, emissions abatement equipment, system level controls, monitoring equipment, interconnection paralleling, transfer and protective equipment, interconnecting piping, ductwork and valving.
- System energy and emissions performance documentation as requested above.
- Certifications as requested above.
- The installation manual should include:
 - Safety instructions
 - Principles of operation
 - System description and technical data
 - Installation requirements
 - Thermal system connections
 - Fuel connections
 - Intake and exhaust information
 - Electric connections
 - Controls
 - Initial operation and commissioning
 - Maintenance
 - Spare parts
- The operating manual should include:
 - Application/Operating modes
 - Sub-system descriptions
 - Prime mover
 - Heat recovery systems
 - Controls and monitoring systems
 - Grid interconnection and protective systems
 - Other
 - System operation
 - Operator interface
 - Maintenance
 - Troubleshooting
- The maintenance and service manual should include:
 - General overview of maintenance requirements
 - Routine service requirements and procedures
 - Troubleshooting
 - Service parts list
- The warranty description should include:
 - Length and limits of coverage
 - Service plans and options

Application Evaluation

Applications that meet Application Requirements will be reviewed using the evaluation criteria below:

Applications to become an Approved Vendor

- Does the application meet the RFI requirements?

- Does the application show single-point responsibility, with adequate resources and experience to engender confidence of the ability to manage the equipment packaging, installation, commissioning, and maintenance, either directly or through subcontracted teaming arrangements? (Regardless of the teaming arrangement, the Applicant remains fully responsible for all aspects).

Applications for CHP equipment pre-approval

- Does the application meet the RFI requirements?
- Does the application contain sufficient information to provide an understanding of how the system was engineered and designed, why specific components were selected, how they were integrated into the package, and how the integrated package and controls will operate in the field?
- Does the application demonstrate that the equipment and individual components have a history of durability, quality, and reliability?
- Does the application demonstrate that the equipment and individual components are well-matched to work in harmony with each other as a "system"?

NYSERDA may utilize outside evaluators to assist in the review of applications. NYSERDA may request supplemental materials as reasonably necessary to facilitate review.

GENERAL CONDITIONS

Proprietary Information - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your application. Review should include whether it is critical for evaluating a application, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the applicant wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to exempt it from disclosure, including a written statement of the reasons why the information should be exempted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501
<http://nyserda.ny.gov/~media/Files/About/Contact/NYSERDARegulations.ashx>
However, NYSERDA cannot guarantee the confidentiality of any information submitted.

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

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

Empire State Development
Division For Small Business
30 South Pearl Street
Albany, NY 12245

A directory of certified minority- and women-owned business enterprises is available from:

Empire State Development
Minority and Women's Business Development Division
30 South Pearl Street
Albany, NY 12245

Limitation - This Request for Information does not commit NYSERDA to award a contract, pay any costs incurred in preparing an application, or to procure or contract for services or supplies. NYSERDA reserves the right to

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accept or reject any or all applications received, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest.

Disclosure Requirement - The applicant shall disclose any indictment for any alleged felony, or any conviction for a felony within the past five years, under the laws of the United States or any state or territory of the United States, and shall describe circumstances for each. When an applicant is an association, partnership, corporation, or other organization, this disclosure requirement includes the organization and its officers, partners, and directors or members of any similarly governing body. Applicants must also disclose if they have ever been debarred or suspended by any agency of the U.S. Government or the New York State Department of Labor.

Attachments

Attachment A - Application Cover Sheet

Attachment B - CHP System Qualification Data Form

Attachment C - Monitoring and Data Collection Standard



NY Green Bank
A Division of NYSERDA

NY Green Bank

Request for Information:
Subordinated Debt Financing Arrangements
For Renewable & Energy Efficiency Projects

-

Commercial & Industrial Real Estate Property
Owners

RFI No. 3320

Due Date for Response:
July 29th, 2016
by 5:00 p.m. EST

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1 Introduction

The purpose of this Request for Information (RFI) is to acquire information that will assist the New York Green Bank (“**NYGB**”) in developing a Request For Proposal (RFP) targeted at commercial and multifamily building owners, relevant lenders and investors, and clean energy contractors/service providers targeting such properties, who seek to finance the purchase of energy efficiency and/or renewable energy assets.

NYGB's desire is that this RFI will open a dialogue with stakeholders from New York State's commercial and multi-family real estate community to better understand the barriers that the anticipated RFP might address.

NYGB will use the information received from this RFI to identify strategies, key issues, opportunities, current industry practices, and resources that may be useful in determining investment strategies. Stakeholders from New York State's commercial and multi-family real estate community, relevant lenders and investors, and clean energy contractors/service providers targeting such properties are encouraged to respond to this RFI in order that the RFP will meet the objectives and optimize market impact as outlined below.

There are generally three ways to access clean energy in the market place: (i) third-party owned leasing structures, (ii) third-party Power Purchase Agreement/Energy Services Agreement (PPA/ESA) structures, and (iii) direct ownership of assets.

The objective of the RFP is to offer a standardized financing approach to building owners who seek direct ownership of clean energy assets.

To optimize its impact on the market, the **NYGB** financing product/approach must:

- (i) provide a viable option for clean energy asset finance from the perspective of a meaningful number of building owners;
- (ii) an acceptable set of intercreditor provisions from the standpoint of mortgage holders;
- (iii) an efficient and streamlined solution from the standpoint of building owners, mortgage holders, equipment providers/contractors and other market participants; and
- (iv) a standardized documentation, underwriting and pricing approach that will meet the needs of private investors upon replication and the creation of meaningful scale via the **NYGB** financial product.

Real estate-related energy efficiency initiatives represent one of the largest proven untapped resources of energy efficiency in New York. However, in spite of the proven investment thesis, adoption remains slow. Similarly, commercial and multi-family properties often have siting potential for renewable projects. Many buildings have large flat rooftops which have the potential for accommodating rooftop solar, large ground areas and/or parking lots which might naturally prove good siting for ground-mounted solar projects, and/or natural electrical load profiles which lend themselves to energy storage solutions and/or alternative clean energy sources such as fuel cells, etc.

In certain cases, financing barriers result in slow adoption. To that end, **NYGB** intends to partner with property owners and their existing capital providers to create financing mechanisms that will enable the deployment of energy efficiency and/or renewable energy assets.

NYGB intends to structure the financing product such that upon scale, institutional investors will participate in the financings. Securitizations of subordinated real estate debt is common in the financial market with efficient bid/ask spreads. It is anticipated that the RFP will accelerate the deployment of clean energy assets in one of the largest, untapped markets, and provide a mechanism to efficiently introduce private capital by creating portfolio scale utilizing standardized terms, documentation and underwriting procedures.

Response Submission: Responses should be an electronic copy, clearly labeled and submitted to Michael.Friedlander@Greenbank.NY.gov.

If you have technical questions concerning RFI 3320, contact Michael Friedlander at (212) 379-4102 or Michael.Friedlander@Greenbank.NY.gov

No communication intended to influence this RFI is permitted except by contacting Michael Friedlander at (212) 379-4102 or Michael.Friedlander@Greenbank.NY.gov

2 Proposed RFP

2.1 NY Green Bank Background

NYGB is a division of the New York State Energy Research and Development Authority (“**NYSERDA**”) and a \$1.0 billion state-sponsored specialized financial entity. **NYGB** is dedicated to partnering with the private sector to overcome current obstacles in clean energy financing markets, mobilize and leverage private capital, and accelerate the deployment of clean energy projects. **NYGB** offers various forms of debt and equity financial products, including credit enhancement, warehousing/aggregation (shorter-term) and asset loans and investments (longer-term). **NYGB** is a part of Governor Andrew M. Cuomo’s statewide plan to scale up clean energy, enhance New York State’s competitiveness for clean energy businesses, and make energy systems more resilient and reliable pursuant to the “Reforming the Energy Vision” (“**REV**”) strategy. This includes a number of ambitious goals for New York State, including having 50% of the State’s energy generation supplied from clean energy sources by 2030.

NYGB is committed to being market focused and market responsive. Private sector participants — including financial institutions and other third party capital providers, as well as developers, energy service companies (“**ESCOs**”), project and property owners/operators, equipment manufacturers, and others — work with **NYGB** to identify market barriers and financing gaps for otherwise economically and technically feasible projects. **NYGB**’s target clients and partners are entities that are experienced and achieving success in clean energy markets but whose ability to accelerate clean energy deployment is effectively limited by capital constraints for the type of projects being considered. **NYGB** works to structure its participation in investments to make viable transactions that would not otherwise be possible in current commercial markets. For more information, please see: www.greenbank.ny.gov.

2.2 Objectives of this RFP

As a matter of practice, there are generally three ways to access clean energy in the market place: (i) third-party owned leasing structures, (ii) third-party PPA/ESA structures, and (iii) direct ownership of assets. Property owners of Commercial & Industrial (C&I) real estate have the potential to enjoy the benefits of not only clean energy, but the tax incentives with direct ownership of the assets. This RFP offers a standardized approach to building owners who seek direct ownership.

Under situations where the existing mortgage holder is unwilling to increase debt levels but willing to providing consent to third-party subordinated mortgage, **NYGB** will offer financing for renewable energy & energy efficiency projects where C-PACE is not a viable alternative.

2.3 Eligibility Criteria

This Section 2.3 describes the minimum eligibility requirements that proposed transactions must meet in order to be considered by **NYGB**.

2.3.1 Eligible Investments

Clean energy measures using proven technologies such as:

- Solar photovoltaic (no minimum/maximum capacity)
- Solar thermal (no minimum/maximum capacity)
- Electric vehicle infrastructure (including charging stations)
- Fuel cells
- Combined Heat & Power
- Comprehensive efficiency improvements to new and existing facilities that save energy, including:
 - Industrial process efficiency improvements, including without limitation: data center, information technology, communications, water/wastewater, and similar end-use processes, facilities, buildings, and infrastructure
 - Lighting and control systems
 - Heating, ventilation and air conditioning systems
 - Building envelope
 - Energy management and/or control systems, including continuous commissioning
 - Occupant plug load management systems
- Load Reduction
 - Thermal and electric energy storage
 - Demand response programs

The principle criteria for a project to be eligible include:

- An improved appraised loan-to-value (LTV) no greater than 80%. Improved appraised value is the sum of the current appraisal plus the proposed project cost; the value of total outstanding indebtedness including **NYGB** financing cannot exceed 80% (80% LTV)
- Written consent of current mortgage holder to **NYGB** underwriting a subordinated mortgage;
- A current (less than 90 days old) appraisal completed by a New York Licensed Appraiser;
- A detailed implementation plan with all licenses, permits, studies, etc., issued by the requisite authority;
- Copies of all equipment purchase orders and/or contracts from constructors and general contractors and/or installers for the scope of work of the project.

2.3.2 Financing Arrangements

Construction-to-term first or second mortgage.

2.3.3 Eligible Proposers

Commercial & Industrial Real Estate Real Property Owners interested in implementing renewable and/or energy efficiency initiatives at their properties, or clean energy developers, contractors, ESCOs, and/or equipment providers on behalf of a Commercial & Industrial Real Estate Property Owner.

Proposers can apply on a standalone basis or as part of a team (a **"Proposal Team"**). A Proposal Team, for example, could consist of a clean energy developer, contractor or ESCO, lead equipment provider, and/or the property owner. Proposers should note that the identification of required Proposal Team constituents is necessary for consideration of Proposals. Proposal Teams should designate a lead organization.

Proposers must have, or partnered with entities having, directly relevant experience in the clean energy measures being submitted. The relevant technologies must be consistent with Section 2.3.1 (Eligible Investments).

2.3.4 Terms

See Attached Proposed Term Sheet.

3 Information Requested

NYGB seeks input from commercial and multifamily property owners, related investors and contractors, developers and ESCOs which answer the following questions:

- Does the proposed RFP address market barriers which are hindering the wide scale adoption of renewable energy/energy efficiency projects in commercial and multifamily properties?
- Under proposed Section 2.3 Eligibility Criteria, are the Eligible Investments, Financing Arrangements, Eligible Proposers, and Terms, proposed criteria sufficient to incentivize property owners to undertake renewable energy/energy efficiency projects?
- Are there gaps, or barriers which have not been addressed which, if addressed, would accelerate the wide scale adoption of renewable energy/energy efficiency projects in C&I properties?

Respondents should understand that any and all responses provided through this RFI will be treated as preliminary and non-binding. Respondents should provide clear distinction between proprietary and public information in their responses. Information submitted to **NYGB** that the respondent RFI 3320 wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure, as detailed in Section 5 General Conditions. **NYGB** does not intend to publish the respondents' individual responses.

4 Content Of Responses

Responses should not be excessively long or submitted in 'Hard Copy'. Each page of the response should state the name of the respondent, the RFI number, and the page number. Responses should adhere to the format outlined in the previous section.

Please respond to the information above and provide the name of your organization, its location, a contact person, phone number, and email address when replying to this RFI. A response does not bind, obligate, nor preclude the respondent to any current or future agreement of provision or procurement of services referenced.

5 General Conditions

Proprietary Information - Careful consideration should be given before confidential information is submitted to **NYGB** as part of your response. Review should include whether it is critical for evaluating a response, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information **NYGB** possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to **NYGB** that the respondent wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to exempt it from disclosure, including a written statement of the reasons why the information should be exempted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501. However, **NYGB** cannot guarantee the confidentiality of any information submitted.

Disclaimers - This RFI is not a contract offer, and does not commit **NYGB** to award a contract, pay any costs incurred in preparing a response, or to procure or contract for services or supplies. Respondents are encouraged to respond to this RFI; however, failure to submit a response will not impact a respondents' ability to respond to any future competitive solicitation process (if any) for projects. **NYGB** reserves the right to accept or reject any or all information received, or to modify or cancel in part or in its entirety this RFI at any time. Respondents are advised that all costs associated with responding to this RFI will be solely at their expense. There are no representations or warranties regarding the accuracy or completeness of the information contained in this RFI. Respondents are responsible for making their own evaluation of information and data contained in this RFI and for preparing and submitting responses to this RFI

6 Proposed Term Sheet

NY Green Bank, a division of New York State Energy Research and Development Authority

Term Sheet Construction to Term Subordinated Loan

This term sheet is considered a part of New York Green Bank’s (the “NY Green Bank”), a division of NYSERDA, RFP 8. This term sheet does not constitute an offer or agreement by NY Green Bank or commitment by NY Green Bank to enter into loan documents, and remains fully subject to due diligence and internal approvals of the NY Green Bank. Subject to NY Green Bank’s obligations under the New York Freedom of Information Law (“FOIL”), this document and the contents herein are confidential and shall not be revealed to any party that does not have a need to know the contents for the purpose of negotiating and approving a potential financing involving NY Green Bank. The terms set forth herein are not the complete terms and conditions of any loan documents and are subject to withdrawal and change at any time.

Lender:	NY Green Bank
Borrower:	
Facility:	Construction to term subordinated loan in an amount up to \$_____
Purpose:	Finance the acquisition and installation of the following renewable energy and/or energy efficiency technologies: _____ (the “Proposal”)
Interest Rate:	10 Year US Treasuries + Term Credit Spread
Maturity:	10 years
Amortization:	20 years; principal and interest payable quarterly
Prepayment:	Pre-payable at any time under the following terms: a) Within 12 months of COD prepayable at 102% of par; b) Within 24 months of COD prepayable at 101% of par; c) Anytime after COD prepayable with no penalty.

Collateral:	Second lien and security interest in the land, improvements and fixtures located at the proposal site
Documentation:	Loan Agreement, Note and Mortgage and Security Agreement
Conditions to Closing:	<p>Usual and customary terms, including without limitation:</p> <ol style="list-style-type: none"> 1. Delivery of consent to subordinated loan and mortgage from any existing lender in a form satisfactory to the Lender, documented in the form of a fully executed Intercreditor Agreement substantially capturing the “Subordination Terms” documented below; 2. Delivery of an appraisal from a New York certified real estate appraiser satisfactory to Lender, dated within ninety days of the date of the RFP submission to Lender and evidencing an improved appraised loan-to-value no greater than 80% together with a reliance letter address to Lender <p>“improved appraised value” is the sum of the current appraisal plus the proposed Proposal cost; the value of total outstanding indebtedness [(including the Facility)] cannot exceed 80% of such value</p> <ol style="list-style-type: none"> 3. Delivery of copies of firm, fixed price quotations from all equipment suppliers, constructors and/or general contractors which evidence the entire scope, schedule and cost of the Proposal in a form satisfactory to Lender; 4. Delivery of copies of any building, analysis, construction and/or environmental permits which would be required under any New York State or local law, ordinance or regulation; 5. Delivery of a title insurance loan policy acceptable to Lender insuring the mortgage on the Proposal site in the amount of the loan 6. Completion of Lender's (and its applicable third party consultants' and advisors') technical, business, financial, legal and environmental due diligence (including compliance with the SEQRA), the results of which are satisfactory to the Lender and detailed in Annex I;

	<ol style="list-style-type: none"> 7. If required by Lender, delivery of a report by an engineer acceptable to Lender regarding the technology and equipment to be used with respect to the Proposal 8. Delivery to Lender of Certification of all required insurance, in a form and substance satisfactory to Lender
<p>Representations and Warranties:</p>	<p>Borrower shall make the representations and warranties on the date of execution and delivery of the subordinate loan documentation with respect to the following matters:</p> <ol style="list-style-type: none"> 1. due formation, valid existence and good standing under the laws of the jurisdiction of its organization and due qualification to transact business in New York 2. power and authority to conduct its business as now conducted and as proposed to be conducted by it and to execute, deliver and perform its obligations under the subordinate loan documentation 3. all necessary action on the part of Borrower required to authorize the execution, delivery and performance of the subordinate loan documentation has been duly and effectively taken 4. due authorization, execution and delivery of the subordinate loan documentation; the subordinate loan documents constitute legal, valid and binding obligations, enforceable in accordance with the terms thereof (subject to standard exceptions) 5. compliance with governmental rules (including any environmental law) and all other governmental approvals applicable to Borrower and the Proposal and all other governmental approvals 6. no action or other proceeding is pending or threatened against or affecting, the Proposal or any material part thereof, which, if adversely determined, would have a material adverse effect on the Proposal or Borrower 7. valid fee title in the Proposal free and clear of liens, subject to permitted liens and the permitted encumbrances

	<ol style="list-style-type: none"> 8. full force and effect of all insurance required to be maintained under the subordinate loan documentation 9. financial statements delivered to the Lender have been prepared in conformity with generally accepted accounting principles (“GAAP”) and present fairly, in all material respects, the financial condition of Borrower as of the date thereof 10. Since the date of the balance sheet included with the most recent financial statements of Borrower, no event has occurred, and no condition exists, that has had, or could be expected to have, a material adverse effect 11. no Default or Event of Default has occurred and is continuing under the subordinate loan documentation or the existing mortgage documentation 12. the execution, delivery or performance by Borrower of each of the subordinate loan documentation does not violate or constitute a default or require consent by any other Person under any governmental rule applicable to such person or the Proposal or any other material contractual obligation to which Borrower is a party 13. upon the execution and delivery thereof the Lender’s mortgage and security agreement will be effective to create liens on and security interests in the Collateral, and all necessary recordings and filings will be recorded and filed on or prior to the closing date such that they will constitute second-priority, perfected security interests in the Collateral, subject only to permitted liens 14. absence of any restrictions in the existing mortgage documentation with respect to the payment of the subordinate loan
Covenants:	<p>The subordinate loan documentation will include affirmative, informational and negative covenants as follows:</p> <ol style="list-style-type: none"> 1. Borrower shall keep proper books of record in accordance with GAAP and permit reasonable inspections of its property and examinations of its books and records by the Lender at reasonable times

	<p>during regular business hours as may be reasonably necessary to determine performance by Borrower of its obligations under the subordinate loan documentation</p> <ol style="list-style-type: none">2. Borrower shall furnish to Lender within 120 days after the end of each fiscal year a copy of the audited financial statements of Borrower as of the end of such fiscal year and stating in comparative form the respective audited figures as of the end of and for the previous fiscal year, if available, prepared in accordance with GAAP, certified by an independent public accounting firm of national3. Concurrently with the delivery of the annual financial statements referenced above, Borrower shall deliver a certificate stating whether to an authorized officer's actual knowledge, any Default or Event of Default has occurred at any time (and, if any such Default or Event of Default shall have occurred, a statement setting forth the nature thereof and the steps being taken by Borrower to remedy the same);4. Borrower shall comply or cause compliance in all material respects with, and shall ensure that the Proposal is operated in compliance in all material respects with all material governmental rules and approvals, including environmental laws, except where any failure to comply could not reasonably be expected to have a material adverse effect5. Borrower shall obtain and maintain in full force and effect all governmental approvals as and when necessary for the construction, ownership, maintenance and operation of the Proposal, except where the failure to maintain such governmental approvals could not, individually or in the aggregate, reasonably be expected to have a material adverse effect6. Borrower shall at all times preserve and maintain in full force and effect:<ol style="list-style-type: none">a. its legal existence and its good standing under the laws of its jurisdiction of organization;b. its qualification to do business in New York;and
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	<ul style="list-style-type: none"> c. all material rights, privileges and consents necessary for the maintenance of its existence and the operation of the Proposal <ol style="list-style-type: none"> 7. Borrower shall maintain the insurance policies required by the subordinate loan documentation and shall otherwise materially comply with the insurance requirements specified therein 8. Borrower shall timely pay and discharge all taxes and other assessments and governmental charges, unless they are being contested in good faith by appropriate proceedings and Borrower has maintained appropriate reserves therefor in accordance with GAAP or to the extent that the failure to do so could reasonably be expected to have a material adverse effect 9. Borrower shall preserve and maintain the security interests granted under the security documents in full force and effect (including the priority thereof subject to permitted liens), and, promptly after acquiring any interest in real property not covered by the Mortgage, to execute and record a supplement to the Mortgage subjecting such real property interest to the Mortgage 10. Borrower covenants not to: <ul style="list-style-type: none"> a. create, incur, assume or permit to exist any lien upon or with respect to any of the Collateral, except for Permitted Liens b. sell, assign, transfer, lease or otherwise dispose of the Collateral, except for the following: (y) sales or other dispositions of obsolete, worn out or defective equipment; or (z) sales or other dispositions of equipment or other property in the ordinary course of business c. enter into any transaction of merger or consolidation, change its form of organization or its business, or liquidate, wind up or dissolve itself without the consent of the Lender d. cause any releases of hazardous materials at the Proposal site that would be reasonably likely to result in an environmental claim against Borrower or the Proposal, other than those
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	<p>environmental claims that, individually or in the aggregate, could not be reasonably expected to result in a material adverse effect</p> <p>e. enter into any agreement or other documentation limiting the ability of Borrower to make payments on the subordinate loan</p>
Reserve Account	Borrower will establish reserve accounts at a financial institution acceptable to lender a Loan payment reserve, all in amounts to be determined by NY Green Bank.
Disbursement Procedures	<p>Borrower shall be required to submit a form disbursement request which will include a certification that all representations and warranties given at closing are true and correct as of the date of such disbursement together with (i) satisfactory evidence of Proposal costs to be paid or reimbursed; and [(ii) a title insurance disbursement endorsement]</p> <p>Disbursements are normally made upon Lender independent verification of the achievement of the following milestones:</p> <ol style="list-style-type: none"> 1. [To Be Mutually Agreed Upon] <p>Normally, any and all construction funds to be sourced from other providers (e.g., equity, incentives, etc.) shall be deployed first, and only upon those funds being fully deployed, shall a Disbursement Request be honored, at the sole discretion of Lender.</p>
Events of Default:	<ol style="list-style-type: none"> 1. Borrower fails to make any scheduled payment of interest or principal when due 2. Borrower fails to comply with any covenant or agreement under the subordinate loan documentation, unless such failure is remedied within 30 days after written notice to Borrower, or such longer period, not exceeding 90 days, as is reasonably necessary under the circumstances to remedy such failure 3. Any representation or warranty made by Borrower in any subordinate loan documentation or in any certificate or document delivered by Borrower

	<p>proves to have been incorrect in any material respect</p> <ol style="list-style-type: none"> 4. Borrower defaults in the performance of any obligation or any payment when due of principal of or interest on the existing mortgage loan 5. A bankruptcy occurs with respect to Borrower, other than a bankruptcy that is not commenced by Borrower that is dismissed, discharged or bonded within 60 days 6. Failure of the Proposal to achieve commercial operation by [Date]
Subordination Terms:	<ol style="list-style-type: none"> 1. Lender’s mortgage and security interest shall be in a second position subject to the mortgage and security interest held by the existing mortgage lender (“first mortgage lender”) 2. Lender shall not commence a bankruptcy, reorganization or liquidation against Borrower 3. Lender may, however, charge interest at a default rate and/or sue Borrower for specific performance, but not for damages or other sums of money, or obtain injunctive relief in either case in respect to covenant defaults that do not require payment of money, directly or indirectly, by Borrower <p>Lender is willing to enter into an intercreditor agreement or subordination agreement to evidence the above terms</p>
Assignability:	Not assignable by Borrower without consent of Lender; assignable by Lender without consent of any person
Fees:	[3%] Payable upon closing
Costs & Expenses:	Borrower shall be responsible for payment of all reasonable and documented costs and expenses of Lender and its consultants and advisors incurred by such parties in connection with the negotiation and execution of the subordinate loan documentation, regardless of whether Borrower satisfies the conditions precedent for the closing date and/or the funding date. Lender will make good faith efforts to streamline transaction costs. From and after the closing date, Borrower

	will be liable for certain out-of-pocket costs incurred by Lender, provided that such costs are incurred in accordance with the terms of the subordinate loan documentation.
Indemnification:	Borrower shall indemnify Lender and its officers, directors, agents, consultants and employees, from and against any and all losses, liabilities, expenses, claims, and damages arising from or relating to the subordinate loan documentation and the Proposal and the release or presence of hazardous substances at the site of the Proposal, except to the extent resulting from the gross negligence or willful misconduct of any person seeking indemnification as determined by a final, non-appealable judgment of a court of competent jurisdiction.
Lender Counsel:	Nixon Peabody LLP
Governing Law:	New York State

Annex I – SEQRA Certification

Certification of SEQRA – Type II Improvements

Borrower: []

Date:

Property Address:

Draw Amount:

This certification authorizes certain clean energy measures (“ECMs”) financed pursuant to the Credit Agreement between [Borrower and NY Green Bank. Determined under SEQRA to be Type II Improvements, the design, laboratory testing, construction, installation, or demonstration of any or all of the below ECMs will not adversely impact the environment. Borrower will submit this signed and completed certification to NY Green Bank with each draw request under the Credit Agreement. If Borrower’s energy improvement Proposals include ECMs not on this list, a separate SEQRA compliance determination must be completed before NY Green Bank funds are released.

[LIGHTING & CONTROLS] 21 NYCRR Section 503.3(a)(1): Lighting and daylighting systems which include such components as ballasts, controls, automatic dimmers, rheostats, luminaires, lamps, reflectors or louvers

Lighting Replacements Occupancy Controls Daylight Controls LED Retrofits

Other _____

[HVAC] 21 NYCRR Section 503.3(a)(2): More energy-efficient, or minor modifications to, heating or air conditioning equipment or systems using less than five million Btus per hour

Unitary HVAC Systems Chiller Underfloor Air Distribution Heat Pump Systems

PTAC and PTHP Systems VAV Systems VRV Systems Economizer

Demand Controlled Ventilation HVAC Controls Central A/C Radiant Heating

Infrared Gas-fired Unit Heaters Furnaces and Boilers Vent Dampers

Other: Combined Heat and Power _____ -

Indicate Actual Btus:

[EQUIPMENT, MOTORS, PUMPS] 21 NYCRR Section 503.3(a)(3): More energy-efficient, or minor modifications to, conventional refrigeration equipment, motors, compressors, pumps, or fans

Motors Elevator Variable Frequency/Speed Drives

- Process Cooling
 - Clothes Washers
 - Energy Star Appliances
 - Fume Hood Controls
 - Stoves (wood or pellet)
 - Water Heaters
 - Refrigeration: Includes freezer equipment and ice-makers with energy efficient motors, compressors, and fans
 - Kitchen Equipment: Includes gas & electric steamers, ovens, electric griddles, electric fryers, kitchen spray valve and insulated holding cabinets, and dishwashers
 -
- Other _____

[HEAT RECOVERY] 21 NYCRR Section 503.3(a)(4): More energy-efficient, or minor modifications to, heat exchangers, recuperators, heat pipes, heat wheels, or mechanical heat pumps of less than 10 million Btus per hour heat recovery

- Heat Exchangers
 - Heat Wheels
 - Mechanical Heat Pumps
 -
- Recuperators

Indicate Actual Btus:

[INSULATIVE MEASURES] 21 NYCRR Section 503.3(a)(8): Insulation, weatherstripping, storm windows, submeters, load management systems, or similar clean energy measures

- Insulation
 - Glazing/Windows
 - Load Management Systems
 -
- Submeter(s)

[SOLAR] 21 NYCRR Section 503.3(a)(11): passive solar and solar-electric techniques in existing buildings, but not including additions to the building or solar-electric installations of more than 4,000 square feet

- Solar (Electric)
 - Solar (Thermal)
- Indicate Actual Sq Ft:**

[INTERCONNECTION] 21 NYCRR Section 503.3(a)(14): Minor new devices for electrical interconnection of existing wind turbines, cogeneration equipment, electric vehicle charging, or photovoltaic energy systems, having an installed generating capacity of five megawatts or less, with existing transmission or distribution facilities

Indicate Actual MW Supported

[CONTROL SYSTEMS] 21 NYCRR Section 503.3(a)(15): Process controls or control systems that do not result in increased emissions or production of wastes, such as computer hardware or software, programmable controllers, robots, or related automation equipment

- Circulation Controls
- Energy Management System (EMS)
- Programmable Thermostats

Other _____

[MEASURING & MONITORING] 21 NYCRR Section 503.3(a)(18): Minor new devices, instrumentation, or equipment (but not including the construction of towers) for measuring or monitoring the performance of an operation, process, or system or to support remote or wireless communications

[ACTIVE ENERGY MANAGEMENT] 21 NYCRR Section 503.3(a)(9): Computer programs

[OTHER ALTERATIONS] 21 NYCRR Section 503.3(j): performing minor interior or exterior alterations of existing structures, buildings, or facilities, such as warehouses, garages, service buildings, residences, roads, or parking lots, or mechanical, electrical, or plumbing equipment contained therein, involving negligible or no expansion of use beyond that previously existing

Minor Interior Alterations

Minor Exterior Alterations

Low Flow Fixtures

Other _____

[Borrower] Signature: _____ Date: _____



NY Green Bank
A Division of NYSERDA

NY Green Bank

Request for Information:
Back Leverage Financing Arrangements for
Photovoltaic Solar Projects in New York
State with Remote Net Metering
Agreements

RFI No. 3335

Due Date for Response:
August 5, 2016
by 5:00 p.m. EDT

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1 Introduction

The purpose of this Request for Information (“RFI”) is to acquire information that will assist New York Green Bank (“NYGB”) in developing a Request for Proposals (“RFP”) targeted at developers of photovoltaic (“PV”) solar projects selling to commercial, industrial and other institutional organizations¹ (“C&I”) in New York State who plan to utilize third-party tax equity and seek back leveraged financing for projects that (1) generate revenue by selling remote net metering credits to C&I power users under NY Public Service Law § 66-j; (2) use Tier 1 Technology; (3) are in the advanced stage of development; and (4) are 500kW to 2MW in size, ground mounted, canopy mounted and non-residential rooftop PV solar projects.

NYGB’s desire is that this RFI will open a dialogue with stakeholders from New York State’s PV solar development, tax equity and debt financing community to better understand the barriers that the anticipated RFP might address.

NYGB will use the information received from this RFI to identify strategies, key issues, opportunities, current industry practices and resources that may be useful in determining investment strategies. Stakeholders from New York State’s solar development and equity financing community, relevant lenders and investors and clean energy contractors/service providers targeting PV solar project are encouraged to respond to this RFI in order that the RFP will meet the objectives and optimize market impact as outlined below.

C&I offer a substantial market opportunity as purchasers of electricity produced by solar projects. However, the economic viability and the ability to finance solar projects serving C&I customers are often constrained given:

- a) A fragmented market of C&I project developers;
- b) Relatively small transaction sizes on a per project basis;
- c) Lack of a sizeable portfolio of individual projects and credible pipeline of such projects;
- d) Lack of standardization (documentation, financial analysis, project underwriting, etc.);
- e) High transaction soft costs (legal, engineering, consulting, etc.) as a percent of project cost; and
- f) Lack of public credit rating for many C&I organizations as purchasers of the solar electricity or net metering credits, resulting in a burdensome counterparty credit underwriting process for each relatively small transaction.

Under the proposed RFP, NYGB seeks to overcome the above constraints and support the acceleration of solar deployment benefitting the C&I market by offering back leveraged debt financing under terms that result in a multitude of small scale PV solar projects (stand alone or portfolios) that have standardized back leveraged debt that will then attract private sector lenders to collaborate with NYGB.

To optimize its impact on the market, the NYGB financing product/approach intends to provide:

- a) A viable option for PV solar back leveraged transactions from the perspective of a meaningful number of developers and equity investors;
- b) An acceptable set of intercreditor provisions from the standpoint of equity investors and lenders;
- c) An efficient and streamlined solution from the standpoint of PV solar developers, equity investors, private sector lenders, equipment providers/contractors and other market participants;
- d) A standardized documentation, underwriting and pricing approach that will meet the needs of PV solar developers, equity investors and private sector lenders upon replication and the creation of meaningful scale via the NYGB financial product; and
- e) A standardized and streamlined approach to addressing the credit issues associated with C&I offtake counterparties for these relatively small transactions.

Response Submission: Responses should be an electronic copy, clearly labeled and submitted to nicholas.whitcombe@greenbank.ny.gov.

¹ Institutions includes municipalities, non-profits, educational and other similar organizations.

If you have technical questions concerning RFI 3335, contact Nicholas Whitcombe at (212) 379-6253 or nicholas.whitcombe@greenbank.ny.gov.

No communication intended to influence this RFI is permitted except by contacting Nicholas Whitcombe at (212) 379-6253 or nicholas.whitcombe@greenbank.ny.gov.

2 Proposed RFP

See attached NYGB Proposed RFP.

3 Information Requested

NYGB seeks input from PV solar developers, equity investors and contractors, developers and ESCOs on the following questions:

- Does the proposed RFP address market barriers that are hindering the wide-scale development of PV solar projects selling to C&I customers (and portfolios of such projects)?
- Under the Proposed RFP, Section 3 Eligibility Criteria, are the proposed criteria for Counterparty Credit Analysis, Financing Arrangements including equity, tax equity and timing of funding of such equity, Eligible Proposers and Terms sufficient to incentivize developers and equity investors to undertake PV solar projects in New York State selling to C&I customers?
- Are there terms and conditions in either of the term sheets that are not acceptable to either developers or equity investors or to potential lenders to an aggregation of projects? Are there terms that should be modified to meet lenders', developers' and equity investors' requirements?
- Are there gaps or barriers that have not been addressed that, if addressed, would accelerate the wide-scale adoption of PV solar projects in C&I properties?
- Is there market potential that can lead to a scale such that tax equity providers and private sector lenders would routinely provide capital to PV solar projects in New York State?

Respondents should understand that any and all responses provided through this RFI will be treated as preliminary and non-binding. Respondents should provide clear distinction between proprietary and public information in their responses. Information submitted to NYGB that the respondent wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure, as detailed in Section 5 General Conditions. NYGB does not intend to publish the respondents' individual responses.

4 Content Of Responses

Responses should be concise and submitted in electronic format as provided above. Each page of the response should state the name of the respondent, the RFI number and the page number. Responses should adhere to the format outlined in the previous section.

Please respond to the information above and provide the name of your organization, its location, a contact person, phone number and email address when replying to this RFI. A response does not bind, obligate nor preclude the respondent to any current or future agreement of provision or procurement of services referenced.

5 General Conditions

Proprietary Information - Careful consideration should be given before confidential information is submitted to NYGB as part of your response. Review should include whether it is critical for evaluating a response, and whether general, non-confidential information may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYGB possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYGB that the respondent wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to exempt it from disclosure, including a written statement of the reasons why the information should be exempted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501. However, NYGB cannot guarantee the confidentiality of any information submitted.

Disclaimers - This RFI is not a contract offer and does not commit NYGB to award a contract, pay any costs incurred in preparing a response, or to procure or contract for services or supplies. Respondents are encouraged to respond to this RFI; however, failure to submit a response will not impact a respondents' ability to respond to any future competitive solicitation process (if any) for projects. NYGB reserves the right to accept or reject any or all information received, or to modify or cancel in part or in its entirety this RFI at any time. Respondents are advised that all costs associated with responding to this RFI will be solely at their expense. There are no representations or warranties regarding the accuracy or completeness of the information contained in this RFI. Respondents are responsible for making their own evaluation of information and data contained in this RFI and for preparing and submitting responses to this RFI.

NYGB Proposed RFP

1 Introduction – Overview of this Solicitation

1.1 Invitation –

New York Green Bank (“**NYGB**”) invites experienced solar developers (“**Applicants**”) to propose solar transactions where the Applicant seeks back leveraged debt financing from NYGB for photovoltaic (“**PV**”) solar projects² in New York State (“**NYS**”) (each a “**Project**”) employing tax equity that meet the following key eligibility requirements (“**Key Requirements**”):

- (1) Will generate revenue by selling remote net metering credits to commercial, industrial or institutional power users under NY Public Service Law § 66-j (“**NYPSL § 66-j**”);
- (2) Use Tier 1 technology³ including panels, inverters and racking;
- (3) Are in the advanced stage of development (commonly described as near “shovel ready”);
- (4) Are 500kW to 2MW in size, ground mounted, canopy mounted or non-residential rooftop Projects at a single location and which rely on remote net metering as defined in NYPSL § 66-j; and
- (5) Meet the terms and conditions laid out in the either of the attached term sheets.

Market participants developing solar projects not utilizing NYPSL § 66-j and not seeking back leveraged debt financing should submit proposals requesting NYGB financial support under RFP 1 rather than under this RFP. Residential solar, including MW aggregations that meet the minimum size limits of this RFP, is not eligible but should apply under RFP 1.

Electronic submission of responses (each, a “**Proposal**”) to this Request for Proposals (“**RFP**”) is required. The submission process has three phases:

- Phase 1, Proposal – Applicant submits a detailed Project description as described in Section 4.1.
- Phase 2, Submittal of Agreements – Upon invitation by NYGB, Applicant submits contracts, agreements and other supporting documentation as described in Section 4.2. The Applicant will also be requested to provide an in-person presentation.
- Phase 3, Due Diligence, Documentation and Approval – All remaining due diligence, engineering review, underwriting and documentation as described in Section 4.3.

* NY Public Service Law § 66-j project definition can be reviewed at <http://codes.findlaw.com/ny/public-service-law/pbs-sect-66-j.html>

³ http://about.bnef.com/content/uploads/sites/4/2012/12/bnef_2012-12-03_PVModuleTiering.pdf

All Project Proposals utilizing third-party tax equity are eligible for NYGB back leveraged loans (“**Back Leveraged Loans**”) under the terms described in Section 2.2 and in the term sheets in Attachments D and E (“**Back Leveraged Term Sheets**”). The first term sheet is for senior secured construction financing converting to a back leveraged term loan (“**Single Project Term Sheet**”), and the second term sheet is for senior secured construction financing converting to a back leveraged aggregation financing for such Project converting to a term loan taking out such aggregation financing for multiple Projects (“**Project Portfolio Term Sheet**”). To the extent that a proposal does not require a construction loan, NYGB will review proposals that only require back leveraged financing. Please see Attachment A for structure diagrams.

This RFP is an open request for proposals and therefore Proposals will be evaluated on a rolling basis as received. NYGB encourages those that decide not to apply to continue the development of their projects, targeting areas which would enhance their ability to meet the requirements delineated in this RFP in the future. NYGB reserves the right to supplement or close this RFP at any time. If NYGB supplements or closes this RFP, details will be posted at <http://greenbank.ny.gov/Working-with-Us/Propose-an-Investment>.

NYGB will entertain multiple Proposals under this RFP from the same or related Applicants although each Proposal will be evaluated as a separate transaction. If it receives multiple Proposals from the same or related Applicants, NYGB will process the Proposals in the order in which they are received. For the avoidance of doubt, a Proposal for a portfolio of projects is considered as one Proposal.

Failure to respond to each phase of this RFP in a complete manner by addressing all the matters requested for each phase will render NYGB unable to take further action on a Proposal. As an ongoing solicitation, Applicants have the opportunity to resubmit Proposals if circumstances change or if the initial Proposal does not address the RFP in a complete manner.

Direct communication and engagement between NYGB and potential counterparties is permitted, both before and after the submission of a Proposal. If you have questions or seek further engagement, please contact info@greenbank.ny.gov. If you have concerns regarding the Securities and Exchange Commission Municipal Advisor Rules, please see Section 5.2 (General Conditions – Municipal Advisor Rules).

Applicants can expect a timely response from NYGB for each Proposal phase. NYGB believes that, as a general matter, the time to complete the review, due diligence, documentation and approvals could take up to 20 weeks but will make every effort to accelerate the process and hopes to achieve the following approximate schedule (schedule to be adapted for Project portfolios):

Phase	Task	Schedule (weeks)
1	NYGB Review of Applicant’s Phase 1 submittal and Phase 2 invitation issuance, if applicable	2
-	Applicant submittal of Phase 2 materials	4
2	NYGB review of Phase 2 materials	3
3	NYGB due diligence, documentation, approvals	10
Closing	Confirmation of satisfaction of Conditions Precedent and closing/funding	1
Total		20

1.2 RFP Objectives –

Commercial, industrial and other institutional organizations⁴ (“C&I”) offer a substantial market opportunity as purchasers of electricity produced by solar projects. However, the economic viability of and ability to finance solar projects serving C&I customers are often constrained given:

- (1) A fragmented market of C&I project developers;
- (2) Relatively small transaction sizes on a per project basis;
- (3) Lack of a sizeable portfolio of individual projects and credible pipeline of such projects;
- (4) Lack of standardization (documentation, financial analysis, project underwriting, etc.);
- (5) High transaction soft costs (legal, engineering, consulting, etc.) as a percent of project cost; and
- (6) Lack of public credit rating for many C&I organizations as purchasers of the solar electricity or net metering credits, resulting in a burdensome counterparty credit underwriting process for each relatively small transaction.

Under this RFP, NYGB seeks to overcome the above constraints and support the acceleration of solar deployment benefitting the C&I market by offering debt financing under terms that result in a standardized portfolio of single Projects and aggregated Projects that will attract private sector lenders as financial participants with NYGB. Key elements of this RFP include:

- (1) A request for proposals from a broad underserved target market in order to create financing scale needed to “crowd in” broad private financial market participation;
- (2) A standardized approach to (i) documentation, (ii) project financial analysis, and (iii) engineering and consulting, such that the analysis and underwriting is more efficient for developers, NYGB and future private market financing participants;

⁴ Institutions includes municipalities, non-profits, educational and other similar organizations.

- (3) Substantially reduced transaction soft costs through a standardized approach and the utilization of a consistent set of lawyers, engineers and other consultants on a negotiated program basis;
- (4) A Remote Net Metering Credit Agreement (“**RNMCA**”) counterparty credit underwriting approach that includes a review of creditworthiness but also takes into account the ability to sell net metering credits to another C&I buyer if a current RNMCA counterparty no longer meets its payment or contractual obligations. Critical elements of this aspect of the underwriting methodology are (i) Applicant’s (or a designated party’s) ability to contract with a new RNMCA counterparty if necessary and (ii) likely future value to a new counterparty of net metering credits (see Section 3.2); and
- (5) A phased and clearly defined RFP submission process streamlining the transaction approval process and timeline.

NYGB’s mission is to accelerate clean energy deployment in NYS by working with the private sector to transform financing markets. Through this RFP, NYGB seeks to (i) accelerate the deployment of solar energy in a manner that supports a significant segment of the underserved C&I market and (ii) provides a financing framework that will be utilized in the future by tax equity investors and private sector lenders. More information about NYGB can be found at www.greenbank.ny.gov.

2 NYGB Approach to Financing Structure & Pricing

NYGB operates as a self-sustaining entity, pricing investments to cover its operating expenses and portfolio default risk, and to preserve its capital base. In so doing, NYGB intends to serve as both a prudent custodian of ratepayer funds and an agent for greater private investment in the clean energy sector in New York State. Pricing for the Back Leveraged Loans will reflect the underlying transaction credit risk and level of standardization and scale NYGB seeks to facilitate, with the goal being that the private sector lenders will ultimately find to be reasonable. NYGB investment terms will be determined by credit risk and exposure assumed by NYGB and other investment participants. For NYGB products, upfront and ongoing fees generally apply as described in the Back Leveraged Term Sheets.

NYGB intends to issue Back Leveraged Loans for both Projects and portfolios of Projects which involve tax equity commitments. The Back Leveraged Loans consist of:

Single Project	Portfolio
Credit Facility which is to be used for funding a portion of Project Costs and secured by “ Borrower ” (as defined in the Back Leveraged Term Sheets) and Project assets. At the completion of construction, the security interest in the Project assets will be released to facilitate the entry of the tax equity.	Construction loan facility used for funding a portion of Project Costs and secured by Borrower and Project assets.
	An aggregation loan facility takes out the construction loan for each Project and is secured by the assets of the Borrower. At the completion of construction of each Project, the security interest in the Project assets will be released to facilitate the entry of the tax equity.
	Term Loan takes out the aggregation loan and secured by the assets of the Borrower.

3 Specific Eligibility Requirements

3.1 Eligibility –

As described in Section 1.1, the Key Requirements must be met. In completing a Proposal, Applicants are encouraged to pragmatically review the status of all agreements and not to oversell their level as such overselling will quickly become apparent in Phase 2. Consistent with NYGB’s objective of accelerating the pace of solar development in NYS, eligibility requirements are designed to demonstrate shovel-ready Projects appropriate for near term financing and to allow Applicants to make a self-determination if they meet the eligibility requirements thus conserving resources for all parties.

Phase 1 requirements are listed below in Section 3.1. Of these requirements, those marked with an asterisk (*) and **bolded**, are threshold eligibility requirements (“**Threshold Requirements**”). NYGB will not consider Projects that do not meet the described Threshold Requirements. For all other requirements, contracts do not have to be finalized or executed although the more advanced they are, the greater the weight that will be given to them in the evaluation process. First drafts of agreements, especially those which have not been subjected to a negotiation process between the parties, will be given limited weight as they will be considered early stage.

For single Projects, NYGB will determine eligibility based on evaluation of the following criteria. For portfolios, all Projects in the portfolio must be identified and for at least one Project NYGB must be able to determine eligibility based on evaluation of the following criteria. Subsequent Projects in the portfolio will be evaluated on the same basis as described in this RFP. The treatment of these evaluation criteria in Proposals is described in more detail in Section 4:

- 3.1.1 ***Certifications** – As a threshold matter, the Applicant must include the certifications in Attachment B with its Proposal.
- 3.1.2 *** CESIR or Interconnection Arrangements – Completion of the Coordinated Electric System Interconnect Review (“CESIR”)**. NYGB views completion of the CESIR as a threshold matter for demonstrating an advanced stage of development and readiness for financing discussions. Accordingly, it will not consider Proposals for Projects which do not have a completed utility CESIR and notification, which is defined

as the utility completion of the CESIR and receipt of the subsequent notification from the utility to the Applicant.

- 3.1.3 * **Completed and submitted application to the NY-Sun Incentive Program (<http://www.nyserda.ny.gov/All-Programs/Programs/NY-Sun>)** – NYGB views the NY-Sun Incentive Program application to be a threshold requirement for determining that a Project is in advanced development. Recognizing that some Projects may not apply to the NY-Sun Incentive Program, NYGB will waive this requirement for those Proposals that contain a statement that the Project will not be applying under the NY-Sun program.
- 3.1.4 * **Site Control** – Site control is critical to the development of a successful Project. Therefore, the Applicant must demonstrate the means by which it controls or will control the Project site for at least the duration of the RNMCA.
- 3.1.5 Permits – Applicants which have met the requirements for the NY-Sun Incentive Program will have submitted all necessary permits, approvals and certificates required for construction of the Project to the appropriate agencies. Therefore, approval of a NY-Sun application will demonstrate an advanced stage of Project development with regard to permitting. For Projects not applying for the NY-Sun Incentive Program, confirmation that all permit applications have been completed addressing all requisite aspects and submitted to all jurisdictional agencies is required.
- 3.1.6 * **New York State Environmental Quality Review Act (“SEQRA”)** – All Projects that include the installation of PV panels with total panel surface area exceeding 4,000 square feet will be subject to further SEQRA analysis. For such Projects, the Applicant must provide a short form Environmental Assessment Form (“EAF”) directly to NYGB in Phase 2 along any other SEQRA materials prepared for other permitting or approval agencies relevant to the Project.
- 3.1.7 * **Municipal Moratorium** – NYGB may decide to defer consideration of the Proposals for Projects which are located in towns with solar moratoriums.
- 3.1.8 * **Property Tax Exemption** – The loss of the property tax exemption will affect Project economics. NYGB will need confirmation that the property tax exemption will continue to apply to the Project.
- 3.1.9 Equipment Supply – NYGB will judge a Project to be in an advanced development stage if all major equipment (including but not limited to panels, inverters and racking) is identified, is “Tier 1” and is subject to finalization of a purchase order with vendors. Executed agreements do not have to be in place. If equipment supply is part of an Engineering, Procurement & Construction (“EPC”) contract, these eligibility requirements will be evaluated as part of Section 3.1.10.
- 3.1.10 Construction Contracts – Advanced development stage Projects will have well defined and negotiated contracts for the installation of equipment, balance of plant (“BOP”) or EPC arrangements. The status of such construction contracts will be evaluated in determining the development status.
- 3.1.11 RNMCA Arrangements – NYGB will only consider Projects with a well-developed RNMCA. All revenue arrangements must comply with NYP&L § 66-j. The RNMCA counterparty must have a public rating (see Section 3.2.1) or alternatively, the revenue arrangements must meet the requirements of Section 3.2.2.

- 3.1.12 O&M Arrangements – O&M arrangements should be well developed and include pricing and providers with demonstrated expertise and capabilities to fulfill their responsibilities.
- 3.1.13 Management & Administration Arrangements – Management and administration arrangements should be well developed and include pricing and providers with demonstrated expertise and capabilities to fulfill their responsibilities.
- 3.1.14 Equity Commitment – NYGB will evaluate the level of equity (“**Sponsor**” (as defined in the Back Leveraged Term Sheets) equity and tax equity) to be invested in the Project including its sources and the debt-to-equity ratio. The greater the amounts of equity planned, the lower the debt-to-equity ratio and the strength of the equity commitment at the time of the Proposal will all be addressed in determining eligibility. The level of Sponsor equity will also be an evaluation factor. Projects with equity required but without sources identified may, depending on the status of other eligibility requirements, be eliminated from further consideration by NYGB as not being at a sufficiently advanced stage of development.
- 3.1.15 Debt Term – For single Projects, NYGB intends to limit the term of any offered Back Leveraged Loan to at least one (1) year prior to the termination of the RNMCA but no later than ten (10) years from the COD. For portfolios, the limits will be the same based on the last Project included in the portfolio. If the RNMCA(s) are longer in term than 10 years, then full amortization will not be required.
- 3.1.16 Key Financial Terms Including Debt Service Coverage Ratio – In its initial evaluation, NYGB intends to use a pro forma model (See Attachment F for input data sheet and [Section 4.1.1.5](#)) to evaluate the quarterly DSCRs for the proposed Back Leveraged Loans. Proposals for single projects and portfolios of projects are expected to have a minimum P50 DSCR of at least 1.35x. NYGB will place greater weight to transactions with higher DSCRs. In recognition of seasonality and the constraints imposed by a maximum term of 10 years, NYGB will entertain alternative principal amortization schedules and/or reserves to meet acceptable DSCRs. NYGB may consider a mandatory refinancing for some level of principal repayment provided sufficient term remains under the RNMCA to allow for such a refinancing. Due to the cash flow issues arising from seasonality, NYGB will evaluate quarterly DSCRs over both trailing and projected 12 month periods in addition to comparing the RNMCA pricing with market forecasts.
- 3.1.17 Assignment – As part of its security package for the Back Leveraged Loans, NYGB intends during construction to take a first-priority security interest in all assets of the Project company and the Borrower including all contracts and agreements. NYGB will release the security interests in all assets of the Project company subject to the intercreditor rights of the tax equity provider. As part of its Phase 2 contract review, NYGB will seek to confirm that contracts have provisions for the assignment of major contracts and agreements to NYGB.
- 3.1.18 In addition to an appropriately sized debt service reserve, NYGB will generally require the establishment of a 1-year O&M reserve and an appropriate inverter replacement reserve.
- 3.1.19 Independent Engineer (“**IE**”) – Applicant should be prepared to support the complete data request that comes with the preparation of an IE report which will be completed following the Phase 2 submittal and prior to approval of any Back Leveraged Loan. In some cases, if the Applicant has retained an IE, NYGB may accept the IE report

prepared by Applicant's IE subject to a reliance letter, provided that such report meets the requirements of NYGB.

- 3.1.20 Multiple Proposals – If the Applicant contemplates making multiple Proposals, indication of such intent should be included in the Phase 1 Proposal, and the Applicant should state whether the same equity parties will be participating in all of the proposed Projects.
- 3.1.21 Prevailing Wages – If the Project is considered a public work covered by Article 8 of the NY Labor Law or a building service agreement covered by Article 9 thereof by reason of the involvement of a public entity as host or RNMCA Counterparty, then Borrower, Project Company and Sponsor will, during the construction of the Project, comply (and cause each contractor and subcontractor to comply), and will certify compliance, with all State of New York prevailing wage and hours laws and regulations (see Back Leveraged Term Sheets Conditions Precedent to Financial Closing). Applicant will be required to address the applicability of prevailing wage requirements.

3.2 RNMCA Counterparty Credit Analysis –

NYGB will conduct RNMCA counterparty credit analysis whether the RNMCA counterparty is publicly rated by one or more of the major rating agencies or not.

- 3.2.1 Rated Counterparties – For publicly rated counterparties, traditional counterparty credit analysis will be conducted including a review of ratings prepared by S&P Global (formerly Standard & Poor's), Moody's or Fitch.
- 3.2.2 Unrated Counterparties – NYGB will conduct RNMCA counterparty credit analysis based on the following information to include, but not be limited to, the following:
- No bankruptcy;
 - Proof of no late payments to the utility
 - In business for at least five [5] years;
 - Evaluation of a least three (3) years of financial statements and IRS filings;
 - FICO Business Score greater than [_____];
 - D&B score greater than [_____]; and
 - RNMCA represents no less than [3] times of counterparty's metered power consumption.

In order to utilize the counterparty credit analysis above, NYGB will also evaluate the proposed transaction on the assumption that remarketing of remote net metering credits is a credit mitigant if the current RNMCA counterparty were to default.

RNMCA counterparty credit issues that might imperil the transaction and will assess the following information:

- Identification of remarketer which may be the Applicant (if qualified) or a qualified third-party;
- Identification of at least [5] other C&I customers in same utility service zone where the RMCA represents no less than [3] times of counterparty's metered power consumption; and
- While the strength of any particular RNMCA is important, NYGB will need to evaluate the Project revenues annually based on the possibility that a replacement RNMCA counterparty will be needed (the "Replacement Analysis"). NYGB will do this by using a proxy RNMCA with pricing derived from discounting forecasted applicable metered rates for the particular utility territory and zone and P50 production levels. If the Replacement Analysis results in DSCRs that are below the minimum required levels, distributions at the Borrower level will be blocked and used to pay down the NYGB loan, until the required debt service coverage ratio is achieved.

4 Proposals

4.1 Phase 1: Proposal –

- The purpose of the Proposal is to provide a complete and detailed description of the Project(s). The Proposal should clearly demonstrate the advanced stage of Project development. While being comprehensive, the Proposal should simultaneously strive to be succinct.
- The Proposal should be organized as described below and should address all requested components. Should the Project(s) have special attributes or features not captured by the categories below, they should be included in the description.
- The Phase 1 Proposal has several objectives:
 - NYGB should be able to develop a clear understanding of the Project(s), including its features, structure and all associated risks, allowing NYGB to make an informed decision on whether or not to invite the Proposal into Phase 2.
 - Given NYGB's emphasis on late-stage development Projects for this RFP, there should be a clear demonstration of the advanced development of the Project(s) and the readiness for financing in a relatively short time period.
 - The Proposal should clearly articulate the status of each aspect of the Project(s) as part of the description of each component.
 - The Proposal should clearly articulate the remaining major steps requiring completion before financing, any issues expected in the completing these steps and the schedule for such completion.

4.1.1 Proposal Structure⁵:

- 4.1.1.1 Cover Letter – The cover letter should provide a concise summary of the Project(s) which:
- Identifies the Applicant and contact information;
 - Summarizes salient features of the Project(s) including their Project address, capital cost, Project size (kW or MW), technology and revenue agreement type;
 - Describes the key components of the requested Back Leveraged Loan, applicable Back Leveraged Term Sheet, amount, term and method of amortization; and
 - Includes as an attachment, the certifications required by Attachment B.
- 4.1.1.2 Detailed Description of Project(s) – This is intended to be a more detailed summary description in recognition that many of the elements that will be included in this description will be covered in additional detail in subsequent sections. The description should address major Project areas including but not limited to the Project technologies, site, permit status, major parties, revenue arrangements, status of equity raise including sources and amounts, and major outstanding issues to be resolved prior to financing.
- 4.1.1.3 NYGB Financing – The Applicant should provide a detailed description of the financing that it is seeking from NYGB under this RFP. For portfolios, the information should be provided on a Project basis and in aggregate for the portfolio. Topics to be addressed include:
- Back Leveraged Term Sheet to be used for the transaction;
 - Size of the loan including, for portfolios, the aggregate amount requested;
 - Debt to equity ratio;
 - Term, including for portfolios, the overall term;
 - Amortization schedule including discussion of any requested sculpting or refinancing requirements;
 - DSCRs including average over the term portion of the Back Leveraged Loan and minimum;
 - Debt Service, O&M, and inverter replacement reserves; and

⁵ For portfolio transactions, all Projects in the portfolio must be identified and provide Threshold Requirements. For at least one project, the Proposal must provide all the Phase 1 information as detailed in this Section 4.1. For the other Projects in the portfolio, a summary description must be provided that includes the anticipated development schedule, the RNMCA counterparty, the expected date for the start of construction and the Threshold Requirements.

- Conformity with the requirements of either Section 3.2.1 or Section 3.2.2.

4.1.1.4 Equity, Tax Equity and Other Financial Support – These financial components are critical to the success of the Project as NYGB will not lend 100% of the money necessary to build the Project. The Proposal should address, at a minimum, the following topics in order to provide clarity on the proposed capitalization amounts, equity participants and equity amounts by source:

- Equity and tax equity source(s), amount(s) and the status of the equity and tax equity raise;
- If all of the equity is not sourced from the Applicant or its Sponsor, the name and contact information for all third-party equity, including tax equity. NYGB may contact third-party equity during its evaluation to discuss the Project;
- The level of Applicant equity to be invested in the Project including the amount of Applicant equity during construction and the amount remaining during the term period post-COD; and
- All incentives that will be applied to the Project including any incentives received during construction and operation under NY-Sun Incentive Program or other NYSERDA programs and the use of federal tax incentives, including corresponding incentive amounts and timing of expected receipt thereof.

Note that NYGB will require that the Applicant or Sponsor equity is fully invested in the Project, which may include payments to the utility for interconnection infrastructure and upgrades, before debt can be drawn.

4.1.1.5 Pro Forma Model – During its Phase 1 review, NYGB will model each Project using its pro forma financial model and will consolidate Borrower cash flows for portfolios. Attachment F contains a financial model data input sheet that the Applicant is required to fully complete for each Project and submit with its Phase 1 Proposal.

4.1.1.6 Technology – A complete description of the technology utilized by the Project(s) is required including:

- Equipment components, configuration and suppliers for, at a minimum, the panels, inverters and racking and confirmation that the components are Tier 1;
- A description of the contractual arrangements for the procurement of all major equipment and their current status;
- Identification of the installation, EPC and/or BOP contractors including their qualifications to perform their respective roles on the Project(s);
- A description of the contractual arrangements for the installation, EPC and/or BOP activities including their current status; and

- A description of warranties and performance guarantees, if any.

4.1.1.7 Interconnection

- Provide confirmation that the CESIR process has been completed through Step 6⁶;
- Detail any necessary interconnection arrangements including equipment, if any, and status; and
- Provide projected costs and timeline for construction.

4.1.1.8 Site Control – Since NYGB considers the ability to control the site to be a threshold matter, provide a description of the means by which the Applicant does or will control the Project site for at least the duration of the Back Leveraged Loans plus 2 years. Include in this description details of the necessary contractual arrangements and their current status. If there are any steps remaining to fully control the site, such as conditions precedent in contractual arrangements, please identify them and describe the process and schedule for completing these steps.

4.1.1.9 RNMCA Arrangements – Provide a detailed description of the RNMCA including a description of counterparties and the RNMCA arrangements with sufficient detail for NYGB to evaluate the revenue arrangements. Please provide the name and contact information for the RNMCA counterparty. NYGB plans to contact the RNMCA counterparty during its evaluation to discuss the Project. Also include the current status of the contractual arrangements, the steps necessary to complete, and the schedule for doing so. Address the requirements of Section 3.2.1 or Section 3.2.2.

4.1.1.10 Permits & Environmental – Permits and environmental reviews are often long lead time items. Accordingly, the status of the permits and environmental review process will be a factor in the evaluation of the development status of the Project. Applicant is requested to describe the following:

- The status of permit acquisition including permits received, significant outstanding permits and the permitting schedule to support transaction closing;
- If the Project contains more than 4,000 square feet of solar panels, it will be subject to SEQRA. Please indicate whether the Project is subject to SEQRA and the status of the SEQRA process. In particular, provide confirmation that the EAF has been fully completed and submitted to relevant agencies;

⁶ As described in “New York State Standardized Interconnection Requirements and Application Process for New Distributed Generators 5MW of Less Connected in Parallel with Utility Distribution Systems” issued by the New York State Public Service Commission in March 2016 as published on the NY PSC website. Since the URL is complex, Google search for “Updated NYS Standardized Interconnection Requirements (March 2016)” to be directed to the appropriate page.

- Describe any special site characteristics such as being a former landfill or if brownfield, previous site uses. If there are special site characteristics, describe how they are being addressed in the design and development process for the Project along with any special permitting or consultation with environmental agencies which is required;
- Describe any identified environmental issues such as hazardous waste contamination on the site. Note that NYGB will require at least a Phase 1 environmental assessment;
- Indicate whether the Project has attracted any environmental or other opposition and the extent and nature of such opposition including a description of the opposing parties. Include any steps taken to address such opposition; and
- Indicate whether the town in which the Project will be located is subject to a solar moratorium and provide details on any such moratorium.

4.1.1.11 O&M Arrangements

- Provide information on the party that will be providing the O&M for the Project including their qualifications for this role;
- A summary of basic terms of the O&M arrangements, including pricing and the source for determining such pricing; and
- A description of the status of the O&M arrangements.

4.1.1.12 Management & Administration

- Provide information on the party that will be providing the management and administration services for the Project including their qualifications for this role;
- A summary of basic terms of the management and administration arrangements including pricing and the source for determining such pricing; and
- A description of the status of the management and administration arrangements.

4.1.1.13 Insurance

- Provide a description of the contemplated insurance program including proposed limits for the construction, operation and liability cover, key sub limits and deductibles.

4.1.1.14 Expected Clean Energy Outcomes – As part of its mission, NYGB must demonstrate successful clean energy outcomes for all of the Projects into which it deploys capital. For all Projects funded pursuant to this RFP,

NYGB plans to calculate the expected clean energy outcomes itself based on Applicant supplied info as follows:

- Aggregate annual energy production projected over estimated life of Project with the initial estimate provided in the Phase 1 Proposal and confirmed prior to transaction closing including projected annual production. NYGB will require reporting of the actual production quarterly during the life of the Back Leveraged Loan.

4.1.1.15 Applicant Description – It is important for NYGB to know its Applicants so that it can evaluate their capabilities for completing the Project and servicing the Back Leveraged Loan over its life.

- Identify the officers and management of the Applicant. If the proposed Borrower is different, then include the officers and managers of the proposed Borrower as well;
- Provide a structure diagram showing all organizational entities from the Project Company and the Borrower to the ultimate parent(s) including ownership percentages. If there are options or other instruments that may be exercised, include structure diagrams for both pre-exercise and post-exercise of the options, showing the structure on a fully diluted basis (as applicable);
- Detail the qualifications of the Applicant for undertaking the Project(s) including its experience with similar projects; and
- Provide summary biographies and resumes for key personnel.

4.1.1.16 Remaining Development Requirements – This section of the Proposal should clearly articulate the remaining major steps requiring completion before financing, any issues expected in their completion and the schedule for completing the outstanding steps.

4.2 Phase 2: Contractual Arrangements & Fee –

Upon invitation by NYGB, Applicants are to submit contracts, agreements and other supporting documentation as described below and will be requested to provide an in-person Proposal presentation. Phase 2 is intended by NYGB to allow for a review of the contracts and agreements to confirm the stage of Project development and to determine any major contractual issues. The other elements of the due diligence process, including the work of the IE, will take place in Phase 3. Along with the Phase 2 requested materials described below, the Applicant will be required to pay a non-refundable fee of per Project (“**Phase 2 Fee**”) which will be used by NYGB to cover the costs of initial review. NYGB will only continue to consider Projects that have paid the required fee. Specific fee submittal instructions will be included in the NYGB invitation to Phase 2.

The elements of the Phase 2 Proposal and process include:

- Invitation to the Applicant from NYGB to enter the Proposal into Phase 2. From receipt of invitation, the Applicant will be given 4 weeks to submit (1) the Phase 2 materials as

described below, and (2) the Phase 2 Fee. Delays in submitting the full set of required materials may be grounds for discontinuing consideration of the transaction.

- In the invitation to Phase 2, the Applicant will be requested to schedule a detailed, in-person presentation of the Proposal by management to NYGB in its New York City offices. Its purpose will be to introduce the senior management team to NYGB and provide a synopsis of the Proposal.
- In Phase 2, NYGB is requesting all Project contracts and agreements (See Section 3.2) in their current form as of the Phase 2 submission even if they are not executed or in a final executable form. The contracts and agreements should be submitted with a cover note to each contract or agreement explaining its current status, and which elements of each contract are still being negotiated. For each contract or agreement that is not executed or in near final or executable form, the cover note should provide the schedule for reaching this level of contract development.
- In general, NYGB believes that first drafts of agreements that have not undergone negotiations do not demonstrate an acceptable level of development of that specific contract. Therefore, Applicants are advised to keep such first draft agreements to a minimum and to avoid such drafts for the more significant contractual arrangements.
- Applicant should submit the EAF along with any other SEQRA materials prepared for other permitting or approval agencies relevant to the Project.
- NYGB will re-evaluate the Project as part of its Phase 2 contract review using the same methodology as employed for Phase 1 taking into consideration all advances in the Project development and to determine if the Project is acceptable for Phase 3.
- The agreements, in aggregate, should provide a clear picture of the Project.
- The Phase 2 Proposal should also include an update of the Project development, if any, from that detailed in Phase 1. In particular, areas where significant development advances have occurred should be carefully delineated.
- The Applicant should also include its comments on the appropriate Back Leveraged Term Sheet. As a reminder, NYGB endeavored to create term sheets that balance the interests of all parties so they should only be marked up as absolutely necessary.
- At the conclusion of its Phase 2 evaluation, NYGB will inform the Applicant of its findings and its decision to either (1) invite the Project into Phase 3, or (2) require resolution of Project deficiencies before the invitation into Phase 3 can be extended. Applicants whose Projects are invited into Phase 3 will be provided with the NYGB credit agreement, assignment and consent agreements and other required financing documents (collectively the "**Transaction Documents**").

4.3 Phase 3: Due Diligence, Approval & Documentation –

During Phase 3, NYGB will complete the remainder of its required due diligence, work with the Applicant to prepare all required documentation for the financing of the transaction and seek the necessary NYGB approvals. The Applicant is expected to provide support for each of these tasks and should be prepared to answer specific questions and fulfill detailed data requests, including those generally forthcoming from an IE. Each component of Phase 3 is described below.

The costs for NYGB third-party advisors such as the IE and outside counsel will be borne by the Applicant.

4.3.1 Due Diligence –

4.3.1.1 Construction & Operating Performance – NYGB will seek to determine the readiness for construction and the projected Project performance based on due diligence including but not limited to the following construction and performance related items:

- Equipment Supply
- Installation, EPC and/or BOP Agreements; Note that on a case by case basis, NYGB reserves the right to require performance guarantees
- Construction Schedule
- Environmental Issues including any Phase 1 environmental audit
- Site Control
- CESIR
- Interconnection agreement
- IE Report – NYGB will commission an IE report covering typical issues and including PVsyst® analysis for the Project. If the Applicant has already engaged an IE, NYGB may, upon review of the IE firm and its qualifications as well as the scope for the IE work, decide to utilize the Applicant's IE upon the provision of a reliance letter to NYGB, provided that such report is acceptable to NYGB. Prior to commencing the IE report, the Applicant will be provided with a scope of work and budget for the report.

4.3.1.2 Operations/Administration – NYGB will evaluate the plans for the operation and administration of the Project including evaluation of a Project pro forma model (See Section 4.3.1.9) covering the term of the Back Leveraged Loans. NYGB will use the pro forma model to address various scenarios relating to the operation of the Project.

4.3.1.3 Revenue Arrangements – At this stage, NYGB expects to be able to evaluate near final remote net metering arrangements. The Applicant will also need to demonstrate that the RNMCA meets the requirements of NYPSL § 66-j including the analysis in Section 3.2.1 and Section 3.2.2.

4.3.1.4 Financing Plan – NYGB will evaluate the financing plan for the Project including the requested level of debt financing, equity by source and amounts and evidence of each equity provider's availability and commitment over the near term and the long term. Such evaluation will also consider the level of sponsor investment and the extent it remains in the Project over time as NYGB considers continued Sponsor net investment to be a positive feature of any Project signifying a continuing commitment to the Project.

- 4.3.1.5 Construction Budget – A complete construction budget showing sources and uses, a draw schedule for both debt and equity and a detailed construction budget with all expenditures prior to Project completion. NYGB will require that the equity be funded in advance of draws on the Back Leveraged Loan.
- 4.3.1.6 Permits & Approvals – Demonstration that the NY-Sun process, if applicable, has been completed, all permits have been issued or are expected to be issued prior to the scheduled financial closing and, if applicable, the SEQRA process has been completed or is expected to be completed before the scheduled financial closing.
- 4.3.1.7 Credit Quality – NYGB will evaluate the credit quality of all Project parties and counterparties in order to assist in gauging counterparty risk. With respect to the RNMCA counterparty, NYGB will also look at the applicable forecasted metered rates, as described earlier in Section 3.2.2.
- 4.3.1.8 Title Report – Due to the importance of site control, early in Phase 3, the Applicant will be required to submit a title report for all properties comprising the Project site and any necessary access rights-of-way or easements.
- 4.3.1.9 Pro forma Model – During Phase 3 due diligence, the Applicant will be required to provide the inputs to populate the NYGB detailed Project operating and financial model. The more detailed model will incorporate panel output and degradation, solar irradiance, etc., and will be used by NYGB to evaluate the Project. This model will include a data input sheet documenting the source of all inputs. The model will be a Project document as defined in the loan agreement and will jointly be agreed to between NYGB and the Borrower.
- 4.3.1.10 Know Your Customer – NYGB will conduct “Know Your Customer” due diligence similar to that conducted by financial institutions and other government agencies.
- 4.3.2 NYGB Approval – NYGB will prepare its Transaction Approval Memo concurrently with the due diligence and documentation effort but cannot seek approval until the due diligence is completed and the Back Leveraged Loan documentation is in an advanced stage. NYGB approval is in accordance with the NYGB Policies & Procedures is generally received shortly before financial closing.
- 4.3.3 Documentation – As part of its effort to standardize the documentation of PV solar transactions as contemplated by this RFP, NYGB will utilize standard loan documentation prepared by its counsel. The Back Leveraged Loan documentation will include all necessary Transaction Documents which will be provided to the Applicant and its counsel during Phase 3. The Transaction Documents will be consistent with the Back Leveraged Term Sheets provided as part of this RFP with the proposed Applicant changes to the Back Leveraged Term Sheets (provided in Phase 2) to be considered.
- 4.3.4 Closing – Once the conditions precedent to financial closing have been met, closing of the transaction can proceed quickly. Conditions precedent are described in the Back Leveraged Term Sheets.

5 General Conditions

5.1 Municipal Advisor Rules –

NYGB is aware of the amendments to Section 15B of the Securities Exchange Act of 1934 effectuated by Section 975 of Title IX of the Dodd-Frank Act, as well as SEC Release No. 34-70462 (September 20, 2013). In this regard, please note that NYGB considers discussions with potential Applicants, and the review of Proposals, to be arms-length negotiations. NYGB recognizes that Applicants have financial and other interests that differ from NYGB; as such, NYGB does not consider a fiduciary relationship to arise in this context. NYGB has engaged an independent registered municipal advisor (“**IRMA**”) with the intent of relying (i.e., taking into careful consideration, along with any other information deemed relevant or appropriate) on that IRMA for advice related to any potential transactions (but not bound to follow that advice), and consequently allowing Applicants to qualify for the exemption provided by 17 CFR §240.15Ba1-1(d)(3)(vi) (the “**IRMA exemption**”). The name and contact information of the IRMA is listed on the NYGB website at www.greenbank.ny.gov/IRMA, and the IRMA is available to respond to any questions an entity preparing to submit a Proposal may have with respect to the IRMA’s independence.

5.2 Proprietary Information –

Among NYGB’s goals is the promotion of standardization of material contract terms and structures, and the collection of Project performance data across NYGB transactions. NYGB is keenly aware that commercial markets and their incumbents value non-disclosure extremely highly in protecting confidential transaction terms and other competitive information and NYGB remains highly sensitized to usual and customary confidentiality practices. Nevertheless, as a division of NYSERDA, certain state laws specifically apply to NYGB and it is recommended that careful consideration be given before confidential information is submitted to NYGB as part of any Proposal. Review should include whether it is critical for evaluating a Proposal, and whether general, non-confidential information may be adequate for review purposes.

New York’s Freedom of Information Law, Public Officers Law, Article 6, provides for public access to information NYSERDA and its divisions possess. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that “are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise.” Information submitted to NYGB that the Applicant wishes to have treated as proprietary and confidential trade secret information, should be identified and labeled “Confidential” or “Proprietary” on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set out in 21 NYCRR Part 501. The confidentiality of any information submitted cannot be guaranteed.

5.3 Limitation –

This RFP does not commit NYGB to agree to participate in any transaction, proceed to negotiate any terms or definitive documentation, pay any costs incurred in preparing a Proposal or to procure or contract for services or supplies. NYGB reserves the right to accept or reject any or all Proposals

received, to negotiate with all qualified parties or to cancel in part or in its entirety this RFP when it is in NYGB's best interest.

5.4 Disclosure Requirement –

The Applicant shall disclose, for any team member, any indictment for alleged felony, or any conviction for a felony within the past five years, under the laws of the United States or any state or territory of the United States, and shall describe the relevant circumstances. When an Applicant is an association, partnership, corporation or other organization, this disclosure requirement includes the organization and its officers, partners, and directors or members of any similar governing body. If an indictment or conviction comes to the attention of NYGB or NYSERDA after NYGB has indicated its interest to, or has agreed to enter into or participate in, any transaction NYGB may terminate the agreement and the Applicant may be subject to penalties for violation of any law which may apply in the particular circumstances. Applicants must also disclose if any team members have ever been disbarred or suspended by any agency of the United States Government or the New York State Department of Labor.

6 Attachments

Attachment A – Structure Charts

Attachment B – Mandatory Certifications

Attachment C – Instructions for Submitting Proposals

Attachment D – Single Project Term Sheet

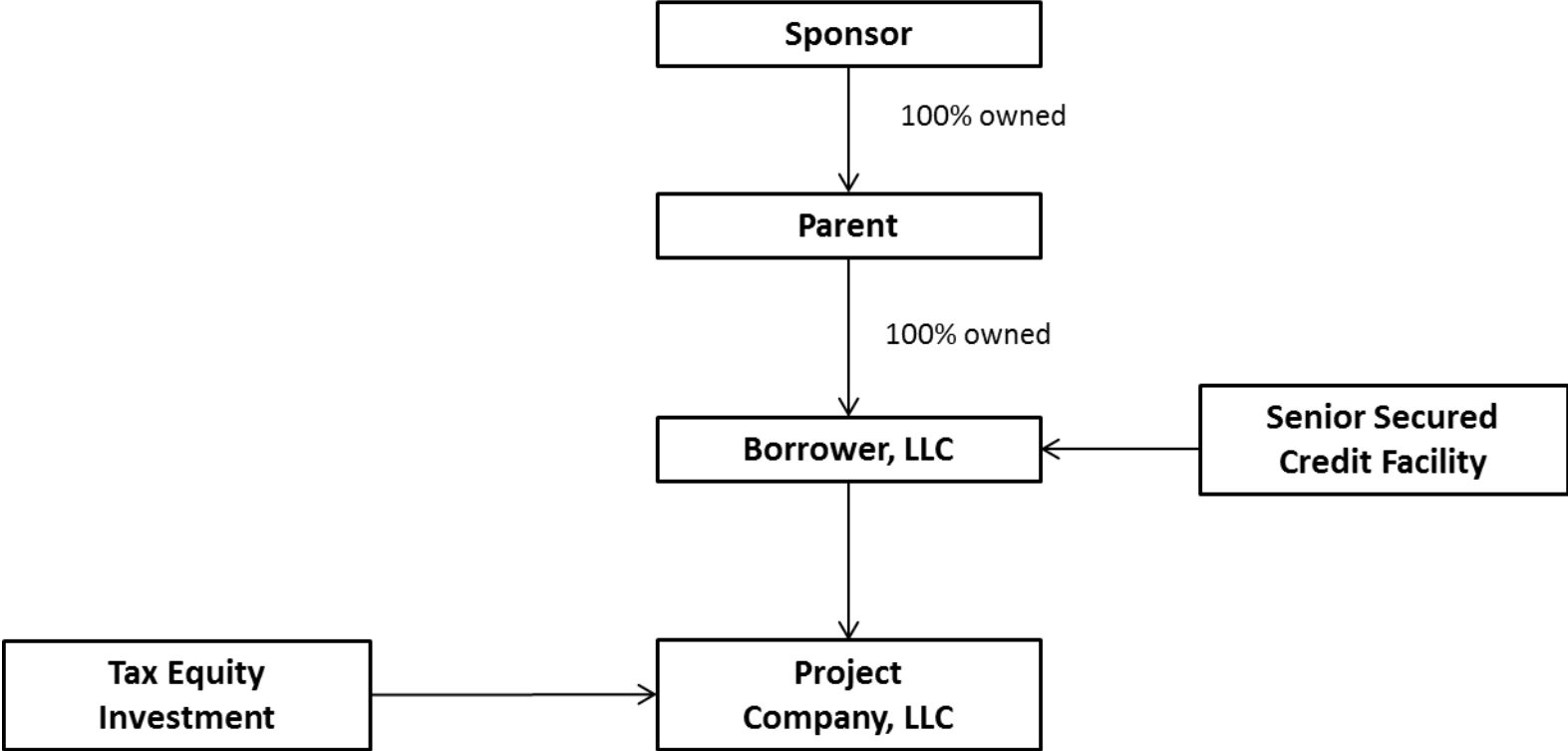
Attachment E – Portfolio Term Sheet

Attachment F – NYGB Pro forma Data Input Sheet

RFP 7 -- Attachment A

Structure Diagrams

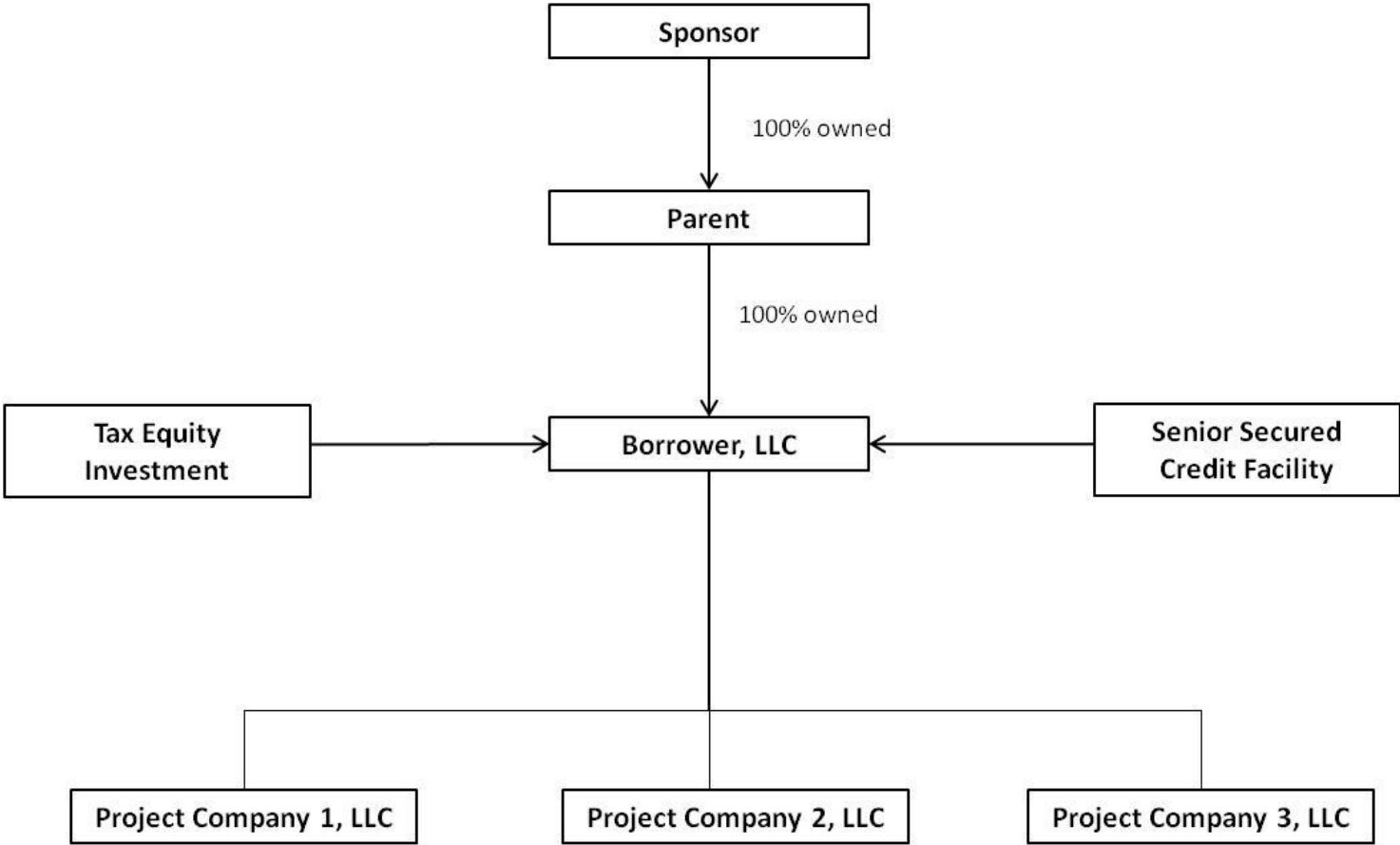
Single Project Structure



RFP 7 -- Attachment A

Structure Diagrams

Portfolio Structure



Note: This structure is as is provided in the Project Portfolio Term Sheet. Applicant may request that structure include an intermediate holding company interposed between Borrower and the Project Companies, which may be done if satisfactory to the Lender

RFP 7 -- Attachment B

Mandatory Certifications

To be in the form of Attachment A to RFP 1 but not to include the page number reference section and to have a line for authorized signature (sign, print, title, date).

RFP 7 -- Attachment C
Instructions for Submitting Proposals

RFP 7 -- Attachment D

Summary of Indicative Financing Terms for [NAME] Project

Single Project - Senior Secured Construction Financing

Converting to Back Leveraged Term Loan

This term sheet is for discussion purposes only and has not been approved by New York Green Bank (“**NY Green Bank**”), a division of the New York State Energy Research & Development Authority (“**NYSERDA**”). Subject to NY Green Bank’s obligations under the New York Freedom of Information Law (see NY Public Officers Law, Article 6) or any regulatory request or legal obligation, this document and the contents herein are confidential and shall not be revealed to any party that does not have a need to know the contents for the purpose of negotiating and approving a potential financing involving NY Green Bank. This term sheet does not constitute an offer or agreement by NY Green Bank or commitment by NY Green Bank to enter into a financing agreement. The terms set forth herein, including indicative pricing terms, are not the complete terms and conditions of any financing agreement and are subject to withdrawal and change at any time. The final approval and completion of the proposed financing facility described in this term sheet will be dependent upon, among other things, the completion of satisfactory due diligence and document review by the NY Green Bank and the execution of definitive documentation agreeable to NY Green Bank, the terms of which may differ substantially from the terms set forth herein. The parties recognize that, neither party shall have any liability or obligation to the other as a result of this term sheet (other than in respect of the parties’ confidentiality obligation as provided above), it being understood that only such provisions as shall be set forth in any definitive documents shall have any legal effect.

Borrower; Parent: [NAME], [ORGANIZATIONAL INFORMATION], a special purpose entity established solely to manage and own []% of the Project Company described below (the “**Borrower**”). Borrower is 100% owned by [NAME] (the “**Parent**”).

Project Company: [NAME], [ORGANIZATIONAL INFORMATION], a special purpose entity established solely for the development, construction, financing, ownership, operation and maintenance of the Project described below. The Project Company will be governed by a limited liability company operating agreement that shall provide as follows: [DESCRIBE OWNERSHIP INCLUDING ANY TAX EQUITY ARRANGEMENTS, BUYOUTS, FLIPS, MANAGEMENT ARRANGEMENTS, ETC.]. Prior to the Final Withdrawal Date (as defined below), the Project Company shall guaranty the obligations of the Borrower under the Loan Documents, which guaranty shall be secured by all assets of the Project Company as further described below (the “**Project Level Security and Guaranty Arrangements**”). If required by tax equity investors in the Project Company, the Lender shall release the Construction Period Security and Guaranty Arrangements upon the Final Withdrawal Date.

Sponsor: [NAME] (“**Sponsor**”). Sponsor owns [100%] of the equity interests in Parent.

Project Description: The Project Company is developing a solar photovoltaic (“**PV**”) generating facility to be located in [LOCATION], New York with an expected nameplate capacity of approximately [SPECIFY SIZE 500kw-2MW] and expected total annual production of [TBD] MWh/year. Power will be sold under a net metering contract (“**RNMCA**”) with [NAME],⁷ which entity shall comply with the RNMCA Counterparty Criteria (as specified below). The total Project Costs (as defined below) are expected to be approximately \$[TBD].

Lenders: New York Green Bank, a division of the NYS Energy Research & Development Authority, together with any additional lenders party to the financing agreement from time to time.

Collateral Agent: [TDB]

Depository Agent: [TBD]

Documentation: The terms and conditions applicable to the Credit Facility, including financial terms, representations and warranties, covenants, conditions, events of default and remedies will be contained in a financing agreement, upstream guaranty, promissory note and other customary transaction documentation, including security agreement, mortgage, equity pledge agreement by Parent, depository agreement, UCC financing statements and third-party consents to assignment (collectively, the “**Loan Documents**”) and legal opinions and an agreed-upon base case financial model. All such documentation shall be in form and substance satisfactory to the Borrower and the Lender.

Credit Facility; Use of Funds: An up to \$[TBD] loan facility with final sizing based upon the assumptions contained herein (as modified by the results of the Lender’s due diligence). Proceeds of the Credit Facility shall be used for the sole purpose of funding a portion of Project Costs for the Project.

Project Costs; Project Construction Budget: Project Costs associated with the Project, shall mean the reasonable development costs, land acquisition costs, construction costs, capitalized interest, a reasonable development fee, required funding of the Debt Service Reserve Account and the O&M Reserve Account on or prior to the Final Withdrawal Date (as defined below) and transactional fees and

⁷ Each Project is required to serve a single RNMCA Counterparty.

expenses, in each case, in accordance with a construction budget for the Project, which shall include appropriate contingency amounts and the Project's draw schedule, submitted to and approved by Lender, as updated or as otherwise amended from time to time, in each case with the prior written consent of Lender.

Final Maturity: [TBD] years from Final Withdrawal Date.⁸

Project Equity: The Sponsor's aggregate equity contribution obligations⁹ shall be the greater of:

- 1) An amount equal to the total estimated Project Costs as of the Closing Date less the sum of the maximum commitment amount of the Loan Facility; and
- 2) [30]% of the total estimated Project Costs, as of the Closing Date.¹⁰

Debt Sizing; Minimum DSCR: The Loan Facility shall be sized, as of the Closing Date, as not to exceed the lesser of:

- 1) An amount, assuming full amortization of the loan one year prior to scheduled contract termination of RNMCA, which would yield a minimum annual Projected Debt Service Coverage Ratio not less than [1.35x P50] production and 1.15x 1-year P90 production (the "Minimum DSCR") as determined by a third-party consultant satisfactory to the Lender; and
- 2) [70]% of the total estimated Project Costs.

Net Borrower Revenues; Borrower Revenues: With respect to any specified period, the difference between (A) Net Project Company Revenues paid to or projected to be paid, as applicable, to the Borrower from the Project Company during such period ("**Borrower Revenues**") and (B) all reasonable costs and administrative expenses paid or projected to be paid, as applicable, by the Borrower during such period. All revenue and expense assumptions used at Financial Closing shall be determined in consultation with third-party consultants satisfactory to the Lender.

⁸ Scheduled maturity of Loan required at least one year prior to the scheduled termination of the RNMCA but no later than ten (10) years from the Final Withdrawal Date (as hereinafter defined).

⁹ NYSERDA Incentive Payments expected to be received by the Project during construction may be considered as "Project Equity," provided that Applicant shall be required to utilize cash equity as a bridge to actual receipt of such expected funds from NYSERDA.

¹⁰ To the extent that the Applicant expects to incorporate tax equity into the Project's capitalization structure, Applicant should suggest requisite changes to the Term Sheet, including revisions to the ownership structure, debt/equity ratios and proposed forbearance terms, for the Lender's review and approval. Applicant shall be required to utilize cash equity as a bridge to any tax equity funding. Lender reserves all rights to revise proposed term sheet to further address any proposed tax equity structure.

Net Project Company Revenues; Project Company Revenues:

With respect to any specified period, the difference between (A) all cash flow paid or projected to be paid, as applicable, to the Project Company during such period under the Project's RNMCA, assuming a P90 production level and under any NY SUN PON incentive program ("**Project Company Revenues**") and (B) all operation and maintenance expenses, administrative expenses, any ordinary course cash payments due to the tax equity investor by the Project Company prior to the expected Buyout Date (as defined below) and the funding of any Project Company reserves, in each case as contemplated by the Project Company Limited Liability Company Agreement and paid or projected to be payable, as applicable, by the Project Company during such period. Notwithstanding the foregoing, on and after the Final Withdrawal Date, the projected cash flow with respect to any specified period for purposes of clause (A) above, shall be the lesser of (i) Project Company Revenues and (ii) all cash flow projected to be paid to the Project Company assuming P90 production level and energy payments based upon a forward curve of metered rates multiplied by []%¹¹ and under any NY SUN PON incentive program. All revenue and expense assumptions used at Financial Closing shall be determined in consultation with third-party consultants satisfactory to the Lender.

Historic Debt Service Coverage Ratio; Projected Debt Service Coverage Ratio:

With respect to any specified period, the ratio of (A) Net Borrower Revenues paid or projected to be paid, as applicable, to Borrower during such period to (B) Borrower's scheduled amortization payments, interest and fees paid or projected to be paid, as applicable, to the Lender by the Borrower in respect of the Credit Facility during such period. For purposes of calculating the Minimum DSCR, Historic Debt Service Coverage Ratio or the Projected Debt Service Coverage Ratio, Net Project Company Revenues and Net Borrower Revenues shall exclude any (a) revenues generated from casualty insurance, condemnation proceeds or asset sales; (b) warranty payments or (c) payments from any affiliates of the Project Company (including any tax equity investors) that are gifts, loans, equity or capital contributions.

RNMCA Counterparty Criteria:

Threshold criteria, including but not limited to:

- 1) No less than []% of the RNMCA Counterparty's load is represented by the RNMCA;
- 2) If RNMCA Counterparty is not rated or rated below investment grade, including but not limited to:

¹¹ The forward curve methodology to project future metered rates to be agreed upon and to be utilized for the relevant zone and utility service territory, equitable to all Project Sponsors

- a) No bankruptcy;
 - b) Proof of no late payments by such entity to utility;
 - c) In business or in operation for more than five years;
 - d) To provide the last three years of financial statements and IRS filings;
 - e) D&B minimum credit score; and
 - f) Major rating agency service utilized to provide a counterparty credit score;
- 3) If RNMCA Counterparty is a governmental entity or a non-profit, the Lender shall evaluate on a case-by-case basis, with rated governments contractual agreements being evaluated on the basis of that governmental entity's legal ability to appropriate, among other things.

At Closing, Applicant shall be required to demonstrate a satisfactory number of potential replacement RNMCA Counterparties that have required load and otherwise satisfy the requisite criteria (subject to availability).

Mandatory Amortization: The Loan Facility will amortize, commencing upon the Final Withdrawal Date through and including the Final Maturity of the Loan Facility, quarterly with payments of the required principal repayment amount set forth on the amortization schedule to be attached to the Loan Documents.¹²

Interest Rate: Loans under the Credit Facility shall bear interest at a rate equal to [TBD]%.¹³

Interest rate will increase by 2.00% per annum starting on the fifth anniversary of the Final Withdrawal Date.

Interest will be capitalized during the construction period until the Project's Final Withdrawal Date, but no later than the Date Certain. Except as set forth in the prior sentence, interest will be payable in arrears quarterly, upon any refunding, prepayment, including due to acceleration, and at final maturity.

Upon the occurrence of a Default under the Loan Documents, interest shall increase by 2.00%.

Date Certain: The "**Date Certain**" with respect to the Project to be determined by the Lender by reference to the Project's construction schedule, budgeted

¹² Applicant to proposed quarterly amortization amounts.

¹³ Interest Rate to be determined by the Lender. Such rate may vary by Applicant based upon the Lender's review of the credit quality of the Sponsor and the RNMCA Counterparty, among other factors.

capitalized interest and any relevant milestone dates in underlying project contracts and licenses.

Fees:

Closing Fee: [1.50]% of the Loan Facility commitment payable to the Lender.

Agency Fee: [\$5,000] at Closing and thereafter, annually in advance, payable to the Lender.

Borrower Security Package:

Customary back leveraged finance security package to be provided at Financial Closing including, but not limited to, a first-priority security interest in the following collateral:

- 1) All membership interests in the Borrower held by the Parent (including all economic, voting and managerial rights related thereto);
- 2) All membership interests in the Project Company held by the Borrower (including all economic, voting and managerial rights related thereto);
- 3) the contract rights, accounts receivable, bank accounts, general intangibles and all other assets of the Borrower;
- 4) All agreements entered into by the Borrower;
- 5) All insurance policies and proceeds thereof as well as condemnation proceeds received by the Borrower;
- 6) All revenue, accounts with respect to the Project payable to the Borrower, collateral accounts and any cash therein held by the Borrower (including all undisbursed loan proceeds on deposit in the Construction Account);
- 7) All accounts receivable and general intangibles of the Borrower;
- 8) All rights the Borrower, the Parent and the Sponsor have in any equity capital contribution agreement; and
- 9) All other real or personal property of the Borrower (including cash and financial instruments).

Project Level Security Package and Guaranty Arrangements:

At Financial Closing, the Project Company will be required to provide a secured guaranty of all of the Borrower's obligations under the Loan Documents (subject to customary fraudulent conveyance savings provisions). Such Guaranty to be secured by a customary project finance security package including, but not limited to, a first-priority security interest in the following collateral:

- 1) The real property rights and all inventory, machinery and equipment comprising the Project;
- 2) The contract rights, accounts receivable, bank accounts, general intangibles and all other assets of the Project Company;
- 3) All agreements entered into by the Project Company;

- 4) All governmental approvals for the Project, to the extent assignable as collateral;
- 5) All insurance policies and proceeds thereof payable in respect of the Project as well as condemnation proceeds;
- 6) All revenue, accounts with respect to the Project, collateral accounts and any cash therein held by the Project Company (including all undisbursed loan proceeds on deposit in the Construction Account);
- 7) All accounts receivable and general intangibles of the Project Company;
- 8) All rights the Project Company may have in any equity capital contribution agreement;
- 9) All other real or personal property of the Project Company (including cash and financial instruments); and
- 10) Upon the Final Withdrawal Date in respect of the Project, Lender shall, if required by tax equity investors in the Project Company, release the Project Company from its Guaranty and terminate the Project's Project Level Security Package.

Reserve Accounts:

Debt Service Reserve Account:

Equal to the maximum amount of Debt Service over any [9]-month period within the tenor of the Loan Facility. "Debt Service" is defined as the sum of fees, interest and principal due in such period as set forth in the amortization schedule. The Debt Service Reserve Account shall be considered a Project Cost to be funded upon the Final Withdrawal Date utilizing both loan proceeds and equity, in proportion to the overall Debt/Equity ratio. Equity to support its proportionate funding obligation at Closing in the form of cash or provision of a letter of credit or guarantee, in each case, satisfactory to the Lender in its sole discretion.

O&M Reserve Account:

Equal to the maximum amount of O&M expenses over any [12] month period within the tenor of the Loan Facility, to be funded as provided above in the case of the Debt Service Reserve Account.

Inverter Replacement Reserve Account:

Inverter Replacement Reserve Account to be determined based on diligence review (including inverter warranty terms) and IE (defined below) input, which account shall be funded following the Final Withdrawal Date with Borrower Revenues in accordance with the Borrower Waterfall. The Inverter Replacement Reserve Account will be sized and funded so as to be fully funded in advance of the end of the expected life of the inverters.

Buyout Reserve Account:

In the event that the Borrower may or shall be required to buy out the equity held by a tax equity investor in the Project Company following the recapture

period (such acquisition date, the “**Buyout Date**”) and provided that such Buyout Reserve Account is required by the Lender in its sole discretion, such account shall be funded to required levels following the Final Withdrawal Date with Borrower Revenues in accordance with the Borrower Waterfall. The Buyout Reserve Account will be sized and funded so as to be fully funded in advance of the call period specified for such buyout in the Project Company’s Limited Liability Company Agreement. In lieu of the Buyout Reserve Account, Sponsor may provide letters of credit or other liquid security, in each case in form and substance satisfactory to the Lender.

Accounts; Depositary Agreement:

The Project Company, the Borrower, the Lender and the Depositary Agent shall be party to a Depositary Agreement that shall perfect the Lender’s security interests over the various accounts established and maintained thereunder. Terms and conditions of withdrawals from such Accounts to be customary, including provision of requisite certifications by the Borrower.

Borrower Waterfall:

Borrower Revenues (which, pursuant to the depositary agreement, shall be required to be deposited directly into a controlled account) shall be applied as follows:

First, on a monthly basis, to the payment of fees, indemnities and other expenses due and payable to the Lender, the Depositary Agent and the Collateral Agent under the Credit Facility;

Second, quarterly, to the payment of interest due and payable to the Lender under the Credit Facility;

Third, quarterly, to the payment of principal under the Loan Facility in the amount of the Mandatory Amortization for such period;

Fourth, quarterly, to the funding of all Reserve Accounts up to the reserve requirements then in effect;

Fifth, quarterly, to the prepayment of principal under the Loan Facility solely to extent necessary to cause the Projected Debt Service Coverage Ratio as calculated on such quarterly date with respect to the balance of the term of the loan to equal the Minimum DSCR; and

Sixth, quarterly, as a cash distribution to the Parent, so long as the below Distribution Conditions are satisfied.

Distribution Conditions: Distributions to Parent (including repayment of affiliate loans or similar payments to be described in the Loan Documents) shall be permitted to be made by the Borrower on a quarterly basis provided:

- 1) The Final Withdrawal Date shall have occurred;
- 2) No Default or Event of Default outstanding;
- 3) No Material Adverse Effect has occurred;
- 4) Reserve Accounts are fully funded to then-required levels;
- 5) The Borrower's Historic Debt Service Coverage Ratio as determined as of such quarterly date with respect to the prior 12-month period shall be at least [1.35:1:00]; and
- 6) The Borrower's Projected Debt Service Coverage Ratio as determined as of such quarterly date with respect to the following 12-month period shall be at least [1.35:1:00].

Notwithstanding the foregoing, provided that no Default or Event of Default exists and is continuing, cash receipts by the Borrower constituting tax equity contributions and/or NYSERDA incentive payments specifically bridged by cash equity contributions (or the subject of acceptable credit support therefore previously provided by, or on behalf of, the Sponsor) may be distributed.

Funding Protection: Customary for transactions of this type, breakage costs, gross-up for withholding, compensation for increased costs and compliance with capital adequacy and other regulatory restrictions.

Conditions Precedent to Financial Closing: Certain conditions to Financial Closing as are customary for this type of transaction, including the following:

- 1) The Loan Documents shall have been executed and be in full force and effect;
- 2) The Borrower shall have provided evidence that all Project Equity shall have been contributed to the Borrower or, alternatively, shall be supported by binding commitments with respect thereto from the Sponsor, the credit of which shall be satisfactory to the Lender in its sole discretion (or alternative arrangements as to such equity funds such as a letter of credit shall have been received) and, in each case, on terms and conditions satisfactory to the Lender; it being understood that no Loans shall be made available to the Borrower prior to full contribution and utilization of Project Equity (except in the case of tax equity, in which case, such deferred contributions shall be bridged by cash equity contributions and the timing and other terms and conditions of such tax equity

- contributions shall be acceptable to the Lender in its sole discretion);
- 3) Delivery of the Project Construction Budget;
 - 4) The Project Documents in forms acceptable to Lender shall have been executed and be in full force and effect, with no defaults or events of default thereunder and all conditions precedent satisfied by each of the parties thereto. "**Project Documents**" to include, without limitation, real estate acquisition/lease arrangements, a fixed-price EPC agreement (or alternatively, fixed-price equipment purchase orders together with a fixed-price balance of plant contract) (in each case containing satisfactory warranties); RMNCA and/or other applicable revenue agreements and any NY Sun PON arrangements, operations, maintenance and administration agreement(s);
 - 5) A Coordinated Electric System Interconnection Review ("**CESIR**") has been completed and all necessary agreements shall be in place with the interconnecting utility and the interconnection costs shall be in the Project Construction Budget;
 - 6) Third-party consents to collateral assignment with respect to the Project Documents in forms acceptable to Lender shall have been executed and be in full force and effect;
 - 7) The Project Company shall have acquired all necessary real property rights to the satisfaction of the Lender;
 - 8) Receipt of satisfactory expert studies of the Project from the IE's and the Insurance Consultant:
 - a) The IE's report shall evaluate, including, but not limited to, (i) the technical aspects of the Project including a review of the Base Case Projections, (ii) the status of permits, (iii) a solar resource assessment that includes a final energy production analysis for the Project that is consistent with the Base Case Projections and an analysis of forecasts of overall power production during the life of the Project, and (iv) confirms that the Project as designed complies with the technical system requirements of the Project Documents, in form and substance satisfactory to Lender; and
 - b) The Insurance Consultant's report shall (i) assess the adequacy of the insurance requirements in the Project Documents; (ii) recommend the insurance requirements to be included in the Loan Documents; and (iii) provide a certificate that the insurance package, as a whole, is appropriate to protect the Project and the insurance required in the Financing and Project Documents is in place or can be commercially obtained;
 - 9) The [EPC Contractor] [BOP Contractor] shall have provided (i) the [construction security] and (ii) additional financial security [in a form to be agreed upon];
 - 10) All applicable material governmental permits and approvals listed in Part I of the Permitting Schedule are in place, including FERC QF self-certification and SEQRA finding as to no significant adverse environmental impact;
 - 11) The necessary lien searches performed and filings and recordings made to perfect the first-priority security interests, including the mortgage and delivery of all original membership interest certificates as contemplated by the equity pledge agreement(s);

- 12) A certificate of the Borrower that all representations and warranties made by the Borrower in the Loan Documents shall be true and correct in all material respects;
- 13) A certificate of the Insurance Consultant in favor of the Lender stating that all required insurance policies obtainable at that time are in full force and effect, the premiums due thereon have been paid, such insurance shall not be subject to cancellation without prior notice to the Lender and that such policies otherwise conform with the requirements specified in the Loan Documents;
- 14) No Default or Event of Default shall have occurred and be continuing under the Loan Documents;
- 15) No action, suit or proceeding or investigation shall have been instituted or threatened by a person or governmental entity with respect to the Project;
- 16) A financial model demonstrating projected compliance during the term of the loan with the Minimum DSCR, based on technical and other assumptions confirmed as reasonable by the IE (the "Base Case Projections");
- 17) Audited annual financial statements for each of the Sponsor, Parent, Borrower, Project Company, RNMCA Counterparty, EPC Contractor and most recent pro forma balance sheet of Borrower;
- 18) Legal opinions shall have been received as to the following matters as to the Borrower and Project Company:
 - a) Duly organized and validly existing in good standing under the laws of the State of [TBD] and is authorized to do business in New York;
 - b) Has the power and authority to execute and deliver and to perform its obligations under the Financing Document and Project Documents to which it is intended to be a party;
 - c) The execution and delivery of the Loan Documents and Project Documents to which it is intended to be a party have been duly authorized by all necessary action on its part;
 - d) The Loan Documents and Project Documents to which such parties are intended to be a party constitute the legal, valid and binding obligation thereof, enforceable against them in accordance with their terms, subject to exceptions for bankruptcy and equitable principles;
 - e) No governmental approvals are required for the execution and delivery by it of the Loan Documents and Project Documents to which such parties are intended to be a party, other than those that have been obtained;
 - f) All environmental permits necessary for the construction and operation of the Project have been obtained, such permits are in full force and effect, and all applicable appeal periods have expired;
 - g) The execution and delivery, and the performance by such parties of their obligations under, the Loan Documents and Project Documents do not violate its [certificate of incorporation], or violate [Delaware General Corporation Law or laws of the State of New York];
 - h) Is not an investment company required to register under the Investment Borrower Act of 1940, as amended;
 - i) Each security document is effective to create a security interest under the Uniform Commercial Code in the right, title and interest of each such party in, to and under the personal property of each such party purported to be subject to the lien

of such security document in which a security interest may be created under the Uniform Commercial Code, as collateral security for the secured obligations specified in such security document;

- j) The Mortgage is in sufficient form for recording in the State of New York, or any political subdivision thereof, and upon such recording shall constitute a perfected security interest in the interests described therein;
 - k) There are no proceedings pending or overtly threatened in writing against either such party other than as specified; and
 - l) No governmental approval or other authorization under the laws of the State of New York, or any political subdivision thereof, is required in connection with the execution, delivery, filing, recording or enforcement of the Mortgage or the indebtedness secured thereby.
- 19) No state or local mortgage tax, stamp duty or similar fee, tax or other governmental charge (other than customary nominal per page or per document filing and recording fees imposed by law) is required to be paid in the State of New York in connection with the execution, delivery, filing, recording or enforcement of the Mortgage;
 - 20) Customary incumbency certificates, good standing certificates, resolutions and formation documents of the Borrower, Sponsor, the Project Company and Parent shall have been received;
 - 21) All required Accounts shall have been established and be subject to the lien under the Loan Documents for the benefit of the Lender, and the Borrower shall have funded the Debt Service Reserve Account and the O&M Reserve Account each with the required initial balances;
 - 22) An ALTA survey shall have been provided with respect to the Project Site and all related easements and rights-of-way;
 - 23) ALTA 2006 form extended coverage policy of title insurance shall have been received, together with such endorsements and reinsurance as required by Lender, in the amount of the Loan and issued by the Title Company;
 - 24) Unless otherwise waived by the Lender, confirmation that the Project is entitled to a property tax exemption and is not located in a jurisdiction in which there is a solar moratorium;
 - 25) A detailed construction schedule of the Project in form and substance satisfactory to the Lender;
 - 26) Copies of any required "life of loan" Federal Emergency Management Agency Standard Flood Hazard Determination (FEMA Form 81-93) for each parcel which constitutes a portion of the Site. If any improvement to the Site is located in a special flood hazard area, a notification to the Borrower ("Flood Notice") shall be delivered and (if applicable) the Flood Notice shall include notification to the Borrower that flood insurance coverage under the National Flood Insurance Program ("NFIP") is not available because the community does not participate in the NFIP;
 - 27) Documentation requested by Lender in connection with Patriot Act compliance;
 - 28) There shall not have been any Material Adverse Effect;
 - 29) If the Project is considered a public work covered by Article 8 of the NY Labor Law or a building service agreement covered by Article 9 thereof by reason of the involvement of a public entity as host or RMNCA Counterparty, then Borrower, Project Company

and Sponsor will, during the construction of the Project, comply (and cause each contractor and subcontractor to comply), and will certify compliance, with all State of New York prevailing wage and hours laws and regulations; and

- 30) There shall not have occurred any material adverse change in the Project Budget, the Project Schedule or the Base Case Projections for the Project, in the economics or feasibility of constructing or operating the Project, or in the financial condition, business or property of any third-party project participant.

Material Adverse Effect: The definition of “**Material Adverse Effect**” in the Loan Documents shall mean the effect of any event or circumstance that, taken alone or in conjunction with other events or circumstances, has a material adverse effect (a) (i) on the business, operations, properties, prospects or condition (financial or otherwise) of the Borrower, the Parent, the Project Company or any equity investor, (ii) on the value of the collateral, (iii) on the enforceability of any Loan Document, or (iv) on the validity or priority of the Lender’s security interests in any collateral; (b) on the ability of the Borrower, the Parent, the Project Company or any equity investor to perform its obligations under the Loan Documents or equity contribution arrangements; or (c) on the ability of the Lender to enforce or collect on any payment obligations or to realize upon the collateral.

Funding Conditions under the Loan Facility: Upon satisfaction of the conditions specified below (collectively, the “**Funding Conditions**”), upon the requisition of the Borrower, Lender shall fund the Loan in a single draw into the “Construction Account” as established under the Depositary Agreement:

- 1) Financial Closing shall have occurred;
- 2) All Withdrawal Conditions shall have been satisfied;
- 3) Lender shall have received the schedule for completion by the applicable interconnection utility of the upgrades, such upgrades to demonstrate interconnection points necessary to handle the total output of the Project consistent with the Project Schedule;
- 4) All deposits required to be made to the applicable interconnection utility in respect of interconnection costs or otherwise shall have been made in their entirety and evidenced to Lender;
- 5) All Project Equity shall have been contributed and used for the payment of Project Costs,¹⁴ and
- 6) Lender shall have received a copy of the full “Notice to Proceed” (as defined in the BOP Contract, EPC Contract or equipment supply contracts, as applicable) issued to the BOP Contractor, EPC Contractor and equipment suppliers under the applicable contract.

Withdrawal Conditions: Funds on deposit in the “Construction Account” may be withdrawn by the Borrower for contribution to the Project Company for payment of project

¹⁴ Applicant to bridge any committed but unfunded tax equity contributions with cash equity.

costs, no more than once each calendar month, upon receipt of a Withdrawal Certificate and upon satisfaction of the following (the “**Withdrawal Conditions**”):

- 1) Each representation and warranty of Parent, Borrower and Project Company set forth in in the Loan Documents shall be true and correct in all material respects (or if such representation and warranty relates solely as of an earlier date, as of such earlier date);
- 2) No Default or Event of Default shall have occurred and be continuing under the Loan Documents;
- 3) All applicable material permits and governmental approvals required or reasonably necessary to have been obtained as of such date given the state of construction of the Project shall have been obtained, are in full force and effect and not subject to appeal;
- 4) The Project Documents (including any NYSEERDA agreement) and third-party consents to assignment shall each remain in full force and effect, with Borrower in compliance with the terms and conditions thereof and no defaults or events of default thereunder;
- 5) No action, suit or proceeding or investigation shall have been instituted or threatened by any person or governmental entity with respect to the Project;
- 6) There shall not have been any Material Adverse Effect;
- 7) Borrower shall have demonstrated to the satisfaction of the Lender (in consultation with the IE) that sufficient funds remain available to the Project Company to complete construction on or prior to the Date Certain;
- 8) No change in tax law impacting the tax equity investors forward contribution commitments;
- 9) Borrower shall have certified that (A) all applicable milestones have been met in accordance with the Project Schedule; (B) all work done on the Project is being built in a good and workmanlike manner in accordance with the Project Plan, Project Construction Budget, the BOP or EPC Contract (as applicable) and the IE Report, (C) bring down of all representations and warranties; and (D) Project will achieve Commercial Operation no later than the Date Certain;
- 10) IE Certificate as to matters in clauses 7 and 9 above;
- 11) Lender shall have received copies of executed lien releases and there has not been filed against, or served upon Borrower or the Project (or any part thereof) notice of or application for any Lien, claim of Lien or attachment upon or claim affecting the right to receive payment of any of the moneys payable to any of the Persons named on such request which has not been released, other than Permitted Liens (to be agreed);
- 12) All Lenders fees and costs have been paid; and
- 13) Other standard conditions precedent to a withdrawal.

**Final Withdrawal
Conditions; Final
Withdrawal Date:**

Borrower’s final withdrawal of funds on deposit in the “Construction Account” shall be subject to satisfaction of the following conditions (“**Final Withdrawal Conditions**”):

- 1) All Withdrawal Conditions shall have been satisfied;
- 2) The date of such final withdrawal shall be on or before the Date Certain;
- 3) Funding of any and all tax equity contributions with respect to such Project;
- 4) All required project accounts shall have been established and be subject to the lien under the Loan Documents for the benefit of the Lender, and the Borrower shall have funded the Debt Service Reserve Account, the O&M Reserve Account, the Inverter Replacement Reserve Account and, if applicable, the Buyout Reserve Account, each with the required initial balances;
- 5) Borrower certification (as confirmed by the IE) as to the achievement of Substantial Completion and Commercial Operation and list of Punch List Items necessary to achieve Final Completion;
- 6) Evidence that the Project is capable of operating safely and in compliance with the technical requirements of the material Applicable Permits and Prudent Utility Practice (as confirmed by the IE);
- 7) All warranties under the BOP/EPC Agreement and warranties covering the modules and inverters, are in full force and effect on the date of Substantial Completion, subject to the warranty periods and other terms and conditions of each such warranty, and have been assigned to the Project Company;
- 8) A completion account has been fully funded in the amount equal to 150% of the Punch List amount;
- 9) No material claims or disputes between the Project Company (or its affiliates) and the EPC/BOP Contractor and/or equipment supplier and any of their respective subcontractors shall be pending;
- 10) Written confirmation by the Insurance Consultant as to such matter as requested by the Lender, including that all then-required insurance policies are in full force and effect;
- 11) As Built Survey and bring down of title insurance report; and
- 12) Updated Base Case Projections to reflect any material changes to operating expenses and cash flow for the Project (after giving effect the actual operating capacities of the Project and any material changes to the projected operating performance of the Project), which updated Base Case Projections shall indicate projected compliance by the Borrower with the Minimum DSCR during the term of the loan.

The date upon which all Final Withdrawal Conditions are satisfied, as determined by the Lender, shall be referred to herein as the “**Final Withdrawal Date**”

Representations and Warranties:

The Borrower shall make the following representations and warranties as to itself and the Project Company on the Closing Date, Loan Funding and on each Withdrawal Date (subject to qualifications and thresholds to be agreed):

- 1) Is duly formed, validly existing and in good standing under the laws of the jurisdiction of its organization and is in good standing in its jurisdiction of organization and in New York;
- 2) Has full power and authority to conduct its business as now conducted and as proposed to be conducted by it and to execute, deliver and perform its obligations under the Loan and Project Documents to which it is a party;
- 3) All necessary action required to authorize the execution, delivery and performance of the Loan and Project Documents has been duly and effectively taken;
- 4) Each of the Loan and Project Documents has been duly authorized, executed and delivered and constitutes a legal, valid and binding obligation of the Borrower and the Project Company, enforceable against such party in the State of New York in accordance with the terms thereof;
- 5) Except as disclosed, the Borrower, the Project Company and the Project are in material compliance with any governmental rule (including any environmental law) applicable to the Borrower, the Project Company or the Project, and with the material terms of all other governmental approvals obtained by it;
- 6) No action or other proceeding is pending or, to the Borrower's actual knowledge, threatened against or affecting, the Project Company or the Project or any material part thereof, which, if adversely determined, would have a Material Adverse Effect;
- 7) The Project Company has a [valid leasehold interest in the Project Site], valid fee title in all other elements of the Project and good title in all other property it purports to own free and clear of liens, subject to permitted liens and the permitted encumbrances;
- 8) Neither party has engaged in any business other than the ownership, construction, operation of and financing for the Project and the activities related or incident thereto, and neither party has any obligations or liabilities other than those directly related to the conduct of such business;
- 9) The Borrower, the Project Company and the Project are, and have been, in material compliance with environmental laws; there are no past, pending or, to the Borrower's actual knowledge, threatened environmental claims against the Borrower, the Project Company or the Project that could be expected to result in a Material Adverse Effect, and neither the Borrower nor, to the Borrower's actual knowledge, any other Person, has used, released or discharged, generated or stored any hazardous material at the Project Site, and to the Borrower's actual knowledge, there are no hazardous materials used or present at the Project Site except, in either case, in compliance with applicable environmental laws;
- 10) Except as disclosed, no governmental approval is required to be obtained by either such party in connection with:
 - a) The execution and delivery of, and performance by either such party of its respective obligations, and the exercise of its rights, under Project and Loan Documents to which it is a party, or
 - b) The validity and enforceability the Project Documents;
- 11) All material governmental approvals required to construct, own, and operate the Project are set forth on the permitting schedule attached to the Loan Agreement ("Permitting Schedule"). Governmental approvals set forth in Part I of the Permitting Schedule have been validly issued and are in full force and effect,

- are final and, if applicable laws or regulations specify a period for bringing administrative appeals, all such appeals periods have expired; Governmental approvals set forth in Part II of the Permitting Schedule are not required given the stage of development of the Project, and Borrower reasonably expects such governmental approvals to be obtained when required in due course on commercially reasonable terms;
- 12) All insurance required to be maintained by the Borrower and the Project Company under the Loan or Project Documents has been obtained and is in full force and effect, other than insurance not reasonably required at such stage of the Project. All premiums due with respect thereto have been paid;
 - 13) Financial statements of the Borrower and Project Company:
 - a) Such latest financial statements, have (other than the pro forma statement provided on the Closing Date) been prepared in conformity with generally accepted accounting principles (“GAAP”) and present fairly, in all material respects, the financial condition of such party as of the date thereof,
 - b) All material liabilities, direct and contingent, of either such party are either disclosed in such balance sheets or have been disclosed in writing by the Borrower prior to the execution and delivery of the Loan Documents;
 - c) There are no undisclosed material liabilities, direct or contingent, of the Borrower or the Project Company, which have accrued since the date of such financial statements or such disclosure; and
 - d) Since the date of the balance sheet included with the most recent financial statements of the Borrower and the Project Company referred to in this clause, no event has occurred, and no condition exists, that has had, or could be expected to have, a Material Adverse Effect;
 - 14) The Base Case Projections discloses all material assumptions and was prepared in good faith and represents in the opinion of the Borrower reasonable projections at the time made of future performance (it being understood that projections contain significant uncertainty and actual results may differ significantly from projections);
 - 15) As of the Closing Date, the Parent owns 100% of the equity interest in the Borrower free and clear of all liens;
 - 16) As of the Closing Date, the Borrower is the managing member of the Project Company and owns []% of the equity interest in the Project Company free and clear of all liens;
 - 17) The Borrower has timely filed or caused to be filed all income tax returns and all other tax returns which are required to be filed by it and has paid or caused to be paid all taxes due pursuant to such returns or pursuant to any assessment received by the Borrower, except such taxes, if any, as are being contested;
 - 18) No Default or Event of Default has occurred and is continuing under the Loan Documents;
 - 19) No ERISA Event (to be defined) has occurred or is reasonably be expected to occur that, when taken together with all other such ERISA Events for which liability is reasonably expected to occur, could reasonably be expected to result in a Material Adverse Effect;
 - 20) None of the execution, delivery or performance by either such party of each of the Loan and Project Documents to which it is a

party violates or constitutes a default or requires consent by any other Person under any material governmental rule applicable to such person or the Project or any other material contractual obligation to which the Borrower is a party. None of the execution, delivery or performance of the Loan Documents to which either such party is a party results in, or requires, the creation or imposition of any lien on any of the Collateral or any other properties or revenues of the Borrower or the Project Company except for Permitted Liens;

- 21) Neither such party has filed an election pursuant to Treasury Regulation 301.7701-3(c) to be treated as an association taxable as a corporation;
- 22) Upon the execution and delivery thereof the Mortgage, security agreement, pledge agreements and other security documents will be effective to create legally valid and enforceable liens on the Collateral, and all necessary recordings and filings will be recorded and filed on or prior to the closing date such that they will constitute first-priority, perfected security interests in the Collateral, subject only to permitted liens; and
- 23) All material Project Documents entered into as of the Closing Date have been set forth on a schedule to the financing agreement; and
- 24) Borrower and/or Project Company owns all intellectual property necessary to construct and operate the Project in the manner contemplated by the Loan Documents and the Project Documents.

Affirmative Covenants:

Usual and customary affirmative covenants for transactions of this type (including customary exceptions and materiality thresholds), to be agreed to by Borrower on behalf of itself and the Project Company, including, without limitation, covenants as to use of proceeds, reporting (environmental, energy, operational, engineering, economic development, etc.), notice requirements, compliance with laws, payment of taxes, maintenance of insurance, financial statements, audit rights, preservation of corporate existence, maintenance of properties and licenses, operation of project, energy regulation, annual operating budget, separateness, environmental compliance, maintenance of all accounts (including reserve accounts), preparation of debt service coverage ratio, application of proceeds following casualty or condemnation, further assurances and such other covenants deemed appropriate by the Lender as a result of Lender's due diligence.

Negative Covenants:

Usual and customary for a transaction of this type (including customary exceptions and materiality thresholds), to be agreed to by Borrower on behalf of its and the Project Company, including without limitation covenants as to Contingent liabilities, limitation on liens, indebtedness, tax equity matters, changes in business, distributions, permitted investments, transactions with affiliates, transfers of equity interests, disposition of assets, amendments to project documents, change orders and completion, offsite storage, subsidiaries, accounts, accounting changes, capital expenditures, employees, project expansion, regulation of parties, ERISA, hazardous materials, abandonment of Project, assignments of rights or

obligations under Project Documents, use of Project site, name and location of Borrower, dissolution, partnerships, additional project documents and such other covenants deemed appropriate by the Lender as a result of Lender's due diligence review.

Events of Default:

Usual and customary defaults for a transaction of this type (including customary cure rights), including, without limitation, default provisions relating to failure to make payments, judgments, misstatements, bankruptcy/insolvency, cross-default, ERISA, breach of Project Documents, covenant breach by Borrower, invalidity of Loan Documents, loss of QF status, default in construction or schedule, security, loss of applicable permits, loss of collateral, destruction of the Project, change of control, repudiation of Parent obligations, loss of key man, achievement of commercial operation.

Mandatory Prepayments:

Mandatory repayment of all or a portion of the outstanding principal balance will be required:

- 1) When the Borrower receives insurance or condemnation proceeds and such proceeds are not used to replace or rebuild the Project with the terms and conditions of such utilization to be set forth in the Loan Documents;
- 2) With any proceeds from the any sale of assets (other than subject to certain permitted exclusions) or ownership interests in the Borrower or the Project Company;
- 3) If any Project Agreement is terminated early and a termination fee is received by the Borrower;
- 4) To the extent of funds on deposit in the Distribution Account, in the event that Distribution Conditions fail to be satisfied on two consecutive quarterly dates;
- 5) On any quarterly date, to the extent necessary, and solely to the extent of available cash at level **Fifth** of the Borrower Waterfall and on deposit in the Distribution Account, to cause the Borrower to achieve the Minimum DSCR; and
- 6) In the event that the Final Withdrawal Conditions fail to be achieved on or prior to the Date Certain.

Voluntary Prepayment:

Borrower may prepay the balance of the Loan together with all unpaid and accrued interest in whole or in part at any time. Any voluntary prepayment made prior to the second anniversary of the Final Withdrawal Date shall require payment, at the time of prepayment, of a prepayment premium in an amount equal to 2% of the amount prepaid.

Indemnification:

The Borrower shall indemnify the Collateral Agent, the Depositary Agent and the Lender and their respective officers, directors, agents, consultants and employees, from and against any and all losses, liabilities, expenses, claims, and damages arising from or relating to the Loan Documents, the

project documents and the Project and the release or presence of hazardous substances at the project site of the Project, except to the extent resulting from the gross negligence or willful misconduct of any person seeking indemnification as determined by a final, non-appealable judgment of a court of competent jurisdiction.

Costs & Expenses:

Sponsor shall be responsible for payment of all reasonable and documented costs and expenses of the Lender and its consultants and advisors incurred by such parties in connection with the negotiation and execution of the Loan Documents, regardless of whether the Borrower satisfies the conditions precedent for the closing date and/or the funding date. Lender will make good faith efforts to streamline transaction costs. From and after the Closing Date, the Borrower will be liable for certain out-of-pocket costs incurred by the Collateral Agent, the Depositary Agent and the Lender, provided that such costs are incurred in accordance with the terms of the Loan Documents.

Consultants:

Lender's' Counsel:	TBD
Lender's Independent Engineer ("IE"):	TBD
Insurance Consultant:	TBD
Title Insurer:	TBD

Governing Law:

State of New York.

**Waiver of Jury Trial;
Venue:**

Each party waives its right to a jury trial in respect of any dispute arising from this term sheet, a commitment letter or any of Credit Facility document. Any legal action or proceeding with respect to this term sheet, a commitment letter or any Credit Facility documents shall be brought exclusively in the state courts of the State of New York in accordance with NY CLS CPLR §505.

Publicity:

Lender or any of its affiliates may (i) disclose a general description of transactions arising under the loan documents for advertising, marketing, regulatory or other similar purposes and (ii) use Borrower's or Sponsor's name, logo or other indicia germane to such party in connection with such advertising, marketing or other similar purposes. Sponsor will be presented for its review with a preliminary draft of the transaction profile that Lender is required to post publicly in accordance with its regulatory requirements, and, subject to Borrower's approval, not to be unreasonably withheld, Lender may post the transaction profile, once finalized, on its website and in its publicly-filed metrics reports.

RFP 7 -- Attachment E

Summary of Indicative Financing Terms for [NAME] Portfolio

Portfolio - Senior Secured Construction Financing,
Back Leveraged Aggregation Financing and Term Loan

This term sheet is for discussion purposes only and has not been approved by New York Green Bank (“**NY Green Bank**”), a division of the New York State Energy Research & Development Authority (“**NYSERDA**”). Subject to NY Green Bank’s obligations under the New York Freedom of Information Law (see NY Public Officers Law, Article 6) or any regulatory request or legal obligation, this document and the contents herein are confidential and shall not be revealed to any party that does not have a need to know the contents for the purpose of negotiating and approving a potential financing involving NY Green Bank. This term sheet does not constitute an offer or agreement by NY Green Bank or commitment by NY Green Bank to enter into a financing agreement. The terms set forth herein, including indicative pricing terms, are not the complete terms and conditions of any financing agreement and are subject to withdrawal and change at any time. The final approval and completion of the proposed financing facility described in this term sheet will be dependent upon, among other things, the completion of satisfactory due diligence and document review by the NY Green Bank and the execution of definitive documentation agreeable to NY Green Bank, the terms of which may differ substantially from the terms set forth herein. The parties recognize that, neither party shall have any liability or obligation to the other as a result of this term sheet (other than in respect of the parties’ confidentiality obligation as provided above), it being understood that only such provisions as shall be set forth in any definitive documents shall have any legal effect.

Borrower; Parent: [NAME], [ORGANIZATIONAL INFORMATION], a special purpose entity established solely to manage and own equity in each of the Project Companies described below (the “**Borrower**”).¹⁵ Borrower is 100% owned by [NAME] (the “**Parent**”).

Project Companies: [LIST NAMES], [ORGANIZATIONAL INFORMATION], each a special purpose entity established solely for the development, construction, financing, ownership, operation and maintenance of the Projects described below. Each Project Company will be governed by a limited liability company operating agreement that shall provide as follows: [DESCRIBE OWNERSHIP INCLUDING ANY TAX EQUITY ARRANGEMENTS, BUYOUTS, FLIPS, MANAGEMENT ARRANGEMENTS, ETC.]. Each such Project Company shall guaranty the obligations of the Borrower under the Loan Documents, which guaranty shall be secured by all assets of such Project Company as further described below (the “**Project Level Security and Guaranty Arrangements**”). If required by tax equity investors in any Project Company, the Lender shall release the Project Level Security Package and Guaranty Arrangements provided by such Project Company upon the Final Withdrawal

¹⁵ Note that Applicant may request that structure include an intermediate holding company interposed between Borrower and the Project Companies, in which case conforming changes, satisfactory to the Lender, may be made to this term sheet.

Date and the making of an Aggregation Loan with respect to such Project Company.

Sponsor: [NAME] (“**Sponsor**”). Sponsor owns [100%] of the equity interests in Parent.

Projects and Portfolio Description: The Sponsor is developing a series of [#] solar photovoltaic (“**PV**”) generating facilities (each a “Project” and, collectively, the “**Portfolio**”) each of which to be located in New York State with an aggregate expected nameplate capacity of approximately [SPECIFY SIZE] and expected aggregate total annual production of [TBD] MWh/year. Power will be sold by each Project Company under a net metering contract (“**RNMCA**”) with a single RNMCA Counterparty satisfying the RNMCA Counterparty Criteria (as defined below). Total aggregate Project Costs (defined below) are expected to be approximately \$[TBD]. Detailed information with respect to each Project is as follows:

	Project Name	
	<u>[Project 1]</u>	<u>[Project 2]</u>
MW ¹⁶		
Estimated Project Costs		
RNMCA Counterparty		
Location		
Expected COD		

Projects may be removed from the Portfolio by the Applicant with the consent of the Lender, in its sole discretion. Applicant may substitute an alternative Project into the Portfolio, provided such alternative Project satisfies all of the terms and conditions as set forth herein and in the Loan Documents, provided the Lender’s costs and expenses related to such substitution are fully compensated by the Sponsor and the Lender’s various loan commitment shall be reduced if the Minimum DSCR or other debt sizing parameters set forth below fail to be achieved, it being understood that Lender shall not be obligated to increase its Total Construction Loan Facility Commitment (as defined below) in connection with any Project substitution.

Lenders: New York Green Bank, a division of the NYS Energy Research & Development Authority, together with any additional lenders party to the financing agreement from time to time.

Collateral Agent: [TDB]

¹⁶ Each Project in the Portfolio must be between 500kw-2MW.

Depository Agent: [TBD]

Documentation: The terms and conditions applicable to the Credit Facilities (defined below), including financial terms, representations and warranties, covenants, conditions, events of default and remedies will be contained in a financing agreement, upstream guaranties from each Project Company, promissory note and other customary transaction documentation, including security agreements, mortgages, equity pledge agreements, depository agreement, UCC financing statements and third-party consents to assignment (collectively, the “**Loan Documents**”) and legal opinions and an agreed-upon base case financial model. All such documentation shall be in form and substance satisfactory to the Borrower and the Lender.

Credit Facilities; Use of Funds: Credit Facilities to consist of the following:

Construction Loan Facility:

An up to \$[TBD] aggregate construction loan facility with final sizing based upon the assumptions contained herein (as modified by the results of the Lender’s due diligence) (the “**Total Construction Loan Facility Commitment**”). Individual sub-limits of the Total Construction Loan Facility Commitment will be established with respect to each Project in the Portfolio. Proceeds of the Construction Loans shall be used for the sole purpose of funding a portion of Project Costs for each Project. The Construction Loan Facility shall be secured by both the Borrower Security Package and each Project’s Project Level Security Package and Guaranty Arrangements.

Aggregation Loan Facility:

An up to \$[TBD] aggregate aggregation loan facility with final sizing based upon the assumptions contained herein (as modified by the results of the Lender’s due diligence). Proceeds of each Aggregation Loan shall be used for the sole purpose of refunding the Construction Loan made in respect of a Project upon the Final Withdrawal Date for such Project and subject to the terms and conditions specified herein and in the Loan Documentation. The Aggregation Loan Facility shall be secured by the Borrower Security Package and, subject to the requirements of any tax equity investor, each Project’s Project Level Security Package and Guaranty Arrangements.

Term Loan Facility:

An up to \$[TBD] aggregate term loan facility with final sizing based upon the assumptions contained herein (as modified by the results of the Lender’s due diligence). Proceeds of the Term Loan shall be used for the sole purpose of

refunding all Aggregation Loans, subject to the terms and conditions specified herein and in the Loan Documentation, upon the Final Withdrawal Date with respect to the last Project to achieve commercial operation within the Portfolio (the “**Last Final Withdrawal Date**”). The Term Loan Facility shall be secured by the Borrower Security Package and, subject to the requirements of any tax equity investor, each Project’s Project Level Security Package and Guaranty Arrangements.

Availability Period: The Lender’s commitment to make a Construction Loan and/or Aggregation Loan available to Borrower in respect of a Project to be included in the Portfolio, as applicable, will terminate on such Project’s “Construction Loan Outside Date (subject to certain Force Majeure events to be described in the Loan Documents) and “Date Certain,” respectively, set forth below:

<u>Project Name</u>	<u>Construction Loan Outside Date</u>	<u>Date Certain</u>
[Project 1]		
[Project 2]		

The Lender’s commitment to make the Term Loan shall terminate upon the latest Date Certain set forth above.

Date Certain: The “**Date Certain**” with respect to a Project to be determined by the Lender by reference to such Project’s construction schedule, budgeted capitalized interest and any relevant milestone dates in underlying project contracts and licenses.

Project Costs; Project Construction Budget: Project Costs associated with a Project, shall mean the reasonable development costs, land acquisition costs, cost of construction of such Project, capitalized interest, a reasonable development fee, funding of such Project’s allocable portion of the Debt Service Reserve Account and such Project’s allocable portion of the O&M Reserve Account required to be funded on or prior to such Project’s Final Withdrawal Date and transactional fees and expenses, in each case, in accordance with a construction budget for such Project, which shall include appropriate contingency amounts and such Project’s draw schedule, submitted to and approved by Lender, as updated or as otherwise amended from time to time, in each case with the prior written consent of Lender.

Final Maturity of Term Loan: [TBD] years from Last Final Withdrawal Date (as defined below).¹⁷

Project Equity: The Sponsor's aggregate equity contribution obligation¹⁸ with respect to the Portfolio shall be the greater of:

- 1) An amount equal to the total estimated Project Costs as of the Closing Date for all Projects included in the Portfolio less the sum of the Lender's Total Construction Loan Facility; and
- 2) [30]% of the total estimated Project Costs, as of the Closing Date, for all Projects in the Portfolio.¹⁹

Debt Sizing; Minimum DSCR: The Total Construction Loan Facility shall be sized, as of the Closing Date, as not to exceed the lesser of:

- 1) An amount, assuming full amortization of the Term Loan one year prior to the weighted average of the scheduled contract terms of the RNMCA's, which would yield a minimum annual Projected Debt Service Coverage Ratio not less than [1.35x P50] production and 1.15x 1 year P90 production (the "**Minimum DSCR**") as determined by a third-party consultant satisfactory to the Lender, and
- 2) [70]% of total estimated Project Costs for all Projects in the Portfolio.

Net Borrower Revenues; Borrower Revenues: With respect to any specified period, the difference between (A) Net Aggregate Project Company Revenues paid to or projected to be paid, as applicable, to the Borrower from all of the Project Company during such period ("**Borrower Revenues**") and (B) all reasonable costs and administrative expenses paid or projected to be paid, as applicable, by the Borrower during such period. All revenue and expense assumptions used at Financial Closing shall be determined in consultation with third-party consultants satisfactory to the Lender.

Net Aggregate Project Company Revenues; Aggregate Project Company Revenues: With respect to any specified period, the difference between (A) all cash flow paid or projected to be paid, as applicable, to all Project Companies during such period under the Projects' RNMCA's, assuming, in each case, a P90 production level and under any NY SUN PON incentive program involving the

¹⁷ Scheduled maturity of Term Loan required at least one year prior to the scheduled termination of the RNMCA included in the Portfolio with the shortest duration but no later than ten (10) years from the Last Final Withdrawal Date (as hereinafter defined).

¹⁸ NYSERDA Incentive Payments expected to be received by a Project during construction may be considered as "Project Equity" with respect to such Project, provided that Applicant shall be required to utilize cash equity as a bridge to actual receipt of such expected funds from NYSERDA.

¹⁹ To the extent that the Applicant expects to incorporate tax equity into the Portfolio or any Project's capitalization structure, Applicant should suggest requisite changes to the Term Sheet, including revisions to the ownership structure, debt/equity ratios and proposed forbearance terms, for the Lender's review and approval. Applicant shall be required to utilize cash equity as a bridge to any tax equity funding. Lender reserves all rights to revise proposed term sheet to further address any proposed tax equity structure.

Projects (“**Aggregate Project Company Revenues**”) and (B) all approved operation and maintenance expenses, approved administrative expenses, any ordinary course cash payments due to the tax equity investor by each of the Project Companies prior to the expected Buyout Date (as defined below) and the funding of any Project Company reserves, in each case as contemplated by the applicable Project Company Limited Liability Company Agreement and paid or projected to be payable, as applicable, by the Project Companies during such period. Notwithstanding the foregoing, on and after the Last Final Withdrawal Date, the projected cash flow with respect to any specified period for purposes of clause (A) above, shall be the lesser of (i) Aggregate Project Company Revenues and (ii) all cash flow projected to be paid to the Project Companies assuming P90 production level and energy payments based upon a forward curve of metered rates multiplied by []%²⁰ and under any NY SUN PON incentive program. All revenue and expense assumptions used at Financial Closing shall be determined in consultation with third-party consultants satisfactory to the Lender.

**Historic Debt Service Coverage Ratio;
Projected Debt Service Coverage Ratio:**

With respect to any specified period, the ratio of (A) Net Aggregate Borrower Revenues paid or projected to be paid, as applicable, to Borrower during such period to (B) Borrower’s scheduled amortization payments, interest and fees paid or projected to be paid, as applicable, to the Lender by the Borrower in respect of the Term Loan Facility during such period. For purposes of calculating the Minimum DSCR, Historic Debt Service Coverage Ratio or the Projected Debt Service Coverage Ratio, Net Aggregate Project Company Revenues and Net Aggregate Borrower Revenues shall exclude any (a) revenues generated from casualty insurance, condemnation proceeds or asset sales; (b) warranty payments or (c) payments from any affiliates of any Project Company (including any tax equity investors) that are gifts, loans, equity or capital contributions.

RNMCA Counterparty Criteria:

Threshold criteria, including but not limited to:

- 1) No less than []% of the RNMCA Counterparty’s load is represented by the RNMCA;
- 2) If RNMCA Counterparty is not rated or rated below investment grade, including, but not limited to:
 - a) No bankruptcy;
 - b) Proof of no late payments by such entity to utility;
 - c) In business or in operation for more than five years;
 - d) To provide the last three years of financial statements and IRS filings;
 - e) D&B minimum credit score; and

²⁰ The forward curve methodology to project future metered rates to be agreed upon and to be utilized for the relevant zone and utility service territory, equitable to all Project Sponsors

- f) Major rating agency service utilized to provide a counterparty credit score.
- 3) If RNMCA Counterparty is a governmental entity or a non-profit, the Lender shall evaluate on a case-by-case basis, with rated governments contractual agreements being evaluated on the basis of that governmental entity's legal ability to appropriate.

Upon the Construction Loan Funding Date for a Project, Applicant shall be required to demonstrate at least five potential replacement RNMCA Counterparties for such Project that each use at least [3]x such Project's expected production and otherwise satisfy the requisite criteria (subject to availability).

**Mandatory
Amortization:**

Each Aggregation Loan will amortize commencing upon the applicable Project's Final Withdrawal Date through and including the Last Final Withdrawal Date, quarterly with payments of the required principal repayment amount set forth on the amortization schedule to be attached to the Loan Documents.

The Term Loan will amortize, commencing upon the Last Final Withdrawal Date through and including the Final Maturity of the Term Loan Facility, quarterly with payments of the required principal repayment amount set forth on the amortization schedule to be attached to the Loan Documents.²¹

Interest Rate:

Loans under the Credit Facilities shall each bear interest at a rate equal to [TBD]%²².

Interest rate on the Term Loan will increase by 2.00% per annum starting on the fifth anniversary of the Last Final Withdrawal Date.

With respect to each Construction Loan, interest will be capitalized during the applicable construction period until such Project's Final Withdrawal Date, but not later than the Date Certain applicable to such Project. Except as set forth in the prior sentence, interest on all Loans will be payable in arrears quarterly, upon any refunding, prepayment, including due to acceleration, and at final maturity.

Upon the occurrence of a default under the Loan Documents, interest shall increase by 2.00%.

Fees:

Closing Fee: [1.50]% of the Total Construction Loan Facility Commitment, which shall be payable to the Lender upon Financial Closing.

²¹ Applicant to proposed quarterly amortization amounts.

²² Interest Rate to be determined by the Lender. Such rate may vary by Applicant based upon the Lender's review of the credit quality of the Sponsor and the RNMCA Counterparties, among other factors.

Agency Fee: [\$5,000 for each Project] at Financial Closing and thereafter, annually in advance, payable to the Lender.

Commitment Fee: [TBD]% of the undrawn portion of the Total Construction Loan Facility Commitment, which shall be payable to the Lender on a quarterly basis.

Borrower Security Package:

Customary back leveraged finance security package to be provided at Financial Closing including, but not limited to, a first-priority security interest in the following collateral:

- 1) All membership interests in the Borrower held by the Parent (including all economic, voting and managerial rights related thereto);
- 2) All membership interests in each Project Company held by the Borrower (including all economic, voting and managerial rights related thereto);
- 3) The contract rights, accounts receivable, bank accounts, general intangibles and all other assets of the Borrower;
- 4) All agreements entered into by the Borrower;
- 5) All insurance policies and proceeds thereof as well as condemnation proceeds received by the Borrower;
- 6) All revenue, accounts with respect to the Portfolio payable to the Borrower, collateral accounts and any cash therein held by the Borrower (including all undisbursed loan proceeds on deposit in the Construction Account);
- 7) All accounts receivable and general intangibles of the Borrower;
- 8) All rights the Borrower, the Parent and the Sponsor have in any equity capital contribution agreement; and
- 9) All other real or personal property of the Borrower (including cash and financial instruments).

Project Level Security Package and Guaranty Arrangements:

On the Construction Loan Funding Date for a Project, the applicable Project Company will be required to provide a secured guaranty of all of the Borrower's obligations under the Loan Documents (subject to customary fraudulent conveyance savings provisions). Such Guaranty to be secured by a customary project finance security package including, but not limited to, a first-priority security interest in the following collateral:

- 1) The real property rights and all inventory, machinery and equipment comprising the Project;
- 2) The contract rights, accounts receivable, bank accounts, general intangibles and all other assets of the Project Company;
- 3) All agreements entered into by the Project Company;
- 4) All governmental approvals for the Project, to the extent assignable as collateral;
- 5) All insurance policies and proceeds thereof payable in respect of the Project as well as condemnation proceeds;

- 6) All revenue, accounts with respect to the Project, collateral accounts and any cash therein held by the Project Company (including all undisbursed loan proceeds on deposit in the Construction Account);
- 7) All accounts receivable and general intangibles of the Project Company;
- 8) All rights the Project Company may have in any equity capital contribution agreement; and
- 9) All other real or personal property of the Project Company (including cash and financial instruments).

Upon the making of an Aggregation Loan to Borrower in respect of a Project, if required by tax equity investors in such Project, Lender shall be required to release such Project Company from its Guaranty and terminate such Project's Project Level Security Package.

Reserve Accounts:

Debt Service Reserve Account:

Equal to the maximum aggregate amount of Debt Service over any [9]-month period within the tenor of the Term Loan Facility. "Debt Service" is defined as the sum of fees, interest and principal due in such period as set forth in the amortization schedule. The Debt Service Reserve Account shall be considered a Project Cost to be funded upon the Final Withdrawal Date utilizing both loan proceeds and equity, in proportion to the overall Debt/Equity ratio. Equity to support its proportionate funding obligation on the Construction Loan Funding Date applicable to each Project in respect of such Project's allocable portion of the reserve requirement in the form of cash or provision of a letter of credit or guarantee, in each case, satisfactory to the Lender in its sole discretion.

O&M Reserve Account:

Equal to the maximum aggregate amount of O&M expenses over any [12] month period within the tenor of the Term Loan Facility, to be funded as provided above in the case of the Debt Service Reserve Account.

Inverter Replacement Reserve Account:

Inverter Replacement Reserve Account to be determined based on diligence review (including inverter warranty terms) and IE (as defined below) input, which account shall be funded following each Project's Final Withdrawal Date with Borrower Revenues in accordance with the Borrower Waterfall. The Inverter Replacement Reserve Account will be sized and funded so as to be fully funded in advance of the end of the expected life of the inverters.

Buyout Reserve Account:

In the event that the Borrower may or shall be required to buyout the equity held by a tax equity investor in any Project Company following the recapture

period with respect to such Project Company, such acquisition date, the “**Buyout Date**”) and provided that such Buyout Reserve Account is required by the Lender in its sole discretion, such account shall be funded to required levels following each Project’s Final Withdrawal Date with Borrower Revenues in accordance with the Borrower Waterfall. The Buyout Reserve Account will be sized and funded so as to be fully funded in advance of the period specified for such buyout in the applicable Project Company’s Limited Liability Company Agreement.

Accounts; Depositary Agreement:

Each Project Company, the Borrower, the Lender and the Depositary Agent shall be party to a Depositary Agreement that shall perfect the Lender’s security interests over the various accounts established and maintained thereunder. Terms and conditions of withdrawals from such Accounts to be customary, including provision of requisite certifications by the Borrower.

Borrower Waterfall:

Borrower Revenues (which, pursuant to the depositary agreement, shall be required to be deposited directly into a controlled account) shall be applied as follows:

First, on a monthly basis, to the payment of fees, indemnities and other expenses due and payable to the Lender, the Depositary Agent and the Collateral Agent under any Credit Facility;

Second, quarterly, to the payment of interest due and payable to the Lender under any Credit Facility;

Third, quarterly, to the payment of principal under any Loan Facility in the amount of the Mandatory Amortization for such period;

Fourth, quarterly, to the funding of all Reserve Accounts up to the reserve requirements then in effect;

Fifth, quarterly, to the prepayment of principal under the Term Loan Facility solely to extent necessary to cause the Projected Debt Service Coverage Ratio as calculated on such quarterly date with respect to the balance of the term of the Term Loan to equal the Minimum DSCR; and

Sixth, quarterly, as a cash distribution to the Parent, so long as the below Distribution Conditions are satisfied.

**Distribution
Conditions:**

Distributions to Parent (including repayment of affiliate loans or similar payments to be described in the Loan Documents) shall be permitted to be made by the Borrower on a quarterly basis provided:

- 1) The Term Loan shall have been made to Borrower;
- 2) No Default or Event of Default outstanding;
- 3) No Material Adverse Effect has occurred;
- 4) Reserve Accounts are fully funded to then-required levels;
- 5) The Borrower's Historic Debt Service Coverage Ratio as determined as of such quarterly date with respect to the prior 12-month period shall be at least [1.35:1:00]; and
- 6) The Borrower's Projected Debt Service Coverage Ratio as determined as of such quarterly date with respect to the following 12-month period shall be at least [1.35:1:00].

Notwithstanding the foregoing, provided that no Default or Event of Default exists and is continuing, cash receipts by the Borrower constituting tax equity contributions and/or NYSERDA incentive payments specifically bridged by cash equity contributions (or the subject of acceptable credit support therefore previously provided by, or on behalf of, the Sponsor) may be distributed.

Funding Protection:

Customary for transactions of this type, breakage costs, gross-up for withholding, compensation for increased costs and compliance with capital adequacy and other regulatory restrictions.

**Conditions Precedent
to Financial Closing:**

Certain conditions to Financial Closing as are customary for this type of transaction, including the following:

- 1) The Loan Documents shall have been executed and be in full force and effect;
- 2) The Borrower shall have provided evidence that all Project Equity for the Portfolio shall have been contributed to the Borrower or, alternatively, shall be supported by binding commitments with respect thereto from the Sponsor, the credit of which shall be satisfactory to the Lender in its sole discretion (or alternative arrangements as to such equity funds such as a letter of credit shall have been received) and, in each case, on terms and conditions satisfactory to the Lender; it being understood that in any event no Construction Loans shall be made available to the Borrower with respect to any Project prior to full contribution and utilization of Project Equity allocable to such Project (except in the case of tax equity, in which case, such deferred contributions shall be bridged by cash equity contributions and the timing and other terms and conditions of such tax equity contributions shall be acceptable to the Lender in its sole discretion);
- 3) Delivery of each Project's draft Project Construction Budget and a rolled-up version of the same;
- 4) All Project Documents, in respect of each Project, shall be in form acceptable to Lender and shall have either been executed or meet

certain threshold requirements as defined in the Request for Proposal Eligibility Requirements. **“Project Documents”** to include, without limitation, real estate acquisition/lease arrangements, a fixed-price EPC agreement (or alternatively, fixed-price equipment purchase orders together with a fixed-price balance of plant contract)(in each case containing satisfactory warranties); RMNCA and/or other applicable revenue agreements and long term, NYSun PON arrangements, operations, maintenance and administration agreement(s);

- 5) For each Project, a Coordinated Electric System Interconnection Review (**“CESIR”**) has been completed and all necessary agreements shall be in place with the interconnecting utility and the interconnection costs shall be in the Project Construction Budget;
- 6) Each such Project Company shall have acquired all necessary real property rights to the satisfaction of the Lender, or shall have demonstrated to the satisfaction of the Lender a binding option agreement with respect to such real property rights;
- 7) For each Project evidence that Borrower shall have completed and submitted an application to the NY-Sun Incentive Program, unless Borrower shall have certified as to any Project that Borrower will not be applying under the NY-Sun program for such Project;
- 8) For the Borrower and Parent, the necessary lien searches performed and filings and recordings made to perfect the first-priority security interests, including the delivery of all original membership interest certificates as contemplated by the equity pledge agreement(s);
- 9) For each Project, unless otherwise waived by the Lender, confirmation that each such Project is entitled to a property tax exemption and is not located in a jurisdiction in which there is a solar moratorium;
- 10) A certificate of the Borrower that all representations and warranties made by the Borrower in the Loan Documents shall be true and correct in all material respects;
- 11) A certificate of the Insurance Consultant in favor of the Lender stating that all required insurance policies obtainable at that time in respect of the Borrower are in full force and effect, the premiums due thereon have been paid, such insurance shall not be subject to cancellation without prior notice to the Lender and that such policies otherwise conform with the requirements specified in the Loan Documents;
- 12) No Default or Event of Default shall have occurred and be continuing under the Loan Documents;
- 13) No action, suit or proceeding or investigation shall have been instituted or threatened by a person or governmental entity with respect to the Borrower;
- 14) A financial model demonstrating projected compliance by the Portfolio during the term of the Term Loan with the Minimum DSCR, based on technical and other assumptions confirmed as reasonable by the IE (the **“Base Case Projections”**);
- 15) Audited annual financial statements for each of the Sponsor, Parent, Borrower and each expected RNMCA Counterparty and most recent pro forma balance sheet of Borrower;
- 16) Legal opinions shall have been received as to the following matters as to the Borrower and Parent:
 - a) Duly organized and validly existing in good standing under the laws of the State of [TBD] and is authorized to do business in New York;

- b) Has the power and authority to execute and deliver and to perform its obligations under the Financing Document and Project Documents to which it is intended to be a party;
 - c) The execution and delivery of the Loan Documents and Project Documents to which it is intended to be a party have been duly authorized by all necessary action on its part;
 - d) The Loan Documents and Project Documents to which such parties are intended to be a party constitute the legal, valid and binding obligation thereof, enforceable against them in accordance with their terms subject to exceptions for bankruptcy and equitable principles;
 - e) No governmental approvals are required for the execution and delivery by it of the Loan Documents and Project Documents to which such parties are intended to be a party, other than those that have been obtained;
 - f) The execution and delivery, and the performance by such parties of their obligations under, the Loan Documents and Project Documents do not violate its [certificate of incorporation], or violate [Delaware General Corporation Law or laws of the State of New York];
 - g) Is not an investment company required to register under the Investment Borrower Act of 1940, as amended;
 - h) Each security document is effective to create a security interest under the Uniform Commercial Code in the right, title and interest of each such party in, to and under the personal property of each such party purported to be subject to the lien of such security document in which a security interest may be created under the Uniform Commercial Code, as collateral security for the secured obligations specified in such security document; and
 - i) There are no proceedings pending or overtly threatened in writing against either such party other than as specified;
- 17) Customary incumbency certificates, good standing certificates, resolutions and formation documents of the Borrower and Parent shall have been received;
- 18) All required Accounts shall have been established and be subject to the lien under the Loan Documents for the benefit of the Lender;
- 19) At least one Project in the Portfolio shall have satisfied its Funding Conditions and Withdrawal Conditions;
- 20) Documentation requested by Lender in connection with Patriot Act compliance; and
- 21) For each Project, a detailed construction schedule of the Project in form and substance satisfactory to the Lender.

Material Adverse Effect:

The definition of “Material Adverse Effect” in the Loan Documents shall mean the effect of any event or circumstance that, taken alone or in conjunction with other events or circumstances, has a material adverse effect (a) (i) on the business, operations, properties, prospects or condition (financial or otherwise) of the Borrower, the Parent, each Project Company or any equity investor, (ii) on the value of the collateral, (iii) on the enforceability of any Loan Document, or (iv) on the validity or priority of the Lender’s security interests in any collateral; (b) on the ability of the Borrower, the Parent, each Project Company or any equity investor to perform its obligations under the Loan Documents or equity contribution arrangements; or (c) on the ability of the

Lender to enforce or collect on any payment obligations or to realize upon the collateral.

Funding Conditions under the Construction Loan Facility for each Project:

Upon satisfaction of the conditions specified below (collectively, the “**Funding Conditions**”) with respect to a Project (such Project’s “**Construction Loan Funding Date**”), upon the requisition of the Borrower, Lender shall fund a Construction Loan for such Project in a single draw into the “Construction Account” as established for such Project under the Depositary Agreement:

- 1) Financial Closing shall have occurred;
- 2) All Withdrawal Conditions shall have been satisfied;
- 3) The Project Level Security Package and Guaranty with respect to such Project shall have been executed and be in full force and effect;
- 4) For each Project, third-party consents to collateral assignment with respect to the Project Documents in forms acceptable to Lender shall have been executed and be in full force and effect;
- 5) All Project Documents, in respect of such Project, shall be in form acceptable to Lender shall have been executed and be in full force and effect, with no defaults or events of default thereunder and all conditions precedent satisfied by each of the parties thereto;
- 6) For such Project, unless otherwise approved by the Lender,²³ receipt of satisfactory expert studies of the Project from the IE and the Insurance Consultant:
 - a) The IE’s report shall evaluate, including, but not limited to, (i) the technical aspects of the Project including a review of the Base Case Projections, (ii) the status of permits, (iii) a solar resource assessment that includes a final energy production analysis for the Project that is consistent with the Base Case Projections and an analysis of forecasts of overall power production during the life of the Project, and (iv) confirms that the Project as designed complies with the technical system requirements of the Project Documents, in form and substance satisfactory to Lender; and
 - b) The Insurance Consultant’s report shall (i) assess the adequacy of the insurance requirements in the Project Documents; (ii) recommend the insurance requirements to be included in the Loan Documents; and (iii) provide a certificate that the insurance package, as a whole, is appropriate to protect the Project and the insurance required in the Financing and Project Documents is in place or can be commercially obtained;
- 7) For such Project, the [EPC Contractor] [BOP Contractor] shall have provided (i) the [construction security] and (ii) additional financial security [in a form to be agreed upon];
- 8) No state or local mortgage tax, stamp duty or similar fee, tax or other governmental charge (other than customary nominal per page or per document filing and recording fees imposed by law) is required to be paid in the State of New York in connection with the execution, delivery, filing, recording or enforcement of the Mortgage executed by such Project Company;
- 9) Legal opinions shall have been received as to the following matters as to such Project Company:

²³ In the case of a portfolio with multiple similar Projects, “representative” consultant reports may be acceptable.

