

2016-17 ANNUAL CONTRACTS REPORT

NEW YORK STATE
ENERGY RESEARCH AND DEVELOPMENT AUTHORITY

This annual report on procurement contracts has been prepared and approved pursuant to Section 2879 of the Public Authorities Law. The report covers the period April 1, 2016 through March 31, 2017.

Section 2879 of the Public Authorities Law provides that a public authority's procurement contracts guidelines shall set forth, among other things, areas of responsibility and oversight requiring the use of procurement and program contracts; the reasons for use of such contracts; requirements regarding selection of contractors, including circumstances relating to waiver of competition and provisions on board approval and annual review of contracts involving services to be rendered over a period greater than a year; provisions for the publication of a notice of proposed procurement contracts prior to award and the criteria for exemption from such publication; provisions applicable to participation by minority and women-owned business enterprises, service disabled veteran-owned business enterprises and by New York State business enterprises and New York State residents; a listing of types of provisions to be contained in procurement contracts; and provisions on such contracts which involve former officers or employees. This section of the law also includes requirements for periodic staff reports to the Members on procurement contracts and an annual report on such contracts by each public authority to the Division of the Budget, with copies to the Department of Audit and Control and the Legislature's fiscal committees.

A copy of the New York State Energy Research and Development Authority's ("Authority") procurement contract guidelines operative policy and instructions (Guidelines) is included in this Annual Report. These Guidelines comport with the requirements of Public Authorities Law Section 2879 for procurement contracts. Some key features of the Guidelines are described below.

Article III of the Guidelines outlines requirements for competitive selection of contractors, including factors to be considered in comparing offerers and requirements for documentation of selection processes. As permitted by PAL Section 2879, the Guidelines provide for the Members to waive competitive selection when waiver is in the best interest of the Authority. Section 3.2 waives competitive selection in certain limited circumstances. Section 3.3 of the Guidelines requires contract approval and annual review by the Members when the performance of personal services will extend more than one year.

Article VII contains provisions for promoting participation in procurement contracts by New York State businesses and New York State residents.

Article VIII provides for the submission of a notice for publication to the Commissioner of the Department of Economic Development providing notification and bidding information on procurement contract actions prior to their award. It also sets forth the criteria under which a procurement action is exempt from publication.

Article IX of the Guidelines provides for reports on procurement contracts to be made to the Members at the regularly scheduled meetings of the Members. It also requires Member approval

at the June meeting of an annual report to the Division of the Budget, with copies to be submitted to the Department of Audit and Control and the Legislature's fiscal committees and made available to the public.

AMENDMENTS TO THE PROCUREMENT AND PROGRAM CONTRACT GUIDELINES

In September of 2016, the Board approved updates to the Procurement Contract Guidelines. They are as follows:

- (1) Redefinition of Program Contract to include everything that is not a Procurement Contract¹;
- (2) Deletion of the “Personal Services” provisions – contracts for personal services are Procurement Contracts by definition and therefore a separate set of rules for contracting is unnecessary and confusing;
- (3) Addition of a specific exemption from these Guidelines for funds that the Authority is directed by law or order to spend in a certain manner;
- (4) Addition of two noncompetitive justifications to capture certain contracting activities that are not appropriate for competitive processes: (a) for memberships in trade groups and professional societies if an Officer deems the membership is aligned with the strategy of the Authority and is beneficial to its mission; and (b) for the sponsorships and procurements of space for conferences;
- (5) Changing the Board approval requirements to include Procurement Contracts with periods of performance in excess of one year (as has been the case previously and is required by the Public Authorities Law) and, expressly and in addition to that baseline requirement, Program Contracts competitively selected over \$3 Million and Program Contracts noncompetitively selected over \$1 Million;
- (6) Changing the reporting requirements to: (a) align the legally required Board-approved report that goes to the Authority Budget Office to Procurement Contracts only (as required by the Public Authorities Law, and removing Program Contracts, which have been historically included but need not be); and, (b) require an informational presentation to the Board (not requiring approval) of a report regarding Program Contracting activity, by portfolio and program, with an annual detailed listing of Program Contracts reported on NYSERDA’s website; and,
- (7) Providing additional detail on the applicability of Minority and Women Owned Business Enterprises (MWBE) and Service-Disabled Veteran-Owned Business Enterprises (SDVOB).

There are no changes to the Procurement Contract Guidelines from those the Members approved in September 2016.

¹ Green Bank transactions and real property deals are excluded from the definition of Program Contract because they are both governed by separate sets of rules.

ANNUAL CONTRACTS REPORT : Section 1 Summary 4/1/2016 to 3/31/2017

Category	Report Type	Type	Count of Contracts	Committed this period
PCMT	Procurement	Competitive	177	\$52,210,742
		Discretionary	133	\$4,358,090
		Non-Competitive	25	\$9,118,734
	Total		335	\$65,687,566
Grand Total			335	\$65,687,566

Section 1 Summary - Percentages

% Contract Counts Competitively % of \$Committed this period Competitively

87.62%	85.13%
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NYSERDA ANNUAL CONTRACTS REPORT - Section 1: All Contracts Open During the Period 4/1/2016 to 3/31/2017

Category	Initiative	Type	Term > 1 Year	Contract ID	Contractor	Project Description	Date	Committed this period	Committed to Date	Amt Paid this Period	Amt Paid to Date	
PCMT	>200KW PV	Competitive	Y	104259	Hodgson Russ LLP	RFP 3300 Outside Counsel Servi	09/27/2016	\$10,000	\$10,000			
	ADVANCED BUILDINGS	Discretionary	N	91066	Taitem Engineering, P.C.	Deep Energy Retrofits	02/19/2016	\$49,986	\$49,986	\$35,627	\$35,627	
	ADVANCED ENERGY CODES		Competitive		62667	Building Media, Inc.	Energy Code Training and Suppo	04/16/2015	\$349,921	\$349,921		
			Competitive	Y	15526	Fort Orange Press Incorporated	Printing Services	06/17/2009		\$973,510		\$698,794
			Competitive	Y	38888	Institute for Building Technology and Sa	Energy Code Training: EPros	01/10/2014		\$897,133	\$337,213	\$456,900
			Competitive	Y	49730	T.Y. Lin International	Energy Code Support Services	10/15/2014		\$1,905,876	\$610,205	\$685,131
			Competitive	Y	49731	New Buildings Institute, Inc.	NYStretch	10/15/2014	\$50,000	\$249,926	\$162,173	\$197,173
			Competitive	Y	49732	Vidaris, Inc.	Code Manual for Design Pros	10/15/2014		\$149,962	\$4,100	\$4,100
			Competitive	Y	49734	Building Media, Inc.	NYS Energy Code Conference	10/15/2014		\$100,000	\$22,000	\$27,000
			Competitive	Y	49736	Karpman Consulting, LLC	Ecode Performance Enforcement	10/15/2014		\$74,816	\$17,000	\$17,000
			Competitive	Y	49738	Trust for Conservation Innovation	Energy Code Support Services	10/15/2014		\$149,988	\$19,873	\$19,873
			Competitive	Y	49740	Trust for Conservation Innovation	Energy Code Support Services	10/15/2014		\$100,649	\$48,654	\$82,568
			Competitive	Y	64597	ICF Resources, LLC	ECode Microsite	05/13/2015	\$249,961	\$249,961	\$11,389	\$11,389
			Discretionary	Y	32441	Building Media, Inc.	Code Training Website H&M	05/06/2013		\$74,000	\$17,741	\$65,772
			Non-Competitive	Y	31338	New York State Department of State	Travel Expenses NYSDOS	02/22/2013		\$40,000		\$459
			Non-Competitive	Y	37589	International Code Council, Inc.	ECCCNYS Commentary IECC2015	11/21/2013		\$256,730	\$83,131	\$83,131
			Non-Competitive	Y	57056	T.Y. Lin International	SAPA Rulemaking Support	01/15/2015		\$95,000	\$5,000	\$95,000
		AGRICULTURE ENERGY EFFICIENCY	Competitive	Y	35743	Ensave, Inc.	AEEP Implementation Contractor	09/26/2013	\$945,000	\$2,724,945	\$733,847	\$2,041,723
ANAEROBIC DIGESTER	Competitive	Y	29200	CDH Energy Corporation	RPS-CST Quality Assurance/Qual	09/17/2012		\$240,000	\$11,700	\$66,523		
	Competitive	Y	29202	L&S Energy Services, Inc.	RPS-CST Quality Assurance/Qual	09/17/2012		\$200,000	\$3,850	\$29,519		
	Competitive	Y	29203	Arcadis of New York, Inc.	RPS-CST Quality Assurance/Qual	09/17/2012		\$200,000	\$6,950	\$55,425		
	Competitive	Y	29204	Wendel WD Architecture, Engineering,	RPS-CST Quality Assurance/Qual	09/17/2012		\$200,000	\$24,976	\$42,704		
Clean Energy Communities	Discretionary	Y	106935	Holland & Knight LLP	Outsid Counsel for CCA	11/17/2016	\$25,000	\$25,000	\$12,941	\$12,941		
CLEAN TRANSPORTATION	Competitive	Y	7931A	Rolls Royce Marine North America, Inc.	NYC Ferry Program	06/25/2013		\$511,504		\$356,651		
	Competitive	Y	18600	ICF Resources, LLC	RFQL and RFP 1224	04/05/2010		\$180,000		\$179,173		
	Competitive	Y	22942	Poseidon Systems, LLC	Renewable, Clean Energy and En	06/01/2011		\$1,500,000	\$24,494	\$590,634		
	Competitive	Y	27044	Car Charging Holdings LLC	Car Charging Holdings, LLC PON	03/05/2012		\$198,842		\$178,778		
	Competitive	Y	27045	EV Connect Inc.	EV Connect, Inc. PON 2301 EVSE	03/05/2012		\$249,814	\$23,848	\$211,973		

NYSERDA ANNUAL CONTRACTS REPORT - Section 1: All Contracts Open During the Period 4/1/2016 to 3/31/2017

Category	Initiative	Type	Term > 1 Year	Contract ID	Contractor	Project Description	Date	Committed this period	Committed to Date	Amt Paid this Period	Amt Paid to Date
PCMT	CLEAN TRANSPORTATION	Competitive	Y	27553	Calstart	Implementation contractor for	04/17/2012		\$850,000	\$52,871	\$850,000
		Discretionary	N	85046	Navigant Consulting Inc.	Navigant Energy Storage Subscr	12/21/2015	\$6,500	\$34,000	\$6,500	\$34,000
		Discretionary	N	92616	Jack M Reilly	Upstate Transit Study	03/09/2016	\$24,000	\$24,000	\$24,000	\$24,000
		Discretionary	Y	93558	Emerald Alternative Energy Solutions, In	Tech. Assistance contractor fo	03/21/2016	\$11,000	\$11,000	\$3,000	\$3,000
		Non-Competitive	Y	25996	Skipso Limited	Cleantech social network	12/29/2011		\$120,000	\$19,900	\$120,000
		Non-Competitive	Y	27553	Calstart	Implementation contractor for	04/17/2012		\$411,643	\$178,807	\$188,619
		Non-Competitive	Y	107657	New York Battery and Energy Storage	NYS Energy Storage Outreach	12/05/2016	\$150,000	\$150,000		
CLEANER GREENER COMMUNITIES		Competitive	N	24257	Climate Action Associates LLC	Climate Smart Communities Regi	09/29/2011		\$847,771	\$201,967	\$847,771
		Competitive	Y	30425	NYS Economic Development Council	EDGE Program Support Services	11/26/2012		\$574,823	\$21,569	\$574,821
		Competitive	Y	30426-1	CEC Stuyvesant Cove, Inc.	EDGE Territory 3	06/05/2013		\$2,707,506	\$147,831	\$2,702,068
		Competitive	Y	30427	NYS Economic Development Council	EDGE Territory 2	11/26/2012		\$2,133,125	\$81,676	\$1,994,659
		Competitive	Y	30428	NYS Economic Development Council	EDGE Territory 1	11/26/2012		\$2,482,375	\$135,426	\$2,351,498
		Competitive	Y	33867	Ecology and Environment Engineering, PC	CGC Implementation Contractor	07/16/2013	\$1,126,049	\$4,500,000	\$286,803	\$2,632,008
COMBINED HEAT AND POWER		Competitive	N	73679	Rafferty Enterprises, Inc.	Temp Employment Services	09/30/2015		\$21,528		\$3,444
		Competitive	Y	18881	CDH Energy Corporation	CHP Data Integration System Op	05/04/2010		\$550,000		\$550,000
		Competitive	Y	55507	Pace University Energy & Climate Center	Logistic Support for CHP	12/23/2014		\$600,000	\$355,624	\$457,932
		Competitive	Y	55508	Energy & Resource Solutions, Inc.	Technical and Logistic Support	12/23/2014		\$3,500,000	\$1,637,095	\$2,795,093
		Competitive	Y	55511	CDH Energy Corporation	Technical and Logistic Support	12/23/2014		\$300,000	\$25,683	\$44,934
		Competitive	Y	68174	CDH Energy Corporation	CHP System Inspection	07/01/2015		\$3,500,000	\$129,925	\$219,470
		Discretionary	N	45865	Wichcraft Operating, LLC	Catering Manhattan CHP Expo	08/19/2014		\$6,497		\$6,497
		Discretionary	N	94357	Northeast Clean Heat & Power Initiative	2016 NECHPI Annual Meeting	03/30/2016	\$5,000	\$5,000	\$5,000	\$5,000
		Discretionary	N	104428	Yale Robbins Publications, LLC	2017 Co-op, Condo & Art Expo	09/28/2016	\$15,000	\$15,000	\$15,000	\$15,000
		Discretionary	N	107287	Northeast Clean Heat & Power Initiative	CHP Conference/Expo Promotion	11/22/2016	\$6,000	\$6,000	\$6,000	\$6,000
		Discretionary	N	107288	New York Solar Energy Industries Associa	CHP Conference/Expo Promotion	11/22/2016	\$5,000	\$5,000	\$5,000	\$5,000
		Discretionary	Y	37344	CDH Energy Corporation	CHP Acceleration Program Techn	11/15/2013		\$50,000		\$49,977
		Discretionary	Y	48115	ACEEE	CHP Resiliency Valuation	09/18/2014		\$50,000	\$50,000	\$50,000
		Discretionary	Y	78422	Pace University Energy & Climate Center	CHP	10/22/2015		\$50,000	\$50,000	\$50,000
Non-Competitive	Y	18881	CDH Energy Corporation	CHP Data Integration System Op	05/04/2010		\$915,000	\$188,091	\$915,000		

NYSERDA ANNUAL CONTRACTS REPORT - Section 1: All Contracts Open During the Period 4/1/2016 to 3/31/2017

Category	Initiative	Type	Term > 1 Year	Contract ID	Contractor	Project Description	Date	Committed this period	Committed to Date	Amt Paid this Period	Amt Paid to Date
PCMT	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION	Competitive	N	49526	Meister Consultants Group, Inc.	REV CC - Meister CG	10/10/2014	\$125,000	\$374,872	\$120,985	\$173,875
		Competitive	Y	37379	Taitem Engineering, P.C.	Technical Review and Program S	11/15/2013		\$323,819	\$37,830	\$100,512
		Competitive	Y	37380	CDH Energy Corporation	Technical Review and Program S	11/15/2013	\$199,775	\$866,865	\$62,455	\$400,908
		Competitive	Y	37391	LaBella Associates, P.C.	Technical Review and Program S	11/15/2013		\$270,220	\$20,561	\$44,999
		Competitive	Y	37404	Applied Energy Group, Inc.	Technical Review and Program S	11/15/2013		\$144,863	\$39,774	\$62,815
EMPOWER NY		Competitive	Y	27733	Honeywell International Inc.	Program Implementation Service	05/14/2012	\$3,867,315	\$14,767,557	\$2,967,061	\$13,611,739
		Competitive	Y	29513	Cornell University-Office of Sponsored P	CEPREEQ	09/28/2012		\$709,172	\$35,748	\$697,121
		Competitive	Y	35659	Tech Valley Talent, LLC	RES QACSS Development	09/24/2013		\$300,000	\$36,353	\$297,750
ENERGY ANALYSIS		Competitive	N	64271	Tabors Caramanis Rudkevich Inc.	Competitive Electricity Market	05/08/2015		\$576,200	\$108,710	\$489,357
		Competitive	N	104272	Randstad North America, L.P.	Temp Services	09/28/2016	\$33,224	\$33,224	\$32,253	\$32,253
		Competitive	Y	61564	Energy and Environmental Economics Inc.	REV Economic Framework	03/30/2015	\$15,426	\$440,426	\$24,048	\$439,010
		Competitive	Y	86556	Clean Energy States Alliance	Coordination of USDOE Grant	01/13/2016		\$212,683	\$143,154	\$166,931
		Discretionary	N	29899	CONEG Policy Research Center, Inc.	ENERGY ANALYSIS	10/22/2012		\$22,000		
		Discretionary	N	83751	Optimal Energy Inc.	Support for EE&RE Potential	12/15/2015		\$49,000	\$37,218	\$44,192
		Discretionary	N	89824	Energy and Environmental Economics Inc.	NYS Approp's - Energy Analysis	02/04/2016		\$47,500	\$32,165	\$47,484
		Discretionary	N	91895	University of Southern California	Microgrid Macro Model Approach	02/29/2016	\$49,878	\$49,878	\$49,878	\$49,878
		Discretionary	N	104461	Interaction Associates	ENERGY ANALYSIS	10/03/2016	\$19,000	\$19,000	\$17,914	\$17,914
		Discretionary	N	104926	The Mathworks, Inc.	Software License	10/14/2016	\$8,600	\$8,600	\$8,600	\$8,600
		Discretionary	N	106686	Regional Economic Models, Inc	REMI Fee and License	11/16/2016	\$6,000	\$6,000	\$6,000	\$6,000
		Discretionary	N	111622	IHS Global Inc.	Energy forecast subscription	03/16/2017	\$33,235	\$33,235		
		Discretionary	N	111878	Argus Media Inc.	Fuel price forecasting service	03/22/2017	\$35,000	\$35,000		
		Discretionary	Y	21916	Central Desktop	Tech Service for SEP Doc Dev	02/17/2011		\$33,327		\$28,927
		Discretionary	Y	101565	GUSTOMSC US INC.	OSW Project 4: US Vessel Study	07/26/2016	\$49,000	\$49,000		
		Non-Competitive	N	108297	Regional Greenhouse Gas Initiative, Inc.	ENERGY ANALYSIS	12/20/2016	\$902,790	\$902,790	\$865,709	\$865,709
		Non-Competitive	Y	28526	Troy Web Consulting, LLC	SEP Comment Website	07/18/2012		\$118,500	\$5,455	\$110,505
Non-Competitive	Y	33465	Arch Street Communications, Inc.	ENERGY ANALYSIS	06/25/2013		\$240,000		\$239,972		
Non-Competitive	Y	44178	Rocky Mountain Institute	RMI support for REV proceeding	07/16/2014		\$925,000	\$154,905	\$924,980		
Non-Competitive	Y	82801	General Electric International Incorpora	MAPS Computer Simulation Licen	12/01/2015		\$391,500	\$149,000	\$261,000		

NYSERDA ANNUAL CONTRACTS REPORT - Section 1: All Contracts Open During the Period 4/1/2016 to 3/31/2017

Category	Initiative	Type	Term > 1 Year	Contract ID	Contractor	Project Description	Date	Committed this period	Committed to Date	Amt Paid this Period	Amt Paid to Date
PCMT	ENVIRONMENTAL RESEARCH	Competitive	Y	30191	Abt Associates Inc.	Flex Energy Tech Analysis 2	11/09/2012		\$376,625	\$179,037	\$367,056
		Competitive	Y	30197	Energy and Environmental Economics Inc.	Flex Energy Tech Analysis 2	11/09/2012	\$300,000	\$594,500	\$297,201	\$591,701
		Competitive	Y	31648A	Cornell University	NY climate clearinghouse	06/03/2013	\$54,752	\$354,752	\$145,107	\$271,500
		Competitive	Y	34356	U.S. Geological Survey (Troy).	ALTM Stream Monitoring	08/07/2013		\$600,215	\$133,432	\$265,985
		Competitive	Y	40322	Cornell University	optimize LED for greenhouses	03/18/2014		\$249,081	\$61,787	\$139,163
		Competitive	Y	40323	Gotham Greens Jamaica LLC	greenhouse automation tech	03/18/2014		\$250,000		\$250,000
		Competitive	Y	40325	Cornell University	improve EE of crop production	03/18/2014		\$83,765	\$36,178	\$37,040
		Competitive	Y	60444	Warren Pinnacle Consulting, Inc.	SLAMM adaptation	03/10/2015	\$97,918	\$364,318	\$124,077	\$265,653
		Discretionary	N	107448	Gideon Putnam Hotel	2017 NERC Biennial Conference	11/30/2016	\$15,000	\$15,000		
		Discretionary	Y	30724A	Pyramid Energy Engineering Services PLLC	M&V Bioenergy Heat in Cap. Reg	05/20/2013		\$49,970	\$12,237	\$49,970
		Discretionary	Y	31577	Richard E. Gibbs, Ph.D., P.E.	env program science advisor	03/15/2013		\$35,000	\$2,261	\$7,561
		Discretionary	Y	31663	John E. Batey	science advisor support env	03/21/2013		\$35,000	\$1,350	\$11,475
		Discretionary	Y	103081	Praveen Amar	Environmental Research Science	09/13/2016	\$40,000	\$40,000		
		Discretionary	Y	104107	Watershed Assessment Associates, LLC	Aquatic Macroinvertebrate ID	09/22/2016	\$24,000	\$24,000		
		Discretionary	Y	108229	SUNY - ESF	Stat. Assess. Loon Monitoring	12/19/2016	\$49,962	\$49,962		
EVALUATION		Competitive	N	105173	Randstad North America, L.P.	Temp Services	10/19/2016	\$58,500	\$58,500	\$50,561	\$50,561
		Competitive	Y	21611	NMR Group, Inc.	General Eval Assis. Contractor	01/14/2011		\$1,599,850	\$2,866	\$1,135,253
		Competitive	Y	22600	ICF Resources, LLC	Eco. & Env. Impact Evaluation	05/02/2011	\$63,492	\$869,394	\$32,436	\$674,571
		Competitive	Y	26276	Research Into Action, Inc.	Process and Market Evaluation	01/24/2012		\$11,500,000	\$333,262	\$5,441,845
		Competitive	Y	26391	Abt SRBI, Inc.	Survey Data Collection Contrac	01/31/2012		\$3,590,002	\$48,707	\$1,337,837
		Competitive	Y	26397	Energy & Resource Solutions, Inc.	Impact Evaluation Contractor	01/31/2012		\$22,921,454	\$610,155	\$14,156,252
		Competitive	Y	32883	Industrial Economics, Incorporated	Evaluation Contractor for T&MD	05/28/2013		\$8,850,000	\$1,824,459	\$4,925,299
		Competitive	Y	43672	Opinion Dynamics Corporation	Commercial Statewide Baseline	07/02/2014		\$5,741,667	\$196,154	\$348,919
		Competitive	Y	ST11015	TecMarket Works	EVALUATION	10/28/2009		\$2,500,000	\$87,160	\$1,500,703
		Discretionary	N	93241	Northeast Energy Efficiency Partnerships	HEMS Market Research	03/17/2016	\$50,000	\$50,000	\$46,125	\$46,125
		Discretionary	N	98513	Northeast Energy Efficiency Partnerships	ASHP Market Research	05/16/2016	\$50,000	\$50,000	\$18,320	\$18,320
		Discretionary	N	100696	Apprise, Incorporated	Market Characterization Resear	07/08/2016	\$50,000	\$50,000	\$38,948	\$38,948
		Discretionary	N	100963	L&S Energy Services, Inc.	GtB- Evaluation	07/13/2016	\$42,814	\$42,814		

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Category	Initiative	Type	Term > 1 Year	Contract ID	Contractor	Project Description	Date	Committed this period	Committed to Date	Amt Paid this Period	Amt Paid to Date
PCMT	EVALUATION	Discretionary	N	105853	Open Energy Efficiency Inc.	Testing Open EE Meter	10/28/2016	\$37,400	\$37,400	\$37,375	\$37,375
		Discretionary	Y	107298	Dodge Data & Analytics	Dodge Data	11/28/2016	\$41,425	\$41,425	\$13,808	\$13,808
		Non-Competitive	N	104270	D & R International Ltd	EVALUATION	09/28/2016	\$84,400	\$84,400	\$43,200	\$43,200
		Non-Competitive	Y	16054	Northeast Energy Efficiency Partnerships	Evaluation, Measurement and Ve	07/28/2009		\$2,348,156	\$45,578	\$2,293,082
		Non-Competitive	Y	102013	Infogroup Government Division	Infogroup	08/05/2016	\$500,000	\$500,000	\$100,000	\$100,000
		Non-Competitive	Y	ST11015	TecMarket Works	EVALUATION	10/28/2009		\$375,000		\$375,000
EXISTING FACILITIES		Competitive	Y	18608	Eric Mower and Associates	RFQL and RFP 1224	04/05/2010		\$18,292,295	\$1,085,086	\$17,951,246
		Competitive	Y	30235	Willdan Energy Solutions	C&I Outreach	11/09/2012	\$647,513	\$11,873,283	\$597,887	\$10,027,730
		Competitive	Y	30238	Luthin Associates, Inc.	C&I Buildings Outreach	11/09/2012	\$187,760	\$7,836,261	\$222,601	\$7,664,781
		Competitive	Y	37347	Willdan Energy Solutions	Technical Review and Program S	11/15/2013	\$327,503	\$2,595,149	\$851,210	\$1,908,649
		Competitive	Y	37371	CDM Smith, Inc.	Technical Review and Program S	11/15/2013		\$15,016	\$1,971	\$13,899
		Competitive	Y	37373	EME Consulting Engineering Group, LLC	Technical Review and Program S	11/15/2013		\$493,580	\$151,097	\$398,660
		Competitive	Y	37384	Source One	Technical Review and Program S	11/15/2013		\$107,020	\$79,400	\$86,640
		Competitive	Y	37385	Versar, Inc	Technical Review and Program S	11/15/2013		\$21,299	\$3,542	\$10,639
		Competitive	Y	37389	Banks II Quan Associates, Inc.	Technical Review and Program S	11/15/2013		\$15,120	\$6,658	\$15,120
		Competitive	Y	37392	Aramark Management Srvc Ltd Prtnshp	Technical Review and Program S	11/15/2013		\$104,046	\$60,174	\$70,831
		Competitive	Y	37393	ICF Resources, LLC	Technical Review and Program S	11/15/2013	\$2,926	\$133,124	\$35,827	\$86,452
		Competitive	Y	37403	C.T. Male Associates Engineering,	Technical Review and Program S	11/15/2013		\$62,110	\$12,406	\$57,477
		Discretionary	N	34225	Emacx Systems, Inc.	EXISTING FACILITIES	07/30/2013		\$30,000		\$3,000
		Discretionary	N	99704	Northeast Energy Efficiency Partnerships	2016 DLC Membership	06/09/2016	\$45,000	\$45,000	\$45,000	\$45,000
FLEXIBLE TECHNICAL ASSISTANCE		Competitive	Y	37376	L&S Energy Services, Inc.	Technical Review and Program S	11/15/2013	\$95,867	\$1,272,570	\$361,548	\$1,161,407
		Competitive	Y	37382	TRC Energy Services	Technical Review and Program S	11/15/2013	\$331,522	\$1,771,872	\$636,628	\$1,414,357
		Competitive	Y	37398	Nexant, Incorporated	Technical Review and Program S	11/15/2013		\$1,424,111	\$253,892	\$1,205,214
		Competitive	Y	37401	Bergmann Associates	Technical Review and Program S	11/15/2013	\$191,648	\$884,096	\$259,919	\$596,517
		Competitive	Y	37402	Steven Winter Associates, Inc.	Technical Review and Program S	11/15/2013	\$228,574	\$228,574		
FUEL NY		Competitive	N	48593	Buckeye Terminals, LLC	Upstate NY Strategic Fuels Res	09/25/2014		\$1,400,000		\$1,400,000
		Competitive	Y	37366	Arcadis U.S., Inc.	Technical Review and Program S	11/15/2013	\$1,580,412	\$12,299,136	\$2,017,174	\$6,254,913
		Competitive	Y	39731	Gamer Environmental Services, Inc.	Fuel NY Portable Emergency Gen	02/25/2014		\$51,000,000	\$750,668	\$901,017

