



# NYSERDA

**ANDREW M. CUOMO**  
Governor

**RICHARD L. KAUFFMAN**  
Chair

**ALICIA BARTON**  
President and CEO

December 1, 2017

Hon. Andrew M. Cuomo  
Governor  
Executive Chamber  
NYS Capitol  
Albany, NY 12224

Dear Governor Cuomo,

Pursuant to the Public Authority Law Section 1867(7), as amended in 2015, attached is NYSERDA's semi-annual report regarding specified contracting actions for the period from April 1, 2017 through September 30, 2017.

The report is broken into sections to meet the statute's reporting requirements, summaries of which are provided below.

- **Requirement 1** is for the revenues collected by the Authority in the reporting period. A report that details the revenues collected during the period is attached.
- **Requirement 2** is a list of requests for proposals, program opportunity notices, or similar solicitations that have been issued in the reporting period. A report that details the solicitations issued is attached.
- **Requirement 3** is a description of the criteria and standards utilized for assessing proposals made in response requests for proposals, program opportunity notices, or similar solicitations. The criteria and standards utilized for award selection and project eligibility are included in each solicitation. Please note that requirements 2 and 3 are contained in one section of the report.
- **Requirement 4** is a report on all projects selected for funding by the Authority during the reporting period broken down by region, including the county and utility service territory in which the project is located and the total value of these projects statewide and by region. Both a summary by regional economic development council (REDC) and details for each REDC are provided. The region "Statewide" includes projects that do not have a distinct project location and provide benefits across New York State.
- **Requirement 5** is a report of all disbursements or expenditures of revenues pursuant to requests for proposals, program opportunity notices, or similar solicitations. A report that details these disbursements is included.
- **Requirement 6** is a list of all contracts executed and completed during the reporting period including a description of each project. A report that details the executed contracts is attached.

This semi-annual report for the reporting period is also currently available on NYSERDA's website at <https://www.nyserda.ny.gov/-/media/Files/Publications/Annual-Reports-and-Financial-Statements/2017-dec-nyserda-semi-annual-report.pdf>. If you have any questions on this information, please contact me.

Sincerely,

Alicia Barton  
President and CEO

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

**Albany**  
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(P) 1-866-NYSERDA | (F) 518-862-1091  
nyserda.ny.gov | info@nyserda.ny.gov

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726 Exchange Street  
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Buffalo, NY  
14210-1484  
(P) 716-842-1522  
(F) 716-842-0156

**New York City**  
1359 Broadway  
19th Floor  
New York, NY  
10018-7842  
(P) 212-971-5342  
(F) 518-862-1091

**West Valley Site  
Management Program**  
9030-B Route 219  
West Valley, NY  
14171-9500  
(P) 716-942-9960  
(F) 716-942-9961

NYSERDA  
Public Authority Law Report  
April 1, 2017 to September 30, 2017

Section Break

NYSERDA  
Revenues Collected - April 1, 2017 through September 30, 2017

Revenue Source	Amount (\$000's)
State Appropriation	14,179
Utility Surcharge Assessments	32,775
Clean Energy Standard Proceeds	236,654
Allowance Proceeds	38,038
Third-party reimbursements	5,650
Federal grants	6,189
Interest subsidy	236
Project repayments	68
Rentals from leases	537
Fees and other income	2,201
Loans and financing receivables interest	11,419
Investment income	3,561
<b>Total revenues</b>	<b>351,507</b>

NYSERDA  
Public Authority Law Report  
April 1, 2017 to September 30, 2017

Section Break



## Solicitation Summary April 1, 2017 to September 30, 2017

Solicitation No.	Title of Solicitation	Solicitation Description	Issue Date	Due Date/Round	Dollar Value
PON 2112	NY-Sun Financial Incentives	NYSERDA provides cash incentives and/or financing for the installation by Contractors/Builders of new grid-connected Electric Photovoltaic (PV) systems that are 25kW or less for residential sites in all regions, 200 kW or less for small commercial sites in ConEd and Upstate regions, and 500 kW or less for small commercial sites in PSEG Long Island region.	7/21/2017	12/29/2023	\$384,100,099.00
RFP 3526	Facilitation Services in Support of the West Valley Citizen Task Force	NYSERDA is seeking proposals for facilitation services to support the West Valley Citizen Task Force near the Western New York Nuclear Service Center in West Valley, NY.	4/7/2017	5/18/2017	No value was stated in the solicitation
PON 3541	Demonstration distributed Energy Storage for 'Stacking' Customer and Grid Values	NYSERDA is seeking field demonstration projects of commercial distributed energy storage systems that leverage the flexibility of energy storage to 'stack' two or more value streams by performing multiple functions for retail electric customers, distributed generation, utilities and the New York State Independent System Operator (NYISO).	4/19/2017	12/31/2019	\$15,500,000.00
RFP 3447	Technical Services for NY Residential Existing Homes Program	NYSERDA requests proposals from interested parties to provide technical services for the NY Residential Existing Homes Programs (Program) which provides energy efficiency services to existing one-to-four family residential buildings in New York State. The objective of this Request for Proposals (RFP) is to award up to two contracts, for an initial contract term of twenty-four (24) months. After the initial term, each contract may be renewed annually, at NYSERDA's option, for up to an additional three years, pending availability of funds.	5/17/2017	6/26/2017	\$5,600,000.00
RFP 3640	Indian Point Task Force Consultation Services	NYSERDA seeks assistance from qualified individuals or firms to assist the Indian Point Task Force, through NYSERDA, to provide a report and other consultation services in furtherance of the Task Force's mission.	6/22/2017	7/24/2017	No value was stated in the solicitation
RFP 3584	REVitalize	NYSERDA seeks to bridge the gap in access to clean energy solutions for LMI communities and EJ areas by supporting the planning of community-scale clean energy projects that benefit LMI communities and EJ areas.	6/23/2017	9/11/2017	\$325,000.00
RFP 3525	Staff Augmentation and Payroll Services	This solicitation is to competitively select and contract with one or more Proposers to provide: 1) Payroll Services for Temporary Employees, and 2) Staff Augmentation Services	6/5/2017	7/31/2017	No value was stated in the solicitation
RFQL 3685	Flexible Energy Technical Analysis	NYSERDA is issuing this solicitation to establish a pool of consulting firms qualified to provide the NYSERDA Energy and Environmental Analysis Department (EEA) with diverse technical, energy, economic, and environmental analytical capacity that can also provide support services on short notice.	9/21/2017	10/23/2017	No value was stated in the solicitation
RFP 3670	VoIP Unified Communications	NYSERDA is soliciting proposals from qualified contractors offering Unified Communications solutions to serve the voice communication needs of NYSERDA.	9/22/2017	10/18/2017	\$750,000.00

## Solicitation Summary April 1, 2017 to September 30, 2017

Solicitation No.	Title of Solicitation	Solicitation Description	Issue Date	Due Date/Round	Dollar Value
PON 3519	NextGen HVAC Technology Challenge	The NextGen HVAC Program supports the development of energy efficient building technologies and new business models for New York's building industry. This funding opportunity focuses on cutting edge HVAC systems including new renewable heating and cooling systems and the integration of advanced controls.	6/28/2017	8/3/2017	\$15,000,000.00
PON 3582	Manufacturing Corps (M-Corps) Pilot Program	Manufacturing Corps (M-Corps) Initiative seeks proposals to establish partnerships in New York State focused on overcoming the challenges of product manufacturing for clean technology startup companies	6/29/2017	9/14/2017	\$4,000,000.00
RESRFP17-1	RES Purchase of New York Tier 1 Eligible RECs	NYSERDA seeks to purchase, under the terms and conditions of this solicitation, RECs associated with renewable energy generated from eligible Bid Facilities that enter Commercial Operation after January 1, 2015 and on or before November 30, 2019 unless extended to November 30, 2021.	6/5/2017	7/13/2017	No value was stated in the solicitation
PON 3620	The Ground Source Heat Pump Rebate Program	Ground Source Heat Pump Rebate – NYSERDA has made \$15 million available to support the installation of ground source heat pump systems at residential, commercial, institutional, and industrial buildings. Funding is available only to eligible designers and installers of ground source heat pump systems that have been approved by NYSERDA.	5/31/2017	7/1/2019	15,000,000.00
PON 3585	Energy Storage Technology & Product Development	This solicitation is focused on advancing, developing, and field testing those storage technologies that will address cost, performance, and integration challenges in New York State. Only innovative storage technologies which are yet to be commercialized will be considered in this PON.	6/29/2017	12/29/2017	\$6,300,000.00
RFP 3622	Environmental Research & Monitoring: Planning for Environmental Change in NYS	NYSERDA is seeking proposals from an organization that will conduct a comprehensive, collaborative, energy-related environmental research and monitoring planning exercise to assess and evaluate how fossil fuel combustion impacts New York State's ecosystems and how climate change may influence these impacts.	8/23/2017	10/3/2017	\$200,000.00
RFP 3702	Routine Sampling of Adirondack Long-Term Monitoring (ALTM) Lakes and Streams	NYSERDA is seeking proposals from knowledgeable and experienced organizations to conduct the routine sampling of Adirondack lakes and streams as part of the Adirondack Long Term Monitoring (ALTM) Program in coordination with State and Federal partners.	9/25/2017	10/26/2017	\$1,000,000.00
RFP 3628	FlexTech Consultant Statewide Services	NYSERDA requests proposals from firms interested in becoming FlexTech Consultants. FlexTech Consultants provide objective customized technical services to inform clean energy management and investment decisions. FlexTech Consultants may also be selected to provide support directly to NYSERDA on a variety of initiatives, pilots, and alternative approaches to identifying opportunities for implementation of clean energy and energy efficiency technologies.	7/24/2017	Continuous	No value was stated in the solicitation

## Solicitation Summary April 1, 2017 to September 30, 2017

RFP 3631	NYSERDA Commercial & Industrial Sector Market Engagement & Outreach	NYSERDA is issuing this solicitation to competitively select contractors with demonstrated experience and success in market engagement and knowledge of commercial and industrial (C&I) sectors in New York State to assist in the success of NYSERDA Clean Energy Fund (CEF) efforts.	7/28/2017	9/20/2017	\$4,675,000.00
PON 3308	Commercial Tenant Program	The goal of NYSERDA's Commercial Tenant Program is to integrate energy efficiency in commercial tenant office spaces. This program is open to all commercial office tenants at any stage of leasing and to those who wish to improve the office space they currently occupy. The program encourages tenants, landlords, and their consultants to work collaboratively to enhance the overall energy and environmental performance of commercial office buildings in New York State.	7/26/2017	7/31/2019	\$5,750,000.00
PON 3413	Clean Energy Incubators	This New York State Energy Research and Development Authority (NYSERDA) Program Opportunity Notice (PON) 3413, Clean Energy Incubators, seeks proposals to catalyze the continued development and growth of a vibrant, self-sustaining clean energy innovation ecosystem in New York State through the support of clean energy business incubators.	6/29/2017	11/29/2017	\$3,700,000.00
PON 3653	Air-Source Heat Pump Program	NYSERDA has made up to \$10.95 million available to support the installation of air-source heat pump (ASHP) systems in residential sites to include single-family and multifamily buildings. Funding is available only to ASHP installers that have been approved by NYSERDA and have installed program-qualified ASHP systems.	8/17/2017	12/31/2020	\$10,950,000.00
RFP 3545	Residential Program Management Software	NYSERDA is seeking proposals for program management software for the NY Residential Existing Homes Programs. The objective of this RFP is to award a contract to provide a common web-based data and process management platform to be used by multiple stakeholders, including program administration staff, contractors, customers, lenders, and outreach organizations.	8/18/2017	9/21/2017	No value was stated in the solicitation
RFP 3634	Salesforce Application Development	NYSERDA requests proposals from providers interested in delivering design and build services for the implementation of Salesforce.	8/21/2017	9/12/2017	No value was stated in the solicitation
RFP 3588 - Revised	Community Energy Engagement	NYSERDA requests proposals from qualified organizations to provide locally-based engagement (energy awareness and education) services via the Community Energy Engagement Program to drive energy efficiency and renewable energy deployment to residential, multifamily, and small business customers.	8/18/2017	10/10/2017	\$979,882.00
RFP 3675 - Revised	REV Campus Challenge – Energy to Lead Competition 2017	NYSERDA will award up to \$3 million, ranging from \$250,000 to \$1,000,000 per award, to the institutions with the leading solutions for implementing replicable clean energy projects that significantly reduce greenhouse gas emissions.	8/22/2017	1/29/2018	\$3,000,000.00

## Solicitation Summary April 1, 2017 to September 30, 2017

RFP 3683	Remote Energy Management Program	NYSERDA is seeking creative proposals from Remote Energy Management (REM) service providers that will utilize whole-building level energy data analytics to support energy management, provide insights on energy savings opportunities, and carry out implementation support activities and/or services that will help customers leverage those insights to achieve energy savings.	9/11/2017	10/30/2017	\$3,000,000.00
PON 3298 - Revised	Clean Energy Communities Program	Local governments are critical partners in achieving a new energy vision for New York State. As such, municipal leaders play a critical role in affecting energy choices in their communities, both in terms of government operations, and also across homes, businesses, and community institutions. The Clean Energy Communities Program provides grants, direct technical support to communities, and recognition to local governments that demonstrate leadership in the area of clean energy.	8/2/2017	9/30/2019	\$250,000.00
PON 3585	Energy Storage - Product Development	This solicitation is focused on advancing, developing and field testing those storage technologies that will address cost, performance and integration challenges in NY State. Only innovative storage technologies which are yet to be commercialized will be considered in this PON.	6/22/2017	7/20/2017	\$6,300,000.00
PON 3585 - Revised - Round 2	Energy Storage - Product Development	This solicitation is focused on advancing, developing and field testing those storage technologies that will address cost, performance and integration challenges in NY State. Only innovative storage technologies which are yet to be commercialized will be considered in this PON.	9/7/2017	11/2/2017	\$6,300,000.00
PON 3106 - Revised	Streamlined Permitting Grants	Funding is available for communities to adopt streamlined permitting processes or other ordinances for solar electric systems and electric vehicle supply equipment (EVSE).	4/24/2017	9/30/2019	\$712,500.00
PON 3405	Drive Clean Rebate	The Drive Clean Rebate offers New York State residents a point-of-sale rebate of up to \$2,000 towards the purchase or lease of a new electric car. Eligible vehicles include all-electric cars, plug-in hybrid electric cars, and fuel cell electric cars. Rebates are provided directly by car dealers and are taken off the purchase or lease price of the car.	6/19/2017	12/30/2021	\$2,000.00



NY-Sun Financial Incentives  
Program Opportunity Notice (PON) 2112 - Rev. 22  
April 13, 2017  
\$384,100,099.00\*

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

The New York State Energy Research and Development Authority (NYSERDA) provides cash incentives and/or financing for the installation by Contractors/Builders of new grid-connected Electric Photovoltaic (PV) systems that are 25kW or less for residential sites in all regions, 200 kW or less for small commercial sites in ConEd and Upstate regions, and 500 kW or less for small commercial sites in PSEG Long Island region. Funding for the NY-Sun Incentive and/or Financing Program (“Program”) has been allocated by the New York State Renewable Portfolio Standard and Regional Greenhouse Gas Initiative and the Order Authorizing Funding and Implementation of the Solar Photovoltaic MW Block Programs, dated April 24<sup>th</sup>, 2014.

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

\*Current available incentives can be found here: [nyserda.ny.gov/small-solar-dashboard](http://nyserda.ny.gov/small-solar-dashboard).

Total funding includes all funding available as of date noted from all funding sources. RGGI NYPA funding is shared by PON 3082.

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

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

Contractor Eligibility Application submission: Potential Contractors may apply on-line at: [nyserda.ny.gov/become-a-solar-contractor](http://nyserda.ny.gov/become-a-solar-contractor), or submit one [1] clearly labeled, completed and signed Contractor Application package to:

**Contractor Application PON 2112**  
**Attn: Leslie Polsinello, Project Manager**  
**NYS Energy Research and Development Authority**  
**17 Columbia Circle**  
**Albany, NY 12203-6399**  
**Or by email to [leslie.polsinello@nyserda.ny.gov](mailto:leslie.polsinello@nyserda.ny.gov).**

Contractor Application questions may be sent to [leslie.polsinello@nyserda.ny.gov](mailto:leslie.polsinello@nyserda.ny.gov). Please reference PON 2112 when contacting NYSERDA with questions.

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

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

## I. INTRODUCTION

### WHAT IS THE NY-Sun Incentive Program?

The New York State Energy Research and Development Authority (NYSERDA) provides cash incentives and/or financing for the installation by Contractors/Builders of new grid-connected Electric Photovoltaic (PV) systems that are 25kW or less for residential sites in all regions, 200kW or less for small commercial sites in ConEd and Upstate regions, 500kW or less for small commercial sites in PSEG Long Island region. Funding for the NY-Sun Incentive and/or financing ("Program") has been allocated by the New York State Renewable Portfolio Standard and Regional Greenhouse Gas Initiative and Order Authorizing Funding and Implementation of the Solar Photovoltaic MW Block Programs, dated April 24<sup>th</sup>, 2014.

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

### HOW DOES THE PROGRAM WORK?

#### Standard incentive

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

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

#### Affordable Solar additional incentive

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

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

1. NABCEP (North American Board of Certified Energy Practitioners) PV Installation Professional Certification: Builders who choose to become credentialed through NABCEP must have a NABCEP Certified PV Installation Professional on staff.
2. IBEW-NECA Electrical Journeyman & Apprentice Training (International Brotherhood of Electrical Workers and National Electrical Contractors Association): Builders who choose to become credentialed through the IBEW must have a journeyman electrician who has completed an IBEW/NECA, NABCEP, or UL approved 40-hour PV training course on staff.
3. UL (Underwriters Labs) PV System Installer: Builders who choose to become credentialed through UL must have a UL certified PV System Installer on staff.

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

In addition to financing that may be offered through a Contractor, the Program offers financing through Green Jobs-Green New York (GJGNY) Information on financing options, terms and qualification criteria can be found on NYSEDA's web site at the following link: <http://www.nyserda.ny.gov/All-Programs/Programs/Residential-Financing-Options>. Contractor tools to facilitate customer use of GJGNY financing are attached to this solicitation.

## II. PROGRAM REQUIREMENTS

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

### Energy Efficiency Assessment.

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

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

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

**Incentive highlights:**

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

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

III. **ADDITIONAL INFORMATION AND ATTACHMENTS, please visit:** [nyserdera.ny.gov/solar-contractor-resources](https://nyserdera.ny.gov/solar-contractor-resources)



**Streamlined Permitting Grants  
Program Opportunity Notice (PON) 3106  
Up to \$712,500 Available**

**Funding Available on a first-come, first-serve basis through an open enrollment solicitation. NYSERDA will continue to accept applications through the [Consolidated Funding Application \(CFA\)](#) until 4:00p.m. Eastern Time on September 30, 2019, until funds are exhausted, or until the solicitation is revised by NYSERDA, whichever comes first.**

*Please check for the latest version of this solicitation by visiting the NYSERDA website at [www.nyserda.ny.gov](http://www.nyserda.ny.gov).*

***Eligible Applicants***

Streamlined Permitting Grants (formerly Cleaner Greener Communities Program, Category 1) is targeted to support Cities, Towns, Villages, or other entities having jurisdiction for permitting, land use planning, and zoning are eligible applicants. The applicant, if successful, will have a contractual obligation to NYSERDA and will act as the main point of contact for NYSERDA for all project-related matters.