- a) Duly organized and validly existing in good standing under the laws of the State of [TBD] and is authorized to do business in New York;
 - b) Has the power and authority to execute and deliver and to perform its obligations under the Financing Document and Project Documents to which it is a party;
 - c) The execution and delivery of the Loan Documents and Project Documents to which it is a party have been duly authorized by all necessary action on its part;
 - d) The Loan Documents and Project Documents to which such Project Company is intended to be a party constitute the legal, valid and binding obligation thereof, enforceable against it in accordance with their terms subject to exceptions for bankruptcy and equitable principles;
 - e) No governmental approvals are required for the execution and delivery by it of the Loan Documents and Project Documents to which such Project Company is a party, other than those that have been obtained;
 - f) All environmental permits necessary for the construction and operation of such Project have been obtained, such permits are in full force and effect, and all applicable appeal periods have expired;
 - g) The execution and delivery, and the performance by such Project Company of its obligations under, the Loan Documents and Project Documents do not violate its [certificate of incorporation], or violate [Delaware General Corporation Law or laws of the State of New York];
 - h) Is not an investment company required to register under the Investment Borrower Act of 1940, as amended;
 - i) Each security document is effective to create a security interest under the Uniform Commercial Code in the right, title and interest of such Project Company in, to and under the personal property of such Project Company purported to be subject to the lien of such security document in which a security interest may be created under the Uniform Commercial Code, as collateral security for the secured obligations specified in such security document;
 - j) Each Mortgage is in sufficient form for recording in the State of New York, or any political subdivision thereof, and upon such recording shall constitute a perfected security interest in the interests described therein;
 - k) There are no proceedings pending or overtly threatened in writing against either such Project Company other than as specified; and
 - l) No governmental approval or other authorization under the laws of the State of New York, or any political subdivision thereof, is required in connection with the execution, delivery, filing, recording or enforcement of the Mortgage or the indebtedness secured thereby;
- 10) No state or local mortgage tax, stamp duty or similar fee, tax or other governmental charge (other than customary nominal per page or per document filing and recording fees imposed by law) is required to be paid in the State of New York in connection with the execution, delivery, filing, recording or enforcement of such Project's Mortgage;
- 11) No action, suit or proceeding or investigation shall have been instituted or threatened by a person or governmental entity with respect to such Project;

- 12) All required Accounts with respect to such Project Company shall have been established and be subject to the lien under the Loan Documents for the benefit of the Lender, and the Borrower shall have funded the portion of the Debt Service Reserve Account and the O&M Reserve Account allocable to such Project to the required initial balances (or provided liquid security therefore satisfactory to the Lender);
- 13) There shall not have been any Material Adverse Effect;
- 14) For such Project, all applicable material governmental permits and approvals listed in Part I of the Permitting Schedule of the Loan Agreement are in place and non-appealable, including FERC QF self-certification, and a SEQRA finding as to no significant adverse environmental impact;
- 15) For such Project, the necessary lien searches performed and filings and recordings made to perfect the first-priority security interests, including the mortgage and delivery of all original membership interest certificates as contemplated by the equity pledge agreement(s);
- 16) A certificate of the Borrower that all representations and warranties made by the Borrower in the Loan Documents as relates to such Project Company shall be true and correct in all material respects;
- 17) A certificate of the Insurance Consultant in favor of the Lender stating that all required insurance policies obtainable at that time are in full force and effect with respect to such Project Company, the premiums due thereon have been paid, such insurance shall not be subject to cancellation without prior notice to the Lender and that such policies otherwise conform with the requirements specified in the Loan Documents;
- 18) If such Project is considered a public work covered by Article 8 of the NY Labor Law or a building service agreement covered by Article 9 thereof by reason of the involvement of a public entity as host or RMNCA Counterparty, then Borrower, Project Company and Sponsor will, during the construction of such Project, comply (and cause each contractor and subcontractor to comply), and will certify compliance, with all State of New York prevailing wage and hours laws and regulations;
- 19) Audited annual financial statements for such Project Company, RNMCA Counterparty, EPC Contractor and most recent pro forma balance sheet of Borrower;
- 20) Copies of any required "life of loan" Federal Emergency Management Agency Standard Flood Hazard Determination (FEMA Form 81-93) for each parcel which constitutes a portion of the Site. If any improvement to the Site is located in a special flood hazard area, a notification to the Borrower ("Flood Notice") shall be delivered and (if applicable) the Flood Notice shall include notification to the Borrower that flood insurance coverage under the National Flood Insurance Program ("NFIP") is not available because the community does not participate in the NFIP;
- 21) An ALTA survey shall have been provided with respect to the Project Site and all related easements and rights-of-way;
- 22) An ALTA 2006 form extended coverage policy of title insurance shall have been received, together with such endorsements and reinsurance as required by Lender, in the amount of the Loan and issued by the Title Company;
- 23) Lender shall have received the schedule for completion for such Project by the applicable interconnection utility of the upgrades, such

- upgrades to demonstrate interconnection points necessary to handle the total output of such Project consistent with the Project Schedule;
- 24) All deposits required to be made to the applicable interconnection utility in respect of interconnection costs or otherwise shall have been made in their entirety and evidenced to Lender;
 - 25) All Project Equity shall have been contributed and used for the payment of Project Costs;²⁴
 - 26) Lender shall have received a copy of the full "Notice to Proceed" (as defined in the BOP Contract, EPC Contract and/or equipment supply contract, as applicable) issued to the BOP Contractor, EPC Contractor and/or equipment supplier under the applicable contract;
 - 27) Customary incumbency certificates, good standing certificates, resolutions and formation documents of such Project Company shall have been received; and
 - 28) There shall not have occurred any material adverse change in such Project Budget, the Project Schedule or the Base Case Projections for such Project, in the economics or feasibility of constructing or operating such Project, or in the financial condition, business or property of any applicable third-party project participant.

**Withdrawal
Conditions:**

Funds on deposit in a Project's "Construction Account" may be withdrawn by the Borrower for contribution to the applicable Project Company for payment of Project Costs, no more than once each calendar month, upon receipt of a Withdrawal Certificate and upon satisfaction of the following (the "**Withdrawal Conditions**"):

- 1) Each representation and warranty of Parent, Borrower and the applicable Project Company with respect to such Project set forth in the Loan Documents shall be true and correct in all material respects (or if such representation and warranty relates solely as of an earlier date, as of such earlier date);
- 2) No Default or Event of Default shall have occurred and be continuing under the Loan Documents;
- 3) All applicable material permits and governmental approvals required or reasonably necessary to have been obtained as of such date given the state of construction of the Project shall have been obtained, are in full force and effect and not subject to appeal;
- 4) The Project Documents (including any NYSERDA agreement) and third-party consents to assignment with respect to such Project shall each remain in full force and effect, with Borrower in compliance with the terms and conditions thereof and no defaults or events of default thereunder;
- 5) No action, suit or proceeding or investigation shall have been instituted or threatened by any person or governmental entity with respect to such Project;
- 6) There shall not have been any Material Adverse Effect;
- 7) Borrower shall have demonstrated to the satisfaction of the Lender (in consultation with the IE) that sufficient funds remain available to such Project Company to complete construction on or prior to the Date Certain with respect to such Project;

²⁴ Applicant to bridge any committed but unfunded tax equity contributions with cash equity.

- 8) No change in tax law impacting any tax equity investors' forward contribution commitments;
- 9) Borrower shall have certified, with respect to such Project, that (A) all applicable milestones have been met in accordance with the Project Schedule; (B) all work done on such Project is being built in a good and workmanlike manner in accordance with the Project Plan, Project Construction Budget, the BOP or EPC Contract (as applicable) and the IE Report, (C) bring down of all representations and warranties with respect to such Project; (D) Project will achieve Commercial Operation no later than the Date Certain with respect to such Project;
- 10) IE Certificate as to matters in clauses 7 and 9 above;
- 11) Lender shall have received copies of executed lien releases and there has not been filed against, or served upon Borrower or such Project (or any part thereof) notice of or application for any Lien, claim of Lien or attachment upon or claim affecting the right to receive payment of any of the moneys payable to any of the Persons named on such request which has not been released, other than Permitted Liens (to be agreed);
- 12) If such Project is considered a public work covered by Article 8 of the NY Labor Law or a building service agreement covered by Article 9 thereof, then Borrower by reason of the involvement of a public entity as host or RMNCA Counterparty, such Project Company and Sponsor will, during the construction of such Project, comply (and cause each contractor and subcontractor to comply), and will certify compliance, with all State of New York prevailing wage and hours laws and regulations;
- 13) All Lenders fees and costs have been paid; and
- 14) Other standard conditions precedent to a withdrawal.

**Conditions to Final
Withdrawal; Final
Withdrawal Date and
Funding of
Aggregation Loans:**

Borrower's final withdrawal of funds on deposit in a Project's "Construction Account" and the making of an Aggregation Loan with respect to such Project shall be subject to satisfaction of the following conditions with respect to such Project ("**Final Withdrawal Conditions**"):

- 1) All Withdrawal Conditions shall have been satisfied;
- 2) The date of such final withdrawal shall be on or before such Project's Date Certain;
- 3) Funding of any and all tax equity contributions with respect to such Project;
- 4) All required project accounts shall have been established and be subject to the lien under the Loan Documents for the benefit of the Lender, and the Borrower shall have funded an allocable portion of the Debt Service Reserve Account, the O&M Reserve Account, the Inverter Replacement Reserve Account and, if applicable, the Buyout Reserve Account, each with the required initial balances;
- 5) Borrower certification (as confirmed by the IE) as to the achievement of Substantial Completion and Commercial Operation and list of Punch List Items necessary for such Project to achieve Final Completion;
- 6) Evidence that such Project is capable of operating safely and in compliance with the technical requirements of the material Applicable Permits and Prudent Utility Practice (as confirmed by the IE);

- 7) All warranties under the BOP/EPC Agreement and warranties covering the modules and inverters, are in full force and effect on the date of Substantial Completion, subject to the warranty periods and other terms and conditions of each such warranty, and have been assigned to the applicable Project Company;
- 8) A completion account has been fully funded in the amount equal to 150% of the Punch List amount;
- 9) No material claims or disputes between the applicable Project Company (or its affiliates) and the EPC/BOP Contractor and/or any equipment supplier or any of their respective subcontractors shall be pending;
- 10) Written confirmation by the Insurance Consultant as to such matter as requested by the Lender, including that all then required insurance policies are in full force and effect;
- 11) As Built Survey and bring down of title insurance report; and
- 12) With respect to the Last Final Withdrawal Date only, updated Base Case Projections to reflect any material changes to operating expenses and cash flow for such Project (after giving effect the actual operating capacities of the Project and any material changes to the projected operating performance of the Project), which updated Base Case Projections shall indicate projected compliance by the Borrower with the Minimum DSCR during the term of the Term Loan.

The date upon which all Final Withdrawal Conditions are satisfied with respect to a Project, as determined by the Lender, shall be referred to herein as such Project's "**Final Withdrawal Date**"

Conditions to Term Loan:

The making of the Term Loan by the Lender shall be subject to satisfaction of the following conditions with respect to such Project ("**Term Loan Conditions**"):

- 1) All Final Withdrawal Conditions for each of the Projects shall have been satisfied;
- 2) Each representation and warranty of Parent and Borrower set forth in the Loan Documents shall be true and correct in all material respects (or if such representation and warranty relates solely as of an earlier date, as of such earlier date);
- 3) There shall not have been any Material Adverse Effect;
- 4) No Default or Event of Default shall have occurred and be continuing under the Loan Documents; and
- 5) Updated Base Case Projections to reflect any material changes to operating expenses and Portfolio Revenues, which updated Base Case Projections shall indicate projected compliance by the Borrower with the Revenues Test during the term of the Term Loan.

Representations and Warranties as to Borrower:

The Borrower shall make the following representations and warranties as to itself on the Closing Date, each Construction Loan Funding Date, each Withdrawal Date and the Term Loan funding date (subject to qualifications and thresholds to be agreed):

- 1) Is duly formed, validly existing and in good standing under the laws of the jurisdiction of its organization and is in good standing in its jurisdiction of organization and in New York;
- 2) Has full power and authority to conduct its business as now conducted and as proposed to be conducted by it and to execute, deliver and perform its obligations under the Loan and Project Documents to which it is a party;
- 3) All necessary action required to authorize the execution, delivery and performance of the Loan and Project Documents has been duly and effectively taken;
- 4) Each of the Loan and Project Documents has been duly authorized, executed and delivered and constitutes a legal, valid and binding obligation of the Borrower, enforceable against such party in the State of New York in accordance with the terms thereof;
- 5) Except as disclosed, the Borrower is in material compliance with any governmental rule (including any environmental law) applicable to the Borrower, and with the material terms of all other governmental approvals obtained by it;
- 6) Borrower has not engaged in any business other than the ownership, construction, operation of and financing of the Portfolio and the activities related or incident thereto, and neither party has any obligations or liabilities other than those directly related to the conduct of such business;
- 7) The Borrower, has been, in material compliance with environmental laws; there are no past, pending or, to the Borrower's actual knowledge, threatened environmental claims against the Borrower, that could be expected to result in a Material Adverse Effect, and neither the Borrower nor, to the Borrower's actual knowledge, any other Person, has used, released or discharged, generated or stored any hazardous material at any Project Site, and to the Borrower's actual knowledge, there are no hazardous materials used or present at any Project Site except, in either case, in compliance with applicable environmental laws;
- 8) Except as disclosed, no governmental approval is required to be obtained by any such party in connection with:
 - a) the execution and delivery of, and performance by any such party of its respective obligations, and the exercise of its rights, under Project and Loan Documents to which it is a party; or
 - b) the validity and enforceability the Project Documents;
- 9) All insurance required to be maintained by the Borrower under the Loan or Project Documents has been obtained and is in full force and effect, other than insurance not reasonably required at such stage of the Project. All premiums due with respect thereto have been paid;
- 10) Financial statements of the Borrower and each Project Company:
 - a) Such latest financial statements, have (other than the pro forma statement provided on the Closing Date) been prepared in conformity with generally accepted accounting principles ("**GAAP**") and present fairly, in all material respects, the financial condition of such party as of the date thereof,
 - b) All material liabilities, direct and contingent, of any such party are either disclosed in such balance sheets or have been disclosed in writing by the Borrower prior to the execution and delivery of the Loan Documents, and

- c) There are no undisclosed material liabilities, direct or contingent, of the Borrower or any Project Company, which have accrued since the date of such financial statements or such disclosure;
 - d) Since the date of the balance sheet included with the most recent financial statements of the Borrower and each Project Company referred to in this clause, no event has occurred, and no condition exists, that has had, or could be expected to have, a Material Adverse Effect;
- 11) The Base Case Projections disclose all material assumptions and was prepared in good faith and represents in the opinion of the Borrower reasonable projections at the time made of future performance (it being understood that projections contain significant uncertainty and actual results may differ significantly from projections);
 - 12) As of the Closing Date, the Parent owns 100% of the equity interest in the Borrower free and clear of all liens;
 - 13) As of the Closing Date, the Borrower is the managing member of each Project Company and owns []% of the equity interest in each such Project Company free and clear of all liens;
 - 14) The Borrower has timely filed or caused to be filed all income tax returns and all other tax returns which are required to be filed by it and has paid or caused to be paid all taxes due pursuant to such returns or pursuant to any assessment received by the Borrower, except such taxes, if any, as are being contested;
 - 15) No Default or Event of Default has occurred and is continuing under the Loan Documents;
 - 16) No ERISA Event (to be defined) has occurred or is reasonably be expected to occur that, when taken together with all other such ERISA Events for which liability is reasonably expected to occur, could reasonably be expected to result in a Material Adverse Effect;
 - 17) None of the execution, delivery or performance by Borrower of each of the Loan and Project Documents to which it is a party violates or constitutes a default or requires consent by any other Person under any material governmental rule applicable to such person or the Project or any other material contractual obligation to which the Borrower is a party. None of the execution, delivery or performance of the Loan Documents to which either such party is a party results in, or requires, the creation or imposition of any lien on any of the Collateral or any other properties or revenues of the Borrower;
 - 18) Borrower has not filed an election pursuant to Treasury Regulation 301.7701-3(c) to be treated as an association taxable as a corporation;
 - 19) Upon the execution and delivery of all collateral documents security agreements, pledge agreements, such documents will be effective to create legally valid and enforceable liens on the Collateral, and all necessary recordings and filings will be recorded and filed on or prior to the closing date such that they will constitute first-priority, perfected security interests in the Collateral, subject only to permitted liens; and
 - 20) All material Project Documents entered into as of the Closing Date have been set forth on a schedule to the financing agreement.

Representations and Warranties as to each Project Company:

The Borrower shall make the following representations and warranties as to itself and the applicable Project Company, on such Project's Construction Loan Funding, each Withdrawal Date applicable to such Project Company and

the Term Loan funding date (subject to qualifications and thresholds to be agreed):

- 1) Is duly formed, validly existing and in good standing under the laws of the jurisdiction of its organization and is in good standing in its jurisdiction of organization and in New York;
- 2) Has full power and authority to conduct its business as now conducted and as proposed to be conducted by it and to execute, deliver and perform its obligations under the Loan and Project Documents to which it is a party;
- 3) All necessary action required to authorize the execution, delivery and performance of the Loan and Project Documents has been duly and effectively taken;
- 4) Each of the Loan and Project Documents has been duly authorized, executed and delivered and constitutes a legal, valid and binding obligation of the Borrower and such Project Company, enforceable against such party in the State of New York in accordance with the terms thereof;
- 5) Except as disclosed, the Borrower, such Project Company and such Project are in material compliance with any governmental rule (including any environmental law) applicable to the Borrower, each such Project Company or each such Project, and with the material terms of all other governmental approvals obtained by it;
- 6) No action or other proceeding is pending or, to the Borrower's actual knowledge, threatened against or affecting, such Project Company or any Project or any material part thereof, which, if adversely determined, would have a Material Adverse Effect;
- 7) Such Project Company has a [valid leasehold interest in the Project Site,] valid fee title in all other elements of such Project and good title in all other property it purports to own free and clear of liens, subject to permitted liens and the permitted encumbrances;
- 8) No such party has engaged in any business other than the ownership, construction, operation of and financing for such Project and the activities related or incident thereto, and neither party has any obligations or liabilities other than those directly related to the conduct of such business;
- 9) The Borrower, such Project Company and such Project are, and have been, in material compliance with environmental laws; there are no past, pending or, to the Borrower's actual knowledge, threatened environmental claims against the Borrower, such Project Company or such Project that could be expected to result in a Material Adverse Effect, and neither the Borrower nor, to the Borrower's actual knowledge, any other Person, has used, released or discharged, generated or stored any hazardous material at any Project Site, and to the Borrower's actual knowledge, there are no hazardous materials used or present at such Project Site except, in either case, in compliance with applicable environmental laws;
- 10) Except as disclosed, no governmental approval is required to be obtained by any such party in connection with:
 - a) the execution and delivery of, and performance by any such party of its respective obligations, and the exercise of its rights, under Project and Loan Documents to which it is a party, or
 - b) the validity and enforceability the Project Documents;

- 11) All material governmental approvals required to construct, own, and operate such Project are set forth on the permitting schedule attached to the Loan Agreement ("Permitting Schedule"). Governmental approvals set forth in Part I of the Permitting Schedule have been validly issued and are in full force and effect, are final and, if applicable laws or regulations specify a period for bringing administrative appeals, all such appeals periods have expired; Governmental approvals set forth in Part II of the Permitting Schedule are not required given the stage of development of such Project, and Borrower reasonably expects such governmental approvals to be obtained when required in due course on commercially reasonable terms;
- 12) All insurance required to be maintained by the Borrower and such Project Company under the Loan or Project Documents has been obtained and is in full force and effect, other than insurance not reasonably required at such stage of the Project. All premiums due with respect thereto have been paid;
- 13) Financial statements of the Borrower and such Project Company:
 - a) Such latest financial statements, have (other than the pro forma statement provided on the Closing Date) been prepared in conformity with generally accepted accounting principles ("**GAAP**") and present fairly, in all material respects, the financial condition of such party as of the date thereof;
 - b) All material liabilities, direct and contingent, of any such party are either disclosed in such balance sheets or have been disclosed in writing by the Borrower prior to the execution and delivery of the Loan Documents;
 - c) There are no undisclosed material liabilities, direct or contingent, of the Borrower or such Project Company, which have accrued since the date of such financial statements or such disclosure; and
 - d) Since the date of the balance sheet included with the most recent financial statements of the Borrower and such Project Company referred to in this clause, no event has occurred, and no condition exists, that has had, or could be expected to have, a Material Adverse Effect;
- 14) The Base Case Projections disclose all material assumptions and was prepared in good faith and represents in the opinion of the Borrower reasonable projections at the time made of future performance (it being understood that projections contain significant uncertainty and actual results may differ significantly from projections);
- 15) The Borrower is the managing member of such Project Company and owns []% of the equity interest in such Project Company free and clear of all liens;
- 16) No Default or Event of Default has occurred and is continuing under the Loan Documents;
- 17) No ERISA Event (to be defined) has occurred or is reasonably be expected to occur that, when taken together with all other such ERISA Events for which liability is reasonably expected to occur, could reasonably be expected to result in a Material Adverse Effect;
- 18) None of the execution, delivery or performance by any such party of each of the Loan and Project Documents to which it is a party violates or constitutes a default or requires consent by any other Person under any material governmental rule applicable to such person or such Project or any other material contractual obligation to which the Borrower is a party. None of the execution, delivery or performance

of the Loan Documents to which either such party is a party results in, or requires, the creation or imposition of any lien on any of the Collateral or any other properties or revenues of the Borrower or such Project Company except for Permitted Liens;

- 19) No such party has filed an election pursuant to Treasury Regulation 301.7701-3(c) to be treated as an association taxable as a corporation;
- 20) Upon the execution and delivery of all collateral documents, including the Mortgages, security agreements, pledge agreements, such documents will be effective to create legally valid and enforceable liens on the Collateral, and all necessary recordings and filings will be recorded and filed on or prior to the closing date such that they will constitute first-priority, perfected security interests in the Collateral, subject only to permitted liens;
- 21) All material Project Documents entered into as a Project's Construction Loan Funding Date have been set forth on a schedule to the financing agreement; and
- 22) Borrower and/or such Project Company owns all intellectual property necessary to construct and operate such Project in the manner contemplated by the Loan Documents and the Project Documents.

Affirmative Covenants: Usual and customary affirmative covenants for transactions of this type (including customary exceptions and materiality thresholds), to be agreed to by Borrower on behalf of its and each Project Company, including, without limitation, covenants as to use of proceeds, reporting (environmental, energy, operational, engineering, economic development, etc.), notice requirements, compliance with laws, payment of taxes, maintenance of insurance, financial statements, audit rights, preservation of corporate existence, maintenance of properties and licenses, operation of project, energy regulation, annual operating budget, separateness, environmental compliance, maintenance of all accounts (including reserve accounts), preparation of debt service coverage ratio, application of proceeds following casualty or condemnation, further assurances and such other covenants deemed appropriate by the Lender as a result of Lender's due diligence.

Negative Covenants: Usual and customary for a transaction of this type (including customary exceptions and materiality thresholds), to be agreed to by Borrower on behalf of itself and each Project Company, including without limitation covenants as to Contingent liabilities, limitation on liens, indebtedness, tax equity matters, changes in business, distributions, permitted investments, transactions with affiliates, transfers of equity interests, disposition of assets, amendments to project documents, change orders and completion, offsite storage, subsidiaries, accounts, accounting changes, capital expenditures, employees, project expansion, regulation of parties, ERISA, hazardous materials, abandonment of Project, assignments of rights or obligations under Project Documents, use of Project site, name and location of Borrower, dissolution, partnerships, additional project documents and such other covenants deemed appropriate by the Lender as a result of Lender's due diligence review.

Events of Default: Usual and customary defaults for a transaction of this type (including customary cure rights), including, without limitation, default provisions relating to failure to make payments, judgments, misstatements, bankruptcy/insolvency, cross-default, ERISA, breach of Project Documents, covenant breach by Borrower, invalidity of Loan Documents, loss of QF status, default in construction or schedule, security, loss of applicable permits, loss of collateral, destruction of the Project, change of control, repudiation of Parent obligations, loss of key man, achievement of commercial operation.

Borrower Selective Cure Rights: In addition to customary cures available to Borrower, subject to certain to be agreed-upon limitations, Borrower may cure certain specified Defaults or Events of Default caused by a single Project by repaying the debt associated with such Project.

Mandatory Prepayments: Mandatory repayment of all or a portion of the outstanding principal balance will be required:

- 1) When the Borrower receives insurance or condemnation proceeds and such proceeds are not used to replace or rebuild the affected Project with the terms and conditions of such utilization to be set forth in the Loan Documents;
- 2) With any proceeds from the any sale of assets (other than subject to certain permitted exclusions) or ownership interests in the Borrower or any Project Company;
- 3) If any Project Agreement is terminated early and a termination fee is received by the Borrower;
- 4) To the extent of funds on deposit in the Distribution Account, in the event that Distribution Conditions fail to be satisfied on two consecutive quarterly dates;
- 5) On any quarterly date, to the extent necessary, and solely to the extent of available cash at level **Fifth** of the Borrower Waterfall and on deposit in the Distribution Account, to cause the Borrower to achieve the Minimum; and
- 6) With respect to any Project, in the event that the Final Withdrawal Conditions with respect to such Project, fail to be achieved on or prior to such Project's Date Certain.

Voluntary Prepayment: Borrower may prepay the balance of the Loan together with all unpaid and accrued interest in whole or in part at any time. Any voluntary prepayment made prior to the second anniversary of the Final Withdrawal Date shall require payment, at the time of prepayment, of a prepayment premium in an amount equal to 2% of the amount prepaid.

Indemnification: The Borrower shall indemnify the Collateral Agent, the Depositary Agent and the Lender and their respective officers, directors, agents, consultants and employees, from and against any and all losses, liabilities, expenses, claims, and damages arising from or relating to the Loan Documents, the project

documents and the Project and the release or presence of hazardous substances at the project site of the Project, except to the extent resulting from the gross negligence or willful misconduct of any person seeking indemnification as determined by a final, non-appealable judgment of a court of competent jurisdiction.

Costs & Expenses: Sponsor shall be responsible for payment of all reasonable and documented costs and expenses of the Lender and its consultants and advisors incurred by such parties in connection with the negotiation and execution of the Loan Documents, regardless of whether the Borrower satisfies the conditions precedent for the closing date and/or any funding date. Lender will make good faith efforts to streamline transaction costs. From and after the Closing Date, the Borrower will be liable for certain out-of-pocket costs incurred by the Collateral Agent, the Depository Agent and the Lender, provided that such costs are incurred in accordance with the terms of the Loan Documents.

Consultants:	Lender's Counsel	TBD
	Lender's Independent Engineer ("IE")	TBD
	Insurance Consultant:	TBD
	Title Insurer	TBD

Governing Law: State of New York.

Waiver of Jury Trial; Venue Each party waives its right to a jury trial in respect of any dispute arising from this term sheet, a commitment letter or any of Loan Document. Any legal action or proceeding with respect to this term sheet, a commitment letter or any Credit Facility documents shall be brought exclusively in the state courts of the State of New York in accordance with NY CLS CPLR §505.

Publicity: Lender or any of its affiliates may (i) disclose a general description of transactions arising under the loan documents for advertising, marketing, regulatory or other similar purposes and (ii) use Borrower's or Sponsor's name, logo or other indicia germane to such party in connection with such advertising, marketing or other similar purposes. Sponsor will be presented for its review with a preliminary draft of the transaction profile that Lender is required to post publicly in accordance with its regulatory requirements, and, subject to Borrower's approval, not to be unreasonably withheld, Lender may post the transaction profile, once finalized, on its website and in its publicly-filed metrics reports.

RFP 7 -- Attachment F
NYGB Pro forma Data Input Sheet



NY Prize Community Grid Competition – Stage 2

Request for Proposals (RFP) 3044

Stage 2: Detailed Engineering Design, Financial and Business Plan Assessment

Proposals Accepted Until: October 12th 2016 5:00 PM Eastern Time*

Note: Stage 3 (Build) to be released at a future date.

Summary of Revisions

The following changes have been made to RFP 3044 “NY Prize Community Grid Competition – Stage 2”:

The RFP has been amended to clarify that deviations to the scope of work must be accompanied by justification, which will be evaluated by NYSERDA.

This revision appears on Page 5 of the Solicitation under “Participation in Stage 1 is not a pre-requisite to participation in Stage 2,” and on Page 9 under “7. Work Plan and Schedule”.

NY Prize Community Grid Competition – Stage 2

Request for Proposals (RFP) 3044

Stage 2: Detailed Engineering Design, Financial and Business Plan Assessment
Proposals Accepted Until: October 12th 2016 5:00 PM Eastern Time*
Note: Stage 3 (Build) to be released at a future date.

NY Prize Stage 2: Detailed Engineering Design and Financial and Business Plan. NYSERDA is accepting proposals for funding to conduct detailed engineering and commercial assessments that evaluate the feasibility of installing/operating a community microgrid at a site within New York State. Proposals **must be received by NYSERDA** by 5:00 PM Eastern Time on October 12th, 2016.

On February 11, 2015, the New York State Energy Research and Development Authority (NYSERDA) announced the availability of up to \$40,000,000 under the three-stage NY Prize Community Grid Competition (NY Prize), to support the development of community microgrids. The objective of NY Prize is to promote the design and build of community grids that improve local electrical distribution system performance and resiliency in both a normal operating configuration as well as during times of electrical grid outages. NY Prize objectives include empowering community leaders; encouraging broad private and public sector participation including local distribution utilities, local governments and third parties; protecting vulnerable populations; and providing tools to build a cleaner more reliable energy system. Just over \$8,000,000 was awarded in Stage 1 of the competition to 83 communities across the state to conduct microgrid feasibility studies. It is anticipated that approximately \$8 million will be available in Stage 2 to support development of detailed engineering design and financial and business plans, though, depending upon responses received and funding availability, NYSERDA may elect to commit more or less funding.

Category	Funding Limits	Total Project Cost Share
Detailed Engineering Design, Financial and Business Plan	Up to \$1,000,000	15%

Proposal Submission: Electronic submission is preferable. NYSERDA will also accept proposals by mail or hand-delivery. If submitting electronically, proposers must submit the proposal in either PDF or MS Word format with a completed and signed Proposal Checklist and Disclosure of Prior Findings of Non-Responsibility, in PDF format. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility, rather than scanning. For ease of identification, all electronic files must be named using the proposer’s entity name in the title of the document. Proposals may be submitted electronically by following the link for electronic submissions found on this RFP’s webpage, which is located in the “Current Opportunities” section of NYSERDA’s website (<http://www.nyserdera.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>). Instructions for submitting electronically are located in that section as Attachment G to this RFP.

If mailing or hand-delivering, proposers must submit (2) paper copies of their proposal with a completed and signed Proposal Checklist, along with a CD or DVD containing either a PDF or MS Word digital copy of the proposal, following the above guidelines. Mailed or hand-delivered proposals must be clearly labeled and submitted to:

Roseanne Viscusi, RFP 3044
NYS Energy Research and Development Authority
17 Columbia Circle, Albany, NY 12203-6399.

Programmatic questions should be directed to John Saintcross, 518-862-1090 ext: 3384 (john.saintcross@nyserdera.ny.gov), or Michael Razanousky, 518-862-1090 ext: 3245 (michael.razanousky@nyserdera.ny.gov). Questions regarding municipal procurement or contractual issues and related competitiveness issues should be directed to Janice Dean 518-862-1090 ext: 3117 (janice.dean@nyserdera.ny.gov). Contractual questions should be directed to Nancy Marucci, (518) 862-1090 ext: 3335 (nancy.marucci@nyserdera.ny.gov).

No communication intended to influence this procurement is permitted except by contacting Michael Razanousky, (518) 862-1090 ext: 3245. Contacting anyone other than this Designated Contact (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer’s behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

* All proposals must be **received by NYSERDA by 5:00 Eastern Time on October 12, 2016**. Late proposals or proposals lacking the appropriate completed and signed Proposal Checklist will be returned. Faxed proposals will not be accepted. Mailed proposals will not be accepted at any other NYSERDA location other than the address above. Prior to preparing proposal for future rounds, proposer should contact NYSERDA regarding changes to solicitation. If changes are made to this solicitation, email notification will be sent to original distribution group as well as posted on NYSERDA’s web site: www.nyserdera.ny.gov and in the Contract Reporter.

I. INTRODUCTION - NY Prize Community Grid Competition

Under NY Prize, up to \$40,000,000 was made available to support the development of community microgrids. NY Prize is a multi-stage competition aimed at supporting the design and building of community grids that improve the local electrical distribution system performance and resiliency in both a normal operating configuration as well as during times of electrical grid outages. The competition was developed in response to the Governor's New York RISE initiative regarding the use of microgrids as a means of minimizing the impacts due to power outages associated with emergencies, natural disasters, and other events. Communities considered vulnerable to weather-induced impacts historically had not benefitted from energy grid optimization, and co-located within a utility service territory with areas experiencing significant load growth or in potential need of utility grid reinforcements were encouraged to consider competing for a NY Prize award. Key NY Prize objectives include empowering community leaders, encouraging broad private and public sector participation, protecting vulnerable populations, expanding the use of locally distributed energy resources, engaging with private sector or third-party interests and providing tools for building a cleaner more reliable energy system.

Under this Stage 2 Detailed Engineering Design and Financial and Business Plan request for proposals, NYSERDA is accepting proposals for funding to conduct detailed engineering and commercial assessments that evaluate the feasibility of installing/operating a community microgrid at a site within New York State.

NY Prize is not intended to support the development of additional behind-the-meter, campus style, single entity microgrids for which an extensive operating history exists. NY Prize seeks to support the development of community grids encompassing no less than one facility providing a critical service to the public that is connected to multiple, uniquely owned/controlled buildings that act as a group of interconnected loads and distributed energy resources, lie within a clearly defined electrical boundary and act as a single controllable entity, which can connect and disconnect from the surrounding utility grid and operate in both grid-connected or island mode.

Originally, electric power in the United States, including generation and distribution systems, operated on a small, local scale. Over time, regional utilities and infrastructure were developed to deliver cost-effective, safe, and reliable water, heat, power, fuel, and communications over significantly broader distances. These large, networked systems of electric power generation, transmission, distribution, and delivery offer the benefits of fuel diversity, proximity of generating assets to large fuel and water resources, efficiencies of scale, reliability through diversity of assets, quality of life benefits from locating large emissions sources away from population centers, and least-cost-dispatch. These systems are, however, vulnerable to outages that can impact large regions and thousands of businesses and citizens, particularly as a consequence of extreme, destructive weather events. Microgrids could help minimize the impact of these outages by localizing power generation, distribution, and consumption so that a fallen tree or downed wire will not interrupt critical services for miles around.

Microgrids rely on a combination of Demand-side Resources (DR) (i.e., resources such as energy efficiency or curtailable load that impact how energy is consumed) and distributed generation resources (DG) (i.e., resources that produce energy). For the purposes of the NY Prize competition, these collectively are considered Distributed Energy Resources or DER as defined below:

DISTRIBUTED ENERGY RESOURCES (DER):

Demand-side resources are those that affect how and when energy is consumed within the microgrid. Most commonly, these will include intelligent energy management systems and energy efficiency

investments. Intelligent energy management technologies are systems that monitor and control electricity consumption in real time. These technologies allow the operator of the microgrid to reduce demand for either practical reasons (such as the microgrid islanding and needing to curtail consumption to match local generation) or in response to economic incentives (such as the microgrid's participation in a demand response program).

Supply-side resources affect energy production within a microgrid. The most common are distributed generators (DG). DG encompasses a wide range of generation technologies, including gas turbines, solar electric (photovoltaic or PV), wind turbines, fuel cells, biomass, and small hydroelectric generators. Some DG units that use conventional fuel-burning engines are designed to operate as combined heat and power (CHP) systems that are capable of providing heat for buildings or industrial processes using the "waste" energy from electricity generation. Some of the key attributes for microgrid developers to consider when choosing between types of DG to install in a microgrid include the intermittency of the generator's output (e.g., solar panels produce power only "intermittently," when the sun is shining), whether it is renewable or non-renewable, its location, its size, its relationship with the conventional electric grid, and its operating regime.

REGULATORY CONTEXT - Reforming the Energy Vision

In its order of December 26, 2013 ¹, the Public Service Commission (PSC) announced that it would comprehensively consider how the regulatory paradigm and retail and wholesale market designs either effectuate or impede progress toward achieving the policy objectives underlying the system benefit programs and regulation of electric distribution utilities². With respect to regulation of distribution utilities, the PSC identified the following key questions it needed to address:

1. What should be the role of the distribution utilities in enabling system wide efficiency and market-based deployment of distributed energy resources and load management?
2. What changes can and should be made in the current regulatory, tariff, and market design and incentive structures in New York to better align utility interests with achieving our energy policy objectives?

The PSC also identified several policy objectives it would want satisfied by any utility system reforms:

1. Enhanced customer knowledge and tools to support effective management of their total energy bill
2. Market animation and leverage of ratepayer contributions
3. System wide efficiency
4. Fuel and resource diversity
5. System reliability and resiliency; and
6. Reduction of carbon emissions

This was followed by an order instituting a proceeding to improve system efficiency, empower customer choice, and encourage greater penetration of clean generation and energy efficiency technologies and practices, commonly called Reforming the Energy Vision (or REV)³. In a subsequent memorandum and

¹ Case 07-M-0548, Proceeding on Motion of the Commission Regarding an Energy Efficiency Portfolio Standard, Order Approving EEPS Program Changes (issued December 26, 2013) (EEPS Changes Order).

² See Case 13-M-0412, Petition of New York State Energy Research and Development Authority to Provide Initial Capitalization for Governor Cuomo's New York Green Bank, Order Establishing New York Green Bank and Providing Initial Capitalization (issued December 19, 2013) and Case 03-E-0188, Retail Renewable Portfolio Standard, Order Authorizing the Redesign of the Solar Photovoltaic Programs and the Reallocation of Main-Tier Unencumbered Funds (issued December 19, 2013).

³ CASE 14-M-0101 - Proceeding on Motion of the Commission in Regard to Reforming the Energy Vision, (issued April 25, 2014).

resolution⁴, the PSC stated that demonstration projects would be an important step in implementing the REV changes and informing decisions on utility functionalities, customer responses to program offerings and associated prices and determining the most effective implementation of Distributed Energy Resources (DER). The intent of early REV demonstrations is to advance the development of new utility and third party service or business models and gain experience with integration of DER. Lead applicants in NY Prize are encouraged to consider these principles as they develop plans for a community microgrid.

RESILIENCY TO CLIMATE CHANGE INDUCED IMPACTS

NYSERDA has been studying, documenting, and modeling the impacts of climate change in New York State for several years. As public awareness of the impacts of climate change has grown, so have NYSERDA's efforts to better understand and forecast both gradual changes and extreme events. In 2011, NYSERDA released Responding to Climate Change in New York State (ClimAID), which provides climate projections for the state, as well as detailed information on New York's adaptation strategies and vulnerability to climate change <http://www.nyserd.ny.gov/-/media/Files/Publications/Research/Environmental/EMEP/climaid/ClimAID-Report.pdf>.

Working with the original ClimAID researchers and using the most up-to-date datasets, improved baseline scenarios, and the latest generation of climate models and emissions projections, NYSERDA has released Climate Change in New York State: Updating the 2011 ClimAID Climate Risk Information (the 2014 Update) <http://www.nyserd.ny.gov/-/media/Files/Publications/Research/Environmental/ClimAID/2014-ClimAid-Report.pdf>.

Across the Empire State, temperatures are increasing; along the coastline, the sea level is rising. These changes are projected to accelerate because of increased concentrations of carbon dioxide and other greenhouse gases (GHGs) in the atmosphere. Throughout the Northeast, heavy rain events have become more frequent, and cold events more rare. These and other climate changes are projected to lead to increasing impacts across New York State's economy and natural systems. Not all of these changes will necessarily be gradual; when certain tipping points are crossed, impacts can increase dramatically. Impacts from climate change are already affecting every part of New York State—water, energy, agriculture, ecosystems, and other social and economic systems—and all its 20 million inhabitants. The design basis for community microgrids supported during Stage 2 of this NY Prize competition must include consideration of the resiliency of the community grid to projected impacts from climate change relevant to the grid location as predicted by the 2011 ClimAid report and 2014 ClimAid update.

II. Competition Structure

Community microgrid development projects, including those being funded through current or pending NYSERDA awards, funded through other means or otherwise in progress, have the option of submitting a proposal under Stage 2 and/or Stage 3 when issued. All applications are eligible for NY Prize Stage 2 monetary awards only to the extent that the proposer demonstrates that existing or pending funding awards are insufficient to complete a Detailed Engineering Design and Financial and Business Plan that complies with the NY Prize competition requirements stated herein.

⁴ CASE 14-M-0101 - Proceeding on Motion of the Commission in Regard to Reforming the Energy Vision, Memorandum and Resolution on Demonstration Projects (Issued December 12, 2014).

COMPETITION STAGES

The NY Prize competition offered support for feasibility studies (Stage 1), audit-grade engineering design and business planning (Stage 2) for which this RFP applies, and will offer project build-out and post-operational monitoring support (Stage 3) that will be open for applications at a later date. Applications will be judged against program requirements at each stage of the competition for which funding is being requested. Cost sharing is required for Stages 2 and Stage 3 of the competition.

Stage 1: Feasibility Assessment (Closed)

Stage 1 of the competition under RFP 3044 has been completed with the NY Prize Selection Committee approving approximately \$8.1 million in funding for 83 feasibility studies across New York State.

Stage 2: Detailed Engineering Design and Financial and Business Plan Assessment (Open)

Communities or Proposers are encouraged to offer proposals for conducting a Detailed Engineering Design, Financial and Business Plan Assessment for a community microgrid, subject to the requirements of Section IV. Proposals satisfying the specified evaluation criteria will be awarded up to \$1,000,000 in NY Prize funding, with a 15% total project cost sharing. It is anticipated that many Stage 2 projects may need substantially less than the maximum award amount in order to complete Stage 2 deliverables.

Participation in Stage 1 is not a pre-requisite to participation in Stage 2. - Proposals from the entire field of competitors will be evaluated against prescribed Stage 2 evaluation criteria. Projects subject to current or pending NYSERDA awards for community grid design and engineering are eligible for additional monetary awards at this stage, but only to the extent that the proposer can demonstrate that any existing or pending awards are insufficient to complete an audit-grade design assessment in accordance with NY Prize competition requirements specified herein. A minimum cost share of 15% of total project costs is required of Stage 2 awardees. NYSERDA anticipates making up to 10 Stage 2 awards. **The awarded contract will take the form of Attachment C and include the tasks and requirements contained in Attachment C. Change to the scope and degree of analysis contained in Attachment C to add other tasks considered essential to the analysis and eliminate tasks considered inapplicable must be accompanied by justification.**

NOTE: NYSERDA reserves the right to negotiate scope of work, budget and funding levels on all awarded projects.

Stage 3: Microgrid Build-out and Operation (Pending/Not Open)

At this stage of the competition, all remaining competitors will be encouraged to submit their Detailed Engineering Design, Financial and Business Plan Assessment for consideration and all or some of these proposed plans will be awarded NY Prize funding for construction and post-commissioning monitoring and evaluation activities. NYSERDA anticipates supporting the construction of community grid projects at Stage 3. At this final stage of the competition, eligible microgrid project participants will be expected to secure private capital for the majority of project capital requirements and higher cost sharing will be considered favorably in determining projects to be supported at Stage 3.

SCHEDULE

The schedule for this competition reflects intentions to provide windows of opportunity for communities to enter the stage for which funding is being requested and be evaluated expeditiously. **Please note:** The dates below are subject to change. Notification of such change(s) will be posted on the NY Prize website at <http://www.nyscrda.ny.gov/All-Programs/Programs/NY-Prize>

Milestone	Target Date(s)
Stage 1 Feasibility Assessment Studies	Completed
Stage 2 Detailed Engineering Design, Financial and Business Plan Assessment Entries	
- Outreach/Informational Session	May 2016
- Stage 2 proposals accepted	October 2016
- Review panel convenes/proposals evaluated	November 2016
- Contracts issued to Stage 2 awardees	December 2016
Competition Open to Stage 3 Microgrid Build-out and Operation Entries	January 2018
- Outreach/Informational Session	January 2018
- Stage 3 proposals accepted	April 2018
- Review panel convenes/proposals evaluated	May 2018
- Awardees selected	June 2018

COMMUNITY OUTREACH

NYSERDA will conduct a teleconference (outreach session) to review the competition objectives, process for participation, and contractual requirements. Questions will be taken and to the extent possible, responses will be provided during the Outreach Session. Communities who intend to participate in the Outreach Session must send an email indicating such to <http://www.nyscrda.ny.gov/All-Programs/Programs/NY-Prize/Email-List>, by 12:00 noon on May 11th, 2016, with the subject line “NY Prize Outreach Session.” Respondents will be provided with information on how to participate. NYSERDA may conduct a second outreach session should the need arise. In such event, NYSERDA will forward information relevant to participating in such session when such decision is made to the authorized contact for project proposers.

III. PROGRAM REQUIREMENTS

To be eligible to participate in Stage 2 of the NY Prize Competition, the following pre-requisites must be included in any project proposal:

- **Stage 1 Completed Feasibility Assessment (includes Benefit Cost Analysis)(or equivalent).**
- **Provide evidence that project participants remain committed to conducting Stage 2 assessments.**
- **Provide evidence that project participants have complied with applicable State and local municipal procurement and contracting laws and guidelines for both Stage 2 and Stage 3. See Section IV(10) below for more detail.**

IV. STAGE 2 PROPOSAL REQUIREMENTS

Detailed Engineering Design, Financial and Business Plan Assessment (up to \$1,000,000 in funding with a minimum 15 % proposer total project cost share required)

NOTE: NYSDERDA reserves the right to negotiate scope of work, budget and funding levels on all awarded projects.

Please read this RFP in its entirety and be sure to include all required information. When preparing the various required sections of your proposal, review the Evaluation Criteria included under Section V.

ALL PROPOSALS MUST INCORPORATE THE FOLLOWING SECTIONS:

1. Proposal Checklist - Complete the specific Proposal Checklist (Attachment A of this RFP), and include it as the front cover of the original and each copy of the proposal. Please note the following:

Indicate whether you accept the standard terms and conditions as contained in the Attachment F - Sample Agreement. If you do not accept the standard terms and conditions, provide alternate terms with justification based on the risk and benefit to NYSDERDA and New York State. NYSDERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement. Be sure the individual who is signing the Proposal Checklist is authorized to commit the proposer's organization to the proposal as submitted.

Failure to include a signed copy of the Proposal Checklist referenced in this solicitation may disqualify your proposal.

2. Procurement Lobbying Requirements - State Finance Law sections 139-j and 139-k -- Procurement lobbying requirements contained in State Finance Law sections 139-j and 139-k are available at: (<http://www.ogs.ny.gov/aboutogs/regulations/advisoryCouncil/StatutoryReferences.html>). In compliance with §139-j and §139-k of the State Finance Law, for proposals submitted in response to this solicitation that could result in agreements with an annual estimated value in excess of \$15,000, additional forms must be completed and filed with proposals: (1) a signed copy of the Proposal Checklist including required certifications under the State Finance Law and (2) a completed Disclosure of Prior Findings of Non-Responsibility form. Failure to include a signed copy of the Proposal Checklist referenced in this solicitation will disqualify your proposal.

3. Executive Summary (two page maximum) – State the title of the proposed project and briefly summarize the project, the team members, the community microgrid systems-related problem or opportunity, the proposed solution and its innovative characteristics, and potential energy, environmental, and economic benefits to New York State.

4. Proposer Information (two page maximum):

- Please provide the *legal name(s)*, title(s), mailing address(es), phone number(s), and e-mail address(es) of the proposer. Phone number(s) must be a number where the proposer can be reached during business hours. Please fill in the name(s), title(s), mailing address(es), phone number(s), and e-mail address(es) of the project contact only if different from the proposer. Phone number(s) must be a number where the contact can be reached during business hours.
- Please state the name and title of the representative who would be legally authorized to sign a contract, if awarded. Have this individual sign and date the Proposal checklist in the space

provided. The legally authorized representative of the Proposer also certifies by the submission of its proposal that:

1. the Proposer has reviewed this Notice and has investigated and informed itself with respect to all matters pertinent to this Notice and its proposal;
 2. the Proposer's proposal is submitted in compliance with all applicable federal, state, and local laws and regulations, including antitrust and anti-corruption laws; and
 3. the information provided in the proposer's proposal is true and accurate.
- Identify the proposing entity's legal authority for accepting funds from NYSERDA for project work and legal authority to conduct the project.
 - If applicable, provide evidence that the Proposer has financial resources to share the costs of conducting a Stage 2 Feasibility Assessment.

5. Proposer Qualifications (two to four pages); include resumes and other material in an appendix.

- Proposing Organization(s) - Include a brief description of organization(s) involved in the proposing team, including major subcontractors. Include date founded, history, size, product portfolio, and location. Also include an explanation of why the proposed organization or team is qualified to perform/implement the project from a technical and business perspective. Identify any other organizational qualifications relevant to the proposed work. If applicable, include examples of previous successful commercialization projects and the current status of those successes. (Note: Subcontracts of \$50,000 or more, unless named in the proposal, are subject to competitive bid procedures; see Attachment F - Sample Agreement).
- Organizational Chart - Prepare an organizational chart listing all team members, including the project manager and any subcontractors and other sponsors involved in the project, showing their roles and responsibilities.
- Qualifications of Key Individuals – Identify key individuals that will be involved in the project and its success. Provide one- to two-paragraph summaries of relevant technical and business expertise of these individuals. Submit resumes (in an appendix) of all key project team members. Include in the resumes, education and experience that are relevant to the proposed work.
- Previous Experience - Describe the proposing team's experience that is relevant to the proposed effort. List related projects that have been undertaken and successfully completed by the Proposer and/or subcontractors. List NYSERDA contracts awarded to the proposer, if any, in the past five years.
- Identify public interests/organizations/customers involved in the Project Team and describe their respective roles in and relationship to the project:
 - Local government(required);
 - Regional Economic Development Council;
 - Low- to- moderate income tenants associations;
 - Local/regional emergency management;
 - Retail /Institutional customers;
 - Non-profit organizations;

- Third party implementers/project developers;
- Vendors;
- Others.

6. Proposer Feasibility Assessment Information:

Provide a copy of a completed Stage 1 Feasibility Assessment (or equivalent) with benefit cost analysis as part of the Stage 2 proposal. You can add this as an appendix in back of proposal.

Also, to support the evaluation of project proposals, Proposers must complete and include with their proposal, the form-fillable **Stage 1 Feasibility Assessment Report Checklist contained in Attachment I**. Attachment I will be used by the IEP to quickly determine if and where in the proposal, the evaluation criteria listed in Section V below have been addressed by the Proposer.

7. Work Plan and Schedule (six to eight pages) The Work Plan describes work activities and deliverables associated with accomplishing the work described in Attachment C. **Refer to Attachment C for a Statement of Work and format associated with conducting a Stage 2 Detailed Engineering Design, Financial and Business Plan Assessment. Change to the Statement of Work contained in Attachment C to add other tasks considered essential to the analysis and/or eliminate tasks considered inapplicable must be accompanied by justification.** Such Work Plan and Schedule must include consideration of completing all activities associated with the interconnection of distributed generation within the microgrid and work activities associated with parallel and islanded operation of the microgrid pursuant to the New York State Standardized Interconnection Requirements or other Commission authorized interconnection rules/processes pertinent to microgrids in effect at the time.

The Work Plan shall describe each step or procedure required to accomplish the project objectives. Therefore, each action shall be identified, indicating who will perform it, how it will be performed and its intended result. Use active voice sentence structure to make clear who is responsible for specific actions; for example, use the following phrase to start the description of every task and subtask: “The Contractor shall . . . “

Schedule. Present a work schedule with a starting point and duration for each task and subtask contained in the Work Plan. Presentation of the schedule in a bar chart is preferred starting with “Month 1”, Month 2”, etc. The schedule should include timing of major milestones such as steps, showing progress toward project objectives and goals. Schedule for projects preferred to be completed within 12 months.

8. Milestone Budget (one page) – Include a project budget, associated with accomplishing the Work Plan described under the **Work Plan and Schedule**, showing total of project costs and proposer cost-share. Describe any other sources of funding available. The budget must include consideration of costs associated with the study of interconnecting microgrid components as set forth in the guidance in **Attachment H, Community Microgrid Joint Utilities Fee Schedule for NY Prize Stage 2 Analyses.**

Milestone Payments. NYSERDA will make payments to awarded proposals based on the achievement of project-related milestones. Provide a list of deliverables associated with each task with proposed milestone payments assigned to major deliverables. The magnitude of the milestone payments should be based on the amount of effort required to reach the deliverable.

Cost Sharing – The proposal should show non-NYSERDA funding of the total cost of the project. Cost sharing can be from the proposer, other team members, and other government or private sources. Contributions of direct labor (for which the laborer is paid as an employee) and purchased materials

may be considered "cash" contributions. Unpaid labor, indirect labor, or other general overhead may be considered "in-kind" contributions. NYSERDA will not pay for efforts that have already been undertaken or for equipment that may have already been purchased that is associated with the design and installation of the microgrid. The proposer or proposing team cannot claim as cost-share any expenses that have already been incurred. Complete the following table for **ALL PROPOSALS** (expand table as needed):

FUNDING SOURCE TABLE			
Funding Source	Project Total \$		
	Cash	In-Kind	Total (cash + in-kind)
NYSERDA	\$		\$
Proposer	\$	\$	\$
Co-Funder (identify)	\$	\$	\$
Co-Funder (identify)	\$	\$	\$
Total (\$)	\$	\$	\$

9. Appendices – Include any resumes, company qualifications, or ancillary information that is deemed necessary to support your proposal. If appropriate, also include:

- **Letters of Support or Commitment** – If you are relying on any other organization to do some of the work, provide services or equipment, otherwise support the work, act as a host demonstration site, or share in the non-NYSERDA cost, include a letter from that organization describing their planned participation. Also include letters of support or commitment from businesses or other organizations critical to the future commercialization, demonstration, or implementation of the project. Absence of letters of interest or commitment will be interpreted as the proposer not having support from the identified parties.
- Provide evidence (signed letters of commitments) from the Proposer and Project team members signifying their participation in all aspects of project implementation team activities and their commitment to providing resources necessary to successfully carry out the responsibilities for conducting a Stage 2 Detailed Engineering Design, Financial and Business Plan Assessment in accordance with the requirements set forth in Attachment C.
- Provide documentation of ownership, site control and/or permission of the property owner for proposed sites.
- Provide a copy of a completed Stage 1 Feasibility Assessment with benefit cost analysis as part of the Stage 2 proposal.

10. Legal Viability. NYSERDA wants to ensure that each applicant at Stage 2 has considered all applicable procurement laws that may apply through Stage 3 and beyond (e.g., contracting for services from or in connection with an operating microgrid). Therefore, as part of the Stage 2 application, NYSERDA is requiring that each participating municipality consider every step in the microgrid design, development and operation process that may require compliance with State or municipal procurement

and contracting rules. For any Stage 2 project that will include a contract between a municipality and a private party at any point in the process that will require the expenditure of municipal funds (whether for design or development, or for services to be provided after completion of the project (e.g., a power purchase agreement)), the application must include a Statement of Compliance affirming that the relationship between the municipality and the contracting party or parties was created lawfully under relevant State and municipal procurement and contracting laws and guidelines.⁵

In order to satisfy this requirement and be eligible for Stage 2 funding, applicant must submit a Statement of Compliance⁶:

- (1) indicating that the services (e.g., design, construction, supply of power) of the private party have been procured lawfully under State laws, and applicable municipal procurement and contracting laws and guidelines, indicating whether competitive selection was required;
- (2) setting forth the provision(s) of law under which the procurement was effected (i.e., General Municipal Law § 103 or § 104(b), Energy Law Article 9, or other) or under what legal authority no competitive procurement process is required; and
- (3) describing the path that the municipality has established for procuring the ultimate microgrid services, should the project advance through Stage 3.⁷

In performing this procurement analysis, parties may wish to take the following non-exclusive list of considerations into account:

- If municipalities intend to procure the services of a design firm at Stage 2 via a competitive process and intend to undertake another competitive process for a build partner at Stage 3, municipalities must consider and should consult with the Stage 2 design firm to identify what agreements and consents they will need, including licenses to use design documents and to disclose potentially ‘confidential’ or otherwise proprietary information, in order to provide prospective bidders with sufficient information for the Stage 3 bidding process.
- If there is an agreement for the same or related entities to perform both design services (requiring a professional license) and construction services (other than ordinary contract administration services incidental to design services), the municipality must consider whether such services can be performed lawfully by the same or related entities.
- For any services procured by a municipality at any stage where the procurement is based upon “best value,” the municipality should ensure that it has sufficient information to enable the municipality to make a “best value” determination.

PROPOSAL SUBMISSION:

⁵ This Statement of Compliance requirement does not apply to applicants seeking Stage 2 funding for projects that will not serve any municipal loads – i.e., those projects providing microgrid services to only private entities.

⁶ NYSERDA expects the Statement of Compliance to be made by officials or counsel of the municipality.

⁷ NYSERDA’s goal in this section is to foster communication between municipalities and private partners at this point in the competition such that impediments to procurement of ultimate microgrid services, if any, can be identified and addressed before they arise. NYSERDA does not provide legal advice on municipal procurement matters to local governments or private parties, but offers these considerations for discussion to ensure that parties have identified a clear path forward should their project advance through Stage 3.

Electronic submission is preferable. NYSERDA will also accept proposals by mail or hand-delivery. If submitting electronically, proposers must submit the proposal in either PDF or MS Word format with a completed and signed Proposal Checklist and Disclosure of Prior Findings of Non-Responsibility, in PDF format. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility, rather than scanning. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. Proposals may be submitted electronically by following the link for electronic submissions found on this RFP's webpage, which is located in the "Current Opportunities" section of NYSERDA's website (<http://www.nysERDA.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>). Instructions for submitting electronically are located in that section as Attachment G to this RFP

If mailing or hand-delivering, proposers must submit (2) paper copies of their proposal with a completed and signed Proposal Checklist, along with a CD or DVD containing either a PDF or MS Word digital copy of the proposal, following the above guidelines. Mailed or hand-delivered proposals must be clearly labeled and submitted to: **Roseanne Viscusi, RFP 3044, NYS Energy Research and Development Authority, 17 Columbia Circle, Albany, NY**

Proposals should not be excessively long or submitted in an elaborate format that includes expensive binders or graphics. Double-sided prints with a staple in the upper left corner is the preferred format. Unnecessary appendices beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. Each page of the proposal should state the name of the proposer, the RFP number, and the page number. **The proposal must be in the following format and sequence listed below** (suggested page limits for each section are shown in parentheses following the section title).

V. STAGE 2 PROPOSAL EVALUATION

Proposals that meet Program and Proposal Requirements will be reviewed by an Investment Evaluation Panel (IEP) using the Evaluation Criteria identified below. In addition to considering how project proposals satisfy the Evaluation Criteria listed below, NYSERDA reserves the right to make funding decisions on the basis of other programmatic reasons such as, but not limited to, NYSERDA's history/experience with particular contractors, geographic equity/distribution, customer diversity, scale of anticipated impacts, and prospects for learning opportunities.

After the proposals are reviewed, NYSERDA will issue a letter to each proposer indicating the proposal evaluation results. Proposers receiving favorable evaluations will be invited to enter into contract negotiations with NYSERDA to perform a Stage 2 Detailed Engineering Design, Financial and Business Plan Assessment consistent with the requirements specified in Attachment C. The proposer may also be asked to address specific questions or recommendations of the IEP before contract award.

Evaluation Criteria

Microgrid Capabilities and Technical Design

Microgrid Capabilities

- Does the microgrid serve at least one but preferably more, physically separated critical facilities located on one or more properties?
- Does the microgrid serve both critical and non-critical loads at those facilities?
- Does the microgrid design provide on-site power in both grid-connected and islanded mode?

- Does the microgrid distributed energy resources provide 24 hrs per day and 7 days per week utilization of the power?
- What percentage of the total power consumption in the microgrid will be supplied by resources in the microgrid? Local utility?
- Are microgrid resources designed to follow the electrical load while maintaining the voltage and frequency when running parallel connected to grid?
- Does the microgrid design provide a means for two-way communication and control between the distributed energy resources owner/operator and the local distribution utility through automated, seamless integration? Or, is the transition initiated by the microgrid operator?
- Does the microgrid design include secure control/communication systems from cyber-intrusions/disruptions and protect the privacy of sensitive data?
- Does the microgrid design include an uninterruptible fuel supply for DER for no less than one week?
- If generation in the microgrid is dependent to the supply of natural gas or other fuels, what are the arrangements for continuous access to these supplies? What agreements will be made for fuel supply under catastrophic events and for what duration would these supplies support microgrid operation?
- Does the microgrid design describe how many days of continuous operation can be achieved with current fuel storage capability? If additional fuel storage is required, provide a description of needs required for this or otherwise describe how fuel security is to be managed?
- How does the microgrid design provide resiliency to likely adverse weather and environment conditions that are the most likely to impact facilities (generation, delivery, and customer connections) at the specific location (community)?
- Does the microgrid design provide black-start capability?
- Does the microgrid design consider energy efficiency options that minimize the need for additional generation assets?
- Does the microgrid design address installation, operations, maintenance and communications for the electric system that serves all the generation and loads within the electrical boundary of the microgrid from commissioning of equipment and systems through system and operational testing of the microgrid controller and the distribution utility?
- To what extent does the microgrid design involve clean power supply sources that minimize environmental impacts, including local renewable resources, as measured by total percentage of community load covered by carbon-free energy generation?
- To what extent does the microgrid design demonstrate tangible community benefits, including but not limited to, (e.g. jobs created, number of customers served, number of buildings affected, scale of energy efficiency retrofits, support for emergency management personnel during catastrophic events most likely to occur in the area)?
- Does the microgrid design incorporate capabilities that improve the resiliency and reliability of the distribution system to which it is connected? Provide confirmation from the utility improvement in resiliency and reliability are expected.
- Does the microgrid provide capabilities to expedite power system restoration in adjacent areas (for customers other than those in the microgrid)?
- Are their proposed operational plans between the microgrid operator/owner and the distribution utility?

Technical Design

- Does the microgrid design provide an equipment layout diagram and a one-line diagram depicting new, updated or proposed equipment, including location of the distributed energy resources and utility interconnection point (Point of Common Coupling (PCC))?

- Does the microgrid design take into account interconnection issues at the PCC? Upgrades to the substation? Feeder?
- Has the local utility evaluated the interconnection impact on the feeder?
- Does the microgrid design meet with the local utilities requirements for communications?
- Does the microgrid design identify the locations of new and existing microgrid and building controls on the simplified equipment layout diagram?
- Does the microgrid design identify the electrical and thermal infrastructure on the simplified equipment layout and one-line diagrams and differentiate between new, updated and existing infrastructure?
- Does the microgrid design identify the new and existing information technologies and telecommunications infrastructure on the equipment layout diagram?
- Does the microgrid design provide approximate location and space available for microgrid equipment/resources?
- Does the microgrid design fully describe the electrical infrastructure (feeders, lines, relays, breakers, switches, current and potential transformers (CTs and PTs) and thermal infrastructure (steam, hot water, cold water pipes) that are a part of the microgrid?
- Does the microgrid design describe how the proposed microgrid will operate under normal and emergency conditions?
- Does the design include operating agreements, decisions rules and communication procedures between the microgrid operator and the utility necessary to operate the microgrid?
- Does the microgrid design describe the electrical and thermal loads served by the microgrid when operating in islanded and grid parallel modes?
- Does the microgrid design provide hourly load profile of the loads included in the microgrid and identify the source of the data? If hourly loads are not available, best alternative information shall be provided?
- Does the microgrid design provide a description of the sizing of the loads to be served by the microgrid including a description of any redundancy opportunities (ex: n-1) to account for equipment downtime?
- Does the microgrid design provide the distributed energy resources and thermal generation resources to continuously meet electrical and thermal demand in the microgrid?
- Does the microgrid design take into account providing the resiliency of the electrical and thermal infrastructure to the forces of nature that are typical to and pose the highest risk to the location/facilities? Describe how the microgrid design provides resiliency to disruption caused by such phenomenon and for what duration of time? Discuss the impact of severe weather on the electrical and thermal infrastructure?
- Does the microgrid design provide what additional investments in utility infrastructure may be required to allow the proposed microgrid to separate and isolate from the utility grid?
- Does the microgrid design provide the basic electrical system protection mechanism within the microgrid boundaries?
- Does the microgrid design provide the microgrid control architecture and how it interacts with distributed energy resources controls and building energy management systems, if applicable?
- Does the microgrid design provide for a controller to manage the microgrid functions?
- Does the microgrid design provide a brief written description of the services that could be provided by the microgrid controls including, but not limited to the following:
 - Automatically connecting to and disconnecting from the grid
 - Load shedding schemes
 - Black start and load addition
 - Performing economic dispatch and load following
 - Demand response
 - Storage optimization

- Maintaining frequency and voltage
 - Photovoltaic information and controllability; forecasting
 - Coordination of protection settings
 - Selling energy and ancillary services
 - Data logging features
- Does the microgrid design provide the information technologies and telecommunications infrastructure and protocols required for the microgrid?
 - Does the microgrid design provide the communications infrastructure required to support microgrid operations with the utility? Can the utility monitor the microgrid activity at the PCC? Does the communications allow for disconnection by the utility during emergencies or risk to the stability of the interconnected distribution system?
 - How vulnerable are the information technologies and telecommunications infrastructure to catastrophic events that are most likely to impact the microgrid?

Commercial, Financial and Legal Viability

Commercial Viability

- To what extent does the microgrid business plan leverage private capital to the maximum extent possible as measured by total private investment in the project and the ratio of public to private dollars invested in the project?
- Does the microgrid business plan identify the number of individuals affected by/associated with critical loads should these loads go unserved?
- Does the microgrid business plan identify any direct/paid services generated by microgrid operation?
- Does the microgrid business plan identify each of the microgrid customers expected to purchase services from the microgrid?
- Does the microgrid business plan identify other microgrid stakeholders; what customers will be directly or indirectly affected (positively or negatively) by the microgrid?
- Do the microgrid design and business plan take into account the relationship between the microgrid owner and the purchaser of the power?
- Does the microgrid business plan indicate which party/customers will purchase electricity during normal operation? During islanded operation?
- Does the microgrid business plan identify necessary contractual agreements with critical and non-critical load purchasers?
- How does the microgrid business plan plan to solicit and register customers (i.e. purchasers of electricity) to be part of their project?
- Does the microgrid business plan provide any other energy commodities (such as steam, hot water, chilled water) that the microgrid will provide to customers?
- How does the microgrid business plan provide value to its participants, to the community at large, the local electric distribution utility and the state of New York?
- What benefits and costs will the community realize by the construction and operation of this microgrid?
- How would installing this microgrid benefit the utility? Its customers? What costs would the utility incur as a result of this microgrid? Are these covered in the interconnection agreement with the utility?
- What is the proposed business model for this microgrid?

- Does the business plan include an analysis of strengths, weaknesses, opportunities and threats (SWOT)?
- What makes this project replicable? Scalable?
- What is the purpose and need for this project?
- Why is reliability/resiliency particularly important for this location? Will it meet a disaster recovery or unmet infrastructure need?
- Does the microgrid system provide an overall value proposition to each of its identified customers and stakeholders?
- Does the microgrid system provide added revenue streams, savings, and/or costs for the purchaser of its energy?
- Does this microgrid system promote new technologies?
- Does the microgrid system promote any public/private partnerships?
- Are any project financiers or investors identified in the microgrid team?
- Are any legal and/or regulatory advisors part of the microgrid team?
- Are the benefits and challenges of employing any new microgrid technologies listed?
- Has the microgrid design addressed the permitting and/or special permissions required to construct this project? Are they unique or would they be required of any microgrid?
- What is the proposed approach for developing, constructing and operating the microgrid system?
- How are benefits of the microgrid passed to the community?
- Is a project operational scheme (including, but not limited to, technical, financial, transactional and decision making responsibilities) developed that will be used to ensure this system operates as expected?
- How does the project owner plan to charge the purchasers of electricity services? How will the purchasers' use be metered?
- Are there business/commercialization and replication plans appropriate for the type of project?
- How significant are the barriers to market entry for microgrid participants?
- Does the proposer demonstrate a clear understanding of the steps required to overcome these barriers?

Financial Viability

- Does the microgrid design address the categories and relative magnitudes of the revenue streams and/or savings that will flow to the microgrid owner? Will they be fixed or variable?
- Does the microgrid system provide other incentives? How does the timing of those incentives affect the development and deployment of this project?
- Does the microgrid design identify categories and relative magnitudes of the capital and operating costs that will be incurred by the microgrid owner? Will they be fixed or variable?
- Does the business model for this project ensure that it will be profitable?
- Does the microgrid design include a description of a potential financing structure during development, construction and operation of the microgrid?
- Is the financial viability of the microgrid dependent on investment credits and subsidies?
- Is the operational viability of the microgrid dependent on special tariff arrangements?
- Does the financial viability of the microgrid depend on subsidies from the local utility or government or operating arrangements with customers served by the microgrid?

Legal Viability

- Does the microgrid design address and comply with the legal terms/conditions/requirements necessary to develop and operate the microgrid?

- If the project will include a contract between a municipality and a private party, has the project team considered all applicable State and municipal procurement and contracting laws and guidelines, and taken appropriate steps to ensure that such laws and guidelines have been or will be complied with?
- Does the microgrid design describe the potential project ownership structure and project team members that will have a stake in the ownership?
- Has the project owner been identified?
- Does the project owner (or owners) own the site(s) where microgrid equipment/systems are to be installed? If not, what is the plan to secure access to that/those site(s)?
- What is the approach to protecting the privacy rights of the microgrid customers, e.g. with respect to meter data?
- Does the microgrid design describe any known, anticipated, or potential regulatory hurdles, as well as their implications that will need to be evaluated and resolved for this project to proceed?

Benefit and Cost Analysis

- Does the cost/benefit analysis provide information from the community, utility and developer's perspective;
- Does the cost/benefit analysis indicate the facility's average annual electricity demand and peak electricity demand?
- Does the cost/benefit analysis indicate the percentage of the facility's average demand the microgrid would be designed to support during a major power outage?
- Does the cost/benefit analysis indicate the number of hours per day on average; the facility would require electricity from the microgrid?
- Does the cost/benefit analysis indicate the impact of the expected provision of peak load support on generating capacity requirements?
- Does the cost/benefit analysis indicate capacity of demand response that would be available by each facility the microgrid would serve?
- Does the cost/benefit analysis indicate impact (deferral or avoidance) on transmission or distribution capacity requirements?
- Does the cost/benefit analysis indicate ancillary services to the local utility (e.g., frequency or real power support, voltage or reactive power support, black start or system restoration support)?
- Does the cost/benefit analysis estimate annual energy savings from development of a new distributed energy resource system relative to the current heating system and current type of fuel being used by such system?
- Does the cost/benefit analysis provide environmental regulations mandating the purchase of emissions allowances for the microgrid (e.g., due to system size thresholds)?
- Does the cost/benefit analysis provide emission rates of the microgrid for CO₂, SO₂, NO_x, and PM?
- Does the cost/benefit analysis provide the fully installed costs and engineering lifespan of all capital equipment?
- Does the cost/benefit analysis provide for
 - initial planning and design costs?
 - fixed operations and maintenance costs?
 - variable operations and maintenance costs?
 - fuel/energy source of each existing backup generator?
 - the average daily electricity production for each generator in the event of a major power outage, and the associated amount of fuel required to generate that electricity?

- Does the cost/benefit analysis include any one-time costs (e.g., labor or contract service costs) associated with connecting and starting each backup generator?
- Does the cost/benefit analysis include any daily costs (e.g., maintenance costs) associated with operating each backup generator?
- Does the cost/benefit analysis provide an estimate of the costs of any emergency measures that would be necessary for each facility to maintain operations, preserve property, and/or protect the health and safety of workers, residents, or the general public?
- Does the cost/benefit analysis estimate the population served by each microgrid?
- Does the cost/benefit analysis provide how a power outage would impact each facility's ability to provide services?

Other

- To what extent does the proposer offer more than the minimum cost share?
- Are the qualifications and roles of the proposing team and subcontractors clearly defined and demonstrate the capability to successfully complete a Stage 2 Detailed Engineering Design, Financial and Business Plan Assessment?
- What are the potential utility distribution system benefits attributable to the projects planned operation relative to other competing projects in the utilities' service territory?
- Does the proposer provide evidence that a broad coalition of public interests have teamed up in support of project development (e.g., Regional Economic Development Council(s), low- to-moderate income tenants associations, local/regional emergency management, etc.)?
- Have letters of commitment for project support that is necessary to carrying out the work plan been secured from project participants?
- Does the microgrid project demonstrate advances in practices for project planning and development? Are there any unique or creative technology vendor commitments/ participation, ownership options, operating agreements with the local utility, plans to implement energy efficiency, leverage existing incentive programs, or propose new and innovative ones?
- Does the microgrid design increase the amount of actionable information available to customers—providing a platform for customers to be able to interact with the grid in ways that maximize its value?
- Does it serve a low to moderate income area or does it serve an urgent need for the community?
- Is the area being served in a presidentially declared county from a 2011-2013 disaster?
- Is it clear how the microgrid will assist in long term recovery of the area?
- To what extent does the microgrid design satisfy or support the Reforming the Energy Vision (REV) objectives?

Proposals that are judged to have best satisfied these evaluation criteria may be eligible for funding up to \$1,000,000, with 15% total project cost share, subject to entering a milestone-based contract to conduct a Stage 2 **Detailed Engineering Design, Financial and Business Plan Assessment** substantially in the form of Attachment C.

VI. GENERAL CONDITIONS

CONTRACTING

NYSERDA expects to issue multiple awards, and will determine and negotiate awards based on the information included in the proposals. Awardees will have 60 days to enter an agreement to conduct a Stage 2 **Detailed Engineering Design, Financial and Business Plan Assessment**, substantially in the form of Attachment C.

NOTE: NYSERDA reserves the right to negotiate scope of work, budget and funding levels on all awarded projects.

PROPRIETARY INFORMATION

Proposers will likely be required to abide by cybersecurity and non-disclosure terms established by the utility.

Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to exempt it from disclosure, including a written statement of the reasons why the information should be exempted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <http://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

OMNIBUS PROCUREMENT ACT OF 1992

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

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

Empire State Development
Division for Small Business
30 South Pearl Street
Albany, NY 12245

A directory of certified minority- and women-owned business enterprises is available from:

Empire State Development
Minority and Women's Business Development Division
30 South Pearl Street
Albany, NY 12245

State Finance Law sections 139-j and 139-k - NYSEDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <http://www.ogs.ny.gov/aboutogs/regulations/advisoryCouncil/StatutoryReferences.html> The attached Proposal Checklist calls for a signature certifying that the proposer will comply with State Finance Law sections 139-j and 139-k and the Disclosure of Prior Findings of Non-responsibility form includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years.

Tax Law Section 5-a - NYSEDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSEDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf). Prior to contracting with NYSEDA, the prospective contractor must also certify to NYSEDA whether it has filed such certification with the Department. The Department has created a second form that must be completed by a prospective contractor prior to contacting and filed with NYSEDA. See, ST-220-CA (available at http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>

Contract Award - NYSEDA anticipates making multiple awards under this solicitation. It may award a contract based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most favorable cost and technical terms. NYSEDA may request additional data or material to support applications. NYSEDA will use the Sample Agreement to contract successful proposals. NYSEDA, at its sole discretion, will decide whether to contract successful projects using time and material or milestone payment terms. NYSEDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the submitted proposal. NYSEDA expects to notify proposers as soon as practical whether their proposal has been selected to receive an award. **NYSEDA may decline to contract with awardees who are delinquent with respect to any obligation under any previous or active NYSEDA agreement.**

Metrics Reporting - The Contractor will be expected to submit, to NYSEDA's Project Manager, a prepared analysis and summary of metrics addressing no less than the anticipated energy, environmental and economic benefits that the completed **Detailed Engineering Design, Financial and Business Plan Assessment** anticipates will be realized by the project. All estimates shall reference credible sources and estimating procedures, and all assumptions shall be documented. The content of such report will be as specified by NYSEDA and incorporated into any agreement between NYSEDA and the Contractor that results from an award under the RFP. NYSEDA reserves the right to retain another contractor to assist in collecting project metrics.

NYSEDA may decline to contract with awardees who are delinquent with respect to metrics reporting for any previous or active NYSEDA agreement.

LIMITATION

This solicitation does not commit NYSEDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSEDA reserves the right to accept or

reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest.

DISCLOSURE REQUIREMENT

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

VII. Attachments

Attachment A - Proposal Checklist

Attachment B - Disclosure of Prior Findings of Non-responsibility

Attachment C - Statement of Work

Attachment D – Proforma Spreadsheet

Attachment E - Sample Metrics Forms

Attachment F - Sample Agreement with Exhibits

Attachment G – Instructions for Electronic Proposal Submission

Attachment H – Community Microgrid Joint Utilities Fee Schedule for NY Prize Stage 2 Analyses

Attachment I – Stage 1 Feasibility Assessment Report Checklist



**PROPERTY MANAGEMENT SERVICES-
SARATOGA TECHNOLOGY + ENERGY PARK® (STEP®)
Request for Proposals (RFP) 3174**

Proposals Due: August 30, 2016 by 5:00 PM Eastern Time*

The New York State Energy Research and Development Authority (“NYSERDA”) requests proposals from firms interested in providing full service, comprehensive professional building management services to maintain and preserve the grounds and building located at 10 Hermes Road, and the common areas of the 280-acre site known as the Saratoga Technology + Energy Park (“STEP”) in Malta, New York. It is expected the contract will commence on October 1, 2016. The term will be for three years, with two (1) year renewals at NYSERDA’s option.

Proposal Submission: Electronic submission is preferable. NYSERDA will also accept proposals by mail or hand-delivery. If submitting electronically, proposers must submit the proposal in either PDF or MS Word format with a completed and signed Proposal Checklist and Disclosure of Prior Findings of Non-Responsibility, in PDF format. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility, rather than scanning. For ease of identification, all electronic files must be named using the proposer’s entity name in the title of the document. Proposals may be submitted electronically by following the link for electronic submissions found on this RFP’s webpage, which is located in the “Current Opportunities” section of NYSERDA’s website (<http://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>). Instructions for submitting electronically are located in that section as Attachment D to this RFP.

If mailing or hand-delivering, proposers must submit (2) paper copies of their proposal with a completed and signed Proposal Checklist, along with a CD or DVD containing both a PDF or MS Word digital copy of the proposal, following the above guidelines. Mailed or hand-delivered proposals must be clearly labeled and submitted to:

**Venice Forbes, RFP 3174
NYS Energy Research and Development Authority
17 Columbia Circle
Albany, NY 12203-6399**

If you have technical questions concerning this solicitation, contact Kevin Hunt at (518) 862-1090, ext. 3259 or kevin.hunt@nyserda.ny.gov. If you have contractual questions concerning this solicitation, contact Nancy Marucci at (518) 862-1090, ext. 3335 or nancy.marucci@nyserda.ny.gov.

No communication intended to influence this procurement is permitted except by contacting Kevin Hunt (Designated Contact) at (518) 862-1090, ext. 3259 or kevin.hunt@nyserda.ny.gov. Contacting anyone other than

this Designated Contact (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

*Late proposals and proposals lacking the appropriate completed and signed Proposal Checklist will be returned. Faxed or e-mailed proposals will not be accepted. Proposals will not be accepted at any other NYSERDA location other than the address above. If changes are made to this solicitation, notification will be posted on NYSERDA's web site at www.nyserda.org.

I. Introduction

The New York State Energy Research and Development Authority (“NYSERDA”) is a public-benefit corporation established by the State Legislature in 1975 to address the State’s energy and environmental challenges, pursuant to Title 9 of Article 8 of the Public Authorities Law of the State of New York. NYSERDA’s principal mission is to develop innovative solutions to some of the State’s most difficult energy and environmental problems, in ways that improve the State’s economy.

In August 2001, the Governor announced the creation of the Saratoga Technology + Energy Park® (“STEP®” or the “Park”), a 280-acre parcel located in the town of Malta. NYSERDA holds title to the property on behalf of the People of the State of New York. NYSERDA has been developing STEP into a community to foster the development of clean-energy and environmental technologies.

Located in STEP, the building at 10 Hermes Road (sometimes referred to as the “Building”) is a +/- 23,676 square-foot (sf) single story building constructed circa 1972, consisting of office, manufacturing and laboratory space. Over the past eleven years, numerous improvements have been made to the building including a heating, ventilating and air conditioning system, windows and doors, a backflow preventer and roof membrane.

II. Scope of Services

The selected Contractor will be required to provide full service, professional building management services necessary to maintain and preserve the building and property located at 10 Hermes Road, along with performing certain duties throughout the common areas of STEP. The Contractor will be responsible for regularly assessing the conditions of the Building and its systems; developing and implementing building operations and preventive maintenance plans, and establishing capital improvement plans necessary to maintain and preserve the Building and Park in good repair and condition, including but not limited, to landscaping, mowing and snow removal. At NYSERDA’s request, the Contractor will also oversee the design and build-out of Building renovations and improvements.

The Scope of Services to be performed is identified below, and are subject to modification.

Task 1. Operating Expense Account

The Contractor shall establish and maintain in a fiduciary capacity with a New York State bank, subject to NYSERDA approval, an account (the “Operating Expense Account”) for deposit of funds necessary to pay for supplies, equipment, and services associated with the Building operations of 10 Hermes Rd and STEP as identified in Tasks 7, 9, 10, 11, 12, 13 and 15. Such account shall be segregated from other funds maintained by the Contractor, and any interest earnings in the Operating Expense Account shall accrue to NYSERDA, and shall be used for the benefit of paying costs as herein described.

The Contractor shall purchase from funds available in the Operating Expense Account all supplies and replacement equipment which shall be necessary to properly clean, maintain and operate 10 Hermes Rd and STEP, and which is not a capital improvement, as specified in the budget, the cost of such supplies to be net of any discounts or commissions obtained for purchases.

The Contractor will review all invoices received for services, work, and supplies ordered in connection with maintaining and operating 10 Hermes Rd. and STEP, and cause such invoices to be paid from funds deposited in the Operating Expense Account.

The maximum amount to be maintained in the Operating Account is \$20,000, and minimum amount to be maintained in the Operating Expense Account is \$8,000. The Contractor will notify NYSERDA, in writing, when

the Operating Expense Account balance either reaches or will soon reach the minimum \$8,000 balance, and invoice NYSERDA for the amount required to bring the balance to the maximum amount of \$20,000.

The Contractor will not be obliged to make any advance to, or for the account of, NYSERDA, or to pay any amount except out of funds held or provided in the Operating Expense Account.

Deliverable: The Operating Expense Account will be opened within 10 business days of contract execution, and will be in the name of the Contractor. Contractor shall provide NYSERDA with instructions to deposit funds into the Operating Expense Account via electronic funds transfer. Contractor will invoice NYSERDA periodically in accordance with the Operating Account balances above, and NYSERDA will deposit the funds into the Operating Account.

By the tenth of each month, the Contractor shall forward a summary of all invoices paid through the Operating Expense Account for the previous month. Payments shall be represented on an item-by-item basis, comparing the actual cost to the budgeted cost. The summary shall also include the item-by-item aggregate costs for all such payments made during the fiscal year in question, comparing actual cost to the budgeted cost.

Task 2. Miscellaneous

2. Within the first thirty (30) days of contract execution, the Contractor will undertake the following:

1. Complete a detailed property inspection, taking a physical inventory of all NYSERDA- owned equipment. The inspection shall include an assessment of the conditions of 10 Hermes Rd. and its systems;
2. Create and update the emergency contact list, including names, and telephone and cell phone numbers;
3. Assess and review all Building- and Park-related service contracts and manufacturer's instructions and warranties;
4. Develop and implement the preventative maintenance schedule in accordance with the manufacturer's recommendations and a comprehensive Building and Park operation plan; and
5. Place two separate waste cans clearly labeled Waste and Recyclable, in the beak room at the Building.

Deliverable: Within 30 days of contract execution, the Contractor shall submit to NYSERDA the following:

1. An inventory listing. The Contractor shall keep a copy of this list, and update it annually. An updated inventory list shall be presented to NYSERDA no later than May 15 of each year of the contract;
2. The emergency contact list will be provided to NYSERDA and posted at the north, south and east entrances to 10 Hermes Rd. Should NYSERDA lease all or a portion of 10 Hermes Rd, then Contractor is to provide the tenant(s) with the emergency contact information, and review with tenant(s) all relevant building operational protocols.

Task 3. Budgeting

Two separate budgets are to be established and reported on as stipulated in Task 1, Operating Expense Account: one for the site and Building, and one for the STEP common areas.

By November 30 of each year throughout the contract, the Contractor shall prepare a draft operating budget (the "Operating Budget") for both 10 Hermes Rd and the STEP® common areas for the 12 month period from April 1 to March 31 for the following year. Once approved by NYSERDA and the Contractor has been so notified in writing, and as of April 1, the Contractor is to implement the Operating Budgets and shall be authorized to incur the obligations provided for in the approved budget. NYSERDA reserves the right to make further revisions in the approved budget at any time provided it notifies the Contractor of any such further revisions.

Deliverable: By November 15 of each year of the contract, the Contractor shall meet with NYSERDA to review the current year's operational performance and discuss the Operating Budgets for the next fiscal year. Based on the discussion, and before November 30, Contractor shall submit to NYSERDA draft Operating Budgets for the 12 month period ending March 31. NYSERDA shall review the Operating Budgets and provide written comments within five business days. The Contractor shall submit the final Operating Budgets not later than December 15 for NYSERDA's approval.

Task 4. Maintenance, Repairs and Utility Payments

The Contractor is to maintain, preserve, and keep the Building in good repair and condition, and cause to be made all necessary and proper repairs, replacements and renewals, interior and exterior, thereto in performing the following services:

- (I) Hire, or cause to be hired, paid and supervised, all persons necessary to properly maintain and operate 10 Hermes Rd, who, in each instance, will be the Contractor's and not NYSERDA's employees; cause to be discharged all persons unnecessary or undesirable; and maintain a log of all hours of work completed by all employees and subcontractors at 10 Hermes Rd and STEP®. As applicable, Prevailing Wages for Saratoga County are to be paid for work done. See Attachment E for the current Prevailing Wages, Article 9.
- (ii) Maintain, or cause 10 Hermes Rd to be maintained, in such a condition as required by this Statement of Work and as otherwise may be deemed advisable by NYSERDA (all such work to be completed in accordance with applicable State and local laws and regulations), subject only to the limitations contained within this Statement of Work. The Contractor shall ensure that all required preventive maintenance work is performed in accordance with manufacturer's specifications and all warranty work is adhered to. The Contractor shall ensure that maintenance and repairs are performed by trained technicians, which maintenance and repair shall not, to the greatest extent possible, interfere with the operations of the Building tenants, whose normal hours of operation are 8:30 AM to 5:00 PM Monday through Friday. When possible, the tenants are to be notified in advance of any work, and the anticipated time and date of work, to be completed. Repairs or alterations shall require the prior approval of NYSERDA only if such expenditure is not included in the Operating Budget (as herein defined), and shall be paid from sums on deposit in the Operating Expense Account. Emergency repairs, i.e., those immediately necessary for the preservation or safety of 10 Hermes Rd or the STEP common areas, or for the safety of the occupants of 10 Hermes Rd., or other persons, or required to avoid the suspension of any necessary service in or to 10 Hermes Rd or to avoid exposure to criminal liability, shall be made by the Contractor, without the prior approval of NYSERDA, if the Contractor is unable to communicate with NYSERDA in order to obtain such approval.
- (iii) Recommend, and with the written approval of NYSERDA, undertake, or cause, all such act and things to be done in or about 10 Hermes Rd as shall be necessary or desirable to comply with any and all orders or violations affecting 10 Hermes Rd placed thereon by any Federal, State, County or Municipal authority having jurisdiction there over, except that if failure promptly to comply with any such order or violation would or might expose NYSERDA or the Contractor to criminal liability, without the prior approval of NYSERDA if the Contractor is unable to communicate with NYSERDA to obtain such approval, it being understood that the Contractor shall notify NYSERDA promptly after receipt of any order or notice of violation, as aforesaid.

- (iv) As detailed in the Operating Budgets, solicit, bid, review, and enter into contracts in the Contractor's name for any necessary equipment maintenance, janitorial, window cleaning, trash removal, vermin extermination, landscaping, lawn care and tree maintenance, snow removal, fire alarm testing/inspection, and other services as shall be advisable. Any such contract not described in the Operating Budget which cannot by its terms be cancelled on 30 days notice or less must be authorized in writing by NYSERDA.
- (v) Tenant(s) are responsible for payment of gas and electric utility payments. NYSERDA shall be responsible for (i) any property or school tax payments; (ii) the payment of all utilities attributable to vacancy; and (iii) invoicing and collecting from tenant(s) their proportional share of all property and school taxes and utilities payments.

To the greatest extent possible, all maintenance and repair items, including but not limited to painting, carpeting, fixture replacement, appliance replacement, etc., must conform with New York State Executive Order No. 111, which can be found at <http://ogs.ny.gov/BU/DC/docs/pdf/exorder111guidelines.pdf>. New York State Executive Order No. 111 follows standards set by the Leadership for Energy & Environmental Design (LEED™).

Deliverable:

1. On or about July 1 of each year of the contract, NYSERDA shall provide Contractor with a current copy of the Prevailing Wages, Article 9, to be paid in Saratoga County, as published by the New York State Dept. of Labor. Article 8 Prevailing Wages will be provided on an as-needed basis;
2. By the 15th day following the last day of the month the Contractor is to submit to NYSERDA a report itemizing all maintenance and repair items completed during the preceding month, the company completing the job, and the total cost of the job; and
3. If asked by NYSERDA, the Contractor shall provide NYSERDA with adequate and accurate documentation regarding conformity to Executive Order No. 111.

Task 5. Equipment Replacement and Guarantees/Warranties

The Contractor will be responsible for ensuring that any equipment to be replaced is manufactured by a reputable manufacturer. The Contractor is to ensure that any new equipment be guaranteed for a minimum of one (1) year from the date of replacement and replaced at no cost to NYSERDA if found defective during that time. The Contractor will obtain cost estimates for extended warranties on new installations and consult with NYSERDA regarding the purchase of such warranties.

Deliverable: The Contractor will submit any proposed equipment and warranty purchases to NYSERDA for its review and approval, unless the item is an expenditure in the Operating Budget. The Contractor shall ensure that all work on the equipment is conducted per the product guarantee or warranty.

Task 6. Contracts

The Contractor will be responsible for soliciting, bidding and entering into contracts on NYSERDA's behalf for any necessary equipment maintenance, and services including but not limited to, janitorial, window cleaning, trash removal, vermin extermination, landscaping, lawn care and tree maintenance, snow removal and salting, fire alarm testing/inspection, and other services as advisable. Saratoga County Prevailing Wages are to be paid as applicable.

When bidding work the Contractor shall follow the guidelines found below:

When the expected cost of service for the term of the contract is:

\$50,000 and less: The Contractor shall obtain and document a minimum of three verbal quotes.

\$50,001 and over: The Contractor is to obtain written permission from NYSERDA for work to be completed. Once received, the Contractor will competitively bid the project, and prior to award, consult with NYSERDA once all bids have been received.

No one contract shall exceed a period of one year without the express written consent of NYSERDA.

The following conditions apply to competitive bidding:

1. Each bid will be solicited in a form and manner so that the bid solicitation is uniform in all bids;
2. NYSERDA is to approve the bidders list, in writing, prior to mailing;
3. Contractor will be required to solicit bids from New York State certified Minority and Women Owned Enterprises (“MWBE”) and Service Disabled Veteran Owned Businesses (“SDVOB”) for all contracted operational support. The MWBE directory is found at: <https://ny.newnycontracts.com/FrontEnd/VendorSearchPublic.asp?TN=ny&XID=4687>. The SDVOB directory is located at: http://www.ogs.ny.gov/Core/docs/CertifiedNYS_SDVOB.pdf
4. Depending on the number of bids received from MWBE and/or SDVOB, Contractor may be required to contact a sampling of contacted MWBE’s/SDVOB’s to ascertain the reason for lack of bids.
5. The Contractor may accept the low bid without prior approval if the expenditure is for a line item in the budget, and such expenditure together with previously incurred and estimated future expenditures for such line item, will not result in an excess of the annual budgeted amount for such line item; otherwise, written approval of a bid acceptance will be required;
6. If the Contractor desires to accept other than the lowest bid, or where competitive bids are not possible, written justification must be provided to NYSERDA for prior approval;
7. NYSERDA may accept or reject any proposed subcontractor; and
8. All bids shall be controlled and not opened until the time and date specified in the solicitation. Any variance greater than 15% between the lowest bid and the Contractor’s estimate shall be evaluated to determine the validity of the bid solicitation. The Contractor shall maintain documentation of the solicitation of proposals of any and all contract awards.

All contracts for work or service requested by NYSERDA, or for work or service contemplated under the Operating Budget but in excess of the amount budgeted, shall only be undertaken with the prior written approval of NYSERDA.

The Contractor will maintain complete and accurate records of all bids received and contracts awarded, and the ensuing work scope.

For any capital improvements to 10 Hermes Rd that exceed \$20,000, the amount to be adjusted by notice from the New York State Office of General Services (“OGS”), a building permit is required from OGS. NYSERDA, in cooperation with the Contractor, shall be responsible for applying for and obtaining all building permits, to be displayed as instructed, and receiving the Temporary Approvals for Occupancy or Certificates of Occupancy, a copy of which will be kept on file at the Building.

For any contracts that the Contractor engages or enters into, the Contractor will also be responsible for ensuring that all systems drawings are in compliance with accepted drafting standards, obtain updates of all changes to wiring diagrams and drawings for the Building for both existing systems and any system that may be added to 10 Hermes Rd.

Deliverable: Prior to soliciting bids, Contractor shall provide NYSERDA with a

1. Draft of the solicitation and bid documents to be let for comment and approval; and
2. A copy of the bidder's list.

Prior to accepting a proposal, the Contractor will

3. Provide NYSERDA with a summary of all bids received, to include the company name and cost, along with other relevant information;
4. Recommend a contract awardee; and
5. Provide a copy of the executed contract.

Task 7. Emergency Services

The Contractor shall provide emergency services as needed on a twenty-four (24) hour, seven (7) days a week basis. The Contractor agrees to provide an emergency telephone service on a twenty-four (24) hour, seven (7) days a week basis. From the time of the call by NYSERDA or a tenant, the Contractor has a maximum of one hour to respond to the call. The Contractor may also request that a NYSERDA representative also respond to the emergency services request.

Emergency contact information shall be displayed at the north, east and west entrances of the building, and provided to any building tenant.

Deliverable: Should the Contractor respond to an emergency service request, within 24 hours the Contractor shall provide a written report detailing the emergency, parties involved and outcome, to NYSERDA.

Task 8. Employee Work Log

The Contractor shall maintain a log of all hours of work completed by all employees and subcontractors. As applicable, prevailing wages shall apply.

Deliverable: When requested, the Contractor shall submit to NYSERDA a report summarizing the number of all hours of work completed by all employees and subcontractors for the prior month. The employee summary shall be based on gross wages, and include benefits and payroll taxes.

Task 9. Right-to-Know/Hazard Communication Program

In accordance with the New York State Toxic Substance Act (Right-to-Know Law) and the United States Occupational Safety and Health Administration's Hazard Communication Standard, the State has established and implemented a Right-to-Know/Hazard Communication Program. The Contractor is to provide information and training to advise Contractor's employees and NYSERDA of potentially hazardous substances known to be in the work place, and supply Material Safety Data Sheets ("MSDS") for all chemicals used by the Contractor's employees or other contract vendors.

Deliverable:

1. Within 60 days of contract execution, the Contractor is to provide information and training to advise employees of the Contractor and NYSERDA of potentially hazardous substances known to be in the work place.
2. Contractor will file in a binder(s) all product labels and MSDSs for chemicals used in the Building and throughout STEP, and place the binder in a mutually acceptable location.
3. Contractor will work with Building tenant(s) to ensure that product labels and MSDSs for chemicals used by the tenant(s) on-site are filed in a binder(s) and stored at the agreed upon location. *It is not the*

Contractor's responsibility to obtain and file said information from Building tenant(s). Should a Building tenant(s) resist the public storage of such information, Contractor is to so notify NYSERDA immediately.

Task 10. Building and STEP Common Area Management Services

The Contractor will be responsible for maintaining the following management services and systems, which include but are not limited to:

10 Hermes Rd:

- a. Janitorial services, as explained below;
- b. Rubbish (trash and recyclable) removal;
- c. Fire alarm and fire suppression systems;
- d. Maintain all drawings, as-builts, and other schematic drawings current as well as site/equipment manuals
- e. Plumbing;
- f. HVAC system;
- g. Window cleaning (spring and fall);
- h. Painting;
- i. Periodic carpet cleaning and replacement;
- j. Plowing of entry drives, parking lot, and delivery yard;
- k. Parking lot striping; and
- l. Providing staff to maintain and perform routine inspections and required interior and exterior maintenance.

STEP® Common Areas:

- a. Plowing of Hermes Rd and Tech Trail, NYSERDA's 252 parking spaces at the TEC-SMART parking lot (345 Hermes Rd), utility corridor, and cell tower access road;
- b. Road striping, cross walk and intersection painting;
- c. Striping of the NYSERDA's 252 parking spaces at the TEC-SMART parking lot;
- d. Sweeping of the entire TEC-SMART parking lot (spring and fall);
- e. Signage maintenance;
- f. Trash pick-up; and
- g. Trail maintenance.

Both:

- a. Lighting systems, light poles and lamps;
- b. Pest management;
- c. Electrical switchgear and electrical systems;
- d. Landscaping, tree maintenance, and maintaining walkways;
- e. Daily responsiveness to problems identified by staff of NYSERDA and tenants
- f. Lawn care and landscaping;
- g. Security;
- h. Disposal of animal carcasses;
- i. Responding in a timely fashion to tenant requests and issues as they arise;
- j. Monthly site inspections and providing written verification of such inspection;
- k. Maintain inventory, supply lists and spare parts documentation;
- l. Providing a three year capital repair and improvement plan;
- m. Provide staff to maintain and perform routine inspections and maintenance;
- n. Provide timely monthly operating report with appropriate documentation;
- o. Provide operational and preventative maintenance plans; and
- p. Filing and storage of Right-to-Know data.

Where specifications or standards are not included herein, maintenance shall be in accordance with manufacturer's recommendations and standards.

Task 11. Janitorial Cleaning

While 10 Hermes Rd remains vacant, the Contractor will be responsible for the cleaning of all office and common areas at 10 Hermes Rd on a monthly basis. At such time as the Building is partially or wholly leased, leased areas and common areas are to be cleaned not less frequently than Monday, Wednesday and Friday of each week. Exceptions are allowed for national and state holidays, in which case 10 Hermes Rd is to be cleaned the next scheduled cleaning date.

Additional janitorial cleaning may be required for major events, as defined by NYSERDA and the tenants. For any major event, an attempt shall be made to notify the Contractor not later than seven days prior to the occurrence. For tenant-sponsored events, the tenant(s) will be invoiced for the cleaning service and is responsible for payment.

Janitorial cleaning includes, but is not limited to:

1. The emptying of all waste cans, and properly disposing of the waste and recyclables
2. Vacuuming all carpeted floors in offices and common areas;
3. Shampooing carpets on an annual basis, or more frequently as needed;
4. Cleaning and/or replacement of runners;
5. Dusting of window sills and baseboards;
6. Sweeping and mopping all tiled or linoleum offices, bathrooms, common areas, and break room
7. Cleaning all mirrors, counter tops, sinks, toilets, urinals, and tables using appropriate cleansing agents;
8. Bath room walls;
9. No less frequently than weekly all office waste can liners are to be replaced;
10. Bathroom waste can liners are to be replace with every cleaning, and
11. Emergency cleanings as they arise.

Task 12. Grounds Maintenance

The Contractor will be responsible for maintaining the exterior of 10 Hermes Rd, and the STEP® common areas, including but not limited to, both sides of Hermes Rd from Dunning Street to Stonebreak Rd Extension, Hermes Road to 107 Hermes Rd and 345 Hermes Rd, the TEC-SMART parking lot, the pathway, and forest. Grounds maintenance includes the:

1. Planting and the replacement of shrubs and flowers, and the spreading of mulch and weeding of the landscaped areas. Weeding shall occur not less frequently than weekly. All flowers and plants that are planted are to conform with the landscaping plans as described in the Design Guidelines for STEP, which will be provided to the selected Contractor;
2. Periodic application of herbicides and pesticides, and over-seeding. Not later than 48 hours prior to the application of any herbicide or pesticide, Contractor is to provide NYSERDA with a written notice of the timing of said application. Contractor will obtain and appropriately file all MSDS related to the herbicide or pesticide applied;
3. Watering of all landscaped areas on an as-needed basis;
4. Mowing of lawns. This is to occur on both sides of Hermes Rd from the Dunning St entrance to Stonebreak Rd Extension, including any mowing required along Hermes Rd to 107 and 345 Hermes Rd, Tech Trail, and any roads built at STEP throughout the term of the property management contract, and in

the front, sides, and back of 10 Hermes Rd. This shall be on an as-needed basis, but in no instance shall the grass length exceed four (4) inches in length;

5. Spring and fall clean-up. This includes the raking and disposal of leaves at 10 Hermes Rd, in and around the gateway sign, and along the areas described in (3) above. This also includes keeping the sidewalks and access roads at 10 Hermes Rd clean of pine needles, dirt and debris;
6. Periodic power washing of the gateway sign; and
7. Removal of litter and debris. The Contractor will be responsible for picking up all litter and debris along all roads, structures (gazebo, signs, etc), pathways and trails at STEP, and as described in (3) above.

Task 13. Snow Removal

The Contractor will be responsible for snow removal (shoveling, snow blowing, plowing, and salting) in the following areas. Alternatives to road salt are to be explored and discussed with NYSERDA.

10 Hermes Rd

1. All sidewalks and parking lots;
2. The drives accessing the Building and delivery yard;
3. At and around all shipping and receiving docks;
4. Clearing snow to provide access to the shed and all storage containers; and
5. Clearing snow away from all HVAC equipment.

STEP®

8. Hermes Rd, from Dunning St to Stonebreak Rd Extension;
9. Tech Trail;
10. The cell tower access road off Stonebreak Extension;
11. 252 parking spaces at 345 Hermes Rd, taking care not to damage the islands;
12. Clearing snow to provide access to all fire hydrants throughout STEP; and
13. Clearing snow from the trailhead parking lot and access road.

The utility corridor is to be maintained to the extent that it is accessible to and safe for emergency access vehicles.

Presently, there are +/- 1.5 miles of roads at STEP to maintain, along with one common parking lot. As STEP is built-out, the additional roads and common parking lots will need to be maintained as well

When plowing Hermes Rd., the Contractor will ensure that both lanes are cleared of snow and ice to the edge of the blacktop, and there is safe and sufficient room for 2-lane traffic. The Contractor will periodically shelf the snow banks on either side of the road.

Prior to November 1 of each year, Contractor will review with the plowing subcontractor those areas that are to be maintained, and how they are to be maintained.

Following the close of each plowing season, Contractor is to review with the plowing subcontractor those areas that were damaged by the plowing subcontractor, who will be expected to restore said areas to original condition at the plowing subcontractors' expense.

Deliverable: To the greatest extent possible, the Contractor or plowing subcontractor shall plow and salt as frequently as the Town of Malta. Should there be any questions regarding plowing and/or conditions, the Contractor is to contact the Malta Town Highway Superintendent at 899-2818. The Contractor will also remove snow at the request of NYSERDA and STEP tenants, either Building or other, or when health and safety is at risk.

On a monthly basis, the Contractor will submit a summary of the dates when shoveling and plowing occurred, the number of pushes during the month, and number of cumulative pushes.

Task 14. Construction Management Services

With the prior written consent of NYSERDA, the Contractor will draft, solicit and receive bids per Task 6, Contracts, and negotiate and enter into contracts on NYSERDA’s behalf for capital repairs and improvements to 10 Hermes Rd. Contractor will coordinate any work with Building tenants, supervise all work to be performed under such contracts, authorize payment for all work performed under such contracts, and maintain accurate time sheets and records of costs. As applicable, prevailing wages are to be paid, and MWBE and SDVOB requirements apply.

The Contractor will engage as necessary architects’ and engineering services required for the planning and supervision of alterations and/or improvements made or proposed to be made to 10 Hermes Rd. The Contractor will receive a fee, to be negotiated and established for the life of the agreement, of the actual costs incurred for overhead/profit for bidding and overseeing such capital related projects.

In such instances when construction is completed by the Contractor, NYSERDA will reimburse the Contractor for direct construction costs plus a negotiated fee of the total cost for overhead and profit. Direct construction costs will be accounted for by completing Daily Labor, Material, Equipment and Subcontract time sheets. These time sheets are to be submitted to NYSERDA when requested. Direct labor rate costs for plumbers, electricians, carpenters, and other union represented trades shall be paid at the Saratoga County Prevailing Wage rate for the particular trade involved plus statutory labor burdens. MWBE and SDVOB requirements apply. The Contractor is to maintain accurate records of time sheets and materials costs.

Deliverable: Prior to undertaking any capital improvement, the Contractor is to obtain estimates as outlined in Task 6, Contracts. The Contractor is to submit the estimates to NYSERDA, who will authorize work in writing. Not more than monthly the Contractor is to invoice NYSERDA for progress payments. Each invoice submitted for capital repairs shall represent 95% of the total amount of the invoice. The remaining 5% shall represent the retainage, to be paid within 30 days of satisfactory installation and inspection of the entire job.

Task 15. Meetings

The NYSERDA project Manager and Contractor will periodically meet at 10 Hermes Rd. for the following purposes:

1. Review building management progress and quality of work;
2. Identify and resolve problems;
3. Coordinate the efforts of all concerned so that these services are rendered efficiently and effectively; and
4. Maintain a sound working relationship between the Contractor and NYSERDA.

Task 16. Change in Tenancy

As soon as it is known, a NYSERDA will notify the Contractor of any change in tenancy, including the vacating of existing tenants, change in tenants’ physical space, or leasing to new tenants. NYSERDA, Contractor and the tenant will coordinate any build-out requirements.

In instances when new tenants take possession of space, and within 7 days of same, the Contractor is to meet with the tenant’s principal employee or designee to

1. Review building procedures and schedules;
2. Provide the principal or designee with an Emergency Contact List, as described in Task 2; and
3. Notify tenant of MSDS requirements per Task 9.

Task 17. Records

The Contractor will file quarterly MWBE reports with NYSERDA, and assist NYSERDA in the preparation of any governmental filing that may be pertaining to the Building or STEP®.

The Contractor will set up and maintain orderly books, records and files containing correspondence, receipted bills, contracts and vouchers and all other documentations and papers pertaining to 10 Hermes Rd and STEP, and the operation and maintenance thereof. The Contractor shall upon request of NYSERDA make same available, and will deliver same to NYSERDA or its agents on demand from NYSERDA, provided, however, the Contractor will have no duty to maintain records or files for a period longer than six (6) years after the fiscal year in which they were created.

III. Minimum Qualifications

To be considered for award under this RFP, the Proposer must demonstrate to the satisfaction of NYSERDA's evaluation team that the Proposer has successfully managed a minimum of three commercial or industrial buildings consisting of at least 20,000 square feet in each of the past three years for other property owners. The Proposer must have a direct contractual agreement for the referenced properties and the scope of building management services must be at least as extensive as the services required by this RFP.

The Proposer must have experience in the operation of commercial or industrial building mechanical, HVAC and control systems, encompassing

- Successful troubleshooting and/or performance verification of mechanical control systems and HVAC systems;
- Successful trouble shooting and/or performance verification of other building systems including but not limited to energy management systems, fire alarm/fire suppression/security systems, and general building and lighting electrical control systems;
- Testing instrumentation;
- Performance of testing and balancing of HVAC systems;
- Planning and delivery of property management services;
- Producing capital repair and improvement plans for commercial and industrial building-oriented systems;
- Maintaining regular liaison with tenants and resolving building-oriented complaints; and
- Implementing cost control and savings measures to ensure the building is operated effectively, efficiently and within budget.

IV. Proposal Requirements

If mailing or hand-delivering, proposers must submit two (2) paper copies of their proposal with a completed and signed Proposal Checklist, along with a CD or DVD containing both a PDF or MS Word digital copy of the proposal to the attention of Roseanne Viscusi at the address on the front of this Request for Proposal. A completed and signed Proposal Checklist (Attachment A) must be attached to the front cover of all both paper copies of your proposal, one of which must contain an original signature. **Late proposals and proposals lacking the appropriate completed and signed Proposal Checklist will be returned.** Faxed or e-mailed copies will not be accepted. Be sure that the individual signing the checklist is authorized to commit the Proposer's organization to the proposal as submitted. Each page of the proposal should state the name of the Proposer, the RFP number, and

the page number. NYSERDA reserves the right to request additional data or material to support proposals. All material submitted in response to the RFP will become the property of NYSERDA.

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

In compliance with §139-j and §139-k of the State Finance Law (see Section V, General Conditions below for additional information), additional forms must be completed and filed with proposals:(1) a signed copy of the Proposal Checklist including required certifications under the State Finance Law and (2) a completed Disclosure of Prior Findings of Non-Responsibility form. Failure to include a signed copy of the Proposal Checklist referenced in this solicitation may disqualify your proposal.

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

A. The Proposer

1. Company Information –Proposers must provide, to the greatest extent possible, the following information for each member of the proposed team:

- Name of business entity (including any “Doing Business As” names)
- Headquarters/Parent Company Location
- History of firm
- Property management experience in New York
- Internet web site address (if any)
- Details of entity’s business structure (corporation, partnership, LLC)
- Date founded
- New York State and other pertinent locations and total number of employees at each
- Briefly explain your understanding of the project requirements
- Submit proof of insurability for workers compensation and consultant liability
- Submit a current copy of the Proposer’s SDVOB certification. Refer to Attachment F for SDVOB documentation
- List of any outstanding litigation that would threaten the viability of the firm or the performance of this contract

2. Qualifications

The Proposer is to provide:

- a. A detailed list of buildings managed in the last three years, their respective gross and rentable square feet, and the name of the property owner for whom the property is managed;
- b. An explanation of why the Proposer is the best qualified to perform the contract and demonstrate its qualifications including an item-by-item disclosure outlining how the Proposer meets or exceeds the requirements of this RFP;
- c. A business plan, schedule of proposed deliverables, and project management system for this project using methodologies that have been successfully employed in other engagements of similar size and complexity. The plan should include, in the Proposer’s own words, their understanding of the issues and tasks of the project at hand. Proposers are required to present a detailed description

- of the methodology to be used by it in achieving the objectives of the project and accomplishing the Tasks described in the Scope of Services with separate and specific reference to each subsection;
- d. A description of any specific experience and qualifications in building management and any specific experience it has in each of the particular building operations and management disciplines (i.e.: mechanical systems, electrical systems, fire alarms, energy management systems, plumbing systems, etc., as stipulated in Section III); and
 - e. A sample (or actual if available) building management manual containing actual procedures developed, reports generated, forms utilized and other pertinent data that will assist NYSERDA in determining the technical merit of the proposal, and a description of the systems' benefits to NYSERDA.

3. Staffing

The Proposer is to provide or describe:

- a. The size and experience of the corporate staff pool from which staff assigned to the management contract can be drawn;
- b. The level of staff to be assigned to this project. Identified staff must have direct building management related experience including:
 - i. The names of the employees in the area responsible for this contract,
 - ii. Their function in the company, title, and number of years of service with the Provider's firm.
 - iii. Detailed resumes for the specific individuals designated to work on this contract, specifying educational and work experiences deemed relevant to the type of work to be undertaken.
- d. Provide the name of the person designated as the "Project Leader" who will be responsible for the coordination of work efforts of the other individuals. Information to be provided regarding the project leader is to include:
 - i. Length of career in providing Building Management Services
 - ii. Professional designations
 - iii. The Project Lead's resume is to be included
- e. Indicate the anticipated work to be performed directly and to be subcontracted. Where any subcontractor shall be used in a particular discipline describe, if known, the subcontractor's qualifications in detail.

4. References

Each Proposer must submit a list of at least three (3) references documenting its experience, including the following information for all building management services provided over the last three years, or currently in process:

- a. A listing of all buildings where the Proposer is the building manager for buildings that are owned by or have leases with the State of New York or other governmental organizations.
- b. Proposer's list of notable accomplishments including name of entity or company serviced, transaction size, level of difficulty, and dates from onset to conclusion.
- c. Team personnel assigned to the project.
- d. Name and Title of Reference.

- e. Telephone number(s).

Individuals identified as references will be assured of anonymity to the fullest degree possible under the Freedom of Information Law.

NYSERDA retains the right to request any additional information pertaining to the Proposer's ability, qualifications, and procedures used to accomplish all work under the contract as it deems necessary to ensure safe and satisfactory work.

5. Cost of Services

Proposers must submit their fee proposal, as found in Attachment G, for required services necessary to provide NYSERDA with the required deliverables. Prevailing Wages for Saratoga County are applicable. Each Proposal must include:

- a. The annual Management Fee, to be paid in equal monthly installments, to be charged for the first three years of the agreement as well as the two renewal periods. This must be a fixed dollar amount and not a percentage based on expenses. For the purposes of the agreement, the Management Fee shall include the cost of off-site corporate building management and administrative personnel, all overhead and profit, and all administrative expenses including payroll processing cost, auditing, accounting, reporting or other requirements, and excluding depreciation, amortization, and interest expenses.
- b. A detailed listing of any other expenses or fees to be paid directly to the Proposer (excluding those additional services provided below). These expenses shall be based on the actual costs incurred with no mark-up allowed. These items should include a list of the Proposer's on-site employee(s) (in Full Time Equivalent) by title, their respective salary(s), all fringe benefits, any other ancillary items provided to employees (such as 401K, leased vehicles, paid parking, etc.) together with a list of any other items and their respective cost to be charged by the Proposer as part of the agreement. If periodic building related services (e.g. electricians, plumbers) are to be provided by employees of the Proposer, the listing should include those titles and their respective hourly rates and fringe benefits. Unless otherwise agreed to by NYSERDA, reimbursement for these items will be limited to the amount set forth in the Agreement. Any expenses not specifically included will not be eligible for reimbursement and must be absorbed by the Management Fee.
- c. A fee proposal and detailed explanation for additional services that may be performed in addition to the foregoing such as to supervise or secure renovation or construction services, including capital repairs and replacements. The proposal must clearly identify what types of services will be separately billed to NYSERDA as opposed to those that are included in the Management Fee, or other expenses or fees included in Item (b) above. This fee should be shown as a percentage of the direct construction costs but may not exceed 15%.

If construction related services are provided by other employees of the Proposer (e.g. engineers, electricians, plumbers), the listing should include those titles and their respective hourly rates. Unless otherwise agreed to by NYSERDA, the rate will be those set forth in the Agreement.

6. MWBE Utilization Plan and SDVOB Utilization Plan

MWBE: See Attachment C, MWBE. The MWBE Utilization Plan (also included in Attachment C) must be completed and submitted with the proposal.

If the Proposer is not MWBE-certified, describe your experience in subcontracting with such businesses. Explain your methodology for attracting and subcontracting with MWBE-certified businesses, and how you intend to meet NYSERDA's MWBE goals.

SDVOB: See Attachment F, SDVOB. The SDVOB Utilization Plan (included in Attachment F) must be completed and submitted with the proposal.

If the Proposer is not SDVOB-certified, describe your experience in subcontracting with such businesses. Explain your methodology for attracting and subcontracting with SDVOB-certified businesses, and how you intend to meet NYSERDA's SDVOB goals.

B. Proposal Evaluation

Proposals submitted in response to this RFP will be reviewed, and scores assigned based on the information provided and satisfactory references. NYSERDA retains the right to request any additional information pertaining to the Proposer's ability, qualifications, and procedures used to accomplish all work under the contract as it deems necessary to ensure safe and satisfactory work. Proposals will be reviewed by a technical evaluation panel consisting of NYSERDA staff and external individuals.

1. Selection Criteria

Each proposal will be evaluated using the following criteria:

A. Qualifications

Does the proposal provide:

- A detailed list of buildings managed in the last three years, their respective gross and rentable square feet, and the name of the property owner for whom the property is managed;
- An explanation as to why the Proposer is best qualified to meet or exceed the needs established within this document;
- A business plan, schedule of deliverables and project management system/strategy, and detailed methodology. Is it evident the Proposer understands the issues and tasks;
- A description of specific experiences and qualifications. A description of how it meets the minimum qualifications found in Section III; and
- A sample building management manual, with a description of the benefits of the system to NYSERDA?

B. Staffing

Quality of the Proposer's, Project Lead and staff's experience:

- The size and experience of staff on which to draw;
- The level of experience of staff assigned to this project. Was staff and their area of expertise identified. Do they have building management experience. Were staff resumes provided;
- Experience of the Project Lead, and was a resume included; and
- Did the proposal indicate the anticipated work to be performed by the Property Manager vs subcontractors? If subcontractors were identified, are their qualifications satisfactory?

C. References

- A listing of all buildings where the Proposer is the building manager for buildings that are owned by or have leases with the State of New York or other governmental units;
- Proposer's list of notable accomplishments, including the name of the entity serviced, transaction size, level of difficulty, and dates from onset to conclusion;
- Team personnel assigned to the project; and
- Satisfactory references.

Individuals identified as references will be assured of anonymity to the fullest extent possible under the Freedom of Information Law.

NYSERDAS retains the right to request any additional information pertaining to the Proposer's ability, qualifications, and procedures used to accomplish all work under the contract as it deems necessary to ensure safe and satisfactory work.

D. Cost

The pricing proposal will be evaluated for reasonableness of cost for the total effort. Pricing proposals must be complete, accurate and well documented. Any pricing conditions or contingencies must be clearly stated.

All lump sum prices must be inclusive of all direct and non-direct costs as well as all overhead, fees and profit.

- Is the annual management fee reasonable, and presented as a fixed dollar amount;
- Was a detailed listing of other expenses or fees to be paid to the Proposer provided? For example, salaries, benefits, leased vehicles, etc. If applicable, are employee trade rates included; and
- A fee proposal with explanation for additional services, ie Construction Management, and were such services identified

D. MWBE/SDVOB Utilization Plan

- Is the Proposer MWBE- or SDVOB-certified;
- What is the Proposer's experience in subcontracting with MWBE- or SDVOB-certified companies; and
- How will the Proposer attract and subcontract with such businesses to meet NYSERDA's goals?

V. GENERAL CONDITIONS

Proprietary Information - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to accept it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <http://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

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

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

Empire State Development
Division For Small Business
30 South Pearl Street
Albany, NY 12245

A directory of certified minority- and women-owned business enterprises is available from:

Empire State Development
Minority and Women's Business Development Division
30 South Pearl Street
Albany, NY 12245

New York Executive Law Article 15-A - NYSERDA is required under the law to promote opportunities for maximum feasible participation of certified minority-and women-owned business enterprises and the employment of minority group members and women in the performance of NYSERDA contracts. The MWBE participation goals and obligations of the selected Contractor are set forth in Attachment C.

State Finance Law sections 139-j and 139-k - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <http://www.ogs.state.ny.us/aboutogs/regulations/advisoryCouncil/StatutoryReferences.html>

The attached Proposal Checklist calls for a signature certifying that the proposer will comply with State Finance Law sections 139-j and 139-k and the Disclosure of Prior Findings of Non-responsibility form includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years.

New York Executive Law Article 17-B – NYSERDA is required under law to promote opportunities for maximum feasible participation of certified Service-Disabled Veteran-Owned Businesses. The SDVOB participation goals and obligations of the selected Contractor are set forth in Attachment F.

Tax Law Section 5-a - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. *See*, ST-220-TD (available at http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department. The Department has created a second form that must be completed by a prospective contractor prior to contacting and filed with NYSERDA. *See*, ST-220-CA (available at

http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf). The Department has developed guidance for contractors which is available at http://www.tax.state.ny.us/pdf/publications/sales/pub223_606.pdf.

Contract Award - NYSEERDA anticipates making one award under this solicitation. It may award a contract based on initial applications without discussion, or following limited discussion or negotiations. Each offer should be submitted using the most favorable cost and technical terms. NYSEERDA may request additional data or material to support applications. NYSEERDA will use the Sample Agreement to contract successful proposals. NYSEERDA expects to notify proposers in approximately 8 weeks from the proposal due date whether your proposal has been selected to receive an award.

Limitation - This solicitation does not commit NYSEERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSEERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSEERDA's best interest.

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

VI. Attachments:

- Attachment A - Proposal Checklist
- Attachment B - Disclosure of Prior Findings of Non- Responsibility
- Attachment C – MWBE
- Attachment D – Electronic Proposal Submission Instructions
- Attachment E – Prevailing Wages, Article 9
- Attachment F – SDVOB
- Attachment G – Cost Proposal
- Attachment H – Sample Agreement



**Zero Emission Vehicle Support Contractor
Request for Proposal (RFP) 3239
Up to \$700,000 Available**

Proposals Due: May 3, 2016 by 5:00 PM Eastern Time*

The 2016-17 New York State budget includes a provision establishing a zero emission vehicle (ZEV) rebate program to be administered by NYSERDA. This Zero Emission Vehicle Support Contractor solicitation seeks to select a ZEV Support Contractor to assist New York State in evaluating potential options for developing a ZEV rebate for New York State and, if New York State chooses to pursue a rebate program, to administer such a program. Proposed activities under this program would be structured in two phases. In Phase I, the Exploratory Phase, the contractor would provide guidance on program design and methods to engage key stakeholders, including auto manufacturers, car dealers, and car buyers. Phase II the contractor would implement a rebate application and verification system, raise awareness of the rebate program among key stakeholders, and conduct and analyze program participant surveys.

Proposal Submission: Electronic submission is preferable. NYSERDA will also accept proposals by mail or hand-delivery. If submitting electronically, proposers must submit the proposal in either PDF or MS Word format with a completed and signed Proposal Checklist and Disclosure of Prior Findings of Non-Responsibility, in PDF format. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility, rather than scanning. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. Proposals may be submitted electronically by following the link for electronic submissions found on this RFP's webpage, which is located in the "Current Opportunities" section of NYSERDA's website (<http://www.nyserderda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>). Instructions for submitting electronically are located as Attachment E to this RFP.

If mailing or hand-delivering, proposers must submit two (2) paper copies of their proposal with a completed and signed Proposal Checklist, along with a CD or DVD containing both a PDF or MS Word digital copy of the proposal, following the above guidelines. Mailed or hand-delivered proposals must be clearly labeled and submitted to:

**Roseanne Viscusi, RFP 3239
NYS Energy Research and Development Authority
17 Columbia Circle
Albany, NY 12203-6399**

If you have technical questions concerning this solicitation, contact Patrick Bolton, (518) 862-1090, ext. 3322 or patrick.bolton@nyserderda.ny.gov, or Adam Ruder, (518) 862-1090, ext. 3411 or adam.ruder@nyserderda.ny.gov. If you have contractual questions concerning this solicitation, contact Nancy Marucci at (518) 862-1090, ext. 3335 or nancy.marucci@nyserderda.ny.gov.

No communication intended to influence this procurement is permitted except by contacting Patrick Bolton (Designated Contact) at (518) 862-1090, ext. 3322 or patrick.bolton@nyserderda.ny.gov. Contacting anyone other than this Designated Contact (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

* Late proposals will be returned. Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal. Faxed or e-mailed proposals will not be accepted. Proposals will not be accepted at any other NYSERDA location other than the address above. If changes are made to this solicitation, notification will be posted on NYSERDA's web site at www.nyserderda.ny.gov.

I. Introduction

Zero emission vehicles (ZEVs) include both plug-in electric vehicles (PEVs) and hydrogen fuel cell vehicles (FCVs). PEVs in turn include both all-electric vehicles and plug-in hybrid electric vehicles, which run on electricity before transitioning to gasoline. New York is one of ten states that have adopted California's ZEV Program regulations, which apply to vehicle manufacturers and require an increasing percentage of all light duty vehicles sold in the State to be ZEVs. In 2013 Governor Cuomo and governors of seven other ZEV Program states signed an MOU committing to collaborate on activities to build the ZEV market and meet ZEV Program targets.

New York State's ZEV adoption has been growing steadily, from about 2,500 in January 2013 to over 15,000 today. Currently, there are over 15 PEV models available for purchase in New York State, but no FCVs. Governor Cuomo's ChargeNY Initiative has been working to create the conditions for ZEV adoption through a wide range of programs, including subsidies and a tax credit to reduce charging station costs; policy and technology research and demonstration projects; incentives for EV drivers such as HOV lane access and reduced tolls on bridges, tunnels and the Thruway; and consumer and stakeholder education. ChargeNY established a goal of deploying 3,000 electric vehicle supply equipment (EVSE) charging stations throughout the State to support the 40,000 ZEVs required by the ZEV regulations by 2018.

While New York State has worked to break down market barriers to ZEV adoption by increasing infrastructure availability, developing appropriate supportive policies and regulations, and broadening customer awareness, the State has not offered rebates or other financial incentives for purchasing ZEVs. About ten other states offer cash incentives on top of the federal income tax credits available for ZEV purchases, ranging from about \$500 to \$6,000. A number of recent studies have pointed to financial incentives as an effective policy tool for increasing ZEV sales.

Depending on the mix of plug-in hybrids and all-electric vehicles, the ZEV regulations call for the sale of approximately 10,000 ZEVs in New York State in the next 12 months, and approximately 15,000 ZEVs in the following 12 months. This is a steep increase from the 3,000 to 4,000 ZEV sales per year in New York State from 2013 to 2015. To achieve these results, the State sees a potential need for additional policy measures as well as collective action from key stakeholders, in particular auto manufacturers and car dealers. To this end, on April 1, 2016 the New York State Legislature directed NYSERDA to develop and implement a ZEV rebate program.

II. Program Requirements

Services Requested

NYSERDA seeks one organization (including teaming arrangements and subcontractors) to assist New York State with developing a concept for what a financial incentive program in the State could look like and how it could be administered.

NYSERDA anticipates that the incentives would likely be provided as a point-of-sale rebate where NYSERDA would provide a multi-tiered rebate directly to car dealers, who would reduce the purchase price of the car by the rebate amount, passing the rebate on to the car buyers. In similar programs it runs, NYSERDA relies on contractors to accept and review program applications and then make payments to the recipients directly.

In the examination of ZEV rebate program structure, proposers should provide NYSERDA with ideas for each of the following five support areas including detailed proposed budgets for each phase and for each support area within each phase: (NYSERDA is very interested in innovative ideas on controlling costs in the implementation and operation of the potential ZEV incentive program.)

Phase I: Exploratory Phase

1. Providing guidance on the design of program mechanics. How would the proposer structure a point-of-sale rebate program for light-duty ZEVs? How would the proposer recommend structuring incentive levels and disbursement policies if there is a fixed amount of money available for rebates? What guidance documents and contractual documents might be necessary to develop?
2. Supporting stakeholder engagement. How would the proposer go about engaging auto manufacturers, car dealers, and car buyers to build interest in and support for a ZEV rebate program? What materials would

the proposer recommend developing to educate the necessary parties about such a program? Would information technology materials such as websites need to be designed?

Phase II: Implementation Phase

3. Assisting with the design of a system for accepting and verifying rebate applications. What documentation would the proposer recommend collecting to approve and verify rebate applications? How would the proposer recommend going about this collection? How would the proposer collect and store this information securely, and how would it transmit the necessary data to NYSERDA to trigger rebate payments? How would the proposer control costs for required documentation review?
4. Spreading awareness of a ZEV rebate program. What kind of materials would the proposer recommend producing to educate car buyers, car dealers, auto manufacturers, and other key stakeholders about a rebate program? How would the proposer get these materials in front of the right audiences?
5. Learning about program participation through user surveys. How would the proposer recommend gaining information from program participants about their ZEV purchasing decisions? What kind of questions would the proposer recommend asking to both collect information to inform future program design and ensure a meaningful level of participation through simplicity? How would the proposer analyze and distribute the results of such surveys?
6. Describe any additional activities, if any, the proposer recommends being undertaken as part of this effort to enhance the program or reduce costs that are not described in the previous five support areas.

Program Eligibility

Any entity is eligible to apply for funding under RFP 3239. Teaming arrangements or subcontracting of portions of the work scope is encouraged if a proposer believes that the project would benefit from the qualifications and participation of another party. NYSERDA intends to make only one award under RFP 3239.

Program Funding

Up to \$700,000 in NYSERDA funding is available through RFP 3239 to perform ZEV support work for NYSERDA, as described above. Funds will be allocated on a competitive basis. It is anticipated that a single contract will be awarded from RFP 3239 but NYSERDA reserves the right to award zero, one or more contracts from this solicitation. An individual award may include all or selected portions of a proposer's work scope. The initial contract will be for a duration of 15 months with an option to extend the contract. NYSERDA may choose to add additional funding to the contract if the scope of work is expanded. Cost share from the proposer or proposer team is encouraged but not required.

Program Schedule

Proposers should be available to start work within six weeks of the proposal submission date. Phase I of projects should be completed within two months of the project start date. Phase II should be able to be started upon completion of Phase I and should anticipate approximately 12 months of administering a potential ZEV rebate program.

Letters of Commitment

If proposers are relying on any other organization to do some of the work or provide services or equipment, they should include a letter from that organization describing its planned participation. Absence of letters of commitment may be interpreted as meaning that the proposer does not have support from the subject parties.

III. Proposal Requirements

Proposers must either submit their proposal through the electronic submission process described on the front of this RFP and in Attachment E or submit two (2) hard copies and one (1) electronic media copy (CD or DVD) of the proposal to the attention of Roseanne Viscusi at the address on the front of this Request for Proposals. Electronic files should be submitted in readily accessible formats (Word, Excel, PDF). A completed Proposal Checklist, signed by someone authorized to commit the organization, must be attached as the front cover of your proposal. Late proposals and proposals lacking the appropriate completed and signed Proposal Checklist will be returned. Faxed or e-mailed copies will not be accepted.

Proposals should not be excessively long or submitted in an elaborate format. Total proposal length should be 20

pages or less, plus appendices. Suggested page limits for each section are provided below in parentheses. Proposals that grossly exceed the page limits or fail to follow the format guidelines may be rejected as non-responsive. Proposals should concisely present the information needed to fully address the evaluation criteria (see Section IV). Each page of the proposal should state the name of the proposer, the PON number, and the page number. If you believe proprietary information must be submitted to present an adequate proposal, please contact the Designated Contact listed at the beginning of this RFP, indicate as such on the Proposal Checklist, and comply with the Section V instructions for submitting proprietary material.

The electronic version of the proposal should contain the following files:

1. The entire proposal in electronic format, preferably in a single Word or PDF file although multiple files are acceptable if necessary
2. Attachment C as a stand-alone Excel file
3. The proposed statement of work as a stand-alone Word file

The proposal must be in the following format and should present the items in the sequence indicated below.

1. Proposal Checklist. Complete the specific Proposal Checklist attached as part of this RFP (Attachment A), and include it as the front cover of the original and each copy of the proposal. Note the following:

- NYSERDA will enter into a contract with successful proposers using the attached Sample Agreement (Attachment D). Indicate whether you accept the standard terms and conditions as contained in the attached Sample Agreement. If you do not accept the standard terms and conditions (Attachment D), provide alternate terms with justification based on the risk and benefit to New York State. NYSERDA reserves the right to consider only exceptions to terms that are specifically included with the proposal. Any negotiation of terms will be at NYSERDA's sole discretion. Attachment D does not need to be completed; it is provided only for review per the discussion above.
- Do not leave any blanks. If a specific question is not applicable, indicate N/A.
- Be sure the individual signing the Proposal Checklist is authorized to commit the proposer's organization to the proposal as submitted.

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

In compliance with §139-j and §139-k of the State Finance Law (see Section V, General Conditions below for additional information), additional forms must be completed and filed with proposals: (1) a signed copy of the Proposal Checklist including required certifications under the State Finance Law and (2) a completed Disclosure of Prior Findings of Non-Responsibility form. Failure to include a signed copy of the Proposal Checklist referenced in this solicitation may disqualify your proposal.

3. Contract Pricing Proposal Form. A Contract Pricing Proposal Form (CPPF), with associated instructions, is provided as Attachment C. Each proposal must include a completed CPPF. The net cost to NYSERDA is one of the evaluation criteria and will be closely considered. Include the CPPF directly following the Disclosure of Prior Findings of Non-Responsibility Form. If other entities such as subcontractors or other teaming entities will receive NYSERDA funding or are providing cost share as part of the project they must also complete a CPPF form.

4. Proposal Narrative. The Proposal Narrative includes the core details of the proposal. The Proposal Narrative should include the following sections:

- A. Program Design and Mechanics.** Describe how the proposer would go about designing and structuring a point-of-sale rebate program for light-duty ZEVs. How would the proposer recommend structuring incentive levels and disbursement policies if there is a fixed amount of money available for rebates? What guidance documents and contractual documents might be necessary to develop? Describe the proposer's experience with designing and implementing similar rebate programs. (Estimated length: 2 to 3 pages)
- B. Stakeholder Engagement.** Describe how the proposer would go about engaging key stakeholders, including auto manufacturers, car dealers, and car buyers, to build interest in and support for a ZEV rebate program. Describe the proposer's relevant outreach experience, particularly in advance of program launches. What materials would the proposer recommend developing to educate the necessary parties about such a program? (Estimated length: 2 to 3 pages)

- C. **Application Processing and Verification.** Describe how the proposer would establish a system for receiving, evaluating, processing, and verifying applications to the rebate program. What documentation would the proposer recommend collecting to approve and verify rebate applications? How would the proposer recommend going about this collection? How would the proposer collect and store this information securely, and how would it transmit the necessary data to NYSERDA to trigger rebate payments? How much would it cost per transaction to administer such a program if there were 5,000 transactions? If there were 10,000 transactions? (Estimated length: 2 to 3 pages)
- D. **Program Awareness Building.** Describe how the proposer would raise awareness of a ZEV rebate program among key audiences. What kind of materials would the proposer recommend producing to educate car buyers, car dealers, auto manufacturers, and other key stakeholders about a rebate program? What traditional and social media channels would the proposer use to raise program awareness among appropriate audiences? (Estimated length: 2 to 3 pages)
- E. **Program Participation Surveys.** Describe how the proposer would collect, process, and report information about program performance and efficacy to both inform ZEV market participants and NYSERDA program revisions. How would the proposer recommend gathering information from program participants about their ZEV purchasing decisions? What kind of questions would the proposer recommend asking to both collect information to inform future program design and ensure a meaningful level of participation through simplicity? How would the proposer analyze and distribute the results of such surveys? (Estimated length: 2 to 3 pages)
- F. **Additional Activities not Discussed.** Discuss any additional activities that the proposer recommends be undertaken to enhance program performance, reducing costs, and achieving the ZEV goals stated in section I. Introduction. (Estimated length: 0 to 3 pages)
- G. **Project Management and Qualifications.** Identify the Project Manager (main point of contact for NYSERDA) and key participants in the project. Describe their individual expertise and explain how each will contribute to the successful completion of the project. Describe the team's management and technical expertise and relevant experience with ZEVs, program management, application processing, stakeholder outreach, awareness-building, surveys, and data analysis. List the tasks to be performed by the Project Manager and other key participants. Include resumes in an appendix. (Estimated length: 2 to 4 pages)
- H. **Statement of Work. (Attachment – F Sample Statement of Work.** In the electronic version, please include the Statement of Work (SOW) as a stand-alone file in Word format. The SOW is the primary contractual document that outlines work activities and specifies deliverables. It delineates each step required to accomplish the project objectives. Therefore, each action needs to be identified, indicating who will perform it, how it will be performed and its intended result. At the end of each task description, specific task deliverable(s) must be listed. Be sure to identify the task deliverable, as this will be a measure of your performance. Be clear and specific: concentrate on “how” and not “why.” Use “active voice” sentence structure to make clear who is responsible for specific actions. Use the following phrase to start the description of every task and subtask: “The Contractor shall....” The SOW structure should include:

Proposals should present a Statement of Work with clearly delineated tasks divided into two phases: an EXPLORATORY phase and an IMPLEMENTATION phase. NYSERDA may or may not choose to undertake the implementation phase of the proposed work. Proposers will be selected based on their proposed ideas for both phases and should be prepared to complete both phases at NYSERDA's direction.

The EXPLORATORY phase of the statement of work should consist of a task for providing guidance on program design and engaging stakeholders. The IMPLEMENTATION phase should consist of continued outreach to stakeholders, implementing rebate application and verification systems, raising awareness of the rebate program, conducting user surveys, and completing any other activities identified. The SOW can include additional innovative approaches and tasks not described as part of the RFP if the proposer believes these activities will benefit the goals of the RFP, enhance ZEV sales in New York, or assist in controlling costs.

If a proposal is selected, NYSERDA may choose to move forward with some tasks but not others, based on in-house capabilities, timing, and available budget. Because of this, proposals should be constructed as a menu of tasks, with clearly assigned budget estimates for each task.

(Estimated length: 3 to 4 pages)

- I. **Budget.** All cost information must be provided on the attached Contract Pricing Proposal Form (Attachment C). Each subcontractor to the proposer should complete a separate Attachment C form.

In addition to the CPPF, the proposal should include a brief description of the budget, including a table identifying the allocation of funding by task (see example below). Indicate the number of hours each individual will spend on each task and an hourly rate of pay. Provide justification or verification for the rate of pay proposed.

Award recipients will receive funds on a reimbursement basis based on costs incurred, as evidenced by submitted invoices, and proof of payment to vendors and sub-contractors, in accordance with a mutually agreed-upon Statement of Work. No reimbursement will be provided for costs incurred prior to the contract execution date.

The proposal may show non-NYSERDA funding, which is not required but will be a factor in evaluation (see Section IV). Cost-sharing can be from the proposer, other team members, and other government or private sources. All cost sharing must be confirmed by a letter from the cost share entity committing to providing the cost share. Contributions of direct labor (for which the laborer is paid as an employee) and purchased materials may be considered "cash" contributions. Unpaid labor may be considered "in-kind" contributions. NYSERDA will not consider as cost share efforts that have already been undertaken prior to the proposal award date.

	Cash	In-Kind Contribution	Total
NYSERDA	\$	\$0	\$
Proposer	\$	\$	\$
Others (list individually)	\$	\$	\$
Total	\$	\$	\$

[Expand Table as needed]

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

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

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

- J. **Schedule.** Describe a schedule for conducting the work proposed in sections A through E in a Gantt chart or similar format. The timeline for the first phase of the project (A and B) should be approximately two months. The timeline for the second phase of the project (C, D, and E) should be approximately one year.

4. Letters of Commitment. If proposers are relying on any other organization to do some of the work or provide services or equipment, they should include a letter from that organization describing its planned participation. Absence of letters of commitment may be interpreted as meaning that the proposer does not have support from the subject parties.

5. Appendices. Include any resumes, company qualifications, or ancillary information which is deemed necessary to support your proposal.

6. Attachment G – Proposal Overview Form. Complete Attachment G – Proposal Overview Form and submit it as a MS Word document.

IV. Proposal Evaluation

Proposals that meet Proposal Requirements will be reviewed by a Technical Evaluation Panel (TEP) made up of NYSERDA personnel and outside experts and will be scored and ranked according to the following criteria:

- 1 Proposal Quality
 - Ability to address stated NYSERDA program needs
 - Knowledge of current state of ZEV market and regulations
 - Creative ideas for market engagement around a ZEV rebate program
 - Detailed description of tasks required and associated task-by-task budget
 - Ability to reach target audiences and accomplish public outreach goals in New York State
- 2 Proposer Qualifications
 - Experience running similar programs, engaging car dealers, conducting surveys, and building awareness for government programs
 - References and Past Performance
 - Demonstrated relationships with relevant ZEV stakeholders
 - Demonstration of past timeliness in project completion
- 3 Project Value
 - Proportion of project cost dedicated to program completion (versus travel, equipment, and administration)
 - Proposed cost per transaction administered
 - Reasonableness of labor costs (appropriately experienced staff performing appropriate tasks)
 - Innovative processes, structure, or methods to reduce program implementation and operation costs.
 - Level of cost share provided
 - Ability to meet the schedule for completion of project. Ability to quickly conduct initial analysis and, if requested, execute program roll-out

V. GENERAL CONDITIONS

Proprietary Information - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from

a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <http://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

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

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

Empire State Development
Division For Small Business
625 Broadway
Albany, NY 12207

A directory of certified minority- and women-owned business enterprises is available from:

Empire State Development
Minority and Women's Business Development Division
625 Broadway
Albany, NY 12207

State Finance Law sections 139-j and 139-k - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <http://www.ogs.ny.gov/aboutogs/regulations/advisoryCouncil/StatutoryReferences.html>

The attached Proposal Checklist calls for a signature certifying that the proposer will comply with State Finance Law sections 139-j and 139-k and the Disclosure of Prior Findings of Non-responsibility form includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years.

Tax Law Section 5-a - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf).

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

Contract Award - NYSERDA anticipates making one award under this solicitation. It may award a contract based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the submitted proposal (see Proposal Checklist). Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately four weeks from

the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

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

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

VI. Attachments:

Attachment A – Proposal Checklist (Mandatory)

Attachment B – Disclosure of Prior Findings of Non-Responsibility Form (Mandatory)

Attachment C – Contract Pricing Proposal Form (Mandatory)

Attachment D – Sample Agreement

Attachment E – Instructions for Electronic Proposal Submission

Attachment F – Statement of Work Outline

Attachment G – Proposal Overview Form



Residential Financing and Income Verification Services Request for Proposal (RFP) 3240

NYSERDA reserves the right to extend and/or add funding to the Solicitation should other program funding sources become available.

Proposals Due: by November 15, 2016, at 5:00 PM Eastern Time*

The New York State Energy Research and Development Authority (“NYSERDA”) is seeking proposals from qualified financing companies (“Originator”) to provide the following services for residential energy efficiency and renewable energy system improvements: (1) loan origination and underwriting services to New York State residents for fixed rate loans between \$1,500 and \$25,000 for terms of 5-, 10- or 15-years; (2) income eligibility verification for NYSEDA financing and incentive applications; and (3) payment of loan funds and incentive funds to participating contractors, to be reimbursed by NYSEDA. The contract term will be for three years with two (1) year extensions at NYSEDA’s option. Additional time and funding may be added at NYSEDA’s discretion.

Proposal Submission: All proposals must be received by NYSEDA by 5:00 P.M, EST, on November 15, 2016. Electronic submission is preferable. NYSEDA will also accept proposals by mail or hand-delivery. If submitting electronically, proposers must submit the proposal in either PDF or MS Word format with a completed and signed Proposal Checklist and Disclosure of Prior Findings of Non-Responsibility, in PDF format. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility, rather than scanning. For ease of identification, all electronic files must be named using the proposer’s entity name in the title of the document. Proposals may be submitted electronically by following the link for electronic submissions found on this RFP’s webpage, which is located in the “Current Opportunities” section of NYSEDA’s website (<http://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>). Instructions for submitting electronically are provided as Attachment C to this RFP.

If mailing or hand-delivering, proposers must eight (8) paper copies of their proposal with a completed and signed Proposal Checklist, along with a CD or DVD containing both a PDF or MS Word digital copy of the proposal, following the above guidelines. Mailed or hand-delivered proposals must be clearly labeled and submitted to:

**Jillina Baxter, RFP 3240
NYS Energy Research and Development Authority
17 Columbia Circle
Albany, NY 12203-6399**

If you have technical questions concerning this solicitation, contact Kevin Hunt at (518) 862-1090, ext. 3259 or kevin.hunt@nyserda.ny.gov (**Designated Contact**) if you have technical questions. If you have contractual questions concerning this solicitation, contact Elsyda Sheldon at (518) 862-1090, ext. 3232 or elsyda.sheldon@nyserda.ny.gov.

No communication intended to influence this procurement is permitted except by contacting the above Designated Contacts. Contacting anyone other than the Designated Contact (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer’s behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

* Late proposals will be returned. Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal. Faxed or e-mailed proposals will not be accepted. Proposals will not be accepted at any other NYSERDA location other than the address above. If changes are made to this solicitation, notification will be posted on NYSERDA's web site at www.nyserda.ny.gov.

I. INTRODUCTION

NYSERDA is a public benefit corporation established pursuant to Title 9 of Article 8 of the Public Authorities Law of the State of New York. NYSERDA's principal mission is to develop innovative solutions to some of the State's most difficult energy and environmental problems.

NYSERDA is charged with implementing the Green Jobs Green New York (GJGNY) Act of 2009 and the Power NY Act of 2011 which authorized NYSERDA to offer loans to New York State residents for residential energy efficiency technologies and net metered technologies, including solar photovoltaic (PV) installations, on existing buildings.

NYSERDA is seeking proposals from qualified Originators to provide the following services for residential energy efficiency and renewable energy system improvements: (1) loan origination and underwriting services to New York State residents for fixed rate loans between \$1,500 and \$25,000 for terms of 5, 10 or 15 years; (2) income eligibility verification for NYSERDA financing and incentive applications; and (3) payment of loan funds and incentive funds to participating contractors, to be reimbursed by NYSERDA.

Definitions:

Clean Energy Fund ("CEF"): The CEF supports the State's commitment requiring 50% of New York State's electricity to be sourced from renewable sources by 2030. It is designed to reduce the cost of clean energy by accelerating the adoption of energy efficiency to reduce load while increasing renewable energy demand.

Community-Based Organization ("CBO"): An organization which may or may not be under contract to NYSERDA to provide outreach and assistance services within their community to households interested in undertaking energy efficiency or renewable energy improvements. In particular, CBOs assist LMI households with loan and incentive applications.

Contractor ("Contractor"): A qualified contractor participating in NYSERDA's residential energy efficiency or renewable energy programs.

Household Income: Total income of residents within a home that are over the age of 18 and are not full-time students.

Implementation Contractor ("Implementation Contractor"): The program implementer for NYSERDA's residential programs. The Implementation Contractor reviews Contractor work scopes, and informs the Originator that a project is completed and the loan and/or incentive can be funded, among other services.

Loan Servicer ("Loan Servicer"): A company that accepts and processes principal and interest payments, and monitors loans on behalf of NYSERDA.

Low-to Moderate-Income Household ("LMI"): Households with income at or below 80% of the State or Area Median Income, whichever is higher. Various income thresholds within the LMI sector may be used for different types and levels of incentives. Income thresholds are subject to change depending on the needs of individual programs.

Residential Programs: NYSERDA's energy efficiency and renewable energy system programs targeting one-to-four family existing homes. Income-eligible customers of some programs may receive reduced interest rates and additional incentives to help offset the cost of the work.

II. RESIDENTIAL FINANCING OVERVIEW

NYSERDA provides New York State residents with access to two loan products to assist with the installation of energy efficiency or renewable energy projects: (1) On-Bill Recovery (OBR) loan; and, (2) Smart Energy loan

(SEL). The selected Originator will be responsible for originating and funding both loan products on NYSERDA's behalf, with NYSERDA providing reimbursement of the loan amount. The OBR and SEL loan amounts range from \$1,500 to \$25,000 for a terms of 5, 10 or 15 years.

On-Bill Recovery loan

- The OBR loan is associated with a specific electric or gas utility meter, with loan repayment assessed on the borrower's utility bill;
- The homeowner must be a customer of one of the following utilities: National Grid (upstate customers only), Consolidated Edison, PSEG Long Island, Orange & Rockland, New York State Electric and Gas, or Rochester Gas & Electric;
- The loan is unsecured; however, a Program Declaration is recorded in the city/county book of deeds, informing prospective purchasers and interested parties that there is an on -bill recovery loan outstanding that unless satisfied prior to the sale or transfer of the property will become the obligation of the new utility account holder;
- A last owner's search is required, which is initiated by the Originator and accomplished by a title company under contract to NYSERDA;
- The outstanding debt may be assumed by the new 1) property owner upon transfer of the property; or 2) tenant in instances when rental units undergo eligible work and the owner seeks GJGNY financing; and
- This product has a cost effectiveness requirement in that the monthly loan payment may not exceed 1/12th of the estimated average annual energy cost savings from the improvements over the term of the loan.

Smart Energy Loan

- Monthly payments are made to NYSERDA's Loan Servicer. Payment may be made by direct billing or automatic withdrawal;
- The loan is unsecured; and
- The borrower remains responsible for the balance of the loan if the home is sold or the property is transferred to a new owner.

Underwriting Criteria

The selected Originator will underwrite OBR loans and SELs using the current criteria found in Attachment D, Underwriting Guidelines, which is subject to change at NYSERDA's discretion.

Loan approvals will in part depend upon approval of a project scope by the relevant NYSERDA program. The Originator will need to work through NYSERDA program processing systems to verify project status as it relates to loan application approval and payment. The Originator will be responsible for notifying the applicant and updating NYSERDA's data systems of changes in applications status. After the Originator is notified of project completion, the Originator will be responsible for disbursing the loan payment to the Contractor. NYSERDA will then reimburse the Originator for those payments.

Interest Rates

The interest rate charged on loans, per the table below, is dependent upon project type (energy efficiency and/or renewable energy project), income level and credit.

Project Type	Energy Efficiency ¹			Renewable Energy ¹ / Combined ²		
Income Level ³	Smart Energy - Pay by mail	Smart Energy - Auto Pay	On-Bill Recovery	Smart Energy - Pay by mail	Smart Energy - Auto Pay	On-Bill Recovery
Less than or equal to 80%	3.99%	3.49%	3.49%	3.99%	3.49%	3.49%
Greater than 80% up to 120%	5.49%	4.99%	4.99%	5.49%	4.99%	4.99%
Greater than 120% ⁴	Standard Criteria=7.49 Extended Criteria=6.49	Standard Criteria=6.99 Extended Criteria=5.99	Standard Criteria=6.99 Extended Criteria=5.99	Standard Criteria=8.49 Extended Criteria=6.49	Standard Criteria=7.99 Extended Criteria=5.99	Standard Criteria=7.99 Extended Criteria=5.99

- (1) NYSERDA offers several energy efficiency and renewable energy programs that offer GJGNY financing to participants.
- (2) Energy efficiency and renewable energy projects that are in combination with one another.
- (3) Household income is used to determine the interest rate for OBR loans and SELs, and is based on the percentage of State or area (county) median income, whichever is higher, for the household size. NYSERDA will provide relevant median income information to Originator as it is updated.
- (4) Refer to Attachment D for a summary of Standard and Extended underwriting criteria and details of underwriting and documentation requirements.

Loan Volume

Attachment E illustrates overall GJGNY loan growth in both the number of loans and dollar volume, as well as loan growth within each residential program. Data is provided since program inception through March 31, 2016. To summarize, 14,068 loans have closed representing approximately \$165 million in total loans, with an average loan of \$11,728. This has resulted in a compound growth rate of 72% year-over-year. While loan volume has rapidly increased since 2013, future loan volume growth may change as alternative financing options make their way into the New York State market, and as NYSERDA effectuates a tiered interest rate structure for the LMI/non-LMI sectors.

Income Verification Services

The Originator will be responsible for providing income verification services for certain Residential Programs that offer income-eligible incentives. As the LMI programs evolve under the CEF, the number and size of programs making use of income verification services may change. In addition, NYSERDA may issue solicitations for program implementation services which may include income verification services, in which case income verification services provided in a contract awarded through this solicitation may be reduced or terminated.

The Originator will verify income to determine eligibility for certain incentives and interest rates, notify the applicant, Contractor and, if applicable, the CBO, of eligibility, and document eligibility in NYSERDA program data systems. Depending on the residential program, the Originator may also be required to pay the NYSERDA incentive to the Contractor upon notice of project completion, and will be reimbursed by NYSERDA for that payment.

Incentive Application and Payment Volume

The table below shows the number of applications received since 2010 through March 31, 2016, for income verification, as well as the incentives paid by the Originator and reimbursed by NYSERDA.

Total Incentive Applications Received	27,507
Total Incentive Applications Approved	15,551
Number of Total Incentives Paid	10,188
Dollar Volume, Incentives Paid	\$35,666,952

Coordination with Contractors and CBOs

As part of the loan or incentive application process, applicants often depend on their contractor or CBO for assistance. In addition to answering questions from applicants, the Originator may need to work with the Contractor or CBO to help the applicant move forward in the process. This may also include obtaining permission from the applicant to share certain information with the Contractor or CBO, to the extent permitted by law.

III. PROPOSAL REQUIREMENTS

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

In compliance with §139-j and §139-k of the State Finance Law (see Section V, General Conditions below for additional information), additional forms must be completed and filed with proposals: (1) a signed copy of the Proposal Checklist including required certifications under the State Finance Law and (2) a completed Disclosure of Prior Findings of Non-Responsibility form. Failure to include a signed copy of the Proposal Checklist referenced in this solicitation may disqualify your proposal.

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

1. **Company Information.**

Provide the following required information about the proposer:

- a) Name of business entity (including any “Doing Business As” names)
- b) All entities, except for publicly held corporations or membership non-profits: disclose who your principals/shareholders/partners/members are.
- c) Primary contact for this proposal
- d) Headquarters/Parent Company Location
- e) Date founded and history of firm
- f) Details of entity’s business structure
- g) Internet web site address (if any)
- h) Lending experience in New York
- i) New York State and other pertinent locations and total number of employees at each site
- j) Submit proof of insurability for workers compensation and consultant liability
- k) List of any outstanding litigation that would threaten the viability of the firm or the performance of this contract
- l) Disclose whether you have ever had any lending license or approval suspended or revoked. If so, provide an explanation of the circumstances and the outcome
- m) Disclose whether you have ever been the subject of any judicial, regulatory or administrative proceeding. If so, provide detail on the nature of the proceeding and its outcome

2. **Description of Qualifications.**

- a. **Proposer.** Describe your experience in unsecured loan originations and/or third party loan originations, loan underwriting, and customizing and maintaining internet portal(s) for on-line credit applications intake. If relevant, summarize your consumer loan program and/or any consumer loan program(s)

handled for third parties, including length of contract, loan volume (both number and dollar), the method of application intake, complaint resolution process, and reporting requirements.