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PCMT	FUEL NY	Discretionary	N	93928	Oil Price Information Service	Daily Rack Price Sub for SFR	03/24/2016	\$7,224	\$7,224	\$7,224	\$7,224	
		Discretionary	Y	94966	Long Island Events LLC	Fuel NY Deployment Exercise	04/07/2016	\$20,000	\$20,000	\$20,000	\$20,000	
		Non-Competitive	N	48593	Buckeye Terminals, LLC	Upstate NY Strategic Fuels Res	09/25/2014	\$1,356,000	\$2,699,000	\$1,464,878	\$1,769,374	
GJGNY REVOLVING LOAN FUND		Competitive	N	18847	Lamont Financial Services Corporation	GJGNY REVOLVING LOAN FUND	04/29/2010		\$76,000		\$76,000	
		Competitive	N	20822	Concord Servicing Corporation	MULTIFAMILY PERFORMANCE PROGRAM	10/07/2010		\$606,000	\$2,518	\$30,989	
		Competitive	Y	34252	Frontier Abstract and Research Services	Title Company in Support of On	08/01/2013		\$349,999	\$500	\$337,566	
		Competitive	Y	34253	Advantage Title Agency, Inc.	Title Company in Support of On	08/01/2013		\$349,999	\$250	\$332,396	
		Competitive	Y	34254	Stewart Title Insurance Company	Title Company in Support of On	08/01/2013		\$349,999	\$2,852	\$331,988	
		Competitive	Y	36276	L&S Energy Services, Inc.	L&S Energy Services, Inc.	10/18/2013		\$1,250,597	\$362,570	\$1,237,667	
		Competitive	Y	36277	Adam C. Boese	Daylight Savings Co. (Adam C.	10/18/2013		\$1,010,607	\$245,070	\$838,077	
		Competitive	Y	36278	GDS Associates, Inc.	GDS - Small Commercial Energy	10/18/2013		\$1,096,748	\$389,820	\$1,091,038	
		Competitive	Y	36279	TRC Energy Services	TRC - Small Commercial Energy	10/18/2013		\$1,231,836	\$426,490	\$1,189,686	
		Competitive	Y	36976	Adirondack North Country Association	Green Jobs Green New York Outr	11/06/2013		\$63,720	\$307,523	\$77,446	\$261,998
		Competitive	Y	36977	El Puente	Green Jobs Green New York Outr	11/06/2013		\$89,388	\$363,555	\$113,699	\$299,264
		Competitive	Y	36978	Pathstone Corporation	Green Jobs Green New York	11/06/2013		\$181,868	\$631,640	\$161,420	\$563,864
		Competitive	Y	36979	Neighborhood Housing Services of Jamaica	Green Jobs Green New York Outr	11/06/2013		\$137,204	\$662,179	\$172,045	\$499,697
		Competitive	Y	36980	Public Policy and Education Fund of NY	Green Jobs Green New York Outr	11/06/2013		\$92,028	\$361,474	\$73,151	\$317,808
		Competitive	Y	36981	Affordable Housing Partnership	Green Jobs Green New York Outr	11/06/2013		\$105,706	\$494,117	\$102,589	\$425,722
		Competitive	Y	36982	Rural Ulster Preservation Company	Green Jobs Green New York Outr	11/06/2013		\$249,625	\$1,060,346	\$289,292	\$979,604
		Competitive	Y	36983	Sustainable South Bronx Inc.	Green Jobs Green New York Outr	11/06/2013		\$59,908	\$369,766	\$128,734	\$287,768
		Competitive	Y	36984	Neighborhood Housing Services Staten Isl	Green Jobs Green New York Outr	11/06/2013		\$74,348	\$229,351	\$82,086	\$176,866
		Competitive	Y	36985	People United for Sustainable Housing In	Green Jobs Green New York Outr	11/06/2013		\$360,608	\$837,891	\$266,062	\$667,875
		Competitive	Y	36986	Long Island Progressive Coalition	GJGNY Outreach CBO	11/06/2013		\$410,765	\$1,389,985	\$311,580	\$1,167,189
		Competitive	Y	37334A	CLEAResult Consulting, Inc.	GJGNY TIC	07/28/2015		\$145,000	\$678,554	\$385,809	\$564,404
		Competitive	Y	60714A	Dentons US LLP	Bond Counsel Services	09/29/2015			\$26,000		\$25,834
		Competitive	Y	105451	Omnicap Group, LLC	Financial Advisory Services	10/21/2016		\$454,000	\$454,000	\$46,250	\$46,250
Non-Competitive	N	18847	Lamont Financial Services Corporation	NYSERDA ADMINISTRATION	04/29/2010			\$561,913	\$7,938	\$502,825		
Non-Competitive	Y	34250	First Associates Loan Servicing, LLC	GJGNY REVOLVING LOAN FUND	07/31/2013		\$50,000	\$166,500	\$52,354	\$114,827		

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PCMT	GJGNY REVOLVING LOAN FUND	Non-Competitive	Y	68533	Bank of New York	\$3000 annual fee for 14 yrs	07/08/2015		\$57,000	\$4,000	\$12,000
		Non-Competitive	Y	71389	Bank of New York	EFC REEF 2015 FEE 2015	08/19/2015		\$62,000	\$3,000	\$8,000
		Non-Competitive	Y	104094	Bank of New York	GJGNY 2016 Bonds Trustee	09/21/2016	\$62,000	\$62,000	\$8,000	\$8,000
HOME PERFORMANCE WITH ENERGY STAR		Competitive	N	18602A	Butler/Till Media Services, Inc.	Marketing Contract	09/02/2016	\$323,134	\$323,134	\$232,602	\$232,602
		Discretionary	N	91834	BPCA NYS Inc.	BPCA Roundtables 2016	02/29/2016		\$25,000	\$20,035	\$20,035
		Discretionary	Y	40616	BPCA NYS Inc.	BPCA Round Table Meetings Rd 3	03/31/2014		\$49,500	\$11,895	\$45,649
		Discretionary	Y	42000	Efficiency First New York, Inc.	Efficiency First CIWG Round 2	05/23/2014		\$33,000	\$24,000	\$24,000
		Non-Competitive	Y	53820	EnergySavvy Inc	HPWES Program Mgmt Portal	12/03/2014	\$743,506	\$1,981,986	\$527,156	\$1,596,624
Industrial Process Effic		Competitive	Y	37378	Antares Group, Inc.	Technical Review and Program S	11/15/2013	\$22,380	\$22,380	\$11,305	\$11,305
		Competitive	Y	104557	Michaels Energy, Inc.	RFQ 3183 Michaels Energy	10/06/2016	\$300,000	\$300,000		
INDUSTRIAL PROCESS EFFICIENCY		Competitive	Y	20975A	TRC Energy Services	Industrial Process Efficiency	05/22/2014		\$241,339	\$3,018	\$77,435
		Competitive	Y	30236	Energy & Resource Solutions, Inc.	Commercial & Industrial Outrea	11/09/2012	\$615,479	\$2,244,486	\$407,982	\$1,882,097
		Competitive	Y	30237	CHA Consulting Inc.	Commercial & Industrial Outrea	11/09/2012	\$1,276,451	\$4,024,437	\$605,903	\$3,274,693
		Competitive	Y	37368	Energy & Resource Solutions, Inc.	Technical Review and Program S	11/15/2013	\$338,801	\$1,120,648	\$180,383	\$650,969
		Competitive	Y	37383	CHA Consulting Inc.	Technical Review and Program S	11/15/2013		\$2,843,330	\$616,108	\$2,615,568
		Competitive	Y	37387	M/E Engineering, P.C.	Technical Review and Program S	11/15/2013		\$112,320	\$30,355	\$90,548
INNOVATION CAPACITY & BUSINESS DEVELOPMENT		Competitive	Y	27592	Frank Communications	Copywriting and Technical Edit	04/23/2012		\$101,501	\$4,860	\$98,080
		Competitive	Y	39066	Nixon Peabody LLP	Green Bank Outside Legal Serv.	01/21/2014	\$175,269	\$518,883	\$175,269	\$237,606
		Competitive	Y	57387	Research Foundation of SUNY	EFRC co-funding	01/21/2015	\$391,000	\$391,000		
		Competitive	Y	59723	The Research Foundation of SUNY at Bing	EFRC co-funding	02/26/2015		\$199,250		
		Discretionary	N	42969	FuzeHub, Inc.	Additive Manufacturing Scoping	06/16/2014		\$50,000	\$50,000	\$50,000
		Discretionary	N	56679	Rochester Institute of Technology	photocatalytic CO2 reduction	01/12/2015		\$50,000	\$20,000	\$50,000
		Discretionary	N	89064	Upstate Venture Association of New York,	2016 UVANY Gold Sponsorship	02/01/2016		\$30,000	\$30,000	\$30,000
LARGE SCALE RENEWABLES		Competitive	Y	104262	Holland & Knight LLP	RFP 3300 Outside Counsel Servi	09/27/2016	\$316,585	\$316,585	\$242,196	\$242,196
Low-Income Forum on Energy		Discretionary	N	109967	Blue Pearl Hospitality LLC	2017 LIFE Regional Mtg. - LI	02/08/2017	\$9,000	\$9,000		
		Discretionary	N	110642	Gove Group, Inc.	LIFE 2017 Reg Mtg Reg Services	02/23/2017	\$19,886	\$19,886		
		Discretionary	N	111879	Gideon Putnam Hotel	2017 LIFE Reg. Mtg.- Saratoga	03/22/2017	\$7,000	\$7,000		
MARKET PATHWAYS		Competitive	Y	27892A	Lockheed Martin Corporation	Products Program	02/17/2016		\$622,782	\$172,397	\$172,397

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PCMT	MARKET PATHWAYS	Competitive	Y	30777	ICF Resources, LLC	Impl of Lighting Mid Partners	12/28/2012		\$3,380,133	\$52,310	\$3,379,843
		Competitive	Y	39665	ICF Resources, LLC	Implementation contractor for	02/21/2014		\$254,431		\$250,760
		Discretionary	N	86068	CoStar Realty Information, Inc.	Research Subscription	12/30/2015		\$21,740	\$16,800	\$16,800
		Discretionary	Y	40415	Rensselaer Polytechnic Institute-LRC	Outdoor Lighting Clearinghouse	03/21/2014		\$50,000		\$15,200
		Non-Competitive	Y	29269	Rensselaer Polytechnic Institute-LRC	LRC Partners Program	09/17/2012		\$240,000	\$120,000	\$240,000
		Non-Competitive	Y	40553	Energy Improvement Corporation	Enabling CPACE in NYS	03/28/2014		\$1,082,494	\$43,697	\$934,736
		Non-Competitive	Y	41386	Eric Mower and Associates	MARKET PATHWAYS	04/30/2014		\$250,000		\$101,239
	Mkt Char: Tech Assist	Competitive	Y	101127	Energy and Environmental Economics Inc.	Tech Assist, REV Pool	07/15/2016	\$280,000	\$280,000	\$199,246	\$199,246
	Multifam New Construction	Discretionary		111008	SUNY Research Foundation	2017 NYS Green Bldg Conf	03/03/2017	\$5,250	\$5,250	\$5,250	\$5,250
	Multifam Performance Pgm	Discretionary	N	100425	Hyatt Corporation	2016 MPP Summit	07/01/2016	\$50,000	\$50,000	\$23,836	\$23,836
		Discretionary	N	104529	NESEA	2016 NESEA Sponsorship	10/05/2016	\$15,000	\$15,000	\$15,000	\$15,000
		Discretionary	N	111674	455 Hospitality LLC	2017 Multifamily Summit	03/19/2017	\$50,000	\$50,000		
MULTIFAMILY PERFORMANCE PROGRAM		Competitive	Y	18602	Brand/Cool Marketing	RFQL and RFP 1224	04/05/2010		\$21,604,668	\$164,457	\$20,416,768
		Competitive	Y	28254	Community Power Network of NYS, Inc.	LIFE Implementation Services	07/06/2012		\$340,000	\$48,388	\$327,359
		Competitive	Y	29222	TRC Energy Services	MF Energy Perf Portfolio Imple	09/17/2012	\$2,059,221	\$11,730,970	\$2,745,726	\$11,193,262
		Competitive	Y	29226	Taitem Engineering, P.C.	MEPP Quality Assurance Contrac	09/17/2012		\$2,539,539	\$498,187	\$2,239,099
		Competitive	Y	41140	Benchmark Printing, Inc.	Printing Services	04/23/2014	\$7,475	\$22,124	\$7,475	\$19,454
		Competitive	Y	ST9628	TRC Engineers, Inc.	RENEWABLE THERMAL	11/24/2009		\$10,890,225	\$73,759	\$10,835,623
		Competitive	Y	ST9941	Taitem Engineering, P.C.	RENEWABLE THERMAL	06/02/2009		\$1,218,445		\$707,995
		Discretionary	N	70406	Green Light New York, Inc.	Mktg Consultant for MEPP	08/03/2015		\$50,000	\$33,879	\$41,994
		Discretionary	N	80657	Desmond, The	2016 LIFE Conference	11/12/2015		\$50,000	\$49,427	\$49,427
		Discretionary	N	91468	New York Passive House Inc.	2016 NAPHN Annual Conference	02/25/2016	\$15,000	\$15,000	\$15,000	\$15,000
		Discretionary	Y	91807	Robison Energy LLC	Oil Monitoring Pilot	02/29/2016	\$50,000	\$50,000	\$38,994	\$38,994
		Non-Competitive	Y	24057	NYC Department of Environmental Protect	NYC Mayoral Challenge	09/16/2011		\$323,000	\$11,797	\$250,074
		Non-Competitive	Y	28551	Documentation Strategies, Inc.	Multifamily IT Support	07/18/2012		\$438,000		\$435,804
NEW CONSTRUCTION PROGRAM		Competitive	Y	20140	Kallen & Lemelson Consulting Engineers,	Technical Assistance Services	07/06/2010	\$8,590	\$145,416	\$7,731	\$113,458
		Competitive	Y	30183	Sustainable Performance Consulting, Inc.	Outrch and Pjct Consulting NCP	11/08/2012	\$1,199,280	\$14,488,984	\$2,099,983	\$13,541,231
		Competitive	Y	78361	Taitem Engineering, P.C.	Taitem - EMP	10/20/2015		\$11,121	\$11,121	\$11,121

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PCMT	NEW CONSTRUCTION PROGRAM	Competitive	Y	79701	Erdman Anthony & Associates, Inc.	EAA - EMP	11/02/2015	\$39,462	\$39,462	\$18,410	\$18,410
		Competitive	Y	80413	Steven Winter Associates, Inc.	SWA - EMP	11/09/2015	\$19,076	\$19,076	\$19,076	\$19,076
		Competitive	Y	80550	C.J. Brown Energy, P.C.	CJ Brown - EMP	11/11/2015	\$23,571	\$23,571	\$18,700	\$18,700
		Competitive	Y	83741	Atelier Ten	ATEN - EMP	12/14/2015	\$53,145	\$53,145	\$17,376	\$17,376
		Competitive	Y	87371	Novus Engineering, P.C.	Energy Modeling Partner	01/14/2016	\$12,444	\$12,444	\$10,608	\$10,608
		Competitive	Y	92615	L&S Energy Services, Inc.	L&S-Energy Modeling Partner	03/09/2016	\$25,935	\$25,935	\$25,935	\$25,935
		Competitive	Y	96883	Thornton Tomasetti, Inc.	Thornton Tomasetti-EMP	04/22/2016	\$13,995	\$13,995	\$11,427	\$11,427
		Competitive	Y	ST10133	Ambrosino, DePinto & Schmieder Consultin	NCP TA Contract - ST10133	04/04/2009		\$735,075	\$0	\$705,945
		Competitive	Y	ST10140	Novus Engineering, P.C.	NCP TA Contract - ST10140	04/04/2009		\$449,300	\$0	\$295,368
NEW YORK ENERGY STAR HOMES		Competitive	Y	28876A	CLEARresult Consulting, Inc.	Implementation and Support con	08/04/2015	\$213,444	\$1,726,782	\$895,908	\$1,678,140
		Non-Competitive	Y	28876A	CLEARresult Consulting, Inc.	Implementation and Support con	08/04/2015	\$600,000	\$600,000	\$0	\$0
NEW YORK GREEN BANK		Competitive	N	99720	DealCloud Inc.	DealCloud Implementation	06/13/2016	\$12,500	\$12,500	\$9,200	\$9,200
		Competitive	N	104422	Randstad North America, L.P.	Temp Services	09/28/2016	\$45,230	\$45,230	\$42,792	\$42,792
		Competitive	N	104431	Randstad North America, L.P.	Temp Services	09/29/2016	\$121,374	\$121,374	\$70,106	\$70,106
		Competitive	N	107052	Randstad North America, L.P.	Temp Services	11/21/2016	\$109,522	\$109,522	\$27,802	\$27,802
		Competitive	N	108086	Randstad North America, L.P.	Temporary Services	12/15/2016	\$57,213	\$57,213	\$23,766	\$23,766
		Competitive	Y	39067	Holland & Knight LLP	Green Bank Outside Legal Serv.	01/21/2014	\$38,145	\$344,688	\$38,145	\$309,459
		Competitive	Y	39068	Skadden, Arps, Slate, Meagher & Flom LL	Green Bank Outside Legal Couns	01/21/2014	\$55,850	\$245,850	\$105,850	\$236,216
		Competitive	Y	39069	Loeb & Loeb LLP	Green Bank Outside Legal Couns	01/21/2014	\$167,875	\$324,394	\$167,875	\$324,394
		Competitive	Y	39072	Clifford Chance US LLP	Green Bank Outside Legal Serv.	01/21/2014		\$36,000		\$26,038
		Competitive	Y	46963	Navigant Consulting Inc.	Outside Technical and Eng. Srv	09/05/2014	\$105,226	\$105,226		
		Competitive	Y	98838	DealCloud Inc.	DealCloud Licensing	05/24/2016	\$212,500	\$212,500	\$46,032	\$46,032
		Competitive	Y	98839	SS&C Technologies, Inc.	Fund Administration/Loan Inves	05/24/2016	\$3,000,000	\$3,000,000	\$78,000	\$78,000
		Competitive	Y	104458	Randstad North America, L.P.	Temp Services	10/03/2016	\$35,707	\$35,707	\$28,018	\$28,018
		Discretionary	N	93592	James McCrea & Associates, LLC	NYGB Solar Energy RFP consulti	03/23/2016	\$50,000	\$50,000	\$30,776	\$30,776
		Discretionary	N	94004	Stewart Energy Consultants, LLC	NYGB Solar Energy RFP consulti	03/28/2016	\$50,000	\$50,000	\$44,974	\$44,974
		Discretionary	N	94360	Anne Compton Savage	Metrics, Reporting & Evaluatio	03/30/2016	\$50,000	\$50,000	\$6,994	\$6,994
Discretionary	N	94368	Integration Strategy, Inc.	NYGB Annual Business Plan 2016	03/31/2016	\$50,000	\$50,000	\$50,000	\$50,000		

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PCMT	NEW YORK GREEN BANK	Discretionary	N	100320	Chadbourne & Parke LLP	Chadbourne & Parke, LLC Legal	06/24/2016	\$25,000	\$25,000	\$14,988	\$14,988
		Discretionary	N	100959	Essense Partners Inc.	Marketing materials for NYGB	07/13/2016	\$50,000	\$50,000	\$33,550	\$33,550
		Discretionary	N	102573	Chadbourne & Parke LLP	Investec/Sunrun Legal Fees	08/17/2016	\$15,000	\$15,000	\$15,000	\$15,000
		Discretionary	N	102580	Sharon Sherrard	Fund Admin Implementation	08/17/2016	\$50,000	\$50,000	\$45,581	\$45,581
		Discretionary	N	106599	William J Dombrowski	Revision of NYGB's RFP	11/10/2016	\$50,000	\$50,000	\$19,625	\$19,625
		Discretionary	N	108973	Robert O Gurman	Gurman Contract Consulting	01/17/2017	\$50,000	\$50,000	\$9,188	\$9,188
		Discretionary	N	109655	Barry Frohlinger	Credit Training for NYGB Staff	02/01/2017	\$27,500	\$27,500	\$6,875	\$6,875
		Discretionary	Y	87399	James McCrea & Associates, LLC	James McCrea & Associates LLC	01/20/2016		\$50,000	\$450	\$450
NY-SUN		Competitive	N	61712	Rafferty Enterprises, Inc.	Temp Servies	04/01/2015	\$6,300	\$44,154	\$7,489	\$43,564
		Competitive	N	79049	Rafferty Enterprises, Inc.	Temp Services	10/28/2015	\$19,350	\$38,304	\$24,684	\$37,737
		Competitive	N	105174	Randstad North America, L.P.	Temp Services	10/19/2016	\$61,000	\$61,000	\$31,431	\$31,431
		Competitive	N	110026	Randstad North America, L.P.	Temporary Services	02/09/2017	\$49,803	\$49,803	\$12,469	\$12,469
		Competitive	N	110029	Employee Leasing of Greater NY	Temporary Services	02/10/2017	\$59,543	\$59,543	\$15,023	\$15,023
		Competitive	Y	24890	The Cadmus Group, Inc.	Quality Assurance Services for	10/27/2011	\$723,423	\$5,316,857	\$849,194	\$4,660,579
		Competitive	Y	29199	The Cadmus Group, Inc.	RPS-CST Quality Assurance/Qual	09/17/2012		\$499,625	\$58,750	\$180,750
		Competitive	Y	106225	Kelleher Samets Volk	Marketing Support for NYSERDA	11/03/2016	\$4,679,751	\$4,679,751	\$91,845	\$91,845
		Discretionary	N	36460	Clean Power Research	Consut on NY SUN Block Program	10/24/2013		\$50,000		\$49,012
		Discretionary	N	99732	Sustainable CUNY CUNY/RF	2016 New York Solar Summit	06/14/2016	\$10,000	\$10,000	\$10,000	\$10,000
		Discretionary	N	110027	Solar Promotion International GmbH	2017 Intersolar Summit USAEast	02/10/2017	\$25,000	\$25,000	\$25,000	\$25,000
NYSERDA ADMINISTRATION		Competitive		98193	Xerox Corp	NYSERDA ADMINISTRATION	05/11/2016	\$14,674	\$14,674	\$14,022	\$14,022
		Competitive		98840	KPMG LLP	Audit services	05/24/2016	\$533,000	\$533,000		
		Competitive	N	22675	NYS Office For Technology	NYSERDA ADMINISTRATION	05/11/2011		\$182,790		\$159,124
		Competitive	N	23854	Appligent Document Solutions	NYSERDA ADMINISTRATION	08/25/2011		\$98,072		\$87,352
		Competitive	N	29444	mindSHIFT Technologies, Inc.	NYSERDA ADMINISTRATION	09/25/2012		\$500,000		\$500,000
		Competitive	N	30472	Fibertech Holdings Corp	NYSERDA ADMINISTRATION	11/29/2012		\$62,000	\$9,000	\$41,065
		Competitive	N	30583	NYS Office of General Services	Microsoft Software Liscensing	12/10/2012	\$9	\$215,383	\$71,790	\$215,383
		Competitive	N	30994	mindSHIFT Technologies, Inc.	Hosting Cloud Solutions	01/24/2013	\$247,483	\$1,239,929	\$210,288	\$1,186,702
		Competitive	N	31421A	Lockheed Martin Corporation	Hotline & Fulfillment 2016	01/27/2016		\$189,999	\$128,698	\$171,196

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Category	Initiative	Type	Term > 1 Year	Contract ID	Contractor	Project Description	Date	Committed this period	Committed to Date	Amt Paid this Period	Amt Paid to Date
PCMT	NYSERDA ADMINISTRATION	Competitive	N	35348	Gardiner & Theobald Inc	NYSERDA ADMINISTRATION	09/12/2013		\$138,000		\$79,136
		Competitive	N	36966	Time Warner Cable	NYC WAN and Internet Circuits	11/05/2013		\$317,086	\$53,690	\$99,661
		Competitive	N	37500	Henegan Construction Co., Inc.	Manager &Construction Services	11/20/2013		\$175,380		\$175,380
		Competitive	N	43051	Xerox Corp	NYSERDA ADMINISTRATION	06/17/2014		\$19,071	\$5,207	\$18,676
		Competitive	N	50809	Sierra-Cedar, Inc.	Consulting Services for 9.2	10/28/2014		\$1,492,080		\$1,492,080
		Competitive	N	61208	Rafferty Enterprises, Inc.	NYSERDA ADMINISTRATION	03/24/2015		\$23,184		\$10,980
		Competitive	N	63933	Rafferty Enterprises, Inc.	Temp Employee	05/04/2015		\$53,650	\$24,818	\$53,532
		Competitive	N	64015	Found Object LLC	Communications Services for Re	05/05/2015	\$46,000	\$246,000	\$49,090	\$246,000
		Competitive	N	66256	Rafferty Enterprises, Inc.	Temp Services	06/08/2015	\$810	\$33,336	\$3,898	\$32,311
		Competitive	N	66731	Rafferty Enterprises, Inc.	Temp Services	06/11/2015		\$44,112	\$19,720	\$43,604
		Competitive	N	69111	Rafferty Enterprises, Inc.	Temp Services	07/15/2015		\$37,674	\$6,687	\$29,004
		Competitive	N	69931	Amphora Consulting	Strategic Program Dev Training	07/28/2015		\$500,000	\$165,000	\$500,000
		Competitive	N	71187	GCOM Software Inc.	Salesforce Implementation	08/13/2015	\$640,683	\$4,004,601	\$2,673,051	\$2,924,950
		Competitive	N	71234	Rafferty Enterprises, Inc.	Temp Services NYC Office	08/17/2015		\$18,837		
		Competitive	N	72231	Rafferty Enterprises, Inc.	Temp Services NYC Office	09/03/2015		\$40,769	\$4,381	\$25,121
		Competitive	N	78206	Rafferty Enterprises, Inc.	Temp Servies	10/16/2015		\$20,183	\$5,322	\$19,770
		Competitive	N	79042	GCOM Software Inc.	Salesforce Licensing	10/27/2015		\$724,020	\$137,680	\$724,020
		Competitive	N	82017	Hewlett-Packard Company	Tablet purchase to replace sig	11/23/2015		\$13,044	\$10,956	\$13,044
		Competitive	N	82152	Rafferty Enterprises, Inc.	Temp Employee Services	11/30/2015	\$32,000	\$59,000	\$47,358	\$58,968
		Competitive	N	82804	Rafferty Enterprises, Inc.	Temp Employees Services	12/02/2015		\$82,500	\$55,387	\$81,954
		Competitive	N	85023	22nd Century Technologies, Inc.	Staff Augmentation	12/18/2015	\$48,750	\$48,750	\$44,525	\$44,525
		Competitive	N	85027	Unique Comp Inc.	Staff Augmentation	12/18/2015	\$1,638,865	\$1,638,865	\$500,783	\$500,783
		Competitive	N	85029	GCOM Software Inc.	Staff Augmentation	12/18/2015	\$637,651	\$637,651	\$216,812	\$216,812
		Competitive	N	86708	Verizon Wireless	Tablet upgrade - signout pool	01/14/2016		\$6,462	\$6,162	\$6,162
		Competitive	N	87424	Verizon Business	Information Security Risk Asse	01/20/2016	\$55,540	\$181,827	\$181,827	\$181,827
		Competitive	N	91656	Hewlett-Packard Company	Replacement Laptops - sign out	02/26/2016		\$6,522	\$5,628	\$6,522
		Competitive	N	92321	Hewlett-Packard Company	HP Replacement Laptops # 2	03/04/2016		\$6,191	\$6,191	\$6,191
		Competitive	N	93251	DynTek Services, Inc.	Checkpoint Firewall license	03/17/2016		\$228,066	\$228,066	\$228,066