***Project Eligibility***

Funding is available for communities to adopt streamlined permitting processes or other ordinances for solar electric systems and electric vehicle supply equipment (EVSE).

Applicants must demonstrate that they have adopted a streamlined permitting process for installing Photovoltaic (PV) systems and/or Electric Vehicle Supply Equipment (EVSE) stations or zoning and parking ordinances that specifically accommodate EVSE. Applicants may apply for awards by adopting one or both of the streamlined permitting processes outlined below. Total award amounts are capped at \$5,000 per applicant for applicants representing a population of up to 30,000 residents and \$10,000 per applicant for applicants representing a population larger than 30,000 residents. Applications will be accepted pending NYSERDA approval of the following documentation demonstrating streamlined permitting process elements. Applications must be submitted after all work has been completed with all relevant documentation attached.

**I. STREAMLINED EVSE PERMITTING PROCESS OR ZONING/PARKING ORDINANCES:**

Funding will be awarded in the amount of \$2,500 per project for applicants representing a population of up to 30,000 residents and \$5,000 per project for applicants representing a population larger than 30,000 residents. To be eligible for funding, applicants must demonstrate that the Program Participation Requirements outlined below have been met. For more information, please reference the “Creating EV-Ready Towns and Cities: A Guide to Planning and Policy Tools” document.

**Requirements** (Must complete either 1a or 1b AND either 2a or 2b):

For both (1a) and (1b), jurisdictions should also demonstrate that fees for EVSE installations are in line with other similar procedures in the jurisdiction and incorporate a step into the permitting process by which the building owner must notify the local electric utility of the EVSE installation.

1a. Existing Minor Work Processes: Several jurisdictions have chosen to label residential EVSE as “minor work”, classifying it on the same level as a large electrical appliance. This implies that the EVSE installation will be straightforward, without much custom work or electrical service upgrades. Labeling it as minor work can lower the cost of the permit and the time required to execute the process. Some jurisdictions have a simplified residential EVSE permit form that can be used if specific conditions are met (e.g., installation is in a private garage, electrical service to the house is at least 200 amps, and EVSE does not exceed 200 amps). Applicants must demonstrate that they have updated their permitting process to define EVSE installations as “minor work” and that the permitting process for EVSE installations now consists of a simplified application process and permitting fees consistent with similar “minor work.”

OR

1b. Permitting Template: Where the existing permitting procedures do not properly facilitate EVSE installations, municipalities can use a separate permit specific to EVSE. Having such a permit suggests a jurisdiction has researched the EVSE installation process in general. Applicants must demonstrate that they have adopted a permitting procedure based on the model permitting template created by The Alternative Fuels Data Center at the U.S. Department of Energy, which can be found at: [http://www.afdc.energy.gov/pdfs/EV\\_charging\\_template.pdf](http://www.afdc.energy.gov/pdfs/EV_charging_template.pdf). Applicants must also require installers to complete an EVSE load calculation worksheet.

AND

2a. Zoning: Municipalities can ease the way for further installation of EVSE by clarifying zoning ordinances. Applicants must submit documentation of zoning ordinance amendments that define “electric vehicle charging station” and what type of electric vehicle charging is permissible in each zoning category or define “electric vehicle charging” as an accessory use for appropriate zoning categories.

OR

2b. Parking: Municipalities can encourage drivers to use EVs through their parking ordinances by providing discounted or free parking to EV drivers and barring cars that are not charging from parking in designated EVSE-adjacent parking spaces. Applicants must submit documentation of parking ordinance amendments that eliminate hourly parking fees at public lots for EVs (only eligible if there are hourly fees for parking in the municipality) and bar cars that are not charging from parking in designated EVSE-adjacent parking spaces.

## II. STREAMLINED PV PERMITTING APPLICATION PROCESS:

Funding will be awarded in the amount of \$2,500 per project for applicants representing a population of up to 30,000 residents and \$5,000 per project for applicants representing a population larger than 30,000 residents. To be eligible for funding, applicants must demonstrate that all of the Program Participation Requirements outlined below have been met.

## **Requirements:**

1. Applicants located outside of Nassau County and Suffolk County (Long Island) must demonstrate that they have adopted a permitting procedure based on the NYS Standard Solar Permitting Form.
2. Applicants within Nassau County and Suffolk County (Long Island) must demonstrate that they have adopted a permitting procedure based on the Long Island Power Authority's "Solar Energy System Fast Track Permit Application. Applicants that already received incentives from LIPA for adopting these streamlined permitting processes are not eligible to receive more funding through NYSERDA.

### ***Ineligible Projects***

Projects must meet eligibility requirements outlined in the section of this document entitled "Project Eligibility."

### ***Application Process***

Applications will be accepted through the Consolidated Funding Application (CFA). Applicants should contact [CGC@nyserda.ny.gov](mailto:CGC@nyserda.ny.gov) for guidance.

NYSERDA will review applications until September 30, 2019, until funds are exhausted, or until the solicitation is revised by NYSERDA, whichever comes first. A separate CFA must be completed for each unique project. The Streamlined EVSE Permitting Process is considered a unique project as is the Streamlined PV Permitting Application Process. Applications must be submitted **after** all work has been completed with all relevant documentation attached.

## **EXHIBIT B TERMS & CONDITIONS**

### **1. Amounts Payable**

The project incentive is an amount, based on the population size that the applicant represents at the time of application. In no case shall payment exceed \$10,000. NYSERDA reserves the right to adjust the incentive amount and seek a refund for the incentives paid if, at any time, it learns that the agreed upon permitting process, zoning or other ordinance was not implemented in accordance with the Program guidelines.

### **2. Project Incentive Payments**

NYSERDA shall pay the Project Incentive, in one payment, upon receipt of a completed application with all of the relevant documentation attached.

### **3. Indemnification**

The Applicant shall protect, indemnify, and hold harmless NYSERDA and the State of New York from and against all liabilities, losses, claims, damages, judgments, penalties, causes of action, costs and expenses (including, without limitation, attorneys' fees and expenses) imposed upon or incurred by or asserted against NYSERDA or the State of New York resulting from, arising out of or relating to the performance of this Agreement. The obligations of the Applicant under this section shall survive any expiration or termination of this Agreement.

#### **4. Release by the Applicant**

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

#### **5. No Warranties**

(a) NYSERDA does not endorse, guarantee, or warrant any particular manufacturer or product, and NYSERDA provides no warranties, expressed or implied, for any product or services. The Applicant's reliance on warranties is limited to any warranties that may arise from, or be provided by contractors, vendors, etc.

(b) NYSERDA does not make any representations of any kind regarding the results to be achieved by the Project or the adequacy or safety of such measures.

#### **6. Changes in the Program**

The Terms and Conditions may be changed by NYSERDA at any time without notice. Approved participants, however, will be processed to completion under the Terms and Conditions in effect at the time of application to NYSERDA.

#### **7. Limit of Incentive Payments**

NYSERDA reserves the right, for any reason, to stop approving program applications at any time without notice.

#### **8. Vendor Selection**

NYSERDA acknowledges that the Applicant may select any vendor or contractor to perform the work contemplated by this Application. The Applicant acknowledges that NYSERDA has the right not to allow a vendor or contractor to participate in this Program.

#### **9. Maintenance of Records and Audit**

The Applicant shall keep, maintain, and preserve for a period of three years after receipt of the incentives, full and detailed books, accounts, and records pertaining to the performance of this Agreement.

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

#### **10. Reporting**

The following reports may be requested by NYSERDA and the applicant is required to provide them upon request: (1) total number of PV systems and/or EVSE stations installed in the year before the streamlined permitting process or other ordinance was adopted; and (2) total number of PV systems and/or EVSE stations installed in the year after the streamlined permitting process or other ordinance was adopted.

## **11. Miscellaneous**

(a) This Agreement (the application and these Terms and Conditions) is the entire agreement between the parties and supersedes all other communications and representations. (b) If either NYSERDA or the Applicant desires to modify this Agreement, the modification must be in writing and signed by an authorized representative of the party against which enforcement of the modification is sought. (c) NYSERDA reserves the right to cancel this Agreement in the case that program terms and conditions are not met.

## **EXHIBIT B PART 504 PROMPT PAYMENT POLICY STATEMENT**

### **1. Section 504.1: Purpose and Applicability**

(A) The purpose of this Part is to implement section 2880 of the Public Authorities Law by detailing the authority's policy for making payment promptly on amounts properly due and owing by the authority under contracts. This Part constitutes the authority's prompt payment policy statement as required by that section.

(B) This Part generally applies to payments due and owing by the authority to a person or business in the private sector under a contract it has entered into with the authority on or after May 1, 1988. This Part does not apply to payments due and owing:

(1) under the Eminent Domain Procedure Law;

(2) as interest allowed on judgments rendered by a court pursuant to any provision of law except Section 2880 of the Public Authorities Law;

(3) to the federal government; to any state agency or its instrumentalities; to any duly constituted unit of local government, including but not limited to counties, cities, towns, villages, school districts, special districts or any of

their related instrumentalities; to any other public authority or public benefit corporation; or to its employees when acting in, or incidental to, their public employment capacity;

(4) if the Authority is exercising a legally authorized set-off against all or part of the payment; or

(5) if other State or federal law or rule or regulation specifically requires otherwise.

### **2. Section 504.2: Definitions as used in this part, the following terms shall have the following meanings, unless the context shall indicate another or different meaning or intent:**

(A) "Authority" means the New York State Energy Research and Development Authority.

(B) "Contract" means an enforceable agreement entered into between the Authority and a contractor.

(C) "Contractor" means any person, partnership, private corporation, or association:

(1) selling materials, equipment or supplies or leasing property or equipment to the Authority pursuant to a contract;

(2) constructing, reconstructing, rehabilitating or repairing buildings, highways or other improvements for, or on behalf of, the Authority pursuant to a contract; or

(3) rendering or providing services to the Authority pursuant to a contract.

(D) "Date of payment" means the date on which the Authority requisitions a check from its statutory fiscal agent, the Department of Taxation and Finance, to make a payment.

(E) "Designated payment office" means the Office of the Authority's Controller, located at 17 Columbia Circle, Albany, New York 12203.

(F) "Payment" means provision by the Authority of funds in an amount sufficient to satisfy a debt properly due and owing to a contractor and payable under all applicable provisions of a contract to which this Part applies and of law, including but not limited to provisions for retained amounts or provisions that may limit the Authority's power to pay, such as claims, liens, attachments or judgments against the contractor that have not been properly discharged, waived or released.

**(G)** “Prompt payment” means a payment within the time periods applicable pursuant to Sections 504.3 through 504.5 of this Part in order for the Authority not to be liable for interest pursuant to Section 504.6.

**(H)** “Payment due date” means the date by which the date of payment must occur, in accordance with the provisions of Sections 504.3 through 504.5 of this Part, in order for the Authority not to be liable for interest pursuant to Section 5.06.

**(I)** “Proper invoice” means a written request for a contract payment that is submitted by a contractor setting forth the description, price or cost, and quantity of goods, property or services delivered or rendered, in such form, and supported by such other substantiating documentation, as the Authority may reasonably require, including but not limited to any requirements set forth in the contract; and addressed to the Authority’s Controller, marked “Attention: Accounts Payable,” at the designated payment office or submitted electronically to [invoices@nyserda.org](mailto:invoices@nyserda.org).

**(J) (1)** “Receipt of an invoice” means:

**(i)** if the payment is one for which an invoice is required, the later of:

**(a)** the date on which a proper invoice is actually received in the designated payment office during normal business hours; or

**(b)** the date by which, during normal business hours, the Authority has actually received all the purchased goods, property or services covered by a proper invoice previously received in the designated payment office.

**(ii)** if a contract provides that a payment will be made on a specific date or at a predetermined interval, without having to submit a written invoice the 30th calendar day, excluding legal holidays, before the date so specified or predetermined.

**(2)** For purposes of this subdivision, if the contract requires a multifaceted, completed or working system, or delivery of no less than a specified quantity of goods, property or services and only a portion of such systems or less than the required goods, property or services are working, completed or delivered, even though the Contractor has invoiced the Authority for the portion working, completed or delivered, the Authority will not be in receipt of an invoice until the specified minimum amount of the systems, goods, property or services are working, completed or delivered.

(K) “Set-off” means the reduction by the Authority of a payment due a contractor by an amount equal to the amount of an unpaid legally enforceable debt owed by the contractor to the Authority.

### **3.Section 504.3 Prompt payment schedule**

Except as otherwise provided by law or regulation or in Sections 504.4 and 504.5 of this Part, the date of payment by the Authority of an amount properly due and owing under a contract shall be no later than 30 calendar days, excluding legal holidays, after such receipt.

### **4.Section 504.4 Payment procedures**

(A) Unless otherwise specified by a contract provision, a proper invoice submitted by the contractor to the designated payment office shall be required to initiate payment for goods, property or services. As soon as an invoice is received in the designated payment office during normal business hours, such invoice shall be date-stamped. The invoice shall then promptly be reviewed by the Authority.

(B) The Authority shall notify the contractor within 15 calendar days after receipt of an invoice of:

(1) any defects in the delivered goods, property or services;

(2) any defects in the invoice; and

(3) suspected improprieties of any kind.

(C) The existence of any defects or suspected improprieties shall prevent the commencement of the time period specified in Section 504.3 until any such defects or improprieties are corrected or otherwise resolved.

(D) If the Authority fails to notify a contractor of a defect or impropriety within the 15 calendar day period specified in subdivision (b) of this section, the sole effect shall be that the number of days allowed for payment shall be reduced by the number of days between the 15th day and the day that notification was transmitted to the contractor. If the Authority fails to provide reasonable grounds for its contention that a defect or impropriety exists, the sole effect shall be that the payment due date shall be calculated using the original date of receipt of an invoice.

(E) In the absence of any defect or suspected impropriety, or upon satisfactory correction or resolution of a defect or suspected impropriety, the Authority shall make payment, consistent with any such correction or resolution and the provisions of this Part.

**5.Section 504.5 Exceptions and extension of payment due date** The Authority has determined that, notwithstanding the provisions of Sections 504.3 and 504.4 of this Part, any of the following facts or circumstances, which may occur concurrently or consecutively, reasonably justify extension of the payment due date:

(A) If the case of a payment, which a contract provides will be made on a specific date or at a predetermined interval, without having to submit a written invoice, if any documentation, supporting data, performance verification, or notice specifically required by the contract or other State or federal mandate has not been submitted to the Authority on a timely basis, then the payment due date shall be extended by the number of calendar days from the date by which all such matter was to be submitted to the Authority and the date when the Authority has actually received such matter.

(B) If an inspection or testing period, performance verification, audit or other review or documentation independent of the contractor is specifically required by the contract or by other State or federal mandate, whether to be performed by or on behalf of the Authority or another entity, or is specifically permitted by the contract or by other State or federal provision and the Authority or other entity with the right to do so elects to have such activity or documentation undertaken, then the payment due date shall be extended by the number of calendar days from the date of receipt of an invoice to the date when any such activity or documentation has been completed, the Authority has actually received the results of

such activity or documentation conducted by another entity, and any deficiencies identified or issues raised as a result of such activity or documentation have been corrected or otherwise resolved.

**(C)** If an invoice must be examined by a State or federal agency, or by another party contributing to the funding of the contract, prior to payment, then the payment due date shall be extended by the number of calendar days from the date of receipt of an invoice to the date when the State or federal agency, or other contributing party to the contract, has completed the inspection, advised the Authority of the results of the inspection, and any deficiencies identified or issues raised as a result of such inspection have been corrected or otherwise resolved.

**(D)** If appropriated funds from which payment is to be made have not yet been appropriated or, if appropriated, not yet been made available to the Authority, then the payment due date shall be extended by the number of calendar days from the date of receipt of an invoice to the date when such funds are made available to the Authority.

**6. Section 504.6 Interest eligibility and computation**

If the Authority fails to make prompt payment, the Authority shall pay interest to a contractor on the payment when such interest computed as provided herein is equal to or more than ten dollars. Interest shall be computed and accrue at the daily rate in effect on the date of payment, as set by the New York State Tax Commission for corporate taxes pursuant to Section 1096(e)(1) of the Tax Law. Interest on such a payment shall be computed for the period beginning on the day after the payment due date and ending on the date of payment.



**7. Section 504.7 Sources of funds to pay interest**

Any interest payable by the Authority pursuant to this Part shall be paid only from the same accounts, funds, or appropriations that are lawfully available to make the related contract payment.

**8. Section 504.8 Incorporation of prompt payment policy statement into contracts**

The provisions of this Part in effect at the time of the creation of a contract shall be incorporated into and made a part of such contract and shall apply to all payments as they become due and owing pursuant to the terms and conditions of such contract, notwithstanding that the Authority may subsequently amend this Part by further rulemaking.

**9. Section 504.9 Notice of objection**

Unless a different procedure is specifically prescribed in a contract, a contractor may object to any action taken by the Authority pursuant to this Part that prevents the commencement of the time in which interest will be paid by submitting a written notice of objection to the Authority. Such notice shall be signed and dated and concisely and clearly set forth the basis for the objection and be addressed to the Vice President, New York State Energy Research and Development Authority, at the address set forth in Section 504.2(e). The Vice President of the Authority, or his or her designee, shall review the objection for purposes of affirming or modifying the Authority's action. Within 15 working days of the receipt of the objection, the Vice President, or his or her designee, shall notify the contractor either that the Authority's action is affirmed or that it is modified or that, due to the complexity of the issue, additional time is needed to conduct the review; provided, however, in no event shall the extended review period exceed 30 working days.

**10. Section 504.10 Judicial Review**

Any determination made by the Authority pursuant to this Part, which prevents the commencement of the time in which interest will be paid is subject to judicial review in a proceeding pursuant to Article 78 of the Civil Practice Law and Rules. Such proceedings shall only be commenced upon completion of the review procedure specified in Section 504.9 of this Part or any other review procedure that may be specified in the contract or by other law, rule, or regulation.

**11. Section 504.11 Court action or other legal processes**

(A) Notwithstanding any other law to the contrary, the liability of the Authority to make an interest payment to a contractor pursuant to this Part shall not extend beyond the date of a notice of intention to file a claim, the date of a notice of a claim, or the date commencing a legal action for the payment of such interest, whichever occurs first.

(B) With respect to the court action or other legal processes referred to in subdivision (a) of this section, any interest obligation incurred by the Authority after the date specified therein pursuant to any provision of law other than Public Authorities Law Section 2880 shall be determined as prescribed by such separate provision of law, shall be paid as directed by the court, and shall be paid from any source of funds available for that purpose.

**12. Section 504.12 Amendments**

These regulations may be amended by resolution of the Authority, provided that the Chair, upon written notice to the other Members of the Authority, may from time to time promulgate nonmaterial amendments of these regulations.