- b. **Staff.** Identify the individual who will be the Project Lead, and provide the Project Lead's resume. The Project Lead will be NYSERDA's primary point of contact. Clearly state the Project Lead's qualifications to oversee this program, including length of time with the Proposer and in managing consumer loan program(s) and/or third party loan origination programs. Identify the number of staff to be associated with this project, including the number of loan processors, etc., along with the staffs' average years of experience. Identify the Project Lead's backup, and provide the backup's resume and qualifications.
- c. **References.** Submit three (3) references documenting your organizations' experience in originating third party loans and/or unsecured lending, including the following information:
 - i. Program name;
 - ii. Loan volume (both number of loans originated and average dollar per loan);
 - iii. Number of staff assigned to the project;
 - iv. Name, title and employer/organization of reference;
 - v. Telephone number(s); and
 - vi. If applicable, identify any contracts with NYSERDA that you have been a party to, and provide the name of your NYSERDA contact.

3. **Loan Origination System.** The Proposer must have an automated application intake system (the "System") which can accommodate on-line applications in addition to taking loan applications through a toll free number, email and fax. **Failure to have an operational automated application intake system will result in proposal disqualification.** The System must be a web-based, interactive portal which will allow consumers to complete an on-line credit and incentive application, and receive a rapid pre-approval decision, followed by a final loan and incentive decision. The System shall be made available to applicants, Contractors, CBOs and NYSERDA, sharing only the data appropriate for each party based on need, consistent with NYSERDA's policies regarding consumer privacy, and to the extent permitted by law. The System will provide for data exchange between NYSERDA's residential and renewable programs, and possibly others, and the Originator through an automatic Application Program Interface ("API") and through a secure FileTransfer Protocol ("FTP") site for the purpose of fulfilling the tasks as described herein.

Your proposal should clearly indicate the following:

- a) That the Proposer's System is flexible and allows for customization if needed;
- b) Any limits on customization;
- c) The extent of customization needed to meet the requirements of this solicitation, and anticipated time frame to customize your System. Note that the System should be fully operational within three months of contract execution;
- d) Any system barriers that may preclude you from originating loans within three months of contract execution;
- e) The collaborative process and frequency of interactions with NYSERDA throughout the customization process to ensure that your System meets NYSERDA's requirements;
- f) The process for determining loan and incentive pre-approval and approval, including response timeframes and required documentation. Indicate which parts of the process(es), if any, are manually or automatically completed by your System. Explain how you will address any sudden increase or decrease in the volume of applications.
- g) The length of time the Proposer has been using its web-based System;
- h) How much activity the Proposer's System currently experiences (number of total applications and average annual number of applications);
- i) If available, a link to your portal or to a live demonstration site;

- j) The process used for obtaining credit reports and which credit bureau you propose to use for NYSERDA's program; and
- k) The method you propose to use to validate income documented by applicants. Currently, this is done through applicants attaching through the online application system copies of filed tax returns or other documentation. NYSERDA is interested in alternative techniques that could be used to satisfy income documentation and validation as part of DTI calculation and income eligibility determination.

4. **Tasks.**

The tasks found in Section V will provide the foundation for the Statement of Work ("SOW"), a detailed plan or action document that describes how the Proposer will accomplish the project. It specifically delineates each step or procedure required to accomplish the Program's objectives, identifying deliverables and is the basis for payment. As such, it is the primary contractual document.

Describe in detail your approach and methodology to satisfactorily complete each task and subtask. Ensure you address the following minimum requirements:

- a. Provide a description of the data exchange capabilities between the Originator's system and NYSERDA data and program processing systems through using a web-based API and secure FTP site;
- b. Fully describe how the Proposer will originate, underwrite in accordance with NYSERDA's underwriting criteria, and fund loans between \$1,500 and \$25,000;
- c. Discuss fully how the Proposer will provide loan closing documents to borrowers through on-line accessibility, mail and email. Executed documents are to be held in escrow until such time as proposed work has been completed and payment to the Contractor has been authorized;
- d. Discuss your process to verify total household size and income against NYSERDA's income-eligibility guidelines for applicants;
- e. Explain how OBR loan Declarations will be monitored to ensure timely receipt by the Proposer;
- f. Explain how the Proposer will coordinate and communicate effectively with NYSERDA, loan and incentive applicant(s), Contractors, CBOs, and the Implementation Contractor(s) including robust and responsive customer service from application receipt through project completion and funding;
- g. Explain how the Proposer will provide strong and accurate data collection, data quality and data verification; and
- h. Provide a copy of the Proposer's electronic signature policy and any technology currently used for electronic signatures for credit applications or loan agreements.

Program changes will periodically be required and necessitate implementation modifications, such as a change in interest rates, tiered interest rate structure, income eligibility guidelines, program documentation, etc. Such changes may require system(s) modification(s) and coordination with other parties, i.e. Implementation Contractors. Clearly state your ability to respond to such changes in a timely and efficient manner.

5. **Reporting.**

Indicate your ability to provide the required reporting as described in Section V. State your ability to provide additional information (ad hoc reports), within a reasonable timeframe, that may from time-to-time be required. Describe your procedure to ensure reporting/data accuracy. Describe your ongoing data quality assurance protocols.

6. **Pricing.**

Using the pricing sheet found as Attachment F, the Proposer is to provide pricing for the following services. Said pricing can be either a flat fee or performance based, and must be cost effective.

- a) Loan origination, processing, underwriting, document generation, closing and shipment of credit files to the loan servicer;
- b) Processing of income verification requests;
- c) Any discount pricing based on either loan or income verification volume;

- d) Anticipated pricing increases. Such increases are to be stated as a percent of the initial pricing; and
- e) If proposing performance based pricing, clearly indicate any base pricing, if applicable, the pricing range, and how performance is to be measured. Performance is to be easily quantifiable.

Indicate whether System customization costs are included in pricing above or charged separately. If separate, provide detailed cost basis and estimates for System customization work. Identify any risks or unknowns related to those costs. NYSERDA reserves the right to annually seek repricing if it is determined that the Proposer's pricing is too high compared to industry research and standards.

7. Alternative Methods.

At the Proposer's option, provide an alternative(s) to NYSERDA's Tasks. Such alternatives may include faster or more reliable loan intake and/or processing, income verification documentation and processing, etc. Describe in detail

- a) any alternatives to the to the Tasks as outlined in Section V;
- b) tasks and business processes involved in the alternative method;
- c) which, if any Tasks above would be modified or replaced;
- d) benefits you believe such a system will provide NYSERDA's ability to serve New Yorkers, i.e., a reduction in processing time, paper handling, etc.; and
- e) any impacts on pricing.

IV. PROPOSAL EVALUATION AND SELECTION PROCESS

Proposals that meet the solicitation requirements will be reviewed by a Scoring Committee using the Evaluation Criteria below. At NYSERDA's discretion, proposers may be requested to interview with all or part of the Scoring Committee to address any potential questions or clarifications outlined in the proposals. Proposers will be notified if they are requested to attend an interview. NYSERDA retains the right to request any additional information pertaining to the Proposer's ability, qualifications, and procedures used to accomplish all work under the contract as it deems necessary to ensure safe and satisfactory work. Failure to provide required information may result in a proposal being deemed nonresponsive, in which case it may not be evaluated further.

1. Tasks

- a) Does the Proposer show an understanding of NYSERDA's needs as outlined in this solicitation?
- b) Does the Proposer's approach to each task and subtask described in Section V demonstrate the ability to effectively accomplish the tasks? If an alternative approach is provided, does it meet the needs of the solicitation and provide other benefits such as improved turnaround times, improved customer service, or lower cost?
- c) Does the Proposer demonstrate that it can meet NYSERDA's programmatic and technical needs, including the ability to provide data exchanges, accurate loan underwriting and the coordination of loan closings, and file transfer to the Loan Servicer?
- d) Does the Proposer have an adequate methodology to determine household size and income for determining loan interest rates and incentive eligibility?
- e) Does the Proposer adequately address the monitoring of OBR Declarations?
- f) Does the Proposer demonstrate it can and will effectively communicate with NYSERDA, applicants, Contractors and CBOs, and provide effective customer service?
- g) Does the Proposer demonstrate its ability to provide accurate data collection, data quality and data verification?
- h) Does the Proposer demonstrate that it can adequately accommodate increases/decreases in the volume of applications?
- i) Does the Proposer demonstrate it has the ability to adequately respond to program changes?

2. Loan Origination System

- a) Is the Proposer's System flexible and customizable enough to accommodate program needs?
- b) Can the Proposer have their System fully operational within the required three months?
- c) Does the proposed collaboration and interaction plan provide for adequate oversight by NYSERDA, and an ability for NYSERDA staff to have confidence in the ability of the Proposer to meet the required timeline for System launch?
- d) Are preapproval and approval timeframes consistent with industry standards and good customer service?

3. Proposer's Qualifications

- a) How extensive is the Proposer's experience in originating unsecured loans/third party loans?
- b) Does the Proposer demonstrate adequate and effective experience with similar programs?
- c) How experienced is the Proposer in creating, customizing and maintaining an on-line intake system?
- d) How extensive is the Project Lead and staff's experience?
- e) Will the Proposer adequately staff the program?
- f) Were resumes for key personnel, including the Project Lead(s), provided and is relevant experience cited?
- g) Are references provided, and are references positive?
- h) Has the participant's performance been satisfactory under previous NYSERDA contracts, if applicable?

4. Reporting

- a) Is the Proposer able to provide the required and accurate reporting metrics in a timely manner?
- b) Does the Proposer indicate its ability to provide ad-hoc data requests in a timely manner?
- c) What data quality assurance protocols or procedures are in-place to ensure reporting accuracy, and how robust are they?

5. Pricing

- a) Is the pricing proposed and any price increases reasonable, justified and cost effective?

V. TASKS

The Originator is expected to complete each of the tasks set forth below, many of which may be performed concurrently. These Tasks will be the basis for the Statement of Work, which will be a part of the contract with the selected Originator. Based on input from the selected Proposer and possible alternative approaches, the Tasks may be changed during contract negotiation to ensure the most successful and cost-effective approach is used to meet the program needs. All applicable New York State and federal banking regulations apply.

Task 1: Kick-Off Meeting

The Originator shall attend a kick-off meeting at NYSERDA's Albany office. The purpose of the meeting is to

- Review all processes, procedures, responsibilities and reporting requirements; and
- Allow time for the Proposer to present its program implementation plan, identifying proposed milestone dates for any required customization of the Originator's Loan Origination System, including testing for application receipt, processing, approval/denial, loan document generation, loan closing and file transmittal to the Loan Servicer.

Representing the Originator shall be the project lead and other staff who will have frequent interactions with NYSERDA.

Deliverable: Within seven business days following the Kick-Off Meeting Originator shall provide draft meeting notes to NYSERDA for review. NYSERDA shall provide Originator with comments within five business days. Originator shall have five business days to review and provide final meeting notes to NYSERDA and other meeting attendees.

Task 2: Income Verification for LMI Programs

The Originator shall be required to verify total household income for applicants who request to be considered for an income-eligible incentive. Interested homeowners shall complete an application and submit it to the Originator for review. Should the Originator determine that a household may qualify for an incentive or no-cost services, Originator is to send the applicant(s) a preapproval letter, informing the applicant(s) of the potential eligibility, and either request from the applicant or a third party as identified by the applicant such information as needed to qualify for incentive.

For each incentive application received, the Originator shall verify household size and income level against income guidelines provided annually by NYSERDA. The current guidelines, by county, are found at <http://www.nyserdanyny.gov/All-Programs/Programs/Assisted-Home-Performance-with-ENERGY-STAR/Income-Guidelines>. If the applicant is approved or denied for an income-eligible incentive, the Originator shall notify applicant(s), Contractor, CBO if applicable, and the appropriate NYSERDA staff of incentive eligibility. Notification is to be made in writing and provided via mail and email (if applicable). Approvals shall be valid for 180 days and notification shall include either the amount of the approved incentive, or the maximum percent or dollar award of the incentive. If denied, a separate notification shall be provided to the applicant(s) that shall include the denial reason. If denied, the notification to the Contractor, CBO and appropriate NYSERDA staff shall not include the denial reason.

Households meeting various income thresholds may be eligible to receive an incentive for a portion of the work, or certain work at no cost. The homeowner may also be eligible for GJGNY financing for the balance of the cost of qualifying measures.

If the Originator determines applicant may qualify for no-cost low income services, Originator shall send the applicant a letter informing the applicant that certain work may be obtained free of charge, with options for obtaining the services. The Originator and NYSERDA shall work together to develop appropriate letter formats to meet various program needs.

Invoicing: The Originator shall invoice NYSERDA for funded incentives. The invoice shall include incentives paid for the prior month categorized by program. Each invoice shall be accompanied by a report specifying cumulative incentives for the month being invoiced and incentives invoiced year-to-date, including supporting documentation.

The Originator shall invoice NYSERDA, not more frequently than once a month, for income verification fees. The invoice shall include fees, as approved by NYSERDA, for performing income verification services categorized by program. Each invoice is to be accompanied by a report specifying cumulative incentives for the month being invoiced and incentives invoiced year-to-date, with supporting documentation.

Deliverables:

1. NYSERDA shall provide Originator with any changes to the incentive income eligibility guidelines;
2. NYSERDA and the Originator shall work together to develop standard template incentive letters to inform applicants of their eligibility status, the letters of which are subject to final approval by NYSERDA; and
3. Originator shall also provide incentive eligibility status to applicants, contractor and CBO, if applicable.

Task 3: Last Owner Searches

NYSERDA presently has three title companies under contract to conduct last owner searches, and to file OBR Declarations, as discussed under Task 6.

For each OBR loan application, the Originator shall contact one of the title companies to request a search. The search shall be conducted as early in the process as is reasonably possible due to the length of time it takes to obtain results. Once received from the county where the project property resides, the title company shall provide the Originator with the search results. Should there be discrepancies between the search result and loan

application, the Originator shall work directly with the title company and/or applicant to rectify. The Originator shall proactively communicate with NYSERDA regarding issues with title companies that are impacting origination efficiency. The title company shall invoice NYSERDA for each search. If the Originator does not contact the title companies to request a search in a timely manner, the Originator shall be responsible for resolving, to NYSERDA's satisfaction, all related borrower issues.

Deliverables:

1. NYSERDA shall communicate contact information and any change(s) in title companies to the Originator;
2. The Originator shall request a last owner search from a title company, on a rotating basis, within one business day of the homeowner(s) loan preapproval. The Originator shall provide information as required by the title company. Once ordered, the Originator shall track each search requested to ensure a response;
3. When the last owner search is returned to the Originator, the Originator shall verify the information provided by the applicant matches that from the search;
4. The Originator shall follow up with a title company on the 10th business day if the search response is not received; and
5. At NYSERDA's request, Originator shall provide NYSERDA with a list of outstanding searches, including the property address, date sent to the title company, and title company selected.

Task 4: Loan Processing, Underwriting and Income Verification for Interest Rate

The Originator shall process and underwrite loan applications based on underwriting guidelines provided by NYSERDA. GJGNY Financing underwriting guidelines are found as Attachment D, and are subject to change. The Originator shall either approve, deny or withdraw all applications received using NYSERDA's underwriting guidelines. The Originator shall be responsible for assuring that each SEL and OBR loan complies with all of the terms and conditions and loan underwriting standards at the time the applicable loan is underwritten; otherwise, the Originator shall be responsible for the total loan amount funded.

The Originator shall be required to verify total household income for each applicant to determine the appropriate income-based interest rate, unless the applicant opts-out of such income screening. Income screening for interest rate determination should be accomplished as part of household income verification for income-eligible incentives, as described in Task 2, whenever applicable.

The Originator shall provide preapproval of loan applications based on underwriting criteria. Preapproval shall be valid for up to 180 days, and subject to terms needed for loan approval, including approval of the project by the relevant program. The Originator shall receive project approval notification through the web-based program management portal or secure FTP data transfer, depending on the program. The Originator shall either approve or deny the loan application upon receipt of any pending documentation provided by the applicant(s), and project approval documentation provided by the applicable program.

Once approved for a loan, Originator shall provide the applicant(s) with a completed note for execution and all program documents requiring applicant(s) signature. The Originator shall allow the loan approval notification to be valid for 240 days.

Applicant(s) may request extensions for loan preapprovals or approvals, subject to NYSERDA approval. If no extension request is received, the Originator shall notify the applicant, Contractor and CBO, if applicable, of the pending withdrawal or cancellation, and give the applicant 30 days to request an extension before withdrawing or canceling the loan application. Applicants shall be subject to re-qualification if a project is undertaken at a later date.

Invoicing: The Originator shall invoice NYSERDA, not more frequently than once a month, for income verification fees not already invoiced through Task 2. The invoice shall include fees, as approved by NYSERDA, for performing income verification services for interest rate determination. Each invoice is to be accompanied by a

report specifying cumulative fees for the month being invoiced and fees invoiced year-to-date, with supporting documentation.

Deliverables:

1. NYSERDA shall provide Originator with current underwriting guidelines, OBR note, and any future updates to these documents and/or interest rate changes;
2. Originator shall either provide NYSERDA with its consumer loan note to be used for SELs, or work with NYSERDA to create a note;
3. NYSERDA and the Originator shall work together to develop standard template loan preapproval, approval and loan withdrawal/cancellation letters, which are subject to final approval by NYSERDA; and
4. No less than quarterly, the Originator shall update the queue of applications whose preapproval or approval has expired by notifying the applicant, Contractor and CBO, if applicable, of pending loan withdrawal or cancellation, and providing 30 days for the applicant to request an extension before withdrawing or canceling the loan.

Task 5: Loan Closing

Upon completion of work, the Originator shall receive electronic notification, along with final project documentation and change order(s) from the Implementation Contractor or NYSERDA staff through the web-based program management portal or secure FTP data transfer, as applicable.

If a change order is presented that increases the requested loan amount, the applicant shall be required by the Originator to be re-qualified for the new loan amount.

If a change order is presented that decreases the requested loan amount up to \$200 less than the amount on the signed loan documents the following must be added to the Certificate of Completion:

- 1) The customer shall add a note with their signature requesting the Contractor be paid the full approved loan amount; and
- 2) The Contractor shall add a note with their signature agreeing to refund the customer the difference between the project cost and loan amount as stated on the note.

If a change order is presented that reduces the approved loan amount on the signed loan documents by more than \$200, the Originator shall ensure revised approval notification is provided and perform a second review of the loan information for the revised loan amount. The Implementation Contractor or appropriate NYSERDA staff shall provide the Originator with a revised workscope approval notification and any applicable program documentation, i.e., revised workscope and cost estimate.

The Originator shall close the loan and provide the loan proceeds to the Contractor within two business days by either check or electronic funds transfer.

Invoicing: The Originator shall invoice NYSERDA not more than weekly for loans and associated origination fees funded the prior week.

Deliverable:

1. Upon receipt of project completion notification from the Implementation Contractor or applicable NYSERDA program staff, and any actions required as a result of change orders, the Originator will pay the amount of the loan to the Contractor within two business days.

Task 6: On-Bill Recovery Loan Declarations

For those applicants that execute an OBR financing note, within one business day of receipt of executed loan documents, Originator shall instruct one of the title companies to file an On-Bill Recovery Loan Declaration (“Declaration”) in the county of the home’s location. Documentation is to include the applicant’s/co-applicant’s

name, property address and loan amount. The County Clerk shall return the filed Declaration to the title company, who shall in turn forward the recorded Declaration to the Loan Servicer. A signed and notarized unrecorded copy of the Declaration shall be placed in the borrower's loan file. NYSERDA is responsible for paying the title company for this service.

Should the Originator delay the submission of the OBR Declaration to a title company it shall be at NYSERDA's discretion if the Originator shall be liable for payment of any OBR loan funds not fully repaid as a result of the property being sold to a new owner who was not informed of the obligation against the utility meter.

Originator shall coordinate with all title companies and track submission dates by title company to the county. Originator shall follow up with title company bi-monthly for updates on submission dates by title company. Originator shall prioritize Declarations that are rejected.

Deliverable:

1. The Originator shall develop a tracking system that adequately monitors Declarations from issuance through confirmation of filing with respective county; and
2. The Originator shall follow-up with the title company if the Declaration is rejected, and work with the title company and/or the borrower and/or applicant to return a recordable Declaration to the title company.

Task 7: Credit Files and Data Transfer to Loan Servicer

The Originator shall create and maintain a physical or secure electronic credit file for each applicant, from pre-approval through loan closing. Each credit file shall contain the original executed note, along with all correspondences and documentation required while underwriting the loan and conducting its due diligence. If electronic files are used, the Originator shall conform to requirements of the New York State Office of Cyber Security Policy P03-002, found at https://www.its.ny.gov/sites/default/files/documents/enterprise_information_security_policy_v5.1_0.pdf, and any amendments thereto, to maintain the security of and to prevent unauthorized access to Information that is maintained in electronic form on your systems. NYSERDA shall provide the Originator with any such amendments.

On a weekly basis, Originator shall either mail physical files or electronically submit credit files for the loans closed the prior week to the Loan Servicer, along with a dataset provided in the Loan Server's preferred format. Loan Servicer shall randomly select a set percentage of the files received and perform a validation review of loan underwriting accuracy. On a weekly basis Loan Servicer shall provide Originator, with a copy to NYSERDA, of its findings.

Task 8: Reporting.

The Originator shall compile concise, accurate reports throughout the term of the contract to document the status of loans and incentives. The Originator must have data quality assurance protocols or procedures in place to ensure data and reporting accuracy.

Deliverables:

Weekly: A weekly report shall be submitted to NYSERDA no later than the 12:00 PM Eastern Standard Time every Monday for the prior week detailing loan and incentive activity of the prior week, and contract to-date activity.

Said report shall include, but not be limited to:

- The number of applications and or maximum loan amount received during the reporting period and contract to date, summarized by purpose (EE/PV/other) and income level (less than 80% of LMI/80% to 120% of LMI/over 120% of LMI);

- The number and total dollar amount of loan applications preapproved during the reporting period and contract to date, summarized by purpose (energy efficiency (EE)/PV/other), income level (less than 80% of LMI/80% to 120% of LMI/over 120% of LMI), and underwriting criteria (Standard Criteria/Extended Criteria);
- A summary of the percentage of loan applications approved or denied during the reporting period and contract to date, and the percentage of denied applications summarized by reason for denial;
- The number and total dollar amount of loan applications approved during the reporting period and contract to date, summarized by purpose (EE/PV/other), income level less than 80% of LMI/80% to 120% of LMI/over 120% of LMI), and underwriting criteria (Standard Criteria/Extended Criteria);
- The number and total dollar amount of loan applications withdrawn/cancelled during the reporting period and contract to date, summarized by purpose (EE/PV/other), income level less than 80% of LMI/80% to 120% of LMI/over 120% of LMI), and underwriting criteria (Standard Criteria/Extended Criteria);
- The number and total dollar amount of loans closed during the reporting period and contract to date, summarized by purpose (EE/PV/other), income level less than 80% of LMI/80% to 120% of LMI/over 120% of LMI), and underwriting criteria (Standard Criteria/Extended Criteria);
- The number and total dollar amount of loans issued during the reporting period and contract to date, summarized by purpose (EE/PV/other), income level (less than 80% of LMI/80% to 120% of LMI/over 120% of LMI), and underwriting criteria (Standard Criteria/Extended Criteria), and interest rate;
- Average time to process applications (from receipt to preapproval; and from receipt to approval) during the reporting period and life to date; and
- The number and dollar amount of incentives approved and paid during the reporting period, summarized by purpose (EE/PV/other).

Monthly: By the 10th of the following month, Originator shall provide NYSERDA with a report:

1. Copying the Loan Servicer, that details the outstanding Declarations. The report shall include the borrower's name and address, the county of dwelling's location, the date the signed Declaration was received from the applicant(s), the date the signed Declaration was submitted to the title company and the name of the title company conducting the filing; and
2. Detailing the number of applicants referred to a low-income program; the number of applicants requesting incentives; and the number and dollar amount of incentives approved, paid and denied during the reporting period and contract to date, summarized by purpose (EE/PV/other).

Miscellaneous:

1. On a quarterly basis, provide performance metrics including processing timeframes and recommendations for improving processing timeframes where needed.
2. Ad-hoc reports as requested by NYSERDA. These reports may pertain to a specific subset of data, a specific time period, or a specific type of analysis NYSERDA requires to understand the performance of the loan program; and
3. At NYSERDA's request, Originator is to provide metrics showing average days from time of submission to receipt of executed search, by title company.

VI. GENERAL CONDITIONS

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

page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <http://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

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

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

Empire State Development
Division For Small Business
625 Broadway
Albany, NY 12207

A directory of certified minority- and women-owned business enterprises is available from:

Empire State Development
Minority and Women's Business Development Division
625 Broadway
Albany, NY 12207

State Finance Law sections 139-j and 139-k - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <http://www.ogs.ny.gov/aboutogs/regulations/advisoryCouncil/StatutoryReferences.html>. The attached Proposal Checklist calls for a signature certifying that the proposer will comply with State Finance Law sections 139-j and 139-k and the Disclosure of Prior Findings of Non-responsibility form includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years.

Tax Law Section 5-a - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. *See*, ST-220-TD (available at http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf).

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

Contract Award - NYSERDA anticipates making one award under this solicitation. It may award a contract based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the submitted proposal (see Proposal Checklist). Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited

contracting process. NYSERDA expects to notify proposers in approximately eight weeks from the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

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

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

VII. Attachments:

- Attachment A – Proposal Checklist
- Attachment B – Disclosure of Prior Findings of Non-Responsibility
- Attachment C – Electronic Proposal Submittal Instructions
- Attachment D – Underwriting Guidelines
- Attachment E – Loan Volume
- Attachment F - Pricing Sheet
- Attachment G – Sample Agreement



Engineering Services Contract for the State-Licensed Disposal
Area (SDA) and the Western New York Nuclear Service Center (WNYNSC)
Request for Proposal (RFP) 3255

Proposals Due: July 20, 2016 by 5:00 PM Eastern Time*

NYSERDA seeks proposals for providing the West Valley Site Management Program (WVSMP) with Professional Engineering and Land Surveying services at the Western New York Nuclear Service Center (WNYNSC). This Task Order Contract will be for support services in the disciplines of structural, geo-technical engineering design and evaluations, geo-membrane design and evaluations. Additional, support services such as testing, surveying, planning, regulatory submittals, may also be requested to assist with the management of the State-Licensed Radioactive Waste Disposal Area (SDA), and on the undeveloped areas of the WNYNSC.

The term of the contract will be for five years. The contract is expected to start on or about October 15, 2016.

Proposal Submission: Electronic submission is preferable. NYSERDA will also accept proposals by mail or hand-delivery. If submitting electronically, proposers must submit the proposal in either PDF or MS Word format, with a completed and signed Proposal Checklist and Disclosure of Prior Findings of Non-Responsibility, in PDF format. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility, rather than scanning. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. Proposals may be submitted electronically by following the link for electronic submissions found on this RFP's webpage, which is located in the "Current Opportunities" section of NYSERDA's website (<http://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>). Instructions for submitting electronically are located in Attachment D to this RFP.

If mailing or hand-delivering, proposers must submit two paper copies of their proposal with a completed and signed Proposal Checklist, along with a CD or DVD containing a PDF or MS Word digital copy of the proposal, following the above guidelines. Mailed or hand-delivered proposals must be clearly labeled and submitted to:

Roseanne Viscusi, RFP 3255
NYS Energy Research and Development Authority
17 Columbia Circle
Albany, NY 12203-6399

If you have technical questions concerning this solicitation, contact Christopher Andrzejewski, P.E. at (716) 942-9960, ext. 4319, or Christopher.Andrzejewski@nyserda.ny.gov. If you have contractual questions concerning this solicitation, contact Venice Forbes at (518) 862-1090, ext. 3507, or Venice.Forbes@nyserda.ny.gov.

No communication intended to influence this procurement is permitted except by contacting Christopher Andrzejewski (Designated Contact) at (716) 942-9960, ext. 4319, or Christopher.Andrzejewski@nyserda.ny.gov. Contacting anyone other than the Designated Contact (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offer; and (2) may result in the proposer not being awarded a contract.

*Late proposals and proposals lacking the appropriate completed and signed Proposal Checklist will be returned. Faxed or emailed proposals will not be accepted. Proposals will not be accepted at any other NYSERDA location other than the address above. If changes are made to this solicitation, notification will be posted on NYSERDA's website at www.nyserda.ny.gov.

I. Introduction

The New York State Energy Research and Development Authority (NYSERDA) is seeking proposals for Professional Engineering and Land Surveying Services for the West Valley Site Management Program (WVSMP) at the New York State-Licensed Disposal Area (SDA) and the Western New York Nuclear Service Center (WNYNSC) near West Valley, New York.

The success of this contract will be, in part, dependent on securing the services of a highly qualified, Professional Engineering firm with qualifications closely related to the Statement of Work. Experience and ability to perform in a highly regulated environment will be essential in contractor performance.

NYSERDA has convened a Technical Evaluation Panel (TEP), with representation by NYSERDA and outside personnel knowledgeable in engineering to assist in the selection of this contractor.

II. Program Requirements

A. Services Requested

The attached Statement of Work (Attachment E) is being circulated to solicit bids from firms with Professional Engineering expertise interested in performing the work outlined by this RFP. Work under this contract is expected to begin October 16, 2016, and continue through October 15, 2021.

B. Scope of Services to be Provided

The specifics of the engineering and land surveying services required under this contract are described in the attached Statement of Work. The activities outlined in the Statement of Work shall be performed in accordance with Attachment F, *Safety, Training, and Handling of Chemicals and Waste* and all other applicable plans and procedures listed in Attachment H, *Applicable Plans and Procedures*.

The contractor shall place and manage subcontracts as needed to complete the activities included in job order. The contractor will provide Hazardous Waste Operations (HAZWOPER) qualified workers (including subcontractors) as necessary to perform work involving potential exposure to SDA trench leachate. All other health and safety training required by the WVSMP (Radiation Worker I or II, General Employee Training, NYSERDA Site Specific) will be provided, but must be coordinated through the cognizant Project Manager.

C. Proposer Qualifications

NYSERDA seeks proposals from firms licensed in the state of New York in Professional Engineering who have:

- Current licensure, educational background, training, and experience of supervisory and/or project management staff.
- Appropriate educational background, training, certifications and experience of field staff.
- Quality, availability, and depth of the resources to perform Professional Engineering in an efficient manner.
- Soundness of the approach to provide the required services.
- Breadth and depth of prior experience related to the items listed in the Statement of Work.
- Prior work experience at a government facility

D. Division of Responsibilities

NYSERDA shall provide the following:

- Radiation safety support for all applicable on-site field work.
- Site-specific training for all contractor employees to allow unescorted access to the SDA.

The Contractor shall provide the following:

- 24-Hour Hazardous Waste Operations and Emergency Response trained personnel for all on-site field work.
- Personnel experienced in the scope listed under the Statement of Work.

III. Proposal Requirements

A. Proposal Content

The Proposer will be required to list hourly rates and markups (multipliers) for key personnel assigned to this contract. The proposal must identify how the contractor will provide all the required services (i.e., specialized sub-contractors).

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

Part I - Technical and Management:

- Completed "Proposal Checklist" Form (Attachment A) - to be attached to the front page of all copies of Part I of the proposal.
- Background/Objectives (one-page maximum).
- Services to be provided (three-page maximum).
- Management Plan (eight-page maximum).
- Current Qualifications Statement that clearly presents the proposer's education, training and experience relevant to the Statement of Work.
- Plan for meeting the contract participation goals for minority and women-owned business enterprises in Attachment G (one-page maximum).
- Letters of commitment from all team members or sub-contractors (if applicable).

Part II - Cost and Disclosures:

- Disclosure of Prior Findings of Non-Responsibility – "Executive Order 127" Form (Attachment B).
- Cost proposal including hourly rates and any other applicable costs or rates included on the attached Contracts Pricing Proposal Form (Attachment C, instructions included).
- Indictment/Conviction of Felony (if applicable).
- NYSERDA Contracts awarded (if applicable).
- Prior and/or Competing Proposals (if applicable).

In compliance with §139-j and §139-k of the State Finance Law (see Section VI, General Conditions below for additional information), additional forms must be completed and filed with proposals:(1) a signed copy of the Proposal Checklist including required certifications under the State Finance Law; and (2) a completed Disclosure of Prior Findings of Non-Responsibility form. Failure to include a signed copy of the Proposal Checklist referenced in this solicitation may disqualify your proposal.

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

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

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

B. Proposal Evaluation Criteria

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

1. Technical and Management Criteria:

- Quality and depth of the resources and support systems necessary to perform services.
- Qualifications of the firm including the educational background, training and experience of key personnel. Key personnel include field, technical, and supervisory and/or project management staff.

- Ability to provide the necessary resources to conduct high quality work in a timely manner.
- Breadth of prior and current experience in providing Professional Engineering Services program support services.
- Approach to provide the required services.

2. Cost Criteria:

- The reasonableness of the hourly rates proposed.
- A comparison of all proposers' costs and fees.

Interviews may be scheduled to further assess the qualifications of the proposers. After assessing the proposals from the technical and management criteria, cost criteria, and interviews (if necessary), the TEP will make a recommendation as to which proposer is most beneficial to the WVSMP.

IV. General Conditions

A. Proprietary Information

Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which, if disclosed, would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary and confidential trade secret information should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. (See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <http://www.nyserd.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>). However, NYSERDA cannot guarantee the confidentiality of any information submitted.

B. Omnibus Procurement Act of 1992

It is the policy of New York State to maximize opportunities for the participation of New York State business enterprises, including minority- and women-owned business enterprises (MWBE) as bidders, subcontractors and suppliers on its procurement agreements.

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

Empire State Development
 Division for Small Business
 625 Broadway
 Albany, NY 12207

A directory of certified minority and women-owned business enterprises is available from:

Empire State Development
 Minority and Women's Business Development Division
 625 Broadway
 Albany, NY 12207

C. New York Executive Law Article 15-A

NYSERDA is required under the law to promote opportunities for maximum feasible participation of certified minority-and women-owned business enterprises, and the employment of minority group members and women in the performance of NYSERDA contracts. The MWBE participation goals and obligations of the selected Contractor are set forth in Attachment G.

D. State Finance Law (Section 139-j and 139k)

NYSERDA is required to comply with State Finance Law Sections 139-j and 139-k. These provisions contain

procurement lobbying requirements which can be found at <http://www.ogs.ny.gov/aboutOgs/regulations/advisoryCouncil/StatutoryReferences.html>

The attached Proposal Checklist calls for a signature certifying that the proposer will comply with State Finance Law Sections 139-j and 139-k and the Disclosure of Prior Findings of Non-Responsibility Form includes a disclosure statement regarding whether the proposer has been found non-responsible under Section 139-j of the State Finance Law within the previous four years.

E. Tax Law Section 5-a

NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf).

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

F. Contract Award

NYSERDA anticipates making one award under this solicitation. It may award a contract based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Scope of Services. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement (Attachment I) to contract successful proposals. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the submitted proposal (see Proposal Checklist). Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately six weeks from the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under the previous or active NYSERDA agreement.

G. Limitation

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

H. Disclosure Requirement

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

VI. Attachments:

Attachment A - Proposal Checklist Form

Attachment B - Disclosure of Prior Findings of Non-Responsibility Form

Attachment C - Contracts Pricing Proposal Form (CPPF) and CPPF Instructions

Attachment D - Electronic Proposal Submittal Instructions

Attachment E - Scope of Services for Operations and Maintenance Support Services for West Valley Site Management Program

Attachment F - *Safety, Training, and Handling of Chemicals and Waste*
Attachment G - *Article 15-A (MWBE) Provisions for Solicitation Documents (non-construction)*
Attachment H - List of Applicable Operations and Maintenance Plans and Procedures
Attachment I - Sample Agreement



**Renewable Portfolio Standard Program
Purchase of Renewable Energy Attributes
Request for Proposals (RFP) No. 3257**

Application Packages Due: Thursday, May 26, 2016 by 5:00 pm Eastern Daylight Time (EDT)*

APPROXIMATELY \$150 MILLION AVAILABLE

The New York State Energy Research and Development Authority (NYSERDA) seeks to procure the environmental attributes created by eligible generation resources under the Renewable Portfolio Standard Program (RPS Attributes). While not required, NYSEDA encourages entities interested in participating in this procurement to submit the attached Notice of Intent to Bid Form (Attachment F to this RFP) as soon as possible. Those entities filing a Notice of Intent to Bid Form will be notified by email of any changes to this RFP.

NYSERDA was created in 1975 by the New York State Legislature as a public benefit corporation. As designated in the Public Service Commission (PSC) *Order Regarding Renewable Portfolio Standard*, issued and effective September 24, 2004, NYSEDA acts as the Central Administrator of the RPS program. RFP 3257 will be implemented through a two-step process, consisting of (Step 1) an application step that will prequalify bidders, and (Step 2) a competitive Bid Proposal submission step. **Only those bidders found prequalified through the Step One application process will be permitted to submit Bid Proposals or otherwise participate in Step Two.**

Consistent with the Public Service Commission's January 21, 2016 Order,¹ the available funding for this solicitation may be increased should an excess in uncommitted funding become available from the System Benefits Charge, Energy Efficiency Portfolio Standard, and/or Renewable Portfolio Standard programs, or from other sources.

Step 1 Application Package Submission: Application Packages must be **received* by NYSEDA by 5:00 p.m. Eastern Daylight Time on Thursday, May 26, 2016.** Electronic submission is preferable. NYSEDA will also accept proposals by mail or hand-delivery. If submitting electronically, proposers must submit the proposal in either PDF or MS Word format with a completed and electronically signed Provisional Certification and Application Form including the Disclosure of Prior Findings of Non-Responsibility, in PDF format. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility, rather than scanning. For ease of identification, all electronic files must be named using the proposer's Bid Facility name in the title of the document. Proposals may be submitted electronically by following the link for electronic submissions found on NYSEDA's Funding webpage², located in the "Current Opportunities" section of NYSEDA's

¹ Case 14-M-0094, Proceeding on Motion of the Commission to Consider a Clean Energy Fund, Order Authorizing the Clean Energy Fund Framework, (January 21, 2016), pg. 110

² <http://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>

website. Instructions for submitting electronically are located as Attachment B to this RFP. Additional information specific to NYSERDA's Main Tier Solicitations are found on the Main Tier Solicitations website³.

It is recommended that applicants set aside ample time, well in advance of the deadline, to understand the requirements for the proposed Bid Facility and gather the associated documentation necessary to complete the Provisional Certification and Application process. The Provisional Certification and Application Form (Attachment A), must be completed and submitted on-line, before the deadline.

If mailing or hand-delivering, proposers must submit (2) paper copies of their Application Package, along with a CD or DVD containing both a PDF and MS Word digital copy of the proposal, following the above guidelines. Mailed or hand-delivered proposals must be clearly labeled and submitted to:

**Roseanne Viscusi, RFP 3257
NYS Energy Research and Development Authority
17 Columbia Circle
Albany, NY 12203-6399**

NYSERDA intends to notify all prospective bidders as to their qualification status by Thursday, June 16, 2016. Qualified bidders will be provided detailed instructions for Step 2 Bid Proposal submission at that time; general information is provided below:

Step 2 Bid Proposal Submission: For Step 1 qualified Bidders; Step 2 Bid Proposals must be **received* by NYSERDA** by 5:00 p.m. Eastern Daylight Time on Tuesday, July 12, 2016. Electronic submission is preferable. NYSERDA will also accept proposals by mail or hand-delivery. If submitting electronically, proposers must submit the proposal in either PDF or MS Word format. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility, rather than scanning. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. Proposals may be submitted electronically by following the link for electronic submissions found on NYSERDA's Funding webpage⁴, located in the "Current Opportunities" section of NYSERDA's website. Instructions for submitting electronically are located as Attachment B to this RFP. Additional information specific to NYSERDA's Main Tier Solicitations are found on the Main Tier Solicitations website⁵.

It is recommended that applicants set aside ample time, well in advance of the deadline, to understand the requirements for the proposed Bid Facility and gather the associated documentation necessary to complete the Bid Proposal process. The Bid Proposal must be completed and submitted on-line, before the deadline.

³ <http://www.nyserda.ny.gov/All-Programs/Programs/Main-Tier/Main-Tier-Solicitations>

⁴ <http://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>

⁵ <http://www.nyserda.ny.gov/All-Programs/Programs/Main-Tier/Main-Tier-Solicitations>

If mailing or hand-delivering, proposers must submit (2) paper copies of their Bid Proposal, along with a CD or DVD containing both a PDF and MS Word digital copy of the proposal, following the above guidelines. Mailed or hand-delivered proposals must be clearly labeled and submitted to:

**Roseanne Viscusi, RFP 3257
NYS Energy Research and Development Authority
17 Columbia Circle
Albany, NY 12203-6399**

Program questions should be directed to rps@nyserda.ny.gov (no phone calls). Contractual questions should be directed to Nancy Marucci, ext. 3335, nancy.marucci@nyserda.ny.gov.

No communication intended to influence this procurement is permitted except by contacting **Abbey DeRocker at (518) 862-1090, ext. 3449 or abbey.derocker@nyserda.ny.gov (Designated Contact)**. Contacting anyone other than the Designated Contact (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsive offeror and (2) may result in the proposer not being awarded a contract.

* Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal. Late packages will be returned and those lacking the appropriate completed and signed Attachment A – Provisional Certification and Application Form may be returned. **Faxed or e-mailed packages will not be accepted.** Packages will not be accepted at any NYSERDA location other than the address above. If changes are made to this solicitation, notification will be posted on NYSERDA's web site at <http://www.nyserda.ny.gov/All-Programs/Programs/Main-Tier/Main-Tier-Solicitations>. Please check the website periodically as well as immediately before submitting an application package.

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I. WHAT'S NEW & IMPORTANT NOTES

A February 26, 2015 Public Service Commission Order⁶ directed New York State Energy Research and Development Authority (NYSERDA) to conduct an additional Renewable Portfolio Standard (RPS) Main Tier Solicitation in 2016. Funding for this solicitation was requested in NYSEDA's Clean Energy Fund (CEF) Information Supplement submitted to the Public Service Commission on June 25, 2015; funding authorization was confirmed in the Public Service Commission's January 21, 2016 Order⁷ in the CEF proceeding.

In December 2015, Congress passed the Consolidated Appropriations Act of 2016 (H.R. 2029, Sec. 301) which provides renewable energy tax benefit certainty for several years. Consequently, Request for Proposals (RFP) 3257 will eliminate an "Opt Out" feature utilized in the two previous RFPs to address uncertainty around the renewable electricity production tax credit (PTC) and investment tax credit (ITC).

Awarded projects will be required to register the Bid Facility through the soon-to-be launched New York Generation Attribute Tracking System (NYGATS), and to transfer the Certificates associated with the RPS Attributes to an account designated by NYSEDA. See also Section XVIII. Verification of Rights to RPS Attributes. See <http://www.nyserda.ny.gov/nygats> for more information.

For Fuel-based Bid Facilities that will utilize natural gas, bidders must demonstrate fuel availability sufficient to operate the facility. See Section VIII, paragraph C, Provisional Certification and Section X, paragraph A, Submitting an Application Package for more information.

Please note that all Provisional Certification and Application documents may now be submitted electronically; please refer to Attachment B, Instructions for Provisional Certification and Application Electronic Submission for more information.

II. BACKGROUND: THE NEW YORK STATE RENEWABLE PORTFOLIO STANDARD and CLEAN ENERGY STANDARD

The Commission adopted the RPS program to address the energy, economic, and environmental objectives of New York State by increasing the amount of renewable electrical energy consumed in New York. See Case 03-E-0188, Proceeding on Motion of the Commission Regarding a Retail Renewable Portfolio Standard, and the various orders issued under that proceeding (Orders).

The Orders designate NYSEDA as the Central Procurement Administrator of the RPS Program. Under this RFP, NYSEDA seeks to accomplish the RPS objectives by contracting with suppliers, on a competitive basis, for the environmental attributes created by eligible generation resources under the RPS (RPS Attributes).

⁶ Case 14-M-0101, Proceeding to Consider Reforming the Energy Vision, Order Adopting Regulatory Policy Framework and Implementation Plan, (February 26, 2015).

⁷ Case 14-M-0101, Proceeding on Motion of the Commission to Consider a Clean Energy Fund, Order Authorizing the Clean Energy Fund Framework, (January 21, 2016).

On July 6, 2015 the State Energy Planning Board issued the 2015 New York State Energy Plan⁸ which proposes that the State achieve 50 percent of the State's electricity generated from renewable resources by 2030 (50 by 30 goal). In December 2015, Governor Cuomo directed the Department of Public Service (DPS) to develop a Clean Energy Standard⁹ (CES) to help achieve the SEP goals. This solicitation is intended to maintain programmatic momentum while the CES is deliberated and implemented, and also to ensure that additional renewable generation is available to achieve progress toward the proposed CES targets in the initial years of the program.

Information regarding current and past solicitations can be found at:

<http://www.nyserdera.ny.gov/All-Programs/Programs/Main-Tier/Main-Tier-Solicitations>

The RPS Orders can be accessed at the Commission's RPS webpage at

<http://documents.dps.ny.gov/public/MatterManagement/CaseMaster.aspx?MatterSeq=17612>

All Bidders are strongly advised to review the Orders before participating in this RFP.

III. OBJECTIVE OF THIS RFP

NYSERDA seeks to purchase RPS Attributes, and, once the NYGATS is fully functional, the NYGATS Certificates associated with electricity generated from eligible Bid Facilities, under the terms and conditions described herein. NYSERDA has designed this solicitation as a two-step process, consisting of (1) an application step that will prequalify bidders, and (2) a competitive Bid Proposal submission step. Only those bidders found prequalified through the Step One application process will be permitted to submit Bid Proposals or otherwise participate in Step Two.

To be eligible, a Bid Facility must have first commenced Commercial Operation on or after January 1, 2003, or must produce new, incremental RPS-eligible Attributes from new Bid Capacity above a historical baseline, as established through the Provisional Certification process. Bid Facilities must enter Commercial Operation by the Commercial Operation Milestone Date, in accordance with Section XV.

CAPITALIZED TERMS AND ABBREVIATIONS USED IN THIS RFP ARE DEFINED IN SECTION XXVII (DEFINITIONS). BIDDERS SHOULD REFER TO SECTION XXVII WHEN READING THIS DOCUMENT.

IV. INTENT TO BID

Submittal of a Notice of Intent to Bid Form (Attachment F to this RFP) is optional but encouraged, as it will enable direct communication of any changes in process or documents to prospective Bidders. Notification of such change(s) will be posted on the

⁸ 2015 New York State Energy Plan is available from <http://energyplan.ny.gov/>

⁹ Letter from Governor Andrew M. Cuomo to Audrey Zibelman, Chair, New York State Department of Public Service, December 2, 2105 (Cuomo Letter) available at https://www.governor.ny.gov/sites/governor.ny.gov/files/atoms/files/Renewable_Energy_Letter.pdf.

RPS Main Tier website¹⁰ and sent via email to those parties who have submitted a Notice of Intent to Bid Form.

V. BIDDERS' TELECONFERENCE & INQUIRIES

NYSERDA will hold a teleconference on **Tuesday, May 3, 2016 at 3:00 p.m. EDT** (Albany, NY time). On the teleconference, NYSERDA will review the bid process, the Application Package requirements, the Bid Proposal Requirements, the RPS Standard Form Contract, and will provide an introduction to NYGATS. Questions will be taken and, to the extent possible, responses will be provided during the conference. **Bidders who intend to participate must send an email indicating such to rps@nyserda.ny.gov, by 12:00 noon on Monday, May 2, 2016, with the subject line "Teleconference for RFP 3257"**. Respondents will be provided with a teleconference dial-in number and pass code. Those parties who submit an Intent to Bid form (Attachment F to this RFP) will automatically be provided with the teleconference number and pass code. All Bidders are strongly encouraged to participate in the teleconference.

Bidders may also submit written questions pertaining to the bid process, the Application Package requirements, the Bid Proposal Requirements, and the RPS Standard Form Contract. Questions must be directed to rps@nyserda.ny.gov, with the subject line "**RPS Question**". Bidders are encouraged to submit questions prior to the Bidders' Teleconference. Questions can be submitted at any time, but must be received before **5 p.m. on Friday, May 6, 2016**.

NYSERDA will post all questions anonymously, along with NYSERDA's responses, at <http://www.nyserda.ny.gov/All-Programs/Programs/Main-Tier/Main-Tier-Solicitations>, on or about Thursday, May 12, 2016. These written responses will supersede any responses given by NYSERDA during the Bidder's Teleconference. All questions regarding the RFP documents or the process **MUST** be directed as indicated. Questions may not be submitted directly to any individual at NYSERDA, DPS Staff, or to individuals working for or on behalf of NYSERDA.

VI. SCHEDULE

The schedule for this RFP process is established to provide an expedited process for proposals, evaluations, and contract execution. The time-line for RFP 3257 is as follows (all times EDT):

RFP Release	Thursday, April 21, 2016
Notice of Intent to Bid Form (optional) due	Immediately
Bidders' Teleconference	3 pm, Tuesday, May 3, 2016
Deadline to submit Written Questions	5 pm, Friday, May 6, 2016
Responses to Questions posted on NYSERDA's website	Thursday, May 12, 2016

¹⁰ <http://www.nyserda.ny.gov/All-Programs/Programs/Main-Tier>

Deadline to submit Application Packages and Provisional Certification Applications (Step 1)	5 pm, Thursday, May 26, 2016
NYSERDA notifies Qualified Bidders	Thursday, June 16, 2016
Deadline to submit Bid Proposals (Step 2)	5 pm, Tuesday, July 12, 2016
NYSERDA notifies winning Bidders (on or about)	August 2016

Please note that the above dates are subject to change. Submittal of the Notice of Intent to Bid Form (Attachment F to this RFP) is optional but encouraged, as it will enable communication of any changes in the RFP process or documents to prospective Bidders. Notification of such change(s) will be posted on the Main Tier website¹¹ and sent via email to those parties who have submitted a Notice of Intent to Bid Form.

VII. NYSERDA’S RPS FUNDING

The contracts awarded through this RFP will be funded through a non-bypassable surcharge which is levied on the delivery portion of the electricity bills of New York retail customers. The surcharge is collected by the State’s investor-owned utilities, pursuant to various Orders issued by the Public Service Commission in fixed dollar amounts through 2036. As directed by the Orders, each of the five investor-owned utilities has entered into a contract with NYSERDA to transfer the surcharge funds to reimburse payments made under the contracts awarded through this solicitation.

NYSERDA funds are maintained by the New York State Commissioner of Taxation and Finance, NYSERDA’s fiscal agent pursuant to the Public Authorities Law (Section 1859); the RPS surcharge funds are maintained in a segregated account. The RPS revenues and expenditures are separately reported in NYSERDA’s annual financial statements, which are public and subject to an annual independent audit.

VIII. ELIGIBILITY/CERTIFICATIONS

A. Eligibility

Each Bid Facility designated in an Application Package under this RFP for the supply of RPS Attributes must qualify as an eligible resource under the “Main Tier Eligible Electric Generation Sources” rules, as set forth at Appendix B of the September 24, 2004 Order as amended by the attachment to the June 28, 2006 “Order on Customer Sited Tier Implementation,” as further defined and clarified within the body of the Orders.

Pursuant to the Commission’s “Order Approving Petition with Modifications,” issued and effective November 22, 2010, clean wood separated from construction and demolition debris at approved material reclamation facilities is eligible for use as biomass fuel, provided that all of the requirements listed within the November 22, 2010 Order (see Order pp. 16-17) are fulfilled.

¹¹ <http://www.nyserda.ny.gov/All-Programs/Programs/Main-Tier>

Pursuant to the Commission's "Order Modifying Renewable Portfolio Standard Program Eligibility Requirements," issued and effective May 22, 2013, to be eligible for an award under RFP 3257, a Bid Facility must be located within New York State, including offshore generating facilities directly interconnected to New York State's electrical grid.

To be eligible for an award under RFP 3257, a Bid Facility must have first commenced Commercial Operation on or after January 1, 2003, or must produce new, incremental RPS-eligible Attributes from new Bid Capacity above a historical baseline, as established through the Provisional Certification process.

B. Eligibility Limitations

Previous NYSERDA Awards or Funding. Offers of RPS Attributes produced by projects or Bid Facilities that have collected funding through NYSERDA for investment in any electric or gas plant, as such terms are defined under Section 2 of the New York State Public Service Law, except for equipment or appurtenances designed to measure, assess or lessen the environmental impact of such facilities in a manner or to an extent not already required under law, regulation or an existing permit, are ineligible for participation in RFP 3257.

No Bid Facility or project may simultaneously collect both New York RPS incentive payments and production-based incentives from any other state or local source for the contracted RPS Attributes.

All Bid Facilities are subject to the Bid Facility electricity delivery requirements as set forth at Section XXI. RPS Attributes that are the subject of a current award, were the subject of an award under the 10th Main Tier Solicitation (RFP 3084), or that are included in the Bid Quantity of a current or former contract from a previous RFP are not eligible under RFP 3257. The maximum 20-year Contract Tenor will not be available to extend any past or current RPS Agreement.

C. Provisional Certification

In addition, each Bid Facility must meet all of the requirements of the Provisional Certification process. Provisional Certification affirms that a project can meet the RPS Program's eligibility criteria. Only after the project is provisionally certified may it be considered for the award of an RPS contract. Such certification will be made through the Provisional Certification process, streamlined for this RFP through the utilization of Attachment A to this RFP.

Bid Facilities must complete the Provisional Certification process, even where provisional certification was granted for a previous RFP.

The Provisional Certification process will also determine the Maximum Contract Tenor available to the Bid Facility.

In their Provisional Certification submissions to NYSERDA, Bidders must include data pertaining to facility and fuel characteristics, as appropriate to the resource, in sufficient detail to enable a full evaluation regarding eligibility.

For Fuel-based Bid Facilities that will utilize natural gas, Bidders must demonstrate fuel availability sufficient to operate the facility. Bidders must provide written confirmation from the applicable service utility that fuel is/will be available in an amount sufficient to operate at the intended capacity at a feasible withdrawal point for the Bid Facility.

In addition, for any Bid Facility that has entered Commercial Operation as of April 21, 2016, Bidders must include records and data in sufficient detail to determine the actual date of Commercial Operation and Nameplate Capacity. Collectively, this information will be utilized to determine the Bid Facility's overall eligibility and Maximum Contract Tenor under RFP 3257, as described below.

Maximum Contract Tenor:

The Contract Tenor offered for a Bid Facility will be limited by the term of the Maximum Contract Tenor. For all Bid Facilities not in Commercial Operation as of April 21, 2016, the Maximum Contract Tenor will be calculated as the lesser of:

- (1) 20 years, or
- (2) The Bid Facility's Useful Life.

For all Bid Facilities in Commercial Operation as of April 21, 2016, the Maximum Contract Tenor applicable to the project's bid will be calculated as the lesser of:

- (1) 20 years (240 months) minus the number of years (months) between the year (month) of Commercial Operation and April 2016 (rounded to the nearest full year), or
- (2) The Bid Facility's Useful Life minus the number of years (months) between the year (month) of Commercial Operation and April 2016 (rounded to the nearest full year).

The following table lists the Useful Life by resource for use in the calculations of Maximum Contract Tenor for RFP 3257. This table was developed using references from published industry sources.

Table 1. Default Values for Useful Life used to determine Maximum Contract Tenor

<u>Resource</u>	<u>Useful Life (years)</u>
Anaerobic Digestion	20
Biomass/Liquid Biofuel	20
Fuel Cell ¹²	20
Hydroelectric (New or Upgrade)	50
Landfill Gas to Electricity	15
Solar PV	20
Tidal/Ocean	10
Wind	20

Bidders may submit Step 2 bids for any Contract Tenor from a minimum of one year and a maximum of the Maximum Contract Tenor identified through Provisional Certification.

D. Operational Certification

Operational Certification verifies that the Bid Facility has been constructed and/or will operate in accordance with the Bid Proposal as submitted, for which Provisional Certification was granted. Operational Certification must be applied for in writing to NYSERDA and must be granted by the DPS before payments under the RPS Standard Form Contract will be made by NYSERDA. Seller must promptly notify NYSERDA's Project Manager of the date upon which the Bid Facility enters Commercial Operation (See Section XIII).

In applying for Operational Certification, Seller must submit information and documentation necessary for NYSERDA to verify that the Bid Facility is operating as proposed and in the manner for which Provisional Certification was granted, including the generating capacity of the Bid Facility, the date under which it entered Commercial Operation as proposed, and any deviations from the as-proposed configuration and/or operations. Deviations in the capacity of the Bid Facility, configuration, and/or operations may result in contractual adjustments referenced in Section XIX.

Verification by NYSERDA that the Bid Facility has entered Commercial Operation and is eligible for Operational Certification may be based in part on documentation, audits, site visits, and attestations. For Fuel-Based Bid Facilities, the Seller will be required to provide additional information as outlined in Exhibit E to the Fuel Based Bid Facility Standard Form Contract (Attachment H to this RFP).

Once Operationally Certified, NYSERDA will make payments for RPS Attributes properly transferred to NYSERDA under Articles II and IV of the RPS Standard Form

¹² Bidders of Fuel Cell Bid Facilities offering a Contract Tenor in excess of 10 years on the Bid Proposal form will be required to provide, prior to NYSERDA's execution of an Agreement, an executed Bid Facility operations and maintenance agreement with the Bid Facility's host customer for a term which is greater than or equal to the proposed Contract Tenor.

Contract and associated with energy generated by the Bid Facility beginning with the commencement of the Contract Delivery Term, based on monthly invoicing, in accordance with the terms of the RPS Standard Form Contract.

More information on the Operational Certification process is available on NYSERDA's website.¹³

E. Subsequent Changes

Bid Proposals and/or Bid Facilities selected for award under this RFP will not be subject to subsequent changes in RPS eligibility rules; however, in the event that the Bid Facility fails to maintain eligibility consistent with the RPS requirements as they existed on April 21, 2016, such ineligibility will extend to the RPS Attributes associated with the Bid Facility's production throughout the entire period in which the Bid Facility fails to maintain eligibility.

IX. PARTICIPATING IN THIS RFP

NYSERDA has designed this procurement as a two-step process, consisting of: (1) an application step that will prequalify bidders, and (2) a competitive Bid Proposal submission step. **Only those bidders found prequalified through the Step One application process will be permitted to submit Bid Proposals or otherwise participate in Step Two.**

X. STEP ONE – APPLICATION PACKAGES

A. Submitting an Application Package

To be considered for qualification to participate in Step Two (Bid Proposal), Bidders must provide NYSERDA with a complete Application Package. Each Application Package must designate a single Bid Facility from which RPS Attributes (and Certificates associated with RPS Attributes) may be used for performance under a Standard Form Contract. NYSERDA will review each Application Package and make determinations in conjunction with the DPS Staff, as to qualification for participation in Step Two. It is anticipated that all bidders will be notified of such determinations no later than Thursday, June 16, 2016.

A complete Application Package consists of:

1. Provisional Certification and Application Form (Attachment A hereto) that includes a Disclosure of Prior Findings of Non-Responsibility. The Provisional Certification Process is described in Section VIII. **Application Packages lacking a completed and signed Provisional Certification and Application Form may be rejected.**
2. If Applicable, for Fuel-based Bid Facilities that will utilize natural gas, bidders must demonstrate fuel availability sufficient to operate the facility. Bidders must

¹³ <http://www.nyserda.ny.gov/All-Programs/Programs/Main-Tier/Operational-Certification>

provide written confirmation from the applicable service utility that fuel is/will be available in an amount sufficient to operate at the capacity specified in Attachment A at a feasible withdrawal point for the Bid Facility (see Section VIII, C).

3. If Applicable, an Engineering report or Eligible Baseline Calculation form (see Attachment A, Exhibit A, pages A-11 through A-15)
4. Proof of Bid Deposit, as specified below.

Bid Deposit. Each Application Package must be accompanied by a Bid Deposit, in the form of electronic wire deposit (preferred) or certified funds, in an amount determined by the Nameplate Capacity of the Bid Facility. If the Bid Deposit is provided via electronic wire deposit, confirmation of this deposit must be provided with the Step 1 Provisional Certification and Application Form. If the Bid Deposit is provided via a cashier's check, the Bid Deposit must be clearly labeled with RFP 3257, Bid Facility, and Bidder, and sent to:

Roseanne Viscusi, RFP 3257
NYS Energy Research and Development Authority
17 Columbia Circle
Albany, NY 12203-6399

Electronic wire deposit instructions can be obtained by emailing rps@nyserda.ny.gov with the subject line **"Bid Deposit Instructions for RFP 3257."**

The amounts are as follows:

Nameplate Capacity:	Bid Deposit Required:
Less than 5.00 MW	\$5,000
5.00 – 19.99 MW:	\$20,000
20.00 – 49.99 MW:	\$50,000
50.00 MW or more:	\$100,000

Bid Deposits will be refunded to Applicants who elect not to submit a Bid Proposal under Step 2, or are deemed ineligible by NYSEDA to participate in Step 2, on or before July 29, 2016. Bid Deposits will be refunded to Bidders whose Bid Proposals have not been selected for an award, if not before, immediately upon the expiration of the time during which the Bid Proposal remains an open offer (60 days from submittal; See Section XI).

Bid Deposits will be refunded to Bidders whose Bid Proposals have been selected by NYSEDA upon execution of the RPS Standard Form Contract (Attachment G or H to this RFP) and NYSEDA's receipt of the Contract Security as described in Section XVI; A (Contract Security) as required under the RPS Standard Form Contract (Attachment G or H to this RFP). No interest will be paid on any Bid Deposit.

Deadline for Submitting an Application Package: The complete Application Package must be **received** by NYSEDA no later than **5 p.m. EDT on Thursday, May 26, 2016. Electronic submission is preferable.** All information must be provided; all

information provided must be legible. **NYSERDA recommends that you reserve ample time to address Provisional Certification and Application requirements for each Bid Facility. The Provisional Certification and Application Form (Attachment A), must be completed and submitted on-line, before the deadline.** All electronic signatures must be provided as indicated. Failure to provide any information requested may result in the Application Package being declared non-responsive and rejected. Additional information and materials beyond those requested may be submitted only if necessary for clarification. Additional information and materials beyond what is identified in this RFP may be requested by NYSERDA. Application Packages become the property of NYSERDA.

B. Application Package Evaluation

NYSERDA will evaluate Application Packages for completeness and against the qualification criteria specified in Sections VIII and X; A (Submitting an Application Package). NYSERDA intends to contact bidders on or before Thursday, June 16, 2016 with determinations as to the qualification of Bid Facilities identified in Application Packages. Bidders deemed qualified to submit a Bid Proposal as a result of this review will be assigned a "Bidder Number" and invited to submit a Bid Proposal according to instructions as described below and provided in further detail in NYSERDA's qualification letter.

XI. STEP TWO – BID PROPOSALS

At the time that Bidders are notified of their qualification status, qualified Bidders will be provided with Bid Proposal Forms (Attachment D), Bid Price Forms (Attachment E), and relevant instructions, and will be invited to submit an electronic Step 2 Bid Proposal. Bidders may submit bids for any Contract Tenor of a minimum of one year and a maximum of the Maximum Contract Tenor identified through Provisional Certification. The Contract Tenor applicable to the bid must be specified on the Bid Proposal Form. Each Bid Proposal must designate a single Bid Facility. The Bid Quantity Percentage entered on the Bid Proposal form must be at least 30% and may not exceed 95%.

The submittal of a Bid Proposal will constitute a binding offer to contract under the RPS Standard Form Contract terms (attached hereto as Attachments G and H) and such offer must remain open for a period of at least sixty (60) days from the deadline for submittal or such time as designated by NYSERDA at the time of notification of qualification for Step Two. All Bid Proposals become the property of NYSERDA.

NYSERDA RETAINS THE RIGHT TO ACCEPT ANY OR ALL BIDS, TO REJECT ANY OR ALL BIDS, TO SOLICIT RE-BIDS, AND TO MAKE COUNTEROFFERS TO SUCH BID(S) AS IT DEEMS APPROPRIATE.

A. Submitting a Bid Proposal

Bid Proposal packages must contain the following forms and information, without exception, and must be organized as indicated below. Bid Proposals lacking sufficient detail may be deemed non-responsive and ineligible for further evaluation or award.

Section 1: Cover Letter

Section 2: General Description of the Bidder and Bid Facility, including a fully completed Project Schedule Form (Attachment C to this RFP).

Section 3: Incremental Economic Benefits to New York State Created by the Bid Facility

- a) Long Term Jobs created in New York State
- b) Payments/Benefits to New York State and/or its Municipalities
- c) Royalties and/or Payments for Fuel and Resource Access
- d) In-State Purchases or Consumption of Goods
- e) Short Term Employment of New York State Workers

Section 4: Incremental Economic Benefits Justification

Section 5: Verification Plan

Section 6: Completed Bid Proposal Form (see Sample Form, Attachment D to this RFP)

Section 7: Completed Bid Price Form (see Sample Form, Attachment E to this RFP)

Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. Each page of the proposal should state the name of the proposer, the bidder number, the RFP number, and the page number.

Bid Proposals should be concise and clearly organized in the format listed above. Bid Proposals should be no longer than 20 pages in length, not including the Bid Proposal Form and Bid Price Form. The font size should not be smaller than 11 point.

If submitting electronically, proposers must submit the proposal in either PDF or MS Word format. **Electronic submissions are strongly encouraged.** If mailing or hand-delivering, Bidders must submit two (2) paper copies of the Bid Proposal together with a CD containing electronic copies of the Bid Proposal and all attachments in PDF form. Bidders must submit one Bid Price Form in pdf format.

Bid Proposals must be received by NYSERDA by **5:00 pm EDT (Albany, NY Time) on Tuesday, July 12, 2016**; this date will be confirmed at the time Bidders are notified that they have qualified for participation in Step Two (expected Thursday, June 16, 2016).

Bidders will not be reimbursed by NYSERDA for any costs associated with the preparation of their proposals. Bid Proposals become the property of NYSERDA. Mailed or hand-delivered proposals must be clearly labeled and submitted to:

**Roseanne Viscusi, RFP 3257
NYS Energy Research and Development Authority
17 Columbia Circle
Albany, NY 12203-6399**

Section 1: Cover Letter (1 page) The cover letter must include all signatures necessary to approve and submit the Bidder's Proposal by a representative having the authority to contractually commit the Bidder for Bidder's offer provided in the Bid Proposal. The cover letter must also include the following declaration:

[Insert legal name of Bidder] (the "Bidder") hereby acknowledges receipt of the NYSERDA's 2016 Request for Proposals 3257 (the "RFP") and acknowledges that it has read and agrees to be fully bound by, all of the terms, conditions and other provisions set forth in RFP 3257 and the RPS Standard Form Contract (Attachments G or H to RFP 3257). Additionally, the Bidder hereby makes the following representations to NYSERDA:

- 1. all of the statements and representations made in this proposal are true to the best of the Bidder's knowledge and belief;*
- 2. the Bidder has sufficient rights in title to the RPS Attributes emanating from the Bid Facility identified in the Bid Proposal to perform under the RPS Standard Form Contract;*
- 3. the Bidder has obtained all necessary corporate authorizations, approvals and waivers that will enable the Bidder to commit to the terms provided in this proposal;*
- 4. In accordance with Section 2878 of the New York State Public Authorities Law, Bidder warrants, under penalty of perjury, that its bid was arrived at independently and without collusion aimed at restricting competition; and*
- 5. The proposal constitutes a firm and binding offer, for a period of at least 60 days from the date Bid Proposals are due.*

Section 2: General Description of the Bidder and Bid Facility (up to 3 Pages) Each Bidder must **fully** address the following: Provide a profile of the Bidder's company and its parent company, if any. Describe the relationship between the Bidder and the investors, sponsors and owner(s) of the Bid Facility. Identify and explain any State or Federal grants or tax incentives that have been applied for or are expected to be applied for and fully describe the status of such applications. Provide the Bid Facility's location (address, county and town) including a State and/or county map with the Bid Facility's geographic location marked. Provide a description of the Bid Facility including resource type, expected fuel supply type, Nameplate Capacity, projected capacity factor, the status of major permits/approvals necessary to build and operate the Bid Facility, and the major equipment manufacturers/providers. Describe how it is expected that the electrical output of the Bid Facility will be delivered, sold and consumed; including identification of any power purchase or other sales agreement (see Sections VIII and XXI). Also, provide a fully completed Project Schedule Form (Attachment C to this RFP).

Bidders who intend to satisfy the Bid Facility electricity delivery requirement through option A.2 of Section XXI must include documentation demonstrating that arrangements have been made with the local utility or interconnection authority for measurement, verification and tracking of the electricity associated with the Quantity Obligation.

Bidders must further identify any party to which it has executed an agreement for sale of power from the Bid Facility, or the status of negotiation with third parties for offtake of any electricity produced by the Bid Facility.

Section 3: Economic Benefits Created by the Bid Facility (up to 12 Pages) For evaluation and scoring purposes, Bidders may claim the Incremental Economic Benefits (described below) expected to accrue to New York as a result of the development, construction/ modification, and operation of the Bid Facility.

Only those Incremental Economic Benefits falling within the categories defined below will be considered, and in no instance will NYSERDA or its Technical Evaluation Panel (“TEP”) consider any indirect benefits or those created by any “multiplier effect” or other attribution method under which the creation of peripheral spending and jobs might be credited to direct capital infused into the economy. **Bidders are not permitted to apply escalation rates or cost of living adjustments.** Bidders not seeking credit for economic benefits in any category may leave the section blank. Any responses left blank will receive zero points for the applicable category.

Economic benefits previously claimed with respect to a Bid Facility that is subject to a pending award under a previous solicitation or that is the subject of a current RPS contract are not eligible for evaluation. Incremental Economic Benefits are those that a Bidder can demonstrate: (1) will accrue subsequent to an award under RFP 3257, and (2) would not have accrued but for the award of a contract under RFP 3257.

The following categories are listed in order of importance from the highest-weighted category to the lowest-weighted category.

- a. **Long-Term NYS Jobs:** Describe the degree to which the operation of the Bid Facility will directly create (add) long term jobs (jobs lasting more than 3 years) in New York. Examples of such jobs include, but are not limited to, those associated with operations and maintenance, plant management, or similar. List and describe the type of jobs including the position title, specific role and responsibilities, and the expected duration of such jobs. Provide the number of jobs, in Full Time Equivalents (FTEs), and the expected average annual salary/and or total compensation and direct benefits (excluding overhead for normal operations) for all jobs. Provide expected total dollars for compensation/salaries and benefits **during the first three (3) Contract Years of operation** (Expected Total Dollars). Divide the Expected Total Dollars by the Bid Capacity, and provide the result.
- b. **Payments/Benefits to New York State and/or its Municipalities:** Describe the degree to which the operation of the Bid Facility will provide new or increased local property tax revenues to school districts, cities, towns or other taxing jurisdictions in New York, or alternatively, Payments in Lieu of Taxes (PILOT) or other alternative taxing mechanisms and forms of compensation. List and describe separately all tax payment, PILOT arrangements and/or “host” community payment agreements with all affected jurisdictions. Provide expected total dollars paid to all taxing jurisdictions and municipal entities through the first

three (3) Contract Years of operation (Expected Total Dollars). Divide the Expected Total Dollars by the Bid Capacity, and provide the result. NYSERDA reserves the right to reduce, for evaluation and contracting purposes, the amount of dollars reported by the amount of any benefits under any NYS Empire State Development sponsored business program or other NYS-funded program. New York State sales taxes paid by Seller are not eligible and will be excluded from the Payments/Benefits component.

- c. Payments for Renewable Fuels and Resource Access:** Describe the degree to which the operation of the Bid Facility will provide royalties, production-based payments, land lease or land use payments or other forms of compensation, associated with securing rights to or directly acquiring fuel or access to wind resources for the Bid Facility (e.g., wind, biomass, biogas). Examples include payments for leases of land in New York, payments associated with the production of electricity, fuel purchases of biomass sourced or harvested in New York, and purchases for landfill gas produced in New York. Payments for non-renewable fuels such as natural gas are not eligible for consideration in this category or any Economic Benefits category. Provide total dollars expected to be paid through the first three (3) Contract Years of operation (Expected Total Dollars). Divide the Expected Total Dollars by the Bid Capacity, and provide the result.
- d. In-State Purchases or Consumption of Goods:** Describe the degree to which local and state economic activity will increase as a result of:
- i. the purchase and consumption of local goods and services (other than those in Section e. Short-Term Employment, below) by non-NY-resident workers, such as, but not limited to, food, lodging, vehicles, equipment, fuel, and/or
 - ii. the purchase of materials sourced from within New York such as, but not limited to, gravel, steel, concrete and similar materials and/or the purchase and use of equipment and products manufactured or assembled within New York and/or the use of rental equipment or similar supplies sourced from within New York. Wind turbine components not manufactured within New York State will not be considered and should not be included, and/or
 - iii. Ongoing operations and maintenance expenses which are anticipated through the first three (3) years of Commercial Operation.

List each type of purchase or service that will be used and provide total dollars expected to be spent on all the purchases or consumption of local/in-state goods from this category through the first three (3) Contract Years of operation (Expected Total Dollars). Divide the Expected Total Dollars by the Bid Capacity, and provide the result.

- e. Short-Term Employment:** Describe the degree to which New York workers will be employed on a short-term basis. Illustrative examples include direct employment of NYS construction, rail and port workers, contractors and laborers,

engineering or environmental service providers, consultants, financial service advisors, and legal service providers associated with the development and construction/modification of the Bid Facility. List and describe the type of jobs and the expected duration of such jobs. Provide the number of jobs, in Full Time Equivalent (FTEs), and the expected average annual salary and benefits for all jobs. Provide expected total dollars for salaries and benefits through the first three (3) Contract Years of operation (Expected Total Dollars). Divide the Expected Total Dollars by the Bid Capacity, and provide the result.

- f. Divide the Expected Total Dollars from all categories listed above (a through e) by the Bid Capacity, and provide the result.

Section 4: Incremental Economic Benefits Justification (up to 3 pages) Bidders must provide a detailed justification specifying how the claimed Incremental Economic Benefits (see 3a-3e above) are eligible for evaluation. Specifically, Bidders should include a description of all claims with relevant information or documentation which demonstrates the eligible nature of these claims within the requirements listed in Section 3 above.

Section 5: Verification Plan (up to 3 pages) Bidders must provide a detailed verification plan specifying how the economic benefits claimed for evaluation (see 3a-3e above) will be documented for contract compliance (see Section XX). Specifically, Bidders should include a description of all documents, reports, contracts, subcontracts, invoices, or other information/documentation that may be submitted to verify the expenditures and/or payments associated with the economic benefits claimed hereunder. In doing so, Bidders should identify the entity issuing such documentation (subcontractor, taxing jurisdiction, equipment service company, etc.) and explain how the Bidder intends to attain such documentation for ultimate submission to NYSERDA for compliance under Section XX of this RFP.

Section 6 and 7: Bid Proposal Form; Bid Price Form At the time Bidders are notified of qualification to submit a Bid Proposal (Section XI), NYSERDA will provide Qualified Bidders with a Bid Proposal Form and a Bid Price Form, in the formats provided in the Sample Bid Proposal and Bid Price Forms, Attachments D and E to this RFP, but tailored for the specific Bid Facility and its qualification status. Bidders will be responsible for submitting one (1) fully completed and electronically signed Bid Proposal Form with each Bid Proposal and one (1) fully completed and signed Bid Price Form.

THE BID PRICE FORM MUST BE ELECTRONICALLY SUBMITTED IN A SEPARATE FILE MARKED “RFP 3257 BID PRICE FORM_ BIDDER NUMBER_ BID FACILITY NAME”.

XII. BID PROPOSAL EVALUATION

NYSERDA will employ a scoring system comprised of two evaluation components totaling 100 points:

1. Expected Economic Benefits to New York: 30 points

2. Bid Price evaluation: 70 points

A. Expected Economic Benefits Evaluation

Bid Proposals will be scored on the ability of the Bid Facility to contribute positively to the economy of New York State in the categories listed in Section XI; A (Submitting a Bid Proposal).

A Technical Evaluation Panel (TEP), consisting of NYSERDA staff, DPS Staff, and outside reviewers, will evaluate and award points (up to 30) to Bid Proposals based on the degree to which each Bid Proposal demonstrates a contribution to the economic benefits categories listed in Section XI; A (Submitting a Bid Proposal).

Only those economic benefits meeting the eligibility criteria defined in Section XI; 3 (Economic Benefits Created by the Bid Facility) and falling within the defined categories in Section XI; A (Submitting a Bid Proposal) will be considered for evaluation. NYSERDA reserves the right to reduce, for evaluation and contracting purposes, the amount of dollars reported in Section 3(b) of the Bid Proposal (“Payments to New York State and/or its Municipalities”) by the amount of any benefits under any Empire State Development program, including any NYS Empire State Development-sponsored business program or other NYS-funded program.

Please review Section XX: Post-Award Demonstration of Actual Economic Benefits for further details regarding contractual compliance provisions.

Scoring on the basis of expected economic benefits will be conducted independently (without knowledge of bid prices) of Bid Price evaluation.

B. Bid Price Evaluation Metric

For evaluation purposes only, Bid Prices will be converted according to the following calculation to allow for an equitable comparison between bids of varying Contract Tenor:

$$\text{Bid Price Evaluation Metric} = \frac{\text{NPV of Expected Contract Payments}}{\text{Bid Quantity} \times \text{Contract Tenor}}$$

Where:

$$\text{NPV of Expected Contract Payments} = \sum_{2016}^{2039} \frac{(\text{Bid Price} \times \text{Calendar Year Bid Quantity})_t}{(1 + i)^{t-2016}}$$

t = Calendar Years 2016 - 2039
i = 6.87%¹⁴

¹⁴ The discount rate for Bid Price evaluation (DISCo Discount Rate or DDR) was established by the New York State Department of Public Service Office of Accounting, Audits and Finance.

- Bid Facilities not operating as of April 21, 2016 will be evaluated as if the Contract Delivery Term commences on May 1, 2018.
- Bid Facilities operating as of April 21, 2016 will be evaluated as if the Contract Delivery Term commences on September 1, 2016.

NYSERDA will employ a maximum acceptable Bid Price Evaluation Metric; NYSERDA will not award a contract for a Bid Facility where the Bid Price Evaluation Metric is above the maximum acceptable Bid Price Evaluation Metric.

Bids will be sorted in ascending order according to the Bid Price Evaluation Metric. The lowest bid according to the Bid Price Evaluation Metric will receive the maximum points available for the Bid Price component (70 points). Bids which yield a Bid Price Evaluation Metric above the maximum acceptable Bid Price Evaluation Metric will be ineligible for award. Points awarded to all other bids will be awarded in proportion to where the Bid Price Evaluation Metric falls within the range from lowest Bid Price Evaluation Metric to the highest eligible Bid Price Evaluation Metric.

C. Selection

A final ranking of Bid Proposals will be developed based on the sum of points awarded for the Bid Price Evaluation Metric and points awarded on the basis of the Expected Economic Benefits Evaluation. Selection will be based on this final ranking, subject to NYSERDA's procurement target and available funds except that: **NYSERDA will not award a contract to any Bidder offering a bid which yields a Bid Price Evaluation Metric above the maximum acceptable Bid Price Evaluation Metric.**

NYSERDA reserves the right to reject or accept any or all bids. NYSERDA also reserves the right to solicit revised Bid Prices and/or to make counteroffers as it deems appropriate. Notification of a re-bid, counteroffer or selection will be made by voice communication and electronic mail to the Bidder's Designated Agent(s), as identified on Attachment E to this RFP, Bid Price Form. Bidder's Designated Agent(s) must be authorized to respond and to commit to counteroffers on behalf of Bidder.

Upon notification of an award, NYSERDA will prepare a conformed copy of the RPS Standard Form Contract which will be delivered to Bidder, in a manner to be agreed upon, for Bidder's execution and return.

NYSERDA may withdraw and rescind awards to Bidders who fail to provide Contract Security as required by Section XVI or who fail to execute the RPS Standard Form Contract within a reasonable amount of time.

XIII. CONTRACT DURATION, COMMERCIAL OPERATION, COMMENCEMENT DATE

Contract Duration

Contract awards may be for a Maximum Contract Tenor of up to twenty (20) Contract Years. The Maximum Contract Tenor available to a Bid Facility will be determined through Provisional Certification (see Section VIII). The Contract Tenor utilized in the Standard Form Contract for an awarded Bid Facility will be the Contract Tenor entered on the Bid Proposal Form for the Bid Facility, which may not exceed the Maximum Contract Tenor.

Commercial Operation

Sellers must promptly notify NYSERDA's Project Manager of the date upon which the Bid Facility enters Commercial Operation, and the generating capacity in Commercial Operation as of that date. Commercial Operation is defined as a state of operational readiness under which (i) generating capacity is available and physically producing electric energy and associated RPS Attributes, and (ii) all rights, abilities, permits and approvals to schedule and deliver energy to the Injection Point have been obtained.

Commencement Date

For Bid Facilities that are not in Commercial Operation as of the Effective Date of the Standard Form Contract, the Contract Delivery Term will commence on the first day of the month after the Bid Facility commences Commercial Operation, which shall be no later than the Commercial Operation Milestone Date (April 30, 2018, unless extended; See Sections XV and XVI, below).

For Bid Facilities in Commercial Operation as of the date of selection for award, unless otherwise agreed to in writing by NYSERDA, the Contract Delivery Term shall commence on the first day of the month after the Effective Date of the RPS Standard Form Contract.

XIV. UNILATERAL TERMINATION

Contracts for Fuel-Based Bid Facilities (See Attachment H to this RFP) include a unilateral termination clause maturing upon each 30-month anniversary of the commencement date of the Contract Delivery Term; exercisable by Seller should Seller be unable to secure a continuous bio-fuel supply at a price that supports the contract. Notice of Seller's intention to terminate must be received by NYSERDA at least 30 days prior to each such 30-month anniversary date.

XV. COMMERCIAL OPERATION MILESTONE DATE

Bid Facilities must enter Commercial Operation on or before the Commercial Operation Milestone Date. The initial Commercial Operation Milestone Date for all Bid Facilities will be April 30, 2018. Sellers may elect to extend the Commercial Operation Milestone Date in accordance with the provisions of Section XVI.

XVI. CONTRACT SECURITY

All Contract Security amounts, as described below, must be provided in the form of (a) cash, (b) certified funds, or (c) an irrevocable stand-by letter of credit, payable to NYSERDA, and drawn on an institution acceptable to NYSERDA, in substantially the form provided at Exhibit C to the RPS Standard Form Contract. Note: under the Standard Form Contract, once conformed to the Bid, references to Bidder become references to Seller.

- A.** Bidders must provide to NYSERDA, **within 10 business days of notification of selection**, unless otherwise agreed to by NYSERDA, Contract Security in an amount equal to \$9.00 per MWh times the Bid Quantity. Unless otherwise agreed by NYSERDA in writing, if Bidder does not provide the required Contract Security within 10 business days of notification of selection, its award may be rescinded, and Bidder will forfeit the Bid Deposit, which will be retained by NYSERDA.
- B.** On or before Tuesday, May 2, 2017, Seller must provide additional Contract Security in an amount equal to \$6.00 per MWh multiplied by the Bid Quantity. **Failure to provide the additional Contract Security by May 2, 2017 will constitute a default and may result in termination of the Standard Form Contract.**
- C.** On or before February 28, 2018, Sellers may elect to extend the Commercial Operation Milestone Date from April 30, 2018 to July 31, 2019; by providing to NYSERDA one of the following:
 - (1) Contract Security, in addition to the amounts provided under “A” and “B,” above, in the amount of \$6.00 per MWh multiplied by the Bid Quantity;
 - (2) for Bid Facilities from which the electricity associated with the Quantity Obligation will be delivered into a market administered by the NYISO, proof that an interconnection agreement has been entered into by the NYISO, the Connecting Transmission Owner, and the Bidder or a legal representative of the Bidder, with respect to the Bid Facility;
 - (3) for Bid Facilities seeking to satisfy the electricity delivery requirement through options 2 or 3 of Section XXI; A, a comparable interconnection agreement has been entered into with all the necessary sites, service providers and parties that will be enable and permit the transmission of the energy from the Bid Facility to the point of its consumption.

D. Refund/Retention of Contract Security

As provided by Article XV of the RPS Standard Form Contract (Attachment G and H to this RFP), amounts provided by the Bidder as Contract Security will be refunded to the Bidder by NYSERDA:

- a. In its entirety if the Installed Bid Capacity is equal to or greater than the Bid Capacity.
- b. At a prorated amount if the Installed Bid Capacity is less than the Bid Capacity. Such amount that will be refunded, expressed as a percentage of the total Contract Security, will be equal to Installed Bid Capacity divided by the Bid Capacity.

As provided by Article XV of the RPS Standard Form Contract (Attachment G or H to this RFP), amounts provided by Bidder as Contract Security will be retained by NYSERDA:

- a. In their entirety if Seller fails to provide to NYSERDA, on or before May 2, 2017, Contract Security in the amount required under Section XVI; B, above.
- b. At a prorated amount if the Installed Bid Capacity is less than the Bid Capacity. Such amount that will be retained, expressed as a percentage of the total Contract Security, will be equal to the Bid Capacity minus the Installed Bid Capacity; divided by the Bid Capacity.

XVII. NYSERDA'S ACQUISITION OF RIGHTS/TITLE TO RPS ATTRIBUTES

Under the RPS Standard Form Contract, Bidder (as Seller) will deliver and NYSERDA will acquire title and exclusive rights to all RPS Attributes for the Contract Delivery Term, as defined herein, and, once NYGATS is fully functional, the Certificates associated with the RPS Attributes, along with the exclusive rights to claim, consistent with New York State Environmental Disclosure rules: (i) that the energy associated with RPS Attributes was generated by the Bid Facility during the Contract Delivery Term; (ii) that all RPS Attributes produced by the Bid Facility are conveyed to NYSERDA; and (iii) that New York State and/or the RPS Program is responsible for the environmental benefits including reductions in emissions and/or other pollution resulting from the generation of the Bid Facility's energy and its delivery into, and use within, the NYCA. NYSERDA will NOT acquire energy, capacity or ancillary services from any Bid Facility.

Pending the full availability of NYGATS (for Bid Facilities in Commercial Operation prior to NYGATS availability), each invoice submitted and requesting payment for the delivery of the Certificates associated with RPS Attributes must be accompanied by a Certification and Assignment of Rights Form, in the form provided at Exhibit B to the RPS Standard Form Contract, which will identify the number and vintage of all Certificates associated with RPS Attributes for which payment is requested, bear a certification as to the eligibility of such Certificates associated with RPS Attributes, and transfer and assign all title and rights to such Certificates associated with RPS Attributes to NYSERDA.

In the event that Bidder (as Seller) must apply for or take some other action under any emission-trading or other regime other than the NY RPS in order to secure a claim, title, ownership, or rights of any type, nature or sort (Title) to any RPS-eligible Attributes associated with Quantity Obligations, or any certification, registration, verification or other memorialization of the creation of such RPS-eligible Attributes by the Bid Facility to which Bidder (as Seller) may be otherwise entitled, Bidder (as Seller) shall (i) notify

NYSERDA of such opportunity, and, if requested to do so by NYSERDA shall (ii) take all actions necessary to apply for and secure such Title, to the maximum extent to which Bidder (as Seller) is entitled, (iii) provide NYSERDA with evidence of taking such action; and (iv) convey such Title to NYSERDA whenever so secured.

Awarded projects will be required to register the Bid Facility through NYGATS and to transfer the contracted Certificates to an account designated by NYSERDA, in accordance with Article II of the RPS Standard Form Contract. These will include any Certificates created by NYGATS corresponding to energy generated by the Bid Facility and RPS Attributes or Certificates associated with RPS Attributes transferred to NYSERDA by a Certification and Assignment of Rights Form prior to the availability of NYGATS.

Except as may be permitted under Section XXII, Suspension of Delivery, Sellers may not apply for or otherwise seek to achieve compliance under Section 242-8.7 (CO₂ budget units that co-fire eligible biomass) of the CO₂ Budget Trading Program (6 NYCRR Part 242), or any other state program operating as a part of the Regional Greenhouse Gas Initiative, on the basis of any MWh or emission of CO₂ or reduction in emissions of CO₂ or other benefit associated with RPS Attributes or for any activity constituting performance under an RPS Standard Form Contract. NYSERDA will consider a modification of this prohibition if the treatment of the Bid Facility under CO₂ Budget Trading Program is revised or modified in a manner that will result in the actual or functional retirement of CO₂ allowances in an equivalent quantity, and in a manner otherwise acceptable to NYSERDA and the objectives of the RPS and CO₂ Budget Trading Programs.

XVIII. VERIFICATION OF RIGHTS TO RPS ATTRIBUTES

Throughout the Contract Delivery Term, NYSERDA will require certification and verification of the delivery of the RPS Attributes, as follows:

1. In order to enable NYSERDA and the administrator of the NYS Environmental Disclosure Program DPS to verify the performance of the Bid Facility, NYSERDA will require the Seller to provide independent access to detailed monthly market accounting settlement or other pertinent data from either:
 - a) the administrator(s) of the wholesale energy market into which energy from the Bid Facility was produced and/or delivered,
 - b) the operator of the transmission/distribution utility/public authority or municipal electric company into which energy from the Bid Facility was produced and/or delivered, or
 - c) an independent, third party that measures energy generation and usage by a Customer-Sited Bid Facility through a Dedicated Generation Meter.

Seller will be required to waive confidentiality as applicable to the NYGATS Administrator, for the direct transfer to NYGATS by such entities of transactional and/or delivery information and data pertinent to the verification of RPS Attribute and associated electricity delivery.

2. Upon the launch of NYGATS, transfer will be accomplished by, and NYSERDA's payment obligations will be conditional on the delivery of the Certificate associated with each RPS Attribute, at the earliest time such Certificates or RPS Attributes become available for delivery, to an account designated by NYSERDA. Seller will be responsible for and will pay all fees and charges, if any, for the delivery, registration, transfer, and retirement of the RPS Attributes or associated Certificates into such account.
3. Until NYGATS is fully operational, NYSERDA's obligations to purchase RPS Attributes and to make payment are conditional on the ability of Seller to demonstrate to the satisfaction of the DPS that the creation of and title to the RPS-eligible Attributes is sufficiently verifiable for purposes of the Environmental Disclosure Program.
4. In no event shall the RPS Attributes of the generation associated with a contract with NYSERDA under this RFP be assigned by Seller to any entity other than NYSERDA. Any assignment or application by Seller of the RPS Attributes or NYGATS Certificates associated with a contract with NYSERDA to any other entity, program, or jurisdiction, whether associated with a publicly administered program or a voluntary transaction, is strictly prohibited by, and will constitute a default under the RPS Standard Form Contract.

XIX. QUANTITY OBLIGATIONS & ADJUSTMENTS

Should an Intermittent Bid Facility's Quantity Obligation fail to achieve 85% of the Bid Quantity for three (3) consecutive Contract Years, NYSERDA may adjust the Bid Quantity for the remainder of the Contract Delivery Term to equal the highest Actual Annual Eligible Production during any Contract Year over that three-year period multiplied by the Bid Quantity Percentage.

Should a Fuel-Based Bid Facility's Quantity Obligation fail to achieve 85% of the Bid Quantity for two (2) consecutive Contract Years, NYSERDA may adjust the Bid Quantity for the remainder of the Contract Delivery Term to equal the average Actual Annual Eligible Production of the two (2) Contract Years multiplied by the Bid Quantity Percentage.

Failure of any Bid Facility's Quantity Obligation to achieve 65% of the Bid Quantity during any Contract Year will constitute a default under the Standard Form Contract executed as a result of this RFP.

Should the Installed Bid Capacity differ from the Bid Capacity, Bidder agrees that NYSERDA may at its option upon Notice to Bidder modify the Contract by adjusting the Bid Quantity, Bid Quantity Percentage, or other relevant terms to reflect the Installed Bid Capacity.

XX. POST-AWARD DEMONSTRATION OF ACTUAL ECONOMIC BENEFITS

Within sixty (60) days of the third anniversary of the commencement of the Contract Delivery Term, Seller will be required to submit an economic benefits report including third-party documentation demonstrating the actual economic benefits that resulted from the construction and operation of the Bid Facility. Such report should include sufficient records and documents relating to employment, purchases, and other payments necessary to demonstrate the economic benefits created by the Bid Facility under the categories and within the eligibility requirements listed in Section 3 of the Bid Proposal (Economic Benefits Created by the Bid Facility). Examples of acceptable documentation include but are not limited to, invoices with proof of payment, tax documentation, contracts, or similar.

Should Seller fail to reasonably demonstrate that the total dollar amount of economic benefits having accrued to New York as a result of the development, construction/modification, and operation of the Bid Facility through the first three (3) Contract Years of operation (Verified Total Dollars), divided by Installed Bid Capacity, is at least 85% of Expected Total Dollars divided by the Bid Capacity, NYSERDA may reduce the Bid Price payable for the remainder of the Contract Delivery Term. Such reduction in the Bid Price will be made by an amount equal to the percentage shortfall between the Verified Total Dollars divided by the Installed Bid Capacity compared to the Expected Total Dollars divided by the Bid Capacity.

XXI. BID FACILITY ELECTRICITY DELIVERY REQUIREMENTS

A. For all Bid Facilities, the electricity associated with the Quantity Obligation must be:

1. delivered into a market administered by the NYISO for end-use in New York State; or
2. delivered through a wholesale meter under the control of a utility, public authority or municipal electric company such that it can be measured, and such that consumption within New York State can be tracked and verified by such entity or by the NYISO; or
3. delivered through a Bid Facility Dedicated Generation Meter, which shall be approved by and subject to independent verification by NYSERDA, to a customer in New York State (excluding customers in the service territory of the Long Island Power Authority) whose electricity was obtained through the NYISO/utility system as of November 24, 2010.

For Bid Facilities seeking to satisfy the electricity delivery requirement through options 2 or 3, above, all costs associated with measurement, tracking, and verification, to the satisfaction of NYSERDA and DPS Staff, and for participation in NYGATS must and will be borne by Bidder. See also Section XXIII; D, Metering.

B. Bilateral Sales

Bilateral sales for electricity associated with the Quantity Obligation produced by any Bid Facility are permissible provided the Seller can demonstrate that the purchaser of the electricity associated with the Quantity Obligation is a NYS Load Serving Entity (LSE), or one or more NYS end-users.

XXII. SUSPENSION OF DELIVERY

Upon prior approval by NYSERDA, a Seller may suspend deliveries of RPS-eligible Attributes to NYSERDA in order to (1) make sales of RPS Attributes or Certificates associated with RPS Attributes to the Voluntary Market in New York State or pursuant to New York State Executive Order or other mandated New York State governmental procurement, or (2) for compliance under the CO2 Budget Trading Program (6 NYCRR Part 242), subject to terms and conditions set forth at Article II of the RPS Standard Form Contract.

XXIII. PAYMENT

A. General Payment Terms

In order to receive payments under the RPS program, a Bid Facility must first be Operationally Certified by the Director of the Department of Public Service Office of Clean Energy. Once Operationally Certified, NYSERDA will make payments for RPS Attributes based on monthly invoicing, retroactive to the commencement of the Contract Delivery Term, and in accordance with NYSERDA's Prompt Payment Policy (Exhibit D to Attachments G and H to this RFP). NYSERDA will not pay for more than 95% of any Bid Facility's Actual Eligible Production during any month in any Contract Year. The maximum amount payable in a given month shall be calculated as follows: the multiplicative product of (a) the Actual Eligible Production of the Bid Facility during the prior month; (b) the Bid Quantity Percentage; and (c) the Bid Price.

Notwithstanding the above, NYSERDA will not pay for any RPS Attribute for which Seller has not transferred title to NYSERDA by the Certificate and Assignment of Rights Form (Exhibit B to Attachments G or H to this RFP) for such month, or upon the availability of NYGATS, for any RPS Attribute for which Seller has not transferred the associated Certificate to NYSERDA's designated account. Further, the creation of Certificates by NYGATS and all payments may be conditioned on the provision by Seller of all additional documentation, including but not limited to the generation data or access to generation data, and, if appropriate, fuel data/information necessary for NYSERDA to quantify and verify the existence of the RPS Attributes. For Fuel-Based Bid Facilities, the Seller will be

required to provide additional information as outlined in Exhibit E to the Fuel-Based Bid Facility Standard Form Contract (Attachment H to this RFP).

B. Payment Adjustments

NYSERDA may adjust payments to subsequent invoices consistent with adjustments by NYGATS pursuant to its Operating Rules, consistent with NYISO or other control-area billing settlement true-up procedures, based on actual metered production data at the Injection Point and data demonstrating compliance with the Bid Facility electricity delivery requirements.

C. Maximum Payment

NYSERDA will not make payment for more than 100% of the product of the Bid Quantity multiplied by the total number of Contract Years multiplied by the Bid Price. For Fuel-based Bid Facilities, NYSERDA will not make payment for more than 100% of the Bid Quantity in any Contract Year.

D. Metering

The Actual Production and Actual Eligible Production of the Bid Facility must be capable of accurate and verifiable measurement at the Injection Point by the local ISO, a transmission utility, public authority, municipal electric company, and in the case of a Customer-Sited Bid Facility, an independent third party through a Dedicated Generation Meter. Unless specifically agreed to by NYSERDA in writing, all Bid Facilities that are the subject of an award under this RFP must be separately metered and must be functionally represented by a single and discrete Injection Point.

XXIV. PERMITS/APPROVALS

The Seller shall be responsible to obtain all applicable permits and regulatory approvals that may be required in order to develop and/or operate the Bid Facility over the duration of the Contract Delivery Term. Neither the RPS Program nor selection under this RFP in any way replaces or modifies the necessity or applicability of any permit or approval process by any jurisdiction.

NYSERDA is subject to the State Environmental Quality Review Act (SEQRA), and is thereby required to assess the potential environmental impacts, *to New York State*, of any project funded through RFP 3257, wherever such project may be located. Upon selection, Sellers under contracts with Bid Facilities as to which no SEQR proceeding has been commenced will be required to provide a “full” Environmental Assessment Form (EAF), (1) evaluating the potential environmental impacts *to New York State* of construction and operation of such Bid Facility, and (2) demonstrating that construction and operation of the Bid Facility will not create a significant potential for violation of Article 11 of the Environmental Conservation Law.

A description of the State Environmental Quality Review Act and the associated regulations, as well as the full EAF, is available from the Department of Environmental Conservation website¹⁵. NYSERDA's obligations to make payments to Sellers under contracts entered as a result of RFP 3257 will be conditional on the acquisition of all such permits and approvals. Upon request by NYSERDA Seller must demonstrate such acquisition and/or provide copies of all permits and approvals acquired.

XXV. GENERAL CONDITIONS

A. Proprietary Information

Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Attachment A requests applicant indicate Confidential and Proprietary preferences for electronic form submission. Additional information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <http://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

B. State Finance Law Sections 139-j and 139-k

NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <http://www.ogs.ny.gov/aboutogs/regulations/advisoryCouncil/StatutoryReferences.html> The attached Provisional Certification and Application Form calls for a signature certifying that the proposer will comply with State Finance Law sections 139-j and 139-k and a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years.

C. Tax Law Section 5-a

NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the

¹⁵ <http://www.dec.ny.gov/permits/357.html>

"Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department. The Department has created a second form that must be completed by a prospective contractor prior to contacting and filed with NYSERDA. See, ST-220-CA (available at http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

D. Omnibus Procurement Act of 1992

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

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

Empire State Development
Division for Small Business
30 South Pearl Street
Albany, NY 12245

A directory of certified minority- and women-owned business enterprises is available from:

Empire State Development
Minority and Women's Business Development Division
30 South Pearl Street
Albany, NY 12245

E. Disclosure Requirement

The proposer shall disclose any indictment for any alleged felony, or any conviction for a felony within the past five years, under the laws of the United States or any state or territory of the United States, and shall describe circumstances for each. When a proposer is an association, partnership, corporation, or other organization, this disclosure requirement includes the organization and its officers, partners, and directors or members of any similarly governing body. If an indictment or conviction should come to the attention of NYSERDA after the award of a contract, NYSERDA may exercise its stop-work right pending further investigation, or terminate the agreement; the contractor may be subject to penalties for violation of any law which may apply in the particular

circumstances. Proposers must also disclose if they have ever been debarred or suspended by any agency of the U.S. Government or the New York State Department of Labor.

F. Confidentiality

NYSERDA is subject to and must comply with the requirements of New York's Freedom of Information Law ("FOIL;" see Public Officers' Law Article 6). Information in any tangible form including any document that Bidder wishes to be protected from disclosure to third parties, including any information provided as a part of a Bid Proposal Package, must be marked "Confidential" or "Proprietary" at the time such information is provided to NYSERDA.

The FOIL Law (Public Officers Law § 87(2)(d)) provides an exception to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." If NYSERDA receives a request from a third party for information or a document received from Seller and which has been marked "Confidential" or "Proprietary," NYSERDA will process such request under the procedures provided by NYSERDA's FOIL regulations (email foil@nyserda.ny.gov for additional information).

XXVI. LIST OF ATTACHMENTS

Attachment A – Provisional Certification and Application Form, including Disclosure of Prior Findings of Non-Responsibility

Attachment B – Instructions for Provisional Certification and Application Electronic Submission

Attachment C – Project Schedule Form

Attachment D – Sample Bid Proposal Form

Attachment E – Sample Bid Price Form

Attachment F – Notice of Intent to Bid Form

Attachment G – RPS Standard Form Contract – Non-Fuel-Based Bid Facilities

Exhibit A – Standard Terms and Conditions for all NYSERDA Agreements

Exhibit B – Certification and Assignment of Rights Form

Exhibit C – Letter of Credit

Exhibit D – Prompt Payment Policy Statement

Attachment H – RPS Standard Form Contract – Fuel-Based Bid Facilities

Exhibit A – Standard Terms and Conditions for all NYSERDA Agreements

Exhibit B – Certification and Assignment of Rights Form

Exhibit C – Letter of Credit

Exhibit D – Prompt Payment Policy Statement

Exhibit E – Requirements for Biomass-Fueled Bid Facilities

XXVII. DEFINITIONS

In evaluating and responding to this RFP, please note that the terms and definitions used in this RFP have identical meanings to those in the RPS Standard Form Contracts (Attachments G and H to this RFP); in the case of conflict the meanings in the RPS Standard Form Contract will govern. This RFP and the RPS Standard Form Contract should be read in conjunction with each other.

Actual Annual Production: The amount, in MWh, of the total electric energy produced by the Bid Facility during any Contract Year, measured at the Injection Point.

Actual Annual Eligible Production: The amount, in MWh, of the Actual Eligible Production during a full Contract Year.

Actual Eligible Production: The amount, in MWh, of the electric energy produced by the Bid Facility during any period within a Contract Year, measured at the Injection Point, except that:

- (i) for a Repowering or Hydroelectric upgrade, the Actual Eligible Production shall be the product of (a) Actual Production of the Bid Facility, multiplied by (b) the percentage of the Actual Production resulting from the upgrade or Repowering established through the Provisional/Operational Certification Process.
- (ii) for a Fuel-Based Bid Facility that has never used eligible fuels, the Actual Eligible Production shall reflect the eligible biomass generation only, determined as the Actual Production of the entire Bid Facility, multiplied by the BTU input ratio of (a) the biomass fuel heat input to (b) the total fuel heat input, consistent with how such terms are applied for Provisional/Operational Certification;
- (iii) for a Fuel-Based Bid Facility that used eligible fuels, including co-firing with ineligible fuels, on or before January 1, 2003, the Actual Eligible Production shall reflect only that Actual Production using eligible biomass, biogas, or liquid bio-fuel above the historical baseline production established through the Provisional/Operational Certification Process.

Actual Production: The amount, in MWh, of the total electric energy production of the Bid Facility during any period within a Contract Year.

Behind-the-Meter: For the purposes of this RFP, a Bid Facility's renewable energy system located on-site and operated for the purpose of producing power for on-site use, delivered through a Bid Facility Dedicated Generation Meter, which shall be approved by and subject to independent verification by NYSERDA, to a customer in New York State (excluding LIPA service territory customers), whose electricity was obtained through the NYISO/utility system as of November 24, 2010. .

Bid Capacity: Bid Capacity shall equal the Bid Quantity Percentage multiplied by the Nameplate Capacity of the Bid Facility. In the case of repowering, hydroelectric upgrades and co-firing, the Bid Capacity shall equal the Bid Quantity divided by the Expected Average Annual Production, multiplied by the Nameplate Capacity.

Bidder: An individual or entity submitting an Application Package and Bid Proposal in response to this RFP. Such entity need not be the owner of the Bid Facility, but must have secured rights to the RPS Attributes or Certificates associated with RPS Attributes from the Bid Facility sufficient to satisfy all performance requirements stated in this RFP and the RPS Standard Form Contract.

Bid Facility: The electric generating station that has been identified and described in the Provisional Certification and Application Form.

Bid Price: A single fixed production payment, expressed in \$/MWh, applicable to each RPS Attribute offered as performance throughout the Contract Delivery Term.

Bid Quantity: The amount, in MWh, of RPS Attributes or Certificates associated with RPS Attributes the Bid Facility expects to proffer as performance under the RPS Standard Form Contract over each Contract Year during the Contract Delivery Term. The Bid Quantity must be the same for each Contract Year throughout the Contract Delivery Term, subject to adjustments pursuant to Section XIX (Quantity Obligations & Adjustments) and XXIII (Payment). This number will equal the Expected Annual Eligible Production multiplied by the Bid Quantity Percentage.

Bid Quantity Percentage: The percentage of the Bid Facility's Expected Annual Eligible Production that will be committed to performance under an RPS Standard Form Contract. The Bid Quantity Percentage must be at least 30% and may not exceed 95%, and will be applied to Actual Eligible Production in any period during the Contract Delivery Term to establish compliance with contract requirements.

Capacity Factor: The ratio, expressed as a percentage up to two decimal places, of the total electricity that the Bid Facility expects to produce during a Contract Year compared to the total potential electricity that could be produced if the Bid Facility operates at 100 percent of the Nameplate Capacity during every hour of the Contract Year.

Certificate: The NYGATS electronic record of generation data representing all of the attributes from one MWh of electricity generation from a Bid Facility registered with the NYGATS tracking system. NYGATS will create exactly one Certificate per MWh of generation.

Commercial Operation: A state of operational readiness under which (i) generating capacity is available and physically producing electric energy and associated RPS Attributes, and (ii) all rights, abilities, permits and approvals to schedule and deliver energy to the Injection Point have been obtained.

Commercial Operation Milestone Date: The Commercial Operation Milestone Date shall be April 30, 2018. The Commercial Operation Milestone Date may be extended (see Section XVI (Contract Security)).

Contract Delivery Term: The Contract Delivery Term will commence on the first day of the month after the Bid Facility commences Commercial Operation. For Bid Facilities in Commercial Operation as of the date of selection for an award, unless otherwise agreed to in writing by NYSERDA, the Contract Delivery Term shall commence on the first day of the month after the Effective Date of the RPS Standard Form Contract. The Contract Delivery Term shall extend for the term of the Contract Tenor.

Contract Tenor: The duration, in years, of the Contract Delivery Term as defined on the Bid Proposal Form (Attachment D) submitted for the Bid Facility. The Contract Tenor shall not exceed the Maximum Contract Tenor.

Contract Security: All amounts provided to NYSERDA as defined in Section XVI (Contract Security) of this RFP.

Contract Year: A 12-month period commencing with the beginning of the Contract Delivery Term and each anniversary thereof within the Contract Delivery Term.

Customer-Sited Bid Facility: A Bid Facility interconnected on the customer side of a retail electric meter.

Dedicated Generation Meter: An internet enabled electric meter that displays instantaneous AC power and cumulative total AC energy production and, at a minimum, can record cumulative total AC energy production of the Bid Facility on an hourly basis, store the hourly readings for at least 7 days, and can transmit recorded readings once per day to a NYSERDA designated Data Agent via e-mail, FTP, HTTP or Modbus TCP/IP. The meter must meet the American National Standards Institute (ANSI) C12.20, be Revenue grade with a +/- 0.2% accuracy, and be calibrated in the manner and frequency, and otherwise generally maintained in accordance with the manufacturer's recommendations. The meter must also have battery backup to prevent the loss of data during power outages. Seller must provide, and maintain, an active internet connection to the meter throughout the Contract Delivery Term to support daily data transmissions. Data collected from the meter will be available to NYSERDA, and will be used by NYSERDA to verify the monthly Actual Eligible Production.

Delivery Point: The Delivery Point shall be the Injection Point.

DPS: The New York State Department of Public Service.

Expected Annual Eligible Production: The amount, in MWh, of the Expected Average Annual Production of the Bid Facility, measured or compensated to the Injection Point, except that:

- (i) for a Repowering or Hydroelectric upgrade, the Expected Annual Eligible Production shall be the product of (a) Expected Average Annual Production multiplied by (b) the percentage of the Expected Average Annual Production resulting from the upgrade or Repowering established through Provisional Certification;
- (ii) for a Fuel-Based Bid Facility that has never used eligible fuels, the Expected Annual Eligible Production shall reflect the eligible biomass generation only, determined as the Expected Average Annual Production of the entire Bid Facility, multiplied by the BTU input ratio of (a) the biomass fuel heat input to (b) the total fuel heat input, consistent with how such terms are applied for Provisional Certification;
- (iii) for a Fuel-Based Bid Facility that used eligible fuels, including co-firing with ineligible fuels, on or before January 1, 2003, the Expected Annual Eligible Production shall reflect that Expected Annual Eligible Production using eligible biomass, biogas, or liquid bio-fuel that is above the historical baseline production established through Provisional Certification.

Expected Average Annual Production: The expected electric energy production of the entire Bid Facility during any Contract Year post-upgrade/repowering for which Provisional Certification was granted.

Expected Total Dollars: The total dollar amount of economic benefits, as presented in the Bid Proposal, expected to accrue to New York as a result of the development, construction, modification, and operation of the Bid Facility through the first three (3) Contract Years.

Fuel-Based Bid Facility: For purposes of this RFP, Fuel-Based Bid Facilities are those where Actual Annual Eligible Production is derived from the use of eligible biomass, biogas or liquid bio-fuels as well as eligible fuel cell technologies.

Hydroelectric Upgrade: A hydroelectric upgrade results from investments made to an existing hydroelectric renewable electric generating facility that cause an increase in renewable generation incremental to a historical baseline level of generation, as determined through the Provisional/Operational Certification process.

Incremental Economic Benefits: Incremental Economic Benefits are financial expenditures benefitting New York State within the categories specified in Section XI, A; Section 3 and are those that a Bidder can demonstrate: (1) will accrue subsequent to an award under RFP 3257, and (2) would not have accrued but for the award of a contract under RFP 3257. Economic benefits previously claimed with respect to a Bid Facility that is subject to a pending award under a previous solicitation or that is the subject of a current RPS contract are not Incremental Economic Benefits.

Injection Point: The generator bus or location where (a) the administrator of the wholesale power market, (b) the operator of the transmission/distribution utility, public authority or municipal electric company, or (c) in the case of customer-sited generation, the dedicated generation meter at which a third party, measures, or otherwise determines, energy production from the Bid Facility.

Installed Bid Capacity: Installed Bid Capacity shall equal the gross generating capacity, in MW, of the entire Bid Facility that achieves Operational Certification multiplied by the Bid Quantity Percentage. In the case of repowering, hydroelectric upgrades and co-firing, the Installed Bid Capacity shall equal the Bid Quantity Percentage multiplied by the portion of the gross generating capacity (MW) that has been repowered, upgraded and or retrofitted as determined by Operational Certification.

Intermittent Bid Facility: For purposes of this RFP, Intermittent Bid Facilities shall include the following: wind, solar, tidal, ocean, and run-of-river hydroelectric.

Maximum Contract Tenor: The maximum number of years in the Contract Delivery Term available to a specific Bid Facility as determined through the Provisional Certification process. The Maximum Contract Tenor shall not exceed 20 years.

Nameplate Capacity: The gross generating capacity of the entire Bid Facility, post upgrade/repowering, in MW.

Net Metering: For purposes of this RFP, Net Metering has the meaning set forth at Section 66, et seq. of the Public Service Law.

New York Control Area (NYCA): The control area that is under the control of the NYISO which includes transmission facilities listed in the ISO/TO Agreement Appendices A-1 and A-2, as amended from time-to-time.

New York Generation Attribute Tracking System (NYGATS): The tracking system that records electricity generation attribute information within New York State, and processes generation attribute information from energy imported and consumed within New York State, as a basis for creating tradable generation attribute Certificates.

NYISO: The New York Independent System Operator, Inc. is the administrator of the wholesale power markets in New York and manages the physical electrical operations of the New York Control Area (NYCA).

Operational Certification: Operational Certification verifies that the Bid Facility has been constructed and/or will operate in accordance with the proposal submitted, for which Provisional Certification was granted and for which an award was made. See Section VIII, Subsection C.

Quantity Obligation: Shall mean, for any period during the Contract Delivery Term, the number of MWh calculated as the Bid Quantity Percentage multiplied by the Actual

Eligible Production; subject, however, to adjustments pursuant to Section XIX (Quantity Obligations & Adjustments).

Repowering: Shall mean a generation unit other than a hydroelectric upgrade, with an initial date of Commercial Operation no later than December 31, 2002, that has been or will be substantially and verifiably repowered on or after January 1, 2003, such that the Actual Annual Production from the facility after Repowering is or will be demonstrably greater than the Actual Annual Production prior to the January 1, 2003 level by at least five percent.

RPS-eligible Attributes: Shall mean all environmental characteristics, claims, credits, benefits, emissions reductions, offsets, allowances, allocations, howsoever characterized, denominated, measured or entitled, attributable to the generation of Actual Eligible Production by a Bid Facility. One RPS-eligible Attribute shall be created upon the generation by a Bid Facility of one MWh of Actual Eligible Production. RPS-eligible Attributes include but are not limited to: (i) any direct emissions or any avoided emissions of pollutants to the air, soil or water including but not limited to sulfur oxides (SO_x), nitrogen oxides (NO_x), carbon monoxide (CO), particulate matter and other pollutants; (ii) any direct or avoided emissions of carbon dioxide (CO₂), methane (CH₄) and other greenhouse gases (GHGs) that have been or may be determined by the United Nations Intergovernmental Panel on Climate Change to contribute to the actual or potential threat of altering the Earth's climate by trapping heat in the atmosphere; (iii) all set-aside allowances and/or allocations from emissions trading programs made unnecessary for compliance in such program as a result of performance under an RPS agreement, including but not limited to allocations available under 6 NYCRR §§ 204, 237 and 238; and (iv) all credits, certificates, registrations, recordations, or other memorializations of whatever type or sort, representing any of the above. If the Bid Facility is a biomass or landfill gas facility and the Seller receives any tradable credits, benefits, emissions reductions, offsets, and allowances based on the greenhouse gas reduction benefits attributed not to the production of electricity but rather to its fuel production, collection, conversion or usage, it shall provide NYSERDA or its designee with sufficient credits, benefits, emissions reductions, offsets, and allowances to ensure that there are zero net GHGs associated with the production of electricity from such Bid Facility.

RPS-eligible Attributes do not include (i) any energy, capacity, reliability or other power products, such as ancillary services; (ii) production tax credits associated with the construction or operation of the Bid Facility or other financial incentives in the form of credits, reductions, or allowances associated with the Bid Facility that are applicable to a state or federal income taxation obligation; (iii) fuel-related subsidies or "tipping fees" that may be paid to the Seller to accept certain fuels, or local subsidies received by the generator for the destruction of particular pre-existing pollutants or the promotion of local environmental benefits; or (iv) emission reduction credits encumbered or used by the Bid Facility for compliance with local, state, or federal operating and/or air quality permits.

Once operational, NYGATS will create Certificates, which will embody title on a per megawatt hour (MWh) basis to the RPS-eligible Attributes.

RPS Attributes: The RPS-eligible Attributes offered and delivered as performance during the Contract Delivery Term. See Section XVII of this RFP (NYSERDA's Acquisition of Rights/Title to RPS Attributes).

RPS Standard Form Contract: The standard contractual document to be entered into by NYSEERDA and selected Bidders, which shall define, among other things, their rights and obligations concerning the generation of RPS Attributes and Certificates associated with RPS Attributes, the delivery of all right and title to RPS Attributes and associated Certificates to NYSEERDA, and the payments by NYSEERDA during the term of the agreement.

Seller: The contracting party to the RPS Standard Form Contract, as identified as the legal name of Bidder in Attachment D to this RFP (Bid Proposal Form). References to Bidder in this RFP correspond to references to Seller in the RPS Standard Form Contract.

Verified Total Dollars: The total dollar amount of economic benefits verified by NYSEERDA to have accrued to New York as a result of the development, construction/modification, and operation of the Bid Facility through the first three (3) Contract Years.

Voluntary Market: The market through which sales are made of renewable attributes for purposes other than compliance.



Innovation Advisory Services Pilot Program
Request for Proposals 3267
\$750,000 Available

Proposals Due: **August 25th**, 2016 by 5:00 PM Eastern Time*
Additional Due Dates to Be Announced

Through this Request for Proposals (RFP), NYSERDA is seeking to establish a distinguished advisement program that provides an opportunity for top tier management and technical talent to actively contribute towards achievement of New York's energy and environment goals, and to the overall growth of the clean energy market within the state. As such, NYSERDA is seeking to secure the services of Innovation Advisors: Business and technology experts with extensive experience in corporate management, startups, technology development and commercialization, investment, and operational transformation. The Innovation Advisors will apply their substantial technology subject matter expertise and corporate and startup experience to help NYSERDA's Technology and Business Innovation (TBI) department achieve its mission and goals through development and implementation of impactful program strategies, new practices to improve organizational effectiveness, advisement of staff and portfolio companies, and application of private industry best practices. Selected Innovation Advisors will become an integral part of the NYSERDA TBI team during their term and gain unique experience in working with a nationally recognized public benefit corporation focused on clean energy innovation.

Proposal Submission: Electronic submission is strongly preferred. NYSERDA will also accept proposals by mail or hand-delivery. If submitting electronically, applicants must submit the proposal in either PDF or MS Word format with a completed and signed Proposal Checklist and Disclosure of Prior Findings of Non-Responsibility, in PDF format. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility, rather than scanning. For ease of identification, all electronic files must be named using the applicant's entity name in the title of the document. Proposals may be submitted electronically by following the link for electronic submissions found on this RFP's webpage, which is located in the "Current Opportunities" section of NYSERDA's website (<http://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>). Instructions for submitting electronically are located as Attachment C to this RFP.

If mailing or hand-delivering, applicants must submit (2) paper copies of their proposal with a completed and signed Proposal Checklist, along with a CD or DVD containing both a PDF and MS Word digital copy of the proposal, following the above guidelines. Mailed or hand-delivered proposals must be clearly labeled and submitted to:

Roseanne Viscusi, RFP 3267
NYS Energy Research and Development Authority
17 Columbia Circle
Albany, NY 12203-6399

If you have technical questions concerning this solicitation, contact Bryan Berry at (518) 862-1090, ext. 3537 or Bryan.Berry@nyserda.ny.gov, or Stephen Wolk at (518) 862-1090 ext. 3021 or Steve.Wolk@nyserda.ny.gov. If you have contractual questions concerning this solicitation, contact Nancy Marucci at (518) 862-1090, ext. 3335 or Nancy.Marucci@nyserda.ny.gov.

No communication intended to influence this procurement is permitted except by contacting the above listed Designated Contacts. Contacting anyone other than these Designated Contacts (either directly by the applicant or indirectly through a lobbyist or other person acting on the applicant's behalf) in an attempt to influence the procurement: (1) may result in an applicant being deemed a non-responsible offerer, and (2) may result in the applicant not being awarded a contract.

* Late submissions will be returned. Incomplete submissions may be subject to disqualification. It is the applicant's responsibility to ensure that all pages have been included in the proposal. Faxed or e-mailed proposals will not be accepted. Proposals will not be accepted at any other NYSERDA location other than the address above. If changes are made to this solicitation, notification will be posted on NYSERDA's web site at www.nyserda.ny.gov.

I. Introduction

Over the past decade, NYSERDA's Research and Development initiatives have been a key driving force in the growth of the clean energy market segment in New York State through its support for applied research, policy development, product development and demonstration, and business development. This support has contributed towards the market entry of numerous innovative clean energy products, and has helped many emerging companies secure private follow on investment: since 2005, 23% of NYSERDA's product development investments have resulted in a commercialized product; 34% of awardees have secured follow on investment. The R&D department, now known as Technology and Business Innovation (TBI), is made up of 35 experienced professionals across a wide variety of disciplines including engineering, economics, business development, and hard sciences. Most members of staff hold advanced degrees and/or PhD's, and typically have over 10 years of private sector experience. The department is organized into five focused groups that represent TBI's Strategic Priorities: Transportation, Buildings, Renewables and Distributed Energy Resources, Smart Grid, and Business Development; and allocates its resources primarily towards applied research and technology development, with an emphasis on commercialization and market entry for the innovations that are supported.

NYSERDA has recently reached an inflection point in its history represented by the launch of a 10-year \$5b commitment to the growth of the clean energy market and achievement of ambitious energy and emissions goals. This commitment, known as the [Clean Energy Fund](#), will guide the NYSERDA operations for the near future. TBI is evolving its operations to maintain and improve upon the significant contribution towards the growth of the clean energy market segment in the state. A key aspect of this evolution is continuing to improve the strategic approach for identifying areas for investment during the course of the resulting projects; and to be maximally efficient with the capital the department will be deploying in support of clean energy technology and business development. To that end, and to assist in the development of new strategic and operational solutions, NYSERDA is seeking advisement services, on an independent contractor basis, from individuals that have substantial experience with corporate management, startups, technology development and commercialization, and operational transformation. Drawing from the collective experiences of such a resource would contribute directly towards the effectiveness of NYSERDA's TBI department by applying corporate and startup best practices across all operations and by leveraging unique technical expertise. Further, by bringing in outside perspectives from those who have an "ear to market", it will strengthen the department's ability to identify and respond to emerging opportunities and needs.

The Innovation Advisor Program is itself a long-term commitment by NYSERDA, and offers the opportunity for top tier management and technical talent to actively contribute towards TBI strategy, the development of impactful program tactics, improvement of internal business processes, and the growth of NYSERDA staff and portfolio companies; all of which will assist NYSERDA in its pursuit to achieve ambitious energy, environmental, and economic goals and the realization of NYSERDA's Clean Energy Fund [vision](#). Advisors will be key collaborators embedded within TBI and will work directly with management and staff, supported companies, and other key stakeholders in New York's clean energy market.

II. Program Requirements

An applicant to this RFP will provide advisory services on a contract basis and will assist with the overall development, implementation, and management of TBI strategy, tactics, and investments. This includes but is not limited to specific contributions towards the following:

- Assessment and adjustment of the solicitation, proposal evaluation and project selection, project management, and portfolio characterization processes;
- Development of a professional development program to educate staff on key business readiness, commercialization, and technology concepts;
- Dissemination of cutting edge technology trends to TBI staff to inform program development;
- Aggregation and communication of internal best practices and accumulated knowledge/expertise of TBI staff;
- Direct consultation with TBI portfolio companies;
- Contribute towards activities that will result in effective and impactful investment of NYSERDA TBI funds;
- Engage with TBI staff and portfolio companies during project design and management;
- Contribute towards internal business process improvements;
- Help develop and implement new processes/mechanisms to elevate business readiness during project; evaluation, procurement, and project management;
- Research and evaluate Best Practices/Benchmarks at similar institutions and develop recommendations for consideration; and
- Perform other responsibilities as requested.

As stated above, NYSERDA Innovation Advisors will be established professionals with significant experience with corporate management, starting and growing early stage companies, and/or technical subject matter expertise. As such, Advisors must have the following qualifications:

- Demonstrated experience in issues related to intellectual property, corporate management, strategic planning, startups, technology development and commercialization, regulatory affairs, and operational transformation,
and/or
Demonstrated deep subject matter expertise in a technical discipline which is relevant to New York State's clean energy market.
- Demonstrated ability to establish, grow, and manage new businesses or business units within an established corporate environment.
- Demonstrated ability to lead diverse teams and to affect operational and/or cultural change within an existing organization.
- Demonstrated ability to develop relationships with key stakeholder groups including governmental agencies at the Federal and State level involved in research and development.
- Strong project and people management skills and the ability to successfully multi-task, set priorities and meet deadlines in a fast-paced environment
- Exceptional verbal and written communication skills.
- Ability to be a self-starter and function well independently and in teams.
- Excellent computer skills (Word, Excel, PowerPoint, etc.).

Minimum educational requirements include:

- A Bachelor's degree in engineering or engineering management; physical, chemical or biological sciences; finance, law, business, economics, or entrepreneurship and a minimum of 15 years of relevant experience or,
- An unrelated Bachelor's degree and 20 years of relevant experience as noted above

Preference will be given to those candidates that possess:

- A Master's degree in Business Administration (MBA)
- A Master's degree in engineering or engineering management; physical, chemical or biological sciences; finance, law, economics, entrepreneurship, or an interdisciplinary degree that combines technology and finance
- A proven record of experience with start-up or early-stage companies and/or leading large operational transformation efforts at established corporate entities.

Each contract will have an initial term not to exceed 12 months but may be extended at NYSERDA's sole discretion if significant value is provided. Following the initial due date, submissions will be accepted and assessed quarterly by a scoring committee on the basis of best value to NYSERDA. The committee will consider: uniqueness of qualifications, potential impact on TBI operations and investment performance, and potential of the advisor to address/fulfill identified departmental and portfolio needs (see evaluation criteria below). NYSERDA may in exceptional circumstances and in its sole discretion, increase the award amount and/or adjust required hours of service per week for unique or outstanding applicants with demonstrated qualifications. NYSERDA recognizes that applicants may be seeking assignment as an Innovation Advisor on a sabbatical basis from their current employer, therefore consideration will be given to those potential candidates that provide cost share or employer provided sponsorship (e.g. not-for-profit supplemental stipend) that offset total costs to NYSERDA.

III. Submission Requirements

Applicants are encouraged to proactively identify advisory topics (to the best extent possible) that would benefit NYSERDA, portfolio companies, and other stakeholders in New York's clean energy segment. NYSERDA will identify specific assignments and establish a catered scope of work based on individual qualifications and current organizational needs.

Submissions should concisely and clearly demonstrate the applicant's expertise and accomplishments and the relationship to the requirements of this RFP and NYSERDA investment areas and strategy (see below). Submissions should not be excessively long or submitted in an elaborate format that includes expensive binders or graphics. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. The applicant should provide the following:

1. Narrative Statement of Qualifications (3-page limit)

The narrative statement serves as the "cover page" of the submission and will describe the applicant's professional history, accomplishments, and other elements. Applicants should consider TBI's investment approach and strategic priorities (see "[Clean Energy Fund Information Supplement](#)", refer to section 8.2) and describe how their expertise could be leveraged in pursuit of department goals.

 - a. Professional history and accomplishments to date
 - b. Rationale for seeking to serve as a NYSERDA Innovation Advisor
 - c. How past professional experience or areas of expertise could be leveraged to benefit NYSERDA TBI's strategy and operations
 - d. Other relevant information the applicant wishes NYSERDA to consider
2. Resume/Curricula Vitae (2-page limit)
3. Cost Proposal (1-page)
 - a. Applicant availability and proposed hours per week

With respect to physical location: preference is to have selected Innovation Advisors be physically embedded at NYSERDA's Albany office. However, other arrangements may be considered, including a split between Albany and other locations. Applicants should describe geographic constraints, proposed location of service, and their ability to be equally as effective if not physically embedded.

- b. Cost proposal providing proposed hourly billing rate and overall contract value. Applicants will be required to provide justification for a proposed hourly billing rates during the contract negotiation period (post award notification).
4. References and Letters/Statements of Support
- a. Provide three professional references
 - b. Provide, at the applicant's discretion (not required), up to 3 letters of support from current or past colleagues, customers, clients, or others who support the applicant's submission.
 - c. Potential conflicts of interest. To the best of the applicant's knowledge, identify any involvement the applicant has or has had with NYSERDA portfolio companies, both direct recipients of funding, or indirect recipients of support (e.g. incubator tenant). Identify all other potential issues or conflicts of interest.

A completed and signed Proposal Checklist must be attached as the front cover of your proposal. **Late proposals will be returned and proposals lacking the appropriate completed and signed Proposal Checklist may be returned. Faxed or e-mailed copies will not be accepted.**

In compliance with §139-j and §139-k of the State Finance Law (see Section V, General Conditions below for additional information), additional forms must be completed and filed with proposals: (1) a signed copy of the Proposal Checklist including required certifications under the State Finance Law and (2) a completed Disclosure of Prior Findings of Non-Responsibility form. Failure to include a signed copy of the Proposal Checklist referenced in this solicitation may disqualify your proposal.

IV. Proposal Evaluation

NYSERDA will review each submission and may contact selected references to determine whether an applicant has the necessary expertise to successfully perform the tasks required through this Program. Submissions will be reviewed by a Scoring Committee using the Evaluation Criteria below. Following an initial review of the submission package by the Scoring Committee, favorable applicants will be invited to an in-person discussion/presentation with NYSERDA staff. Final award determinations will be based both on the initial submission review and this discussion.

Evaluation Component

A. General Criteria

1. Does the submission include all required elements?
2. Overall is the submission professionally prepared, reasonable, and likely to positively impact NYSERDA TBI operations?

B. Experience and Qualifications

1. Does the applicant's training, experience, or qualifications meet the requirements of the advisement program, as specified in this RFP?
2. Has the applicant provided appropriate documentation showing required experience or qualifications?

3. Are the applicant's qualifications relevant given the strategic and tactical approach envisioned for NYSERDA's TBI department?
4. Does the applicant's qualifications and expertise address NYSERDA needs or is it likely to help advance the growth of the clean energy market segment in New York State?

C. Cost Proposal

1. Is the availability and billing rate reasonable given the applicant's qualifications?
2. Is the applicant's availability sufficient to accomplish the stated goals of the engagement?

D. References/Letters of Support

V. GENERAL CONDITIONS

Proprietary Information - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the applicant wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <http://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

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

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

Empire State Development
Division For Small Business
625 Broadway
Albany, NY 12207

A directory of certified minority- and women-owned business enterprises is available from:

Empire State Development
Minority and Women's Business Development Division
625 Broadway
Albany, NY 12207

State Finance Law sections 139-j and 139-k - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <http://www.ogs.ny.gov/aboutogs/regulations/advisoryCouncil/StatutoryReferences.html>

The attached Proposal Checklist calls for a signature certifying that the proposer will comply with State Finance Law sections 139-j and 139-k and the Disclosure of Prior Findings of Non-responsibility form includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years.

Tax Law Section 5-a - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf).

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

Contract Award - NYSERDA anticipates making multiple awards under this solicitation. It may award a contract based on initial applications without discussion, or following limited discussion or negotiations pertaining to the submission. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the submitted proposal (see Proposal Checklist). Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify applicants in approximately 4 weeks from the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

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

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

VI. Attachments:

Attachment A - Proposal Checklist

Attachment B - Disclosure of Prior Findings

Attachment C - Instructions for Electronic Submission

Attachment D - Project Personnel and Rate Form

Attachment E - Sample Agreement



OUTSIDE COUNSEL SERVICES Request for Proposals (RFP) 3300

Proposals Due: Wednesday July 27, 2016 by 5:00 PM Eastern Time*

The New York State Energy Research and Development Authority (“NYSERDA”) invites proposals from law firms interested in providing outside legal services related to a wide array of legal issues, including: commercial real estate matters associated with the Saratoga Technology + Energy Park (STEP); Green Jobs Green New York On-Bill recovery program; energy regulatory matters; human resources matters; program and transactional related financing issues; environmental issues (including New York’s State Environmental Quality Review Act (SEQRA) and the National Environmental Policy Act (NEPA)); legal and regulatory compliance; intellectual property; federal and state taxation; litigation, whether NYSEDA is a party or third party; government procurement and contracting; insurance, and all matters related to NYSEDA’s ownership of the Western New York Nuclear Service Center at West Valley. The firm or firms selected will be expected to act as outside counsel for NYSEDA for an initial three-year contract period with two (2) 1-year options to renew at NYSEDA’s sole discretion. NYSEDA reserves the right to add additional time and funding. It is anticipated that the initial contract period will begin on or about September 1, 2016.

Proposal Submission: All proposals must be received by NYSEDA by 5 pm on July 27, 2016. Electronic submission is preferable. NYSEDA will also accept proposals by mail or hand-delivery as set forth below. If submitting electronically, proposers must submit the proposal in either PDF or MS Word format with a completed and signed Proposal Checklist and Disclosure of Prior Findings of Non-Responsibility, in PDF format. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility, rather than scanning. For ease of identification, all electronic files must be named using the proposer’s entity name in the title of the document. Proposals may be submitted electronically by following the link for electronic submissions found on this RFP’s webpage, which is located in the “Current Opportunities” section of NYSEDA’s website (<http://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>). Instructions for submitting electronically are located in that section as Attachment D to this RFP.

If mailing or hand-delivering, proposers must submit (2) paper copies of their proposal with a completed and signed Proposal Checklist, along with a CD or DVD containing both a PDF or MS Word digital copy of the proposal, following the above guidelines. Mailed or hand-delivered proposals must be clearly labeled and submitted to:

Venice Forbes, RFP 3300
NYS Energy Research and Development Authority
17 Columbia Circle
Albany, NY 12203-6399

If you have technical questions concerning this solicitation, contact Laura Rowe, Esq. at (518) 862-1090, ext. 3610 or Laura.Rowe@nyserda.ny.gov. If Laura is not available, you may also contact Peter Keane, Esq. at (518) 862-1090 ext. 3366 or Peter.Keane@nyserda.ny.gov. If you have contractual questions concerning this solicitation, contact Elsyda Ahmed at (518) 862-1090, ext. 3232 or Elsyda.Ahmed@nyserda.ny.gov.

No communication intended to influence this procurement is permitted except by contacting the above identified Designated Contacts. Contacting anyone other than these Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

*Late proposals will be returned. Incomplete proposals may be subject to disqualification. It is the bidder's responsibility to ensure that all pages have been included in the proposal. Faxed or e-mailed proposals will not be accepted. Proposals will not be accepted at any other NYSERDA location other than the address above. If changes are made to this solicitation, notification will be posted on NYSERDA's web site at www.nyserda.ny.gov.

I. Introduction

NYSERDA is a public benefit corporation of the State of New York created and operating under the provisions of Public Authorities Law, §§1850 *et. seq.* (the "New York State Energy Research and Development Authority Act" or "Act"). NYSERDA offers objective information and analysis; innovative programs, including energy efficiency, renewable energy, and energy research and development; technical expertise; and funding to help New Yorkers increase energy efficiency, save money, use renewable energy, and reduce reliance on fossil fuels. In addition, it is responsible for managing radioactive wastes and facilities at the Western New York Nuclear Service Center in West Valley, New York; managing certain premises and facilities in Malta, New York, known as the Saratoga Technology + Energy Park (STEP); and reducing costs of public utility and other energy facilities through tax-exempt or taxable non-recourse revenue bond financing.

II. Issues

Additional background information on NYSERDA, including by-laws, is available on the NYSERDA website at www.nyserda.ny.gov.

III. Scope of Services

NYSERDA requests proposals from law firms interested in providing outside legal services related to a wide array of legal issues, including: commercial real estate matters associated with the Saratoga Technology + Energy Park (STEP); Green Jobs Green New York On-Bill recovery program; energy regulatory matters; human resources matters; program and transactional related financing issues; environmental issues (including SEQRA and NEPA); legal and regulatory compliance; intellectual property; federal and state taxation; litigation, whether NYSERDA is a party or third party; government procurement and contracting; insurance, and all matters related to NYSERDA's ownership of the Western New York Nuclear Service Center at West Valley. With regards to commercial real estate matters related to STEP, NYSERDA will require the services of a firm local to the Albany New York region.

The firm or firms selected will be expected to act as outside counsel for NYSERDA for an initial three-year contract period with two (2) 1-year options to renew at NYSERDA's sole discretion. It is anticipated that initial contract periods will begin on or about September 1, 2016. NYSERDA reserves the right to add additional time and funding to the firm or firms selected.

Such services would be expected to include, but need not be limited to:

- (a) Negotiating, preparing, reviewing, and delivering any documents related to bilateral or multilateral agreements between NYSERDA and third parties, including but not limited to commercial lease agreements, participation agreements, memoranda of understanding, or other agreements.

- (b) Rendering an objective opinion with respect to matters of law that arise in the administration of NYSERDA's programs.
- (c) Preparing, reviewing, or advising NYSERDA with regard to resolutions, notices, and other documents or procedures required in connection with State and local laws and procedures.
- (d) Drafting, analyzing, advising, or commenting on federal and state legislation, regulations and rules, NYSERDA guidelines, and other matters.
- (e) Participating in meetings with NYSERDA counsel and staff, NYSERDA's Members (board of directors) and other parties, as necessary or appropriate.
- (f) Analysis of relevant federal and State environmental and other laws as they pertain to the decommissioning activities at the Western New York Nuclear Service Center at West Valley.
- (g) Providing any other legal services, advice, or opinions relating to NYSERDA's programs and administration, as requested.

IV. Proposal Requirements

1. Completed proposals must be either electronically submitted (see Attachment D), or proposers must mail or hand-deliver (2) paper copies of their proposal along with a CD or DVD containing both a PDF or MS Word digital copy of the proposal to the attention of Venice Forbes at the address on the front of this RFP. A completed and signed Proposal Checklist (Attachment A) must be attached as the front cover of your proposal, one of which must contain an original signature. **Late proposals will be returned, and proposals lacking the appropriate completed and signed Proposal Checklist and Disclosure of Prior Findings of Nonresponsibility Form (Attachment B) may be returned.** Faxed or e-mailed copies will not be accepted.
2. **Procurement Lobbying Requirements - State Finance Law sections 139-j and 139-k**
Procurement lobbying requirements contained in State Finance Law sections 139-j and 139-k became effective on January 1, 2006. (The text of the laws is available at: <http://www.ogs.state.ny.us/aboutogs/regulations/advisoryCouncil/StatutoryReferences.html>) In compliance with §139-j and §139-k of the State Finance Law, for proposals submitted in response to this solicitation that could result in agreements with an annual estimated value in excess of \$15,000, additional forms must be completed and filed with proposals: (1) a signed copy of the Proposal Checklist including required certifications under the State Finance Law and (2) a completed Disclosure of Prior Findings of Non-Responsibility form. Failure to include a signed copy of the Proposal Checklist referenced in this solicitation will disqualify your proposal.
3. **Format.** Proposals should not be excessively long or submitted in an elaborate format that

includes expensive binders or graphics. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. Each page of the proposal should state the name of the proposer, the RFP number, and the page number.

Proposals must be submitted in two parts. Part I must consist of responses to the qualifications items (Section 4. Description of Qualifications, below). Part II must consist of complete contract cost and pricing information (Section 5. Cost, below) and the proposed retainer agreement (Section 6. Agreement, below). Each part must be complete, so that it can be evaluated independently.

4. **Description of Qualifications.**

Proposers should:

- a) Describe the law firms experience in general representation of public entities, including New York State public benefit corporations or public authorities.
- b) Describe any subjects related to the legal services requested in which you feel your law firm has special expertise and the nature of that special expertise.
- c) Provide a brief description of services you expect to provide to NYSERDA. Indicate whether your firm is prepared to render the services enumerated in this RFP using its own resources or whether some services will be subcontracted. The description should emphasize particular services
- d) Be available to accommodate the legal needs of NYSERDA. Proposers must demonstrate that primary and reasonably qualified backup and support attorneys are available as needed, and that the proposer has staff capabilities to perform the work on a timely basis. Proposers must be supported by a firm with sufficient professional/support staff to adequately provide the required services.
- e) Provide the names of the partners, associates, and paralegals who would be assigned to NYSERDA's account and their experience in performing services similar to the services requested in this RFP. Include resumes for all employees proposed to be involved on this account. Include a description of each employee's function in the firm, title, office address, and number of years of service with the firm and other relevant past experience. Describe the percentage of the firm's time commitment to this account that each person would be anticipated to provide. Describe the availability of the lead person(s) for consultation with NYSERDA, including but not limited to his or her ability to meet with NYSERDA staff in Albany, New York. (Resumes may be included as an appendix.)
- f) Discuss fully any conflicts of interest, actual or perceived, that might arise in connection with your firm's involvement with NYSERDA. If conflicts do or might exist, describe how your firm would resolve them. State whether your firm represents any New York State energy public utility, public authority, or any independent power producer. If so,

state the name of each such client and the nature of your representation.

- g) Identify any litigation or administrative proceedings to which you are a party and which would either materially impair your ability to perform the services enumerated herein and for which this RFP was issued or, if decided in an adverse manner, materially adversely affect the financial condition of your firm.
- h) Identify the employees discussed in (e) that have been the subject of any investigation or disciplinary action by the New York State Ethics Commission, the Commission on Public Integrity, the Temporary State Commission on Lobbying, or the State. Describe briefly how any matter was resolved or whether it remains unresolved. Proposers must certify that attorneys working on this account have never been reprimanded, censured, or suspended by the Supreme Court for ethics violations.
- i) Indicate the address of the office through which NYSERDA's account will be primarily serviced, and any anticipated travel or other such costs.
- j) Provide any other information you believe would make your law firm's representation of NYSERDA superior to other firms' representation.
- k) Provide an explanation of any changes the Proposers would request to the Attachment C - Sample Letter Agreement
- l) Provide three client references, including name, address, e-mail and telephone number.
- m) If the Proposer is not MWBE-certified, describe your experience in subcontracting with such businesses. Explain your methodology for attracting and subcontracting with MWBE-certified businesses, and how you intend to meet NYSERDA's MWBE goals.
- n) If the Proposer is not a certified Service-Disabled Veteran-Owned Business (SDVOB), describe your experience in subcontracting with such businesses. Explain your methodology for attracting and subcontracting with certified SDVOB businesses, and how you intend to meet NYSERDA's SDVOB goals.
- o) Furnish information on the number and percentages of minorities and women among the partners and other attorneys of the firm, as well as para-professional and support staff; a copy of the firm's affirmative action or equal opportunity plan or other commitment to affirmative action and equal employment opportunity or its status as a minority or women-owned business; and an explanation of how your firm, if selected, would help NYSERDA further its policy of promoting participation of minorities and women in the provision of services to it.

5. **Cost.**

- a) State the rates at which the services of assigned personnel would be provided to NYSERDA beginning in fiscal year 2016-2017 *i.e.* Date of Award to March 31 2017 and

for NYSERDA fiscal years 2017-18; 2018-19; 2019-20; 2020-21 (April 1 through March 30), and how services would be billed. Increases, if any, for those years may be stated in terms of percentages above the rates for the fiscal year ending March 31, 2017. Include:

- i) For each person whose resume is provided in response to 4(e) above, your normal hourly rate and the hourly rate you propose to charge NYSERDA.
 - ii) For each applicable category of support staff or other assigned staff, the normal hourly rate and the hourly rate you propose to charge NYSERDA, if billed separately.
 - iii) Any reduced rates or fees charged other State or local governments in New York for these types of services (including blended rates).
 - iv) A statement of the basis on which any other firm expenses related to services provided to NYSERDA would be billed, if other than cost.
 - v) A statement of any special considerations with respect to billing or payment of fees and expenses that your firm offers and that you believe would differentiate you from other proposers and make your firm's services more cost effective for NYSERDA.
 - vi) A statement whether you would be willing to agree to caps on fees on an issue by issue basis.
6. **Agreement.** Proposers should provide the retainer agreement their firm proposed to use if selected by NYSERDA under this RFP. The awarded proposer's retainer agreement will serve as the basis for negotiations between the parties and, when finalized, will be included as Exhibit A to the final agreement (see Sample Letter Agreement, attached hereto as Attachment C).

V. Proposal Evaluation and Selection Process

1. **Proposal Evaluation.** Proposals meeting the RFP requirements will be evaluated using the following Evaluation Criteria.
 - a) Experience in general representation of public entities, including New York State public benefit corporations or public authorities (15 points)
 - b) Quality and depth of the firm's expertise and its prior capability in providing service in the areas identified in the Scope of Services Section. For those firms who have worked in any capacity with NYSERDA, the quality of work on those transactions will be considered. (30 points)
 - c) Anticipated cost of services and willingness to work with NYSERDA to minimize cost. (25 points)
 - d) Commitment of time and resources to this account, and amenability to, and facility for,

working with NYSERDA attorneys and staff in various capacities. (15 points)

- e) Information provided by client references (5 points)
- f) Overall organization and quality of proposal, including cohesiveness, conciseness, and clarity of response. (5 points)
- g) The proposer is a NYS-certified minority-owned or women-owned business. (5 points)

2. **Selection Process.** A Scoring Committee, comprised of internal NYSERDA staff will review and evaluate proposals. Top-ranked firms may also be invited to make oral presentations to the Scoring Committee or other NYSERDA staff as part of the final selection process

VI. GENERAL CONDITIONS

Proprietary Information - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <http://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

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

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

Empire State Development
Division For Small Business
625 Broadway
Albany, NY 12207

A directory of certified minority- and women-owned business enterprises is available from:

<https://ny.newnycontracts.com/FrontEnd/VendorSearchPublic.asp>

Empire State Development
Minority and Women's Business Development Division
625 Broadway
Albany, NY 12207

A directory of certified service-disabled veteran-owned business enterprises is available from:

<http://www.ogs.ny.gov/Core/SDVOBA.asp>

New York State Office of General Services
Division of Service-Disabled Veterans' Business Development

New York Executive Law Article 15-A - NYSERDA is required under the law to promote opportunities for maximum feasible participation of certified minority-and women-owned business enterprises and the employment of minority group members and women in the performance of NYSERDA contracts. The MWBE participation goals and obligations of the selected Contractor are set forth in Attachment E.

New York Executive Law Article 17-B – NYSERDA is required under the law to promote opportunities for maximum feasible participation of certified Service-Disabled Veteran-Owned Businesses (SDVOBs). The SDVOB participation goals and obligations of the selected Contractor are set forth in Attachment F.

State Finance Law sections 139-j and 139-k - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <http://www.ogs.ny.gov/aboutogs/regulations/advisoryCouncil/StatutoryReferences.html>

The attached Proposal Checklist (Attachment A) calls for a signature certifying that the proposer will comply with State Finance Law sections 139-j and 139-k and the Disclosure of Prior Findings of Non-responsibility form (Attachment B) includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years.

Tax Law Section 5-a - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. *See*, ST-220-TD (available at

http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department. The Department has created a second form that must be completed by a prospective contractor prior to contacting and filed with NYSERDA. *See*, ST-220-CA (available at http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

Contract Award - NYSERDA anticipates making one or more awards under this solicitation. It may award a contract based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Letter Agreement (Attachment C) to contract successful proposals. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Letter Agreement to those specifically identified in the submitted proposal (see Attachment A - Proposal Checklist). Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately 8 weeks from the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

NYSERDA also reserves the right to correct any arithmetic errors, to accept or reject any of the firm's employees assigned to provide services on this project and to require their replacement at any time, and to reject any proposal containing false or misleading statements or that provides references that do not support an attribute or a condition claimed by the proposer.

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

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

VII. Attachments

Attachment A: Proposal Checklist

Attachment B: Disclosure of Prior Findings of Non- Responsibility

Attachment C: Sample Letter Agreement

Attachment D: Electronic Proposal Submission Instructions

Attachment E: Article 15-A (MWBE) Provisions

Attachment F: Article 17-B (SDVOB) Provisions



**LICENSE CONSULTATION SERVICES-
WEST VALLEY NUCLEAR SERVICE CENTER
Request for Proposals (RFP) No. 3305**

Proposals Due: July 7, 2016 by 5:00 PM Eastern Time*

The New York State Energy Research and Development Authority (NYSERDA) seeks assistance from qualified individuals or firms to assist NYSEDA in developing a strategy and preparing required documents to amend its 10 CFR Part 50 License for the Western New York Nuclear Service Center (WNYNSC). NYSEDA proposes to update the license to reflect current site conditions and responsibilities, incorporate an up-to-date Radiation Protection Program and Safety Analysis Report, and eliminate unnecessary requirements, amendments, and technical specifications, if any.

The success of this task will be, in part, dependent on securing the services of a highly qualified, professional consulting firm with experience in Nuclear Regulatory Commission licensing provisions.

Proposal Submission: Electronic submission is preferable. NYSEDA will also accept proposals by mail or hand-delivery. If submitting electronically, proposers must submit the proposal in either PDF or MS Word format with a completed and signed Proposal Checklist and Disclosure of Prior Findings of Non-Responsibility, in PDF format. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility, rather than scanning. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. Proposals may be submitted electronically by following the link for electronic submissions found on this RFP's webpage, which is located in the "Current Opportunities" section of NYSEDA's website (<http://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>). Instructions for submitting electronically are located in that section as Attachment E to this RFP.

If mailing or hand-delivering, proposers must submit (2) paper copies of their proposal with a completed and signed Proposal Checklist, along with a CD or DVD containing both a PDF or MS Word digital copy of the proposal, following the above guidelines. Mailed or hand-delivered proposals must be clearly labeled and submitted to:

**Roseanne Viscusi, RFP No.
NYS Energy Research and Development Authority
17 Columbia Circle
Albany, NY 12203-6399**

If you have technical questions concerning this solicitation, contact Janice Dean at (518) 862-1090, ext. 3117 or janice.dean@nyserda.ny.gov. If you have contractual questions concerning this solicitation, contact Venice Forbes at (518) 862-1090, ext. 3507 or venice.forbes@nyserda.ny.gov.

No communication intended to influence this procurement is permitted except by contacting the above identified designated contacts. Contacting anyone other than this Designated Contact (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

*Late proposals and proposals lacking the appropriate completed and signed Proposal Checklist will be returned. Faxed or e-mailed proposals will not be accepted. Proposals will not be accepted at any other NYSERDA location other than the address above. If changes are made to this solicitation, notification will be posted on NYSERDA's web site at www.nyserda.org.

Introduction

The New York State Energy Research and Development Authority (NYSERDA) holds title to the 3,300-acre Western New York Nuclear Service Center (WNYNSC), located near the hamlet of West Valley in Cattaraugus County in southwestern New York State. NYSEDA is also the current sole licensee for provisional license CSF-1 issued by the United States Atomic Energy Commission (AEC) in 1966 under 10 CFR Part 50 for an Irradiated Nuclear Fuel Processing Plant that was located at the WNYNSC. The license was originally issued to the New York State Atomic and Space Development Authority (ASDA, a predecessor agency of NYSEDA) as owner, and to Nuclear Fuel Services, Inc. (NFS) as operator, of the irradiated fuel processing facility.

NFS began reprocessing operations at West Valley in 1966, and reprocessed spent nuclear fuel for a period of six years. In 1972, the plant was shut down for modifications, and for various reasons, reprocessing operations never resumed. In 1976, NFS announced it would withdraw from reprocessing operations, and would turn the West Valley plant over to NYSEDA when the initial lease period expired in 1980.

The NFS announcement that it would withdraw from reprocessing at West Valley and return the facility to NYSEDA resulted in litigation between NFS and NYSEDA, investigations and hearings by the U.S. Congress, and the eventual passage of the West Valley Demonstration Project (WVDP) Act (Public Law 96-368) by Congress in 1980. The WVDP Act directed the Department of Energy (DOE) to conduct a High-Level Radioactive Waste solidification and decommissioning demonstration project at the site to address the liquid high-level waste and contaminated facilities that remained from the spent fuel reprocessing operation.

On October 1, 1980, DOE and NYSEDA entered into a Cooperative Agreement that identified the operational framework implementing the WVDP at the WNYNSC. Under the terms of the Cooperative Agreement, approximately 179 acres of the WNYNSC were transferred to the exclusive possession and control of DOE in 1982 for the conduct of the WVDP. NYSEDA retained possession and control of the remainder of the 3,300 acre-WNYNSC, including the 15-acre State-Licensed Disposal Area (SDA).

NYSEDA seeks assistance from qualified individuals or firms to assist in developing a strategy and preparing required documents to amend its 10 CFR Part 50 License for the WNYNSC. NYSEDA proposes to update the license to reflect current site conditions and responsibilities, incorporate an up-to-date Radiation Protection Program and Safety Analysis Report, and eliminate unnecessary requirements, amendments, and technical specifications, if any.

The success of this task will be, in part, dependent on securing the services of a highly qualified, professional consulting firm with experience in Nuclear Regulatory Commission (NRC) licensing provisions. The contract is expected to start on or about August 1, 2016.

I. Scope of Services

A. Services Requested

This Scope of Services is being circulated to solicit bids from firms with NRC licensing experience interested in performing the tasks defined by this RFP. Work for this task is expected to begin August 1, 2016, and continue through completion of the contract.

B. Range/Scope of Services to be Provided

NYSERDA seeks assistance from qualified individuals or firms to assist in developing a strategy and preparing required documents to amend its 10 CFR Part 50 License for the WNYNSC.

NYSERDA operates under License CSF-1, originally issued to NFS and ASDA by the AEC on April 19, 1966. The technical specifications for the license are being held in abeyance while DOE conducts operations pursuant to the WVDPA; and NYSERDA, the NRC, and DOE have historically recognized that license amendments to bring the license into conformance with current conditions would be needed at one or more junctures. NYSERDA proposes to update the license to reflect current site conditions and responsibilities, incorporate an up-to-date Radiation Protection Program and Safety Analysis Report, and eliminate unnecessary requirements, amendments, and technical specifications, if any. This solicitation seeks consultation and assistance with that process.

1. Required Tasks

The contractor will provide the following services to NYSERDA:

Task 1.1 - Evaluation of License CSF-1 and NYSERDA’s current responsibilities and work activities at the WNYNSC. Conduct an evaluation of License CSF-1, including its provisions, changes, attachments, and technical specifications within the framework of NYSERDA’s current and reasonably expected future responsibilities at the WNYNSC.

Provide a written summary of the status of License CSF-1, identifying whether existing license provisions, changes, attachments, and technical specifications are applicable to NYSERDA’s current or reasonably expected future responsibilities and work activities at the WNYNSC.

The evaluation should include an assessment of the applicability, if any, of the Part 50 license to areas off the WNYNSC property where Part 50-regulated radioactive materials may be present.

Task 1.2 - Develop the Framework for an Updated License CSF-1. Provide a recommendation for the content and structure for an updated NRC license for the WNYNSC. The recommendation should consider and address the findings from Task 1.1 and provide the framework for a modern license that fully authorizes NYSERDA to conduct work on all areas of the WNYNSC, including areas impacted or potentially impacted by Part 50-regulated radioactive materials on (and if applicable) off the WNYNSC property. The recommendation should describe proposed license provisions, technical specifications, and support documents and attachments.

A cost estimate and schedule for preparing the necessary application and other documentation required for submittal to the NRC should be prepared as part of this task.

Strategies, recommendations or considerations for additional amendments of the license can be identified as part of Task 1.2.

2. Contingent Work Tasks

Based upon NYSERDA’s evaluation of the deliverables identified in Task 1.2, the contractor may be asked to provide the following services to NYSERDA:

Task 2.1 - Develop a Draft and Final Application for Amendment and Other Documents. Upon NYSERDA's approval of the Task 1.2 deliverables, prepare draft versions of the application for license amendment, safety analysis report, radiation protection program, etc. and submit to NYSERDA for review.

Prepare final documents incorporating NYSERDA input. Review NYSERDA's existing Radiation Protection Program for the Retained Premises of the WNYNSC and provide recommendations for revising the document, if needed.

Task 2.2 – Meetings and Other Support. Provide support for NYSERDA meetings with NRC, preparation of responses to NRC's Requests for Additional Information, and support for NYSERDA public meetings that may be required in the license amendment process.

3. **On Demand Support Tasks**

Task 3 - Provide assistance to NYSERDA for other licensing issues, including technical assistance with ALARA analyses under the 10 CFR 20 Subpart E, decommissioning planning, beneficial reuse of WNYNSC property, partial site release, etc.