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Category	Initiative	Type	Term > 1 Year	Contract ID	Contractor	Project Description	Date	Committed this period	Committed to Date	Amt Paid this Period	Amt Paid to Date
PCMT	NYSERDA ADMINISTRATION	Competitive	N	96886	Network Experts of New York, Inc.	Peoplesoft Admin.	04/22/2016	\$304,375	\$304,375	\$142,769	\$142,769
		Competitive	N	98505	NYS Office of General Services	2015 Microsoft ELA	05/13/2016	\$136,327	\$136,327	\$136,327	\$136,327
		Competitive	N	98512	NYS Office of General Services	2016-2019 Microsoft ELA 3 year	05/16/2016	\$142,080	\$142,080	\$44,645	\$44,645
		Competitive	N	100025	nrastructure	Smartnet Hardware Maintenance	06/22/2016	\$77,527	\$77,527	\$77,527	\$77,527
		Competitive	N	100880	GCOM Software Inc.	Salesforce additional licenses	07/12/2016	\$297,049	\$297,049	\$297,049	\$297,049
		Competitive	N	102949	Direct Packet Inc.	VideoConf End of Life	08/24/2016	\$16,258	\$16,258	\$16,258	\$16,258
		Competitive	N	102977	Xerox Corp	Xerox Maintenance Agreement	08/30/2016	\$67,200	\$67,200		
		Competitive	N	104423	Randstad North America, L.P.	Temporary Services	09/28/2016	\$23,067	\$23,067	\$9,628	\$9,628
		Competitive	N	104459	Randstad North America, L.P.	Temp Services	10/03/2016	\$44,188	\$44,188	\$27,692	\$27,692
		Competitive	N	105734	Carahsoft Technology Corporation	Renewal: Docusign Licensing	10/25/2016	\$49,400	\$49,400		
		Competitive	N	106598	Direct Packet Inc.	VideoConf End of Life - 2	11/09/2016	\$17,726	\$17,726	\$17,726	\$17,726
		Competitive	N	106682	nrastructure	nFrastructure-NE-Architect	11/15/2016	\$38,205	\$38,205	\$36,285	\$36,285
		Competitive	N	107053	Randstad North America, L.P.	Temp Services	11/21/2016	\$55,263	\$55,263	\$36,134	\$36,134
		Competitive	N	107659	Triad Technology Partners LLC	Tableau Desktop 2016 - 2017	12/05/2016	\$5,937	\$5,937	\$5,937	\$5,937
		Competitive	N	108293	GCOM Software Inc.	Renewal: Salesforce.com	12/20/2016	\$1,600,908	\$1,600,908	\$1,600,908	\$1,600,908
		Competitive	N	108881	Randstad North America, L.P.	Temporary Services	01/10/2017	\$48,750	\$48,750	\$20,523	\$20,523
		Competitive	N	109508	Direct Packet Inc.	Direct Response 2017	01/30/2017	\$5,055	\$5,055		
		Competitive	N	110025	Randstad North America, L.P.	Temporary Services	02/09/2017	\$31,444	\$31,444	\$8,070	\$8,070
		Competitive	N	110336	Direct Packet Inc.	Video Conf. upgrade WV, Buff.	02/16/2017	\$15,892	\$15,892		
		Competitive	N	110542	Infosys International Inc	RFP3365 Private Cloud Hosting	02/21/2017	\$861,843	\$861,843		
		Competitive	N	111565	nrastructure	Tintri T620 Support, 29 Months	03/15/2017	\$17,189	\$17,189		
		Competitive	Y	18607	Zone 5, Inc.	RFQL and RFP 1224	04/05/2010		\$612,575	\$31,951	\$612,205
		Competitive	Y	21239	Bond, Schoeneck & King, PLLC	Outside Legal Services	12/02/2010		\$50,000	\$4,936	\$21,615
		Competitive	Y	21430	CDH Energy Corporation	DG-CHP Remote Monitoring Data	12/29/2010		\$17,013	\$4,042	\$8,693
		Competitive	Y	21727	Xerox Corp	NYSERDA ADMINISTRATION	01/26/2011	\$4,046	\$509,597	\$28,855	\$402,113
		Competitive	Y	21784	Antares Group, Inc.	Renewable Portfolio Standard T	02/01/2011		\$718,381	\$6,406	\$619,243
		Competitive	Y	21785-1	Sustainable Energy Advantage, LLC	Renewable Portfolio Standard T	09/12/2013		\$1,972,812	\$603,547	\$1,564,159
		Competitive	Y	22989	KPMG LLP	Audit services	06/08/2011		\$187,400		\$187,400

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PCMT	NYSERDA ADMINISTRATION	Competitive	Y	30272	Xerox Corp	NYSERDA ADMINISTRATION	11/14/2012		\$164,799	\$30,782	\$126,580
		Competitive	Y	32004	First Columbia Property Services, LLC	Property Management Services	04/16/2013	\$386,277	\$1,045,593	\$362,148	\$982,247
		Competitive	Y	33863	Intellidatum LLC	NYSERDA ADMINISTRATION	07/15/2013		\$895,050	\$24,671	\$696,494
		Competitive	Y	34097	Tech Valley Talent, LLC	Identity and Access	07/24/2013		\$200,000	\$4,240	\$114,718
		Competitive	Y	35293	Terremark Federal Group, LLC	NYSERDA ADMINISTRATION	09/11/2013		\$50,395		\$38,146
		Competitive	Y	37366-1	Arcadis U.S., Inc.	Greenling the Bronx M&V	05/24/2016	\$259,940	\$259,940	\$69,619	\$183,740
		Competitive	Y	38185	Rafferty Enterprises, Inc.	Temp Employee Services	12/13/2013	\$51,123	\$1,325,899	\$133,590	\$1,107,856
		Competitive	Y	38396	Northco Products, Inc.	Konica Minolta Copier	12/19/2013	\$10,000	\$20,000	\$2,328	\$12,259
		Competitive	Y	38790	Pitney Bowes, Inc.	NYSERDA ADMINISTRATION	01/07/2014		\$65,783	\$16,446	\$53,449
		Competitive	Y	39074	Dentons US LLP	Green Bank Outside Legal Ser.	01/21/2014	\$89,546	\$89,546	\$89,546	\$89,546
		Competitive	Y	40300	Tech Valley Talent, LLC	Database Programmer - General	03/17/2014		\$200,000		\$190,229
		Competitive	Y	40488	Tech Valley Talent, LLC	.Net SQL Metrics Database Supp	03/26/2014		\$200,000		\$161,650
		Competitive	Y	41144	Dowd-Witbeck Printing Corp.	Printing Services	04/23/2014	\$8,423	\$15,078	\$5,679	\$12,334
		Competitive	Y	41690	TW Telecom	NYSERDA ADMINISTRATION	05/13/2014		\$51,147		
		Competitive	Y	42112	Xerox Corp	Xerox Maintenance	05/28/2014	\$1,796	\$187,673	\$52,048	\$163,661
		Competitive	Y	44388	NYS Technology Enterprise Corporation	IV&V Services	07/21/2014		\$190,000		\$65,610
		Competitive	Y	44920	Tech Valley Talent, LLC	Server Operations - Supplement	07/31/2014		\$185,250		\$151,194
		Competitive	Y	48120	Terremark Federal Group, LLC	GSA Cloud Services - Renewal	09/18/2014		\$65,928		\$46,004
		Competitive	Y	56630	Oracle America, Inc.	Renewal: Oracle PeopleSoft mai	01/12/2015		\$52,037		\$51,658
		Competitive	Y	57857	inLogic, Inc.	RFID handheld scanners with 2	01/27/2015		\$6,149		\$6,118
		Competitive	Y	58308	Oracle America, Inc.	Primavera Licenses for West Va	02/04/2015		\$6,576	\$296	\$6,576
		Competitive	Y	59143	mindSHIFT Technologies, Inc.	Application Support and Manage	02/19/2015		\$16,000		
		Competitive	Y	61863	Oracle America, Inc.	Oracle Licenses User Productiv	04/03/2015		\$8,707	\$4,354	\$8,707
		Competitive	Y	62858	Marshall & Sterling, Inc.	Property Liability and Other	04/20/2015	\$175,395	\$372,579	\$180,106	\$372,579
		Competitive	Y	64017	Rasky Baerlein Strategic Communications	Communications Services for Re	05/05/2015	\$22,692	\$172,692	\$23,206	\$172,095
		Competitive	Y	66264	Rafferty Enterprises, Inc.	Temp Services	06/09/2015		\$21,515		\$6,494
		Competitive	Y	67174	Unique Comp Inc.	Server Contractor	06/16/2015		\$167,700	\$60,035	\$161,049
		Competitive	Y	72025	mindSHIFT Technologies, Inc.	Website Development	08/31/2015		\$775,000	\$294,138	\$338,672

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PCMT	NYSERDA ADMINISTRATION	Competitive	Y	72126	Terremark Federal Group, LLC	Enterprise eCloud Renewal	09/01/2015		\$65,928	\$35,800	\$65,090		
		Competitive	Y	78358	Rafferty Enterprises, Inc.	Temp Services	10/20/2015	\$15,000	\$39,153	\$18,640	\$38,565		
		Competitive	Y	85025	Tech Valley Talent, LLC	Staff Augmentation	12/18/2015	\$3,175,890	\$3,175,890	\$1,007,128	\$1,007,128		
		Competitive	Y	85026	Computer Aid, Inc.	Staff Augmentation	12/18/2015	\$280,800	\$280,800	\$97,200	\$97,200		
		Competitive	Y	86529	Oracle America, Inc.	Oracle Service and Maintenance	01/11/2016		\$53,598	\$40,199	\$53,208		
		Competitive	Y	91055	Carahsoft Technology Corporation	DocuSign Subscription -1 yr	02/19/2016		\$11,260		\$11,260		
		Competitive	Y	92870	GCOM Software Inc.	Marketing Cloud - Membership	03/10/2016		\$21,714				
		Competitive	Y	96514	Randstad North America, L.P.	Temp Services Contract	04/21/2016	\$1,043,056	\$1,043,056	\$792,529	\$792,529		
		Competitive	Y	96892	Oracle America, Inc.	Oracle License - UPK renewal	04/25/2016	\$8,968	\$8,968	\$6,726	\$6,726		
		Competitive	Y	99705	Systems Management Planning, Inc.	VMware Software desktop Renew	06/09/2016	\$25,676	\$25,676	\$25,676	\$25,676		
		Competitive	Y	100027	SHI, Inc.	Tableau Upgrade	06/22/2016	\$214,331	\$214,331	\$214,331	\$214,331		
		Competitive	Y	101271	Palisade Corporation	@RISK licensing -NYGB	07/20/2016	\$8,948	\$8,948	\$8,948	\$8,948		
		Competitive	Y	101671	ESRI, Incorporated	ESRI Licensing - Renewal	07/28/2016	\$16,500	\$16,500	\$16,500	\$16,500		
		Competitive	Y	102565	Direct Packet Inc.	Tandberg Support - Renewal	08/17/2016	\$5,055	\$5,055	\$5,055	\$5,055		
		Competitive	Y	102570	New York State Forum for IRM	NYS Forum Membership - renewal	08/17/2016	\$5,500	\$5,500	\$5,500	\$5,500		
		Competitive	Y	102626	NYS Office For Technology	Office 365 - 2015/2016	08/24/2016	\$67,766	\$67,766	\$54,950	\$54,950		
		Competitive	Y	102994	Terremark Federal Group, LLC	Enterprise ECloud - Renewal	08/31/2016	\$65,928	\$65,928	\$29,291	\$29,291		
		Competitive	Y	104777	Direct Packet Inc.	Firewall Traversal - Renewal	10/12/2016	\$12,000	\$12,000	\$12,000	\$12,000		
		Competitive	Y	106121	Gartner Inc.	Gartner Renewal 2017-2018	11/03/2016	\$35,321	\$35,321				
		Competitive	Y	107299	CLEAResult Consulting, Inc.	Phone Email & Web Support	11/28/2016	\$438,004	\$438,004	\$24,486	\$24,486		
		Competitive	Y	107796	ESRI, Incorporated	ESRI ArcGIS Upgrade	12/12/2016	\$6,130	\$6,130	\$6,130	\$6,130		
		Competitive	Y	109468	Oracle America, Inc.	Oracle Peoplesoft 2017 - 2018	01/27/2017	\$53,598	\$53,598	\$13,400	\$13,400		
		Competitive	Y	109507	SHI, Inc.	SQL Diagnostic Manager	01/30/2017	\$10,902	\$10,902	\$10,902	\$10,902		
		Competitive	Y	109648	SHI, Inc.	ADA-Compliance Subscription	02/01/2017	\$15,544	\$15,544	\$15,544	\$15,544		
		Competitive	Y	109653	SHI, Inc.	Embarcadero Support 17 - 18	02/01/2017	\$9,966	\$9,966	\$9,966	\$9,966		
		Competitive	Y	111530	Carahsoft Technology Corporation	DocuSign Licensing 17-18	03/15/2017	\$83,231	\$83,231				
		Discretionary	N		N	40419	First Quality Maintenance II, LLC	Office Cleaning Contract	03/24/2014		\$10,285		\$10,006
		Discretionary	N		N	43614	Computer SOS Inc.	Miscellaneous Buffalo/West Val	07/01/2014		\$7,980	\$771	\$5,321

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PCMT	NYSERDA ADMINISTRATION	Discretionary	N	44235	Adirondack Area Network	2015 Video Recording Services	07/17/2014		\$17,000	\$1,400	\$16,425	
		Discretionary	N	44278	Network Experts of New York, Inc.	Miscellaneous Network Services	07/17/2014		\$60,000		\$45,850	
		Discretionary	N	49185	FTI Consulting Technology LLC	ITG-0083: Legal-Ringtail	10/06/2014		\$19,173	\$8,441	\$18,426	
		Discretionary	N	61064	Tech Valley Talent, LLC	Metrics Database Buildings Por	03/20/2015		\$200,000		\$16,059	\$153,329
		Discretionary	N	61230	Arctic Air Mechanical Corp	HVAC NYC	03/24/2015	\$5,600	\$11,200	\$5,600		\$9,800
		Discretionary	N	66657	Tech Valley Talent, LLC	SecureAuth Implementation Serv	06/11/2015		\$5,600			\$5,600
		Discretionary	N	72885	Hobbs & Towne, Inc.	recruitment services	09/11/2015		\$50,000		\$15,000	\$45,000
		Discretionary	N	73664	Tech Valley Talent, LLC	Infornatica, Data Quality Staf	09/24/2015		\$200,000		\$120,450	\$198,000
		Discretionary	N	76515	FM Office Express	Tri-Pod Workstation for NYC	10/05/2015		\$12,005		\$1,359	\$12,005
		Discretionary	N	79916	Rafferty Enterprises, Inc.	NYC Temp employee	11/05/2015		\$37,908		\$23,755	\$37,684
		Discretionary	N	80880	Industrial Exhibit Authority	2016 NYS Fair	11/12/2015	\$790	\$8,675		\$790	\$8,675
		Discretionary	N	80883	Lumsden & McCormick, LLP	2015 Tax Compliance Service	11/13/2015		\$18,800		\$1,700	\$18,800
		Discretionary	N	82808	Veeder Hospitality Management, LLC	NYSERDA ADMINISTRATION	12/03/2015		\$10,000		\$8,626	\$8,626
		Discretionary	N	83189	The Business Council of NYS, Inc.	Renewal of Membership	12/04/2015		\$5,461		\$5,461	\$5,461
		Discretionary	N	86193	Align Pictures, Inc.	REV Video Production	01/07/2016	\$25,000	\$75,000		\$33,000	\$75,000
		Discretionary	N	87617	KPMG LLP	Procurement and Payment Review	01/21/2016		\$50,000		\$27,591	\$43,041
		Discretionary	N	88481	Sologistics, LLC	Salesforce CRM Development	01/27/2016		\$184,525		\$184,525	\$184,525
		Discretionary	N	90971	Tech Valley Talent, LLC	Consultant- Peoplesoft	02/18/2016		\$24,400		\$3,569	\$24,369
		Discretionary	N	91069	Unique Comp Inc.	Data Governance contractor	02/22/2016		\$199,500		\$178,866	\$178,866
		Discretionary	N	91079	mindSHIFT Technologies, Inc.	Mindshift - Offsite Hosting	02/22/2016		\$14,020			\$1,300
		Discretionary	N	91451	Adirondack Area Network	Video Recording Services	02/25/2016	\$17,000	\$17,000		\$5,025	\$5,025
		Discretionary	N	92040	Sive Paget & Riesel PC	Counsel Services	03/01/2016		\$25,000		\$23,810	\$23,810
		Discretionary	N	93999	Bizodo Inc	Seamless Professional Services	03/25/2016	\$25,000	\$25,000			
		Discretionary	N	96887	Network Experts of New York, Inc.	Peoplesoft Development	04/22/2016	\$150,000	\$150,000		\$40,000	\$40,000
		Discretionary	N	98828	NASEO	NASEO Mem. Dues & Meeting Fees	05/20/2016	\$14,399	\$14,399		\$14,399	\$14,399
		Discretionary	N	99003	Zone 5, Inc.	Social Media Services	05/26/2016	\$20,000	\$20,000		\$7,150	\$7,150
		Discretionary	N	99570	Energy Week Holdings, LLC	2016 New York Energy Week	06/08/2016	\$5,000	\$5,000		\$5,000	\$5,000
		Discretionary	N	99711	Systems Management Planning, Inc.	VMware 150 View - Licensing	06/13/2016	\$31,838	\$31,838		\$31,838	\$31,838

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PCMT	NYSERDA ADMINISTRATION	Discretionary	N	100023	Concur Technologies, Inc.	Concur Tech Expense Expert	06/21/2016	\$18,000	\$18,000	\$10,873	\$10,873
		Discretionary	N	101162	Control Solutions Group, Inc.	Control Panel for HVAC in NYC	07/18/2016	\$9,852	\$9,852	\$9,714	\$9,714
		Discretionary	N	101441	Crossland Mechanical Inc.	HVAC - NYC Office Telco/AV Rm	07/25/2016	\$23,668	\$23,668	\$23,668	\$23,668
		Discretionary	N	101576	Shutterstock, Inc.	WebDAM/Shutterstock subscrip	07/27/2016	\$8,177	\$8,177	\$8,177	\$8,177
		Discretionary	N	102012	Taylor Group LTD	2016 NYS Fair - Display	08/05/2016	\$22,081	\$22,081	\$22,081	\$22,081
		Discretionary	N	102965	Executive Information Systems, LLC	purchase of statistical softwa	08/26/2016	\$37,666	\$37,666	\$37,666	\$37,666
		Discretionary	N	102997	Environment & Energy Publishing, LLC	Annual Renewal for Environmenta	09/01/2016	\$10,770	\$10,770	\$10,770	\$10,770
		Discretionary	N	103006	Sentry Air Systems, Inc.	NYSERDA ADMINISTRATION	09/01/2016	\$6,009	\$6,009	\$6,009	\$6,009
		Discretionary	N	103644	Technology Professionals Group Inc.	IT Advisory Services - ECM	09/14/2016	\$26,760	\$26,760		
		Discretionary	N	103727	Real Time Services, Inc.	Hub Wireless Microphone NYC	09/15/2016	\$8,352	\$8,352	\$8,352	\$8,352
		Discretionary	N	103969	Sologistics, LLC	Salesforce CRM Implementation	09/20/2016	\$200,000	\$200,000		
		Discretionary	N	104775	Employee Leasing of Greater NY	Temp Employee Services	10/11/2016	\$55,654	\$55,654	\$25,557	\$25,557
		Discretionary	N	104779	GCOM Software Inc.	Salesforce Government Cloud	10/12/2016	\$28,274	\$28,274	\$28,274	\$28,274
		Discretionary	N	107658	Low-Level Radioactive Waste Forum, Inc.	LLW Forum Annual Dues	12/05/2016	\$5,000	\$5,000	\$5,000	\$5,000
		Discretionary	N	107763	Alliance to Save Energy	Membership Dues 2017	12/07/2016	\$25,000	\$25,000	\$25,000	\$25,000
		Discretionary	N	108231	Ringlead, Inc.	RingLead Software - 3 years	12/19/2016	\$49,000	\$49,000	\$49,000	\$49,000
		Discretionary	N	110073	205 Wolf Holdings, LLC	2017 NYSEDA All-Staff Mtg	02/10/2017	\$5,000	\$5,000		
		Discretionary	N	110261	IIA Quality Sevices, LLC	Internal Audit Assessment	02/14/2017	\$25,000	\$25,000		
		Discretionary	N	110904	NYS Office For Technology	O365 Point to Point Circuit	03/01/2017	\$11,232	\$11,232		
		Discretionary	N	111168	Siteimprove, Inc.	Siteimprove Renewal 17-20	03/07/2017	\$17,916	\$17,916		
		Discretionary	Y	34744	Lumsden & McCormick, LLP	NYSERDA ADMINISTRATION	08/20/2013		\$10,000		
		Discretionary	Y	35070	Network Experts of New York, Inc.	NYSERDA ADMINISTRATION	08/30/2013		\$20,276		\$19,312
		Discretionary	Y	38185	Rafferty Enterprises, Inc.	Temp Employee Services	12/13/2013	\$24,100	\$24,100	\$23,767	\$23,767
		Discretionary	Y	41980	Unique Comp Inc.	NYSERDA ADMINISTRATION	05/22/2014		\$400,000		\$375,935
		Discretionary	Y	42410	Dowd-Witbeck Printing Corp.	Printing Services-MWBE	06/03/2014	\$5,215	\$23,144	\$5,215	\$23,144
		Discretionary	Y	43155	Currier McCabe Associates	12 Month contractor - Help Des	06/19/2014		\$108,000		\$896
		Discretionary	Y	43793	Siteimprove, Inc.	NYSERDA ADMINISTRATION	07/07/2014		\$17,916	\$5,972	\$17,916
		Discretionary	Y	49527	EC Infosystems, Inc.	EDI TransFulfillment Services	10/10/2014		\$200,000	\$61,200	\$197,955

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Category	Initiative	Type	Term > 1 Year	Contract ID	Contractor	Project Description	Date	Committed this period	Committed to Date	Amt Paid this Period	Amt Paid to Date
PCMT	NYSERDA ADMINISTRATION	Discretionary	Y	49897	Capital District Records Management, Inc	OffsiteTape Storage & Courier	10/16/2014		\$5,132	\$1,724	\$5,102
		Discretionary	Y	53352	Tech Valley Talent, LLC	Data Quality - Data Quality An	11/26/2014		\$200,000		\$65,280
		Discretionary	Y	55800	West Group Payment Center	NYSERDA ADMINISTRATION	12/29/2014		\$21,403	\$8,169	\$21,403
		Discretionary	Y	56615	Coletree Security Corporation	NYSERDA ADMINISTRATION	01/08/2015		\$5,000		\$438
		Discretionary	Y	56948	Tech Valley Talent, LLC	Firewall & Information securit	01/14/2015		\$191,100	\$126,420	\$187,508
		Discretionary	Y	57420	Tech Valley Talent, LLC	Project Manager to Support NEI	01/22/2015		\$200,000		\$62,388
		Discretionary	Y	58410	Tech Valley Talent, LLC	QA Analyst / Testing Manager	02/06/2015		\$200,000	\$49,613	\$199,238
		Discretionary	Y	58719	Systems Management Planning, Inc.	Webex Support - Renewal	02/12/2015		\$28,469		\$16,709
		Discretionary	Y	60438	Bizodo Inc	Seamless Doc license service	03/10/2015		\$25,000		\$22,500
		Discretionary	Y	61044	Tech Valley Talent, LLC	Data Warehouse Analyst	03/19/2015		\$200,000		\$30,624
		Discretionary	Y	61065	Tech Valley Talent, LLC	Project Manager for ITG-0058 D	03/20/2015		\$200,000	\$28,928	\$160,125
		Discretionary	Y	62076	LexisNexis	NYSERDA ADMINISTRATION	04/08/2015		\$49,260	\$16,832	\$25,671
		Discretionary	Y	62154	ePlus inc	Bulk Service consulting servic	04/09/2015		\$5,000		
		Discretionary	Y	63798	Network Experts of New York, Inc.	Off-Site Backup Replication	05/01/2015		\$12,000		\$8,000
		Discretionary	Y	66211	Sierra Infosys Inc.	Peoplesoft Support Services	06/04/2015	\$85,000	\$285,000	\$88,468	\$285,000
		Discretionary	Y	66265	IESI NY Corporation	Trash Pick-up for NYC	06/09/2015		\$9,647	\$4,871	\$8,831
		Discretionary	Y	67410	Tech Valley Talent, LLC	Server Admin- # 2	06/18/2015		\$195,000	\$73,225	\$181,375
		Discretionary	Y	68016	Tech Valley Talent, LLC	Buiness Intelligence Dev.	06/29/2015		\$200,000		
		Discretionary	Y	68677	Commercial Investigations LLC	Background Checks	07/09/2015	\$10,000	\$20,000	\$5,360	\$9,035
		Discretionary	Y	69266	Network Experts of New York, Inc.	Contract Project Manager	07/17/2015		\$196,650	\$80,937	\$194,425
		Discretionary	Y	69291	Concur Technologies, Inc.	Concur Expense Reporting Sys.	07/20/2015		\$15,783	\$6,022	\$15,626
		Discretionary	Y	71766	Network Experts of New York, Inc.	Helpdesk Technician	08/26/2015		\$103,950	\$51,355	\$93,974
		Discretionary	Y	72723	Network Experts of New York, Inc.	.Net Developer for Staff Aug -	09/09/2015		\$174,525	\$82,295	\$131,207
		Discretionary	Y	73490	Corporate Resolutions Inc	KYC Services	09/21/2015		\$50,000	\$23,300	\$32,300
		Discretionary	Y	77909	Unique Comp Inc.	Tableau Developer -	10/15/2015		\$199,939	\$138,735	\$189,266
		Discretionary	Y	77910	Tech Valley Talent, LLC	Data Architect	10/15/2015		\$200,000	\$137,813	\$191,875
		Discretionary	Y	78421	Sologistics, LLC	Salesforce Implementation Serv	10/21/2015		\$200,000	\$75,063	\$200,000
		Discretionary	Y	79693	ADP, Inc.	2016 ACA Reporting	10/30/2015		\$7,944	\$6,908	\$7,513

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PCMT	NYSERDA ADMINISTRATION	Discretionary	Y	82806	GCOM Software Inc.	Salesforce Administrator Suppo	12/02/2015		\$199,500	\$129,670	\$158,645	
		Discretionary	Y	87393	Tech Valley Talent, LLC	Tableau BI Developer	01/19/2016		\$199,823	\$176,283	\$176,283	
		Discretionary	Y	92042	Bizodo Inc	SeamlessDocs - Renewal	03/02/2016		\$24,950	\$24,950	\$24,950	
		Discretionary	Y	92213	Systems Management Planning, Inc.	Webex Services - Renewal	03/03/2016		\$25,661	\$13,901	\$13,901	
		Discretionary	Y	92410	Systems Management Planning, Inc.	Vmware Airwatch - Renewal	03/08/2016		\$6,261	\$6,261	\$6,261	
		Discretionary	Y	99724	Systems Management Planning, Inc.	Managed Engine Co term AD 365	06/14/2016		\$7,110	\$7,110	\$7,110	
		Discretionary	Y	101678	Center for Internet Security Inc	Information Securitiy Malicious	08/01/2016		\$7,440	\$7,440	\$7,440	
		Discretionary	Y	101898	EC Infosystems, Inc.	Electronic Data Outsourcing	08/04/2016		\$190,650	\$190,650	\$71,400	\$71,400
		Discretionary	Y	103645	Performance Systems Development	TREAT Site Licenses - Renewal	09/14/2016		\$6,400	\$6,400	\$6,400	\$6,400
		Discretionary	Y	104111	Network Experts of New York, Inc.	Helpdesk Technician	09/26/2016		\$120,000	\$120,000	\$46,500	\$46,500
		Discretionary	Y	104250	Tech Valley Talent, LLC	Information Security Serices	09/26/2016		\$191,100	\$191,100	\$73,451	\$73,451
		Discretionary	Y	107435	The Business Council of NYS, Inc.	Renewal of Membership	11/29/2016		\$5,706	\$5,706		
		Discretionary	Y	107794	OwnBackup Inc.	Salesforce Backup Solution	12/12/2016		\$20,948	\$20,948	\$20,948	\$20,948
		Discretionary	Y	108720	Systems Management Planning, Inc.	NetAppRenewal2240	01/05/2017		\$15,162	\$15,162	\$15,162	\$15,162
		Discretionary	Y	108816	Capital District Records Management, Inc	Media Storage & Destruction	01/09/2017		\$6,768	\$6,768	\$575	\$575
		Discretionary	Y	109078	Systems Management Planning, Inc.	VMWare Airwatch - 2017 - 2018	01/17/2017		\$7,657	\$7,657	\$7,657	\$7,657
		Discretionary	Y	109509	Network Experts of New York, Inc.	Hlve Manager 2017 - 2018	01/30/2017		\$6,500	\$6,500	\$6,500	\$6,500
		Discretionary	Y	110028	Bizodo Inc	SeamlessDocs Licensing 17-18	02/10/2017		\$27,450	\$27,450	\$27,450	\$27,450
		Discretionary	Y	110323	Systems Management Planning, Inc.	Webex Services - Renewal 17-18	02/15/2017		\$25,101	\$25,101	\$13,901	\$13,901
		Discretionary	Y	PO10039	Hutchinson Investigations	NYSERDA ADMINISTRATION	09/27/2010			\$25,000		\$24,490
		Non-Competitive	N	29444	mindSHIFT Technologies, Inc.	NYSERDA ADMINISTRATION	09/25/2012			\$503,486		\$503,486
		Non-Competitive	N	34652	Corgan Associates Architects PC	NYSERDA ADMINISTRATION	08/16/2013			\$370,766		\$370,588
		Non-Competitive	N	37500	Henegan Construction Co., Inc.	Manager &Construction Services	11/20/2013			\$3,770,589	\$18,933	\$3,770,579
		Non-Competitive	N	40374	Tech Valley Talent, LLC	Business Analyst / Project Man	03/19/2014			\$200,000		\$181,400
		Non-Competitive	N	40615	ADP, Inc.	HR Payroll and Timecards serv	03/31/2014		\$15,000	\$255,000	\$81,850	\$245,650
		Non-Competitive	N	42005	Access Systems, Inc.	Enterprise Content Management	05/23/2014			\$133,500	\$69,308	\$115,700
		Non-Competitive	N	46873	Tobi Jo Creative, LLC	NYSERDA Website Redesign	09/04/2014			\$109,885	\$9,563	\$103,107
		Non-Competitive	N	66093	Sperry Energy	Innovation Advisory Services	06/03/2015		\$50,000	\$300,000	\$83,500	\$298,783