## **EXHIBIT C GENERAL CONDITIONS**

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

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

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

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

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

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

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

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

## **NYSERDA**

Toll Free: 1.866.NYSERDA

www.nyserda.ny.gov

info@nyserda.org

Albany Office: 17 Columbia Circle Albany, NY 12203 518.862.1090

New York City Office: 10th Floor, Suite 1006 485 Seventh Avenue New York, NY 10018 212.971.5342

**Buffalo Office: 726 Exchange Street, Suite 821 Buffalo, NY 14210 716.842.1522 GENERAL CONDITIONS**

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

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

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

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

**Tax Law Section 5-a** – NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. *See*, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf)). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department. The Department has created a second form that must be completed by a prospective contractor prior to contacting and filed with NYSERDA. *See*, ST-220-CA (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220ca\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

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

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

Empire State Development  
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625 Broadway  
Albany, NY 12207

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

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

### **CONTRACT AWARD**

NYSERDA may award a contract based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Category 2, 3 and 4 Sample Agreements to contract successful proposals. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the submitted proposal. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

### **LIMITATION**

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

### **DISCLOSURE REQUIREMENT**

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

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

**DISCLAIMER**

CFA must be submitted in order to be considered for funding. All projects must address the qualifications and eligibility requirements. NYSERDA reserves the right to issue revisions to this solicitation at any time. Any revisions will be announced and posted on NYSERDA's website at [www.nyserda.ny.gov](http://www.nyserda.ny.gov).

**ADDITIONAL RESOURCES**

Questions about this solicitation should be submitted to NYSERDA, in writing, at [CGC@nyserda.ny.gov](mailto:CGC@nyserda.ny.gov).

New York State Energy Research and Development Authority (NYSERDA)

# Clean Energy Communities Program

## Guidance Document

Program Opportunity Notice (PON) 3298

### APPLICATION DUE DATES

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



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## INTRODUCTION

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

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

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

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

## PROGRAM REQUIREMENTS

### Eligible Applicants

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

### Funding Levels

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

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

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



## **Application Process**

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

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

### **STEP 1: BECOME A CLEAN ENERGY COMMUNITY**

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

### **STEP 2: ACCESS GRANT FUNDING**

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

## STEP 1: BECOME A CLEAN ENERGY COMMUNITY

### Complete Four of Ten High-Impact Actions

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

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

The High-Impact Actions include:

**1. Benchmarking**

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

**2. Clean Energy Upgrades**

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

**3. LED Street Lights**

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

**4. Clean Fleets**

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

**5. Solarize**

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

**6. Unified Solar Permit**

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

**7. Energy Code Enforcement Training**

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

**8. Climate Smart Communities Certification**

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

**9. Community Choice Aggregation**

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

**10. Energize NY Finance**

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

# 1

## Benchmarking

Applicable to All Communities

### Rationale

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

### Requirements

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

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

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

#### **Benchmark**

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

#### **Report**

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

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

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

### Recommendations

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

### Resources

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

**Rationale**

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

**Requirements**

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

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

**Recommendations**

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

**Resources**

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

# 3

## LED Street Lights

Applicable to All Communities

### Rationale

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

### Requirements

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

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

### Recommendations

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

### Resources

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

# 4

## Clean Fleets

Applicable to All Communities

### Rationale

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

### Requirements

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

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

OR

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

### Recommendations

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

### Resources

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

**Rationale**

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

**Requirements**

Demonstrate completion of the Solarize action as follows:

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

OR

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

**Recommendations**

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

**Resources**

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

# 6

## Unified Solar Permit

Applicable to All Communities that Issue Building Permits

### Rationale

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

### Requirements

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

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

OR

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

### Recommendations

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

### Resources

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



# 7

## Energy Code Enforcement Training

Applicable to All Communities that Issue Building Permits

### Rationale

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

### Requirements

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

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

### Recommendations

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

### Resources

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

## Climate Smart Communities Certification

Applicable to All Communities

### Rationale

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

### Requirements

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

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

### Recommendations

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

### Resources

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

## Community Choice Aggregation

Applicable to all Cities, Towns, and Villages

### Rationale

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

### Requirements

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

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

### Recommendations

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

### Resources

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

**Rationale**

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

**Requirements**

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

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

**Recommendations**

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

**Resources**

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

## STEP 2: ACCESS GRANT FUNDING

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

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

### Eligible Project Types

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

### Ineligible Project Types

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

### Proposal Requirements

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

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

## Selection Criteria

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

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

## Project Benefits Metrics Report

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

## GENERAL CONDITIONS

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

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

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

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

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

**Tax Law Section 5-a** – NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf)). Prior

to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department. The Department has created a second form that must be completed by a prospective contractor prior to contacting and filed with NYSERDA. See, ST-220-CA (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220ca\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

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

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

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

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

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

### **Contract Award**

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

### **Limitation**

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

### **Disclosure Requirement**

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

**Disclaimer**

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

**Additional Resources**

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



Commercial Tenant Program  
Program Opportunity Notice (PON) 3308  
\$5.75 million in available funds  
REVISED JULY 2017

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

The goal of NYSERDA's Commercial Tenant Program (Program) is to integrate energy efficiency in commercial tenant office spaces (Office Space). Tenants consume more than half of all energy consumed in a typical commercial office building and represent a diverse market segment with a wide-ranging assortment of barriers and opportunities related to optimizing the energy efficiency of leased office spaces.

This Program is open to all commercial office tenants (Tenants) and commercial building owners and managers (Landlords) at any stage of leasing who wish to improve the Office Space they currently occupy. The Program encourages Tenants, Landlords and their consultants to work collaboratively to enhance the overall energy and environmental performance of commercial office buildings in New York State.

The Program provides funding to reduce the costs for Tenants and Landlords to obtain an actionable list of energy efficiency measures and a corresponding financial analysis. Funding ranges from 50% to 100% of the costs associated with this technical assistance effort.

By optimizing the energy performance of leased Office Spaces, Tenants can develop more supportive workplaces, achieve a competitive edge when it comes to attracting and retaining talent, increase the comfort and productivity of their employees, obtain recognition for leadership in energy efficiency, and realize energy bill savings. Landlords can increase the overall performance of a building, positioning it as an attractive, energy efficient asset that appeals to high quality, long-term, sophisticated tenants. Additionally, if base building systems run more efficiently, Landlords may see lower operating costs, and potentially, increased asset value. Architects, engineers and other third-party service providers that work with Tenants and Landlords to achieve the Program goals are also distinguishing themselves by offering a value-added service to their clients.

Architecture firms, engineering firms, energy consultants or other third-party entities well-versed in energy analysis and/or energy modeling can apply. Landlords, as well as Tenants, are also welcome to apply.

**How to Apply:**

Funding requests may be submitted via NYSERDA's online application portal. For detailed instructions, please refer to Section V (Application Requirements & Process Overview).

Applications can also be submitted electronically by sending the following required documentation to the Commercial Tenant Program at [commercialprograms@nyserda.ny.gov](mailto:commercialprograms@nyserda.ny.gov):

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

Applications may be submitted by mail to the following address:

NYSERDA  
Commercial Tenant Program  
17 Columbia Circle  
Albany, NY 12203

**Questions:**

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

This Solicitation is divided into the following components:

Section I	Introduction
Section II	Eligibility
Section III	Participation Tracks
Section IV	Project Payments
Section V	Application Requirements & Process Overview
Section VI	General Conditions
Section VII	Attachments

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

## I. INTRODUCTION

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Tenants occupying leased office space in commercial buildings can take advantage of opportunities to improve their work environments and generate value through strategic energy efficiency upgrades and thoughtful design solutions. In turn, Landlords intent on optimizing the performance of their buildings can engage their Tenants in energy efficiency activities for mutually beneficial outcomes.

The Program offers to cost share up to 100% of the expenses associated with conducting the energy analysis necessary to optimize Tenant Office Spaces. The information generated by the energy efficiency analysis can inform implementation decisions that optimize the energy performance of leased Office Space within a building. An Energy Consultant may use a variety of tools to identify such energy savings opportunities, from comprehensive energy modeling to a simple walk-through audit, depending on the needs of the Tenant and Office Space. Funding ranges from fifty percent (50%) to one hundred percent (100%) of the costs associated with this work depending on the analysis conducted.

There are two participation tracks, depending on the existing conditions of the Office Space and the Tenant's goals:

- 1. High Performance Track (Up to 100% cost share capped at \$50,000):** This track offers Tenants the development of an energy efficiency package for their Office Space. This package consists of a detailed energy analysis or energy model, a list of recommended energy efficiency and optimization measures for the Tenant Office Space, and a detailed financial analysis supporting the recommendations. The package presents various options or combinations of energy efficiency measures, taking into consideration their interactive effects, incremental cost impacts, and energy savings over the length of the lease. The track is appropriate for Tenants who are designing a new Office Space or planning a major renovation, or for Tenants who are looking to set and achieve higher energy performance targets in their current Office Space. This track assumes the tenant is interested in taking a comprehensive approach to integrating energy efficiency in their Office Space, and considering "above code" solutions that will drive best practices in the industry. At the onset of a project, Energy Consultants must determine whether they will develop an energy efficiency package based on an energy model, or use another energy analysis methodology.
- 2. Basic Track (100% cost share capped at \$5,000 per assessment per Office Space):** This track is best suited for Tenants who are interested in gaining a general understanding about their energy efficiency status and identify ways to improve their energy and environmental performance. This approach consists of a basic energy efficiency assessment to identify energy saving opportunities, benchmarking, goal setting and other relevant activities needed to help the Tenant plan for next steps in their energy efficiency improvement process. This track is appropriate for Tenants who may not have much time remaining on their lease, tenants occupying a small-to-medium size Office Space, or Tenants who wish to take a more incremental approach to implementing energy efficiency measures in their Office Space.

## II. ELIGIBILITY

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### APPLICANTS

Eligible Applicants include but are not limited to: commercial office tenants, commercial landlords (building owners and managers), architecture firms, engineering firms, and other third-party entities well-versed in energy analysis and/or energy modeling (Energy Consultants).

Landlords or Tenants applying to the Program must have identified an Energy Consultant that will perform the work. This Energy Consultant must meet the minimum requirements for qualification listed below, depending on the participation track they choose.

### SITES

- The space must be a commercial tenant office space, located in an existing building.
- Owner-occupied buildings are eligible.
- The Office Space must be currently leased by a Tenant, or in the process of being leased by a Tenant. However, Landlords wishing to develop an energy efficiency package for vacant Office Spaces in a building are eligible.
- The Tenant or the building where the leased Office Space is located must be a New York State electricity customer of a participating utility company and must pay into the System Benefits Charge (SBC).
  - Proof of SBC contribution is required at the time of Application. A Tenant without a utility bill in its name may instead submit a utility bill in the name of the building owner, showing the SBC contribution for the building.
- There is no minimum square footage threshold for eligible Tenant Office Spaces

### ENERGY CONSULTANTS

Energy Consultants must meet the qualifications criteria that correspond to the level of energy analysis they will be conducting for their customers:

#### **A. High Performance Track – Option 1: Energy Modeling**

Energy Consultants wishing to perform energy modeling in the High Performance Track of the Program must either be approved as Energy Modeling Partners under NYSEERDA's RFP 3036 (New Construction and Codes Partner Services), qualified as a FlexTech Consultant under RFP 3628, or provide documentation that proves compliance with the following qualifications criteria:

- **Company experience:** At least five (5) years of energy efficiency experience (i.e. executed energy audits or demand response projects).
- **Staff:** At least one (1) staff member experienced in whole building energy modeling (the energy modeler) or a subcontractor that meets these qualifications. Please provide the energy modeler's resume showing evidence of the following:
  - Three (3) years of experience in building modeling
  - Experience with energy modeling following ASHRAE Standard 90.1 Appendix G
  - Energy modeling training (eQUEST, EnergyPlus, or equivalent energy modeling tool), OR evidence of at least two (2) energy models since 2009 validated by an independent third party (e.g. LEED)

- **Energy models:** Two (2) building or tenant-level energy models for review by a NYSERDA Technical Reviewer, with the following supporting documentation:
  - Name of the energy modeler on the project (must be a current member of the Energy Consultant’s team)
  - Brief narrative describing project context and timeline
  - Current project status and project outcomes (i.e. recommended measures installed)
  - Simulation protocol used (e.g. ASHRAE 90.1 2010 Appendix G), stating which energy code was followed
  - Description of energy efficiency measures
  - Backup documentation which may include but is not limited to input and output modeling files (as requested by the Technical Reviewer)

**B. High Performance Track – Option 2: Detailed Energy Analysis**

Energy Consultants wishing to perform detailed energy analyses in the High Performance Track of the Program, must either be qualified as a FlexTech Consultant under RFP 3628 or provide documentation that proves compliance with the following criteria:

- **Company experience:** At least five (5) years of energy efficiency experience (i.e. executed energy audits or demand response projects).
- **Staff:** Provide the resume(s) that highlight *recent* experience of the personnel who will be directly involved in providing the technical services.
- **Work Sample:** Submit two (2) final reports for energy related work completed within the past two years, for an existing and occupied facility. The associated project scope of work and budget must be attached.

The report must include:

- An executive summary (not to exceed 10 pages) that outlines the project background, results, and recommendations.
- Adequate calculations and data to support the energy savings estimates.
- A list of personnel who completed the study sample.
- The customer’s contact information for reference checks.

**C. Basic Track - Energy Assessments**

Energy Consultants wishing to perform basic energy assessments in the Basic Track must either be qualified as a FlexTech Consultant under RFP 3628 or provide documentation that proves compliance with the following criteria:

- **Company experience:** At least three (3) years of energy efficiency experience (i.e. executed energy audits or demand response projects).
- **Staff:** Provide the resume(s) that highlight *recent* experience of the personnel who will be directly involved in providing the technical services.
- **Work Sample:** Submit two (2) final reports for energy related work completed within the past two years, for an existing and occupied facility. The associated project scope of work and budget must be attached.

The report must include:

- An executive summary (not to exceed 10 pages) that outlines the project background, results, and recommendations.
- Calculations and data to support the energy savings estimates.
- A list of personnel who completed the study sample.
- The customer’s contact information for reference checks.

### III. PARTICIPATION TRACKS

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#### A. HIGH PERFORMANCE TRACK

This track offers Tenants the opportunity to develop an energy efficiency package for their Office Space. This package consists of a detailed energy analysis or energy model, a list of recommended energy efficiency and optimization measures for the Tenant Office Space, and a detailed financial analysis supporting the recommendations. The package presents various options or combinations of energy efficiency measures, taking into consideration their interactive effects, incremental cost impacts, and energy savings over the length of the lease. This track is appropriate for Tenants who are designing a new Office Space or planning a major renovation, or for Tenants who are looking to set and achieve higher energy performance targets in their current Office Space. This track assumes the Tenant is interested in taking a comprehensive approach to integrating energy efficiency in their Office Space, and considering “above code” solutions that will drive best practices in the industry.

#### ENERGY EFFICIENCY PACKAGES

The Program provides up to 100% funding for the development of two (2) different types of energy efficiency packages:

- **Custom package:** A custom package is developed for a specific Tenant Office Space in a specific building. It includes a detailed energy analysis or energy model of the Office Space, a list of energy efficiency measures and a detailed financial analysis – and it is intended to inform the Office Space design or comprehensive improvement of the Office Space. It takes into account the Tenant’s unique programmatic requirements, performance targets and sustainability goals. Funding for this package ranges from 50% to 100% of eligible project costs.
- **Generic package:** A generic package is developed for a “typical” Office Space in a specific building. This option exists for Landlords who are interested in using the information identified in the generic package as an added amenity for Tenants. It includes a detailed energy analysis or energy model of a typical Office Space, a list of energy efficiency measures applicable to typical Tenant Office Spaces in the building (based on the characteristics of the base building systems), and a financial analysis. It is intended to facilitate the conversation about energy efficiency between Landlords and their Tenants – both new and existing. Funding for this package ranges from 50% to 100% of eligible project costs.

Some examples of how a Landlord might utilize a generic package include:

- Incorporating the package in standard leasing packets, illustrating a Landlord’s commitment to energy efficiency and optimization of Tenant Office Spaces. The package becomes an added amenity that can be provided to prospective and incoming Tenants. In turn, Tenants can use the recommendations contained to inform their Office Space design.
- Using the package as a tool for tenant engagement, to spark the conversation about energy efficiency with existing Tenants.
- Using the package as a tool to optimize the energy performance of pre-built Office Space or test fit-outs (built-to-suit Office Spaces).
- Commissioning the package to inform the development of energy efficiency standards for a building.

Note: For buildings where an energy model has been previously created, the model can be revised to create a generic package.

## **SCOPE OF WORK REQUIREMENTS & DELIVERABLES**

The scope of work, to be submitted with the Application, is a concise document containing 1) project background and the type of energy efficiency package being proposed, 2) a description of the site -- including a description of existing conditions and systems, and 3) a description of the tasks required to develop the energy efficiency package and the methodology used for analysis (energy modeling, excel spreadsheet analysis, etc.). These tasks are applicable to the development of a custom and generic energy efficiency packages.

*Note: All energy modeling tasks shall follow the guidelines outlined in the Program's Energy Modeling Guidelines (Attachment E). All modeled / proposed energy efficiency measures must exceed the current energy code.*

1. **Survey:** Onsite building survey, including a walkthrough of the Tenant Office Space, and data collection
2. **Coordination meeting(s):** The Energy Consultant will participate in the Tenant Office Space design process and assist in identifying potential energy efficiency measures. The Energy Consultant shall hold kick-off discussions, meetings, and/or review of early stage project documentation relevant to the most significant areas of Tenant Office Space energy use.
3. **Development of energy model baseline (for energy modeling projects only):** If an energy model is pursued, the Energy Consultant shall develop the baseline energy model of the Tenant Office Space. For all new Tenant fit-outs and major renovation projects, the baseline shall be in accordance with ASHRAE Standard 90.1 2013, the Energy Efficiency Construction Code of New York State, and NYSERDA Program requirements (see the Program Energy Modeling Guidelines in Attachment E).

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

4. **Development of design options:** The Energy Consultant will develop a list of design options for consideration in the energy model if one is developed, or through other means of detailed energy analysis, including: high efficiency systems, external and internal load reduction, lighting, plug load, and other energy savings opportunities. This will result in the development of a preliminary list of energy efficiency measures to be fully evaluated. The Energy Consultant shall then model or analyze the energy efficiency measures as adaptations of the baseline case. By considering a variety of options that can be combined in different ways and include interactive effects among measures, a Tenant can select the most appropriate options for final modeling or analysis.

*The energy efficiency package must include measures that exceed the current Energy Conservation and Construction Code of New York State (ECCCNYS) requirements for at least two (2) of the following five (5) building systems: lighting, heating, ventilation and air conditioning (HVAC), service water heating, unregulated loads and process loads, or building envelope.*

Deliverable:

- The list of the preliminary energy efficiency measures proposed to the client shall be provided to the NYSERDA Project Manager. This list shall also be shared with the Landlords when the Landlord is leading the Tenant Office Space fit-out process.

- 5. Detailed energy analysis or development of final model (for energy modeling projects only):** The Energy Consultant will work with the Project Team to review the results from the design development phase and develop the final list of energy efficiency measures for consideration in the final energy efficiency package for the Tenant Office Space. This package will include the final list of recommended energy efficiency measures the Tenant selected. For energy modeling projects, this will include developing the final energy model based on this final list of measures. The schedule of modeling assumptions shall be updated as appropriate.

Deliverable:

- Final energy model (for energy modeling projects only)
- Final list of recommended energy efficiency measures should be provided to the Customer and the NYSERDA Project Manager.

- 6. Financial analysis:** The Energy Consultant shall perform a detailed financial analysis based on: the final energy efficiency package proposed for the project; model outputs (for energy modeling projects); incremental cost estimates for each measure; energy savings and load reduction; and payback period, return on investment, net present value, and internal rate of return.