II. **Proposal Requirements**

If mailing or hand-delivering, proposers must submit two (2) paper copies of their proposal with a completed and signed Proposal Checklist, along with a CD or DVD containing both a PDF or MS Word digital copy of the proposal to the attention of Roseanne Viscusi at the address on the front of this Request for Proposal. A completed and signed Proposal Checklist (Attachment A) must be attached to the front cover of all both paper copies of your proposal, one of which must contain an original signature. **Late proposals and proposals lacking the appropriate completed and signed Proposal Checklist will be returned.** Faxed or e-mailed copies will not be accepted. Be sure that the individual signing the checklist is authorized to commit the Proposer's organization to the proposal as submitted. Each page of the proposal should state the name of the Proposer, the RFP number, and the page number. NYSERDA reserves the right to request additional data or material to support proposals. All material submitted in response to the RFP will become the property of NYSERDA.

A. **Proposal Format**

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

Part I - Technical and Management:

- Completed "Proposal Checklist" Form (Attachment A) - to be attached to the front page of all copies of Part I of the proposal.
- Background/Objectives (one-page maximum).
- Technical Approach (six-page maximum) – Describe the technical approach for completing the work scope in Tasks 1.1 and 1.2.
- Management Plan and Schedule for the Work (six-page maximum). Describe the approach for managing the licensing support contract, including the structure of the project team, identifying the lead and technical team members and roles. Prepare a schedule for completing work activities 1.1 and 1.2, in weeks from the

date of contract award.

- Qualifications of the Project Team (ten pages maximum) - Present the proposer's qualifications and experience relevant to the Scope of Services. Identify relevant US Nuclear Regulatory Commission licensing experience for each member of the project team, either as an NRC employee or consultant, or on behalf of licensees, in regard to 10 CFR Part 20, Part 30, Part 50, Part 70, or other applicable licenses and regulations, and experience related to decommissioning and fuel cycle facilities. Qualification statements for each member of the project team should include years of relevant experience.
- Corporate Qualifications (four page maximum) – Describe the corporate resources available to support the licensing support tasks.
- Letters of commitment from all participating organizations (if applicable).

Part II - Cost and Disclosures:

- Cost proposal for Tasks 1.1 and 1.2, including hourly rates and any other applicable costs or rates included on the attached Contracts Pricing Proposal Form (Attachment F, instructions included). The Proposer shall also provide their hourly rate(s) for Optional Services as described in Section B, 3 of the RFP (see Attachment E).
- Disclosure of Prior Findings of Non-Responsibility – “Executive Order 127” Form (Attachment B).
- Indictment/Conviction of Felony (if applicable).
- NYSERDA Contracts awarded (if applicable).
- Prior and/or Competing Proposals (if applicable).

In compliance with §139-j and §139-k of the State Finance Law (see Section III, General Conditions below for additional information), additional forms must be completed and filed with proposals: (1) a signed copy of the Proposal Checklist including required certifications under the State Finance Law; and (2) a completed Disclosure of Prior Findings of Non-Responsibility form. Failure to include a signed copy of the Proposal Checklist referenced in this solicitation may disqualify your proposal.

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

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

NYSERDA retains the right to request any additional information pertaining to the Proposer's ability, qualifications, and procedures used to accomplish all work under the contract as it deems necessary to ensure safe and satisfactory work.

B. Proposal Evaluation

Proposals submitted in response to this RFP will be reviewed, and scores assigned based on the information provided. NYSERDA retains the right to request any additional information pertaining to the Proposer's ability, qualifications, and procedures used to accomplish all work under the contract as it deems necessary to ensure safe and satisfactory work. Proposals will be reviewed by a technical evaluation panel consisting of NYSERDA staff and external individuals.

Top-ranked Proposers may be required to provide oral presentations to NYSERDA. Proposers shall not be allowed to change their proposal during or after this presentation unless responding to a request for clarification from NYSERDA. Selected proposer, if any, will be scheduled to conduct its presentation before the scoring committee. Following oral presentations, the scoring committee will rescore the top proposers based on the criteria above to determine the highest-ranked proposer.

III. GENERAL CONDITIONS

Proprietary Information - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to accept it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 www.nyserda.org/nyserda.regulations.pdf. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

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

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

Empire State Development
Division For Small Business
30 South Pearl Street
Albany, NY 12245

A directory of certified minority- and women-owned business enterprises is available from:

Empire State Development
Minority and Women's Business Development Division
30 South Pearl Street

Albany, NY 12245

New York Executive Law Article 15-A - NYSEDA is required under the law to promote opportunities for maximum feasible participation of certified minority-and women-owned business enterprises and the employment of minority group members and women in the performance of NYSEDA contracts. The MWBE participation goals and obligations of the selected Contractor are set forth in Attachment C.

State Finance Law sections 139-j and 139-k - NYSEDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <http://www.ogs.state.ny.us/aboutogs/regulations/advisoryCouncil/StatutoryReferences.html>

The attached Proposal Checklist calls for a signature certifying that the proposer will comply with State Finance Law sections 139-j and 139-k and the Disclosure of Prior Findings of Non-responsibility form includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years.

New York Executive Law Article 17-B – NYSEDA is required under law to promote opportunities for maximum feasible participation of certified Service-Disabled Veteran-Owned Businesses (SDVOBs). The SDVOB participation goals and obligations of the selected Contractor are set forth in Attachment H.

Tax Law Section 5-a - NYSEDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSEDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. *See*, ST-220-TD (available at http://www.tax.state.ny.us/pdf/2006/fillin/st/st220td_606_fill_in.pdf). Prior to contracting with NYSEDA, the prospective contractor must also certify to NYSEDA whether it has filed such certification with the Department. The Department has created a second form that must be completed by a prospective contractor prior to contacting and filed with NYSEDA. *See*, ST-220-CA (available at http://www.tax.state.ny.us/pdf/2006/fillin/st/st220ca_606_fill_in.pdf). The Department has developed guidance for contractors which is available at http://www.tax.state.ny.us/pdf/publications/sales/pub223_606.pdf.

Contract Award - NYSEDA anticipates making one award under this solicitation. It may award a contract based on initial applications without discussion, or following limited discussion or negotiations. Each offer should be submitted using the most favorable cost and technical terms. NYSEDA may request additional data or material to support applications. NYSEDA will use the Sample Agreement to contract successful proposals. NYSEDA expects to notify proposers in approximately 8 weeks from the proposal due date whether your proposal has been selected to receive an award.

Limitation - This solicitation does not commit NYSEDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSEDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSEDA's best interest.

Disclosure Requirement - The proposer shall disclose any indictment for any alleged felony, or any conviction for a felony within the past five years, under the laws of the United States or any state or territory of the United States, and shall describe circumstances for each. When a proposer is an association, partnership, corporation, or

other organization, this disclosure requirement includes the organization and its officers, partners, and directors or members of any similarly governing body. If an indictment or conviction should come to the attention of NYSERDA after the award of a contract, NYSERDA may exercise its stop-work right pending further investigation, or terminate the agreement; the contractor may be subject to penalties for violation of any law which may apply in the particular circumstances. Proposers must also disclose if they have ever been debarred or suspended by any agency of the U.S. Government or the New York State Department of Labor.

IV. Attachments:

Attachment A - Proposal Checklist

Attachment B - Disclosure of Prior Findings of Non- Responsibility

Attachment C – MWBE Provisions

Attachment D – Electronic Proposal Submission Instructions

Attachment E – Project Personnel and Rate Form

Attachment F – Contract Pricing and Proposal Form (CPPF)

Attachment G – CPPF Instructions

Attachment H – Sample Agreement



**DG Integrated Data System Operation and Support
Request for Proposal (RFP) 3328**

Proposals Due: September 20, 2016 by 5:00 PM Eastern Time*

NYSERDA is seeking a qualified vendor to continue the Distributed Generation (DG) – Combined Heat and Power (CHP) performance data collection, analysis, and presentation effort currently being performed by CDH Energy Corp. as represented by NYSERDA's DG Integrated Data System website chp.nyserda.ny.gov.

Proposers must have demonstrated experience in CHP system installation, remote monitoring and performance analysis, as well as experience in web-based database application development, operation and maintenance.

Proposal Submission: Electronic submission is preferable. NYSERDA will also accept proposals by mail or hand-delivery. If submitting electronically, proposers must submit the proposal in either PDF or MS Word format along with a completed and signed Proposal Checklist and Disclosure of Prior Findings of Non-Responsibility, in PDF format. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility, rather than scanning. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. Proposals may be submitted electronically by following the link for electronic submissions found on this RFP's webpage, which is located in the "Current Opportunities" section of NYSERDA's website (<http://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>). Instructions for submitting electronically are located as Attachment I to this RFP.

If mailing or hand-delivering, proposers must submit (2) paper copies of their proposal with a completed and signed Proposal Checklist, along with a CD or DVD containing both a PDF and MS Word digital copy of the proposal, following the above guidelines. Mailed or hand-delivered proposals must be clearly labeled and submitted to:

**Jillina Baxter, RFP 3328
NYS Energy Research and Development Authority
17 Columbia Circle
Albany, NY 12203-6399**

If you have technical questions concerning this solicitation, contact Paul Vainauskas at (518) 862-1090, ext. 3554 or paul.vainauskas@nyserda.ny.gov. If you have contractual questions concerning this solicitation, contact Venice Forbes at (518) 862-1090, ext. 3507 or venice.forbes@nyserda.ny.gov.

No communication intended to influence this procurement is permitted except by contacting Paul Vainauskas (Designated Contact) at (518) 862-1090, ext. 3554 or paul.vainauskas@nyserda.ny.gov. Contacting anyone other than this Designated Contact (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

* Late proposals will be returned. Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal. Faxed or e-mailed proposals will not be accepted. Proposals will not be accepted at any other NYSERDA location other than the address above. If changes are made to this solicitation, notification will be posted on NYSERDA's web site at www.nyserda.ny.gov.



I. Introduction

NYSEERDA offers a number of initiatives that support the installation and operation of distributed generation (DG), combined heat and power (CHP) and other power generation and/or power storage systems. Most of these programs ensure that system performance data is supplied to NYSEERDA for analysis and/or presentation to the general public. In 2004, NYSEERDA contracted with CDH Energy Corp. to develop and operate the Combined Heat and Power – Data Integration System (currently referred to as the DG Integrated Data System), as described in Attachment D, which automatically receives daily uploads of 15 minute system performance data from each of the NYSEERDA funded on-site generation project sites, performs automated quality checks on the data, stores the data in a database, analyzes the data, and presents the results through the publicly available website chp.nyserda.ny.gov. Over the past several years, the website has been expanded to include not only CHP, but power generation data from various other NYSEERDA funded power generation projects, including installations of solar photovoltaic (PV) systems, anaerobic digester (ADG) systems, and fuel cells (collectively referred to as “DG sites” for the purpose of this RFP). The existing agreement with the incumbent (CDH Energy Corp.) is scheduled to expire at the end of 2016. Under this RFP, NYSEERDA is requesting proposals from qualified vendors to continue this effort. The existing agreement calls for the incumbent to assist with a smooth transition should a new contractor be selected.

The existing agreement requires CDH Energy Corp. to assist each DG site to develop a monitoring plan consistent with the Attachment E – Monitoring and Data Collection Standard, assist in the establishment of a data transfer protocol with each DG site, develop a case study of each CHP site, perform both automatic and manual data quality assurance reviews, and monitor the system (including data transfer from the sites) so that problems are quickly identified and resolved. Each site, through its own DG implementation contract with NYSEERDA, is required to procure, install and maintain monitoring equipment (meters, sensors, data logger, and communications pathway).

The existing agreement requires that CDH Energy Corp. grant NYSEERDA a license to use, modify, distribute, and permit others to use, modify and distribute all software developed as part of the development, operation, or maintenance of the DG Integrated Data System. The selected vendor will receive a copy of the source code developed under the existing agreement which provides much of the functionality of the DG Integrated Data System. However, some functionality is currently provided using software written by CDH Energy Corp. prior to the existing effort and this source code will NOT be provided to the selected vendor. This excluded software is described in Section 3 of Attachment D and consists primarily of command line batch files and programs written in PV-WAVE. The selected vendor will be required to replicate the functionality of the excluded software during the Transition and Startup phase of this effort.

The DG Integrated Data System is currently receiving daily operational data from approximately 400 active sites. It is anticipated that between approximately 250 and 400 new active sites will be added during the first two years of effort under this RFP, and, if NYSEERDA authorizes the selected vendor to continue beyond the initial two-year period, then it is anticipated that between approximately 150 and 500 new active sites will be added during the subsequent three years of effort under this RFP.

The vendor selected as a result of this RFP (selected vendor) will receive an agreement for an initial period of 2 years, followed by an optional renewal period of 3 years, for a total period of 5 years.

II. Program Requirements

Proposers may be individual entities or teams of entities. Proposers must have demonstrated experience in each of the areas listed below under “Proposer Qualifications”.

NYSEERDA anticipates that a single award will be made to a proposer, or proposing team, which will be selected to perform the work as defined in Attachment C – Statement of Work.



The selected vendor will be required to grant NYSERDA a license to use, modify, distribute, and permit others to use, modify and distribute all software and other materials developed as part of the development, operation, or maintenance of the DG Integrated Data System.

III. Proposal Requirements

A completed and signed Proposal Checklist must be attached as the front cover of your proposal. **Late proposals will be returned and proposals lacking the appropriate completed and signed Proposal Checklist may be returned. Faxed or e-mailed copies will not be accepted.**

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

Proposer Qualifications

Document experience in each of the following areas. Provide specific, detailed examples, web addresses, and site contact information, as appropriate. Identify team-member individuals and the specific activities that they have performed.

- CHP system design and installation;
- Automated remote monitoring of CHP systems;
- Analysis of CHP system performance;
- Database development, operation and maintenance, particularly using MYSQL and Access and;
- Website development, operation and maintenance, particularly using database driven dynamic web pages using ColdFusion and Python.

DG Integrated Data System Implementation

Carefully review the Monitoring and Data Collection Standard (described in Attachment E). Describe what changes you would make (if any) and why.

Carefully review the existing DG Integrated Data System website at chp.nyserda.ny.gov and describe what changes you would make to the DG Integrated Data System which would improve its functionality, particularly with respect to technology transfer. Where possible, include examples in your proposal of work that you've done that illustrates your recommended changes.

Carefully review the existing DG Integrated Data System hardware and software environments as described in Attachment D. Fully describe the hardware and software environments that you propose to utilize to support the DG Integrated Data System, and, if different from what is currently used, how the change(s) would improve the functionality of the DG Integrated Data System. If you are proposing to use a hosting service, provide its name, its web address, and level of service (and options if any) that you are contemplating using.

The DG Integrated Data System website contains a wealth of information pertaining to the operation and performance of DG systems. Fully describe your capability and experience in maximizing the use of large data sets and how you would use this data to extract more value to the marketplace.

Additional Generation Data Services for DG Projects

The DG Integrated Data System must be capable of automated addition of new DG project sites through integration with accessible NYSERDA project databases, as these databases are developed, including



but not limited to Salesforce and the New York Generation Attributes Tracking System (NYGATS)¹. It shall also be capable of integrating automated transfers of generation data between companion databases maintained by NYSEDA or NYSEDA contractors on, at a minimum, a monthly basis.

Data Collection Systems and Services

The data collected and reported on the DG Integrated Data Systems website is more comprehensive for some DG systems providing both electric and thermal parameters (Full-data Site), compared to other DG systems providing electric only (Partial-data Site, including but not limited to solar PV sites, and battery electric storage sites). In all cases, the data collection activities administered by the vendor selected under this RFP shall:

- interface with the site's measurement instrumentation
- properly convert raw measurements supplied by the site's sensors and meters into the appropriate engineering units
- provide adequate security to protect against unauthorized access to the system and data
- provide for automatic polling of the instrumentation and recording the data at fifteen (15) minute intervals (more frequent sampling may be performed as long as data sampled at 15 minute intervals is recorded)
- provide for protection of data during system failure and power outage
- provide storage for at least seven (7) days' worth of data so that the data logging function can continue during communication failures
- and provide automatic transmittal of data to DG Integrated Data Systems website

For the Full-data collection system, the types of parameters to be measured for Full-data Sites include, but are not limited to:

- Temperature
- Water Flow Rate
- Gas Flow Rate
- Thermal energy recovered/used (BTU meter)
- Site kW demand
- kWhr produced/used
- Binary (on-off)

For the Partial-data collection system, the activities administered by the vendor selected under this RFP shall consist of receiving mainly electric only data from sites including but not limited to solar PV sites, and battery electric storage sites. The vendor selected under this RFP shall expect to receive outputs from the site derived from an internet enabled electric meter that displays instantaneous AC power and cumulative total AC energy production and, at a minimum, can record cumulative total AC energy production of the DG system on an hourly and time-stamped basis, store the hourly readings for at least 7 days, and can transmit recorded readings once per day to a NYSEDA designated Data Agent via e-mail, FTP, HTTP or Modbus TCP/IP. The meter must meet the American National Standards Institute (ANSI) C12.20, be Revenue grade with a +/-0.2% accuracy, and be properly calibrated. The meter must also have battery backup to prevent the loss of data during power outages. Under the category of Partial-

¹ NYGATS is an online certificate-tracking system that records information about electricity generated, imported, and consumed within New York State. Using unique serial numbers, it can issue, track, and manage energy attribute certificates and renewable energy certificates (RECs). It prevents double-counting of certificates, provides public reports, and records a full audit trail of all transactions to support the integrity of the certificates issued and held in the system. Registered NYGATS users can trade, retire, or verify and substantiate ownership of RECs to support compliance or voluntary claims. Certificates may be traded "bundled" with megawatt-hours of energy, but NYGATS tracks only certificates.



data collection system, it may be necessary to monitor one or two additional parameters to be determined (electric or non-electric).

On rare instances, NYSERDA may request that the vendor selected under this RFP provide, install, operate and maintain data collection systems at various DG sites that do not include a data collection and reporting system as part of the original project, or where the original system is no longer in operation. When so tasked, the vendor selected under this RFP will be responsible for the installation, operation and maintenance of such systems, sampling and recording measurements, and transmitting the recorded data to the website in an appropriate format on a daily basis.

Cost

A milestone payment structure will be used in the agreement resulting from this solicitation. Provide your proposed milestone payment amount for each of the following using Attachment F – Milestone Budget Form.

- **Transition and Startup** – A fixed milestone payment for all activities leading up to an approved, fully functional DG Integrated Data System, including acquiring and configuring all hardware and software, installing and updating the DG Integrated Data System software and files, establishing reliable data transfer from all existing active project sites, and attending transition meeting(s) (See Tasks 2 and 3 of Attachment C – Statement of Work). This milestone payment may be invoiced upon final approval for “public roll-out” of the DG Integrated Data System received from NYSERDA’s Project Manager.
- **Update of the Monitoring and Data Collection Standard** – A fixed milestone payment for this effort if you are proposing to update the Monitoring and Data Collection Standard (See Task 4 of Attachment C – Statement of Work). This milestone payment may be invoiced upon approval of the Final Monitoring and Data Collection Standard by NYSERDA’s Project Manager.
- **Upgrading and Improving the DG Integrated Data System** – A fixed milestone payment for upgrade and improvement of the system’s functionality and usefulness (See Task 5 of Attachment C – Statement of Work). This milestone payment may be invoiced upon approval of the Upgraded DG Integrated Data System received from NYSERDA’s Project Manager.
- **System Operation and Maintenance** – Milestone payments for operation and maintenance will be broken down into two components: a fixed monthly fee (to generally cover fixed costs) and a variable monthly fee based on the number of active sites monitored throughout the month (based on a fixed dollar amount per site, to be multiplied by the number of sites). See Task 6 of Attachment C – Statement of Work. These milestone payments may be invoiced monthly. Due to the expected difference in level of effort in operation and maintenance between the Full-data Site and Partial-data Site, the variable monthly fee can be different. The proposal should reflect this difference.
- **Adding New Full-data Sites (Electric & Thermal)** – Where the site has/will be installing the monitoring system through its DG implementation contract with NYSERDA, the vendor selected under this RFP will seek a fixed milestone payment for adding a new active Full-data Site to the DG Integrated Data System after transition/startup (\$/new site), including assisting the site to develop an approved Monitoring Plan, entering all site information into the DG Integrated Data System, creating and publishing a Fact Sheet for the site, and establishing reliable daily DG system performance data transfer from the site (See Task 7 of Attachment C – Statement of Work). This milestone payment may be invoiced once site data and the Fact Sheet are available through the DG Integrated Data System, reliable daily data transfer has been established, and automated analysis and reporting are functional for the site.
- **Adding new Partial-data Sites (Electric Only)** – Where the site has/will be installing the monitoring system through its DG implementation contract with NYSERDA, the vendor selected under this RFP will seek a fixed milestone payment for adding a new active DG site (electric only) to the DG Integrated Data System after transition/startup (\$/new site), entering site electric information into the DG Integrated Data System, and establishing reliable daily electric performance data transfer from the site (See Task 7 of Attachment C – Statement of Work). This



milestone payment may be invoiced once site data is available through the DG Integrated Data System, reliable daily data transfer has been established, and automated analysis and reporting are functional for the site.

- **Transition and Shutdown** – A fixed milestone payment for performing the transition and shutdown effort described in Tasks 9 and 10 of Attachment C – Statement of Work. This milestone payment can be invoiced once the DG Integrated Data System has been successfully handed off to the “New Contractor”.

Include a completed Personnel and Rates Form (Attachment H – Personnel and Rates Form) for the Proposer and each proposed team member organization or identified subcontractor.

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

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

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

Letters of Intent to Participate

- If a subcontractor is listed as part of your team, please provide a Letter of Intent to Participate from the subcontractor, as part of the proposal.

IV. Proposal Evaluation

Proposals that meet proposal requirements will be reviewed by a Technical Evaluation Panel using the evaluation criteria below.

- **Experience** – For each of the five areas of experience listed above, is the Proposer’s or Proposing Team’s experience excellent, satisfactory, or poor?
- **Benefits** – Will the Proposer, or Proposing Team, bring a capability that will ensure or enhance the continued operation of the DG Integrated Data System? If changes are proposed, will the proposed changes to the DG Integrated Data System and/or Monitoring and Data Collection Standard provide benefit(s) to the project sites, NYSERDA or the public?
- **Value** – What is the overall value, considering experience, benefits and cost, when compared to the other Proposers?

NYSERDA may consider the following program policy factors in making award selection decisions:

- The degree to which the applicant has the resources (human and financial) to be able to complete the work.
- The degree to which the proposal optimizes the use of available funding.

V. GENERAL CONDITIONS



Proprietary Information - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <http://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

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

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

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A directory of certified minority- and women-owned business enterprises is available from:

Empire State Development
Minority and Women's Business Development Division
625 Broadway
Albany, NY 12207

State Finance Law sections 139-j and 139-k - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <http://www.ogs.ny.gov/aboutogs/regulations/advisoryCouncil/StatutoryReferences.html>. The attached Proposal Checklist calls for a signature certifying that the proposer will comply with State Finance Law sections 139-j and 139-k and the Disclosure of Prior Findings of Non-responsibility form includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years.

Tax Law Section 5-a - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department. The Department has created a second form that must be completed by a prospective contractor prior to contacting and filed with NYSERDA. See, ST-220-CA (available at http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf). The Department has



developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf> .

Contract Award - NYSERDA anticipates making one award under this solicitation. It may award a contract based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals (the enclosed Statement of Work may be adjusted based on negotiations between NYSERDA and the vendor selected under this RFP). NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the submitted proposal (see Proposal Checklist). Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately eight weeks from the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

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

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

VI. Attachments:

- Attachment A – Proposal Checklist
- Attachment B – Disclosure of Prior Findings of Non-Responsibility
- Attachment C – Statement of Work
- Attachment D – DG/CHP Integrated Database Functional Description
- Attachment E – Monitoring and Data Collection Standard
- Attachment F – Milestone Budget Form
- Attachment G – Sample Agreement
- Attachment H – Project Personnel and Rates Form
- Attachment I – Instructions for Submitting Electronic Proposals



**Industrial Strategic Energy Management: Implementation Contractor (Energy Coach)
Request for Proposal (RFP) 3352**

Funding: Competitive

NYSERDA reserves the right to extend and/or add funding to the Solicitation should other program funding sources become available.

Proposals Due: December 19, 2016 by 5:00 PM Eastern Time*

Program Summary: The New York State Energy Research and Development Authority (NYSERDA) requests proposals from contractors interested in providing program support services for the upcoming Industrial Strategic Energy Management (SEM) Pilot, including cohort training and market dissemination activities. NYSEDA is requesting proposals from contractors to serve as an Energy Coach for the three years of the Pilot to develop SEM training materials, guide participants through the SEM process and monthly cohort sessions, and provide technical support to assist participants in achieving key SEM milestones. NYSEDA anticipates awarding one contract through this RFP, although multiple awards may be made.

Informational Meeting: NYSEDA will hold one (1) non-mandatory, informational session for potential proposers as a question and answer session for the RFP. It is encouraged that questions be submitted in advance. Please visit RFP 3352 at <http://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx> for the date, time, instructions, and details. The questions and responses will be posted under this funding opportunity on NYSEDA's website at <http://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>.

Proposal Submission: Electronic submission is preferable. NYSEDA will also accept proposals by mail or hand-delivery. If submitting electronically, proposers must submit the proposal in either PDF or MS Word format with a completed and signed Proposal Checklist and Disclosure of Prior Findings of Non-Responsibility. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility, rather than scanning. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. Proposals may be submitted electronically by following the link for electronic submissions found on this RFP's webpage, which is located in the "Current Opportunities" section of NYSEDA's website (<http://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>). Instructions for submitting electronically are located as Attachment F to this RFP.

If mailing or hand-delivering, proposers must submit two (2) paper copies of their proposal with a completed and signed Proposal Checklist, along with one (1) electronic copy (CD or DVD) of the proposal in readily accessible formats (Word, Excel, PDF), following the above guidelines. Mailed or hand-delivered proposals must be clearly labeled and submitted to:

**Jillina Baxter, RFP 3352
NYS Energy Research and Development Authority
17 Columbia Circle
Albany, NY 12203-6399**

No communication intended to influence this procurement is permitted except by contacting Kathleen Dooley (Designated Contact) at (518) 862-1090, ext. 3475, or Kathleen.Dooley@nyserda.ny.gov; or Megan Fisher at (212) 971-5342 ext. 3627 or Megan.Fisher@nyserda.ny.gov for technical questions. If you have contractual questions concerning this solicitation, contact Nancy Marucci (Designated Contact) at (518) 862-1090, ext. 3335 or Nancy.Marucci@nyserda.ny.gov. Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

*** Late proposals will be returned. Incomplete proposals may be subject to disqualification.** It is the proposer's responsibility to ensure that all pages have been included in the proposal. Faxed or e-mailed proposals will not be accepted. Proposals will not be accepted at any other NYSERDA location other than the address above. If changes are made to this solicitation, notification will be posted on NYSERDA's web site at www.nyserda.ny.gov.

I. INTRODUCTION

The New York State Energy Research and Development Authority (NYSERDA) is a public benefit corporation established by the New York State Legislature in 1975. NYSEDA's principal mission is to use innovation and technology to solve some of New York's most difficult energy and environmental problems in ways that improve the State's economy. In 2016, the New York State Public Service Commission (PSC) approved the Clean Energy Fund (CEF) which is designed to deliver on New York State's commitment to reduce ratepayer collections, drive economic development, and accelerate the use of clean energy and energy innovation. The Industrial Strategic Energy Management (SEM) Pilot is part of NYSEDA's CEF portfolio.

NYSERDA is seeking support to develop and administer the SEM pilot including cohort trainings and materials, technical and program support services to cohort participants, and assistance with the market dissemination activities to support the adoption of SEM in New York's industrial sector. It is anticipated that there will be two (2) SEM cohorts. Each cohort will consist of no more than eleven industrial facilities from large and medium sized industrial sites¹, and may include key industries such as: chemicals and pharmaceuticals, printing and publishing, automotive, food processing, and forest products. Each cohort training plan will include roughly ten (10) training sessions over the course of twelve (12) months. Visit PON 3352 at <http://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx> for additional information on the SEM cohorts. The goal of this pilot is to provide cohort participants the knowledge and tools to adopt SEM at their facilities long-term; and develop market dissemination materials and activities for SEM to promote uptake and transformation in the New York State industrial market.

II. DEFINITIONS

Participant: The industrial facility selected to participate in an Industrial SEM cohort. Participants may partner with a consultant who may also participate in the trainings with them and support the implementation of SEM at the applicant's facility.

Energy Champion: The person responsible for attending the cohort sessions, receiving training from the *Energy Coach*, sharing information with the *Energy Team*, and leading the SEM effort at their facility.

Energy Coach: The firm selected by NYSEDA through this RFP to provide SEM training at each cohort session, technical assistance to participants throughout the program, and assist with market dissemination efforts. It is expected that the Energy Coach will consist of a qualified team to provide support for all the areas outlined in this RFP.

Energy Team: The group of individuals from multiple functions within the manufacturing organization who have knowledge about existing systems (production, capital project planning, facilities and maintenance, financial, etc.) and management support to participate in this effort. An *Energy Team* usually includes the *Energy Champion*, an executive sponsor, and key staff within the facility.

III. PROGRAM REQUIREMENTS – SCOPE OF SERVICES

A. Services Requested

NYSERDA seeks to select an Energy Coach to support the execution of the Industrial Strategic Energy Management Pilot and subsequent market dissemination activities as outlined below. NYSEDA anticipates awarding one contract through this RFP, although multiple awards may be made. Further detail about specific tasks and sub-tasks can be found in *Section B: Statement of Work* below.

The SEM Pilot will consist of two (2) 12-month-long cohorts, each comprised of approximately eleven (11) industrial facilities from across the state. The cohorts are anticipated to occur sequentially, but may overlap slightly to accommodate market demand or other circumstances. It is expected that there will be at least ten (10)

¹ Large sites are defined as greater than \$1,000,000 total annual energy (all fuels) spend and medium sites are sites with \$500,000 to \$1,000,000 total annual energy spend.

training sessions delivered by the Energy Coach over twelve (12) months, and the trainings may be a combination of group, in-person, and web-based events. Market dissemination activities are expected to be completed no more than one year after the conclusion of the second cohort. The term of the resulting agreement will be for three (3) years to coincide with the term of the Pilot which is expected to be three years to encompass the two one-year long cohorts, plus one additional year of market dissemination activities.

Cohort Training

The Energy Coach will be responsible for the development, preparation, and delivery of the training sessions. This includes developing the training schedule for the cohorts, planning the curriculum and identifying supporting tools and materials, and conducting the training sessions. To the extent possible, it is requested that existing and publically available tools are used rather than proprietary materials and that all materials developed under the resulting agreement will be the property of NYSERDA. The training sessions may incorporate lectures, cases/readings, discussions, and facility tours in which cohort participants learn and begin to apply core concepts of SEM. In addition, it is expected that the Energy Coach will deliver training content and materials to NYSERDA four weeks prior to each cohort training session for review and approval.

Working with NYSERDA, the Energy Coach will develop and administer a means for participants to provide feedback on training content and delivery at the conclusion of each training session. Feedback will be incorporated, as appropriate, into subsequent sessions.

Technical and Program Support to Cohort Participants

The Energy Coach will provide one-on-one coaching to assist and empower cohort participants, as needed, to successfully complete the training session assignments and to apply SEM concepts and frameworks in their facilities. An estimated two (2) sessions per participant is anticipated and may take place as on-site facility visits, in-person meetings or conference call work sessions.

In addition, the Energy Coach will provide post-cohort support to participants for one year following the cohort trainings, for activities such as energy model maintenance, project implementation support, metric tracking support, and quarterly progress calls to ensure the facility continues to engage in SEM.

Market Dissemination

The Energy Coach will assist NYSERDA in market dissemination efforts. Data gathered from the cohorts will be used to develop content for educational and marketing tools and materials that NYSERDA will use to support wider SEM market transformation activities. Data gathering and analysis may begin during the first cohort as it becomes available. Potential market dissemination materials and activities are outlined in *Section B: Statement of Work* below.

Project Management

The Energy Coach will provide monthly project status reports to NYSERDA detailing progress with SEM training and implementation, participant attendance and engagement, completion of training assignments, and progress toward the ultimate goal to establish and implement a SEM system at each participant facility. Additionally, the Energy Coach will coordinate with NYSERDA on SEM activities through weekly conference calls.

B. Proposer Eligibility and Qualifications

NYSERDA anticipates awarding one contract through this RFP, although multiple awards may be made. Proposers may be a single company or team of companies but must, in their response, clearly identify the key employees, subcontractors, or relevant affiliates of all entities who are proposed to fulfill the requirements of this RFP. The successful proposer must demonstrate that they have a clear understanding of SEM and experience in providing trainings to industrial manufacturers. Proposers must demonstrate the ability to provide, at a minimum, all services as outlined in this RFP, including the ability to be flexible and responsive to changing program needs; and any previous experience in the successful management of pilot programs (on time and within budget).

Experienced Team

Proposers must clearly demonstrate their ability to provide the necessary technical expertise and programmatic support described in this RFP. The selected contractor will provide NYSERDA with a dedicated

team of high-level professionals who will support the SEM program from design through delivery and post-cohort activities. Assigned personnel must demonstrate relevant content knowledge, including knowledge of the industrial sector in New York State and relevant market segments, practical experience, training capabilities, experience developing market dissemination materials and activities.

Dedicated Personnel

Proposers shall identify one or two qualified team members who will be responsible for leading the initiative outlined in this RFP including all of the trainings, interfacing with the cohort participants, and developing market dissemination materials and activities. The identified personnel must have previous experience in these areas that resulted in concrete, measurable success for participants and their organizations.

Ability to Travel

Assigned personnel must be able to travel throughout New York State as necessary to deliver training and coaching to cohort participants.

C. NYSERDA Responsibility

NYSERDA will maintain overall management and control of the SEM Pilot, and the NYSERDA Project Manager will be responsible for overseeing and managing all tasks undertaken by the selected contractor. The major responsibilities of NYSERDA are to:

- Market SEM cohort participation opportunities to industrial facilities through existing outreach contractors;
- Screen and select SEM cohort participants;
- Assist the Energy Coach in reviewing cohort training deliverables;
- Assist the Energy Coach in scheduling the cohort trainings;
- Monitor the progress of the Energy Coach through ongoing telephone contact and review of project status reports for the purpose of meeting customer needs, identifying problems, and initiating corrective action;
- Ensure adherence to NYSERDA's established policies and procedures; and
- Promptly process properly documented project payment requests and Energy Coach invoices.

D. Available Funds, Limitations, and Contracting

The initial contract will be for a three-year period, with two, one-year options to renew at NYSERDA's discretion. Proposals should document a three-year statement of work and budget based on services requested. Contract renewal will be based on performance and need. Confidential and proprietary customer information shared with the Energy Coach while providing services is to be kept confidential by the selected Energy Coach. Such information shall not be shared with other parties or used by the Energy Coach for any purpose outside of this contract.

NYSERDA reserves the right to:

- Terminate at any time due to under performance;
- Incorporate necessary program changes by modifying or adding to the services required;
- Tailor the services as needed within the scope of the contract; and
- Add necessary, additional funds and time to the contract at any time.

NYSERDA anticipates award of the contract within eight weeks of the proposal due date, after which NYSERDA and the selected contractor will work together to negotiate the final statement of work, budget, and timeframes. NYSERDA will negotiate the contract for services in fulfillment of the needs of this RFP on the basis of demonstrated competence and qualifications. Contract negotiations may include the selected proposer's fee schedules to ensure work is accomplished at fair and reasonable rates. The contractor shall demonstrate the ability to successfully begin implementation of the training program within 60 days of being awarded the contract.

IV. PROPOSAL REQUIREMENTS

Proposers must submit their proposal through either the electronic submission process described on the front of this RFP and in Attachment F or submit two (2) paper copies of their proposal with a completed and signed Proposal Checklist, along with one (1) electronic copy (CD or DVD) of the proposal in readily accessible formats (Word, Excel, PDF), to the address on the front of this Request for Proposals.

Proposals should not be excessively long or submitted in an elaborate format that includes expensive binders or graphics. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. Suggested page limits for each section are provided below in parentheses. Proposals that grossly exceed the page limits or fail to follow the format guidelines may be rejected as nonresponsive. Proposals should concisely present the information needed to fully address the evaluation criteria (see Section V). Each page of the proposal should state the name of the proposer, the RFP number, and the page number. If you believe proprietary information must be submitted to present an adequate proposal, please contact the Designated Contact listed at the beginning of this RFP, indicate as such on the Proposal Checklist, and comply with the Section VI instructions for submitting proprietary material.

The electronic version of the proposal should contain the following files:

1. The entire proposal in electronic format, preferably in a single Word or PDF file, although multiple files are acceptable if necessary;
2. Attachment C as a stand-alone Excel file;
3. The proposed statement of work as a stand-alone Word file; and
4. The proposed budget as a stand-alone Excel file.

The proposal must be in the following format and should present the items in the sequence indicated below.

1. Proposal Checklist

A completed Proposal Checklist (Attachment A), signed by an individual who is authorized to commit the organization, must be attached as the front cover of your proposal. Late proposals and proposals lacking the completed and signed Proposal Checklist will be returned. Faxed or e-mailed copies will not be accepted. Note the following:

- NYSERDA will enter into a contract with successful proposer(s) using the attached Sample Agreement (Attachment G). Indicate whether you accept the standard terms and conditions as contained in the attached Sample Agreement. If you do not accept the standard terms and conditions, provide alternate terms with justification based on the risk and benefit to New York State. NYSERDA reserves the right to consider only exceptions to terms that are specifically included with the proposal. Any negotiation of terms will be at NYSERDA's sole discretion. Note: Attachment G does not need to be completed; it is provided only for review per the discussion above.
- Do not leave any blanks. If a specific question is not applicable, indicate N/A.
- Be sure the individual signing the Proposal Checklist is authorized to commit the proposer's organization to the proposal as submitted.

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

In compliance with §139-j and §139-k of the State Finance Law (see Section VI, General Conditions below for additional information), additional forms must be completed and filed with proposals: (1) a signed copy of the Proposal Checklist including required certifications under the State Finance Law and (2) a completed Disclosure of Prior Findings of Non-Responsibility form (Attachment B). Failure to include a signed copy of the Proposal Checklist referenced in this solicitation may disqualify your proposal.

3. Contract Pricing Proposal Form

A Contract Pricing Proposal Form (CPPF), with associated instructions, is provided as Attachment C. Each proposal must include a completed CPPF. The net cost to NYSERDA is one of the evaluation criteria and will be closely considered. If other entities such as subcontractors or other teaming entities will receive NYSERDA funding, they must also complete a CPPF form.

4. Proposal Narrative

The Proposal Narrative includes the core details of the proposal. The Proposal Narrative should include the following sections:

Section A: Executive Summary (2-page limit)

Proposers must summarize and exhibit a thorough understanding of this RFP and the general approach to fulfilling and supporting the services requested. Proposers must summarize why NYSERDA should select the

proposer's firm by including a list or summary of specific services they can provide, as well as any acknowledgements or accolades recently received.

In addition, proposers must identify all collaborating entities participating in the proposal, including a summary of any co-proposers and the services they provide. Proposers should provide a brief summary of key information about their organization, and all other organizations that may be part of the proposer's team. Proposers may subcontract with appropriate individuals or firms and all parties must be identified in Letters of Commitment in the proposal. Proposals that include teaming arrangements must designate one party as the prime contractor who will be responsible for the administration of the contract.

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

Section B: Statement of Work (15-page limit)

The Statement of Work (SOW) is the primary contractual document that outlines work activities and specifies deliverables. It delineates each step required to accomplish the project objectives. Therefore, each action needs to be identified, indicating who will perform it, how it will be performed and its intended result. At the end of each task description, specific task deliverable(s) must be listed.

The SOW should highlight how the proposer will deliver services using their own creative approach. Proposers will be selected based on their proposed ideas for both the cohort training and market dissemination of this pilot. If a proposal is selected, NYSERDA may choose to move forward with some tasks but not others, based on in-house capabilities, timing, and available budget. Because of this, proposals should be constructed as a menu of tasks, with clearly assigned budget estimates for each task.

The Statement of Work must:

- Be a stand-alone document identifying assumptions and detailed descriptions of tasks. In the electronic version, please include the SOW as a stand-alone file in Word format.
- Be clear and specific: concentrate on "how" and not "why." Use "active voice" sentence structure to make clear who is responsible for specific actions. Use the following phrase to start the description of every task and subtask: "The Contractor shall..."
 - Include information regarding responsible staff for each task, including any subcontractors.
 - Include a timeline and connect to the requested work plan.
 - Include a detailed budget that shows hours and dollars allocated to each task of the scope of work. Budget Worksheet Template (Attachment E) or equivalent must be completed.
 - Include the tasks below; additional tasks to enhance the training experience and/or market dissemination efforts may be added.
 - Follow the format outlined in Attachment D – Statement of Work Template

Tasks that should be included in the SOW are:

1. Cohort Training
 - a. This includes all activities related to pre-training activities such as developing the schedule, planning the curriculum, and coordinating logistics for both cohorts; and
 - b. Providing the training to the cohort participants. Make sure to include the format (e.g. web-based, in-person, etc.), required participants for each session (e.g. Energy Champion, Energy Team, Executive Sponsor, etc.), training objective, activities, required documentation from participants, and deliverables.
2. Technical Coaching and Support
 - a. This includes assistance during the cohort for site visits to participant facilities, coaching and support to help participants complete deliverables following training sessions, and project implementation support; and
 - b. Post-cohort participant support including activities such as model maintenance support, project implementation support, metric tracking support, and progress calls with NYSERDA and the participant for up to one year following the cohort.
3. Market Dissemination
 - a. This includes development of lessons learned and best practices to be included in market materials;

- b. Development of case studies on participants in the NYSERDA cohorts;
 - c. Preparation of educational SEM resources including SEM webinars and online training modules, a SEM workbook of readings and activities, online templates and/or tools for SEM activities and performance tracking, etc.; and
 - d. Other options to increase knowledge, awareness, and adoption of SEM in the market
4. Project Management
- a. This includes regular calls with the NYSERDA project manager and
 - b. Monthly reporting on SOW task progress and completion

Section C: Proposer's Qualifications and Past Experience (4-page limit + Appendices)

A description of the proposer's experience, skills, and abilities relative to the tasks in Section III: Program Requirements above should be provided here. In addition, each proposer should include a description of past or current SEM Energy Coach services provided to the industrial market. These services should have been provided within the past five (5) years and should demonstrate the firm's experience in servicing the targeted customer base. The descriptions should specify the level of involvement of the proposing firm and the results of the SEM intervention. Include customer contact names and phone numbers for these projects, and a list of the key personnel and their respective involvement on the project. In addition to highlighting technical qualifications, the proposer should also demonstrate experience developing market dissemination materials and activities to promote market uptake and transformation.

Appendices to this section may include: examples of SEM program outlines, materials, management plans, and data tracking or reporting conducted for similar programs; and case studies, tool development, and other educational materials for market dissemination.

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

Identify the main point of contact for NYSERDA and key participants in the project. Describe their individual expertise and explain how each will contribute to a successful SEM pilot. Describe the team's management and technical expertise and relevant experience with SEM, industrial energy efficiency, training, technical support, program management, data collection and analysis, and market dissemination. List the tasks to be performed by key participants. Please include an organization chart showing the relationship among all personnel and subcontractors.

Resumes of key personnel highlighting relevant experience should be included as appendices. **Individual resumes shall not exceed two (2) pages.** All individuals involved in the proposal must be free of financial interest in any product or service which may be, or appear to be, in conflict with NYSERDA's services to its customers. If any affiliations exist, please describe them and verify that they do not conflict with the objectivity provided to NYSERDA and its customers.

Section E: Budget

In addition to the CPPF, please provide a budget table as a stand-alone file in Excel format, using the Budget Worksheet Template (Attachment E), that includes the anticipated number of hours each role will spend on each task and an hourly rate of pay.

Award recipients will receive funds on a reimbursement basis based on costs incurred, as evidenced by submitted invoices, in accordance with a mutually agreed-upon Statement of Work. No reimbursement will be provided for costs incurred prior to the contract execution date.

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

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

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

Section F: Schedule/Work Plan

Prepare a schedule for conducting the work proposed in the SOW in a Gantt chart or similar format in terms of weeks and months. Proposers should allow time for correspondence with and approval of tasks by NYSERDA. Note that hours allocated in the work schedule must be consistent with those in the budget and Statement of Work.

5. Letters of Commitment

If proposers are relying on any other organization to do some of the work or provide services or resources, they should include a letter from that organization describing its planned participation. Absence of letters of commitment may be interpreted as meaning that the proposer does not have support from the subject parties.

6. Appendices

Include any resumes, company qualifications, or ancillary information which is deemed necessary to support your proposal.

V. PROPOSAL EVALUATION

Proposals that meet solicitation requirements will be reviewed by a Scoring Committee using the Evaluation Criteria below. At NYSERDA's discretion, proposers may be requested to interview with all or part of the Scoring Committee to address any potential questions or clarifications outlined in the proposals. Proposers will be notified if they are requested to participate in an interview.

Services Requested

- Demonstrates an understanding of SEM and the NY industrial sector
- Demonstrates an understanding of the range of services requested, desired program results, ability to successfully deliver
- Provides creative or innovative training, coaching and/or market dissemination ideas
- Demonstrates understanding of NYSERDA's data tracking needs and communication requirements

Proposer Qualifications

- Demonstrates organizational experience in developing and conducting SEM trainings and engaging the industrial sector
- Demonstrates team members have relevant experience in SEM, industrial energy efficiency, training, technical support, program management, data collection and analysis, and/or market dissemination, and are organized in a manner that will contribute to a successful pilot
- Provides one or two dedicated resource(s) with a range of experience qualifying him/her/them to lead the initiative

Schedule/Work Plan

- Demonstrates the ability to address and deliver NYSERDA program needs on an appropriate and realistic timeline

Proposal Value

- Allocates an appropriate proportion of project cost dedicated to program completion (versus travel, equipment, and administration)
- Provides experienced staff performing appropriate tasks at industry comparable rates
- Includes innovative processes, structure, or methods to reduce program implementation and operation costs
- Demonstrates the level of service provided is in line with the proposal cost

VI. GENERAL CONSIDERATIONS

Proprietary Information - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to exempt it from disclosure, including a written statement of the reasons why the information should be exempted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <http://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

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

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

Empire State Development
Division For Small Business
625 Broadway
Albany, NY 12207

A directory of certified minority- and women-owned business enterprises is available from:

Empire State Development
Minority and Women's Business Development Division
625 Broadway
Albany, NY 12207

State Finance Law sections 139-j and 139-k - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <http://www.ogs.ny.gov/aboutogs/regulations/advisoryCouncil/StatutoryReferences.html>. The attached Proposal Checklist calls for a signature certifying that the proposer will comply with State Finance Law sections 139-j and 139-k and the Disclosure of Prior Findings of Non-responsibility form includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years.

Tax Law Section 5-a - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department. The Department has created a second form that must be completed by a prospective contractor prior to contacting and filed with NYSERDA. See, ST-220-CA (available at http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf> .

Contract Award - NYSEDA anticipates making one award under this solicitation. It may award a contract based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most favorable cost and technical terms. NYSEDA may request additional data or material to support applications. NYSEDA will use the Sample Agreement to contract successful proposals. NYSEDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSEDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the submitted proposal (see Proposal Checklist). Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSEDA expects to notify proposers in approximately 8 weeks from the proposal due date whether your proposal has been selected to receive an award. NYSEDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSEDA agreement.

Limitation - This solicitation does not commit NYSEDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSEDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSEDA's best interest. NYSEDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement. NYSEDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information and the presence of a material possibility of any reputational or legal risk in making of the award.

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

VII. Attachments

- Attachment A: Proposal Checklist (Mandatory)
- Attachment B: Disclosure of Prior Findings of Non-Responsibility (Mandatory)
- Attachment C: Contract Pricing Proposal Form (Mandatory)
- Attachment D: Statement of Work Template
- Attachment E: Budget Worksheet Template
- Attachment F: Instructions for Electronic Proposal Submission
- Attachment G: Sample Agreement



Financial Advisor Services
Request for Proposal RFP 3355

Proposals Due: September 12, 2016 by 5:00 PM Eastern Time*

New York State Energy Research and Development Authority (“NYSERDA”) seeks proposals from firms interested in providing financial advisor services in connection with its implementation of financing structures across relevant NYSEERDA initiatives, including but not limited to NY Green Bank and the Green Jobs – Green New York program. The services will include performing the role of Independent Registered Municipal Advisor (“IRMA”) for NY Green Bank, a division of NYSEERDA, in accordance with SEC Dodd-Frank-related regulations.

Proposal Submission: Electronic submission is preferable. NYSEERDA will also accept proposals by mail or hand-delivery. If submitting electronically, proposers must submit the proposal in either PDF or MS Word format with a completed and signed Proposal Checklist and Disclosure of Prior Findings of Non-Responsibility, in PDF format. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility, rather than scanning. For ease of identification, all electronic files must be named using the proposer’s entity name in the title of the document. Proposals may be submitted electronically by following the link for electronic submissions found on this RFP’s webpage, which is located in the “Current Opportunities” section of NYSEERDA’s website (<http://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>). Instructions for submitting electronically are located as Attachment E to this RFP.

If mailing or hand-delivering, proposers must submit (2) paper copies of their proposal with a completed and signed Proposal Checklist, along with a CD or DVD containing either a PDF or MS Word digital copy of the proposal, following the above guidelines. Mailed or hand-delivered proposals must be clearly labeled and submitted to:

Jillina Baxter, RFP 3355
NYS Energy Research and Development Authority
17 Columbia Circle
Albany, NY 12203-6399

If you have technical questions concerning this solicitation, contact Jeff Pitkin at (518) 862-1090, ext. 3223 or Jeff.Pitkin@nyserda.ny.gov. If you have contractual questions concerning this solicitation, contact Elsyda Sheldon at (518) 862-1090, ext. 3232 or Elsyda.Sheldon@nyserda.ny.gov.

No communication intended to influence this procurement is permitted except by contacting Jeff Pitkin (Designated Contact) at (518) 862-1090, ext. 323 or Jeff.Pitkin@nyserda.ny.gov. Contacting anyone other than this Designated Contact (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer’s behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offeror, and (2) may result in the proposer not being awarded a contract.

* Late proposals will be returned. Incomplete proposals may be disqualified. It is the proposer’s responsibility to ensure that all pages have been included in the proposal. Faxed or e-mailed proposals will not be accepted. Proposals will not be accepted at any other NYSEERDA location other than the address above. If changes are made to this solicitation, notification will be posted on NYSEERDA’s web site at www.nyserda.ny.gov.

I. Introduction

NYSERDA is a public benefit corporation of the State of New York created in 1975 under Article 8, Title 9 and Title 9-A of the State Public Authorities Law. The statutory purposes and powers of NYSERDA include the development and implementation of new energy technologies consistent with economic, social, and environmental objectives and development and encouragement of energy conservation technologies.

NY Green Bank, a division of NYSERDA, was initiated in 2013 as a \$1 billion state-sponsored, specialized financial entity working in partnership with the private sector to increase investments into New York's clean energy markets, creating a more efficient, reliable and sustainable energy system. NY Green Bank increases the availability of capital for projects deploying proven clean energy technologies across New York State through: leveraging private sector capital to support and expand clean energy financing markets; animating and growing capital markets reducing the need for government support; and motivating faster and more extensive deployment of clean energy assets. NY Green Bank partners with private sector clients to address and alleviate specific gaps and barriers in current clean energy capital markets through a variety of approaches and transaction structures. Further information in connection with NY Green Bank activities, business plan, investment portfolio and pipeline are available at www.greenbankny.gov.

NYSERDA's Green Jobs – Green New York (“GJGNY”) Program was authorized by Title 9-A of Article 8 of the Public Authorities Law of the State of New York (“GJGNY Act”), as amended, to establish a program to provide funding to support sustainable community development, create opportunities for green jobs, provide free and reduced cost energy audits, and establish a revolving loan fund to provide loans for energy efficiency retrofits and installation of renewable energy systems for the owners or occupants of residential, multifamily, small business, and not-for-profit structures. Proceeds from the initial funding provided under the GJGNY Act for a revolving loan fund (allocated from Regional Greenhouse Gas Initiative (RGGI) allowance auction proceeds) and additional RGGI funds subsequently authorized by NYSERDA have been used to finance program loans since 2010, including \$140.6 million in residential energy efficiency and solar loans, \$1.3 million in loans for small business and not-for-profit facilities, and \$3.8 million in loans for multifamily buildings issues through March 31, 2016. Certain residential energy efficiency loans meeting traditional unsecured loan underwriting standards have been re-financed through bonds issued with financing support through the NYS Environmental Facilities Corporation (EFC) Clean Water State Revolving Fund (SRF) in an aggregate amount of \$70.55 million through March 31, 2016. Additional residential solar loans have been re-financed through a \$50 million drawdown bond credit facility structure with M&T Bank. Additional information on the GJGNY Program is available in the following reports:

<http://www.nyserderda.ny.gov/-/media/Files/EDPPP/GJGNY/Annual-Report-GJGNY/2015-GJGNY-Annual-Report.pdf>
<http://www.nyserderda.ny.gov/-/media/Files/EDPPP/GJGNY/Advisory-Council-Updates/GJGNY-Monthly-Update-2016Mar.pdf>

NYSERDA is authorized to finance qualified capital expenditures on behalf of New York investor-owned utilities. Pursuant to its enabling legislation, NYSERDA has about \$3.4 billion of tax-exempt conduit revenue bonds outstanding that were issued for the benefit of certain investor-owned utilities for qualifying facilities. Each utility selects its bond underwriters for any financings or refundings, subject to NYSERDA Board approval, and may retain its own financial advisors. The proposed financial advisor services contemplated under this RFP do not include services related to any new issues or refundings of these bonds.

II. Program Requirements

Scope of Services

1. Act as Independent Registered Municipal Advisor (“IRMA”) for NY Green Bank. NY Green Bank engages in an ongoing dialogue with potential transaction parties, and is aware of the amendments to Section 15B of the Securities Exchange Act of 1934 effectuated by Section 975 of the Dodd-Frank Act, as well as the SEC Release No. 34-70462 (September 20, 2013). In this regard, NY Green Bank considers discussions with potential transaction parties to be arms-length negotiations. NY Green Bank recognizes that third parties have financial and other interests that differ from NY Green Bank's, and as such does not consider that a fiduciary relationship arises in these communications. NY Green Bank engages an IRMA with the intent of relying (i.e., taking into careful consideration, along with any

other information deemed relevant or appropriate, but not necessarily following) on that IRMA for advice related to any potential transactions, and consequently to allow third parties to qualify for the exemption provided by 17 CFR §240.15Ba1-1(d)(3)(vi) (the "IRMA exemption"). Additionally, the IRMA will respond to whatever requests a potential counterparty may have to determine if they are "independent."

2. Providing NY Green Bank with transaction and product structuring and negotiating input and advice, as well as relevant pricing and other market data/benchmarking information as needed.
3. Providing advice to NY Green Bank in connection with activities and strategy of the fund from a financial perspective, including on potential corporate initiatives related to liquidity and debt financing, fund structures, portfolio management issues, etc., as may arise from time to time.
4. Advising on program design or financing structures in support of GJGNY, including but not limited to loans for energy efficiency improvements and the installation of photovoltaics ("PV") and other net-metered eligible technologies in residential, small business, not-for-profit, and multifamily buildings.
5. Reviewing and providing advice on preliminary official statements, official statements, remarketing circulars, and other documents necessary for the authorization, issuance, sale, or delivery of bonds or notes.
6. Assisting with preparation of financing schedules, models, or analyses associated with financing structures, or associated with the issuance of bonds or notes (not to include utility tax-exempt conduit revenue bonds).
7. Assisting with obtaining indicative market interest rates and fees for certain structures.
8. Advising on federal and state tax and securities law matters and changes thereto, the investment and expenditure of bond proceeds, and the collection, investment, and application of monies used to pay debt service on bonds.
9. Drafting, analyzing, advising, or commenting on federal and state legislation, regulations and rules, NYSERDA guidelines, and other matters which may have an impact on the financing activities.
10. Participating in meetings with financial counterparties, bond counsel firms, rating agencies, underwriters, NYSERDA's Board and Audit and Finance Committee, advisory committees, and other parties, as requested.
11. Providing any other services, advice, or opinions relating to financing structures, programs, and other financial matters, as requested.

Contract Term

NYSERDA anticipates a contract term of five years. The Agreement may be extended at NYSERDA's discretion to complete an ongoing transaction.

III. Proposal Requirements

Proposals must be submitted in two parts. Part I must consist of responses to the management and qualifications items (Section III (A) below). Part II must consist of complete contract cost and pricing information (Section III (B) below). Each part must be complete, so that it can be evaluated independently.

A. Management and Qualifications.

1. Briefly discuss your firm's experience with the municipal market. Provide a brief description of services you expect to provide to NYSERDA. Indicate whether your firm is prepared to render the services enumerated in this RFP using its own resources. The

- description should emphasize particular services to be provided in order for NYSERDA to deliver any bond issuances at the lowest cost possible, and to provide financial input and advice to financial structuring all components of the New York State Clean Energy Fund. Discuss the approach your firm would take in analyzing the services provided by intermediaries to ensure that NYSERDA is receiving the best value from these service providers. Discuss the approach your firm would take in proposing financing ideas to facilitate financing programs. Give examples of your firm's experience, if any, in assisting public issuers in issuing bonds, and the factors to be considered in selecting the best financing vehicle. Discuss the approach your firm would take in: acting as a source of municipal bond market and product information for research and advice as it relates to this RFP; advising NYSERDA on the targeted investor base; determining under what circumstances NYSERDA would be best served by competitive or negotiated sales, as appropriate; assisting NYSERDA by providing advice on structuring, financial modeling capabilities, bidding logistics, verification, credit enhancement solicitations, rating agency presentations and investor meetings; ensuring competitive pricing and to the extent possible receipt of maximum value from other third-party participants; consulting with NYSERDA on market conditions, timing, and terms; and otherwise ensuring the selection of the best financing vehicle for its intended audience. Include information on your firm's ability to provide successful and timely financial advisory services to NYSERDA. Include the types of businesses (i.e., investment banking, investment services) your firm is involved in, indicate the number of clients your firm serves, the dollar amounts associated with these services, and the percentage of staff dedicated to the various types of businesses. Discuss your approach to ensuring that financing schedules are met.
2. Describe your firm's experience in advising investment/private equity funds, business development companies and/or non-trading specialty finance companies broadly similar to NY Green Bank in size and scope - where the focus is on portfolios of highly structured, bilateral arrangements (not portfolios of commoditized, traded instruments).
 3. Describe your firm's experience and expertise with general representation of public entities, including particularly New York State public benefit corporations or public authorities.
 4. List your firm's major financial advisor engagements during the last three years and provide a brief description of each scope of work.
 5. Discuss your firm's experience, if any, with securities regulators.
 6. Describe any technical knowledge or any subjects related to financial advisor services in which you feel your firm has special expertise. Provide a project organization and management description that describes the unique capabilities of your firm and the individuals assigned as financial advisors.
 7. Provide the names of personnel in the firm that will be assigned to NYSERDA's account and their experience in performing services similar to the services requested by this RFP. Include resumes for all employees proposed to be involved on NYSERDA's account. Include a description of each employee's function in the company, title, office address, and number of years of service with the firm and other relevant past experience. Describe the availability of the lead person(s) for consultation with NYSERDA, including but not limited to his or her ability to meet with NYSERDA staff in Albany, New York. (Resumes may be included as an appendix.)
 8. Discuss fully any conflicts of interest, actual or perceived, which might arise in connection with your firm's involvement with NYSERDA. If conflicts do or might exist, describe how your firm would resolve them. Please be aware that the firm selected will be expected to represent NYSERDA in all transactions falling under this RFP; representation of any other party to these transaction involving NYSERDA would be prohibited without the express written approval of NYSERDA, which would be unlikely.
 9. Identify any litigation or administrative proceedings to which you are a party and which would either materially impair your ability to perform the services enumerated

herein and for which this RFP was issued or, if decided in an adverse manner, materially adversely affect the financial condition of your firm.

10. Identify the employees discussed in Section III (A)(2) that have been the subject of investigation or disciplinary action by the New York State Ethics Commission, the Commission on Public Integrity, or the Temporary State Commission on Lobbying. Describe briefly how any matter was resolved or whether it remains unresolved.

11. Furnish information on the number and percentages of minorities and women among the employees of the firm; a copy of the firm's affirmative action or equal opportunity plan or other commitment to affirmative action and equal employment opportunity or its status as a minority or women-owned business; and an explanation of how your firm, if selected, would help NYSERDA further its policy of promoting participation of minorities and women in the provision of services to it, including services in support of its financing program.

12. Indicate the address of the office through which NYSERDA's account will be primarily serviced, and any anticipated travel or other such costs.

13. Provide names and contact information for at least 3 references to whom you have provided services similar to those requested in this RFP.

14. Provide any other information you believe would make your firm's representation of NYSERDA superior to other firms' representation.

B. Cost.

State the rates at which the services of assigned personnel would be provided to NYSERDA for each year under the term of the agreement (including any rate escalations). Include:

- a) For each person whose resume is provided in response to III (A) above, the hourly rate you propose to charge NYSERDA.
- b) Projected services to be provided by each advisor whose resume is provided in response to III (A) above, to the extent possible.
- c) For each applicable category of support staff or other assigned staff, the hourly rate you propose to charge NYSERDA, if billed separately.
- d) A statement of the basis on which any other firm expenses related to services provided to NYSERDA would be billed, if other than cost.

A completed and signed Proposal Checklist must be attached as the front cover of your proposal. Late proposals will be returned and proposals lacking the appropriate completed and signed Proposal Checklist may be returned. Faxed or e-mailed copies will not be accepted.

In compliance with §139-j and §139-k of the State Finance Law (see Section V, General Conditions below for additional information), additional forms must be completed and filed with proposals: (1) a signed copy of the Proposal Checklist including required certifications under the State Finance Law and (2) a completed Disclosure of Prior Findings of Non-Responsibility form. Failure to include a signed copy of the Proposal Checklist referenced in this solicitation may disqualify your proposal.

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

IV. Proposal Evaluation

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

1. Quality and depth of the firm's expertise and its prior capability in providing similar services on projects and programs of magnitude or complexity comparable to the financing programs contemplated in this RFP, and whether the firm's expertise has the highest probability of satisfactorily performing the scope of services. For those firms who have worked in any capacity with NYSERDA, the quality of work on those transactions will be considered.
2. Experience of assigned personnel.
3. Anticipated cost of services. Although proposed fees will be taken into account in the selection process, NYSERDA reserves the right to negotiate with any firm selected lower fees or different fee structures than proposed.
4. Commitment and availability of resources.
5. Information provided by client references.
6. Overall organization and quality of proposal, including cohesiveness, conciseness, and clarity of response.

V. GENERAL CONDITIONS

Proprietary Information - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <http://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

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

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

Empire State Development
Division For Small Business
625 Broadway
Albany, NY 12207

A directory of certified minority- and women-owned business enterprises is available from:

Empire State Development
Minority and Women's Business Development Division
625 Broadway
Albany, NY 12207

State Finance Law sections 139-j and 139-k - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <http://www.ogs.ny.gov/aboutogs/regulations/advisoryCouncil/StatutoryReferences.html>
The attached Proposal Checklist calls for a signature certifying that the proposer will comply with State Finance Law sections 139-j and 139-k and the Disclosure of Prior Findings of Non-responsibility form includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years.

Tax Law Section 5-a - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf).
Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department. The Department has created a second form that must be completed by a prospective contractor prior to contacting and filed with NYSERDA. See, ST-220-CA (available at http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

Contract Award - NYSERDA anticipates making one award under this solicitation. It may award a contract based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the submitted proposal (see Proposal Checklist). Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately two weeks from the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

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

Disclosure Requirement - The proposer shall disclose any indictment for any alleged felony, or any conviction for a felony within the past five years, under the laws of the United States or any state or territory of the United States, and shall describe circumstances for each. When a proposer is an association, partnership, corporation, or other organization, this disclosure requirement includes the organization and its officers, partners, and directors or members of any similarly governing body. If an indictment or conviction should come to the attention of NYSERDA after the award of a contract, NYSERDA may exercise its stop-work right pending

further investigation, or terminate the agreement; the contractor may be subject to penalties for violation of any law which may apply in the particular circumstances. Proposers must also disclose if they have ever been debarred or suspended by any agency of the U.S. Government or the New York State Department of Labor.

VI. Attachments:

Attachment A - Proposal Checklist

Attachment B - Disclosure of Prior Findings of Non- Responsibility

Attachment C – Project Personnel and Rate Sheet

Attachment D – MWBE – Article 15A – Provisions for Solicitation Documents

Attachment E – SVDOB – Article 17-B – Contract Provisions

Attachment F – Instructions for Electronic Proposal Submission

Attachment G - Sample Agreement

Private Cloud Hosting
Request for Proposal (RFP 3365)

Proposals Due: **11/8/2016** by 5:00 PM Eastern Time*

The New York State Energy Research and Development Authority (NYSERDA) is soliciting proposals from qualified contractors to provide private cloud hosting services. From among the Proposals received, NYSERDA intends to select a qualified vendor to provide hosting services related to NYSERDA's Information Systems infrastructure (hardware and software systems). The term of the agreement will be 3 years with an option to renew for up to 2 additional years at NYSERDA's discretion. NYSERDA reserves the right to add or reduce time and/or funding to awarded contracts.

Proposal Submission: Electronic submission is preferred, but NYSERDA will also accept proposals by mail or hand-delivery. If submitting electronically, proposals must be submitted in either PDF or MS Word format with a completed and signed Proposal Checklist and Disclosure of Prior Findings of Non-Responsibility (PDF format only). Proposal PDFs should be searchable and should be created by direct conversion from MS Word or other conversion utility, rather than scanning. For ease of identification, all electronic files must be named using the Proposer's entity name. Proposals may be submitted electronically by following the link for electronic submissions found on this RFP's webpage, located in the "Current Opportunities" section of NYSERDA's website (<http://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>). Instructions for submitting electronically are available on the website and as Attachment F to this RFP.

If mailing or hand-delivering, Proposers must submit (2) paper copies of their proposal with a completed and signed Proposal Checklist, along with a CD or DVD containing a PDF or MS Word digital copy of the proposal, following the above guidelines. Mailed or hand-delivered proposals must be clearly labeled and submitted to:

Jill Baxter, RFP 3365
NYS Energy Research and Development Authority
17 Columbia Circle
Albany, NY 12203-6399

All proposals must be received by NYSERDA by 5 pm on (11/8/2016).

Technical questions concerning this RFP may be submitted to glen.kaatz@nyserda.ny.gov with the subject line "RFP 3365 Question." For contractual questions concerning this RFP, contact Elsyda Sheldon at (518) 862-1090, ext. 3232 or Elsyda.sheldon@nyserda.ny.gov.

No communication intended to influence this procurement is permitted except by contacting Glen Kaatz (Designated Contact) at (518) 862-1090, ext. 3203 or glen.kaatz@nyserda.ny.gov. Contacting anyone other than this Designated Contact (either directly by a Proposer or indirectly through a lobbyist or other person acting on a Proposer's behalf) in an attempt to influence the procurement: (1) may result in the Proposer being deemed a non-responsible offerer, and (2) may result in the Proposer not being awarded a contract.

*Late proposals will be returned. Incomplete proposals may be subject to disqualification. It is the Proposer's responsibility to ensure that all pages have been included in the proposal. Faxed or e-mailed proposals will not be accepted. Proposals will not be accepted at any other NYSERDA location other than the address above. If changes are made to this solicitation, notification will be posted on NYSERDA's web site at www.nyserda.ny.gov.

1. BACKGROUND

1.1 Corporate Background

NYSERDA is a public benefit organization committed to identifying opportunities for reducing commercial and residential energy consumption, promoting the use of renewable energy sources, and protecting the environment. NYSERDA provides financial and technical assistance to help consumers, businesses and institutions assess and implement cost-saving energy efficiency measures.

Energy efficiency programs offered at NYSERDA also strive to provide affordable energy and a cleaner environment for all New Yorkers. This is accomplished by increasing public awareness of the multiple benefits of energy efficiency, by providing residential building performance services, and by making energy-efficient products more widely available to consumers.

1.2 Systems Background

There are several types of front line systems currently supporting NYSERDA's project management, workflow and program reporting functions in production, development and quality assurance (QA) environments:

- The NYSERDA web site and custom web applications (usually Microsoft .NET) built and maintained by internal staff;
- NYSERDA's financial accounting and contract administration system (NEIS) is on a PeopleSoft/Oracle platform on top of a Microsoft SQL database;
- The data warehouse consisting of a clustered Microsoft SQL Server 2012 Enterprise, Microsoft SharePoint 2013, Informatica, Tableau and ESRI ArcGIS servers; and
- Microsoft Active Directory domain controllers, Kemp virtual load balancers and virtual firewall appliances.

These systems contain information about project details, contacts, location, energy production and savings, project and payment statuses, and incentive amounts and payments.

NYSERDA recently installed Salesforce to consolidate disparate CRM data for the organization and is currently undergoing a project to leverage Salesforce for program management efforts in an effort to reduce the number of external disparate systems. Salesforce is external to the private cloud but will be a source or target for integration with the private cloud systems.

1.3 Disaster Recovery Strategy

NYSERDA's strategy with regard to disaster recovery (D/R) revolves around hosting critical systems at a private cloud facility with minimally tier 3 data centers (tier 4 preferred) that have the ability to do New York State qualified data replication.

2. PROJECT SCOPE AND REQUIREMENTS

2.1 Objectives

The goal of this project is to select a vendor at whose facilities NYSERDA can quickly and easily stand up all their existing systems to support NYSERDA initiatives across the entire spectrum of its technology stack.

NYSERDA expects this project to achieve the following objectives:

- Provide a cost effective hosting facility to support its technology infrastructure needs.

- Provide D/R meeting required recovery point objective (RPO) and recovery time objective (RTO) requirements.
- Provide a scalable environment to handle expected growth.
- Provide a flexible configuration to meet new and changing business requirements and programs.
- Provide 24-hour network operations center (NOC) support and monitoring for selected systems.
- Reduce the load on internal information technology (IT) staff by providing basic support and maintenance services for the hosted systems.

2.2 Scope of Work

The contract with NYSERDA is to provide hosting services, including, but not limited to, the following items:

1. Primary data center hosting of Windows Server 2008 R2, Windows Server 2012 R2 and Linux-based guests. All hosting (VM hosts and storage) must be at data centers in the continental United States. VMware platform is preferred but not required.
2. Provisions for migration from existing vendor/hardware to new vendor/hardware.
3. Alternate D/R datacenter hosting for the designated systems. All hosting (VM hosts and storage) must be at data centers in the continental United States. Support for an annual D/R test. VMware platform is preferred but not required.
4. Infrastructure and administrative support for current and future Linux and Windows server operating systems.
5. Ability to provide Microsoft licensing on a monthly basis or allow the use of NYS Enterprise Agreement licensing.
6. Networking – 10G to storage and between servers. Support for 4 public IP addresses. Support for multiple VLANs.
7. Security – Support for at least 2 different firewalls. NYSERDA takes a layered approach to security utilizing products from multiple vendors between the web, application and data tiers. Support for intrusion detection and prevention. Ability to block denial of service (DoS) attacks on public servers. The vendor should be able to support a 100Mb VPN over the internet to NYSERDA. The vendor should be able to provide operating system patching and anti-virus maintenance on a regular schedule as well as when needed.
8. Backups of all monitored servers up to twice daily with a retention period of 30 days. Snapshotting of virtual machine servers on request. A Veeam platform is preferred but not required.
9. 24-hour monitoring of servers, storage and network health. Vendor should be able to remediate any issues that arise. A dashboard should be available for NYSERDA staff to monitor services. Vendor must include service level agreements for availability, performance and remediation time. Monitoring should minimally consist of ping, WMI, http, network/disk/CPU utilization and application level performance/availability monitoring.
10. Support for a separate physical storage server to be used as a backup target for NYSERDA's Albany-based datacenter. This is for NYSERDA supplied server and disks.

11. Support for leaving the platform at the end of the contract if the contract isn't renewed. Where applicable, non-disclosure agreements (NDAs) will be signed between the service provider and the new provider.
12. Phone and email based support for account issues such as technical or billing problems. A dedicated account manager should be assigned to be a single point of contact for all issues.
13. Current server workloads presented below. Vendors should plan on a 100% increase in load over the course of the contract. This should be accounted for in the primary and D/R sites as well as in backups. Environment should be sized such that any 1 host or storage array can be taken offline for maintenance without requiring an outage.

Table 1. High-Level Summary of Current Server Workloads

<i>Application</i>	<i>Software</i>	<i>Server OS</i>	<i>D/R</i>	<i>RPO</i>	<i>RTO</i>	<i>CPU</i>	<i>RAM</i>	<i>Storage</i>
Web site	IIS	Microsoft Windows Server 2008 R2 (64-bit)	Yes	4hr	1hr	4	4	284G
E-commerce	IIS, .NET	Microsoft Windows Server 2008 R2 (64-bit)	Yes	4hr	1hr	4	4	165G
E-commerce	IIS, .NET	Microsoft Windows Server 2008 R2 (64-bit)	Yes	4hr	1hr	4	4	165G
Load balancers (4)	Kemp appliance	Other 2.6.x Linux (64-bit)	Yes	8hr	1hr	2	1	18G
Firewalls (3)	Confidential	Red Hat Enterprise Linux 6 (64-bit)	Yes	4hr	1hr	4	4	205G
PeopleSoft Chg		Microsoft Windows Server 2012 (64-bit)	Yes	8hr	1hr	2	16	205G
PeopleSoft Dev App		Microsoft Windows Server 2012 (64-bit)	Yes	8hr	1hr	2	12	515G
PeopleSoft Dev DB	MS SQL 2012 Ent	Microsoft Windows Server 2008 R2 (64-bit)	Yes	8hr	1hr	4	72	8TB
PeopleSoft Dev SES		Microsoft Windows Server 2008 R2 (64-bit)	Yes	8hr	1hr	2	16	415G
PeopleSoft Dev UPK		Microsoft Windows Server 2012 (64-bit)	Yes	8hr	1hr	4	4	105G
PeopleSoft Dev Web		Microsoft Windows Server 2012 (64-bit)	Yes	8hr	1hr	1	6	310G

Application	Software	Server OS	D/R	RPO	RTO	CPU	RAM	Storage
PeopleSoft Prod App (2)	Oracle Tuxedo	Microsoft Windows Server 2012 (64-bit)	Yes	15min	1hr	2	12	550G
PeopleSoft Prod DB	MS SQL 2012 Ent	Microsoft Windows Server 2012 (64-bit)	Yes	15min	1hr	4	72	2.4TB
PeopleSoft Prod SES		Microsoft Windows Server 2008 R2 (64-bit)	Yes	15min	1hr	2	16	456G
PeopleSoft Prod PUM		Other Linux (64-bit)	Yes	15min	1hr	2	6	215G
PeopleSoft Prod UPK		Microsoft Windows Server 2012 (64-bit)	Yes	15min	1hr	4	4	105G
PeopleSoft Prod Web (2)	Weblogic	Microsoft Windows Server 2012 (64-bit)	Yes	15min	1hr	1	6	350G
PeopleSoft XWEB (2)	Weblogic	Microsoft Windows Server 2012 (64-bit)	Yes	4hr	1hr	1	6	350G
PeopleSoft Prod Upg		Microsoft Windows Server 2008 R2 (64-bit)	Yes	4hr	1hr	1	4	685G
PeopleSoft Prod Upg Wk		Microsoft Windows Server 2012 (64-bit)	Yes	4hr	1hr	1	6	305G
Prod Web App		Microsoft Windows Server 2012 (64-bit)	Yes	4hr	1hr	2	8	155G
T1PPR001	Print Server	Microsoft Windows Server 2008 R2 (64-bit)	No	-	-	1	4	65G
Prod Web Domain (ADFS)	Active Directory	Microsoft Windows Server 2008 R2 (64-bit)	Yes	4hr	1hr	2	2	82G
Prod GIS	ArcGIS	Microsoft Windows Server 2012 (64-bit)	Yes	4hr	1hr	2	8	88G
Prod DB Cluster (2 servers)	MS SQL 2012 Ent	Microsoft Windows Server 2008 R2 (64-bit)	Yes	15min	1hr	4	32	4.5TB
Dev DB	MS SQL 2012	Microsoft Windows Server 2008 R2 (64-bit)	Yes	4hr	1hr	4	32	1TB
Domain Controller	Active Directory	Microsoft Windows Server 2008 R2 (64-bit)	Yes	4hr	1hr	2	2	85G

<i>Application</i>	<i>Software</i>	<i>Server OS</i>	<i>D/R</i>	<i>RPO</i>	<i>RTO</i>	<i>CPU</i>	<i>RAM</i>	<i>Storage</i>
Data warehouse	Informatica	Microsoft Windows Server 2008 R2 (64-bit)	Yes	4hr	1hr	2	16	120G
Data warehouse	T3PNA001	Microsoft Windows Server 2008 R2 (64-bit)	Yes	4hr	1hr	1	2	82G
Data warehouse	SharePoint 2013	Microsoft Windows Server 2012 (64-bit)	Yes	4hr	1hr	4	16	220G
Data warehouse	Tableau (Prod)	Microsoft Windows Server 2008 R2 (64-bit)	Yes	4hr	1hr	8	32	155G
Data warehouse	Tableau (Dev)	Microsoft Windows Server 2008 R2 (64-bit)	Yes	4hr	1hr	8	32	155G

Table 2. High-Level Summary of Data Center Working Storage

<i>Description</i>	<i>Detail</i>	<i>Qty</i>
Fast Disk	10K SAS	19TB
Slow Disk	7200 SAS	7.1TB

Table 3. Current Hosts

<i>Description</i>	<i>Detail</i>	<i>Qty</i>	<i>RAM</i>	<i>CPU</i>
Primary Hosts	Dell R720	3	256G	2 x Intel Xeon E5-2690 @ 2.9GHz
D/R Hosts	Dell R720xd	2	128G	2 x Intel Xeon E5-2670 @ 2.6GHz

Table 4. Current Software

<i>Description</i>	<i>Detail</i>	<i>Quantity</i>
Antivirus	All Windows Servers	
Microsoft SQL 2012 Standard	2-core pack w/minimum 4 cores	2
Microsoft SQL 2012 Enterprise	2-core pack w/minimum 4 cores	6
Unlimited Microsoft Windows Server OS		

<i>Description</i>	<i>Detail</i>	<i>Quantity</i>
Microsoft SharePoint 2013	50 standard + 50 enterprise CALs	
Kemp load balancers		3

If a firm is selected, they may be requested to provide additional services to NYSERDA related to the scope that may not be listed above.

2.3 Engagement Requirements

1. Proposers must demonstrate a proven track record of providing private cloud hosting services for government entities.
2. Proposers must be able to providing hosting and support services within the continental United States.
3. Proposers must be able to provide an environment that complies with NYS Cyber Security Policy P03-002.
4. Proposers must be able to meet a 30% minority or woman owned business entity (MWBE) and a 3% service disabled veteran owned business (SDVOB) subcontracting requirement for this contract. Any MWBE or SDVOB firms responding to this RFP that are seeking MWBE or SDVOB status must submit proof that the firm is certified as an MWBE by the Empire State Development Division of Minority and Women's Business Development or certified as an SDVOB by the Office of General Services Division of Service-Disabled Veterans' Business Development.
5. Upon issuance of a contract from NYSERDA, the selected firm will be required to show evidence of General Liability, Disability and Workers Compensation Insurances. In some instances, Professional Liability insurance may also be required.
6. The willingness to work with NYSERDA to minimize costs.
7. Per Article XII of the attached Sample Agreement, an Agreement may be terminated by NYSERDA at any time during the term of the Agreement with or without cause, upon ten (10) days prior written notice to the Contractor.
8. NYSERDA may require periodic external auditing and compliance with Statement on Standards for Attestation Engagements #16, Reporting on Controls at a Service Organization (SSAE16) or similar guidelines.
9. All hardware and software must be under support for the duration of the contract.
10. All services for a given month will be invoiced in accordance with Exhibit D of the attached Sample Agreement, "Prompt Payment Policy Statement".

3. PROPOSAL CONTENT AND FORMAT

A completed and signed Proposal Checklist (Attachment A) must be attached as the front cover of the proposal, and must contain an original signature. Proposals lacking a signed Proposal Checklist will be returned and will not be considered for award.

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

- Section I: Executive Summary
- Section II: Technical Proposal
- Section III: Cost Proposal

Cost information must not be included in the Technical Proposal section.

3.1 Section I: Executive Summary

Provide a brief description of the firm's overall qualifications and approach. Please limit to this section to 2 pages maximum.

3.2 Section II: Technical Proposal

Following is a listing of the information required to be provided by the proposer. A technical proposal that does not provide all the information requested below may be subject to rejection. Provide the information in the same order in which it is requested. Your technical proposal must contain sufficient information to assure NYSERDA of its accuracy. Please limit to this section to 30 pages maximum.

1. Provide a separate numbered section corresponding with each item listed in Section 2.2 Scope of Work documenting the firm's qualifications in the respective area. If you are not seeking consideration for a particular item, include a numbered section and indicate that no response is being provided.
2. Provide a description of the firm's organization and the resumes of partners, principals, associates and other staff proposed to provide services to NYSERDA. Note any sub-consultants that your firm may be using to fulfill the scope of services.
3. Provide a description of the firm's experience providing similar services including recent relevant project experience to the public and private sector. Include the names, titles and phone numbers of at least three (3) references excluding NYSERDA employees for whom similar services have been provided and a summary of the services provided.
4. Provide a description of the firm's approach to providing the scope of services including the monitoring and management of the environment. Indicate any areas in which you believe the firm has special expertise.
5. Provide a description of the firm's approach to migrating from the existing hosting facilities, if applicable.
6. The proposer must agree to provide NYSERDA with pre- and post-audit access to documents, personnel and other information necessary to conduct audits on request during the term of the Contract and for six years thereafter.
7. The proposal submitted must contain a representation that the proposer is willing and ready to provide any services requested or required in a timely manner.
8. Disclose any potential conflicts of interest.
9. Note any special certifications relevant to this RFP that your firm may possess, and outline opportunities that consulting staff have to keep skills current.

3.3 Section III - Cost Proposal

Following is a listing of the information required to be provided by the proposer. A cost proposal that does not provide all the information requested below may be subject to rejection. Provide the information in the same order in which it is requested. Your cost proposal must contain sufficient information to assure NYSERDA of its accuracy.

1. Provide billing rates for ad-hoc/hourly services provided such as Windows server patching, antivirus/malware remediation, network support, etc.
2. List all fixed price services offered and the corresponding pricing.
3. Indicate any reductions from normal billing rates charged other issuers or public entities in New York State.
4. Indicate any startup/one-time costs.
5. Indicate any monthly recurring charges.
6. Indicate incremental charges incurred with the addition of each new server or appliance.
7. Indicate any charges associated with providing external SSAE 16 audits.
8. Indicate any reductions due to missed service level agreements (SLAs). See Attachment G for proposed SLAs.
9. Indicate charges associated with migration to the platform.
10. Indicate charges associated with leaving the platform at the end of the contract.
11. A plan for meeting the MWBE/SDVOB requirement MUST be submitted with the proposal.

4. EVALUATION OF PROPOSALS

4.1 General Selection Process

Proposals that meet solicitation requirements will be reviewed by a Scoring Committee using the Evaluation Criteria below. At NYSERDA's discretion, proposers may be requested to interview with all or part of the Scoring Committee to address any potential questions or clarifications outlined in the proposals. Proposers will be notified if they are requested to attend an interview.

The selection process will begin with the review and evaluation of each of the written proposals. The purpose of this evaluation process is twofold: (1) to examine the responses for compliance with this RFP; (2) to identify the complying firms that have the highest probability of satisfactorily performing the scope of services at a reasonable cost to NYSERDA. All written proposals will be reviewed and evaluated by a Scoring Committee selected by NYSERDA using the evaluation criteria below.

4.2 Interviews

NYSERDA reserves the right to determine whether interviews will be necessary and for which firms. The purpose of the interview is to further document the proposer's ability to provide the required services, and to impart to the Scoring Committee an understanding of how specific services will be furnished. The proposed lead principal, as well as all other key personnel proposed to provide the services must be present and participate in the interview. The interview will be evaluated on the basis of whether it substantiates the characteristics and attributes claimed by the proposer in its written response to this RFP and any other information requested by the Scoring Committee prior to the interview.

4.3 Evaluation Criteria

Criteria	Title	Scoring
1	Demonstrated capacity to achieve the objectives described in Objectives (section 2.1)	25
2	Demonstrated capacity to perform the types of activities that have been described in the Scope of Work (section 2.2)	30
3	Adherence to requirements described in Engagement requirements (section 2.3)	Pass/Fail
4	Quality of work product. For those firms who have worked for NYSERDA previously, quality of work on those transactions will be considered.	20
5	Cost Proposal rates evaluated on reasonableness in comparison to other respondents.	25

5. GENERAL CONDITIONS

Proprietary Information - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <http://nyserda.ny.gov/~/mediaFiles/About/ContactNYSERDARegulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

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

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

Empire State Development
Division For Small Business
625 Broadway
Albany, NY 12207

A directory of certified minority- and women-owned business enterprises is available from:

Empire State Development
Minority and Women's Business Development Division
625 Broadway
Albany, NY 12207

New York Executive Law Article 15-A - NYSERDA is required under the law to promote opportunities for maximum feasible participation of certified minority-and women-owned business enterprises and the employment of minority group members and women in the performance of NYSERDA contracts. The MWBE participation goals and obligations of the selected Contractor are set forth in Attachment C.

State Finance Law sections 139-j and 139-k - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <http://www.ogs.ny.gov/aboutogs/regulations/advisoryCouncil/StatutoryReferences.html>

The attached Proposal Checklist calls for a signature certifying that the proposer will comply with State Finance Law sections 139-j and 139-k and the Disclosure of Prior Findings of Non-responsibility form includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years.

Tax Law Section 5-a - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf).

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

Contract Award - NYSERDA anticipates making more than one award under this solicitation. It may award a contract based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the submitted proposal (see Proposal Checklist). Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately (4) weeks from the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

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

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

6. ATTACHMENTS

Attachment A: Proposal Checklist

Attachment B: Disclosure of Prior Findings of Non- Responsibility

Attachment C: Cost Proposal Worksheet

Attachment D: Sample Agreement

Attachment E: Electronic Proposal Submission Instructions

Attachment F: Article 15-A (MWBE) Provisions for Solicitation Documents

Attachment G: Service Level Agreements



New York Clean Energy Jobs Study
Request for Proposal (RFP) 3370
Approximately \$ 275,000 Available

Proposals Due: October 6, 2016 by 5:00 PM Eastern Time*

The New York State Energy Research and Development Authority (NYSERDA) seeks proposals from organizations or individuals to quantify, characterize, and analyze clean energy industry jobs in the State of New York. The project will principally count and map jobs, as well as integrate innovation metrics and clean energy business information, and identify trends in job vacancies/growth areas for clean energy employment in order to produce a comprehensive report on the Clean Energy Economy (CEE) in New York State. The information resulting from this project will be used to inform policy makers, educational institutions and the broader clean energy marketplace about growth trends and opportunities within the CEE, workforce development and recruitment solutions that address any skills gaps identified, and how best to capitalize on the growth of the CEE job market in NYS. After the initial draft, the study may be updated annually for two additional years; the available funding reflects the expectation of completion of an initial study and two subsequent updates.

Bidders Conference Call Information:

Date: Wednesday September 14, 2016 10-11 a.m.

Conference Title: RFP 3370: New York Clean Energy Jobs Study

Toll-free dial-in number: (866) 394-2346

Conference code: 5846744188

Please RSVP to Allison.Rose@nysERDA.ny.gov by 5pm on Thursday September 8, 2016.

Proposal Submission: Electronic submission is preferable. Proposals may be submitted electronically by following the link for electronic submissions found on this RFP's webpage, which is located in the "Current Opportunities" section of NYSEDA's website (<http://www.nysERDA.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>). Instructions for submitting electronically are located in that section as Attachment E to this RFP. NYSEDA will also accept proposals by mail or hand-delivery. If submitting electronically, proposers must submit the proposal in either PDF or MS Word format with a completed and signed Proposal Checklist and Disclosure of Prior Findings of Non-Responsibility, in PDF format. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Scanning pages into pdf format will not meet these requirements. For ease of identification, all electronic files must include the proposer's entity name in the title of the document as well as the document title.

If mailing or hand-delivering, proposers must submit (2) paper copies of their proposal with a completed and signed Proposal Checklist, along with a CD or DVD containing both a PDF and MS Word digital copy of the proposal, following the above guidelines. Mailed or hand-delivered proposals must be clearly labeled and submitted to:



Venice Forbes, RFP 3370
NYS Energy Research and Development Authority
17 Columbia Circle
Albany, NY 12203-6399

If you have technical questions concerning this solicitation, contact Allison Rose at (518) 862-1090, ext 3551 or allison.rose@nyserda.ny.gov. If you have contractual questions concerning this solicitation, contact Elsyda Sheldon at (518) 862-1090, ext. 3232 or elsyda.sheldon@nyserda.ny.gov

Late proposals will be returned. Incomplete proposals may be subject to disqualification. It is the bidder's responsibility to ensure that all pages have been included in the proposal. Faxed or e-mailed proposals will not be accepted. Proposals will not be accepted at any other NYSERDA location other than the address above. If changes are made to this solicitation, notification will be posted on NYSERDA's web site at www.nyserda.ny.gov.

No communication intended to influence this procurement is permitted except by contacting Allison Rose (Designated Contact) at (518) 862-1090, ext. 3551 or allison.rose@nyserda.ny.gov. Contacting anyone other than this Designated Contact (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

I. Introduction

Under Governor Andrew M. Cuomo’s leadership, the New York State Public Service Commission Initiated Reforming the Energy Vision (REV) proceeding in response to unprecedented energy and climate challenges facing New York State. These challenges, and the new opportunities presented by groundbreaking regulatory reform and aggressive State climate and clean energy goals, can provide a positive and significant impact on job creation and economic competitiveness. Within this context, there is a significant need for a deeper understanding of the Clean Energy Economy (CEE) in New York in order to inform State programs and policies fostering a vibrant economic ecosystem and job growth in the state.

NYSERDA is interested in monitoring the State’s progress in developing its clean energy economy workforce. NYSERDA also seeks indicators that can be used for policy purposes to gauge enhancers and detractors in the development of the clean energy economy and its associate workforce.

The goals of this contract shall include:

- Identifying jobs in the Clean Energy Economy (CEE);
- Identifying and characterizing businesses acting in the CEE space;
- Analyzing by technology, and job type along value chain (i.e. from materials, manufacture, design, sales, installation, to customer support, etc.) of the CEE jobs by county and economic development region within NY;
- Quantifying the impact of clean energy activity as a percent of overall Statewide economic activity (jobs and GSP, or other indicator);
- Integrating and characterizing selected data on other measures that directly correlate to clean energy jobs that may include characteristics of clean energy investment over time, patents, pre-commercial activities, etc. from existing NYSERDA data sources;
- Analyzing labor market intelligence to characterize the clean energy workforce (by activity, demographic, education attainment, pay range, etc.) and identify workforce trends including skill gaps to inform conclusions about near term workforce needs and job growth opportunities; and
- Producing informed conclusions about the current state and growth trajectory of the CEE job market in NY.

The first step to capturing this economic opportunity through job growth is to understand the state of the NYS clean energy job market. The second step is to contextualize clean energy jobs data by capturing key indicators of CEE activity and changes in those indicators over time. The final step is to identify trends in employment data that inform conclusions about near term workforce needs and sector-based job growth opportunities.

Please note that NYSERDA is currently conducting an inventory of supply-side organizations within selected segments of the CEE, classifying their role within the industry (e.g. research, component manufacturing, or final assembly), and producing data mapping and visualizations of the business ecosystem. It is anticipated that this data will be made available to the selected contractor to inform the scope of this project. However, the data set will not include a comprehensive job count by firm.

The Clean Energy Economy refers to any economic activity related to an energy-related technology, strategy or solution that New York State may use to advance at least one of the State’s Clean Energy Goals as defined in the 2015 *New York State Energy Plan*: (1) reduction of energy sector greenhouse gas emissions, (2) an increase in renewable energy generation capacity, or (3) an increase in energy efficiency.

The CEE, similar to cleantech,¹ spans many vertical industries and includes technologies that generally fall into the following categories: renewable energy generation, energy storage, efficiency (energy and building), transportation, air and environment (emissions, recycling and waste), clean industry (design, materials, and production), water, and agriculture. For the purpose of this solicitation, water efficiency and conservation, agriculture, waste/recycling or non-renewable sources of energy² such as coal, nuclear power or natural gas shall not be considered.

II. Program Requirements

This section reviews the specific services requested, contractor/proposer eligibility, and the responsibility of each party to the agreement.

A. Services Requested

The selected proposer will be required to provide, but shall not be limited to, the following tasks:

TASK 1: PROJECT MANAGEMENT

Subtask 1.1: Project Manager

A project manager shall serve as the coordinator between all project participants, including coordination of written Monthly Progress Reports, conference calls, project review meetings, and other developments.

Subtask 1.2: Meetings

The selected firm shall conduct:

- An in-person or video conference kickoff meeting in Albany, NY to present strategy and discuss project scope, objectives, and overall task prioritization, as well as interim goals, with NYSERDA staff. This meeting should take place after a scope of work has been developed;
- Periodic (likely bi-weekly) check in calls to discuss project progress, issues and questions;
- As needed, periodic webinars to present interim deliverables and findings; and
- An in-person wrap-up meeting in Albany, NY to present findings of Draft Report, and to discuss NYSERDA comments on the Draft Report.

Subtask 1.3: Reporting

The selected firm shall be required to submit monthly written progress reports to NYSERDA’s Project Manager. The reports shall: summarize progress on contracted work efforts and provide interim results with respect to project objectives; identify problems encountered and how they will be resolved;

¹ <http://www.kachan.com/content/two-years-later-revisiting-taxonomy-cleantech>

² Excepting CHP and fuel cells that lead to energy efficiency.

indicate any significant deviation from the approved schedule; and summarize all costs incurred in relation to the budget and work progress.

TASK 2: SCOPING

The Clean Energy Economy refers to any economic activity related to an energy-related technology, strategy or solution that New York State may use to advance at least one of the State's Clean Energy Goals as defined in the 2015 *New York State Energy Plan*: (1) reduction of energy sector greenhouse gas emissions, (2) an increase in renewable energy generation capacity, or (3) an increase in energy efficiency.

This project will require further defining of the scope and attributes of the CEE. These include identifying appropriate sectors and segments of the CEE and relevant the characteristics of jobs resulting from the CEE, businesses within the space, and business chain elements. Characteristics of the CEE that NYSERDA is interested in studying are included in the bulleted list of the Introduction to this RFP. Appendix B provides an outline of a proposed sectors and segments of the CEE which may be further refined during the scoping process.

Deliverables

The selected firm will be required to summarize develop and present recommendations to NYSERDA for the most appropriate project scope. This information shall be presented in memo form of reasonable length.

TASK 3: DATA AND METHODOLOGY

The selected firm shall be required to compile data on CEE jobs, businesses, value chains, benefits, business clusters and geographies, innovation metrics, and workforce trends. The selected firm shall identify existing data sources, and create and administer a survey incorporating best in class statistical techniques and survey methodology as appropriate.

Subtask 3.1: Identifying and Extracting Existing Data Sources

Under this Task, the selected firm shall be responsible for identifying the full set of similar reports, and determining and extracting relevant data or methodology as determined in Task 2 – Scoping. Appendix A details similar studies, which may include relevant data for this New York Clean Energy Jobs Study.

Deliverables:

The selected firm will be required to produce a memorandum for NYSERDA summarizing the existing available data sources, and will be required to produce an Excel based resource that compiles the existing quantitative information.

Subtask 3.2: Create Survey Methodology

The selected firm shall create a recommended methodology for conducting a CEE jobs survey. The successful proposer will be expected to identify and defend methodological differences with other leading clean energy job surveys.

Deliverables:

The selected firm will be expected to, with feedback from NYSERDA, design and provide a survey methodology, questions, and developed survey databases to NYSERDA.

Subtask 3.3: Administer CEE Survey

Using a statistical sampling approach determined by Subtask 3.2, the selected firm shall administer surveys across companies acting in the CEE space, and warehouse the results in accordance with industry best practices. A confidence interval with a minimum of 90% shall be a survey design goal.

Subtask 3.4: Analysis of Labor Market Data

The selected firm shall be required to provide an analysis of real-time labor market data. Real time labor market data may be leveraged from existing databases or sources including job market analytics tools like O*NET³ and Burning Glass.⁴ This data should be used to add further context and characterization to the CEE workforce identified through surveys under Subtask 3.3.

Subtask 3.5: Quantifying Other Measures of Clean Energy Activity

The selected firm shall be responsible for acquiring data on other measures of clean energy activity as defined under the scope developed in Task 2.

Deliverables

The selected firm will be required to provide the survey data results and summary to NYSERDA, and present the information to the NYSERDA Team through a WebX presentation.

TASK 4: ANALYSIS AND LEADING INDICATORS

Using the acquired data, the selected firm shall be responsible for drawing state-wide conclusions on CEE jobs and leading indicators in NY.

Task 4.1: Survey Analysis

Using the results from the survey, the selected firm shall be responsible for providing analysis sizing and segmenting CEE jobs in New York State – and identifying the methodological limitations of their conclusions. The survey analysis should also quantify the impact of clean energy activity as a percent of overall statewide economic activity.

Task 4.2: Geospatial Mapping and Visual Presentation of Data

The selected firm shall be responsible for performing geospatial mapping and analysis to characterize jobs data by geography, phase of product lifecycle, technology segment, etc. This should take into consideration the survey results, existing data sources, and the findings of the 2015 NYS Clean Energy Technologies Innovation Metric Report⁵ and Inventory of Supply Side Organizations in New York's Clean Energy Economy.

The selected contractor(s) will work with NYSERDA to identify the appropriate visual representations of the data.

Task 4.3: Workforce Development Needs

The selected firm shall use the previous data and analysis to draw conclusions about workforce development needs. This analysis should address such cleavages as technology, sector, and New York economic development region. This analysis should also report on the findings that illuminate potential skills gaps in the NYS workforce that may be evident from various labor market intelligence sources

³ <https://www.onetonline.org/>

⁴ <http://burning-glass.com/>

⁵ <https://www.nyserdera.ny.gov/-/media/Files/EIBD/15-32-Clean-Energy-Technologies-Innovation-Metrics-Report.pdf>



including vacancy notices and other sources of real time labor market information. The contractor shall develop recommendations to address these identified workforce development needs.

Deliverables

The contractor shall produce a draft final report summarizing the research methodology, data sources, survey results, geospatial mapping, economic trends, and workforce development needs. The contractor shall submit the report to NYSErDA and present their findings. The contractor shall then produce a final report based upon NYSErDA's edits and feedback.

TASK 5: FINAL REPORT

Using the results from previous Tasks, the selected proposer will be expected to deliver a draft final report in a representative format with graphical elements for NYSErDA review. Upon NYSErDA review, the selected proposer shall incorporate changes and create a revised report in publishable format (WORD and PDF) complete with text, graphic elements, tables, and figure similar to styles in reports listed in Appendix A. There may be several iterations at both the draft and graphical draft report stages. The selected proposer will be expected to draft an Executive Summary, key findings summaries of each report section. All data should be checked for accuracy prior to being handed off to NYSErDA. The selected proposer will be expected to work with NYSErDA's marketing team to define style, font, colors of the report. NYSErDA shall have final approval. The selected proposer will also be expected to provide NYSErDA with data files (EXCEL format) clearly showing derivation of data, tables, charts and maps.

TASK 6: YEARLY UPDATING

The resulting contract award from this RFP shall include an option to renew for two consecutive years, as well as to expand the scope for 2017 and 2018. The expanded scope would, at a minimum, seek to update metrics related to innovation and related measures of growth pertaining to the CEE.

B. Proposal Requirements

This section outlines the content proposers should include in their proposal.

TASK 1: PROJECT MANAGEMENT

Proposers should assign a project manager who will be responsible for communications with NYSErDA and coordination of all project personnel, subcontractors, schedule, budget, and reporting. Previous experience managing diverse teams is highly desirable. Proposers should also describe their management plan, including if and how the team will partner with other research groups. Proposers should comment on the proposed project management requirements and structure in **Task 1**, detailing any proposed changes to the outlined Task.

TASK 2: SCOPING

Proposers should discuss best practices of other similar green jobs inventories, including but not limited to the studies listed in Appendix A. Proposers should outline recommendations for the most appropriate scope and methodology to track and characterize the desired information on the CEE.

TASK 3: DATA AND METHODOLOGY

In the proposal, NYSERDA welcomes suggestions for other available data sources not listed in Appendix A. Proposers should discuss how any available data from the US Energy and Employment report may be integrated into or leveraged for the NY Clean Energy Economy Jobs study. Proposers should outline their recommended methodology for conducting a CEE jobs survey. NYSERDA welcomes recommendations for a “blended” (top down – bottoms up) survey approach that capture and cross reference real-time labor market trends. Alternatively, the proposer may recommend other ways of integrating real-time labor market trend intelligence with survey results to present a more complete characterization of the CEE job market in New York.

TASK 4: ANALYSIS AND LEADING INDICATORS

In addition to Geographic Information System (GIS) mapping, the proposer should also describe any other info graphics they will create from the inventoried information. The proposer should describe how the mapping and info graphic information will convey the key findings of the report. Proposers should look to the 2015 Massachusetts Clean Energy Industry Report for examples of tables and figures. Proposers are welcome to comment on the proposed tasks and deliverables and put forth suggestions for improvements.

TASK 6: YEARLY UPDATING

Proposers should indicate their ability to conduct yearly updating of metrics related to innovation and related measures of growth pertaining to the CEE, and suggestions for processes to conduct such updating.

C. Program Eligibility.

This section reviews proposer eligibility and responsibilities of the proposer and NYSERDA.

- Eligible parties may include consultants, academics, researchers, or inter-disciplinary teams. Teaming amongst proposers is highly encouraged when appropriate to meet project goals.
- Teams may consist of a variety of entities: scientists; analysts; technologists; experts in specific fields; economists; commercial firms; government organizations; universities; research organizations; industry associations; or other stakeholders.
- Result-oriented teams with multi-disciplinary expertise, and experience in completing complex technical reports or publications are encouraged.
- Teams should consider providing the following technical expertise: economists; data scientists, policy analysts, social scientists, engineers; technologists; with experts in: information technology, survey methods, primary data gathering, quantitative research methods, statistics, GIS, network visualizations, labor market intelligence; or experts in related fields, as appropriate.
- The lead proposer could be any organization responsible for successful completion of the project. If the proposal is selected for funding, the lead proposer will be selected to enter into an agreement with NYSERDA as NYSERDA’s contractor.

Proposers must:

- Include letters of commitment from each team member in an appendix to the proposal.
- Address, at a minimum, each of the tasks and requirements listed in Section II.B.
- Identify and emphasize, as appropriate, other innovative and effective approaches, strategies, and tools that support the Goals and Objectives of this RFP.
- Describe how the technical breadth of the project team addresses the necessary balance of interdisciplinary experience for successfully completing the project.
- Provide evidence of a demonstrated track record of successfully completing complex subject-relevant technical reports or publications in a timely fashion.
- Submit a per-task cost table.
- Address the required timeline for the proposed work. All surveys should be completed by December 31, 2016. All project work should be completed by March 31, 2017. The proposer should identify appropriate interim deliverables.

Other Proposer Considerations:

- A proposal may be considered non-responsive if it fails to comply with the requirements above, the Proposal Format of Section III, or the General Conditions of Section VI.
- Before an award is made, potential contractors may be required to demonstrate: access to financial resources sufficient to perform the proposed work, appropriate technical experience and adequate facilities (or the ability to access them), a good performance record, and the ability to qualify for an award under applicable laws and regulations.

C. Contractor's Responsibility,

The selected contractor(s) shall be responsible for timely completion of the requirements described in this RFP. A rapid schedule is a requirement of this contract. Therefore, the selected contractor shall be expected to respond and answer questions from NYSERDA by the next business day and respond to editorial changes with 3 business days.

The selected contractor(s) must assume the overall responsibility for: coordinating and developing data collection, analysis and reporting required by this RFP (whether or not done by the contractor or one or more subcontractors); acting as liaison with participating NYSERDA programs and external organizations; and adhering to proposed project budgets and completing the deliverables listed in this RFP.

The selected contractor(s) shall keep NYSERDA informed at least bi-weekly either by telephone, in-person meetings or e-mail on the progress of the market characterization and analysis efforts. The selected contractor(s) shall participate in a minimum of two meetings with NYSERDA staff at the start of the project, and upon delivery of the draft final report.

D. NYSERDA's Responsibility

The NYSERDA Project Manager will be responsible for overseeing and managing all tasks undertaken by the selected contractor(s), including but not limited to reviewing, commenting and approving tasks and subsequent deliverables; coordinating with program staff and interested external stakeholders; promoting coordination between the selected contractor(s) and NYSERDA's other evaluation contractors; and approving invoices promptly.

E. Available Funds

The total approximate funding available to support the services requested under this RFP is \$275,000. The initial deliverable is expected to be completed within about 6 months of the award. Proposers should put forth their best proposal to address the scope of services requested in the time and budget allowed.

III. Proposal Requirements

Proposals should not be excessively long or submitted in an elaborate format that includes expensive binders or graphics. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. Each page of the proposal should state the name of the proposer, the RFP number, and the page number. Your goal as a proposer should be to concisely present the information needed to fully address the Objectives and Evaluation. Proposals that fail to follow the format guidelines may be rejected as non-responsive.

The technical proposal must be organized in the following format:

- Proposal Checklist
- Section 1: Cover Letters
- Section 2: Table of Contents
- Section 3: Executive Summary
- Section 3: Approach
- Section 4: Management Structure
- Section 5: Qualifications
- Section 6: Project Schedule and Staffing Plan
- Section 7: Potential Conflict of Interest
- Section 8: Cost proposal
- Section 9: Project Summary (See Attachment F)

Appendices:

- Letters of Commitment from all subcontractors;
- Research Methodology Addendum;
- Resumes of key personnel who will complete the tasks described in "Section II Project Requirements – Services Requested";
- Summaries of related work products that demonstrate proposer's ability to perform the tasks identified (by organization and key personnel);
- Additional supporting material deemed necessary by the proposer (optional).

A. Technical Proposal Explanation

Proposal Checklist. Complete and sign the Proposal Checklist attached to this RFP, and include it as the front cover of each copy of the proposal. Note the following:

- Indicate whether you accept the Standard Terms and Conditions as contained in the attached Sample Agreement (Attachment D). If you do not accept the Standard Terms and Conditions, be prepared to provide alternative terms with justification based on the risk and benefit to NYSERDA and New York State.
- Be sure the individual signing the Checklist is authorized to commit the proposer's organization to the proposal as submitted.

A completed and signed Proposal Checklist must be attached as the front cover of your proposal. **Late proposals will be returned and proposals lacking the appropriate completed and signed Proposal Checklist may be returned. Faxed or e-mailed copies will not be accepted.**

Section 1: Cover Letter

Cover Letter(s) (1 page suggested)

Proposers shall submit a cover letter on company letterhead that:

- References RFP 3370.
- Summarizes the proposer's ability to perform the services requested in this RFP
- Is signed by a person with authority to enter into a contract with NYSERDA.

Section 2: Table of Contents (1 page)

Proposers should present a comprehensive table of contents that outlines the page number and section where each proposal section can be found.

Section 3: Executive Summary (2-3 pages maximum)

Briefly summarize your proposal emphasizing the following:

Critical questions to be addressed in statement of work.

- The research methodology, including how data will be gathered and analyzed (the proposer should also describe research methodology in specific tasks/objectives in the Statement of Work); and distinguishing aspects of the proposal.
- Benefits if the project is successful. Describe the benefits of this study, including potential additional uses for data collected.
- The executive summary should be no more than two (2) or three (3) pages in length. Please put the bulk of your effort into concisely describing each task in the Statement of Work.

Section 4: Approach (6-8 pages maximum)

This section should follow the format described in II.B Proposal Requirements. The Approach must be in compliance with the scope of services requested, deliverables, and schedule outlined in this RFP. It is an action document that specifically delineates each step or procedure required to accomplish the tasks as listed in the Section II Program Requirements of this RFP.

Section 5: Management Structure (1 page)

Proposers should identify all team members, including the Project Manager and any subcontractors, who will be responsible for ensuring that the project is timely and of good quality. Provide a clear description of the roles and responsibilities of each person in completing the work plan. Provide the names and addresses of subcontractors and describe how they were chosen. Provide an organization chart. Describe how you plan to coordinate this study with NYSERDA Energy Analysis staff. Resumes of all team members should be provided in an appendix.

Section 6: Qualifications (2-3 pages)

Describe specific experiences relevant to the performance of this type of project. Discuss proposed teaming arrangements, if applicable. A letter of commitment must be included for each subcontractor in the proposal and should be included as part of the appendices. State the team's individual and combined expertise that would enable successful completion of the project. List and briefly describe relevant projects that have been completed by the proposer/proposing team, including projects completed in New York State. Indicate which team members were responsible for each project described. Indicate the name and telephone number of at least three references for whom your organization has completed similar projects.

Section 7: Schedule and Staff Plan

The proposer should include a timeline for completing each task and major sub-task identified in the Statement of Work. Prepare a master schedule in bar chart form showing anticipated starting and completion times for each task, in terms of weeks or months after the contract is signed. The staffing plan should identify key personnel, including any subcontractors or other resources, responsible for completing each task. **PROVIDE A TABLE SHOWING THE NUMBER OF HOURS EACH KEY PERSON OR SUBCONTRACTOR WILL SPEND ON EACH TASK AND THE TOTAL HOURS PER TASK.**

Section 8: Potential Conflict of Interest

Identify the nature of any potential conflict of interest your firm might have in providing services to NYSERDA under this RFP. Discuss fully any conflicts of interest, actual or perceived, which might arise in connection with your firm's performance of the proposed agreement. If conflicts do or might exist, describe how your firm would resolve them.

Section 9: Cost Proposal

Using the Attachment C Contract Pricing Proposal Form (CPPF) as a template, submit the name, title, and hourly rate or salary range for the duration of the agreement for each individual proposed to perform the work outlined in Section II Program Requirements, Subsection A, Services Requested (including all subcontractor personnel). Use the CPPF to provide overhead multipliers for the duration of the approximately 30-month agreement.

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

1. Describe the basis for the rates proposed (*i.e.*, based on prior period actual results; based on

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

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

Travel expenses should be limited to activities that are necessary for the completion of project work. Necessary activities include tasks such as the kick-off and wrap up meetings, and direct stakeholder engagement. Any travel expense will need to be justified.

Per-Task Cost Table (required)

It is anticipated that projects will be paid on a performance basis as per-task deliverables and overall performance targets are met. Therefore, proposers must submit one (1) table indicating both:

- 1) the total expenditures for each task in the Statement of Work, and
- 2) the percent of total effort for each task.

Please note: Meetings based in Albany, NY are required. NYSERDA and the project team will review the First Draft Report and NYSERDA may request additional analysis or clarification on certain tasks. Allow funds for further analysis of identified issues in between submission of the First Draft Report and the Final Report.

Section 10: Project Summary

Complete the Project Summary using Attachment F as a template.

Appendices

Materials to be submitted include:

- Research Methodology Addendum'
- Additional supporting material deemed necessary by the proposer (optional).

IV. Proposal Submission

Electronic submission is preferable. Proposals may be submitted electronically by following the link for electronic submissions found on this RFP's webpage, which is located in the "Current Opportunities" section of NYSERDA's website (<http://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>). Instructions for submitting electronically are located in that section as Attachment E to this RFP. NYSERDA will also accept proposals by mail or hand-delivery. If submitting electronically, proposers must submit the proposal in either PDF or MS Word format with a completed and signed Proposal Checklist (Attachment A) and Disclosure of Prior Findings of Non-Responsibility (Attachment B),



in PDF format. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility, rather than scanning. For ease of identification, all electronic files must include the proposer's entity name in the title of the document as well as the document title.

If mailing or hand-delivering, proposers must submit (2) paper copies of their proposal with a completed and signed Proposal Checklist, along with a CD or DVD containing both a PDF and MS Word digital copy of the proposal, following the above guidelines. Mailed or hand-delivered proposals must be clearly labeled and submitted to:

**Venice Forbes, RFP 3370
NYS Energy Research and Development Authority
17 Columbia Circle
Albany, NY 12203-6399**

A completed and signed Proposal Checklist must be attached as the front cover of your proposal, one of which must contain an original signature.

Late proposals will be returned and proposals lacking the appropriate completed and signed Proposal Checklist may be returned. Faxed or e-mailed copies will not be accepted.

In compliance with §139-j and §139-k of the State Finance Law (see Section VI, General Conditions below for additional information), additional forms must be completed and filed with proposals:(1) a signed copy of the Proposal Checklist including required certifications under the State Finance Law and (2) a completed Disclosure of Prior Findings of Non-Responsibility form. Failure to include a signed copy of the Proposal Checklist referenced in this solicitation may disqualify your proposal.

V. Proposal Evaluation

All proposals received by the due date and meeting the requirements established in this RFP will be reviewed and ranked by a Technical Evaluation Panel (TEP) consisting of NYSERDA staff and selected outside reviewers. Final rankings and the contract award(s) will be based on the following Evaluation Criteria:

Responsiveness to the Work Scope of the RFP.

1. Does the proposer present a sound approach for accomplishing the objectives of this proposal?
2. Is there a sound rationale or justification for the proposed approach(es)?
3. Is there clear evidence that the proposer possesses the capability to complete this study?
4. Has the proposer addressed, at a minimum all of the tasks listed in Section II.A of this solicitation?
5. Has the proposer provided a research methodology, both as part of an executive summary and included per task (where appropriate)?
6. Has the proposal identified and emphasized, as appropriate, other innovative and effective approaches, strategies and tools supporting the Goals and Objectives of the RFP?
7. Does the response to the RFP demonstrate a complete and thorough understanding of the project requirements?
8. Does the proposer address the required timeline of proposed work?

Relevant Experience and Qualifications.

1. Is there clear evidence that the proposer possesses the capability to conduct this work?
2. Are key personnel's education and experience relevant to project needs?
3. Is the project staff's overall capability appropriate?
4. Does the proposing team have experience in conducting similar research work?
5. Does the proposing team have expertise in survey design, survey administration, and statistical techniques?
6. Does the proposing team demonstrate experience in geographic information systems/science (GIS), or demonstrate other related cartographic, geographic or geospatial expertise?
7. Does the proposing team demonstrate experience in creating graphical and visual representations of data?
8. Does the proposal describe how the technical breadth of the project team addresses the balance of interdisciplinary experience?
9. Were examples of relevant past work provided?
10. Has the proposer provided evidence of a demonstrated track record of successfully completing subject-relevant technical reports or publications of a similar scope in a timely fashion?

Comprehensiveness of Approach.

1. Was a project manager who will be responsible for the management of the team and day-to-day NYSERDA contract identified?
2. Has the proposer demonstrated the ability to institute appropriate data collection and analysis procedures?
3. Are appropriate management and coordination strategies articulated, including mechanisms for meeting coordination of staff that are off site and/or meetings with NYSERDA staff if not a local office?
4. Is the project organization, including the staffing plan, clear and well-defined?
5. Does the proposer describe a data collection quality control strategy?
6. Is the staffing plan sufficient to provide timely deliverables?

Cost.

1. How cost-effective is the proposal?
2. Are hourly rates, overhead rates, indirect cost, other cost multipliers, and total hours reasonable and appropriate for the proposer's and subcontractor's personnel completing the tasks?
3. Are the proposer's and subcontractor's rates cost effective when compared to the cost allocation of comparable proposals?
4. Are the cost allocations sufficient to cover all of the study goals?
5. Is the cost structure comprehensive enough for reviewers to understand how each study requirement will be fulfilled?
6. Has a per-task cost table been included?

Other.

1. Other considerations including, but not limited to past experiences with the contractor, notable position in the industry, known accomplishments on similar engagements, etc.
2. Prior direct experience working on clean energy jobs quantification at the state or federal level is desirable and will be considered.

NYSERDA reserves the right to interview top proposers prior to making a final selection.

VI. GENERAL CONDITIONS

Proprietary Information - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to exempt it from disclosure, including a written statement of the reasons why the information should be exempted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <http://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

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

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

Empire State Development
Division For Small Business
625 Broadway
Albany, NY 12207

A directory of certified minority- and women-owned business enterprises is available from:

Empire State Development
Minority and Women's Business Development Division
625 Broadway
Albany, NY 12207

State Finance Law sections 139-j and 139-k - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <http://www.ogs.ny.gov/aboutogs/regulations/advisoryCouncil/StatutoryReferences.html> The attached Proposal Checklist (Attachment A) calls for a signature certifying that the proposer will comply with State Finance Law sections 139-j and 139-k and the Disclosure of Prior Findings of Non-Responsibility form (Attachment B) includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years.

Tax Law Section 5-a - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf).

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

Contract Award - NYSERDA anticipates making one award under this RFP, but may make additional awards depending on the nature and strength of the proposals received. It may award a contract based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement (Attachment D) to contract successful proposals. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the submitted proposal (see Proposal Checklist).

Expected timetable for Award

The process from RFP due date to contract agreement can take several months. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. Duration varies based on number of proposals received under this solicitation, initial clarity of statement of work proposed, complexity of contract, and responsiveness of awardee with prompt responses to requests from NYSERDA.

Contractor can expect the following sequence of events:

Proposal Review and Award

Proposals are reviewed by a team comprised of industry experts and NYSERDA staff. A review team member may not submit or be listed on a proposal for the solicitation. NYSERDA expects to notify proposers approximately 4-6 weeks from the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

Contract Negotiation

Subsequent to receipt of an award letter, NYSERDA will work with the Technical Contact to reach agreement on a Statement of Work Budget and Schedule, (collectively Exhibit A of the Contract). Concurrently, NYSERDA will work with others responsible for signing contract to reach mutually acceptable Terms and Conditions (NYSERDA's standard contract terms and conditions were provided as an attachment to the Solicitation). NYSERDA may or may not accept any requested exceptions; NYSERDA reserves the right to limit any negotiations to exceptions specifically identified as part of your proposal.



Contract Execution

Contract signed by Contractor and NYSERDA.

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

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

VII. Proposal Attachments

- Attachment A - Proposal Checklist
- Attachment B - Disclosure of Prior Findings of Non- Responsibility
- Attachment C – Contract Pricing Proposal Form
- Attachment D - Sample Agreement
- Attachment E – Instructions for Submitting Electronically
- Attachment F – Project Summary



Attachment F: Project Summary

Proposal Title: *Proposer's Title*

Proposer(s):

Site Address:

Background: *History, proposer qualifications.*

Objective/Scope: *Specific project objectives and targets. Relationship to program plan goals. Overall project scope of work.*

Acceptance of *(check only one box)*

Contract Terms & Conditions:

Proposer Accepts Terms and Conditions of Sample Agreement

Proposer Has Exceptions to Terms and Conditions of Sample Agreement

Describe exception:

Appendix A Similar Studies

(US Energy and Employment Report/E2 Clean Jobs Report⁶) The Department of Energy recently released a 2015 Energy Jobs Study that examines how changes in America’s energy profile are affecting national employment in multiple energy sectors. The study focuses on the entire energy economy, and does not identify clean or green energy jobs. Data from the report was used to produce the Clean Jobs New York report sponsored by E2 – which focuses exclusively on a subset of “clean” jobs from the DOE report. The E2 report claims that NYS has just over 85,000 clean energy workers employed across Energy Efficiency, Renewables, Alternative Transportation, and Transmission (Smart Grid and Storage). The 85,000 are examined across the value chain showing 76% of all clean energy jobs are in installation, 11% in sales and distribution, 9% in professional services, 2% in research and engineering, 1% in manufacturing, and 1% in other.

A solicitation for a second iteration of the DOE report was issued in summer 2016. DOE is contemplating releasing the 2016 data through “research partnerships” under a non-disclosure agreement to states or similarly interested parties. Proposers should consider how access to some or all of the federal data will affect a NYS state based analysis. However, at this time exactly what level of detail will be made available to the states is still uncertain.

(Massachusetts Clean Energy Industry Report⁷) Massachusetts (MA) has produced 5 consecutive Clean Energy Industry/Jobs Reports with the assistance of BW Research. The MA study includes jobs data on the entire scope of the Clean Energy Industry in MA ranging from innovation to deployment, and further subdivides results by technology type and economic development region. The Massachusetts study sets a high standard for any Clean Energy Economy Jobs Report. One area proposers may consider differing from the MA study would be in how to measure clean energy activity as a percent of overall statewide economic activity. MA uses a measure compared to GDP; Genuine Progress Indicator (GPI) is one alternative to economic analysis based on domestic production and is currently employed by both Vermont and Oregon. GPI measure may more fully capture non-economic values that are in line with other state policy objectives under NYS’ Reforming the Energy Visions (REV) like cost of climate change, cost of non-renewable energy resource depletion, impact on income equality, etc.

(NYS Green Jobs Study⁸) As part of the American Recovery and Reinvestment Act of 2009, the New York State Department of Labor (NYSDOL) was awarded a \$1.1 million grant from the U.S. Department of Labor to conduct research on the green labor market in New York State. As one part of the study, the New York State Department of Labor and its research partners surveyed 20,000 businesses in autumn 2010 to determine the number and types of green jobs in the State. Green Economic Activity was defined as Renewable Energy and Energy Efficiency. The report found 14,500 firms employing nearly 180,000 workers across Professional Services, Construction Trades, Building Services and Component Manufacturing industry clusters. In addition to the survey, aimed at quantification, this effort included a series of focus groups to qualify the information and provide further context for the results. This study highlights the importance of proper scoping. Future study will have to clearly consider the challenges of defining the parameters of the scope; in this case, the parameters of building management positions as they relate specifically to energy efficiency should be reconsidered.

⁶ <http://energy.gov/articles/doe-releases-first-annual-national-energy-employment-analysis>

⁷ <http://www.masscec.com/2015-massachusetts-clean-energy-industry-report>

⁸ <http://www.labor.ny.gov/stats/green/index.shtm>

Appendix B: Clean Energy Segment Scoping Information

The segments in this study shall include Clean Energy, Energy Storage, Efficiency, Transportation and Clean Industry. This is intended to serve as guidance and is not meant to be an exhaustive list of technologies that could be included in the inventory. The selected contractor(s) will work with NYSERDA to finalize the information within each segment that will be included. While not specifically listed in all segments, the contractor(s) should consider IT and software-enabling technologies that assist with the deployment of clean energy, where applicable. The list below is an example of potential inventories by segment to provide information on level of effort to inform the drafting of a proposal; specifics will be discussed and negotiated between NYSERDA and selected contractor(s).

Clean Energy

- Wind
 - Turbines
 - Components
 - Rotor
 - Gearbox
 - Generator
 - Controls and Electronics
 - Tower and Foundation

- Solar
 - Crystalline silicon
 - Thin film
 - a-Si
 - CdTe
 - CIGS
 - Organic
 - Inverters
 - Other emerging PV technologies
 - PV module technologies
 - Concentrated solar power
 - Thermal
 - Photovoltaic
 - Components
 - Racking
 - Collector
 - Panel
 - Connector
 - Power block
 - Utility meter
 - Thermal
 - Storage Tank
 - Collectors
 - Pumps

- Heat Exchangers
- System Sensors
- Controller

- Renewable Fuels
- Marine
- Biomass
- Geothermal
- Combined Heat and Power
- Fuel Cells
- Emerging technologies

Energy Storage

- Batteries
- Thermal storage
- Mechanical storage
- Super/Ultra capacitors
- Hydrogen storage

Efficiency

- Smart grid
 - Transmission
 - Sensors and quality measurement
 - Distribution automation
 - High voltage DC
 - Superconductors
 - High voltage control devices
 - RE & DER Integration/Interconnection
 - Advanced Cabling/Conductors
 - Substation Automation
 - Demand management/response
 - Energy management
 - Advanced metering infrastructure (AMI) and smart meters
 - Networking equipment
 - Monitoring and Controls
 - Utility Based Solutions
 - Advanced System Modeling/Applications
 - Software
 - Cyber Security
 - Quality and testing
 - Self-repairing technologies
 - Power conservation
 - Power protection
 - Data analysis systems

- Green Buildings (excluding building materials)
 - Design for optimizing efficiency
 - Building automation
 - Software and data analytics
 - Monitoring, sensors and controllers
 - Metering
 - Networking and communication
 - Energy Resource Management
 - Lighting
 - Ballasts and controllers, fixtures
 - Solid state lighting
 - Compact fluorescent lamps
 - Daylight harvesting
 - Systems
 - HVAC (including heat pumps)
 - Refrigeration
 - Water heating
- Data centers & devices, especially unique technologies that foster energy efficiency

Transportation

- Vehicles
 - All electric
 - Rail transport innovation
 - Alternative Fuel Vehicles
 - Improved internal combustion (engine efficiency)
 - Hybrids
 - Water transport innovation
 - Components (e.g. advanced composites, lightweight materials)
 - eBikes
 - New vehicle types
 - System integration (includes improved integration of various systems within a vehicle to make it more efficient, vehicle to grid or vehicle to building integration, and smart transportation where vehicles are “communicating” with the transportation infrastructure)
- Traffic management
 - Fleet management
 - Traffic and route management
 - Lighting and signals
 - Parking management systems
 - Behavior management
- Fueling/charging infrastructure
 - Vehicle-to-grid (V2G)
 - Fast charging



- Battery swapping
- Induction
- Alternative fuel conversion

Carbon Management

- Carbon Sequestration
- Carbon trading/Offsets



Customer Service: Phone, Email, and Web Inquiry Support
Request for Proposal (RFP) 3399
Up to \$900,000 Available

Proposals Due: October 20, 2016 by 5:00 PM Eastern Time*

The New York State Energy Research and Development Authority (NYSERDA) seeks proposals providing services to maintain and respond to phone, email, and web inquiries related to NYSEDA's services. The successful proposer will be responsible for answering and referring inquiries to designated NYSEDA staff, assisting customers in navigating the www.nyserda.ny.gov website, and collecting customer information that will be provided to NYSEDA. The successful proposer will also provide market intelligence and trends, foster lead generation, and support data and metrics tracking that encourages continuous improvement of these services for NYSEDA.

The initial contract period will end December 31, 2019 with three (3) 1-year options to renew at NYSEDA's sole discretion.

Proposal Submission: Electronic submission is preferable. NYSEDA will also accept proposals by mail or hand-delivery. If submitting electronically, proposers must submit the proposal in either PDF or MS Word format with a completed and signed Proposal Checklist and Disclosure of Prior Findings of Non-Responsibility, in PDF format. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility, rather than scanning. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. Proposals may be submitted electronically by following the link for electronic submissions found on this RFP's webpage, which is located in the "Current Opportunities" section of NYSEDA's website (<http://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>). Instructions for submitting electronically are located as Attachment D to this RFP.

If mailing or hand-delivering, proposers must submit (2) paper copies of their proposal with a completed and signed Proposal Checklist, along with a CD or DVD containing both a PDF or MS Word digital copy of the proposal, following the above guidelines. Mailed or hand-delivered proposals must be clearly labeled and submitted to:

Jillina Baxter, RFP 3399
NYS Energy Research and Development Authority
17 Columbia Circle
Albany, NY 12203-6399

If you have technical questions concerning this solicitation, contact Sarah Rambacher at (518) 862-1090, ext.3604 or sarah.rambacher@nyserda.ny.gov. If you have contractual questions concerning this solicitation, contact Elyda Sheldon at (518) 862-1090, ext. 3232 or elyda.sheldon@nyserda.ny.gov.

No communication intended to influence this procurement is permitted except by contacting Sarah Rambacher (Designated Contact) at (518) 862-1090, ext. 3604 or sarah.rambacher@nyserda.ny.gov. Contacting anyone other than this Designated Contact (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offeror, and (2) may result in the proposer not being awarded a contract.



* Late proposals will be returned. The electronic submission system closes at exactly 5pm. Incomplete proposals may be subject to disqualification. It is the proposer’s responsibility to ensure that all pages have been included in the proposal. Faxed or emailed proposals will not be accepted. Proposals will not be accepted at any other NYSERDA location other than the address above. If changes are made to this solicitation, notification will be posted on NYSERDA’s web site at www.nyserda.ny.gov.

I. Introduction

NYSERDA offers objective information and analysis, innovative programs, technical expertise, and support to help New Yorkers increase energy efficiency, save money, use renewable energy, and reduce reliance on fossil fuels. A public benefit corporation, NYSERDA has been advancing energy solutions and working to protect the environment since 1975. Visit www.nyserda.ny.gov to learn more about NYSERDA’s offerings.

NYSERDA receives inquiries via the phone, email, and web and seeks a strategic Partner to respond to, navigate, and triage customer requests in order to ensure satisfaction and continuous engagement with NYSERDA. The Partner shall have in-depth knowledge on a defined list of programs (represented by the list below although some programs have multiple components) to respond to and properly refer inquiries to the appropriate NYSERDA program. All other inquiries shall be triaged through an appropriate channel as determined by NYSERDA.

All inquiries fit within three levels of service: respond, navigate, and triage. The outcomes of inquiries for which the Partner will respond include a verbal response, referring the customer to the appropriate page on the www.nyserda.ny.gov website, printing and mailing or emailing relevant information to the customer, directing the customer to the appropriate resource, or determining that the inquiry is not for NYSERDA. Inquiries for which the Partner will navigate include ambiguity or complexity and will need to ask a series of questions in order to accurately connect the customer with the information they are requesting; these inquiries will subsequently fall within respond or triage. The current average length of time per call, which contemplates a broader level of support across all programs at NYSERDA, is 4.6 minutes. Inquiries for which the Partner will triage include sending customers immediately to the appropriate NYSERDA program resource or to a designated resource at NYSERDA for inquiries the Partner is unsure of the appropriate path. The anticipated length of time for triaging calls is 1 minute.

Below is a list of NYSERDA programs with anticipated call volume and the level of support requested through this solicitation.

Program	Level of Service	2017	2018	2019
Products	Respond	700	700	700
Residential Existing Homes	Respond	10,000	10,000	10,000
Communities	Respond & Navigate	800	800	800
Multifamily	Respond & Navigate	1,100	1,200	1,200
NY-Sun	Respond & Navigate	1,700	1,700	1,700
Commercial	Respond & Navigate	900	900	900
All Other Programs	Triage	2,300	2,200	2,200
	Total	17,500	17,500	17,500



As indicated in the respond category description above, an outcome to an inquiry may require the Partner to mail or email information to the customer, such as an application. The anticipated volume of supporting fulfillment to customers is provided below. Additionally, anticipated volume of inquiries to the NYSERDA email and website is also provided below.

	Level of Service	2017	2018	2019
Fulfillment	Postal Mail	1,250	1,250	1,250
	Email	2,000	2,000	2,000
NYSERDA email / web inquiries	Respond	1,750	1,750	1,750
	Triage	350	350	350

II. Program Requirements

The primary components of the Statement of Work are:

- Phone, Email, and Web Inquiries
- Market Intelligence Reporting
- Lead Generation and Connection to Customer Relationship Management (CRM) system

As a public benefit corporation, NYSERDA serves as a catalyst – advancing energy innovation, technology, and investment; transforming New York's economy; and empowering people to choose clean and efficient energy as part of their everyday lives. To promote this vision, NYSERDA has a diverse portfolio of programs focused on sectors and technologies.

Phone, Email, and Web Inquiries

The Partner will be the initial contact for many New York residents and businesses interested in engaging with NYSERDA. By understanding a customer's objectives, expectations, and needs, the Partner shall identify and eliminate complexity and ambiguity as to which offering the customer is best suited.

NYSERDA will provide adequate training to the Partner in order to support customer inquiries.

Additionally, the Partner shall use and maintain a script, created in conjunction with NYSERDA, that highlights the appropriate sequence of questions in order to accurately connect the customer with the information they are requesting. The script will provide clear direction on how to respond, navigate, and triage inquiries providing value to the customer by receiving the correct information at the appropriate time. The Partner shall answer questions as directed and highlight additional relevant information on new and recently updated offerings based on the customer profile. If the Partner is unable to answer and respond directly the customer's question, the Partner shall triage customers at the appropriate time to the correct individual within NYSERDA that can provide the requested information. Alternatively, if the information requested is provided on NYSERDA's website, the Partner shall send customers to the appropriate webpage on NYSERDA's website for immediate consumption of accurate and comprehensive information. In general terms, the services provided by the Partner shall:

- Highlight recent changes in offerings based on the customer profile
- Reduce confusion for customers and address complexity by identifying and applying the appropriate line of questions
- Some common examples of areas where the Partner will need to address customer confusion are:

- Mixed-use buildings (residential, commercial, multifamily)
- Residents living in condominium buildings
- Manufacturers with a new idea / product to bring to the market
- Customers interested in both energy efficiency and renewable offerings
- Send customers to NYSERDA's website for immediate consumption of accurate & comprehensive information
- Maintain program scripts including sequencing of questions, updates, and revisions to offerings
- Provide biweekly list of questions to NYSERDA that the Partner was unable to answer

Market Intelligence Reporting

The Partner shall have consistent interaction with New Yorkers, understanding trending energy topics and commonly requested information from NYSERDA. The Partner shall take the insight gained from their daily interactions with the general public and share it with NYSERDA on a frequent basis, so that programs can include this valuable market insight into their decision making processes for current and future offerings. The Partner shall provide samples of call recordings and emails that include trends in topics and referrals to NYSERDA.

- Act as a partner, market surveillance, and spot initial trends and customer feedback
- Provide feedback, such as common themes of requests, direct to program leads with samples of inquiries received via phone, email, and web

Lead Generation and Connection to Customer Relationship Management (CRM) system

NYSERDA is in the process of implementing Salesforce, a Customer Relationship Management (CRM) and project workflow system, which involves using technology to organize, automate, and synchronize business processes such as marketing and customer service and across programmatic areas. The Partner shall work with NYSERDA staff and other NYSERDA Contractors, where applicable, to maximize the CRM potential by entering data directly into the Salesforce platform. The Partner shall track information from the caller such as name, address (or at minimum zip code), email address, referral source, call reason, call resolution, program, length of call and / or other information as appropriate to track given the circumstance of the call. Data collection requirements will be based upon the nature of the call; however, all activity shall be tracked within Salesforce. NYSERDA will work with the Partner to determine appropriate level of data collection and reporting by customer profile. Additionally, all relevant materials, such as scripts and triage protocols, will be hosted in the CRM, providing the most up-to-date and accurate information for the Partner's use.

- Connect to NYSERDA's CRM system to share lead information as identified above
- Maintain procedure documents on the CRM system

The Partner shall provide live operator support for NYSERDA programs via phone, email, and web inquiries. Hours of operation shall be based on level of program activity at any point in time; however, at a minimum, the Partner shall have a live, Standard American English speaking operator eight and one-half hours per Monday through Friday. The active time block is 8:30 a.m. to 5:00 p.m. (Eastern Time). In addition, the Partner shall provide access to Spanish-speaking operators or ensure a call back from staff fluent in Spanish within four hours of the initial call. Having access to operators fluent in other languages, including, but not limited to, Mandarin, Cantonese, Russian, Haitian-Creole, Korean, and Italian is also encouraged. In addition, the successful proposer will implement a quality control, quality assurance program that encourages continuous improvement and will share this program with NYSERDA.



III. Proposal Requirements

A completed and signed Proposal Checklist must be attached as the front cover of your proposal. **Late proposals will be returned and proposals lacking the appropriate completed and signed Proposal Checklist may be returned. Faxed or emailed copies will not be accepted.**

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

The proposal must be in the following format:

Section 1: Introduction and general information

Section 2: Statement of Work

Section 3: Proposer's past experience

Section 4: Qualification and experience of key personnel

Section 5: Timeline, staffing plan, data capture, and reporting strategy

Section 6: Budget

Attachment A: RFP – Proposal Checklist

Attachment B: Disclosure of Prior Findings of Non-Responsibility

Attachment C: Proposal Budget Form & Instructions

Attachment D: Instructions for Submitting Electronic Proposals

Attachment E: Minority- and Women-Owned Business Enterprise Article 15-A

Attachment F: Service-Disabled Veteran-Owned Business Enterprise Article 17-B

Attachment G: Sample Agreement

Appendices: Additional Items

Section 1: Introduction and general information

Proposers should summarize their understanding of the objectives and requirements of the RFP. These objectives and requirements are discussed in Section II Program Requirements. Proposers should include a brief identification of key information about their organization and how they are qualified to perform the services requested under this RFP.

Proposers must include the following information in their response:

- Firm or organization name, address, telephone and fax number, e-mail address, website URL (if applicable), and contact person
- Year firm or organization was established
- Name and address of parent company (if applicable)

If any firm or organization is not based in New York State, discuss the mechanism which will guarantee its ability to deliver services efficiently and effectively within New York State.

Section 2: Statement of Work

The Statement of Work is a detailed plan of how the proposer will accomplish the objectives listed in Section II Program Requirements in this Request for Proposal. The Statement of Work is also the primary contractual document that identifies deliverables for the project. It is an action document that specifically delineates each step or procedure required to accomplish the objectives. Proposers should



address how they will manage a hotline of this size which should include a plan if telephone service is interrupted; and training and evaluation of operators.

Section 3: Proposer’s Past Experience

Include a description of the proposer's experience providing services similar to the tasks in this RFP, especially as it relates to the energy sector / industry. Include examples of average response time, key performance indicators used, ability to analyze caller information that provides trends and themes that inform decision making, at a minimum. Names and contact information for at least three (3) references who can address the proposer’s experience as described in their proposal and performance in providing services comparable to those being requested in this RFP.

Section 4: Qualifications and Experience of Key Personnel

Provide a description of the responsibilities of each of the key persons in the execution of the proposed work plan, including any subcontractors. Include an organization chart showing the relationships among all personnel. Include a description of the experience and qualifications of each of the key personnel assigned to the project. While expertise in the energy sector / industry is beneficial, it is of paramount importance for the proposer to demonstrate the ability of the key personnel to handle phone, email, and web inquiries that includes critical thinking and continuous improvement of services.

Section 5: Timeline, Staffing Plan, Data Capture and Reporting Strategy

The Proposer should include

- A timeline for completing each component identified in their proposed Statement of Work
- A staffing plan identifying the key personnel and other resources for completing each component
- A description of the fields the Proposer suggests capturing under the following two scenarios:
 - Customer service will require follow up from NYSERDA, lead creation, or other type of interaction that extends past the call
 - Customer service is comprised of a conversation over the phone, short answers, direction to the appropriate location on the website, etc. where obtaining customer-related contact information may not be possible or even advisable
- Metrics and approach with regard to reporting trends and themes that will enable NYSERDA to have the greatest understanding and insight into customer service required and inform program strategy

Section 6: Budget

The proposer must complete a Proposal Budget Form (Attachment C) for an initial contract term ending December 31, 2019 with three (3) 1-year options to renew.

Additionally, the proposer must complete a representative Proposal Budget Form that breaks down an anticipated monthly budget based on the following conditions:

Level of Service		Estimated Volume
Respond		900
Respond and Triage		300
Triage		190
Fulfillment	Postal Mail	100
	Email	165
NYSERDA email / web inquiries	Respond	145
	Triage	30



Appendices: Additional materials to be submitted as appendices include:

- Resumes of key personnel who will complete tasks described in the Statement of Work

IV. Proposal Evaluation

Proposals that meet Proposal requirements will be reviewed by a Scoring Committee using the Evaluation Criteria below listed in order of importance. At NYSERDA's discretion, proposers may be requested to interview with all or part of the Scoring Committee to address any potential questions or clarifications outlined in the proposals. Proposers will be notified if they are requested to attend an interview.

Statement of Work – Does the proposer(s) demonstrate that their staff has the background to adequately answer and follow the protocols of respond, navigate, and triage for programs NYSERDA administers? Does the proposer demonstrate they can deliver services efficiently and effectively including the ability to receive and apply training from NYSERDA staff? Does the proposal address and demonstrate a clear approach to each objective as outlined in Section III of the RFP, Proposal Requirements? Does the proposer(s) apply an approach of continuous improvement for the services they will provide to NYSERDA? Does the proposer(s) provide a clear ability to grapple with ambiguity from customers to identify the appropriate outcome and assess common themes and describe them in a way to add value to NYSERDA?

Qualifications of Proposer(s) and Experience - Does the proposer(s) have relevant and necessary operational and business background and experience? Does the project team demonstrate recent experience in similar type projects and will there be a qualified main contact (e.g. Manager or Supervisor) that will spearhead the project? Does the proposer(s) have access to bilingual operators? Does the proposer have an appropriate quality control / assurance program in place? Does the proposer(s) have experience in the energy sector / industry?

Data Management & Connection to Systems – Does the proposer(s) clearly describe their approach to capturing relevant data based on various call circumstances to foster lead generation for NYSERDA? Does the proposer(s) have previous experience using Salesforce? If the proposer(s) use(s) their own software platform, does the proposer(s) provide a clear approach for the connection to Salesforce? Is their approach flexible to implement changes upon request?

Cost - Is the overall cost reasonable? How cost-effective is the proposal? How does the cost compare with other proposers and best practices? Are allocations of task hours justifiable?

NYSERDA may consider the following program policy factors in making award selection decisions:

- Promotion of job creation and / or preservation in New York State

The award selection process contains multiple phases including an initial eligibility review, ranking by a Scoring Committee of subject matter experts, considerations such as program policy factors and the amount of funds available to make the selection decisions.



V. GENERAL CONDITIONS

Proprietary Information - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <http://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

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

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

Empire State Development
Division For Small Business
625 Broadway
Albany, NY 12207

A directory of certified minority- and women-owned business enterprises is available from:

Empire State Development
Minority and Women's Business Development Division
625 Broadway
Albany, NY 12207

State Finance Law sections 139-j and 139-k - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <http://www.ogs.ny.gov/aboutogs/regulations/advisoryCouncil/StatutoryReferences.html>

The attached Proposal Checklist calls for a signature certifying that the proposer will comply with State Finance Law sections 139-j and 139-k and the Disclosure of Prior Findings of Non-responsibility form includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years.

Tax Law Section 5-a - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf).



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

Contract Award - NYSERDA anticipates making one award under this solicitation. It may award a contract based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should submit using the most favorable cost. NYSERDA reserves the right to accept, reject, or ask for changes to proposals based on the degree to which pricing and hourly rates are competitive with the rest of the market. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the submitted proposal (see Proposal Checklist). Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately (6) weeks from the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

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

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

VI. Attachments:

- Attachment A: RFP – Proposal Checklist
- Attachment B: Disclosure of Prior Findings of Non-Responsibility
- Attachment C: Proposal Budget Form & Instructions
- Attachment D: Instructions for Submitting Electronic Proposals



Attachment E: Minority- and Women-Owned Business Enterprise Article 15-A
Attachment F: Service-Disabled Veteran-Owned Business Enterprise Article 17-B
Attachment G: Sample Agreement

Applications accepted through January 4, 2021 at 5:00 PM Eastern Time*

New York State Energy Research and Development Authority (NYSERDA) is accepting applications from vendors, installers and service providers of Real Time Energy Management (RTEM) to become a RTEM Qualified Vendor. NYSERDA is seeking both RTEM System Providers (installers) and RTEM Energy Management Consultant Providers (monitoring services). NYSERDA offers the following benefits to RTEM Qualified Vendors:

- **Access to RTEM funding when available (anticipated May 2016)**
- **Access to continuous market intelligence**
- **Access to Technical Guidance Documents**
 - Compiled using empirical data from projects identifying:
 - New technologies
 - Installation and maintenance strategies
 - Energy efficient savings
 - Non-energy benefits
- **Promotional materials** such as RTEM literature and advertising templates
- **Publicity** through NYSERDA's website at www.nyserdera.ny.gov, case studies and other materials, as available.

Application Submission: Applicants must submit a completed RTEM Qualified Vendor Application (Attachment A). Applications must be clearly labeled and submitted to commercialprograms@nyserdera.ny.gov

or

**Commercial Market Development
Real-Time Energy Management
NYS Energy Research and Development Authority
17 Columbia Circle, Albany NY 12203**

If you have questions concerning this solicitation, contact Joshua Clyburn at joshua.clyburn@nyserdera.ny.gov.

Applications will be accepted on a continuous basis until January 4, 2021. If changes are made to this solicitation, notification will be posted on NYSERDA's website at www.nyserdera.ny.gov.

NYSERDA reserves the right to extend and/or add funding to the Solicitation should other program funding sources become available.

Section I: Introduction

The NYSERDA Real-Time Energy Management effort promotes effective, energy-efficient solutions for commercial buildings and processes to practitioners in the energy management software and services sector. NYSERDA hopes to demonstrate the value proposition of comprehensive monitoring and metering analytics, and how it provides building owners with system level energy usage data. These valuable insights can maximize energy performance, prevent operational stray, improve equipment/building optimization, and better inform capital investment recommendations.

This solicitation is divided into the following components:

Section II: Eligibility Requirements

Section III: RTEM Qualified Vendor Requirements

Section IV: Application Process

Section V: Required Information

Section II: Eligibility Requirements

NYSERDA is seeking to pre-qualify RTEM vendors, installers, and service providers that demonstrate the ability to meet the following RTEM Eligibility Requirements. Firms interested in applying to be on the NYSERDA RTEM Qualified Vendors List may include, but are not limited to: system providers, Energy Service Companies (ESCOs), energy consultants, and engineering companies. Firms must provide proof of potential, and demonstrate they can successfully provide customers with ways to monitor energy usage, provide optimization, and deliver energy efficiency services. Potential vendors will be evaluated qualitatively and quantitatively on past RTEM projects that have been implemented within 24 months of submitting to this RFQ.

RTEM System Providers Eligibility Requirements

RTEM Systems are defined as the monitoring hardware and software used to extract, process, and store energy usage data. The capabilities below will need to be validated firsthand by NYSERDA. This will be done using multiple methods, including, but not limited to, accessing a live system, witnessing operational capabilities, and document review. System validation will need to be conducted on a live data system, in the same fashion as it is intended for the system's users.

1. Energy consumption tracking
2. Energy performance analysis
3. System integration
4. Reporting and data export
5. Data capacity
6. Interface capabilities
7. Networking capabilities

RTEM Service Providers Eligibility Requirements

RTEM Services are defined as consulting services that customers contract with to analyze energy usage data and provide, enable, and/or implement actionable items base on the data. RTEM Services does not refer to software as a service, or SaaS. If RTEM Services use SaaS as a tool to provide, enable, and/or implement actionable items, and is incorporated into the contract, SaaS can be included in the RTEM project cost share. The capabilities below will need to be validated by NYSERDA. This will be done by reviewing current and past projects, project results of existing or past projects/portfolios.

1. RTEM site profiling and benchmarking
2. RTEM analytic and forecasting capabilities
3. RTEM evaluation and implementation

Section III: RTEM Qualified Vendor Requirements

1. RTEM Qualified Vendors agree to promote the use of effective, energy-efficient products, services and designs, as defined by this RFQ, to commercial customers.
2. The Qualified Vendor further agrees to abide by the terms and conditions in this PON.
3. Becoming a Qualified Vendor is completely voluntary and NYSERDA can remove a Vendor from the list at any time for any reason. NYSERDA may revoke the status of the Qualified Vendor and remove them from the website if the Qualified Vendor does not meet all Program requirements. Vendors may also request to be removed from RTEM Qualified Vendor list.
4. The Qualified Vendor shall submit information from at least one project within one year of becoming a Qualified Vendor and one project per year thereafter to verify they deliver RTEM offerings to customers and to maintain active status.
5. If NYSERDA identifies an instance where these rules have not been followed, the Qualified Vendor is required to fully cooperate in any investigation of a possible violation. Failure to comply will result in the Qualified Vendor losing its active status.

Section IV: Application and Evaluation Process

To submit to this solicitation today:

1. Application: Email your completed RTEM Qualified Vendor Application (Attachment A) to commercialprograms@nysesda.ny.gov.
2. Survey: After submitting the Application, you'll receive an email message with instructions to take an initial survey. The survey will gather information on the capabilities of the RTEM system and/or RTEM services you are applying to provide and the preferred method for NYSERDA to verify the capability. Verification options include supplying NYSERDA with marketing and sales literature, operating manuals, screenshots, case studies, or live demonstrations depending on the capability being reviewed.
3. Interview: After review of the completed survey, NYSERDA will schedule an interview to discuss verifying the capabilities listed in the survey. The interview may take the form of a phone call, face-to-face meeting, webinar with remote viewing of the RTEM capabilities or all of the above. The Applicant must be prepared to provide information on its RTEM capabilities. These capabilities will need to be validated firsthand by NYSERDA, including, but not limited to, accessing a live system, witnessing operational capabilities, and document review. System validation will need to be conducted on a live data system, in the same fashion as it is intended for the system's users. Any additional supporting documentation requested during the interview shall be submitted to commercialprograms@nysesda.ny.gov.

Section V: Required Information

The following will also be reviewed at the scheduled interview:

RTEM Project Examples:

The Applicant must provide proof of capabilities through an RTEM Sample Project Report. If applicable, provide documentation of any RTEM related work performed in New York State. A minimum of two (2) RTEM projects must be submitted for review. The report shall demonstrate the quality of the Applicant's work, methodology, and results. It shall also show the various types of analyses and reports that are delivered to the customer. The associated scope of work and itemized budget must be included. The RTEM projects must have been completed within two years of application submission date. The projects must include, but not limited to, the following:

- Description of RTEM systems
- Description of RTEM services
- Description of benefits and costs
- Description of realized energy savings
- Equipment specifications
- Installation lead time
- Customer contact information

Overview of Firm:

The Applicant must provide a description of its organizational structure and the office(s) that serve RTEM systems and/or services to customers.

NYSERDA may request additional materials as reasonably necessary to facilitate review.

To submit to this solicitation in the near future (please check NYSERDA's website frequently for an update on this process):

- Visit <https://cmsapps.nyserderda.ny.gov> to apply to the RFQ on line.

Attachments:

Attachment A: RTEM Qualified Vendor Application

Marketing Support for NYSERDA Initiatives
Request for Qualifications (RFQL) 3209
No funding associated with this solicitation

Proposals Due: July 21, 2016 by 5:00 PM Eastern Time*

The New York State Energy Research and Development Authority (NYSERDA) is issuing this solicitation to establish prequalified marketing firms approved to provide NYSERDA with a wide range of marketing and communications support services for a diverse set of programs and initiatives that vary in scope, audience, and objective.

Firms may submit a proposal to provide marketing services for one, any, or all of the following categories.

Commercial/Industrial/Multifamily
Residential/Low-to-Moderate Income
Communities and Local Government
Innovation and Cleantech Entrepreneurs
Research and Policy
Strategic Communications
Clean Energy Competitions

NYSERDA will select and rank proposers for each category identified. NYSERDA anticipates selecting a maximum of three proposers for each category. Future projects of \$1 million or less will be assigned to the first ranked proposer in the appropriate category, or, at NYSERDA’s discretion, and based on the project scope of work and current workload of contractors, a mini-bid may be issued to all three proposers in that category. Future projects greater than \$1 million will be mini-bid to the three proposers in the appropriate category. New categories may be added as they are identified. For new categories, NYSERDA will issue a mini-bid to all proposers in ALL categories to select three prequalified firms for the new category. For future projects that span multiple categories, NYSERDA will determine a primary category based on the specific needs of that project and award the Task Work Order to the first ranked proposer in that category. That proposer may be expected to coordinate with agencies in other categories.

Future projects issued in the form of Task Work Orders under this solicitation will support the ten-year, \$5 billion Clean Energy Fund (CEF), RGGI-funded programs, and programs funded by other sources. Projects will vary in scope and budget. The earliest expected start date for any potential work under this solicitation is August 2016.

Proposal Submission: Proposals should be submitted electronically. Proposers must submit the proposal in either PDF or MS Word format with a completed and signed Proposal Checklist and Disclosure of Prior Findings of Non-Responsibility, in PDF format. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility, rather than scanning. For ease of identification, all electronic files must be named using the proposer’s entity name in the title of the

document. Proposals may be submitted electronically by following the link for electronic submissions found on this PON/RFP's webpage, which is located in the "Current Funding Opportunities" section of NYSERDA's website (<http://www.nysesda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>). Instructions for submitting electronically are located as Attachment G to this RFQL.

If mailing or hand-delivering, proposers must submit three paper copies of their proposal with a completed and signed Proposal Checklist, along with a CD or DVD containing both a PDF or MS Word digital copy of the proposal, following the above guidelines. Mailed or hand-delivered proposals must be clearly labeled and submitted to:

Venice Forbes, RFQL 3209
NYS Energy Research and Development Authority
17 Columbia Circle
Albany, NY 12203-6399

Any questions regarding this RFQL should be submitted to Erin Schucker at erin.schucker@nysesda.ny.gov or Susan Moyer at susan.moyer@nysesda.ny.gov no later than July 7, 2016. Responses to questions will be provided in writing on NYSERDA's website: nysesda.ny.gov/Funding-Opportunities

No communication intended to influence this procurement is permitted except by contacting Erin Schucker (Designated Contact) at erin.schucker@nysesda.ny.gov. Contacting anyone other than this Designated Contact (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

I. Introduction

NYSERDA has provided objective information and analysis, technical expertise, and support in New York State since 1975. NYSERDA works with stakeholders throughout New York including residents, business owners, developers, community leaders, local government officials, university researchers, utility representatives, investors, and entrepreneurs.

NYSERDA's five primary strategic outcomes are:

- **Increasing Energy Efficiency**
NYSERDA provides energy solutions that reduce the energy consumption and increase the energy efficiency of New York's residents and businesses.
- **Growing Renewable and Diverse Energy Supplies**
NYSERDA diversifies New York's portfolio of energy resources by growing renewable and distributed generation resources and reducing petroleum use.
- **Creating a Clean Energy Economy**
NYSERDA catalyzes economic growth by supporting technology and business innovation and by developing a skilled clean energy workforce.
- **Protecting the Environment**
NYSERDA reduces the environmental impact of energy production and use.

* Late proposals will be returned. Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal. Faxed or e-mailed proposals will not be accepted. Proposals will not be accepted at any other NYSERDA location other than the address above. If changes are made to this solicitation, notification will be posted on NYSERDA's web site at www.nyserdera.ny.gov.

- **Satisfied Customers**
NYSERDA is responsive to customer needs—delivering accurate and timely information, services and programs.

Under the Clean Energy Fund (CEF) NYSERDA is shifting strategies toward engaging market forces, and leveraging its capital through investments that lower soft costs and make clean energy solutions more affordable and more accessible. These efforts directly support Reforming the Energy Vision (REV) – Governor Andrew M. Cuomo's strategy to build a clean, resilient, and affordable energy system for all New Yorkers. The CEF actions will reduce the cost of clean energy by accelerating adoption of energy efficiency to reduce load while increasing renewable energy to meet demand. NYSERDA will focus on innovative solutions that remove barriers, solve customer needs, and provide value. Strategies and initiatives will reduce costs and accelerate customer demand for energy efficiency and other behind-the-meter clean energy solutions, and increase private investment. NYSERDA will provide financial support, technical knowledge, data, and education to customers and service providers to accelerate demand for clean energy solutions and will train an advanced workforce able to fill new jobs in the sector. Pilots, demonstration projects, community engagement, partnership development, and training efforts

will support the rollout of the CEF across all sectors. Where possible, NYSERDA will shift from incentive-based initiatives to strategies that have a more lasting impact on markets.

The CEF will deliver market solutions that:

- Reduce greenhouse gas emissions
- Accelerate growth and scale-up NYS's clean energy economy
- Increase private investment in clean energy
- Deliver energy bill savings due to reduced energy use
- Increase statewide energy efficiency and renewables
- Increase fuel diversity
- Ensure access to clean energy for low- to moderate-income customers

NYSERDA's energy programs and investment under the CEF are organized into four portfolios: Market Development, NY-Sun, NY Green Bank, Innovation and Research.