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PCMT	NYSERDA ADMINISTRATION	Non-Competitive	N	68802	First Quality Maintenance II, LLC	NYC Office Cleaning	07/10/2015		\$88,842		\$82,549
		Non-Competitive	N	69931	Amphora Consulting	Strategic Program Dev Training	07/28/2015	\$75,000	\$75,000	\$60,000	\$60,000
		Non-Competitive	N	98191	Fried, Frank, Harris, Shriver, Jacobson	Legal Services	05/11/2016	\$100,000	\$100,000	\$74,761	\$74,761
		Non-Competitive	Y	22989	KPMG LLP	Audit services	06/08/2011		\$186,700	\$86,000	\$186,700
		Non-Competitive	Y	41550	Hutchinson Investigations	NYSERDA ADMINISTRATION	05/08/2014		\$10,000		\$7,360
		Non-Competitive	Y	41690	TW Telecom	NYSERDA ADMINISTRATION	05/13/2014		\$455,557		\$226,969
		Non-Competitive	Y	41690A	Level 3 Communications, LLC	NYSERDA ADMINISTRATION	03/02/2016	\$279,735	\$279,735	\$151,524	\$151,524
		Non-Competitive	Y	46084	First Quality Maintenance II, LLC	NYSERDA ADMINISTRATION	08/22/2014	\$129,700	\$214,311	\$94,450	\$173,087
		Non-Competitive	Y	52905	Center for Internet Security Inc	Information Security Malicious	11/20/2014		\$12,610	\$4,450	\$12,568
		Non-Competitive	Y	62785	Siteimprove, Inc.	Siteimprove - Renewal	04/20/2015		\$5,972		
		Non-Competitive	Y	65297	Control Solutions Group, Inc.	NYSERDA ADMINISTRATION	05/26/2015		\$9,500	\$2,375	\$9,500
		Non-Competitive	Y	66211	Sierra Infosys Inc.	Peoplesoft Support Services	06/04/2015	\$13,800	\$13,800	\$12,553	\$12,553
		Non-Competitive	Y	67570	Climate Policy Initiative	Support for Financial Analysis	06/22/2015		\$50,000	\$2,934	\$50,000
		Non-Competitive	Y	86074	Unique Comp Inc.	NEIS Functional Specification	12/31/2015		\$240,000	\$162,624	\$202,312
		Non-Competitive	Y	100409	Sitecore USA, Inc.	Sitecore Licensing - Renewal	06/28/2016	\$25,300	\$25,300	\$25,300	\$25,300
NYSERDA Fixed Asset	Competitive			29983-1	Ally Financial Inc.	Null	12/21/2012		\$36,272		\$36,272
	Competitive	N		26140	Albany Dodge	Null	01/05/2012		\$21,121		\$21,121
	Competitive	N		28043	Verizon Network Integration Corp.	Null	06/12/2012		\$6,274		\$6,274
	Competitive	N		36123-1	FM Office Express	Null	10/28/2013		\$77,728		\$77,728
	Competitive	N		38448	Steelcase, Inc.	NYC Office Furniture	12/20/2013		\$343,080		\$298,280
	Competitive	N		64491	Xerox Corp	Copier Purchase	05/12/2015		\$15,674		\$15,674
	Competitive	N		97272	Systems Management Planning, Inc.	NetApp Flash Storage for VDI	04/29/2016	\$95,359	\$95,359	\$95,359	\$95,359
	Competitive	N		104430	nrastructure	Network Upgrade - Cisco	09/29/2016	\$253,987	\$253,987	\$253,987	\$253,987
	Competitive	N		107793	Carbone Auto Group, LLC	Replacement vehicle for Admini	12/09/2016	\$45,630	\$45,630	\$45,630	\$45,630
	Competitive	N		108822	Business Environments	workstations	01/09/2017	\$19,600	\$19,600	\$19,600	\$19,600
	Competitive	N		110325	nrastructure	Equipment to Support Network	02/15/2017	\$8,280	\$8,280		
	Competitive	N		110813	Netanium Inc	Checkpoint Firewall Upgrade	02/28/2017	\$27,627	\$27,627	\$27,627	\$27,627
Competitive	N		111002	Netanium Inc	Check Point Webair for NEIS	03/03/2017	\$73,524	\$73,524			

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PCMT	NYSERDA Fixed Asset	Competitive	Y	60292	ESRI, Incorporated	ESRI Arc Server - 1 year	03/06/2015		\$32,643		\$32,643
		Competitive	Y	104106	Infrastructure	Tintri Flash Storage - Renewal	09/22/2016	\$7,548	\$7,548	\$7,548	\$7,548
		Discretionary	N	24708	ASKCO Electric Supply Co Inc	Upgrade NYSERDA meters	10/13/2011		\$16,554		\$16,554
		Discretionary	N	27624	Carrow Real Estate Services, LLC	Null	05/01/2012		\$10,962		\$10,962
		Discretionary	N	27625	LCO Buildings LLC	Null	05/01/2012		\$6,853		\$6,853
		Discretionary	N	30648	Tech Home Electric, LLC	Null	12/18/2012		\$5,465		\$5,465
		Discretionary	N	34467	Gard Tec Security Svcs., Inc.	Null	08/13/2013		\$14,220		\$14,220
		Discretionary	N	34468	Gard Tec Security Svcs., Inc.	Null	08/13/2013		\$14,055		\$14,055
		Discretionary	N	36924	Business Environments	Null	11/04/2013		\$10,463		\$10,463
		Discretionary	N	43567	Phire, Inc	Phire - PeopleSoft Renewal - 3	06/30/2014		\$41,715	\$14,310	\$41,715
		Discretionary	N	45875	Network Experts of New York, Inc.	Albany: Redundant Checkpoint H	08/19/2014		\$29,872		\$29,872
		Discretionary	N	101670	Gard Tec Security Svcs., Inc.	Security for West Valley office	07/28/2016	\$9,657	\$9,657	\$9,657	\$9,657
		Non-Competitive	N	57885	Performance Systems Development	TREAT Site License for VMWARE	01/28/2015		\$8,000		\$8,000
		Non-Competitive	Y	78360	Performance Systems Development	Treat Site Licenses - 16	10/20/2015		\$6,400		\$6,400
		Off-Shore Wind Master Plan		Competitive	Y	101085	Brattle Group Inc.	Large Scales Renewables Techni	07/15/2016	\$895,000	\$895,000
Competitive	Y			106224	Darling Advertising Agency Inc.	Marketing Support for NYSERDA	11/03/2016	\$328,000	\$328,000	\$17,278	\$17,278
Discretionary	N			110327	Foley Hoag, LLP	Off Shore Wind Legal Consultin	02/15/2017	\$25,000	\$25,000		
Discretionary	Y			105963	NIRAS A/S	Off-Shore Wind Master Plan	11/01/2016	\$50,000	\$50,000	\$49,965	\$49,965
OTHER PROGRAM AREA		Competitive	N	30726	Village of Tupper Lake	Tupper Lake District Heat	12/21/2012		\$300,000	\$90,000	\$205,000
		Competitive	Y	30186	ICF Resources, LLC	Flex Energy Tech Analysis 2	11/09/2012	\$115,000	\$938,110	\$228,423	\$713,414
		Competitive	Y	30712	The Research Foundation for the State	CNSE Net Zero Project	12/21/2012		\$1,000,000		\$670,000
		Competitive	Y	30713	Research Foundation of SUNY	Regional Economic Development	12/21/2012		\$397,831	\$85,131	\$318,357
		Competitive	Y	30716	International Paper	Regional Economic Development	12/21/2012		\$750,000	\$125,000	\$750,000
		Competitive	Y	30717	Village of Skaneateles	Skaneateles Village Hall NZEB	12/21/2012		\$546,493		\$496,766
		Competitive	Y	30718	Cornell University	CornellNYC Tech Energy Program	12/21/2012		\$870,030	\$13,276	\$870,030
		Competitive	Y	30724	Bioenergy Project Partners	Regional Economic Development	12/21/2012		\$1,000,000		\$568,000
		Competitive	Y	30728	Watertown, City of	Sludge permitting and design	12/21/2012		\$585,646	\$186,792	\$333,855
		Competitive	Y	70333	Cornell University	76West Building a Clean Energy	08/03/2015	\$1,389,673	\$1,973,799	\$1,055,849	\$1,084,977

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PCMT	OTHER PROGRAM AREA	Competitive	Y	99297	Center for Sustainable Energy	ChargeNY ZEV Rebate Imp Contra	06/02/2016	\$554,964	\$554,964	\$164,722	\$164,722
		Competitive	Y	101044	Arcadis of New York, Inc.	Large Scales Renewables Techni	07/15/2016	\$111,527	\$111,527	\$21,664	\$21,664
		Competitive	Y	104260	Bond, Schoeneck & King, PLLC	RFP 3300 Outside Counsel Servi	09/27/2016	\$7,500	\$7,500		
		Competitive	Y	106227	Essense Partners Inc.	Marketing Support for NYSERDA	11/03/2016	\$617,500	\$617,500	\$45,082	\$45,082
		Competitive	Y	106541	BW Research Partnership	New York Clean Energy Jobs Stu	11/09/2016	\$278,956	\$278,956		
		Discretionary	N	70365A	Essense Partners Inc.	76West Marketing Consultant	12/08/2016	\$40,026	\$40,026	\$39,420	\$39,420
		Discretionary	N	93591	Cornell University	2016 Entrepreneurship Cornell	03/23/2016		\$15,000	\$15,000	\$15,000
		Discretionary	N	100693	Essense Partners Inc.	ZEV Marketing Support	07/08/2016	\$197,900	\$197,900	\$195,721	\$195,721
		Discretionary	N	102567	Tech Valley Center of Gravity	2016 COG Clean Tech Hackathon	08/17/2016	\$20,000	\$20,000	\$20,000	\$20,000
		Discretionary	N	104463	Cornell University	2017 EaC Sponsorship	10/03/2016	\$30,000	\$30,000	\$30,000	\$30,000
		Discretionary	N	104527	PRIME Coalition Inc.	PRIME Event Sponsorship	10/05/2016	\$9,000	\$9,000	\$9,000	\$9,000
		Discretionary	N	106678	White Knight Productions	76West photography/videography	11/14/2016	\$26,940	\$26,940	\$26,940	\$26,940
		Discretionary	N	107800	Amerex Brokers LLC	OTHER PROGRAM AREA	12/13/2016	\$49,999	\$49,999		
		Discretionary	N	108070	GDS Associates, Inc.	Res Baseline Excel File Rework	12/14/2016	\$49,279	\$49,279		
		Discretionary	N	109345	Electric Energy Services & Advisors, LLC	OTHER PROGRAM AREA	01/24/2017	\$35,000	\$35,000	\$17,670	\$17,670
		Discretionary	N	109714	Stony Brook Foundation - Advanced Energy	2018 Advanced Energy Conf	02/02/2017	\$100,000	\$100,000	\$100,000	\$100,000
		Discretionary	N	109793	Direct Marketing Productions, Inc.	2017 arpa-e Sponsorship	02/03/2017	\$6,000	\$6,000	\$6,000	\$6,000
		Discretionary	Y	100675	Vatsal Bhatt	Review of EEA Project Program	07/05/2016	\$25,000	\$25,000	\$7,848	\$7,848
		Non-Competitive	Y	96633	Upstate Venture Connect	Startup Community Development	04/21/2016	\$48,000	\$48,000	\$21,000	\$21,000
		Non-Competitive	Y	102192	Brookhaven National Lab	ERL Test Accelerator (C-Beta)	08/11/2016	\$25,000,000	\$25,000,000	\$3,023,672	\$3,023,672
POLICY DEVELOPMENT	Competitive	N	36995	NYS Office of General Services	POLICY DEVELOPMENT	11/08/2013		\$150,000	\$48,957	\$141,830	
	Discretionary	N	97458	Industrial Exhibit Authority	2016 NYS Fair - PSC Exhibit	05/04/2016	\$5,265	\$5,265	\$5,265	\$5,265	
	Discretionary	N	103970	JCB Specialties, Inc.	2016 NYS Fair Give Aways	09/20/2016	\$17,045	\$17,045	\$17,045	\$17,045	
	Discretionary	N	104702	Culver Company, LLC	POLICY DEVELOPMENT	10/07/2016	\$16,549	\$16,549	\$16,549	\$16,549	
	Discretionary	Y	108667	JCB Specialties, Inc.	2016 DPS NYS Fair Mini Fans	01/04/2017	\$17,741	\$17,741	\$17,741	\$17,741	
Prof & Expert Engagement	Competitive		103971	Consortium for Energy Efficiency, Inc.	Industrial Process Efficiency	09/21/2016	\$25,000	\$25,000	\$25,000	\$25,000	
	Discretionary	N	100695	American Council for an Energy Efficient	2016 ACEEE Ally Program Member	07/08/2016	\$10,000	\$10,000	\$10,000	\$10,000	
	Discretionary	N	103036	Clean Energy States Alliance	CESA 2016-2017 Membership Dues	09/08/2016	\$68,500	\$68,500	\$68,500	\$68,500	

NYSERDA ANNUAL CONTRACTS REPORT - Section 1: All Contracts Open During the Period 4/1/2016 to 3/31/2017

Category	Initiative	Type	Term > 1 Year	Contract ID	Contractor	Project Description	Date	Committed this period	Committed to Date	Amt Paid this Period	Amt Paid to Date
PCMT	Prof & Expert Engagement	Discretionary	N	107799	Green Light New York, Inc.	2017 BEEEx Membership	12/13/2016	\$50,000	\$50,000	\$50,000	\$50,000
	REC:CES REC Pgm Non-Rec Exp	Discretionary	N	106525	Kearns & West, Inc.	LSR siting support	11/08/2016	\$50,000	\$50,000		
	REC:CES REC System Dev Costs	Competitive	Y	101124	Sustainable Energy Advantage, LLC	Large Scales Renewables Techni	07/15/2016	\$299,997	\$299,997	\$65,928	\$65,928
	RENEWABLE HEAT NY	Competitive	Y	18599A	Farm, LLC	RENEWABLE HEAT NY	09/05/2012		\$853,626	\$14,278	\$729,742
		Competitive	Y	101132	NESCAUM	Tech Assist, REV Pool	07/15/2016	\$180,000	\$180,000		
		Discretionary	N	109297	New York Geothermal Energy Organization	2017 NY-GEO Conf. Sponsorship	01/23/2017	\$5,000	\$5,000	\$5,000	\$5,000
	RENEWABLE THERMAL	Competitive	N	81695	Rafferty Enterprises, Inc.	Temp Employee Services	11/19/2015		\$13,650		\$2,230
		Discretionary	N	106594	Greentech Media Inc.	Solar Research Service	11/09/2016	\$28,995	\$28,995	\$28,995	\$28,995
		Non-Competitive	N	66654	Energy and Environmental Economics Inc.	Solar Adoption Forecast	06/11/2015		\$49,000		\$47,680
		Non-Competitive	Y	ST2446	Clean Power Research	Power Clerk Database for NYSUN	12/20/2011	\$117,767	\$1,872,103	\$117,767	\$1,721,618
Retrofit NY	Discretionary	N	111167	Jasper Van den Munckhof	RetrofitNY advisement	03/07/2017	\$50,000	\$50,000			
SARATOGA TECHNOLOGY & ENERGY PARK	Competitive	N	39723	NYS Office of General Services	OGS Services	02/25/2014		\$20,449		\$11,331	
	Competitive	N	53104	OGS State Office Building Campus	OGS Services	11/24/2014		\$5,714		\$1,124	
	Competitive	N	53114	OGS State Office Building Campus	SARATOGA TECHNOLOGY & ENERGY PARK	11/24/2014		\$6,650		\$575	
	Competitive	N	58912	NYS Office of General Services	Permitting Services, GE, 107 H	02/17/2015		\$11,500		\$2,615	
	Competitive	N	104265	Harris Beach PLLC	RFP 3300 Outside Counsel Servi	09/27/2016	\$10,000	\$10,000	\$4,872	\$4,872	
	Competitive	Y	20896	Bergmann Associates	STEP Engineering, Design and C	10/19/2010		\$173,350		\$158,437	
	Competitive	Y	107762	Rosenblum Rubin Property Services, LLC	STEP Property Mgmt Services	12/07/2016	\$65,580	\$65,580	\$46,017	\$46,017	
	Competitive	Y	STD11181	Rosenblum Rubin Property Services, LLC	STEP Property Management Servi	06/09/2009	\$229,426	\$2,292,665	\$86,910	\$1,468,749	
	Discretionary	N	28950	NYS Office of General Services	OGS permitting services- 20 TT	08/13/2012		\$45,000		\$40,488	
	Discretionary	N	101037	William Morlok	STEP options paper	07/14/2016	\$25,000	\$25,000	\$24,071	\$24,071	
Non-Competitive	Y	ST10743	Harris Beach PLLC	Outside Counsel	05/12/2011		\$360,000	\$11,365	\$322,290		
SMALL WIND	Discretionary	Y	96890	AWS Truepower	AWS Small Wind Explorer	04/25/2016	\$36,000	\$36,000	\$15,000	\$15,000	
SMART GRID SYSTEMS	Competitive	Y	30188	Navigant Consulting Inc.	Flex Energy Tech Analysis 2	11/09/2012	\$100,000	\$346,496		\$246,496	
	Competitive	Y	30192	Industrial Economics, Incorporated	Flex Energy Tech Analysis 2	11/09/2012	\$138,620	\$1,505,930	\$269,397	\$1,348,598	
	Competitive	Y	30193	Energetics, Incorporated	Flex Energy Tech Analysis 2	11/09/2012	\$168,240	\$168,240	\$132,957	\$132,957	
	Competitive	Y	59850	Cornell University-Office of Sponsored P	Anaerobic Digestion Assistance	03/02/2015		\$750,000	\$66,895	\$66,895	
	Discretionary	N	109426	Robert O Gurman	NY Prize Stage 2 Scope of Wk	01/26/2017	\$22,500	\$22,500	\$22,500	\$22,500	

NYSERDA ANNUAL CONTRACTS REPORT - Section 1: All Contracts Open During the Period 4/1/2016 to 3/31/2017

Category	Initiative	Type	Term > 1 Year	Contract ID	Contractor	Project Description	Date	Committed this period	Committed to Date	Amt Paid this Period	Amt Paid to Date
PCMT	Strategic Energy Manager	Competitive	Y	104542	The Cadmus Group, Inc.	RFQ 3183 The Cadmus Group Inc	10/05/2016	\$425,606	\$425,606	\$40,849	\$40,849
	Subscription/Data Access	Discretionary	N	104462A	CTG:I LLC	One year subscription for 3 us	12/01/2016	\$8,500	\$8,500	\$8,500	\$8,500
		Discretionary	N	106931	Greentech Media Inc.	Grid Edge Research	11/17/2016	\$30,000	\$30,000	\$30,000	\$30,000
		Discretionary	N	109600	CoStar Realty Information, Inc.	Database/subscription services	01/31/2017	\$21,250	\$21,250		
	WEST VALLEY DEVELOPMENT PROGRAM	Competitive	N	28636	The Logue Group	Facilitation Services	07/26/2012	\$67,803	\$410,349	\$31,000	\$167,649
		Competitive	N	104266	Couch White, LLP	RFP 3300 Outside Counsel Servi	09/27/2016	\$5,000	\$5,000	\$3,932	\$3,932
		Competitive	N	PO9602	The Garrick Co., LLC	Probabilistic Evaluation	06/17/2009	\$74,893	\$529,961	\$65,879	\$504,712
		Competitive	Y	19762	Ecology & Environment, Inc.	Environmental Monitoring for t	06/10/2010		\$1,530,131	\$5,441	\$1,530,131
		Competitive	Y	34224	McMahon and Mann Consulting Engineers	Engineering/Surveying Cont	07/30/2013	\$192,500	\$432,500	\$148,203	\$282,121
		Competitive	Y	61280	MJW Technical Services, Inc.	Radiation Protection Support	03/24/2015		\$227,211	\$105,973	\$227,211
		Competitive	Y	68772	The Sanborn Map Company, Inc.	High Resolution LIDAR	07/10/2015		\$292,862	\$120,347	\$292,862
		Competitive	Y	69474	Seven Springs West LLC	Operations and Maintenance Sup	07/22/2015		\$715,000	\$368,223	\$643,606
		Competitive	Y	69939	AECOM Technical Services Inc.	Environmental Monitoring Suppo	07/28/2015		\$554,660	\$483,940	\$500,918
		Competitive	Y	104075	Enercon Services Inc	RFP 3305 Licence Consultation	09/21/2016	\$193,127	\$193,127	\$38,553	\$38,553
		Competitive	Y	104258	Sive Paget & Riesel PC	RFP 3300 Outside Counsel Servi	09/27/2016	\$7,500	\$7,500	\$3,585	\$3,585
		Discretionary	N	31496	Brenda Sayers	Janitorial Services Contract	03/11/2013		\$33,480	\$1,980	\$32,670
		Discretionary	N	98192	Leslie J Jardine	NFS Records Review	05/11/2016	\$15,000	\$15,000	\$14,400	\$14,400
		Discretionary	Y	49943	Kandey Co., Inc.	SDA storm pipe televising	10/16/2014		\$10,000		\$2,600
		Discretionary	Y	91278	Brenda Sayers	W/V Office Cleaning	02/24/2016	\$11,940	\$23,880	\$9,900	\$9,900
		Non-Competitive	N	20948	U.S. Nuclear Regulatory Commission	WEST VALLEY DEVELOPMENT PROGRAM	10/26/2010		\$500,000		\$19,307
		Non-Competitive	N	48779	U.S. Department of Energy/Wv	FFY 2015 WVDP Cost Share	09/29/2014		\$7,416,887		\$4,925,610
		Non-Competitive	Y	9030A	The Krog Corporation	WEST VALLEY DEVELOPMENT PROGRAM	05/11/2011		\$478,420	\$8,438	\$478,420
		Non-Competitive	Y	53151	GZA GeoEnvironmental of New York	Trench 14 Investigation	11/24/2014	\$300,000	\$392,500	\$214,787	\$307,241
		Non-Competitive	Y	61280	MJW Technical Services, Inc.	Radiation Protection Support	03/24/2015	\$1,922,242	\$2,522,745	\$691,612	\$1,292,115
		Non-Competitive	Y	69939	AECOM Technical Services Inc.	Environmental Monitoring Suppo	07/28/2015	\$578,214	\$578,214	\$0	\$0
		Non-Competitive	Y	93559	Peter L. Krog	Ashford Office Complex Lease	03/21/2016	\$458,280	\$458,280	\$84,018	\$84,018
		Non-Competitive	Y	107662	U.S. Nuclear Regulatory Commission	PO Payment of NRC License Fees	12/06/2016	\$250,000	\$250,000	\$62,214	\$62,214
		Non-Competitive	Y	PO9465	Dr. Michael P. Wilson	WEST VALLEY DEVELOPMENT PROGRAM	08/29/2011		\$8,000		\$3,600

NYSERDA ANNUAL CONTRACTS REPORT - Section 1: All Contracts Open During the Period 4/1/2016 to 3/31/2017

Category	Initiative	Type	Term > 1 Year	Contract ID	Contractor	Project Description	Date	Committed this period	Committed to Date	Amt Paid this Period	Amt Paid to Date
PCMT	WEST VALLEY DEVELOPMENT PROGRAM	Non-Competitive	Y	WVDECMOU	NYSDEC	WEST VALLEY DEVELOPMENT PROGRAM	05/30/2014		\$6,739,835	\$287,714	\$6,739,835
	WORKFORCE DEVELOPMENT	Competitive	N	33268	Tech Valley Talent, LLC	Workforce DevelopmentCRISDash	06/14/2013		\$300,000	\$1,416	\$299,998
		Competitive	N	37652A	Social Enterprise and Training Center	Contract reassignment	08/07/2015		\$353,855	\$236,479	\$249,017
		Competitive	N	37977A	Social Enterprise and Training Center	Contract reassignment	10/28/2015		\$221,969	\$115,378	\$119,135
		Competitive	N	63066	Active Solar Development, LLC	PON2033-3	04/22/2015		\$45,480		\$31,408
		Competitive	N	66610	All-State Air Control Sales & Service	PON 2033-3	06/10/2015		\$9,600		\$7,200
		Competitive	N	68476	Aztech Geothermal, LLC	PON 2033 OJT Hire Gross	07/07/2015		\$15,080	\$1,945	\$15,080
		Competitive	Y	24370	Clinton Essex Warren Washington	GJGNY Lab Houses	10/03/2011		\$172,045	\$107,479	\$160,942
		Competitive	Y	34256	NYS Labor Management Cooperation Committ	Workforce Development and Trai	08/01/2013		\$134,608	\$10,681	\$81,058
		Competitive	Y	34257	Rensselaer Polytechnic Institute-LRC	Workforce Development and Trai	08/01/2013		\$220,297		\$188,797
		Competitive	Y	34258	Research Foundation of The City	Workforce Development and Trai	08/01/2013		\$299,533	\$76,223	\$162,646
		Competitive	Y	34259	North American Board of Certified Energy	Workforce Development and Trai	08/01/2013		\$300,000	\$80,500	\$241,500
		Competitive	Y	34260	Solar Energy International	Workforce Development and Trai	08/01/2013		\$313,653	\$48,095	\$272,754
		Competitive	Y	34434	Copenhagen Central School District	Clean Energy Training for High	08/09/2013		\$200,000	\$33,703	\$196,568
		Competitive	Y	34655	Interstate Renewable Energy Council, Inc	Implementation Support for WFD	08/16/2013		\$1,200,000	\$93,994	\$883,834
		Competitive	Y	37650	Association for Energy Affordability, In	WF Training Energy Efficiency	11/25/2013		\$750,000	\$163,970	\$750,000
		Competitive	Y	37651	NYS Labor Management Cooperation Committ	WF Training Energy Efficiency	11/25/2013		\$519,865	\$157,322	\$460,864
		Competitive	Y	37653	CEC Stuyvesant Cove, Inc.	WF Training Energy Efficiency	11/25/2013		\$104,023	\$20,234	\$69,346
		Competitive	Y	37655	Performance Systems Development, Inc.	WF Training Energy Efficiency	11/25/2013		\$278,460		\$100,388
		Competitive	Y	37656	Research Foundation of The City	WF Training Energy Efficiency	11/25/2013		\$599,998	\$109,707	\$595,698
		Competitive	Y	37657	SUNY Ulster	WF Training Energy Efficiency	11/25/2013		\$599,296	\$113,323	\$202,461
		Competitive	Y	37659	US Green Building Council, New York Cha	WF Training Energy Efficiency	11/25/2013		\$448,156	\$167,047	\$325,571
		Competitive	Y	37661	NYS Weatherization Directors Association	WF Training Energy Efficiency	11/25/2013		\$503,375	\$16,176	\$503,375
		Competitive	Y	37662	Karpman Consulting, LLC	WF Training Energy Efficiency	11/25/2013		\$598,565	\$79,609	\$318,399
		Competitive	Y	37664	Rensselaer Polytechnic Institute-LRC	WF Training Energy Efficiency	11/25/2013		\$443,884	\$21,000	\$187,214
		Competitive	Y	37665	Association of Energy Engineers	WF Training Energy Efficiency	11/25/2013		\$557,073	\$56,895	\$512,232
		Competitive	Y	37666	Green Jobs Training Center	WF Training Energy Efficiency	11/25/2013		\$600,000	\$285,180	\$585,249
		Competitive	Y	37975	CEC Stuyvesant Cove, Inc.	PON 2774 Career Pathways	12/09/2013		\$298,757	\$89,207	\$298,237