Deliverable: A final report which shall include, at minimum:

- A description of each recommended energy efficiency measure
- The incremental cost for each measure
- The incremental energy savings above code for each measure
- The incremental annual operational cost savings and savings over the lease term
- Simple payback period, net present value, and internal rate of return.

- 7. Close out meeting:** Meeting with the Tenant and Project team to review the final results of the project.

Deliverable: To enable NYSERDA to gain real-time feedback on the outcomes of the program, the NYSERDA Project Manager shall be invited to attend the project close-out meeting.

The Applicant must submit all deliverables outlined above to the NYSERDA Project Manager via the online application portal. The Technical Reviewer will also review the deliverables and comments will be provided to the Applicant within fifteen (15) business days of receipt of each deliverable. The Applicant shall prepare revisions to the deliverable reflecting the NYSERDA Project Manager's comments, and resubmit the revised deliverable within fifteen (15) business days after receipt of comments. If the deliverable is acceptable, the NYSERDA Project Manager shall provide final approval.

## **MEASUREMENT AND VERIFICATION**

Tenants who install at least one (1) of the measures recommended in the energy efficiency package may receive measurement and verification (M&V) services for up to five (5) years **at no cost**. The purpose of this M&V is to measure actual energy performance after the energy efficiency measures are in place and verify the energy savings predicted by the custom energy model or detailed energy analysis. This will enable the Tenant to fully identify, understand and capitalize on the benefits of the work undertaken as part of this Program. To comply



with the M&V requirements, Tenants shall allow NYSERDA and its Technical Reviewer to collect data and access the Tenant Office Space. Specifically:

1. The Tenant shall allow NYSERDA and its Technical Reviewer to conduct one (1) year of reasonable tenant system-level technical review. This includes energy metering of tenant-controlled systems and other sources of data gathering.
2. The Tenant shall provide NYSERDA and its Technical Reviewer reasonable access to sub-metered utility bill data (if available) for at least five (5) years to determine persistence of energy savings above code. Ideally, the Tenant will provide NYSERDA and its Technical Reviewer direct access to the utility bills.
3. NYSERDA will provide the Tenant with a summary of the technical review and the results of the utility bill analysis and note any inconsistencies with the predicted savings from the energy analysis.
4. The analysis shall not be distributed or used by NYSERDA for any purpose other than the obligations under this Agreement without prior written approval of the Tenant.

## **FUNDING**

Eligible project costs are those incurred by the Energy Consultant in creating the energy efficiency package for the Tenant Office Spaces. The Applicant shall provide a proposed budget outlining expected project costs, per Attachment C. NYSERDA's cost-share covers up to 100% of the cost to generate the energy efficiency package, not to exceed \$50,000 per project, whichever is lower.

### **1. Custom Energy Efficiency Package**

- NYSERDA will provide up to 50% of the costs to generate the energy efficiency package.
- If a Tenant installs recommended energy efficiency measures from the package, NYSERDA will reimburse Applicants the remaining portion of the technical assistance costs, as follows:
  - NYSERDA will provide the remaining 50% of the eligible technical assistance costs, for a total of 100% cost share, if the Tenant installs ALL recommended energy efficiency measures with a payback of less than 3 years, **OR** NYSERDA will reimburse the Tenant for the installation costs of any recommended energy efficiency measure, not to exceed the remaining 50% of the technical assistance costs.
  - Implementation must occur within two years of purchase order issuance date. No exceptions will be made.
  - The Tenant must demonstrate that the energy efficiency measure(s) has been installed. This can be done via a site inspection (performed by the NYSERDA Project Manager or the Technical Reviewer assigned to the project), or by submitting invoices and pictures of the installation.

### **2. Generic Energy Efficiency Package**

- NYSERDA will provide up to 50% of the costs to generate the energy efficiency package.
- NYSERDA will provide up to an additional 50% -- for up to a total 100% of the costs to generate the energy efficiency package – if the Landlord submits a robust Tenant Engagement Plan, outlining how the package will be used to engage existing and prospective Tenants in the building in discussions about energy efficiency in Tenant Office Spaces, **AND** fulfills at least one of the three options below:
  1. Landlord reaches out to Tenants occupying at least 50% of the building's rentable square footage.
  2. Landlord recruits at least one Tenant in the building to engage in documented energy efficiency activities in their Office Space.
  3. Generic package is included in the Landlord's leasing materials.

In order to qualify for the additional 50% reimbursement under this package, a Landlord must provide supporting documentation that demonstrates 1) what outreach activities have been undertaken (including any email communications, letters, Tenant outreach campaigns, etc.), or 2) a letter from a Tenant in the building that has engaged in energy efficiency activities as a result of the generic package being presented to them, or 3) a copy of the building's leasing packet that includes the generic package.

Additional information:

NYSERDA will not fund any energy analysis or energy modeling for measures that have already been implemented at the time of applying to the Program.

No single Applicant, Tenant, Landlord, or Energy Consultant may receive more than 30% of total program funding (or \$1,725,000), regardless of the number of projects submitted.

**CONDITIONS AND LIMITATIONS**

**The following are ineligible for funding:**

- Work completed prior to NYSERDA's receipt of the Application.
- Buildings, both new or that have undergone substantial renovations, that have been occupied for less than one year.
- Tenant Office Spaces that have undergone substantial renovation within the last year.
- Tenants building out new Office Spaces where construction is advanced or substantially completed.

**For Custom Energy Efficiency Packages:**

- The Tenant is not required to implement any of the energy saving measures provided in the energy efficiency package. If the Tenant does not implement any of the improvements suggested in the energy efficiency package, NYSERDA will survey the Tenant to understand why none of the recommended energy efficiency measures were installed. This feedback will provide valuable input for future commercial Tenant initiatives.
- The Custom Package should be completed in agreement with the project's Office Space design and construction schedule to ensure Tenants have the option of implementing measures if desired.
- If the Tenant does implement at least one of the energy saving measures the Tenant will be highly encouraged to provide NYSERDA with pre- and post-occupancy evaluations of employee satisfaction, productivity, absenteeism, performance, and health metrics. NYSERDA may work with a Tenant's or Landlord's Human Resources Department to support this process as needed.
- The Custom Package must be completed within one year of Purchase Order (PO) issuance. A one-time extension of up to twelve months may be granted at NYSERDA's discretion upon request by the Applicant with justification for the extension. Failure to complete the energy efficiency package within the one-year timeframe or approved extension timeframe will result in project cancellation. Cancelled projects may reapply if funds remain available.

### **For Generic Energy Efficiency Packages:**

- The energy analysis or energy model produced for a generic project must include at least one (1) typical floor of leased Tenant Office Space and the energy efficiency package must provide energy savings measures applicable to more than one (1) typical Tenant within the building.
- The Landlord or manager must be willing to provide the Generic Package to all Tenants.
- The generic package must be completed within one year of Purchase Order (PO) issuance. A one-time extension of up to twelve (12) months may be requested. Failure to complete the model and energy efficiency package within the one-year timeframe or approved extension timeframe will result in project cancellation.

## **B. BASIC TRACK**

This track is best suited for Tenants who are interested in gaining a general understanding about their energy efficiency status and identify ways to improve their energy and environmental performance. This approach consists of a basic energy efficiency assessment to identify energy saving opportunities, benchmarking, goal setting and other relevant activities needed to help the Tenant decide and plan for next steps in their energy efficiency improvement process. This track is appropriate for Tenants who may not have much time remaining on their lease, Tenants occupying a small-to-medium size Office Space, or Tenants who wish to take a more incremental approach to implementing energy efficiency in their Office Space. The goal is to identify site-specific or no to low-cost operation and maintenance improvements. Recommendations may include Tenant system adjustments to achieve performance as intended in the original design or to optimize or improve the performance of existing systems. The primary objective is to optimize daily operations, thereby reducing energy consumption without significant capital investment. Potential capital improvements, which may include replacement, upgrade, or retrofit of Tenant systems or equipment may also be identified.

### **SCOPE OF WORK REQUIREMENTS AND DELIVERABLES**

The scope of work, to be submitted with the Application, is a concise document containing 1) project background and goals and the type energy analysis being proposed, 2) a description of the site -- including a description of existing conditions and systems, and 3) a description of the tasks required to meet the project goals. At minimum, these tasks shall include:

- 1. Site Visit and Data Collection:** The Energy Consultant shall conduct a walk-through audit (ASHRAE Level I equivalent) of the Tenant Office Space to identify energy savings opportunities, conduct interviews with the appropriate staff members, and collect the Tenant's energy bills and all other data necessary to conduct the energy assessment.
- 2. Benchmarking:** The Energy Consultant shall benchmark the Tenant's energy consumption through to determine the Office Space's energy use intensity.
- 3. Identification of energy conservation opportunities:** The Energy Consultant will identify operational improvements in the Tenant Office Space that will yield energy savings in a cost-effective manner. Potential capital improvements may also be identified.
- 4. Energy savings analysis:** For all identified energy conservation opportunities with quantifiable energy efficiency impacts, the energy and cost savings, implementation costs and payback periods will be

calculated. Based on the analysis, the Energy Consultant shall provide guidance on goal setting and prioritization of energy efficiency measure implementation. Any identified capital cost measures will be described in qualitative terms, with recommendation for further study or guidance on best practice measures where appropriate. Directional energy and cost savings, implementation costs and payback periods may be provided for these capital measures.

- 5. Final report:** The Energy Consultant shall develop a draft report containing the final energy efficiency recommendations, basic simple payback information, and a plan to guide the Tenant's next steps in achieving higher levels of energy efficiency. A summary of the recommendations will be presented in a project summary table. All assumptions and/or background data used to generate savings for identified energy conservation measures will be described in the report. All supporting calculations and generalizations will be submitted. The Basic Energy Assessment Report Checklist (Attachment D) must be included in the report.

The Applicant must submit all deliverables outlined above to the NYSERDA Project Manager via the online application portal. A Technical Reviewer will also review the deliverables and comments will be provided to the Applicant within fifteen (15) business days of receipt of each deliverable. The Applicant shall prepare revisions to the deliverable reflecting the NYSERDA Project Manager's comments, and resubmit the revised deliverable within fifteen (15) business days after receipt of comments. If the deliverable is acceptable, the NYSERDA Project Manager shall provide final approval.

## **MEASUREMENT AND VERIFICATION**

There are no measurement and verification requirements for this track.

## **FUNDING**

NYSERDA will provide up to 100% of the costs to conduct a basic energy assessment of the Tenant Office Space, capped at five thousand dollars (\$5,000) per Tenant Office Space, whichever is lower.

Eligible project costs are those incurred by the Energy Consultant in conducting the energy efficiency assessment and developing the final report for the Tenant Office Space. The Applicant shall provide a proposed budget outlining expected project costs, per Attachment C.

No single Applicant may receive more than 30% of total program funding (or \$1,725,000), regardless of the number of projects submitted.

## **CONDITIONS AND LIMITATIONS**

The following are ineligible for funding:

- Work completed prior to NYSERDA's receipt of the Application.
- Tenant Office Spaces that have undergone substantial renovation within the last year.
  - Tenant Office Spaces in buildings, both new or that have undergone substantial renovations, that have been occupied for less than one year.

- The basic energy assessment must be completed within one year of Purchase Order (PO) issuance. A one-time extension of up to twelve (12) months may be requested. Failure to complete the assessment and submit a final report within the one-year timeframe or approved extension timeframe will result in project cancellation.

## **IV. PROJECT PAYMENTS**

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### **FOR PROJECTS IN THE HIGH PERFORMANCE TRACK**

#### **If the Applicant is the Energy Consultant:**

NYSERDA will contribute up to 50% of the project cost directly to the Energy Consultant, subject to the maximum dollar amount listed in the issued Purchase Order, and not to exceed the \$50,000 cap. The Customer under contract with the Energy Consultant is responsible for paying the remaining balance of the project costs, under the terms and conditions to be negotiated by the Energy Consultant and the Customer. As proof that the Customer has paid their portion of the cost-share, NYSERDA may require a copy of the Customer's canceled check. Unless otherwise agreed upon, payments will be sent to the authorized Applicant listed in the Commercial Tenant Project Application (Attachment A).

#### **If the Applicant is a Tenant or Landlord:**

At the conclusion of the project and upon receipt of the required documentation, NYSERDA will reimburse successful Applicants up to 50% of the project costs, subject to the maximum dollar amount listed in the issued purchase order, and not to exceed the \$50,000 cap. Reimbursement will be based on services actually rendered by the Energy Consultant and as documented by the approved deliverables, invoices and other documentation deemed necessary by NYSERDA. As proof that the Customer has paid the full project cost, NYSERDA may require a copy of the Customer's canceled check. Progress payments may be provided at the NYSERDA Project Manager's discretion. Unless otherwise noted, payments will be sent to the authorized Applicant listed in the Commercial Tenant Project Application (Attachment A).

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

All invoices and other reimbursement documentation must be uploaded to the online application portal, or sent to <https://services.nyserda.ny.gov/Invoices/>

#### **If the Tenant installs recommended energy efficiency measures:**

At the conclusion of the installation and upon receipt of the required documentation, NYSERDA will reimburse the Tenant up to the remaining 50% of the project costs, subject to the maximum dollar amount listed in the issued purchase order, and not to exceed the total project incentive of \$50,000. Reimbursement will be based on the energy efficiency measures installed, invoices and other documentation deemed necessary by NYSERDA.

As proof that the Tenant has installed the energy efficiency measures, NYSERDA may require a copy of the installation invoices, pictures of the installed systems or equipment, or request a site inspection. Unless otherwise noted, payments will be sent to the Tenant listed in the Commercial Tenant Project Application (Attachment A). In order to request the full 100% cost share, the Applicant must submit Attachment F.

Required Documentation: To process payment, NYSERDA must receive the following documentation: 1) an invoice from the Tenant to NYSERDA, and 2) a copy of the invoice(s) for the installation of the energy efficiency measures (including labor and non-labor costs). As proof of payment, if applicable, NYSERDA may require a copy of the Tenant's canceled check indicating the total amount paid for the installation of the energy efficiency measures.

**If the Landlord conducts Tenant engagement activities:**

At the conclusion of the project and upon receipt of the required documentation, NYSERDA will reimburse the Landlord up to the remaining 50% of the project costs, subject to the maximum dollar amount listed in the issued purchase order, and not to exceed the total project incentive of \$50,000. Reimbursement will be based on the delivery of a Tenant Engagement Plan, and documentation of other completed tenant engagement activities as listed in Section III (Participation Tracks). In order to request the full 100% cost share, the Applicant must submit Attachment F.

Required Documentation: To process payment, NYSERDA must receive the following documentation: 1) an invoice from the Landlord to NYSERDA, and 2) a Tenant Engagement Plan, 3) and, either materials detailing the outreach activities that have been undertaken (including any email communications, letters, Tenant outreach campaigns, etc.); or a letter from a Tenant in the building that has engaged in energy efficiency activities as a result of the Generic Energy Efficiency Package being presented to them; or a copy of the building's leasing packet including the Generic Energy Efficiency Package.

**FOR PROJECTS IN THE BASIC TRACK:**

Upon receipt and approval of all required deliverables by the NYSERDA Project Manager, NYSERDA will contribute up to 100% of the project cost directly to the Energy Consultant, subject to the maximum dollar amount listed in the issued Purchase Order, and not to exceed the \$5,000 cap. The Customer under contract with the Energy Consultant is responsible for paying the remaining balance of the project costs, if any, under the terms and conditions to be negotiated by the Energy Consultant and the Customer.

## **V. APPLICATION REQUIREMENTS & PROCESS OVERVIEW**

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### **ONLINE APPLICATION PORTAL**

Applicants are highly encouraged to submit funding requests via NYSERDA's online application portal. In order to use the portal, Applicants must first register by following these steps:

1. Register for the application portal here: [http://nyserda-site.force.com/Core\\_Registration\\_Page?programName=Commercial\\_Tenant](http://nyserda-site.force.com/Core_Registration_Page?programName=Commercial_Tenant)
2. Validate email address and company address.
3. Upon approval by NYSERDA, the Applicant receives a username.

4. Once the Applicant is a registered user, applications and all required documents can be submitted online. The system will also allow the Applicant's appointed contacts and signatories to access the application and electronically sign.
5. Returning users can access the application portal here: <https://nyserda-portal.force.com/login>

Applicants can also submit applications electronically, by sending all required documentation (including Energy Consultant qualifications) to [commercialprograms@nyserda.ny.gov](mailto:commercialprograms@nyserda.ny.gov):

- Commercial Tenant Project Application (Attachment A)
- Proof of SBC payment in the form of a utility bill
- Proof of Qualifications of Energy Consultant (outlined in Section II above)
- Scope of work
- Letter of Commitment from Tenant or Landlord (Attachment B)
- Proposed Budget (Attachment C)

## APPLICATION REVIEW PROCESS

Once NYSERDA receives an application, the following will occur:

1. NYSERDA will review the Application and all required documentation. Additional information may be requested at NYSERDA's discretion. All Applications will be reviewed on a first-come, first-served basis dependent on funding availability.
2. After the Applicant submits the Application and all required documentation, a NYSERDA Project Manager will be assigned to review the Application package. If the Application package is incomplete, the NYSERDA Project Manager will notify the Applicant of any missing documentation. The Applicant will then have two weeks to complete the Application package, otherwise the Application will be cancelled and the Applicant will be encouraged to apply again once all necessary documentation is ready for submission.
3. NYSERDA will assign a Technical Reviewer responsible for ensuring the Energy Consultant has the required qualifications to participate in the Program.
4. Upon review and approval of the Application, NYSERDA will notify the Applicant that the Application is approved.
5. NYSERDA will issue a Purchase Order committing its funding. NYSERDA is not committed to funding a project until a purchase order is issued.

## VI. GENERAL CONDITIONS

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

The NYS Freedom of Information Law, Public Officers Law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if

disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <http://www.nysesda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

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

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

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

**State Finance Law sections 139-j and 139-k** - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain new procurement lobbying requirements which can be found at <https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx>. The attached Proposal Checklist calls for a signature certifying that the proposer will comply with State Finance Law sections 139-j and 139-k and the Disclosure of Prior Findings of Non-responsibility form includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years.

**Tax Law Section 5-a** - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. *See*, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf)). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department. The Department has created a second form that must be completed by a perspective contractor prior to contacting and filed with NYSERDA. *See*, ST-220-CA (available at [https://www.tax.ny.gov/pdf/current\\_forms/st/st220ca\\_fill\\_in.pdf](https://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)).

The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

**Contract Award** - NYSERDA anticipates making multiple awards under this solicitation. NYSERDA may award a Purchase Order based on Applications without discussion, or following limited discussion. NYSERDA may request additional data or material to support submissions including scope of work modifications or negotiations before issuing a Purchase Order. Each offer should be submitted using the



most favorable cost and technical terms. A sample Purchase Order is available on request. NYSERDA expects to notify customers in approximately three (3) weeks from the receipt of a complete project package whether the submission has been selected to receive an award.