- Market Development activities will focus on strategies to reduce soft costs and other nonmonetary barriers by: Providing information, data, and education; Offering technical assistance and providing standardized, simple, robust tools; Providing quality assurance; Pilot demonstrating, and replicate new technologies and business models; and Aggregation to reduce costs through economies of scale.
- NY-Sun activities will provide long-term certainty to New York's growing solar market and lower the costs for homeowners and businesses investing in solar power.
- Innovation and Research activities will invest in cutting-edge technologies that will meet the increasing demand for clean energy.
- New York Green Bank will focus on partnership with the private sector to increase investments into New York's clean energy markets and on activities to increase the availability of capital for projects deploying proven clean energy technologies across New York State.

The NYSERDA Marketing team will provide marketing support for a broad range of programs and initiatives across multiple audiences to increase energy efficiency, to grow renewable and diverse energy supplies, to create a clean energy economy, to protect the environment, and to be responsive to customer needs. Marketing will focus on strategies that communicate the value of energy efficiency technologies and solutions and that provide education and information to both mid-stream market actors and end users across audience sectors.

The size and scope of marketing activities will vary greatly depending on objective and audience, but each will be grounded in a strategic understanding of the market and business goals – as outlined in Clean Energy Fund Investment plans and other plans.

Proposal Categories

Firms may submit a proposal to provide marketing services for one, all, or any of the following categories.

Commercial/Industrial/Multifamily
Residential/Low-to-Moderate Income
Communities and Local Government
Innovation and Cleantech Entrepreneurs
Research and Policy
Strategic Communications
Clean Energy Competitions

NYSERDA will select and rank proposers for each category identified. NYSERDA anticipates selecting a maximum of three proposers for each category. Future projects \$1 million or less will be assigned to the first ranked proposer in the appropriate category, or a mini-bid may be issued to all three proposers in that category. Future projects greater than \$1 million will be mini-bid to the three proposers in the appropriate category. New categories may be added as they are identified. NYSERDA will issue a mini-bid to all proposers in ALL categories to select three prequalified firms for the new category. For future projects that span multiple categories, NYSERDA will determine a primary category based on the specific needs of that project and award the Task Work Order to the first ranked proposer in that category. That proposer may be expected to coordinate with agencies qualified in other categories.

Proposers selected under this solicitation will enter into Task Order Agreements with NYSERDA for one or more of the identified categories. The term of the Task Order Agreement will be three years with the possibility of two one-year renewals. Future projects issued in the form of Task Work Orders under this solicitation will support the ten-year, \$5 billion Clean Energy Fund (CEF), RGGI-funded programs, and programs funded by other sources. Projects will vary in scope and budget. The earliest expected start date for any potential work under this solicitation is August 2016. Project scopes may include, but are not limited to:

- Development and execution of marketing strategies and tactics that target a range of consumer and business-to-business audiences and market segments across New York State, including but not limited to: Commercial, Industrial, Residential, Communities and Local Government, Low-to-Moderate Income, Multifamily, and Innovation and Cleantech Entrepreneurs. Other areas of focus include Strategic Communications, Clean Energy Competitions, and Research and Policy.
- Collaborative work with NYSERDA Marketing, Program Staff, and other contractors/firms to ensure the delivery of consistent, clear messages across all audience sectors.
- Measurement to understand the impact of recommendations and actions and the ROI.

Marketing services for these sectors may include, but are not limited to: planning, messaging, creative strategy and development, research, branding, graphic design, copywriting, social media, direct marketing and database management, media planning and placement, video development and production, events support, promotional support, public relations, account management, and audience insights.

II. Program Requirements.

Proposers are invited to submit, in the format described in Section III, a proposal describing their skills, expertise, qualifications, and personnel rates for any or all of the following categories.

1. **Commercial/Multifamily/Industrial:** Marketing strategies will be required to support a variety of initiatives and programs across the Commercial and Industrial sector, targeting mid-market actors (builders, multifamily building tenants, energy efficiency service providers, architects and engineers, energy management consultants), as well as end-use customers (building owners, commercial tenants, industrial manufacturing facilities). The overall objective of these strategies is to build market demand and adoption of energy efficiency services and technologies. Sectors of focus include healthcare, multifamily buildings, colleges and universities, manufacturing, commercial real estate, large commercial businesses.
2. **Residential and Low-to-Moderate Income:** Residential strategies will shift from broad-based demand generation to supporting strategies that drive a shift to self-sustaining markets, including pilots and demonstrations. NY-Sun activities will ensure NYSERDA understands audiences, perceptions, drivers and focus on educating consumers in order to support continued growth under changing incentive structures at all levels.

NYSERDA will work closely with subsidized and public housing to increase use of clean energy in low-income affordable housing and build capacity in LMI communities to take control of their energy future through technical assistance and clean energy planning resources. Behavior change activities will encourage LMI residents in buildings where residents do not pay directly for energy to take energy savings actions. In addition, a focus on new transaction and financing models will help attract new private capital investment.

3. **Communities and Local Government:** NYSERDA will implement strategies that drive energy efficiency and deployment of clean energy in local government (municipal – villages, cities, towns, and counties) operations. Marketing support will focus on educating audiences about programs and services available to local governments, driving participation in the Clean Energy Communities program, and promoting successes and lessons learned.
4. **Innovation and Cleantech Entrepreneurs:** NYSERDA will invest in cutting-edge technologies that will meet increasing demand for clean energy. Marketing strategies will be required to support efforts that drive Cleantech business growth across five key opportunity areas: smart grid technology, renewables and distributed energy resources, high performance buildings, transportation, and Cleantech startup and innovation development.
5. **Research and Policy:** Marketing support will be required to communicate to stakeholders and policymakers the benefits and implications of the spectrum of activities designed to analyze energy policy options, understand and mitigate the impacts of energy production and use on the environment, maintain energy systems reliability, and inform NYSERDA clean energy investments and programs in an evolving energy landscape.
6. **Strategic Communications:** Modernizing the grid is essential to New York's economy and ensures continued economic growth and prosperity in New York. Under Governor Cuomo's

comprehensive initiative, REV – Reforming the Energy Vision – New York State is actively spurring clean energy innovation, bringing new private investment, improving consumer choice, protecting the environment and energizing New York’s economy at the State and local levels. REV needs to be visible and understandable to New York citizens, industry stakeholders, private sector partners, NGOs, policymakers, and thought leaders in New York and beyond.

- 7. Clean Energy Competitions:** 76West is a clean energy business plan competition in New York’s Southern Tier that was introduced as part of Governor Cuomo’s 2015 Opportunity Agenda. NYSERDA implemented and operates the competition to bring new jobs to the Southern Tier.

For all categories, proposers will be expected to:

- Design and implement integrated marketing strategies to meet organization and program objectives, including identifying campaign objectives and developing a messaging strategy (i.e. themes, graphics, program materials, and communication tools and methods appropriate for target audiences.
- Become familiar with Governor Andrew M. Cuomo’s Reforming the Energy Vision (REV), Clean Energy Fund (CEF), and Clean Energy Standard (CES).
- Convey the benefits of energy efficiency and clean energy technology to all audiences, enabling them to make informed choices with respect to their rights and protections and the services and programs provided by regulated utilities, other State agencies, and competitive suppliers.
- Ensure that consumers know how to access needed information on clean energy, energy efficiency, and NYSERDA programs and services.
- Develop and deliver consistent, coordinated messages on multiple programs and initiatives to tell cohesive stories that are relevant to audience sectors.
- When appropriate, engage other marketing contractors across sectors and working collaboratively to develop and deliver coordinated, consistent messaging and materials.
- When necessary and appropriate, engage and work collaboratively with industry experts to better inform strategy development.
- Develop strategies to communicate results of pilot programs to spur additional action in the market.
- Develop an integrated media strategy, including targeted consumer and industry publications/media and consideration for new/social media.
- Conduct market research and/or provide other services to gather consumer and business-to-business input necessary to develop and evaluate NYSERDA programs and test strategies prior to implementation.
- Establish benchmarks for key measures such as awareness, understanding, attitudes, and participation rates, and tracking progress toward such benchmarks.
- Develop exhibits, displays, and educational materials.
- Provide copywriting services.
- Provide promotional and collateral support.
- Provide public relations support.
- Ability to adapt to changing timelines and short turnaround time.
- Augment audience definitions with available research and industry expertise.

III. Proposal Requirements

Proposers are required to submit all Proposal Requirements for each category in which they wish to be considered for qualification. Proposers are not required to propose for every category and are encouraged to propose for those categories in which they have expertise and experience. Proposers will only be considered for qualification in sectors for which all Proposal Requirements have been submitted. Proposers must clearly identify which categories are included in their proposals.

To meet the evaluation criteria of this solicitation for Marketing Support, each proposer shall address how it will satisfy the requirements discussed within this RFQL. The proposer must provide adequate information to effectively demonstrate the proposer's capability to perform all the work and services required.

The proposal must be in the following format:

Part I

- A. **Proposal Checklist (Attachment A).** A completed and signed Proposal Checklist must be attached as the front cover of your proposal. **Late proposals will be returned, and proposals lacking the appropriate completed and signed Proposal Checklist may be returned. Faxed or e-mailed copies will not be accepted.**
- B. **Category Checklist (Attachment D).** Clearly identify the categories being proposed.
- C. **Table of Contents.** Provide a Table of Contents that outlines page number and section where each proposed category can be found. Each proposal will be evaluated independently for each category proposed. Proposals must be organized and provide a separate section for each category being proposed.
- D. **Company Profile.** Provide company information, including
 - Year the firm was established
 - Statement of ownership: Describe the type of business entity (sole proprietorship, corporation, LLC, or other), list the majority and minority owners.
 - Subcontractors: Provide the company name, contact person, address, and telephone number, and specific intended tasks and percentage of work to be performed by any subcontractor.
 - Identify and include Minority/Women-Owned Business or Service-Disabled Veteran-Owned Business certifications for proposing firm and proposed subcontractors.

Each category being proposed must include the items listed below, regardless of whether they have been presented in another section:

- E. Qualifications.** For each proposed category, proposers are required to provide a brief narrative that includes: Brief description of the agency, including its founding and history; core capabilities and offerings, number of employees, service areas, and awards or other forms of recognition.
- F. Experience and ability to perform work.** For each proposed category, proposers must describe experience with, and understanding of, the identified sectors. Proposers should include specific relevant examples that highlight knowledge and understanding of each sector and ability to provide the identified Program Requirements. Proposers should demonstrate relevant knowledge of energy/clean energy industry and, relevant audiences, and highlight New York State experience. Include description of work process from strategy development to tactical implementation to measurement and results.
- G. Project Personnel and Rates (Attachment C).** For each proposed category, proposers are required to include a completed Attachment C: Project Personnel and Rates

In compliance with §139-j and §139-k of the State Finance Law (see Section V, General Conditions below for additional information), additional forms must be completed and filed with proposals: (1) a signed copy of the Proposal Checklist including required certifications under the State Finance Law and (2) a completed Disclosure of Prior Findings of Non-Responsibility form. Failure to include a signed copy of the Proposal Checklist referenced in this solicitation may disqualify your proposal.

Attach supporting documentation to support indirect cost (overhead) rate(s) or a breakdown of items that make up the requested multiplier, included in your proposal as follows:

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

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

Part II

Marketing Approach Assignments

In addition to the components listed in Part I, all Proposers are required to submit a marketing approach assignment for each category in which they wish to be considered for qualification. Proposers must provide a detailed planning and creative approach to a high-level, integrated marketing strategy for each assignment based on the information provided, information available on NYSERDA's website, industry data, and other available sources. This is not a request

for an actual campaign, just the proposer's approach to developing one. Each assignment should be no longer than five pages.

Proposers are not required to submit an assignment for every category; however, proposers will only be considered for qualification in categories for which assignments have been submitted. Several categories require more than one assignment. Proposers must complete all assignments in a category in order to be considered for qualification.

1. Commercial/Multifamily/Industrial

A. Commercial Real Estate Tenant Initiative

Background

NYSERDA's Commercial Real Estate Tenant Initiative aims to drive energy efficiency efforts above code during the commercial tenant lease and build-out process by demonstrating to tenants a cost-effective approach to energy efficient high performance office space, as well as demonstrating to building owners, brokers and architecture/engineering firms a cost-effective and replicable approach to delivering those spaces. NYSERDA will offer a cost-share to Architecture and Engineering firms (50% for custom tenant and building modeling and 100% for building-specific package development), initially targeting 180 buildings and 200 to 350 tenants.

Goals

- Stimulate investment in energy efficiency improvements in tenant spaces during the lease negotiation, space design, and construction process.
- Encourage building owners and tenants to work together to achieve energy efficiency in commercial buildings.

Target audiences

- Building owners/managers
- Tenants
- Architects, Designers, Engineers
- Real estate brokers
- Appraisers

Benefits

- NYSERDA cost-share for an energy modeling and package development process for tenant office space within NY State.
- Offers tenants a cost-effective approach to energy efficient high performance office space as well as offers building owners, brokers and architecture/engineering (A&E) firms a cost-effective and replicable approach to delivering those spaces.
- NYSERDA cost share on the development of new tools and resources that allow tenants greater visibility and manageability over their energy consumption, as well as tools that connect tenant level data with base building data.

Barriers

- Tenant energy use represents the majority of energy use in a commercial building but has been less impacted by efficiency initiatives than base building systems.
- Rapid lease negotiations and construction timelines limit opportunities to encourage tenant efficiency during the tenant fit out process.
- Need for greater cooperation between building owners and tenants for financing of energy efficiency measures.
- Low prioritization/consideration of energy efficiency in tenant space designs.

Key messages:

- The Commercial Real Estate tenant initiative allows Architects and Engineers to train employees in new skill set, and they can offer clients an additional service during the design process.
- For Architects and Engineers, packaged energy efficiency options for commercial tenant spaces allow designers to justify their designs and feel confident in their energy saving estimates.
- For building owners, packaged energy efficiency options for commercial tenant spaces allow building owners and managers to offer a new service during the lease negotiation process.
- For building owners, packaged energy efficiency options for commercial tenant spaces can lower operating costs, and potentially increase asset value. These options allow base building systems to run more efficiently.
- With high performing office spaces, tenants can realize positive changes in image/perception and increased productivity and asset value, as well as energy bill savings.

Marketing Ask: Provide an approach for how to overcome barriers to adopting energy efficiency at time of fit-out for new tenants.

B. Multifamily - Multifamily Energy Efficiency Service Solutions

Background

Engaging multifamily industry service providers to recommend, develop, and implement energy efficiency improvements is critical to the success of reducing energy usage in NYS multifamily buildings. Service providers are uniquely positioned to impact the scale and scope of building projects to include energy efficiency solutions.

NYSERDA is building a provider network, the Multifamily Building Solutions Network, where building owners can have a clear entry point to integrate clean energy technologies and strategies into their buildings from routine building maintenance to major capital improvements. We know that energy performance is often left out of the equation.

Service providers can be any type of firm that has the potential to improve a building's energy performance such as energy consultants, engineering firms, construction managers, building maintenance staff, heating and air-condition (HVAC) contractors, lighting installers, roofers, envelope installers etc. Initially, we will focus on HVAC contractors as centralized heating and hot water systems account for a majority of energy used to run multifamily buildings.

There are approximately 6,700 plumbing, heating, and air conditioning entities in New York. It's estimated a building owner could reduce their annual energy consumption by 11-22% with heating and hot water system improvements. Looking statewide, approximately three-fourths (73%) of multifamily buildings have central heating systems that supply tenant units. The majority are central boiler systems.

Heating contractors, especially those who work directly with building decision makers are an important market segment to tap in order to deliver these savings. Building decision makers have a strong preference to work with service providers that they already trust, have a relationship with, and know will deliver quality work on time.

Goals

HVAC Service Providers:

- Educate service providers on the value of integrating energy efficiency elements into their standard of business practices and begin offering to customers.
- Increase the number and quality of providers in the network.
- Increase the number of provider projects that integrate energy efficiency into the solution.
- Expand their offerings to include new services that will drive increased project uptake and energy savings.
- Reduce soft costs associated with project development.

Building Owners:

- Educate building owners on the value of integrating energy efficiency to common building problems and using a NYSERDA network provider.
- Increase number of building owners engaging network service providers to perform building maintenance and capital improvements.

Target audiences

- Primary: HVAC service providers in the multifamily buildings industry
- Secondary: Multifamily building owners market-rate and affordable

Benefits

HVAC Service Providers:

- Expand service offering to current and new customers.
- Equip multifamily service providers with tools and services to deliver effective energy solutions to multifamily buildings at lower costs.
- Encourage building owners to plan for and implement energy efficiency improvements as a part of routine maintenance, well ahead of system failure, which will increase amount of planned work while decreasing amount of emergency calls.
- Stabilize seasonal variability in revenue through planned maintenance vs. emergency calls.
- Access business development support for all energy efficiency projects, business and technical tools that simplify project development, marketing and communication guidance and an expanded customer base.

Building Owners:

- Increase asset value of your building by making smart capital investments.
- Lower operational costs- Optimize building technologies and systems.
- Address future maintenance and repair issues before they happen.
- Attract and retain tenants with more comfortable units.
- Work with a trusted professional that can assess a building issue and recommend customized solutions that integrate energy efficiency where appropriate.
- Save time and resources by leveraging providers in the network that are vetted and supported by NYSERDA.

Barriers

HVAC Service Providers:

- Soft costs incurred during project development for customer acquisition and conversion.
- Expenses related to learning curve associated with new energy efficient equipment, inspection charges, performance validation and monitoring expenditures.
- Building owners not demanding energy efficient solutions.
- Providers not seeing a larger benefit to join the network- they already have customers and are fine with their business model and income stream.

Building Owners:

- Building owners often find it challenging to locate qualified service providers that can deliver energy savings.
- Skeptical of projected savings.
- Integrating energy efficiency will increase costs and extend timeline to project.
- Taking on additional debt to fund projects.

Key messages

- Bring your building and business to their peak performance with energy efficient solutions to common building problems.
- Solve your building challenges with the help of energy efficiency professionals who will not only fix what's broken, but bring your building to its peak performance.
- By minimizing emergency calls, building decision makers will be able to save money on operating costs, increase energy efficiency, and avoid passing along to customers the fees associated with emergency work.

Marketing Ask: Provide an approach to growing the impact that a dedicated business performance contracting industry can have in improving multifamily building performance.

C. Industrial/Strategic Energy Management Initiative

Background

Energy is one of the largest operational costs for manufacturers. Companies that invest in process and energy efficiency projects can lower their energy costs and can improve their bottom lines and competitiveness. Addressing the industrial sector's energy management requires a range of solutions designed to help manufacturers of various levels of sophistication improve their energy efficiency. NYSERDA's Strategic Energy Management (SEM) initiative is one of those solutions. SEM is a continuous improvement approach to reducing energy intensity over time and is characterized by demonstrated customer commitment, planning, and implementation and by systematic measurement. SEM provides the opportunity to achieve systematic energy savings. Through the SEM initiative NYSERDA will conduct multiple pilots to guide manufacturers through the process of establishing and implementing an SEM system. Information from these pilots will be shared with the market to prove the value and to increase adoption.

Goals

- Prove the case for integrating energy efficiency as a core business practice and applying the principles of continuous improvement to energy management to foster substantial, long-term savings.
- Build market demand for SEM through sharing of pilot results, as well as through education and awareness.
- Develop standardization of SEM in New York State.
- Provide training to and develop partnerships with consulting firms and other market actors to grow the market supply of industrial SEM trainers.

Target audiences:

- Industrial facilities in New York State with high energy intensity (high energy associated with a process relative to the output of the process) and high energy costs relative to other business costs.
- Critical staff within facilities: facility and process engineers, C-suite executives, energy managers, production and plant managers, operations and maintenance managers.

Benefits

- On average, facilities that implement a Strategic Energy Management system will reduce their overall electric energy consumption by four percent during the first year.
- Peer-to-peer exchange of best practices, and building and sustaining a culture of energy efficiency within organizations.

Barriers

- Lack of standardization of SEM.
- Difficulty obtaining executive buy-in due to lack of awareness of benefits.
- Lack of expertise within facilities.
- Limited understanding of the energy embedded in the manufacturing process.

- Limited number of entities qualified to provide SEM training and services.

Key messages

- Energy is one of the largest operation costs for manufacturers. Investing in process and energy efficiency projects can help lower those energy costs and improve a company's bottom line and competitiveness.
- SEM is a key factor for staying competitive in the industrial sector due to the volume of energy and cost savings achievable by facilities.

Marketing Ask: Provide an approach to sharing SEM pilot data and information to educate the market and increase adoption of SEM.

2. Residential/Low-to-Moderate Income

A. NY-Sun

Background

In his 2012 State of the State Address, Governor Andrew M. Cuomo launched the NY-Sun initiative to greatly increase clean, renewable solar energy capacity throughout the State. In 2014, he made the announcement to further expand solar through a \$1 billion investment in the NY-Sun initiative that would spur development of a market-driven, sustainable, subsidy-free solar industry and launched the statewide NY-Sun Incentive Program to help reach these goals. NYSERDA has also directly engaged stakeholders in affordable housing, local government, and community-based organizations in building the Affordable Solar component of NY-Sun. This process has highlighted several opportunities for pursuing the goal of making solar energy accessible for Low-to-Moderate Income (LMI) New Yorkers as part of the sustainable, self-supporting solar market envisioned by NY-Sun. These options include incentive enhancement, competitive funding opportunities, financing options, shared solar options, customer aggregation, and outreach/training for affordable housing developers.

Objective/goals of the program

The goal of this initiative is to educate consumers at all income levels and help overcome market barriers to the adoption of solar technologies as well as improve the understanding of solar electric options within the general marketplace. A key component will be consideration and understanding of the various needs for the low-to-moderate income market segment.

Target audiences

Most NY-Sun programs focus on market rate NY State residents while some, such as Affordable Solar, specifically target the estimated 3 million low-to-moderate income households.

Benefits

Through the adoption of residential solar electric power, deliver less expensive/predictable energy costs for NY State residents and reduced greenhouse gas emissions.

Barriers

- Market stakeholders have indicated that one of the highest solar electric balance-of-systems costs (non- module costs) is customer acquisition.
- Solar electric companies report that there is considerable customer confusion regarding the various contract types (direct ownership, leases, and power purchase agreements), as well as the benefits associated with Solar electric systems.
- Customers and potential customers may not be fully aware of solar electric system operating characteristics, including implications of power outages.
- The most significant additional barrier for many LMI residents is poor credit. Lesser issues include lack of eligibility for tax credits and space/roof concerns. Language barriers, lack of internet access, and constraints on resources and time may prevent many LMI customers from being aware of and/or understanding solar electric technology and financing options.

Key messages

- Industry convergence is bringing new competitors and creating new value propositions with the potential to redefine how consumers view solar systems and interact with their providers.
- The industry is well positioned for growth. To fully capitalize on this growth opportunity and encourage informed decision making, NYSERDA believes it is in the best interest of New York residents and businesses for NYSERDA to provide objective information regarding the benefits, risks, opportunities and limitations of solar electric systems, as well as an explanation of various business models, opportunities in community solar (as appropriate), energy storage, and other topics.
- For the LMI market, the Affordable Solar program doubles the incentive and the Shared Solar program can accommodate many credit issues. LMI participants need to be made aware that solar options are available to residents of all income levels.

Additional information: nyserda.ny.gov/NY-Sun

Marketing Ask for market rate consumers: Provide approach around how to understand misconceptions about solar and how to build trust in this new technology.

Marketing Ask for low-to-moderate income consumers: Address the same issues as market rate with emphasis on solar being possible at all income levels. Advise how to reach LMI customers that may require specialized, culturally sensitive marketing, education, and outreach, both as far as the method used (e.g., language, medium, etc.) as well as the substance of the materials.

B. Residential Energy Efficiency

Background:

Energy efficiency helps homeowners reduce their energy bills, make their homes more comfortable, and protect the planet. NYSERDA administers energy efficiency programs that focus on understanding where homes waste energy so homeowners can get to the root of common household problems such as drafts, inconsistent temperatures, and heating and cooling issues. It goes beyond addressing the surface-level symptoms of inefficiency and analyzes how all the elements of the home work together so homeowners can choose the upgrades that will have the biggest impact on their energy bill. When homeowners begin exploring home improvement projects, they struggle to find a trusted home improvement contractor they have the confidence in to correctly assess the problem, to fix the problem and to stand behind their work. Hiring the right contractor is the key to the success of their home improvement project.

Through NYSERDA's energy efficiency program, participating contractors receive the Building Performance Institute (BPI) GoldStar Contractor credentialing. Unlike non-credentialed contractors, BPI GoldStar Contractors have passed rigorous written and in-field practical exams that verify their knowledge and skills in building science solutions. They are specially trained and experienced in the use of state-of-the-art diagnostic equipment to provide homeowners with an unparalleled, comprehensive analysis of their home's energy efficiency. BPI GoldStar Contractors apply sound building science, and prescribe solutions tailored to the homeowner unique needs and budget. BPI GoldStar Contractors are companies that commit to employing BPI certified professionals, complying with BPI technical standards and following quality assurance protocols.

As a sector, residential represents 28% of the net energy consumption (including transportation) in NYS¹. NYS has 5.2 million one-to-four family homes 15 years and older but less than 10% have received comprehensive, cost effective energy efficiency services². There is a huge market to access, but homeowners lack the awareness to understand why they should seek BPI GoldStar verses non-credentialed. BPI GoldStar Contractor is the gold seal of the contractor world.

Objective/goals of the program:

- Create value in the market for BPI GoldStar Contractor credentialing
- Homeowner to recognize the value/ benefit of hiring a BPI certified contractor over non-credentialed
- Homeowners to hire BPI credentialed contractors over non-credentialed

Target audiences

- Homeowners with homes 15+ years old

¹Patterns and Trends- New York State Energy Profiles: 199-2013, NYSERDA, October 2015

² Including NYSERDA's New York ENERGY STAR Homes, and EmPower New York program; and New York State Homes and Community Renewal Weatherization Assistance Program

Benefits of hiring a BPI GoldStar Contractor

- Highly trained professionals that are able to get installations and repairs right the first time because they possess the knowledge that houses are complex and made up of interacting parts.
- Confidence the contractor will properly diagnose home performance problems and prescribe solutions based upon the house-as-a-system
- Tested and credentialed by a nationally recognized independent not-for-profit organization for residential energy auditing and upgrade work
- Maintains current on top emerging issues, technologies and best practices.

Barriers

- Credibility/ belief homeowners will save what contractor claims - made improvements but the impact isn't what anticipated
- Overall distrust in the contractor industry
- Lack of awareness on credentialing

Key messages

- BPI credentials set the bar for trusted contractors.
- BPI GoldStar Contractors diagnose the house as a system and prescribe solutions that give you the best return on your investment.
- BPI helps improve the comfort, health, safety, energy efficiency and durability of your home.

Marketing Ask: Provide approach around how to create value in the market for BPI GoldStar Contractor credentialing

3. Communities and Local Government

A. Clean Energy Communities Program

Background

Clean Energy Communities is a recognition and grant program designed to drive energy efficiency and deployment of clean energy in local government and within municipalities. Clean Energy Communities provides local governments and municipalities the technical assistance, outreach, engineering support, and clear guidance to implement energy efficiency and clean energy projects in their communities. Upon completion of four of the ten identified High-Impact Actions, municipalities will receive recognition and grant funding to implement more innovative clean energy initiatives. NYSERDA plans to implement a marketing program to build awareness of the program and to encourage participation.

Objective/goals of the program

- Drive energy efficiency and deployment of clean energy in local government and within municipalities.
- Increase awareness of available support, technical assistance, and guidance that help decrease the amount of time, expertise, and funding needed within each New York State Community to prioritize and implement clean energy actions.
- Increase adoption of high-impact, clean energy policies and actions in city, town, village, and county governments across New York State.

Target audiences

- **Primary Audiences:** Decision Makers (Mayors, county executives, commissioners, town supervisors, chief administration officers, council leaders, building and engineering departments, town maintenance departments, sustainability officers/departments, board members/leaders)
- **Secondary Audience:** Influencers (citizens/residents, community leaders)

Benefits

Municipalities that complete four out of the 10 High Impact Actions and meet all other eligibility requirements are:

- Designated by New York State as a Clean Energy Community
- Eligible to apply for grants to fund additional clean energy projects
- With this program, local governments in New York State can build on their region's sustainability plans, implement clean energy actions, save taxpayer dollars, create jobs, and improve the environment. In addition to providing tools, resources, and technical assistance, the program recognizes and rewards leadership for clean energy projects.

Barriers

Municipalities face a variety of barriers, which vary with the size, structure, geographic location, leadership structure, etc. of the municipality.

- Economic: Property tax freeze, limited resources (staff) and budget
- Asset ownership structures
- Political

- Lack of technical knowledge to implement energy efficiency projects
- Rarely rewarded or recognized for clean energy leadership
- Too many choices: hard to focus on the right options

Key messages:

- Local governments are critical partners in achieving a new energy vision for New York State. Municipal leaders play a critical role in affecting energy choices in their communities, both in terms of government operations and across homes, businesses, and community institutions.
- The Clean Energy Communities Program provides grants, direct technical support to communities, and recognition to local governments that demonstrate leadership in the area of clean energy.

Marketing Ask: Provide approach around how to overcome barriers and encourage communities to adopt clean energy strategies.

4. Innovation and Cleantech Entrepreneurs

A. Technology Innovation & Business Development Resources Communication and Promotion

Background

The Innovation Capacity and Business Development (IC&BD) team helps develop, establish, and deliver cleantech resources to support entrepreneurs and ventures in all stages of development from initial idea to product commercialization. The IC&BD programs make up the foundation of the cleantech innovation ecosystem in the State. There is a need to help these key resources across the State, which include Incubators, Proof-of-Concept Centers, Entrepreneurs-in-Residence Program, Cleantech Executive Leadership Institutes, and Technology Testing and Commercialization Centers, highlight and promote the successes of the companies they work with. In addition, these resources benefit greatly from their brand name recognition and visibility in the marketplace. There is also a need for them to better integrate and communicate with their constituents, potential clients and each other. There is also a need to help these key resources work better together when it comes to specific clients who do, or could, cross multiple resource entities..

Goals

- Highlight and promote success stories and significant milestones of companies working with the key resources.
- Elevate the stature and visibility of the key resources by building and enhancing their brand name recognition in the marketplace.
- Help the key resource teams maximize the use of the channels/marketing/communications resources they may already have access to.
- Ensure the key resource teams are optimizing the use of social media, audience segmentation, contact lists, press, media, collateral, web content, infographics, data, metrics, and reporting.
- Help the key resource teams see the overlap/pass-off opportunities they have with end-users of their services, facilitating the sharing of clients.

Target Audiences

- Incubators (six across the State)
- Proof-of-Concept Centers (one upstate and two, which operate under the same umbrella, downstate)
- Entrepreneurs-in-Residence Program (statewide)
- Cleantech Executive Leadership Institutes (one upstate and one downstate)
- Technology Testing and Commercialization Centers (solar, wind, and energy storage centers upstate)

Benefits

- Increased awareness and utilization of these resources by companies and key market actors (investors, development partners, and other venture development organizations) in New York State and abroad.
- Enhanced brand name recognition of these resources within the innovation community, both regionally and nationally.
- Higher visibility of company success stories and significant milestones.
- Better communication and collaboration among key resources.

- Increased, coordinated marketing efforts across the portfolio of key resources..
- Consistency of messaging in the marketplace.
- Better packaged metrics for NYSERDA's stakeholders.

Barriers

- These key resource groups are bandwidth-constrained and need to do a lot with little assistance when it comes to their own internal resources, such as human capital and time.

Key Messages

- These key resources in New York State's cleantech innovation ecosystem are critical in helping entrepreneurs and companies commercialize and deploy clean energy technologies in the State.
- Their successes are our successes.
- The work these key resources are doing is accelerating the time to market for innovative clean energy technologies in the State and beyond.

Additional information

<http://www.nysERDA.ny.gov/Partners-and-Investors/Clean-Energy-Startups/NYSERDA-Supports-Growth-Essentials/>

Marketing Ask: Provide approach around how to deliver high-value marketing and communications support to, and to facilitate better communication among, NYSERDA's key innovation resources and the companies they serve throughout New York State.. This should include strategies for highlighting and promoting company success stories and significant milestones on a both regional and national stage. In addition, provide approaches for increasing the brand name recognition and positioning of the key resources within the broader innovation community.

B. Innovation and Research Education

Background

Innovation and research is core to NYSERDA's business (ie "Research" is our middle name). There is a need to better educate and inform the primary and secondary participants in our programs about the successes we drive and expertise we have. These stakeholders are important to us in terms of achieving our outcomes and we need to better position NYSERDA's efforts on the innovation and research front.

Goals

- Characterize and message success stories and the significant milestones that NYSERDA is achieving in the areas of innovation and research, backed up by metrics, data, awards received, etc.
- Promote these successes and achievements and communicate the leadership NYSERDA has when it comes to clean energy in NYS, the US and the world.
- Elevate the stature and visibility of NYSERDA innovation and research in the marketplace.

Target Audiences

- Investors
- Academia
- Key corporate entities
- Entrepreneurs
- Utilities
- Other government agencies/entities

Benefits

- Increased awareness of NYSERDA innovation and research programs and utilization by these stakeholders and their constituents.
- A furthering of NYSERDA successes, hard and soft benefits through stakeholder communication outlets.
- Potentially better co-investment from stakeholders in partnership situation.
- An elevated reputation for NYSERDA and NYSERDA partners in the Innovation and Research space.
- Consistency of positive messages in the marketplace.
- Better packaged metrics for NYSERDA, NYSERDA partners and stakeholders.

Barriers

- Investment in innovation and research is by nature a gamble when it comes to individual projects, which we know a certain number will fail.
- Many of these projects take years to develop and complete and there are not always quick successes to assess and promote.
- Many of the benefits are not hard/easy to quantify, they may be soft and more difficult to articulate successes for.

Key Messages

- NYSERDA is a leader on the clean energy front in New York State and the country.
- NYSERDA is the largest investor in cleantech in the country.

- The work NYSERDA is doing is accelerating the time to market for innovative clean energy technologies in the State and beyond.

Marketing Ask: Provide approach around how to deliver high-value marketing and communications support for NYSERDA's successes in areas of Innovation and Research. This should include strategies for highlighting and promoting success stories and significant milestones on a both regional and national stage. In addition, provide approaches for increasing the NYSERDA brand name recognition.

5. Research and Policy

Background

NYSERDA supports a spectrum of activities designed to analyze energy policy options, understand and mitigate the impacts of energy production and use on the environment, maintain energy systems reliability, and inform NYSERDA clean energy investments and programs in an evolving energy landscape. Maintaining objectivity in its analysis of program options and activities is key to ensuring the success of NYSERDA's data, planning, and policy functions. Such objectivity ensures that NYSERDA's reputation among stakeholders as an honest arbiter in policy deliberation and program performance is maintained at the highest possible level.

NYSERDA played a leadership role in developing the 2015 State Energy Plan, including the development of economic analysis and modeling of energy and environmental issues. To help facilitate the transition to Governor Andrew M. Cuomo's Reforming the Energy Vision, NYSERDA's Energy and Environmental Data, Planning, and Policy investment area supports a number of critical analytical studies.

The Greenhouse Gas Inventory and Forecast is one of these studies. The rate and extent of climate change depend on the amount of greenhouse gases (GHGs) present in, and delivered to, the atmosphere. This report provides a detailed accounting of emissions in New York State from 1990 to 2030, with historical figures from 1990–2011 and a future baseline through 2030 based on State policies and economic conditions as of 2013. Visit nyserderda.ny.gov/-/media/Files/EDPPP/Energy-Prices/Energy-Statistics/greenhouse-gas-inventory.pdf to access the most current version of the report.

Target Audience

The policymaker audience includes government and elected officials primarily in, but not limited to, New York State and stakeholder interest groups such as environmental groups, consumer groups, and the regulatory departments of utility companies.

Benefits

- Energy-related environmental research provides the foundation for ensuring that New York State meets its clean energy goals by guiding cost-effective greenhouse gas mitigation and climate adaptation strategies.
- Environmental research and analysis informs State and federal energy and environmental policies.
- It also provides environmental accountability, examines the health and ecological co-benefits of alternative energy and technology solutions, and guides emerging energy technologies and systems.
- These technologies and systems can be used to diversify New York State's sources of energy generation with needs of people and the environment in mind.
- If policymakers have data in a way that they can understand it, they can allocate funding and resources as needed and develop informed legislation to meet the State's clean energy goals and protect the environment.

Barriers

- NYSERDA staff time is limited and skills are stronger in gathering and managing data rather than articulating the benefits and implications in a digestible form for an audience of busy policymakers.

- There is a large amount of data and information that needs to be distilled down to salient points that clearly articulate the benefits and implications that can be gathered from that data.

Key messages

The Greenhouse Gas Inventory and Forecast, as well as other reports and data can and should be used to inform and help deliver key messages in an easily digestible form to policymakers:

- REV is designed to achieve a clean, resilient, and affordable energy system for all New Yorkers.
- NYSERDA's 10-year, \$5 billion Clean Energy Fund supports clean energy market development and innovation and is a pillar of REV.
- The 2015 State Energy Plan outlines three 2030 State Energy Goals including a 40% reduction of greenhouse gas emissions from 1990 levels and a 23% decrease in energy consumption in buildings from 2012 levels.
- The Clean Energy Standard requires that half of all electricity in New York State be generated from clean, renewable sources by 2030. CES began as one of the three State Energy Goals.

Additional information

- NYSERDA's Strategic Outlook 2015-2018
nyserda.ny.gov/-/media/Files/About/Strategic-Plan/strategic-outlook.pdf
- REV
<https://www.ny.gov/programs/reforming-energy-vision-rev>
- CEF
<http://www.nyserda.ny.gov/About/Clean-Energy-Fund>
- CES
<https://www.governor.ny.gov/news/governor-cuomo-directs-department-public-service-begin-process-enact-clean-energy-standard>
- SEP
<http://energyplan.ny.gov/>

Marketing Ask: Provide approach around how best to present data and the benefits and implications of this data in a way that is clear, concise, and understandable to policymakers in New York State.

6. Strategic Communications

A. REV Communications Support

Background

Reforming the Energy Vision (REV) Strategy will transform the State's clean energy landscape. Under Governor Cuomo's REV initiative, New York is pioneering a new statewide approach, giving customers new opportunities for energy savings, local power generation, and enhanced reliability to provide safe, clean, and affordable electric service for all customers. The approach includes actively spurring clean energy innovation, bringing in new private investments, improving consumer choice, protecting the environment, and energizing New York's economy at the state and local levels.

Goals

- Increase awareness and understanding of REV among New York citizens, industry stakeholders, private sector partners, NGOs, policymakers, and thought leaders in New York State and beyond.
- Develop and deliver a clear, consistent message and strategy to inform New Yorkers of the benefits of New York's Reforming the Energy Vision Strategy and to encourage understanding and actions that will hasten REV's impact and New York's ability to meet aggressive energy goals.

Target audiences

- New York State citizens
- Communities/LMI Communities and Stakeholders
- Industry leaders
- Small Business Owners
- Energy/Tech Innovators
- Corporate/Finance Sector
- Individual Consumers
- Environmentalists
- Politicians/NYS elected officials
- Thought Leaders/Academia
- Media

Benefits

Public understanding will accelerate REV's impact

Barriers

Complex concepts are difficult to convey

Key messages

- REV is a strategy to build a clean, resilient, and affordable energy system for all New Yorkers.
- Governor Cuomo's comprehensive energy strategy for New York to help consumers make better and more informed energy choices, enable the development of new energy products and services, protect the environment and create new jobs and economic opportunity throughout New York State.

More information

<https://www.ny.gov/programs/reforming-energy-vision-rev>

REV fact sheet and FAQs

Communications Ask: Provide approach on how to engage citizens and key influencers to further REV in New York State.

7. Clean Energy Competitions

A. 76West

Background

76West is a clean energy business competition that NYSERDA soft launched on 11/2/15 and officially launched on 1/31/16. The competition supports New York's Southern Tier and was introduced initially as part of the Governor's 2015 Opportunity Agenda. NYSERDA is implementing and operating the competition to bring new jobs to the Southern Tier. The competition builds on the 43North model, embracing key elements of 1) business competition and business support activities, and 2) attracting new businesses from all over. Each year, a panel of judges will award \$2.5 million in prize money.

To compete in 76West, companies must meet two or more of the following:

- In business for fewer than seven years
- Have a clean energy product or service in testing or pilot production
- Are a pre- or early-stage business
- Have a leadership team and investors working toward commercialization and profitability

Winning clean energy startups that are located outside of New York State must relocate to the Southern Tier Region. Winners from other parts of New York State will not be required to relocate to the Southern Tier if they can demonstrate how their company will have a positive impact on the Southern Tier Region.

76West is designed to further develop the regional community of clean energy technology innovators, industry experts, educators, and investors, as well as help startups get early users for their technologies.

Goals

- Catalyze a clean energy cluster that builds on the indigenous strengths and assets of the Southern Tier.
- Grow and attract new clean energy businesses.
- Leverage existing and planned public and private investment in research and business growth.
- Build partnerships with local businesses to bring innovative solutions to the market.
- Communicate the opportunities of the Southern Tier to clean energy businesses outside of the region.
- Support a portfolio of programs designed to increase the probability of success for the new businesses participating in the competition.
- Beyond the regional economic development benefits of the program, commercializing new technologies that help New Yorkers (and beyond) use less energy or generated cleaner energy will have long-term greenhouse gas reduction impacts.
- Now that the competition has officially launched and the first awards are being made, we need a thoughtful and comprehensive plan to take the competition into the future, over the course of the next 3 rounds.

Target Audiences

- Prospective entrants, who are clean energy entrepreneurs and growth companies from all over the world. The objective is to persuade them to enter the competition, and to introduce them to the Southern Tier as a place to do business. A broad geographic diversity of entrants is desired.
- Existing companies in the clean energy supply chain. The objective is to get their attention and begin to get them to see 76West as an effort that will develop, attract and grow new ventures that can be their suppliers and customers, as well as bring their attention to the Southern Tier as a region with clean energy technology resources and an emergent clean energy sector.
- Major corporations who make venture investments in clean energy companies. The objective is to get them to understand that 76West will develop, attract and grow innovative companies that can be their strategic partner and sources of new technology.
- Major customers of clean energy technology. The objective is to get them to see 76West as an effort that will rapidly develop technologies, business and solutions that can help them reach clean energy goals.
- Financial investors (venture capital firms) in the clean energy industry. The objective is to persuade them that 76West will attract and develop a number of high quality investments for their portfolios.
- Professional stakeholders, Influencers and Partners in the area who have key resources. Objective is for them to embrace the competition, relate to how it aligns with their regional development objectives, and help promote the competition to their constituents.

Benefits

- Economic development in New York's Southern Tier Region.
- Attraction to the area of clean energy businesses.
- Acceleration of bench to market for clean energy startups.
- Many innovative companies and resources already have traction in the region.

Barriers

- There are pockets in the region with minimal development.
- It is difficult to get companies to relocate themselves (and the families of their employees) to a new region.

Key Messages

- 76West offers \$20 million in prize money and support services.
- \$1 million top prize awarded each year.
- This unparalleled opportunity empowers you with the capital, guidance, and resources needed to do business in New York State's Southern Region.
- Think of it as an 8,605 sq. mi. incubator for startups.
- Winners of the competition receive a share of prize money along with access to startup incubators, mentors, training programs and investor communities. Support from Binghamton University, Cornell University, and other nationally recognized clean energy leaders. Support from State entities, such as NYSERDA. Networking opportunities with successful entrepreneurs. Opportunities to do business with global leaders in the region.
- More at nyserda.ny.gov/76West

Marketing Ask: Provide thinking on how to expand the number of qualified proposers to 76West, especially proposers from outside New York State.

IV. Proposal Evaluation

Proposals that meet Proposal requirements will be reviewed by a Technical Evaluation Panel (TEP) using the following evaluation criteria. All proposers will be evaluated based on the following criteria and competencies. **Proposals will be evaluated independently for each category.**

- Demonstrates knowledge of proposed sector, market actors, audience, and NYS energy markets.
- The extent to which the proposer demonstrates an understanding of and develops a proposal to address proposal requirements and Marketing Approach Assignments.
- Demonstrates experience and qualifications required to meet marketing support needs.
- The quality of the proposer's approach as reflected by the responsiveness, thoroughness, strategic thinking, and creativity of the strategy.
- The potential of the approach to achieve program goals.
- Cost effectiveness and competitive rates.
- Satisfactory record of performance.

If deemed necessary by the Technical Evaluation Panel, proposers may be asked to attend in-person presentations to discuss their proposals.

V. GENERAL CONDITIONS

Proprietary Information - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <http://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

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

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

Empire State Development
Division For Small Business
625 Broadway
Albany, NY 12207

A directory of certified minority- and women-owned business enterprises is available from:

Empire State Development
Minority and Women's Business Development Division
625 Broadway
Albany, NY 12207

State Finance Law sections 139-j and 139-k - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at

<http://www.ogs.ny.gov/aboutogs/regulations/advisoryCouncil/StatutoryReferences.html>

The attached Proposal Checklist calls for a signature certifying that the proposer will comply with State Finance Law sections 139-j and 139-k and the Disclosure of Prior Findings of Non-responsibility form includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years.

Tax Law Section 5-a - NYSEDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSEDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf).

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

Contract Award - NYSEDA anticipates making multiple awards under this solicitation. It may also make multiple awards to a single proposer for each successful audience sector proposal. It may award a contract based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most favorable cost and technical terms. NYSEDA may request additional data or material to support applications. NYSEDA will use the Sample Agreement to contract successful proposals. NYSEDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the submitted proposal (see Proposal Checklist). Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSEDA expects to notify proposers approximately six weeks from the proposal due date whether your proposal has been selected to receive an award. NYSEDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSEDA agreement.

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

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

disclose if they have ever been debarred or suspended by any agency of the U.S. Government or the New York State Department of Labor.

V. Attachments:

- Attachment A: Proposal Checklist**
- Attachment B: Disclosure of Prior Findings of Non-Responsibility**
- Attachment C: Project Personnel and Rates**
- Attachment D: Category Checklist**
- Attachment E: Sample Contract Agreement**
- Attachment F: Article 15-A (MWBE) Provisions for Solicitation Documents (non-construction)**
- Attachment G: Electronic Submission Instructions**



**External Technical Review Assistance
Request for Qualifications (RFQL) 3323**

Submittals accepted thru July 16, 2018 by 5:00 PM Eastern Time*
(or as extended or modified by NYSERDA)

Program Summary:

NYSERDA seeks highly qualified external technical reviewers and advisors to review proposals submitted to NYSERDA's various funding opportunities and to provide due diligence analysis and expertise for ongoing projects to help NYSERDA advance innovative energy solutions within four strategic focus areas: advanced buildings, transportation, renewable energy, and smart grids.

NYSERDA's Technology and Business Innovation Group routinely defines energy and environmental challenges within its strategic program focus areas (Advanced Buildings, Transportation, Renewable Energy, and Smart Grid), and then develops funding opportunities that solicit proposals from private or institutional entities for activities and projects addressing those issues.

Expression of Interest Submission: Electronic submission is preferable. NYSERDA will also accept submissions by mail or hand-delivery. If submitting electronically, submitters must submit their documents in either PDF or MS Word format with a completed and signed Submittal Checklist and Disclosure of Prior Findings of Non-Responsibility, in PDF format. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility, rather than scanning. For ease of identification, all electronic files must be named using the submitter's entity name in the title of the document. Proposals may be submitted electronically by following the link for electronic submissions found on this RFQL's webpage, which is located in the "Current Opportunities" section of NYSERDA's website (<http://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>). Instructions for submitting electronically are located as Attachment C to this RFQL.

If mailing or hand-delivering, proposers must submit (2) paper copies of their proposal with a completed and signed submittal Checklist following the above guidelines. Mailed or hand-delivered submittals must be clearly labeled and submitted to:

**Jill Baxter, RFQL 3323
NYS Energy Research and Development Authority
17 Columbia Circle
Albany, NY 12203-6399**

If you have technical questions concerning this solicitation, contact Richard Drake at (518) 862-1090, ext.3258 or Richard.Drake@nyserda.ny.gov. If you have contractual questions concerning this solicitation, contact Nancy Marucci at (518) 862-1090, ext. 3335 or Nancy.Marucci@nyserda.ny.gov.



External Technical Review and Advisory Assistance (RFQL - 3323)

NYSERDA's Technology and Business Innovation Group seeks highly qualified external technical reviewers and advisors to help us advance innovative energy solutions within four strategic focus areas: advanced buildings, transportation, renewable energy, and smart grids (as described in attachment E).

Additionally, as we continually explore innovation in the production, distribution, and use of clean energy, we encourage individuals with expertise in all aspects of this field to join NYSERDA's cadre of eligible external technical reviewers and advisors.

Background

To ensure that NYSERDA awards contracts on a competitive basis to the maximum extent possible, NYSERDA enlists internal and external technical reviewers and advisors, with no conflict of interest in the outcome, to evaluate every proposal's technical merit and commercial viability.

Roles

We define external technical reviewers and advisors as highly qualified subject matter experts. They may come from academia, private industry, non-governmental sector, or government.

- Technical reviewers evaluate proposals against NYSERDA's organizational goals and the programmatic criteria described in each funding opportunity notice.
- Technical advisors provide due diligence analysis and expertise in the oversight of ongoing projects, and serve as part of a project advisory team.

Reviewers and advisors will generally review one to three proposals or projects in their area of expertise. All external technical experts must sign non-disclosure agreements prior to evaluating any materials (attachment D). All applicants will be reviewed for both roles.

Travel and reimbursement

It is NYSERDA's policy to reimburse external reviewers and advisors for travel and other direct costs should they incur them, but we do not expect travel will be required. We anticipate most, if not all, necessary communication will take place over email, web conferences, and/or telephone.

How to apply

Interested individuals must apply electronically by filling out the attached Technical Reviewer Expression of Interest and Registration Form (attachment A) and submitting it, together with a copy of their résumé/CV describing their qualifications, per the instructions provided in attachment C, Electronic Submittal Instructions.



Contact

If you have technical questions concerning this request, contact Richard Drake, Program Manager, Technology and Business Innovation via email at richard.drake@nyserda.ny.gov or telephone at (518) 862-1090 ext. 3258.

If you have questions concerning about procurement rules around this request, contact Nancy Marucci, Associate Contract Administrator, Contract Management via email at nancy.marucci@nyserda.ny.gov or telephone at (518) 862-1090 ext. 3335.

Attachments

Attachment A – Technical Reviewer Expression of Interest Registration Form

Attachment B – Disclosure of Prior Findings

Attachment C – Electronic Submittal instructions

Attachment D – Reviewer Non-disclosure and Confidentiality Agreement

Attachment E – Current Technology and Business Innovation Focus Areas

NYSERDA

Public Authority Law Report

April 1, 2016 to September 30, 2016

Section Break

Projects Selected for Funding by Region

Period 4/1/2016 through 9/30/2016

REDC Region	County	Electric Utility	Total Funded Amount
Capital Region	ALBANY	Central Hudson Gas and Electric	35,192
		Municipal Utilities	87,288
		National Grid	13,850,021
	COLUMBIA	National Grid	2,196,065
		NYS Electric and Gas	22,992
	GREENE	Central Hudson Gas and Electric	99,573
	RENSSELAER	National Grid	3,768,587
		NYS Electric and Gas	505,408
	SARATOGA	National Grid	1,223,430
		NYS Electric and Gas	899,653
	SCHENECTADY	National Grid	4,009,208
	WARREN	National Grid	853,098
	WASHINGTON	National Grid	4,501,602
		NYS Electric and Gas	8,500
	Total		32,060,617
Central New York	CAYUGA	NYS Electric and Gas	4,222,904
		Rochester Gas and Electric	8,956
	CORTLAND	National Grid	112,157
		NYS Electric and Gas	2,500
	MADISON	National Grid	906,427
		NYS Electric and Gas	420,894
	ONONDAGA	National Grid	11,030,443
		NYS Electric and Gas	166,078
	OSWEGO	National Grid	1,200,714
	Total		18,071,074
Finger Lakes	GENESEE	National Grid	4,422,289
	LIVINGSTON	National Grid	173,350
		NYS Electric and Gas	6,599
	MONROE	National Grid	1,895,175
		Rochester Gas and Electric	6,956,897
	ONTARIO	NYS Electric and Gas	4,613,969
		Rochester Gas and Electric	1,885,710
	ORLEANS	National Grid	5,000
	SENECA	NYS Electric and Gas	1,522,027
	WAYNE	NYS Electric and Gas	506,442
		Rochester Gas and Electric	161,269
	WYOMING	National Grid	118,863
		NYS Electric and Gas	2,176,112
YATES	NYS Electric and Gas	152,207	
Total		24,595,908	
Long Island	NASSAU	Consolidated Edison	10,220
		Municipal Utilities	12,068
		PSEG Long Island	378,684
	SUFFOLK	Null	51,255

Projects Selected for Funding by Region

Period 4/1/2016 through 9/30/2016

REDC Region	County	Electric Utility	Total Funded Amount
Long Island	SUFFOLK	PSEG Long Island	1,020,642
	Total		1,472,869
Mid-Hudson	DUTCHESS	Central Hudson Gas and Electric	5,645,222
		National Grid	5,016
		NYS Electric and Gas	43,349
	ORANGE	Central Hudson Gas and Electric	344,368
		NYS Electric and Gas	1,451,649
		Orange and Rockland Utilities	12,301,370
	PUTNAM	NYS Electric and Gas	1,647,851
	ROCKLAND	Orange and Rockland Utilities	1,390,663
	SULLIVAN	NYS Electric and Gas	28,771,198
		Orange and Rockland Utilities	28,323
	ULSTER	Central Hudson Gas and Electric	14,982,050
	WESTCHESTER	Consolidated Edison	9,510,834
		NYS Electric and Gas	204,516
	Total		76,326,408
	Mohawk Valley	CHENANGO	NYS Electric and Gas
FULTON		National Grid	2,460,134
HERKIMER		National Grid	42,956
		NYS Electric and Gas	2,136,128
MONTGOMERY		National Grid	7,764,692
ONEIDA		National Grid	2,436,633
		NYS Electric and Gas	40,038
OTSEGO		National Grid	6,466
		NYS Electric and Gas	2,233,113
SCHOHARIE		National Grid	1,698,297
Total		18,987,672	
New York City	BRONX	Consolidated Edison	2,844,803
	KINGS	Consolidated Edison	9,854,215
	NEW YORK	Consolidated Edison	31,322,719
	QUEENS	Consolidated Edison	6,114,334
		PSEG Long Island	46,511
	RICHMOND	Consolidated Edison	3,893,140
Total		54,075,723	
North Country	CLINTON	Municipal Utilities	4,382
		NYS Electric and Gas	3,214,437
	ESSEX	National Grid	190,012
		NYS Electric and Gas	21,518
	FRANKLIN	National Grid	75,911
		NYS Electric and Gas	10,000
	HAMILTON	NYS Electric and Gas	5,616
	JEFFERSON	National Grid	2,198,046
	LEWIS	National Grid	514,352
	SAINT LAWRENCE	National Grid	3,279,152

Projects Selected for Funding by Region

Period 4/1/2016 through 9/30/2016

REDC Region	County	Electric Utility	Total Funded Amount
North Country	Total		9,513,427
Southern Tier	BROOME	NYS Electric and Gas	486,550
	CHEMUNG	NYS Electric and Gas	9,333,359
	DELAWARE	NYS Electric and Gas	2,362,742
	SCHUYLER	NYS Electric and Gas	1,281,677
	STEUBEN	NYS Electric and Gas	3,280,893
	TIOGA	NYS Electric and Gas	812,870
	TOMPKINS	National Grid	2,565,854
		NYS Electric and Gas	3,315,930
Total		23,439,876	
Statewide	STATEWIDE	Statewide	320,207,264
	Total		320,207,264
Western New York	ALLEGANY	NYS Electric and Gas	5,828
		Rochester Gas and Electric	485,756
	CATTARAUGUS	National Grid	6,591,587
		NYS Electric and Gas	2,500
	CHAUTAUQUA	Municipal Utilities	5,856
		National Grid	258,512
		NYS Electric and Gas	41,885
	ERIE	National Grid	3,784,293
		NYS Electric and Gas	1,574,260
	NIAGARA	National Grid	223,079
		NYS Electric and Gas	1,164,280
	Total		14,137,834
	Grand Total		592,888,673

Projects Selected for Funding by Region
Period 4/1/2016 through 9/30/2016

REDC Region	Contractor	County	Electric Utility	Project Description	Total Funded Amount
Capital Region	22nd Century Technologies, Inc.	ALBANY	National Grid	Admin, Staff Augmentation	48,750
	Active Solar Development, LLC	ALBANY	Central Hudson Gas a..	Renewable Thermal, Solar Thermal Incentive	23,600
			National Grid	Renewable Thermal, Solar Thermal Incentives	69,825
		GREENE	Central Hudson Gas a..	Renewable Thermal, Solar Thermal Incentives	5,000
		SARATOGA	National Grid	Renewable Thermal, Solar Thermal Incentive	5,453
	Affordable Housing Partnership	ALBANY	National Grid	Green Jobs Green New York Revolving Loan Fund, Green Jobs Green ..	85,344
	Albany County Dept. of General Services	ALBANY	National Grid	Smart Grid Systems, City of Albany - Airport	35,000
	Albany Housing Authority	ALBANY	National Grid	HOME PERFORMANCE WITH ENERGY STAR, Codes & New Constru..	15,450
				New York ENERGY STAR Homes, Codes & New Construction	139,050
	American Energy Care, Inc.	RENSSELAER	National Grid	New York Sun Program, NY-Sun	9,984
	Apex Solar Power LLC	RENSSELAER	National Grid	New York Sun Program, NY-Sun	6,000
		SARATOGA	National Grid	New York Sun Program, NY-Sun	5,200
		SCHENECTADY	National Grid	New York Sun Program, NY-Sun	8,064
		WARREN	National Grid	New York Sun Program, NY-Sun	13,284
		WASHINGTON	National Grid	New York Sun Program, NY-Sun	32,984
			NYS Electric and Gas	Renewable Thermal, Solar Thermal Incentives	6,000
	Arcadis of New York, Inc.	WASHINGTON	National Grid	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500
				NYS Electric and Gas	Agriculture Energy Efficiency Program, FlexTech Consultant Selection
	Barbaera Homes and Development, Inc.	SARATOGA	National Grid	HOME PERFORMANCE WITH ENERGY STAR, Codes & New Constru..	300
				New York ENERGY STAR Homes, Codes & New Construction	2,700
	BBL Construction Services LLC	SARATOGA	NYS Electric and Gas	New Construction Program, NCP13202 - Courtyard Marriot	37,758
		SCHENECTADY	National Grid	New Construction Program, NCP12154-Crtyrd Marriott-OFLT	48,275
	Bizodo Inc	ALBANY	National Grid	Admin, Seamless Professional Services	25,000
	Borrego Solar Systems, Inc.	ALBANY	National Grid	New York Sun Program, Commercial/Industrial PV	597,701
		COLUMBIA	National Grid	New York Sun Program, Commercial/Industrial PV	553,752
		WASHINGTON	National Grid	New York Sun Program, Commercial/Industrial PV	2,528,088
	Brahama Group Inc	WASHINGTON	National Grid	New York Sun Program, Commercial/IndustrialPV	299,785
	C.T. Male Associates Engineering,	SCHENECTADY	National Grid	Flexible Technical Assistance Program, FlexTech Consultant Selection	9,225
	Cambridge United Presbyterian Church	WASHINGTON	National Grid	New York Sun Program, Solarize 2016	5,000
	Capital District Regional Planning Comm.	ALBANY	National Grid	Cleaner Greener Communities, CGC53356 - CDRPC	3,000,000
	Capital Region Gaming LLC	SCHENECTADY	National Grid	New Construction Program, NCP13190 - Mohawk Casino-OFLT	212,996
	Center for Internet Security Inc	ALBANY	National Grid	Admin, Information Securty Malicious	7,440
	CHA Consulting Inc.	SARATOGA	National Grid	Flexible Technical Assistance Program, FlexTech Consultant CHA	54,420
		SCHENECTADY	National Grid	Renewable Heat NY, Technical Review and Program S	1,950
	Computer Aid, Inc.	ALBANY	National Grid	Admin, Staff Augmentation	280,800
	Concur Technologies, Inc.	ALBANY	National Grid	Admin, Concur Tech Expense Expert	18,000
	Crossland Mechanical Inc.	ALBANY	National Grid	Admin, HVAC - NYC Office Telco/AV Rm	23,668
	Cypress Creek Renewables LLC	COLUMBIA	National Grid	New York Sun Program, NY-Sun	1,172,567
		RENSSELAER	National Grid	New York Sun Program, NY-Sun	1,172,567
	David P Bruns	SCHENECTADY	National Grid	HOME PERFORMANCE WITH ENERGY STAR, Codes & New Constru..	992,000
	DCG Development Co.	SARATOGA	National Grid	New Construction Program, NCP12367 - Home2 Suites-OFLT	46,054
	Direct Packet Inc.	ALBANY	National Grid	Admin, Tandberg Support - Renewal	5,055
				Admin, VideoConf End of Life	16,258
	DynaBil Industries Inc	GREENE	Central Hudson Gas a..	New Construction Program, NCP12893 - Building 171-OFLT	11,980
	Dynamic Energy Solutions, LLC	ALBANY	National Grid	New York Sun Program, Assignee-DE	1,022,236
	Earth Environmental Group, LLC	SCHENECTADY	National Grid	Renewable Thermal, Solar Thermal Incentives	25,130
	EC Infosystems, Inc.	ALBANY	National Grid	Admin, Electronic Data Outsourcing	190,650
	Energy & Resource Solutions, Inc.	ALBANY	National Grid	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500
		SARATOGA	National Grid	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500
	EnterSolar LLC	SCHENECTADY	National Grid	New York Sun Program, NY-Sun C/I	369,636
Environment & Energy Publishing, LLC	ALBANY	National Grid	Admin, Annual Renewal for Environmenta	10,770	
Erdman Anthony & Associates, Inc.	SARATOGA	National Grid	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500	
Eric Daniel Moses	ALBANY	National Grid	HOME PERFORMANCE WITH ENERGY STAR, Codes & New Constru..	155,000	
ESRI, Incorporated	ALBANY	National Grid	Admin, ESRI Licensing - Renewal	16,500	
First Columbia Property Services, LLC	ALBANY	National Grid	Admin, Property Management Services	242,502	
Fried, Frank, Harris, Shriver, Jacobson	ALBANY	National Grid	Admin, Legal Services	100,000	
Garnet Solar Partners LLC	WARREN	National Grid	New York Sun Program, Commercial/Industrial PV	808,113	
GCOM Software Inc.	ALBANY	National Grid	Admin, Salesforce additional licenses	297,049	
			Admin, Staff Augmentation	1	
General Electric Co. Gobal Research	SCHENECTADY	National Grid	Industrial Process Efficiency Program, Industrial Process Efficiency	36,415	
General Electric Company	SCHENECTADY	National Grid	New Construction Program, NCP13122 - GE Building 40-OFLT	12,874	
General Electric International Incorpora	RENSSELAER	National Grid	New York Sun Program, NY-Sun CI	325,529	
	SCHENECTADY	National Grid	New York Sun Program, Commercial/Industrial PV	1,087,393	
Global Foundries U.S. Inc.	SARATOGA	NYS Electric and Gas	Industrial Process Efficiency Program, Industrial Process Efficiency	422,322	
High Peaks Solar	SARATOGA	National Grid	New York Sun Program, NY-Sun	9,504	

Projects Selected for Funding by Region
Period 4/1/2016 through 9/30/2016

REDC Region	Contractor	County	Electric Utility	Project Description	Total Funded Amount
Capital Region	High Peaks Solar	SCHENECTADY	National Grid	New York Sun Program, NY-Sun	504
	Hudson Solar	COLUMBIA	National Grid	New York Sun Program, NY-Sun	80,684
			NYS Electric and Gas	New York Sun Program, NY-Sun	9,120
	International Electronic Machines Corp.,	RENSSELAER	National Grid	Clean Transportation, WISE Wheel Profile Demo	399,463
Kasselman Solar LLC	ALBANY	Central Hudson Gas a.	National Grid	New York Sun Program, NY-Sun	6,384
			National Grid	New York Sun Program, NY-Sun	42,910
	COLUMBIA	National Grid	National Grid	New York Sun Program, NY-Sun	15,390
			NYS Electric and Gas	New York Sun Program, NY-Sun	6,384
	GREENE	Central Hudson Gas a.	National Grid	New York Sun Program, NY-Sun	6,384
	RENSSELAER	National Grid	National Grid	New York Sun Program, NY-Sun	107,008
	SARATOGA	National Grid	National Grid	New York Sun Program, NY-Sun	22,914
	SCHENECTADY	National Grid	National Grid	New York Sun Program, NY-Sun	5,130
Kiit Renewable Energy LLC	ALBANY	National Grid	New York Sun Program, Commercial/Industrial PV	233,096	
L&S Energy Services, Inc.	ALBANY	National Grid	Green Jobs Green New York Revolving Loan Fund, FlexTech Consultan..	5,677	
			Industrial Process Efficiency Program, Technical Review and Program S	3,814	
	GREENE	Central Hudson Gas a.	Industrial Process Efficiency Program, Technical Review and Program S	6,250	
	RENSSELAER	National Grid	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500	
	WASHINGTON	National Grid	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500	
Level 3 Communications, LLC	ALBANY	National Grid	Admin, Information Technology	279,735	
Lydall Performance Materials	ALBANY	Municipal Utilities	Industrial Process Efficiency Program, Industrial Process Efficiency	83,214	
Marshall & Sterling, Inc.	ALBANY	National Grid	Admin, Property Liability and Other	190,000	
mindSHIFT Technologies, Inc.	ALBANY	National Grid	Admin, Hosting Cloud Solutions	210,766	
Monolith Solar Associates, LLC	ALBANY	Central Hudson Gas a.	National Grid	New York Sun Program, NY-Sun	5,208
			National Grid	New York Sun Program, NY-Sun	5,400
	SARATOGA	National Grid	National Grid	New York Sun Program, NY-Sun	5,952
	WARREN	National Grid	National Grid	New York Sun Program, NY-Sun	12,120
	WASHINGTON	National Grid	National Grid	New York Sun Program, NY-Sun	23,420
Network Experts of New York, Inc.	ALBANY	National Grid	Admin, Peoplesoft Admin.	144,375	
			Admin, Peoplesoft Development	150,000	
New York Power Authority	ALBANY	National Grid	Flexible Technical Assistance Program, FlexTech MOU NYSERDA-NYP..	21,534	
			SARATOGA	National Grid	Flexible Technical Assistance Program, FlexTech MOU NYSERDA-NYP..
	WASHINGTON	National Grid	Flexible Technical Assistance Program, FlexTech MOU NYSERDA-NYP..	136,760	
New York State Forum for IRM	ALBANY	National Grid	Admin, NYS Forum Membership - renewal	5,500	
nfrastructure	ALBANY	National Grid	Admin, Smartnet Hardware Maintenance	77,527	
			Tintri Flash Storage - Renewal	7,548	
NRG Residential Solar Solutions, LLC	SARATOGA	National Grid	New York Sun Program, NY-Sun	231	
NYS Department of Correctional Svc	ALBANY	National Grid	Existing Facilities Program, EFP2550 - DOCCS - 1220 Washing	165,878	
NYS Office For Technology	ALBANY	National Grid	Admin, Office 365 - 2015/2016	67,766	
NYS Office of General Services	ALBANY	National Grid	Admin, 2015 Microsoft ELA	136,327	
			Admin, 2016-2019 Microsoft ELA 3 year	142,080	
			Admin, Microsoft Software Liscensing	9	
NYS Office of Parks, Recreation and	ALBANY	National Grid	New York Sun Program, NY-Sun	10,528	
Oracle America, Inc.	ALBANY	National Grid	Admin, Oracle License - UPK renewal	8,968	
OwnSolar, LLC	SARATOGA	National Grid	New York Sun Program, PV System @ Stewart's Shops	622,135	
			NYS Electric and Gas	New York Sun Program, Commercial/Industrial PV	280,414
Palisade Corporation	ALBANY	National Grid	Admin, @RISK liscensing -NYGB	8,948	
Paradise Energy Solutions, LLC	GREENE	Central Hudson Gas a.	New York Sun Program, NY-Sun	5,418	
Performance Systems Development	ALBANY	National Grid	Admin, TREAT Site Licenses - Renewal	6,400	
PosiGen LLC	GREENE	Central Hudson Gas a.	National Grid	New York Sun Program, NY-Sun	5,728
			RENSSELAER	National Grid	New York Sun Program, NY-Sun
Price Chopper Operating Company of NY	ALBANY	National Grid	New Construction Program, NCP13093 - Market 32 Guildlerla	78,657	
Pterra, LLC	ALBANY	National Grid	Grid Modernization, FlexTech Consultant Selection	125,000	
Public Policy and Education Fund of NY	ALBANY	National Grid	Cleaner Greener Communities, Green Jobs Green New York Outr	48,394	
Rafferty Enterprises, Inc.	ALBANY	National Grid	Admin, Temp Employee Services	94,305	
			Admin, Temp Services	15,810	
			New York Sun Program, Temp Employee Services	3,810	
			New York Sun Program, Temp Services	19,350	
			New York Sun Program, Temp Servies	6,300	
			Admin, Temp Services Contract	496,908	
Randstad North America, L.P.	ALBANY	National Grid	Admin, Temp to Hire	23,067	
			Energy Analysis, Temp Services Contract	27,868	
			Energy Analysis, Temp to Hire	33,224	
			Existing Facilities Program, Temp Services Contract	9,419	
			New York Green Bank, Temp to Hire	33,614	
			New York Sun Program, Temp Services Contract	40,807	

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REDC Region	Contractor	County	Electric Utility	Project Description	Total Funded Amount		
Capital Region	Rensselaer Polytechnic Institute-LRC	RENSSELAER	National Grid	Advanced Buildings, Desktop Lighting Control	96,972		
				Advanced Buildings, EE LED Lighting Controls	197,622		
Clean Transportation, LED Roadway Lighting Demo				300,000			
	Rosenblum Rubin Property Services, LLC	SARATOGA	National Grid	Saratoga Technology + Energy Park, STEP Property Management Servi	83,190		
			NYS Electric and Gas	Saratoga Technology + Energy Park, STEP Property Management Servi	142,700		
	Safari Energy LLC	SCHENECTADY	National Grid	New York Sun Program, Commercial/IndustrialPV	595,266		
	Samaritan Hospital of Troy Inc	RENSSELAER	National Grid	New Construction Program, NCP12281-SamaritanHospitalOFLT	243,887		
	Sears Holdings	SCHENECTADY	National Grid	Existing Facilities Program, EFP2354 - Sears Holding Corp	4,540		
			WARREN	National Grid	Existing Facilities Program, EFP2354 - Sears Holding Corp	8,681	
			WASHINGTON	National Grid	Existing Facilities Program, EFP2354 - Sears Holding Corp	4,293	
	SHI, Inc.	ALBANY	National Grid	Admin, Tableau Upgrade	214,331		
	Sierra Infosys Inc.	ALBANY	National Grid	Admin, Peoplesoft Support Services	85,000		
	Sitecore USA, Inc.	ALBANY	National Grid	Admin, Sitecore Licensing - Renewal	25,300		
	Snow Economics, Inc.	GREENE	Central Hudson Gas a..	Industrial Process Efficiency Program, Industrial Process Efficiency	47,436		
	SolarCity Corporation	ALBANY	National Grid	New York Sun Program, NY-Sun	35,939		
				COLUMBIA	National Grid	New York Sun Program, Commercial/Industrial	184,200
					New York Sun Program, NYSun CI	167,301	
				NYS Electric and Gas	New York Sun Program, NY Sun	7,488	
			GREENE	Central Hudson Gas a..	New York Sun Program, NY-Sun	5,616	
			RENSSELAER	National Grid	New York Sun Program, NY-Sun	45,566	
		NYS Electric and Gas			New York Sun Program, NY-Sun	5,408	
			SARATOGA	National Grid	New York Sun Program, NY Sun	5,883	
					New York Sun Program, NY-Sun	26,034	
					New York Sun Program, NY-Sun C&I	261,936	
				NYS Electric and Gas	New York Sun Program, NY-Sun	5,522	
			SCHENECTADY	National Grid	New York Sun Program, Commercial/Industrial PV	304,840	
					New York Sun Program, NY-Sun	213,983	
			WARREN	National Grid	New York Sun Program, NY-Sun	5,285	
			WASHINGTON	National Grid	New York Sun Program, NY Sun	12,168	
					New York Sun Program, NY-Sun	122,016	
			Stantec Consulting Services, Inc.	ALBANY	Municipal Utilities	Industrial Process Efficiency Program, Technical Review and Program S	4,074
			Stewarts Shops Corp.	GREENE	Central Hudson Gas a..	New Construction Program, NCP12634 - Stewarts 120 - OFLT	5,761
				SARATOGA	NYS Electric and Gas	New Construction Program, NCP13085 - Stewarts 162-OFLT	5,841
			SunEdison Governmental Solutions, LLC	ALBANY	National Grid	New York Sun Program, NY-Sun C&I	439,294
RENSSELAER	National Grid			New York Sun Program, Commercial/IndustrialPV	817,291		
	SunRun, Inc	RENSSELAER	National Grid	New York Sun Program, NY-Sun	5,616		
		WARREN	National Grid	New York Sun Program, NY-Sun	5,616		
	Systems Management Planning, Inc.	ALBANY	National Grid	Admin, Managed Engine Co term AD 365	7,110		
				Admin, VMware 150 View - Licensing	31,838		
				Admin, VMware Software desktop Renew	25,676		
				NetApp Flash Storage for VDI	95,359		
	Tech Valley Talent, LLC	ALBANY	National Grid	Admin, Staff Augmentation	1,543,475		
	The Radiant Store	ALBANY	National Grid	Renewable Thermal, Renewable Heating & Cooling	24,364		
				Renewable Thermal, Solar Thermal Incentive	22,959		
			COLUMBIA	National Grid	Renewable Thermal, Solar Thermal Incentive	19,672	
			RENSSELAER	National Grid	Renewable Heat NY, RHNY PON 3010 Incentive - Wyso	10,000	
					Renewable Thermal, Renewable Heating & Cooling	5,549	
					Renewable Thermal, Solar Thermal Incentives	5,000	
			SARATOGA	National Grid	Renewable Thermal, Solar Thermal Incentives	6,000	
			SCHENECTADY	National Grid	Renewable Heat NY, RHNY PON 3010 Incentive - Sant	21,000	
					Renewable Thermal, Solar Thermal Incentives	12,995	
			WASHINGTON	National Grid	Renewable Heat NY, RHNY PON 3010 Incentive - Marc	9,725	
	The Weidt Group, Inc.	WASHINGTON	National Grid	New Construction Program, EMP - Weidt	9,730		
	TRC Energy Services	ALBANY	National Grid	Flexible Technical Assistance Program, FlexTech Consultant Selection	87,861		
		COLUMBIA	National Grid	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500		
	Trinity Heating & Air, Inc.	WASHINGTON	National Grid	New York Sun Program, NY-Sun	5,472		
	TurnKey Internet, Inc.	ALBANY	National Grid	Industrial Process Efficiency Program, Industrial Process Efficiency	18,160		
	Union College	SCHENECTADY	National Grid	New Construction Program, NCP12929 - Roger Hull - OFLT	21,035		
				New Construction Program, NCP13115-Visual Arts Bldg-OFLT	25,956		
	Unique Comp Inc.	ALBANY	National Grid	Admin, Staff Augmentation	912,425		
	University of Rochester	ALBANY	National Grid	Other Program Area, Annual Support for Laboratory	750,000		
	Verizon Business	ALBANY	National Grid	Admin, Information Security Risk Asse	55,540		
	Veterans Solar Systems	WASHINGTON	National Grid	New York Sun Program, NY-Sun	5,016		
	Vivint Solar	SARATOGA	NYS Electric and Gas	New York Sun Program, NY-Sun	5,096		
	Washington Gas Energy Systems Inc.	WASHINGTON	National Grid	New York Sun Program, Hollingsworth & Vose	1,302,145		

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REDC Region	Contractor	County	Electric Utility	Project Description	Total Funded Amount
Capital Region	We-B-Chicken	RENSSELAER	National Grid	New Construction Program, NCP13046 - Popeyes - OFLT	6,905
	William Morlok	SARATOGA	National Grid	Saratoga Technology + Energy Park, STEP options paper	25,000
	Wiltshire Renewable Energy Systems, LLC	ALBANY	National Grid	New York Sun Program, NY-Sun	7,208
	XC Associates, Inc.	RENSSELAER	NYS Electric and Gas	Innovation Capacity & Business Development, Smart Wind Turbine Blad..	500,000
	Xerox Corp	ALBANY	National Grid	Admin, Facilities Management	18,720
			Admin, Xerox Maintenance	1,796	
			Admin, Xerox Maintenance Agreement	67,200	
Total					32,060,617
Central New York	Active Solar Development, LLC	ONONDAGA	National Grid	Renewable Thermal, Solar Thermal Incentives	22,822
	Alternative Power Solutions of NY, LLC	ONONDAGA	National Grid	New York Sun Program, NY-Sun	33,012
		OSWEGO	National Grid	New York Sun Program, NY-Sun	6,300
	Arcadis U.S., Inc.	ONONDAGA	NYS Electric and Gas	Industrial Process Efficiency Program, Technical Review and Program S	20,488
	Aurora Ridge Dairy LLC	CAYUGA	NYS Electric and Gas	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	96,019
	Bergmann Associates	CAYUGA	NYS Electric and Gas	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500
		CORTLAND	National Grid	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500
		ONONDAGA	National Grid	Renewable Heat NY, Technical Review and Program S	2,710
		ONONDAGA	National Grid	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	5,000
				Green Jobs Green New York Revolving Loan Fund, Technical Review a..	5,900
	CDH Energy Corporation	CAYUGA	NYS Electric and Gas	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500
				Industrial Process Efficiency Program, Technical Review and Program S	5,040
		CORTLAND	National Grid	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500
		MADISON	National Grid	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	7,500
			NYS Electric and Gas	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500
		ONONDAGA	National Grid	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500
				Industrial Process Efficiency Program, Technical Review and Program S	33,470
	Central New York Regional Planning and D	ONONDAGA	National Grid	Cleaner Greener Communities, CGC57053 - CNY RPDB	3,000,000
				New York Sun Program, Central New York Solar	70,000
	CHA Consulting Inc.	ONONDAGA	National Grid	Industrial Process Efficiency Program, Technical Review and Program S	3,600
	City of Cortland	CORTLAND	National Grid	Cleaner Greener Communities, CGC39729 - City of Cortland	39,000
	CNY Fabrication, LLC	ONONDAGA	National Grid	New Construction Program, NCP14068-CNY Fabrication-OFLT	130,142
	CNY Solar, Inc.	CORTLAND	National Grid	New York Sun Program, NY-Sun	38,852
				MADISON	National Grid
			NYS Electric and Gas	New York Sun Program, NY-Sun	11,160
		OSWEGO	National Grid	New York Sun Program, NY-Sun	15,916
	Cypress Creek Renewables LLC	ONONDAGA	National Grid	New York Sun Program, NY-Sun C/I	1,172,567
				New York Sun Program, NY-Sun CI	1,109,185
		OSWEGO	National Grid	New York Sun Program, NY Sun C&I	1,109,185
	Duane Allen	CAYUGA	NYS Electric and Gas	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	53,539
	EME Consulting Engineering Group, LLC	ONONDAGA	National Grid	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500
	Erdman Anthony & Associates, Inc.	ONONDAGA	National Grid	New Construction Program, Technical Assistance Services	9,194
	George Secord	ONONDAGA	National Grid	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	23,961
	H.P. Hood, LLC	MADISON	National Grid	Combined Heat and Power, FlexTech Program - Pon 1746	80,000
	Halcyon, Inc.	CAYUGA	Rochester Gas and El.	New York Sun Program, NY-Sun	6,456
		ONONDAGA	National Grid	New York Sun Program, NY-Sun	11,348
	Home HeadQuarters, Inc.	ONONDAGA	National Grid	Cleaner Greener Communities, CGC38740 - Home Headquarters	1,555,000
	IBC Engineering PC	ONONDAGA	National Grid	Flexible Technical Assistance Program, FlexTech Consultant Selection	17,125
	Intelligent Green Solutions	MADISON	National Grid	Renewable Thermal, Renewable Heating & Cooling	11,907
				NYS Electric and Gas	Renewable Thermal, Renewable Heating & Cooling
	Johnson Controls Inc.	OSWEGO	National Grid	Flexible Technical Assistance Program, FlexTech Consultant Selection	46,067
	L&S Energy Services, Inc.	ONONDAGA	National Grid	New Construction Program, L&S-Energy Modeling Partner	20,935
	LaBella Associates, P.C.	CAYUGA	Rochester Gas and El.	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500
		ONONDAGA	National Grid	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500
	M/E Engineering, P.C.	CORTLAND	NYS Electric and Gas	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500
		OSWEGO	National Grid	New Construction Program, M/E - EMP	12,313
	Niagara Wind & Solar Inc.	ONONDAGA	National Grid	Small Wind, Wind Turbine Incentive	17,500
	Nickels Energy Solutions LLC	ONONDAGA	National Grid	New York Sun Program, NY-Sun	8,960
	O'Connell Electric Company	ONONDAGA	National Grid	New York Sun Program, NY-Sun	50,144
	Oakwood Sustainable Dairy Digester LLC	CAYUGA	NYS Electric and Gas	Anaerobic Digester Program, RPS CST ADG-Oakwood	2,000,000
	Oneida Healthcare Center	MADISON	National Grid	Flexible Technical Assistance Program, FlexTech Program - Pon 1746	15,249
	Reading Electric Renewable, LLC	MADISON	National Grid	New York Sun Program, Commercial/Industrial PV	778,143
				NYS Electric and Gas	New York Sun Program, Commercial/Industrial PV
Renovus Energy, Inc.	CAYUGA	NYS Electric and Gas	New York Sun Program, NY-Sun	6,656	
	OSWEGO	National Grid	New York Sun Program, NY-Sun	5,120	
Seed Renewables Inc.	CORTLAND	National Grid	New York Sun Program, NY-Sun	24,095	
Skyline Solar Inc.	OSWEGO	National Grid	New York Sun Program, NY-Sun	5,814	

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REDC Region	Contractor	County	Electric Utility	Project Description	Total Funded Amount	
Central New York	Solar Liberty Energy Systems, Inc	ONONDAGA	National Grid	New York Sun Program, NY-Sun	26,960	
	SolarCity Corporation	ONONDAGA	National Grid	New York Sun Program, Commercial/Industrial PV	779,715	
	Specialized Packaging Radisson, LLC	ONONDAGA	National Grid	Industrial Process Efficiency Program, Industrial Process Efficiency	90,438	
	Stewarts Shops Corp.	ONONDAGA	National Grid	New Construction Program, NCP13084 - Stewarts Baldwinsvi	6,005	
	SunEdison Governmental Solutions, LLC	ONONDAGA	National Grid	New York Sun Program, Commercial/IndustrialPV	817,291	
	Sungevity Development, LLC	ONONDAGA	National Grid	New York Sun Program, NY-Sun	5,000	
	Sustainable Dairy Technologies Digester	CAYUGA	NYS Electric and Gas	Anaerobic Digester Program, RPS CST ADG-Allen Farms LLC	2,000,000	
	Syracuse University	ONONDAGA	National Grid	Clean Transportation, Syracuse Transp Alternatives	150,000	
	SYSCO Food Services, LLC	ONONDAGA	NYS Electric and Gas	Industrial Process Efficiency Program, Industrial Process Efficiency	111,101	
	TAG Mechanical Systems, Inc.	ONONDAGA	NYS Electric and Gas	New York Sun Program, NY-Sun	6,600	
	Taitem Engineering, P.C.	CAYUGA	NYS Electric and Gas	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	16,500	
		ONONDAGA	National Grid	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	4,751	
	Tessy Plastics Corp	ONONDAGA	National Grid	Industrial Process Efficiency Program, Industrial Process Efficiency	1,579,508	
			NYS Electric and Gas	Industrial Process Efficiency Program, Industrial Process Efficiency	27,889	
	TRC Energy Services	CAYUGA	NYS Electric and Gas	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500	
		CORTLAND	National Grid	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500	
	United Wind Project I, LLC	CAYUGA	NYS Electric and Gas	Small Wind, Wind Turbine Incentive	37,650	
		ONONDAGA	National Grid	Small Wind, Wind Turbine Incentive	77,411	
	Willows PFA LLC	ONONDAGA	National Grid	Multifamily Performance Program, Multifamily	26,000	
	ZEV Technologies, Inc.,	ONONDAGA	National Grid	Clean Transportation, Promoting Workplace Charging	160,000	
	Total					18,071,074
	Finger Lakes	7-Eleven Inc.	MONROE	Rochester Gas and El.	Existing Facilities Program, EFP2431 - 7-Eleven Inc. - 7 EI	1,988
			ONTARIO	NYS Electric and Gas	Existing Facilities Program, EFP2431 - 7-Eleven Inc. - 7 EI	1,573
American Packaging Corp.		MONROE	Rochester Gas and El.	Industrial Process Efficiency Program, Industrial Process Efficiency	34,565	
Antares Group, Inc.		MONROE	Rochester Gas and El.	Industrial Process Efficiency Program, Technical Review and Program S	7,493	
		ONTARIO	Rochester Gas and El.	Industrial Process Efficiency Program, Technical Review and Program S	15,747	
		WAYNE	NYS Electric and Gas	Industrial Process Efficiency Program, Technical Review and Program S	6,225	
Apex Solar Power LLC		GENESEE	National Grid	New York Sun Program, NY-Sun	5,304	
Bausch & Lomb		MONROE	Rochester Gas and El.	Industrial Process Efficiency Program, Industrial Process Efficiency	54,153	
Benchmark Group Inc		MONROE	Rochester Gas and El.	Existing Facilities Program, EFP2631 - Walmart - Multisite	29,045	
Bergmann Associates		GENESEE	National Grid	Industrial Process Efficiency Program, Technical Review and Program S	1,496	
		MONROE	Rochester Gas and Electric	Flexible Technical Assistance Program, FlexTech Consultant Selection	101,275	
				Industrial Process Efficiency Program, Technical Review and Program S	31,520	
		SENECA	NYS Electric and Gas	Industrial Process Efficiency Program, Technical Review and Program S	5,360	
		WAYNE	NYS Electric and Gas	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500	
Borrego Solar Systems, Inc.		ONTARIO	NYS Electric and Gas	New York Sun Program, Commercial/Industrial	1,105,746	
				New York Sun Program, NY-Sun	1,105,746	
Buckingham Properties LLC		MONROE	Rochester Gas and El.	New Construction Program, NCP11705 - Midtown Tower - OFL	219,753	
C.J. Brown Energy, P.C.		MONROE	Rochester Gas and El.	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500	
		WYOMING	National Grid	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	8,132	
CDH Energy Corporation		WAYNE	Rochester Gas and El.	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500	
Cedars of Chilli Housing Development		MONROE	Rochester Gas and El.	HOME PERFORMANCE WITH ENERGY STAR, Cedars of Chilli Low-Ri..	560,482	
CHA Consulting Inc.		MONROE	Rochester Gas and Electric	Flexible Technical Assistance Program, FlexTech Consultant CHA	57,850	
				Industrial Process Efficiency Program, Technical Review and Program S	3,750	
City of Rochester		MONROE	Rochester Gas and El.	New Construction Program, NCP12764 - Public Market Expan	14,420	
Cypress Creek Renewables LLC		ONTARIO	NYS Electric and Gas	New York Sun Program, NY-SunC&I	1,109,185	
			Rochester Gas and El.	New York Sun Program, NY Sun C&I	1,109,185	
		SENECA	NYS Electric and Gas	New York Sun Program, NY Sun C&I	1,109,185	
Dailey Electric Inc		YATES	NYS Electric and Gas	New York Sun Program, NY-Sun	5,520	
EMCOR Services Betlem		GENESEE	National Grid	Flexible Technical Assistance Program, FlexTech Consultant Selection	8,027	
		MONROE	Rochester Gas and Electric	Flexible Technical Assistance Program, FlexTech Consultant Selection	7,047	
				Industrial Process Efficiency Program, IPE16003-EMCOR Services Betl..	19,199	
		ONTARIO	Rochester Gas and El.	Flexible Technical Assistance Program, FlexTech Consultant Selection	8,499	
		WAYNE	NYS Electric and Gas	Industrial Process Efficiency Program, IPE16010-EMCOR Services Betl..	18,299	
Emerling Sustainable Dairy Digester LLC		WYOMING	NYS Electric and Gas	Anaerobic Digester Program, RPS CST ADG-Emerling Farms LLC	2,000,000	
Erdman Anthony & Associates, Inc.		MONROE	Rochester Gas and Electric	Industrial Process Efficiency Program, Technical Review and Program S	12,961	
				New Construction Program, EAA - EMP	32,832	
		ONTARIO	NYS Electric and Gas	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500	
		WAYNE	Rochester Gas and El.	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500	
Farmington Farm and Garden, Inc		MONROE	Rochester Gas and El.	New Construction Program, NCP13150 - Henrietta CountryMa	14,268	
Freedom Solar Inc.		WYOMING	National Grid	New York Sun Program, NY-Sun	5,984	
			NYS Electric and Gas	New York Sun Program, NY-Sun	5,980	
Garlock Sealing Technologies, LLC		WAYNE	NYS Electric and Gas	Industrial Process Efficiency Program, Industrial Process Efficiency	24,930	
Genesee Biogas LLC		GENESEE	National Grid	Cleaner Greener Communities, CGC26970 - Genesee Biogas LLC	2,000,000	
GRE Fund II Holdco LLC		ONTARIO	Rochester Gas and El.	New York Sun Program, NY Sun C&I	154,885	

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REDC Region	Contractor	County	Electric Utility	Project Description	Total Funded Amount	
Finger Lakes	Halcyon, Inc.	SENECA	NYS Electric and Gas	New York Sun Program, NY-Sun	5,200	
	High Falls Operating Co, LLC	MONROE	Rochester Gas and El.	Industrial Process Efficiency Program, Industrial Process Efficiency	600,000	
	Hobart and William Smith Colleges	ONTARIO	NYS Electric and Gas	New York Sun Program, Commercial/Industrial PV	801,343	
	Jewish Home of Rochester	MONROE	Rochester Gas and El.	New Construction Program, NCP12489-JewishSeniorLife-OFLT	34,383	
	Keuka College	YATES	NYS Electric and Gas	New Construction Program, NCP12601 - Keuka Commons-OFLT	6,415	
	L&S Energy Services, Inc.	ONTARIO	Rochester Gas and El.	Industrial Process Efficiency Program, Technical Review and Program S	4,499	
	LaBella Associates, P.C.	MONROE	National Grid	Flexible Technical Assistance Program, FlexTech Consultant Selection	10,000	
			Rochester Gas and El.	Industrial Process Efficiency Program, Technical Review and Program S	6,840	
	Lago Resort Casino LLC	SENECA	NYS Electric and Gas	New Construction Program, NCP12762 - Lago Casino-OFLT	335,197	
	Lor-Rob Sustainable Dairy Digester LLC	GENESEE	National Grid	Anaerobic Digester Program, RPS CST ADG-Lor-Rob Dairy Farm	2,000,000	
	Nazareth College of Rochester	MONROE	Rochester Gas and El.	Existing Facilities Program, EFP2637 - Nazareth College - A	40,475	
	New Energy Equity LLC	ONTARIO	Rochester Gas and El.	New York Sun Program, commercial industrial PV	512,575	
	New York State Police	ONTARIO	Rochester Gas and El.	New Construction Program, NCP12387-NYS Police-OFLT	33,035	
	Niagara Wind & Solar Inc.	GENESEE	National Grid	Small Wind, Wind Turbine Incentive	217,400	
	Nicholas Noyes Memorial Hospital	LIVINGSTON	NYS Electric and Gas	New Construction Program, NCP13051 - NNMH - OFLT	6,599	
	Northeast Agriculture Technology Corpora	GENESEE	National Grid	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500	
	O'Connell Electric Company	ONTARIO	GENESEE	National Grid	New York Sun Program, NY-Sun	5,472
			Rochester Gas and El.	New York Sun Program, NY-Sun	990	
	Orleans County Chamber of Commerce	ORLEANS	National Grid	New York Sun Program, Solarize 2016	5,000	
	Paradise Energy Solutions, LLC	YATES	NYS Electric and Gas	New York Sun Program, NY-Sun	45,362	
	Pathfinder Engineers & Architects, LLP	MONROE	Rochester Gas and El.	New Construction Program, Energy Modeling Partner	11,570	
	Pathstone Corporation	MONROE	Rochester Gas and El.	Cleaner Greener Communities, Green Jobs Green New York	113,831	
	Phelps-Clifton Springs CSD	ONTARIO	NYS Electric and Gas	Existing Facilities Program, EFP2595 - Phelps Clifton CSD	47,073	
	Plymouth Gardens, Inc.	MONROE	Rochester Gas and El.	New Construction Program, Codes & New Construction	52,200	
	QwikSolar, LLC	MONROE	Rochester Gas and El.	New York Sun Program, NY-Sun	5,936	
				New York Sun Program, NY Sun	6,600	
		ONTARIO	NYS Electric and Gas	New York Sun Program, NY-Sun	6,360	
				Rochester Gas and El.	New York Sun Program, NY-Sun	14,200
		SENECA	NYS Electric and Gas	New York Sun Program, NY-Sun	21,140	
		WAYNE	NYS Electric and Gas	New York Sun Program, NY-Sun	5,088	
				Rochester Gas and El.	New York Sun Program, NY-Sun	8,480
		YATES	NYS Electric and Gas	New York Sun Program, NY-Sun	19,140	
		R-Display and Lighting LLC	MONROE	Rochester Gas and El.	Advanced Buildings, Advanced Buildings Technology	334,000
		Renovus Energy, Inc.	LIVINGSTON	National Grid	New York Sun Program, NY-Sun	5,304
	Rochester Genesee Regional Transportatio	MONROE	Rochester Gas and El.	New Construction Program, NCP11919 - RGRTA -OFLT	32,671	
	Rochester Tool and Mold Inc	MONROE	Rochester Gas and El.	New Construction Program, NCP14037 - Syntec Optics-OFLT	45,000	
	Sears Holdings	GENESEE	National Grid	Existing Facilities Program, EFP2354 - Sears Holding Corp	5,680	
	Seneca Building of Monroe County, LLC	MONROE	Rochester Gas and El.	New Construction Program, NCP12478 - D&C - OFLT	25,195	
	Snow Economics, Inc.	ONTARIO	Rochester Gas and El.	Industrial Process Efficiency Program, Industrial Process Efficiency	32,095	
	Solar Liberty Energy Systems, Inc	GENESEE	National Grid	New York Sun Program, NY-Sun	6,000	
				MONROE	National Grid	New York Sun Program, Commercial/Industrail PV
		MONROE	Rochester Gas and Electric	New York Sun Program, Commercial/ Industrial PV	1,066,679	
				New York Sun Program, Commercial/Industrial PV	2,133,358	
		WAYNE	Rochester Gas and El.	New York Sun Program, Commercial/Industrial PV	80,426	
		WYOMING	National Grid	New York Sun Program, NY-Sun	104,747	
				NYS Electric and Gas	New York Sun Program, Commercial/IndustrialPV	170,132
		SolarCity Corporation	LIVINGSTON	National Grid	New York Sun Program, NY-Sun	136,228
			MONROE	Rochester Gas and El.	New York Sun Program, NY-Sun C/I	175,436
			ONTARIO	NYS Electric and Gas	New York Sun Program, NY-Sun	420,787
	Stantec Consulting Services, Inc.	MONROE	Rochester Gas and Electric	New Construction Program, Stantec-Energy Modeling Partne	9,945	
				New Construction Program, Technical Assistance Services	4,976	
	Steed Energy LLC	WAYNE	Rochester Gas and El.	New York Sun Program, NY-Sun	8,160	
	Steven Winter Associates, Inc.	MONROE	Rochester Gas and El.	New Construction Program, SWA - EMP	19,076	
	SunEdison Governmental Solutions, LLC	MONROE	National Grid	New York Sun Program, Commercial/Industrial PV	817,291	
				New York Sun Program, Commerical/IndustrialPV	817,291	
	Sustainable Energy Developments Inc.	LIVINGSTON	National Grid	New York Sun Program, NY-Sun	31,818	
				MONROE	National Grid	New York Sun Program, NY-Sun
		ONTARIO	NYS Electric and Gas	Rochester Gas and El.	New York Sun Program, NY-Sun	11,660
				New York Sun Program, NY-Sun	7,056	
		WAYNE	Rochester Gas and Electric	New York Sun Program, NY Sun	6,784	
				New York Sun Program, NY-Sun	13,680	
	Taitem Engineering, P.C.	MONROE	National Grid	Flexible Technical Assistance Program, FlexTech Consultant Selection	3,400	
		SENECA	NYS Electric and Gas	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	1,500	
				New York Sun Program, NY-Sun	36,392	
	The Radiant Store	GENESEE	National Grid	Renewable Thermal, The Radiant Store - Solar Ther	22,991	

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REDC Region	Contractor	County	Electric Utility	Project Description	Total Funded Amount		
Finger Lakes	Town of Seneca Falls NY	SENECA	NYS Electric and Gas	New Construction Program, NCP13165 - Town of Seneca Fall	8,053		
	Trane	YATES	NYS Electric and Gas	Existing Facilities Program, EFP2598 - Trane; Keuka College	75,770		
	Udderly Better Acres	GENESEE	National Grid	Agriculture Energy Efficiency Program, AEEP - R749 Udderly Better Acr	105,574		
	United Wind Project I, LLC	WAYNE	National Grid	Small Wind, Wind Turbine Incentive	39,346		
			NYS Electric and Gas	Small Wind, Wind Turbine Incentive	38,686		
			Rochester Gas and El..	Small Wind, Wind Turbine Incentive	38,739		
	University of Rochester	MONROE	Rochester Gas and Electric	Environmental Research, Impact of environmental polici	458,425		
				Environmental Research, Long-Term Monitoring of Methan	362,948		
	Vanderstyne Motor Sales Inc	MONROE	Rochester Gas and El..	New Construction Program, NCP13068-Vanderstyne Toyota OL	22,061		
	Viola Homes Inc.	MONROE	National Grid	New York Sun Program, NY-Sun	11,056		
	Wal-Mart Stores East, LP	MONROE	Rochester Gas and El..	New Construction Program, NCP11690 - Walmart Store #1744	120,717		
	Washington Gas Energy Systems Inc.	WAYNE	NYS Electric and Gas	New York Sun Program, Town of Walworth	410,713		
	Willdan Energy Solutions	GENESEE	National Grid	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500		
	Xerox Corp	MONROE	Rochester Gas and El..	Industrial Process Efficiency Program, Industrial Process Efficiency	64,414		
	Total				24,595,908		
Long Island	7-Eleven Inc.	NASSAU	Municipal Utilities	Existing Facilities Program, EFP2431 - 7-Eleven Inc. - 7 EI	12,068		
			PSEG Long Island	Existing Facilities Program, EFP2431 - 7-Eleven Inc. - 7 EI	13,725		
	Adelphi University	NASSAU	PSEG Long Island	Existing Facilities Program, EFP2573-Adelphi University	1,106		
	Applied Energy Group, Inc.	SUFFOLK	PSEG Long Island	Industrial Process Efficiency Program, Technical Review and Program S	20,002		
	East Hills Autofix LLC	NASSAU	PSEG Long Island	Fuel NY, PGI00011 - East Hills Autofix	48,950		
	Eastern Energy Systems Inc.	SUFFOLK	PSEG Long Island	New York Sun Program, NY-Sun	8,930		
	Empower CES, LLC	NASSAU	PSEG Long Island	New York Sun Program, NY-Sun	26,499		
			SUFFOLK	PSEG Long Island	New York Sun Program, NY-Sun	11,903	
	Energy & Resource Solutions, Inc.	NASSAU	PSEG Long Island	Flexible Technical Assistance Program, FlexTech Consultant Selection	14,940		
	EnterSolar LLC	SUFFOLK	PSEG Long Island	New York Sun Program, NY-Sun	62,500		
	Harvest Power, LLC	NASSAU	PSEG Long Island	New York Sun Program, NY-Sun	43,947		
			SUFFOLK	PSEG Long Island	New York Sun Program, NY-Sun	46,274	
	Hawaii Energy Connection	SUFFOLK	PSEG Long Island	New York Sun Program, NY-Sun	62,500		
	KLD Engineering, P.C.	SUFFOLK	PSEG Long Island	Clean Transportation, ICM Framework Suffolk County	148,757		
	LED Specialists	SUFFOLK	PSEG Long Island	Advanced Buildings, Advanced Buildings Technology	244,236		
	Leviton Manufacturing Co, Inc.	SUFFOLK	PSEG Long Island	Clean Transportation, PEV Enabling Technology Demons	49,318		
	Long Island Progressive Coalition	NASSAU	PSEG Long Island	Green Jobs Green New York Revolving Loan Fund, GJGNY Outreach C..	190,561		
	MH One Enterprise Inc	SUFFOLK	PSEG Long Island	Fuel NY, PGI00004 - MH One Enterprise	67,900		
	New York Solar Solutions LLC	SUFFOLK	PSEG Long Island	New York Sun Program, NY-Sun	5,000		
	NYS Office of Parks, Recreation and	SUFFOLK	Null	New York Sun Program, NY-Sun	51,255		
	R. Edge Contracting LLC	NASSAU	PSEG Long Island	New York Sun Program, NY-Sun	38,956		
	Safari Energy LLC	SUFFOLK	PSEG Long Island	New York Sun Program, NY-Sun	212,155		
	Sears Holdings	SUFFOLK	PSEG Long Island	Existing Facilities Program, EFP2354 - Sears Holding Corp	6,343		
	Solar Dad and Sons Inc	SUFFOLK	PSEG Long Island	New York Sun Program, NY-Sun	21,452		
	Suffolk Solar Systems, Inc.	SUFFOLK	PSEG Long Island	New York Sun Program, NY-Sun	5,380		
	SuNation Solar Systems, Inc.	NASSAU	Consolidated Edison	New York Sun Program, NY-Sun	10,220		
	SUNRISE ELECTRICAL SERVICES	SUFFOLK	PSEG Long Island	New York Sun Program, NY-Sun	17,992		
	Town of Southampton	SUFFOLK	PSEG Long Island	New York Sun Program, Solarize 2016	5,000		
	Vatsal Bhatt	SUFFOLK	PSEG Long Island	Energy Analysis, Review of EEA Project Program	25,000		
	Total				1,472,869		
	Mid-Hudson	7-Eleven Inc.	ROCKLAND	Orange and Rockland..	Existing Facilities Program, EFP2431 - 7-Eleven Inc. - 7 EI	25,450	
				WESTCHESTER	Consolidated Edison	Existing Facilities Program, EFP2431 - 7-Eleven Inc. - 7 EI	32,285
					NYS Electric and Gas	Existing Facilities Program, EFP2431 - 7-Eleven Inc. - 7 EI	10,193
2015 ESA Project Company, LLC		WESTCHESTER	Consolidated Edison	Fuel Cells, RPS FC - Home Depot #1248		1,000,000	
				Fuel Cells, RPS FC - Home Depot #1251		925,912	
				Fuel Cells, RPS FC - Home Depot #8456		774,611	
				Fuel Cells, RPS FC - Walmart X-2		1,000,000	
				Fuel Cells, RPS FC - Walmart X-2531		1,000,000	
Adam C. Boese		ORANGE	Central Hudson Gas a..	Agriculture Energy Efficiency Program, FlexTech Consultant Selection		6,000	
				Orange and Rockland..	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	15,000	
		ROCKLAND	Orange and Rockland..	Flexible Technical Assistance Program, FlexTech Consultant Selection	7,600		
		SULLIVAN	NYS Electric and Gas	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	1,500		
		ULSTER	Central Hudson Gas a..	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	5,000		
		WESTCHESTER	Consolidated Edison	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500		
Alternative Power Solutions of NY, LLC		ULSTER	Central Hudson Gas a..	New York Sun Program, NY-Sun	29,184		
American Solar Partners, LLC		ULSTER	Central Hudson Gas a..	New York Sun Program, NY-Sun	5,280		
		WESTCHESTER	Consolidated Edison	New York Sun Program, NY-Sun	16,290		
Apex Solar Power LLC		DUTCHESS	Central Hudson Gas a..	Renewable Thermal, Solar Thermal Incentive	6,000		
		ORANGE	Orange and Rockland..	New York Sun Program, NY-Sun	10,000		
	WESTCHESTER	Consolidated Edison	New York Sun Program, NY-Sun	102,500			

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REDC Region	Contractor	County	Electric Utility	Project Description	Total Funded Amount			
Mid-Hudson	Apex Solar Power LLC	WESTCHESTER	NYS Electric and Gas	New York Sun Program, NY-Sun	5,160			
	Astrum Solar, Inc.	ORANGE	Central Hudson Gas a..	New York Sun Program, NY-Sun	5,088			
		ULSTER	Central Hudson Gas a..	New York Sun Program, NY-Sun	5,491			
		WESTCHESTER	Consolidated Edison	New York Sun Program, NY-Sun	5,509			
			NYS Electric and Gas	New York Sun Program, NY-Sun	11,187			
	Bard College	DUTCHESS	Central Hudson Gas a..	REV Campus Challenge, REV Campus Challenge	1,000,000			
	Best Energy Power	WESTCHESTER	Consolidated Edison	New York Sun Program, NY-Sun	27,776			
	Black Cherry Services Group, Inc.	SULLIVAN	NYS Electric and Gas	New York Sun Program, NY-Sun	32,772			
	Bloomberg, L.P.	ROCKLAND	Orange and Rockland..	Industrial Process Efficiency Program, Industrial Process Efficiency	289,619			
	Borrego Solar Systems, Inc.	ORANGE	Orange and Rockland Utilities	New York Sun Program, NY-Sun	1,105,746			
				New York Sun Program, NY-Sun C/I	1,105,746			
				New York Sun Program, Payment assignee	900,607			
				New York Sun Program, Payment assignee to DE	1,100,782			
	BQ Energy, LLC	DUTCHESS	Central Hudson Gas a..	New York Sun Program, NY-Sun	418,879			
		ULSTER	Central Hudson Gas a..	New York Sun Program, Town of Esopus Landfill	607,462			
	C.T. Male Associates Engineering,	ORANGE	Orange and Rockland..	Flexible Technical Assistance Program, FlexTech Consultant Selection	25,971			
	CEC Solar #1200 LLC	ORANGE	Orange and Rockland..	New York Sun Program, Commercial/Industrial PV	1,075,574			
	CHA Consulting Inc.	ROCKLAND	Orange and Rockland..	Industrial Process Efficiency Program, Technical Review and Program S	28,700			
	Chelsea Farms, LLC	DUTCHESS	Central Hudson Gas and Electric	New York Sun Program, NY-SUN C&I Assignee Payment	890,263			
				New York Sun Program, NY-Sun C&I Payment Assignee	890,263			
	City of Beacon	DUTCHESS	Central Hudson Gas a..	New Construction Program, NCP12347 - Beacon Hwy - OFLT	14,831			
	Columcille Properties LLC	ROCKLAND	Orange and Rockland..	Industrial Process Efficiency Program, Industrial Process Efficiency	86,867			
	Communications Specialists, Inc.	DUTCHESS	Central Hudson Gas a..	New York Sun Program, NY-Sun	12,819			
	COOPER ELECTRIC SUPPLY INC	ORANGE	Orange and Rockland..	New York Sun Program, NY-Sun Comp. Monroe Cable	787,874			
	Courtney-Strong Inc.	ULSTER	Central Hudson Gas a..	Cleaner Greener Communities, CGC53012 - Courtney Strong	792,441			
	Crestwood Lake Heights Section 1 Corp.	WESTCHESTER	Consolidated Edison	Multifamily Performance Program, Multifamily	22,600			
	Crestwood Lake Heights Section 2 Corp.	WESTCHESTER	Consolidated Edison	Multifamily Performance Program, Multifamily	37,000			
	Crestwood Lake Heights Section 3 Corp.	WESTCHESTER	Consolidated Edison	Multifamily Performance Program, Multifamily	24,600			
	Crestwood Lake Heights Section 4 Corp.	WESTCHESTER	Consolidated Edison	Multifamily Performance Program, Multifamily	12,150			
	Croton Energy Group, Inc.	WESTCHESTER	Consolidated Edison	New York Sun Program, NY-Sun	6,221			
	Cypress Creek Renewables LLC	DUTCHESS	Central Hudson Gas a..	New York Sun Program, Commercial/Industrial PV	1,204,258			
				ORANGE	NYS Electric and Gas	New York Sun Program, Commercial/Industrial PV	1,445,109	
						Orange and Rockland Utilities	New York Sun Program, Commercial/Industrial PV	1,445,109
							New York Sun Program, Commercial/IndustrialPV	1,204,258
						New York Sun Program, NY-Sun C&I	1,109,185	
				PUTNAM	NYS Electric and Gas	New York Sun Program, Commercial/Industrial PV	1,407,080	
				SULLIVAN	NYS Electric and Gas	New York Sun Program, Commercial/Industrial PV	2,852,189	
				ULSTER	Central Hudson Gas and Electric	New York Sun Program, Commercial/Industrial PV	4,102,328	
						New York Sun Program, Commercial/IndustrialPV	2,890,218	
						New York Sun Program, NY-Sun	2,376,824	
	New York Sun Program, NY-Sun C&I	3,390,936						
	Dominican Sisters of Sparkill Convent	ROCKLAND	Orange and Rockland..	Existing Facilities Program, EFP2521 - Dominican Sisters	9,107			
	EME Consulting Engineering Group, LLC	ORANGE	Orange and Rockland Utilities	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500			
				Industrial Process Efficiency Program, Technical Review and Program S	10,400			
	Empire Solar Solutions LLC	DUTCHESS	Central Hudson Gas a..	New York Sun Program, NY-Sun	5,472			
		ORANGE	Orange and Rockland..	New York Sun Program, NY-Sun	24,240			
		WESTCHESTER	Consolidated Edison	New York Sun Program, NY-Sun	24,346			
	EnterSolar LLC	WESTCHESTER	Consolidated Edison	New York Sun Program, NY-Sun	100,045			
	Environmental Control Inc.	WESTCHESTER	Consolidated Edison	New York Sun Program, NY-Sun	5,940			
	Florenton River LLC	ORANGE	Orange and Rockland..	New York Sun Program, NY-Sun	5,504			
		WESTCHESTER	Consolidated Edison	New York Sun Program, NY-Sun	90,980			
	Fluor Industrial Services	DUTCHESS	Central Hudson Gas a..	Industrial Process Efficiency Program, Industrial Process Efficiency	82,833			
	Geo of Camden, LLC	WESTCHESTER	Consolidated Edison	New York Sun Program, NY-Sun	5,565			
	GRE Fund II Holdco LLC	ORANGE	Central Hudson Gas a..	New York Sun Program, NY-Sun CI Assignment	154,885			
			Orange and Rockland..	New York Sun Program, NY-Sun Payment assignee	168,965			
	Green Hybrid Energy Solutions Inc.	ROCKLAND	Orange and Rockland..	New York Sun Program, NY-Sun	5,712			
		WESTCHESTER	Consolidated Edison	New York Sun Program, NY-Sun	19,693			
	Green Power Solutions, Inc.	WESTCHESTER	Consolidated Edison	New York Sun Program, NY-Sun	8,820			
	Green Street Power Partners LLC	DUTCHESS	Central Hudson Gas a..	New York Sun Program, NY-Sun	5,964			
		ORANGE	Orange and Rockland..	New York Sun Program, NY-Sun	707,728			
	Harrison Solar, LLC	WESTCHESTER	Consolidated Edison	New York Sun Program, LTF Westchester Solar	348,964			
	Healthy Home Energy & Consulting, Inc.	WESTCHESTER	Consolidated Edison	New York Sun Program, NY-Sun	5,600			
	Hudson Solar	DUTCHESS	Central Hudson Gas and Electric	New York Sun Program, NY Sun	7,638			
				New York Sun Program, NY-Sun	94,240			
				National Grid	New York Sun Program, NY-Sun	5,016		

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REDC Region	Contractor	County	Electric Utility	Project Description	Total Funded Amount
Mid-Hudson	Hudson Solar	ORANGE	Central Hudson Gas a..	New York Sun Program, NY-Sun	5,084
			Orange and Rockland..	New York Sun Program, NY-Sun	17,328
		ULSTER	Central Hudson Gas a..	New York Sun Program, NY-Sun	12,550
	Hudson Valley Lighting LLC	DUTCHESS	Central Hudson Gas a..	New Construction Program, NCP14051-HV Lighting HQ	69,400
	IGS Ventures, Inc.	ULSTER	Central Hudson Gas a..	New York Sun Program, Commercial/Industrial	218,147
	Infinity Solar Systems, LLC	ORANGE	Orange and Rockland..	New York Sun Program, NY-Sun	18,411
		ROCKLAND	Orange and Rockland..	New York Sun Program, NY-Sun	5,886
	J P Morgan Chase Bank	WESTCHESTER	Consolidated Edison	Existing Facilities Program, EFP2557 - JPMorgan Chase - Mul	240,422
			NYS Electric and Gas	Existing Facilities Program, EFP2557 - JPMorgan Chase - Mul	5,873
	J. Ranck Electric, Inc.	WESTCHESTER	Consolidated Edison	New York Sun Program, Commercial/Industrial	358,942
	Kallen & Lemelson Consulting Engineers,	ULSTER	Central Hudson Gas a..	New Construction Program, Technical Assistance Services	8,690
	Kasselman Solar LLC	SULLIVAN	NYS Electric and Gas	New York Sun Program, NY-Sun	9,918
	Kiit Renewable Energy LLC	ORANGE	Central Hudson Gas a..	New York Sun Program, Commercial/Industrial PV	119,472
	Kilowatt Engineering, Inc.	DUTCHESS	Central Hudson Gas and Electric	Existing Facilities Program, Technical Review and Program S	4,698
				Industrial Process Efficiency Program, Technical Review and Program S	5,288
	Kraft Power Corporation	WESTCHESTER	Consolidated Edison	Combined Heat and Power, CHPA - Mount Vernon High School	266,250
	L&S Energy Services, Inc.	WESTCHESTER	Consolidated Edison	Industrial Process Efficiency Program, Technical Review and Program S	1,531
				New Construction Program, Technical Review and Program S	6,766
			NYS Electric and Gas	New Construction Program, L&S-Energy Modeling Partner	5,000
	Lionshead Energy LLC	WESTCHESTER	Consolidated Edison	New York Sun Program, NY-Sun	125,792
	Lotus Energy, Inc.	ORANGE	Orange and Rockland..	New York Sun Program, NY-Sun	54,442
	Metropool, Inc.	WESTCHESTER	Consolidated Edison	Clean Transportation, Tri-Cities Mobility Challenge	299,331
	Moffat Library	ORANGE	Orange and Rockland..	New Construction Program, NCP12436 - Moffat Library-OFLT	7,620
	New York City Energy Efficiency Corp	WESTCHESTER	Consolidated Edison	Green Jobs Green New York Revolving Loan Fund, Multifamily	25,212
	New York Power Authority	WESTCHESTER	Consolidated Edison	Smart Grid Systems, EPTD Smart Grid	285,000
	New York State Solar Farm Inc.	DUTCHESS	NYS Electric and Gas	New York Sun Program, NY-Sun	12,034
		ORANGE	Orange and Rockland..	New York Sun Program, NY-Sun	18,560
		ULSTER	Central Hudson Gas and Electric	New York Sun Program, NY Sun	5,232
	Nexant, Incorporated	ORANGE	Orange and Rockland..	Industrial Process Efficiency Program, Technical Review and Program S	1,551
		WESTCHESTER	Consolidated Edison	Industrial Process Efficiency Program, Technical Review and Program S	6,870
	Novel Approaches Solar Applications, LLC	ORANGE	Orange and Rockland..	New York Sun Program, NY-Sun	7,320
		SULLIVAN	Orange and Rockland..	New York Sun Program, NY-Sun	15,040
	Novus Engineering, P.C.	DUTCHESS	Central Hudson Gas a..	New Construction Program, Energy Modeling Partner	12,444
	NYC Department of Environmental Protect	ULSTER	Central Hudson Gas a..	New Construction Program, NCP13127 - Ben Nesin Lab	10,325
	OnForce Solar	ROCKLAND	Orange and Rockland..	New York Sun Program, NY-Sun	16,384
	Ozz Solar Development Inc.	PUTNAM	NYS Electric and Gas	New York Sun Program, NY Sun C&I	231,404
	Pace Law School	WESTCHESTER	Consolidated Edison	Cleaner Greener Communities, CGC31911 - Pace Law School	510,000
	Paradise Energy Solutions, LLC	DUTCHESS	Central Hudson Gas a..	New York Sun Program, NY-Sun	5,639
	Pavion Holdings, LLC	ROCKLAND	Orange and Rockland..	HOME PERFORMANCE WITH ENERGY STAR, Codes & New Constru..	351,500
	PFNY LLC	WESTCHESTER	Consolidated Edison	Flexible Technical Assistance Program, FlexTech Program - Pon 1746	51,450
	Post Road Associates LLC	WESTCHESTER	Consolidated Edison	New Construction Program, NCP12725 - 101 East Post Road	13,117
	Rondack Construction Inc.	DUTCHESS	Central Hudson Gas and Electric	HOME PERFORMANCE WITH ENERGY STAR, Codes & New Constru..	17,100
				New York ENERGY STAR Homes, Codes & New Construction	153,900
	Ross Solar Group, LLC	WESTCHESTER	Consolidated Edison	New York Sun Program, NY-Sun CI	741,432
NYS Electric and Gas			New York Sun Program, NY-Sun	5,040	
Rural Ulster Preservation Company	ULSTER	Central Hudson Gas a..	Green Jobs Green New York Revolving Loan Fund, Green Jobs Green ..	155,000	
S&M Service Station Corp.	WESTCHESTER	Consolidated Edison	Fuel NY, GSP-00739 S&M Service Station	13,000	
Sears Holdings	DUTCHESS	Central Hudson Gas a..	Existing Facilities Program, EFP2354 - Sears Holding Corp	8,789	
	PUTNAM	NYS Electric and Gas	Existing Facilities Program, EFP2354 - Sears Holding Corp	3,451	
	WESTCHESTER	NYS Electric and Gas	Existing Facilities Program, EFP2354 - Sears Holding Corp	4,367	
ShopRite Supermarkets, Inc.	WESTCHESTER	Consolidated Edison	Existing Facilities Program, EFP2485- Shoprite Supermarkets	130,600	
Skae Power	ROCKLAND	Orange and Rockland..	Industrial Process Efficiency Program, Industrial Process Efficiency	502,511	
Solar Alchemy, Inc.	ULSTER	Central Hudson Gas a..	New York Sun Program, NY-Sun	5,632	
Solar Generation, Inc.	DUTCHESS	Central Hudson Gas a..	New York Sun Program, NY-Sun	15,744	
	ULSTER	Central Hudson Gas a..	New York Sun Program, NY-Sun	3,000	
Solar Home NJ	ORANGE	Orange and Rockland..	New York Sun Program, NY-Sun	10,000	
Solar Liberty Energy Systems, Inc	SULLIVAN	NYS Electric and Gas	New York Sun Program, Commercial/Industrial PV	241,278	
	ULSTER	Central Hudson Gas and Electric	New York Sun Program, NY-Sun	6,048	
			Smart Grid Systems, Purchase of Equipment	125,000	
Solar Maximum LLC	WESTCHESTER	Consolidated Edison	New York Sun Program, NY-Sun	5,494	
SolarCity Corporation	DUTCHESS	Central Hudson Gas and Electric	New York Sun Program, NY Sun	6,148	
			New York Sun Program, NY-Sun	33,949	
		NYS Electric and Gas	New York Sun Program, NY-Sun	26,815	
	ORANGE	Central Hudson Gas a..	New York Sun Program, NY-Sun	5,399	

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REDC Region	Contractor	County	Electric Utility	Project Description	Total Funded Amount
Mid-Hudson	SolarCity Corporation	ORANGE	Orange and Rockland Utilities	New York Sun Program, Commerical/IndustrialPV	124,712
				New York Sun Program, NY-Sun	53,820
				New York Sun Program, NY-Sun C&I	120,500
		PUTNAM	NYS Electric and Gas	New York Sun Program, NY-Sun	5,916
		ROCKLAND	Orange and Rockland..	New York Sun Program, NY-Sun	17,036
		SULLIVAN	Orange and Rockland..	New York Sun Program, NY-Sun	5,304
		ULSTER	Central Hudson Gas and Electric	New York Sun Program, NY Sun	5,406
				New York Sun Program, NY-Sun	21,980
		WESTCHESTER	Consolidated Edison	New York Sun Program, NY-Sun	34,195
			NYS Electric and Gas	New York Sun Program, NY-Sun	5,532
State University of NY @ New Platz	ULSTER	Central Hudson Gas a..	Existing Facilities Program, EFP1278 - SUNY New Paltz	25,036	
Steven Winter Associates, Inc.	WESTCHESTER	Consolidated Edison	Existing Facilities Program, Technical Review and Program S	896	
			New Construction Program, Technical Review and Program S	23,287	
Summit Research Labs Inc	ORANGE	Orange and Rockland..	Industrial Process Efficiency Program, Industrial Process Efficiency	55,584	
Sun Source Technologies	DUTCHESS	Central Hudson Gas a..	New York Sun Program, NY-Sun	12,365	
			New York Sun Program, NY-Sun	36,864	
	ORANGE	Central Hudson Gas a..	New York Sun Program, NY-Sun	18,432	
			New York Sun Program, NY-Sun	5,184	
	ULSTER	Central Hudson Gas and Electric	New York Sun Program, NY-Sun	40,596	
SunPower Capital, LLC	DUTCHESS	Central Hudson Gas a..	New York Sun Program, NY-Sun	5,232	
			New York Sun Program, NY-Sun	5,232	
	ORANGE	Central Hudson Gas a..	New York Sun Program, NY-Sun	6,540	
			New York Sun Program, NY-Sun	57,646	
	ROCKLAND	Orange and Rockland..	New York Sun Program, NY-Sun	44,291	
	SULLIVAN	Orange and Rockland..	New York Sun Program, NY-Sun	7,979	
	ULSTER	Central Hudson Gas a..	New York Sun Program, NY-Sun	23,707	
	WESTCHESTER	Consolidated Edison	New York Sun Program, NY-Sun	36,614	
	Sunrise Solar Solutions, LLC	ORANGE	Orange and Rockland..	New York Sun Program, NY-Sun	8,904
				New York Sun Program, NY-Sun	51,284
WESTCHESTER		Consolidated Edison	New York Sun Program, NY-Sun	182,125	
SunRun, Inc	ORANGE	Central Hudson Gas a..	New York Sun Program, NY-Sun	6,344	
			New York Sun Program, NY-Sun	5,184	
	ULSTER	Central Hudson Gas a..	New York Sun Program, NY-Sun	353	
	WESTCHESTER	Consolidated Edison	New York Sun Program, NY-Sun	15,081	
	WESTCHESTER	Consolidated Edison	New York Sun Program, NY-Sun	6,375	
Sure Energy, LLC	WESTCHESTER	Consolidated Edison	New York Sun Program, NY-Sun	6,375	
Susten Corp	WESTCHESTER	Consolidated Edison	New York Sun Program, NY-Sun	5,760	
Tem Construction & Development, LLC	WESTCHESTER	Consolidated Edison	HOME PERFORMANCE WITH ENERGY STAR, Codes & New Constru..	18,850	
			New York ENERGY STAR Homes, Codes & New Construction	169,650	
			NYS Electric and Gas	HOME PERFORMANCE WITH ENERGY STAR, Codes & New Constru..	13,250
The Community Builders, Inc.	WESTCHESTER	Consolidated Edison	HOME PERFORMANCE WITH ENERGY STAR, Codes & New Constru..	17,600	
			New York ENERGY STAR Homes, Codes & New Construction	158,400	
			WESTCHESTER	Consolidated Edison	New York Sun Program, NY-Sun
Ticon NY , Inc.	DUTCHESS	Central Hudson Gas a..	Industrial Process Efficiency Program, Industrial Process Efficiency	647,682	
TRC Energy Services	DUTCHESS	NYS Electric and Gas	Industrial Process Efficiency Program, Technical Review and Program S	4,500	
			ULSTER	Central Hudson Gas and Electric	Agriculture Energy Efficiency Program, FlexTech Consultant Selection
	WESTCHESTER	Consolidated Edison	Flexible Technical Assistance Program, FlexTech Consultant Selection	3,000	
Trinity Heating & Air, Inc.	WESTCHESTER	Consolidated Edison	Flexible Technical Assistance Program, FlexTech Consultant Selection	6,000	
Viking Solar, Inc.	ULSTER	Central Hudson Gas a..	Renewable Thermal, Solar Thermal Incentives	20,000	
Vivint Solar	WESTCHESTER	Consolidated Edison	New York Sun Program, NY-Sun	6,276	
Wappingers Central School District	DUTCHESS	Central Hudson Gas a..	New Construction Program, NCP11951 - Wappingers CSD Bus	10,885	
Watchtower Bible &	ORANGE	Orange and Rockland Utilities	New Construction Program, NCP10425 - Home Services	235,019	
			New Construction Program, NCP10427 - Powerhouse and Resi	348,856	
			New Construction Program, NCP10428 - Watchtower Bible	98,092	
			New Construction Program, NCP10429 - Watchtower OFLT	79,804	
			New Construction Program, NCP10430 - Residence C - OFLT	81,791	
Westhab, Inc.	WESTCHESTER	Consolidated Edison	New Construction Program, NCP10431 - Residence D	70,105	
			Green Affordable Housing, Multifamily	46,896	
Willdan Energy Solutions	DUTCHESS	Central Hudson Gas a..	Multifamily Performance Program, Multifamily	91,236	
			Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500	
			ORANGE	Orange and Rockland..	Agriculture Energy Efficiency Program, FlexTech Consultant Selection
Xzerta Energy Group LLC	SULLIVAN	NYS Electric and Gas	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500	
			New York Sun Program, Commercial/Industrial	1,500	

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REDC Region	Contractor	County	Electric Utility	Project Description	Total Funded Amount
Mid-Hudson	Xzerta Energy Group LLC	SULLIVAN	NYS Electric and Gas	New York Sun Program, Commercial/Industrial PV	10,253,416
				New York Sun Program, Commercial/IndustrialPV	5,126,708
				New York Sun Program, NY-Sun	8,971,739
	Total				76,326,408
Mohawk Valley	Active Solar Development, LLC	ONEIDA	National Grid	Renewable Thermal, Solar Thermal Incentive	144,129
	Antares Group, Inc.	HERKIMER	National Grid	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500
				Industrial Process Efficiency Program, Technical Review and Program S	1,989
	Apex Solar Power LLC	CHENANGO	NYS Electric and Gas	New York Sun Program, NY-Sun	12,384
		FULTON	National Grid	New York Sun Program, NY-Sun	6,032
		ONEIDA	National Grid	New York Sun Program, NY Sun	6,120
				New York Sun Program, NY-Sun	6,240
	Arcadis of New York, Inc.	MONTGOMERY	National Grid	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500
	Benchmark Group Inc	ONEIDA	National Grid	Existing Facilities Program, EFP2631 - Walmart - Multisite	48,983
		OTSEGO	NYS Electric and Gas	Existing Facilities Program, EFP2631 - Walmart - Multisite	21,421
	Bergmann Associates	ONEIDA	National Grid	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500
	Borrego Solar Systems, Inc.	FULTON	National Grid	New York Sun Program, Commercial/Industrial PV	1,032,470
		MONTGOMERY	National Grid	New York Sun Program, Commercial/Industrial PV	3,608,271
				New York Sun Program, commercial/industrial PV	589,426
	CDH Energy Corporation	ONEIDA	National Grid	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	9,000
	CHA Consulting Inc.	OTSEGO	NYS Electric and Gas	Industrial Process Efficiency Program, Technical Review and Program S	4,000
	Citizens Enterprises Corporation	ONEIDA	National Grid	New York Sun Program, Commercial/Industrial PV	324,531
	CNY Solar, Inc.	ONEIDA	National Grid	New York Sun Program, NY-Sun	28,118
	Corning Inc.	OTSEGO	NYS Electric and Gas	Industrial Process Efficiency Program, Industrial Process Efficiency	28,069
	Cypress Creek Renewables LLC	MONTGOMERY	National Grid	New York Sun Program, NY-Sun C&I	1,109,185
				New York Sun Program, NY-Sun CI	1,172,567
				New York Sun Program, NY-Sun	5,130
	Doherty Electric, LLC	SCHOHARIE	National Grid	New York Sun Program, NY-Sun	5,130
	EME Consulting Engineering Group, LLC	FULTON	National Grid	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500
		HERKIMER	National Grid	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500
		MONTGOMERY	National Grid	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	5,000
		SCHOHARIE	National Grid	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500
	Energetics, Incorporated	ONEIDA	National Grid	Clean Transportation, Planning Board EVSE Promotion	100,000
	Energy & Resource Solutions, Inc.	HERKIMER	National Grid	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500
		MONTGOMERY	National Grid	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500
		SCHOHARIE	National Grid	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500
	Equity Energy, LLC	OTSEGO	NYS Electric and Gas	Renewable Heat NY, RHNYPON 3010 Incentive - Page	10,000
	Green Mountain Electric Supply, Inc.	OTSEGO	NYS Electric and Gas	New York Sun Program, NY-Sun	18,560
	Hudson Solar	MONTGOMERY	National Grid	New York Sun Program, NY-Sun	5,456
	Kasselman Solar LLC	SCHOHARIE	National Grid	New York Sun Program, NY-Sun	5,016
	Kilowatt Financial, LLC	ONEIDA	National Grid	New York Sun Program, NY-Sun	6,560
	L&S Energy Services, Inc.	FULTON	National Grid	Flexible Technical Assistance Program, FlexTech Consultant Selection	8,804
		HERKIMER	National Grid	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500
		MONTGOMERY	National Grid	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	11,000
		OTSEGO	NYS Electric and Gas	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500
		SCHOHARIE	National Grid	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500
	LaBella Associates, P.C.	CHENANGO	NYS Electric and Gas	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	7,500
	M/E Engineering, P.C.	OTSEGO	NYS Electric and Gas	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500
	Monolith Solar Associates, LLC	MONTGOMERY	National Grid	New York Sun Program, NY-Sun	12,174
	New York Power Authority	ONEIDA	National Grid	Flexible Technical Assistance Program, FlexTech MOU NYSERDA-NYP..	33,585
		SCHOHARIE	National Grid	Flexible Technical Assistance Program, FlexTech MOU NYSERDA-NYP..	68,259
	Northeast Agriculture Technology Corpora	ONEIDA	National Grid	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500
	OneEnergy Development LLC	SCHOHARIE	National Grid	New York Sun Program, NY-Sun C&I	427,574
	Remsen Central School District	ONEIDA	National Grid	Flexible Technical Assistance Program, FlexTech Program - Pon 1746	11,945
	Rescue Mission of Utica, Inc.	ONEIDA	National Grid	New Construction Program, Codes & New Construction	43,000
	Safari Energy LLC	FULTON	National Grid	New York Sun Program, Commercial/IndustrialPV	1,190,533
		MONTGOMERY	National Grid	New York Sun Program, Commercial/IndustrialPV	1,190,533
				New York Sun Program, NY-Sun	595,266
Sears Holdings	HERKIMER	National Grid	Existing Facilities Program, EFP2354 - Sears Holding Corp	4,871	
Skyline Solar Inc.	HERKIMER	National Grid	New York Sun Program, NY-Sun	6,270	
Solar Liberty Energy Systems, Inc	FULTON	National Grid	New York Sun Program, NY-Sun	7,068	
	MONTGOMERY	National Grid	New York Sun Program, Commercial/IndustrialPV	155,438	
	ONEIDA	National Grid	New York Sun Program, NY-Sun	5,100	
	SCHOHARIE	National Grid	New York Sun Program, NY-Sun	5,700	
SolarCity Corporation	FULTON	National Grid	New York Sun Program, NY-Sun	212,727	
	HERKIMER	National Grid	New York Sun Program, NY-Sun	19,826	
	MONTGOMERY	National Grid	New York Sun Program, Commercial/Industrial	463,496	

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REDC Region	Contractor	County	Electric Utility	Project Description	Total Funded Amount	
Mohawk Valley	SolarCity Corporation	ONEIDA	National Grid	New York Sun Program, NY-Sun	16,516	
		OTSEGO	National Grid	New York Sun Program, NY-Sun	6,466	
	Stewarts Shops Corp.	ONEIDA	National Grid	New Construction Program, NCP12255 - Stewarts #455 -OFLT	6,920	
				New Construction Program, NCP13083 - Stewarts 453-OFLT	6,304	
	SunEdison Governmental Solutions, LLC	ONEIDA	National Grid	New York Sun Program, Commercial/IndustrialPV	817,291	
				New York Sun Program, Commercial/IndustrialPV	817,291	
	SunRun, Inc	MONTGOMERY	National Grid	New York Sun Program, NY-Sun	2,184	
		SCHOHARIE	National Grid	New York Sun Program, NY-Sun	6,552	
	SUNY Oneonta	OTSEGO	NYS Electric and Gas	New Construction Program, NCP12789 -Wellness Center-OFLT	9,934	
	Taitem Engineering, P.C.	CHENANGO	NYS Electric and Gas	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500	
	The Radiant Store	MONTGOMERY	National Grid	Renewable Thermal, Solar Thermal Incentives	12,262	
	United Health Services Hospitals Inc	CHENANGO	NYS Electric and Gas	Existing Facilities Program, Commercial	146,831	
	United Wind Project I, LLC	ONEIDA	NYS Electric and Gas	Small Wind, Wind Turbine Incentive	40,038	
	Xzerta Energy Group LLC	HERKIMER	NYS Electric and Gas	New York Sun Program, Commercial/Industrial	1,068,064	
				New York Sun Program, NY-Sun	1,068,064	
		OTSEGO	NYS Electric and Gas	New York Sun Program, Commercial/Industrial PV	1,068,064	
				New York Sun Program, NY-Sun	1,068,064	
Total				18,987,672		
New York City	1st Light Energy, Inc.	QUEENS	Consolidated Edison	New York Sun Program, NY-Sun	102,500	
		RICHMOND	Consolidated Edison	New York Sun Program, NY-Sun	124,420	
	7-Eleven Inc.	KINGS	Consolidated Edison	Existing Facilities Program, EFP2431 - 7-Eleven Inc. - 7 EI	43,490	
		NEW YORK	Consolidated Edison	Existing Facilities Program, EFP2431 - 7-Eleven Inc. - 7 EI	37,324	
		QUEENS	Consolidated Edison	Existing Facilities Program, EFP2431 - 7-Eleven Inc. - 7 EI	87,983	
		RICHMOND	Consolidated Edison	Existing Facilities Program, EFP2431 - 7-Eleven Inc. - 7 EI	16,834	
	23 Acad St., LLC	NEW YORK	Consolidated Edison	Green Affordable Housing, Multifamily	14,495	
				Multifamily Performance Program, Multifamily	28,676	
	133 Equities, LLC	NEW YORK	Consolidated Edison	Multifamily Performance Program, Multifamily	84,489	
	158th St. & Riverside Drive Housing Co.	NEW YORK	Consolidated Edison	Multifamily Performance Program, Multifamily	64,050	
	300 Schemerhorn Realty LLC	KINGS	Consolidated Edison	New Construction Program, NCP11974 - Holiday Inn Brookly	96,868	
	301/69 Condominium	NEW YORK	Consolidated Edison	Multifamily Performance Program, Multifamily	58,800	
	375 Park Avenue Investors LP	NEW YORK	Consolidated Edison	Existing Facilities Program, EFP2484 - 375 Park Ave LP - 37	1,004,653	
	414 Property Holdings LLC	KINGS	Consolidated Edison	Multifamily Performance Program, Multifamily	35,000	
	500 Trinity LLC	BRONX	Consolidated Edison	Multifamily Performance Program, Multifamily	97,350	
	510 West 22nd Street Partners LLC	NEW YORK	Consolidated Edison	New Construction Program, NCP11107 - 510 West 22nd Stree	106,963	
	2015 ESA Project Company, LLC	KINGS	Consolidated Edison	Fuel Cells, RPS FC - Home Depot #1256	1,000,000	
				Fuel Cells, RPS FC - Home Depot #6152	936,758	
		QUEENS	Consolidated Edison	Fuel Cells, RPS FC - Home Depot #1214	1,000,000	
				Fuel Cells, RPS FC - Home Depot #1215	1,000,000	
		RICHMOND	Consolidated Edison	Fuel Cells, RPS FC - Home Depot #1249	1,000,000	
				Fuel Cells, RPS FC - Home Depot #1281	1,000,000	
	2157 Realty Associates LLC	KINGS	Consolidated Edison	Multifamily Performance Program, Multifamily	1,000	
	2605 GC Owner, LLC	BRONX	Consolidated Edison	Multifamily Performance Program, Multifamily	162,145	
	Accord Power, Inc.	KINGS	Consolidated Edison	New York Sun Program, NY-Sun	39,230	
		QUEENS	Consolidated Edison	New York Sun Program, NY-Sun	8,136	
	Active Solar Development, LLC	NEW YORK	Consolidated Edison	Renewable Thermal, Solar Thermal Incentive	15,230	
	Adam C. Boese	QUEENS	Consolidated Edison	Flexible Technical Assistance Program, FlexTech Consultant Selection	9,600	
	Adee Tower Apartments Inc	BRONX	Consolidated Edison	Multifamily Performance Program, Multifamily	41,550	
	AE Solar Energy	KINGS	Consolidated Edison	New York Sun Program, NY-Sun Comp. Liberty Distribut	456,126	
	Aegis Energy Services Inc.	KINGS	Consolidated Edison	Combined Heat and Power, CHPA - Grace Towers Apartment	138,600	
				Combined Heat and Power, CHPA - Plaza Residences 23-25	207,611	
				Combined Heat and Power, CHPA - Plaza Residences 250	138,600	
				Combined Heat and Power, CHPA - Remeeder House - Sheffi	69,300	
				Combined Heat and Power, CHPA - Remeeder House - Sutter	69,300	
				Combined Heat and Power, CHPA - Remeeder Houses - Alaba	69,300	
				Combined Heat and Power, CHPA - Remeeder House - Blake	69,300	
		NEW YORK	Consolidated Edison	Combined Heat and Power, CHPA - 300 Central Park West	148,500	
				Combined Heat and Power, CHPA - 400 Central Park West	198,000	
				Combined Heat and Power, CHPA - Time Square	350,000	
		QUEENS	Consolidated Edison	Combined Heat and Power, CHPA - Village Mall Hillcrest	198,000	
		Albert Einstein College of Medicine	BRONX	Consolidated Edison	Industrial Process Efficiency Program, Industrial Process Efficiency	173,884
		All HVAC Service Co.	NEW YORK	Consolidated Edison	Existing Facilities Program, EFP2081 - Bright Energy	11,105
All Systems Cogeneration, Inc.	RICHMOND	Consolidated Edison	Combined Heat and Power, CHP - Elbee Gardens	198,000		
Allen Stevenson School	NEW YORK	Consolidated Edison	New Construction Program, NCP13052 - Townhouse Project	37,900		
Altanova LLC	NEW YORK	Consolidated Edison	Flexible Technical Assistance Program, FlexTech Consultant Selection	30,570		
American Solar Partners, LLC	RICHMOND	Consolidated Edison	New York Sun Program, NY-Sun	7,380		

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REDC Region	Contractor	County	Electric Utility	Project Description	Total Funded Amount
New York City	Ampericon	RICHMOND	Consolidated Edison	New York Sun Program, NY-Sun	5,338
	Arcadis U.S., Inc.	KINGS	Consolidated Edison	Existing Facilities Program, Technical Review and Program S	1,685
	Arctic Air Mechanical Corp	NEW YORK	Consolidated Edison	Admin, HVAC NYC	5,600
	Atelier Ten	NEW YORK	Consolidated Edison	New Construction Program, ATEN - EMP	53,145
	BCDL Real Estate Development, LLC	KINGS	Consolidated Edison	HOME PERFORMANCE WITH ENERGY STAR, Codes & New Constru..	12,450
				New York ENERGY STAR Homes, Codes & New Construction	112,050
	Best Energy Power	KINGS	Consolidated Edison	New York Sun Program, NY-Sun	106,357
				NEW YORK	Consolidated Edison
		QUEENS	Consolidated Edison	New York Sun Program, NY-Sun	505,613
				PSEG Long Island	New York Sun Program, NY-Sun
		RICHMOND	Consolidated Edison	New York Sun Program, NY-Sun	92,852
	Bluestone Management Associates, LLC	NEW YORK	Consolidated Edison	Green Affordable Housing, Multifamily	50,436
				Multifamily Performance Program, Multifamily	155,716
	BOP West 31st Street LLC	NEW YORK	Consolidated Edison	New Construction Program, NCP12078 - Manhattan West	198,104
	Boro Park Center	KINGS	Consolidated Edison	Flexible Technical Assistance Program, FlexTech Program - PON1746	60,000
	Bridge Land Hudson LLC	NEW YORK	Consolidated Edison	New Construction Program, NCP11144 - Hudson Street	114,558
	Bright Power, Inc.	BRONX	Consolidated Edison	New York Sun Program, NY-Sun	61,925
		KINGS	Consolidated Edison	New York Sun Program, Commerical/IndustrialPV	462,863
				New York Sun Program, NY-Sun	57,559
		QUEENS	Consolidated Edison	Flexible Technical Assistance Program, FlexTech Consultant Selection	30,500
	RICHMOND	Consolidated Edison	Flexible Technical Assistance Program, FlexTech Consultant Selection	13,500	
	Bronx Park Phase I Preservation LLC	BRONX	Consolidated Edison	Multifamily Performance Program, Multifamily	81,600
	Bronx Park Phase II Preservation LLC	BRONX	Consolidated Edison	Multifamily Performance Program, Multifamily	57,200
	Bronx Pro Real Estate Management	BRONX	Consolidated Edison	Multifamily Performance Program, Multifamily	25,000
	Brooklyn Healthcare Investors LLC	KINGS	Consolidated Edison	New Construction Program, NCP12315 - 4813 Ninth Ave Medi	97,745
	Brooklyn Renaissance Plaza, LLC	KINGS	Consolidated Edison	Flexible Technical Assistance Program, FlexTech Program - Pon 1746	248,782
				Flexible Technical Assistance Program, FlexTech Program - PON 1746	80,296
	Brooklyn SolarWorks LLC	KINGS	Consolidated Edison	New York Sun Program, NY-Sun	17,559
	Builtrite Solutions Inc.	QUEENS	Consolidated Edison	Existing Facilities Program, EFP2297 - Builtrite Solutions	121,592
	Calvary Hospital	BRONX	Consolidated Edison	Existing Facilities Program, EFP2071 - Calvary Hospital	176,130
	CAMBA Housing Ventures, Inc.	KINGS	Consolidated Edison	Multifamily Performance Program, Multifamily	1,200
	CCMH Times Square LLC	NEW YORK	Consolidated Edison	Flexible Technical Assistance Program, FlexTech Program - PON1746	120,011
	CEC Stuyvesant Cove, Inc.	NEW YORK	Consolidated Edison	Cleaner Greener Communities, CGC55294 - Solar One	2,902,488
	Centerplate, Inc.	NEW YORK	Consolidated Edison	Innovation Capacity & Business Development, 2016 NY Green Innovatio..	2,000
	Citi Realty Services	NEW YORK	Consolidated Edison	Flexible Technical Assistance Program, FlexTech Program - Pon 1746	68,000
	CNY Solar, Inc.	QUEENS	Consolidated Edison	New York Sun Program, NY-Sun	55,920
	Coach, Inc.	NEW YORK	Consolidated Edison	New Construction Program, NCP12237 - Coach Hq - OFLT	448,155
	Code Green Solutions, Inc.	NEW YORK	Consolidated Edison	Flexible Technical Assistance Program, FlexTech Consultant Selection	64,920
	Cogeneration Contractors, Inc.	BRONX	Consolidated Edison	Combined Heat and Power, CHPA - Morris Avenue Apartment	117,000
	Collegiate School Inc	NEW YORK	Consolidated Edison	New Construction Program, NCP11512 - Collegiate School r	189,051
	Columbia University Medical Center	NEW YORK	Consolidated Edison	Industrial Process Efficiency Program, Industrial Process Efficiency	184,858
	Control Solutions Group, Inc.	NEW YORK	Consolidated Edison	Admin, Control Panel for HVAC in NYC	9,852
	Credit Suisse USA	NEW YORK	Consolidated Edison	Industrial Process Efficiency Program, Industrial Process Efficiency	91,875
	Cutone & Company Consultants, LLC	NEW YORK	Consolidated Edison	Existing Facilities Program, EFP2632 - Cutone & Company	105,015
	Direct Energy Business LLC	BRONX	Consolidated Edison	Industrial Process Efficiency Program, Industrial Process Efficiency	11,652
	DOJ Operations Associates LLC	BRONX	Consolidated Edison	Flexible Technical Assistance Program, FlexTech Program - Pon 1746	103,671
	Earth Environmental Group, LLC	NEW YORK	Consolidated Edison	Renewable Thermal, Solar Thermal Incentives	10,000
	East Harlem Center	NEW YORK	Consolidated Edison	New Construction Program, NCP13025-EHarlemTutorial-OFLT	24,110
	EcoMen Solar, LLC	RICHMOND	Consolidated Edison	New York Sun Program, NY-Sun	5,440
	EME Consulting Engineering Group, LLC	KINGS	Consolidated Edison	Flexible Technical Assistance Program, FlexTech Consultant Selection	75,000
				New Construction Program, Technical Review and Program S	19,650
		NEW YORK	Consolidated Edison	Flexible Technical Assistance Program, FlexTech Consultant Selection	10,093
				New Construction Program, Technical Review and Program S	28,500
	Empire State Realty Trust 1350 Broadway	NEW YORK	Consolidated Edison	Existing Facilities Program, EFP1962-Empire State Realty Tr	24,242
	Empower CES, LLC	KINGS	Consolidated Edison	New York Sun Program, NY-Sun	5,520
		QUEENS	Consolidated Edison	New York Sun Program, NY-Sun	11,680
	ENER-G Rudox Inc.	NEW YORK	Consolidated Edison	Combined Heat and Power, CHPA - Michaelangelo Hotel	455,138
Combined Heat and Power, CHPA - Mima Apartments				840,050	
Combined Heat and Power, CHPA- Westport				283,200	
Eneractive Solutions	NEW YORK	Consolidated Edison	Flexible Technical Assistance Program, FlexTech Consultant EnerActive	128,537	
Energy & Resource Solutions, Inc.	KINGS	Consolidated Edison	New Construction Program, Technical Review and Program S	6,950	
			Existing Facilities Program, Technical Review and Program S	115,455	
	NEW YORK	Consolidated Edison	Flexible Technical Assistance Program, FlexTech Consultant Selection	8,588	
			Industrial Process Efficiency Program, Technical Review and Program S	9,305	
QUEENS	Consolidated Edison	Flexible Technical Assistance Program, FlexTech Consultant Selection	19,670		

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REDC Region	Contractor	County	Electric Utility	Project Description	Total Funded Amount
New York City	Energy Conservation & Supply, Inc.	NEW YORK	Consolidated Edison	Existing Facilities Program, EFP2399 - Energy Conservation	51,046
	EnterSolar LLC	BRONX	Consolidated Edison	New York Sun Program, Commercial/Industrial PV	357,079
		KINGS	Consolidated Edison	New York Sun Program, NY-Sun	114,280
	Enven Energy Services	NEW YORK	Consolidated Edison	Existing Facilities Program, EFP2501 - Enven Energy Service	16,822
	Ery Hypis LLC	NEW YORK	Consolidated Edison	Combined Heat and Power, PON2701-Performance Incentive	2,400,000
	ERY South Residential Tower LLC	NEW YORK	Consolidated Edison	New Construction Program, NCP11332-15 Hudson Yards-OFLT	401,656
	Ficazzola Consulting, LLC	RICHMOND	Consolidated Edison	New York Sun Program, NY-Sun	6,773
	Fordham Fulton Realty Corp.	BRONX	Consolidated Edison	Multifamily Performance Program, Multifamily	80,250
	GB Lighting Corp	KINGS	Consolidated Edison	Existing Facilities Program, EFP2368 - GB Lighting - Bobove	10,323
	GCP 188th Realty Corp	QUEENS	Consolidated Edison	Fuel NY, PGI00007 - GCP 188th Realty Co	62,621
	Geatrain Engineering PLLC	NEW YORK	Consolidated Edison	Flexible Technical Assistance Program, FlexTech Consultant Selection	25,000
	GL Energy Solutions	BRONX	Consolidated Edison	Existing Facilities Program, EFP2541 - GL Energy - 2 Locati	99,694
		KINGS	Consolidated Edison	Existing Facilities Program, EFP2541 - GL Energy - 2 Locati	92,870
		QUEENS	Consolidated Edison	Existing Facilities Program, EFP2541 - GL Energy - 2 Locati	102,825
	Go Solar/Green NY, LLC	QUEENS	Consolidated Edison	New York Sun Program, NY-Sun	29,948
	Goldman Copeland Associates, P.C.	NEW YORK	Consolidated Edison	Flexible Technical Assistance Program, FlexTech Consultant Selection	7,513
	Green Charge Networks	NEW YORK	Consolidated Edison	Clean Transportation, PEV Enabling Technology Demos	250,000
	Green City Force	KINGS	Consolidated Edison	Workforce Development, Career pathways training	307,000
	Green Power Developers, LLC	BRONX	Consolidated Edison	New York Sun Program, NY-Sun	36,773
	Green Power Solutions, Inc.	QUEENS	Consolidated Edison	New York Sun Program, NY-Sun	5,220
	Green Street Power Partners LLC	KINGS	Consolidated Edison	New York Sun Program, NY-Sun	6,409
		NEW YORK	Consolidated Edison	New York Sun Program, NY-Sun	16,905
		QUEENS	Consolidated Edison	New York Sun Program, NY-Sun	42,360
		RICHMOND	Consolidated Edison	New York Sun Program, NY-Sun	5,559
	Grid City Electric Corp	QUEENS	Consolidated Edison	New York Sun Program, NY-Sun	6,240
	Groom Energy Solutions	KINGS	Consolidated Edison	Existing Facilities Program, EFP2519 - Groom Energy Solutio	7,426
	Habitat for Humanity - New York City	KINGS	Consolidated Edison	HOME PERFORMANCE WITH ENERGY STAR, Codes & New Constru..	2,100
				New York ENERGY STAR Homes, Codes & New Construction	18,900
	Henry Phipps Plaza East, Inc.	NEW YORK	Consolidated Edison	Multifamily Performance Program, Multifamily	46,800
	HESP Solar, LLC	RICHMOND	Consolidated Edison	New York Sun Program, NY-Sun C&I	270,618
	Hilton Hotels Corporation	NEW YORK	Consolidated Edison	Existing Facilities Program, EFP2065-Hilton New York - 1335	38,179
	Holland & Knight LLP	NEW YORK	Consolidated Edison	New York Green Bank, Green Bank Outside Legal Serv.	26,254
	Holliswood Center for Rehabilitation	QUEENS	Consolidated Edison	Flexible Technical Assistance Program, FlexTech Program - Pon 1746	32,234
	Home for Harlem Dowling Inc	NEW YORK	Consolidated Edison	Multifamily Performance Program, Multifamily	20,000
	HPP NY I	QUEENS	Consolidated Edison	New York Sun Program, FedEx Phase 2	39,026
	HSF New York, Inc.	NEW YORK	Consolidated Edison	New Construction Program, NCP11354 - RIU Hotel New York	88,275
	IGS Ventures, Inc.	RICHMOND	Consolidated Edison	New York Sun Program, PV@ Church of the Gateway	226,576
	IPPsolar Integration LLC	KINGS	Consolidated Edison	New York Sun Program, NY-Sun	84,761
	J P Morgan Chase Bank	BRONX	Consolidated Edison	Existing Facilities Program, EFP2557 - JPMorgan Chase - Mul	137,638
				KINGS	Consolidated Edison
		NEW YORK	Consolidated Edison	Existing Facilities Program, EFP2557 - JPMorgan Chase - Mul	514,817
				Existing Facilities Program, EFP2380 - JPMorgan Chase - Mul	986,683
		QUEENS	Consolidated Edison	Existing Facilities Program, EFP2557 - JPMorgan Chase - Mul	1,157,978
		RICHMOND	Consolidated Edison	Existing Facilities Program, EFP2557 - JPMorgan Chase - Mul	392,513
	Existing Facilities Program, EFP2557 - JPMorgan Chase - Mul	102,214			
	Johnson Controls Inc.	NEW YORK	Consolidated Edison	Existing Facilities Program, EFP2067 - Johnson Controls	6,712
	Kilowatt Engineering, Inc.	KINGS	Consolidated Edison	Existing Facilities Program, Technical Review and Program S	7,121
		NEW YORK	Consolidated Edison	Industrial Process Efficiency Program, Technical Review and Program S	4,926
	L'Oreal USA, Inc.	NEW YORK	Consolidated Edison	New Construction Program, NCP12669 - L'Oreal Hudson Yard	293,908
	Legacy Yards Tenant LLC	NEW YORK	Consolidated Edison	New Construction Program, NCP10564-10 Hudson Yards-OFLT	1,610,811
	Level Solar Inc.	RICHMOND	Consolidated Edison	New York Sun Program, NY-Sun	5,244
	Liiker EMO Energy Solutions, LLC	QUEENS	Consolidated Edison	Flexible Technical Assistance Program, FlexTech Consultant Selection	7,005
	Lionshead Energy LLC	QUEENS	Consolidated Edison	New York Sun Program, NY-Sun	28,224
	Loeb & Loeb LLP	NEW YORK	Consolidated Edison	New York Green Bank, Green Bank Outside Legal Couns	34,976
	M. Arthur Gensler Jr. & Associates Inc.	NEW YORK	Consolidated Edison	Market Pathways, CRETP - Gensler - 1700 Broadwa	140,000
	MBD Community Housing Corp	BRONX	Consolidated Edison	Multifamily Performance Program, Multifamily	23,000
Memorial Hospital for Cancer & Allied Di	NEW YORK	Consolidated Edison	New Construction Program, NCP11393 - 74th Street Ambulat	962,245	
MetLife	NEW YORK	Consolidated Edison	Market Pathways, CRETP - Metlife - 200 Park - I	140,000	
Metropolitan College of New York	BRONX	Consolidated Edison	New Construction Program, NCP11813-MCNY Bronx - OFLT	14,466	
Moishe Taub	BRONX	Consolidated Edison	Multifamily Performance Program, Multifamily	3,500	
Move Systems, Inc.	QUEENS	Consolidated Edison	Clean Transportation, Ambulance Anti-Idling Stations	384,980	
National Railroad Passenger Corp.	NEW YORK	Consolidated Edison	Existing Facilities Program, EFP1840 - National Railroad	81,914	
NationalGrid Energy Management, LLC	KINGS	Consolidated Edison	New York Sun Program, NY-Sun	39,428	
	QUEENS	Consolidated Edison	New York Sun Program, NY-Sun	32,768	
Navigant Consulting Inc.	NEW YORK	Consolidated Edison	REV Connect, REV Connect	2,140,144	