NYSERDA ANNUAL CONTRACTS REPORT - Section 1: All Contracts Open During the Period 4/1/2016 to 3/31/2017

Category	Initiative	Type	Term > 1 Year	Contract ID	Contractor	Project Description	Date	Committed this period	Committed to Date	Amt Paid this Period	Amt Paid to Date
PCMT	WORKFORCE DEVELOPMENT	Competitive	Y	37976	Green City Force	Career Pathways Training Partn	12/09/2013		\$288,000	\$103,050	\$288,000
		Competitive	Y	37979	Questar III	PON 2774 Career Pathways	12/09/2013		\$130,237	\$9,911	\$75,036
		Competitive	Y	42578	Northeast Parent & Child Society, Inc.	Clean Energy Training for HS	06/06/2014		\$200,000	\$50,129	\$185,333
		Competitive	Y	42579	Erie 1 BOCES	Clean Energy Training for HS	06/06/2014		\$145,144	\$11,400	\$145,144
		Competitive	Y	42580	Hamilton-Fulton-Montgomery BOCES	Clean Energy Training for HS	06/06/2014		\$199,569	\$70,163	\$188,065
		Competitive	Y	42581	BOCES of Rockland	Clean Energy Training for HS	06/06/2014		\$199,893	\$91,700	\$195,935
		Competitive	Y	42687	Jefferson Community College	Energy Technology Certificate	06/10/2014		\$164,971	\$18,317	\$89,239
		Competitive	Y	42689	Research Foundation of CUNY	Workforce Development	06/10/2014		\$185,797	\$61,551	\$165,797
		Discretionary	N	83762	Michael P. Stangl, P.E.	Job Placement for SRV	12/16/2015		\$27,528	\$13,696	\$26,986
		Discretionary	N	85694	Natural Heritage Trust	Curriculum Development	12/23/2015		\$7,500		
		Discretionary	Y	23343	Meeting Industry Experts, Inc.	Meeting Planning Services	06/30/2011		\$37,090		\$36,640
		Non-Competitive	N	54412	John Siegenthaler	RHNY Training	12/10/2014		\$90,000	\$16,694	\$90,000
		Non-Competitive	N	83535	SUNY Canton	Solar Ready Vets Program	12/10/2015		\$299,972	\$218,348	\$218,348
		Non-Competitive	Y	92212	Green City Force	Career pathways training	03/03/2016		\$307,000	\$307,000	\$63,500
Grand Total								\$90,687,566	\$491,211,199	\$69,528,915	\$311,469,347

Addendum to Section 1: Contracts Open 4/1/2016 to 3/31/2017 with Open PO from Old Database not transferred to NEIS

Category	Initiative	Type	Term >	Contract ID	Contractor	Project Description	Date	Committed to	Original PO	Total Committed to
			1 Year					Date	Amount	Date
PCMT	WEST VALLEY DEVELOPMENT PROGRAM	Competitive	N	PO9602	The Garrick Co., LLC	Probabilistic Evaluation	6/17/2009	\$529,961	\$355,333	\$885,294
PCMT	WEST VALLEY DEVELOPMENT PROGRAM	Non-Competitive	Y	PO9465	Dr. Michael P. Wilson	WEST VALLEY DEVELOPMENT PROGRAM	8/29/2011	\$8,000	\$54,700	\$62,700
PCMT	NYSDA ADMINISTRATION	Discretionary	Y	PO10039	Hutchinson Investigations	NYSDA ADMINISTRATION	9/27/2010	\$25,000	\$25,000	\$50,000
PCMT	SARATOGA TECHNOLOGY & ENERGY PARK	Competitive	Y	ST10743	Harris Beach PLLC	Outside Counsel	5/12/2011	\$0	\$250,000	\$250,000
PCMT	EVALUATION	Competitive	Y	ST11015	TecMarket Works	EVALUATION	10/28/2009	\$2,875,000	\$250,000	\$3,125,000
							Grand Total	\$3,437,961	\$935,033	\$4,372,994

Section 1 Summary - Percentages

% Contract Counts Competitively % of \$Committed this period Competitively

99.30%	96.61%
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Annual Report - Section 2: Non-Contract Vendor Payments

Date	Vendor ID	Contractor	Account Description	Business Type	Amt Paid this Period
4/1/2016	0000025207	National Grid	Utilities Oil/Gas	NYSBE	\$101,357
	0000034134	NYSEG	Program Implementation	NYSBE	\$27,567
	0000034218	Long Island Power Authority	Program Implementation	NYSBE	\$360,456
	0000034305	Verizon	Telephone	FSBE	\$5,696
	0000034360	Verizon Wireless	Telephone - Wireless	FSBE	\$87,465
	0000034486	Oil Price Information Service	Publications	FSBE	\$6,951
	0000034530	Time Warner Cable	Data Circuits	NYSBE	\$39,345
	0000034545	Citibank	Miscellaneous Expense	FSBE	\$693,339
	0000034789	Consolidated Edison Company	Program Implementation	NYSBE	\$88,221
	0000034801	Central Hudson Gas and Electric Corporat	Program Implementation	NYSBE	\$21,777
	0000035097	Staples, Inc.	Supplies Paper/Stationery	FSBE	\$44,627
	0000035169	Wisconsin Energy Conservation Corp	Program Implementation	FSBE	\$1,262,019
	0000036401	Parkside Fuel, Inc.	Program Marketing	NYSBE	\$15,656
	0000037133	Hebrew Home for the Aged at Riverdale	Program Implementation	NYSBE	\$56,989
	0000037134	Saratoga County Sewer District	Utilities Water	NYSBE	\$9,960
	0000037155	Niagara Mohawk Power Corporation	Program Implementation	NYSBE	\$48,322
	0000037575	Plaza Deli of Albany, Inc.	Rent (Real Estate)	NYSBE	\$7,237
	0000037771	New York Energy Consumers Council, Inc.	Sponsorships/Exhibit Booth Rnt	NYSBE	\$5,000
	0000038187	American Consumer Shows	Program Marketing	NYSBE	\$5,435
	0000039473	LCO Buildings LLC	Utilities Electric	NYSBE	\$65,373
	0000042913	Orange and Rockland Utilities, Inc.	Program Implementation	NYSBE	\$19,185
	0000051288	Green Audit USA, Inc.	Program Marketing	NYSBE	\$14,987

Annual Report - Section 2: Non-Contract Vendor Payments

Date	Vendor ID	Contractor	Account Description	Business Type	Amt Paid this Period
4/1/2016	0000058316	West Unified Communications Services Inc	Telephone	FSBE	\$33,696
	0000061470	Triple H Contracting, Inc.	Program Marketing	NYSBE	\$7,459
	0000061519	Concord Servicing Corporation	Program Implementation	FSBE	\$1,021,447
	0000066255	Lindenmeyr Munroe	Supplies Paper/Stationery	FSBE	\$8,310
	0000067567	Taylor Group LTD	Program Implementation	NYSBE	\$7,282
	0000070445	Green City Force	Program Marketing	NYSBE	\$10,900
	0000073785	Stewart Title Insurance Company	Program Implementation	NYSBE	\$140,214
	0000074259	Advantage Title Agency, Inc.	Program Implementation	NYSBE	\$653,798
	0000075404	Frontier Abstract and Research Services	Program Implementation	NYSBE	\$226,130
	0000079532	Columbia Circle Owner, LLC	Utilities Oil/Gas	FSBE	\$501,056
	0000082172	LF Distribution Holding Inc.	Utilities Electric	FSBE	\$946,384
	Grand Total				

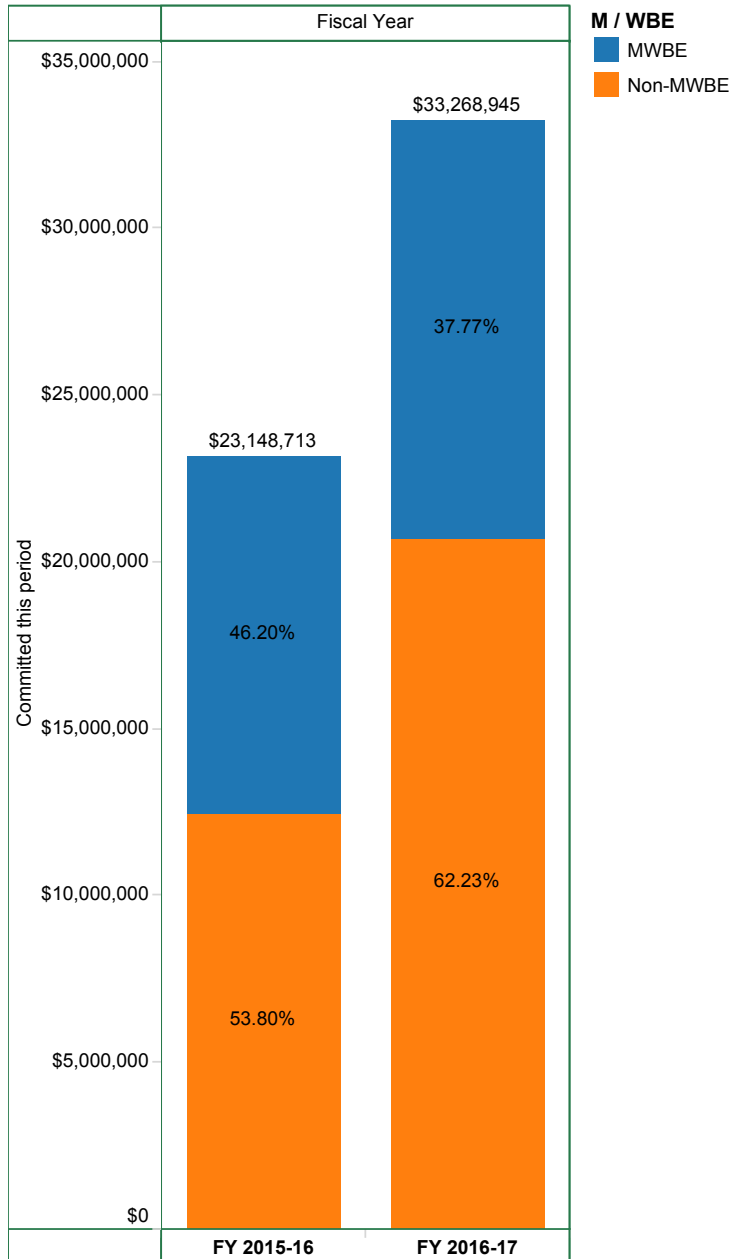
Annual Report - Section 2: Contractor Addresses

Contractor	SupplierAddress	SupplierCity	SupplierState	SupplierZipCode	
Advantage Title Agency, Inc.	201 OLD COUNTRY RD	MELVILLE	NY	11747	
American Consumer Shows	6901 Jericho Tpke Ste 250	SYOSSET	NY	11791	
Central Hudson Gas and Electric Corporat	284 SOUTH AVE	POUGHKEEPSIE	NY	12601	
Citibank	PO Box 183173	Columbus	OH	43218-3173	
Columbia Circle Owner, LLC	P.O. Box 786945	Philadelphia	PA	19178	
Concord Servicing Corporation	4150 N Drinkwater Blvd., Ste #200	Scottsdale	AZ	85251-3643	
Consolidated Edison Company	4 IRVING PL	NEW YORK	NY	10003	
Frontier Abstract and Research Services	69 Cascade Dr., Ste 101	ROCHESTER	NY	14614	
Green Audit USA, Inc.	74 BRIDGE RD	ISLANDIA	NY	11749	
Green City Force	630 Flushing Ave., 8th Fl	BROOKLYN	NY	11206	
Hebrew Home for the Aged at Riverdale	5901 PALISADE AVE	BRONX	NY	10471	
LCO Buildings LLC	726 EXCHANGE ST	BUFFALO	NY	14210	
LF Distribution Holding Inc.	4620 Grandover Parkway	Greensboro	NC	27407	
Lindenmeyr Munroe	Division of Central National Gottesman	FRANKLIN	MA	02038	
Long Island Power Authority	Attn: Frederick S. Peritore	HICKSVILLE	NY	11801	
National Grid	300 ERIE BLVD W	SYRACUSE	NY	13202	
New York Energy Consumers Council, Inc.	11 Pennsylvania Plaza , Floor 22	NEW YORK	NY	10001	
Niagara Mohawk Power Corporation	d/b/a National Grid	SYRACUSE	NY	13202	
NYSEG	18 LINK DR	BINGHAMTON	NY	13904	
Oil Price Information Service	9737 Washington Blvd., Suite 100	Gaithersburg	MD	20878-7364	
Orange and Rockland Utilities, Inc.	PO BOX 1008	SPRING VALLEY	NY	10977	
Parkside Fuel, Inc.	1054 ROUTE 25A	Mount Sinai	NY	11766	

Annual Report - Section 2: Contractor Addresses

Contractor	SupplierAddress	SupplierCity	SupplierState	SupplierZipCode	
Plaza Deli of Albany, Inc.	264 WASHINGTON AVE	ALBANY	NY	12203	
Saratoga County Sewer District	1002 HUDSON RIVER RD	MECHANICVILLE	NY	12118	
Staples, Inc.	c/o Coleman Hines Inc.	Phoenix	AZ	85050	
Stewart Title Insurance Company	47 W MAIN ST	ROCHESTER	NY	14614	
Taylor Group LTD	d/b/a Skyline North Inc.	MACEDON	NY	14502	
Time Warner Cable	120 E 23RD ST	NEW YORK	NY	10010	
Triple H Contracting, Inc.	90 ARLINGTON AVE	SAINT JAMES	NY	11780	
Verizon	PO Box 4648	Trenton	NJ	08650-4648	
Verizon Wireless	PO Box 408	NEWARK	NJ	07101-0489	
West Unified Communications Services Inc	15272 Collections Center Drive	Chicago	IL	60693	
Wisconsin Energy Conservation Corp	431 Charmany Drive	Madison	WI	53719	

**NYSDA CONTRACTS REPORT - Contracts
Executed or Modified
For FY 2015-16 & FY 2016-17
Graph: MWBE Summary**



QUALIFIED CONTRACTS PURSUANT TO EXECUTIVE LAW ARTICLE 15-A : 4/1/2016 to 3/31/2017

INDEX()	Contract ID	Contractor	Project Description	Date	M / WBE	Committed this period	Committed to Date
1	18602A	Butler/Till Media Services, Inc.	Marketing Contract	09/02/2016		\$323,134	\$323,134
2	21727	Xerox Corp	NYSERDA ADMINISTRATION	01/26/2011		\$4,046	\$509,597
3	28636	The Logue Group	Facilitation Services	07/26/2012		\$67,803	\$410,349
4	30186	ICF Resources, LLC	Flex Energy Tech Analysis 2	11/09/2012		\$115,000	\$938,110
5	30583	NYS Office of General Services	Microsoft Software Liscensing	12/10/2012		\$9	\$215,383
6	30994	mindSHIFT Technologies, Inc.	Hosting Cloud Solutions	01/24/2013		\$247,483	\$1,239,929
7	32004	First Columbia Property Services, LLC	Property Management Services	04/16/2013		\$386,277	\$1,045,593
8	34224	McMahon and Mann Consulting Engineers	Engineering/Surveying Cont	07/30/2013		\$192,500	\$432,500
9	36979	Neighborhood Housing Services of Jamaica	Green Jobs Green New York Outr	11/06/2013		\$137,204	\$662,179
10	37334A	CLEAResult Consulting, Inc.	GJGNY TIC	07/28/2015		\$145,000	\$678,554
11	37366-1	Arcadis U.S., Inc.	Greening the Bronx M&V	05/24/2016		\$259,940	\$259,940
12	37368	Energy & Resource Solutions, Inc.	Technical Review and Program S	11/15/2013		\$338,801	\$1,120,648
13	38185	Rafferty Enterprises, Inc.	Temp Employee Services	12/13/2013	X	\$75,223	\$1,349,999
14	39066	Nixon Peabody LLP	Green Bank Outside Legal Serv.	01/21/2014		\$175,269	\$518,883
15	39067	Holland & Knight LLP	Green Bank Outside Legal Serv.	01/21/2014		\$38,145	\$344,688
16	39068	Skadden, Arps, Slate, Meagher & Flom LL	Green Bank Outside Legal Couns	01/21/2014		\$55,850	\$245,850
17	39074	Dentons US LLP	Green Bank Outside Legal Ser.	01/21/2014		\$89,546	\$89,546
18	40615	ADP, Inc.	HR Payroll and Timecards serv	03/31/2014		\$15,000	\$255,000
19	41690A	Level 3 Communications, LLC	NYSERDA ADMINISTRATION	03/02/2016		\$279,735	\$279,735
20	42112	Xerox Corp	Xerox Mainteneace	05/28/2014		\$1,796	\$187,673
21	46963	Navigant Consulting Inc.	Outside Technical and Eng. Srv	09/05/2014		\$105,226	\$105,226
22	53151	GZA GeoEnvironmental of New York	Trench 14 Investigation	11/24/2014		\$300,000	\$392,500
23	61280	MJW Technical Services, Inc.	Radiation Protection Support	03/24/2015		\$1,922,242	\$2,749,956
24	61712	Rafferty Enterprises, Inc.	Temp Servies	04/01/2015	X	\$6,300	\$44,154
25	62858	Marshall & Sterling, Inc.	Property Liability and Other	04/20/2015		\$175,395	\$372,579
26	64015	Found Object LLC	Communications Services for Re	05/05/2015		\$46,000	\$246,000
27	64017	Rasky Baerlein Strategic Communications	Communications Services for Re	05/05/2015		\$22,692	\$172,692
28	66093	Sperry Energy	Innovation Advisory Services	06/03/2015		\$50,000	\$300,000
29	66211	Sierra Infosys Inc.	Peoplesoft Support Services	06/04/2015	X	\$98,800	\$298,800
30	66256	Rafferty Enterprises, Inc.	Temp Services	06/08/2015	X	\$810	\$33,336
31	69939	AECOM Technical Services Inc.	Environmental Monitoring Suppo	07/28/2015		\$578,214	\$1,132,874

QUALIFIED CONTRACTS PURSUANT TO EXECUTIVE LAW ARTICLE 15-A : 4/1/2016 to 3/31/2017

INDEX()	Contract ID	Contractor	Project Description	Date	M / WBE	Committed this period	Committed to Date
32	70365A	Essense Partners Inc.	76West Marketing Consultant	12/08/2016	X	\$40,026	\$40,026
33	71187	GCOM Software Inc.	Salesforce Implementation	08/13/2015	X	\$640,683	\$4,004,601
34	78358	Rafferty Enterprises, Inc.	Temp Services	10/20/2015	X	\$15,000	\$39,153
35	79049	Rafferty Enterprises, Inc.	Temp Services	10/28/2015	X	\$19,350	\$38,304
36	82152	Rafferty Enterprises, Inc.	Temp Employee Services	11/30/2015	X	\$32,000	\$59,000
37	85023	22nd Century Technologies, Inc.	Staff Augmentation	12/18/2015	X	\$48,750	\$48,750
38	85025	Tech Valley Talent, LLC	Staff Augmentation	12/18/2015	X	\$3,175,890	\$3,175,890
39	85026	Computer Aid, Inc.	Staff Augmentation	12/18/2015		\$280,800	\$280,800
40	85027	Unique Comp Inc.	Staff Augmentation	12/18/2015	X	\$1,638,865	\$1,638,865
41	85029	GCOM Software Inc.	Staff Augmentation	12/18/2015	X	\$637,651	\$637,651
42	86193	Align Pictures, Inc.	REV Video Production	01/07/2016	X	\$25,000	\$75,000
43	87424	Verizon Business	Information Security Risk Asse	01/20/2016		\$55,540	\$181,827
44	93559	Peter L. Krog	Ashford Office Complex Lease	03/21/2016		\$458,280	\$458,280
45	93592	James McCrea & Associates, LLC	NYGB Solar Energy RFP consulti	03/23/2016		\$50,000	\$50,000
46	93999	Bizodo Inc	Seamless Professional Services	03/25/2016		\$25,000	\$25,000
47	94004	Stewart Energy Consultants, LLC	NYGB Solar Energy RFP consulti	03/28/2016		\$50,000	\$50,000
48	94360	Anne Compton Savage	Metrics, Reporting & Evaluatio	03/30/2016	X	\$50,000	\$50,000
49	94368	Integration Strategy, Inc.	NYGB Annual Business Plan 2016	03/31/2016		\$50,000	\$50,000
50	96514	Randstad North America, L.P.	Temp Services Contract	04/21/2016	X	\$1,043,056	\$1,043,056
51	96886	Network Experts of New York, Inc.	Peoplesoft Admin.	04/22/2016	X	\$304,375	\$304,375
52	96887	Network Experts of New York, Inc.	Peoplesoft Development	04/22/2016	X	\$150,000	\$150,000
53	97272	Systems Management Planning, Inc.	NetApp Flash Strorage for VDI	04/29/2016	X	\$95,359	\$95,359
54	98191	Fried, Frank, Harris, Shriver, Jacobson	Legal Services	05/11/2016		\$100,000	\$100,000
55	98505	NYS Office of General Services	2015 Microsoft ELA	05/13/2016		\$136,327	\$136,327
56	98512	NYS Office of General Services	2016-2019 Microsoft ELA 3 year	05/16/2016		\$142,080	\$142,080
57	98838	DealCloud Inc.	DealCloud Licensing	05/24/2016		\$212,500	\$212,500
58	98839	SS&C Technologies, Inc.	Fund Administration/Loan Inves	05/24/2016		\$3,000,000	\$3,000,000
59	98840	KPMG LLP	Audit services	05/24/2016		\$533,000	\$533,000
60	99705	Systems Management Planning, Inc.	VMware Software desktop Renew	06/09/2016	X	\$25,676	\$25,676
61	99711	Systems Management Planning, Inc.	VMware 150 View - Licensing	06/13/2016	X	\$31,838	\$31,838
62	100025	nrastructure	Smartnet Hardware Maintenance	06/22/2016		\$77,527	\$77,527

QUALIFIED CONTRACTS PURSUANT TO EXECUTIVE LAW ARTICLE 15-A : 4/1/2016 to 3/31/2017

INDEX()	Contract ID	Contractor	Project Description	Date	M / WBE	Committed this period	Committed to Date
63	100027	SHI, Inc.	Tableau Upgrade	06/22/2016		\$214,331	\$214,331
64	100320	Chadbourne & Parke LLP	Chadbourne & Parke, LLC Legal	06/24/2016		\$25,000	\$25,000
65	100409	Sitecore USA, Inc.	Sitecore Licensing - Renewal	06/28/2016		\$25,300	\$25,300
66	100693	Essense Partners Inc.	ZEV Marketing Support	07/08/2016	X	\$197,900	\$197,900
67	100880	GCOM Software Inc.	Salesforce additional licenses	07/12/2016	X	\$297,049	\$297,049
68	100959	Essense Partners Inc.	Marketing materials for NYGB	07/13/2016	X	\$50,000	\$50,000
69	100963	L&S Energy Services, Inc.	GTB- Evaluation	07/13/2016		\$42,814	\$42,814
70	101037	William Morlok	STEP options paper	07/14/2016		\$25,000	\$25,000
71	101044	Arcadis of New York, Inc.	Large Scales Renewables Techni	07/15/2016		\$111,527	\$111,527
72	101124	Sustainable Energy Advantage, LLC	Large Scales Renewables Techni	07/15/2016		\$299,997	\$299,997
73	101898	EC Infosystems, Inc.	Electronic Data Outsourcing	08/04/2016	X	\$190,650	\$190,650
74	102580	Sharon Sherrard	Fund Admin Implementation	08/17/2016		\$50,000	\$50,000
75	102626	NYS Office For Technology	Office 365 - 2015/2016	08/24/2016		\$67,766	\$67,766
76	102965	Executive Information Systems, LLC	purchase of statistical softwa	08/26/2016		\$37,666	\$37,666
77	102977	Xerox Corp	Xerox Maintenance Agreement	08/30/2016		\$67,200	\$67,200
78	103644	Technology Professionals Group Inc.	IT Advisory Services - ECM	09/14/2016	X	\$26,760	\$26,760
79	103969	Sologistics, LLC	Salesforce CRM Implementation	09/20/2016	X	\$200,000	\$200,000
80	104075	Enercon Services Inc	RFP 3305 Licence Consultation	09/21/2016		\$193,127	\$193,127
81	104094	Bank of New York	GJGNY 2016 Bonds Trustee	09/21/2016		\$62,000	\$62,000
82	104111	Network Experts of New York, Inc.	Helpdesk Technician	09/26/2016	X	\$120,000	\$120,000
83	104250	Tech Valley Talent, LLC	Information Security Sercices	09/26/2016	X	\$191,100	\$191,100
84	104262	Holland & Knight LLP	RFP 3300 Outside Counsel Servi	09/27/2016		\$316,585	\$316,585
85	104272	Randstad North America, L.P.	Temp Services	09/28/2016	X	\$33,224	\$33,224
86	104422	Randstad North America, L.P.	Temp Serivces	09/28/2016	X	\$45,230	\$45,230
87	104431	Randstad North America, L.P.	Temp Services	09/29/2016	X	\$121,374	\$121,374
88	104458	Randstad North America, L.P.	Temp Services	10/03/2016	X	\$35,707	\$35,707
89	104459	Randstad North America, L.P.	Temp Services	10/03/2016	X	\$44,188	\$44,188
90	104775	Employee Leasing of Greater NY	Temp Employee Services	10/11/2016	X	\$55,654	\$55,654
91	105173	Randstad North America, L.P.	Temp Services	10/19/2016	X	\$58,500	\$58,500
92	105174	Randstad North America, L.P.	Temp Services	10/19/2016	X	\$61,000	\$61,000
93	105451	Omnicap Group, LLC	Financial Advisory Services	10/21/2016		\$454,000	\$454,000