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

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

## VII. ATTACHMENTS

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Attachment A	Commercial Tenant Project Application
Attachment B	Letter of Commitment from Tenant or Landlord
Attachment C	Proposed Budget Template
Attachment D	Basic Energy Assessment Report Checklist
Attachment E	Energy Modeling Guidelines
Attachment F	Request for Disbursement of 100% Cost-Share
Attachment G	Terms and Conditions

EXHIBIT B

REVISED 5/12

STANDARD TERMS AND CONDITIONS  
FOR ALL NYSERDA AGREEMENTS

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

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

1. NON-DISCRIMINATION REQUIREMENTS. To the extent required by Article 15 of the Executive Law (also known as the Human Rights Law) and all other State and Federal statutory and constitutional non-discrimination provisions, the Applicant will not discriminate against any employee or applicant for employment because of race, creed, color, sex, national origin, sexual orientation, age, disability, genetic predisposition or carrier status, or marital status. Furthermore, in accordance with Section 220-e of the Labor Law, if this is an Agreement for the construction, alteration or repair of any public building or public work or for the manufacture, sale or distribution of materials, equipment or supplies, and to the extent that this Agreement shall be performed within the State of New York, Applicant agrees that neither it nor its subcontractors shall, by reason of race, creed, color, disability, sex or national origin: (a) discriminate in hiring against any New York State citizen who is qualified and available to perform the work; or (b) discriminate against or intimidate any employee hired for the performance of work under this Agreement. If this is a building service Agreement as defined in Section 230 of the Labor Law, then, in accordance with Section 239 thereof, Applicant agrees that neither it nor its subcontractors shall, by reason of race, creed, color, national origin, age, sex or disability: (a) discriminate in hiring against any New York State citizen who is qualified and available to perform the work; or (b) discriminate against or intimidate any employee hired for the performance of work under this contract. Applicant is subject to fines of \$50.00 per person per day for any violation of Section 220-e or Section 239 as well as possible termination of this Agreement and forfeiture of all moneys due hereunder for a second subsequent violation.

2. WAGE AND HOURS PROVISIONS. If this is a public work Agreement covered by Article 8 of the Labor Law or a building service Agreement covered by Article 9 thereof, neither Applicant's employees nor the employees of its subcontractors may be required or permitted to work more than the number of hours or days stated in said statutes, except as otherwise provided in the Labor Law and as set forth in prevailing wage and supplement schedules issued by the State Labor Department. Furthermore, Applicant and its subcontractors must pay at least the prevailing wage rate and pay or provide the prevailing supplements, including the premium rates for overtime pay, as determined by the State Labor Department in accordance with the Labor Law. Additionally, effective April 28, 2008, if this is a public work contract covered by Article 8 of the Labor Law, the Applicant understands and agrees that the filing of payrolls in a manner consistent with Subdivision 3-a of Section 220 of the Labor Law shall be a condition precedent to payment by NYSERDA of any NYSERDA-approved sums due and owing for work done upon the project.

3. NON-COLLUSIVE BIDDING REQUIREMENT. In accordance with Section 2878 of the Public Authorities Law, if this Agreement was awarded based upon the submission of bids, Applicant warrants, under penalty of perjury, that its bid was arrived at independently and without collusion aimed at restricting competition. Applicant further warrants that, at the time Applicant submitted its bid, an authorized and responsible person executed and delivered to NYSERDA a non-collusive bidding certification on Applicant's behalf.

4. INTERNATIONAL BOYCOTT PROHIBITION. If this Agreement exceeds \$5,000, the Applicant agrees, as a material condition of the Agreement, that neither the Applicant nor any substantially owned or affiliated person, firm, partnership or corporation has participated, is participating, or shall participate in an international boycott in violation of the Federal Export Administration Act of 1979 (50 USC App. Sections 2401 et seq.) or regulations thereunder. If such Applicant, or any of the aforesaid affiliates of Applicant, is convicted or is otherwise found to have violated said laws or regulations upon the final determination of the United States Commerce Department or any other appropriate agency of the United States subsequent to the Agreement's execution, such Agreement, amendment or modification thereto shall be rendered forfeit and void. The Applicant shall so notify NYSERDA within five (5) business days of such conviction, determination or disposition of appeal. (See and compare Section 220-f of the Labor Law, Section 139-h of the State Finance Law, and 2 NYCRR 105.4).

5. SET-OFF RIGHTS. NYSERDA shall have all of its common law and statutory rights of set-off. These rights shall include, but not be limited to, NYSERDA's option to withhold for the purposes of set-off any moneys due to the Applicant under this Agreement up to any amounts due and owing to NYSERDA with regard to this Agreement, any other Agreement, including any Agreement for a term commencing prior to the term of this Agreement, plus any amounts due and owing to NYSERDA for any other reason including, without limitation, tax delinquencies, fee delinquencies or monetary penalties relative thereto.

6. **PROPRIETARY INFORMATION.** Notwithstanding any provisions to the contrary in the Agreement, Applicant and NYSERDA acknowledge and agree that all information, in any format, submitted to NYSERDA shall be subject to and treated in accordance with the NYS Freedom of Information Law ("FOIL," Public Officers Law, Article 6). Pursuant to FOIL, NYSERDA is required to make available to the public, upon request, records or portions thereof which it possesses, unless that information is statutorily exempt from disclosure. Therefore, unless the Agreement specifically requires otherwise, Applicant should submit information to NYSERDA in a non-confidential, non-proprietary format. FOIL does provide that NYSERDA may deny access to records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." [See Public Officers Law, § 87(2)(d)]. Accordingly, if the Agreement specifically requires submission of information in a format Applicant considers a proprietary and/or confidential trade secret, Applicant shall fully identify and plainly label the information "confidential" or "proprietary" at the time of disclosure. By so marking such information, Applicant represents that the information has actual or potential specific commercial or competitive value to the competitors of Applicant. Without limitation, information will not be considered confidential or proprietary if it is or has been (i) generally known or available from other sources without obligation concerning its confidentiality; (ii) made available by the owner to others without obligation concerning its confidentiality; or (iii) already available to NYSERDA without obligation concerning its confidentiality. In the event of a FOIL request, it is NYSERDA's policy to consider records as marked above pursuant to the trade secret exemption procedure set forth in 21 New York Codes Rules & Regulations § 501.6 and any other applicable law or regulation. However, NYSERDA cannot guarantee the confidentiality of any information submitted. More information on FOIL, and the relevant statutory law and regulations, can be found at the website for the Committee on Open Government (<http://www.dos.state.ny.us/coog/foil2.html>) and NYSERDA's Regulations, Part 501 (<http://www.nyserda.ny.gov/en/About/~media/Files/About/Contact/NYSERDARegulations.ashx>).

7. **IDENTIFYING INFORMATION AND PRIVACY NOTIFICATION.** (a) **FEDERAL EMPLOYER IDENTIFICATION NUMBER and/or FEDERAL SOCIAL SECURITY NUMBER.** As a condition to NYSERDA's obligation to pay any invoices submitted by Applicant pursuant to this Agreement, Applicant shall provide to NYSERDA its Federal employer identification number or Federal social security number, or both such numbers when the Applicant has both such numbers. Where the Applicant does not have such number or numbers, the Applicant must give the reason or reasons why the payee does not have such number or numbers.

(b) **PRIVACY NOTIFICATION.** The authority to request the above personal information from a seller of goods or services or a lessor of real or personal property, and the authority to maintain such information, is found in Section 5 of the State Tax Law. Disclosure of this information by Applicant to the State is mandatory. The principal purpose for which the information is collected is to enable the State to identify individuals, businesses and others who have been delinquent in filing tax returns or may have understated their tax liabilities and to generally identify persons affected by the taxes administered by the Commissioner of Taxation and Finance. The information will be used for tax administration purposes and for any other purpose authorized by law.

8. **CONFLICTING TERMS.** In the event of a conflict between the terms of the Agreement (including any and all attachments thereto and amendments thereof) and the terms of this Exhibit B, the terms of this Exhibit B shall control.

9. **GOVERNING LAW.** This Agreement shall be governed by the laws of the State of New York except where the Federal supremacy clause requires otherwise.

10. **NO ARBITRATION.** Disputes involving this Agreement, including the breach or alleged breach thereof, may not be submitted to binding arbitration (except where statutorily required) without the NYSERDA's written consent, but must, instead, be heard in a court of competent jurisdiction of the State of New York.

11. **SERVICE OF PROCESS.** In addition to the methods of service allowed by the State Civil Practice Law and Rules ("CPLR"), Applicant hereby consents to service of process upon it by registered or certified mail, return receipt requested. Service hereunder shall be complete upon Applicant's actual receipt of process or upon NYSERDA's receipt of the return thereof by the United States Postal Service as refused or undeliverable. Applicant must promptly notify NYSERDA, in writing, of each and every change of address to which service of process can be made. Service by NYSERDA to the last known address shall be sufficient. Applicant will have thirty (30) calendar days after service hereunder is complete in which to respond.

12. **CRIMINAL ACTIVITY.** If subsequent to the effectiveness of this Agreement, NYSERDA comes to know of any allegation previously unknown to it that the Applicant or any of its principals is under indictment for a felony, or has been, within five (5) years prior to submission of the Applicant's proposal to NYSERDA, convicted of a felony, under the laws of the United States or Territory of the United States, then NYSERDA may exercise its stop work right under this Agreement. If subsequent to the effectiveness of this Agreement, NYSERDA comes to know of the fact, previously unknown to it, that Applicant or any of its

principals is under such indictment or has been so convicted, then NYSERDA may exercise its right to terminate this Agreement. If the Applicant knowingly withheld information about such an indictment or conviction, NYSERDA may declare the Agreement null and void and may seek legal remedies against the Applicant and its principals. The Applicant or its principals may also be subject to penalties for any violation of law which may apply in the particular circumstances. For an Applicant which is an association, partnership, corporation, or other organization, the provisions of this paragraph apply to any such indictment or conviction of the organization itself or any of its officers, partners, or directors or members of any similar governing body, as applicable.

13. PERMITS. It is the responsibility of the Applicant to acquire and maintain, at its own cost, any and all permits, licenses, easements, waivers and permissions of every nature necessary to perform the work.

14. PROHIBITION ON PURCHASE OF TROPICAL HARDWOODS. The Applicant certifies and warrants that all wood products to be used under this Agreement will be in accordance with, but not limited to, the specifications and provisions of State Finance Law Section 165 (Use of Tropical Hardwoods), which prohibits purchase and use of tropical hardwoods, unless specifically exempted by NYSERDA.

15. OMNIBUS PROCUREMENT ACT OF 1992. It is the policy of New York State to maximize opportunities for the participation of New York State business enterprises, including minority and women-owned business enterprises as bidders, subcontractors and suppliers on its procurement contracts.

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

NYS Department of Economic Development  
Division for Small Business  
30 South Pearl St -- 7th Floor  
Albany, New York 12245  
Telephone: 518-292-5220  
Fax: 518-292-5884  
<http://www.esd.ny.gov>

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

NYS Department of Economic Development  
Division of Minority and Women's Business Development  
30 South Pearl St -- 2nd Floor  
Albany, New York 12245  
Telephone: 518-292-5250  
Fax: 518-292-5803  
<http://www.empire.state.ny.us>

The Omnibus Procurement Act of 1992 requires that by signing this Agreement, Applicants certify that whenever the total amount is greater than \$1 million:

(a) The Applicant has made reasonable efforts to encourage the participation of New York State Business Enterprises as suppliers and subcontractors, including certified minority and women-owned business enterprises, on this project, and has retained the documentation of these efforts to be provided upon request to the State;

(b) The Applicant has complied with the Federal Equal Opportunity Act of 1972 (P.L. 92-261), as amended;

(c) The Applicant agrees to make reasonable efforts to provide notification to New York State residents of employment opportunities on this project through listing any such positions with the Job Service Division of the New York State Department of Labor, or providing such notification in such manner as is consistent with existing collective bargaining contracts or agreements. The Applicant agrees to document these efforts and to provide said documentation to the State upon request; and

(d) The Applicant acknowledges notice that the State may seek to obtain offset credits from foreign countries as a result of this contract and agrees to cooperate with the State in these efforts.

16. RECIPROCITY AND SANCTIONS PROVISIONS. Bidders are hereby notified that if their principal place of business is located in a country, nation, province, state or political subdivision that penalizes New York State vendors, and if the goods or services they offer will be substantially produced or performed outside New York State,

the Omnibus Procurement Act 1994 and 2000 amendments (Chapter 684 and Chapter 383, respectively) require that they be denied contracts which they would otherwise obtain. NOTE: As of May 15, 2002, the list of discriminatory jurisdictions subject to this provision includes the states of South Carolina, Alaska, West Virginia, Wyoming, Louisiana and Hawaii. Contact NYS Department of Economic Development for a current list of jurisdictions subject to this provision.

17. COMPLIANCE WITH NEW YORK STATE INFORMATION SECURITY BREACH AND NOTIFICATION ACT. Applicant shall comply with the provisions of the New York State Information Security Breach and Notification Act (General Business Law Section 899-aa; State Technology Law Section 208).

18. PROCUREMENT LOBBYING. To the extent this Agreement is a “procurement contract” as defined by State Finance Law Sections 139-j and 139-k, by signing this Agreement the Applicant certifies and affirms that all disclosures made in accordance with State Finance Law Sections 139-j and 139-k are complete, true and accurate. In the event such certification is found to be intentionally false or intentionally incomplete, NYSEDA may terminate the agreement by providing written notification to the Applicant in accordance with the terms of the agreement.

19. COMPLIANCE WITH TAX LAW SECTION 5-a. The following provisions apply to Applicants that have entered into agreements in an amount exceeding \$100,000 for the purchase of goods and services:

- a) Before such agreement can take effect, the Applicant must have on file with the New York State Department of Taxation and Finance an Applicant Certification form (ST-220-TD).
- b) Prior to entering into such an agreement, the Applicant is required to provide NYSEDA with a completed Applicant Certification to Covered Agency form (Form ST-220-CA).
- c) Prior to any renewal period (if applicable) under the agreement, the Applicant is required to provide NYSEDA with a completed Form ST-220-CA.

Certifications referenced in paragraphs (b) and (c) above will be maintained by NYSEDA and made a part hereof and incorporated herein by reference.

NYSEDA reserves the right to terminate this agreement in the event it is found that the certification filed by the Applicant in accordance with Tax Law Section 5-a was false when made.

20. IRANIAN ENERGY SECTOR DIVESTMENT. In accordance with Section 2879-c of the Public Authorities Law, by signing this contract, each person and each person signing on behalf of any other party certifies, and in the case of a joint bid or partnership each party thereto certifies as to its own organization, under penalty of perjury, that to the best of its knowledge and belief that each person is not on the list created pursuant to paragraph (b) of subdivision 3 of [section 165-a of the State Finance Law](#) (See [www.ogs.ny.gov/about/regs/ida.asp](http://www.ogs.ny.gov/about/regs/ida.asp)).

## EXHIBIT C

### NYSERDA PROMPT PAYMENT POLICY STATEMENT

**504.1. Purpose and Applicability.** (a) The purpose of this Exhibit is to provide a description of Part 504 of NYSERDA's regulations, which consists of NYSERDA's policy for making payment promptly on amounts properly due and owing by NYSERDA under this Agreement. The section numbers used in this document correspond to the section numbers appearing in Part 504 of the regulations.<sup>2</sup>

(b) This Exhibit applies generally to payments due and owing by the NYSERDA to the Applicant pursuant to this Agreement. However, this Exhibit does not apply to Payments due and owing when NYSERDA is exercising a Set-Off against all or part of the Payment, or if a State or Federal law, rule or regulation specifically requires otherwise.

**504.2. Definitions.** Capitalized terms not otherwise defined in this Exhibit shall have the same meaning as set forth earlier in this Agreement. In addition to said terms, the following terms shall have the following meanings, unless the context shall indicate another or different meaning or intent:

(a) "Date of Payment" means the date on which NYSERDA requisitions a check from its statutory fiscal agent, the Department of Taxation and Finance, to make a Payment.

(b) "Designated Payment Office" means the Office of NYSERDA's Controller, located at 17 Columbia Circle, Albany, New York 12203.

(c) "Payment" means payment properly due and owing to Applicant pursuant to Exhibit A of this Agreement.

(d) "Prompt Payment" means a Payment within the time periods applicable pursuant to Sections 504.3 through 504.5 of this Exhibit in order for NYSERDA not to be liable for interest pursuant to Section 504.6.

(e) "Payment Due Date" means the date by which the Date of Payment must occur, in accordance with the provisions of Sections 504.3 through 504.5 of this Exhibit, in order for NYSERDA not to be liable for interest pursuant to Section 504.6.

(f) "Proper Invoice" means a written request for Payment that is submitted by an Applicant setting forth the description, price or cost, and quantity of goods, property or services delivered or rendered, in such form, and supported by such other substantiating documentation, as NYSERDA may reasonably require, including but not limited to any requirements set forth in Exhibits A or B to this Agreement; and addressed to NYSERDA's Controller, marked "Attention: Accounts Payable," at the Designated Payment Office.

(g)(1) "Receipt of an Invoice" means:

(i) if the Payment is one for which an invoice is required, the later of:

(a) the date on which a Proper Invoice is actually received in the Designated Payment Office during normal business hours; or

(b) the date by which, during normal business hours, NYSERDA has actually received all the purchased goods, property or services covered by a Proper Invoice previously received in the Designated Payment Office.

(ii) if the Agreement provides that a Payment will be made on a specific date or at a predetermined interval, without having to submit a written invoice the 30th calendar day, excluding legal holidays, before the date so specified or predetermined.

(2) For purposes of this subdivision, if the Agreement requires a multifaceted, completed or working system, or delivery of no less than a specified quantity of goods, property or services and only a portion of such systems or less than the required goods, property or services are working, completed or delivered, even though the Applicant has invoiced NYSERDA for the portion working, completed or delivered, NYSERDA will not be in Receipt of an Invoice until the specified minimum amount of the systems, goods, property or services are working, completed or delivered.

<sup>2</sup> This is only a summary; the full text of Part 504 can be accessed at:  
<http://www.nyserda.ny.gov/en/About/~media/Files/About/Contact/NYSERDARegulations.ashx>

(h) "Set-off" means the reduction by NYSERDA of a payment due an Applicant by an amount equal to the amount of an unpaid legally enforceable debt owed by the Applicant to NYSERDA.

**504.3. Prompt Payment Schedule.** Except as otherwise provided by law or regulation or in Sections 504.4 and 504.5 of this Exhibit, the Date of Payment by NYSERDA of an amount properly due and owing under this Agreement shall be no later than thirty (30) calendar days, excluding legal holidays, after Receipt of a Proper Invoice.

**504.4. Payment Procedures.**

(a) Unless otherwise specified in this Agreement, a Proper Invoice submitted by the Applicant to the Designated Payment Office shall be required to initiate payment for goods, property or services. As soon as any invoice is received in the Designated Payment Office during normal business hours, such invoice shall be date-stamped. The invoice shall then promptly be reviewed by NYSERDA.

(b) NYSERDA shall notify the Applicant within fifteen (15) calendar days after Receipt of an Invoice of:

- (1) any defects in the delivered goods, property or services;
- (2) any defects in the invoice; or
- (3) suspected improprieties of any kind.

(c) The existence of any defects or suspected improprieties shall prevent the commencement of the time period specified in Section 504.3 until any such defects or improprieties are corrected or otherwise resolved.

(d) If NYSERDA fails to notify an Applicant of a defect or impropriety within the fifteen (15) calendar day period specified in subdivision (b) of this section, the sole effect shall be that the number of days allowed for Payment shall be reduced by the number of days between the 15th day and the day that notification was transmitted to the Applicant. If NYSERDA fails to provide reasonable grounds for its contention that a defect or impropriety exists, the sole effect shall be that the Payment Due Date shall be calculated using the original date of Receipt of an Invoice.