Projects Selected for Funding by Region

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REDC Region	Contractor	County	Electric Utility	Project Description	Total Funded Amount
New York City	Nehemiah Housing Development Fund Compan	KINGS	Consolidated Edison	HOME PERFORMANCE WITH ENERGY STAR, Codes & New Constru..	32,500
				New York ENERGY STAR Homes, Codes & New Construction	292,500
	Neighborhood Housing Services of Jamaica	QUEENS	Consolidated Edison	Cleaner Greener Communities, Green Jobs Green New York Outr	101,459
	Neighborhood Housing Services Staten Isl	RICHMOND	Consolidated Edison	Green Jobs Green New York Revolving Loan Fund, Green Jobs Green ..	36,878
	New 56th and Park NY Owner LLC	NEW YORK	Consolidated Edison	New Construction Program, NCP10655 - 432 Park Avenue	1,883,301
	New York Power Authority	BRONX	Consolidated Edison	Flexible Technical Assistance Program, FlexTech MOU NYSERDA-NYP..	40,000
	New York Presbyterian Hospital	NEW YORK	Consolidated Edison	New Construction Program, NCP11494 - Ambulatory Care Cen	689,536
	New York University	NEW YORK	Consolidated Edison	Flexible Technical Assistance Program, FlexTech Program - Pon 1746	9,538
	Nexant, Incorporated	BRONX	Consolidated Edison	Industrial Process Efficiency Program, Technical Review and Program S	5,040
				Existing Facilities Program, Technical Review and Program S	40,022
				Industrial Process Efficiency Program, Technical Review and Program S	4,292
	Nixon Peabody LLP	NEW YORK	Consolidated Edison	New York Green Bank, Green Bank Outside Legal Serv.	50,269
	Noresco LLC	NEW YORK	Consolidated Edison	Flexible Technical Assistance Program, FlexTech Consultant Selection	31,219
	NRG Residential Solar Solutions, LLC	RICHMOND	Consolidated Edison	New York Sun Program, NY-Sun	5,214
	NYU Hospital Center	KINGS	Consolidated Edison	New Construction Program, NCP13053-NYU Cobble Hill-OFLT	280,619
	OLA Consulting Engineers, P.C.	NEW YORK	Consolidated Edison	Flexible Technical Assistance Program, FlexTech Consultant Selection	14,164
	One Hudson Yards Owner LLC	NEW YORK	Consolidated Edison	New Construction Program, NCP12087-55 Hudson Yards-OFLT	359,026
	OnForce Solar	QUEENS	PSEG Long Island	New York Sun Program, NY-Sun	5,137
		RICHMOND	Consolidated Edison	New York Sun Program, NY-Sun	5,232
	ORE F4 ProjectCo, LLC	KINGS	Consolidated Edison	New York Sun Program, NY-Sun	5,300
		QUEENS	Consolidated Edison	New York Sun Program, NY-Sun	11,331
		RICHMOND	Consolidated Edison	New York Sun Program, NY-Sun	36,204
	Palladia, Inc.	BRONX	Consolidated Edison	Multifamily Performance Program, Multifamily	177,600
	Park Lane North Owner's, Inc. c/o Marcus	QUEENS	Consolidated Edison	Multifamily Performance Program, Multifamily	51,500
	Pepsi Cola Bottling Co of NY	QUEENS	Consolidated Edison	Industrial Process Efficiency Program, Industrial Process Efficiency	376,596
	Quixotic Enterprises, LLC	KINGS	Consolidated Edison	Renewable Thermal, Solar Thermal Incentive	6,000
	Quixotic Systems, Inc.	KINGS	Consolidated Edison	New York Sun Program, NY-Sun	37,076
	R. Edge Contracting LLC	RICHMOND	Consolidated Edison	New York Sun Program, NY-Sun	68,084
	Rafferty Enterprises, Inc.	NEW YORK	Consolidated Edison	Admin, Temp Employee Services	9,108
	Randstad North America, L.P.	NEW YORK	Consolidated Edison	New York Green Bank, Temp Services Contract	103,673
				New York Green Bank, Temp to Hire	45,230
	Robert Derector Associates	NEW YORK	Consolidated Edison	Market Pathways, CRETP - Robert Derector Associ	60,000
	Rockledge Hotel Properties, Inc	NEW YORK	Consolidated Edison	Flexible Technical Assistance Program, FlexTech Program - PON1746	31,866
	Ross Solar Group, LLC	QUEENS	Consolidated Edison	New York Sun Program, NY-Sun C&I	947,351
	RXR Atlas LLC	NEW YORK	Consolidated Edison	New Construction Program, NCP11905 - DMP OFLT	644,770
	Saimar Properties LLC	KINGS	Consolidated Edison	New Construction Program, NCP10804 - Federal Building 2	109,303
	Sea Bright Solar, LLC	QUEENS	Consolidated Edison	New York Sun Program, NY-Sun	5,520
		RICHMOND	Consolidated Edison	New York Sun Program, NY-Sun	11,662
	Sears Holdings	RICHMOND	Consolidated Edison	Existing Facilities Program, EFP2354 - Sears Holding Corp	14,796
	Sharon Sherrard	NEW YORK	Consolidated Edison	New York Green Bank, Fund Admin Implementation	50,000
	Smith Engineering PLLC	NEW YORK	Consolidated Edison	Flexible Technical Assistance Program, FlexTech Consultant Selection	33,778
	Solar Home NJ	RICHMOND	Consolidated Edison	New York Sun Program, NY-Sun	5,120
	SolarCity Corporation	BRONX	Consolidated Edison	New York Sun Program, Commercial/Industrial PV	335,681
	Southport, L.L.C.	RICHMOND	Consolidated Edison	New York Sun Program, Commercial/Industrial	210,532
	SS&C Technologies, Inc.	NEW YORK	Consolidated Edison	New York Green Bank, Fund Administration/Loan Inves	3,000,000
	Staten Island Renewable Energy Corp.	KINGS	Consolidated Edison	New York Sun Program, NY-Sun	51,855
		RICHMOND	Consolidated Edison	New York Sun Program, NY-Sun	5,580
	Steven Winter Associates, Inc.	KINGS	Consolidated Edison	New Construction Program, Technical Review and Program S	5,634
		NEW YORK	Consolidated Edison	Advanced Buildings, Linkage-Less Burner Retrofit	28,377
				New Construction Program, Technical Review and Program S	20,824
		RICHMOND	Consolidated Edison	New Construction Program, Technical Assistance Services	12,274
	Sun Rock Development, LLC	KINGS	Consolidated Edison	HOME PERFORMANCE WITH ENERGY STAR, Codes & New Constru..	6,100
				New York ENERGY STAR Homes, Codes & New Construction	54,900
	Sungevity Development, LLC	QUEENS	Consolidated Edison	New York Sun Program, NY-Sun	6,365
	Sungevity, Inc.	KINGS	Consolidated Edison	New York Sun Program, NY-Sun	8,400
	SunPower Capital, LLC	BRONX	Consolidated Edison	New York Sun Program, NY-Sun	18,595
				New York Sun Program, NY-Sun	33,099
QUEENS		Consolidated Edison	New York Sun Program, NY-Sun	103,845	
RICHMOND		Consolidated Edison	New York Sun Program, NY-Sun	330,601	
SunRun, Inc	QUEENS	Consolidated Edison	New York Sun Program, NY-Sun	25,077	
	RICHMOND	Consolidated Edison	New York Sun Program, NY-Sun	38,715	
Sunset LG Realty LLC	BRONX	Consolidated Edison	Flexible Technical Assistance Program, FlexTech Program - Pon 1746	47,304	
Sustainable South Bronx Inc.	BRONX	Consolidated Edison	Cleaner Greener Communities, Green Jobs Green New York Outr	56,688	
			Green Jobs Green New York Revolving Loan Fund, Green Jobs Green ..	3,219	
Taystee Create LLCc	NEW YORK	Consolidated Edison	New Construction Program, NCP11527 - Taystee Bakery Buil	244,452	

Projects Selected for Funding by Region
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REDC Region	Contractor	County	Electric Utility	Project Description	Total Funded Amount	
New York City	Tecogen	BRONX	Consolidated Edison	Combined Heat and Power, CHPA - Winston Churchill	180,000	
		NEW YORK	Consolidated Edison	Combined Heat and Power, CHPA - Greenwich Club Residenc	235,000	
				Combined Heat and Power, CHPA - Plymouth Towers	350,000	
				Combined Heat and Power, CHPA - Rivercross Tenants Corp	761,250	
				Combined Heat and Power, CHPA - The Brevard	385,000	
		Tetra Tech Engineers, Architects and Lan	NEW YORK	Consolidated Edison	Market Pathways, CRETP - Metlife - 200 Park - M	60,000
		The Bridge Inc	KINGS	Consolidated Edison	Multifamily Performance Program, NYSERDA Administration	54,725
		The New York Times Company	QUEENS	Consolidated Edison	Industrial Process Efficiency Program, IPE12115 - The New York Times	33,117
		Theodore Theodoropoulos	QUEENS	Consolidated Edison	New York Sun Program, NY-Sun	180
		ThinkEco, Inc.	NEW YORK	Consolidated Edison	Market Pathways, Behavioral Demonstrations Prog	381,838
		Tiffany & Co	NEW YORK	Consolidated Edison	Existing Facilities Program, EFP/DMP2300 - Tiffany's & Co	758,535
		Top Green LLC	QUEENS	Consolidated Edison	Fuel NY, PGI00010 - Top Green LLC	57,200
		Towers on the Park Condominium	NEW YORK	Consolidated Edison	Multifamily Performance Program, Multifamily	51,300
		TRC Energy Services	NEW YORK	Consolidated Edison	Existing Facilities Program, Technical Review and Program S	14,665
	QUEENS		Consolidated Edison	Existing Facilities Program, Technical Review and Program S	2,125	
			Industrial Process Efficiency Program, Technical Review and Program S	6,000		
		Triborough Preservation LLC	BRONX	Consolidated Edison	Multifamily Performance Program, Multifamily	41,600
	KINGS		Consolidated Edison	Multifamily Performance Program, Multifamily	75,300	
	NEW YORK		Consolidated Edison	Multifamily Performance Program, Multifamily	110,300	
		Trinity Heating & Air, Inc.	RICHMOND	Consolidated Edison	New York Sun Program, NY-Sun	5,304
		U.S. Green Building Council, NY Chapter	NEW YORK	Consolidated Edison	Advanced Buildings, Improving Steam Distribution	125,000
		Van Blarcom Closures, Inc.	KINGS	Consolidated Edison	Industrial Process Efficiency Program, Industrial Process Efficiency	188,368
		Venture Home Solar LLC	QUEENS	Consolidated Edison	New York Sun Program, NY-Sun	22,217
			RICHMOND	Consolidated Edison	New York Sun Program, NY-Sun	26,197
		Vidaris, Inc.	KINGS	Consolidated Edison	New Construction Program, Technical Assistant Services..	13,293
			NEW YORK	Consolidated Edison	Existing Facilities Program, EFP10513 - Vidaris	27,907
					Flexible Technical Assistance Program, FlexTech Consultant Selection	9,370
					New Construction Program, Vidaris - EMP	158,650
			QUEENS	Consolidated Edison	New Construction Program, Technical Assistant Services..	43,000
		W2005 / Hines West Fifty-Third Realty LL	NEW YORK	Consolidated Edison	New Construction Program, NCP11483 -53 West 53rd St-OFLT	220,354
		Waypoint Realty, LLC	BRONX	Consolidated Edison	Industrial Process Efficiency Program, Industrial Process Efficiency	77,568
		West 30th HL LLC	NEW YORK	Consolidated Edison	New Construction Program, NCP11468 - West 30th HL LLC	142,903
		West Harlem Environmental Action, Inc.	NEW YORK	Consolidated Edison	New York Sun Program, Solarize 2016	5,000
		White & Case, LLP	NEW YORK	Consolidated Edison	Market Pathways, CRETP - White & Case - 1221 Av	140,000
		Willdan Energy Solutions	NEW YORK	Consolidated Edison	Industrial Process Efficiency Program, Technical Review and Program S	118,711
		WM Group Services, LLC	KINGS	Consolidated Edison	Flexible Technical Assistance Program, FlexTech Consultant WMGroup	39,375
		WSP USA Corp.	NEW YORK	Consolidated Edison	New Construction Program, Technical Assistance NCP	23,035
		Wythe Berry LLC	KINGS	Consolidated Edison	New Construction Program, NCP12616 - 55 Wythe Ave.	768,284
		Total				54,075,723
	North Country	Adirondack North Country Association	FRANKLIN	National Grid	Cleaner Greener Communities, Green Jobs Green New York Outr	41,923
		Agri-Energy USA, LLC	JEFFERSON	National Grid	Anaerobic Digester Program, RPS CST-ADG Milk Street	2,000,000
		Alternative Power Solutions of NY, LLC	SAINT LAWRENCE	National Grid	New York Sun Program, NY Sun	6,656
					New York Sun Program, NY-Sun	22,248
		American Solar Partners, LLC	SAINT LAWRENCE	National Grid	New York Sun Program, NY-Sun	10,464
		Apex Solar Power LLC	CLINTON	NYS Electric and Gas	New York Sun Program, NY-Sun	5,200
			ESSEX	NYS Electric and Gas	New York Sun Program, NY-Sun	3,000
			FRANKLIN	National Grid	New York Sun Program, NY-Sun	5,720
			SAINT LAWRENCE	National Grid	New York Sun Program, NY-Sun	6,864
					Renewable Thermal, Solar Thermal Incentives	6,000
		Arcadis of New York, Inc.	SAINT LAWRENCE	National Grid	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	14,408
Bergmann Associates		LEWIS	National Grid	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500	
Borrego Solar Systems, Inc.		CLINTON	NYS Electric and Gas	New York Sun Program, NY-Sun	1,326,895	
				New York Sun Program, NY-Sun Assignee	1,326,895	
		SAINT LAWRENCE	National Grid	New York Sun Program, Commercial/Industrial PV	559,837	
Bubbins Farm LLC		CLINTON	NYS Electric and Gas	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	174,081	
CDH Energy Corporation		JEFFERSON	National Grid	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500	
		LEWIS	National Grid	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500	
CHA Consulting Inc.		ESSEX	NYS Electric and Gas	Renewable Heat NY, Technical Review and Program S	2,450	
		SAINT LAWRENCE	National Grid	Industrial Process Efficiency Program, Technical Review and Program S	42,500	
Clarkson University		SAINT LAWRENCE	National Grid	New Construction Program, NCP14057 - Damon Hall - OFLT	220,000	
CNY Solar, Inc.		HAMILTON	NYS Electric and Gas	New York Sun Program, NY-Sun	5,616	
Cornerstone Energy Services		CLINTON	NYS Electric and Gas	Renewable Heat NY, RHNY PON 3010 Incentive - Kinb	21,910	
Energy & Resource Solutions, Inc.		CLINTON	NYS Electric and Gas	Existing Facilities Program, Technical Review and Program S	9,190	
				Renewable Heat NY, Technical Review and Program S	3,605	
Erdman Anthony & Associates, Inc.		FRANKLIN	National Grid	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500	

Projects Selected for Funding by Region
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REDC Region	Contractor	County	Electric Utility	Project Description	Total Funded Amount	
North Country	Erdman Anthony & Associates, Inc.	LEWIS	National Grid	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500	
		SAINT LAWRENCE	National Grid	New Construction Program, EAA - EMP	6,630	
	EYP Architecture & Engineering, PC	CLINTON	NYS Electric and Gas	New Construction Program, Technical Assistance Services	21,900	
	Fourth Coast, Inc.	JEFFERSON	National Grid	New York Sun Program, NY-Sun	56,486	
		SAINT LAWRENCE	National Grid	New York Sun Program, NY-Sun	8,480	
	Frederick A Proven	SAINT LAWRENCE	National Grid	New York Sun Program, NY-Sun	5,824	
	Greenskies Powergroup 2 LLC	LEWIS	National Grid	New York Sun Program, Commercial/Industrial PV	384,693	
	Halcyon, Inc.	LEWIS	National Grid	New York Sun Program, NY-Sun	7,808	
	Indian River Central School District	JEFFERSON	National Grid	New Construction Program, NCP12782 - Evans Mills Primary	7,927	
	Intelligent Green Solutions	LEWIS	National Grid	Renewable Thermal, Renewable Heating & Cooling	104,351	
	L&S Energy Services, Inc.	CLINTON	NYS Electric and Gas	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500	
		ESSEX	NYS Electric and Gas	Industrial Process Efficiency Program, Technical Review and Program S	3,277	
		FRANKLIN	NYS Electric and Gas	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	10,000	
		JEFFERSON	National Grid	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500	
		LEWIS	National Grid	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	5,000	
		SAINT LAWRENCE	National Grid	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500	
	M/E Engineering, P.C.	JEFFERSON	National Grid	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500	
		SAINT LAWRENCE	National Grid	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500	
	Malone Central School District	FRANKLIN	National Grid	New Construction Program, NCP12894 - Malone CSD Bus Gara	18,859	
	Maple Housing Development Fund Corp	JEFFERSON	National Grid	Multifamily Performance Program, Multifamily	115,000	
	Mapleview Dairy LLC	SAINT LAWRENCE	National Grid	Anaerobic Digester Program, RPS CST ADG - Mapleview Dairy	2,000,000	
	Northeast Agriculture Technology Corpora	JEFFERSON	National Grid	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500	
		LEWIS	National Grid	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500	
	Reber Rock Farm	ESSEX	NYS Electric and Gas	Agriculture Energy Efficiency Program, AEEP - R815 Reber Rock Farm	7,792	
	Scott Shipley	SAINT LAWRENCE	National Grid	New York Sun Program, NY-Sun	16,078	
	Sears Holdings	CLINTON	Municipal Utilities	Existing Facilities Program, EFP2354 - Sears Holding Corp	4,382	
		FRANKLIN	National Grid	Existing Facilities Program, EFP2354 - Sears Holding Corp	6,909	
		JEFFERSON	National Grid	Existing Facilities Program, EFP2354 - Sears Holding Corp	3,633	
	SolarCity Corporation	CLINTON	NYS Electric and Gas	New York Sun Program, Commercial/IndustrialPV	322,261	
		ESSEX	National Grid	New York Sun Program, NY-Sun C&I	140,262	
		SAINT LAWRENCE	National Grid	New York Sun Program, Commercial/IndustrialPV	346,663	
	Taitem Engineering, P.C.	JEFFERSON	National Grid	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	5,000	
		LEWIS	National Grid	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500	
		SAINT LAWRENCE	National Grid	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	1,500	
	The Radiant Store	ESSEX	NYS Electric and Gas	Renewable Heat NY, RHNY PON 3010 Incentive - Beno	5,000	
	TRC Energy Services	ESSEX	National Grid	Environmental Research, Technical Review and Program S	49,750	
	Total					9,513,427
	Southern Tier	Apex Solar Power LLC	DELAWARE	NYS Electric and Gas	New York Sun Program, NY-Sun	6,240
		Arcadis of New York, Inc.	DELAWARE	NYS Electric and Gas	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500
		Bigwood Systems Inc	TOMPKINS	NYS Electric and Gas	Smart Grid Systems, EPTD Smart Grid	225,000
		CDH Energy Corporation	TIOGA	NYS Electric and Gas	Industrial Process Efficiency Program, Technical Review and Program S	9,960
		CHA Consulting Inc.	BROOME	NYS Electric and Gas	Existing Facilities Program, Technical Review and Program S	3,000
			STEUBEN	NYS Electric and Gas	Industrial Process Efficiency Program, FlexTech Consultant CHA	9,700
					Industrial Process Efficiency Program, Technical Review and Program S	14,100
		Corning Community College	STEUBEN	NYS Electric and Gas	Industrial Process Efficiency Program, Industrial Process Efficiency	13,096
		Corning Inc.	STEUBEN	NYS Electric and Gas	Industrial Process Efficiency Program, Industrial Process Efficiency	118,697
		Cypress Creek Renewables LLC	DELAWARE	NYS Electric and Gas	New York Sun Program, Commercial/Industrial PV	1,204,258
		EI Mira Colony Park LLC	CHEMUNG	NYS Electric and Gas	Multifamily Performance Program, Multifamily	8,600
		EMCOR Services Betlem	STEUBEN	NYS Electric and Gas	Flexible Technical Assistance Program, FlexTech Consultant Selection	8,926
		Extraterrestrial Materials Inc.	TOMPKINS	NYS Electric and Gas	New York Sun Program, NY-Sun	5,940
		Fingerlakes Renewables	TOMPKINS	NYS Electric and Gas	New York Sun Program, NY-Sun	13,888
		Freedom Solar Inc.	TIOGA	NYS Electric and Gas	New York Sun Program, NY-Sun	5,720
		G.W. Ehrhart, Inc.	TOMPKINS	NYS Electric and Gas	Renewable Heat NY, Renewable Heating & Cooling	29,625
				Renewable Heat NY, RHNY PON 3010 Incentive - Barb	12,870	
George E Denmark II		CHEMUNG	NYS Electric and Gas	New York Sun Program, NY-Sun	5,060	
		STEUBEN	NYS Electric and Gas	New York Sun Program, NY-Sun	7,260	
Halcyon, Inc.		TIOGA	NYS Electric and Gas	New York Sun Program, NY-Sun	5,832	
		TOMPKINS	NYS Electric and Gas	New York Sun Program, NY-Sun	7,800	
Hardinge Inc.		CHEMUNG	NYS Electric and Gas	Flexible Technical Assistance Program, FlexTech Program - Pon 1746	11,750	
Ithaca Carshare, Inc.		TOMPKINS	NYS Electric and Gas	Clean Transportation, H+T index for Tompkins County	29,920	
Ithaca Hotels LLC		TOMPKINS	NYS Electric and Gas	New Construction Program, NCP12138-Holiday Inn Exp-OFLT	11,105	
Ithaca Neighborhood Housing Services, In		TOMPKINS	NYS Electric and Gas	Cleaner Greener Communities, CGC52863 - Ithaca NHS	516,674	
				HOME PERFORMANCE WITH ENERGY STAR, Codes & New Constru..	3,100	
				New York ENERGY STAR Homes, Codes & New Construction	27,900	
Kasselman Solar LLC		DELAWARE	NYS Electric and Gas	New York Sun Program, NY-Sun	5,244	

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REDC Region	Contractor	County	Electric Utility	Project Description	Total Funded Amount	
Southern Tier	Kilowatt Engineering, Inc.	BROOME	NYS Electric and Gas	Industrial Process Efficiency Program, Technical Review and Program S	6,456	
	LaBella Associates, P.C.	BROOME	NYS Electric and Gas	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500	
	Lansing Central School District	TOMPKINS	NYS Electric and Gas	Flexible Technical Assistance Program, FlexTech Program - PON 7146	6,057	
	M/E Engineering, P.C.	TOMPKINS	NYS Electric and Gas	Flexible Technical Assistance Program, FlexTech Consultant Selection	187,060	
	Meals on Wheels of Chemung County Inc	CHEMUNG	NYS Electric and Gas	New Construction Program, NCP12519-MealsWhisChemung-OFLT	11,342	
	Micatu, Inc.	STEUBEN	NYS Electric and Gas	Smart Grid Systems, EPTD Smart Grid Round 2	1,980,912	
	Quixotic Enterprises, LLC	DELAWARE	NYS Electric and Gas	New York Sun Program, NY-Sun	7,875	
	Reading Electric Renewable, LLC	TOMPKINS	NYS Electric and Gas	New York Sun Program, Commercial/Industrial PV	424,442	
	Renovus Energy, Inc.	BROOME	NYS Electric and Gas	New York Sun Program, NY-Sun	5,616	
				CHEMUNG	NYS Electric and Gas	New York Sun Program, NY-Sun
		TOMPKINS	NYS Electric and Gas	New York Sun Program, NY-Sun C&I	291,359	
				New York Sun Program, Commercial/Industrial PV	140,919	
				New York Sun Program, NY Sun	5,520	
				New York Sun Program, NY-Sun	35,388	
		TOMPKINS	NYS Electric and Gas	New York Sun Program, NY-Sun C&I	281,913	
				Scott Hymers	DELAWARE	NYS Electric and Gas
		Sears Holdings	BROOME	NYS Electric and Gas	Existing Facilities Program, EFP2354 - Sears Holding Corp	6,122
			CHEMUNG	NYS Electric and Gas	Existing Facilities Program, EFP2354 - Sears Holding Corp	4,317
	DELAWARE		NYS Electric and Gas	Existing Facilities Program, EFP2354 - Sears Holding Corp	3,689	
	SolarCity Corporation	STEUBEN	NYS Electric and Gas	New York Sun Program, Commercial/Industrial PV	779,802	
		TIOGA	NYS Electric and Gas	New York Sun Program, Commercial/Industrial PV	782,859	
	Taitem Engineering, P.C.	BROOME	NYS Electric and Gas	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500	
		CHEMUNG	NYS Electric and Gas	New York Sun Program, NY Sun	6,912	
		DELAWARE	NYS Electric and Gas	New York Sun Program, NY-Sun	20,372	
		STEUBEN	NYS Electric and Gas	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500	
		TIOGA	NYS Electric and Gas	Flexible Technical Assistance Program, FlexTech Consultant Selection	5,999	
		TOMPKINS	National Grid	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500	
				NYS Electric and Gas	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	31,478
		TOMPKINS	NYS Electric and Gas	New York Sun Program, NY-Sun	11,568	
	The Gunlocke Company	STEUBEN	NYS Electric and Gas	Industrial Process Efficiency Program, Industrial Process Efficiency	90,963	
	Trane	TOMPKINS	NYS Electric and Gas	Existing Facilities Program, EFP3010 - Trane; Ithaca CSD-HS	69,286	
				Existing Facilities Program, EFP3013 - Tarne; Ithaca CSD	26,080	
	TRC Energy Services	TIOGA	NYS Electric and Gas	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500	
	United Health Services Hospitals Inc	BROOME	NYS Electric and Gas	Existing Facilities Program, Commercial	337,499	
				Existing Facilities Program, EFP3011 - United Health Servic	36,923	
				Existing Facilities Program, EFP3012 - United Health Servic	85,934	
		DELAWARE	NYS Electric and Gas	Existing Facilities Program, Commercial	39,840	
	World Kitchen, LLC	STEUBEN	NYS Electric and Gas	Industrial Process Efficiency Program, Industrial Process Efficiency	254,938	
	Xzerta Energy Group LLC	CHEMUNG	NYS Electric and Gas	New York Sun Program, Commercial/Industrial PV	2,563,354	
				New York Sun Program, NY-Sun	3,845,031	
				New York Sun Program, NY-Sun C&I	2,563,354	
		DELAWARE	NYS Electric and Gas	New York Sun Program, NY-Sun commercial/industrial	1,068,064	
		SCHUYLER	NYS Electric and Gas	New York Sun Program, NY-Sun	1,281,677	
		TOMPKINS	National Grid	New York Sun Program, NY-Sun C&I	2,563,354	
				NYS Electric and Gas	New York Sun Program, NY-Sun CI	1,212,397
		Total				23,439,876
	Statewide	Adirondack Area Network	STATEWIDE	Statewide	Admin, Video Recording Services	17,000
		Align Pictures, Inc.	STATEWIDE	Statewide	Admin, REV Video Production	25,000
		Alliance for Sustainable Energy, LLC	STATEWIDE	Statewide	Grid Modernization, Technical Assistance for NYS D	250,000
		American Council for an Energy Efficient	STATEWIDE	Statewide	Other Program Area, 2016 ACEEE Ally Program Member	10,000
		Anne Compton Savage	STATEWIDE	Statewide	New York Green Bank, Metrics, Reporting & Evaluatio	50,000
		Antares Group, Inc.	STATEWIDE	Statewide	Environmental Research, Wood Heat & Power LCA Lit Rev	49,058
					Industrial Process Efficiency Program, Technical Review and Program S	10,138
		Apprise, Incorporated	STATEWIDE	Statewide	Evaluation, Market Characterization Resear	50,000
		Arcadis of New York, Inc.	STATEWIDE	Statewide	Environmental Research, Cost Curve - Pump Storage	44,335
		Arcadis U.S., Inc.	STATEWIDE	Statewide	Admin, Greenling the Bronx M&V	259,940
					Existing Facilities Program, Technical Review and Program S	179,792
					Fuel NY, Technical Review and Program S	1,400,620
		Atlas Public Policy	STATEWIDE	Statewide	Clean Transportation, EVaultateNY support	12,000
		AWS Truepower	STATEWIDE	Statewide	Small Wind, AWS Small Wind Explorer	36,000
		Bank of New York	STATEWIDE	Statewide	Green Jobs Green New York Revolving Loan Fund, GJGNY 2016 Bond..	62,000
		Benchmark Printing, Inc.	STATEWIDE	Statewide	Multifamily Performance Program, Printing Services	4,270
		Bergmann Associates	STATEWIDE	Statewide	Flexible Technical Assistance Program, Technical Review and Program S	42,874
					Industrial Process Efficiency Program, Technical Review and Program S	42,874
		BrightHOME Energy Solutions, LLC	STATEWIDE	Statewide	HOME PERFORMANCE WITH ENERGY STAR, Shorehaven Low-Rise ..	22,804

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REDC Region	Contractor	County	Electric Utility	Project Description	Total Funded Amount
Statewide	Brookhaven National Lab	STATEWIDE	Statewide	Environmental Research, Energy and Environmental Perfo	48,000
				Renewable Heat NY, Next-Gen Test Method Devel	48,000
	Bryan Allinson	STATEWIDE	Statewide	Innovation Capacity & Business Development, Commercialization Advis..	49,000
	Building Media, Inc.	STATEWIDE	Statewide	Advanced Energy Codes, Energy Code Training and Suppo	349,921
	Calstart	STATEWIDE	Statewide	Clean Transportation, Advanced Transportation Tech	50,000
	Carbon Trust Advisory Limited	STATEWIDE	Statewide	Environmental Research, MetOcean planning for OSW	50,000
	CDH Energy Corporation	STATEWIDE	Statewide	Emerging Technology/Accelerated Commercialization, Technical Revie..	74,935
				Evaluation, Technical Review and Program S	48,340
	Center for Sustainable Energy	STATEWIDE	Statewide	Other Program Area, ChargeNY ZEV Rebate Imp Contra	550,000
	Centerplate, Inc.	STATEWIDE	Statewide	Innovation Capacity & Business Development, 2016 NY Green Innovatio..	10,000
	CHA Consulting Inc.	STATEWIDE	Statewide	Industrial Process Efficiency Program, Commercial & Industrial Outrea	520,251
	Chadbourne & Parke LLP	STATEWIDE	Statewide	New York Green Bank, Chadbourne & Parke, LLC Legal	25,000
				New York Green Bank, Investec/Sunrun Legal Fees	15,000
	Chandler Reed, LLC	STATEWIDE	Statewide	Innovation Capacity & Business Development, Ecosystem Investment L..	49,000
	Clarkson University	STATEWIDE	Statewide	Environmental Research, Guidance for Thermal Storage	49,999
				Renewable Heat NY, CO off-gassing pellet storage	49,970
	Clean Energy States Alliance	STATEWIDE	Statewide	Other Program Area, CESA 2016-2017 Membership Dues	68,500
				Small Wind, Membership in ITAC	15,000
	Clean Power Research	STATEWIDE	Statewide	New York Sun Program, Power Clerk Database for NYSUN	106,000
	CLEAResult Consulting, Inc.	STATEWIDE	Statewide	Assisted Home Performance with Energy Star, Program Implementation..	363,533
				HOME PERFORMANCE WITH ENERGY STAR, Empower QA Services	405,000
				HOME PERFORMANCE WITH ENERGY STAR, Program Implementati..	1,602,723
	Columbia University	STATEWIDE	Statewide	Environmental Research, Health Outcomes Over NY	48,000
	Combined Energies LLC	STATEWIDE	Statewide	Clean Transportation, Power/energy module dev & demo	49,500
	Consortium for Energy Efficiency, Inc.	STATEWIDE	Statewide	Other Program Area, Industrial Process Efficiency	25,000
	Cornell University	STATEWIDE	Statewide	Environmental Research, Greenhouse Humidity Control	49,999
				Other Program Area, 76West Building a Clean Energy	1,328,708
	DealCloud Inc.	STATEWIDE	Statewide	New York Green Bank, DealCloud Implementation	12,500
				New York Green Bank, DealCloud Licensing	212,500
	Dowd-Witbeck Printing Corp.	STATEWIDE	Statewide	Admin, Printing Services-MWBE	2,782
				Other Program Area, Printing Services	110
	Dr. Richard Schlesinger	STATEWIDE	Statewide	Environmental Research, Environmental Research	30,000
	EBSCO Industries, Inc.	STATEWIDE	Statewide	Environmental Research, PlumX altmetrics 2016-2017	15,750
	Eight Point Wind, LLC	STATEWIDE	Statewide	11th Main Tier Solicitation	134,756,568
	Electric Power Research Institute	STATEWIDE	Statewide	Smart Grid Systems, Clean DER Interconnection	250,000
				Smart Grid Systems, EPTD Smart Grid	364,000
	Emerald Alternative Energy Solutions, In	STATEWIDE	Statewide	Clean Transportation, Tech. Assistance contractor fo	11,000
	Enbala Power Networks USA Inc.	STATEWIDE	Statewide	Emerging Technology/Accelerated Commercialization, ETAC-CI - Enabl..	594,960
	ENER-G ROTORS, Inc	STATEWIDE	Statewide	Innovation Capacity & Business Development, Waste heat to electricity	150,500
	Energetics, Incorporated	STATEWIDE	Statewide	Clean Transportation, Truck Platooning Study	99,505
				Smart Grid Systems, Flex Energy Tech Analysis 2	168,240
	Energy & Resource Solutions, Inc.	STATEWIDE	Statewide	Emerging Technology/Accelerated Commercialization, Technical Revie..	95,460
				Industrial Process Efficiency Program, Commercial & Industrial Outrea	264,079
				Industrial Process Efficiency Program, Technical Review and Program S	123,505
	Energy and Environmental Economics Inc.	STATEWIDE	Statewide	Energy Analysis, REV Economic Framework	15,426
				Energy Analysis, Tech Assist, REV Pool	150,000
				Environmental Research, Flex Energy Tech Analysis 2	300,000
	Energy Week Holdings, LLC	STATEWIDE	Statewide	Admin, 2016 New York Energy Week	5,000
	EnergySavvy Inc	STATEWIDE	Statewide	Assisted Home Performance with Energy Star, HPWES Program Mgmt ..	86,494
				HOME PERFORMANCE WITH ENERGY STAR, HPWES Program Mg..	657,012
	Enerlife Consulting Inc.	STATEWIDE	Statewide	Emerging Technology/Accelerated Commercialization, ETAC-CI Focuse..	113,847
	Ensave, Inc.	STATEWIDE	Statewide	Agriculture Energy Efficiency Program, AEEP Implementation Contractor	945,000
	Erie Boulevard Hydropower LP	STATEWIDE	Statewide	Large Scale Renewables, RPS Program Purchase of Renewa	55,717
				Large Scale Renewables, Stewarts Bridge Hydro Project	602,993
	Essense Partners Inc.	STATEWIDE	Statewide	New York Green Bank, Marketing materials for NYGB	50,000
				Other Program Area, ZEV Marketing Support	197,900
	Executive Information Systems, LLC	STATEWIDE	Statewide	Admin, purchase of statistical softwa	37,666
	First Associates Loan Servicing, LLC	STATEWIDE	Statewide	Green Jobs Green New York Revolving Loan Fund, Single Family Resid..	50,000
	Found Object LLC	STATEWIDE	Statewide	Admin, Communications Services for Re	46,000
	Gas Technology Institute	STATEWIDE	Statewide	Advanced Buildings, Advanced Buildings Technology	273,111
	GUSTOMSC US INC.	STATEWIDE	Statewide	Energy Analysis, OSW Project 4: US Vessel Study	49,000
	Hecate Energy LLC	STATEWIDE	Statewide	11th Main Tier Solicitation	46,123,202
	HEVO Inc.	STATEWIDE	Statewide	Clean Transportation, Advanced Transportation Tech	250,000
	Honeywell International Inc.	STATEWIDE	Statewide	Empower, Program Implementation Service	827,022
				HOME PERFORMANCE WITH ENERGY STAR, Program Implementati..	1,540,294

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REDC Region	Contractor	County	Electric Utility	Project Description	Total Funded Amount
Statewide	Honeywell International Inc.	STATEWIDE	Statewide	HOME PERFORMANCE WITH ENERGY STAR, QA Services HPwES a..	496,125
	Hyatt Corporation	STATEWIDE	Statewide	Multifamily Performance Program, 2016 MPP Summit	50,000
	ICF Jones & Stokes	STATEWIDE	Statewide	Environmental Research, NYS Energy Research and Develo	268,316
	ICF Resources, LLC	STATEWIDE	Statewide	Advanced Buildings, Flex Energy Tech Analysis 2	115,000
				Advanced Energy Codes, ECode Microsite	249,961
	Industrial Exhibit Authority	STATEWIDE	Statewide	Admin, 2016 NYS Fair	790
				Corporate Marketing, 2016 NYS Fair - PSC Exhibit	5,265
	Infogroup Government Division	STATEWIDE	Statewide	Evaluation, Infogroup	500,000
	Integration Strategy, Inc.	STATEWIDE	Statewide	New York Green Bank, NYGB Annual Business Plan 2016	50,000
	Jack M Reilly	STATEWIDE	Statewide	Clean Transportation, Upstate Transit Study	24,000
	James McCrea & Associates, LLC	STATEWIDE	Statewide	New York Green Bank, NYGB Solar Energy RFP consulti	50,000
	JCB Specialties, Inc.	STATEWIDE	Statewide	2016 NYS Fair Give Aways	17,045
	Karpman Consulting, LLC	STATEWIDE	Statewide	New Construction Program, Model Quality Assurance for NC	50,000
	Launch New York, Inc.	STATEWIDE	Statewide	Innovation Capacity & Business Development, Launch NY Sponsorship	25,000
				Innovation Capacity & Business Development, Map Clean Energy Ecosy..	49,250
	LC DRives	STATEWIDE	Statewide	Other Program Area, Advanced Transportation Tech	250,000
	Long Island Events LLC	STATEWIDE	Statewide	Fuel NY, Fuel NY Deployment Exercise	20,000
	M/E Engineering, P.C.	STATEWIDE	Statewide	Flexible Technical Assistance Program, FlexTech Consultant Selection	165,000
				Other Program Area, FlexTech Consultant Selection	165,000
	Meister Consultants Group, Inc.	STATEWIDE	Statewide	Innovation Capacity & Business Development, Renewable Heating Cooli..	249,283
				New York Sun Program, NY-SUN PVBOS Training and Educ	541,541
				REV Campus Challenge, REV CC - Meister CG	125,000
				Workforce Development, NY-SUN PVBOS Training and Educ	808,884
	Mesa Bioenergy Supply, LLC	STATEWIDE	Statewide	Cleaner Greener Communities, CGC32404 Reassignment to MESA	841,188
				Environmental Research, Mesa BioEnergy BPP Project Eva	49,500
	Micatu, Inc.	STATEWIDE	Statewide	Innovation Capacity & Business Development, Advanced Clean Power ..	901,455
	Mosaic Funding 1, LLC	STATEWIDE	Statewide	New York Green Bank, Revolving Credit Agreement	10,000,000
	NASEO	STATEWIDE	Statewide	Admin, NASEO Mem. Dues & Meeting Fees	14,399
	Navigant Consulting Inc.	STATEWIDE	Statewide	Clean Transportation, Navigant Energy Storage Subscr	6,500
				Energy Analysis, Flex Energy Tech Analysis 2	100,000
	NEEC Institute	STATEWIDE	Statewide	Innovation Capacity & Business Development, Cleantech Navigate Nort..	100,000
	NESCAUM	STATEWIDE	Statewide	Other Program Area, Clean Transportation	15,000
	New York Convention Center Operating Cor	STATEWIDE	Statewide	Innovation Capacity & Business Development, 2016 NY Green Innovation	37,000
	New York Passive House Inc.	STATEWIDE	Statewide	Market Pathways, 2016 NAPHN Annual Conference	7,500
				Multifamily Performance Program, 2016 NAPHN Annual Conference	7,500
	New York Power Authority	STATEWIDE	Statewide	Flexible Technical Assistance Program, FlexTech MOU NYSERDA-NYP..	53,776
	New York State Smart Grid Consortium Inc	STATEWIDE	Statewide	Grid Modernization, NYS Smart Grid Consortium 2016	60,000
	Nexant, Inc.	STATEWIDE	Statewide	Market Pathways, Behavioral Demonstrations Prog	416,529
	NIC Holding Corp	STATEWIDE	Statewide	Data and Markets, NYS Strategic Gasoline Reserve	613,000
	Normandeau Associates, Inc.	STATEWIDE	Statewide	Environmental Research, Digital Aerial Baseline Survey	3,492,400
	Northeast Clean Heat & Power Initiative	STATEWIDE	Statewide	Combined Heat and Power, 2016 NECHPI Annual Meeting	5,000
	Northeast Energy Efficiency Partnerships	STATEWIDE	Statewide	Commercial Implementation Assistance, 2016 DLC Membership	22,500
				Evaluation, ASHP Market Research	50,000
				Evaluation, HEMS Market Research	50,000
				Existing Facilities Program, 2016 DLC Membership	22,500
	Oil Price Information Service	STATEWIDE	Statewide	Data and Markets, Daily Rack Price Sub for SFR	7,224
	Oracle America, Inc.	STATEWIDE	Statewide	Market Pathways, Behavioral Demonstrations Prog	588,200
	Pattersun 1.3 LLC	STATEWIDE	Statewide	New York Green Bank, BQ Energy Proposal	1,489,287
	R3 Energy Management Audit & Review, LLC	STATEWIDE	Statewide	Emerging Technology/Accelerated Commercialization, ETAC-CI Focuse..	250,000
	Rasky Baerlein Strategic Communications	STATEWIDE	Statewide	Admin, Communications Services for Re	20,000
	Research Foundation of CUNY	STATEWIDE	Statewide	Clean Transportation, Freight in Complete Streets	32,469
	Research Foundation of SUNY	STATEWIDE	Statewide	Innovation Capacity & Business Development, EFRC co-funding	391,000
	Research Foundation of The City	STATEWIDE	Statewide	Advanced Buildings, IUCR Membership Agreement	50,000
	Robison Energy LLC	STATEWIDE	Statewide	Multifamily Performance Program, Oil Monitoring Pilot	50,000
	Sealed Inc.	STATEWIDE	Statewide	New York Green Bank, Energy Efficiency	5,000,000
	Shutterstock, Inc.	STATEWIDE	Statewide	Admin, WebDAM/Shutterstock subscripti	8,177
	Sperry Energy	STATEWIDE	Statewide	Admin, Innovation Advisory Services	50,000
	SRI International	STATEWIDE	Statewide	Innovation Capacity & Business Development, Characterizing Nontrad C..	49,800
	Steven Winter Associates, Inc.	STATEWIDE	Statewide	Advanced Buildings, Multifamily use of batteries	3,000
				Flexible Technical Assistance Program, Technical Review and Program S	228,574
	Stewart Energy Consultants, LLC	STATEWIDE	Statewide	New York Green Bank, NYGB Solar Energy RFP consulti	50,000
	Stroomversnelling	STATEWIDE	Statewide	Advanced Buildings, Conustling Deep Ret. Comp.	50,000
	SunRun, Inc	STATEWIDE	Statewide	New York Green Bank, Residential photovoltaic ("PV")	50,000,000
	Sunthru LLC	STATEWIDE	Statewide	Advanced Buildings, Advanced Buildings Technology	119,775
	SUNY Research Foundation	STATEWIDE	Statewide	Environmental Research, Wood Pellet Heating System Dem	48,029

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REDC Region	Contractor	County	Electric Utility	Project Description	Total Funded Amount	
Statewide	Sustainable CUNY CUNY/RF	STATEWIDE	Statewide	New York Sun Program, 2016 New York Solar Summit	10,000	
	Sustainable Hudson Valley, Inc.	STATEWIDE	Statewide	Clean Transportation, Pilot community EV marketing	47,000	
	Sustainable Performance Consulting, Inc.	STATEWIDE	Statewide	New Construction Program, Outreach and Pjct Consulting NCP	449,280	
	Taitem Engineering, P.C.	STATEWIDE	Statewide	Advanced Buildings, Deep Energy Retrofits	49,986	
	Taylor Group LTD	STATEWIDE	Statewide	Admin, 2016 NYS Fair - Display	22,081	
	Tech Valley Center of Gravity	STATEWIDE	Statewide	Other Program Area, 2016 COG Clean Tech Hackathon	20,000	
	The Cadmus Group, Inc.	STATEWIDE	Statewide	New York Sun Program, Quality Assurance Services for	692,895	
				Renewable Thermal, Quality Assurance Services for	30,528	
	The Research Foundation of SUNY (UB)	STATEWIDE	Statewide	Advanced Buildings, Wood Burning Hydronic Heaters	50,000	
	TRC Energy Services	STATEWIDE	Statewide	Commercial Real Estate Tenant, Technical Review and Program S	75,000	
				Existing Facilities Program, Technical Review and Program S	106,772	
				Multifamily Performance Program, MF Energy Perf Portfolio Imple	1,584,402	
				New Construction Program, MF Energy Perf Portfolio Imple	474,819	
				Real Time Energy Manager, Technical Review and Program S	100,000	
	University of Southern California	STATEWIDE	Statewide	Energy Analysis, Microgrid Macro Model Approach	49,878	
	Upstate Venture Connect	STATEWIDE	Statewide	Innovation Capacity & Business Development, Upstate Venture Connect..	25,000	
				Other Program Area, Startup Community Development	48,000	
	USGS National Center MS270	STATEWIDE	Statewide	Environmental Research, Honnedage Lake Hg	32,500	
	Varun Sivaram	STATEWIDE	Statewide	Energy Analysis, Consulting Services	14,850	
	Vermont Energy Investment Corporation	STATEWIDE	Statewide	Energy Analysis, EE in Capcapacity Markets Study	9,500	
				Market Pathways, Res Upstream HVAC Initiative	277,302	
	Vivint Solar Financing II, LLC	STATEWIDE	Statewide	NY Green Bank Financial Invest	37,500,000	
	Wendy Morris	STATEWIDE	Statewide	Innovation Capacity & Business Development, 2016 ExpoVention AEC ..	5,600	
				Innovation Capacity & Business Development, 2016 NY Green Innovatio..	27,470	
	Willdan Energy Solutions	STATEWIDE	Statewide	Commercial Real Estate Tenant, C&I Outreach	273,000	
				Industrial Process Efficiency Program, C&I Outreach	227,513	
				Industrial Process Efficiency Program, Technical Review and Program S	11,919	
				Real Time Energy Manager, Technical Review and Program S	200,000	
	Zone 5, Inc.	STATEWIDE	Statewide	Admin, Social Media Services	20,000	
	Total					320,207,264
	Western New York	3M Company	ERIE	National Grid	Industrial Process Efficiency Program, Industrial Process Efficiency	174,450
		7-Eleven Inc.	ERIE	National Grid	Existing Facilities Program, EFP2431 - 7-Eleven Inc. - 7 EI	4,418
				NYS Electric and Gas	Existing Facilities Program, EFP2431 - 7-Eleven Inc. - 7 EI	3,843
			NIAGARA	National Grid	Existing Facilities Program, EFP2431 - 7-Eleven Inc. - 7 EI	1,383
		295 Maryland, LLC	ERIE	National Grid	HOME PERFORMANCE WITH ENERGY STAR, Codes & New Constru..	10,100
					New York ENERGY STAR Homes, Codes & New Construction	90,900
		1406RB PV LLC	CATTARAUGUS	National Grid	New York Sun Program, C/I MW Block Assignment	583,553
					New York Sun Program, Olean Gateway PV Project 1	1,408,749
					New York Sun Program, Olean Gateway PV Project 2	1,408,749
		AECOM Technical Services Inc.	CATTARAUGUS	National Grid	West Valley Development Program, Environmental Monitoring Suppo	49,856
		Alden Central School District	ERIE	NYS Electric and Gas	New Construction Program, NCP13203 - Alden High School	7,822
		Alternative Power Solutions of NY, LLC	NIAGARA	National Grid	New York Sun Program, NY-Sun	6,832
		Antares Group, Inc.	CHAUTAUQUA	National Grid	Industrial Process Efficiency Program, Technical Review and Program S	4,075
		Bergmann Associates	CATTARAUGUS	National Grid	Industrial Process Efficiency Program, Technical Review and Program S	7,240
					CHAUTAUQUA	National Grid
			ERIE	National Grid	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500
					NYS Electric and Gas	Agriculture Energy Efficiency Program, FlexTech Consultant Selection
		NIAGARA	National Grid	Industrial Process Efficiency Program, Technical Review and Program S	15,750	
BQ Energy, LLC		CATTARAUGUS	National Grid	New York Sun Program, Commercial/Industrial PV	1,802,365	
Buffalo Management Group, Inc.		ERIE	National Grid	Multifamily Performance Program, Multifamily	70,908	
C.J. Brown Energy, P.C.		ALLEGANY	Rochester Gas and Electric	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	4,000	
				Flexible Technical Assistance Program, FlexTech Consultant Selection	19,320	
		CATTARAUGUS	National Grid	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500	
				Flexible Technical Assistance Program, FlexTech Consultant Selection	35,207	
		NYS Electric and Gas	National Grid	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500	
				ERIE	National Grid	New Construction Program, CJ Brown - EMP
		NYS Electric and Gas	National Grid	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500	
				Flexible Technical Assistance Program, FlexTech Consultant Selection	6,095	
		CHA Consulting Inc.	ERIE	National Grid	Industrial Process Efficiency Program, Technical Review and Program S	4,000
		CIR ELECTRICAL CONSTRUCTION CORP.	ALLEGANY	NYS Electric and Gas	New York Sun Program, NY Sun	5,828
CATTARAUGUS					National Grid	New York Sun Program, NY-Sun
ERIE			National Grid	New York Sun Program, NY Sun	7,936	
				New York Sun Program, NY-Sun	7,440	
NYS Electric and Gas			National Grid	New York Sun Program, NY-Sun	6,324	
				NIAGARA	NYS Electric and Gas	New York Sun Program, NY-Sun

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REDC Region	Contractor	County	Electric Utility	Project Description	Total Funded Amount	
Western New York	City of Buffalo	ERIE	National Grid	Existing Facilities Program, EFP2641 - City of Buffalo Wate	7,875	
	Cypress Creek Renewables LLC	NIAGARA	NYS Electric and Gas	New York Sun Program, NY-Sun CI	1,109,185	
	Ecology and Environment Engineering, PC	ERIE	NYS Electric and Gas	Cleaner Greener Communities, CGC Implementation Contractor	1,126,049	
	Fort Schuyler Management Corporation	ERIE	National Grid	Industrial Process Efficiency Program, Industrial Process Efficiency	102,255	
				New Construction Program, NCP12678 - Riverbend	328,971	
				New Construction Program, NCP12679 - Buffalo IT - OFLT	27,000	
	Freedom Solar Inc.	CATTARAUGUS	National Grid	New York Sun Program, NY-Sun	27,224	
		CHAUTAUQUA	National Grid	New York Sun Program, NY-Sun	5,658	
		ERIE	National Grid	New York Sun Program, NY-Sun	35,488	
			NYS Electric and Gas	New York Sun Program, NY-Sun	5,304	
		NIAGARA	National Grid	New York Sun Program, NY-Sun	6,752	
	Green Options Buffalo	ERIE	National Grid	Clean Transportation, Bicycling Education Campaign	30,000	
	Greenpac Mill, LLC	NIAGARA	National Grid	Flexible Technical Assistance Program, FlexTech Program - Pon 1746	25,549	
	GZA GeoEnvironmental of New York	CATTARAUGUS	National Grid	West Valley Development Program, Trench 14 Investigation	300,000	
	LaBella Associates, P.C.	CATTARAUGUS	National Grid	Flexible Technical Assistance Program, FlexTech Consultant Selection	22,430	
	Leslie J Jardine	CATTARAUGUS	National Grid	NFS Records Review	15,000	
	M/E Engineering, P.C.	NIAGARA	National Grid	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	5,775	
	Manufacturers & Traders Trust Co.	ERIE	National Grid	Existing Facilities Program, EFP2642 - M&T Bank - NFG	1,588	
	Mayer Bros. Apple Products, Inc.	ERIE	NYS Electric and Gas	Industrial Process Efficiency Program, Industrial Process Efficiency	39,903	
	McMahon and Mann Consulting Engineers	CATTARAUGUS	National Grid	West Valley Development Program, Engineering/Surveying Cont	192,500	
	Mission Hills Construction, LLC	ERIE	National Grid	HOME PERFORMANCE WITH ENERGY STAR, Codes & New Constru..	24,100	
				New York ENERGY STAR Homes, Codes & New Construction	216,900	
	MJW Technical Services, Inc.	CATTARAUGUS	National Grid	West Valley Development Program, Radiation Protection Support	539,260	
	Niagara Frontier Transportation Authorit	ERIE	National Grid	Clean Transportation, Buffalo Niagara TMA	178,085	
	Niagara Lodging	NIAGARA	National Grid	New Construction Program, NCP12765 -La Quinta Inn-OFLT	11,298	
	Niagara Wind & Solar Inc.	CHAUTAUQUA	National Grid	Small Wind, Wind Turbine Incentive	41,307	
		ERIE	National Grid	Small Wind, Small Wind Turbine Incentive	166,500	
		NIAGARA	National Grid	New York Sun Program, NY-Sun	5,184	
	National Grid		Small Wind, Wind Turbine Incentive	42,100		
	O'Brien & Gere Engineers, Inc.	ERIE	National Grid	Flexible Technical Assistance Program, FlexTech Consultant Selection	53,096	
	People United for Sustainable Housing In	ERIE	National Grid	Green Jobs Green New York Revolving Loan Fund, Green Jobs Green ..	234,445	
	Peter L. Krog	CATTARAUGUS	National Grid	West Valley Development Program, Ashford Office Complex Lease	91,656	
	Rural Generation & Wind (Rodney Weaver)	CATTARAUGUS	National Grid	New York Sun Program, NY-Sun	11,712	
			ERIE	National Grid	New York Sun Program, NY-Sun	8,760
			NYS Electric and Gas	New York Sun Program, NY-Sun	5,320	
	Schneider Electric Mobility NA, Inc	ERIE	National Grid	Clean Transportation, EcoTrafiX Platform Deployment	499,179	
	Seal & Design, Inc.	ERIE	NYS Electric and Gas	Industrial Process Efficiency Program, Industrial Process Efficiency	15,347	
	Sears Holdings	CATTARAUGUS	National Grid	Existing Facilities Program, EFP2354 - Sears Holding Corp	4,834	
			ERIE	National Grid	Existing Facilities Program, EFP2354 - Sears Holding Corp	7,789
		NIAGARA	NYS Electric and Gas	Existing Facilities Program, EFP2354 - Sears Holding Corp	5,079	
			National Grid	Existing Facilities Program, EFP2354 - Sears Holding Corp	1,780	
	Solar Liberty Energy Systems, Inc	CATTARAUGUS	National Grid	New York Sun Program, NY-Sun	5,580	
		CHAUTAUQUA	Municipal Utilities	New York Sun Program, NY-Sun	5,856	
			National Grid	New York Sun Program, NY-Sun	23,364	
		ERIE	National Grid	New York Sun Program, NY-Sun	101,656	
			NYS Electric and Gas	New York Sun Program, NY-Sun	62,365	
		NIAGARA	National Grid	New York Sun Program, NY-Sun	23,568	
	SolarCity Corporation	ALLEGANY	NYS Electric and Gas	New York Sun Program, NY-Sun	8,928	
			Rochester Gas and El..	New York Sun Program, Commercial/IndustrialPV	462,436	
			ERIE	National Grid	New York Sun Program, Commercial/Industrial PV	889,411
	Stantec Consulting Services, Inc.	ERIE	NYS Electric and Gas	New York Sun Program, NY-Sun	198,705	
				New Construction Program, Technical Assistance Services	6,110	
				West Valley Development Program, Probabilistic Evaluation	74,893	
	The Garrick Co., LLC	CATTARAUGUS	National Grid	New Construction Program, NCP13125 - 490 CBP Ph2	10,650	
			NYS Electric and Gas	New Construction Program, NCP12964-400 Airbrn Pkwy-OFLT	62,049	
	TM Montante Solar Developments, LLC	ERIE	National Grid	New York Sun Program, Commercial/Industrial	119,629	
				New York Sun Program, NY-Sun	29,360	
	Town of Clarence	ERIE	NYS Electric and Gas	New Construction Program, NCP12952 -ClarencePolCrts-OFLT	11,265	
	United Wind Project I, LLC	CHAUTAUQUA	National Grid	Small Wind, Wind Turbine Incentive	166,643	
			NYS Electric and Gas	Small Wind, Wind Turbine Incentive	41,885	
		ERIE	National Grid	Small Wind, Wind Turbine Incentive	116,628	
		NIAGARA	National Grid	Small Wind, Wind Turbine Incentive	77,109	
			NYS Electric and Gas	Small Wind, Wind Turbine Incentive	40,967	
	Wal-Mart Stores East, LP	ERIE	NYS Electric and Gas	New Construction Program, NCP13098 - Walmart Cheektowaga	177,352	
	Wendel Energy Services, LLC	CHAUTAUQUA	National Grid	Flexible Technical Assistance Program, FlexTech Consultant Selection	12,500	

Projects Selected for Funding by Region

Period 4/1/2016 through 9/30/2016

REDC Region	Contractor	County	Electric Utility	Project Description	Total Funded Amount
Western New York	Winnomotive Properties, LLC	ERIE	NYS Electric and Gas	Industrial Process Efficiency Program, Industrial Process Efficiency	28,333
	Total				14,137,834
Grand Total					592,888,673

NYSERDA

Public Authority Law Report

April 1, 2016 to September 30, 2016

Section Break

Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation
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Contractor	Project Description	Total Expended Amount
1st Light Energy, Inc.	New York Sun Program, NY-Sun	43,399
3Gi CNYIP, Inc.	Cleaner Greener Communities, CGC26840 - 3Gi CNYIP	12,000
3M Company	Industrial Process Efficiency Program, Industrial Process Efficiency	65,827
4 NYP Ventures LLC	Flexible Technical Assistance Program, FlexTech Program - Pon 1746	39,750
21C4E, Inc.	New York Sun Program, Solarize 2016	5,000
23 Ludlam Fuel Inc.	Fuel NY, GSP00521 - 23 Ludlam Fuel Inc.	6,335
25 Methodist Hill Drive LLC	Industrial Process Efficiency Program, Industrial Process Efficiency	51,364
29 Flatbush Associates, LLC	New Construction Program, NCP7808 - 29 Flatbush Ave	33,477
40-30 Realty Group LLC	Multifamily Performance Program, Multifamily	113,000
110 William Street Property Investors II	New Construction Program, NCP12513 - 110 William Street	6,225
110-118 Riverside Tenants Corp	Multifamily Performance Program, Multifamily	107,700
133 Equities, LLC	Multifamily Performance Program, Multifamily	31,427
146 Tuckahoe Road LLC	Fuel NY, GSP00121 - 146 Tuckahoe Road L	10,000
151 Nagle Realty Corp	Multifamily Performance Program, Multifamily	55,000
174-02 Horace Harding Expressway Operati	Fuel NY, GSP00729 - 174-02 Horace Hardi	9,948
175-33 Horace Harding Expressway Service	Fuel NY, GSP00730 - 175-33 Horace Hardi	9,834
196 Hillside Service Center Inc.	Fuel NY, GSP00611 - 196 Hillside Servic	10,000
200 East Tenants Corporation	Multifamily Performance Program, Multifamily	99,000
200 ParkPartners JV LP	Existing Facilities Program, EFP2414 - 200 Park Partners -	129,191
230 West 41st Street LLC	Existing Facilities Program, EFP2402 - 230 West 41st St	7,845
261 East Merrick Road, Inc.	Fuel NY, GSP00633 - 261 East Merrick Ro	9,910
270 Empire Realty LLC	Multifamily Performance Program, Multifamily	78,000
330 Madison Avenue LLC	Existing Facilities Program, PON1219EE5	98,694
340 East 93rd Street Corp	Multifamily Performance Program, Multifamily	227,270
345 East 73rd Owners Corp	Multifamily Performance Program, Multifamily	99,400
425 Lexington Realty Company LLC	Existing Facilities Program, EFP2358 - Hines - 425 Lexingto	326,198
485 Ocean Realty LLC	Multifamily Performance Program, Multifamily	100,000
490 West End Apartments Corporation	Multifamily Performance Program, Multifamily	45,500
500 Trinity LLC	Multifamily Performance Program, Multifamily	177,000
606 West 57 LLC	Multifamily Performance Program, Multifamily	154,200
625 Gramatan Owners Corp	Multifamily Performance Program, Multifamily	58,200
751 St. Marks Realty LLC	Multifamily Performance Program, Multifamily	124,000
770 Electric Corp.	New York Sun Program, RES-New Const & Adv Tech	0
789 St. Marks Realty Corp	Multifamily Performance Program, Multifamily	139,000
950 Summit Avenue LLC	Multifamily Performance Program, Multifamily	23,200
1133 Manhattan Avenue, LLC	Multifamily Performance Program, Multifamily	109,221
1231 Lawrence LLC	Multifamily Performance Program, Multifamily	28,000
2065 Walton Avenue Associates LLC	Multifamily Performance Program, Multifamily	18,000
2476 BCH OWNERS LLC	Multifamily Performance Program, Multifamily	18,900
2605 GC Owner, LLC	Multifamily Performance Program, Multifamily	20,000
2630 Kingsbridge Terrace Owners Inc	Multifamily Performance Program, Multifamily	112,200
3475 Third Avenue Owner Realty LLC	Multifamily Performance Program, Multifamily	15,300
3841 Realty Associates LLC	Multifamily Performance Program, Multifamily	46,400
A&B Auto Repair Inc.	Fuel NY, GSP00406 - A&B Auto Repair Inc	9,300
Abraham Lincoln Preservation, LLC	Multifamily Performance Program, Multifamily	10,350
Absolutely Energized Solar Electric Inc	New York Sun Program, New York Sun Competitive PV Pr	70,738
	New York Sun Program, RES-New Const & Adv Tech	6,360
Abt Associates Inc.	Environmental Research, Environmental Res. Outreach	46,387
	Environmental Research, Flex Energy Tech Analysis 2	157,814
AC 79th & Eliot Operating Corp.	Fuel NY, GSP00727 - AC 79th & Eliot Ope	9,971

Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation
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Contractor	Project Description	Total Expended Amount
Accord Power, Inc.	New York Sun Program, NY-Sun	207,240
Actasys	Clean Transportation, Active Flow Control for Traile	104,420
	Clean Transportation, Truck Aero Control System	25,965
Action Research Inc.	Advanced Buildings, Behavior Research Pilot Design	34,943
	Clean Transportation, Behavior Research Pilot Design	7,624
Active Solar Development, LLC	New York Sun Program, RES-New Const & Adv Tech	2,800
	Renewable Thermal, NY-Sun	65,607
	Renewable Thermal, Renewable Heating & Cooling	33,938
Adam C. Boese	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	6,500
	Flexible Technical Assistance Program, FlexTech Consultant Selection	29,105
	Green Jobs Green New York Revolving Loan Fund, Daylight Savings ..	173,900
Adelphi University	Existing Facilities Program, EFP2573-Adelphi University	69,506
Adirondack North Country Association	Cleaner Greener Communities, CGC42502 - CGC One Stop Shop	183,369
	Green Jobs Green New York Revolving Loan Fund, Green Jobs Gree..	45,085
	New York Sun Program, Solarize 2016	15,000
Advanced Climate Technologies, LLC	Renewable Heat NY, Automated Manufacturing System	247,500
AECOM Technical Services Inc.	West Valley Development Program, Environmental Monitoring Suppo	161,497
AECOM USA INC.	Smart Grid Systems, Town of Hempstead NY Prize	20,000
Aegis Energy Services Inc.	Combined Heat and Power, 113 Nassau	87,863
	Combined Heat and Power, CHPA - 300 Central Park West	44,550
	Combined Heat and Power, CHPA - 400 Central Park West	59,400
	Combined Heat and Power, CHPA - Avalon Fort Greene	115,500
	Combined Heat and Power, CHPA - Beresford Apartments	44,550
	Combined Heat and Power, CHPA - City Lights #1	90,450
	Combined Heat and Power, CHPA - City Lights #2	90,450
	Combined Heat and Power, CHPA - Dorado Apartments	44,550
	Combined Heat and Power, CHPA - Gramercy House	59,400
	Combined Heat and Power, CHPA - Hayden on the Hudson	120,600
	Combined Heat and Power, CHPA - Madison House	45,900
	Combined Heat and Power, CHPA - Oneida Cty Corrections	42,074
	Combined Heat and Power, CHPA - Parc East	44,550
	Combined Heat and Power, CHPA - The Petersfield	44,550
	Combined Heat and Power, CHPA - Time Square	115,500
	Combined Heat and Power, CHPA - Village Mall Hillcrest	59,400
	Combined Heat and Power, CHPA - West 96th	44,550
	Combined Heat and Power, The Q	90,525
Aeonsolar	New York Sun Program, NY-Sun	57,660
Affordable Housing Partnership	Green Jobs Green New York Revolving Loan Fund, Green Jobs Gree..	62,708
Ahold USA, Inc dba The Stop & Shop	Existing Facilities Program, EFP2480 - Ahold Financial	13,365
Air Compressor Engineering Co., Inc.	Industrial Process Efficiency Program, Industrial Process Efficiency	77,736
AKF-engineers	Flexible Technical Assistance Program, FlexTech Consultant Selection	74,992
	Flexible Technical Assistance Program, FlexTech Consultants Statew..	23,594
Akwesasne Mohawk Casino, LLC	New Construction Program, NCP11263 - Akwesasne Mohawk Ho	30,000
Albany County Dept. of General Services	Smart Grid Systems, City of Albany - Airport	95,000
Albany Energy, LLC	Large Scale Renewables, Albany 2	97,982
	Large Scale Renewables, Albany Energy LLC	28,268
Albany Engineering Corp.	Large Scale Renewables, Mechanicville Hydro	162,943
	Large Scale Renewables, Stuyvesant Falls Hydroelectric	103,994
Albany Law School Government Law Center	Innovation Capacity & Business Development, Albany Law School ST..	26,000
Albany, City of,	Cleaner Greener Communities, CGC28993 - City of Albany	38,000

Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation
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Contractor	Project Description	Total Expended Amount
Albert Apartment Corp	Multifamily Performance Program, Multifamily	136,500
Alexander Court Apartments LLC	Multifamily Performance Program, Multifamily	9,900
All Systems Cogeneration, Inc.	Existing Facilities Program, Existing Facilities Program PO	71,388
Allan Pullis	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	12,496
Allen Power, Inc.	Smart Grid Systems, City of Albany Univ. Heights	70,500
Alliance Cooperative Energy LLC	New York Sun Program, NY-Sun	5,096
Alliance for Green Heat	Renewable Heat NY, Energy and Environmental Perfo	61,850
Alliance for Housing Inc.	Multifamily Performance Program, Multifamily	48,791
Altanova LLC	Flexible Technical Assistance Program, FlexTech Consultant Selection	37,253
Alteris Renewables Inc.	New York Sun Program, RPS CST Regional Program	114,924
Alternative Power Solutions of NY, LLC	New York Sun Program, NY-Sun	86,970
AltPOWER, Inc.	New York Sun Program, NY-Sun	31,140
	New York Sun Program, RES-New Const & Adv Tech	23,691
Ambrosino, DePinto & Schmieder	New Construction Program, Technical Assistance Services	40,697
AMERESCO, Inc.	Existing Facilities Program, EFP2270 - Beacon CSD	71,356
American Aerogel Corporation	Clean Transportation, Aerogel Insulation for Refrige	17,303
American DG Energy Incorporated	Existing Facilities Program, PON1219EE3	67,267
American Energy Care, Inc.	New York Sun Program, NY-Sun	6,048
American Express Company	Existing Facilities Program, EFP2552 - AMEX - 200 Vesey Str	601,474
American Natural Gas, LLC	Clean Transportation, American Natural Gas, LLC to i	360,580
American Renewable Energy, Inc.	New York Sun Program, NY-Sun	5,250
American Solar Partners, LLC	New York Sun Program, NY-Sun	37,933
	New York Sun Program, RES-New Const & Adv Tech	15,310
Amphora Consulting	Admin, Strategic Program Dev Training	84,000
AMRI Rensselaer, Inc.	Combined Heat and Power, FlexTech Program	24,810
Anjon of Greenlawn	Fuel NY, GSP00519 - Anjon of Greenlawn	7,401
Anodyne Solutions	Smart Grid Systems, City of Schenectady NY Prize	85,000
Antares Group, Inc.	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500
	Combined Heat and Power, Technical Review and Program S	33,797
	Environmental Research, Wood Heat & Power LCA Lit Rev	9,743
	Existing Facilities Program, Technical Review and Program S	4,589
	Industrial Process Efficiency Program, Industrial Process Efficiency	8,154
	Industrial Process Efficiency Program, Technical Review and Progra..	78,451
	Large Scale Renewables, Renewable Portfolio Standard T	4,499
Anthony J Berejka	Innovation Capacity & Business Development, EB & XRay Curing of F..	40,000
Apex Solar Power LLC	New York Sun Program, NY-Sun	227,702
	Renewable Thermal, NY-Sun	12,000
	Renewable Thermal, PV Incentives Program	6,000
	Renewable Thermal, Renewable Heating & Cooling	24,753
	Renewable Thermal, Solar Thermal Incentive	6,000
	Renewable Thermal, Solar Thermal Incentives	12,000
Apol Service Station Inc.	Fuel NY, GSP00536 - Apol Service Statio	9,815
Applied Energy Group, Inc.	Emerging Technology/Accelerated Commercialization, Technical Revi..	21,923
	Industrial Process Efficiency Program, Technical Review and Progra..	11,123
APX Inc.	Large Scale Renewables, NYGATS	99,859
Aramark Management Srvc Ltd Prtnshp	Existing Facilities Program, Technical Review and Program S	38,175
Arcadis of New York, Inc.	Flexible Technical Assistance Program, FlexTech Consultant Selection	3,722
Arcadis U.S., Inc.	Admin, Greenling the Bronx M&V	25,767
	Agriculture Energy Efficiency Program, Technical Review and Progra..	5,198
	Combined Heat and Power, Technical Review and Program S	20,691

Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation
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Contractor	Project Description	Total Expended Amount
Arcadis U.S., Inc.	Emerging Technology/Accelerated Commercialization, Technical Revi..	408
	Existing Facilities Program, Technical Review and Program S	255,975
	Flexible Technical Assistance Program, Technical Review and Progra..	257
	Fuel NY, Technical Review and Program S	842,714
	Industrial Process Efficiency Program, Technical Review and Progra..	14,583
Argos Solar, LLC	New York Sun Program, PV System @ Cornell - Geneva	394,410
ARJ Fuel & Oil Inc.	Fuel NY, GSP00497 - ARJ Fuel & Oil Inc.	12,982
Artone, LLC	Industrial Process Efficiency Program, Industrial Process Efficiency	110,415
Arts Center and Theater of Schenectady,	Cleaner Greener Communities, CGC27842 - Marquee Power Proct	334,843
Association for Energy Affordability, In	Workforce Development, WF Training Energy Efficiency	113,730
Astrum Solar, Inc.	New York Sun Program, NY-Sun	149,035
AT&T Services Inc.	Industrial Process Efficiency Program, Industrial Process Efficiency	69,536
Atelier Ten	New Construction Program, Technical Assistance Services	16,131
Atlantis Management Group II LLC	Fuel NY, GSP00322 - Atlantis Management	9,872
	Fuel NY, GSP00323 - Atlantis Management	9,872
	Fuel NY, GSP00324 - Atlantis Management	9,872
	Fuel NY, GSP00638 - Atlantis Management	9,872
	Fuel NY, GSP00639 - Atlantis Management	9,872
	Fuel NY, GSP00641 - Atlantis Management	9,872
	Fuel NY, GSP00647 - Atlantis Management	9,872
	Fuel NY, GSP00653 - Atlantis Management	9,872
	Fuel NY, GSP00654 - Atlantis Management	9,862
	Fuel NY, GSP00657 - Atlantis Management	9,872
	Fuel NY, GSP00658 - Atlantis Management	9,872
	Fuel NY, GSP00793 - Atlantis Management	9,872
Auburn City of	Large Scale Renewables, Mill Street Dam Hydro	7,695
Automated Dynamics	Innovation Capacity & Business Development, Transformative Techn..	43,617
Autronic Plastics, Inc.	Advanced Buildings, LED Lighting	60,000
	Clean Transportation, Metro Platform Light	68,000
Aztech Geothermal, LLC	Workforce Development, PON 2033 OJT Hire Gross	1,945
Bank of America	Existing Facilities Program, EFP2413 - Bank of America - 11	104,745
Bank of New York	New Construction Program, NCP13164 - 225 Liberty Headqua	30,000
Banks II Quan Associates, Inc.	Existing Facilities Program, Technical Review and Program S	6,658
Barbaera Homes and Development, Inc.	HOME PERFORMANCE WITH ENERGY STAR, Codes & New Const..	2,100
	New York ENERGY STAR Homes, Codes & New Construction	18,900
Barclay Heights	Multifamily Performance Program, Multifamily	49,000
Barclay Heights East Associates	Multifamily Performance Program, Multifamily	39,000
Barney's Service Station	Fuel NY, GSP00237 - Barney's Service St	9,700
Barrington Apartments LLC	Multifamily Performance Program, Multifamily	39,000
Barton & Loguidice, D. P.C.	Flexible Technical Assistance Program, FlexTech Consultant Selection	2,223
BBL Construction Services LLC	New Construction Program, NCP11997 - Renaissance Albany	93,270
BCD:A, LLC	Multifamily Performance Program, Multifamily	24,600
Beck Farms LLC	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	64,307
Behavioral Ideas Lab, Inc.	Advanced Buildings, Behavior Overview & Design	119,490
Belmonte Builders	HOME PERFORMANCE WITH ENERGY STAR, RES-New Const & ..	3,000
	New York ENERGY STAR Homes, RES-New Const & Adv Tech	0
Belt Parkway Realty Corp.	Fuel NY, GSP00603 - Belt Parkway Realty	10,000
Belvedere Housing, LP	Multifamily Performance Program, Multifamily	375,000
Benchmark Printing, Inc.	Multifamily Performance Program, Printing Services	4,270
Benchmark Group Inc	Existing Facilities Program, EFP2631 - Walmart - Multisite	99,449

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Contractor	Project Description	Total Expended Amount
Bergman Associates, P.C.	Clean Transportation, Mkt Trn (no longer in use)	9,843
Bergmann Associates	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	7,047
	Existing Facilities Program, Technical Review and Program S	16,447
	Flexible Technical Assistance Program, FlexTech Consultant Selection	48,444
	Flexible Technical Assistance Program, Technical Review and Progra..	124,532
	Green Jobs Green New York Revolving Loan Fund, Technical Review..	5,900
	Industrial Process Efficiency Program, FlexTech Consultant Selection	29,994
	Industrial Process Efficiency Program, Technical Review and Progra..	36,964
	Renewable Heat NY, Technical Review and Program S	11,095
Best Energy Power	New York Sun Program, NY-Sun	279,498
Best Service Station Inc.	Fuel NY, GSP00675 - Best Service Statio	10,000
Betlem Service Corporation	Industrial Process Efficiency Program, Industrial Process Efficiency	89,967
Better Cities & Towns, Inc.	Cleaner Greener Communities, CGC31774 - Better Cities Towns	84,175
Bettergy Corporation	Clean Transportation, NY-BEST Bench to Prototype Sol	25,480
	Clean Transportation, Prototype Development	16,702
Big Apple Petroleum Realty LLC	Fuel NY, GSO00571 - Big Apple Petroleum	9,922
Bill Wolf Petroleum Maintenance LLC	Fuel NY, GSP00373-002 - Bill Wolf Petro	9,872
Binghamton State University	New Construction Program, NCP10102 - Johnson-O'Connor (B	13,843
BioDiversity Research Institute	Environmental Research, Monitoring Birds and Loons- Hg	52,400
BJ's Wholesale Club	Existing Facilities Program, EFP2586 - BJ's Wholesale Club	80,512
Black Cherry Services Group, Inc.	New York Sun Program, NY-Sun	1,512
Bloomberg, L.P.	Flexible Technical Assistance Program, Flex Tech - PON1746	72,000
Blue Pillar Inc.	Existing Facilities Program, EFP2490 - Blue Pillar - MKSCC	544,000
Blue Point BP Inc.	Fuel NY, GSP00412 - Blue Point BP Inc.	10,000
Blueland LLC	New York Sun Program, RES-New Const & Adv Tech	10,462
Bluestone RRSI, LLC	Advanced Buildings, Rebuild Resilient Staten Is.	60,053
Board of Managers of Cipriani Club Resid	Flexible Technical Assistance Program, FlexTech Program	19,963
BOCES of Rockland	Workforce Development, Clean Energy Training for HS	30,544
Bolla EM Realty LLC	Fuel NY, GSP00284 - Bolla EM Realty LLC	8,999
	Fuel NY, GSP00286 - Bolla EM Realty LLC	8,042
	Fuel NY, GSP00290 - Bolla EM Realty LLC	8,592
Bolla Operating Corp.	Fuel NY, GSP00252 - Bolla Operating Cor	7,195
	Fuel NY, GSP00253 - Bolla Operating Cor	10,000
	Fuel NY, GSP00256 - Bolla Operating Cor	10,000
	Fuel NY, GSP00279 - Bolla Operating Cor	8,659
	Fuel NY, GSP00300 - Bolla Operating Cor	10,000
	Fuel NY, GSP00360 - Bolla Operating C	10,000
	Fuel NY, GSP00375 - Bolla Operating Cor	8,859
Bolla Operating LI Corp.	Fuel NY, GSP00259 - Bolla Operating LI	10,000
	Fuel NY, GSP00260 - Bolla Operating LI	10,000
	Fuel NY, GSP00262 - Bolla Operating LI	9,713
	Fuel NY, GSP00263 - Bolla Operating LI	10,000
	Fuel NY, GSP00264 - Bolla Operating LI	10,000
	Fuel NY, GSP00266 - Bolla Operating LI	10,000
	Fuel NY, GSP00276 - Bolla Operating LI	10,000
	Fuel NY, GSP00277 - Bolla Operating LI	10,000
	Fuel NY, GSP00319 - Bolla Operating LI	9,751
Bond, Schoeneck & King, PLLC	Admin, Outside Legal Services	2,620
Booz Allen Hamilton, Inc.	Smart Grid Systems, City of Elmira NY Prize	19,933
	Smart Grid Systems, City of Kingston NY Prize	19,832

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Contractor	Project Description	Total Expended Amount
Booz Allen Hamilton, Inc.	Smart Grid Systems, City of New Rochelle	19,911
	Smart Grid Systems, City of NY Sunnyside Yard	99,959
	Smart Grid Systems, City of Watervliet NY Prize	19,933
	Smart Grid Systems, NY Prize	19,933
	Smart Grid Systems, Town of Clarkstown NY Prize	99,707
	Smart Grid Systems, Town of Cortlandt NY Prize	34,911
	Smart Grid Systems, Town of Mamaroneck NY Prize	34,933
	Smart Grid Systems, Town of Moreau NY Prize	59,933
	Smart Grid Systems, Town of Mt. Kisco NY Prize	34,875
	Smart Grid Systems, Town of Somers NY Prize	99,993
	Smart Grid Systems, Village of Carthage NY Prize	34,720
	Smart Grid Systems, Village of Chateaugay NY Prize	99,872
	Smart Grid Systems, Village of Florida NY Prize	99,933
	Smart Grid Systems, Village of Liberty NY Prize	99,856
	Smart Grid Systems, Village of Monticello NY Prize	99,832
Boston Properties	Flexible Technical Assistance Program, Flex Tech - PON1746	24,309
Boxler Dairy Farms	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	91,130
BPC Green Builder, Inc.	HOME PERFORMANCE WITH ENERGY STAR, RES-New Const & ..	8,000
BR HGI LLC	Multifamily Performance Program, Multifamily	94,000
Brand/Cool Marketing	Empower, RFQL and RFP 1224	13,352
	HOME PERFORMANCE WITH ENERGY STAR, RFQL and RFP 1224	37,855
	Multifamily Performance Program, RFQL and RFP 1224	74,429
	Residential Point of Sale, RFQL and RFP 1224	38,820
Breezyhill Dairy Farm	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	5,479
Brevard Owners Inc.	Multifamily Performance Program, Multifamily	142,800
Bridge Metals Industries	Clean Transportation, Renewable,Clean Energy & Energ	23,098
Bridges Development, Inc.	HOME PERFORMANCE WITH ENERGY STAR, RES-New Const & ..	10,100
	New York ENERGY STAR Homes, RES-New Const & Adv Tech	90,900
Bright Power, Inc.	Advanced Buildings, PV Battery backup system demo	10,000
	Flexible Technical Assistance Program, FlexTech Consultant Selection	34,500
	New York Sun Program, NY-Sun	29,038
	New York Sun Program, RES-New Const & Adv Tech	65,307
Brookfield Properties Development LLC	Existing Facilities Program, EFP1847 - Brookfield Propertie	23,758
Brookhaven National Lab	Advanced Buildings, Advanced Buildings Technology	20,265
	Environmental Research, Energy and Environmental Perfo	13,950
	Renewable Heat NY, Energy and Environmental Perfo	151,793
	Renewable Heat NY, Next-Gen Test Method Devel	189,698
	Renewables & DER integration, Center for Emergent Supercondu	125,000
	Smart Grid Systems, Impact Model UtilScale SolarPV	100,243
Brooklyn SolarWorks LLC	New York Sun Program, NY-Sun	11,322
Broome County	Energy Analysis, Regional Economic Development	107,600
BRP Renny LLC	Multifamily Performance Program, Multifamily	20,100
BTC Block 1/21, Inc.	New Construction Program, NCP10815 - Uniland Development	44,629
Bubbins Farm LLC	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	160,206
Buckeye Albany Terminal LLC	Industrial Process Efficiency Program, Industrial Process Efficiency	77,160
Buckeye Terminals, LLC	Data and Markets, Upstate NY Strategic Fuels Res	674,957
Buckhurst, Fish, Jacquemart, Inc.	Clean Transportation, Institutionalizing Integrated	14,522
	Clean Transportation, Mobile New Rochelle Feasibilit	2,925
Buffalo Housing Associates	Multifamily Performance Program, Multifamily	4,050
Buffalo Management Group, Inc.	Multifamily Performance Program, Multifamily	164,000

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Contractor	Project Description	Total Expended Amount
Buffalo Niagara Medical Campus, Inc.	Clean Transportation, Residential Parking Benefits	12,555
	Smart Grid Systems, Buffalo Niagara Medical Campus	90,000
Building Media, Inc.	Advanced Energy Codes, NYS Energy Code Conference	22,000
Builtrite Solutions Inc.	Existing Facilities Program, EFP2297 - Builtrite Solutions	121,592
Burke Electric	New York Sun Program, NY-Sun	5,040
Burr Energy LLC	Smart Grid Systems, Town of New Paltz NY Prize	20,000
	Smart Grid Systems, Town of Warwick NY Prize	20,000
Burrows Paper Corporation	Industrial Process Efficiency Program, Industrial Process Efficiency	435,288
C Speed, LLC	Clean Transportation, NextGen 3D Antenna	205,665
C.J. Brown Energy, P.C.	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	8,132
	Combined Heat and Power, FlexTech Consultant Selection	2,894
	Flexible Technical Assistance Program, FlexTech Consultant Selection	97,200
	New Construction Program, CJ Brown - EMP	15,517
C.T. Male Associates Engineering,	Existing Facilities Program, Technical Review and Program S	12,081
	Flexible Technical Assistance Program, FlexTech Consultant Selection	2,081
CABS Senior H.D.F.C., Inc.	Multifamily Performance Program, Multifamily	111,000
Cadenza Innovation, LLC	Innovation Capacity & Business Development, Advanced Clean Powe..	409,672
Calstart	Clean Transportation, Implementation contractor for	113,240
Calvary Hospital	Existing Facilities Program, EFP2071 - Calvary Hospital	176,130
Cambridge United Presbyterian Church	New York Sun Program, Solarize 2016	5,000
Canisius College	New Construction Program, NCP10342 - Canisius Science Ce	5,003
Capital District Regional Planning Comm.	Cleaner Greener Communities, CGC53356 - CDRPC	12,368
Captive Plastics LLC	Industrial Process Efficiency Program, Industrial Process Efficiency	28,111
Carlisle Construction Materials	New York Sun Program, New York Sun Competitive PV Pr	255,773
Carnegie Mellon University	Advanced Buildings, Behavior Research & Energy Dec	19,052
Carriage Factory Special Needs Apartment	Multifamily Performance Program, Multifamily	35,734
Carsada Dairy	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	25,836
Castle Hill Electrical Supply Co.	Existing Facilities Program, EFP2492 - Castle Hill Electric	54,010
Catholic Charities Progress of People	Multifamily Performance Program, Multifamily	57,861
Caton Towers Owners Corporation	Multifamily Performance Program, Multifamily	200,200
Catskill Mountainkeeper, Inc	Cleaner Greener Communities, CGC39425 - Renewable NY	335,274
Cayuga Medical Center at Ithaca	New Construction Program, NCP10080 - Cayuga Medical Cent	146,365
Cayuga Milk Ingredients	Industrial Process Efficiency Program, Industrial Process Efficiency	1,248,970
CCMH Times Square LLC	Flexible Technical Assistance Program, FlexTech Program - PON1746	120,011
CDH Energy Corporation	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	6,575
	Anaerobic Digester Program, RPS-CST Quality Assurance/Qual	9,200
	Combined Heat and Power, CHP Data Integration System Op	188,091
	Combined Heat and Power, CHP System Inspection	87,125
	Combined Heat and Power, Technical and Logistic Support	13,539
	Combined Heat and Power, Technical Review and Program S	17,228
	Emerging Technology/Accelerated Commercialization, Technical Revi..	653
	Existing Facilities Program, EFP Task Work Order	22,700
	Existing Facilities Program, Technical Review and Program S	17,283
	Flexible Technical Assistance Program, FlexTech Consultant Selection	15,075
	Industrial Process Efficiency Program, Technical Review and Progra..	25,965
	Large Scale Renewables, DG-CHP Remote Monitoring Data	1,666
	CDM Smith, Inc.	Existing Facilities Program, Technical Review and Program S
CEC Stuyvesant Cove, Inc.	Cleaner Greener Communities, CGC55294 - Solar One	49,628
	Cleaner Greener Communities, EDGE Territory 3	126,729
	Combined Heat and Power, EDGE Territory 3	21,103

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Contractor	Project Description	Total Expended Amount
CEC Stuyvesant Cove, Inc.	Other Program Area, Solar One Community Solar	16,115
	Workforce Development, PON 2774 Career Pathways	68,264
	Workforce Development, Solar One Community Solar	16,115
	Workforce Development, WF Training Energy Efficiency	3,454
Cellco Partnership	Industrial Process Efficiency Program, Industrial Process Efficiency	36,064
Celtic Holdings LLC	Flexible Technical Assistance Program, Flex Tech - PON1746	45,788
Centennial Gardens Partners, LLC	Multifamily Performance Program, Multifamily	63,000
Center Albany Associates, LP	Multifamily Performance Program, Multifamily	190,000
Center for Sustainable Energy	Clean Transportation, PEV Enabling Technology Demons	5,265
	Other Program Area, ChargeNY ZEV Rebate Imp Contra	68,973
Centerstate Corporation for	Innovation Capacity & Business Development, Innovation Cap & Biz ..	16,000
Central New York Regional Planning and D	Cleaner Greener Communities, CGC31214 - CNYRPDB	54,433
	Cleaner Greener Communities, CGC42070 - CNY Mitigation Bank	10,875
	New York Sun Program, Central New York Solar	47,097
	Other Program Area, Central New York Solar	52,513
	Smart Grid Systems, City of Syracuse NY Prize	65,000
	Workforce Development, Central New York Solar	52,513
CHA Consulting Inc.	Agriculture Energy Efficiency Program, Technical Review and Progra..	50,233
	Existing Facilities Program, Technical Review and Program S	120,605
	Flexible Technical Assistance Program, FlexTech Consultant CHA	48,155
	Flexible Technical Assistance Program, Technical Review and Progra..	111,697
	Industrial Process Efficiency Program, Commercial & Industrial Outrea	336,958
	Industrial Process Efficiency Program, FlexTech Consultant CHA	6,522
	Industrial Process Efficiency Program, Technical Review and Progra..	402,943
	Renewable Heat NY, Technical Review and Program S	6,622
Chautauqua County	Large Scale Renewables, Chautauqua LFGE	138,800
Chelsea Gardens Owners Corp	Multifamily Performance Program, Multifamily	109,200
Chelsea Mercantile	Combined Heat and Power, Distributed Generation as Comb	4,536
CHV 560 Winthrop Street Housing Developm	Multifamily Performance Program, Multifamily	117,200
CIR ELECTRICAL CONSTRUCTION CORP.	New York Sun Program, NY-Sun	63,731
	New York Sun Program, RES-New Const & Adv Tech	0
City of Buffalo	Existing Facilities Program, EFP2641 - City of Buffalo Wate	7,875
City of Glens Falls	Smart Grid Systems, City of Glens Falls, NY Prize	100,000
City of Ithaca	Smart Grid Systems, City of Ithaca NY Prize	100,000
City of Lackawanna	Cleaner Greener Communities, CGC27923 - City of Lackawanna	19,000
City of Lockport Housing Authority	Multifamily Performance Program, Multifamily	68,400
City of Long Beach	Cleaner Greener Communities, CGC32550 - City of Long Beach	124,453
City of New Rochelle	Cleaner Greener Communities, CGC30569 - New Rochelle	98,789
City Of New York	Cleaner Greener Communities, CGC43226 - New York City	162,123
City of New York, Dept. of Citywide	New York Sun Program, PV System @ NYC School K455	101,976
	New York Sun Program, PV System @ NYC School K505	64,067
	New York Sun Program, PV System @ NYC School R069	29,877
City of Oswego	Cleaner Greener Communities, CGC40394 - Oswego Complete St	49,500
	Smart Grid Systems, City of Oswego, NY Prize	80,000
City of Rensselaer	Cleaner Greener Communities, CGC41631 - City of Rensselaer	64,000
City of Saratoga Springs, NY	Cleaner Greener Communities, CGC31779 - City of Saratoga	9,521
City of Utica	Smart Grid Systems, City of Utica NY Prize	80,000
City of White Plains	Cleaner Greener Communities, CGC30408-City of White Plains	381,224
City Parks Foundation	Greening the Bronx, Greening The Bronx	875,064
Claire Weisz Architects	Clean Transportation, Off Street Delivery Approaches	14,501

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Contractor	Project Description	Total Expended Amount
Clarkson Univ., Research Div.	Environmental Research, Energy Related Air Quality	162,857
	Innovation Capacity & Business Development, Transformative Techn..	20,000
Clarkson University	Advanced Buildings, Advanced Buildings Technology	40,000
	Advanced Buildings, Green Data Center Computing	5,071
	Advanced Buildings, Wood Pellet Boiler Demo	65,163
	Clean Transportation, Optimal EV Rate Structures in	53,000
	Environmental Research, Environmental Economics	52,260
	Environmental Research, Guidance for Thermal Storage	0
	Environmental Research, HE Wood Pellet Boiler & ECT	16,904
	Environmental Research, Performance of Biomass-fired	40,301
	Environmental Research, Wood Pellet Boiler Demo	0
	Renewable Heat NY, CO off-gassing pellet storage	83,014
	Renewable Heat NY, Guidance for Thermal Storage	179,268
	Smart Grid Systems, EPTD Smart Grid Program	140,986
	Clean Energy States Alliance	Energy Analysis, Coordination of USDOE Grant
Clean Technologies A LLC	Large Scale Renewables, 8th RPS Main Tier Solicitation	10,363
CLEAResult Consulting, Inc.	Assisted Home Performance with Energy Star, Program Implementati..	271,804
	Empower, Empower QA Services	477,424
	Green Jobs Green New York Revolving Loan Fund, GJGNY TIC	211,272
	HOME PERFORMANCE WITH ENERGY STAR, Empower QA Servic..	123,340
	HOME PERFORMANCE WITH ENERGY STAR, Implementation and ..	33,256
	HOME PERFORMANCE WITH ENERGY STAR, Program Implement..	698,700
	New York ENERGY STAR Homes, Implementation and Support con	188,450
ClearStak LLC	Advanced Buildings, Modifications to ThermoControl	19,000
	Renewable Heat NY, Round-Robin Testing Program	4,875
Clinton Essex Warren Washington	Workforce Development, GJGNY Lab Houses	65,947
ClosedLoops, LLC	Clean Transportation, Pneumatic Waste Transfer Study	25,558
Clough, Harbour & Associates, LLP	Existing Facilities Program, EFP Task Work Order	659
	Flexible Technical Assistance Program, FlexTech Consultant Selection	21,680
	Industrial Process Efficiency Program, EFP Task Work Order	1,872
	Industrial Process Efficiency Program, Existing Facilities Tech Assis	6,252
Club One Property, LLC	Multifamily Performance Program, Multifamily	32,400
CNY Solar, Inc.	New York Sun Program, NY-Sun	71,980
Code Green Solutions, Inc.	Flexible Technical Assistance Program, FlexTech Consultant Selection	59,563
	New Construction Program, NCP11451 - 114 5th Ave	38,443
Coeymans Hollow Fire	New Construction Program, NCP11663 - Coeymans Hollow Fir	5,756
Cogen Power Technologies LLC	Smart Grid Systems, City of Auburn NY Prize	34,500
	Smart Grid Systems, City of Troy RPI/Samaritan	36,500
	Smart Grid Systems, Empire State Plaza NY Prize	34,500
Cohen Ventures Inc	Emerging Technology/Accelerated Commercialization, CATALYST Sc..	29,264
	Emerging Technology/Accelerated Commercialization, ETAC-CI - Ene..	13,747
Collegiate Builders	New York Sun Program, NY-Sun	77,643
Columbia County Chamber of Commerce	New York Sun Program, Solarize 2016	5,000
Columbia University	Clean Transportation, Devel Electrofuels Prototype	82,404
	Industrial Process Efficiency Program, Improving AD through EKD	18,536
	Innovation Capacity & Business Development, Proof-of-Concept Cent..	690,000
Columbia University Medical Center	Industrial Process Efficiency Program, Industrial Process Efficiency	819,642
Combined Energies LLC	Clean Transportation, Power/energy module dev & demo	138,549
Common Ground Community II HDFC	Multifamily Performance Program, Multifamily	183,000
Communications Specialists, Inc.	New York Sun Program, NY-Sun	7,500

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Contractor	Project Description	Total Expended Amount
Community Counseling & Mediation Service	Multifamily Performance Program, Multifamily	43,200
Community Power Network of NYS, Inc.	Multifamily Performance Program, LIFE Implementation Services	36,677
Computer Aid, Inc.	Admin, Staff Augmentation	74,453
Comverge Incorporated	Existing Facilities Program, EFP2238 - Comverge - 90 Broad	37,201
Concern for Independent Living, Inc.	Multifamily Performance Program, Multifamily	18,000
Concord Servicing Corporation	Green Jobs Green New York Revolving Loan Fund, Multifamily	514
	Green Jobs Green New York Revolving Loan Fund, Products	1,010
ConMed Corporation	Industrial Process Efficiency Program, Industrial Process Efficiency	16,235
Conner Street Realty LLC	Fuel NY, GSP00320 - Conner Street Realt	9,872
Conscious Energy Inc.	New York Sun Program, NY-Sun	7,000
Consolidated Edison Company	Smart Grid Systems, Competitive Greenhouse Gas	425,000
	Smart Grid Systems, Integ. of Microgrids & DER	203,094
Cooke Solar White Plains, LLC	New York Sun Program, RPS CST Regional Program	100,321
Copenhagen Central School District	Workforce Development, Clean Energy Training for High	33,703
Cornell Cooperative Extension - Tompkins	Cleaner Greener Communities, CGC30635 - Southern Tier Bulk	117,538
Cornell University	Clean Transportation, Anion Exchange Regen. Fuel Cel	30,213
	Energy Analysis, CornellNYC Tech Energy Program	13,276
	Environmental Research, Dairy cooling demonstration	2,392
	Environmental Research, Energy Related Air Quality	14,680
	Environmental Research, Environmental Research	32,038
	Environmental Research, improve EE of crop production	27,406
	Environmental Research, NY climate clearinghouse	30,000
	Environmental Research, optimize LED for greenhouses	27,342
	Environmental Research, Rainfall IDF Curves	35,184
	Innovation Capacity & Business Development, 76West Building a Cle..	351,468
	New Construction Program, NCP7695 - Stocking Hall (Corne	238,645
	New Construction Program, NCP10192 - Gates Hall (Cornell	185,485
	New Construction Program, NCP98262 - Warren Hall (Cornel	94,938
	Other Program Area, 76West Building a Clean Energy	23,228
Cornell University-Office of Sponsored P	Empower, CEPREEQ	35,748
	Energy Analysis, Accelerated Recovery	0
	Environmental Research, Accelerated Recovery	7,726
	Environmental Research, virtual greenhouse tool	14,247
	Innovation Capacity & Business Development, Anaerobic Digestion A..	9,392
	Renewable Heat NY, Biomass-Fired Emission Sources	24,418
Cornerstone Energy Services	Renewable Heat NY, RHNY PON 3010 Incentive - Kinb	21,910
Corning Community College	Industrial Process Efficiency Program, Industrial Process Efficiency	47,839
Corning Inc.	Industrial Process Efficiency Program, Industrial Process Efficiency	85,736
	Industrial Process Efficiency Program, PON1219IP4	24,942
	New Construction Program, NCP11435 - CMOG North Wing Exp	34,990
Costco Wholesale	New Construction Program, NCP11686 - Costco Wholesale	223,700
	New Construction Program, NCP12675 - Costco Rochester	312,627
Cowles Company of Northern New York, Inc	Renewable Heat NY, RHNY Incentive- Chartrand	10,000
CPD NY Energy	Fuel NY, GSP00509-003 - CPD NY Energy (10,000
Creativa LLC	New Construction Program, NCP13106 - DeCicco & Sons	145,112
Creative Food Ingredients Inc.	New Construction Program, NCP12819 - CFI Main Plant	18,735
Creek Hill Apartments LLC	Multifamily Performance Program, Multifamily	126,000
Crest Solar LLC	New York Sun Program, NY-Sun	5,130
Cross Bronx Services Station Corp	Fuel NY, GSP00308 - Cross Bronx Service	10,000
Crossroads Joint Venture	Existing Facilities Program, EFP2611 - Crossroads Joint Ven	27,891

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Contractor	Project Description	Total Expended Amount
Croton Energy Group, Inc.	New York Sun Program, NY-Sun	6,221
Crotona Park Housing	Multifamily Performance Program, Multifamily	35,267
Cumberland Farms, Inc.	Fuel NY, GSP00461-001 - Cumberland Farm	9,872
	Fuel NY, GSP00461-004 - Cumberland Farm	9,872
	Fuel NY, GSP00461-005 - Cumberland Farm	8,422
	Fuel NY, GSP00461-006 - Cumberland Farm	9,872
	Fuel NY, GSP00461-007 - Cumberland Farm	9,872
Curran Renewable Energy, LLC	Other Program Area, Pneumatic wood pellet delivery	41,550
Custom Electronics, Inc.,	Clean Transportation, Commercial intro of GEC	118,026
	Clean Transportation, Improved Ultracapacitor	25,029
	Clean Transportation, NY-BEST Bench to Prototype Sol	19,659
Cutone & Company Consultants, LLC	Existing Facilities Program, EFP1406 - Cutone; Roosevelt	54,912
	Existing Facilities Program, EFP2544 - Cutone - 75 Varick S	238,720
	Existing Facilities Program, Existing Facilities Program -	47,126
	Existing Facilities Program, PON1219EE5	723,188
Cypress Hills Local Development Corporat	Multifamily Performance Program, Multifamily	20,000
D Viola Enterprises, LP	Multifamily Performance Program, Multifamily	8,000
D&B Engineers and Architects, PC	Smart Grid Systems, Village of Port Jefferson	64,000
Dairyland USA Corporation	Industrial Process Efficiency Program, Industrial Process Efficiency	16,319
David Hayes	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	1,673
David P Bruns	HOME PERFORMANCE WITH ENERGY STAR, RES-New Const & ..	120,000
Davis Farms	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	17,199
Daystar Solar, LLC	New York Sun Program, NY-Sun	9,674
DealCloud Inc.	New York Green Bank, DealCloud Implementation	2,750
	New York Green Bank, DealCloud Licensing	44,980
Demarse Electric Inc.	New York Sun Program, RES-New Const & Adv Tech	14,820
DePaul Properties, Inc.	HOME PERFORMANCE WITH ENERGY STAR, RES-New Const & ..	12,100
	New York ENERGY STAR Homes, RES-New Const & Adv Tech	108,900
Dewberry Consultants LLC	Environmental Research, East Hampton resiliency	12,481
	Environmental Research, Future Floodplain Analysis	45,593
Dewberry Engineers Inc	Environmental Research, Transportation Climate ADP	22,336
DeWitt , Margaret Anne	Agriculture Energy Efficiency Program, Agriculture Disaster Energy Ef	800
Diamond Builders Corp	Clean Transportation, NYS Compressed Natural Gas	300,000
Dimien LLC	Advanced Buildings, Chromatic Window Coating	10,000
Direct Energy Business LLC	Industrial Process Efficiency Program, Industrial Process Efficiency	192,713
District Sun	New York Sun Program, NY-Sun	35,332
Diversified Control Inc.	Industrial Process Efficiency Program, Industrial Process Efficiency	132,442
Dock Street Rental, LLC	New Construction Program, NCP11275 - 60 Water Street	199,029
Doherty Electric, LLC	New York Sun Program, NY-Sun	8,663
Dohr Apartments	Multifamily Performance Program, Multifamily	112,000
DOLP 205 Properties II LLC	New Construction Program, NCP11853 - 205 East 42nd St Ph	53,693
Dominican Sisters of Sparkill Convent	Existing Facilities Program, EFP2521 - Dominican Sisters	9,107
Dowd-Witbeck Printing Corp.	Other Program Area, Printing Services	110
Duane Allen	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	36,930
Dziedzic, Paul	Agriculture Energy Efficiency Program, AEEP - Pre Enc	56,395
E&S Environmental Chemistry Inc.	Environmental Research, Acid Deposition and Understory	24,840
Eagle Creek Hydro Power LLC	Large Scale Renewables, 8th RPS Main Tier Solicitation	31,425
Earth Environmental Group, LLC	Renewable Thermal, NY-Sun	49,510
East End Marketing Corp.	Clean Transportation, Hempstead Shamrock: PON 2290 i	35,000
	Clean Transportation, PON2290: Patchogue Valero E85	35,000

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Contractor	Project Description	Total Expended Amount
East New York Restoration Local Developm	New York Sun Program, Solarize 2016	5,000
Eastern Energy Systems Inc.	New York Sun Program, NY-Sun	46,150
Eastern Research Group, Inc.	Environmental Research, Environmental Outreach	22,592
Eastman Kodak Company	Industrial Process Efficiency Program, Industrial Process Efficiency	104,427
Ecology & Environment, Inc.	West Valley Development Program, Environmental Monitoring for t	5,441
Ecology and Environment Engineering, PC	Cleaner Greener Communities, CGC Implementation Contractor	135,230
EcoMarkets LLC	Large Scale Renewables, 8th RPS Main Tier Solicitation	23,550
EcoMen Solar, LLC	New York Sun Program, NY-Sun	16,402
Ecovative Design LLC	Clean Transportation, Biomaterial Sound Attenuation	18,931
	Innovation Capacity & Business Development, Transformative Techn..	122,434
Ecovis, Inc.	New York Sun Program, NY-Sun	17,380
Ed Drexler	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	30,711
Edward & Amy Zukowski	HOME PERFORMANCE WITH ENERGY STAR, Codes & New Const..	4,100
	New York ENERGY STAR Homes, Codes & New Construction	36,900
El Puente	Green Jobs Green New York Revolving Loan Fund, Green Jobs Gree..	39,623
Electric Power Research Institute	Advanced Buildings, Modular DR-ready HVAC	205,500
	Clean Transportation, Advanced Transportation Tech	30,622
	Environmental Research, Energy Related Air Quality	79,434
	Renewables & DER integration, Technology to Market	64,280
	Smart Grid Systems, Electric Power Trans & Dist Sm	5,000
	Smart Grid Systems, EPTD Smart Grid Program	2,000
	Smart Grid Systems, Urban Microgrid	67,000
Electron Coil Inc.	Clean Transportation, Lightweight Inductor	42,629
Elizabeth A. Kormos	HOME PERFORMANCE WITH ENERGY STAR, Codes & New Const..	800
	New York ENERGY STAR Homes, Codes & New Construction	7,200
Elizabeth Marks	HOME PERFORMANCE WITH ENERGY STAR, Codes & New Const..	8,000
Ellicott Shores Apartments, LLC	Multifamily Performance Program, Multifamily	5,250
Elmira, City of	Cleaner Greener Communities, CGC39531 - City of Elmira	63,300
Elmwood Associates	Multifamily Performance Program, Multifamily	132,000
Emacx Systems, Inc.	Existing Facilities Program, EFP2488 - Emacx - NY Life	37,600
	Existing Facilities Program, EFP2491 - Emacx Systems Inc. -	424,756
Embassy Square Apartments LLC	Multifamily Performance Program, Multifamily	129,000
EMCOR Services Betlem	Flexible Technical Assistance Program, FlexTech Consultant Selection	49,936
EME Consulting Engineering Group, LLC	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500
	Existing Facilities Program, Technical Review and Program S	151,577
	Flexible Technical Assistance Program, FlexTech Consultant Selection	65,726
	New Construction Program, Technical Assistance Services	192,473
Emerling Farms	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	53,730
Empire Solar Solutions LLC	New York Sun Program, NY-Sun	29,838
Empire State College	New Construction Program, NCP12183 - Regional Center Roc	22,532
Empire State Realty Trust 1350 Broadway	Existing Facilities Program, EFP1962-Empire State Realty Tr	24,242
Empower CES, LLC	New York Sun Program, NY-Sun	45,290
	New York Sun Program, RPS CST Regional Program	44,566
Enbala Power Networks USA Inc.	Emerging Technology/Accelerated Commercialization, ETAC-CI - Ena..	17,212
ENER-G ROTORS, Inc	Innovation Capacity & Business Development, Waste heat to electricity	495,000
Eneractive Solutions	Flexible Technical Assistance Program, FlexTech Consultant Selection	42,682
Energetics, Incorporated	Clean Transportation, Battery LCA for Lev 3 EVSE	7,771
	Clean Transportation, Electric Vehicle Supply Equipm	41,852
	Clean Transportation, Planning Board EVSE Promotion	8,149
	Clean Transportation, Truck Platooning Study	24,879

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Contractor	Project Description	Total Expended Amount
Energetics, Incorporated	Smart Grid Systems, Flex Energy Tech Analysis 2	4,200
Energy & Resource Solutions, Inc.	Agriculture Energy Efficiency Program, FlexTech Consultant ERS	72,751
	Combined Heat and Power, Technical and Logistic Support	943,133
	Evaluation, Impact Evaluation Contractor	467,250
	Existing Facilities Program, EFP Task Work Orders	5,455
	Existing Facilities Program, Technical Review and Program S	59,237
	Existing Facilities Program, Technical Review Services	196
	Flexible Technical Assistance Program, FlexTech Consultant ERS	9,927
	Green Jobs Green New York Revolving Loan Fund, Impact Evaluatio..	23,654
	Industrial Process Efficiency Program, Commercial & Industrial Outrea	228,205
	Industrial Process Efficiency Program, EFP Task Work Orders	3,703
	Industrial Process Efficiency Program, Technical Review and Progra..	93,093
	Smart Grid Systems, City of NY, Manhattan	75,000
	Smart Grid Systems, Town of Brookhaven NY Prize	99,952
Energy and Environmental Economics Inc.	Energy Analysis, REV Economic Framework	24,033
	Energy Analysis, Tech Assist, REV Pool	43,309
	Environmental Research, Flex Energy Tech Analysis 2	7,971
	Other Program Area, REV Economic Framework	15
Energy Conservation & Supply, Inc.	Existing Facilities Program, EFP2399 - Energy Conservation	51,046
Energy Improvement Corporation	Cleaner Greener Communities, CGC39896 - EIC	500,569
	Market Pathways, Behavioral Demonstrations Prog	29,113
	Other Program Area, Westchester Solar Initiative	41,624
	Workforce Development, Westchester Solar Initiative	41,624
Energy Power investment Company, LLC	Large Scale Renewables, Large-Scale Renewables	427,785
Energy Spectrum Inc.	Existing Facilities Program, EFP2590- Energy Spectrum;USTA	40,799
Enerlife Consulting Inc.	Emerging Technology/Accelerated Commercialization, ETAC-CI Focu..	75,756
Enermat Technologies, Inc.	Clean Transportation, Scalable Graphene Anodes	97,207
ENrG, Inc.	Innovation Capacity & Business Development, Flexible roll-to-roll sint..	90,000
Ensave, Inc.	Agriculture Energy Efficiency Program, AEEP Implementation Contrac..	387,877
EnterSolar LLC	New York Sun Program, PV System at Pratt Industries	231,559
Enven Energy Services	Existing Facilities Program, EFP2501 - Enven Energy Service	43,854
Eonix LLC	Clean Transportation, Next Generation Electrolytes	9,985
Epergy, LLC	New York Sun Program, NY-Sun	7,440
Erdman Anthony & Associates, Inc.	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,579
	Industrial Process Efficiency Program, Technical Review and Progra..	9,431
	New Construction Program, EAA - EMP	14,810
	New Construction Program, Technical Assistance Services	73,550
Eric Mower and Associates	Advanced Energy Codes, RFQL and RFP 1224	267,422
	Assisted Home Performance with Energy Star, RFQL and RFP 1224	34,239
	Combined Heat and Power, RFQL and RFP 1224	62,489
	Existing Facilities Program, RFQL and RFP 1224	21,941
	HOME PERFORMANCE WITH ENERGY STAR, RFQL and RFP 1224	33,256
	Industrial Process Efficiency Program, RFQL and RFP 1224	19,400
	Innovation Capacity & Business Development, RFQL and RFP 1224	36,902
	New Construction Program, RFQL and RFP 1224	19,354
	New York ENERGY STAR Homes, RFQL and RFP 1224	45,136
	Workforce Development, RFQL and RFP 1224	61,810
Erie 1 BOCES	Workforce Development, Clean Energy Training for HS	11,400
Erie Boulevard Hydropower LP	Large Scale Renewables, RPS Program Purchase of Renewa	17,662
	Large Scale Renewables, School Street Hydro Project	100,395

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Contractor	Project Description	Total Expended Amount
Erie Boulevard Hydropower LP	Large Scale Renewables, Stewarts Bridge Hydro Project	100,000
Erie County	Cleaner Greener Communities, CGC40859 - Erie County	9,000
Erie County Medical Center	New Construction Program, NCP11372 - ECMC Behavioral Hea	11,428
Essex County Government Center	Cleaner Greener Communities, CGC31777 - Essex County	155,497
ET 400 PAS, LLC	New Construction Program, NCP10641 - 400 Park Ave South	84,094
EV Connect Inc.	Clean Transportation, Electric Vehicle Supply Equipm	165,842
	Clean Transportation, EV Connect, Inc. PON 2301 EVSE	23,848
eV2g, LLC	Clean Transportation, Building-and Grid-Interactive	6,500
Everson Museum of Art	Existing Facilities Program, Commercial	28,181
Extraterrestrial Materials Inc.	New York Sun Program, NY-Sun	129,541
	New York Sun Program, RES-New Const & Adv Tech	9,000
EYP Architecture & Engineering, PC	Flexible Technical Assistance Program, FlexTech Consultant Selection	33,835
	New Construction Program, Technical Assistance Services	20,782
Fairfax Owners Corporation	Multifamily Performance Program, Multifamily	50,400
Farm, LLC	Renewable Heat NY, Corporate Marketing	14,278
Farmington Farm and Garden, Inc	New Construction Program, NCP13150 - Henrietta CountryMa	14,268
Fast Gasoline Station Inc.	Fuel NY, GSP00398 - Fast Gasoline Stati	10,000
Fayetteville-Manlius Central School Dist	New Construction Program, NCP12397 - Mott Rd Elementary	12,160
FCH HH Knickerbocker Owner, L.P.	New Construction Program, NCP10809 - 1466 Broadway (FCH	123,511
Federation of Italian Americans Org.	New Construction Program, NCP9004 - FIAO Community Cente	50,717
Ficazzola Consulting, LLC	New York Sun Program, NY-Sun	11,805
	New York Sun Program, RES-New Const & Adv Tech	0
Finch Paper, LLC	Flexible Technical Assistance Program, FlexTech - PON1746	30,780
	Flexible Technical Assistance Program, PON 1747 - FlexTech Progra..	22,428
	Industrial Process Efficiency Program, Industrial Process Efficiency	560,822
Finkelstein Timberger Real Estate	Multifamily Performance Program, Multifamily	99,000
Finndale Farms	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	58,377
First Columbia Property Services, LLC	Admin, Property Management Services	112,091
First West 21st Street LLC	New Construction Program, NCP10514 - Chelsea Green (Firs	46,303
Florenton River LLC	New York Sun Program, NY-Sun	62,432
Floris Keverling Buisman	HOME PERFORMANCE WITH ENERGY STAR, RES-New Const & ..	9,000
Food & Gas of Ardsley, Inc.	Fuel NY, GSP00119-008 - Food and Gas of	10,000
Fordham University	New Construction Program, NCP98268 - New Law School & Do	27,595
Fort Pike Commons Apartments LLC	Multifamily Performance Program, Multifamily	24,000
Fort Schuyler Management Corporation	New Construction Program, NCP12358 - Quad C Cleanroom	140,402
	New Construction Program, NCP12677 - Syracuse Film HUB	7,205
Found Object LLC	Admin, Communications Services for Re	49,090
Fourth Coast, Inc.	New York Sun Program, NY-Sun	45,496
Frank Communications	Innovation Capacity & Business Development, Copywriting and Tech..	3,120
Franzoso Energy Solutions, Inc.	New York Sun Program, NY-Sun	15,211
Fraunhofer USA Inc.	Advanced Buildings, Beh Strategies for Thermostats	5,000
Freedom Solar Inc.	New York Sun Program, NY-Sun	125,884
French Apartments Housing	Multifamily Performance Program, Multifamily	69,600
Friends of Brooklyn Community Board 6	New York Sun Program, Solarize 2016	5,000
	Smart Grid Systems, City of NY Red Hook Brooklyn	55,000
Friends of the Gardenaerial Inc.	Cleaner Greener Communities, CGC40708 - Rochester EcoDistr	4,510
Frontier Abstract and Research Services	Green Jobs Green New York Revolving Loan Fund, Title Company in ..	500
Fund for Public Health in New York, Inc.	Environmental Research, Climate ADP--Health and Energy	68,481
Fund for the City of New York, Inc.	New York Sun Program, Solarize 2016	5,000
Fusion Energy Services LLC	New York Sun Program, NY-Sun	1,560

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FXFOWLE Architects, LLP	Advanced Buildings, Implement Pass. House Standard	17,783
G&M Realty I LLC	Multifamily Performance Program, Multifamily	59,000
Gallagher Bus Service Corp.	New York Sun Program, Commercial/Industrial -	25,418
Garlock Sealing Technologies, LLC	Industrial Process Efficiency Program, Industrial Process Efficiency	310,633
Garner Environmental Services, Inc.	Fuel NY, Fuel NY Portable Emergency Gen	730,657
Gas Technology Institute	Advanced Buildings, Evaluation and Demonstration	49,500
	Advanced Buildings, Market evaluation of VRV GHP	10,000
Gaseteria Oil Corp.	Fuel NY, GSP00464-002 - Gaseteria Oil C	10,000
	Fuel NY, GSP00807-002 - Gaseteria Oil C	10,000
Gateway Elton Street I, LLC	Green Affordable Housing, Multifamily	5,010
	Multifamily Performance Program, Multifamily	18,808
GB Lighting Corp	Existing Facilities Program, EFP2368 - GB Lighting - Bobove	10,323
GC Apple, LLC	New Construction Program, NCP10768 - Applebee's Brooklyn	12,235
GCOM Software Inc.	Admin, Salesforce Implementation	1,669,181
GCP 188th Realty Corp	Fuel NY, GSP00609 - GCP 188th Realty Co	10,000
GCP East Realty Corp.	Fuel NY, GSP00607 - GCP East Realty Cor	10,000
GCP West Realty Corp.	Fuel NY, GSP00608 - GCP West Realty Cor	10,000
GDS Associates, Inc.	Green Jobs Green New York Revolving Loan Fund, GDS - Small Co..	149,810
GE Fuel Cells, LLC	Innovation Capacity & Business Development, Advanced Clean Powe..	1,246,574
GE MDS, LLC	Industrial Process Efficiency Program, Industrial Process Efficiency	9,275
Geatain Engineering PLLC	Flexible Technical Assistance Program, FlexTech Consultant Selection	12,902
General Electric Co. Gobal Research	Industrial Process Efficiency Program, Industrial Process Efficiency	36,415
	Industrial Process Efficiency Program, Resiliency & Emergency Prepa..	131,286
General Mills	Industrial Process Efficiency Program, Industrial Process Efficiency	374,644
General Motors	Industrial Process Efficiency Program, Industrial and Process Efficie	156,288
General Motors of NY Inc.	New York Sun Program, Assignee/Vendor # 37085	56,040
Genesee Valley Transportation Co., Inc	Clean Transportation, CNG Shortline Locomotive Study	39,238
Geo of Camden, LLC	New York Sun Program, NY-Sun	35,067
George E Denmark II	New York Sun Program, NY-Sun	12,300
Geoscape Solar LLC	New York Sun Program, NY-Sun	6,867
Geotherm Inc.	New York Sun Program, NY-Sun	17,442
Gerster Sales & Service, Inc.	Industrial Process Efficiency Program, Industrial Process Efficiency	143,505
GL Energy Solutions	Existing Facilities Program, EFP2541 - GL Energy - 2 Locati	295,389
Global Common, LLC	Smart Grid Systems, Village of Greenport NY Prize	85,000
Global Foundries U.S. Inc.	Industrial Process Efficiency Program, Industrial Process Efficiency	422,322
Go Solar/Green NY, LLC	New York Sun Program, NY-Sun	34,466
	New York Sun Program, RES-New Const & Adv Tech	11,445
Goldman Copeland Associates, P.C.	Flexible Technical Assistance Program, Flexible Technical Assistance	49,614
	Flexible Technical Assistance Program, FlexTech Consultant Selection	39,063
Golub Corporation	New Construction Program, NCP12954 - Price Chopper Clift	119,398
	New Construction Program, NCP12955 - Price Chopper Wilto	118,926
Goodwill of the Finger Lakes, Inc.	New Construction Program, NCP12695 - Goodwill Cicero	3,550
Gotham 360 LLC	Smart Grid Systems, City of New York - East Bronx	20,000
Grant Park II, LP	Green Affordable Housing, Multifamily	5,231
	Multifamily Performance Program, Multifamily	26,153
GRE Fund II Holdco LLC	New York Sun Program, NY-Sun	272,473
Great Brook Solar NRG, LLC	New York Sun Program, NY-Sun	3,566
Green Charge Networks	Existing Facilities Program, EFP2295 - Green Charge Network	48,636
Green City Force	Workforce Development, Career Pathways Training Partn	15,050
Green Energy Corp.	Smart Grid Systems, Village of Ossining, NY Prize	69,488

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Green Hybrid Energy Solutions Inc.	New York Sun Program, NY-Sun	104,874
	New York Sun Program, RES-New Const & Adv Tech	43,000
Green Jobs Training Center	Workforce Development, WF Training Energy Efficiency	151,470
Green Light Energy Conservation	Existing Facilities Program, EFP2118 - Greenlight Energy Co	45,855
	Existing Facilities Program, EFP2129 - Green Light Energy C	36,297
	Existing Facilities Program, EFP2454 - Greenlight Energy Co	121,290
	Existing Facilities Program, EFP2456 - Greenlight Energy Co	209,748
Green Light New York, Inc.	Emerging Technology/Accelerated Commercialization, ETAC - Green ..	37,500
Green Options Buffalo	Clean Transportation, Complete Streets Evaluation	41,601
Green Power Developers, LLC	New York Sun Program, NY-Sun	27,580
Green Power Solutions, Inc.	New York Sun Program, NY-Sun	41,495
Greenhill Contracting Inc.	HOME PERFORMANCE WITH ENERGY STAR, Codes & New Const..	8,000
	HOME PERFORMANCE WITH ENERGY STAR, RES-New Const & ..	24,000
GreenLogic, LLC	New York Sun Program, NY-Sun	104,982
Greenspring Building Systems, Inc.	HOME PERFORMANCE WITH ENERGY STAR, RES-New Const & ..	13,000
Greenwood Millennium Hilton LLC	Existing Facilities Program, EFP CHP project	195,592
Gregory Towers Condominium	Multifamily Performance Program, Multifamily	42,000
Grenadier Realty Corp.	Combined Heat and Power, On-Site Power	138,383
Greyston Bakery	Industrial Process Efficiency Program, Industrial Process Efficiency	13,281
GRID Alternatives Tri-State, Inc.	Other Program Area, Photovoltaic Balance-of-System	24,296
	Workforce Development, Photovoltaic Balance-of-System	24,296
Grid City Electric Corp	New York Sun Program, NY-Sun	16,482
Group-S LLC	Flexible Technical Assistance Program, FlexTech Consultant Selection	89,625
H.E.L.P Development Corp.	Multifamily Performance Program, Multifamily	12,000
Habitat For Humanity, Schenectady County	HOME PERFORMANCE WITH ENERGY STAR, RES-New Const & ..	300
	New York ENERGY STAR Homes, RES-New Const & Adv Tech	2,700
Halcyon, Inc.	New York Sun Program, NY-Sun	130,702
Hamilton Gas & Convenience Inc.	Fuel NY, GSP00681 - Hamilton Gas & Conv	10,000
Hamilton-Fulton-Montgomery BOCES	Workforce Development, Clean Energy Training for HS	32,894
Hand Melon Farm LLC	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	15,745
Harbec Inc	Innovation Capacity & Business Development, Biomimetic 3D Printing	35,000
Harris Beach PLLC	Admin, Outside Counsel	2,864
	Saratoga Technology + Energy Park, Outside Counsel	989
Harris Park Preservation, LLC	Multifamily Performance Program, Multifamily	114,000
Harvest Power, LLC	New York Sun Program, RES-New Const & Adv Tech	7,549
Hazen & Sawyer, P.C.	Environmental Research, Climate & algal blooms	10,376
Health Research, Inc.	Renewable Heat NY, Ultrafine Particle Emissions	128,127
Hebrew Home for the Aged at Riverdale	Combined Heat and Power, Flex Tech - PON1746	16,295
	Flexible Technical Assistance Program, Flex Tech - PON1746	52,705
Henegan Construction Co., Inc.	Admin, Manager &Construction Services	18,933
Henningson, Durham & Richardson PC	Other Program Area, Toward Zero-Net Energy Wastewa	6,753
Hess Corporation	Fuel NY, GSP00050 - Hess Corporation	10,000
HEVO Inc.	Clean Transportation, Advanced Transportation Tech	193,250
Hi-Hope Farms LLC	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	23,762
Hickory Knoll Thoroughbreds	Agriculture Energy Efficiency Program, 1219AGEPS1	4,839
High Peaks Solar	New York Sun Program, NY-Sun	90,754
High Tech Rochester Inc.	Innovation Capacity & Business Development, NYSERDA Entreprene..	88,295
	Innovation Capacity & Business Development, Proof-of-Concept Cent..	391,250
Hill Court Associates LLC	Multifamily Performance Program, Multifamily	185,000
Hillside Associates of Albany LLC	Multifamily Performance Program, Multifamily	133,700

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Hilton Hotels Corporation	Existing Facilities Program, EFP2065-Hilton New York - 1335	59,987
Hilton Village II Apartments LLC	Multifamily Performance Program, Multifamily	233,000
Hitachi Consulting Corporation	Smart Grid Systems, City of White Plains, NY Prize	10,000
Hobart and William Smith Colleges	Environmental Research, Mercury Dynamics in Finger Lak	39,254
Holland & Knight LLP	New York Green Bank, Green Bank Outside Legal Serv.	26,254
Home for Harlem Dowling Inc	Multifamily Performance Program, Multifamily	20,000
Home HeadQuarters, Inc.	Cleaner Greener Communities, CGC38740 - Home Headquarters	1,750
Home Innovation Research Labs, Inc.	Advanced Buildings, Extended Plate & Beam Wall Sys	20,000
Home Leasing, LLC	Multifamily Performance Program, Multifamily	23,400
Homes for New Yorkers, Inc	Green Affordable Housing, Multifamily	102,086
	Multifamily Performance Program, Multifamily	555,782
Honeywell International Inc.	Assisted Home Performance with Energy Star, QA Services HPWES a..	50,691
	Empower, Program Implementation Service	764,380
	HOME PERFORMANCE WITH ENERGY STAR, Program Implement..	260,797
	HOME PERFORMANCE WITH ENERGY STAR, QA Services HPwE..	331,776
	New York ENERGY STAR Homes, QA Services HPwES and NYESH	0
Hope Community, Inc.	Multifamily Performance Program, Multifamily	4,748
Horizon Engineering Assoc. LLP	Flexible Technical Assistance Program, FlexTech Consultant Selection	10,056
Housing Visions Consultants, Inc.	HOME PERFORMANCE WITH ENERGY STAR, RES-New Const & ..	11,500
	New York ENERGY STAR Homes, RES-New Const & Adv Tech	103,500
Howard Wind LLC	Large Scale Renewables, 8th RPS Main Tier Solicitation	87,209
	Large Scale Renewables, Howard Wind Farm	747,093
	Large Scale Renewables, Howard Wind Farm - Expansion	104,054
HST Grand Central LLC	Flexible Technical Assistance Program, FlexTech Program - PON1746	37,198
Hudson Canton, LLC	Multifamily Performance Program, Multifamily	3,429
Hudson City School District	Flexible Technical Assistance Program, FlexTech Program - PON1746	42,586
Hudson Gateway III LLC	Multifamily Performance Program, Multifamily	114,800
Hudson Petroleum Realty LLC	Fuel NY, GSP00661 - Hudson Petroleum Re	9,922
Hudson River Trading	Industrial Process Efficiency Program, Industrial Process Efficiency	328,058
Hudson Solar	New York Sun Program, NY-Sun	220,412
	New York Sun Program, RES-New Const & Adv Tech	9,418
Huhtamaki, Inc.	Industrial Process Efficiency Program, Industrial Process Efficiency	284,665
HV II Associates, LP	Multifamily Performance Program, Multifamily	37,000
Hydronic Specialty Supply	Renewable Heat NY, Smart Thermal Storage System	30,000
Hyland Facility Associates	Large Scale Renewables, RFP 2226-RPS Purchase of RE At	169,801
i3 Electronics, Inc.	Industrial Process Efficiency Program, Industrial Process Efficiency	689,928
I-Square, LLC	Cleaner Greener Communities, CGC32476 - I-Square	25,630
IBC Engineering PC	Flexible Technical Assistance Program, FlexTech Consultant Selection	91,134
Iberdrola Renewables Inc.	Large Scale Renewables, Hardscrabble Wind Energy	552,830
	Large Scale Renewables, Hardscrabble Wind Power LLC	653,155
IBM Corporation	Industrial Process Efficiency Program, Pre-Enc	47,997
Icahn School of Medicine at Mount Sinai	Industrial Process Efficiency Program, Industrial Process Efficiency	164,478
ICC 4 West Main LLC	Multifamily Performance Program, Multifamily	37,125
ICF Resources, LLC	Energy Analysis, Flex Energy Tech Analysis 2	4,302
	Existing Facilities Program, Technical Review and Program S	14,837
	Market Pathways, Impl of Lighting Mid Partners	52,310
IHI Trucking	Fuel NY, GSP00620 - IHI Trucking	9,700
Industrial Economics, Incorporated	Clean Transportation, Evaluation Contractor for T&MD	157,679
	Energy Analysis, Flex Energy Tech Analysis 2	39,939
	Evaluation, Evaluation Contractor for T&MD	675,498

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Contractor	Project Description	Total Expended Amount
Industrial Economics, Incorporated	Smart Grid Systems, Flex Energy Tech Analysis 2	174,613
INF Associates LLC	Existing Facilities Program, EFP2369 - INF Associates - mul	354,492
Infinity Solar Systems, LLC	New York Sun Program, NY-Sun	49,049
Innovated Energy Solutions	New York Sun Program, NY-Sun	7,688
Innovative Energy Systems, LLC	Large Scale Renewables, DANC LFGE	251,576
Institute for Building Technology and Sa	Advanced Energy Codes, Energy Code Training: EPros	129,502
Integral Building & Design, Inc.	Advanced Buildings, RetroFitting for Resiliency	75,000
Intelligent Green Solutions	Renewable Thermal, NY-Sun	917,180
	Renewable Thermal, PV Incentive Program	105,194
	Renewable Thermal, PV Incentvie Program	35,757
	Renewable Thermal, Renewable Heating & Cooling	2,296,971
Interface Solutions, Inc.	Industrial Process Efficiency Program, Industrial Process Efficiency	58,035
International Electronic Machines Corp.,	Clean Transportation, Noncontact Elect. Wheel Gauge	8,337
	Clean Transportation, Optical Wheel Flaw Detection	37,154
International Paper	Energy Analysis, Regional Economic Development	125,000
Interstate Renewable Energy Council, Inc	Workforce Development, Implementation Support for WFD	65,780
Intrinsic Materials, Inc.	Innovation Capacity & Business Development, Advanced Clean Powe..	51,905
	Innovation Capacity & Business Development, EEM of Printed Circuit ..	50,000
Inverters Unlimited, Inc.	New York Sun Program, RES-New Const & Adv Tech	0
Iskalo 5020 Main LLC	New Construction Program, NCP11183 - 5020 Main Street	35,910
Ithaca Carshare, Inc.	Clean Transportation, Low-Carbon Travel Choices	22,283
Ithaca City School District	Flexible Technical Assistance Program, PON 1746 - FlexTech Progra..	98,500
Ithaca Neighborhood Housing Services, In	Cleaner Greener Communities, CGC52863 - Ithaca NHS	315,436
J P Morgan Chase Bank	Existing Facilities Program, EFP2380 - JPMorgan Chase - Mul	54,272
	Existing Facilities Program, EFP2557 - JPMorgan Chase - Mul	211,442
	Industrial Process Efficiency Program, Industrial Process Efficiency	248,082
J Sarna D Rosen Et Al	Multifamily Performance Program, Multifamily	110,950
Jacqueline & Kevin Chamberlain	HOME PERFORMANCE WITH ENERGY STAR, RES-New Const & ..	9,000
James A. Maguire, Jr	Multifamily Performance Program, Multifamily	72,000
James Michalek	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	7,259
Jamestown 47th Avenue LP	Existing Facilities Program, EFP2562-Jamestown, LP - Falchi	30,000
Janson Properties, LLC	Multifamily Performance Program, Multifamily	7,000
JAS 109 Mart, Inc.	Fuel NY, GSP00800 - JAS 109 Mart, Inc.	9,950
Jefferson Community College	Workforce Development, Energy Technology Certificate	18,317
Jefferson County Local Development Corp	Smart Grid Systems, Town of Watertown NY Prize	20,000
Jefferson-Lewis BOCES	Cleaner Greener Communities, CGC42181 - BOCES	26,250
Jeffrey L Kinzler	Clean Transportation, Urban Intermodal Freight Sys	50,508
Jeffrey Park LTD., III, LLC	Multifamily Performance Program, Multifamily	324,800
Jewish Board of Family & Children's Serv	Existing Facilities Program, EFP2427 - Jewish Bd of Family	50,222
Jewish National Fund	New Construction Program, NCP10173 - JNF National Headqu	47,109
JJ Fort Collins LLC	New Construction Program, NCP13070 - Fed Ex	98,005
JJ Unlimited	Clean Transportation, Institutionalizing Integrated	72,219
John M Peila III	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	5,350
John R. Schuyler Farm	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	6,425
John W.Danforth Co, Inc.	New Construction Program, NCP13038 - Meadows Business Pa	15,424
Johnson Controls Inc.	Existing Facilities Program, EFP2067 - Johnson Controls	26,487
	Existing Facilities Program, EFP2274 - Johnson Controls	23,522
	Flexible Technical Assistance Program, FlexTech Consultant Selection	180,527
Kaleida Health	Existing Facilities Program, EFP2540 - Kaleida Health	48,971
Karpman Consulting, LLC	Advanced Energy Codes, Ecode Performance Enforcement	17,000

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Contractor	Project Description	Total Expended Amount
Karpman Consulting, LLC	New Construction Program, Model Quality Assurance for NC	26,495
Kasselmann Solar LLC	New York Sun Program, NY-Sun	212,738
Katonah Lewisboro UFSD	Existing Facilities Program, EFP2452-Katonah-Lewisboro Scho	128,367
KEMA Incorporated	Advanced Buildings, Self-Optimizing NYS Customers	75,000
Kenneth DeBlock Jr.	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	2,670
Keshtgar Enterprises Inc	Fuel NY, GSP00808 - Keshtgar Enterprise	10,000
Kevin Quinn	New York Sun Program, NY-Sun	1,772
Kilowatt Engineering, Inc.	Existing Facilities Program, Technical Review and Program S	37,216
	Industrial Process Efficiency Program, Technical Review and Progra..	13,450
Kilowatt Financial, LLC	New York Sun Program, NY-Sun	9,450
Kingsland Service Station Inc.	Fuel NY, GSP00356 - Kingsland Service S	10,000
Kingsview Homes, Inc.	Multifamily Performance Program, Multifamily	81,250
Kirchhoff Green Energy, LLC	New York Sun Program, NY-Sun	6,038
KLD Engineering, P.C.	Clean Transportation, Connected Eco-Driving Tech	38,180
	Clean Transportation, ICM Framework Suffolk County	19,163
	Clean Transportation, Transportation Resiliency	2,445
KMD-NDH LLC	New Construction Program, NCP11307 - Northern Dutchess	13,299
KPMG LLP	Admin, Audit services	69,500
	New York Green Bank, Audit services	16,500
Kreher's Farm Fresh Eggs, LLC	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	17,652
Kreher's Sunrise Farm, LLC	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	13,784
Krinos Foods, LLC	New Construction Program, NCP12892 - Krinos Bronx Facili	4,210
L&S Energy Services, Inc.	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	15,978
	Anaerobic Digester Program, RPS-CST Quality Assurance/Qual	3,850
	Combined Heat and Power, Technical Review and Program S	5,909
	Emerging Technology/Accelerated Commercialization, Technical Revi..	7,261
	Existing Facilities Program, Technical Review and Program S	8,425
	Flexible Technical Assistance Program, FlexTech Consultant Selection	45,180
	Flexible Technical Assistance Program, Technical Review and Progra..	174,706
	Green Jobs Green New York Revolving Loan Fund, FlexTech Consult..	5,677
	Green Jobs Green New York Revolving Loan Fund, L&S Energy Serv..	172,650
	Industrial Process Efficiency Program, .	9,093
	Industrial Process Efficiency Program, Technical Review and Progra..	40,114
	New Construction Program, L&S-Energy Modeling Partner	4,445
	New Construction Program, Technical Assistance Services.	134,999
	New Construction Program, Technical Review and Program S	16,749
	Renewable Heat NY, Technical Review and Program S	1,761
LaBella Associates, P.C.	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	5,000
	Existing Facilities Program, Technical Review and Program S	45,702
	Flexible Technical Assistance Program, FlexTech Consultant Selection	11,683
	Green Jobs Green New York Revolving Loan Fund, Technical Review..	5,097
	Industrial Process Efficiency Program, Industrial Process Efficiency	12,091
Lamb Farms Inc.	Anaerobic Digester Program, RPS ADG - Lamb Lakeshore Dairy	358,324
Lamont Financial Services Corporation	Green Jobs Green New York Revolving Loan Fund, Office of the Trea..	2,750
	New York Green Bank, Green Bank	1,375
Landview Farms, LLC	New Construction Program, NCP12902 - Landview Farms New	33,564
Lantern Organization Inc.	Multifamily Performance Program, Multifamily	4,123
Lawnhurst Farms	Anaerobic Digester Program, 21426 - Lawnhurst Energy Biodi	234,721
Lawrence Berkeley National Laboratory	Advanced Buildings, Advanced Buildings Technology	38,778
LC DRives	Clean Transportation, Advanced Transportation Tech	118,817

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Contractor	Project Description	Total Expended Amount
LC DRives	Innovation Capacity & Business Development, Wind Turbine Generat..	3,610
Leon Button	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	6,079
Level 3 Communications	Industrial Process Efficiency Program, Industrial Process Efficiency	119,447
Level Agency for Infrastructure, LLC	Smart Grid Systems, City of NY Hunts Point	20,000
Leviton Manufacturing Co, Inc.	Clean Transportation, Electric Vehicle Supply Equipm	73,145
Liberty Petroleum Realty LLC	Fuel NY, GSP00562 - Liberty Petroleum R	9,922
Libolt & Sons, Inc.	HOME PERFORMANCE WITH ENERGY STAR, Codes & New Const..	9,000
LIC Star Inc.	Fuel NY, GSP00273 - LIC Star Inc.	10,000
Lionano Inc.	Clean Transportation, Advanced Transportation Tech	79,946
	Clean Transportation, High Performance Anode Materia	11,095
Little Neck Realty Corp.	Fuel NY, GSP00610 - Little Neck Realty	10,000
Livonia Central School	Flexible Technical Assistance Program, FlexTech - PON1746	45,000
Lloyd Hamilton	Renewables & DER integration, Advanced Deep Energy Retrofits	73,000
Local 32BJ Thomas Shotman Training, Scho	Workforce Development, GJGNY NYS Registered Apprentic	14,855
Lockheed Martin Corporation	Admin, Hotline & Fulfillment 2016	86,200
	Market Pathways, Products Program	28,803
Lockheed Martin Missions System	Smart Grid Systems, EPTD Smart Grid Program	920,000
Lockport Ice Arena & Sports Center, Inc.	New Construction Program, NCP11635 - Lockport Ice Arena	231,921
Lockwood's Greenhouse & Farm LLC	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	21,450
Loeb & Loeb LLP	New York Green Bank, Green Bank Outside Legal Couns	34,976
Long Island High Technology Incubator	Clean Transportation, Clean Energy Business Incubato	295,000
Long Island Progressive Coalition	Green Jobs Green New York Revolving Loan Fund, GJGNY Outreach..	151,256
Lotus Energy, Inc.	New York Sun Program, NY-Sun	8,783
Lotus Management Group NY Inc.	Fuel NY, GSP00690-001 - Lotus Managemen	9,872
	Fuel NY, GSP00690-002 - Lotus Managemen	9,872
	Fuel NY, GSP00690-003 - Lotus Managemen	9,872
	Fuel NY, GSP00690-004 - Lotus Managemen	9,872
	Fuel NY, GSP00690-005 - Lotus Managemen	9,872
	Fuel NY, GSP00690-007 - Lotus Managemen	9,872
	Fuel NY, GSP00690-009 - Lotus Managemen	9,862
Lower Eastside Service Center	Multifamily Performance Program, Multifamily	32,484
Luthin Associates, Inc.	Existing Facilities Program, C&I Buildings Outreach	104,235
Lydall Performance Materials	Industrial Process Efficiency Program, Industrial Process Efficiency	222,937
M/E Engineering, P.C.	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	5,775
	Flexible Technical Assistance Program, FlexTech Consultant Selection	71,388
	Industrial Process Efficiency Program, Technical Review and Progra..	25,325
	New Construction Program, M/E - EMP	8,800
	New Construction Program, Technical Assistance Services	90,226
MacQuesten Construction Management LLC	HOME PERFORMANCE WITH ENERGY STAR, RES-New Const & ..	11,200
	New York ENERGY STAR Homes, RES-New Const & Adv Tech	100,800
Macquesten Development, LLC	Multifamily Performance Program, Multifamily	66,293
Madison House Apartments, LLC	Multifamily Performance Program, Multifamily	99,000
Maguire Enterprises	Existing Facilities Program, EFP2577 - Maguire Enterprises	36,746
Main Broadway LLC	Fuel NY, GSP00037 - Main Broadway LLC	8,248
Malcolm Pirnie, Inc.	Combined Heat and Power, EFP Task Work Orders	8,038
	Existing Facilities Program, EFP Task Work Orders	6,828
	Existing Facilities Program, Existing Facilities Tech Assis	1,906
	Flexible Technical Assistance Program, FlexTech Consultant Selection	1,742
	Fuel NY, EFP Task Work Orders	95,021
	Industrial Process Efficiency Program, EFP Task Work Orders	3,127

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Contractor	Project Description	Total Expended Amount
Malta Development Company Inc	HOME PERFORMANCE WITH ENERGY STAR, RES-New Const & ..	600
	New York ENERGY STAR Homes, RES-New Const & Adv Tech	5,400
Manheim Remarketing Inc.	New York Sun Program, New York Sun Competitive PV Pr	53,855
Mannino Electric, Inc.	New York Sun Program, NY-Sun	4,177
Manufacturers & Traders Trust Co.	Existing Facilities Program, EFP2642 - M&T Bank - NFG	19,738
Maple Housing Development Fund Corp	Multifamily Performance Program, Multifamily	92,000
Mapleview Dairy LLC	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	23,197
	Anaerobic Digester Program, RPS CST ADG - Mapleview Dairy	148,970
Marble River Wind Farm LLC	Large Scale Renewables, Marble River Wind Farm	3,659,966
Marcellus Central School District	Existing Facilities Program, EFP2398 - Marcellus CSD	88,388
Marien-Heim Tower, Inc.	Multifamily Performance Program, Multifamily	182,000
Marine Equities Maple LLC	Multifamily Performance Program, Multifamily	200,000
Marriott International Inc.	New Construction Program, NCP11334 - Edition NY	69,392
Marsh Hill Energy, LLC	Large Scale Renewables, 8th RPS Main Tier Solicitation	644,186
Marshall & Sterling, Inc.	Admin, Property Liability and Other	130,129
Mastercard International	New Construction Program, NCP13139 - MasterCard HQ 3W &	16,208
McAlpin Industries Inc	Industrial Process Efficiency Program, Industrial Process Efficiency	12,512
MD North Realty Corp.	Fuel NY, GSP00606 - MD North Realty Cor	10,000
MD South Realty Corp.	Fuel NY, GSP00605 - MD South Realty Cor	10,000
Meadowlark Gardens Owners Corp	Multifamily Performance Program, Multifamily	86,400
MEG Control Products, LLC	Advanced Buildings, Demo of Solid-State lighting	13,000
Mehta Real Estate LLC	New Construction Program, NCP10549 - 77 E 110th	17,130
Meister Consultants Group, Inc.	Emerging Technology/Accelerated Commercialization, REV CC - Mei..	70,469
	Innovation Capacity & Business Development, Inventory of Supply Si..	216,681
	New York Sun Program, NY-SUN PVBOS Training and Educ	75,148
	Workforce Development, NY-SUN PVBOS Training and Educ	546,004
Memorial Hospital for Cancer & Allied Di	New Construction Program, NCP10642 - Ambulatory Surgery	262,045
Memorial Sloan Kettering Cancer Center	Existing Facilities Program, EFP2108 - Memorial Sloan Kette	278,217
	Flexible Technical Assistance Program, Flex Tech - PON1746	34,200
Mesa Bioenergy Supply, LLC	Cleaner Greener Communities, CGC32404 Reassignment to MESA	118,252
	Renewable Heat NY, RHNY Award Incentive-Richards	11,598
	Renewable Heat NY, RHNY Award Letter & PO- Clark	6,654
	Renewable Heat NY, RHNY Incentive- Nemecek	9,569
Metropolitan College of New York	New Construction Program, NCP11813-MCNY Bronx - OFLT	14,466
Metropool, Inc.	Clean Transportation, Tri-Cities Mobility Challenge	12,826
MHANY	Multifamily Performance Program, Multifamily	33,000
Micatu, Inc.	Innovation Capacity & Business Development, Advanced Clean Powe..	461,512
	Smart Grid Systems, EPTD Smart Grid Round 2	324,773
MicroGen Systems, Inc.	Clean Transportation, Self powered TPMS	95,953
Mill Street Housing, LLC	Multifamily Performance Program, Multifamily	12,600
mindSHIFT Technologies, Inc.	Admin, Website Development	154,763
MJJ Builders Corp	HOME PERFORMANCE WITH ENERGY STAR, Codes & New Const..	22,750
	New York ENERGY STAR Homes, Codes & New Construction	204,750
MJW Technical Services, Inc.	West Valley Development Program, Radiation Protection Support	425,770
MM Family Partnership IV, LP	Multifamily Performance Program, Multifamily	132,000
MNC Realty Corp.	Fuel NY, GSP00604 - MNC Realty Corp.	10,000
Mobile Fleet Inc	Clean Transportation, Battery-based Anti-Idling Sys.	12,290
Modern Energy Technology	Combined Heat and Power, FlexTech Consultant Selection	6,547
	Flexible Technical Assistance Program, FlexTech Consultant Selection	10,805
Mohonasen Central School District	New Construction Program, NCP12899 - Mohonasen Middle Sc	7,295

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Contractor	Project Description	Total Expended Amount
Molloy College	Cleaner Greener Communities, CGC42044 - Molloy College	247,875
Monolith Solar Associates, LLC	New York Sun Program, NY-Sun	590,229
	New York Sun Program, RES-New Const & Adv Tech	450,709
Morgan Cos Management LLC	Multifamily Performance Program, Multifamily	290,000
Morgan Stanley	New Construction Program, NCP11139 - 1585 Restack Projec	50,874
Morris Avenue Apartments, LP	Green Affordable Housing, Multifamily	108,852
	Multifamily Performance Program, Multifamily	181,351
Morrow Farms	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	5,063
Motor Parkway Enterprises Inc.	Fuel NY, GSP00498 - Motor Parkway Enter	9,982
Move Systems, Inc.	Clean Transportation, food truck charging pedestal	39,355
MPI, Inc	Innovation Capacity & Business Development, Transformative Techn..	35,000
Nalge Nunc International Corp.	Industrial Process Efficiency Program, Industrial Process Efficiency	12,655
NanoAnalytics Inc.	Renewable Heat NY, Wood combustion nanoparticles	48,402
Nare Farms	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	6,827
Natale Builders	HOME PERFORMANCE WITH ENERGY STAR, Codes & New Const..	16,000
	HOME PERFORMANCE WITH ENERGY STAR, RES-New Const & ..	39,000
National Baseball Hall of Fame&Museum	Existing Facilities Program, Existing Facilities Program -	16,641
National Oilheat Research Alliance	Renewables & DER integration, Advanced Buildings	53,015
National Oilheat Research Alliance dba	Advanced Buildings, Advanced Venting System for Hi	8,975
National Railroad Passenger Corp.	Existing Facilities Program, EFP1840 - National Railroad	89,553
NationalGrid Energy Management, LLC	New York Sun Program, NY-Sun	50,321
Natural Capitalism Solutions, Inc.	Smart Grid Systems, NY Prize Town of East Hampton	25,000
Nazareth College of Rochester	Existing Facilities Program, EFP2637 - Nazareth College - A	40,475
	New Construction Program, NCP11883 - Wellness and Rehabi	45,024
NECEC Institute	Innovation Capacity & Business Development, Cleantech Commercial..	94,000
Neighborhood Housing Services of Jamaica	Green Jobs Green New York Revolving Loan Fund, Green Jobs Gree..	111,325
Neighborhood Housing Services Staten Isl	Green Jobs Green New York Revolving Loan Fund, Green Jobs Gree..	32,850
NESCAUM	Environmental Research, Performance of Biomass-fired	5,902
	Renewable Heat NY, Mobile Woodsmoke PM Monitoring	6,557
	Renewable Heat NY, Next Gen Test Methods Research	45,011
	Renewable Heat NY, Wood Pellet Standard	39,993
New Buildings Institute, Inc.	Advanced Energy Codes, NYStretch	137,967
New England Waste Services of NY Inc.	Large Scale Renewables, Clinton Co. Landfill	54,978
New Hope View Farm	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	82,781
New School University	Industrial Process Efficiency Program, Industrial and Process Efficie	9,908
New Water Street Corporation	Existing Facilities Program, EFP1689 - New Water St. Corp.	938,131
New West Technologies, LLC.	Clean Transportation, ADVANCED TRANSPORTATION TECHNO	6,396
	Clean Transportation, Hybrid Thermal Energy Storage	1,692
New York Academy of Sciences	Innovation Capacity & Business Development, Innovation and Busine..	8,665
New York City DOT	Clean Transportation, NYC deliverEASE Equip. Support	26,176
New York City Energy Efficiency Corp	Green Jobs Green New York Revolving Loan Fund, Multifamily	25,211
New York Hospital Queens	Existing Facilities Program, EFP2489 - NY Hospital Queens -	121,167
New York Light Energy LLC	New York Sun Program, RES-New Const & Adv Tech	0
New York Medical College	New Construction Program, NCP10837 - New York Medical Co	16,221
New York Network - SUNY	Industrial Process Efficiency Program, Resiliency & Emergency Prepa..	42,344
New York Power Authority	Existing Facilities Program, PON1219EE3	384,010
	Flexible Technical Assistance Program, FlexTech MOU NYSERDA-N..	443,860
New York Power Authority,	Clean Transportation, NYPA PON 2301 EVSE project.	718,490
	Smart Grid Systems, ImpDynamic Perf of NY Pwr Grid	240,000
New York Presbyterian Hospital	Flexible Technical Assistance Program, Flex Tech - PON1746	542,198

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New York Restoration Project	Greening the Bronx, Greening The Bronx	346,663
New York State Marine	Clean Transportation, NYS Canal Marine Freight	859
New York State Solar Farm Inc.	New York Sun Program, NY-Sun	28,152
New York University	Existing Facilities Program, Existing Facilities Program	123,462
	Existing Facilities Program, PON1219EE3	60,278
	Innovation Capacity & Business Development, Clean Tech Transition ..	10,000
Newport Ventures, Inc.	Advanced Buildings, Ultra High R-value using VPT	8,446
	Advanced Energy Codes, Energy Code Training	330,890
Nexant, Inc.	Market Pathways, Behavioral Demonstrations Prog	42,161
Nexant, Incorporated	Emerging Technology/Accelerated Commercialization, Technical Revi..	8,125
	Existing Facilities Program, .	8,814
	Existing Facilities Program, Exidting Facilities Tech Assit	47
	Existing Facilities Program, Technical Review and Program S	156,559
	Flexible Technical Assistance Program, Technical Review and Progra..	146,651
	Industrial Process Efficiency Program, .	60
	Industrial Process Efficiency Program, Technical Review and Progra..	19,856
Niagara Frontier Transportation Authorit	Clean Transportation, Integrated Corridor Management	15,866
Niagara Wind & Solar Inc.	New York Sun Program, NY-Sun	5,184
	Small Wind, Wind Turbine Incentive	151,390
NIC Holding Corp	Data and Markets, NYS Strategic Gasoline Reserve	388,145
Nickels Energy Solutions LLC	New York Sun Program, NY-Sun	8,960
Nixon Peabody LLP	New York Green Bank, Green Bank Outside Legal Serv.	50,269
NMR Group, Inc.	Evaluation, General Eval Assis. Contractor	2,132
	Green Jobs Green New York Revolving Loan Fund, General Eval Ass..	16
Noble Wethersfield Windpark, LLC	Large Scale Renewables, Smart Grid Syst & Dist Eng Int	1,457,458
Noblehurst Farms, Inc.	Anaerobic Digester Program, RPS CST ADG-to-Electricity Dai	255,460
NOHMs Technologies, Inc.	Clean Transportation, Feasibility Study for Electrol	65,164
Norampac, Ind., Inc.	Flexible Technical Assistance Program, FlexTech - PON1746	26,053
	Industrial Process Efficiency Program, Industrial Process Efficiency	59,937
Noresco LLC	Flexible Technical Assistance Program, FlexTech Consultant Selection	163,677
Normandeau Associates, Inc.	Environmental Research, Digital Aerial Baseline Survey	176,500
Normandy Owners Corporation	Multifamily Performance Program, Multifamily	70,500
North 751 Realty Corp	Multifamily Performance Program, Multifamily	52,000
North American Board of Certified Energy	Workforce Development, Workforce Development and Trai	80,500
North Riverdale Merchant and Business As	Cleaner Greener Communities, CGC39588 - Riverdale	48,500
North Shore LIJ Health System	Existing Facilities Program, PON1219EE5	49,706
Northeast Agriculture Technology Corpora	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	7,500
	Flexible Technical Assistance Program, FlexTech Consultant Selection	2,725
Northeast Forests LLC	Environmental Research, Devel Low Moisture Wood Chips	720
Northeast Parent & Child Society, Inc.	Workforce Development, Clean Energy Training for HS	50,129
Northeast Smart Energy, LLC	New York Sun Program, NY-Sun	3,100
Northeast States for Coordinated Air Use	Environmental Research, Energy Related Air Quality	40,668
	Environmental Research, NY climate clearinghouse	54,700
Northeast Treaters of New York, LLC	Industrial Process Efficiency Program, Industrial Process Efficiency	6,159
Northeast Wind Partners II LLC	Large Scale Renewables, Smart Grid Syst & Dist Eng Int	131,538
	Large Scale Renewables, Steel Winds II	330,020
Northern Eagle Beverages Inc	New Construction Program, NCP12297 - Northern Eagle Beve	12,375
Novel Approaches Solar Applications, LLC	New York Sun Program, NY-Sun	17,320
Novorocs Technologies LLC	Innovation Capacity & Business Development, Advanced Clean Powe..	57,761
	Innovation Capacity & Business Development, Synthetic Fuels from FL..	25,000