QUALIFIED CONTRACTS PURSUANT TO EXECUTIVE LAW ARTICLE 15-A : 4/1/2016 to 3/31/2017

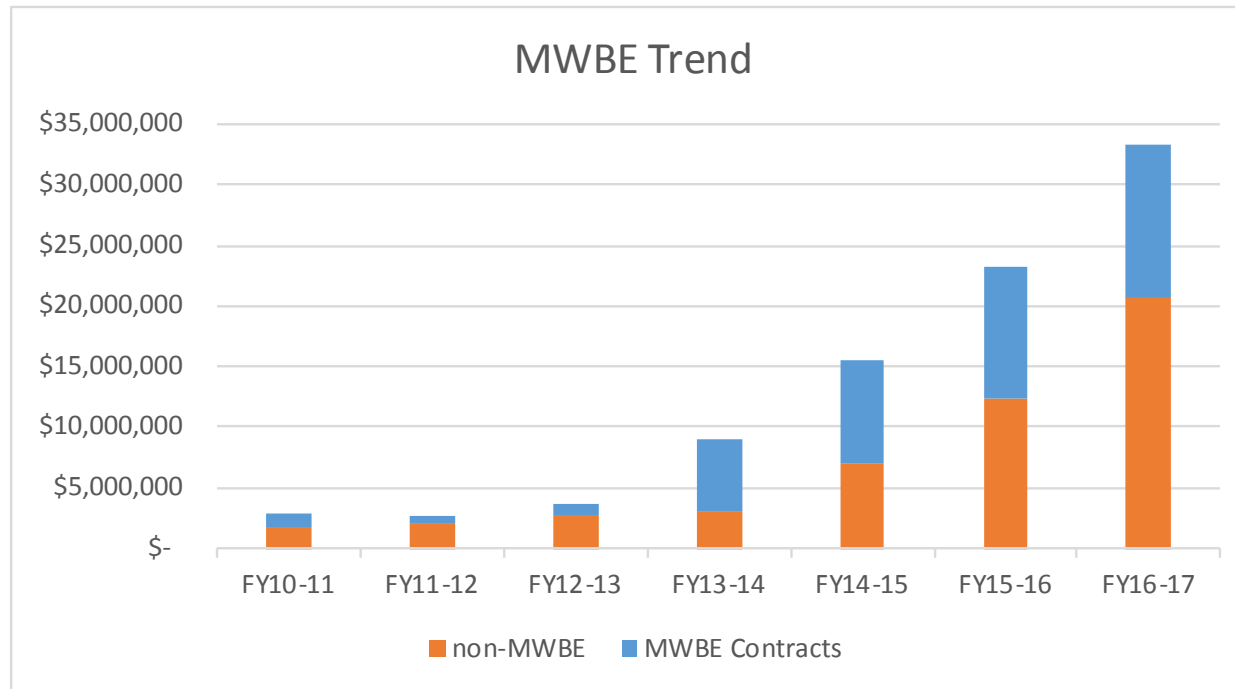
INDEX()	Contract ID	Contractor	Project Description	Date	M / WBE	Committed this period	Committed to Date
94	106121	Gartner Inc.	Gartner Renewal 2017-2018	11/03/2016		\$35,321	\$35,321
95	106224	Darling Advertising Agency Inc.	Marketing Support for NYSERDA	11/03/2016		\$328,000	\$328,000
96	106225	Kelleher Samets Volk	Marketing Support for NYSERDA	11/03/2016		\$4,679,751	\$4,679,751
97	106227	Essense Partners Inc.	Marketing Support for NYSERDA	11/03/2016	X	\$617,500	\$617,500
98	106525	Kearns & West, Inc.	LSR siting support	11/08/2016		\$50,000	\$50,000
99	106594	Greentech Media Inc.	Solar Research Service	11/09/2016		\$28,995	\$28,995
100	106599	William J Dombrowski	Revision of NYGB's RFP	11/10/2016		\$50,000	\$50,000
101	106678	White Knight Productions	76West photography/videography	11/14/2016	X	\$26,940	\$26,940
102	106682	nrastructure	nFrastructure-NE-Architect	11/15/2016		\$38,205	\$38,205
103	107052	Randstad North America, L.P.	Temp Services	11/21/2016	X	\$109,522	\$109,522
104	107053	Randstad North America, L.P.	Temp Services	11/21/2016	X	\$55,263	\$55,263
105	107299	CLEAResult Consulting, Inc.	Phone Email & Web Support	11/28/2016		\$438,004	\$438,004
106	107662	U.S. Nuclear Regulatory Commission	PO Payment of NRC License Fees	12/06/2016		\$250,000	\$250,000
107	107762	Rosenblum Rubin Property Services, LLC	STEP Property Mgmt Services	12/07/2016		\$65,580	\$65,580
108	107763	Alliance to Save Energy	Membership Dues 2017	12/07/2016		\$25,000	\$25,000
109	108086	Randstad North America, L.P.	Temporary Services	12/15/2016	X	\$57,213	\$57,213
110	108231	Ringlead, Inc.	RingLead Software - 3 years	12/19/2016		\$49,000	\$49,000
111	108293	GCOM Software Inc.	Renewal: Salesforce.com	12/20/2016	X	\$1,600,908	\$1,600,908
112	108881	Randstad North America, L.P.	Temporary Services	01/10/2017	X	\$48,750	\$48,750
113	108973	Robert O Gurman	Gurman Contract Consulting	01/17/2017		\$50,000	\$50,000
114	109468	Oracle America, Inc.	Oracle Peoplesoft 2017 - 2018	01/27/2017		\$53,598	\$53,598
115	110025	Randstad North America, L.P.	Temporary Services	02/09/2017	X	\$31,444	\$31,444
116	110026	Randstad North America, L.P.	Temporary Services	02/09/2017	X	\$49,803	\$49,803
117	110028	Bizodo Inc	SeamlessDocs Licensing 17-18	02/10/2017		\$27,450	\$27,450
118	110029	Employee Leasing of Greater NY	Temporary Services	02/10/2017	X	\$59,543	\$59,543
119	110261	IIA Quality Sevices, LLC	Internal Audit Assessment	02/14/2017		\$25,000	\$25,000
120	110323	Systems Management Planning, Inc.	Webex Services - Renewal 17-18	02/15/2017	X	\$25,101	\$25,101
121	110327	Foley Hoag, LLP	Off Shore Wind Legal Consultin	02/15/2017		\$25,000	\$25,000
122	110542	Infosys International Inc	RFP3365 Private Cloud Hosting	02/21/2017		\$861,843	\$861,843
123	111530	Carahsoft Technology Corporation	DocuSign Licensing 17-18	03/15/2017		\$83,231	\$83,231
124	PO9602	The Garrick Co., LLC	Probabilistic Evaluation	06/17/2009		\$74,893	\$529,961

QUALIFIED CONTRACTS PURSUANT TO EXECUTIVE LAW ARTICLE 15-A : 4/1/2016 to 3/31/2017

INDEX()	Contract ID	Contractor	Project Description	Date	M / WBE	Committed this period	Committed to Date
125	STD11181	Rosenblum Rubin Property Services, LLC	STEP Property Management Servi	06/09/2009		\$229,426	\$2,292,665
Grand Total						\$33,268,945	\$50,099,532

MWBE Trend (From Annual Procurement Reports)

	FY10-11	FY11-12	FY12-13	FY13-14	FY14-15	FY15-16	FY16-17
non-MWBE	\$ 1,673,961	\$ 2,036,366	\$ 2,680,097	\$ 3,115,447	\$ 6,948,409	\$ 12,454,008	\$ 20,703,264
MWBE Contracts	\$ 1,229,456	\$ 672,409	\$ 1,051,628	\$ 5,835,748	\$ 8,499,896	\$ 10,694,705	\$ 12,565,681
Total	\$ 2,903,417	\$ 2,708,775	\$ 3,731,725	\$ 8,951,195	\$ 15,448,305	\$ 23,148,713	\$ 33,268,945
MWBE %	42%	25%	28%	65%	55%	46%	38%
MWBE Goal	20%	20%	20%	20%	30%	30%	30%



NYSERDA Annual Contracts Report
April 1, 2016 – March 31, 2017
Summary of Program Activity

ANNUAL CONTRACTS REPORT : Section 1 Summary 4/1/2016 to 3/31/2017

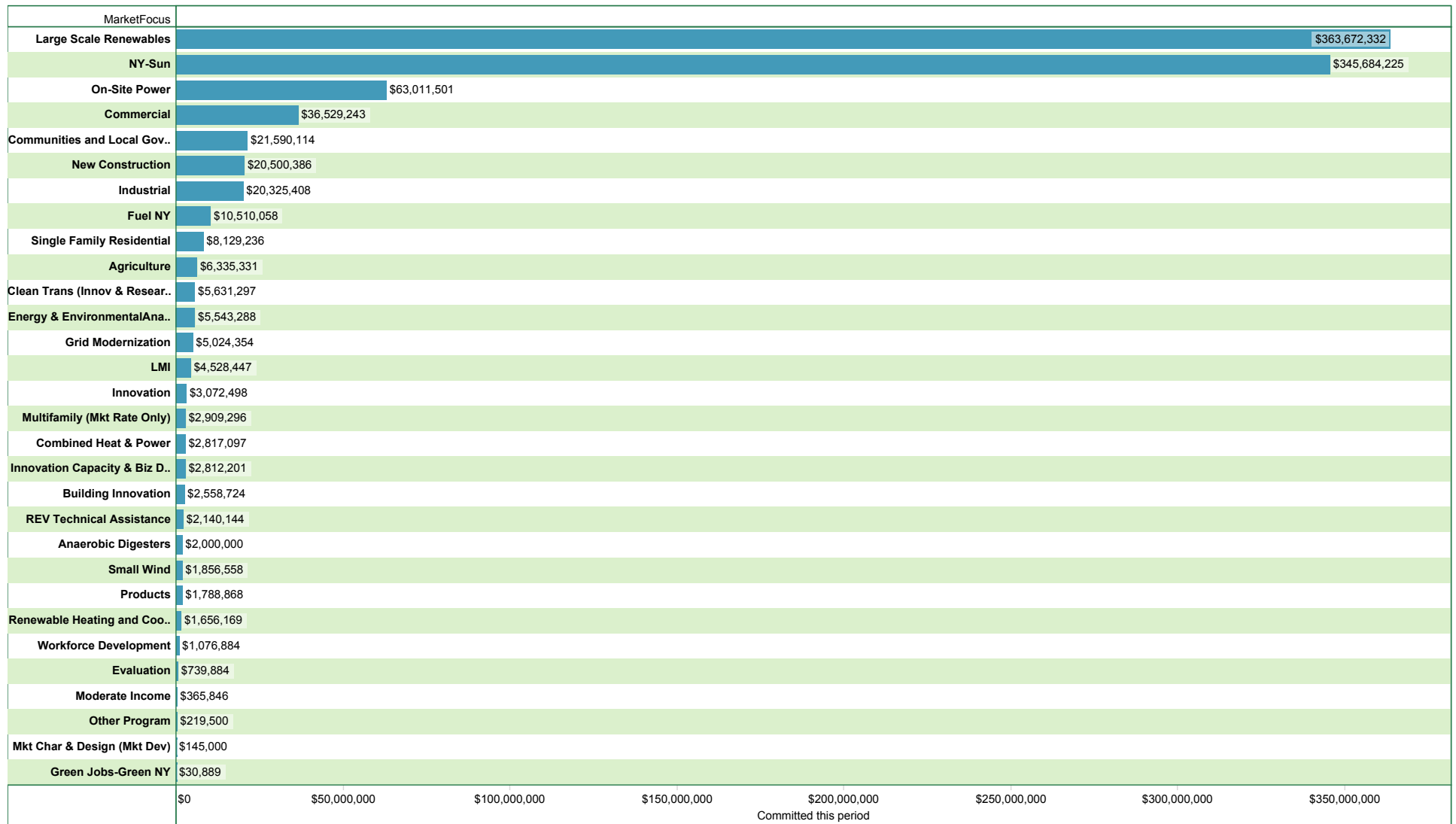
Category	Report Type	Type	Count of Contracts	Committed this period
PGRM	Program	Competitive	2,849	\$934,204,661
		Discretionary	42	\$1,194,862
		Non-Competitive	20	\$32,805,253
	Total		2,911	\$968,204,776
Grand Total			2,911	\$968,204,776

Section 1 Summary - Percentages

% Contract Counts Competitively % of \$Committed this period Competitively

99.30%	96.61%
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NYSERDA CONTRACTS REPORT - Contracts Executed or Modified
4/1/2016 to 3/31/2017
Graph: All Market Focus Committed this Period



NYSERDA CONTRACTS REPORT - Contracts Executed or Modified
4/1/2016 to 3/31/2017

Table: All Market Focus Committed this Period

MarketFocus	Count of Contracts	Committed this period
Agriculture	27	\$6,335,331
Anaerobic Digesters	1	\$2,000,000
Building Innovation	22	\$2,558,724
Clean Trans (Innov & Research)	32	\$5,631,297
Combined Heat & Power	50	\$2,817,097
Commercial	170	\$36,529,243
Communities and Local Governme	25	\$21,590,114
Energy & Environmen talAnalysis	21	\$5,543,288
Evaluation	3	\$739,884
Fuel NY	156	\$10,510,058
Green Jobs-Green NY	2	\$30,889
Grid Modernization	12	\$5,024,354
Industrial	116	\$20,325,408
Innovation	11	\$3,072,498
Innovation Capacity & Biz Dev	18	\$2,812,201
Large Scale Renewables	17	\$363,672,332
LMI	57	\$4,528,447
Mkt Char & Design (Mkt Dev)	6	\$145,000
Moderate Income	1	\$365,846
Multifamily (Mkt Rate Only)	60	\$2,909,296
New Construction	193	\$20,500,386

NYSERDA CONTRACTS REPORT - Contracts Executed or Modified
4/1/2016 to 3/31/2017

Table: All Market Focus Committed this Period

MarketFocus	Count of Contracts	Committed this period
NY-Sun	1,735	\$345,684,225
On-Site Power	104	\$63,011,501
Other Program	4	\$219,500
Products	5	\$1,788,868
Renewable Heating and Cooling	85	\$1,656,169
REV Technical Assistance	1	\$2,140,144
Single Family Residential	35	\$8,129,236
Small Wind	43	\$1,856,558
Workforce Development	3	\$1,076,884
Grand Total	3,015	\$943,204,776

NYSERDA CONTRACTS REPORT - Contracts Executed or Modified
4/1/2016 to 3/31/2017
Table: By REDC Region and County

REDC Region	County	Count of Contracts	Committed this period
Capital Region	ALBANY	69	\$12,198,343
	COLUMBIA	29	\$3,470,965
	GREENE	26	\$256,976
	RENSSELAER	63	\$7,584,995
	SARATOGA	55	\$8,232,413
	SCHENECTADY	66	\$6,587,595
	WARREN	19	\$3,164,682
	WASHINGTON	52	\$9,544,804
	Total	379	\$51,040,772
Central New York	CAYUGA	26	\$4,564,700
	CORTLAND	19	\$6,613,615
	MADISON	22	\$1,472,144
	ONONDAGA	83	\$18,273,510
	OSWEGO	21	\$1,309,839
		Total	171
Finger Lakes	GENESEE	27	\$5,901,382
	LIVINGSTON	13	\$1,710,518
	MONROE	87	\$15,334,708
	ONTARIO	46	\$13,444,799
	ORLEANS	11	\$427,494
	SENECA	18	\$2,783,024

NYSERDA CONTRACTS REPORT - Contracts Executed or Modified
4/1/2016 to 3/31/2017
Table: By REDC Region and County

REDC Region	County	Count of Contracts	Committed this period
Finger Lakes	WAYNE	38	\$4,013,845
	WYOMING	16	\$4,419,693
	YATES	13	\$1,062,279
	Total	269	\$49,097,741
Long Island	NASSAU	64	\$3,107,463
	SUFFOLK	108	\$5,508,204
	Total	172	\$8,615,667
Mid-Hudson	DUTCHESS	98	\$8,423,087
	ORANGE	148	\$27,604,538
	PUTNAM	10	\$1,687,014
	ROCKLAND	51	\$3,376,181
	SULLIVAN	57	\$41,666,610
	ULSTER	91	\$15,445,802
	WESTCHESTER	182	\$16,211,528
	Total	637	\$114,414,760
Mohawk Valley	CHENANGO	11	\$3,565,396
	FULTON	20	\$5,525,742
	HERKIMER	20	\$2,252,684
	MONTGOMERY	35	\$8,823,002
	ONEIDA	49	\$5,969,753
	OTSEGO	15	\$2,270,012

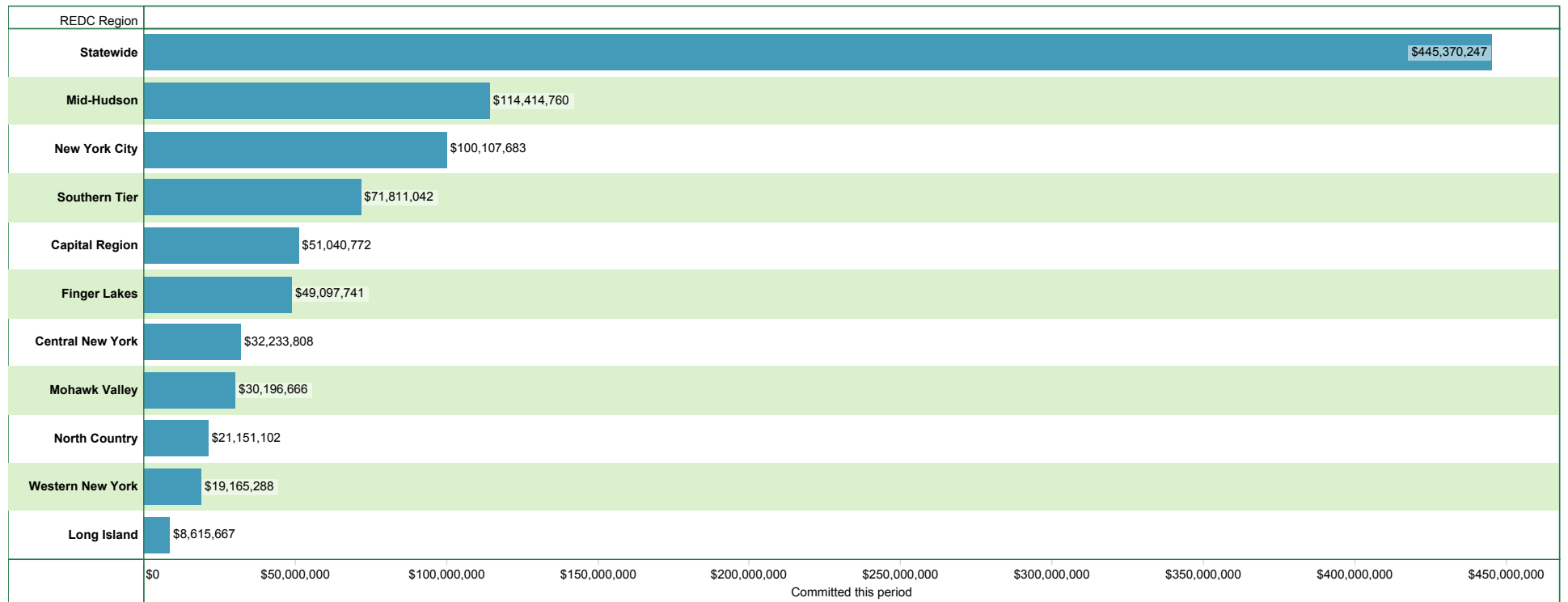
NYSERDA CONTRACTS REPORT - Contracts Executed or Modified
4/1/2016 to 3/31/2017
Table: By REDC Region and County

REDC Region	County	Count of Contracts	Committed this period
Mohawk Valley	SCHOHARIE	15	\$1,790,077
	Total	165	\$30,196,666
New York City	BRONX	81	\$6,775,273
	KINGS	153	\$19,837,326
	NEW YORK	194	\$48,886,922
	QUEENS	184	\$14,990,700
	RICHMOND	178	\$9,617,462
	Total	790	\$100,107,683
North Country	CLINTON	21	\$9,735,406
	ESSEX	16	\$308,852
	FRANKLIN	10	\$145,043
	HAMILTON	2	\$12,096
	JEFFERSON	26	\$4,328,342
	LEWIS	14	\$1,528,366
	SAINT LAWRENCE	32	\$5,092,997
	Total	121	\$21,151,102
Southern Tier	BROOME	26	\$3,457,307
	CHEMUNG	22	\$11,986,707
	DELAWARE	16	\$4,974,184
	SCHUYLER	5	\$2,790,281
	STEUBEN	22	\$4,979,791

NYSERDA CONTRACTS REPORT - Contracts Executed or Modified
4/1/2016 to 3/31/2017
Table: By REDC Region and County

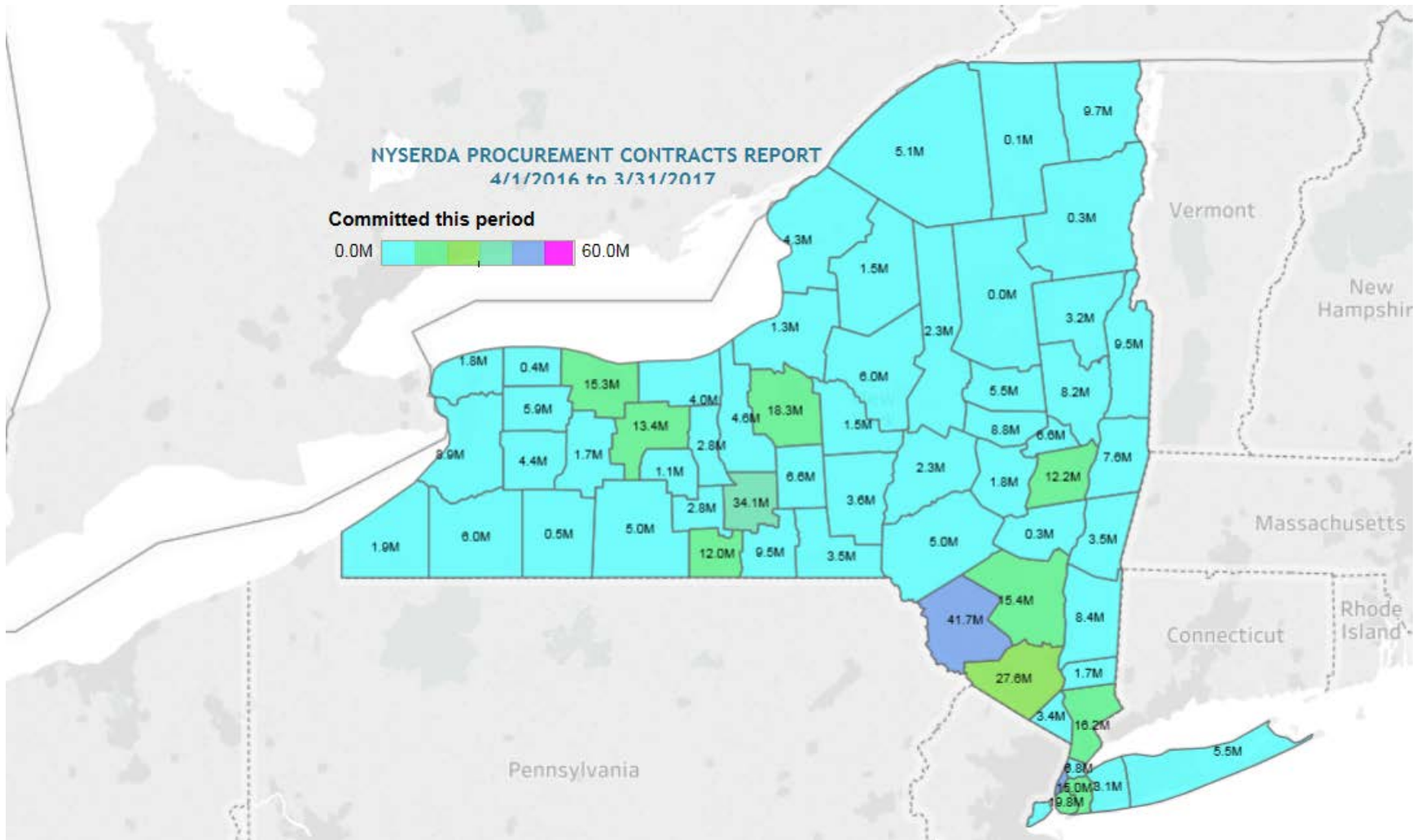
REDC Region	County	Count of Contracts	Committed this period
Southern Tier	TIOGA	21	\$9,545,575
	TOMPKINS	75	\$34,077,196
	Total	187	\$71,811,042
Statewide	STATEWIDE	150	\$445,370,247
	Total	150	\$445,370,247
Western New York	ALLEGANY	6	\$510,884
	CATTARAUGUS	17	\$6,044,005
	CHAUTAUQUA	33	\$1,916,702
	ERIE	102	\$8,854,252
	NIAGARA	47	\$1,839,445
	Total	205	\$19,165,288
Grand Total		3,246	\$943,204,776

NYSDERDA CONTRACTS REPORT - Contracts Executed or Modified
4/1/2016 to 3/31/2017
Graph: By REDC Region



NYSDERDA CONTRACTS REPORT - Contracts Executed or Modified
4/1/2016 to 3/31/2017
Table: By Electric Utility

Electric Utility	Count of Contracts	Committed this period
Central Hudson Gas and Electric	228	\$24,886,301
Consolidated Edison	903	\$115,398,755
Municipal Utilities	11	\$309,789
National Grid	795	\$134,441,985
NYS Electric and Gas	466	\$162,775,776
Orange and Rockland Utilities	177	\$27,139,238
PSEG Long Island	172	\$8,462,702
Rochester Gas and Electric	130	\$24,419,983
Statewide	150	\$445,370,247
Grand Total	3,032	\$943,204,776



NEW YORK STATE
ENERGY RESEARCH AND DEVELOPMENT AUTHORITY

PROCUREMENT AND PROGRAM CONTRACT GUIDELINES, OPERATIVE POLICY
AND INSTRUCTIONS

September 2016

Article I. Purpose and Applicability

1.0 These Procurement and Program Contract Guidelines ("Guidelines"), adopted pursuant to Public Authorities Law Sections 1854, 1855, and 2879, set forth the operative policies of the Authority and instructions to its officers and employees regarding the use, awarding, monitoring, and reporting of Procurement and Program Contracts.

1.1 These Guidelines apply to any Procurement or Program Contract entered into after they become effective pursuant to the provisions of Section 1853 of the Public Authorities Law.

Article II. Definitions

2.0 As used in these Guidelines, "Procurement Contract" means a written agreement for the Authority's acquisition of goods or services, in the actual or estimated amount of \$5,000 or more.

2.1 As used in these Guidelines, "Program Contract" means a contract in the actual or estimated amount of \$5,000 or more that is not a Procurement Contract. Program Contracts may include but are not limited to grants, investments, awards, incentives, memberships and other arrangements by which the Authority provides financial assistance to fund a third party's performance of work in furtherance of the mission of the Authority. Program Contracts shall also include: memberships in industry groups, professional societies and similar cooperative associations, and any cooperative projects conducted or sponsored by such organizations; and direct purchase advertising with radio, television or print media regarding program activities. Loans, guarantees, letters of credit and other contractual arrangements executed by Green Bank are not Program Contracts for purposes of these Guidelines; the consideration and approval of such transactions are governed by the relevant provisions of the Authority's Internal Control Manual and by Green Bank's internal rules and guidelines. Contracts for interests in real property are governed by separate Board approved Guidelines for Real Property.

2.2 As used in these Guidelines, "Other Administrative Contracts" mean Procurement Contracts to provide services to support the Authority's administrative functions for a fee, commission, or other compensation by a person or organization that is not performing that work as an officer or employee of the Authority, another public corporation, or a state agency. Other Administrative Contracts include, but are not limited to, equipment maintenance contracts, leases, insurance, telecommunications, or other similar services, but do not include Personal Services Contracts.

2.3 As used in these Guidelines, "Contractor" means a person or organization that enters into a Procurement Contract with the Authority.

2.4 As used in these Guidelines, "Minority Business Enterprise" means any business enterprise certified by the Division of Minority and Women-Owned Business Development as a Minority Business Enterprise.

2.5 As used in these Guidelines, "Women-Owned Business Enterprise" means a business enterprise certified by the Division of Minority and Women-Owned Business Development as a Women-Owned Business Enterprise.

2.6 As used in these Guidelines, "New York State Business Enterprise" means a business enterprise, including a sole proprietorship, partnership, or corporation, which offers for sale or lease or other form of exchange goods which are sought by the Authority and which are substantially manufactured, produced, or assembled in New York State or services which are sought by the Authority and which are substantially performed in New York State.

2.7 As used in these Guidelines, "New York State Small Business Enterprise" means a company that is a resident to New York State, independently owned and operated, with 100 or fewer employees, and not dominant in its field. See New York State Finance Law.

2.8 As used in these Guidelines, "Service-Disabled Veteran-Owned Business Enterprise (SDVOB)" means any business that is certified by the Office of General Services Division of Service-Disabled Veterans' Business Development as a certified service-disabled veteran-owned business enterprise.

2.9 As used in these Guidelines, a "New York State Resident" means a natural person who maintains a fixed, permanent, and principal home within New York State and to which such person, whenever temporarily located, always intends to return.