(e) In the absence of any defect or suspected impropriety, or upon satisfactory correction or resolution of a defect or suspected impropriety, NYSERDA shall make Payment, consistent with any such correction or resolution and the provisions of this Exhibit.

**504.5. Exceptions and Extension of Payment Due Date.** NYSERDA has determined that, notwithstanding the provisions of Sections 504.3 and 504.4 of this Exhibit, any of the following facts or circumstances, which may occur concurrently or consecutively, reasonably justify extension of the Payment Due Date:

(a) If this Agreement provides Payment will be made on a specific date or at a predetermined interval, without having to submit a written invoice, if any documentation, supporting data, performance verification, or notice specifically required by this Agreement or other State or Federal mandate has not been submitted to NYSERDA on a timely basis, then the Payment Due Date shall be extended by the number of calendar days from the date by which all such matter was to be submitted to NYSERDA and the date when NYSERDA has actually received such matter.

(b) If an inspection or testing period, performance verification, audit or other review or documentation independent of the Applicant is specifically required by this Agreement or by other State or Federal mandate, whether to be performed by or on behalf of NYSERDA or another entity, or is specifically permitted by this Agreement or by other State or Federal provision and NYSERDA or other entity with the right to do so elects to have such activity or documentation undertaken, then the Payment Due Date shall be extended by the number of calendar days from the date of Receipt of an Invoice to the date when any such activity or documentation has been completed, NYSERDA has actually received the results of such activity or documentation conducted by another entity, and any deficiencies identified or issues raised as a result of such activity or documentation have been corrected or otherwise resolved.

(c) If an invoice must be examined by a State or Federal agency, or by another party contributing to the funding of the Contract, prior to Payment, then the Payment Due Date shall be extended by the number of calendar days from the date of Receipt of an Invoice to the date when the State or Federal agency, or other contributing party to the Contract, has completed the inspection, advised NYSERDA of the results of the inspection, and any deficiencies identified or issues raised as a result of such inspection have been corrected or otherwise resolved.

(d) If appropriated funds from which Payment is to be made have not yet been appropriated or, if appropriated, not yet been made available to NYSERDA, then the Payment Due Date shall be extended by the number of calendar days from the date of Receipt of an Invoice to the date when such funds are made available to NYSERDA.

**504.6. Interest Eligibility and Computation.** If NYSERDA fails to make Prompt Payment, NYSERDA shall pay interest to the Applicant on the Payment when such interest computed as provided herein is equal to or more than ten dollars (\$10.00). Interest shall be computed and accrue at the daily rate in effect on the Date of Payment, as set by the New York State Tax Commission for corporate taxes pursuant to Section 1096(e)(1) of the Tax Law. Interest on such a Payment shall be computed for the period beginning on the day after the Payment Due Date and ending on the Date of Payment.

**504.7. Sources of Funds to Pay Interest.** Any interest payable by NYSERDA pursuant to Exhibit shall be paid only from the same accounts, funds, or appropriations that are lawfully available to make the related Payment.

**504.8. Incorporation of Prompt Payment Policy Statement into Contracts.** The provisions of this Exhibit shall apply to all Payments as they become due and owing pursuant to the terms and conditions of this Agreement, notwithstanding that NYSERDA may subsequently amend its Prompt Payment Policy by further rulemaking.

**504.9. Notice of Objection.** Applicant may object to any action taken by NYSERDA pursuant to this Exhibit that prevents the commencement of the time in which interest will be paid by submitting a written notice of objection to NYSERDA. Such notice shall be signed and dated and concisely and clearly set forth the basis for the objection and be addressed to the Vice President, New York State Energy Research and Development Authority, at the notice address set forth in this Agreement. The Vice President of NYSERDA, or his or her designee, shall review the objection for purposes of affirming or modifying NYSERDA's action. Within fifteen (15) working days of the receipt of the objection, the Vice President, or his or her designee, shall notify the Applicant either that NYSERDA's action is affirmed or that it is modified or that, due to the complexity of the issue, additional time is needed to conduct the review; provided, however, in no event shall the extended review period exceed thirty (30) working days.

**504.10. Judicial Review.** Any determination made by NYSERDA pursuant to this Exhibit that prevents the commencement of the time in which interest will be paid is subject to judicial review in a proceeding pursuant to Article 78 of the Civil Practice Law and Rules. Such proceedings shall only be commenced upon completion of the review procedure specified in Section 504.9 of this Exhibit or any other review procedure that may be specified in this Agreement or by other law, rule, or regulation.

**504.11. Court Action or Other Legal Processes.**

(a) Notwithstanding any other law to the contrary, the liability of NYSERDA to make an interest payment to an Applicant pursuant to this Exhibit shall not extend beyond the date of a notice of intention to file a claim, the date of a notice of a claim, or the date commencing a legal action for the payment of such interest, whichever occurs first.

(b) With respect to the court action or other legal processes referred to in subdivision (a) of this section, any interest obligation incurred by NYSERDA after the date specified therein pursuant to any provision of law other than Public Authorities Law Section 2880 shall be determined as prescribed by such separate provision of law, shall be paid as directed by the court, and shall be paid from any source of funds available for that purpose.



# **Charge NY Drive Clean Rebate Program**

## **IMPLEMENTATION MANUAL**

**Last Updated: June 14, 2017**

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## 1.0 BACKGROUND

The **Charge NY Drive Clean Rebate Program** (Program) is an incentive program designed to accelerate the deployment of Plug-In Hybrid Electric, Battery Electric and Fuel Cell vehicles in New York State. By increasing the use of zero and low emission vehicles, this program benefits New York State by reducing harmful emissions and the transportation sector's dependence on petroleum. The New York State Energy Research and Development Authority (NYSERDA) developed the Program to provide rebates that reduce the cost of purchasing or leasing an eligible vehicle for use in New York State.

**Note to Applicants:** At the time a Dealer submits an application for a rebate, the most current version of the Implementation Manual and the Terms and Conditions signed by the Dealer and Vehicle Purchaser will apply.

This document constitutes the Implementation Manual for the Program. Definitions of key program parameters are located in the next section of the Manual.

### 1.1 PROGRAM OVERVIEW

The Program is a point-of-sale rebate program that reduces the cost of purchasing or leasing an eligible zero or low emission vehicle for New York State residents, businesses, and government entities (Vehicle Purchaser). Vehicle eligibility rules are defined in Section 3.3 of this Manual. The program requires that Dealers reduce the vehicle price by the full amount of the rebate at the point-of-sale, which immediately passes the full savings of the rebate on to the Vehicle Purchaser. Dealers must then apply for the rebate on behalf of the Vehicle Purchaser. NYSERDA issues the rebate directly to the participating Dealer in the form of a live check or electronic payment.

Dealers are encouraged to promote the program through distribution of marketing materials and printed collateral for customers. NYSERDA will make materials available to Dealers that describe and promote the program, but Dealers shall not use NYSERDA's corporate name, logo, identity, any affiliation, or any related logo, without NYSERDA's prior written consent.

Important: Program requirements are determined by NYSERDA which, in its sole discretion reserves the right to make changes to Program elements such as, but not limited to, eligible vehicles, rebate amounts, vehicle price caps, Dealer requirements, and Vehicle Purchaser requirements.

### 1.2 PROGRAM CONTACTS

All Program questions should be directed to the Center for Sustainable Energy (CSE), the Program administrator:

**Center for Sustainable Energy**  
**50 Milk Street, 16th Floor**  
**Boston, MA 02109**  
**Phone: 866-595-7917**  
**Email: [NYevrebate@energycenter.org](mailto:NYevrebate@energycenter.org)**

If CSE program staff are unable to resolve your issue and you need to speak with someone at NYSERDA, please contact the NYSERDA Project Manager:

Patrick Bolton  
Senior Project Manager  
New York State Energy Research and Development Authority  
17 Columbia Circle  
Albany, New York 12203  
(518) 862-1090 ext. 3322  
(518) 862-1091 FAX  
[patrick.bolton@nyserda.ny.gov](mailto:patrick.bolton@nyserda.ny.gov)  
[www.nyserda.ny.gov](http://www.nyserda.ny.gov)

## 2.0 DEFINITIONS

**Battery Electric Vehicle (BEV)** is any vehicle that operates solely by use of a battery, or that is powered primarily through the use of an electric battery but uses a flywheel or capacitor that also stores energy to assist in vehicle operation. BEVs are not powered by gasoline at all. A BEV with a gasoline powered range extender is considered a PHEV.

**Buyer's Order** is the typical name for the official price contract that is agreed to and signed by the Dealer and the Vehicle Purchaser. This document details all of the discounts, trade-in value, and rebates that go into the final price of a vehicle. It is also commonly referred to as a purchase agreement or lease agreement.

**Dealer** is a new car dealership registered with the New York State Department of Motor Vehicles that operates in New York State.

**Fuel Cell Electric Vehicle (FCEV)** is a vehicle that is powered by a group of individual fuel cells, known as a fuel-cell stack. The stack is designed to contain enough cells to provide the necessary power for the automotive application. A fuel-cell stack produces power as long as fuel is available, similar to a conventional engine, but does so electrochemically rather than with combustion. The electricity generated by the fuel-cell stack powers the electric motor that propels the vehicle.

**New York State Energy Research and Development Authority (NYSERDA)** promotes energy efficiency and the use of renewable energy sources. NYSERDA advances innovative energy solutions in ways that improve New York's economy and environment. NYSERDA is the state Authority in charge of the Program.

**Charge NY Drive Clean Rebate Program (Program)** is a point-of-sale rebate program that provides rebates for the purchase or lease of zero emission vehicles in New York State. It is run by NYSERDA and administered by CSE.

**Plug-in Hybrid Electric Vehicle (PHEV)** is a hybrid electric vehicle which:

- has zero-emission vehicle range capability,
- has an on-board electrical energy storage device with useful capacity greater than or equal to ten miles of Urban Dynamometer Driving Schedule (UDDS) range on electricity alone,
- is equipped with an on-board charger, and
- is rechargeable from an external connection to an off-board electrical source.

**Point-of-Sale** refers to the time at which the Vehicle Purchaser receives the benefit of the rebate; for the Program, it will be shown as a line item deduction on the official purchase or lease contract for an eligible vehicle.

**Program Effective Date** is March 21, 2017. This is the date the Drive Clean Rebate program launched.

**Vehicle Purchaser** is an individual, business, fleet, or government entity that purchases or leases a vehicle that is eligible for a rebate from the Program. A Vehicle Purchaser must be a resident of New York State (if an individual), be a New York State government entity or municipality, or be registered/licensed to do business in New York State and must affirm that they intend to domicile the vehicle in New York State.

**Vehicle Transaction Date** is the date that the vehicle is delivered and the sale is completed, as memorialized by the date on the New York State Department of Motor Vehicles (DMV) MV-50 form. The Vehicle Transaction Date must be on or after the program effective date.

## 3.0 PROGRAM ELIGIBILITY

### 3.1 DEALER ELIGIBILITY

To participate in the Program, Dealers must meet the following criteria:

1. Be a new car dealership registered with the New York State DMV,
2. Operate in New York State,
3. Offer for purchase or lease one or more of the eligible vehicles as defined in Section 3.3,
4. Become an authorized participant in the Program by submitting an application to NYSERDA and having it approved.

Applications for participation can be found at this URL: [http://nyserda-site.force.com/CORE\\_CONAPP\\_Program\\_Page?programFamily=Innovation&programName=Zero Emission Vehicles](http://nyserda-site.force.com/CORE_CONAPP_Program_Page?programFamily=Innovation&programName=Zero Emission Vehicles)

As part of the program application process, Dealers will provide contact information, enter their DMV facility number, and agree to the terms and conditions required for participating in the program. Dealers are encouraged to attend an available training on how the Program works.

### **3.2 VEHICLE PURCHASER ELIGIBILITY**

To be eligible for a Program rebate, a Vehicle Purchaser must meet and agree to the following conditions:

1. Be a New York State resident, be a New York State government entity or municipality, or be registered/licensed to do business in New York State.
2. Purchase or lease a new eligible vehicle from a participating Dealer in New York State.
3. If purchasing the vehicle, retain ownership of the vehicle for at least 36 months from the date of purchase, unless given explicit prior written approval from NYSERDA to sell the vehicle; if leasing, have an original lease term of at least 36 months.
4. Register the vehicle with the New York State DMV with an address located within New York State for a minimum of 36 months from the date of purchase.
5. Allow NYSERDA or its designee to verify the vehicle identification number (VIN) and registration with the DMV.
6. Agree to maintain vehicle insurance as required by law.
7. Allow NYSERDA to share the vehicle model and the address where the vehicle will be domiciled with the electric distribution utility serving that location, for the purpose of informing the utilities' system planning efforts.
8. Agree to never modify the vehicle's emission control system, engine, engine hardware, software calibrations, or electric drive system.
9. Agree to participate in online surveys and other research efforts that support Program goals.
10. Agree to reimburse the dealer the full value of the rebate if it is discovered that the Vehicle Purchaser provided false or inaccurate information that results in the rebate being denied.

### **3.3 VEHICLE ELIGIBILITY RULES**

Plug-in Hybrid Electric Vehicles (PHEVs), Battery Electric Vehicles (BEVs), and Fuel Cell Electric Vehicles (FCEVs) must at a minimum meet the following criteria to be eligible under the Program:

1. Have four wheels. No two or three wheel vehicles are allowed.
2. Are manufactured for use primarily on public streets, roads, and highways.
3. Have a powertrain that has not been modified from the original manufacturer's specifications.
4. Are rated at not more than eight thousand five hundred pounds gross vehicle weight.
5. Have a maximum speed capability of at least fifty-five miles per hour
6. Are propelled at least in part by an electric motor and associated power electronics which provide acceleration torque to the drive wheels sometime during normal vehicle operations, and that draws electricity from a hydrogen fuel cell or from a battery that
  - a. Has a capacity of not less than four kilowatt hours
  - b. Is capable of being recharged from an external source of electricity

A list of vehicle models that are eligible for a rebate will be available on the Charge NY website after the program effective date. This list will be updated regularly as new vehicles come to market.

In addition, the following programmatic rules apply to all vehicle purchases under the program. The vehicle must:

7. Be a new vehicle. See the following section for specific exceptions to this requirement.
8. Have never been the subject of a retail sale, or registered with the New York State Department of Motor Vehicles, or registered with the appropriate agency or authority of any other state, District of Columbia, territory or possession of the United States, or foreign State, province, or country
9. Have a battery and electric drive train that are fully covered by the Original Equipment Manufacturer's (OEM) warranty
10. Be purchased or leased on or after the Program's effective date

### 3.3.1 Floor Model, Test Drive, Rollback and Unwind Vehicles

Vehicles used as dealership floor models and test drive vehicles are eligible for the rebate if the vehicles have not been registered previously with the DMV or in any other state. Rebate applications for floor model, test drive, unwind and rollback vehicles will be assessed on a case-by-case basis. A "rollback" occurs when a buyer purchases or leases a vehicle then returns it shortly after purchase, or when a buyer's financing is disapproved. An "unwind" occurs when registration is completed, but the sale was not consummated and the buyer never took delivery. Vehicles determined by the Program Administrator to be unrebated rollback or unwind vehicles will be eligible to receive a rebate. Additional documentation from the dealership may be required.

Registered dealer loaner vehicles may be eligible for the program under the floor model, test drive, rollback and unwind provision if the vehicle is coming out of loaner car service and offered to an eligible consumer for purchase or lease. The original vehicle registration must be in the dealership's name. The vehicle must still be considered new by the vehicle manufacturer with regards to warranty provisions or for the purposes of manufacturer rebates, etc. In addition to the documentation required for all applications, the following documentation is required: copy of the original MV-50 from when the dealer purchased the vehicle; copy of the original dealer registration; copy of the original purchase agreement from the OEM to the dealer, and written confirmation from the dealership certifying that a) the vehicle is a registered dealer loaner that is being sold or leased to a consumer and b) the vehicle is still considered new by the vehicle manufacturer for warranty provisions and for purposes of any existing manufacturer rebates.

## 4. REBATE AMOUNTS

Rebate amounts for eligible vehicles are based on electric range. Electric range will be defined using the [US EPA standard](#) for electric vehicle miles range for the vehicle. All rebate reservations that meet the terms of the Program and are submitted while the Program is open and accepting rebate reservations will be honored by NYSERDA.

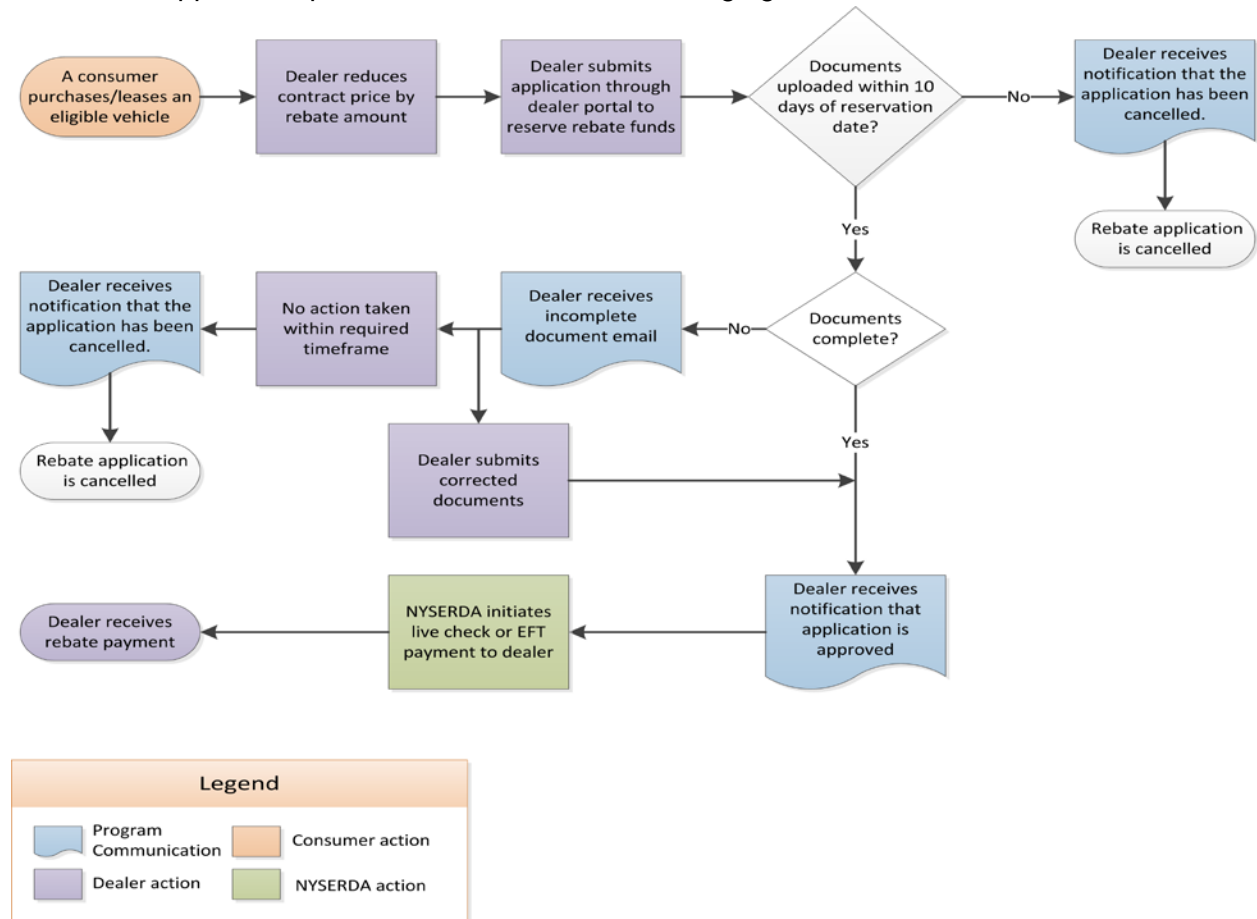
EPA Combined All-Electric Range	Incentive
Less than 20	\$500

<b>20 to 39</b>	\$1,100
<b>40 to 119</b>	\$1,700
<b>120 and greater</b>	\$2,000
<b>MSRP<sup>1</sup> over \$60,000</b>	\$500

Note: Rebate amounts and the criteria used to determine them are subject to change at NYSERDA's sole discretion. NYSERDA will provide at least 30 days' notice to all program participants before new rebate amounts take effect. Visit the Charge NY website after the program effective date to see the current complete list of eligible vehicles.