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Novus Engineering, P.C.	Flexible Technical Assistance Program, FlexTech Consultant Selection	2,829
	New Construction Program, Energy Modeling Partner	10,608
	New Construction Program, NCP TA Services	4,908
NRG Energy, Inc.	Smart Grid Systems, City of Long Beach, NY Prize	85,000
	Smart Grid Systems, City of Yonkers, NY Prize	85,000
	Smart Grid Systems, Town of New Windsor NY Prize	85,000
NRG Residential Solar Solutions, LLC	New York Sun Program, NY-Sun	440,016
	New York Sun Program, RES-New Const & Adv Tech	50,943
NRP Contractors LLC	HOME PERFORMANCE WITH ENERGY STAR, RES-New Const & ..	11,750
	New York ENERGY STAR Homes, RES-New Const & Adv Tech	105,750
NYC & Lower Hudson Valley Clean Communit	Clean Transportation, Battery Lease Feasibility and	10,950
NYC Partnership Housing Dev. Fund Co.	Multifamily Performance Program, Multifamily	181,426
NYS Economic Development Council	Cleaner Greener Communities, EDGE Program Support Services	21,569
	Cleaner Greener Communities, EDGE Territory 1	133,554
	Cleaner Greener Communities, EDGE Territory 2	80,071
NYS Labor Management Cooperation Committ	Workforce Development, WF Training Energy Efficiency	61,790
	Workforce Development, Workforce Development and Trai	10,681
NYS Office of Parks, Recreation and	New York Sun Program, NY-Sun	14,478
NYS Weatherization Directors Association	Workforce Development, WF Training Energy Efficiency	16,176
NYU Hospital Center	Existing Facilities Program, EFP1899 - NYU Langone Medical	134,803
NYU Hospitals Center	New Construction Program, NCP9244 - The Energy Building	82,333
O'Brien & Gere Engineers, Inc.	Flexible Technical Assistance Program, FlexTech Consultant Selection	61,067
O'Connell Electric Company	New York Sun Program, NY-Sun	38,822
Oakvale Construction Co. Ltd.	Large Scale Renewables, Black Brook Hydro	14,700
Oatka Milk Products	Industrial Process Efficiency Program, Industrial Process Efficiency	81,871
OLA Consulting Engineers, P.C.	Combined Heat and Power, FlexTech Consultant Selection	1,538
	Flexible Technical Assistance Program, FlexTech Consultant Selection	36,144
	New Construction Program, NCP TA Services - OLA 20136	501
OLEDWorks LLC	Advanced Buildings, OLED Panel and Luminiare	128,436
	Advanced Buildings, White OLED Light Panels	36,672
	Innovation Capacity & Business Development, Efficient OLED manufa..	266,838
OnForce Solar	New York Sun Program, New York Sun Competitive PV Pr	169,006
	New York Sun Program, NY-Sun	30,632
	New York Sun Program, PV System at ASI Specialties,	286,825
	New York Sun Program, RES-New Const & Adv Tech	21,750
	New York Sun Program, RPS CST Regional Program	384,966
Open Market ESCO LLC	Cleaner Greener Communities, CGC41141 - Sibley Redev.	38,370
Opinion Dynamics Corporation	Evaluation, Commercial Statewide Baseline	72,328
Optimized Thermal Systems Inc.	Advanced Buildings, Energy Storage for Cooling	36,303
Orange and Rockland Utilities, Inc.	Smart Grid Systems, Smart Distribution Automation	513,000
ORE F4 ProjectCo, LLC	New York Sun Program, NY-Sun	47,780
Orleans County Chamber of Commerce	New York Sun Program, Solarize 2016	5,000
Pace University	Cleaner Greener Communities, CGC27893 - Pace Law School	95,512
Pace University Energy & Climate Center	Combined Heat and Power, Logistic Support for CHP	30,248
Pactiv Corp.	Industrial Process Efficiency Program, Industrial and Process Efficie	68,095
Paidge Steel, LLC	New Construction Program, NCP12816 - 59 Paidge Avenue	9,115
Paradise Energy Solutions, LLC	New York Sun Program, NY-Sun	35,560
Park South Tenants Corp.	Multifamily Performance Program, Multifamily	77,250
Park Towers Owners, Inc	Multifamily Performance Program, Multifamily	66,500
Parkadon Development LLC	Multifamily Performance Program, Multifamily	9,600

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Contractor	Project Description	Total Expended Amount
Parkwin Apartments LLC	Multifamily Performance Program, Multifamily	43,000
PARS Auto Service Center Inc.	Fuel NY, GSP00494 - PARS Auto Service C	9,881
Pathfinder Engineers & Architects, LLP	New Construction Program, Technical Assistance Services	9,449
Pathstone Corporation	Cleaner Greener Communities, Green Jobs Green New York	25,467
	Green Jobs Green New York Revolving Loan Fund, Green Jobs Gree..	46,165
Patriot Energy Solutions Corp	New York Sun Program, NY-Sun	6,740
Paul Garrin d/b/a WIFI-NY LLC	New York Sun Program, Solarize 2016	5,000
People United for Sustainable Housing In	Green Jobs Green New York Revolving Loan Fund, Green Jobs Gree..	129,079
Pepsi Cola Bottling Co of NY	Industrial Process Efficiency Program, Industrial Process Efficiency	194,937
Perarson Capital Partners, LLC	Multifamily Performance Program, Multifamily	7,385
PGREF I 1633 Broadway Tower, LP	Existing Facilities Program, Existing Facilities Program -	42,943
Phelps-Clifton Springs CSD	Existing Facilities Program, EFP2595 - Phelps Clifton CSD	47,073
Picker Properties	New York Sun Program, PV System @ Nick Pak	184,744
PJM Environmental Information Services	Large Scale Renewables, PJM GATS Fees Payments	6,329
Polytechnic University,	Innovation Capacity & Business Development, Early Stage Support fo..	57,000
	Innovation Capacity & Business Development, Proof-of-Concept Cent..	640,000
Poseidon Systems, LLC	Clean Transportation, Renewable, Clean Energy and En	24,494
	Innovation Capacity & Business Development, Advanced Clean Powe..	16,500
PosiGen LLC	New York Sun Program, NY-Sun	92,786
Positive Energy NY, LLC	New York Sun Program, NY-Sun	7,280
Potsdam Central School District	New Construction Program, NCP12444 - Potsdam CSD	125,532
Power Management Co., LLC	New York Sun Program, NY-Sun	19,500
Powerlutions, LLC	New York Sun Program, RES-New Const & Adv Tech	33,114
PPD Partners II LLC	Multifamily Performance Program, Multifamily	21,590
PPD Partners LLC	Multifamily Performance Program, Multifamily	66,000
Premium 600 Realty Corp	Multifamily Performance Program, Multifamily	48,000
President Container Group II, LLC	Industrial Process Efficiency Program, Industrial Process Efficiency	41,936
Price Chopper Super Markets	New Construction Program, NCP11340 - Price Chopper Water	37,992
Prism Solar Technologies Inc.	Clean Transportation, Clean Energy Business Growth a	2,000
	Clean Transportation, Innovation Cap & Biz Dev	324,543
Pro-Services Plumbing & Heating Inc	Renewable Heat NY, RHNY Award Letter - Carcatterra	10,749
Project Company Phase I-F, LLC	New York Sun Program, PV System @ FedEx Ground	53,659
Promesa Housing Development Fund Corp	Green Affordable Housing, Multifamily	38,741
	Multifamily Performance Program, Multifamily	53,245
Pterra, LLC	Grid Modernization, FlexTech Consultant Selection	55,750
Public Policy and Education Fund of NY	Cleaner Greener Communities, Green Jobs Green New York Outr	20,593
	Green Jobs Green New York Revolving Loan Fund, Green Jobs Gree..	24,790
Pulsar Properties LLC	Multifamily Performance Program, Multifamily	24,000
Pure Point Energy	New York Sun Program, NY-Sun	15,015
Pyrotek, Inc	Industrial Process Efficiency Program, Industrial Process Efficiency	19,248
Questar III	Workforce Development, PON 2774 Career Pathways	9,911
Quixotic Enterprises, LLC	New York Sun Program, NY-Sun	13,545
Quixotic Systems, Inc.	New York Sun Program, NY-Sun	63,758
	Renewable Thermal, NY-Sun	448,116
QwikSolar, LLC	New York Sun Program, NY-Sun	145,542
	New York Sun Program, RES-New Const & Adv Tech	42,525
R & B Qualtiy Electric, Inc.	New York Sun Program, NY-Sun	5,000
R Roopnarine	Clean Transportation, Switched Reulctance Motor	72,728
R3 Energy Management Audit & Review, LLC	Emerging Technology/Accelerated Commercialization, ETAC-CI Focu..	55,000
	Flexible Technical Assistance Program, FlexTech Consultant Selection	3,500

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Contractor	Project Description	Total Expended Amount
Randy Depew	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	32,075
Rasky Baerlein Strategic Communications	Admin, Communications Services for Re	20,514
Reafield Farms LLC	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	6,251
Real Goods Energy Tech, Inc	New York Sun Program, NY-Sun	9,240
ReEnergy Black River LLC	Large Scale Renewables, Black River Facility	4,447,641
Regeneron Pharmaceuticals Inc.	Industrial Process Efficiency Program, Industrial Process Efficiency	164,431
Regents of the University of Michigan	Environmental Research, Cloudwater Chemistry	4,783
Renovus Energy, Inc.	New York Sun Program, NY-Sun	176,094
Rensselaer Polytechnic Institute	Advanced Buildings, Behavior Research & Energy Dec	48,240
	Advanced Buildings, Luminescent solar concentrator	1,403
	Advanced Buildings, Vibration micropower generator	29,138
	Clean Transportation, Adaptive Traffic System Tool	17,200
	Clean Transportation, Modular Aerial Robots	25,000
	Clean Transportation, Off Hour Delivery Trusted Vend	45,212
	Smart Grid Systems, State Estimation Using PMUs	49,516
Rensselaer Polytechnic Institute-LRC	Advanced Buildings, Desktop Lighting Control	3,000
	Advanced Buildings, EE LED Lighting Controls	3,053
	Advanced Buildings, Facilitating OLEDs in NYS	28,195
	Advanced Buildings, LED Reliability Test Method	21,778
	Clean Transportation, LED Roadway Lighting Demo	16,904
	Emerging Technology/Accelerated Commercialization, LRC ETAC de..	51,800
	Workforce Development, WF Training Energy Efficiency	10,920
Research Foundation of CUNY	Clean Transportation, HPTM Waterborne Transport	3,002
	Clean Transportation, Implementing Ecodriving in NYS	15,939
	Clean Transportation, Social media as incident mgmt	8,712
	Environmental Research, Optical Assessment of CMAQ	8,000
	Workforce Development, Workforce Development	38,762
Research Foundation of SUNY	Clean Transportation, Clean Energy Business Incubato	0
	Energy Analysis, Regional Economic Development	35,262
	Environmental Research, CEHA Delineation	2,315
	Environmental Research, Eco. services/Env. Economics	4,333
	Environmental Research, Xylose from Hot Water Extracts	20,856
	Innovation Capacity & Business Development, Clean Energy Busines..	82,000
	Renewable Heat NY, College Woodstove design team	13,352
	Renewables & DER integration, Materials/Fab dev. for FC	147
	Renewables & DER integration, PV Manufacturing Consortium	75,000
Research Foundation of SUNY (Buffalo)	Clean Transportation, Innovation Cap & Biz Dev	55,000
Research Foundation of The City	Clean Transportation, SunShot NY Rooftop Solar Chall	64,867
	Workforce Development, WF Training Energy Efficiency	67,441
	Workforce Development, Workforce Development and Trai	46,691
Research Into Action, Inc.	Advanced Buildings, Pilot Evaluation Services	7,524
	Evaluation, Process and Market Evaluation	115,071
	Green Jobs Green New York Revolving Loan Fund, Process and Mar..	114,285
River Park Residences, L.P.	Multifamily Performance Program, Multifamily	413,500
River Place II LLC	Combined Heat and Power, Distributed Generation as Comb	15,024
River Road Farm & Greenhouses	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	29,488
Riverside Dairy, LLC	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	27,459
Riverside Special Needs Apartments LP	Multifamily Performance Program, Multifamily	3,832
Robert C. Hassman Jr.	New York Sun Program, NY-Sun	4,095
Robert Derector Associates	Flexible Technical Assistance Program, FlexTech Consultant Selection	2,800

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Contractor	Project Description	Total Expended Amount
Robert Derector Associates	Market Pathways, CRETP - Robert Derector Associ	7,688
Roberts Wesleyan College	New Construction Program, NCP10762 - Roberts Wesleyan Co	37,254
Robinson 1601 Realty Corp	Multifamily Performance Program, Multifamily	98,000
Rochester Institute of Technology	Clean Transportation, Innovation Cap & Biz Dev	30,000
	Clean Transportation, PON 2301, RD 2: MYFLEETDEPT.co	13,054
	Flexible Technical Assistance Program, FlexTech Program	258,459
	Industrial Process Efficiency Program, Industrial Process Efficiency	334,446
	Innovation Capacity & Business Development, Innovation Cap & Biz ..	166,000
Rockledge Hotel Properties, Inc	Flexible Technical Assistance Program, FlexTech Program - PON1746	31,866
Rolling Meadows Farm LLC	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	36,638
Rome Steel Solar, LLC	New York Sun Program, PV System at Rome Strip Steel	273,547
Rosebud Associates LLC	Multifamily Performance Program, Multifamily	336,000
Rosenblum Rubin Property Services, LLC	Saratoga Technology + Energy Park, STEP Property Management Se..	49,239
Ross Solar Group, LLC	New York Sun Program, 28798 RPS CST Regional Program	120,521
	New York Sun Program, NY-Sun	63,609
	New York Sun Program, RPS CST Regional Program	59,345
Royal J Acres	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	51,375
Ruby Mountain, Inc.	Clean Transportation, Biogas for Transportation	19,058
Rural Generation & Wind (Rodney Weaver)	New York Sun Program, NY-Sun	14,310
Rural Ulster Preservation Company	Green Jobs Green New York Revolving Loan Fund, Green Jobs Gree..	142,706
Rustic Village	Multifamily Performance Program, Multifamily	680,000
Rutgers University	Environmental Research, Innovation Cap & Biz Dev	1,278
RXR Realty LLC	Existing Facilities Program, EFP2479 - RXR Realty - Multipl	61,592
Safari Energy LLC	New York Sun Program, New York Sun Competitive PV Pr	500,535
	New York Sun Program, NY-Sun	143,708
	New York Sun Program, PV System @ Diamond Nyack	351,780
	New York Sun Program, RES-New Const & Adv Tech	568,711
	New York Sun Program, Rooftop PV installation	13,809
	New York Sun Program, RPS CST Regional Program	327,544
Sandy Clarkson LLC	Multifamily Performance Program, Multifamily	25,500
Sara Silverstone	Advanced Buildings, Behavior Research & Energy Dec	21,000
SAVD Solar, Inc.	Innovation Capacity & Business Development, Self-Aligning Vertical D..	138,796
Save-A-Watt Conservation LLC	Existing Facilities Program, EFP2539-Save A Watt - Mandarin	112,500
Schenectady County Community College	Flexible Technical Assistance Program, FlexTech - PON1746	26,194
Scott Hymers	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	34,430
Scott Shipley	New York Sun Program, High Performance Bldgs	405
	New York Sun Program, NY-Sun	25,255
	New York Sun Program, RES-New Const & Adv Tech	-405
Scylla Solar LLC	New York Sun Program, NY-Sun	31,718
Sea Bright Solar, LLC	New York Sun Program, NY-Sun	35,397
	New York Sun Program, RES-New Const & Adv Tech	0
Seal & Design, Inc.	Industrial Process Efficiency Program, Industrial Process Efficiency	14,729
Sears Holdings	Existing Facilities Program, EFP2354 - Sears Holding Corp	114,344
SEC Newco, LLC	New York Sun Program, NY-Sun Competitive PV Program	831,462
Seed Renewables Inc.	New York Sun Program, NY-Sun	18,005
Seneca Building of Monroe County, LLC	New Construction Program, NCP12478 - D&C - OFLT	25,195
Seneca Energy II, LLC	Large Scale Renewables, Ontario LFGE	209,976
	Large Scale Renewables, Seneca Energy	1,213,264
Seneca Nation	Smart Grid Systems, Cityof Salamanca Seneca Nation	50,000
Seneca Strategic Consulting, LLC	Cleaner Greener Communities, CGC43425 -Ithaca 2030 District	26,250

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Contractor	Project Description	Total Expended Amount
Sentient Corporation	Innovation Capacity & Business Development, Wind Turbine Blade Lo..	142,314
Services for the UnderServed - Mental He	Multifamily Performance Program, Multifamily	64,600
Seven Springs West LLC	West Valley Development Program, Operations and Maintenance Sup	270,836
Shared Mobility, Inc.	Clean Transportation, Shared Mobility Network	59,800
Sheldon Energy, LLC	Large Scale Renewables, High Sheldon Wind Farm	1,569,836
Shurepower, LLC	Clean Transportation, ADVANCED TRANSPORTATION TECHNO	45,201
Site 2 DSA Owner LLC	Multifamily Performance Program, Multifamily	39,000
Site 5 DSA Owner LLC	Multifamily Performance Program, Multifamily	42,200
Sixty-Six Washington Street, Inc.	Multifamily Performance Program, Multifamily	108,800
Skyline Solar Inc.	New York Sun Program, NY-Sun	46,914
	New York Sun Program, RES-New Const & Adv Tech	11,475
SmartCloud Inc.	Advanced Buildings, FastDR from Comm Bldgs	39,000
Smarter Grid Solutions	Clean Transportation, Feasibility Study of Smart EV	5,398
Smith Engineering PLLC	Flexible Technical Assistance Program, FlexTech Consultant Selection	18,547
Snow Belt Housing Company, Inc.	Multifamily Performance Program, Multifamily	147,039
Snow Economics, Inc.	Industrial Process Efficiency Program, Industrial Process Efficiency	79,531
SoBRO Development Corporation	Multifamily Performance Program, Multifamily	38,908
Social Enterprise and Training Center	Workforce Development, Contract reassignment	96,128
Solar Alchemy, Inc.	New York Sun Program, NY-Sun	10,080
Solar and Wind FX, Inc. (Chris Schaefer)	New York Sun Program, NY-Sun	7,320
Solar Census LLC	Other Program Area, Remote Rooftop Shade Tool	8,975
	Workforce Development, Remote Rooftop Shade Tool	8,975
Solar Development Group LLC	New York Sun Program, NY-Sun	45,825
Solar Energy LLC	New York Sun Program, PV Incentive Program	14,720
	New York Sun Program, RES-New Const & Adv Tech	178,880
Solar Energy Systems, LLC	New York Sun Program, NY-Sun	86,250
	New York Sun Program, RES-New Const & Adv Tech	18,593
Solar Generation, Inc.	New York Sun Program, NY-Sun	75,705
Solar Home NJ	New York Sun Program, NY-Sun	29,741
Solar Liberty Energy Systems, Inc	New York Sun Program, New York Sun Competitive PV Pr	137,414
	New York Sun Program, NY-Sun	397,927
	New York Sun Program, NY-Sun Incentive Program	3,660
	New York Sun Program, PV System @ Wegmans Store 71	99,569
	New York Sun Program, PV System @ Wegmans, 300 Marke	81,696
	New York Sun Program, PV System @ Wegmans, 745 Calki	77,977
	New York Sun Program, PV System @ Wegmans, 1885 Chil	50,280
	New York Sun Program, RES-New Const & Adv Tech	10,710
Solar Maximum LLC	New York Sun Program, NY-Sun	14,920
Solar Project Solutions Inc	New York Sun Program, NY-Sun	20,592
Solar States, LLC	New York Sun Program, NY-Sun	8,060
SolarCity Corporation	New York Sun Program, New York Sun Competitive PV Pr	84,828
	New York Sun Program, NY-Sun	1,357,189
	New York Sun Program, PV System at Millbrook School	313,449
	New York Sun Program, PV System at Onondaga County	249,649
	New York Sun Program, PV System at Onondaga County -	202,250
	New York Sun Program, RES-New Const & Adv Tech	32,559
Solarize Albany Inc.	New York Sun Program, Solarize 2015	5,000
Sonchar LLC	Multifamily Performance Program, Multifamily	70,000
Sophie Paillard Elkin	New Construction Program, NCP98409 - Farmers & Merchants	480
Sorrento Lactalis, Inc.	Industrial Process Efficiency Program, Industrial Process Efficiency	44,801

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Contractor	Project Description	Total Expended Amount
Sound Solar LLC	New York Sun Program, NY-Sun	31,260
Soundview Management Associates, LLC	Multifamily Performance Program, Multifamily	73,500
Source One	Existing Facilities Program, Technical Review and Program S	79,400
South 15th Apartments, LP	Multifamily Performance Program, Multifamily	33,000
South Bronx Development Corp.	Multifamily Performance Program, Multifamily	32,000
Southern Cayuga Central School	New Construction Program, NCP13193 - Southern Cayuga CSD	35,485
Southern Tier Central Regional Planning	Cleaner Greener Communities, CGC28019 - STCRPBD	60,000
	Cleaner Greener Communities, CGC40255 - Cooperative Compreh	4,856
Specialized Packaging Radisson, LLC	Industrial Process Efficiency Program, Industrial Process Efficiency	90,386
SRI International	Innovation Capacity & Business Development, NYS Clean Technologi..	5,000
St. John Fisher College	New Construction Program, NCP12578 - SJFC Integrated Sci	9,738
St. John's Healthcare Corporation	Flexible Technical Assistance Program, FlexTech Program - Pon 1746	9,298
St. Joseph Preservation	Multifamily Performance Program, Multifamily	66,000
St. Joseph's Hospital Health Center	Combined Heat and Power, PON1219EE5	600,000
St. Lawrence University	Smart Grid Systems, St. Lawrence Univ - Canton	20,200
St. Nicks Alliance	Multifamily Performance Program, Multifamily	10,200
Standish Group, LLC	Multifamily Performance Program, Multifamily	10,800
Stantec Consulting Services, Inc.	Existing Facilities Program, Technical Review and Program S	33,582
	Industrial Process Efficiency Program, Industrial Process Efficiency	2,627
	Industrial Process Efficiency Program, Technical Review and Progra..	12,420
	New Construction Program, Technical Assistance Services	13,431
Star Petroleum Management Inc.	Fuel NY, GSP00693 - Star Petroleum Mana	10,000
State University of New York College	Smart Grid Systems, Village of Geneseo NY Prize	96,933
State University of NY @ New Platz	New Construction Program, NCP10072 - Wooster Building (S	84,921
	New Construction Program, NCP12609 - Sojourner Truth Lib	16,755
Staten Island Renewable Energy Corp.	New York Sun Program, NY-Sun	11,730
Steed Energy LLC	New York Sun Program, NY-Sun	1,796
	New York Sun Program, RES-New Const & Adv Tech	51,736
Stephen St. Germain	HOME PERFORMANCE WITH ENERGY STAR, RES-New Const & ..	9,000
Steven Winter Associates, Inc.	Advanced Buildings, Linkage-Less Burner Retrofit	43,498
	Advanced Buildings, Multifamily use of batteries	26,000
	Advanced Buildings, Scale Up Deep Energy Retrofits	20,230
	Emerging Technology/Accelerated Commercialization, Orifice plates i..	23,389
	Existing Facilities Program, Technical Review and Program S	72,014
	Flexible Technical Assistance Program, FlexTech Consultant Selection	158,409
	New Construction Program, SWA - EMP	15,927
	New Construction Program, Technical Assistance Services	32,241
	New Construction Program, Technical Review and Program S	7,874
Smart Grid Systems, Village of Mamaroneck NY Prize	51,920	
Stewart Title Insurance Company	Green Jobs Green New York Revolving Loan Fund, Title Company in ..	2,525
Stoneleigh Housing, Inc	HOME PERFORMANCE WITH ENERGY STAR, RES-New Const & ..	10,100
	New York ENERGY STAR Homes, RES-New Const & Adv Tech	90,900
Stony Creek Energy LLC	Large Scale Renewables, Stony Creek Wind Farm	1,848,514
Strategies for the Global Environment	Clean Transportation, PEV Market Analysis Tool for N	18,762
Strong Oil Co., Inc.	Fuel NY, GSP00505 - Strong Oil Co. Inc.	13,000
Sullivan Solar Garden, LLC	New York Sun Program, PV System @ Sullivan County Co	729,834
Summit Research Labs Inc	Industrial Process Efficiency Program, Industrial Process Efficiency	183,616
Sun Edison, LLC	New York Sun Program, 31335A-Kohl's #1048 Newburgh	137,654
	New York Sun Program, On-Site Power	96,181
Sun Source Technologies	New York Sun Program, NY-Sun	56,417

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Contractor	Project Description	Total Expended Amount
SuNation Solar Systems, Inc.	New York Sun Program, NY-Sun	128,691
Sundog Solar, Inc.	Renewable Thermal, NY-Sun	8,042
	Renewable Thermal, Renewable Heating & Cooling	32,280
	Workforce Development, PON2033-3	4,730
SunE P11C Holdings, LLC	New York Sun Program, 31309A-Kohl's #770 Greece	87,301
	New York Sun Program, 31310A-Kohl's #1079 Auburn	46,312
	New York Sun Program, 31311A-Kohl's #1203 Ithaca	46,008
	New York Sun Program, 31312A-Kohl's #35 Horseheads	44,976
	New York Sun Program, 31313A-Kohls 963 North Amherst	50,592
	New York Sun Program, 31336A-Kohl's #988 Kingston	106,934
	New York Sun Program, 33523A-Kohl's #1113 Amherst	49,487
	New York Sun Program, 33548A-Kohl's #1411 Hudson	57,632
	New York Sun Program, NY Sun PV Program Pr	73,506
	New York Sun Program, PV System @ Kohl's Staten Isla	14,128
SunEdison Holdings Corporation	New York Sun Program, Blue Mountain Middle School	29,076
	New York Sun Program, Buchanan Verplanck School	36,054
	New York Sun Program, Frank Lindsey Elementary Schoo	32,565
	New York Sun Program, Furnace Woods Elementary Schoo	38,380
	New York Sun Program, NY-Sun	20,935
Sungevity Development, LLC	New York Sun Program, NY-Sun	13,870
Sungevity, Inc.	New York Sun Program, NY-Sun	74,449
Sunnova Energy Corp	New York Sun Program, NY-Sun	32,556
SunPower Capital, LLC	New York Sun Program, NY-Sun	1,004,349
	New York Sun Program, PV Incentive Program	5,494
	New York Sun Program, RES-New Const & Adv Tech	256,156
SunRay Power LLC	New York Sun Program, RPS CST Regional Program	132,137
Sunrise Solar Solutions, LLC	New York Sun Program, NY-Sun	258,464
Sunrun Installation Services, Inc	New York Sun Program, NY-Sun	11,083
SunRun, Inc	New York Sun Program, NY-Sun	418,148
	New York Sun Program, RES-New Const & Adv Tech	22,715
Sunthru LLC	Advanced Buildings, Advanced Buildings Technology	33,856
Sunvestment Group LLC	Other Program Area, Group Community PPA	494
	Other Program Area, Sunvestment Community PPA II	29,237
	Workforce Development, Group Community PPA	494
	Workforce Development, Sunvestment Community PPA II	29,237
SUNY - ESF	Advanced Buildings, Advanced Buildings Program	40,000
SUNY Atmospheric Science Research Ctr	Renewables & DER integration, Carbon- electrodes w/ low PGM	14,049
SUNY Canton	Advanced Buildings, Testing of Combustion Performa	18,111
	Environmental Research, Testing of Combustion Performa	2,895
SUNY College of Environmental Science an	Environmental Research, ESF - Hao	2,698
SUNY Oswego	New Construction Program, NCP12907 - Waterbury Residence	6,070
	New Construction Program, NCP98578 - New Science Buildin	40,285
SUNY Plattsburgh	Smart Grid Systems, City of Plattsburgh NY Prize	30,677
SUNY Potsdam	New Construction Program, NCP98588 - SUNY Potsdam Perfor	38,423
SUNY Ulster	Workforce Development, Training, Field Examination Ca	14,738
	Workforce Development, WF Training Energy Efficiency	36,805
Sure Energy, LLC	New York Sun Program, NY-Sun	9,100
Sustainable Energy Advantage, LLC	Energy Analysis, Renewable Portfolio Standard T	202,265
	Environmental Research, Renewable Portfolio Standard T	31,117
	Large Scale Renewables, Renewable Portfolio Standard T	176,612

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Contractor	Project Description	Total Expended Amount
Sustainable Energy Developments Inc.	New York Sun Program, NY-Sun	51,127
Sustainable Performance Consulting, Inc.	New Construction Program, Outrch and Pjct Consulting NCP	1,028,670
Sustainable South Bronx Inc.	Green Jobs Green New York Revolving Loan Fund, Green Jobs Gree..	68,565
Syracuse University	Advanced Buildings, Flame-Assisted Fuel Cell	42,750
	Clean Transportation, Syracuse Transp Alternatives	4,157
	Environmental Research, Accelerated Recovery and Envir	8,010
	Environmental Research, Environmental Research	4,000
	Environmental Research, Estimating Soil Weathering	12,339
	Environmental Research, Marine Mercury Dynamics	15,100
	Environmental Research, Monitoring of NYS fish for Hg	99,623
	Smart Grid Systems, City of Syracuse Near Westside	10,000
T.Y. Lin International	Advanced Energy Codes, Energy Code Support Services	313,193
Tabors Caramanis Rudkevich Inc.	Energy Analysis, Competitive Electricity Market	108,710
TAG Mechanical Systems, Inc.	New York Sun Program, NY-Sun	11,640
Taitem Engineering, P.C.	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	31,500
	Emerging Technology/Accelerated Commercialization, LED Ltg & Cntl..	7,000
	Emerging Technology/Accelerated Commercialization, Technical Revi..	14,177
	Existing Facilities Program, Technical Review and Program S	25,039
	Flexible Technical Assistance Program, FlexTech Consultant Selection	28,002
	Green Affordable Housing, MEPP Quality Assurance Contrac	9,604
	Industrial Process Efficiency Program, Technical Review and Progra..	9,823
	Multifamily Performance Program, MEPP Quality Assurance Contrac	279,464
	New Construction Program, Taitem - EMP	9,843
	New York Sun Program, NY-Sun	56,471
Talen Energy Marketing, LLC	Large Scale Renewables, Locust Ridge Wind Farm	465,736
Tannery Road Solar, LLC	New York Sun Program, PV System at City of Rome	231,098
Tarrytown Snack Mart, Inc.	Fuel NY, GSP00119-002 - Tarrytown Snack	13,000
Tech Valley Talent, LLC	Admin, Staff Augmentation	95,533
TecMarket Works	Evaluation, Performance Management	42,008
Tessy Plastics Corp	Industrial Process Efficiency Program, Industrial Process Efficiency	49,014
Texas A&M	Advanced Buildings, Behavior Research & Energy Dec	24,000
The Associated Blind HDFC	Multifamily Performance Program, Multifamily	61,800
The Association for Rehabilitative Case	Multifamily Performance Program, Multifamily	79,408
The Bridge Inc	Multifamily Performance Program, Multifamily	20,000
The Cadmus Group, Inc.	Evaluation, Quality Assurance Services for	0
	New York Sun Program, Quality Assurance Services for	267,067
	New York Sun Program, RPS-CST Quality Assurance/Qual	26,875
	Renewable Thermal, Quality Assurance Services for	23,744
The Community Builders, Inc.	Multifamily Performance Program, Multifamily	20,400
The Garrick Co., LLC	West Valley Development Program, Probabilistic Evaluation	65,879
The Goldman Sachs Group, Inc.	Existing Facilities Program, EFP2275 - Goldman Sachs HQs -	257,126
The Gunlocke Company	Industrial Process Efficiency Program, Industrial Process Efficiency	2,923
The Levy Partnership, Inc.	Advanced Buildings, EIFS DEEP Retrofits	6,577
	Emerging Technology/Accelerated Commercialization, DHW demand ..	68,993
The Logue Group	West Valley Development Program, Facilitation Services	16,559
The Macchia Group Inc.	Fuel NY, GSP00798 - The Macchia Group I	10,000
	Fuel NY, GSP00801 - The Macchia Group I	9,950
THE MORGAN GROUP	Multifamily Performance Program, Multifamily	36,470
The Neighborhood Center Inc	New Construction Program, NCP12630 - Neighborhood Center	8,086
The Noelle Affordable Housing Corp	Multifamily Performance Program, Multifamily	107,400

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Contractor	Project Description	Total Expended Amount
The Radiant Store	Renewable Heat NY, RHNY PON 3010 Incentive - Beno	5,000
	Renewable Heat NY, RHNY PON 3010 Incentive - Marc	3,890
	Renewable Heat NY, RHNY PON 3010 Incentive - Sant	21,000
	Renewable Thermal, NY-Sun	17,610
	Renewable Thermal, Renewable Heating & Cooling	127,786
	Renewable Thermal, Solar Thermal Incentive	19,672
	Renewable Thermal, Solar Thermal Incentives	12,995
	Renewable Thermal, The Radiant Store - Solar Ther	22,991
The Raymond Corporation	Clean Transportation, Li-Ion for Lift Truck Applicat	48,000
The Research Foundation for the State	Clean Transportation, Stony Brook Energy Company Ini	10,695
	Innovation Capacity & Business Development, Fermentation of Bioma..	4,163
	Renewable Heat NY, Lignocellulosic pellets	48,957
	Renewables & DER integration, Northeastern Chemical Energy S	10,000
The Research Foundation of SUNY (UB)	Advanced Buildings, Wood Burning Hydronic Heaters	77,634
The Research Foundation of SUNY at Bing	Innovation Capacity & Business Development, Ultraviolet and Electro..	10,000
The Sanborn Map Company, Inc.	West Valley Development Program, High Resolution LIDAR	120,347
The Townsend House Corporation	Multifamily Performance Program, Multifamily	23,750
The Trustees of Columbia University	Environmental Research, Buildings Climate Adaptation	46,787
The Uniland Partnership of Delaware LP	New Construction Program, NCP13125 - 490 CBP Ph2	10,250
The Vertex Companies, Inc.	Advanced Buildings, LIPA tracer gas technology	2,679
Theodore Theodoropoulos	New York Sun Program, NY-Sun	13,244
	New York Sun Program, RES-New Const & Adv Tech	2,625
Thermo Control Heating Systems Ltd.	Advanced Buildings, Thermo Control WB600-C Dual St	8,417
	Environmental Research, Thermo Control WB600-C Dual St	12,583
ThinkEco, Inc.	Market Pathways, Behavioral Demonstrations Prog	31,875
Third Power LLC	Innovation Capacity & Business Development, Advanced Clean Powe..	10,370
Third Residential Ecovillage Experience	HOME PERFORMANCE WITH ENERGY STAR, Codes & New Const..	14,500
	HOME PERFORMANCE WITH ENERGY STAR, RES-New Const & ..	28,000
Thomas E. Clatterbuck	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	4,124
Thornton Tomasetti, Inc.	New Construction Program, Technical Assistance Services	5,916
Three Star Service Center Inc.	Fuel NY, GSP00410 - Three Star Service	13,000
Throgs Neck Petro Realty LLC	Fuel NY, GSP00311 - Throgs Neck Petro R	9,872
Tilcon NY, Inc.	Industrial Process Efficiency Program, Industrial Process Efficiency	35,993
Time Warner Cable Enterprises, LLC	Industrial Process Efficiency Program, Industrial Process Efficiency	75,245
TM Montante Solar Developments, LLC	New York Sun Program, NY-Sun	61,521
	New York Sun Program, RES-New Const & Adv Tech	369,235
TM Orchard Park Residential Partners LP	Multifamily Performance Program, Multifamily	84,000
Tompkins, County of	Smart Grid Systems, Village of Lansing NY Prize	29,314
Town of Babylon	Cleaner Greener Communities, CGC32035 - Town of Babylon	8,023
Town of Batavia	Cleaner Greener Communities, CGC31078 - Town of Batavia	53,000
Town of Cortlandt	Cleaner Greener Communities, CGC27674 - Town of Cortlandt	78,468
Town of East Hampton	Smart Grid Systems, Town of E. Hampton NY Prize	80,000
Town of Franklin	New York Sun Program, Solarize 2016	5,000
Town of Highlands Board of Education	Flexible Technical Assistance Program, FlexTech Program - PON1746	28,293
Town of Huntington	Smart Grid Systems, Town of Huntington NY Prize	100,000
Town of Marcy	Cleaner Greener Communities, CGC41854 - Town of Marcy	7,388
Town of North Hempstead	New York Sun Program, Solarize 2016	5,000
	Smart Grid Systems, Town of North Hempstead	20,000
Town of Southampton	New York Sun Program, Solarize 2016	5,000
	Smart Grid Systems, Town of Southampton NY Prize	99,900

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Contractor	Project Description	Total Expended Amount
Town of Southport	Cleaner Greener Communities, CGC30783 - Town of Southport	60,000
Town of Springwater	Cleaner Greener Communities, CGC29614 - Town of Springwater	7,331
Town of Ulysses	Cleaner Greener Communities, CGC39053 - Town of Ulysses	3,750
Trane	Existing Facilities Program, EFP2320 - Kendall CSD	86,424
	Existing Facilities Program, EFP2392 - Trane; Poughkeepsie	47,539
TransCore ITS LLC	Clean Transportation, Continuing the ICSS Deployment	5,054
	Clean Transportation, Green Traffic Control Cabinet	7,289
Transit Wireless	Industrial Process Efficiency Program, Industrial Process Efficiency	25,000
Transparent Materials	Innovation Capacity & Business Development, Transformative Tech f..	25,000
Transportation Power, Inc.	Innovation Capacity & Business Development, Advanced Clean Powe..	150,000
TRC Companies, Inc.	Existing Facilities Program, Existing Facilities Tech Assis	1,829
TRC Energy Services	Advanced Buildings, Technical Review and Program S	10,663
	Existing Facilities Program, Technical Review and Program S	170,206
	Flexible Technical Assistance Program, FlexTech Consultant Selection	58,688
	Flexible Technical Assistance Program, Technical Review and Progra..	117,255
	Green Affordable Housing, MF Energy Perf Portfolio Imple	22,904
	Green Jobs Green New York Revolving Loan Fund, TRC - Small Com..	239,050
	Industrial Process Efficiency Program, Industrial Process Efficiency	2,140
	Industrial Process Efficiency Program, Technical Review and Progra..	14,907
	Multifamily Performance Program, MF Energy Perf Portfolio Imple	973,031
	Renewable Heat NY, Technical Review and Program S	126,369
TRC Engineers, Inc.	Smart Grid Systems, Village of Endicott NY Prize	33,979
	Green Affordable Housing, Low/Moderate Income	213
	Green Affordable Housing, Multifamily	14
	Multifamily Performance Program, Low/Moderate Income	3,920
Trees New York	Multifamily Performance Program, Multifamily	33,612
	Greening the Bronx, Greening The Bronx	164,514
Trevor Day School	New Construction Program, NCP12827 - Trevor Day School A	15,341
Tribeca Equity Partners LP	Multifamily Performance Program, Multifamily	352,000
Trinity Heating & Air, Inc.	New York Sun Program, NY-Sun	56,629
	New York Sun Program, RES-New Const & Adv Tech	10,225
Trinity Park Apartments, L.P.	Multifamily Performance Program, Multifamily	8,250
True Colors Bronx HDFC	Multifamily Performance Program, Multifamily	18,600
True Energy Solutions	HOME PERFORMANCE WITH ENERGY STAR, Meadow Brook Nort..	98,912
	HOME PERFORMANCE WITH ENERGY STAR, Viking Sweden Apar..	82,418
Trump 40 Wall LLC	Flexible Technical Assistance Program, Flex Tech - PON1746	247,233
Trust for Conservation Innovation	Advanced Energy Codes, Energy Code Support Services	53,529
Tudor Heights Apartments LLC	Multifamily Performance Program, Multifamily	40,000
Tungsten Sources, LLC	Innovation Capacity & Business Development, Transformative Techn..	45,000
TurnKey Internet, Inc.	Industrial Process Efficiency Program, Industry Process Efficiency	242,500
Two Bridges Neighborhood Council, Inc.	Smart Grid Systems, City of NY Two Bridges	45,000
Two Plus Four Construction Co., Inc.	HOME PERFORMANCE WITH ENERGY STAR, RES-New Const & ..	22,900
	New York ENERGY STAR Homes, RES-New Const & Adv Tech	206,100
U.S. Geological Survey (Troy).	Environmental Research, Acid Deposition and Mercury	48,500
U.S. Green Building Council, NY Chapter	Advanced Energy Codes, Energy Code Training: A/Es	209,973
U.S. Salt LLC	Industrial Process Efficiency Program, Industry Process Efficiency	911,955
Udderly Better Acres	Agriculture Energy Efficiency Program, AEPP - R749 Udderly Better A..	57,328
United Hebrew of New Rochelle	New Construction Program, NCP12511 - Willow Gardens/Mead	13,435
United Semiconductors, LLC	Advanced Buildings, Advanced Buildings Technology	52,850
United Wind Project I, LLC	Small Wind, Wind Turbine Incentive	714,937

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Contractor	Project Description	Total Expended Amount
United Wind, Inc.	Small Wind, Wind Turbine Incentive	182,163
University at Albany	New Construction Program, NCP10120 - SUNY Albany Life Sc	113,669
University of Rochester	Advanced Buildings, SuperWicking Materials for A/C	73,459
	Industrial Process Efficiency Program, Industrial Process Efficiency	162,865
	New Construction Program, NCP11125 - Golisano Child	220,000
Upstate Alternative Energy	New York Sun Program, NY-Sun	5,651
Urban Electric Power, LLC	Smart Grid Systems, 1MWh Peak-Shaving Battery	201,157
US Energy Concierge Inc	New York Sun Program, NY-Sun	9,450
US Green Building Council, New York Cha	Workforce Development, WF Training Energy Efficiency	124,951
US Light Energy LLC	New York Sun Program, NY-Sun	12,320
USGS National Center MS270	Environmental Research, ALTM fish assemblage	31,792
Utica College	New Construction Program, NCP13071 - Utica College Sport	30,982
V&R Energy Systems Research, Inc.	Smart Grid Systems, Advanced State Estimation	100,000
Van Ernst Refrigeration Sauders Store In	New Construction Program, NCP12453 - Sauders Store Inc	25,895
Vandale Motors Inc.	Fuel NY, GSP00599 - Vandale Motors Inc.	9,500
Vansridge Farm	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	109,313
Varta Microbattery, Inc	Clean Transportation, Advanced Battery Storage Syste	66,500
Venture Farms LLC	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	40,362
Venture Home Solar LLC	New York Sun Program, NY-Sun	5,886
Verizon Sourcing LLC	Large Scale Renewables, 8th RPS Main Tier Solicitation	84,062
Versar, Inc	Existing Facilities Program, Technical Review and Program S	358
Vidaris, Inc.	Advanced Energy Codes, Technical Assistant Services..	3,604
	Flexible Technical Assistance Program, FlexTech Consultant Selection	29,146
	New Construction Program, High Performance Bldgs	9,056
	New Construction Program, Technical Assistant Services..	409,836
Viking Solar, Inc.	New Construction Program, Vidaris - EMP	7,125
	Renewable Thermal, Renewable Heating & Cooling	36,745
	Smart Grid Systems, Village of Arcade NY Prize	28,934
Village of Arcade	Smart Grid Systems, Village of Arcade NY Prize	28,934
Village of Bath Electric Gas &	Smart Grid Systems, Bath Electric Gas & Water	40,677
Village of Croton-on-Hudson	Smart Grid Systems, Village of Croton-On-Hudson	69,488
Village of East Aurora	New Construction Program, NCP11580 - East Aurora Central	6,745
Village of Freeport	Smart Grid Systems, Village of Freeport NY Prize	100,000
Village of Irvington	Smart Grid Systems, Village of Irvington NY Prize	64,000
Village of Malone	Smart Grid Systems, Village of Malone NY Prize	100,000
Village of Nyack	Cleaner Greener Communities, CGC42087 - Village of Nyack	128,029
Village of Rockville Centre	Smart Grid Systems, Village of Rockville Centre	20,000
Village of Tupper Lake	Energy Analysis, Tupper Lake District Heat	40,000
Village of Wappinger Falls	Smart Grid Systems, Village of Wappingers Falls	20,000
Vincents Heating and Fuel Service, LLC	Cleaner Greener Communities, CGC37964 - Pellet Hub	341,075
	Environmental Research, Pneumatic Wood Pellet Truck	975
Viola Homes Inc.	New York Sun Program, NY-Sun	35,203
Vistex Composites, LLC	Innovation Capacity & Business Development, adv thermoplastic mfg	60,500
Vivint Solar	New York Sun Program, NY-Sun	5,200
Vote Solar	Other Program Area, Clean Transportation	17,322
	Workforce Development, Clean Transportation	17,322
Waldron Engineering of New York, P.C.	Combined Heat and Power, FlexTech Consultant Selection	15,394
Wappingers Central School District	New Construction Program, NCP11951 - Wappingers CSD Bus	9,816
Wappingers Falls Hydroelectric, LLC	Large Scale Renewables, RPS Program Purchase of Renewa	3,020
Warner Energy, LLC	New York Sun Program, NY-Sun	6,195
Warren Energy Engineering, LLC	Existing Facilities Program, Technical Review and Program S	3,957

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Contractor	Project Description	Total Expended Amount
Warren Pinnacle Consulting, Inc.	Environmental Research, SLAMM adaptation	78,617
Washington Gas Energy Systems Inc.	New York Sun Program, Competitive PV Program - Macy'	100,255
	New York Sun Program, Hollingsworth & Vose	390,644
	New York Sun Program, New York Sun Competitive PV Pr	455,811
	New York Sun Program, Town of Walworth	123,214
Watchtower Bible &	New Construction Program, NCP98809 - 'E' Residence	57,518
	New Construction Program, NCP98811 - Services Building	32,216
Water Environment Research Foundation	Environmental Research, Cofunding energy R&D projects.	50,000
Waterfront New York	New Construction Program, NCP11877 - WFNy Terminal Store	10,170
Waterfront NY Realty Corp	Existing Facilities Program, EFP2401 - Waterfront New York	136,699
Watertown, City of	Energy Analysis, Sludge permitting and design	186,792
Weaver Wind Energy, LLC	Innovation Capacity & Business Development, Weaver Wind 15kW W..	83,372
Weeels Inc.	Clean Transportation, High Occupancy Taxi Rides	31,810
Welch-Allyn, Inc.	Industrial Process Efficiency Program, Resiliency & Emergency Prepa..	15,177
Wendel Energy Services, LLC	Existing Facilities Program, Technical Review and Program S	6,769
	Flexible Technical Assistance Program, FlexTech Consultant Selection	8,139
Wendel WD Architecture, Engineering,	Anaerobic Digester Program, RPS-CST Quality Assurance/Qual	24,976
West 30th Highline Holdings, LLC c/o Rel	New Construction Program, NCP10125 - The Abington (West	54,701
West Harlem Environmental Action, Inc.	New York Sun Program, Solarize 2016	5,000
West Park Ave Service Ctr Inc.	Fuel NY, GSP00602 - West Park Ave Servi	10,000
West Side Federation for Senior & Suppor	Multifamily Performance Program, Multifamily	81,000
Westgate House Inc.	Multifamily Performance Program, Multifamily	63,500
Westhab, Inc.	Green Affordable Housing, Multifamily	40,813
	Multifamily Performance Program, Multifamily	20,000
Wil-Roc Farms	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	40,679
Wildcat Solar, LLC	New York Sun Program, NY-Sun	1,281
Wildlife Conservation Society	Environmental Research, Environmental R&D Writing	31,533
Wilklow Orchards LLC	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	13,703
Willdan Energy Solutions	Emerging Technology/Accelerated Commercialization, Technical Revi..	7,443
	Existing Facilities Program, C&I Outreach	20,419
	Existing Facilities Program, Technical Review and Program S	122,988
	Flexible Technical Assistance Program, FlexTech Consultant Selection	12,750
	Industrial Process Efficiency Program, C&I Outreach	54,660
	Industrial Process Efficiency Program, Industrial Process Efficiency	49,379
	Industrial Process Efficiency Program, Technical Review and Progra..	264,589
	Smart Grid Systems, Tarrytown Community NY Prize	30,867
Smart Grid Systems, Village of Sleepy Hollow	28,867	
Willet Dairy, LLC	Anaerobic Digester Program, ADG-to-Electricity Program	130,078
William Edward Waldroff	Agriculture Energy Efficiency Program, AEEP - Pre Enc	6,428
Willows PFA LLC	Multifamily Performance Program, Multifamily	123,500
Wincoram Commons Phase II, LLC	New York ENERGY STAR Homes, RES-New Const & Adv Tech	117,000
Windhorse Gas Station Inc.	Fuel NY, GSP00513 - Windhorse Gas Stati	10,000
WM Group Services, LLC	Flexible Technical Assistance Program, FlexTech Consultant WMGro..	33,469
Wolfe Landing, Llc	HOME PERFORMANCE WITH ENERGY STAR, Codes & New Const..	2,300
	New York ENERGY STAR Homes, Codes & New Construction	20,700
Women In Need, Inc.	Multifamily Performance Program, Multifamily	10,500
Woods Hill Farm LLC	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	4,221
World Kitchen, LLC	Flexible Technical Assistance Program, FlexTech Program - Pon 1746	44,990
	Industrial Process Efficiency Program, Industrial Process Efficiency	83,338
WSP USA Corp.	New Construction Program, Technical Assistance NCP	6,900

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Contractor	Project Description	Total Expended Amount
Wythe Properties LLC	New Construction Program, NCP98093 - 373 Wythe Avenue (3	11,725
Xand Corporation	Industrial Process Efficiency Program, Industrial Process Efficiency	84,792
XC Associates, Inc.	Innovation Capacity & Business Development, Smart Wind Turbine Bl..	107,973
Xerox Corp	Industrial Process Efficiency Program, Industrial Process Efficiency	20,458
	Innovation Capacity & Business Development, Roll2Roll Mfg of Teflon..	14,000
Xylem Water Systems USA, LLC	Industrial Process Efficiency Program, Industrial Process Efficiency	34,755
You Save Green Incorporated	New York Sun Program, NY-Sun	72,359
ZEV Technologies, Inc.,	Clean Transportation, PEV Enabling Technology Demons	12,127
Zone 5, Inc.	Admin, RFQL and RFP 1224	31,951
Zotos International, Inc.	Large Scale Renewables, 8th RPS Main Tier Solicitation	13,440
Grand Total		160,510,878

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Contractor	Project Description	Total Expended Amount
1 Stop Camera & Electronics Ctr	Empower, Single Family Residential	18,911
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	16,138
A Johnson Home Comfort, Inc.	Assisted Home Performance with Energy Star, Single Family Residential	2,524
	Empower, Single Family Residential	142,000
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	83,363
	Renewable Heat NY, Single Family Residential	1,500
Action for a Better Community, Inc.	Empower, Single Family Residential	259,503
Adirondack Community Action	Empower, Single Family Residential	34,144
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	10,766
Adirondack North Country Association	Corporate Marketing, Consumer Serv & Events Managem	525
ADR Home Energy Solutions LLC.	Empower, Single Family Residential	78,600
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	65,017
Advanced Energy Systems of NY, LLC	Empower, Single Family Residential	17,138
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	8,264
Albany Community Action Partnership	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	10,973
All Star Energy, Inc.	Assisted Home Performance with Energy Star, Single Family Residential	14,178
	Empower, Single Family Residential	76,310
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	266,954
	Market Pathways, Single Family Residential	6,358
American AWS Corp.	Assisted Home Performance with Energy Star, Single Family Residential	2,806
	Empower, Single Family Residential	44,644
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	94,638
Analytic Energy, LLC	Assisted Home Performance with Energy Star, Single Family Residential	1,000
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	15,558
	Workforce Development, Workforce Dev & Train	795
Association for Energy Affordability, In	Assisted Home Performance with Energy Star, Single Family Residential	155
	Empower, Single Family Residential	97,434
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	27,704
Aztech Geothermal, LLC	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	4,775
	Market Pathways, Single Family Residential	918
Barrett Capital Corporation	Green Jobs Green New York Revolving Loan Fund, Products	788
Belmonte Builders	HOME PERFORMANCE WITH ENERGY STAR, Codes & New Construction	3,900
	New York ENERGY STAR Homes, Codes & New Construction	35,100
Bensol Tech LLC	Assisted Home Performance with Energy Star, Single Family Residential	665
	Empower, Single Family Residential	17,145
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	43,233
	Market Pathways, Single Family Residential	1,000
Betlem Service Corporation	Assisted Home Performance with Energy Star, Single Family Residential	344
	Empower, Single Family Residential	21,633
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	11,593
Bielmeier Builders	HOME PERFORMANCE WITH ENERGY STAR, Codes & New Construction	300
	HOME PERFORMANCE WITH ENERGY STAR, RES-New Const & Adv Tech	300
	Market Pathways, Codes & New Construction	278
	New York ENERGY STAR Homes, Codes & New Construction	2,700
	New York ENERGY STAR Homes, RES-New Const & Adv Tech	2,700
Black Cherry Services Group, Inc.	Assisted Home Performance with Energy Star, Single Family Residential	238
	Empower, Single Family Residential	17,962
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	5,258
BlueOx Corporation	Assisted Home Performance with Energy Star, Single Family Residential	394
	Empower, Single Family Residential	54,800
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	18,407

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Contractor	Project Description	Total Expended Amount
BlueOx Corporation	Market Pathways, Single Family Residential	168
BPTC	HOME PERFORMANCE WITH ENERGY STAR, Codes & New Construction	2,400
	New York ENERGY STAR Homes, Codes & New Construction	5,400
Breathe Easy of CNY Inc.	Empower, Single Family Residential	34,607
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	30,317
	Renewable Heat NY, Single Family Residential	4,000
BrightHOME Energy Solutions, LLC	Assisted Home Performance with Energy Star, Single Family Residential	1,238
	Empower, Single Family Residential	8,960
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	153,080
Bruni & Campisi Energy &	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	93,269
Buffalo Energy, Inc.	Admin, Single Family Residential	24,631
	Assisted Home Performance with Energy Star, Single Family Residential	96
	Empower, Single Family Residential	60,307
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	122,752
Building Efficiency Resources	HOME PERFORMANCE WITH ENERGY STAR, Codes & New Construction	3,370
	New York ENERGY STAR Homes, Codes & New Construction	23,130
Building Performance Consulting of NY	Empower, Single Family Residential	3,278
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	7,891
C&R Housing Inc.	Admin, Single Family Residential	1,802
	Empower, Single Family Residential	10,731
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	5,548
Capital Heat	Assisted Home Performance with Energy Star, Single Family Residential	2,385
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	154,277
Cayuga/Seneca Community Action Agency, I	Empower, Single Family Residential	22,201
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	484
Central Heating & Cooling, Inc.	Assisted Home Performance with Energy Star, Single Family Residential	563
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	4,988
Central Hudson Gas and Electric Corporat	Green Jobs Green New York Revolving Loan Fund, Products	336
	Green Jobs Green New York Revolving Loan Fund, Single Family Residential	11,219
Chautauqua Opportunities, Inc.	Admin, Single Family Residential	494
	Assisted Home Performance with Energy Star, Single Family Residential	621
	Empower, Single Family Residential	73,040
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	16,320
Clover Heating & Cooling	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	5,656
Columbia Opportunities Inc.	Assisted Home Performance with Energy Star, Single Family Residential	241
	Empower, Single Family Residential	16,973
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	16,788
Comfort Home Improvement	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	8,040
Comfort Home Improvement - Syracuse	Assisted Home Performance with Energy Star, Single Family Residential	1,080
	Empower, Single Family Residential	29,694
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	26,046
Comfort Home Improvement Co.	Assisted Home Performance with Energy Star, Single Family Residential	922
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	12,295
Commission on Economic Opportunity	Empower, Single Family Residential	113,498
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	27,647
Community Action of Orleans and Genesee	Empower, Single Family Residential	4,710
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	3,932
Community Action Planning Council of Jef	Empower, Single Family Residential	13,845
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	71,954
Community Development Corporation of Lon	Empower, Single Family Residential	50,456
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	14,298

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Contractor	Project Description	Total Expended Amount
Concord Servicing Corporation	Green Jobs Green New York Revolving Loan Fund, Single Family Residential	485,977
Consolidated Edison Company	Green Jobs Green New York Revolving Loan Fund, Products	1,746
	Green Jobs Green New York Revolving Loan Fund, Single Family Residential	46,661
Construction Pros, Inc.	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	21,606
Cornell Cooperative Extension of Albany	Empower, Single Family Residential	11,767
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	25,765
Cornerstone Energy Services	Assisted Home Performance with Energy Star, Single Family Residential	500
	Empower, Single Family Residential	43,098
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	53,424
Cortland County Community Action Program	Empower, Single Family Residential	9,173
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	27,701
Cowles Company of Northern New York, Inc	Assisted Home Performance with Energy Star, Single Family Residential	1,437
	Empower, Single Family Residential	124,667
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	36,734
	Renewable Heat NY, Single Family Residential	1,500
Crossfield Home Energy Solutions	Assisted Home Performance with Energy Star, Single Family Residential	963
	Empower, Single Family Residential	10,885
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	103,214
	Market Pathways, Single Family Residential	4,662
Crown Heights Jewish Community Council	Empower, Single Family Residential	45,438
D.A. Goudreau, Inc	Empower, Single Family Residential	43,550
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	45,790
Dave Feldman Heating & Cooling, Inc.	Assisted Home Performance with Energy Star, Single Family Residential	613
	Empower, Single Family Residential	11,725
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	3,827
David Homebuilders, Inc.	HOME PERFORMANCE WITH ENERGY STAR, Codes & New Construction	3,900
	HOME PERFORMANCE WITH ENERGY STAR, RES-New Const & Adv Tech	1,200
	New York ENERGY STAR Homes, Codes & New Construction	35,100
	New York ENERGY STAR Homes, RES-New Const & Adv Tech	10,800
Degraff Bloom Custom Builders, Inc.	HOME PERFORMANCE WITH ENERGY STAR, Codes & New Construction	1,200
	Market Pathways, Codes & New Construction	888
	New York ENERGY STAR Homes, Codes & New Construction	10,800
Delaware Opportunities, Inc.	Empower, Single Family Residential	2,135
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	14,498
DH Berry Inc.	Assisted Home Performance with Energy Star, Single Family Residential	193
	Empower, Single Family Residential	9,613
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	17,072
	Market Pathways, Single Family Residential	98
Diamond Heating and Cooling, LLC	Empower, Single Family Residential	5,450
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	10,011
Drumriver Consultants, Inc.	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	11,578
Eco Heating & Cooling Inc	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	16,229
	Market Pathways, Single Family Residential	213
Economic Opportunity Program	Empower, Single Family Residential	42,646
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	10,440
EGG Energy Systems, Inc	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	8,908
	Renewable Heat NY, Single Family Residential	1,500
Energy Answers	Empower, Single Family Residential	33,070
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	11,920
Energy Conservation Specialists LLC	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	8,768
Energy Efficiency Solutions NY LLC	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	5,097

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Contractor	Project Description	Total Expended Amount
Energy Efficiency Solutions NY LLC	Workforce Development, Workforce Dev & Train	600
Energy Evolution Inc	Assisted Home Performance with Energy Star, Single Family Residential	1,000
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	29,619
Energy Management Solutions, LLC	Assisted Home Performance with Energy Star, Single Family Residential	125
	Empower, Single Family Residential	8,526
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	66,150
Energy Management Technical Services Inc	Empower, Single Family Residential	11,973
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	9,775
Energy Savers Inc	Assisted Home Performance with Energy Star, Single Family Residential	4,426
	Empower, Single Family Residential	87,132
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	91,496
	Market Pathways, Single Family Residential	1,325
Energy Saving Solutions, LLC	Admin, Single Family Residential	16,623
	Assisted Home Performance with Energy Star, Single Family Residential	1,350
	Empower, Single Family Residential	131,022
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	59,291
	Market Pathways, Single Family Residential	500
EnergyPro Insulation, LLC	Assisted Home Performance with Energy Star, Single Family Residential	1,369
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	4,240
	Market Pathways, Single Family Residential	500
Fair Hands LLC	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	7,108
	Market Pathways, Single Family Residential	500
Franzoso Energy Solutions, Inc.	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	10,889
Fred F. Collis & Sons, Inc.	Assisted Home Performance with Energy Star, Single Family Residential	5,904
	Empower, Single Family Residential	68,490
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	34,568
	Market Pathways, Single Family Residential	489
Fulmont Community Action Agency Inc.	Empower, Single Family Residential	27,532
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	37,257
Gaia Sharbel Energy Contracting	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	7,382
Gambino Insulation Inc.	Assisted Home Performance with Energy Star, Single Family Residential	148
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	8,056
Gary Goodman	Assisted Home Performance with Energy Star, Single Family Residential	1,266
	Empower, Single Family Residential	18,483
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	30,619
Get Green Home Improvements LLC	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	6,553
Global Dwelling	Assisted Home Performance with Energy Star, Single Family Residential	2,305
	Empower, Single Family Residential	60,782
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	111,047
Gomez Comfort Systems, LLC	Empower, Single Family Residential	4,918
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	4,633
Graves Bros.	Assisted Home Performance with Energy Star, Single Family Residential	674
	Empower, Single Family Residential	83,788
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	109,051
Green Audit USA, Inc.	Assisted Home Performance with Energy Star, Single Family Residential	17,719
	Empower, Single Family Residential	334,163
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	262,782
Green City Force	Empower, Single Family Residential	156,688
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	538
Green Home Innovations, Inc	Admin, Single Family Residential	10,576
	Empower, Single Family Residential	21,421

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Contractor	Project Description	Total Expended Amount
Green Home Innovations, Inc	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	51,058
	Market Pathways, Single Family Residential	92
Green Home Logic, Inc.	Assisted Home Performance with Energy Star, Single Family Residential	500
	Empower, Single Family Residential	127,514
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	48,825
	Workforce Development, Workforce Dev & Train	200
GreenHomes Long Island	Assisted Home Performance with Energy Star, Single Family Residential	5,718
	Empower, Single Family Residential	112,989
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	71,544
GREENTECH Certified Energy Specialists,	Assisted Home Performance with Energy Star, Single Family Residential	1,226
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	8,371
Hawn Heating & Energy Services LLC	Assisted Home Performance with Energy Star, Single Family Residential	1,292
	Empower, Single Family Residential	14,195
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	29,256
	Market Pathways, Single Family Residential	989
Healthy Home Energy & Consulting, Inc.	Assisted Home Performance with Energy Star, Single Family Residential	500
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	85,221
	Market Pathways, Single Family Residential	1,645
Highland Builders Corp.	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	8,776
Home Energy Consultants Inc.	Assisted Home Performance with Energy Star, Single Family Residential	500
	Empower, Single Family Residential	74,128
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	87,313
Home Energy Performance By Halco	Assisted Home Performance with Energy Star, Single Family Residential	21,556
	Empower, Single Family Residential	919,855
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	1,677,882
	Market Pathways, Single Family Residential	41,700
Home Performance Professionals, Inc.	Admin, Single Family Residential	3,110
	Empower, Single Family Residential	15,640
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	100,737
	New York ENERGY STAR Homes, Codes & New Construction	8,200
Home Performance Technologies	Assisted Home Performance with Energy Star, Single Family Residential	500
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	36,937
Home Star Energy Services, Inc.	Assisted Home Performance with Energy Star, Single Family Residential	1,935
	Empower, Single Family Residential	5,421
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	43,877
Honeywell International Inc.	Empower, Single Family Residential	2,640
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	1,491
Ian Minerve	Empower, Single Family Residential	158,903
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	330,670
Ideal Energy Solutions LLC	Admin, Single Family Residential	13,367
	Empower, Single Family Residential	53,192
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	220,236
Innovation Now, LLC	Assisted Home Performance with Energy Star, Single Family Residential	500
	Empower, Single Family Residential	412
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	23,062
Installed Building Products	Admin, Single Family Residential	9,514
	Assisted Home Performance with Energy Star, Single Family Residential	763
	Empower, Single Family Residential	131,488
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	320,752
Isaac Heating and Air Conditioning, Inc.	Market Pathways, Single Family Residential	1,820
	Assisted Home Performance with Energy Star, Single Family Residential	19,220

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Contractor	Project Description	Total Expended Amount
Isaac Heating and Air Conditioning, Inc.	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	565,383
	Market Pathways, Single Family Residential	21,901
Island Design and Contracting, LLC	Assisted Home Performance with Energy Star, Single Family Residential	216
	Empower, Single Family Residential	47,131
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	26,094
Ivy Lea Construction	Admin, Single Family Residential	31,051
	Assisted Home Performance with Energy Star, Single Family Residential	678
	Empower, Single Family Residential	223,492
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	133,355
J Synergy Green Inc	Assisted Home Performance with Energy Star, Single Family Residential	9,151
	Empower, Single Family Residential	118,253
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	148,104
Jagodzinski Construction, Inc	Assisted Home Performance with Energy Star, Single Family Residential	1,631
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	36,196
	Market Pathways, Single Family Residential	612
Jerritt Gluck	Assisted Home Performance with Energy Star, Single Family Residential	500
	Empower, Single Family Residential	157,061
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	1,743
John Betlem Heating & Cooling Inc	Empower, Single Family Residential	6,364
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	81,905
John Blouch	Assisted Home Performance with Energy Star, Single Family Residential	2,293
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	4,777
John D. Marcella Appliances, Inc	Empower, Single Family Residential	19,748
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	6,352
Joint Council of Economic Opportunity	Empower, Single Family Residential	69,512
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	15,888
Kehrl Construction & Energy Retro - Fits	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	5,783
Knoth Heating & Mechanical	Assisted Home Performance with Energy Star, Single Family Residential	832
	Empower, Single Family Residential	59,277
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	12,881
Kool-Temp Heating & Cooling	Assisted Home Performance with Energy Star, Single Family Residential	500
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	4,773
Lewis County Opportunities, Inc.	Empower, Single Family Residential	11,991
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	8,463
Long Island Power Authority	Green Jobs Green New York Revolving Loan Fund, Products	550
	Green Jobs Green New York Revolving Loan Fund, Single Family Residential	208,552
Lotze Insulation Design, Inc.	Empower, Single Family Residential	200,534
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	503,397
Malcarne Contracting, Inc.	Empower, Single Family Residential	23,412
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	41,632
	Market Pathways, Single Family Residential	2,880
Malta Development Company Inc	HOME PERFORMANCE WITH ENERGY STAR, Codes & New Construction	2,100
	HOME PERFORMANCE WITH ENERGY STAR, RES-New Const & Adv Tech	300
	New York ENERGY STAR Homes, Codes & New Construction	18,900
	New York ENERGY STAR Homes, RES-New Const & Adv Tech	2,700
Margert Community Corporation	Empower, Single Family Residential	189,599
Masullo Brothers Builders Inc	HOME PERFORMANCE WITH ENERGY STAR, Codes & New Construction	900
	New York ENERGY STAR Homes, Codes & New Construction	8,100
Metro NY Insulation LLC	Assisted Home Performance with Energy Star, Single Family Residential	1,262
	Empower, Single Family Residential	60,087
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	84,100

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Contractor	Project Description	Total Expended Amount
Metropolitan Truck Sales Inc	Clean Transportation, Clean Transportation	14,400
Michael B Kearney	Empower, Single Family Residential	9,001
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	2,121
Michaels Group	HOME PERFORMANCE WITH ENERGY STAR, Codes & New Construction	3,900
	HOME PERFORMANCE WITH ENERGY STAR, RES-New Const & Adv Tech	600
	Market Pathways, Codes & New Construction	1,631
	New York ENERGY STAR Homes, Codes & New Construction	35,100
	New York ENERGY STAR Homes, RES-New Const & Adv Tech	5,400
Milea Truck Sales Inc	Clean Transportation, Clean Transportation	72,000
Milner Air Conditioning Services, Inc.	Empower, Single Family Residential	5,069
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	826
Mohawk Valley Community Action Agency	Empower, Single Family Residential	92,161
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	47,622
Natale Builders	HOME PERFORMANCE WITH ENERGY STAR, Codes & New Construction	22,000
	HOME PERFORMANCE WITH ENERGY STAR, RES-New Const & Adv Tech	300
	Market Pathways, Codes & New Construction	3,398
	New York ENERGY STAR Homes, RES-New Const & Adv Tech	2,700
Nebraska Plumbing & Heating	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	7,739
	Market Pathways, Single Family Residential	750
Neighborhood Housing Services (N.H.S) of	Empower, Single Family Residential	22,535
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	34,953
Neighborhood Housing Services of Rochest	Assisted Home Performance with Energy Star, Single Family Residential	558
	Empower, Single Family Residential	54,009
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	52,715
New Buffalo Impact, Inc.	Admin, Single Family Residential	31,943
	Assisted Home Performance with Energy Star, Single Family Residential	1,342
	Empower, Single Family Residential	50,574
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	208,924
New York Business Development Corp	Green Jobs Green New York Revolving Loan Fund, Products	600
New York Homeowners Construction Co., LL	Assisted Home Performance with Energy Star, Single Family Residential	7,484
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	130,987
	Market Pathways, Single Family Residential	3,784
New York State Foam & Energy LLC	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	18,466
Niagara Mohawk Power Corporation	Green Jobs Green New York Revolving Loan Fund, Single Family Residential	27,708
Nispen Adirondack Builders Inc	Assisted Home Performance with Energy Star, Single Family Residential	330
	Empower, Single Family Residential	103,333
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	41,580
	Renewable Heat NY, Single Family Residential	5,500
North East Underlayments LLC	Assisted Home Performance with Energy Star, Single Family Residential	1,190
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	12,163
Northeast Home Improvement & Energy Cons	Empower, Single Family Residential	38,994
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	56,022
Northeast Project Solutions	Empower, Single Family Residential	26,955
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	67,947
Northern Home Services LLC	Empower, Single Family Residential	12,091
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	468
NYS Energy Audits, Inc.	Assisted Home Performance with Energy Star, Single Family Residential	382
	Empower, Single Family Residential	330,373
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	264,465
NYS Weatherization Directors Association	Empower, Single Family Residential	9,779
NYSEG	Green Jobs Green New York Revolving Loan Fund, Single Family Residential	16,010

Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation
Period 4/1/2016 through 9/30/2016

Contractor	Project Description	Total Expended Amount
ODA Community Development Corp.	Empower, Single Family Residential	25,631
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	25,889
Olum's of Binghamton, Inc.	Empower, Single Family Residential	12,305
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	8,515
Opportunities for Chenango, Inc.	Empower, Single Family Residential	25,574
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	8,494
Opportunities for Otsego, Inc.	Empower, Single Family Residential	110,219
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	32,404
Orange and Rockland Utilities, Inc.	Green Jobs Green New York Revolving Loan Fund, Single Family Residential	9,999
Orange County Rural Development Advisory	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	29,600
Parkside Fuel, Inc.	Assisted Home Performance with Energy Star, Single Family Residential	17,371
	Empower, Single Family Residential	352,276
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	156,437
Pathstone Corporation	Empower, Single Family Residential	17,197
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	4,493
Paul Mendel, Jr.	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	11,854
PEG	HOME PERFORMANCE WITH ENERGY STAR, Codes & New Construction	1,030
	New York ENERGY STAR Homes, Codes & New Construction	9,270
People's Equal Action & Community Effort	Empower, Single Family Residential	175,797
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	29,834
Performance Systems Development, Inc.	HOME PERFORMANCE WITH ENERGY STAR, Codes & New Construction	1,860
	New York ENERGY STAR Homes, Codes & New Construction	14,040
Phoenix Mechanical	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	16,613
Pioneer Spray Foam LLC	Assisted Home Performance with Energy Star, Single Family Residential	5,504
	Empower, Single Family Residential	102,290
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	65,118
	Market Pathways, Single Family Residential	2,628
Polish Community Center of Buffalo, Inc.	Admin, Single Family Residential	6,677
	Empower, Single Family Residential	42
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	5,729
Polsinello Fuels, Inc	Assisted Home Performance with Energy Star, Single Family Residential	3,467
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	22,901
Prime Time Energy Services, Inc.	Admin, Single Family Residential	19,563
	Assisted Home Performance with Energy Star, Single Family Residential	2,555
	Empower, Single Family Residential	30,734
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	98,541
Pro Action of Steuben & Yates, Inc.	Admin, Single Family Residential	3,802
	Empower, Single Family Residential	24,013
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	16,212
R. McLagan, Inc.	Assisted Home Performance with Energy Star, Single Family Residential	914
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	17,694
Radiant Drywall & Insulation Corp.	Assisted Home Performance with Energy Star, Single Family Residential	1,500
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	14,707
Regional Economic Community Action Progr	Empower, Single Family Residential	19,998
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	6,149
RHM Inc.	Assisted Home Performance with Energy Star, Single Family Residential	2,783
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	17,399
Rodney Lind	Empower, Single Family Residential	1,232
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	32,430
Ross Seeley-Lopez	Assisted Home Performance with Energy Star, Single Family Residential	18,843
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	272,987

Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation
 Period 4/1/2016 through 9/30/2016

Contractor	Project Description	Total Expended Amount
Ryan Homes (Virginia)	HOME PERFORMANCE WITH ENERGY STAR, Codes & New Construction	14,800
	HOME PERFORMANCE WITH ENERGY STAR, RES-New Const & Adv Tech	600
	New York ENERGY STAR Homes, Codes & New Construction	133,200
	New York ENERGY STAR Homes, RES-New Const & Adv Tech	5,400
Ryan Plumbing Heating Air Conditioning	Assisted Home Performance with Energy Star, Single Family Residential	222
	Empower, Single Family Residential	18,622
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	29,953
SANFILIPPO SOLUTIONS INC.	Empower, Single Family Residential	18,877
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	18,479
Saratoga County EOC	Empower, Single Family Residential	31,611
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	13,938
Seneca County Weatherization	Empower, Single Family Residential	32,408
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	12,563
Sigma Tremblay, LLC	Assisted Home Performance with Energy Star, Single Family Residential	1,670
	Empower, Single Family Residential	6,619
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	44,034
Sky Business Credit LLC	Assisted Home Performance with Energy Star, Single Family Residential	6,613
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	153,954
	Market Pathways, Single Family Residential	1,000
Snug Planet, LLC	Assisted Home Performance with Energy Star, Single Family Residential	1,923
	Empower, Single Family Residential	14,303
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	37,037
	Renewable Heat NY, Single Family Residential	1,500
Solar Energy Haus, Inc.	Assisted Home Performance with Energy Star, Single Family Residential	468
	Empower, Single Family Residential	18,161
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	57,044
	Market Pathways, Single Family Residential	578
	Workforce Development, Workforce Dev & Train	850
South Towns Appliance	Empower, Single Family Residential	14,156
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	12,806
St. Lawrence County Development Program	Empower, Single Family Residential	3,175
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	2,910
Standard Insulating Company	Assisted Home Performance with Energy Star, Single Family Residential	3,739
	Empower, Single Family Residential	423,205
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	351,049
	Market Pathways, Single Family Residential	20,907
Steven Winter Associates, Inc.	HOME PERFORMANCE WITH ENERGY STAR, Codes & New Construction	2,810
	New York ENERGY STAR Homes, Codes & New Construction	990
Stoneleigh Housing, Inc	Empower, Single Family Residential	10,328
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	12,967
Sunset Park Redevelopment Comm	Empower, Single Family Residential	59,494
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	6,316
Superior Energy Innovations, LLC	Admin, Single Family Residential	6,720
	Empower, Single Family Residential	141,011
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	174,011
	Market Pathways, Single Family Residential	210
Superior Insulation Co., LLC	Assisted Home Performance with Energy Star, Single Family Residential	903
	Empower, Single Family Residential	125,962
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	227,030
Sustainable Comfort, Inc	HOME PERFORMANCE WITH ENERGY STAR, Codes & New Construction	3,190
	New York ENERGY STAR Homes, Codes & New Construction	23,310

Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation
Period 4/1/2016 through 9/30/2016

Contractor	Project Description	Total Expended Amount
TAG Mechanical Systems, Inc.	Empower, Single Family Residential	116,655
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	9,182
	Market Pathways, Single Family Residential	596
Taylor Heating Inc.	Assisted Home Performance with Energy Star, Single Family Residential	3,006
	Empower, Single Family Residential	35,821
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	72,480
The Climate Chief LLC	Assisted Home Performance with Energy Star, Single Family Residential	995
	Empower, Single Family Residential	24,714
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	16,044
The Energy Doctors	Empower, Single Family Residential	29,440
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	14,394
The Radiant Store	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	16,987
	Market Pathways, Single Family Residential	615
Thermal Energy Concepts, Inc.	Assisted Home Performance with Energy Star, Single Family Residential	1,290
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	47,504
Three Peaks Energy Corp.	Assisted Home Performance with Energy Star, Single Family Residential	757
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	11,177
	Market Pathways, Single Family Residential	216
	Renewable Heat NY, Single Family Residential	2,500
Tioga Opportunities Inc.	Empower, Single Family Residential	214,347
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	96,504
Tompkins Community Action	Assisted Home Performance with Energy Star, Single Family Residential	2,222
	Empower, Single Family Residential	29,790
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	1,717
	Renewable Heat NY, Single Family Residential	2,500
Town of Babylon	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	1,495
Triple H Contracting, Inc.	Assisted Home Performance with Energy Star, Single Family Residential	15,317
	Empower, Single Family Residential	102,705
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	217,231
	Workforce Development, Workforce Dev & Train	600
TRS Heating and Air Conditioning Co., In	Assisted Home Performance with Energy Star, Single Family Residential	345
	Empower, Single Family Residential	489
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	7,024
True Energy Solutions	Empower, Single Family Residential	35,687
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	50,575
	Market Pathways, Single Family Residential	3,579
Ulster Construction Co. Inc.	Empower, Single Family Residential	18,954
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	9,541
Ulster County Community Action, Inc.	Empower, Single Family Residential	3,618
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	29,404
Upstate Spray Foam Insulation, LLC	Assisted Home Performance with Energy Star, Single Family Residential	1,236
	Empower, Single Family Residential	43,723
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	18,987
	Market Pathways, Single Family Residential	2,304
Vastola Heating and Cooling	Assisted Home Performance with Energy Star, Single Family Residential	204
	Empower, Single Family Residential	3,016
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	4,302
Warren/Hamilton Counties ACEO	Empower, Single Family Residential	21,296
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	3,550
Watertown Appliance and TV Center, Inc.	Empower, Single Family Residential	2,439
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	5,810

Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation
Period 4/1/2016 through 9/30/2016

Contractor	Project Description	Total Expended Amount
Wayne County Action Program	Empower, Single Family Residential	2,365
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	13,978
	Workforce Development, Workforce Dev & Train	2,150
Willie Oxendine	Empower, Single Family Residential	8,209
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	36,315
Wisconsin Energy Conservation Corp	Assisted Home Performance with Energy Star, Single Family Residential	3,168,933
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	1,429,303
	New York Sun Program, NY-Sun	2,720
	New York Sun Program, Single Family Residential	2,020
	Renewable Heat NY, Renewable Heating & Cooling	2,550
Wise Home Energy, LLC	Admin, Single Family Residential	4,808
	Assisted Home Performance with Energy Star, Single Family Residential	2,083
	Empower, Single Family Residential	142,290
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	131,150
	Market Pathways, Single Family Residential	600
	Renewable Heat NY, Renewable Heating & Cooling	2,500
	Renewable Heat NY, Single Family Residential	2,500
Woltner-Summit Contracting, LLC	Empower, Single Family Residential	4,890
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	8,917
Woodbridge Construction Inc.	Assisted Home Performance with Energy Star, Single Family Residential	3,157
	Empower, Single Family Residential	22,748
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	48,225
	Market Pathways, Single Family Residential	1,665
	Renewable Heat NY, Single Family Residential	2,000
Woodstone Custom Homes, Inc.	HOME PERFORMANCE WITH ENERGY STAR, Codes & New Construction	4,800
	Market Pathways, Codes & New Construction	2,438
	New York ENERGY STAR Homes, Codes & New Construction	16,200
Zenith Sales of Indiana	Clean Transportation, Clean Transportation	96,752
Zenner and Ritter Inc.	Assisted Home Performance with Energy Star, Single Family Residential	4,575
	Empower, Single Family Residential	14,359
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	42,117
	Market Pathways, Single Family Residential	1,435
Zerodraft of CNY - Syracuse	Assisted Home Performance with Energy Star, Single Family Residential	5,942
	Empower, Single Family Residential	412,826
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	281,708
	Market Pathways, Single Family Residential	25,219
Zerodraft,Albany	Empower, Single Family Residential	11,759
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	77,007
Grand Total		28,009,276

NYSERDA

Public Authority Law Report

April 1, 2016 to September 30, 2016

Section Break

Contracts Executed

Period 4/1/2016 through 9/30/2016

Contractor	Date Encumbered	Project Description	Total Contract Amount
1st Light Energy, Inc.	4/5/2016	New York Sun Program, NY-Sun	5,775
	5/24/2016	New York Sun Program, NY-Sun	5,070
	6/14/2016	New York Sun Program, NY-Sun	102,500
	7/11/2016	New York Sun Program, NY-Sun	5,720
	7/26/2016	New York Sun Program, NY-Sun	102,500
	9/13/2016	New York Sun Program, NY-Sun	5,355
3M Company	8/2/2016	Industrial Process Efficiency Program, Industrial Process Efficie..	174,450
7-Eleven Inc.	7/29/2016	Existing Facilities Program, EFP2431 - 7-Eleven Inc. - 7 EI	292,559
22nd Century Technologies, Inc.	7/14/2016	Admin, Staff Augmentation	48,750
23 Acad St., LLC	4/5/2016	Green Affordable Housing, Multifamily	14,495
		Multifamily Performance Program, Multifamily	28,676
133 Equities, LLC	4/5/2016	Multifamily Performance Program, Multifamily	47,141
	4/25/2016	Multifamily Performance Program, Multifamily	37,349
158th St. & Riverside Drive Housing Co.	6/2/2016	Multifamily Performance Program, Multifamily	64,050
295 Maryland, LLC	8/29/2016	HOME PERFORMANCE WITH ENERGY STAR, Codes & New ..	10,100
		New York ENERGY STAR Homes, Codes & New Construction	90,900
300 Schemerhorn Realty LLC	8/15/2016	New Construction Program, NCP11974 - Holiday Inn Brookly	96,868
301/69 Condominium	8/11/2016	Multifamily Performance Program, Multifamily	58,800
375 Park Avenue Investors LP	4/5/2016	Existing Facilities Program, EFP2484 - 375 Park Ave LP - 37	1,004,653
414 Property Holdings LLC	6/23/2016	Multifamily Performance Program, Multifamily	35,000
500 Trinity LLC	5/11/2016	Multifamily Performance Program, Multifamily	97,350
510 West 22nd Street Partners LLC	7/11/2016	New Construction Program, NCP11107 - 510 West 22nd Stree	106,963
1406RB PV LLC	6/29/2016	New York Sun Program, Olean Gateway PV Project 1	1,408,749
		New York Sun Program, Olean Gateway PV Project 2	1,408,749
	7/22/2016	New York Sun Program, C/I MW Block Assignment	583,553
2015 ESA Project Company, LLC	6/23/2016	Fuel Cells, RPS FC - Home Depot #1214	1,000,000
		Fuel Cells, RPS FC - Home Depot #1215	1,000,000
		Fuel Cells, RPS FC - Home Depot #1248	1,000,000
		Fuel Cells, RPS FC - Home Depot #1249	1,000,000
		Fuel Cells, RPS FC - Home Depot #1251	925,912
		Fuel Cells, RPS FC - Home Depot #1256	1,000,000
		Fuel Cells, RPS FC - Home Depot #1281	1,000,000
		Fuel Cells, RPS FC - Home Depot #6152	936,758
		Fuel Cells, RPS FC - Home Depot #8456	774,611
	6/27/2016	Fuel Cells, RPS FC - Walmart X-2	1,000,000
		Fuel Cells, RPS FC - Walmart X-2531	1,000,000
2157 Realty Associates LLC	4/25/2016	Multifamily Performance Program, Multifamily	1,000
2605 GC Owner, LLC	4/11/2016	Multifamily Performance Program, Multifamily	20,000
	6/29/2016	Multifamily Performance Program, Multifamily	142,145
Accord Power, Inc.	5/25/2016	New York Sun Program, NY-Sun	8,136
	9/9/2016	New York Sun Program, NY-Sun	39,230
Active Solar Development, LLC	5/27/2016	Renewable Thermal, Solar Thermal Incentive	173,182
		Renewable Thermal, Solar Thermal Incentives	22,822
	6/9/2016	Renewable Thermal, Solar Thermal Incentives	63,382
	6/10/2016	Renewable Thermal, Solar Thermal Incentive	15,230
	6/15/2016	Renewable Thermal, Solar Thermal Incentives	11,443
Adam C. Boese	4/12/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	4,000
		Flexible Technical Assistance Program, FlexTech Consultant Se..	7,600
	5/20/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
	5/31/2016	Flexible Technical Assistance Program, FlexTech Consultant Se..	9,600
	6/20/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
	7/15/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	6,000
	8/29/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	10,000
	9/13/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
	9/26/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
Adee Tower Apartments Inc	8/29/2016	Multifamily Performance Program, Multifamily	41,550

Contracts Executed

Period 4/1/2016 through 9/30/2016

Contractor	Date Encumbered	Project Description	Total Contract Amount
Adelphi University	7/26/2016	Existing Facilities Program, EFP2573-Adelphi University	1,106
Adirondack Area Network	6/1/2016	Admin, Video Recording Services	17,000
Adirondack North Country Association	9/15/2016	Cleaner Greener Communities, Green Jobs Green New York O..	41,923
AE Solar Energy	9/22/2016	New York Sun Program, NY-Sun Comp. Liberty Distribut	456,126
AECOM Technical Services Inc.	7/7/2016	West Valley Development Program, Environmental Monitoring S..	49,856
Aegis Energy Services Inc.	6/3/2016	Combined Heat and Power, CHPA - 300 Central Park West	148,500
		Combined Heat and Power, CHPA - 400 Central Park West	198,000
		Combined Heat and Power, CHPA - Time Square	350,000
		Combined Heat and Power, CHPA - Village Mall Hillcrest	198,000
	9/13/2016	Combined Heat and Power, CHPA - Remeeder Houses - Alaba	69,300
	9/26/2016	Combined Heat and Power, CHPA - Plaza Residences 23-25	207,611
		Combined Heat and Power, CHPA - Plaza Residences 250	138,600
		Combined Heat and Power, CHPA - Remeeder House - Sheffi	69,300
	9/29/2016	Combined Heat and Power, CHPA - Remeeder House - Sutter	69,300
		Combined Heat and Power, CHPA- Remeeder House - Blake	69,300
Combined Heat and Power, CHPA - Grace Towers Apartment		138,600	
Affordable Housing Partnership	8/8/2016	Green Jobs Green New York Revolving Loan Fund, Green Jobs..	85,344
Agri-Energy USA, LLC	8/30/2016	Anaerobic Digester Program, RPS CST-ADG Milk Street	2,000,000
Albany County Dept. of General Services	5/11/2016	Smart Grid Systems, City of Albany - Airport	35,000
Albany Housing Authority	6/2/2016	HOME PERFORMANCE WITH ENERGY STAR, Codes & New ..	15,450
		New York ENERGY STAR Homes, Codes & New Construction	139,050
Albert Einstein College of Medicine	9/15/2016	Industrial Process Efficiency Program, Industrial Process Efficie..	173,884
Alden Central School District	4/28/2016	New Construction Program, NCP13203 - Alden High School	7,822
Align Pictures, Inc.	6/30/2016	Admin, REV Video Production	25,000
All HVAC Service Co.	8/30/2016	Existing Facilities Program, EFP2081 - Bright Energy	11,105
All Systems Cogeneration, Inc.	7/21/2016	Combined Heat and Power, CHP - Elbee Gardens	198,000
Allen Stevenson School	8/31/2016	New Construction Program, NCP13052 - Townhouse Project	37,900
Alliance for Sustainable Energy, LLC	6/27/2016	Grid Modernization, Technical Assistance for NYS D	250,000
Altanova LLC	4/14/2016	Flexible Technical Assistance Program, FlexTech Consultant Se..	30,570
Alternative Power Solutions of NY, LLC	4/1/2016	New York Sun Program, NY-Sun	6,448
	4/26/2016	New York Sun Program, NY-Sun	29,184
	5/9/2016	New York Sun Program, NY-Sun	7,296
	5/18/2016	New York Sun Program, NY-Sun	15,040
	5/27/2016	New York Sun Program, NY-Sun	9,348
	7/15/2016	New York Sun Program, NY-Sun	6,832
	7/21/2016	New York Sun Program, NY-Sun	5,208
	8/8/2016	New York Sun Program, NY-Sun	6,800
	8/9/2016	New York Sun Program, NY-Sun	5,120
	8/24/2016	New York Sun Program, NY-Sun	6,300
9/14/2016	New York Sun Program, NY Sun	6,656	
American Council for an Energy Efficient	7/26/2016	Other Program Area, 2016 ACEEE Ally Program Member	10,000
American Energy Care, Inc.	5/6/2016	New York Sun Program, NY-Sun	9,984
American Packaging Corp.	6/21/2016	Industrial Process Efficiency Program, Industrial Process Efficie..	34,565
American Solar Partners, LLC	5/19/2016	New York Sun Program, NY-Sun	10,440
	5/26/2016	New York Sun Program, NY-Sun	7,380
	7/19/2016	New York Sun Program, NY-Sun	5,280
	8/16/2016	New York Sun Program, NY-Sun	16,314
Ampericon	6/17/2016	New York Sun Program, NY-Sun	5,338
Anne Compton Savage	5/17/2016	New York Green Bank, Metrics, Reporting & Evaluatio	50,000
Antares Group, Inc.	5/12/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
	5/18/2016	Industrial Process Efficiency Program, Technical Review and Pr..	10,138
	5/20/2016	Industrial Process Efficiency Program, Technical Review and Pr..	2,484
	6/20/2016	Industrial Process Efficiency Program, Technical Review and Pr..	6,225
	6/30/2016	Environmental Research, Wood Heat & Power LCA Lit Rev	49,058
	7/15/2016	Industrial Process Efficiency Program, Technical Review and Pr..	1,989
	7/25/2016	Industrial Process Efficiency Program, Technical Review and Pr..	1,087

Contracts Executed
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Contractor	Date Encumbered	Project Description	Total Contract Amount
Antares Group, Inc.	8/11/2016	Industrial Process Efficiency Program, Technical Review and Pr..	6,406
	9/6/2016	Industrial Process Efficiency Program, Technical Review and Pr..	13,262
	9/20/2016	Industrial Process Efficiency Program, Technical Review and Pr..	4,075
Apex Solar Power LLC	4/5/2016	New York Sun Program, NY-Sun	10,440
	4/11/2016	New York Sun Program, NY-Sun	10,504
	4/19/2016	Renewable Thermal, Solar Thermal Incentive	6,000
		Renewable Thermal, Solar Thermal Incentives	12,000
	4/28/2016	New York Sun Program, NY-Sun	3,000
	5/2/2016	New York Sun Program, NY-Sun	6,240
	5/6/2016	New York Sun Program, NY-Sun	10,400
	5/18/2016	New York Sun Program, NY-Sun	6,160
	5/24/2016	New York Sun Program, NY-Sun	6,144
	5/26/2016	New York Sun Program, NY-Sun	12,384
	5/27/2016	New York Sun Program, NY-Sun	16,120
	6/24/2016	New York Sun Program, NY-Sun	6,156
	7/13/2016	New York Sun Program, NY-Sun	5,520
	7/15/2016	New York Sun Program, NY-Sun	10,000
	7/20/2016	New York Sun Program, NY-Sun	800
	7/26/2016	New York Sun Program, NY-Sun	6,864
	8/3/2016	New York Sun Program, NY-Sun	102,500
	8/16/2016	New York Sun Program, NY-Sun	13,784
	9/15/2016	New York Sun Program, NY-Sun	7,128
9/16/2016	New York Sun Program, NY-Sun	6,032	
9/21/2016	New York Sun Program, NY Sun	6,120	
Applied Energy Group, Inc.	7/15/2016	Industrial Process Efficiency Program, Technical Review and Pr..	20,002
Apprise, Incorporated	9/12/2016	Evaluation, Market Characterization Resear	50,000
Arcadis of New York, Inc.	4/5/2016	Environmental Research, Cost Curve - Pump Storage	44,335
	5/11/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
	7/12/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
	7/28/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
	8/29/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	8,478
	9/12/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
9/30/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	5,930	
Arcadis U.S., Inc.	5/13/2016	Existing Facilities Program, Technical Review and Program S	109,592
	5/20/2016	Existing Facilities Program, Technical Review and Program S	1,685
	5/24/2016	Admin, Greenling the Bronx M&V	259,940
	5/25/2016	Industrial Process Efficiency Program, Technical Review and Pr..	20,488
	6/14/2016	Fuel NY, Technical Review and Program S	1,171,897
	8/2/2016	Existing Facilities Program, Technical Review and Program S	70,200
	9/28/2016	Fuel NY, Technical Review and Program S	228,723
Arctic Air Mechanical Corp	6/30/2016	Admin, HVAC NYC	5,600
Astrum Solar, Inc.	4/11/2016	New York Sun Program, NY-Sun	5,509
	5/24/2016	New York Sun Program, NY-Sun	5,224
	6/3/2016	New York Sun Program, NY-Sun	5,491
	6/24/2016	New York Sun Program, NY-Sun	5,088
	9/13/2016	New York Sun Program, NY-Sun	5,963
Atelier Ten	9/1/2016	New Construction Program, ATEN - EMP	53,145
Atlas Public Policy	4/4/2016	Clean Transportation, EVaulateNY support	12,000
Aurora Ridge Dairy LLC	5/12/2016	Agriculture Energy Efficiency Program, Agriculture Energy Effici..	96,019
AWS Truepower	7/20/2016	Small Wind, AWS Small Wind Explorer	36,000
Bank of New York	9/23/2016	Green Jobs Green New York Revolving Loan Fund, GJGNY 20..	62,000
Barbaera Homes and Development, Inc.	9/12/2016	HOME PERFORMANCE WITH ENERGY STAR, Codes & New ..	300
		New York ENERGY STAR Homes, Codes & New Construction	2,700
Bard College	9/21/2016	REV Campus Challenge, REV Campus Challenge	1,000,000
Bausch & Lomb	7/14/2016	Industrial Process Efficiency Program, Industrial Process Efficie..	54,153
BBL Construction Services LLC	5/23/2016	New Construction Program, NCP13202 - Courtyard Marriot	37,758

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Contractor	Date Encumbered	Project Description	Total Contract Amount
BBL Construction Services LLC	6/2/2016	New Construction Program, NCP12154-Crtyrd Marriott-OFLT	48,275
BCDL Real Estate Development, LLC	6/9/2016	HOME PERFORMANCE WITH ENERGY STAR, Codes & New ..	12,450
		New York ENERGY STAR Homes, Codes & New Construction	112,050
Benchmark Printing, Inc.	4/4/2016	Multifamily Performance Program, Printing Services	2,751
	4/20/2016	Multifamily Performance Program, Printing Services	1,519
Benchmark Group Inc	5/19/2016	Existing Facilities Program, EFP2631 - Walmart - Multisite	99,449
Bergmann Associates	4/12/2016	Renewable Heat NY, Technical Review and Program S	2,710
	4/26/2016	Industrial Process Efficiency Program, Technical Review and Pr..	5,360
	4/28/2016	Green Jobs Green New York Revolving Loan Fund, Technical R..	5,900
	4/29/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
	5/12/2016	Industrial Process Efficiency Program, Technical Review and Pr..	1,500
	5/20/2016	Flexible Technical Assistance Program, Technical Review and ..	42,874
		Industrial Process Efficiency Program, Technical Review and Pr..	42,874
	5/27/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
	6/16/2016	Flexible Technical Assistance Program, FlexTech Consultant Se..	9,975
	6/20/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
	6/23/2016	Flexible Technical Assistance Program, FlexTech Consultant Se..	39,750
	6/29/2016	Industrial Process Efficiency Program, Technical Review and Pr..	4,965
	7/8/2016	Industrial Process Efficiency Program, Technical Review and Pr..	10,420
	7/28/2016	Industrial Process Efficiency Program, Technical Review and Pr..	1,496
	8/12/2016	Flexible Technical Assistance Program, FlexTech Consultant Se..	11,420
	8/17/2016	Flexible Technical Assistance Program, FlexTech Consultant Se..	40,130
	8/23/2016	Industrial Process Efficiency Program, Technical Review and Pr..	5,100
	8/29/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	8,200
	8/30/2016	Industrial Process Efficiency Program, Technical Review and Pr..	21,100
	9/2/2016	Industrial Process Efficiency Program, Technical Review and Pr..	10,650
9/12/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500	
9/13/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500	
9/23/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500	
9/28/2016	Industrial Process Efficiency Program, Technical Review and Pr..	5,740	
Best Energy Power	4/7/2016	New York Sun Program, NY-Sun	172,321
	4/18/2016	New York Sun Program, NY-Sun	181,927
	4/21/2016	New York Sun Program, NY-Sun	165,997
	5/2/2016	New York Sun Program, NY-Sun	14,880
	5/6/2016	New York Sun Program, NY-Sun	51,336
	5/12/2016	New York Sun Program, NY-Sun	53,285
	6/30/2016	New York Sun Program, NY-Sun	41,374
	7/29/2016	New York Sun Program, NY-Sun	10,633
	8/8/2016	New York Sun Program, NY-Sun	43,617
	8/29/2016	New York Sun Program, NY-Sun	92,852
Bigwood Systems Inc	5/20/2016	Smart Grid Systems, EPTD Smart Grid	225,000
Bizodo Inc	5/18/2016	Admin, Seamless Professional Services	25,000
Black Cherry Services Group, Inc.	7/27/2016	New York Sun Program, NY-Sun	27,236
	9/21/2016	New York Sun Program, NY-Sun	5,536
Bloomberg, L.P.	4/8/2016	Industrial Process Efficiency Program, Industrial Process Efficie..	289,619
Bluestone Management Associates, LLC	9/23/2016	Green Affordable Housing, Multifamily	50,436
		Multifamily Performance Program, Multifamily	155,716
BOP West 31st Street LLC	8/29/2016	New Construction Program, NCP12078 - Manhattan West	198,104
Boro Park Center	4/18/2016	Flexible Technical Assistance Program, FlexTech Program - PO..	60,000
Borrego Solar Systems, Inc.	4/8/2016	New York Sun Program, Commercial/Industrial PV	790,133
	4/18/2016	New York Sun Program, Commercial/Industrial PV	1,802,128
	5/13/2016	New York Sun Program, Commercial/Industrial PV	597,701
	5/20/2016	New York Sun Program, Commercial/Industrial PV	2,327,381
		New York Sun Program, commercial/industrial PV	589,426
	5/23/2016	New York Sun Program, Commercial/Industrial PV	589,426
5/25/2016	New York Sun Program, Commercial/Industrial PV	589,426	

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Contractor	Date Encumbered	Project Description	Total Contract Amount
Borrego Solar Systems, Inc.	6/1/2016	New York Sun Program, Commercial/Industrial PV	1,586,222
	6/21/2016	New York Sun Program, Commercial/Industrial PV	597,701
	6/23/2016	New York Sun Program, Commercial/Industrial	1,105,746
		New York Sun Program, NY-Sun	2,211,492
		New York Sun Program, NY-Sun Assignee	1,326,895
	6/28/2016	New York Sun Program, NY-Sun C/I	1,105,746
	6/28/2016	New York Sun Program, Payment assignee	900,607
	6/30/2016	New York Sun Program, NY-Sun	1,326,895
7/1/2016	New York Sun Program, Payment assignee to DE	1,100,782	
BQ Energy, LLC	4/8/2016	New York Sun Program, Commercial/Industrial PV	1,802,365
	6/3/2016	New York Sun Program, NY-Sun	418,879
	7/22/2016	New York Sun Program, Town of Esopus Landfill	607,462
Brahama Group Inc	6/1/2016	New York Sun Program, Commercial/IndustrialPV	210,480
	6/28/2016	New York Sun Program, Commercial/IndustrialPV	89,305
Bridge Land Hudson LLC	4/8/2016	New Construction Program, NCP11144 - Hudson Street	114,558
Bright Power, Inc.	4/8/2016	New York Sun Program, Commerical/IndustrialPV	462,863
	4/12/2016	Flexible Technical Assistance Program, FlexTech Consultant Se..	44,000
	4/26/2016	New York Sun Program, NY-Sun	83,899
	6/15/2016	New York Sun Program, NY-Sun	35,585
BrightHOME Energy Solutions, LLC	5/5/2016	HOME PERFORMANCE WITH ENERGY STAR, Shorehaven L..	22,804
Bronx Park Phase I Preservation LLC	9/28/2016	Multifamily Performance Program, Multifamily	81,600
Bronx Park Phase II Preservation LLC	9/28/2016	Multifamily Performance Program, Multifamily	57,200
Bronx Pro Real Estate Management	4/4/2016	Multifamily Performance Program, Multifamily	25,000
Brookhaven National Lab	6/8/2016	Environmental Research, Energy and Environmental Perfo	48,000
	9/14/2016	Renewable Heat NY, Next-Gen Test Method Devel	48,000
Brooklyn Healthcare Investors LLC	5/4/2016	New Construction Program, NCP12315 - 4813 Ninth Ave Medi	97,745
Brooklyn Renaissance Plaza, LLC	9/12/2016	Flexible Technical Assistance Program, FlexTech Program - P..	80,296
	9/26/2016	Flexible Technical Assistance Program, FlexTech Program - Po..	248,782
Brooklyn SolarWorks LLC	5/12/2016	New York Sun Program, NY-Sun	6,138
	5/13/2016	New York Sun Program, NY-Sun	11,421
Bryan Allinson	9/6/2016	Innovation Capacity & Business Development, Commercializati..	49,000
Bubbins Farm LLC	4/12/2016	Agriculture Energy Efficiency Program, Agriculture Energy Effici..	160,206
	4/29/2016	Agriculture Energy Efficiency Program, Agriculture Energy Effici..	13,875
Buckingham Properties LLC	5/16/2016	New Construction Program, NCP11705 - Midtown Tower - OFL	219,753
Buffalo Management Group, Inc.	5/2/2016	Multifamily Performance Program, Multifamily	70,908
Building Media, Inc.	9/21/2016	Advanced Energy Codes, Energy Code Training and Suppo	349,921
Builtrite Solutions Inc.	9/7/2016	Existing Facilities Program, EFP2297 - Builtrite Solutions	66,247
	9/13/2016	Existing Facilities Program, EFP2297 - Builtrite Solutions	55,345
	5/2/2016	New Construction Program, CJ Brown - EMP	23,571
C.J. Brown Energy, P.C.	5/13/2016	Flexible Technical Assistance Program, FlexTech Consultant Se..	15,887
	5/20/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	5,632
		Flexible Technical Assistance Program, FlexTech Consultant Se..	19,320
	5/25/2016	Flexible Technical Assistance Program, FlexTech Consultant Se..	19,320
	6/20/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
	6/22/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	1,500
	7/8/2016	Flexible Technical Assistance Program, FlexTech Consultant Se..	6,095
	8/29/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	5,000
	9/13/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
	9/21/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
9/28/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500	
C.T. Male Associates Engineering,	5/20/2016	Flexible Technical Assistance Program, FlexTech Consultant Se..	9,225
	7/26/2016	Flexible Technical Assistance Program, FlexTech Consultant Se..	25,971
Calstart	4/18/2016	Clean Transportation, Advanced Transportation Tech	50,000
Calvary Hospital	6/6/2016	Existing Facilities Program, EFP2071 - Calvary Hospital	176,130
CAMBA Housing Ventures, Inc.	4/4/2016	Multifamily Performance Program, Multifamily	1,200
Cambridge United Presbyterian Church	4/7/2016	New York Sun Program, Solarize 2016	5,000

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Capital District Regional Planning Com..	7/28/2016	Cleaner Greener Communities, CGC53356 - CDRPC	3,000,000
Capital Region Gaming LLC	9/1/2016	New Construction Program, NCP13190 - Mohawk Casino-OFLT	212,996
Carbon Trust Advisory Limited	9/9/2016	Environmental Research, MetOcean planning for OSW	50,000
CCMH Times Square LLC	4/8/2016	Flexible Technical Assistance Program, FlexTech Program - PO..	120,011
CDH Energy Corporation	4/11/2016	Industrial Process Efficiency Program, Technical Review and Pr..	5,040
	4/12/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
		Industrial Process Efficiency Program, Technical Review and Pr..	9,960
	4/14/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
	4/15/2016	Industrial Process Efficiency Program, Technical Review and Pr..	3,650
	5/11/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	1,500
	5/24/2016	Industrial Process Efficiency Program, Technical Review and Pr..	19,880
	5/25/2016	Industrial Process Efficiency Program, Technical Review and Pr..	9,940
	5/27/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
	7/15/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	5,000
	7/22/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	5,000
	7/28/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
	8/2/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	5,000
	8/8/2016	Evaluation, Technical Review and Program S	48,340
	8/29/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
	8/31/2016	Emerging Technology/Accelerated Commercialization, Technica..	50,000
	9/2/2016	Emerging Technology/Accelerated Commercialization, Technica..	24,935
	9/21/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	5,000
	CEC Solar #1200 LLC	4/14/2016	New York Sun Program, Commercial/Industrial PV
CEC Stuyvesant Cove, Inc.	8/4/2016	Cleaner Greener Communities, CGC55294 - Solar One	2,902,488
Cedars of Chilli Housing Development	5/11/2016	HOME PERFORMANCE WITH ENERGY STAR, Cedars of Chilli..	560,482
Center for Internet Security Inc	8/23/2016	Admin, Information Security Malicious	7,440
Center for Sustainable Energy	7/26/2016	Other Program Area, ChargeNY ZEV Rebate Imp Contra	550,000
Centerplate, Inc.	4/14/2016	Innovation Capacity & Business Development, 2016 NY Green I..	12,000
Central New York Regional Planning and D	5/17/2016	New York Sun Program, Central New York Solar	70,000
	7/21/2016	Cleaner Greener Communities, CGC57053 - CNY RPDB	3,000,000
CHA Consulting Inc.	4/12/2016	Flexible Technical Assistance Program, FlexTech Consultant C..	54,420
	5/2/2016	Industrial Process Efficiency Program, Technical Review and Pr..	3,600
	5/11/2016	Flexible Technical Assistance Program, FlexTech Consultant C..	5,600
		Industrial Process Efficiency Program, Technical Review and Pr..	14,100
	5/18/2016	Industrial Process Efficiency Program, Commercial & Industrial ..	489,506
	6/3/2016	Renewable Heat NY, Technical Review and Program S	1,950
	6/16/2016	Industrial Process Efficiency Program, Technical Review and Pr..	6,700
	6/23/2016	Industrial Process Efficiency Program, Technical Review and Pr..	3,750
	7/5/2016	Industrial Process Efficiency Program, Commercial & Industrial ..	30,745
	7/8/2016	Industrial Process Efficiency Program, Technical Review and Pr..	47,500
	7/12/2016	Existing Facilities Program, Technical Review and Program S	3,000
	7/14/2016	Industrial Process Efficiency Program, FlexTech Consultant CHA	9,700
	7/15/2016	Industrial Process Efficiency Program, Technical Review and Pr..	4,000
	9/12/2016	Industrial Process Efficiency Program, Technical Review and Pr..	4,000
	9/19/2016	Flexible Technical Assistance Program, FlexTech Consultant C..	52,250
Chadbourne & Parke LLP	9/21/2016	Industrial Process Efficiency Program, Technical Review and Pr..	17,000
		Renewable Heat NY, Technical Review and Program S	2,450
	7/12/2016	New York Green Bank, Chadbourne & Parke, LLC Legal	25,000
	8/22/2016	New York Green Bank, Investec/Sunrun Legal Fees	15,000
Chandler Reed, LLC	7/26/2016	Innovation Capacity & Business Development, Ecosystem Inves..	49,000
Chelsea Farms, LLC	9/16/2016	New York Sun Program, NY-SUN C&I Assignee Payment	890,263
	9/26/2016	New York Sun Program, NY-Sun C&I Payment Assignee	890,263
CIR ELECTRICAL CONSTRUCTION CORP.	5/18/2016	New York Sun Program, NY-Sun	5,200
	5/24/2016	New York Sun Program, NY-Sun	7,440
	6/8/2016	New York Sun Program, NY-Sun	6,324
	9/13/2016	New York Sun Program, NY-Sun	8,280

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Contractor	Date Encumbered	Project Description	Total Contract Amount
CIR ELECTRICAL CONSTRUCTION CORP.	9/14/2016	New York Sun Program, NY Sun	7,936
	9/15/2016	New York Sun Program, NY Sun	5,828
Citi Realty Services	4/4/2016	Flexible Technical Assistance Program, FlexTech Program - Po..	68,000
Citizens Enterprises Corporation	5/20/2016	New York Sun Program, Commercial/Industrial PV	324,531
City of Beacon	6/9/2016	New Construction Program, NCP12347 - Beacon Hwy - OFLT	14,831
City of Buffalo	6/15/2016	Existing Facilities Program, EFP2641 - City of Buffalo Wate	7,875
City of Cortland	9/6/2016	Cleaner Greener Communities, CGC39729 - City of Cortland	39,000
City of Rochester	6/22/2016	New Construction Program, NCP12764 - Public Market Expan	14,420
Clarkson University	5/11/2016	Renewable Heat NY, CO off-gassing pellet storage	49,970
	7/13/2016	New Construction Program, NCP14057 - Damon Hall - OFLT	220,000
	7/25/2016	Environmental Research, Guidance for Thermal Storage	49,999
Clean Energy States Alliance	6/15/2016	Small Wind, Membership in ITAC	15,000
	9/20/2016	Other Program Area, CESA 2016-2017 Membership Dues	68,500
Clean Power Research	6/24/2016	New York Sun Program, Power Clerk Database for NYSUN	106,000
CLEAResult Consulting, Inc.	8/11/2016	HOME PERFORMANCE WITH ENERGY STAR, Empower QA ..	405,000
	9/14/2016	Assisted Home Performance with Energy Star, Program Implem..	363,533
		HOME PERFORMANCE WITH ENERGY STAR, Program Imple..	1,602,723
CNY Fabrication, LLC	7/11/2016	New Construction Program, NCP14068-CNY Fabrication-OFLT	130,142
CNY Solar, Inc.	4/1/2016	New York Sun Program, NY-Sun	55,920
	4/5/2016	New York Sun Program, NY-Sun	16,884
	4/22/2016	New York Sun Program, NY-Sun	5,312
	5/9/2016	New York Sun Program, NY-Sun	32,900
	5/18/2016	New York Sun Program, NY-Sun	4,680
	6/15/2016	New York Sun Program, NY-Sun	10,192
	7/5/2016	New York Sun Program, NY-Sun	5,952
	7/19/2016	New York Sun Program, NY-Sun	936
	7/27/2016	New York Sun Program, NY-Sun	4,940
	8/15/2016	New York Sun Program, NY-Sun	8,316
	8/24/2016	New York Sun Program, NY-Sun	23,048
	8/31/2016	New York Sun Program, NY-Sun	130
Coach, Inc.	6/2/2016	New Construction Program, NCP12237 - Coach Hq - OFLT	448,155
Code Green Solutions, Inc.	4/18/2016	Flexible Technical Assistance Program, FlexTech Consultant Se..	23,095
	5/27/2016	Flexible Technical Assistance Program, FlexTech Consultant Se..	41,825
Cogeneration Contractors, Inc.	8/11/2016	Combined Heat and Power, CHPA - Morris Avenue Apartment	117,000
Collegiate School Inc	7/11/2016	New Construction Program, NCP11512 - Collegiate School r	189,051
Columbia University	4/20/2016	Environmental Research, Health Outcomes Over NY	48,000
Columbia University Medical Center	4/8/2016	Industrial Process Efficiency Program, Industrial Process Efficie..	184,858
Columille Properties LLC	8/8/2016	Industrial Process Efficiency Program, Industrial Process Efficie..	86,867
Combined Energies LLC	7/21/2016	Clean Transportation, Power/energy module dev & demo	49,500
Communications Specialists, Inc.	8/8/2016	New York Sun Program, NY-Sun	5,494
	9/20/2016	New York Sun Program, NY-Sun	7,325
Computer Aid, Inc.	5/25/2016	Admin, Staff Augmentation	280,800
Concur Technologies, Inc.	7/18/2016	Admin, Concur Tech Expense Expert	18,000
Consortium for Energy Efficiency, Inc.	9/29/2016	Other Program Area, Industrial Process Efficiency	25,000
Control Solutions Group, Inc.	7/28/2016	Admin, Control Panel for HVAC in NYC	9,852
COOPER ELECTRIC SUPPLY INC	9/22/2016	New York Sun Program, NY-Sun Comp. Monroe Cable	787,874
Cornell University	5/18/2016	Environmental Research, Greenhouse Humidity Control	49,999
	6/6/2016	Other Program Area, 76West Building a Clean Energy	333,745
	7/6/2016	Other Program Area, 76West Building a Clean Energy	244,024
	8/2/2016	Other Program Area, 76West Building a Clean Energy	582,154
	8/11/2016	Other Program Area, 76West Building a Clean Energy	168,785
Cornerstone Energy Services	4/15/2016	Renewable Heat NY, RHNY PON 3010 Incentive - Kinb	21,910
Corning Community College	7/21/2016	Industrial Process Efficiency Program, Industrial Process Efficie..	13,096
Corning Inc.	7/21/2016	Industrial Process Efficiency Program, Industrial Process Efficie..	38,377
	7/29/2016	Industrial Process Efficiency Program, Industrial Process Efficie..	80,320
	8/1/2016	Industrial Process Efficiency Program, Industrial Process Efficie..	28,069

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Contractor	Date Encumbered	Project Description	Total Contract Amount
Courtney-Strong Inc.	9/21/2016	Cleaner Greener Communities, CGC53012 - Courtney Strong	792,441
Credit Suisse USA	9/12/2016	Industrial Process Efficiency Program, Industrial Process Efficie..	91,875
Crestwood Lake Heights Section 1 Corp.	8/11/2016	Multifamily Performance Program, Multifamily	22,600
Crestwood Lake Heights Section 2 Corp.	8/11/2016	Multifamily Performance Program, Multifamily	37,000
Crestwood Lake Heights Section 3 Corp.	8/11/2016	Multifamily Performance Program, Multifamily	24,600
Crestwood Lake Heights Section 4 Corp.	8/11/2016	Multifamily Performance Program, Multifamily	12,150
Crossland Mechanical Inc.	8/23/2016	Admin, HVAC - NYC Office Telco/AV Rm	23,668
Croton Energy Group, Inc.	4/26/2016	New York Sun Program, NY-Sun	6,221
Cutone & Company Consultants, LLC	4/26/2016	Existing Facilities Program, EFP2632 - Cutone & Company	105,015
Cypress Creek Renewables LLC	4/5/2016	New York Sun Program, Commercial/Industrial PV	1,725,503
	4/8/2016	New York Sun Program, Commercial/Industrial PV	2,649,367
	4/12/2016	New York Sun Program, Commercial/Industrial PV	3,853,624
		New York Sun Program, Commerical/IndustrialPV	4,094,476
	4/18/2016	New York Sun Program, Commercial/Industrial PV	1,445,109
		New York Sun Program, NY-Sun	1,204,258
	4/22/2016	New York Sun Program, Commercial/Industrial PV	1,407,080
	4/28/2016	New York Sun Program, Commercial/Industrial PV	1,172,567
	6/1/2016	New York Sun Program, Commercial/Industrial PV	1,407,080
	6/13/2016	New York Sun Program, NY-Sun	2,345,133
	6/23/2016	New York Sun Program, NY-Sun C/I	1,172,567
		New York Sun Program, NY-Sun CI	1,172,567
	6/30/2016	New York Sun Program, NY-Sun	1,172,567
		New York Sun Program, NY-Sun C&I	1,172,567
	8/8/2016	New York Sun Program, NY-Sun CI	1,109,185
	8/9/2016	New York Sun Program, NY-Sun CI	1,109,185
	8/10/2016	New York Sun Program, NY-SunCI	1,109,185
	9/26/2016	New York Sun Program, NY Sun C&I	1,109,185
		New York Sun Program, NY-Sun C&I	1,109,185
	9/28/2016	New York Sun Program, NY Sun C&I	2,218,369
New York Sun Program, NY-Sun C&I		3,327,554	
Dailey Electric Inc	8/16/2016	New York Sun Program, NY-Sun	5,520
David P Bruns	6/2/2016	HOME PERFORMANCE WITH ENERGY STAR, Codes & New ..	992,000
DCG Development Co.	6/20/2016	New Construction Program, NCP12367 - Home2 Suites-OFLT	46,054
DealCloud Inc.	6/17/2016	New York Green Bank, DealCloud Implementation	12,500
		New York Green Bank, DealCloud Licensing	212,500
Direct Energy Business LLC	7/21/2016	Industrial Process Efficiency Program, Industrial Process Efficie..	11,652
Direct Packet Inc.	8/31/2016	Admin, Tandberg Support - Renewal	5,055
	9/14/2016	Admin, VideoConf End of Life	16,258
Doherty Electric, LLC	7/26/2016	New York Sun Program, NY-Sun	5,130
DOJ Operations Associates LLC	4/4/2016	Flexible Technical Assistance Program, FlexTech Program - Po..	103,671
Dominican Sisters of Sparkill Convent	9/9/2016	Existing Facilities Program, EFP2521 - Dominican Sisters	9,107
Dowd-Witbeck Printing Corp.	4/29/2016	Admin, Printing Services-MWBE	970
	5/20/2016	Other Program Area, Printing Services	110
	6/17/2016	Admin, Printing Services-MWBE	519
	6/28/2016	Admin, Printing Services-MWBE	805
	9/2/2016	Admin, Printing Services-MWBE	488
Dr. Richard Schlesinger	7/7/2016	Environmental Research, Environmental Research	30,000
Duane Allen	7/12/2016	Agriculture Energy Efficiency Program, Agriculture Energy Effici..	53,539
DynaBil Industries Inc	9/22/2016	New Construction Program, NCP12893 - Building 171-OFLT	11,980
Dynamic Energy Solutions, LLC	7/26/2016	New York Sun Program, Assignee-DE	1,022,236
Earth Environmental Group, LLC	5/27/2016	Renewable Thermal, Solar Thermal Incentives	25,130
	6/9/2016	Renewable Thermal, Solar Thermal Incentives	10,000
East Harlem Center	8/16/2016	New Construction Program, NCP13025-EHarlemTutorial-OFLT	24,110
East Hills Autofix LLC	9/27/2016	Fuel NY, PGI00011 - East Hills Autofix	48,950
Eastern Energy Systems Inc.	5/6/2016	New York Sun Program, NY-Sun	8,930
EBSCO Industries, Inc.	9/12/2016	Environmental Research, PlumX altmetrics 2016-2017	15,750

Contracts Executed

Period 4/1/2016 through 9/30/2016

Contractor	Date Encumbered	Project Description	Total Contract Amount
EC Infosystems, Inc.	9/9/2016	Admin, Electronic Data Outsourcing	190,650
Ecology and Environment Engineering, ..	9/30/2016	Cleaner Greener Communities, CGC Implementation Contractor	1,126,049
EcoMen Solar, LLC	8/3/2016	New York Sun Program, NY-Sun	5,440
Eight Point Wind, LLC	9/26/2016	11th Main Tier Solicitation	134,756,568
El Mira Colony Park LLC	5/19/2016	Multifamily Performance Program, Multifamily	8,600
Electric Power Research Institute	5/27/2016	Smart Grid Systems, Clean DER Interconnection	250,000
	8/26/2016	Smart Grid Systems, EPTD Smart Grid	364,000
EMCOR Services Betlem	4/12/2016	Flexible Technical Assistance Program, FlexTech Consultant Se..	3,571
	4/14/2016	Flexible Technical Assistance Program, FlexTech Consultant Se..	16,953
	5/20/2016	Flexible Technical Assistance Program, FlexTech Consultant Se..	4,929
	8/29/2016	Industrial Process Efficiency Program, IPE16010-EMCOR Servi..	18,299
	8/30/2016	Industrial Process Efficiency Program, IPE16003-EMCOR Servi..	19,199
	9/23/2016	Flexible Technical Assistance Program, FlexTech Consultant Se..	7,047
EME Consulting Engineering Group, LLC	5/4/2016	Industrial Process Efficiency Program, Technical Review and Pr..	10,400
	5/5/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
	5/20/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
	6/9/2016	New Construction Program, Technical Review and Program S	6,200
	6/13/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
	6/16/2016	New Construction Program, Technical Review and Program S	19,650
	8/2/2016	Flexible Technical Assistance Program, FlexTech Consultant Se..	75,000
	8/17/2016	New Construction Program, Technical Review and Program S	22,300
	8/29/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	5,000
	9/13/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
		Flexible Technical Assistance Program, FlexTech Consultant Se..	10,093
	9/19/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
Emerald Alternative Energy Solutions, In	4/12/2016	Clean Transportation, Tech. Assistance contractor fo	11,000
Emerling Sustainable Dairy Digester LLC	8/3/2016	Anaerobic Digester Program, RPS CST ADG-Emerling Farms L..	2,000,000
Empire Solar Solutions LLC	4/18/2016	New York Sun Program, NY-Sun	6,816
	5/12/2016	New York Sun Program, NY-Sun	5,472
	5/16/2016	New York Sun Program, NY-Sun	5,130
	6/1/2016	New York Sun Program, NY-Sun	5,280
	7/29/2016	New York Sun Program, NY-Sun	5,280
	8/2/2016	New York Sun Program, NY-Sun	6,000
	8/5/2016	New York Sun Program, NY-Sun	6,480
	8/15/2016	New York Sun Program, NY-Sun	7,200
	9/20/2016	New York Sun Program, NY-Sun	6,400
Empire State Realty Trust 1350 Broadw..	8/16/2016	Existing Facilities Program, EFP1962-Empire State Realty Tr	24,242
Empower CES, LLC	4/5/2016	New York Sun Program, NY-Sun	5,297
	6/23/2016	New York Sun Program, NY-Sun	6,383
	6/24/2016	New York Sun Program, NY-Sun	11,216
	8/24/2016	New York Sun Program, NY-Sun	11,903
	8/30/2016	New York Sun Program, NY-Sun	15,283
	9/13/2016	New York Sun Program, NY-Sun	5,520
Enbala Power Networks USA Inc.	6/14/2016	Emerging Technology/Accelerated Commercialization, ETAC-Cl..	594,960
ENER-G ROTORS, Inc	7/21/2016	Innovation Capacity & Business Development, Waste heat to el..	150,500
ENER-G Rudox Inc.	9/7/2016	Combined Heat and Power, CHPA - Michaelangelo Hotel	455,138
		Combined Heat and Power, CHPA - Mima Apartments	840,050
		Combined Heat and Power, CHPA- Westport	283,200
Eneractive Solutions	5/25/2016	Flexible Technical Assistance Program, FlexTech Consultant En..	17,016
	7/15/2016	Flexible Technical Assistance Program, FlexTech Consultant En..	32,772
	9/28/2016	Flexible Technical Assistance Program, FlexTech Consultant En..	78,749
Energetics, Incorporated	4/25/2016	Clean Transportation, Truck Platooning Study	99,505
	6/3/2016	Smart Grid Systems, Flex Energy Tech Analysis 2	168,240
	7/15/2016	Clean Transportation, Planning Board EVSE Promotion	100,000
Energy & Resource Solutions, Inc.	4/12/2016	Existing Facilities Program, Technical Review and Program S	44,730
	4/19/2016	Existing Facilities Program, Technical Review and Program S	13,870

Contracts Executed
Period 4/1/2016 through 9/30/2016

Contractor	Date Encumbered	Project Description	Total Contract Amount
Energy & Resource Solutions, Inc.	4/26/2016	Industrial Process Efficiency Program, Commercial & Industrial ..	264,079
	4/29/2016	Existing Facilities Program, Technical Review and Program S	13,230
	5/4/2016	Industrial Process Efficiency Program, Technical Review and Pr..	9,305
	5/9/2016	Existing Facilities Program, Technical Review and Program S	14,835
	5/13/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
	5/20/2016	Flexible Technical Assistance Program, FlexTech Consultant Se..	14,940
	5/27/2016	Flexible Technical Assistance Program, FlexTech Consultant Se..	8,588
	6/9/2016	Industrial Process Efficiency Program, Technical Review and Pr..	30,825
	6/20/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
	7/5/2016	Industrial Process Efficiency Program, Technical Review and Pr..	92,680
	7/8/2016	Existing Facilities Program, Technical Review and Program S	9,190
	7/28/2016	New Construction Program, Technical Review and Program S	6,950
	8/2/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
	8/17/2016	Emerging Technology/Accelerated Commercialization, Technica..	95,460
	8/29/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
	8/30/2016	Renewable Heat NY, Technical Review and Program S	3,605
	9/13/2016	Existing Facilities Program, Technical Review and Program S	10,265
	9/16/2016	Flexible Technical Assistance Program, FlexTech Consultant Se..	19,670
	9/23/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
	9/30/2016	Existing Facilities Program, Technical Review and Program S	18,525
Energy and Environmental Economics Inc.	7/21/2016	Energy Analysis, REV Economic Framework	15,426
	9/1/2016	Environmental Research, Flex Energy Tech Analysis 2	300,000
	9/22/2016	Energy Analysis, Tech Assist, REV Pool	150,000
Energy Conservation & Supply, Inc.	4/18/2016	Existing Facilities Program, EFP2399 - Energy Conservation	30,646
	5/27/2016	Existing Facilities Program, EFP2399 - Energy Conservation	20,400
Energy Week Holdings, LLC	6/15/2016	Admin, 2016 New York Energy Week	5,000
EnergySavvy Inc	9/14/2016	Assisted Home Performance with Energy Star, HPWES Progra..	86,494
		HOME PERFORMANCE WITH ENERGY STAR, HPWES Progra..	657,012
Enerlife Consulting Inc.	6/6/2016	Emerging Technology/Accelerated Commercialization, ETAC-Cl..	113,847
Ensava, Inc.	4/13/2016	Agriculture Energy Efficiency Program, AEEP Implementation C..	945,000
EnterSolar LLC	4/20/2016	New York Sun Program, Commercial/Industrial PV	357,079
	5/6/2016	New York Sun Program, NY-Sun	214,325
	5/26/2016	New York Sun Program, NY-Sun	62,500
	7/19/2016	New York Sun Program, NY-Sun C/I	369,636
Enven Energy Services	7/26/2016	Existing Facilities Program, EFP2501 - Enven Energy Service	16,822
Environment & Energy Publishing, LLC	9/12/2016	Admin, Annual Renewal for Environmenta	10,770
Environmental Control Inc.	9/20/2016	New York Sun Program, NY-Sun	5,940
Equity Energy, LLC	9/26/2016	Renewable Heat NY, RHNY PON 3010 Incentive - Page	10,000
Erdman Anthony & Associates, Inc.	4/8/2016	New Construction Program, EAA - EMP	6,630
	4/26/2016	Industrial Process Efficiency Program, Technical Review and Pr..	3,845
	5/11/2016	New Construction Program, Technical Assistance Services	9,194
	6/20/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
	7/15/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
	8/29/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	5,000
	8/30/2016	Industrial Process Efficiency Program, Technical Review and Pr..	9,116
	9/8/2016	New Construction Program, EAA - EMP	32,832
	9/21/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
	Eric Daniel Moses	7/11/2016	HOME PERFORMANCE WITH ENERGY STAR, Codes & New ..
Erie Boulevard Hydropower LP	4/18/2016	Large Scale Renewables, RPS Program Purchase of Renewa	55,717
		Large Scale Renewables, Stewarts Bridge Hydro Project	602,993
Ery Hypis LLC	6/14/2016	Combined Heat and Power, PON2701-Performance Incentive	2,400,000
ERY South Residential Tower LLC	8/17/2016	New Construction Program, NCP11332-15 Hudson Yards-OFLT	401,656
ESRI, Incorporated	8/12/2016	Admin, ESRI Licensing - Renewal	16,500
Essense Partners Inc.	7/26/2016	New York Green Bank, Marketing materials for NYGB	50,000
	8/11/2016	Other Program Area, ZEV Marketing Support	197,900
Executive Information Systems, LLC	9/22/2016	Admin, purchase of statistical softwa	37,666

Contracts Executed

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Contractor	Date Encumbered	Project Description	Total Contract Amount
Extraterrestrial Materials Inc.	9/13/2016	New York Sun Program, NY-Sun	5,940
EYP Architecture & Engineering, PC	9/6/2016	New Construction Program, Technical Assistance Services	21,900
Farmington Farm and Garden, Inc	5/4/2016	New Construction Program, NCP13150 - Henrietta CountryMa	14,268
Ficazzola Consulting, LLC	8/5/2016	New York Sun Program, NY-Sun	6,773
Fingerlakes Renewables	6/24/2016	New York Sun Program, NY-Sun	7,168
	7/29/2016	New York Sun Program, NY-Sun	6,720
First Associates Loan Servicing, LLC	8/10/2016	Green Jobs Green New York Revolving Loan Fund, Single Fami..	50,000
First Columbia Property Services, LLC	5/3/2016	Admin, Property Management Services	228,043
	9/22/2016	Admin, Property Management Services	14,458
Florenton River LLC	4/18/2016	New York Sun Program, NY-Sun	21,120
	5/6/2016	New York Sun Program, NY-Sun	6,498
	5/9/2016	New York Sun Program, NY-Sun	7,560
	7/29/2016	New York Sun Program, NY-Sun	43,402
	8/2/2016	New York Sun Program, NY-Sun	6,000
	8/16/2016	New York Sun Program, NY-Sun	5,504
	9/13/2016	New York Sun Program, NY-Sun	6,400
Fluor Industrial Services	6/13/2016	Industrial Process Efficiency Program, Industrial Process Efficie..	82,833
Fordham Fulton Realty Corp.	7/28/2016	Multifamily Performance Program, Multifamily	80,250
Fort Schuyler Management Corporation	8/9/2016	Industrial Process Efficiency Program, Industrial Process Efficie..	102,255
	8/12/2016	New Construction Program, NCP12678 - Riverbend	328,971
	9/2/2016	New Construction Program, NCP12679 - Buffalo IT - OFLT	27,000
Found Object LLC	4/18/2016	Admin, Communications Services for Re	46,000
Fourth Coast, Inc.	6/7/2016	New York Sun Program, NY-Sun	14,840
	6/15/2016	New York Sun Program, NY-Sun	25,440
	6/23/2016	New York Sun Program, NY-Sun	5,936
	7/5/2016	New York Sun Program, NY-Sun	5,262
	8/16/2016	New York Sun Program, NY-Sun	4,788
	9/16/2016	New York Sun Program, NY-Sun	8,480
	9/27/2016	New York Sun Program, NY-Sun	220
Frederick A Proven	8/5/2016	New York Sun Program, NY-Sun	5,824
Freedom Solar Inc.	4/11/2016	New York Sun Program, NY-Sun	17,290
	5/24/2016	New York Sun Program, NY-Sun	5,304
	5/27/2016	New York Sun Program, NY-Sun	11,964
	7/11/2016	New York Sun Program, NY-Sun	6,624
	7/18/2016	New York Sun Program, NY-Sun	6,752
	8/2/2016	New York Sun Program, NY-Sun	6,624
	8/5/2016	New York Sun Program, NY-Sun	20,600
	8/9/2016	New York Sun Program, NY-Sun	6,800
	8/16/2016	New York Sun Program, NY-Sun	5,658
	8/24/2016	New York Sun Program, NY-Sun	10,494
Fried, Frank, Harris, Shriver, Jacobson	8/5/2016	Admin, Legal Services	100,000
G.W. Ehrhart, Inc.	4/13/2016	Renewable Heat NY, Renewable Heating & Cooling	10,000
	9/26/2016	Renewable Heat NY, RHNY PON 3010 Incentive - Barb	12,870
	9/30/2016	Renewable Heat NY, Renewable Heating & Cooling	19,625
Garlock Sealing Technologies, LLC	7/21/2016	Industrial Process Efficiency Program, Industrial Process Efficie..	24,930
Garnet Solar Partners LLC	4/12/2016	New York Sun Program, Commercial/Industrial PV	808,113
Gas Technology Institute	6/28/2016	Advanced Buildings, Advanced Buildings Technology	273,111
GB Lighting Corp	4/8/2016	Existing Facilities Program, EFP2368 - GB Lighting - Bobove	10,323
GCOM Software Inc.	5/4/2016	Admin, Staff Augmentation	1
	7/25/2016	Admin, Salesforce additional licenses	297,049
GCP 188th Realty Corp	9/27/2016	Fuel NY, PGI00007 - GCP 188th Realty Co	62,621
Geatrain Engineering PLLC	8/2/2016	Flexible Technical Assistance Program, FlexTech Consultant Se..	25,000
General Electric Co. Gobal Research	5/24/2016	Industrial Process Efficiency Program, Industrial Process Efficie..	36,415
General Electric Company	9/20/2016	New Construction Program, NCP13122 - GE Building 40-OFLT	12,874
General Electric International Incorpora	4/5/2016	New York Sun Program, Commercial/Industrial PV	1,087,393
	7/19/2016	New York Sun Program, NY-Sun CI	325,529

Contracts Executed

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Contractor	Date Encumbered	Project Description	Total Contract Amount
Genesee Biogas LLC	9/13/2016	Cleaner Greener Communities, CGC26970 - Genesee Biogas L..	2,000,000
Geo of Camden, LLC	5/13/2016	New York Sun Program, NY-Sun	5,565
George E Denmark II	6/9/2016	New York Sun Program, NY-Sun	7,260
	8/5/2016	New York Sun Program, NY-Sun	5,060
George Secord	4/14/2016	Agriculture Energy Efficiency Program, Agriculture Energy Effici..	23,961
GL Energy Solutions	5/26/2016	Existing Facilities Program, EFP2541 - GL Energy - 2 Locati	295,389
Global Foundries U.S. Inc.	5/18/2016	Industrial Process Efficiency Program, Industrial Process Efficie..	422,322
Go Solar/Green NY, LLC	4/1/2016	New York Sun Program, NY-Sun	5,728
	5/27/2016	New York Sun Program, NY-Sun	5,886
	6/1/2016	New York Sun Program, NY-Sun	6,660
	8/16/2016	New York Sun Program, NY-Sun	5,396
	9/19/2016	New York Sun Program, NY-Sun	6,278
Goldman Copeland Associates, P.C.	6/29/2016	Flexible Technical Assistance Program, FlexTech Consultant Se..	7,513
GRE Fund II Holdco LLC	8/3/2016	New York Sun Program, NY-Sun Payment assignee	168,965
	8/8/2016	New York Sun Program, NY-Sun CI Assignment	154,885
	9/26/2016	New York Sun Program, NY Sun C&I	154,885
Green Charge Networks	7/15/2016	Clean Transportation, PEV Enabling Technology Demons	250,000
Green City Force	7/29/2016	Workforce Development, Career pathways training	307,000
Green Hybrid Energy Solutions Inc.	5/2/2016	New York Sun Program, NY-Sun	99
	5/18/2016	New York Sun Program, NY-Sun	10,472
	6/2/2016	New York Sun Program, NY-Sun	252
	6/23/2016	New York Sun Program, NY-Sun	8,870
	7/11/2016	New York Sun Program, NY-Sun	5,712
Green Mountain Electric Supply, Inc.	9/16/2016	New York Sun Program, NY-Sun	18,560
Green Options Buffalo	5/27/2016	Clean Transportation, Bicycling Education Campaign	30,000
Green Power Developers, LLC	4/27/2016	New York Sun Program, NY-Sun	36,773
Green Power Solutions, Inc.	4/26/2016	New York Sun Program, NY-Sun	5,220
	8/10/2016	New York Sun Program, NY-Sun	8,820
Green Street Power Partners LLC	6/10/2016	New York Sun Program, NY-Sun	36,631
	7/8/2016	New York Sun Program, NY-Sun	707,728
	7/29/2016	New York Sun Program, NY-Sun	28,428
	8/3/2016	New York Sun Program, NY-Sun	5,729
	9/20/2016	New York Sun Program, NY-Sun	6,409
Greenpac Mill, LLC	9/12/2016	Flexible Technical Assistance Program, FlexTech Program - Po..	25,549
Greenskies Powergroup 2 LLC	5/23/2016	New York Sun Program, Commercial/Industrial PV	384,693
Grid City Electric Corp	5/12/2016	New York Sun Program, NY-Sun	6,240
Groom Energy Solutions	9/28/2016	Existing Facilities Program, EFP2519 - Groom Energy Solutio	7,426
GUSTOMSC US INC.	9/15/2016	Energy Analysis, OSW Project 4: US Vessel Study	49,000
GZA GeoEnvironmental of New York	5/25/2016	West Valley Development Program, Trench 14 Investigation	300,000
H.P. Hood, LLC	5/11/2016	Combined Heat and Power, FlexTech Program - Pon 1746	80,000
Habitat for Humanity - New York City	6/2/2016	HOME PERFORMANCE WITH ENERGY STAR, Codes & New ..	2,100
		New York ENERGY STAR Homes, Codes & New Construction	18,900
Halcyon, Inc.	4/20/2016	New York Sun Program, NY-Sun	5,200
	5/20/2016	New York Sun Program, NY-Sun	5,200
	5/24/2016	New York Sun Program, NY-Sun	6,456
	6/1/2016	New York Sun Program, NY-Sun	6,148
	7/11/2016	New York Sun Program, NY-Sun	7,808
	7/13/2016	New York Sun Program, NY-Sun	7,800
	7/26/2016	New York Sun Program, NY-Sun	5,832
Hardinge Inc.	5/31/2016	Flexible Technical Assistance Program, FlexTech Program - Po..	11,750
Harrison Solar, LLC	7/22/2016	New York Sun Program, LTF Westchester Solar	348,964
Harvest Power, LLC	4/7/2016	New York Sun Program, NY-Sun	5,642
	6/9/2016	New York Sun Program, NY-Sun	38,305
	6/28/2016	New York Sun Program, NY-Sun	10,525
	7/6/2016	New York Sun Program, NY-Sun	14,910
	7/21/2016	New York Sun Program, NY-Sun	20,839

Contracts Executed

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Contractor	Date Encumbered	Project Description	Total Contract Amount
Hawaii Energy Connection	8/19/2016	New York Sun Program, NY-Sun	62,500
Healthy Home Energy & Consulting, Inc.	8/29/2016	New York Sun Program, NY-Sun	5,600
Hecate Energy LLC	9/26/2016	11th Main Tier Solicitation	46,123,202
Henry Phipps Plaza East, Inc.	7/28/2016	Multifamily Performance Program, Multifamily	46,800
HESP Solar, LLC	7/19/2016	New York Sun Program, NY-Sun C&I	270,618
HEVO Inc.	6/29/2016	Clean Transportation, Advanced Transportation Tech	250,000
High Falls Operating Co, LLC	8/1/2016	Industrial Process Efficiency Program, Industrial Process Efficie..	600,000
High Peaks Solar	8/2/2016	New York Sun Program, NY-Sun	504
	9/9/2016	New York Sun Program, NY-Sun	9,504
Hilton Hotels Corporation	4/18/2016	Existing Facilities Program, EFP2065-Hilton New York - 1335	38,179
Hobart and William Smith Colleges	4/8/2016	New York Sun Program, Commercial/Industrial PV	801,343
Holland & Knight LLP	4/13/2016	New York Green Bank, Green Bank Outside Legal Serv.	1,254
	8/4/2016	New York Green Bank, Green Bank Outside Legal Serv.	25,000
Holliswood Center for Rehabilitation	5/31/2016	Flexible Technical Assistance Program, FlexTech Program - Po..	32,234
Home for Harlem Dowling Inc	7/18/2016	Multifamily Performance Program, Multifamily	20,000
Home HeadQuarters, Inc.	4/13/2016	Cleaner Greener Communities, CGC38740 - Home Headquarters	1,555,000
Honeywell International Inc.	7/28/2016	Empower, Program Implementation Service	827,022
		HOME PERFORMANCE WITH ENERGY STAR, Program Imple..	1,540,294
	8/4/2016	HOME PERFORMANCE WITH ENERGY STAR, QA Services H..	496,125
HPP NY I	6/28/2016	New York Sun Program, FedEx Phase 2	39,026
HSF New York, Inc.	6/9/2016	New Construction Program, NCP11354 - RIU Hotel New York	88,275
Hudson Solar	4/5/2016	New York Sun Program, NY-Sun	6,272
	5/2/2016	New York Sun Program, NY-Sun	5,016
	5/6/2016	New York Sun Program, NY-Sun	7,068
	5/12/2016	New York Sun Program, NY-Sun	6,384
	5/13/2016	New York Sun Program, NY-Sun	11,362
	5/16/2016	New York Sun Program, NY-Sun	5,456
	5/24/2016	New York Sun Program, NY-Sun	9,300
	5/27/2016	New York Sun Program, NY-Sun	10,472
	6/2/2016	New York Sun Program, NY-Sun	9,120
	6/9/2016	New York Sun Program, NY-Sun	65,000
	6/16/2016	New York Sun Program, NY-Sun	65,000
	8/2/2016	New York Sun Program, NY-Sun	8,436
	8/5/2016	New York Sun Program, NY-Sun	5,016
	8/16/2016	New York Sun Program, NY-Sun	5,084
8/24/2016	New York Sun Program, NY-Sun	5,244	
9/13/2016	New York Sun Program, NY-Sun	5,248	
9/15/2016	New York Sun Program, NY Sun	7,638	
Hudson Valley Lighting LLC	7/21/2016	New Construction Program, NCP14051-HV Lighting HQ	69,400
Hyatt Corporation	7/8/2016	Multifamily Performance Program, 2016 MPP Summit	50,000
IBC Engineering PC	9/14/2016	Flexible Technical Assistance Program, FlexTech Consultant Se..	17,125
ICF Jones & Stokes	9/29/2016	Environmental Research, NYS Energy Research and Develo	268,316
ICF Resources, LLC	5/25/2016	Advanced Energy Codes, ECode Microsite	249,961
	9/1/2016	Advanced Buildings, Flex Energy Tech Analysis 2	115,000
IGS Ventures, Inc.	4/6/2016	New York Sun Program, PV@ Church of the Gateway	226,576
	5/23/2016	New York Sun Program, Commercial/Industrial	218,147
Indian River Central School District	6/30/2016	New Construction Program, NCP12782 - Evans Mills Primary	7,927
Industrial Exhibit Authority	5/11/2016	Corporate Marketing, 2016 NYS Fair - PSC Exhibit	5,265
	7/5/2016	Admin, 2016 NYS Fair	790
Infinity Solar Systems, LLC	4/5/2016	New York Sun Program, NY-Sun	7,325
	5/18/2016	New York Sun Program, NY-Sun	5,886
	6/8/2016	New York Sun Program, NY-Sun	5,363
	7/1/2016	New York Sun Program, NY-Sun	5,723
Infogroup Government Division	8/11/2016	Evaluation, Infogroup	500,000
Integration Strategy, Inc.	5/2/2016	New York Green Bank, NYGB Annual Business Plan 2016	50,000
Intelligent Green Solutions	4/25/2016	Renewable Thermal, Renewable Heating & Cooling	131,159

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Contractor	Date Encumbered	Project Description	Total Contract Amount
Intelligent Green Solutions	9/9/2016	Renewable Thermal, Renewable Heating & Cooling	11,907
International Electronic Machines Corp.,	7/29/2016	Clean Transportation, WISE Wheel Profile Demo	399,463
IPPsolar Integration LLC	8/3/2016	New York Sun Program, NY-Sun	84,761
Ithaca Carshare, Inc.	7/1/2016	Clean Transportation, H+T index for Tompkins County	29,920
Ithaca Hotels LLC	9/13/2016	New Construction Program, NCP12138-Holiday Inn Exp-OFLT	11,105
Ithaca Neighborhood Housing Services, In	6/22/2016	HOME PERFORMANCE WITH ENERGY STAR, Codes & New ..	1,350
		New York ENERGY STAR Homes, Codes & New Construction	12,150
	7/28/2016	HOME PERFORMANCE WITH ENERGY STAR, Codes & New ..	1,750
		New York ENERGY STAR Homes, Codes & New Construction	15,750
	8/8/2016	Cleaner Greener Communities, CGC52863 - Ithaca NHS	516,674
J P Morgan Chase Bank	4/12/2016	Existing Facilities Program, EFP2557 - JPMorgan Chase - Mul	2,551,454
	5/4/2016	Existing Facilities Program, EFP2380 - JPMorgan Chase - Mul	2,836,684
J. Ranck Electric, Inc.	6/15/2016	New York Sun Program, Commercial/Industrial	358,942
Jack M Reilly	4/4/2016	Clean Transportation, Upstate Transit Study	24,000
James McCrea & Associates, LLC	5/5/2016	New York Green Bank, NYGB Solar Energy RFP consulti	50,000
JCB Specialties, Inc.	9/28/2016	2016 NYS Fair Give Aways	17,045
Jewish Home of Rochester	8/17/2016	New Construction Program, NCP12489-JewishSeniorLife-OFLT	34,383
Johnson Controls Inc.	6/29/2016	Flexible Technical Assistance Program, FlexTech Consultant Se..	46,067
	9/1/2016	Existing Facilities Program, EFP2067 - Johnson Controls	6,712
Kallen & Lemelson Consulting Enginee..	7/13/2016	New Construction Program, Technical Assistance Services	8,590
Karpman Consulting, LLC	5/25/2016	New Construction Program, Model Quality Assurance for NC	50,000
Kasselman Solar LLC	4/5/2016	New York Sun Program, NY-Sun	18,900
	4/21/2016	New York Sun Program, NY-Sun	15,794
	5/4/2016	New York Sun Program, NY-Sun	88
	5/12/2016	New York Sun Program, NY-Sun	5,016
	5/16/2016	New York Sun Program, NY-Sun	10,260
	5/24/2016	New York Sun Program, NY-Sun	70,016
	6/9/2016	New York Sun Program, NY-Sun	12,768
	6/16/2016	New York Sun Program, NY-Sun	7,182
	6/17/2016	New York Sun Program, NY-Sun	12,426
	7/14/2016	New York Sun Program, NY-Sun	2,184
	7/29/2016	New York Sun Program, NY-Sun	10,488
	8/3/2016	New York Sun Program, NY-Sun	5,244
	8/5/2016	New York Sun Program, NY-Sun	17,442
	8/9/2016	New York Sun Program, NY-Sun	5,016
	8/10/2016	New York Sun Program, NY-Sun	18,696
	8/19/2016	New York Sun Program, NY-Sun	114
9/15/2016	New York Sun Program, NY-Sun	6,000	
9/20/2016	New York Sun Program, NY-Sun	9,918	
9/28/2016	New York Sun Program, NY-Sun	5,130	
Keuka College	6/2/2016	New Construction Program, NCP12601 - Keuka Commons-OF..	6,415
Kiit Renewable Energy LLC	5/19/2016	New York Sun Program, Commercial/Industrial PV	352,568
Kilowatt Engineering, Inc.	4/26/2016	Industrial Process Efficiency Program, Technical Review and Pr..	4,926
	5/9/2016	Existing Facilities Program, Technical Review and Program S	7,121
	6/20/2016	Industrial Process Efficiency Program, Technical Review and Pr..	6,456
	7/8/2016	Existing Facilities Program, Technical Review and Program S	4,698
	8/22/2016	Industrial Process Efficiency Program, Technical Review and Pr..	5,288
Kilowatt Financial, LLC	5/26/2016	New York Sun Program, NY-Sun	6,560
KLD Engineering, P.C.	4/14/2016	Clean Transportation, ICM Framework Suffolk County	148,757
Kraft Power Corporation	7/14/2016	Combined Heat and Power, CHPA - Mount Vernon High Schoo	266,250
L'Oreal USA, Inc.	9/23/2016	New Construction Program, NCP12669 - L'Oreal Hudson Yard	293,908
L&S Energy Services, Inc.	4/11/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
	4/12/2016	New Construction Program, Technical Review and Program S	6,766
	4/14/2016	Industrial Process Efficiency Program, Technical Review and Pr..	10,749
	5/5/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	6,000
	5/16/2016	New Construction Program, L&S-Energy Modeling Partner	5,000

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Contractor	Date Encumbered	Project Description	Total Contract Amount
L&S Energy Services, Inc.	5/20/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	5,000
	6/13/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
	6/30/2016	New Construction Program, L&S-Energy Modeling Partner	20,935
	7/5/2016	Flexible Technical Assistance Program, FlexTech Consultant Se..	8,804
	7/15/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
		Industrial Process Efficiency Program, Technical Review and Pr..	3,814
	7/22/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	5,000
	8/8/2016	Industrial Process Efficiency Program, Technical Review and Pr..	1,531
	8/15/2016	Green Jobs Green New York Revolving Loan Fund, FlexTech C..	5,677
	8/29/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
	8/30/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
	9/13/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
	9/19/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
	9/20/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
	9/21/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
		Industrial Process Efficiency Program, Technical Review and Pr..	3,277
	9/23/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	5,000
9/28/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500	
LaBella Associates, P.C.	5/11/2016	Flexible Technical Assistance Program, FlexTech Consultant Se..	10,000
	6/20/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
	7/22/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
	7/25/2016	Industrial Process Efficiency Program, Technical Review and Pr..	6,840
	7/28/2016	Flexible Technical Assistance Program, FlexTech Consultant Se..	22,430
	8/29/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	5,000
	9/19/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
	9/26/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
Lago Resort Casino LLC	6/20/2016	New Construction Program, NCP12762 - Lago Casino-OFLT	335,197
Lansing Central School District	6/23/2016	Flexible Technical Assistance Program, FlexTech Program - PO..	6,057
Launch New York, Inc.	6/16/2016	Innovation Capacity & Business Development, Map Clean Ener..	49,250
	8/2/2016	Innovation Capacity & Business Development, Launch NY Spon..	25,000
LC DRives	9/30/2016	Other Program Area, Advanced Transportation Tech	250,000
LED Specialists	8/26/2016	Advanced Buildings, Advanced Buildings Technology	244,236
Legacy Yards Tenant LLC	7/28/2016	New Construction Program, NCP10564-10 Hudson Yards-OFLT	1,610,811
Leslie J Jardine	6/21/2016	NFS Records Review	15,000
Level 3 Communications, LLC	4/7/2016	Admin, Information Technology	279,735
Level Solar Inc.	8/8/2016	New York Sun Program, NY-Sun	5,244
Leviton Manufacturing Co, Inc.	6/7/2016	Clean Transportation, PEV Enabling Technology Demons	49,318
Lilker EMO Energy Solutions, LLC	8/16/2016	Flexible Technical Assistance Program, FlexTech Consultant Se..	7,005
Lionshead Energy LLC	5/12/2016	New York Sun Program, NY-Sun	125,792
	6/16/2016	New York Sun Program, NY-Sun	28,224
Loeb & Loeb LLP	4/25/2016	New York Green Bank, Green Bank Outside Legal Couns	34,976
Long Island Events LLC	4/22/2016	Fuel NY, Fuel NY Deployment Exercise	20,000
Long Island Progressive Coalition	8/8/2016	Green Jobs Green New York Revolving Loan Fund, GJGNY Out..	190,561
Lor-Rob Sustainable Dairy Digester LLC	8/3/2016	Anaerobic Digester Program, RPS CST ADG-Lor-Rob Dairy Far..	2,000,000
Lotus Energy, Inc.	6/8/2016	New York Sun Program, NY-Sun	54,442
Lydall Performance Materials	7/29/2016	Industrial Process Efficiency Program, Industrial Process Efficie..	83,214
M. Arthur Gensler Jr. & Associates Inc.	8/12/2016	Market Pathways, CRETP - Gensler - 1700 Broadwa	140,000
M/E Engineering, P.C.	5/2/2016	New Construction Program, M/E - EMP	12,313
	7/15/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	5,775
	7/22/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
	8/5/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
	8/29/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
	8/30/2016	Flexible Technical Assistance Program, FlexTech Consultant Se..	165,000
		Other Program Area, FlexTech Consultant Selection	165,000
	8/31/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
9/19/2016	Flexible Technical Assistance Program, FlexTech Consultant Se..	187,060	

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Contractor	Date Encumbered	Project Description	Total Contract Amount
Malone Central School District	7/13/2016	New Construction Program, NCP12894 - Malone CSD Bus Gara	18,859
Manufacturers & Traders Trust Co.	4/5/2016	Existing Facilities Program, EFP2642 - M&T Bank - NFG	1,588
Maple Housing Development Fund Corp	6/27/2016	Multifamily Performance Program, Multifamily	115,000
Mapleview Dairy LLC	5/17/2016	Anaerobic Digester Program, RPS CST ADG - Mapleview Dairy	2,000,000
Marshall & Sterling, Inc.	5/11/2016	Admin, Property Liability and Other	190,000
Mayer Bros. Apple Products, Inc.	5/12/2016	Industrial Process Efficiency Program, Industrial Process Efficie..	39,903
MBD Community Housing Corp	4/4/2016	Multifamily Performance Program, Multifamily	23,000
McMahon and Mann Consulting Engine..	6/1/2016	West Valley Development Program, Engineering/Surveying Cont	192,500
Meals on Wheels of Chemung County I..	9/6/2016	New Construction Program, NCP12519-MealsWhlsChemung-O..	11,342
Meister Consultants Group, Inc.	4/13/2016	New York Sun Program, NY-SUN PVBOS Training and Educ	541,541
		Workforce Development, NY-SUN PVBOS Training and Educ	808,884
	9/30/2016	Innovation Capacity & Business Development, Renewable Heati..	249,283
	REV Campus Challenge, REV CC - Meister CG	125,000	
Memorial Hospital for Cancer & Allied Di	8/24/2016	New Construction Program, NCP11393 - 74th Street Ambulat	962,245
Mesa Bioenergy Supply, LLC	6/20/2016	Environmental Research, Mesa BioEnergy BPP Project Eva	49,500
	6/27/2016	Cleaner Greener Communities, CGC32404 Reassignment to M..	841,188
MetLife	9/29/2016	Market Pathways, CRETP - Metlife - 200 Park - I	140,000
Metropolitan College of New York	4/28/2016	New Construction Program, NCP11813-MCNY Bronx - OFLT	14,466
Metropool, Inc.	4/15/2016	Clean Transportation, Tri-Cities Mobility Challenge	299,331
MH One Enterprise Inc	9/22/2016	Fuel NY, PGI00004 - MH One Enterprise	67,900
Micatu, Inc.	4/25/2016	Innovation Capacity & Business Development, Advanced Clean ..	901,455
	8/22/2016	Smart Grid Systems, EPTD Smart Grid Round 2	1,980,912
mindSHIFT Technologies, Inc.	7/13/2016	Admin, Hosting Cloud Solutions	210,766
Mission Hills Construction, LLC	7/25/2016	HOME PERFORMANCE WITH ENERGY STAR, Codes & New ..	24,100
		New York ENERGY STAR Homes, Codes & New Construction	216,900
MJW Technical Services, Inc.	4/5/2016	West Valley Development Program, Radiation Protection Support	382,264
	7/1/2016	West Valley Development Program, Radiation Protection Support	156,996
Moffat Library	9/20/2016	New Construction Program, NCP12436 - Moffat Library-OFLT	7,620
Moishe Taub	6/22/2016	Multifamily Performance Program, Multifamily	3,500
Monolith Solar Associates, LLC	4/18/2016	New York Sun Program, NY-Sun	5,400
	6/7/2016	New York Sun Program, NY-Sun	4,104
	6/15/2016	New York Sun Program, NY-Sun	6,288
	6/27/2016	New York Sun Program, NY-Sun	2,400
	8/2/2016	New York Sun Program, NY-Sun	5,670
	8/3/2016	New York Sun Program, NY-Sun	7,128
	8/17/2016	New York Sun Program, NY-Sun	5,084
	8/29/2016	New York Sun Program, NY-Sun	11,784
	9/16/2016	New York Sun Program, NY-Sun	11,040
9/28/2016	New York Sun Program, NY-Sun	5,376	
Mosaic Funding 1, LLC	4/22/2016	New York Green Bank, Revolving Credit Agreement	10,000,000
Move Systems, Inc.	4/29/2016	Clean Transportation, Ambulance Anti-Idling Stations	384,980
NASEO	7/28/2016	Admin, NASEO Mem. Dues & Meeting Fees	14,399
National Railroad Passenger Corp.	7/26/2016	Existing Facilities Program, EFP1840 - National Railroad	81,914
NationalGrid Energy Management, LLC	4/26/2016	New York Sun Program, NY-Sun	32,768
	6/7/2016	New York Sun Program, NY-Sun	39,428
Navigant Consulting Inc.	4/14/2016	Clean Transportation, Navigant Energy Storage Subscr	6,500
	8/9/2016	REV Connect, REV Connect	2,140,144
	8/31/2016	Energy Analysis, Flex Energy Tech Analysis 2	100,000
Nazareth College of Rochester	7/21/2016	Existing Facilities Program, EFP2637 - Nazareth College - A	40,475
NECEC Institute	5/19/2016	Innovation Capacity & Business Development, Cleantech Navig..	100,000
Nehemiah Housing Development Fund Compan	6/22/2016	HOME PERFORMANCE WITH ENERGY STAR, Codes & New ..	32,500
		New York ENERGY STAR Homes, Codes & New Construction	292,500
Neighborhood Housing Services of Ja..	8/22/2016	Cleaner Greener Communities, Green Jobs Green New York O..	101,459
Neighborhood Housing Services Staten..	8/8/2016	Green Jobs Green New York Revolving Loan Fund, Green Jobs..	36,878
NESCAUM	8/12/2016	Other Program Area, Clean Transportation	15,000
Network Experts of New York, Inc.	5/5/2016	Admin, Peoplesoft Development	150,000