2.10 As used in these Guidelines, "Competitive Selection Method" shall include:

- i. solicitations, including program opportunity notices, requests for proposals, requests for information, requests for quotations and requests for qualifications;
- ii. subscription program offers;
- iii. for administrative purchases, if the issuance of a solicitation is reasonably expected to result in no more than nominal savings, obtaining at a minimum three (3) quotations from different providers or firms;
- iv. Procurement or Program Contracts made pursuant to centralized contracts let by other public entities pursuant to a competitive process, including those contracts of the New York State Office of General Services;
- v. procurement of commodities from a Contractor where the price to be charged by the Contractor is less than that which would be charged for the purchase substantially similar in function, form or utility made pursuant to a centralized contract let by the New York

- State Office of General Services or when other contract terms such as delivery or warranty terms are more economically beneficial; or
- vi. any other competitive method of selection that is consistent with these guidelines.

Article III. Requirements Regarding Selection of Contractors

3.0 Unless otherwise directed by law or order in the form of an authorization and direction to use funds in a certain manner¹, the Authority shall use its best efforts to secure offers from Contractors by using a Competitive Selection Method and to select from such offerers the Contractor offering the most favorable terms, weighing expected ability to perform against projected costs. To this end, the Authority shall:

- (a) solicit offers in writing from several persons or organizations known, believed, or reputed to be qualified in the area of supplying the goods, personal services, Authority program work, or other administrative services to be provided or performed, except that for administrative purchases authorized by Section 2.10 (iii), such quotations may be secured by telephone solicitations where time constraints do not permit securing a written bid and for procurement of catalog and other items generally purchased in the ordinary course of business or which do not require a detailed bid or description of materials or specifications.
- (b) evaluate those offers received on the basis of such information as the Authority has received on, as may be relevant, each offerer's technical or professional qualifications, financial stability, past performance for the Authority, staff, equipment, and facilities availability, experience, reputation, and other factors bearing on expected capability and quality of performance, possible conflicts of interest, and contract price or fee structure; and
- (c) document the processes by which a Contractor is selected, by making a record summarizing the nature and scope of the goods, personal services, Authority program work, or other administrative services sought, the name of each person or organization submitting, or requested to submit, a bid or proposal, the price or fee bid, and the basis for selection of the Contractor.

3.1 In any instance, the members of the Authority may, by resolution, waive the use of the procedure for selecting Contractors outlined in Section 3.0 if they determine such waiver to be in the best interest of the Authority.

3.2 The members of the Authority, upon adoption of these Guidelines, hereby waive use of the procedures for selecting Contractors outlined in section 3.0 in those instances when:

¹ For avoidance of doubt, this provision is included to acknowledge that the Authority's contracting guidelines do not apply in instances where the Authority is directed by law or order to use funds in a certain manner.

- a) the goods, personal services, Authority program work, or other administrative services involved are expected to cost \$50,000 or less;
- b) the goods, personal services, or other administrative services involved are expected to cost \$200,000 or less and are procured from a Minority Business Enterprise or Women-Owned Business Enterprise; a New York State Small Business Enterprise; or a Certified Service-Disabled Veteran-Owned Business Enterprise.
- c) for any Authority program work, the contract is based upon an unsolicited proposal, submitted at the sole initiative of the offerer, not duplicating work then being performed or in the project planning request stage, and involving unique, innovative, or unusual meritorious methods or ideas;
- d) an Authority Officer determines that:
 - i. the interest of the Authority for timely obtainment of the goods, personal services, Authority program work, or other administrative services involved precludes selection of a Contractor pursuant to such procedure; or,
 - ii. even though two or more Contractors could supply the required goods, personal services, Authority program work, or other administrative service, one particular Contractor has unique or exceptionally scarce qualifications or experience, specialized equipment, or facilities not readily available from other sources, or patents, copyrights, or proprietary data; or,
 - iii. there is only one source for a required good, personal service, Authority program work, or other administrative service; or,
 - iv. the contract is for goods, personal services or other administrative services and is based upon a contract awarded by the United States government, or any state or any political subdivision thereof, in accordance with the requirements of New York State Finance Law and the criteria established by the New York State Office of General Services (aka piggybacking); or,
 - v. the contract is for a membership in an industry group, professional society, or similar cooperative association the work of which has been determined by an Officer of the authority to be aligned with the strategy of the Authority and membership in which will benefit the Authority's mission; or
 - vi. the contract is for a sponsorship or procurement of space or services in relation to an industry or other mission-related conference, symposium or other similar event, the topic of which has been determined by an Officer of the Authority to be aligned with the strategy of the Authority and participation will benefit the Authority's mission.

provided, that in those instances the Authority shall nonetheless make a record summarizing the nature and scope of the goods, personal services, Authority program work, or other administrative service involved, the name of the Contractor, the contract price or fee, and the basis for waiver and selection of the Contractor.

3.3 Board Approval of Procurement and Program Contracts

- (a) Approval of the members of the Authority, either by prior action, when time permits, or by ratification at the next meeting of the Authority shall be required for any:
- i. Procurement Contract which provides for a period of performance by the Contractor in excess of one year;
 - ii. Program Contract that is the result of a competitive process and which provides an estimated or actual amount of \$3 Million or more; and,
 - iii. Program Contract that is the result of a noncompetitive process and which provides an estimated or actual amount greater than \$1 Million.

3.4 Independent auditors for the Authority shall be retained only with the prior approval of the members of the Authority.

3.5 The Authority may use its Competitive Selection Methods to select multiple Contractors to provide goods, personal services, Authority program work, and other administrative services. Individual task work orders may be awarded to these Contractors on an as-needed basis.

Article IV. Compliance with State Finance Law Sections 139-j and 139-k in the Selection of Contractors; Contractor Responsibilities and Types of Contract Provisions

4.0 The Authority shall comply with the requirements of State Finance Law Sections 139-j and 139-k in its selection of Contractors. Solicitations shall identify NYSERDA's Designated Contacts, require bidders to disclose any prior determination of non-responsibility, and to provide the other information required by State Finance Law Sections 139-j and 139-k.

The responsibilities of a Contractor, including continuing responsibilities under State Finance Law Sections 139-j and 139-k, shall be detailed in the contract. Contract provisions shall address the nature and scope of the goods, personal services, or Authority program work to be provided; the standard for performance, if practical; the duration of the work; any relevant time requirements or deadlines; and the amount of compensation to be paid or the price, rates, or fees which will be used to determine such compensation. Personal Services Contracts and Program Contracts shall also include provisions on monitoring of the work to be performed; provisions governing the Contractor's use of Authority supplies, facilities, or personnel, if permitted; any provisions required by applicable law; and any other provisions the Authority deems necessary or desirable.

Article V. Minority and Women-Owned Business Enterprises

5.0 It is the policy of the Authority to foster and promote participation of Minority Business Enterprises and Women-Owned Business Enterprises in its procurements and the development of such enterprises and to facilitate a fair share of the awarding of Procurement Contracts to such enterprises.

The MWBE rules and regulations apply to any procurement that conforms to the definition of State Contract as described in the rules and regulations, and as specifically applied to NYSERDA in Article 15-A of New York State Executive Law. State Contract is defined as: a written agreement or purchase order instrument, providing for a total expenditure in excess of \$25,000, whereby a contracting agency is committed to expend or does expend funds in return for labor, services including but not limited to legal, financial and other professional services, commodities, supplies, equipment, materials, technology or any combination of the foregoing, to be performed for, or rendered or furnished to the contracting agency; a written agreement in excess of \$100,000 whereby a contracting agency is committed to expend or does expend funds for the acquisition, construction, demolition, replacement, major repair or renovation of real property and improvements thereon; and, a written agreement in excess of \$100,000 whereby the owner of a State assisted housing project is committed to expend or does expend funds for the acquisition, construction, demolition, replacement, major repair or renovation of real property and improvements thereon for such project. Article 15-A explicitly applies to NYSERDA only to the extent of State Contracts entered into for its own account or for the benefit of another qualifying state agency.

The Authority endeavors to promote and assist: (i) participation by certified Minority or Women-Owned Business Enterprises in applicable Authority procurement opportunities and facilitation of the award of qualified Procurement Contracts to such enterprises; (ii) the utilization of certified Minority and Women-Owned Business Enterprises as subcontractors and suppliers by entities having qualified Procurement Contracts with the Authority; and (iii) the utilization of partnerships, joint ventures or other similar arrangements between certified Minority and Women-Owned Business Enterprises and other entities having qualified Procurement Contracts with the Authority.

The Authority hereby designates the Division of Minority and Women-Owned Business Development to certify and decertify Minority Business Enterprises and Women-Owned Business Enterprises through a single process that meets applicable state and federal requirements.

On an annual basis, the Authority shall establish appropriate statewide goals for participation by Minority or Women-Owned Business Enterprises in qualified Procurement Contracts awarded by the Authority, and for the utilization of Minority and Women-Owned Business Enterprises as subcontractors and suppliers by entities having qualified procurement contracts with the Authority pursuant to § 313(1-b) of the Executive Law. In accordance therewith, the Authority shall submit a Master Goal Plan, or Master Goal Plan update, for acceptance by the Division of Minority and Women's Business Development.

The Authority shall conduct procurements in a manner that will enable it to achieve the maximum feasible portion of the goals it establishes and that will eliminate barriers to participation by

Minority and Women-Owned Business Enterprises. This includes, but is not limited to:

- (a) The Authority shall maintain measures and procedures, as detailed in the Master Goal Plan, to ensure that certified businesses shall be given the opportunity for maximum feasible participation in the performance of appropriate state contracts and to assist in the Authority's identification of those state contracts for which certified businesses may best bid to actively and affirmatively promote and assist their participation.
- (b) The Authority will consult with the Division of Minority and Women's Business Development for assistance in identifying Minority Business Enterprises or Women-Owned Business Enterprises, and refer to any known list maintained by any other State department or agency that identifies such enterprises by area of expertise.
- (c) With the assistance of the Director of Contract Management, the Authority shall maintain its own list of such enterprises, including professional firms that have expressed an interest in doing business with the Authority, and shall ensure that the list is updated regularly.
- (d) The Authority shall provide notice of procurement opportunities to professional and other organizations that serve Minority and Women-Owned Business Enterprises providing the types of services the Authority procures, and solicit or request offers from Minority and Women-Owned Businesses known to have experience in the type of goods, personal services, and other administrative services involved.
- (e) Each solicitation document for a qualified solicitation shall set forth the expected degree of Minority and Women-Owned Business Enterprise participation, and the Authority shall provide to each prospective contractor a current list of certified Minority and Women-Owned Business Enterprises. The expected degree of Minority and Women-Owned Business Enterprise participation shall be based, in part, on (i) the potential subcontract opportunities available in the prime procurement contract; and (ii) the availability of certified Minority and Women-Owned Business Enterprises to respond competitively to the potential subcontract opportunities.
- (f) Written solicitations or requests for bids or proposals for Procurement Contracts will include a statement of the Authority's affirmative action policy.
- (g) Allow bidders to count the Minority and Women-Owned Business Enterprise portion of a joint venture towards meeting its minority business enterprise goal.
- (h) For each qualified contract, the Authority shall: (i) consider, where practicable, the severability of construction projects and other bundled contracts; (ii) evaluate the appropriateness of the goal established in the Master Goal Plan; (iii) consider compliance with the requirements of any federal law concerning opportunities for Minority and Women-Owned Business Enterprises which effectuates the purpose of the Authority's policy; and (iv) consult the most recent disparity study pursuant to Article 15-A of the Executive Law.

The Authority may waive obligations of a contractor relating to Minority and Women-Owned Business Enterprise participation after a showing of good faith efforts to comply with the requirements of Article 9 of the Public Authorities Law relative to the waiver provisions contained in § 313(6) and (7) of the Executive Law. In addition, the Authority shall verify that Minority and Women-Owned Business Enterprises listed in a successful bid are actually participating to the extent listed in the project for which the bid was submitted.

The President and CEO of the Authority has general policy responsibility for the Authority's Minority and Women-Owned Business Enterprise program. The Treasurer provides executive oversight and reports to the President, is familiar with the procurement of the types of construction, financial, legal and professional services utilized by the Authority, and participates in the procurement process directly and through designees. The Director of Contract Management, who reports to the Treasurer, shall manage day-to-day responsibilities for M/WBE reporting and implementation. The Authority Counsel's Office shall be responsible for M/WBE legislation oversight and compliance.

Through its program, the Authority endeavors to promote and assist: (i) participation by certified Minority or Women-Owned Business Enterprises in applicable Authority procurement opportunities and facilitation of the award of qualified procurement contracts, as identified by the Director of Contract Management, to such enterprises; (ii) the utilization of certified Minority and Women-Owned Business Enterprises as subcontractors and suppliers by entities having qualified procurement contracts with the Authority; and (iii) the utilization of partnerships, joint ventures or other similar arrangements between certified Minority and Women-Owned Business Enterprises and other entities having qualified procurement contracts with the Authority.

Article VI. Contracts with Former Officers or Employees

6.0 Contracts with former officers or employees of the Authority shall be permitted where the goods, personal services, Authority program work, or other administrative services are to the best advantage of the Authority and the contractual relationship is not otherwise prohibited by law or Authority policy. In particular, any former officer or employee of the Authority shall be held to the restrictions set forth in Public Authorities Law Section 73(8) on receiving compensation for any services rendered with respect to specified types of cases, proceedings, applications, matters, and transactions.

Article VII. New York State Business Enterprises and New York State Residents

7.0 It is the policy of the Authority to promote participation in qualified Procurement Contracts by New York State Business Enterprises and New York State Residents, by encouraging them to compete through measures including, but not limited to:

- (a) Collecting and consulting the specifications of New York State Business Enterprises in developing any specifications for any Procurement or Program Contract for the purchase of

goods where possible, practicable, feasible, and consistent with open bidding, except for Procurement or Program Contracts for which the Authority would be expending funds received from another state. The Authority will, where feasible, make use of the stock order specification forms prepared by the Commissioner of General Services and, where necessary, consult with the Commissioner of General Services in developing such specifications and making such determinations.

- (b) With the cooperation of the Department of Economic Development and through cooperative efforts with Contractors, providing for the notification of New York State Business Enterprises of opportunities to participate as subcontractors and suppliers on qualified Procurement Contracts in an amount estimated to be equal to or greater than one million dollars and promulgating procedures which will assure compliance by Contractors with such notification. Once awarded the contract, such Contractors shall document their efforts to encourage the participation of New York State Business Enterprises as subcontractors and suppliers on such qualified Procurement Contracts. Documented efforts by a successful Contractor shall consist of and be limited to showing that such Contractor has (a) solicited bids, in a timely and adequate manner, from New York State Business Enterprises, including certified minority and women-owned businesses, or (b) contacted the New York State Department of Economic Development to obtain listings of New York State Business Enterprises, or (c) placed notices for subcontractors and suppliers in newspapers, journals, and other trade publications circulated in New York State, or (d) participated in bidder outreach conferences. If the Contractor determines that New York State Business Enterprises are not available to participate on the contract as subcontractors or suppliers, the Contractor shall provide a statement indicating the method by which such determination was made. If the Contractor does not intend to use subcontractors on the contract, the Contractor shall provide a statement verifying such intent.
- (c) Except for Procurement Contracts for which the Authority would be expending funds received from another state, including in all bid documents provided to potential bidders a statement that information concerning the availability of New York State subcontractors and suppliers is available from the New York State Department of Economic Development, including the directory of certified minority and women-owned businesses, and that it is the policy of New York State to encourage the use of New York State subcontractors and suppliers and to promote the participation of minority and women-owned businesses, where possible, in the procurement of goods and services.
- (d) With the cooperation of the Community Services Division of the Department of Labor and through cooperative efforts with Contractors, providing for the notification of New York State residents of employment opportunities arising in New York State out of Procurement Contracts in an amount estimated to be equal to or greater than one million dollars; and promulgating procedures that will assure compliance by Contractors with notification by requiring Contractors to submit post-award compliance reports documenting their efforts to provide such notification through listing any such positions with the Community Services

Division or providing for such notification in such manner as is consistent with existing collective bargaining contracts or agreements.

- (e) Including in each set of documents soliciting bids on qualified Procurement Contracts a statement notifying potential bidders in foreign countries that the Authority may assign or otherwise transfer offset credits created by such Procurement Contract to third parties located in New York State; providing for the assignment or other form of transfer of offset credits created by such Procurement Contracts, directly or indirectly, to third parties located in New York State, in accordance with the written directions of the Commissioner of Economic Development; and providing for the Authority otherwise to cooperate with the Department of Economic Development in efforts to get foreign countries to recognize offset credits assigned or transferred to third parties located in New York State created by such Procurement Contracts.
- (f) Promulgating procedures that will assure compliance with the federal Equal Employment Opportunity Act of 1972 (Pub. L. 92-261), as amended, by Contractors.

The Authority shall notify the Commissioner of Economic Development of the expected award of any Procurement or Program Contract for the purchase of goods, personal services, Authority program work, or other administrative services from a foreign business enterprise in an amount equal to or greater than one million dollars (\$1,000,000) simultaneously with notifying the successful bidder therefor. The Authority shall not enter into the Procurement Contract until at least fifteen (15) days have elapsed, except for a Procurement Contract awarded on an emergency or critical basis. The notification to the Commissioner shall include the name, address, telephone and facsimile number of the foreign business enterprise, a brief description of the goods or services to be obtained pursuant to the proposed Procurement Contract, the amount of the proposed Procurement Contract, the term of the proposed Procurement Contract, and the name of the individual at the foreign business enterprise or person acting on behalf of the same who is principally responsible for the proposed Procurement Contract. For the purposes of this subdivision, "foreign business enterprise" means a business enterprise, including a sole proprietorship, partnership or corporation, which offers for sale, lease or other form of exchange, goods which are sought by the Authority and which are substantially produced outside New York State, or services, other than construction services, sought by the Authority and which are substantially performed outside New York State. For purposes of construction services, a foreign business enterprise shall mean a business enterprise, including a sole proprietorship, partnership or corporation, which has its principal place of business outside of New York State.

Article VIII. Publication of Notice of Procurement and Program Contracts

8.0 Except as provided in Section 9.1 below, prior to awarding any Procurement or Program Contract, the Authority shall submit to the Commissioner of the Department of Economic Development information on: (i) the contract identification number; (ii) a brief description of the goods or services sought, the location where goods are to be delivered or services provided and the contract term; (iii) the address where bids or proposals are to be submitted; (iv) the date when

bids or proposals are due; (v) a description of any eligibility or qualification requirement or preference; (vi) a statement as to whether the contract requirements may be fulfilled by a subcontracting, joint venture, or co-production arrangement; (vii) any other information deemed useful to potential Contractors; and (viii) the name, address, and telephone number of the person to be contacted for additional information. Such information shall be submitted in sufficient time to allow a minimum of fifteen business days between publication of such notice and the date on which a bid or proposal is due, except where a shorter period is specifically authorized by law.

8.1 The provisions of Section 9.0 shall not apply to Procurement or Program Contracts: (i) awarded on an emergency or critical basis, or on the basis that publication is otherwise not feasible, such as those described in Sections 4.2 and 2.11 (ii) - (vi) of these Guidelines; (ii) being re-bid or re-solicited for substantially the same goods or services, within forty-five business days after the date bids or proposals were originally due; or (iii) any other procurements the Commissioner of the Department of Economic Development has determined do not require publication.

Article IX. Reporting of Procurement and Program Contracts

9.0 Procurement Contracts

- (a) As required by Public Authorities Law Section 2879, the Authority shall prepare for approval by the members at their June meeting, or at least annually, a report on Procurement Contracts, for the fiscal year ending March 31 of each year, which report shall include:
- i. The Procurement Contract Guidelines;
 - ii. An explanation of the Guidelines and any amendments since the last annual report on Procurement Contracts;
 - iii. A list of all Procurement Contracts entered into and active during the reporting period. This will include identification of:
 - a. All contracts with New York business enterprises;
 - b. All contracts with foreign business enterprises;
 - c. All contracts with certified Minority or Women-Owned Business Enterprises;
 - d. All contracts with certified Service-Disabled Veteran-Owned Business Enterprises;
 - e. The subject matter and value thereof;
 - iv. A summary of all Procurement Contracts which were exempt from the publication requirements under article 4-c of the economic development law, the basis for any such exemption and the status of existing Procurement Contracts.
- (b) The members' approval of this report, which will include a list of all Procurement Contracts entered into during the prior year which provide for a period of performance by the contractor in excess of one year or which have continued for over one year, will be the

members' approval of such individual Procurement Contracts, as required by Public Authorities Law Section 2879(3)(b)(iii).

Upon approval by the members of the Authority, the Authority shall submit the annual report on Procurement Contracts to the Division of the Budget, with copies to the Senate Finance Committee, the Assembly Ways and Means Committee, the Department of Audit and Control, and the Department of Economic Development.

9.1 Program Contracts

- (a) The Authority shall prepare for review by the members at their June meeting, or at least annually, a report on Program Contracts, which report shall include description of the program contracting performed by the fiscal year, broken down by portfolio and program, that is sufficient to provide to the members an accurate reflection of the kinds and level of investment made by each of the Authority's programmatic portfolios and programs. Separate from this requirement, the Authority will also make available upon request to the members, a copy of the semi-annual reports that are required to be prepared under Public Authorities Law Section 1867(7).

9.2 The Authority shall make copies of its reports on Procurement and Program Contracts available on its website.

Article X. Miscellaneous Provisions

10.0 No violation of or failure to comply with the provisions of these Guidelines shall be deemed to alter, affect the validity of, modify the terms of, or impair any Procurement or Program Contract; nor shall any provision of these Guidelines or any violation of or failure to comply with such provisions be the basis for any claim against the Authority or any member, officer, or employee of the Authority.

10.1 The members of the Authority may, from time to time, amend these Guidelines, provided that no such amendment shall be deemed to alter, affect the validity of, modify the terms of, or impair any Procurement or Program Contract.

Article XI. Service-Disabled Veteran-Owned Business Enterprises

11.0 It is the policy of the Authority to increase participation of Certified Service-Disabled Veteran-Owned Business (SDVOB) Enterprises in its procurements.

The SDVOB rules and regulations apply to any procurement that conforms to the definition of State Contract as described in the rules and regulations, and as specifically applied to NYSERDA in Article 17-B Section 369-h(6)(d) of New York State Executive Law. State Contract is defined as: a written agreement or purchase order instrument, providing for a total expenditure in excess

of \$25,000, whereby a contracting agency is committed to expend or does expend funds in return for labor, services including but not limited to legal, financial and other professional services, commodities, supplies, equipment, materials, technology or any combination of the foregoing, to be performed for, or rendered or furnished to the contracting agency; a written agreement in excess of \$100,000 whereby a contracting agency is committed to expend or does expend funds for the acquisition, construction, demolition, replacement, major repair or renovation of real property and improvements thereon; and, a written agreement in excess of \$100,000 whereby the owner of a State assisted housing project is committed to expend or does expend funds for the acquisition, construction, demolition, replacement, major repair or renovation of real property and improvements thereon for such project.

Article 17-A explicitly applies to NYSERDA only to the extent of State Contracts entered into for its own account or for the benefit of another qualifying state agency.

The Authority endeavors to promote and assist: (i) participation by certified SDVOB Enterprises in qualified Authority procurement opportunities and facilitation of the award of qualified Procurement Contracts to such enterprises; (ii) the utilization of certified SDVOB Enterprises as subcontractors and suppliers by entities having qualified Procurement Contracts with the Authority; and (iii) the utilization of partnerships, joint ventures or other similar arrangements between certified SDVOB Enterprises and other entities having qualified Procurement Contracts with the Authority.

The Authority hereby designates the Division of Service-Disabled Veterans' Business Development (DSDVD) within the New York State Office of General Services to certify and decertify eligible SDVOB Enterprises through a process that meets applicable state requirements.

On an annual basis, the Authority shall establish appropriate agency-specific goals for participation by SDVOB Enterprises in qualified Procurement Contracts awarded by the Authority, and for the utilization of SDVOB Enterprises as subcontractors and suppliers by entities having qualified State Contracts with the Authority pursuant to Article 17-B of the Executive Law and as specifically applied to NYSERDA in Article 17-B Section 369-h(6)(d). In accordance therewith, the Authority shall submit a Master Goal Plan, or Master Goal Plan update, for acceptance by the Division of Service-Disabled Veterans' Business Development.

The Authority shall conduct procurements in a manner that will enable it to achieve the maximum feasible portion of the goals it establishes and that will eliminate barriers to participation by SDVOB enterprises.

The Authority has three primary options for using SDVOB Enterprises in its procurements: SDVOB Set Asides; SDVOB Contract Goal Setting; and, SDVOB Discretionary Purchasing. It is up to the Authority to determine which option, or combination of options, can best achieve the Authority goals in the Master Goal Plan.

(a) SDVOB Set Asides

- i. Set-asides permit the reservation in whole or in part of certain procurements by the Authority for SDVOBs when more than one SDVOB Enterprise is available and can provide the necessary construction, construction services, non-construction related services (including finance/bond management), technology, commodities, products and other classifications that will facilitate meeting the goal and meeting the Authority's form, function and utility.
- ii. SDVOB Contract Goal Setting
 - i. A required percentage of SDVOB participation may be placed on qualified procurements. Any contract that conforms to the definition of State Contract in Article 17-B of the Executive Law, and as specifically applied to NYSEDA in Article 17-B Section 369-h(6)(d), unless exempt or excluded, may be assessed for SDVOB participation goals.
- iii. SDVOB Discretionary Purchasing
 - i. SDVOB Enterprises may be chosen when making discretionary purchases up to \$200,000, pursuant to Section 4.2(b) of these Guidelines and State Finance Law.

(b) Waivers

- i. An SDVOB waiver is a reduction or elimination of the SDVOB goal that has been established for a qualified contract. The Authority may determine to make such a waiver in the event that it determines that such a waiver is necessary; moreover, it may grant a partial or total waiver of goal requirements established on a State Contract upon the submission of a waiver form by a contractor, documenting good faith efforts, as defined in the regulations, by the contractor to meet the goal requirements of the State Contract. The Authority shall consider the factors set out in the regulations in making its determination to grant or deny the waiver request.

The President and CEO of the Authority has general policy responsibility for the Authority's SDVOB Program. The Treasurer provides executive oversight and reports to the President, is familiar with the procurement of the types of construction, financial, legal and professional services utilized by the Authority, and participates in the procurement process directly and through designees. The Director of Contract Management, who reports to the Chief Operating Officer, shall manage day-to-day responsibilities for SDVOB reporting and implementation. The Authority Counsel's Office shall be responsible for SDVOB legislation oversight and compliance.

NEW YORK STATE
ENERGY RESEARCH AND DEVELOPMENT AUTHORITY

PROCUREMENT AND PROGRAM CONTRACT GUIDELINES, OPERATIVE POLICY
AND INSTRUCTIONS

~~September-June 2016~~7

Article I. Purpose and Applicability

1.0 These Procurement and Program Contract Guidelines ("Guidelines"), adopted pursuant to Public Authorities Law Sections 1854, 1855, and 2879, set forth the operative policies of the Authority and instructions to its officers and employees regarding the use, awarding, monitoring, and reporting of Procurement and Program Contracts.

1.1 These Guidelines apply to any Procurement or Program Contract entered into after they become effective pursuant to the provisions of Section 1853 of the Public Authorities Law.

Article II. Definitions

2.0 As used in these Guidelines, "Procurement Contract" means a written agreement for the Authority's acquisition of goods or services, in the actual or estimated amount of \$5,000 or more.

2.1 As used in these Guidelines, "Program Contract" means a contract in the actual or estimated amount of \$5,000 or more that is not a Procurement Contract. Program Contracts may include but are not limited to grants, investments, awards, incentives, memberships and other arrangements by which the Authority provides financial assistance to fund a third party's performance of work in furtherance of the mission of the Authority. Program Contracts shall also include: memberships in industry groups, professional societies and similar cooperative associations, and any cooperative projects conducted or sponsored by such organizations; and direct purchase advertising with radio, television or print media regarding program activities. Loans, guarantees, letters of credit and other contractual arrangements executed by Green Bank are not Program Contracts for purposes of these Guidelines; the consideration and approval of such transactions are governed by the relevant provisions of the Authority's Internal Control Manual and by Green Bank's internal rules and guidelines. Contracts for interests in real property are governed by separate Board approved Guidelines for Real Property.