## 5. REBATE APPLICATION PROCESS

The rebate application process is shown in the following figure:



<sup>1</sup> Cars with a base MSRP over \$60,000 will receive a \$500 rebate regardless of electric range. Base MSRP is confirmed by <http://www.fueleconomy.gov/> where applicable. If the MSRP is not reported, the Original Equipment Manufacturer's website is utilized to confirm the base MSRP.



Dealers shall have sixty (60) calendar days from the date of the vehicle transaction to submit a rebate application. Applications received more than sixty (60) calendar days after the vehicle transaction is completed will be rejected. Vehicles purchased or leased prior to the Program's effective date are not eligible for a rebate. For the purposes of the Program, the vehicle transaction date is the date that the vehicle is delivered and the sale is completed, as memorialized by the date on the New York State Department of Motor Vehicles (DMV) MV-50 form. The Vehicle Transaction Date must be on or after the program effective date. Dealers shall submit rebate applications through NYSERDA's Dealer web portal ([nyserda-portal.force.com](http://nyserda-portal.force.com)). Once an application has been started and the Dealer has indicated which qualifying vehicle has been purchased, NYSERDA will reserve program funds for the Dealer. Dealers shall have ten (10) calendar days to submit the required documents outlined in this Manual. Any applications for which documents are not submitted within ten (10) calendar days will be cancelled and the reserved funds will be released. The Dealer will be notified of the cancellation via email.

The Program administrator shall have ten (10) calendar days to review submitted rebate applications. Submitted applications that have no issues with regard to the accuracy or completeness of the application and/or required documents will be approved, and the dealer will receive notification of approval via email.

If an application or its required documents are determined to be incomplete, illegible, or missing required information, the Dealer will be notified of the error via email and shall have ten (10) calendar days from the date of notification to correct any errors. If the errors are not corrected within ten (10) calendar days, the application will be cancelled and the reserved funds will be released. If an application is submitted but determined to be ineligible, it will be cancelled, the reserved funds will be released, and the Dealer will be notified via email.

If a rebate application is cancelled, Dealers can reapply for a rebate for that vehicle within sixty (60) calendar days of the vehicle transaction.

## **6. REQUIRED DOCUMENTS**

Dealers must submit required documents for each rebate application. Required documents include, at a minimum, the following:

- Completed rebate application form (completed online)
- Scan of original first page of signed DMV Form MV-50 (Retail Certificate of Sale)
- Scan of signed DMV Form MV-82 (Vehicle Registration/Title Application)
- Scan of signed Vehicle Purchaser Terms & Conditions form with copy of New York State Driver License<sup>2</sup> for individuals (available for download within the dealer portal)

<sup>2</sup> Individuals who do not have a New York State Driver License with a New York address will be required to provide a legible copy of an alternate form of proof of residency: a NYS Non-Driver ID card, NYS Interim License or Permit, a utility or cable bill from within the last 3 months, a copy of the current NYS DMV registration of another vehicle in the name of the purchaser or lessee, a signed, dated, and notarized residential rental agreement, property deed, proof of current mortgage, military orders that are still in effect, voter registration notification card issued within one year, or other valid form of NYS

- Scan of final signed Buyer's Order
  - Buyer's Order must clearly show that the value of the rebate has been passed to the consumer at the point of sale.

Dealers shall submit scanned versions of the documents through the Dealer web portal, which can be found at this URL: [nyserda-portal.force.com](http://nyserda-portal.force.com) . NYSERDA reserves the right to require additional documentation if needed for verification of any element of rebate eligibility.

## **7. REBATE DISTRIBUTION PROCESS**

Rebates will be issued to Dealers via a live check or by electronic payment. Dealers may select the payment option they prefer in the Dealer web portal. Per New York State's prompt payment policy, payments to Dealers can be expected within 30 days of application approval.

A rebate will not be issued if the buyer or lessee of any eligible vehicle returns the vehicle prior to the rebate being issued. Dealers must notify the Program administrator if an eligible vehicle is returned and request that the rebate application be cancelled.

Furthermore, NYSERDA reserves the right to seek reimbursement from the Dealer if the buyer or lessee of any eligible vehicle returns such vehicle to the Dealer within 30 days.

## **8. APPEALS PROCESS**

NYSERDA will consider appeals to the denial of a rebate application on a case-by-case basis. To submit an appeal, contact the Program Administrator.

## **9. RESEARCH PARTICIPATION**

NYSERDA will require Vehicle Purchasers to participate in surveys and may request participation from Dealers and Vehicle Purchasers in other research efforts that support Program goals.

residency as approved by NYSERDA. All documentation must be current (non-expired), must be in the name of the individual purchasing or leasing the vehicle, and must list a New York State address.

**From:** [Forbes, Venice W \(NYSERDA\)](#)  
**To:** [Forbes, Venice W \(NYSERDA\)](#)  
**Subject:** PON 3405 Web Information: Drive Clean Rebate for Car Dealers - NYSERDA  
**Date:** Tuesday, November 21, 2017 5:49:49 PM

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## Navigation menu

# Drive Clean Rebate

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## How the Drive Clean Rebate Works

### About Electric Cars

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## Drive Clean Rebate for Car Dealers

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## About Charge NY

A PROGRAM OF NYSERDA

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# Drive Clean Rebate for Car Dealers

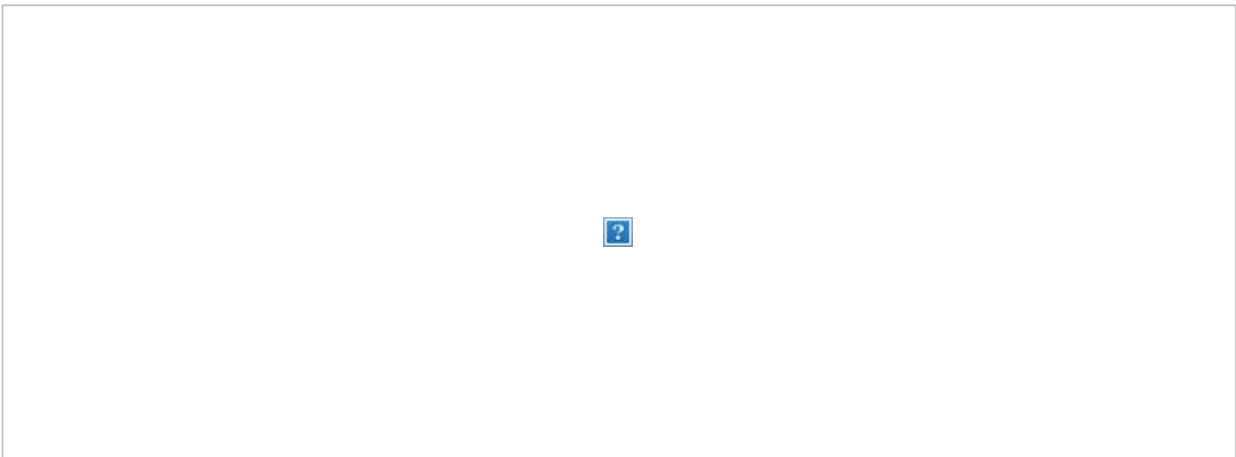
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## Sell Electric at Your Dealership

If you are a car dealer in New York State that sells new electric cars, you can sign up online to offer the Drive Clean Rebate to your customers.

## How the Drive Clean Rebate Works for Dealers

Once your dealership is enrolled in the program, processing a rebate is an easy online process.



### Things to Remember

- The rebate is only available to New York State residents, businesses, and government entities
- See the list of Drive Clean Rebate eligible cars and rebate amounts
- Purchases and leases are eligible. Lease term must be at least 36 months
- Rebate applications need to be submitted online within 60 days of vehicle delivery
- Full program requirements are listed in the Implementation Manual. See [Dealer Resources](#) for more

information.

## Available Funding

Open to New York State residents, the Drive Clean Rebate offers a point-of-sale rebate of up to \$2,000 toward the purchase of a new electric car. The chart on the left displays how much rebate funding is still available. Please make sure to check this page before purchasing an eligible electric car. Data is updated regularly as Drive Clean rebates are fulfilled at dealerships.



## Enroll Today

[Submit your online application](#)  to enroll in the program. After your application has been approved, you will receive an email with login credentials and instructions for accessing the dealer web portal. You'll also receive a welcome email with information about how to get started.

## Have Questions?

Contact the program administrator:  
Phone: 866-595-7917  
Email: [NYDriveClean@energycenter.org](mailto:NYDriveClean@energycenter.org)

## Drive Clean Rebate

### Governance

- Andrew M. Cuomo, Governor
- Richard L. Kauffman, Chair
- Alicia Barton, President and Chief Executive Officer
- [Board Governance](#)
- [NYSERDA Board Members](#)

### NYSERDA

- [info@nyserda.ny.gov](mailto:info@nyserda.ny.gov)  
518-862-1090  
866-NYSERDA (Toll free)  
Fax: 518-862-1091
- 17 Columbia Circle  
Albany, NY 12203-6399

#### [See Our Other Offices](#)

- Open Monday - Friday  
8:30 am to 5:00 pm

## Contact Drive Clean

- Contact the program administrator:  
Phone: 866-595-7917

Email: [NYDriveClean@energycenter.org](mailto:NYDriveClean@energycenter.org)

## Quick Links

- [How the Rebate Works](#)
- [About Electric Cars](#)
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- [For Car Dealer](#)
- [About Charge NY](#)

## Tools

- [Electric Vehicle Calculator](#)
- [Electric Vehicle Station Locator](#)
- [Participating Dealers](#)

## CONNECT WITH US

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- [LINKED-IN](#)

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**Clean Energy Incubators**

Program Opportunity Notice (PON) 3413

**\$3,700,000 Available**

*NYSERDA reserves the right to extend and/or add funding to the Solicitation should other program funding sources become available.*

**Round 1 Proposals Due: December 1, 2016 by 5:00 PM Eastern Time\***  
**Round 2 Proposals Due: November 29, 2017 by 5:00 PM Eastern Time\***

This New York State Energy Research and Development Authority (NYSERDA) Program Opportunity Notice (PON) 3413, Clean Energy Incubators, seeks proposals to catalyze the continued development and growth of a vibrant, self-sustaining clean energy innovation ecosystem in New York State through the support of clean energy business incubators. This PON is a continuation of NYSERDA's successful clean energy incubator program and will continue the evolution of the existing incubator program by making additional, competitively awarded funding available for clean energy incubators across New York State. NYSERDA's strategy is to provide operational and programming support for clean energy incubators that offer commercialization resources, technical assistance, and business development support to early-stage companies in order to help them achieve key milestones and accelerate their time to market. Proposals will be evaluated on the basis of innovative and high-impact programming for client companies and graduates, utilization of institutional resources and regional assets, collaboration with partners, and leverage of funding and support from other sponsors. NYSERDA seeks proposals specifically from the Capital Region and Western New York regions of New York State for Round 2. Up to \$3,700,000 of NYSERDA funding is available through Round 2 of this PON. The maximum award per incubator will be \$2,000,000. Awarded contracts will be for an initial term of four years with one, one-year option to renew. All, some, or none, of the available funds may be awarded in Round 2. NYSERDA reserves the right to add or reduce time and/or funding to awarded contracts.

### **Proposal Submission**

Electronic submission is preferable. NYSERDA will also accept proposals by mail or hand-delivery. If submitting electronically, proposers must submit the proposal in either PDF or MS Word format with a completed and signed Proposal Checklist and Disclosure of Prior Findings of Non-Responsibility. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility, rather than scanning. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. Proposals may be submitted electronically by following the link for electronic submissions found on this PON's webpage, which is located in the "Current Opportunities" section of NYSERDA's website (<http://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

If mailing or hand-delivering, proposers must submit (2) paper copies of their proposal with a completed and signed Proposal Checklist, along with a CD or DVD containing either a PDF or MS Word digital copy of the proposal, following the above guidelines. Mailed or hand-delivered proposals must be clearly labeled and submitted to:

**Jill Baxter, PON 3413**  
**NYS Energy Research and Development Authority**  
**17 Columbia Circle**  
**Albany, NY 12203-6399**

No communication intended to influence this procurement is permitted except by contacting Nicholas Querques (Designated Contact) at (518) 862-1090, ext. 3086 or [nicholas.querques@nysesda.ny.gov](mailto:nicholas.querques@nysesda.ny.gov). If you have contractual questions concerning this solicitation, contact Venice Forbes (Designated Contact) at (518) 862-1090, ext. 3507 or [venice.forbes@nysesda.ny.gov](mailto:venice.forbes@nysesda.ny.gov). Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offeror, and (2) may result in the proposer not being awarded a contract.

**\* All proposals must be received by 5 pm Eastern Time on the date noted above. Late, faxed, or emailed proposals will not be accepted.** Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal. Please note: for electronic submission, there are required questions that you will have to answer in addition to uploading attachments and you should allot at least 60 minutes to enter/submit proposals. The electronic proposal system closes promptly at 5 pm, files in process or attempted edits or submission after 5 pm Eastern Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on NYSERDA's website at <https://www.nysesda.ny.gov/>.

## ***I. INTRODUCTION***

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Many early-stage companies that are commercializing clean energy technologies and solutions continue to face a difficult path to market as a result of the capital intensity and long lead times associated with the clean energy commercialization process. In addition, clean energy companies – whether they are developing disruptive hardware technologies or innovating new business models – often lack active relationships and deep connections with the broader investment community and key development partners. Incubators, which are organizations that help new and early-stage ventures develop and scale, can dramatically improve the success rate of these clean energy companies.

For the purpose of this solicitation, clean energy is defined as hardware technologies, software technologies, services, or processes that broadly reduce energy consumption and greenhouse gas emissions and/or enable the transition to a sustainable and clean energy economy by increasing the supply of renewable energy and distributed energy resources, improving the efficiency of energy utilization at the consumer and industrial scale, improving the processes and systems that use energy, or more effectively enabling energy solutions to permeate the marketplace.

NYSERDA founded its incubator program in 2009 to foster the viability and growth of the state's most promising clean energy companies by providing ready access to investors, mentors, development partners, and commercialization resources. These six incubators, which span from Buffalo to Long Island, have assisted 146 client companies and graduates have raised over \$313 million in private investment, \$207 million in project finance capital, and \$94 million of non-NYSERDA grant funding to date, while generating over 1,075 jobs and bringing dozens of new clean energy products and solutions to the market.

The clean energy incubators that were awarded under Round 1 of this PON include:

- Venture Creations – Rochester Institute of Technology (Finger Lakes)
- Clean Tech Center – CenterState CEO's The Tech Garden (Central New York)
- ACRE – NYU Tandon School of Engineering (New York City)
- CEBIP – Stony Brook University (Long Island)
- Southern Tier Clean Energy Incubator – Binghamton University (Southern Tier)



This PON is a continuation of NYSERDA's successful clean energy incubator program and will continue the evolution of the existing incubator program by making additional, competitively awarded funding available for clean energy incubators across New York State, which could include existing NYSERDA-sponsored incubators and/or new incubators that are not currently supported by NYSERDA. NYSERDA seeks proposals specifically from the Capital Region and Western New York regions of New York State for Round 2 of the PON. For existing NYSERDA-sponsored incubators, any potential awards made through this solicitation will be new and separate contracts from the work that they are performing or have performed under current or past contracts. NYSERDA's strategy is to provide operational and programming support for clean energy incubators that offer commercialization resources, technical assistance, and business development support to early-stage companies in order to achieve key milestones and accelerate their time to market.

The broad goal of NYSERDA's Technology and Business Innovation program is to support technologies and companies that will help New York State reach its energy and climate targets. Within that context, the goals of NYSERDA's clean energy incubator program include:

- Accelerating the time to market for clean energy incubator client companies and graduates, as evidenced through the following metrics: private investment raised, project finance capital secured, grants awarded, strategic partnerships executed, revenue generated, new products commercialized, jobs created/retained, and liquidity events realized.
- Evolving the operations and programming of NYSERDA-sponsored incubators so they are mainly targeted at achieving client-driven milestones and quickly able to address the needs of client companies and graduates.
- Serving as a foundational element of the regional and statewide clean energy innovation ecosystem in order to promote the continued transition to a robust, sustainable clean energy economy in New York State.

The subsequent sections of this PON are as follows:

- II. Program Requirements (page 3)
- III. Proposal Requirements (page 6)
- IV. Proposal Evaluation (page 7)
- V. General Conditions (page 9)
- VI. Attachments (page 12)

## ***II. PROGRAM REQUIREMENTS***

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### **Eligibility and Proposer Qualifications**

Proposers may be existing NYSERDA-sponsored incubators and/or new incubators that are not currently supported by NYSERDA. Proposers must be entities with a demonstrable and proven track record of successfully providing business incubation services to early-stage companies that are developing the full spectrum of clean energy technologies and solutions. Proposers may be organized as for-profit or non-profit entities. Proposers must be located in New York State, which means that their principal place of business and management team must entirely be based within the state.

Proposers must have the physical facilities and ability to provide on-site resources and co-location space for client companies and graduates at such location. Historically, incubators providing physical space, on-site resources, and co-location space have been more successful in regard to fostering an entrepreneurial culture and assisting client companies and graduates achieve significant milestones. Successful proposers will be required to, without exception, provide site-specific programming, services,

and physical space to incubator client companies and graduates. However, this shall not preclude the delivery of commercialization resources, technical assistance, and business development support to clean energy companies who are not physically located within the organization's incubator facility.

Proposers will be evaluated on their track record and ability to achieve the following key outcomes:

- Communicate a clear value proposition to develop and deploy program offerings that are founded on continuous customer discovery and market validation.
- Curate and deliver innovative, impactful, and high-value add programming for incubator client companies and graduates.
- Utilize institutional and regional assets to provide targeted and timely commercialization resources, technical assistance, and business development support to incubator client companies and graduates.
- Collaborate with world-class partners, including venture development organizations, investors, service providers, and other relevant incubators and NYSERDA-sponsored resources in order to support client companies and graduates as well as raise the profile of the statewide clean energy innovation ecosystem.
- Leverage funding and support from private and public sponsors other than NYSERDA.