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Contractor	Date Encumbered	Project Description	Total Contract Amount
Network Experts of New York, Inc.	5/26/2016	Admin, Peoplesoft Admin.	144,375
New 56th and Park NY Owner LLC	5/11/2016	New Construction Program, NCP10655 - 432 Park Avenue	1,883,301
New Energy Equity LLC	4/8/2016	New York Sun Program, commercial industrial PV	512,575
New York City Energy Efficiency Corp	8/18/2016	Green Jobs Green New York Revolving Loan Fund, Multifamily	25,212
New York Convention Center Operating..	4/14/2016	Innovation Capacity & Business Development, 2016 NY Green I..	37,000
New York Passive House Inc.	5/20/2016	Market Pathways, 2016 NAPHN Annual Conference	7,500
		Multifamily Performance Program, 2016 NAPHN Annual Confer..	7,500
New York Power Authority	4/14/2016	Flexible Technical Assistance Program, FlexTech MOU NYSER..	53,776
	4/29/2016	Flexible Technical Assistance Program, FlexTech MOU NYSER..	40,000
	6/24/2016	Flexible Technical Assistance Program, FlexTech MOU NYSER..	33,585
	6/28/2016	Flexible Technical Assistance Program, FlexTech MOU NYSER..	68,259
	7/28/2016	Flexible Technical Assistance Program, FlexTech MOU NYSER..	57,059
	8/30/2016	Flexible Technical Assistance Program, FlexTech MOU NYSER..	136,760
		Smart Grid Systems, EPTD Smart Grid	285,000
New York Presbyterian Hospital	5/23/2016	New Construction Program, NCP11494 - Ambulatory Care Cen	689,536
New York Solar Solutions LLC	5/2/2016	New York Sun Program, NY-Sun	5,000
New York State Forum for IRM	9/8/2016	Admin, NYS Forum Membership - renewal	5,500
New York State Police	6/2/2016	New Construction Program, NCP12387-NYS Police-OFLT	33,035
New York State Smart Grid Consortium ..	7/7/2016	Grid Modernization, NYS Smart Grid Consortium 2016	60,000
New York State Solar Farm Inc.	5/12/2016	New York Sun Program, NY-Sun	5,120
	5/24/2016	New York Sun Program, NY-Sun	14,220
	6/8/2016	New York Sun Program, NY-Sun	20,696
	7/11/2016	New York Sun Program, NY-Sun	5,494
	8/2/2016	New York Sun Program, NY-Sun	5,120
	8/16/2016	New York Sun Program, NY-Sun	5,760
	9/28/2016	New York Sun Program, NY Sun	5,232
New York University	8/31/2016	Flexible Technical Assistance Program, FlexTech Program - Po..	9,538
Nexant, Inc.	5/19/2016	Market Pathways, Behavioral Demonstrations Prog	416,529
Nexant, Incorporated	4/12/2016	Existing Facilities Program, Technical Review and Program S	31,645
	6/28/2016	Industrial Process Efficiency Program, Technical Review and Pr..	1,551
	6/29/2016	Industrial Process Efficiency Program, Technical Review and Pr..	5,040
	8/22/2016	Industrial Process Efficiency Program, Technical Review and Pr..	6,870
	8/30/2016	Industrial Process Efficiency Program, Technical Review and Pr..	4,292
	8/31/2016	Existing Facilities Program, Technical Review and Program S	8,377
nrastructure	6/28/2016	Admin, Smartnet Hardware Maintenance	77,527
	9/29/2016	Tintri Flash Storage - Renewal	7,548
Niagara Frontier Transportation Authorit	4/25/2016	Clean Transportation, Buffalo Niagara TMA	178,085
Niagara Lodging	6/2/2016	New Construction Program, NCP12765 -La Quinta Inn-OFLT	11,298
Niagara Wind & Solar Inc.	5/26/2016	New York Sun Program, NY-Sun	5,184
	7/11/2016	Small Wind, Wind Turbine Incentive	182,400
	7/20/2016	Small Wind, Wind Turbine Incentive	118,407
	9/1/2016	Small Wind, Wind Turbine Incentive	17,500
	9/26/2016	Small Wind, Small Wind Turbine Incentive	166,500
NIC Holding Corp	4/20/2016	Data and Markets, NYS Strategic Gasoline Reserve	131,000
	6/2/2016	Data and Markets, NYS Strategic Gasoline Reserve	482,000
Nicholas Noyes Memorial Hospital	5/25/2016	New Construction Program, NCP13051 - NNMH - OFLT	6,599
Nickels Energy Solutions LLC	8/5/2016	New York Sun Program, NY-Sun	8,960
Nixon Peabody LLP	7/12/2016	New York Green Bank, Green Bank Outside Legal Serv.	29,512
	9/21/2016	New York Green Bank, Green Bank Outside Legal Serv.	20,757
Noresco LLC	5/5/2016	Flexible Technical Assistance Program, FlexTech Consultant Se..	9,097
	7/8/2016	Flexible Technical Assistance Program, FlexTech Consultant Se..	22,123
Normandeau Associates, Inc.	6/22/2016	Environmental Research, Digital Aerial Baseline Survey	3,492,400
Northeast Agriculture Technology Corpora	5/3/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
	6/20/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
	8/29/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
	9/20/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500

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Contractor	Date Encumbered	Project Description	Total Contract Amount
Northeast Clean Heat & Power Initiative	4/4/2016	Combined Heat and Power, 2016 NECHPI Annual Meeting	5,000
Northeast Energy Efficiency Partnerships	5/19/2016	Evaluation, HEMS Market Research	50,000
	7/1/2016	Evaluation, ASHP Market Research	50,000
	8/11/2016	Commercial Implementation Assistance, 2016 DLC Membership	22,500
		Existing Facilities Program, 2016 DLC Membership	22,500
Novel Approaches Solar Applications, LLC	8/5/2016	New York Sun Program, NY-Sun	17,320
	8/15/2016	New York Sun Program, NY-Sun	5,040
Novus Engineering, P.C.	4/4/2016	New Construction Program, Energy Modeling Partner	12,444
NRG Residential Solar Solutions, LLC	4/6/2016	New York Sun Program, NY-Sun	5,445
NYC Department of Environmental Prot..	7/11/2016	New Construction Program, NCP13127 - Ben Nesin Lab	10,325
NYS Department of Correctional Svc	9/16/2016	Existing Facilities Program, EFP2550 - DOCCS - 1220 Washing	165,878
NYS Office For Technology	9/14/2016	Admin, Office 365 - 2015/2016	67,766
NYS Office of General Services	6/9/2016	Admin, 2015 Microsoft ELA	136,327
	6/16/2016	Admin, 2016-2019 Microsoft ELA 3 year	142,080
	6/21/2016	Admin, Microsoft Software Liscensing	9
NYS Office of Parks, Recreation and	4/22/2016	New York Sun Program, NY-Sun	51,255
	9/16/2016	New York Sun Program, NY-Sun	10,528
NYU Hospital Center	6/2/2016	New Construction Program, NCP13053-NYU Cobble Hill-OFLT	280,619
O'Brien & Gere Engineers, Inc.	6/29/2016	Flexible Technical Assistance Program, FlexTech Consultant Se..	53,096
O'Connell Electric Company	4/28/2016	New York Sun Program, NY-Sun	990
	5/31/2016	New York Sun Program, NY-Sun	5,472
	6/10/2016	New York Sun Program, NY-Sun	50,144
Oakwood Sustainable Dairy Digester LL..	8/3/2016	Anaerobic Digester Program, RPS CST ADG-Oakwood	2,000,000
Oil Price Information Service	4/13/2016	Data and Markets, Daily Rack Price Sub for SFR	7,224
OLA Consulting Engineers, P.C.	5/18/2016	Flexible Technical Assistance Program, FlexTech Consultant Se..	14,164
One Hudson Yards Owner LLC	9/23/2016	New Construction Program, NCP12087-55 Hudson Yards-OFLT	359,026
OneEnergy Development LLC	7/20/2016	New York Sun Program, NY-Sun C&I	427,574
Oneida Healthcare Center	6/22/2016	Flexible Technical Assistance Program, FlexTech Program - Po..	15,249
OnForce Solar	4/22/2016	New York Sun Program, NY-Sun	5,137
	5/31/2016	New York Sun Program, NY-Sun	16,384
	6/16/2016	New York Sun Program, NY-Sun	5,232
Oracle America, Inc.	5/5/2016	Admin, Oracle License - UPK renewal	8,968
	8/15/2016	Market Pathways, Behavioral Demonstrations Prog	588,200
ORE F4 ProjectCo, LLC	4/15/2016	New York Sun Program, NY-Sun	5,247
	4/26/2016	New York Sun Program, NY-Sun	5,616
	5/25/2016	New York Sun Program, NY-Sun	31,332
	6/7/2016	New York Sun Program, NY-Sun	5,300
	6/8/2016	New York Sun Program, NY-Sun	5,340
Orleans County Chamber of Commerce	4/12/2016	New York Sun Program, Solarize 2016	5,000
OwnSolar, LLC	4/12/2016	New York Sun Program, Commercial/Industrial PV	280,414
	9/30/2016	New York Sun Program, PV System @ Stewart's Shops	622,135
Ozz Solar Development Inc.	9/26/2016	New York Sun Program, NY Sun C&I	231,404
Pace Law School	4/15/2016	Cleaner Greener Communities, CGC31911 - Pace Law School	510,000
Palisade Corporation	8/4/2016	Admin, @RISK licensing -NYGB	8,948
Palladia, Inc.	7/13/2016	Multifamily Performance Program, Multifamily	177,600
Paradise Energy Solutions, LLC	5/2/2016	New York Sun Program, NY-Sun	5,639
	7/1/2016	New York Sun Program, NY-Sun	45,362
	8/24/2016	New York Sun Program, NY-Sun	5,418
Park Lane North Owner's, Inc. c/o Marc..	7/11/2016	Multifamily Performance Program, Multifamily	51,500
Pathfinder Engineers & Architects, LLP	8/4/2016	New Construction Program, Energy Modeling Partner	11,570
Pathstone Corporation	7/18/2016	Cleaner Greener Communities, Green Jobs Green New York	113,831
Pattersun 1.3 LLC	4/19/2016	New York Green Bank, BQ Energy Proposal	1,489,287
Pavion Holdings, LLC	6/2/2016	HOME PERFORMANCE WITH ENERGY STAR, Codes & New ..	351,500
People United for Sustainable Housing In	6/27/2016	Green Jobs Green New York Revolving Loan Fund, Green Jobs..	103,758
	9/22/2016	Green Jobs Green New York Revolving Loan Fund, Green Jobs..	130,687
Pepsi Cola Bottling Co of NY	4/5/2016	Industrial Process Efficiency Program, Industrial Process Efficie..	376,596

Contracts Executed

Period 4/1/2016 through 9/30/2016

Contractor	Date Encumbered	Project Description	Total Contract Amount
Performance Systems Development	9/29/2016	Admin, TREAT Site Licenses - Renewal	6,400
Peter L. Krog	5/13/2016	West Valley Development Program, Ashford Office Complex Le..	91,656
PFNY LLC	7/13/2016	Flexible Technical Assistance Program, FlexTech Program - Po..	51,450
Phelps-Clifton Springs CSD	9/1/2016	Existing Facilities Program, EFP2595 - Phelps Clifton CSD	47,073
Plymouth Gardens, Inc.	9/13/2016	New Construction Program, Codes & New Construction	52,200
PosiGen LLC	8/16/2016	New York Sun Program, NY-Sun	5,728
	8/31/2016	New York Sun Program, NY-Sun	5,728
Post Road Associates LLC	6/9/2016	New Construction Program, NCP12725 - 101 East Post Road	13,117
Price Chopper Operating Company of N..	4/8/2016	New Construction Program, NCP13093 - Market 32 Guilderla	78,657
Pterra, LLC	6/16/2016	Grid Modernization, FlexTech Consultant Selection	125,000
Public Policy and Education Fund of NY	8/8/2016	Cleaner Greener Communities, Green Jobs Green New York O..	48,394
Quixotic Enterprises, LLC	5/27/2016	Renewable Thermal, Solar Thermal Incentive	6,000
	7/1/2016	New York Sun Program, NY-Sun	7,875
Quixotic Systems, Inc.	4/22/2016	New York Sun Program, NY-Sun	6,426
	5/24/2016	New York Sun Program, NY-Sun	6,615
	6/16/2016	New York Sun Program, NY-Sun	24,035
QwikSolar, LLC	4/26/2016	New York Sun Program, NY-Sun	15,980
	5/12/2016	New York Sun Program, NY-Sun	6,360
	6/1/2016	New York Sun Program, NY-Sun	8,480
	6/7/2016	New York Sun Program, NY-Sun	5,936
	6/21/2016	New York Sun Program, NY-Sun	13,200
	8/5/2016	New York Sun Program, NY-Sun	8,360
	8/10/2016	New York Sun Program, NY-Sun	5,088
	8/15/2016	New York Sun Program, NY-Sun	5,280
	9/9/2016	New York Sun Program, NY-Sun	5,940
	9/16/2016	New York Sun Program, NY-Sun	5,720
	9/27/2016	New York Sun Program, NY Sun	6,600
R3 Energy Management Audit & Review..	4/27/2016	Emerging Technology/Accelerated Commercialization, ETAC-Cl..	250,000
R-Display and Lighting LLC	9/30/2016	Advanced Buildings, Advanced Buildings Technology	334,000
R. Edge Contracting LLC	4/22/2016	New York Sun Program, NY-Sun	38,956
	8/17/2016	New York Sun Program, NY-Sun	68,084
Rafferty Enterprises, Inc.	4/20/2016	New York Sun Program, Temp Servies	6,300
	4/27/2016	Admin, Temp Employee Services	11,673
		Admin, Temp Services	15,810
		New York Sun Program, Temp Services	19,350
	5/9/2016	Admin, Temp Employee Services	20,290
	5/27/2016	Admin, Temp Employee Services	71,450
	6/6/2016	New York Sun Program, Temp Employee Services	3,810
Randstad North America, L.P.	6/21/2016	Admin, Temp Services Contract	96,000
	6/28/2016	Admin, Temp Services Contract	82,224
	7/5/2016	Admin, Temp Services Contract	19,744
	7/19/2016	Admin, Temp Services Contract	7,569
		New York Green Bank, Temp Services Contract	3,061
	7/20/2016	New York Sun Program, Temp Services Contract	40,807
	8/5/2016	Admin, Temp Services Contract	159,528
		New York Green Bank, Temp Services Contract	78,879
	8/9/2016	New York Green Bank, Temp Services Contract	21,733
	8/22/2016	Admin, Temp Services Contract	9,419
		Existing Facilities Program, Temp Services Contract	9,419
	9/1/2016	Admin, Temp Services Contract	18,428
	9/2/2016	Admin, Temp Services Contract	20,000
	9/14/2016	Admin, Temp Services Contract	22,376
		Energy Analysis, Temp Services Contract	4,167
	9/16/2016	Energy Analysis, Temp Services Contract	1,276
	9/21/2016	Admin, Temp Services Contract	23,040
	9/28/2016	Admin, Temp Services Contract	19,744

Contracts Executed

Period 4/1/2016 through 9/30/2016

Contractor	Date Encumbered	Project Description	Total Contract Amount
Randstad North America, L.P.	9/28/2016	Admin, Temp to Hire	23,067
		Energy Analysis, Temp Services Contract	22,425
		Energy Analysis, Temp to Hire	33,224
		New York Green Bank, Temp to Hire	45,230
	9/29/2016	New York Green Bank, Temp to Hire	33,614
	9/30/2016	Admin, Temp Services Contract	18,837
Rasky Baerlein Strategic Communicatio..	5/18/2016	Admin, Communications Services for Re	20,000
Reading Electric Renewable, LLC	4/20/2016	New York Sun Program, Commercial/Industrial PV	1,158,569
	6/1/2016	New York Sun Program, Commercial/Industrial PV	424,442
Reber Rock Farm	9/1/2016	Agriculture Energy Efficiency Program, AEEP - R815 Reber Roc..	7,792
Remsen Central School District	7/5/2016	Flexible Technical Assistance Program, FlexTech Program - Po..	11,945
Renovus Energy, Inc.	4/15/2016	New York Sun Program, NY-Sun	5,616
	4/20/2016	New York Sun Program, NY-Sun	5,304
	5/2/2016	New York Sun Program, NY-Sun	21,632
	5/13/2016	New York Sun Program, NY-Sun	5,408
	5/19/2016	New York Sun Program, Commercial/Industrial PV	140,919
	7/5/2016	New York Sun Program, NY-Sun	6,656
	7/19/2016	New York Sun Program, NY-Sun C&I	318,397
	7/27/2016	New York Sun Program, NY-Sun	5,120
	8/2/2016	New York Sun Program, NY-Sun	648
	8/24/2016	New York Sun Program, NY-Sun	29,980
	9/21/2016	New York Sun Program, NY Sun	5,520
	9/26/2016	New York Sun Program, NY-Sun C&I	254,875
Rensselaer Polytechnic Institute-LRC	4/20/2016	Clean Transportation, LED Roadway Lighting Demo	300,000
	4/21/2016	Advanced Buildings, EE LED Lighting Controls	197,622
	4/22/2016	Advanced Buildings, Desktop Lighting Control	96,972
Rescue Mission of Utica, Inc.	9/20/2016	New Construction Program, Codes & New Construction	43,000
Research Foundation of CUNY	4/27/2016	Clean Transportation, Freight in Complete Streets	32,469
Research Foundation of SUNY	6/8/2016	Innovation Capacity & Business Development, EFRC co-funding	391,000
Research Foundation of The City	8/30/2016	Advanced Buildings, IUCR Membership Agreement	50,000
Robert Derector Associates	6/6/2016	Market Pathways, CRETP - Robert Derector Associ	60,000
Robison Energy LLC	6/15/2016	Multifamily Performance Program, Oil Monitoring Pilot	50,000
Rochester Genesee Regional Transport..	6/20/2016	New Construction Program, NCP11919 - RGRTA -OFLT	32,671
Rochester Tool and Mold Inc	6/9/2016	New Construction Program, NCP14037 - Syntec Optics-OFLT	45,000
Rockledge Hotel Properties, Inc	4/6/2016	Flexible Technical Assistance Program, FlexTech Program - PO..	31,866
Rondack Construction Inc.	7/20/2016	HOME PERFORMANCE WITH ENERGY STAR, Codes & New ..	17,100
		New York ENERGY STAR Homes, Codes & New Construction	153,900
Rosenblum Rubin Property Services, L..	5/20/2016	Saratoga Technology + Energy Park, STEP Property Managem..	225,890
Ross Solar Group, LLC	7/6/2016	New York Sun Program, NY-Sun	5,040
	8/1/2016	New York Sun Program, NY-Sun CI	741,432
	9/26/2016	New York Sun Program, NY-Sun C&I	947,351
Rural Generation & Wind (Rodney Weaver)	4/5/2016	New York Sun Program, NY-Sun	11,712
	6/24/2016	New York Sun Program, NY-Sun	8,760
	8/31/2016	New York Sun Program, NY-Sun	5,320
Rural Ulster Preservation Company	7/14/2016	Green Jobs Green New York Revolving Loan Fund, Green Jobs..	155,000
RXR Atlas LLC	4/14/2016	New Construction Program, NCP11905 - DMP OFLT	644,770
S&M Service Station Corp.	6/15/2016	Fuel NY, GSP-00739 S&M Service Station	13,000
Safari Energy LLC	5/20/2016	New York Sun Program, Commercial/IndustrialPV	1,190,533
		New York Sun Program, NY-Sun	595,266
	5/23/2016	New York Sun Program, Commercial/IndustrialPV	595,266
	6/1/2016	New York Sun Program, Commercial/IndustrialPV	1,190,533
	6/24/2016	New York Sun Program, NY-Sun	23,290
	6/29/2016	New York Sun Program, NY-Sun	62,500
	8/18/2016	New York Sun Program, NY-Sun	31,295
	8/19/2016	New York Sun Program, NY-Sun	47,000
	8/31/2016	New York Sun Program, NY-Sun	48,070

Contracts Executed
Period 4/1/2016 through 9/30/2016

Contractor	Date Encumbered	Project Description	Total Contract Amount
Salmar Properties LLC	4/5/2016	New Construction Program, NCP10804 - Federal Building 2	109,303
Samaritan Hospital of Troy Inc	8/24/2016	New Construction Program, NCP12281-SamaritanHospitalOFLT	243,887
Schneider Electric Mobility NA, Inc	4/4/2016	Clean Transportation, EcoTrafiX Platform Deployment	499,179
Scott Hymers	4/26/2016	Agriculture Energy Efficiency Program, Agriculture Energy Effici..	2,881
	6/23/2016	Agriculture Energy Efficiency Program, Agriculture Energy Effici..	1,780
Scott Shipley	5/6/2016	New York Sun Program, NY-Sun	9,918
	7/11/2016	New York Sun Program, NY-Sun	6,160
Sea Bright Solar, LLC	4/6/2016	New York Sun Program, NY-Sun	5,297
	7/29/2016	New York Sun Program, NY-Sun	6,365
	8/3/2016	New York Sun Program, NY-Sun	5,520
Seal & Design, Inc.	6/3/2016	Industrial Process Efficiency Program, Industrial Process Efficie..	15,347
Sealed Inc.	5/16/2016	New York Green Bank, Energy Efficiency	5,000,000
Sears Holdings	6/15/2016	Existing Facilities Program, EFP2354 - Sears Holding Corp	114,344
Seed Renewables Inc.	4/26/2016	New York Sun Program, NY-Sun	24,095
Seneca Building of Monroe County, LLC	7/14/2016	New Construction Program, NCP12478 - D&C - OFLT	25,195
Sharon Sherrard	8/26/2016	New York Green Bank, Fund Admin Implementation	50,000
SHI, Inc.	6/24/2016	Admin, Tableau Upgrade	214,331
ShopRite Supermarkets, Inc.	9/1/2016	Existing Facilities Program, EFP2485- Shoprite Supermarkets	130,600
Shutterstock, Inc.	9/18/2016	Admin, WebDAM/Shutterstock subscripti	8,177
Sierra Infosys Inc.	5/18/2016	Admin, Peoplesoft Support Services	85,000
Sitecore USA, Inc.	7/14/2016	Admin, Sitecore Licensing - Renewal	25,300
Skæ Power	9/16/2016	Industrial Process Efficiency Program, Industrial Process Efficie..	502,511
Skyline Solar Inc.	7/5/2016	New York Sun Program, NY-Sun	12,084
Smith Engineering PLLC	6/29/2016	Flexible Technical Assistance Program, FlexTech Consultant Se..	20,608
	7/14/2016	Flexible Technical Assistance Program, FlexTech Consultant Se..	13,170
Snow Economics, Inc.	4/26/2016	Industrial Process Efficiency Program, Industrial Process Efficie..	47,436
	5/5/2016	Industrial Process Efficiency Program, Industrial Process Efficie..	32,095
Solar Alchemy, Inc.	8/16/2016	New York Sun Program, NY-Sun	5,632
Solar Dad and Sons Inc	7/11/2016	New York Sun Program, NY-Sun	21,452
Solar Generation, Inc.	4/19/2016	New York Sun Program, NY-Sun	6,000
	4/27/2016	New York Sun Program, NY-Sun	7,560
	7/6/2016	New York Sun Program, NY-Sun	5,184
Solar Home NJ	5/24/2016	New York Sun Program, NY-Sun	10,000
	6/23/2016	New York Sun Program, NY-Sun	5,120
Solar Liberty Energy Systems, Inc	4/5/2016	New York Sun Program, Commercial/ Industrial PV	1,066,679
		New York Sun Program, Commercial/Industrial PV	2,133,358
		New York Sun Program, NY-Sun	5,700
	4/8/2016	New York Sun Program, Commercial/Industrial PV	321,704
		New York Sun Program, Commercial/IndustrialPV	170,132
	4/12/2016	New York Sun Program, Commercial/Industrail PV	224,264
	4/18/2016	Smart Grid Systems, Purchase of Equipment	125,000
	4/22/2016	New York Sun Program, NY-Sun	53,371
	4/26/2016	New York Sun Program, NY-Sun	69,750
	5/9/2016	New York Sun Program, NY-Sun	5,760
	5/18/2016	New York Sun Program, NY-Sun	12,168
	5/20/2016	New York Sun Program, Commercial/IndustrialPV	155,438
	5/24/2016	New York Sun Program, NY-Sun	110,603
	6/14/2016	New York Sun Program, NY-Sun	37,940
	6/15/2016	New York Sun Program, NY-Sun	17,504
	7/11/2016	New York Sun Program, NY-Sun	5,580
	7/13/2016	New York Sun Program, NY-Sun	7,700
	7/14/2016	New York Sun Program, NY-Sun	2,400
	7/21/2016	New York Sun Program, NY-Sun	5,700
	7/27/2016	New York Sun Program, NY-Sun	15,084
	8/2/2016	New York Sun Program, NY-Sun	14,012
	8/9/2016	New York Sun Program, NY-Sun	17,920

Contracts Executed
Period 4/1/2016 through 9/30/2016

Contractor	Date Encumbered	Project Description	Total Contract Amount	
Solar Liberty Energy Systems, Inc	8/17/2016	New York Sun Program, NY-Sun	5,700	
	9/13/2016	New York Sun Program, NY-Sun	6,048	
Solar Maximum LLC	4/27/2016	New York Sun Program, NY-Sun	5,494	
SolarCity Corporation	4/1/2016	New York Sun Program, NY-Sun	19,504	
	4/5/2016	New York Sun Program, NY-Sun	11,234	
	4/8/2016	New York Sun Program, Commerical/IndustrialPV	124,712	
	4/11/2016	New York Sun Program, NY-Sun	20,641	
	4/12/2016	New York Sun Program, Commercial/Industrial PV	889,411	
	4/15/2016	New York Sun Program, NY-Sun	5,100	
	4/18/2016	New York Sun Program, Commercial/Industrial PV	1,559,518	
	4/20/2016	New York Sun Program, NY-Sun	5,618	
	4/26/2016	New York Sun Program, NY-Sun	16,631	
	4/27/2016	New York Sun Program, Commercial/Industrial PV	1,118,541	
			New York Sun Program, NY-Sun	25,403
	5/2/2016	New York Sun Program, NY-Sun	17,705	
	5/6/2016	New York Sun Program, NY-Sun	5,928	
	5/9/2016	New York Sun Program, NY-Sun	21,954	
	5/12/2016	New York Sun Program, NY-Sun	6,055	
	5/13/2016	New York Sun Program, NY-Sun	7,300	
	5/18/2016	New York Sun Program, NY-Sun	24,268	
	5/19/2016	New York Sun Program, Commercial/Industrial PV	304,840	
			New York Sun Program, NY-Sun	5,928
	5/20/2016	New York Sun Program, Commercial/Industrial	463,496	
			New York Sun Program, Commercial/IndustrialPV	462,436
	5/24/2016	New York Sun Program, NY-Sun	5,304	
	5/25/2016	New York Sun Program, Commercial/Industrial	184,200	
			New York Sun Program, Commercial/IndustrialPV	322,261
			New York Sun Program, NY-Sun	136,228
	5/27/2016	New York Sun Program, NY-Sun	10,660	
	6/1/2016	New York Sun Program, Commercial/IndustrialPV	346,663	
			New York Sun Program, NY-Sun	12,164
	6/7/2016	New York Sun Program, NY-Sun	111,616	
	6/8/2016	New York Sun Program, NY-Sun	11,960	
	6/15/2016	New York Sun Program, NY-Sun	16,815	
	6/23/2016	New York Sun Program, NY-Sun	17,556	
			New York Sun Program, NYSun CI	167,301
	6/29/2016	New York Sun Program, NY-Sun C&I	260,762	
	7/5/2016	New York Sun Program, NY-Sun	5,408	
	7/8/2016	New York Sun Program, NY-Sun	1,014,931	
	7/11/2016	New York Sun Program, NY-Sun	11,128	
	7/12/2016	New York Sun Program, NY-Sun	5,458	
	7/19/2016	New York Sun Program, NY-Sun	16,642	
			New York Sun Program, NY-Sun C/I	175,436
	7/26/2016	New York Sun Program, NY-Sun	5,920	
	8/1/2016	New York Sun Program, NY-Sun	1,456	
	8/2/2016	New York Sun Program, NY-Sun	5,304	
	8/5/2016	New York Sun Program, NY-Sun	30,657	
	8/8/2016	New York Sun Program, NY-Sun C&I	261,936	
	8/9/2016	New York Sun Program, NY-Sun	18,853	
8/16/2016	New York Sun Program, NY-Sun	22,962		
8/24/2016	New York Sun Program, NY-Sun	5,304		
9/13/2016	New York Sun Program, NY-Sun	26,974		
9/14/2016	New York Sun Program, NY Sun	12,955		
9/20/2016	New York Sun Program, NY Sun	5,406		
9/21/2016	New York Sun Program, NY Sun	6,148		
9/28/2016	New York Sun Program, NY Sun	12,584		

Contracts Executed

Period 4/1/2016 through 9/30/2016

Contractor	Date Encumbered	Project Description	Total Contract Amount
Southport, L.L.C.	6/1/2016	New York Sun Program, Commercial/Industrial	210,532
Specialized Packaging Radisson, LLC	8/12/2016	Industrial Process Efficiency Program, Industrial Process Efficie..	90,438
Sperry Energy	6/27/2016	Admin, Innovation Advisory Services	50,000
SRI International	6/16/2016	Innovation Capacity & Business Development, Characterizing N..	49,800
SS&C Technologies, Inc.	8/15/2016	New York Green Bank, Fund Administration/Loan Inves	3,000,000
Stantec Consulting Services, Inc.	6/8/2016	New Construction Program, Technical Assistance Services	6,110
	7/15/2016	Industrial Process Efficiency Program, Technical Review and Pr..	4,074
	8/4/2016	New Construction Program, Stantec-Energy Modeling Partne	9,945
	8/8/2016	New Construction Program, Technical Assistance Services	4,976
State University of NY @ New Platz	8/3/2016	Existing Facilities Program, EFP1278 - SUNY New Paltz	25,036
Staten Island Renewable Energy Corp.	5/12/2016	New York Sun Program, NY-Sun	15,000
	5/20/2016	New York Sun Program, NY-Sun	5,580
	6/24/2016	New York Sun Program, NY-Sun	20,475
	7/1/2016	New York Sun Program, NY-Sun	16,380
Steed Energy LLC	8/15/2016	New York Sun Program, NY-Sun	8,160
Steven Winter Associates, Inc.	4/11/2016	Advanced Buildings, Multifamily use of batteries	3,000
	4/12/2016	Existing Facilities Program, Technical Review and Program S	896
	5/2/2016	New Construction Program, Technical Assistance Services	12,274
	5/11/2016	Flexible Technical Assistance Program, Technical Review and ..	228,574
	6/22/2016	New Construction Program, SWA - EMP	19,076
	7/15/2016	Advanced Buildings, Linkage-Less Burner Retrofit	28,377
	7/28/2016	New Construction Program, Technical Review and Program S	44,111
	8/4/2016	New Construction Program, Technical Review and Program S	5,634
Stewart Energy Consultants, LLC	5/5/2016	New York Green Bank, NYGB Solar Energy RFP consulti	50,000
Stewarts Shops Corp.	5/2/2016	New Construction Program, NCP13084 - Stewarts Baldwinsvi	6,005
	8/16/2016	New Construction Program, NCP12255 - Stewarts #455 -OFLT	6,920
		New Construction Program, NCP12634 - Stewarts 120 - OFLT	5,761
		New Construction Program, NCP13083 - Stewarts 453-OFLT	6,304
		New Construction Program, NCP13085 - Stewarts 162-OFLT	5,841
Stroomversnelling	7/28/2016	Advanced Buildings, Conustling Deep Ret. Comp.	50,000
Suffolk Solar Systems, Inc.	5/12/2016	New York Sun Program, NY-Sun	5,380
Summit Research Labs Inc	5/4/2016	Industrial Process Efficiency Program, Industrial Process Efficie..	55,584
Sun Rock Development, LLC	6/9/2016	HOME PERFORMANCE WITH ENERGY STAR, Codes & New ..	6,100
		New York ENERGY STAR Homes, Codes & New Construction	54,900
Sun Source Technologies	4/13/2016	New York Sun Program, NY-Sun	5,670
	5/12/2016	New York Sun Program, NY-Sun	7,325
	6/15/2016	New York Sun Program, NY-Sun	6,890
	7/19/2016	New York Sun Program, NY-Sun	10,000
	8/9/2016	New York Sun Program, NY-Sun	5,424
	8/10/2016	New York Sun Program, NY-Sun	36,864
	8/16/2016	New York Sun Program, NY-Sun	7,440
	8/17/2016	New York Sun Program, NY-Sun	18,432
	8/19/2016	New York Sun Program, NY-Sun	5,172
	8/24/2016	New York Sun Program, NY-Sun	5,040
	9/21/2016	New York Sun Program, NY Sun	5,184
SuNation Solar Systems, Inc.	6/24/2016	New York Sun Program, NY-Sun	10,220
SunEdison Governmental Solutions, LLC	4/8/2016	New York Sun Program, Commerical/IndustrialPV	1,634,582
	4/12/2016	New York Sun Program, Commercial/Industrial PV	817,291
		New York Sun Program, Commercial/IndustrialPV	1,634,582
		New York Sun Program, Commerical/IndustrialPV	817,291
	7/8/2016	New York Sun Program, NY-Sun C&I	439,294
Sungevity Development, LLC	6/23/2016	New York Sun Program, NY-Sun	6,365
	8/9/2016	New York Sun Program, NY-Sun	5,000
Sungevity, Inc.	5/20/2016	New York Sun Program, NY-Sun	8,400
SunPower Capital, LLC	4/1/2016	New York Sun Program, NY-Sun	17,063
	4/5/2016	New York Sun Program, NY-Sun	12,639

Contracts Executed
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Contractor	Date Encumbered	Project Description	Total Contract Amount
SunPower Capital, LLC	4/11/2016	New York Sun Program, NY-Sun	5,886
	4/13/2016	New York Sun Program, NY-Sun	14,257
	4/15/2016	New York Sun Program, NY-Sun	13,794
	4/18/2016	New York Sun Program, NY-Sun	7,063
	4/19/2016	New York Sun Program, NY-Sun	1,058
	4/20/2016	New York Sun Program, NY-Sun	8,240
	4/26/2016	New York Sun Program, NY-Sun	29,234
	4/27/2016	New York Sun Program, NY-Sun	77,879
	5/2/2016	New York Sun Program, NY-Sun	7,063
	5/6/2016	New York Sun Program, NY-Sun	11,380
	5/9/2016	New York Sun Program, NY-Sun	78,856
	5/13/2016	New York Sun Program, NY-Sun	6,017
	5/18/2016	New York Sun Program, NY-Sun	16,802
	5/24/2016	New York Sun Program, NY-Sun	17,691
	6/1/2016	New York Sun Program, NY-Sun	22,236
	6/2/2016	New York Sun Program, NY-Sun	1,483
	6/3/2016	New York Sun Program, NY-Sun	5,069
	6/8/2016	New York Sun Program, NY-Sun	37,196
	6/15/2016	New York Sun Program, NY-Sun	23,885
	6/21/2016	New York Sun Program, NY-Sun	1,978
	6/23/2016	New York Sun Program, NY-Sun	22,767
	7/1/2016	New York Sun Program, NY-Sun	5,101
	7/5/2016	New York Sun Program, NY-Sun	29,123
	7/11/2016	New York Sun Program, NY-Sun	5,232
	7/12/2016	New York Sun Program, NY-Sun	9,810
	7/19/2016	New York Sun Program, NY-Sun	23,871
	7/21/2016	New York Sun Program, NY-Sun	12,691
	7/27/2016	New York Sun Program, NY-Sun	13,407
	8/2/2016	New York Sun Program, NY-Sun	13,996
	8/5/2016	New York Sun Program, NY-Sun	11,142
	8/8/2016	New York Sun Program, NY-Sun	5,396
	8/9/2016	New York Sun Program, NY-Sun	5,886
	8/16/2016	New York Sun Program, NY-Sun	25,326
	8/17/2016	New York Sun Program, NY-Sun	5,886
	8/19/2016	New York Sun Program, NY-Sun	8,520
	8/24/2016	New York Sun Program, NY-Sun	11,592
	8/31/2016	New York Sun Program, NY-Sun	8,886
	9/13/2016	New York Sun Program, NY-Sun	18,798
	9/16/2016	New York Sun Program, NY-Sun	5,723
	9/21/2016	New York Sun Program, NY-Sun	7,181
9/28/2016	New York Sun Program, NY-Sun	6,278	
SUNRISE ELECTRICAL SERVICES	4/26/2016	New York Sun Program, NY-Sun	17,992
Sunrise Solar Solutions, LLC	4/5/2016	New York Sun Program, NY-Sun	56,938
	4/11/2016	New York Sun Program, NY-Sun	12,372
	4/13/2016	New York Sun Program, NY-Sun	6,912
	4/22/2016	New York Sun Program, NY-Sun	17,252
	4/26/2016	New York Sun Program, NY-Sun	5,952
	4/27/2016	New York Sun Program, NY-Sun	17,066
	5/2/2016	New York Sun Program, NY-Sun	24,378
	5/6/2016	New York Sun Program, NY-Sun	23,315
	5/9/2016	New York Sun Program, NY-Sun	12,840
	6/8/2016	New York Sun Program, NY-Sun	5,100
	7/11/2016	New York Sun Program, NY-Sun	19,663
	7/20/2016	New York Sun Program, NY-Sun	51,284
	7/29/2016	New York Sun Program, NY-Sun	8,904
SunRun, Inc	4/11/2016	New York Sun Program, NY-Sun	5,565

Contracts Executed

Period 4/1/2016 through 9/30/2016

Contractor	Date Encumbered	Project Description	Total Contract Amount
SunRun, Inc	4/13/2016	New York Sun Program, NY-Sun	5,670
	4/20/2016	New York Sun Program, NY-Sun	5,565
	4/26/2016	New York Sun Program, NY-Sun	9,516
	5/6/2016	New York Sun Program, NY-Sun	6,519
	5/9/2016	New York Sun Program, NY-Sun	5,883
	5/16/2016	New York Green Bank, Residential photovoltaic ("PV"	25,000,000
	5/24/2016	New York Sun Program, NY-Sun	5,194
	5/27/2016	New York Sun Program, NY-Sun	5,088
	6/2/2016	New York Sun Program, NY-Sun	5,616
	6/13/2016	New York Sun Program, NY-Sun	353
	6/23/2016	New York Sun Program, NY-Sun	6,344
	6/27/2016	New York Green Bank, Residential photovoltaic ("PV"	25,000,000
	7/5/2016	New York Sun Program, NY-Sun	6,615
	7/11/2016	New York Sun Program, NY-Sun	6,510
	7/13/2016	New York Sun Program, NY-Sun	5,425
	7/14/2016	New York Sun Program, NY-Sun	2,184
	7/19/2016	New York Sun Program, NY-Sun	5,616
	8/16/2016	New York Sun Program, NY-Sun	17,875
	8/24/2016	New York Sun Program, NY-Sun	5,184
Sunset LG Realty LLC	8/17/2016	Flexible Technical Assistance Program, FlexTech Program - Po..	47,304
Sunthru LLC	5/19/2016	Advanced Buildings, Advanced Buildings Technology	119,775
SUNY Oneonta	8/19/2016	New Construction Program, NCP12789 -Wellness Center-OFLT	9,934
SUNY Research Foundation	8/11/2016	Environmental Research, Wood Pellet Heating System Dem	48,029
Sure Energy, LLC	8/29/2016	New York Sun Program, NY-Sun	6,375
Sustainable CUNY CUNY/RF	7/20/2016	New York Sun Program, 2016 New York Solar Summit	10,000
Sustainable Dairy Technologies Digester	8/3/2016	Anaerobic Digester Program, RPS CST ADG-Allen Farms LLC	2,000,000
Sustainable Energy Developments Inc.	4/26/2016	New York Sun Program, NY-Sun	7,056
	5/18/2016	New York Sun Program, NY-Sun	5,512
	6/23/2016	New York Sun Program, NY-Sun	6,360
	6/24/2016	New York Sun Program, NY-Sun	7,420
	6/30/2016	New York Sun Program, NY-Sun	24,398
	7/29/2016	New York Sun Program, NY-Sun	5,724
	8/2/2016	New York Sun Program, NY-Sun	5,936
	8/5/2016	New York Sun Program, NY-Sun	13,680
9/20/2016	New York Sun Program, NY Sun	6,784	
Sustainable Hudson Valley, Inc.	8/16/2016	Clean Transportation, Pilot community EV marketing	47,000
Sustainable Performance Consulting, In..	5/18/2016	New Construction Program, Outrch and Pjct Consulting NCP	449,280
Sustainable South Bronx Inc.	9/21/2016	Cleaner Greener Communities, Green Jobs Green New York O..	56,688
		Green Jobs Green New York Revolving Loan Fund, Green Jobs..	3,219
Susten Corp	8/3/2016	New York Sun Program, NY-Sun	5,760
Syracuse University	4/12/2016	Clean Transportation, Syracuse Transp Alternatives	150,000
SYSCO Food Services, LLC	6/3/2016	Industrial Process Efficiency Program, Industrial Process Efficie..	111,101
Systems Management Planning, Inc.	5/11/2016	NetApp Flash Storage for VDI	95,359
	6/27/2016	Admin, VMware 150 View - Licensing	31,838
		Admin, VMware Software desktop Renew	25,676
	7/6/2016	Admin, Managed Engine Co term AD 365	7,110
TAG Mechanical Systems, Inc.	9/20/2016	New York Sun Program, NY-Sun	6,600
Taitem Engineering, P.C.	4/12/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	5,000
	4/21/2016	New York Sun Program, NY-Sun	36,392
	4/22/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
	4/26/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	9,995
	5/5/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	5,500
	5/13/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	9,000
	5/20/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	8,751
	5/27/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	1,500
6/6/2016	Flexible Technical Assistance Program, FlexTech Consultant Se..	5,999	

Contracts Executed
Period 4/1/2016 through 9/30/2016

Contractor	Date Encumbered	Project Description	Total Contract Amount
Taitem Engineering, P.C.	6/20/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
	7/15/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	4,483
	7/21/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
	7/28/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	5,000
	8/2/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	1,500
		New York Sun Program, NY-Sun	5,088
	8/5/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
	8/17/2016	Flexible Technical Assistance Program, FlexTech Consultant Se..	3,400
	8/19/2016	Advanced Buildings, Deep Energy Retrofits	49,986
	8/24/2016	New York Sun Program, NY-Sun	6,480
	8/29/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	5,000
	9/20/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
	9/21/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	5,000
	9/26/2016	New York Sun Program, NY Sun	6,912
	9/27/2016	New York Sun Program, NY-Sun	20,372
Taylor Group LTD	8/11/2016	Admin, 2016 NYS Fair - Display	22,081
Taystee Create LLCc	4/8/2016	New Construction Program, NCP11527 - Taystee Bakery Buil	244,452
Tech Valley Center of Gravity	8/25/2016	Other Program Area, 2016 COG Clean Tech Hackathon	20,000
Tech Valley Talent, LLC	5/11/2016	Admin, Staff Augmentation	578,300
	5/16/2016	Admin, Staff Augmentation	193,050
	7/14/2016	Admin, Staff Augmentation	196,875
	7/18/2016	Admin, Staff Augmentation	195,000
	9/9/2016	Admin, Staff Augmentation	165,750
	9/22/2016	Admin, Staff Augmentation	214,500
Tecogen	8/8/2016	Combined Heat and Power, CHPA - The Brevard	385,000
	8/9/2016	Combined Heat and Power, CHPA - Winston Churchill	180,000
	8/26/2016	Combined Heat and Power, CHPA - Plymouth Towers	350,000
	9/21/2016	Combined Heat and Power, CHPA - Greenwich Club Residenc	235,000
	9/28/2016	Combined Heat and Power, CHPA - Rivercross Tenants Corp	761,250
Tern Construction & Development, LLC	5/25/2016	HOME PERFORMANCE WITH ENERGY STAR, Codes & New ..	32,100
		New York ENERGY STAR Homes, Codes & New Construction	288,900
Tessy Plastics Corp	5/19/2016	Industrial Process Efficiency Program, Industrial Process Efficie..	27,889
	9/19/2016	Industrial Process Efficiency Program, Industrial Process Efficie..	1,579,508
Tetra Tech Engineers, Architects and L..	8/24/2016	Market Pathways, CRETP - Metlife - 200 Park - M	60,000
The Bridge Inc	6/2/2016	Multifamily Performance Program, NYSERDA Administration	54,725
The Cadmus Group, Inc.	7/14/2016	New York Sun Program, Quality Assurance Services for	692,895
		Renewable Thermal, Quality Assurance Services for	30,528
The Community Builders, Inc.	6/2/2016	HOME PERFORMANCE WITH ENERGY STAR, Codes & New ..	17,600
		New York ENERGY STAR Homes, Codes & New Construction	158,400
The Garrick Co., LLC	7/26/2016	West Valley Development Program, Probabilistic Evaluation	74,893
The Gunlocke Company	9/28/2016	Industrial Process Efficiency Program, Industrial Process Efficie..	90,963
The New York Times Company	9/22/2016	Industrial Process Efficiency Program, IPE12115 - The New Yor..	33,117
The Radiant Store	4/13/2016	Renewable Heat NY, RHNY PON 3010 Incentive - Sant	21,000
	4/19/2016	Renewable Thermal, Renewable Heating & Cooling	29,913
		Renewable Thermal, Solar Thermal Incentive	42,631
		Renewable Thermal, The Radiant Store - Solar Ther	22,991
	5/11/2016	Renewable Heat NY, RHNY PON 3010 Incentive - Beno	5,000
		Renewable Heat NY, RHNY PON 3010 Incentive - Marc	9,725
	6/6/2016	Renewable Thermal, Solar Thermal Incentives	12,995
	7/8/2016	Renewable Thermal, Solar Thermal Incentives	5,000
	8/24/2016	Renewable Thermal, Solar Thermal Incentives	18,262
	9/26/2016	Renewable Heat NY, RHNY PON 3010 Incentive - Wyso	10,000
The Research Foundation of SUNY (UB)	6/2/2016	Advanced Buildings, Wood Burning Hydronic Heaters	50,000
The Uniland Partnership of Delaware LP	4/8/2016	New Construction Program, NCP13125 - 490 CBP Ph2	10,650
	9/13/2016	New Construction Program, NCP12964-400 Airbrn Pkwy-OFLT	62,049
The Weidt Group, Inc.	8/17/2016	New Construction Program, EMP - Weidt	9,730

Contracts Executed

Period 4/1/2016 through 9/30/2016

Contractor	Date Encumbered	Project Description	Total Contract Amount
Theodore Theodoropoulos	4/6/2016	New York Sun Program, NY-Sun	180
ThinkEco, Inc.	8/30/2016	Market Pathways, Behavioral Demonstrations Prog	381,838
Tiffany & Co	9/29/2016	Existing Facilities Program, EFP/DMP2300 - Tiffany's & Co	758,535
Tilcon NY , Inc.	7/11/2016	Industrial Process Efficiency Program, Industrial Process Efficie..	647,682
TM Montante Solar Developments, LLC	6/3/2016	New York Sun Program, Commercial/Industrial	119,629
	8/3/2016	New York Sun Program, NY-Sun	29,360
Top Green LLC	9/9/2016	Fuel NY, PGI00010 - Top Green LLC	57,200
Towers on the Park Condominium	4/4/2016	Multifamily Performance Program, Multifamily	51,300
Town of Clarence	8/30/2016	New Construction Program, NCP12952 -ClarencePolCrts-OFLT	11,265
Town of Seneca Falls NY	7/8/2016	New Construction Program, NCP13165 - Town of Seneca Fall	8,053
Town of Southampton	5/18/2016	New York Sun Program, Solarize 2016	5,000
Trane	5/3/2016	Existing Facilities Program, EFP3010 - Trane; Ithaca CSD-HS	69,286
	5/12/2016	Existing Facilities Program, EFP3013 - Tarne; Ithaca CSD	26,080
	9/1/2016	Existing Facilities Program, EFP2598 - Trane; Keuka College	75,770
TRC Energy Services	4/12/2016	Flexible Technical Assistance Program, FlexTech Consultant Se..	87,861
	4/29/2016	Existing Facilities Program, Technical Review and Program S	2,125
	6/8/2016	Multifamily Performance Program, MF Energy Perf Portfolio Imp..	1,584,402
		New Construction Program, MF Energy Perf Portfolio Imple	474,819
	6/13/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
	6/29/2016	Industrial Process Efficiency Program, Technical Review and Pr..	4,500
	6/30/2016	Environmental Research, Technical Review and Program S	49,750
	7/8/2016	Flexible Technical Assistance Program, FlexTech Consultant Se..	3,000
	7/12/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
	7/26/2016	Existing Facilities Program, Technical Review and Program S	11,996
	8/2/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
		Existing Facilities Program, Technical Review and Program S	2,668
	8/17/2016	Flexible Technical Assistance Program, FlexTech Consultant Se..	6,000
	8/29/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
		Industrial Process Efficiency Program, Technical Review and Pr..	6,000
	9/23/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
	9/26/2016	Commercial Real Estate Tenant, Technical Review and Progra..	75,000
		Existing Facilities Program, Technical Review and Program S	106,772
		Real Time Energy Manager, Technical Review and Program S	100,000
Triborough Preservation LLC	4/5/2016	Multifamily Performance Program, Multifamily	116,900
	4/11/2016	Multifamily Performance Program, Multifamily	12,600
	4/25/2016	Multifamily Performance Program, Multifamily	80,700
	6/2/2016	Multifamily Performance Program, Multifamily	5,000
	7/11/2016	Multifamily Performance Program, Multifamily	12,000
Trinity Heating & Air, Inc.	5/12/2016	New York Sun Program, NY-Sun	5,304
	7/29/2016	New York Sun Program, NY-Sun	5,472
	8/3/2016	New York Sun Program, NY-Sun	8,978
TurnKey Internet, Inc.	8/5/2016	Industrial Process Efficiency Program, Industrial Process Efficie..	18,160
U.S. Green Building Council, NY Chapter	7/15/2016	Advanced Buildings, Improving Steam Distribution	125,000
Udderly Better Acres	8/9/2016	Agriculture Energy Efficiency Program, AEEP - R749 Udderly B..	105,574
Union College	8/24/2016	New Construction Program, NCP12929 - Roger Hull - OFLT	21,035
		New Construction Program, NCP13115-Visual Arts Bldg-OFLT	25,956
Unique Comp Inc.	8/18/2016	Admin, Staff Augmentation	176,700
	8/25/2016	Admin, Staff Augmentation	196,650
	9/9/2016	Admin, Staff Augmentation	364,550
	9/26/2016	Admin, Staff Augmentation	174,525
United Health Services Hospitals Inc	6/27/2016	Existing Facilities Program, Commercial	39,840
	7/21/2016	Existing Facilities Program, EFP3011 - United Health Servic	36,923
	9/6/2016	Existing Facilities Program, Commercial	146,831
	9/20/2016	Existing Facilities Program, Commercial	337,499
		Existing Facilities Program, EFP3012 - United Health Servic	85,934
United Wind Project I, LLC	5/4/2016	Small Wind, Wind Turbine Incentive	39,346

Contracts Executed
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Contractor	Date Encumbered	Project Description	Total Contract Amount
United Wind Project I, LLC	7/1/2016	Small Wind, Wind Turbine Incentive	120,095
	7/11/2016	Small Wind, Wind Turbine Incentive	163,095
	7/20/2016	Small Wind, Wind Turbine Incentive	76,802
	9/1/2016	Small Wind, Wind Turbine Incentive	76,336
	9/26/2016	Small Wind, Wind Turbine Incentive	38,739
	9/29/2016	Small Wind, Wind Turbine Incentive	37,894
	9/30/2016	Small Wind, Wind Turbine Incentive	162,795
University of Rochester	8/30/2016	Other Program Area, Annual Support for Laboratory	750,000
	9/29/2016	Environmental Research, Impact of environmental polici Environmental Research, Long-Term Monitoring of Methan	458,425 362,948
University of Southern California	4/7/2016	Energy Analysis, Microgrid Macro Model Approach	49,878
Upstate Venture Connect	4/4/2016	Innovation Capacity & Business Development, Upstate Venture ..	25,000
	6/14/2016	Other Program Area, Startup Community Development	48,000
USGS National Center MS270	6/29/2016	Environmental Research, Honnedage Lake Hg	32,500
Van Blarcom Closures, Inc.	7/11/2016	Industrial Process Efficiency Program, Industrial Process Efficie..	188,368
Vanderstyn Motor Sales Inc	5/23/2016	New Construction Program, NCP13068-Vanderstyn Toyota OL	22,061
Varun Sivaram	4/29/2016	Energy Analysis, Consulting Services	14,850
Vatsal Bhatt	9/15/2016	Energy Analysis, Review of EEA Project Program	25,000
Venture Home Solar LLC	5/13/2016	New York Sun Program, NY-Sun	11,286
	5/19/2016	New York Sun Program, NY-Sun	16,227
	5/20/2016	New York Sun Program, NY-Sun	7,560
	5/24/2016	New York Sun Program, NY-Sun	5,101
	5/27/2016	New York Sun Program, NY-Sun	8,240
Verizon Business	6/24/2016	Admin, Information Security Risk Asse	55,540
Vermont Energy Investment Corporation	7/1/2016	Energy Analysis, EE in Cacpacity Markets Study	9,500
	7/11/2016	Market Pathways, Res Upstream HVAC Initiative	277,302
Veterans Solar Systems	7/29/2016	New York Sun Program, NY-Sun	5,016
Vidaris, Inc.	4/19/2016	New Construction Program, Technical Assistant Services..	43,000
	5/9/2016	New Construction Program, Technical Assistant Services..	13,293
	5/12/2016	Existing Facilities Program, EFP10513 - Vidaris	27,907
	5/25/2016	New Construction Program, Vidaris - EMP	53,250
	6/29/2016	Flexible Technical Assistance Program, FlexTech Consultant Se..	9,370
	7/13/2016	New Construction Program, Vidaris - EMP	18,400
	7/28/2016	New Construction Program, Vidaris - EMP	87,000
Viking Solar, Inc.	7/8/2016	Renewable Thermal, Solar Thermal Incentives	20,000
Viola Homes Inc.	5/2/2016	New York Sun Program, NY-Sun	5,200
	6/8/2016	New York Sun Program, NY-Sun	5,856
Vivint Solar	9/21/2016	New York Sun Program, NY-Sun	5,096
	9/28/2016	New York Sun Program, NY-Sun	6,276
Vivint Solar Financing II, LLC	8/10/2016	NY Green Bank Financial Invest	37,500,000
W2005 / Hines West Fifty-Third Realty LL	7/13/2016	New Construction Program, NCP11483 -53 West 53rd St-OFLT	220,354
Wal-Mart Stores East, LP	4/5/2016	New Construction Program, NCP13098 - Walmart Cheektowaga	177,352
	7/11/2016	New Construction Program, NCP11690 - Walmart Store #1744	120,717
Wappingers Central School District	5/16/2016	New Construction Program, NCP11951 - Wappingers CSD Bus	10,885
Washington Gas Energy Systems Inc.	5/20/2016	New York Sun Program, Hollingsworth & Vose	1,302,145
	6/29/2016	New York Sun Program, Town of Walworth	410,713
Watchtower Bible &	5/4/2016	New Construction Program, NCP10428 - Watchtower Bible	98,092
		New Construction Program, NCP10429 - Watchtower OFLT	79,804
		New Construction Program, NCP10430 - Residence C - OFLT	81,791
		New Construction Program, NCP10431 - Residence D	70,105
	8/4/2016	New Construction Program, NCP10427 - Powerhouse and Resi	348,856
	9/1/2016	New Construction Program, NCP10425 - Home Services	235,019
Waypoint Realty, LLC	4/18/2016	Industrial Process Efficiency Program, Industrial Process Efficie..	77,568
We-B-Chicken	5/4/2016	New Construction Program, NCP13046 - Popeyes - OFLT	6,905
Wendel Energy Services, LLC	9/13/2016	Flexible Technical Assistance Program, FlexTech Consultant Se..	12,500
Wendy Morris	4/13/2016	Innovation Capacity & Business Development, 2016 NY Green I..	16,606

Contracts Executed

Period 4/1/2016 through 9/30/2016

Contractor	Date Encumbered	Project Description	Total Contract Amount
Wendy Morris	4/14/2016	Innovation Capacity & Business Development, 2016 ExpoVentio..	5,600
	7/6/2016	Innovation Capacity & Business Development, 2016 NY Green I..	10,864
West 30th HL LLC	4/8/2016	New Construction Program, NCP11468 - West 30th HL LLC	142,903
West Harlem Environmental Action, Inc.	9/1/2016	New York Sun Program, Solarize 2016	5,000
Westhab, Inc.	7/8/2016	Green Affordable Housing, Multifamily	46,896
		Multifamily Performance Program, Multifamily	91,236
White & Case, LLP	9/1/2016	Market Pathways, CRETP - White & Case - 1221 Av	140,000
Willdan Energy Solutions	4/13/2016	Industrial Process Efficiency Program, Technical Review and Pr..	11,919
	6/23/2016	Industrial Process Efficiency Program, C&I Outreach	227,513
	7/12/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
	7/14/2016	Industrial Process Efficiency Program, Technical Review and Pr..	69,095
	7/15/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
	8/29/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	4,000
	8/30/2016	Agriculture Energy Efficiency Program, FlexTech Consultant Sel..	2,500
	8/31/2016	Commercial Real Estate Tenant, C&I Outreach	273,000
	9/13/2016	Industrial Process Efficiency Program, Technical Review and Pr..	49,617
	9/21/2016	Real Time Energy Manager, Technical Review and Program S	200,000
William Morlok	9/12/2016	Saratoga Technology + Energy Park, STEP options paper	25,000
Willows PFA LLC	5/5/2016	Multifamily Performance Program, Multifamily	26,000
Wiltshire Renewable Energy Systems, L..	8/2/2016	New York Sun Program, NY-Sun	7,208
Winnomotive Properties, LLC	8/12/2016	Industrial Process Efficiency Program, Industrial Process Efficie..	28,333
WM Group Services, LLC	5/11/2016	Flexible Technical Assistance Program, FlexTech Consultant W..	39,375
World Kitchen, LLC	5/11/2016	Industrial Process Efficiency Program, Industrial Process Efficie..	254,938
WSP USA Corp.	9/8/2016	New Construction Program, Technical Assistance NCP	23,035
Wythe Berry LLC	4/14/2016	New Construction Program, NCP12616 - 55 Wythe Ave.	768,284
XC Associates, Inc.	4/25/2016	Innovation Capacity & Business Development, Smart Wind Turb..	500,000
Xerox Corp	4/25/2016	Admin, Facilities Management	4,046
		Admin, Xerox Maintenece	1,796
	6/3/2016	Industrial Process Efficiency Program, Industrial Process Efficie..	64,414
	8/16/2016	Admin, Facilities Management	14,674
	9/12/2016	Admin, Xerox Maintenance Agreement	67,200
Xzerta Energy Group LLC	5/24/2016	New York Sun Program, Commercial/Industrial PV	6,408,385
		New York Sun Program, NY-Sun commercial/industrial	1,068,064
	5/26/2016	New York Sun Program, Commercial/Industrial	2,349,741
		New York Sun Program, Commercial/Industrial PV	4,913,095
		New York Sun Program, Commercial/IndustrialPV	2,563,354
		New York Sun Program, NY-Sun	7,476,449
	6/1/2016	New York Sun Program, Commercial/Industrial PV	2,563,354
		New York Sun Program, NY-Sun	6,194,772
	6/6/2016	New York Sun Program, Commercial/IndustrialPV	2,563,354
		New York Sun Program, NY-Sun	1,281,677
	6/17/2016	New York Sun Program, NY-Sun	1,281,677
	6/20/2016	New York Sun Program, NY-Sun C&I	5,126,708
	7/27/2016	New York Sun Program, NY-Sun CI	1,212,397
ZEV Technologies, Inc.,	8/23/2016	Clean Transportation, Promoting Workplace Charging	160,000
Zone 5, Inc.	6/20/2016	Admin, Social Media Services	20,000
Grand Total			592,888,673

NYSERDA

Public Authority Law Report

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Section Break

Contracts Completed
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Contractor	Project Description	Total Contract Amount_
1st Light Energy, Inc.	New York Sun Program, NY-Sun	43,399
3M Company	Industrial Process Efficiency Program, Industrial Process Efficiency	65,827
4 NYP Ventures LLC	Flexible Technical Assistance Program, FlexTech Program - Pon 1746	39,750
21C4E, Inc.	New York Sun Program, Solarize 2016	5,000
23 Ludlam Fuel Inc.	Fuel NY, GSP00521 - 23 Ludlam Fuel Inc.	6,335
25 Methodist Hill Drive LLC	Industrial Process Efficiency Program, Industrial Process Efficiency	51,364
29 Flatbush Associates, LLC	New Construction Program, NCP7808 - 29 Flatbush Ave	228,250
40-30 Realty Group LLC	Multifamily Performance Program, Multifamily	113,000
110 William Street Property Investors II	New Construction Program, NCP12513 - 110 William Street	6,225
110-118 Riverside Tenants Corp	Multifamily Performance Program, Multifamily	107,700
196 Hillside Service Center Inc.	Fuel NY, GSP00611 - 196 Hillside Servic	10,000
200 East Tenants Corporation	Multifamily Performance Program, Multifamily	99,000
200 ParkPartners JV LP	Existing Facilities Program, EFP2414 - 200 Park Partners -	129,191
207 East 74th Owners Inc.	Multifamily Performance Program, Multifamily	84,000
210 Summer Street, LLC	Multifamily Performance Program, Multifamily	32,000
230 West 41st Street LLC	Existing Facilities Program, EFP2402 - 230 West 41st St	7,845
261 East Merrick Road, Inc.	Fuel NY, GSP00633 - 261 East Merrick Ro	9,910
304-324 Owners Corp.	Multifamily Performance Program, NYSERDA Administration	66,500
330 Madison Avenue LLC	Existing Facilities Program, PON1219EE5	261,295
340 East 93rd Street Corp	Multifamily Performance Program, Multifamily	227,270
485 Ocean Realty LLC	Multifamily Performance Program, Multifamily	100,000
490 West End Apartments Corporation	Multifamily Performance Program, NYSERDA Administration	45,500
625 Gramatan Owners Corp	Multifamily Performance Program, Multifamily	63,200
770 Electric Corp.	New York Sun Program, RES-New Const & Adv Tech	10,250
789 St. Marks Realty Corp	Multifamily Performance Program, Multifamily	139,000
1231 Lawrence LLC	Multifamily Performance Program, Multifamily	28,000
2476 BCH OWNERS LLC	Multifamily Performance Program, Multifamily	50,400
2630 Kingsbridge Terrace Owners Inc	Multifamily Performance Program, Multifamily	118,050
3841 Realty Associates LLC	Multifamily Performance Program, Multifamily	46,400
A&B Auto Repair Inc.	Fuel NY, GSP00406 - A&B Auto Repair Inc	9,300
Absolutely Energized Solar Electric Inc	New York Sun Program, RES-New Const & Adv Tech	6,360
Accord Power, Inc.	New York Sun Program, NY-Sun	121,740
ACEEE	Existing Facilities Program, ACEEE 2015 research projects	30,000
Active Solar Development, LLC	New York Sun Program, RES-New Const & Adv Tech	12,080
	Renewable Thermal, NY-Sun	65,607
	Renewable Thermal, Renewable Heating & Cooling	33,938
	Workforce Development, PON2033-3	31,408
Adam C. Boese	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	6,500
	Flexible Technical Assistance Program, FlexTech Consultant Selection	24,400
Adelphi University	Existing Facilities Program, EFP2573-Adelphi University	69,506
Adirondack Beverages Corp.	Industrial Process Efficiency Program, Industrial Process Efficiency	147,447
Adirondack North Country Association	New York Sun Program, Solarize 2016	15,000
Advanced Solar Products, Inc.	New York Sun Program, New York Sun Competitive PV Pr	97,104
AECOM USA INC.	Smart Grid Systems, Town of Hempstead NY Prize	100,000
Aegis Energy Services Inc.	Combined Heat and Power, CHPA - City Lights #1	135,000
	Combined Heat and Power, CHPA - City Lights #2	135,000

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Contractor	Project Description	Total Contract Amount_
Aegis Energy Services Inc.	Combined Heat and Power, CHPA - Gramercy House	148,500
	Combined Heat and Power, CHPA - Hayden on the Hudson	180,000
	Combined Heat and Power, CHPA - Madison House	135,000
	Combined Heat and Power, CHPA - Oneida Cty Corrections	123,750
	Combined Heat and Power, The Q	266,250
Ahold USA, Inc dba The Stop & Shop	Existing Facilities Program, EFP2480 - Ahold Financial	13,365
	Existing Facilities Program, EFP2576 - Ahold Financial	45,214
Air Compressor Engineering Co., Inc.	Industrial Process Efficiency Program, Industrial Process Efficiency	77,736
AirFlow Catalyst Systems, Inc.	Clean Transportation, ADVANCED TRANSPORTATION TECHNO	120,460
	Clean Transportation, DeNOX System	100,000
AKF-engineers	Admin, Flexible Technical Assistance	36,848
	Combined Heat and Power, FlexTech Consultant Selection	51,597
	Flexible Technical Assistance Program, Flexible Technical Assistance	687,392
	Flexible Technical Assistance Program, FlexTech Consultant Selection	33,929
Akwesasne Mohawk Casino, LLC	New Construction Program, NCP11263 - Akwesasne Mohawk Ho	30,000
Albany County Dept. of General Services	Smart Grid Systems, City of Albany - Airport	95,000
Albany Law School Government Law Center	Innovation Capacity & Business Development, Cleantech Matters Blog..	5,000
Alexander Court Apartments LLC	Multifamily Performance Program, Multifamily	42,900
All Systems Cogeneration, Inc.	Combined Heat and Power, CHPA - Greenwich Club Residenc	115,500
	Existing Facilities Program, Existing Facilities Program PO	295,993
All-State Air Control Sales & Service	Workforce Development, PON 2033-3	7,200
Allan Pullis	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	12,496
Allen Power, Inc.	Smart Grid Systems, City of Albany Univ. Heights	100,000
Alliance Cooperative Energy LLC	New York Sun Program, NY-Sun	5,096
Alliance for Housing Inc.	Multifamily Performance Program, Multifamily	6,100
Alteris Renewables Inc.	New York Sun Program, RPS CST Regional Program	465,689
Alternative Power Solutions of NY, LLC	New York Sun Program, NY-Sun	68,436
Ambrosino, DePinto & Schmieder	New Construction Program, Technical Assistance Services	117,104
AMERESCO, Inc.	Existing Facilities Program, EFP2270 - Beacon CSD	71,356
American Council for an Energy Efficient	Other Program Area, 2016 ACEEE Ally Program Member	10,000
American Energy Care, Inc.	New York Sun Program, NY-Sun	6,048
American Natural Gas, LLC	Clean Transportation, American Natural Gas, LLC to i	360,580
American Renewable Energy, Inc.	New York Sun Program, NY-Sun	5,250
American Solar Partners, LLC	New York Sun Program, NY-Sun	31,139
	New York Sun Program, NYSERDA Administration	13,496
	New York Sun Program, RES-New Const & Adv Tech	23,050
AMRI Rensselaer, Inc.	Combined Heat and Power, FlexTech Program	24,810
Anchor Glass Container Corp	Industrial Process Efficiency Program, Industrial Process Efficiency	22,436
Anheuser-Busch, Inc.	Industrial Process Efficiency Program, Industrial Process Efficiency	110,688
Anjon of Greenlawn	Fuel NY, GSP00519 - Anjon of Greenlawn	7,401
Anodyne Solutions	Smart Grid Systems, City of Schenectady NY Prize	100,000
Antares Group, Inc.	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500
	Existing Facilities Program, Technical Review and Program S	11,206
	Industrial Process Efficiency Program, Industrial Process Efficiency	11,818
	Industrial Process Efficiency Program, Technical Review and Program ..	44,193
Apex Solar Power LLC	New York Sun Program, NY-Sun	227,702

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Contractor	Project Description	Total Contract Amount_
Apex Solar Power LLC	Renewable Thermal, NY-Sun	12,000
	Renewable Thermal, PV Incentives Program	6,000
	Renewable Thermal, Renewable Heating & Cooling	24,753
	Renewable Thermal, Solar Thermal Incentive	6,000
	Renewable Thermal, Solar Thermal Incentives	12,000
Apol Service Station Inc.	Fuel NY, GSP00536 - Apol Service Statio	9,815
Arcadis of New York, Inc.	Environmental Research, Cost Curve - Pump Storage	44,330
Arcadis U.S., Inc.	Existing Facilities Program, Technical Review and Program S	1,453,426
	Industrial Process Efficiency Program, Technical Review and Program ..	14,165
ARJ Fuel & Oil Inc.	Fuel NY, GSP00497 - ARJ Fuel & Oil Inc.	12,982
Artone, LLC	Industrial Process Efficiency Program, Industrial Process Efficiency	110,415
Astrum Solar, Inc.	New York Sun Program, NY-Sun	136,592
	New York Sun Program, NYSEDA Administration	8,998
AT&T Services Inc.	Industrial Process Efficiency Program, Industrial Process Efficiency	130,161
Atelier Ten	New Construction Program, Technical Assistance Services	25,472
Atlantis Management Group II LLC	Fuel NY, GSP00323 - Atlantis Management	9,872
	Fuel NY, GSP00324 - Atlantis Management	9,872
	Fuel NY, GSP00638 - Atlantis Management	9,872
	Fuel NY, GSP00639 - Atlantis Management	9,872
	Fuel NY, GSP00641 - Atlantis Management	9,872
	Fuel NY, GSP00647 - Atlantis Management	9,872
	Fuel NY, GSP00653 - Atlantis Management	9,872
	Fuel NY, GSP00654 - Atlantis Management	9,862
	Fuel NY, GSP00657 - Atlantis Management	9,872
	Fuel NY, GSP00658 - Atlantis Management	9,872
	Fuel NY, GSP00793 - Atlantis Management	9,872
Automated Dynamics	Innovation Capacity & Business Development, Transformative Technol..	83,617
AvalonBay Communities, Inc.	HOME PERFORMANCE WITH ENERGY STAR, RES-New Const & A..	17,300
	New York ENERGY STAR Homes, RES-New Const & Adv Tech	155,700
Aztech Geothermal, LLC	Workforce Development, PON 2033 OJT Hire Gross	15,080
Ballston Spa Central School	New Construction Program, NCP10370 - Malta Avenue Elemen	8,523
	New Construction Program, NCP10372 - BSCSD - Middle Scho	8,545
	New Construction Program, NCP10373 - BSCSD - 300 Wood RD	47,593
Bank of America	Existing Facilities Program, EFP2413 - Bank of America - 11	104,745
Bank of New York	New Construction Program, NCP13164 - 225 Liberty Headqua	30,000
Banks II Quan Associates, Inc.	Existing Facilities Program, Technical Review and Program S	15,120
Barclay Heights East Associates	Multifamily Performance Program, Multifamily	39,000
Barney's Service Station	Fuel NY, GSP00237 - Barney's Service St	9,700
Barrington Apartments LLC	Multifamily Performance Program, Multifamily	39,000
Barton & Loguidice, D. P.C.	Flexible Technical Assistance Program, FlexTech Consultant Selection	11,700
Bates Troy, Inc.	Industrial Process Efficiency Program, Industrial Process Efficiency	60,945
Beam Charging LLC	Clean Transportation, Beam Charging, LLC PON 2301 EV	368,558
Belt Parkway Realty Corp.	Fuel NY, GSP00603 - Belt Parkway Realty	10,000
Belvedere Housing, LP	Multifamily Performance Program, Multifamily	375,000
Benchmark Printing, Inc.	Multifamily Performance Program, Printing Services	4,270
Benchmark Group Inc	Existing Facilities Program, EFP2631 - Walmart - Multisite	99,449

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Contractor	Project Description	Total Contract Amount_
Bergmann Associates	Existing Facilities Program, Technical Review and Program S	6,182
	Flexible Technical Assistance Program, FlexTech Consultant Selection	81,706
	Green Jobs Green New York Revolving Loan Fund, Technical Review ..	5,900
	Industrial Process Efficiency Program, Technical Review and Program ..	14,662
	Renewable Heat NY, Technical Review and Program S	11,160
Best Energy Power	New York Sun Program, NY-Sun	213,348
Best Service Station Inc.	Fuel NY, GSP00675 - Best Service Statio	10,000
Big Apple Petroleum Realty LLC	Fuel NY, GSO00571 - Big Apple Petroleum	9,922
Bill Wolf Petroleum Maintenance LLC	Fuel NY, GSP00373-002 - Bill Wolf Petro	9,872
Binghamton State University	New Construction Program, NCP10102 - Johnson-O'Connor (B	13,843
Bizodo Inc	Admin, SeamlessDocs - Renewal	24,950
BJ's Wholesale Club	Existing Facilities Program, EFP2231 - BJ's 4 Sites	30,473
	Existing Facilities Program, EFP2586 - BJ's Wholesale Club	80,512
Black Cherry Services Group, Inc.	New York Sun Program, NY-Sun	6,048
Bloomberg, L.P.	Flexible Technical Assistance Program, Flex Tech - PON1746	123,000
Blue Pillar Inc.	Existing Facilities Program, EFP2490 - Blue Pillar - MKSCC	640,000
Blue Point BP Inc.	Fuel NY, GSP00412 - Blue Point BP Inc.	10,000
Board of Managers of Cipriani Club Resid	Flexible Technical Assistance Program, FlexTech Program	19,963
Bolla EM Realty LLC	Fuel NY, GSP00284 - Bolla EM Realty LLC	8,999
	Fuel NY, GSP00286 - Bolla EM Realty LLC	8,042
	Fuel NY, GSP00290 - Bolla EM Realty LLC	8,592
Bolla Operating Corp.	Fuel NY, GSP00253 - Bolla Operating Cor	10,000
	Fuel NY, GSP00256 - Bolla Operating Cor	10,000
	Fuel NY, GSP00279 - Bolla Operating Cor	8,659
	Fuel NY, GSP00300 - Bolla Operating Cor	10,000
	Fuel NY, GSP00360 - Bolla Operating C	10,000
	Fuel NY, GSP00375 - Bolla Operating Cor	8,859
	Fuel NY, GSP00319 - Bolla Operating LI	9,751
Bolla Operating LI Corp.	Fuel NY, GSP00259 - Bolla Operating LI	10,000
	Fuel NY, GSP00260 - Bolla Operating LI	10,000
	Fuel NY, GSP00262 - Bolla Operating LI	9,713
	Fuel NY, GSP00263 - Bolla Operating LI	10,000
	Fuel NY, GSP00264 - Bolla Operating LI	10,000
	Fuel NY, GSP00266 - Bolla Operating LI	10,000
	Fuel NY, GSP00276 - Bolla Operating LI	10,000
	Fuel NY, GSP00277 - Bolla Operating LI	10,000
	Fuel NY, GSP00319 - Bolla Operating LI	9,751
	Fuel NY, GSP00319 - Bolla Operating LI	9,751
Booz Allen Hamilton, Inc.	Smart Grid Systems, City of Elmira NY Prize	99,933
	Smart Grid Systems, City of Kingston NY Prize	99,832
	Smart Grid Systems, City of New Rochelle	99,911
	Smart Grid Systems, City of NY Sunnyside Yard	99,959
	Smart Grid Systems, City of Watervliet NY Prize	99,933
	Smart Grid Systems, NY Prize	99,933
	Smart Grid Systems, Town of Clarkstown NY Prize	99,707
	Smart Grid Systems, Town of Cortlandt NY Prize	99,911
	Smart Grid Systems, Town of Mamaroneck NY Prize	99,933
	Smart Grid Systems, Town of Moreau NY Prize	99,933

Contracts Completed
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Contractor	Project Description	Total Contract Amount_
Booz Allen Hamilton, Inc.	Smart Grid Systems, Town of Mt. Kisco NY Prize	99,875
	Smart Grid Systems, Town of Somers NY Prize	99,993
	Smart Grid Systems, Village of Carthage NY Prize	99,720
	Smart Grid Systems, Village of Chateaugay NY Prize	99,872
	Smart Grid Systems, Village of Florida NY Prize	99,933
	Smart Grid Systems, Village of Liberty NY Prize	99,856
	Smart Grid Systems, Village of Monticello NY Prize	99,832
Boston Properties	Flexible Technical Assistance Program, Flex Tech - PON1746	24,309
Boxler Dairy Farms	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	91,130
BPC Green Builder, Inc.	HOME PERFORMANCE WITH ENERGY STAR, RES-New Const & A..	8,000
BR HGI LLC	Multifamily Performance Program, Multifamily	94,000
Brattle Group Inc.	Energy Analysis, Utility Business Model for REV	700,000
Breezyhill Dairy Farm	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	17,832
Bridges Development, Inc.	HOME PERFORMANCE WITH ENERGY STAR, RES-New Const & A..	10,100
	New York ENERGY STAR Homes, RES-New Const & Adv Tech	90,900
Bright Power, Inc.	Flexible Technical Assistance Program, FlexTech Consultant Selection	34,500
	New York Sun Program, RES-New Const & Adv Tech	69,050
Broadway 1384 LLC	Flexible Technical Assistance Program, FlexTech - PON1746	6,000
Brookfield Energy Marketing, LP	Large Scale Renewables, RPS Program Purchase of Renewa	44,284
	Large Scale Renewables, Stewarts Bridge Hydro Project	469,678
Brookfield Properties Development LLC	Existing Facilities Program, EFP1847 - Brookfield Propertie	23,758
Brookhaven National Lab	Renewables & DER integration, Center for Emergent Supercondu	250,000
	Smart Grid Systems, Impact Model UtilScale SolarPV	280,000
Brooklyn SolarWorks LLC	New York Sun Program, NY-Sun	11,322
Buckeye Albany Terminal LLC	Industrial Process Efficiency Program, Industrial Process Efficiency	77,160
Buffalo Housing Associates	Multifamily Performance Program, Multifamily	27,000
	Multifamily Performance Program, NYSERDA Administration	4,050
Buffalo Management Group, Inc.	Multifamily Performance Program, Multifamily	164,000
Buffalo Niagara Medical Campus, Inc.	Smart Grid Systems, Buffalo Niagara Medical Campus	100,000
Builrite Solutions Inc.	Existing Facilities Program, EFP2297 - Builrite Solutions	121,592
Burke Electric	New York Sun Program, NY-Sun	5,040
Burr Energy LLC	Smart Grid Systems, Town of New Paltz NY Prize	100,000
	Smart Grid Systems, Town of Warwick NY Prize	100,000
Business Incubator Association of New Yo	Innovation Capacity & Business Development, BIA/NYS Sponsorship	5,000
C.J. Brown Energy, P.C.	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	8,132
	Flexible Technical Assistance Program, FlexTech Consultant Selection	79,831
	Industrial Process Efficiency Program, Existing Facilities Tech Assis	976
C.T. Male Associates Engineering,	Existing Facilities Program, Technical Review and Program S	7,740
	Flexible Technical Assistance Program, FlexTech Consultant Selection	34,846
C&S Engineers, Inc.	Flexible Technical Assistance Program, FlexTech Consultant Selection	22,765
	Flexible Technical Assistance Program, NYSERDA Administration	38,146
Callanan Industries	Industrial Process Efficiency Program, Industrial Process Efficiency	18,459
Calvary Hospital	Existing Facilities Program, EFP2071 - Calvary Hospital	176,130
Calvert Lancaster Developers, LLC	Green Affordable Housing, Multifamily	21,907
	Multifamily Performance Program, Multifamily	59,708
Cambridge United Presbyterian Church	New York Sun Program, Solarize 2016	5,000

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Contractor	Project Description	Total Contract Amount_
Canisius College	New Construction Program, NCP9059 - Science Hall	72,528
	New Construction Program, NCP10342 - Canisius Science Ce	79,322
Car Charging Holdings LLC	Clean Transportation, Car Charging Holdings, LLC PON	178,778
Carahsoft Technology Corporation	Admin, Docusign Subscription -1 yr	11,260
Carriage Factory Special Needs Apartment	Multifamily Performance Program, Multifamily	127,201
Cascades Energy Initiatives Inc	Industrial Process Efficiency Program, Industrial Process Efficiency	577,719
Catholic Charities Progress of People	Multifamily Performance Program, Multifamily	193,582
Cayuga Medical Center at Ithaca	New Construction Program, NCP10080 - Cayuga Medical Cent	146,365
Cayuga Milk Ingredients	Industrial Process Efficiency Program, Industrial Process Efficiency	1,796,632
CCMH Times Square LLC	Flexible Technical Assistance Program, FlexTech Program - PON1746	120,011
CDH Energy Corporation	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	6,500
	Combined Heat and Power, CHP Data Integration System Op	915,000
	Combined Heat and Power, EFP Task Work Order	9,610
	Existing Facilities Program, EFP Task Work Order	59,046
	Existing Facilities Program, Technical Review and Program S	211,120
	Flexible Technical Assistance Program, FlexTech Consultant Selection	42,890
	Industrial Process Efficiency Program, EFP Task Work Order	894
	Industrial Process Efficiency Program, Technical Review and Program ..	41,975
Renewable Heat NY, EFP Task Work Order	8,802	
Cellco Partnership	Industrial Process Efficiency Program, Industrial Process Efficiency	36,064
Celtic Holdings LLC	Flexible Technical Assistance Program, Flex Tech - PON1746	45,788
Center Albany Associates, LP	Multifamily Performance Program, Multifamily	190,000
Center for Internet Security Inc	Admin, Information Security Malicious	12,568
	Admin, Information Securitiy Malicious	7,440
Centerplate, Inc.	Innovation Capacity & Business Development, 2016 NY Green Innovat..	11,187
Central Association for the Blind	Industrial Process Efficiency Program, Industrial Process Efficiency	17,942
CHA Consulting Inc.	Existing Facilities Program, Technical Review and Program S	756,507
	Flexible Technical Assistance Program, FlexTech Consultant CHA	14,100
	Industrial Process Efficiency Program, Technical Review and Program ..	107,126
	Renewable Heat NY, Technical Review and Program S	1,945
Chadbourne & Parke LLP	New York Green Bank, Investec/Sunrun Legal Fees	15,000
Chelsea Gardens Owners Corp	Multifamily Performance Program, Multifamily	109,200
Chelsea Mercantile	Combined Heat and Power, Distributed Generation as Comb	453,556
CIR ELECTRICAL CONSTRUCTION CORP.	New York Sun Program, NY-Sun	63,731
	New York Sun Program, RES-New Const & Adv Tech	13,200
City of Buffalo	Existing Facilities Program, EFP2641 - City of Buffalo Wate	7,875
City of Glens Falls	Smart Grid Systems, City of Glens Falls, NY Prize	100,000
City of Ithaca	Smart Grid Systems, City of Ithaca NY Prize	100,000
City of Utica	Smart Grid Systems, City of Utica NY Prize	100,000
Clarkson University	Environmental Research, Performance of Biomass-fired	197,847
Clean Energy States Alliance	Other Program Area, CESA 2016-2017 Membership Dues	68,500
Climate Policy Initiative	Large Scale Renewables, Support for Financial Analysis	50,000
Clough, Harbour & Associates, LLP	Existing Facilities Program, EFP Task Work Order	3,489
	Flexible Technical Assistance Program, FlexTech Consultant Selection	140,334
	Industrial Process Efficiency Program, EFP Task Work Order	140,763
	Industrial Process Efficiency Program, Existing Facilities Tech Assis	10,638

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Contractor	Project Description	Total Contract Amount_
CNA Properties Management LLC	Multifamily Performance Program, Multifamily	36,000
CNY Solar, Inc.	New York Sun Program, NY-Sun	68,308
Code Green Solutions, Inc.	Flexible Technical Assistance Program, FlexTech Consultant Selection	51,246
	New Construction Program, NCP11451 - 114 5th Ave	162,032
Coeymans Hollow Fire	New Construction Program, NCP11663 - Coeymans Hollow Fir	5,756
Cogen Power Technologies LLC	Smart Grid Systems, City of Auburn NY Prize	99,500
	Smart Grid Systems, City of Troy RPI/Samaritan	99,500
	Smart Grid Systems, Empire State Plaza NY Prize	99,500
Collegiate Builders	New York Sun Program, NY-Sun	77,643
Columbia County Chamber of Commerce	New York Sun Program, Solarize 2016	5,000
Columbia University	Clean Transportation, PON 2301, RD2: Columbia Univer	33,630
Columbia University Medical Center	Industrial Process Efficiency Program, Industrial Process Efficiency	819,642
Communications Specialists, Inc.	New York Sun Program, NY-Sun	7,500
Community Counseling & Mediation Service	Multifamily Performance Program, Multifamily	86,400
Concur Technologies, Inc.	Admin, Concur Expense Reporting Sys.	15,626
Conner Street Realty LLC	Fuel NY, GSP00320 - Conner Street Realt	9,872
Conscious Energy Inc.	New York Sun Program, NY-Sun	7,000
Consolidated Edison Company	Smart Grid Systems, NY Prize Utility Data Service	86,000
Control Solutions Group, Inc.	Admin, Facilities Management	9,500
Corgan Associates Architects PC	Admin, Multifamily	370,588
Cornell University	Environmental Research, Environmental Research	111,391
	New Construction Program, NCP10192 - Gates Hall (Cornell	185,485
	New Construction Program, NCP98262 - Warren Hall (Cornel	94,938
	Other Program Area, 2016 Entrepreneurship Cornell	15,000
Cornerstone Energy Services	Renewable Heat NY, RHNY PON 3010 Incentive - Kinb	21,910
Corning Community College	Industrial Process Efficiency Program, Industrial Process Efficiency	47,839
Corning Inc.	Industrial Process Efficiency Program, Industrial Process Efficiency	60,515
	New Construction Program, NCP11435 - CMoG North Wing Exp	128,282
Corpus Christi Housing Development Fund	HOME PERFORMANCE WITH ENERGY STAR, NYSERDA Administr..	8,400
	New York ENERGY STAR Homes, NYSERDA Administration	75,600
Costco Wholesale	New Construction Program, NCP11686 - Costco Wholesale	223,700
	New Construction Program, NCP12675 - Costco Rochester	312,627
Cowles Company of Northern New York, Inc	Renewable Heat NY, RHNY Incentive- Chartrand	10,000
CPD NY Energy	Fuel NY, GSP00509-003 - CPD NY Energy (10,000
Creative Food Ingredients Inc.	New Construction Program, NCP12819 - CFI Main Plant	18,735
Creek Hill Apartments LLC	Multifamily Performance Program, Multifamily	126,000
Crest Solar LLC	New York Sun Program, NY-Sun	5,130
Cross Bronx Services Station Corp	Fuel NY, GSP00308 - Cross Bronx Service	10,000
Crossroads Joint Venture	Existing Facilities Program, EFP2611 - Crossroads Joint Ven	27,891
Croton Energy Group, Inc.	New York Sun Program, NY-Sun	6,221
Cumberland Farms, Inc.	Fuel NY, GSP00461-001 - Cumberland Farm	9,872
	Fuel NY, GSP00461-004 - Cumberland Farm	9,872
	Fuel NY, GSP00461-005 - Cumberland Farm	8,422
	Fuel NY, GSP00461-006 - Cumberland Farm	9,872
	Fuel NY, GSP00461-007 - Cumberland Farm	9,872
Cutone & Company Consultants, LLC	Existing Facilities Program, EFP1406 - Cutone; Roosevelt	54,912

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Contractor	Project Description	Total Contract Amount_
Cutone & Company Consultants, LLC	Existing Facilities Program, EFP2182- 400 Park Avenue	64,741
	Existing Facilities Program, Existing Facilities Program -	47,126
	Existing Facilities Program, PON1219EE5	723,188
Cypress Hills Local Development Corporat	Multifamily Performance Program, Multifamily	20,000
D Viola Enterprises, LP	Multifamily Performance Program, Multifamily	48,000
Dairyland USA Corporation	Industrial Process Efficiency Program, Industrial Process Efficiency	16,319
Davis Farms	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	55,466
Daystar Solar, LLC	New York Sun Program, NY-Sun	38,696
Demarse Electric Inc.	New York Sun Program, RES-New Const & Adv Tech	14,820
DePaul Properties, Inc.	HOME PERFORMANCE WITH ENERGY STAR, RES-New Const & A..	24,300
	New York ENERGY STAR Homes, RES-New Const & Adv Tech	218,700
Desmond, The	Multifamily Performance Program, 2016 LIFE Conference	49,427
DET NORSE VERITAS (U.S.A.) INC.	Clean Transportation, DNV GL to perform a forensics	49,120
Dewberry Consultants LLC	Environmental Research, Future Floodplain Analysis	240,398
DeWitt , Margaret Anne	Agriculture Energy Efficiency Program, Agriculture Disaster Energy Ef	249,722
Diamond Builders Corp	Clean Transportation, NYS Compressed Natural Gas	300,000
District Sun	New York Sun Program, NY-Sun	8,379
Dohr Apartments	Multifamily Performance Program, Multifamily	112,000
DOLP 205 Properties II LLC	New Construction Program, NCP11853 - 205 East 42nd St Ph	53,693
Dominican Sisters of Sparkill Convent	Existing Facilities Program, EFP2521 - Dominican Sisters	9,107
Dowd-Witbeck Printing Corp.	Admin, Printing Services-MWBE	2,782
	Other Program Area, Printing Services	110
Dr. Richard Schlesinger	Environmental Research, Environmental Research	18,935
DynTek Services, Inc.	Admin, Checkpoint Firewall license	228,066
Dziedzic, Paul	Agriculture Energy Efficiency Program, AEEP - Pre Enc	56,395
Earth Environmental Group, LLC	Renewable Thermal, NY-Sun	99,020
East 163rd LLC	Multifamily Performance Program, Multifamily	104,000
East End Marketing Corp.	Clean Transportation, Hempstead Shamrock: PON 2290 i	35,000
	Clean Transportation, PON2290: Patchogue Valero E85	35,000
East New York Restoration Local Developm	New York Sun Program, Solarize 2016	5,000
Eastern Energy Systems Inc.	New York Sun Program, NY-Sun	46,150
EBSCO Industries, Inc.	Environmental Research, PlumX altmetrics 2016-2017	15,750
Ecology & Environment, Inc.	West Valley Development Program, Environmental Monitoring for t	1,530,131
EcoMen Solar, LLC	New York Sun Program, NY-Sun	16,402
Ecovative Design LLC	Innovation Capacity & Business Development, Transformative Technol..	399,934
Ecovis, Inc.	New York Sun Program, NY-Sun	12,648
Ed Drexler	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	30,711
Edward & Amy Zukowski	HOME PERFORMANCE WITH ENERGY STAR, Codes & New Constr..	4,100
	New York ENERGY STAR Homes, Codes & New Construction	36,900
Electric Power Research Institute	Other Program Area, EPRI IOAP Gap Analysis	117,000
	Renewables & DER integration, Technology to Market	194,280
Elizabeth A. Kormos	HOME PERFORMANCE WITH ENERGY STAR, Codes & New Constr..	800
	New York ENERGY STAR Homes, Codes & New Construction	7,200
Ellicott Shores Apartments, LLC	Multifamily Performance Program, Multifamily	40,250
Emacx Systems, Inc.	Existing Facilities Program, EFP2488 - Emacx - NY Life	138,882
EMCOR Services Betlem	Flexible Technical Assistance Program, FlexTech Consultant Selection	65,029

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Contractor	Project Description	Total Contract Amount_
EMCOR Services Betlem	Industrial Process Efficiency Program, Industrial Process Efficiency	10,498
EME Consulting Engineering Group, LLC	Admin, Existing Facilities Tech Assit	377,134
	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	2,500
	Existing Facilities Program, Technical Review and Program S	35,450
	Flexible Technical Assistance Program, FlexTech Consultant Selection	13,750
	New Construction Program, Technical Assistance Services	431,842
Emerling Farms	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	134,326
Empire Solar Solutions LLC	New York Sun Program, NY-Sun	29,838
Empire State Realty Trust 1350 Broadway	Existing Facilities Program, EFP1962-Empire State Realty Tr	24,242
Empower CES, LLC	New York Sun Program, NY-Sun	63,107
	New York Sun Program, RPS CST Regional Program	380,854
ENER-G ROTORS, Inc	Renewables & DER integration, Demonstration of 2 Beta Units	655,000
Eneractive Solutions	Flexible Technical Assistance Program, FlexTech Consultant Selection	240,543
Energy & Resource Solutions, Inc.	Existing Facilities Program, EFP Task Work Orders	33,815
	Existing Facilities Program, Technical Review and Program S	34,367
	Flexible Technical Assistance Program, FlexTech Consultant ERS	4,908
	Industrial Process Efficiency Program, EFP Task Work Orders	22,851
	Industrial Process Efficiency Program, Technical Review and Program ..	36,306
	Renewable Heat NY, Technical Review and Program S	7,200
	Smart Grid Systems, City of NY, Manhattan	75,000
	Smart Grid Systems, Town of Brookhaven NY Prize	99,952
Energy Conservation & Supply, Inc.	Existing Facilities Program, EFP2260 - Energy Conservation	262,615
	Existing Facilities Program, EFP2399 - Energy Conservation	167,735
	Existing Facilities Program, EFP2440 - Energy Conservation	294,048
Energy Improvement Corporation	Other Program Area, Westchester Solar Initiative	242,572
	Workforce Development, Westchester Solar Initiative	242,572
Energy Storage Solutions, Inc.	Innovation Capacity & Business Development, Low Cost 50kW Flywhe..	13,500
Energy Week Holdings, LLC	Admin, 2016 New York Energy Week	5,000
ENrG, Inc.	Innovation Capacity & Business Development, Thin E-Strate Clean Po..	995,558
Enven Energy Services	Existing Facilities Program, EFP2501 - Enven Energy Service	43,854
Environment & Energy Publishing, LLC	Admin, Annual Renewal for Envionmenta	10,770
Epergy, LLC	New York Sun Program, NY-Sun	7,440
Equinix	Industrial Process Efficiency Program, Industrial Process Efficiency	136,182
Erdman Anthony & Associates, Inc.	Industrial Process Efficiency Program, Technical Review and Program ..	7,253
	New Construction Program, EAA - EMP	6,630
	New Construction Program, Technical Assistance Services	97,558
Erie 1 BOCES	Workforce Development, Clean Energy Training for HS	145,144
Erie County Medical Center	New Construction Program, NCP11372 - ECMC Behavioral Hea	11,428
ET 400 PAS, LLC	New Construction Program, NCP10641 - 400 Park Ave South	84,094
Everson Museum of Art	Existing Facilities Program, NYSERDA Administration	28,181
Extraterrestrial Materials Inc.	New York Sun Program, NY-Sun	129,541
	New York Sun Program, RES-New Const & Adv Tech	19,500
EYP Architecture & Engineering, PC	Flexible Technical Assistance Program, FlexTech Consultant Selection	45,058
Fairfax Owners Corporation	Multifamily Performance Program, Multifamily	50,400
Farm, LLC	Renewable Heat NY, NYSERDA Administration	594,266
Farmington Farm and Garden, Inc	New Construction Program, NCP13150 - Henrietta CountryMa	14,268

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Contractor	Project Description	Total Contract Amount_
Fast Gasoline Station Inc.	Fuel NY, GSP00398 - Fast Gasoline Stati	10,000
Fayetteville-Manlius Central School Dist	New Construction Program, NCP12397 - Mott Rd Elementary	12,160
FCH HH Knickerbocker Owner, L.P.	New Construction Program, NCP10809 - 1466 Broadway (FCH	123,511
Ficazzola Consulting, LLC	New York Sun Program, NY-Sun	11,805
	New York Sun Program, RES-New Const & Adv Tech	11,550
Finch Paper, LLC	Flexible Technical Assistance Program, FlexTech - PON1746	30,780
	Flexible Technical Assistance Program, PON 1747 - FlexTech Program	22,428
Flat Rock Windpower, LLC	Large Scale Renewables, NYSERDA Administration	123,060,994
Florenton River LLC	New York Sun Program, NY-Sun	22,509
Floris Keverling Buisman	HOME PERFORMANCE WITH ENERGY STAR, RES-New Const & A..	9,000
FM Office Express	Admin, Tri-Pod Workstation for NYC	12,005
Food & Gas of Ardsley, Inc.	Fuel NY, GSP00119-008 - Food and Gas of	10,000
Fordham University	New Construction Program, NCP98268 - New Law School & Do	226,140
Fort Pike Commons Apartments LLC	Multifamily Performance Program, Multifamily	120,000
Fort Schuyler Management Corporation	New Construction Program, NCP12358 - Quad C Cleanroom	140,402
	New Construction Program, NCP12677 - Syracuse Film HUB	7,205
Found Object LLC	Admin, Communications Services for Re	246,000
Fourth Coast, Inc.	New York Sun Program, NY-Sun	49,675
Franzoso Energy Solutions, Inc.	New York Sun Program, NY-Sun	15,211
Freedom Solar Inc.	New York Sun Program, NY-Sun	122,666
Friends of Brooklyn Community Board 6	New York Sun Program, Solarize 2016	5,000
	Smart Grid Systems, City of NY Red Hook Brooklyn	100,000
Fund for the City of New York, Inc.	New York Sun Program, Solarize 2016	5,000
Fusion Energy Services LLC	New York Sun Program, NY-Sun	6,240
Garlock Sealing Technologies, LLC	Industrial Process Efficiency Program, Industrial Process Efficiency	24,930
Gary Plastic Packaging Corp.	Industrial Process Efficiency Program, Industrial Process Efficiency	38,668
Gaseteria Oil Corp.	Fuel NY, GSP00464-002 - Gaseteria Oil C	10,000
	Fuel NY, GSP00807-002 - Gaseteria Oil C	10,000
Gateway Elton Street I, LLC	Green Affordable Housing, Multifamily	19,736
	Green Affordable Housing, NYSERDA Administration	29,615
	Multifamily Performance Program, Multifamily	224,195
	Multifamily Performance Program, NYSERDA Administration	315,535
GB Lighting Corp	Existing Facilities Program, EFP2368 - GB Lighting - Bobove	158,275
GC Apple, LLC	New Construction Program, NCP10768 - Applebee's Brooklyn	40,105
GCOM Software Inc.	Admin, Salesforce additional licenses	297,049
	Admin, Salesforce Licensing	724,020
GCP 188th Realty Corp	Fuel NY, GSP00609 - GCP 188th Realty Co	10,000
GCP East Realty Corp.	Fuel NY, GSP00607 - GCP East Realty Cor	10,000
GCP West Realty Corp.	Fuel NY, GSP00608 - GCP West Realty Cor	10,000
GE MDS, LLC	Industrial Process Efficiency Program, Industrial Process Efficiency	9,275
General Electric Co. Gobal Research	Industrial Process Efficiency Program, Industrial Process Efficiency	36,415
General Mills	Industrial Process Efficiency Program, Industrial Process Efficiency	304,798
General Motors	Industrial Process Efficiency Program, Industrial and Process Efficie	350,175
General Motors, LLC	Industrial Process Efficiency Program, Industrial Process Efficiency	727,905
Geo of Camden, LLC	New York Sun Program, NY-Sun	25,692
George E Denmark II	New York Sun Program, NY-Sun	12,300

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Contractor	Project Description	Total Contract Amount_
Geoscape Solar LLC	New York Sun Program, NY-Sun	6,867
Geotherm Inc.	New York Sun Program, NY-Sun	17,442
Gerster Sales & Service, Inc.	Industrial Process Efficiency Program, Industrial Process Efficiency	143,505
GL Energy Solutions	Existing Facilities Program, EFP2541 - GL Energy - 2 Locati	295,389
Global Common, LLC	Smart Grid Systems, Village of Greenport NY Prize	100,000
Global Energy Efficiency	Existing Facilities Program, EFP2100 - Global Efficiency Se	252,548
Go Solar/Green NY, LLC	New York Sun Program, NY-Sun	49,181
	New York Sun Program, RES-New Const & Adv Tech	22,236
Goldman Copeland Associates, P.C.	Flexible Technical Assistance Program, FlexTech Consultant Selection	89,095
Golub Corporation	New Construction Program, NCP12954 - Price Chopper Clift	119,398
	New Construction Program, NCP12955 - Price Chopper Wilto	118,926
Goodwill of the Finger Lakes, Inc.	New Construction Program, NCP12695 - Goodwill Cicero	3,550
Gotham 360 LLC	Smart Grid Systems, City of New York - East Bronx	66,000
Grant Park II, LP	Green Affordable Housing, Multifamily	38,938
	Multifamily Performance Program, Multifamily	98,459
Great Brook Solar NRG, LLC	New York Sun Program, NY-Sun	14,265
Green Energy Corp.	Smart Grid Systems, Village of Ossining, NY Prize	79,488
Green Hybrid Energy Solutions Inc.	New York Sun Program, NY-Sun	144,817
Green Light Energy Conservation	Existing Facilities Program, EFP2454 - Greenlight Energy Co	121,290
	Existing Facilities Program, EFP2559 - Green Light Energy C	111,840
Green Options Buffalo	Clean Transportation, Buffalo's Bicycle Master Plan	74,997
Green Power Solutions, Inc.	New York Sun Program, NY-Sun	47,063
	New York Sun Program, NYSERDA Administration	5,040
	New York Sun Program, RES-New Const & Adv Tech	6,540
Greenhill Contracting Inc.	HOME PERFORMANCE WITH ENERGY STAR, Codes & New Constr..	8,000
	HOME PERFORMANCE WITH ENERGY STAR, RES-New Const & A..	48,000
GreenLogic, LLC	New York Sun Program, NY-Sun	56,308
Greenspring Building Systems, Inc.	HOME PERFORMANCE WITH ENERGY STAR, RES-New Const & A..	13,000
Greenwood Millennium Hilton LLC	Existing Facilities Program, EFP CHP project	691,092
Gregory Towers Condominium	Multifamily Performance Program, Multifamily	84,000
Greif Inc.	Industrial Process Efficiency Program, Pre-Enc	27,252
Greyston Bakery	Industrial Process Efficiency Program, Industrial Process Efficiency	13,281
Grid City Electric Corp	New York Sun Program, NY-Sun	25,489
GridMarket, LLC	Renewables & DER integration, Building Load Profiles	49,900
Group-S LLC	Flexible Technical Assistance Program, FlexTech Consultant Selection	89,625
GTCS, Inc.	Clean Transportation, Rochester Bike Share Study	75,000
Guth Deconzo Consulting Engineers	Flexible Technical Assistance Program, FlexTech Consultant Selection	45,119
Habitat For Humanity, Schenectady County	HOME PERFORMANCE WITH ENERGY STAR, RES-New Const & A..	600
	New York ENERGY STAR Homes, RES-New Const & Adv Tech	5,400
Halcyon, Inc.	New York Sun Program, NY-Sun	157,207
Hamilton Gas & Convenience Inc.	Fuel NY, GSP00681 - Hamilton Gas & Conv	10,000
Hand Melon Farm LLC	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	23,295
Harbec Inc	Innovation Capacity & Business Development, Biomimetic 3D Printing	400,000
Harco Construction, LLC	New Construction Program, NCP12125 - 223 West 34th Stree	30,000
Hebrew Home for the Aged at Riverdale	Combined Heat and Power, Flex Tech - PON1746	16,295
	Flexible Technical Assistance Program, Flex Tech - PON1746	52,705

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Contractor	Project Description	Total Contract Amount_
Henegan Construction Co., Inc.	Admin, Manager & Construction Services	3,927,026
Hess Corporation	Fuel NY, GSP00050 - Hess Corporation	10,000
Hewlett-Packard Company	Admin, HP Replacement Laptops # 2	6,191
	Admin, Replacement Laptops - sign out	6,522
	Admin, Tablet purchase to replace sig	13,044
Hi-Hope Farms LLC	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	23,762
Hickory Knoll Thoroughbreds	Agriculture Energy Efficiency Program, 1219AGEPS1	9,674
High Peaks Solar	New York Sun Program, NY-Sun	32,650
Hill Court Associates LLC	Multifamily Performance Program, Multifamily	185,000
Hilton Hotels Corporation	Existing Facilities Program, EFP2065-Hilton New York - 1335	92,744
Hilton Village II Apartments LLC	Multifamily Performance Program, Multifamily	233,000
Holland & Knight LLP	New York Green Bank, Green Bank Outside Legal Serv.	54,952
Homes for New Yorkers, Inc	Multifamily Performance Program, Multifamily	432,474
Homestate Asset Management LLC	Multifamily Performance Program, Multifamily	247,000
Horizon Engineering Assoc. LLP	Flexible Technical Assistance Program, FlexTech Consultant Selection	27,975
Housing Visions Consultants, Inc.	HOME PERFORMANCE WITH ENERGY STAR, RES-New Const & A..	11,500
	New York ENERGY STAR Homes, RES-New Const & Adv Tech	103,500
HST Grand Central LLC	Flexible Technical Assistance Program, FlexTech Program - PON1746	37,198
HST Lessee WNY, LLC	Flexible Technical Assistance Program, FlexTech Program - PON1746	24,038
Hudson Canton, LLC	Multifamily Performance Program, Multifamily	126,767
Hudson City School District	Flexible Technical Assistance Program, FlexTech Program - PON1746	42,586
Hudson Petroleum Realty LLC	Fuel NY, GSP00661 - Hudson Petroleum Re	9,922
Hudson River Trading	Industrial Process Efficiency Program, Industrial Process Efficiency	328,058
Hudson Solar	New York Sun Program, NY-Sun	220,412
	New York Sun Program, RES-New Const & Adv Tech	27,748
Huhtamaki, Inc.	Industrial Process Efficiency Program, Industrial Process Efficiency	284,665
HV II Associates, LP	Multifamily Performance Program, Multifamily	74,000
IBC Engineering PC	Flexible Technical Assistance Program, FlexTech Consultant Selection	27,875
ICF Resources, LLC	Evaluation, Eco. & Env. Impact Evaluation	25,558
	Green Jobs Green New York Revolving Loan Fund, Eco. & Env. Impac..	8,735
Image Matters, LLC	Environmental Research, SLAMM-View integration	15,363
Industrial Exhibit Authority	Admin, 2016 NYS Fair	8,675
	Corporate Marketing, 2016 NYS Fair - PSC Exhibit	5,265
Infinity Solar Systems, LLC	New York Sun Program, NY-Sun	47,709
Innovated Energy Solutions	New York Sun Program, NY-Sun	7,688
Institute of Technology Foundation at Ut	Innovation Capacity & Business Development, 2016 NYBP Competitio..	25,000
Integration Strategy, Inc.	New York Green Bank, NYGB Annual Business Plan 2016	50,000
Intelligent Green Solutions	Renewable Thermal, NY-Sun	799,442
	Renewable Thermal, NYSERDA Administration	73,561
	Renewable Thermal, PV Incentive Program	105,194
	Renewable Thermal, PV Incentvie Program	35,757
	Renewable Thermal, Renewable Heating & Cooling	2,194,144
Interface Solutions, Inc.	Industrial Process Efficiency Program, Industrial Process Efficiency	58,035
International Paper	Energy Analysis, Regional Economic Development	750,000
Inverters Unlimited, Inc.	New York Sun Program, RES-New Const & Adv Tech	9,000
loxus, Inc.	Clean Transportation, Thermally optimized Ultracap	211,601

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Contractor	Project Description	Total Contract Amount_
Iskalo 5020 Main LLC	New Construction Program, NCP11183 - 5020 Main Street	35,910
Ithaca City School District	Flexible Technical Assistance Program, PON 1746 - FlexTech Program	98,500
Jacqueline & Kevin Chamberlain	HOME PERFORMANCE WITH ENERGY STAR, RES-New Const & A..	9,000
James A. Maguire, Jr	Multifamily Performance Program, Multifamily	72,000
Jamestown 47th Avenue LP	Existing Facilities Program, EFP2562-Jamestown, LP - Falchi	30,000
Janson Properties, LLC	Multifamily Performance Program, Multifamily	42,000
JAS 109 Mart, Inc.	Fuel NY, GSP00800 - JAS 109 Mart, Inc.	9,950
Jefferson Community College	Workforce Development, Energy Technology Certificate	89,239
Jefferson County Local Development Corp	Smart Grid Systems, Town of Watertown NY Prize	100,000
Jewish Board of Family & Children's Serv	Existing Facilities Program, EFP2427 - Jewish Bd of Family	50,222
Jewish National Fund	New Construction Program, NCP10173 - JNF National Headqu	47,109
John W.Danforth Co, Inc.	New Construction Program, NCP13038 - Meadows Business Pa	15,424
Johnson Controls Inc.	Existing Facilities Program, EFP2067 - Johnson Controls	26,487
	Existing Facilities Program, EFP2274 - Johnson Controls	64,115
Johnston Paper	New Construction Program, NCP11764 - Johnston Paper Comp	72,110
Kashif Riaz	HOME PERFORMANCE WITH ENERGY STAR, NYSERDA Administr..	3,000
Kasselman Solar LLC	New York Sun Program, NY-Sun	171,452
Katonah Lewisboro UFSD	Existing Facilities Program, EFP2452-Katonah-Lewisboro Scho	128,367
Kenneth DeBlock Jr.	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	21,612
Keshtgar Enterprises Inc	Fuel NY, GSP00808 - Keshtgar Enterprise	10,000
Kilowatt Engineering, Inc.	Existing Facilities Program, Technical Review and Program S	3,526
Kilowatt Financial, LLC	New York Sun Program, NY-Sun	9,450
Kingsland Service Station Inc.	Fuel NY, GSP00356 - Kingsland Service S	10,000
Kirchhoff Green Energy, LLC	New York Sun Program, NY-Sun	6,038
KMD-NDH LLC	New Construction Program, NCP11307 - Northern Dutchess	13,299
KPMG LLP	Admin, Audit services	69,500
	New York Green Bank, Audit services	16,500
Kraft Foods Global	Industrial Process Efficiency Program, Industrial Process Efficiency	73,071
Kreher's Sunrise Farm, LLC	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	13,784
Krinos Foods,LLC	New Construction Program, NCP12892 - Krinos Bronx Facili	4,210
L&S Energy Services, Inc.	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	15,978
	Existing Facilities Program, IPE Incentve	15,651
	Existing Facilities Program, Technical Review and Program S	6,842
	Flexible Technical Assistance Program, FlexTech Consultant Selection	113,356
	Green Jobs Green New York Revolving Loan Fund, FlexTech Consult..	5,677
	Industrial Process Efficiency Program, .	63,847
	Industrial Process Efficiency Program, Technical Review and Program ..	87,378
	New Construction Program, Technical Assistance Services.	440,361
LaBella Associates, P.C.	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	5,000
	Existing Facilities Program, Technical Review and Program S	4,752
	Flexible Technical Assistance Program, FlexTech Consultant Selection	7,075
	Industrial Process Efficiency Program, Industrial Process Efficiency	37,857
Lancaster Madison Associates, LLC	Green Affordable Housing, NYSERDA Administration	20,744
	Multifamily Performance Program, NYSERDA Administration	57,080
Landview Farms, LLC	New Construction Program, NCP12902 - Landview Farms New	33,564
Launch New York, Inc.	Innovation Capacity & Business Development, Launch NY Sponsorship	25,000

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Contractor	Project Description	Total Contract Amount_
Leon Button	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	36,091
Level 3 Communications	Industrial Process Efficiency Program, Industrial Process Efficiency	119,447
Level Agency for Infrastructure, LLC	Smart Grid Systems, City of NY Hunts Point	100,000
Liberty Petroleum Realty LLC	Fuel NY, GSP00562 - Liberty Petroleum R	9,922
Libolt & Sons, Inc.	HOME PERFORMANCE WITH ENERGY STAR, Codes & New Constr..	9,000
LIC Star Inc.	Fuel NY, GSP00273 - LIC Star Inc.	10,000
Light 4 Life Candles, LLC	Industrial Process Efficiency Program, Pre-Enc	30,323
Lionano Inc.	Clean Transportation, Advanced Transportation Tech	149,931
	Clean Transportation, High Performance Anode Materia	249,784
Little Neck Realty Corp.	Fuel NY, GSP00610 - Little Neck Realty	10,000
Livonia Central School	Flexible Technical Assistance Program, FlexTech - PON1746	45,000
Lloyd Hamilton	Renewables & DER integration, Advanced Deep Energy Retrofits	298,000
Lockport Ice Arena & Sports Center, Inc.	New Construction Program, NCP11635 - Lockport Ice Arena	231,921
Lockwood's Greenhouse & Farm LLC	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	68,495
Loeb & Loeb LLP	New York Green Bank, Green Bank Outside Legal Couns	34,976
Long Island Electric Utility Servco LLC	Smart Grid Systems, NY Prize Utility Data Service	22,000
Long Island Events LLC	Fuel NY, Fuel NY Deployment Exercise	20,000
Lotus Energy, Inc.	New York Sun Program, NY-Sun	12,707
Lotus Management Group NY Inc.	Fuel NY, GSP00690-001 - Lotus Managemen	9,872
	Fuel NY, GSP00690-002 - Lotus Managemen	9,872
	Fuel NY, GSP00690-003 - Lotus Managemen	9,872
	Fuel NY, GSP00690-004 - Lotus Managemen	9,872
	Fuel NY, GSP00690-005 - Lotus Managemen	9,872
	Fuel NY, GSP00690-007 - Lotus Managemen	9,872
	Fuel NY, GSP00690-009 - Lotus Managemen	9,862
Lower Eastside Service Center	Multifamily Performance Program, Multifamily	117,452
Lumsden & McCormick, LLP	Admin, 2015 Tax Compliance Service	18,800
M/E Engineering, P.C.	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	5,775
	Flexible Technical Assistance Program, FlexTech Consultant Selection	47,867
	Industrial Process Efficiency Program, Technical Review and Program ..	12,823
	New Construction Program, Technical Assistance Services	105,765
MacQuesten Construction Management LLC	HOME PERFORMANCE WITH ENERGY STAR, NYSEDA Administr..	11,200
	New York ENERGY STAR Homes, NYSEDA Administration	100,800
Macquesten Development, LLC	Green Affordable Housing, Multifamily	60,641
	Multifamily Performance Program, Multifamily	100,493
Maguire Enterprises	Existing Facilities Program, EFP2577 - Maguire Enterprises	36,746
Main Broadway LLC	Fuel NY, GSP00037 - Main Broadway LLC	8,248
Malcolm Pirnie, Inc.	Combined Heat and Power, EFP Task Work Orders	3,455
	Existing Facilities Program, EFP Task Work Orders	49,660
	Existing Facilities Program, Existing Facilities Tech Assis	16,256
	Fuel NY, EFP Task Work Orders	2,445,996
	Industrial Process Efficiency Program, EFP Task Work Orders	10,969
Mannino Electric, Inc.	New York Sun Program, NY-Sun	4,177
Manufacturers & Traders Trust Co.	Existing Facilities Program, EFP2642 - M&T Bank - NFG	19,738
Maple Court Associates	Multifamily Performance Program, Multifamily	80,000
Marcellus Central School District	Existing Facilities Program, EFP2398 - Marcellus CSD	88,388

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Contractor	Project Description	Total Contract Amount_
Marien-Heim Tower, Inc.	Multifamily Performance Program, Multifamily	182,000
Marine Equities Maple LLC	Multifamily Performance Program, Multifamily	200,000
Marriott International Inc.	New Construction Program, NCP11334 - Edition NY	69,392
Mastercard International	New Construction Program, NCP13139 - MasterCard HQ 3W &	16,208
Mayer Bros. Apple Products, Inc.	Industrial Process Efficiency Program, Industrial Process Efficiency	42,620
McAlpin Industries Inc	Industrial Process Efficiency Program, Industrial Process Efficiency	12,512
MD North Realty Corp.	Fuel NY, GSP00606 - MD North Realty Cor	10,000
MD South Realty Corp.	Fuel NY, GSP00605 - MD South Realty Cor	10,000
Meadowlark Gardens Owners Corp	Multifamily Performance Program, Multifamily	179,680
Meeting Industry Experts, Inc.	Workforce Development, Meeting PlanningServices	32,678
Memorial Sloan Kettering Cancer Center	Flexible Technical Assistance Program, Flex Tech - PON1746	34,200
Merrick Park Garden Coop APT.	Multifamily Performance Program, Multifamily	29,000
Mesa Bioenergy Supply, LLC	Renewable Heat NY, RHNY Award Incentive-Richards	19,329
	Renewable Heat NY, RHNY Incentive- Nemecek	15,948
Metropolitan College of New York	New Construction Program, NCP11813-MCNY Bronx - OFLT	14,466
MHANY	Multifamily Performance Program, Multifamily	76,200
Mins Court Housing Company, Inc.	Multifamily Performance Program, Multifamily	67,200
MJJ Builders Corp	HOME PERFORMANCE WITH ENERGY STAR, Codes & New Constr..	22,750
	New York ENERGY STAR Homes, Codes & New Construction	204,750
MM Family Partnership IV, LP	Multifamily Performance Program, Multifamily	132,000
MNC Realty Corp.	Fuel NY, GSP00604 - MNC Realty Corp.	10,000
Modern Energy Technology	Combined Heat and Power, FlexTech Consultant Selection	25,000
	Flexible Technical Assistance Program, FlexTech Consultant Selection	45,000
Mohonasen Central School District	New Construction Program, NCP12899 - Mohonasen Middle Sc	7,295
Monolith Solar Associates, LLC	New York Sun Program, NY-Sun	206,778
	New York Sun Program, NYSERDA Administration	202,876
	New York Sun Program, RES-New Const & Adv Tech	1,016,020
Morgan Cos Management LLC	Multifamily Performance Program, Multifamily	290,000
Morgan Stanley	New Construction Program, NCP11139 - 1585 Restack Projec	328,802
Morrow Farms	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	11,178
Muller Quaker Dairy LLC	Industrial Process Efficiency Program, Pre-Enc	1,156,756
Mutual Apartments, Inc.	Multifamily Performance Program, Multifamily	59,200
Nalge Nunc International Corp.	Industrial Process Efficiency Program, Industrial Process Efficiency	12,655
NASEO	Admin, NASEO Mem. Dues & Meeting Fees	14,399
Natale Builders	HOME PERFORMANCE WITH ENERGY STAR, Codes & New Constr..	16,000
	HOME PERFORMANCE WITH ENERGY STAR, NYSERDA Administr..	8,000
National Baseball Hall of Fame&Museum	Existing Facilities Program, Existing Facilities Program -	24,665
National Grid	Smart Grid Systems, NY Prize Utility Data Service	65,000
National Oilheat Research Alliance	Renewables & DER integration, Advanced Buildings	135,693
National Oilheat Research Alliance dba	Advanced Buildings, Advanced Venting System for Hi	200,000
National Railroad Passenger Corp.	Existing Facilities Program, EFP1840 - National Railroad	376,091
NationalGrid Energy Management, LLC	New York Sun Program, NY-Sun	102,120
Natural Capitalism Solutions, Inc.	Smart Grid Systems, NY Prize Town of East Hampton	100,000
Navigant Consulting Inc.	Clean Transportation, Navigant Energy Storage Subscr	34,000
Navy Yard, HDFC	Multifamily Performance Program, Multifamily	11,160
Nazareth College of Rochester	Existing Facilities Program, EFP2637 - Nazareth College - A	40,475

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Contractor	Project Description	Total Contract Amount_
Nazareth College of Rochester	New Construction Program, NCP11883 - Wellness and Rehabi	45,024
NECEC Institute	Innovation Capacity & Business Development, Cleantech Navigate No..	500,000
NESCAUM	Other Program Area, Clean Transportation	15,000
New Hope View Farm	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	158,013
New School University	Existing Facilities Program, PON1219EE5	11,236
	Industrial Process Efficiency Program, Industrial and Process Efficie	9,908
New West Technologies, LLC.	Clean Transportation, ADVANCED TRANSPORTATION TECHNO	95,914
	Clean Transportation, Elect Refrig Transp Network	298,486
	Clean Transportation, Hybrid Thermal Energy Storage	5,196
	Clean Transportation, Integrating Mobility Strategie	234,418
	Clean Transportation, Thermal Energy Storage for Ele	223,036
New York Convention Center Operating Cor	Innovation Capacity & Business Development, 2016 NY Green Innovat..	36,904
New York Genome Center, Inc.	Industrial Process Efficiency Program, Industrial Process Efficiency	21,504
New York Hospital Queens	Existing Facilities Program, EFP2489 - NY Hospital Queens -	121,167
New York Light Energy LLC	New York Sun Program, RES-New Const & Adv Tech	16,464
New York Medical College	New Construction Program, NCP10837 - New York Medical Co	49,256
New York Passive House Inc.	Market Pathways, 2016 NAPHN Annual Conference	7,500
	Multifamily Performance Program, 2016 NAPHN Annual Conference	7,500
New York Power Authority	Existing Facilities Program, PON1219EE3	384,010
	Flexible Technical Assistance Program, FlexTech MOU NYSERDA-NY..	443,860
New York Power Authority,	Advanced Buildings, Advanced Buildings	62,175
New York Presbyterian Hospital	Flexible Technical Assistance Program, Flex Tech - PON1746	542,198
New York State Smart Grid Consortium Inc	Grid Modernization, NYS Smart Grid Consortium 2016	60,000
New York State Solar Farm Inc.	New York Sun Program, NY-Sun	28,152
New York Trans Harbor, LLC	Clean Transportation, PON 2045: Advanced Transportat	139,901
New York University	Existing Facilities Program, Existing Facilities Program	123,462
	Existing Facilities Program, PON1219EE3	60,278
Newport Ventures, Inc.	Advanced Buildings, Ultra High R-value using VPT	99,056
Nexant, Incorporated	Existing Facilities Program, .	43,342
	Existing Facilities Program, Exidting Facilities Tech Assit	6,800
	Existing Facilities Program, Technical Review and Program S	104,402
	Industrial Process Efficiency Program, Technical Review and Program ..	64,305
nrastructure	Admin, Smartnet Hardware Maintenance	77,527
Niagara Wind & Solar Inc.	New York Sun Program, NY-Sun	5,184
	Small Wind, Wind Turbine Incentive	135,800
Nickels Energy Solutions LLC	New York Sun Program, NY-Sun	8,960
Nixon Peabody LLP	New York Green Bank, Green Bank Outside Legal Serv.	89,337
Norampac, Ind., Inc.	Flexible Technical Assistance Program, FlexTech - PON1746	26,053
Noresco LLC	Flexible Technical Assistance Program, FlexTech Consultant Selection	155,755
North 751 Realty Corp	Multifamily Performance Program, Multifamily	52,000
North Shore LIJ Health System	Existing Facilities Program, PON1219EE5	49,706
Northeast Agriculture Technology Corpora	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	7,500
Northeast Clean Heat & Power Initiative	Combined Heat and Power, 2016 NECHPI Annual Meeting	5,000
Northeast Energy Efficiency Partnerships	Commercial Implementation Assistance, 2016 DLC Membership	22,500
	Existing Facilities Program, 2016 DLC Membership	22,500
Northeast Parent & Child Society, Inc.	Workforce Development, Clean Energy Training for HS	185,333

Contracts Completed
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Contractor	Project Description	Total Contract Amount_
Northeast Smart Energy, LLC	New York Sun Program, NY-Sun	12,400
Northeast Treaters of New York, LLC	Industrial Process Efficiency Program, Industrial Process Efficiency	6,159
Northern Chautauqua Community Foundation	New York Sun Program, Solarize 2016.	5,000
Northern Eagle Beverages Inc	New Construction Program, NCP12297 - Northern Eagle Beve	12,375
Novel Approaches Solar Applications, LLC	New York Sun Program, NY-Sun	17,320
Novorocs Technologies LLC	Innovation Capacity & Business Development, Synthetic Fuels from Fl..	100,000
Novus Engineering, P.C.	Flexible Technical Assistance Program, FlexTech Consultant Selection	19,109
	New Construction Program, NCP TA Services	13,748
NRG Energy, Inc.	Smart Grid Systems, City of Long Beach, NY Prize	100,000
	Smart Grid Systems, City of Yonkers, NY Prize	100,000
	Smart Grid Systems, Town of New Windsor NY Prize	100,000
NRG Residential Solar Solutions, LLC	New York Sun Program, NY-Sun	418,043
	New York Sun Program, NYSERDA Administration	6,248
	New York Sun Program, RES-New Const & Adv Tech	58,503
NRP Contractors LLC	HOME PERFORMANCE WITH ENERGY STAR, NYSERDA Administr..	11,750
	New York ENERGY STAR Homes, NYSERDA Administration	105,750
NYS Office of General Services	Admin, 2015 Microsoft ELA	136,327
	Admin, Microsoft Software Liscensing	215,383
NYS Office of Parks, Recreation and	New York Sun Program, NY-Sun	14,478
NYS Weatherization Directors Association	Workforce Development, WF Training Energy Efficiency	503,375
NYSEG	Smart Grid Systems, NY Prize Utility Data Service	51,000
O'Connell Electric Company	New York Sun Program, NY-Sun	38,822
Oatka Milk Products	Industrial Process Efficiency Program, Industrial Process Efficiency	186,038
Oil Price Information Service	Data and Markets, Daily Rack Price Sub for SFR	7,224
OLA Consulting Engineers, P.C.	Combined Heat and Power, FlexTech Consultant Selection	11,600
	Flexible Technical Assistance Program, FlexTech Consultant Selection	53,842
OLEDWorks LLC	Renewables & DER integration, OLED Luminaire for Offices	50,618
Omniafiltra	Industrial Process Efficiency Program, Industrial Process Efficiency	135,388
OnForce Solar	New York Sun Program, NY-Sun	30,632
	New York Sun Program, RES-New Const & Adv Tech	87,000
	New York Sun Program, RPS CST Regional Program	323,439
Onondaga, County of	Industrial Process Efficiency Program, Industrial Process Efficiency	23,941
Oracle America, Inc.	Admin, Oracle Licenses User Productiv	8,707
	Admin, Primavera Licenses for West Va	6,576
ORE F4 ProjectCo, LLC	New York Sun Program, NY-Sun	47,780
Orleans County Chamber of Commerce	New York Sun Program, Solarize 2016	5,000
Ortho Clinical Diagnostics, Inc.	Industrial Process Efficiency Program, Existing Facilities - IPE 2	75,619
	Industrial Process Efficiency Program, Industrial Process Efficiency	13,118
Pace University	Cleaner Greener Communities, CGC27893 - Pace Law School	95,512
Pactiv Corp.	Industrial Process Efficiency Program, Industrial and Process Efficie	307,667
Palisade Corporation	Admin, @RISK licensing -NYGB	8,948
Paradise Energy Solutions, LLC	New York Sun Program, NY-Sun	35,560
Pareto Energy LTD	Smart Grid Systems, EPTD Smart Grid Program	502,000
Park Towers Owners, Inc	Multifamily Performance Program, Multifamily	66,500
Parkwin Apartments LLC	Multifamily Performance Program, Multifamily	43,000
Patriot Energy Solutions Corp	New York Sun Program, NY-Sun	7,776

Contracts Completed
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Contractor	Project Description	Total Contract Amount_
Pattersun 1.3 LLC	New York Green Bank, BQ Energy Proposal	1,489,287
Paul Garrin d/b/a WIFI-NY LLC	New York Sun Program, Solarize 2016	5,000
Pennbrook Energy Inc.	Workforce Development, PON 2033-3 OJT	14,400
Perarson Capital Partners, LLC	Multifamily Performance Program, Multifamily	245,463
PGREF I 1633 Broadway Tower, LP	Existing Facilities Program, Existing Facilities Program -	209,189
Phelps-Clifton Springs CSD	Existing Facilities Program, EFP2595 - Phelps Clifton CSD	47,073
Poseidon Systems, LLC	Renewables & DER integration, Environmentally-Preferred Powe	453,455
PosiGen LLC	New York Sun Program, NY-Sun	92,786
Positive Energy NY, LLC	New York Sun Program, NY-Sun	7,280
Potsdam Central School District	New Construction Program, NCP12444 - Potsdam CSD	125,532
Powerlutions, LLC	New York Sun Program, NYSERDA Administration	20,631
	New York Sun Program, RES-New Const & Adv Tech	111,826
PPD Partners LLC	Multifamily Performance Program, Multifamily	132,000
Price Chopper Super Markets	New Construction Program, NCP11340 - Price Chopper Water	177,986
Prism Solar Technologies Inc.	Clean Transportation, Clean Energy Business Growth a	186,760
Pro-Services Plumbing & Heating Inc	Renewable Heat NY, RHNY Award Letter - Carcatterra	17,915
Pure Energy Partners, LLC	Innovation Capacity & Business Development, Cleanweb Market Asse..	24,000
Pure Point Energy	New York Sun Program, NY-Sun	15,015
Pyramid Energy Engineering Services PLLC	Environmental Research, M&V Bioenergy Heat in Cap. Reg	49,970
	Environmental Research, M&V Guidance Doc Development	49,664
Questar III	Workforce Development, PON 2774 Career Pathways	75,036
Quixotic Enterprises, LLC	New York Sun Program, NY-Sun	13,545
Quixotic Systems, Inc.	Renewable Thermal, NY-Sun	448,116
QwikSolar, LLC	New York Sun Program, NY-Sun	146,545
	New York Sun Program, NYSERDA Administration	12,960
	New York Sun Program, RES-New Const & Adv Tech	80,420
R & B Qualtiy Electric, Inc.	New York Sun Program, NY-Sun	5,000
R3 Energy Management Audit & Review, LLC	Flexible Technical Assistance Program, FlexTech Consultant Selection	10,000
Rafferty Enterprises, Inc.	Admin, Temp Employee Services	13,224
	Admin, Temp Services	82,410
Randstad North America, L.P.	Admin, Temp Services Contract	94,358
	Energy Analysis, Temp Services Contract	5,443
	New York Green Bank, Temp Services Contract	103,673
Rasky Baerlein Strategic Communications	Admin, Communications Services for Re	169,403
Reafield Farms LLC	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	30,560
Real Goods Energy Tech, Inc	New York Sun Program, NY-Sun	9,240
Renovus Energy, Inc.	New York Sun Program, NY-Sun	193,229
Rensselaer Polytechnic Institute	Advanced Buildings, Advanced Buildings Program	100,000
	Advanced Buildings, Vibration micropower generator	99,138
	Clean Transportation, Adaptive Traffic System Tool	75,000
Rensselaer Polytechnic Institute-LRC	Workforce Development, Workforce Development and Trai	188,797
Rentricity, Inc.	Innovation Capacity & Business Development, Assess energy recovery	96,638
Research Foundation of SUNY	Innovation Capacity & Business Development, Biomimetic Crosslinkin..	50,000
	Renewables & DER integration, Materials/Fab dev. for FC	234,380
Ridgedale Manor DHC LLC	Multifamily Performance Program, Multifamily	334,000
River Architects, PLLC	HOME PERFORMANCE WITH ENERGY STAR, NYSERDA Administr..	8,000

Contracts Completed
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Contractor	Project Description	Total Contract Amount_
River Park Residences, L.P.	Multifamily Performance Program, Multifamily	2,067,500
River Place II LLC	Combined Heat and Power, Distributed Generation as Comb	751,200
River Road Farm & Greenhouses	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	29,488
Riverside Dairy, LLC	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	27,459
Riverside Special Needs Apartments LP	Multifamily Performance Program, Multifamily	141,895
Robert A. Lippman	HOME PERFORMANCE WITH ENERGY STAR, RES-New Const & A..	8,000
Roberts Wesleyan College	New Construction Program, NCP10762 - Roberts Wesleyan Co	95,154
Robinson 1601 Realty Corp	Multifamily Performance Program, Multifamily	98,000
Rochester Institute of Technology	Flexible Technical Assistance Program, FlexTech Program	685,584
	Industrial Process Efficiency Program, Industrial Process Efficiency	334,446
	Innovation Capacity & Business Development, photocatalytic CO2 red..	50,000
Rockledge Hotel Properties, Inc	Flexible Technical Assistance Program, FlexTech Program - PON1746	31,866
Rocky Mountain Institute	Energy Analysis, RMI support for REV proceeding	924,980
Rolling Meadows Farm LLC	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	75,726
Rolls Royce Marine North America, Inc.	Clean Transportation, NYC Ferry Program	356,651
Rosenblum Rubin Property Services, LLC	Saratoga Technology + Energy Park, STEP Property Management Ser..	15,300
Ross Solar Group, LLC	New York Sun Program, NY-Sun	63,609
Royal J Acres	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	116,838
Rural Generation & Wind (Rodney Weaver)	New York Sun Program, NY-Sun	14,310
Safari Energy LLC	New York Sun Program, NY-Sun	79,365
	New York Sun Program, NYSERDA Administration	167,090
	New York Sun Program, RES-New Const & Adv Tech	262,804
Save-A-Watt Conservation LLC	Existing Facilities Program, EFP2539-Save A Watt - Mandarin	112,500
Schenectady County Community College	Flexible Technical Assistance Program, FlexTech - PON1746	26,194
Scott Hymers	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	34,430
Scott Shipley	New York Sun Program, NY-Sun	25,255
	New York Sun Program, RES-New Const & Adv Tech	7,425
Scylla Solar LLC	New York Sun Program, NY-Sun	31,718
Sea Bright Solar, LLC	New York Sun Program, NY-Sun	29,781
	New York Sun Program, RES-New Const & Adv Tech	8,175
Sears Holdings	Existing Facilities Program, EFP2354 - Sears Holding Corp	114,344
Selux Corporation	Industrial Process Efficiency Program, Industrial Process Efficiency	8,267
Seneca Building of Monroe County, LLC	New Construction Program, NCP12478 - D&C - OFLT	25,195
Seneca Food Corporation	Industrial Process Efficiency Program, Industrial Process Efficiency	24,356
Seneca Nation	Smart Grid Systems, Cityof Salamanca Seneca Nation	100,000
SHI, Inc.	Admin, Tableau Upgrade	214,331
Sitecore USA, Inc.	Admin, Sitecore Licensing - Renewal	25,300
Sive Paget & Riesel PC	Admin, Counsel Services	23,810
Skipso Limited	Clean Transportation, Cleantech social network	100,000
	Innovation Capacity & Business Development, Cleantech social network	20,000
Skyline Solar Inc.	New York Sun Program, NY-Sun	46,914
Skyview Ventures LLC	Clean Transportation, PON 2301, RD 2: Skyview Ventur	104,392
Smarter Grid Solutions	Clean Transportation, Feasibility Study of Smart EV	66,226
Snow Economics, Inc.	Industrial Process Efficiency Program, Industrial Process Efficiency	79,531
Solar Alchemy, Inc.	New York Sun Program, NY-Sun	10,080
Solar and Wind FX, Inc. (Chris Schaefer)	New York Sun Program, NY-Sun	7,320

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Contractor	Project Description	Total Contract Amount_
Solar Energy LLC	New York Sun Program, RES-New Const & Adv Tech	725,240
Solar Generation, Inc.	New York Sun Program, NY-Sun	88,982
Solar Home NJ	New York Sun Program, NY-Sun	41,711
Solar Liberty Energy Systems, Inc	New York Sun Program, NY-Sun	310,330
	New York Sun Program, NY-Sun Incentive Program	14,640
	New York Sun Program, RES-New Const & Adv Tech	24,810
Solar Maximum LLC	New York Sun Program, NY-Sun	43,198
Solar Project Solutions Inc	New York Sun Program, NY-Sun	20,592
Solar States, LLC	New York Sun Program, NY-Sun	8,060
SolarCity Corporation	New York Sun Program, NY-Sun	1,335,202
	New York Sun Program, RES-New Const & Adv Tech	32,559
Solarize Albany Inc.	New York Sun Program, Solarize 2015	5,000
Sologistics, LLC	Admin, Salesforce CRM Development	184,525
Sonchar LLC	Multifamily Performance Program, Multifamily	70,000
Sophie Paillard Elkin	New Construction Program, NCP98409 - Farmers & Merchants	480
Sorrento Lactalis, Inc.	Industrial Process Efficiency Program, Industrial Process Efficiency	124,023
Sound Solar LLC	New York Sun Program, NY-Sun	125,038
Source One	Existing Facilities Program, Technical Review and Program S	76,920
South 15th Apartments, LP	Multifamily Performance Program, Multifamily	33,000
Southern Cayuga Central School	New Construction Program, NCP13193 - Southern Cayuga CSD	35,485
SRI International	Clean Transportation, NYS Clean Technologies Innovat	200,000
	Innovation Capacity & Business Development, NYS Clean Technologi..	100,000
St. John's Healthcare Corporation	Flexible Technical Assistance Program, FlexTech Program - Pon 1746	9,298
St. Lawrence University	Smart Grid Systems, St. Lawrence Univ - Canton	90,200
Standish Group, LLC	Multifamily Performance Program, Multifamily	46,800
Stantec Consulting Services, Inc.	Industrial Process Efficiency Program, Industrial Process Efficiency	11,713
	Industrial Process Efficiency Program, Technical Review and Program ..	1,221
	New Construction Program, Technical Assistance Services	18,614
Star Petroleum Management Inc.	Fuel NY, GSP00693 - Star Petroleum Mana	10,000
State University of NY @ New Platz	New Construction Program, NCP12609 - Sojourner Truth Lib	16,755
Staten Island Renewable Energy Corp.	New York Sun Program, NY-Sun	11,730
Steed Energy LLC	New York Sun Program, NY-Sun	7,182
	New York Sun Program, RES-New Const & Adv Tech	18,563
Steelcase, Inc.	NYC Office Furniture	298,280
Stephen St. Germain	HOME PERFORMANCE WITH ENERGY STAR, RES-New Const & A..	9,000
Steven Winter Associates, Inc.	Existing Facilities Program, Technical Review and Program S	11,080
	Flexible Technical Assistance Program, FlexTech Consultant Selection	212,680
	New Construction Program, Technical Assistance Services	69,704
	Smart Grid Systems, Village of Mamaroneck NY Prize	96,920
Stewarts Shops Corp.	New Construction Program, NCP13082 - Stewarts Culver #45	5,799
Stoneleigh Housing, Inc	HOME PERFORMANCE WITH ENERGY STAR, RES-New Const & A..	10,100
	New York ENERGY STAR Homes, RES-New Const & Adv Tech	90,900
Stony Brook Foundation - Advanced Energy	Innovation Capacity & Business Development, 2016 Advanced Energy..	100,000
Strategies for the Global Environment	Clean Transportation, PEV Market Analysis Tool for N	74,600
Strong Oil Co., Inc.	Fuel NY, GSP00505 - Strong Oil Co. Inc.	13,000
Summit Research Labs Inc	Industrial Process Efficiency Program, Industrial Process Efficiency	29,326

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Contractor	Project Description	Total Contract Amount_
Sun Source Technologies	New York Sun Program, NY-Sun	56,417
SuNation Solar Systems, Inc.	New York Sun Program, NY-Sun	128,691
Sundog Solar, Inc.	Advanced Buildings, Advanced Buildings	6,699
	Renewable Thermal, NY-Sun	8,042
	Renewable Thermal, Renewable Heating & Cooling	32,280
	Workforce Development, PON2033-3	20,382
SunE P11C Holdings, LLC	New York Sun Program, PV System @ Kohl's Staten Isla	35,983
Sungevity Development, LLC	New York Sun Program, NY-Sun	5,750
	New York Sun Program, NYSERDA Administration	4,550
Sungevity, Inc.	New York Sun Program, NY-Sun	68,533
Sunnova Energy Corp	New York Sun Program, NY-Sun	34,550
SunPower Capital, LLC	New York Sun Program, NY-Sun	1,020,372
	New York Sun Program, PV Incentive Program	5,494
	New York Sun Program, RES-New Const & Adv Tech	264,004
Sunrise Solar Solutions, LLC	New York Sun Program, NY-Sun	269,239
	New York Sun Program, NYSERDA Administration	18,617
Sunrun Installation Services, Inc	New York Sun Program, NY-Sun	11,083
SunRun, Inc	New York Sun Program, NY-Sun	405,444
	New York Sun Program, RES-New Const & Adv Tech	24,398
SUNY Cobleskill	New Construction Program, NCP7723 - Environmental Scienc	26,358
SUNY Oswego	New Construction Program, NCP12907 - Waterbury Residence	6,070
	New Construction Program, NCP98578 - New Science Buildin	205,608
SUNY Plattsburgh	Smart Grid Systems, City of Plattsburgh NY Prize	98,677
SUNY Potsdam	New Construction Program, NCP98588 - SUNY Potsdam Perfor	109,665
SUNY Research Foundation	Environmental Research, EMEP Air Quality Research	906,026
	Environmental Research, Technical Services for BERDC	45,650
	Market Pathways, 2016 NYS Green Building	5,250
Sure Energy, LLC	New York Sun Program, NY-Sun	9,100
Sustainable CUNY CUNY/RF	New York Sun Program, 2016 New York Solar Summit	10,000
Sustainable Energy Advantage, LLC	Energy Analysis, Renewable Portfolio Standard T	79,445
	Environmental Research, Renewable Portfolio Standard T	161,959
	Large Scale Renewables, Renewable Portfolio Standard T	487,607
Sustainable Energy Developments Inc.	New York Sun Program, NY-Sun	46,993
Sustainable Innovations LLC	Innovation Capacity & Business Development, HBr Fuel Cells	199,824
Syracuse City School District	New Construction Program, NCP9210 - Fowler High School	134,313
Syracuse University	Environmental Research, Environmental Research	4,000
Systems Management Planning, Inc.	Admin, Managed Engine Co term AD 365	7,110
	Admin, VMware 150 View - Licensing	31,838
	Admin, Vmware Airwatch - Renewal	6,261
	Admin, VMware Software desktop Renew	25,676
T.Y. Lin International	Advanced Energy Codes, SAPA Rulemaking Support	95,000
TAG Mechanical Systems, Inc.	New York Sun Program, NY-Sun	11,640
Taitem Engineering, P.C.	Agriculture Energy Efficiency Program, FlexTech Consultant Selection	31,500
	Emerging Technology/Accelerated Commercialization, Technical Revi..	42,784
	Existing Facilities Program, Technical Review and Program S	54,264
	Flexible Technical Assistance Program, FlexTech Consultant Selection	40,000

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Contractor	Project Description	Total Contract Amount_
Taitem Engineering, P.C.	Industrial Process Efficiency Program, Technical Review and Program ..	5,338
	New York Sun Program, NY-Sun	56,471
Tarrytown Snack Mart, Inc.	Fuel NY, GSP00119-002 - Tarrytown Snack	13,000
Taylor Group LTD	Admin, 2016 NYS Fair - Display	22,081
TCS Electronics, Inc.	New Construction Program, NCP12918 - Electronics Buildin	10,360
Tech Valley Center of Gravity	Other Program Area, 2016 COG Clean Tech Hackathon	20,000
Tech Valley Talent, LLC	Admin, Consultant- Peoplesoft	24,369
	Admin, SecureAuth Implementation Serv	5,600
	Workforce Development, Workforce DevelopmentCRISDash	299,998
Terrapin Bright Green, LLC	Innovation Capacity & Business Development, The Humidity Sponge	50,000
Tessy Plastics Corp	Industrial Process Efficiency Program, Industrial Process Efficiency	147,598
The Associated Blind HDFC	Multifamily Performance Program, Multifamily	61,800
The Bridge Inc	Multifamily Performance Program, Multifamily	20,000
The Business Council of NYS, Inc.	Admin, Renewal of Membership	5,461
The Krog Corporation	West Valley Development Program, WV-Admin	478,420
The Macchia Group Inc.	Fuel NY, GSP00798 - The Macchia Group I	10,000
	Fuel NY, GSP00801 - The Macchia Group I	9,950
The Neighborhood Center Inc	New Construction Program, NCP12630 - Neighborhood Center	8,086
The Noelle Affordable Housing Corp	Multifamily Performance Program, Multifamily	119,040
The Radiant Store	Renewable Heat NY, RHNY PON 3010 Incentive - Beno	5,000
	Renewable Heat NY, RHNY PON 3010 Incentive - Sant	21,000
	Renewable Thermal, NY-Sun	17,610
	Renewable Thermal, Renewable Heating & Cooling	127,786
	Renewable Thermal, Solar Thermal Incentive	19,672
	Renewable Thermal, Solar Thermal Incentives	12,995
The Research Foundation for the State	Renewable Thermal, The Radiant Store - Solar Ther	22,991
	Clean Transportation, Stony Brook Energy Company Ini	214,983
	Renewables & DER integration, Northeastern Chemical Energy S	250,000
The Sanborn Map Company, Inc.	West Valley Development Program, High Resolution LIDAR	292,862
The TJX Companies, Inc.	New Construction Program, NCP13132 - TJ Maxx Queensbury	5,400
The Townsend House Corporation	Multifamily Performance Program, Multifamily	66,500
	Multifamily Performance Program, NYSEDA Administration	23,750
The Uniland Partnership of Delaware LP	New Construction Program, NCP13125 - 490 CBP Ph2	10,250
Theodore Theodoropoulos	New York Sun Program, NY-Sun	11,340
	New York Sun Program, RES-New Const & Adv Tech	10,500
Thomas E. Clatterbuck	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	4,124
Thomas Schantz	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	19,778
Thomson Reuters (Markets), LLC	Energy Analysis, Point Carbon Service/Eikon	6,610
Thornton Tomasetti, Inc.	New Construction Program, Technical Assistance Services	32,003
Three Star Service Center Inc.	Fuel NY, GSP00410 - Three Star Service	13,000
Throgs Neck Petro Realty LLC	Fuel NY, GSP00311 - Throgs Neck Petro R	9,872
TM Montante Solar Developments, LLC	New York Sun Program, NY-Sun	192,500
TM Orchard Park Residential Partners LP	Multifamily Performance Program, Multifamily	84,000
Tompkins, County of	Smart Grid Systems, Village of Lansing NY Prize	95,314
Town of Bedford	New Construction Program, NCP98144 - Bedford Consolidate	65,491
Town of Franklin	New York Sun Program, Solarize 2016	5,000

Contracts Completed
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Contractor	Project Description	Total Contract Amount_
Town of Highlands Board of Education	Flexible Technical Assistance Program, FlexTech Program - PON1746	28,293
Town of Huntington	Smart Grid Systems, Town of Huntington NY Prize	100,000
Town of North Hempstead	New York Sun Program, Solarize 2016	5,000
Town of Southampton	New York Sun Program, Solarize 2016	5,000
	Smart Grid Systems, Town of Southampton NY Prize	99,900
Town of Southport	Cleaner Greener Communities, CGC30783 - Town of Southport	60,000
Trane	Existing Facilities Program, EFP2320 - Kendall CSD	86,424
	Existing Facilities Program, EFP2392 - Trane; Poughkeepsie	47,539
TransCore ITS LLC	Clean Transportation, Continuing the ICSS Deployment	31,495
Transparent Materials	Innovation Capacity & Business Development, Transformative Tech fo..	251,644
TRC Companies, Inc.	Existing Facilities Program, Existing Facilities Tech Assit	23,043
TRC Energy Services	Existing Facilities Program, Technical Review and Program S	66,804
	Industrial Process Efficiency Program, Industrial Process Efficiency	5,359
	Industrial Process Efficiency Program, Technical Review and Program ..	22,335
	Renewable Heat NY, Technical Review and Program S	53,977
	Smart Grid Systems, Village of Endicott NY Prize	99,979
Trevor Day School	New Construction Program, NCP12827 - Trevor Day School A	15,341
Tribeca Equity Partners LP	Multifamily Performance Program, Multifamily	352,000
Trinity Heating & Air, Inc.	New York Sun Program, NY-Sun	71,343
	New York Sun Program, RES-New Const & Adv Tech	8,100
Trinity Park Apartments, L.P.	Multifamily Performance Program, Multifamily	41,250
True Colors Bronx HDFC	Multifamily Performance Program, Multifamily	37,200
True Energy Solutions	HOME PERFORMANCE WITH ENERGY STAR, Viking Sweden Apart..	82,418
Trump 40 Wall LLC	Flexible Technical Assistance Program, Flex Tech - PON1746	247,233
Two Bridges Neighborhood Council, Inc.	Smart Grid Systems, City of NY Two Bridges	100,000
Two Plus Four Construction Co., Inc.	HOME PERFORMANCE WITH ENERGY STAR, NYSEDA Administr..	10,300
	HOME PERFORMANCE WITH ENERGY STAR, RES-New Const & A..	12,600
	New York ENERGY STAR Homes, NYSEDA Administration	92,700
	New York ENERGY STAR Homes, RES-New Const & Adv Tech	113,400
Unique Comp Inc.	Admin, NYSEDA Administration	375,935
United Hebrew of New Rochelle	New Construction Program, NCP12511 - Willow Gardens/Mead	13,435
United Water New York	Industrial Process Efficiency Program, Industrial Process Efficiency	24,296
United Wind Project I, LLC	Small Wind, Wind Turbine Incentive	582,755
United Wind, Inc.	Small Wind, Wind Turbine Incentive	152,404
University at Albany	New Construction Program, NCP10120 - SUNY Albany Life Sc	113,669
Upstate Venture Association of New York,	Innovation Capacity & Business Development, 2016 UVANY Gold Spo..	30,000
Upstate Venture Connect	Innovation Capacity & Business Development, Upstate Venture Conne..	25,000
US Energy Concierge Inc	New York Sun Program, NY-Sun	9,450
US Light Energy LLC	New York Sun Program, NY-Sun	12,320
Utica College	New Construction Program, NCP13071 - Utica College Sport	30,982
Van Ernst Refrigeration Sauders Store In	New Construction Program, NCP12453 - Sauders Store Inc	25,895
Vandale Motors Inc.	Fuel NY, GSP00599 - Vandale Motors Inc.	9,500
Vansridge Farm	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	124,013
Venture Home Solar LLC	New York Sun Program, NY-Sun	5,886
Vermont Energy Investment Corporation	Clean Transportation, EV-Enabling Technology Demonst	53,386
Vidaris, Inc.	Existing Facilities Program, EFP10513 - Vidaris	64,418

Contracts Completed
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Contractor	Project Description	Total Contract Amount_
Vidaris, Inc.	New Construction Program, High Performance Bldgs	11,752
	New Construction Program, NYSERDA Administration	3,192
	New Construction Program, Technical Assistant Services..	772,039
Viking Solar, Inc.	Renewable Thermal, Renewable Heating & Cooling	36,745
Village of Arcade	Smart Grid Systems, Village of Arcade NY Prize	96,934
Village of Bath Electric Gas &	Smart Grid Systems, Bath Electric Gas & Water	98,677
Village of Croton-on-Hudson	Smart Grid Systems, Village of Croton-On-Hudson	79,488
Village of East Aurora	New Construction Program, NCP11580 - East Aurora Central	6,745
Village of Freeport	Smart Grid Systems, Village of Freeport NY Prize	100,000
Village of Malone	Smart Grid Systems, Village of Malone NY Prize	100,000
Village of Rockville Centre	Smart Grid Systems, Village of Rockville Centre	100,000
Village of Wappinger Falls	Smart Grid Systems, Village of Wappingers Falls	100,000
Vincents Heating and Fuel Service, LLC	Renewable Heat NY, RHNY Award Letter/PO-Benson	17,422
Viola Homes Inc.	HOME PERFORMANCE WITH ENERGY STAR, RES-New Const & A..	800
	New York ENERGY STAR Homes, RES-New Const & Adv Tech	7,200
	New York Sun Program, NY-Sun	35,203
Vivint Solar	New York Sun Program, NY-Sun	5,200
Vote Solar	Other Program Area, Clean Transportation	81,253
	Workforce Development, Clean Transportation	81,253
WAC Lighting	Renewables & DER integration, Develop & Demo of an Advanced	193,445
Waldron Engineering of New York, P.C.	Combined Heat and Power, FlexTech Consultant Selection	29,000
Wappingers Central School District	New Construction Program, NCP11951 - Wappingers CSD Bus	9,816
Warner Energy, LLC	New York Sun Program, NY-Sun	6,195
Warren Energy Engineering, LLC	Existing Facilities Program, Technical Review and Program S	20,315
Warwick Valley Central School District	Clean Transportation, Clean Air School Bus Program,	187,000
Watchtower Bible &	New Construction Program, NCP98809 - 'E' Residence	57,518
	New Construction Program, NCP98811 - Services Building	32,216
Waterfront New York	New Construction Program, NCP11877 - WFNY Terminal Store	10,170
Welch-Allyn, Inc.	Industrial Process Efficiency Program, NYSERDA Administration	15,177
Wendel Energy Services, LLC	Existing Facilities Program, Technical Review and Program S	5,920
	Flexible Technical Assistance Program, FlexTech Consultant Selection	188,952
Wendy Morris	Innovation Capacity & Business Development, 2016 ExpoVention AEC..	5,600
	Innovation Capacity & Business Development, 2016 NY Green Innovat..	27,470
West 30th Highline Holdings, LLC c/o Rel	New Construction Program, NCP10125 - The Abington (West	196,938
West Harlem Environmental Action, Inc.	New York Sun Program, Solarize 2016	5,000
West Park Ave Service Ctr Inc.	Fuel NY, GSP00602 - West Park Ave Servi	10,000
West Side Federation for Senior & Suppor	Multifamily Performance Program, Multifamily	91,700
Westgate House Inc.	Multifamily Performance Program, Multifamily	63,500
Wil-Roc Farms	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	250,000
Wildcat Solar, LLC	New York Sun Program, NY-Sun	5,124
Wilder Balter Partners, Inc.	HOME PERFORMANCE WITH ENERGY STAR, NYSERDA Administr..	3,100
	HOME PERFORMANCE WITH ENERGY STAR, RES-New Const & A..	4,200
	New York ENERGY STAR Homes, NYSERDA Administration	27,900
	New York ENERGY STAR Homes, RES-New Const & Adv Tech	37,800
Wildlife Conservation Society	Environmental Research, Environmental R&D Writing	35,597
Wilklow Orchards LLC	Agriculture Energy Efficiency Program, Agriculture Energy Efficiency	29,273

Contracts Completed
Period 4/1/2016 through 9/30/2016

Contractor	Project Description	Total Contract Amount_
Willdan Energy Solutions	Existing Facilities Program, Technical Review and Program S	177,437
	Flexible Technical Assistance Program, FlexTech Consultant Selection	12,750
	Industrial Process Efficiency Program, Industrial Process Efficiency	96,537
	Industrial Process Efficiency Program, Technical Review and Program ..	24,301
	Smart Grid Systems, Tarrytown Community NY Prize	96,867
	Smart Grid Systems, Village of Sleepy Hollow	96,867
Willet Dairy, LLC	Anaerobic Digester Program, ADG-to-Electricity Program	1,000,000
William Edward Walldroff	Agriculture Energy Efficiency Program, AEEP - Pre Enc	14,070
Wincoram Commons I, LLC	New York ENERGY STAR Homes, RES-New Const & Adv Tech	147,000
Wincoram Commons Phase II, LLC	New York ENERGY STAR Homes, NYSERDA Administration	117,000
Windhorse Gas Station Inc.	Fuel NY, GSP00513 - Windhorse Gas Stati	10,000
World Kitchen, LLC	Flexible Technical Assistance Program, FlexTech Program - Pon 1746	44,990
WSP USA Corp.	Flexible Technical Assistance Program, FlexTech Consultant Selection	3,941
	New Construction Program, Technical Assistance NCP	13,690
Wythe Properties LLC	New Construction Program, NCP98093 - 373 Wythe Avenue (3	32,065
Xerox Corp	Industrial Process Efficiency Program, Industrial Process Efficiency	34,734
You Save Green Incorporated	New York Sun Program, NY-Sun	62,088
	New York Sun Program, NYSERDA Administration	10,271
Zone 5, Inc.	Admin, Social Media Services	7,150
Grand Total		241,875,920