2.2 As used in these Guidelines, "Other Administrative Contracts" mean Procurement Contracts to provide services to support the Authority's administrative functions for a fee, commission, or other compensation by a person or organization that is not performing that work as an officer or employee of the Authority, another public corporation, or a state agency. Other Administrative Contracts include, but are not limited to, equipment maintenance contracts, leases, insurance, telecommunications, or other similar services, but do not include Personal Services Contracts.

2.3 As used in these Guidelines, "Contractor" means a person or organization that enters into a Procurement Contract with the Authority.

2.4 As used in these Guidelines, "Minority Business Enterprise" means any business enterprise certified by the Division of Minority and Women-Owned Business Development as a Minority Business Enterprise.

2.5 As used in these Guidelines, "Women-Owned Business Enterprise" means a business enterprise certified by the Division of Minority and Women-Owned Business Development as a Women-Owned Business Enterprise.

2.6 As used in these Guidelines, "New York State Business Enterprise" means a business enterprise, including a sole proprietorship, partnership, or corporation, which offers for sale or lease or other form of exchange goods which are sought by the Authority and which are substantially manufactured, produced, or assembled in New York State or services which are sought by the Authority and which are substantially performed in New York State.

2.7 As used in these Guidelines, "New York State Small Business Enterprise" means a company that is a resident to New York State, independently owned and operated, with 100 or fewer employees, and not dominant in its field. See New York State Finance Law.

2.8 As used in these Guidelines, "Service-Disabled Veteran-Owned Business Enterprise (SDVOB)" means any business that is certified by the Office of General Services Division of Service-Disabled Veterans' Business Development as a certified service-disabled veteran-owned business enterprise.

2.9 As used in these Guidelines, a "New York State Resident" means a natural person who maintains a fixed, permanent, and principal home within New York State and to which such person, whenever temporarily located, always intends to return.

2.10 As used in these Guidelines, "Competitive Selection Method" shall include:

- i. solicitations, including program opportunity notices, requests for proposals, requests for information, requests for quotations and requests for qualifications;
- ii. subscription program offers;
- iii. for administrative purchases, if the issuance of a solicitation is reasonably expected to result in no more than nominal savings, obtaining at a minimum three (3) quotations from different providers or firms;
- iv. Procurement or Program Contracts made pursuant to centralized contracts let by other public entities pursuant to a competitive process, including those contracts of the New York State Office of General Services;
- v. procurement of commodities from a Contractor where the price to be charged by the Contractor is less than that which would be charged for the purchase substantially similar in function, form or utility made pursuant to a centralized contract let by the New York

- State Office of General Services or when other contract terms such as delivery or warranty terms are more economically beneficial; or
- vi. any other competitive method of selection that is consistent with these guidelines.

Article III. Requirements Regarding Selection of Contractors

3.0 Unless otherwise directed by law or order in the form of an authorization and direction to use funds in a certain manner¹, the Authority shall use its best efforts to secure offers from Contractors by using a Competitive Selection Method and to select from such offerers the Contractor offering the most favorable terms, weighing expected ability to perform against projected costs. To this end, the Authority shall:

- (a) solicit offers in writing from several persons or organizations known, believed, or reputed to be qualified in the area of supplying the goods, personal services, Authority program work, or other administrative services to be provided or performed, except that for administrative purchases authorized by Section 2.10 (iii), such quotations may be secured by telephone solicitations where time constraints do not permit securing a written bid and for procurement of catalog and other items generally purchased in the ordinary course of business or which do not require a detailed bid or description of materials or specifications.
- (b) evaluate those offers received on the basis of such information as the Authority has received on, as may be relevant, each offerer's technical or professional qualifications, financial stability, past performance for the Authority, staff, equipment, and facilities availability, experience, reputation, and other factors bearing on expected capability and quality of performance, possible conflicts of interest, and contract price or fee structure; and
- (c) document the processes by which a Contractor is selected, by making a record summarizing the nature and scope of the goods, personal services, Authority program work, or other administrative services sought, the name of each person or organization submitting, or requested to submit, a bid or proposal, the price or fee bid, and the basis for selection of the Contractor.

3.1 In any instance, the members of the Authority may, by resolution, waive the use of the procedure for selecting Contractors outlined in Section 3.0 if they determine such waiver to be in the best interest of the Authority.

3.2 The members of the Authority, upon adoption of these Guidelines, hereby waive use of the procedures for selecting Contractors outlined in section 3.0 in those instances when:

¹ For avoidance of doubt, this provision is included to acknowledge that the Authority's contracting guidelines do not apply in instances where the Authority is directed by law or order to use funds in a certain manner.

- a) the goods, personal services, Authority program work, or other administrative services involved are expected to cost \$50,000 or less;
- b) the goods, personal services, or other administrative services involved are expected to cost \$200,000 or less and are procured from a Minority Business Enterprise or Women-Owned Business Enterprise; a New York State Small Business Enterprise; or a Certified Service-Disabled Veteran-Owned Business Enterprise.
- c) for any Authority program work, the contract is based upon an unsolicited proposal, submitted at the sole initiative of the offerer, not duplicating work then being performed or in the project planning request stage, and involving unique, innovative, or unusual meritorious methods or ideas;
- d) an Authority Officer determines that:
 - i. the interest of the Authority for timely obtainment of the goods, personal services, Authority program work, or other administrative services involved precludes selection of a Contractor pursuant to such procedure; or,
 - ii. even though two or more Contractors could supply the required goods, personal services, Authority program work, or other administrative service, one particular Contractor has unique or exceptionally scarce qualifications or experience, specialized equipment, or facilities not readily available from other sources, or patents, copyrights, or proprietary data; or,
 - iii. there is only one source for a required good, personal service, Authority program work, or other administrative service; or,
 - iv. the contract is for goods, personal services or other administrative services and is based upon a contract awarded by the United States government, or any state or any political subdivision thereof, in accordance with the requirements of New York State Finance Law and the criteria established by the New York State Office of General Services (aka piggybacking); or,
 - v. the contract is for a membership in an industry group, professional society, or similar cooperative association the work of which has been determined by an Officer of the authority to be aligned with the strategy of the Authority and membership in which will benefit the Authority's mission; or
 - vi. the contract is for a sponsorship or procurement of space or services in relation to an industry or other mission-related conference, symposium or other similar event, the topic of which has been determined by an Officer of the Authority to be aligned with the strategy of the Authority and participation will benefit the Authority's mission.

provided, that in those instances the Authority shall nonetheless make a record summarizing the nature and scope of the goods, personal services, Authority program work, or other administrative service involved, the name of the Contractor, the contract price or fee, and the basis for waiver and selection of the Contractor.

3.3 Board Approval of Procurement and Program Contracts

- (a) Approval of the members of the Authority, either by prior action, when time permits, or by ratification at the next meeting of the Authority shall be required for any:
- i. Procurement Contract which provides for a period of performance by the Contractor in excess of one year;
 - ii. Program Contract that is the result of a competitive process and which provides an estimated or actual amount of \$3 Million or more; and,
 - iii. Program Contract that is the result of a noncompetitive process and which provides an estimated or actual amount greater than \$1 Million.

3.4 Independent auditors for the Authority shall be retained only with the prior approval of the members of the Authority.

3.5 The Authority may use its Competitive Selection Methods to select multiple Contractors to provide goods, personal services, Authority program work, and other administrative services. Individual task work orders may be awarded to these Contractors on an as-needed basis.

Article IV. Compliance with State Finance Law Sections 139-j and 139-k in the Selection of Contractors; Contractor Responsibilities and Types of Contract Provisions

4.0 The Authority shall comply with the requirements of State Finance Law Sections 139-j and 139-k in its selection of Contractors. Solicitations shall identify NYSERDA's Designated Contacts, require bidders to disclose any prior determination of non-responsibility, and to provide the other information required by State Finance Law Sections 139-j and 139-k.

The responsibilities of a Contractor, including continuing responsibilities under State Finance Law Sections 139-j and 139-k, shall be detailed in the contract. Contract provisions shall address the nature and scope of the goods, personal services, or Authority program work to be provided; the standard for performance, if practical; the duration of the work; any relevant time requirements or deadlines; and the amount of compensation to be paid or the price, rates, or fees which will be used to determine such compensation. Personal Services Contracts and Program Contracts shall also include provisions on monitoring of the work to be performed; provisions governing the Contractor's use of Authority supplies, facilities, or personnel, if permitted; any provisions required by applicable law; and any other provisions the Authority deems necessary or desirable.

Article V. Minority and Women-Owned Business Enterprises

5.0 It is the policy of the Authority to foster and promote participation of Minority Business Enterprises and Women-Owned Business Enterprises in its procurements and the development of such enterprises and to facilitate a fair share of the awarding of Procurement Contracts to such enterprises.

The MWBE rules and regulations apply to any procurement that conforms to the definition of State Contract as described in the rules and regulations, and as specifically applied to NYSERDA in Article 15-A of New York State Executive Law. State Contract is defined as: a written agreement or purchase order instrument, providing for a total expenditure in excess of \$25,000, whereby a contracting agency is committed to expend or does expend funds in return for labor, services including but not limited to legal, financial and other professional services, commodities, supplies, equipment, materials, technology or any combination of the foregoing, to be performed for, or rendered or furnished to the contracting agency; a written agreement in excess of \$100,000 whereby a contracting agency is committed to expend or does expend funds for the acquisition, construction, demolition, replacement, major repair or renovation of real property and improvements thereon; and, a written agreement in excess of \$100,000 whereby the owner of a State assisted housing project is committed to expend or does expend funds for the acquisition, construction, demolition, replacement, major repair or renovation of real property and improvements thereon for such project. Article 15-A explicitly applies to NYSERDA only to the extent of State Contracts entered into for its own account or for the benefit of another qualifying state agency.

The Authority endeavors to promote and assist: (i) participation by certified Minority or Women-Owned Business Enterprises in applicable Authority procurement opportunities and facilitation of the award of qualified Procurement Contracts to such enterprises; (ii) the utilization of certified Minority and Women-Owned Business Enterprises as subcontractors and suppliers by entities having qualified Procurement Contracts with the Authority; and (iii) the utilization of partnerships, joint ventures or other similar arrangements between certified Minority and Women-Owned Business Enterprises and other entities having qualified Procurement Contracts with the Authority.

The Authority hereby designates the Division of Minority and Women-Owned Business Development to certify and decertify Minority Business Enterprises and Women-Owned Business Enterprises through a single process that meets applicable state and federal requirements.

On an annual basis, the Authority shall establish appropriate statewide goals for participation by Minority or Women-Owned Business Enterprises in qualified Procurement Contracts awarded by the Authority, and for the utilization of Minority and Women-Owned Business Enterprises as subcontractors and suppliers by entities having qualified procurement contracts with the Authority pursuant to § 313(1-b) of the Executive Law. In accordance therewith, the Authority shall submit a Master Goal Plan, or Master Goal Plan update, for acceptance by the Division of Minority and Women's Business Development.

The Authority shall conduct procurements in a manner that will enable it to achieve the maximum feasible portion of the goals it establishes and that will eliminate barriers to participation by

Minority and Women-Owned Business Enterprises. This includes, but is not limited to:

- (a) The Authority shall maintain measures and procedures, as detailed in the Master Goal Plan, to ensure that certified businesses shall be given the opportunity for maximum feasible participation in the performance of appropriate state contracts and to assist in the Authority's identification of those state contracts for which certified businesses may best bid to actively and affirmatively promote and assist their participation.
- (b) The Authority will consult with the Division of Minority and Women's Business Development for assistance in identifying Minority Business Enterprises or Women-Owned Business Enterprises, and refer to any known list maintained by any other State department or agency that identifies such enterprises by area of expertise.
- (c) With the assistance of the Director of Contract Management, the Authority shall maintain its own list of such enterprises, including professional firms that have expressed an interest in doing business with the Authority, and shall ensure that the list is updated regularly.
- (d) The Authority shall provide notice of procurement opportunities to professional and other organizations that serve Minority and Women-Owned Business Enterprises providing the types of services the Authority procures, and solicit or request offers from Minority and Women-Owned Businesses known to have experience in the type of goods, personal services, and other administrative services involved.
- (e) Each solicitation document for a qualified solicitation shall set forth the expected degree of Minority and Women-Owned Business Enterprise participation, and the Authority shall provide to each prospective contractor a current list of certified Minority and Women-Owned Business Enterprises. The expected degree of Minority and Women-Owned Business Enterprise participation shall be based, in part, on (i) the potential subcontract opportunities available in the prime procurement contract; and (ii) the availability of certified Minority and Women-Owned Business Enterprises to respond competitively to the potential subcontract opportunities.
- (f) Written solicitations or requests for bids or proposals for Procurement Contracts will include a statement of the Authority's affirmative action policy.
- (g) Allow bidders to count the Minority and Women-Owned Business Enterprise portion of a joint venture towards meeting its minority business enterprise goal.
- (h) For each qualified contract, the Authority shall: (i) consider, where practicable, the severability of construction projects and other bundled contracts; (ii) evaluate the appropriateness of the goal established in the Master Goal Plan; (iii) consider compliance with the requirements of any federal law concerning opportunities for Minority and Women-Owned Business Enterprises which effectuates the purpose of the Authority's policy; and (iv) consult the most recent disparity study pursuant to Article 15-A of the Executive Law.

The Authority may waive obligations of a contractor relating to Minority and Women-Owned Business Enterprise participation after a showing of good faith efforts to comply with the requirements of Article 9 of the Public Authorities Law relative to the waiver provisions contained in § 313(6) and (7) of the Executive Law. In addition, the Authority shall verify that Minority and Women-Owned Business Enterprises listed in a successful bid are actually participating to the extent listed in the project for which the bid was submitted.

The President and CEO of the Authority has general policy responsibility for the Authority's Minority and Women-Owned Business Enterprise program. The Treasurer provides executive oversight and reports to the President, is familiar with the procurement of the types of construction, financial, legal and professional services utilized by the Authority, and participates in the procurement process directly and through designees. The Director of Contract Management, who reports to the Treasurer, shall manage day-to-day responsibilities for M/WBE reporting and implementation. The Authority Counsel's Office shall be responsible for M/WBE legislation oversight and compliance.

Through its program, the Authority endeavors to promote and assist: (i) participation by certified Minority or Women-Owned Business Enterprises in applicable Authority procurement opportunities and facilitation of the award of qualified procurement contracts, as identified by the Director of Contract Management, to such enterprises; (ii) the utilization of certified Minority and Women-Owned Business Enterprises as subcontractors and suppliers by entities having qualified procurement contracts with the Authority; and (iii) the utilization of partnerships, joint ventures or other similar arrangements between certified Minority and Women-Owned Business Enterprises and other entities having qualified procurement contracts with the Authority.

Article VI. Contracts with Former Officers or Employees

6.0 Contracts with former officers or employees of the Authority shall be permitted where the goods, personal services, Authority program work, or other administrative services are to the best advantage of the Authority and the contractual relationship is not otherwise prohibited by law or Authority policy. In particular, any former officer or employee of the Authority shall be held to the restrictions set forth in Public Authorities Law Section 73(8) on receiving compensation for any services rendered with respect to specified types of cases, proceedings, applications, matters, and transactions.

Article VII. New York State Business Enterprises and New York State Residents

7.0 It is the policy of the Authority to promote participation in qualified Procurement Contracts by New York State Business Enterprises and New York State Residents, by encouraging them to compete through measures including, but not limited to:

- (a) Collecting and consulting the specifications of New York State Business Enterprises in developing any specifications for any Procurement or Program Contract for the purchase of

goods where possible, practicable, feasible, and consistent with open bidding, except for Procurement or Program Contracts for which the Authority would be expending funds received from another state. The Authority will, where feasible, make use of the stock order specification forms prepared by the Commissioner of General Services and, where necessary, consult with the Commissioner of General Services in developing such specifications and making such determinations.

- (b) With the cooperation of the Department of Economic Development and through cooperative efforts with Contractors, providing for the notification of New York State Business Enterprises of opportunities to participate as subcontractors and suppliers on qualified Procurement Contracts in an amount estimated to be equal to or greater than one million dollars and promulgating procedures which will assure compliance by Contractors with such notification. Once awarded the contract, such Contractors shall document their efforts to encourage the participation of New York State Business Enterprises as subcontractors and suppliers on such qualified Procurement Contracts. Documented efforts by a successful Contractor shall consist of and be limited to showing that such Contractor has (a) solicited bids, in a timely and adequate manner, from New York State Business Enterprises, including certified minority and women-owned businesses, or (b) contacted the New York State Department of Economic Development to obtain listings of New York State Business Enterprises, or (c) placed notices for subcontractors and suppliers in newspapers, journals, and other trade publications circulated in New York State, or (d) participated in bidder outreach conferences. If the Contractor determines that New York State Business Enterprises are not available to participate on the contract as subcontractors or suppliers, the Contractor shall provide a statement indicating the method by which such determination was made. If the Contractor does not intend to use subcontractors on the contract, the Contractor shall provide a statement verifying such intent.
- (c) Except for Procurement Contracts for which the Authority would be expending funds received from another state, including in all bid documents provided to potential bidders a statement that information concerning the availability of New York State subcontractors and suppliers is available from the New York State Department of Economic Development, including the directory of certified minority and women-owned businesses, and that it is the policy of New York State to encourage the use of New York State subcontractors and suppliers and to promote the participation of minority and women-owned businesses, where possible, in the procurement of goods and services.
- (d) With the cooperation of the Community Services Division of the Department of Labor and through cooperative efforts with Contractors, providing for the notification of New York State residents of employment opportunities arising in New York State out of Procurement Contracts in an amount estimated to be equal to or greater than one million dollars; and promulgating procedures that will assure compliance by Contractors with notification by requiring Contractors to submit post-award compliance reports documenting their efforts to provide such notification through listing any such positions with the Community Services

Division or providing for such notification in such manner as is consistent with existing collective bargaining contracts or agreements.

- (e) Including in each set of documents soliciting bids on qualified Procurement Contracts a statement notifying potential bidders in foreign countries that the Authority may assign or otherwise transfer offset credits created by such Procurement Contract to third parties located in New York State; providing for the assignment or other form of transfer of offset credits created by such Procurement Contracts, directly or indirectly, to third parties located in New York State, in accordance with the written directions of the Commissioner of Economic Development; and providing for the Authority otherwise to cooperate with the Department of Economic Development in efforts to get foreign countries to recognize offset credits assigned or transferred to third parties located in New York State created by such Procurement Contracts.
- (f) Promulgating procedures that will assure compliance with the federal Equal Employment Opportunity Act of 1972 (Pub. L. 92-261), as amended, by Contractors.

The Authority shall notify the Commissioner of Economic Development of the expected award of any Procurement or Program Contract for the purchase of goods, personal services, Authority program work, or other administrative services from a foreign business enterprise in an amount equal to or greater than one million dollars (\$1,000,000) simultaneously with notifying the successful bidder therefor. The Authority shall not enter into the Procurement Contract until at least fifteen (15) days have elapsed, except for a Procurement Contract awarded on an emergency or critical basis. The notification to the Commissioner shall include the name, address, telephone and facsimile number of the foreign business enterprise, a brief description of the goods or services to be obtained pursuant to the proposed Procurement Contract, the amount of the proposed Procurement Contract, the term of the proposed Procurement Contract, and the name of the individual at the foreign business enterprise or person acting on behalf of the same who is principally responsible for the proposed Procurement Contract. For the purposes of this subdivision, "foreign business enterprise" means a business enterprise, including a sole proprietorship, partnership or corporation, which offers for sale, lease or other form of exchange, goods which are sought by the Authority and which are substantially produced outside New York State, or services, other than construction services, sought by the Authority and which are substantially performed outside New York State. For purposes of construction services, a foreign business enterprise shall mean a business enterprise, including a sole proprietorship, partnership or corporation, which has its principal place of business outside of New York State.

Article VIII. Publication of Notice of Procurement and Program Contracts

8.0 Except as provided in Section 9.1 below, prior to awarding any Procurement or Program Contract, the Authority shall submit to the Commissioner of the Department of Economic Development information on: (i) the contract identification number; (ii) a brief description of the goods or services sought, the location where goods are to be delivered or services provided and the contract term; (iii) the address where bids or proposals are to be submitted; (iv) the date when

bids or proposals are due; (v) a description of any eligibility or qualification requirement or preference; (vi) a statement as to whether the contract requirements may be fulfilled by a subcontracting, joint venture, or co-production arrangement; (vii) any other information deemed useful to potential Contractors; and (viii) the name, address, and telephone number of the person to be contacted for additional information. Such information shall be submitted in sufficient time to allow a minimum of fifteen business days between publication of such notice and the date on which a bid or proposal is due, except where a shorter period is specifically authorized by law.

8.1 The provisions of Section 9.0 shall not apply to Procurement or Program Contracts: (i) awarded on an emergency or critical basis, or on the basis that publication is otherwise not feasible, such as those described in Sections 4.2 and 2.11 (ii) - (vi) of these Guidelines; (ii) being re-bid or re-solicited for substantially the same goods or services, within forty-five business days after the date bids or proposals were originally due; or (iii) any other procurements the Commissioner of the Department of Economic Development has determined do not require publication.

Article IX. Reporting of Procurement and Program Contracts

9.0 Procurement Contracts

- (a) As required by Public Authorities Law Section 2879, the Authority shall prepare for approval by the members at their June meeting, or at least annually, a report on Procurement Contracts, for the fiscal year ending March 31 of each year, which report shall include:
- i. The Procurement Contract Guidelines;
 - ii. An explanation of the Guidelines and any amendments since the last annual report on Procurement Contracts;
 - iii. A list of all Procurement Contracts entered into and active during the reporting period. This will include identification of:
 - a. All contracts with New York business enterprises;
 - b. All contracts with foreign business enterprises;
 - c. All contracts with certified Minority or Women-Owned Business Enterprises;
 - d. All contracts with certified Service-Disabled Veteran-Owned Business Enterprises;
 - e. The subject matter and value thereof;
 - iv. A summary of all Procurement Contracts which were exempt from the publication requirements under article 4-c of the economic development law, the basis for any such exemption and the status of existing Procurement Contracts.
- (b) The members' approval of this report, which will include a list of all Procurement Contracts entered into during the prior year which provide for a period of performance by the contractor in excess of one year or which have continued for over one year, will be the

members' approval of such individual Procurement Contracts, as required by Public Authorities Law Section 2879(3)(b)(iii).

Upon approval by the members of the Authority, the Authority shall submit the annual report on Procurement Contracts to the Division of the Budget, with copies to the Senate Finance Committee, the Assembly Ways and Means Committee, the Department of Audit and Control, and the Department of Economic Development.

9.1 Program Contracts

- (a) The Authority shall prepare for review by the members at their June meeting, or at least annually, a report on Program Contracts, which report shall include description of the program contracting performed by the fiscal year, broken down by portfolio and program, that is sufficient to provide to the members an accurate reflection of the kinds and level of investment made by each of the Authority's programmatic portfolios and programs. Separate from this requirement, the Authority will also make available upon request to the members, a copy of the semi-annual reports that are required to be prepared under Public Authorities Law Section 1867(7).

9.2 The Authority shall make copies of its reports on Procurement and Program Contracts available on its website.

Article X. Miscellaneous Provisions

10.0 No violation of or failure to comply with the provisions of these Guidelines shall be deemed to alter, affect the validity of, modify the terms of, or impair any Procurement or Program Contract; nor shall any provision of these Guidelines or any violation of or failure to comply with such provisions be the basis for any claim against the Authority or any member, officer, or employee of the Authority.

10.1 The members of the Authority may, from time to time, amend these Guidelines, provided that no such amendment shall be deemed to alter, affect the validity of, modify the terms of, or impair any Procurement or Program Contract.

Article XI. Service-Disabled Veteran-Owned Business Enterprises

11.0 It is the policy of the Authority to increase participation of Certified Service-Disabled Veteran-Owned Business (SDVOB) Enterprises in its procurements.

The SDVOB rules and regulations apply to any procurement that conforms to the definition of State Contract as described in the rules and regulations, and as specifically applied to NYSERDA in Article 17-B Section 369-h(6)(d) of New York State Executive Law. State Contract is defined as: a written agreement or purchase order instrument, providing for a total expenditure in excess

of \$25,000, whereby a contracting agency is committed to expend or does expend funds in return for labor, services including but not limited to legal, financial and other professional services, commodities, supplies, equipment, materials, technology or any combination of the foregoing, to be performed for, or rendered or furnished to the contracting agency; a written agreement in excess of \$100,000 whereby a contracting agency is committed to expend or does expend funds for the acquisition, construction, demolition, replacement, major repair or renovation of real property and improvements thereon; and, a written agreement in excess of \$100,000 whereby the owner of a State assisted housing project is committed to expend or does expend funds for the acquisition, construction, demolition, replacement, major repair or renovation of real property and improvements thereon for such project.

Article 17-A explicitly applies to NYSERDA only to the extent of State Contracts entered into for its own account or for the benefit of another qualifying state agency.

The Authority endeavors to promote and assist: (i) participation by certified SDVOB Enterprises in qualified Authority procurement opportunities and facilitation of the award of qualified Procurement Contracts to such enterprises; (ii) the utilization of certified SDVOB Enterprises as subcontractors and suppliers by entities having qualified Procurement Contracts with the Authority; and (iii) the utilization of partnerships, joint ventures or other similar arrangements between certified SDVOB Enterprises and other entities having qualified Procurement Contracts with the Authority.

The Authority hereby designates the Division of Service-Disabled Veterans' Business Development (DSDVD) within the New York State Office of General Services to certify and decertify eligible SDVOB Enterprises through a process that meets applicable state requirements.

On an annual basis, the Authority shall establish appropriate agency-specific goals for participation by SDVOB Enterprises in qualified Procurement Contracts awarded by the Authority, and for the utilization of SDVOB Enterprises as subcontractors and suppliers by entities having qualified State Contracts with the Authority pursuant to Article 17-B of the Executive Law and as specifically applied to NYSERDA in Article 17-B Section 369-h(6)(d). In accordance therewith, the Authority shall submit a Master Goal Plan, or Master Goal Plan update, for acceptance by the Division of Service-Disabled Veterans' Business Development.

The Authority shall conduct procurements in a manner that will enable it to achieve the maximum feasible portion of the goals it establishes and that will eliminate barriers to participation by SDVOB enterprises.

The Authority has three primary options for using SDVOB Enterprises in its procurements: SDVOB Set Asides; SDVOB Contract Goal Setting; and, SDVOB Discretionary Purchasing. It is up to the Authority to determine which option, or combination of options, can best achieve the Authority goals in the Master Goal Plan.

(a) SDVOB Set Asides

- i. Set-asides permit the reservation in whole or in part of certain procurements by the Authority for SDVOBs when more than one SDVOB Enterprise is available and can provide the necessary construction, construction services, non-construction related services (including finance/bond management), technology, commodities, products and other classifications that will facilitate meeting the goal and meeting the Authority's form, function and utility.
- ii. SDVOB Contract Goal Setting
 - i. A required percentage of SDVOB participation may be placed on qualified procurements. Any contract that conforms to the definition of State Contract in Article 17-B of the Executive Law, and as specifically applied to NYSEDA in Article 17-B Section 369-h(6)(d), unless exempt or excluded, may be assessed for SDVOB participation goals.
- iii. SDVOB Discretionary Purchasing
 - i. SDVOB Enterprises may be chosen when making discretionary purchases up to \$200,000, pursuant to Section 4.2(b) of these Guidelines and State Finance Law.

(b) Waivers

- i. An SDVOB waiver is a reduction or elimination of the SDVOB goal that has been established for a qualified contract. The Authority may determine to make such a waiver in the event that it determines that such a waiver is necessary; moreover, it may grant a partial or total waiver of goal requirements established on a State Contract upon the submission of a waiver form by a contractor, documenting good faith efforts, as defined in the regulations, by the contractor to meet the goal requirements of the State Contract. The Authority shall consider the factors set out in the regulations in making its determination to grant or deny the waiver request.

The President and CEO of the Authority has general policy responsibility for the Authority's SDVOB Program. The Treasurer provides executive oversight and reports to the President, is familiar with the procurement of the types of construction, financial, legal and professional services utilized by the Authority, and participates in the procurement process directly and through designees. The Director of Contract Management, who reports to the Chief Operating Officer, shall manage day-to-day responsibilities for SDVOB reporting and implementation. The Authority Counsel's Office shall be responsible for SDVOB legislation oversight and compliance.