Proposers should be able to provide illustrative examples of clean energy companies that have directly benefited from their business incubation support. Proposers must also be able to clearly and succinctly articulate how they have helped specific client companies and graduates achieve significant technical and business milestones, such as attracting investment, securing partnerships, commercializing products, generating revenue, and realizing liquidity events. Proposers should provide contact information for any specified client companies listed in the proposal. NYSERDA reserves the right to verify any information provided in the proposal.

### **Available Funding and Cost Sharing**

Up to \$3,700,000 of NYSERDA funding is available through Round 2 of this PON. The maximum award per incubator will be \$2,000,000. All, some, or none, of the available funds may be awarded in Round 2. NYSERDA reserves the right to add or reduce time and/or funding to awarded contracts. Successful proposers will be required to provide cost sharing; at least 25% of the total project cost is required. The proposer's cost share may be cash or in-kind and may come from the proposer itself or partner organizations. Cash is the preferred form of cost share.

### **Range/Scope of Services**

Proposers are asked to submit proposals for business incubators that will support early-stage companies in the clean energy space. Such companies may range from concept-stage companies and startups to revenue-producing companies that require additional development to accelerate the commercialization of new products. Proposers are expected to develop models that leverage their institutional resources and regional assets while also utilizing national best practices from leading business incubators. To be selected for funding, proposals must outline strategies for how they will address and execute on the following key program activities:

- **Operations** – Strategies and activities related to the operation and administration of the incubator. Examples include, but are not limited to, acquisition of sufficient physical space to house incubator clients, hiring highly qualified and sufficient staff to manage programming, and implementing measurement and verification steps to collect and report high-quality performance metrics. Operations activities will be reported in required periodic reporting for NYSERDA that quantifies the impact of the incubator as well as progress made and milestones achieved by client companies and graduates.

- **Programs** – Strategies and activities that build, foster, and grow a culture of innovation and entrepreneurship throughout the incubator’s institution and broader region. For example, networking events, boot camps, founder meetups, mentor office hours, advisory board meetings, hackathons, prize competitions, etc. The results of these programs will be reported periodically and include an assessment of programming impacts in order to identify what works well and potential areas for adjustment.
- **Client-Driven Milestones** – Strategies and activities focused specifically on increasing the likelihood of incubator client company success. For example, client-specific support and assistance to raise private investment, form strategic partnerships, and bring products to market, etc. These client-driven milestones, which ensure that compensation for incubator is aligned with the performance and success of its client companies and graduates, will be the primary focus of NYSERDA’s support through this PON.

### **Schedule and Teaming**

The following guidelines should be considered when developing proposals:

- Projects are expected to begin within 4 months of the proposal due date. Awarded contracts will be for an initial term of four years with one, one-year option to renew.
- Teaming arrangements and collaboration are highly encouraged, where appropriate, to enhance the likelihood of project success and overall impact. Teams may include partners such as venture development organizations, investors, service providers, academic and research institutions, government agencies, and other incubators. Include letters of commitment or interest from each identified team member in an appendix to the proposal.

### **Letters of Commitment or Interest**

If you are relying on any other organization to do some of the work, provide services or equipment, participate as a key partner, or share in the non-NYSERDA cost, include a letter from that organization describing its planned participation. Also include letters of interest or commitment from partners or other organizations critical to the development, implementation, and success of the project. Absence of letters of commitment or interest may be interpreted as meaning that the proposer does not have support from the subject parties. Letters should not be solicited from NYSERDA personnel.

### **Potential Conflicts of Interest**

Identify the nature of any potential conflicts of interest among team members and partners in providing services to NYSERDA under this PON. Fully discuss possible conflicts of interest, actual and perceived, which could arise in connection with performance by team members and partners of the proposed contract. Describe how your firm would resolve conflicts of interest. In the event that NYSERDA determines that a team member may have a conflict of interest or the appearance of such, NYSERDA may: (1) take this into consideration in evaluating the proposal; (2) exclude the proposer from consideration for an award; (3) adjust the scope of work to avoid the conflict or appearance of conflict; or (4) negotiate other appropriate actions with the team member to avoid the conflict or appearance of conflict.

### **Other Considerations**

In addition, proposers should note that:

- A proposal may be considered non-responsive if it fails to comply with the requirements above, the Proposal Requirements of Section III, or the General Conditions of Section V.
- Prior to an award being made, potential awardees may be required to demonstrate the following via formal documentation: a strong track record, access to financial resources sufficient to perform the proposed work, technical experience and adequate facilities (or the ability to access

- them), and the ability to qualify for an award under applicable laws and regulations.
- Performance of awarded projects will be assessed on a continuous basis in order to ensure the contractor is meeting its commitments and achieving the milestones laid out in the Statement of Work.

### **III. PROPOSAL REQUIREMENTS**

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The proposer's goal should be to concisely present the information needed to fully address the Proposal Evaluation criteria (see Section IV). Proposals that grossly exceed the page limits or fail to follow the format guidelines in Attachment C may be rejected as non-responsive. If you believe proprietary information must be submitted to provide an adequate proposal, you must comply with the Section V instructions for submitting proprietary material.

Proposals should not be excessively long or submitted in an elaborate format that includes expensive binders or graphics. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective proposal may reduce, rather than increase, a proposal's standing per the evaluation criteria. Each page of the proposal should state the name of the proposer, the PON number, and the page number. The proposal must be in the following format, with items in the sequence shown.

#### **Procurement Lobbying Requirements**

In compliance with §139-j and §139-k of the State Finance Law (see Section V, General Conditions below for additional information), proposers will be required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility.

#### **Proposal Narrative**

Complete the Proposal Narrative form-fillable document as part of the PON (Attachment C). The Proposal Narrative contains the following sections:

- Executive Summary
- II. Background, Opportunity, and Needs Assessment
  - Attachment C1 - Mission Model Canvas
- III. Statement of Work, Milestone Payment Plan, and Schedule
- IV. Proposer Qualifications
- V. Project Benefits
- VI. Budget
- VII. Letters of Support
- VIII. Attachments

Proposers must carefully review the Proposal Narrative to ensure that all required sections are completed. Failure to do so may result in the proposal being rejected as non-responsive.

#### **Cost Sharing**

The proposal should show non-NYSERDA funding of at least 25% of the total cost of the project. The 25% cost sharing requirement is a minimum indicator of the commitment of the proposer to leverage the NYSERDA investment to build and develop a vibrant, sustainable clean energy innovation ecosystem in their respective region. Cost sharing can be from the proposer, other team members and partners, and other private or public sources. Contributions of direct labor (for which the laborer is paid as an employee) and purchased materials may be considered "cash" contributions. Unpaid labor, indirect

labor, or other general overhead may be considered "in-kind" contributions. NYSERDA will not pay for efforts which have already been undertaken. The proposer or proposing team cannot claim as cost-share any expenses that have already been incurred. The proposer must provide the cost sharing information and their organization's overhead rate as directed in Attachment C.

#### **IV. PROPOSAL EVALUATION**

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Proposals that meet the solicitation requirements will be reviewed by a Scoring Committee and will be scored and ranked according to the following criteria, **listed in order of importance**. At NYSERDA's discretion, proposers may be requested to interview with all or part of the Scoring Committee to address any potential questions or clarifications outlined in the proposals. Proposers will be notified if they are requested to attend an interview. After the proposals are reviewed, NYSERDA will issue a letter to each proposer indicating the proposal evaluation results. Proposers receiving favorable evaluations will be invited to enter into contract negotiations with NYSERDA. The proposer will be required to submit a detailed Statement of Work, schedule, and budget as part of Attachment C, and may also be asked to address specific questions or recommendations of the Scoring Committee prior to any contract award.

#### **Requirements**

A negative response to any one of the questions below may eliminate the proposal from further consideration. Does the proposal:

- Communicate a clear value proposition and demonstrate compelling customer and market validation for the project from clean energy companies, investors, supporting venture development organizations, and service providers?
- Curate and deliver innovative, impactful, and high-value add programming for incubator client companies and graduates?
- Utilize institutional and regional assets to provide targeted and timely commercialization resources, technical assistance, and business development support to incubator client companies and graduates?
- Collaborate with world-class partners, including venture development organizations, investors, service providers, and other relevant incubators in order to support client companies and graduates as well as raise the profile of the statewide clean energy innovation ecosystem?
- Leverage funding and support from private and public sponsors other than NYSERDA?
- Address needs and gaps in economies or innovation ecosystems of one or more communities?
- Provide the required level of cost-sharing?

#### **Evaluation Criteria in Order of Importance**

##### *Proposed Solution/Scope*

- Does the proposed project define a clear and compelling value proposition and model that is validated with customers (clean energy companies) and partners (venture development organizations, investors, and service providers) in the market?
- Does the proposed project highlight how it will curate and deliver impactful, and high-value add programming for client companies and graduates?
- Does the proposed project utilize institutional and regional assets to provide targeted and timely commercialization resources, technical assistance, and business development support to incubator client companies and graduates?
- Does the proposed project provide a strategy for collaboration and provide concrete examples of strong commitment from world-class partners?

- Does the proposed project utilize and deploy national best practices from leading clean energy incubators?
- How meaningful and impactful are the proposed client-driven milestones? How aligned with client success is the proposed milestone payment plan?
- Is the proposed Statement of Work technically feasible, innovative, and superior to alternatives?
- Is the work strategy sound? Can the strategy be tested, measured, and adjusted with ease?

#### *Project Benefits*

- How significant are the economic benefits from the project, in the form of subsequent leveraged investment, new product commercialization, and job creation by incubator clients and graduates?
- Will the proposed project effectively leverage NYSERDA's investment by attracting additional funding and support from other sponsors? Are there existing or future commitments from other sponsors for the proposed project?
- Does the proposed project have a strategy or methodology for quantifying the potential energy and environmental benefits that will result from the technologies and products being commercialized by incubator and the client companies and graduates?
- How will the project develop and deploy programming that, while difficult to quantify, serves to build and develop a vibrant, sustainable clean energy innovation ecosystem in the target region?
- Will a significant part of the work take place in New York State?

#### *Project Team and Support*

- To what degree do the team members, partners, and advisory board members have relevant and necessary technical, commercialization, and entrepreneurial background and experience?
- Has the proposer previously operated a business incubator that served early-stage companies? What is the proposer's track record in providing business incubation to companies in the clean energy space?
- Has the proposer clearly identified the project team and allocated full-time staff that are focused exclusively on the proposed project?
- How firm are the commitments and support from essential team members, partners, co-funders, and other organizations?
- What has been the proposer's record of performance on prior NYSERDA-funded projects?

#### *Market Potential*

- Does the proposed project address a current challenge or opportunity in the market that is not being addressed by others?
- Does the proposed project clearly identify the clean energy sector(s) and company development stage(s) that it is looking to target?
- Does the proposed project outline a clear strategy for achieving long-term sustainability after the project period, as evidenced by the Mission Model Canvas?
- Is there a process or strategy in place to measure progress and success?

#### *Project Value*

- Is the overall project cost justified based on the expected benefits?
- How appropriate are the proposer's co-funding contributions (sources and amounts) in view of the proposer's overall financial resources, degree of risk exposure, and potential to benefit from the work?
- Does the proposer have a reasonable plan for pursuing any additional funding necessary for future sustainability of the incubator?

### *Geographic Coverage*

- Does the proposal adequately identify needs and gaps in the economies or innovation ecosystems of one or more communities where the proposer provides physical space for the delivery of incubation services? How severe are these needs and gaps, and how well does the proposer address them?
- How well aligned is the proposed program with the strategic priorities of the Regional Economic Development Council (REDC) where the proposer is located as expressed, for example, in the REDC's Strategic Plan?
- Does the proposed project have the potential to recruit other resources within its community in support of early-stage clean energy companies?

### **Other Considerations**

NYSERDA reserves the right to accept or reject proposals – or adjust award amounts – based on the following factor(s):

- Geographic coverage and distribution of awardees, including existing NYSERDA-sponsored incubators.
- Duplication of other proposed or awarded projects.
- The degree to which the proposed project, including proposed cost shares, optimizes the use of available funding to achieve programmatic objectives.
- The degree to which there is industry involvement and demonstrated ability to commercialize energy or related technologies.
- The degree to which the proposed project directly addresses NYSERDA's mission and strategic goals.
- The degree to which the applicant has the resources (human and financial) to be able to complete the project.

## **V. GENERAL CONDITIONS**

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### **Proprietary Information**

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

### **Omnibus Procurement Act of 1992**

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

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

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

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

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

### **State Finance Law sections 139-j and 139-k**

NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx>. Proposers are required to answer questions during proposal submission, which will include making required certification under the State Finance Law sections 139-j and 139-k and the Disclosure of Prior Findings of Non-responsibility form includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years.

### **Tax Law Section 5-a**

NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf)). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department. The Department has created a second form that must be completed by a prospective contractor prior to contacting and filed with NYSERDA. See, ST-220-CA (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220ca\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

### **Contract Award**

NYSERDA anticipates making multiple awards under this solicitation. It may award a contract based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the submitted proposal (see Proposal Checklist). Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting



process. NYSEDA expects to notify proposers in approximately 8 weeks from the proposal due date whether their proposal has been selected to receive an award. NYSEDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSEDA agreement.

### **Limitation**

This solicitation does not commit NYSEDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSEDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSEDA's best interest. NYSEDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement. NYSEDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information and the presence of a material possibility of any reputational or legal risk in making of the award.

### **Reporting**

If awarded, the proposer will be required to submit to NYSEDA's Project Manager on a quarterly basis, a prepared analysis and summary of program funding leveraged from other sponsors by the incubator itself as well as the following metrics for incubator client companies and graduates for at least four years after their graduation date:

- Private investment raised
- Project finance capital secured
- Grants awarded
- Strategic partnerships executed
- Revenue generated
- New products commercialized
- Jobs created/retained
- Liquidity events realized

All metrics shall be documented, certified, and published to the best of the contractor's ability, in a manner which does not present any competitive harm to incubator client companies and graduates. Reporting shall commence the first calendar quarter after the contract is executed. Reports shall be submitted 30 days after the previous calendar quarter's activities (i.e. reporting period).

NYSEDA may decline to contract with awardees that are delinquent with respect to metrics reporting for any previous or active NYSEDA agreement.

### **Disclosure Requirement**

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

## **VI. ATTACHMENTS**

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The following attachments are required for each submitted proposal to be considered complete:

- Attachment A - Proposal Checklist – for mailed or hand delivered proposals only
- Attachment B - Disclosure of Prior Findings of Non-Responsibility Form – for mailed or hand delivered proposals only
- Attachment C - Proposal Narrative
  - Attachment C1 - Mission Model Canvas
- Attachment D - Sample Agreement

“NextGen HVAC Technology Challenge”  
 Program Opportunity Notice (PON) 3519  
**Up to \$15 Million Available**  
**Round 1 of 4**

*NYSERDA reserves the right to extend, and/or add or reduce funding to this solicitation*

Energy use associated with heating, ventilation, and cooling (HVAC) of buildings is large and a significant contributor to system peak demand and greenhouse gas emissions (GHG) in New York State (NYS). The large capital investment and long asset life of existing HVAC equipment requires new HVAC technologies to have compelling value propositions in order to achieve market adoption. Some innovations have been technically compelling but not commercially successful. Additionally, solutions on the market today do not uniquely address New York’s diverse climate or dense urban population, and are not sufficient to meet New York’s aggressive energy and GHG reduction goals.

Through this solicitation, NYSERDA will issue a series of technology challenges over the next three years (2017-2019) focused on improving the performance and validating value propositions in areas of significant potential, including: heating and cooling appliances, HVAC controls, and thermal distribution. NYSERDA will identify attributes to drive HVAC innovation and challenge the innovation/entrepreneur community to develop systems that deliver on those attributes, help establish credibility of new companies and products through engagement and involvement of influential buildings sector stakeholders, and drive market entry through identification and leveraging of existing channels to market for HVAC products and services.

Each Round of this solicitation will have one or more specific technology challenges. The challenge areas NYSERDA expects to address through this solicitation include: improvements to cold climate heat pumps, compressorless HVAC, losses associated with current thermal distribution systems, advanced HVAC controls, improvements and integration of renewables/storage with conventional HVAC, advancements in renewable heating and cooling technologies, solutions for decoupling of the sensible and latent cooling requirements to improve air conditioning efficiency, and reductions in peak cooling demand. NYSERDA will announce the specific technology challenge(s) for each round on the tentative dates listed below.

<b>Important Dates* by 5:00 pm Eastern Time:</b>				
<b>Round</b>	<b>Challenge Areas</b>	<b>Challenge Announcement</b>	<b>Concept Paper Due Date(s)</b>	<b>Full Proposal Due Date(s) (Tentative)</b>
1	Heat Pumps, HVAC Controls, Compressorless HVAC, Ground Source Heat Exchanger	June 29, 2017	August 3, 2017	November 9, 2017
2	TBD	March 22, 2018	April 26, 2018	August 2, 2018
3	TBD	November 29, 2018	January 10, 2019	April 11, 2019
4	TBD	July 25, 2019	August 29, 2019	December 5, 2019
*Dates are subject to change. Proposers should check NYSERDA’s Funding Opportunity webpage ( <a href="https://www.nyserda.ny.gov/Funding-Opportunities">https://www.nyserda.ny.gov/Funding-Opportunities</a> ) for the latest updates and revisions to PON 3519.				

**A two-step evaluation process will be used to evaluate Proposals. For each Round of the solicitation, proposers will be required to submit a Concept Paper by the indicated due date. Following an evaluation, NYSERDA may invite proposers whose concept papers have been selected for further consideration to submit a full proposal. Failure to submit a concept paper precludes submission of a full proposal.**

**Concept Paper Submission:** Electronic submission is preferable. Electronic submission is preferable. Proposers may submit a Word, Excel, or PDF file (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). concept paper PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. NYSERDA will also accept concept papers by mail or hand-delivery if electronic submission is not possible. For detailed instructions on how to submit a proposal, click the link "NYSERDA Solicitation – User Guide" located in the "Current Opportunities" section of NYSERDA's website (<https://www.nyserdera.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>). If mailing or hand-delivering, proposers must submit (2) paper copies of their Concept Paper, along with either a PDF or MS Word digital copy of the Concept Paper, following the above guidelines. Mailed or hand-delivered Concept Papers must be clearly labeled and submitted to:

**Jillina Baxter, Concept Papers, PON 3519  
NYS Energy Research and Development Authority  
17 Columbia Circle  
Albany, NY 12203-6399**

**Proposal Submission:** Submission of full proposals is by **invitation only**. Electronic submission is preferable. Proposers may submit Word, Excel, or PDF files (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. NYSERDA will also accept proposals by mail or hand-delivery if electronic submission is not possible. For detailed instructions on how to submit a proposal, click the link "NYSERDA Solicitation – User Guide" located in the "Current Opportunities" section of NYSERDA's website (<https://www.nyserdera.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>). If mailing or hand-delivering, proposers must submit (2) paper copies of their Proposals, along with either a PDF or MS Word digital copy of the Proposals, following the above guidelines. Mailed or hand-delivered Proposals must be clearly labeled and submitted to:

**Jillina Baxter, Proposals, PON 3519  
NYS Energy Research and Development Authority  
17 Columbia Circle  
Albany, NY 12203-6399**

No communication intended to influence this procurement is permitted except by contacting the Designated Contacts named herein.

- For technology-specific questions and questions on Attachment A1 – Statement of Work, see the Technology Challenge Areas below for a list of Designated Contacts.
- For contractual questions concerning this solicitation, contact Venice Forbes at (518) 862-1090, ext. 3507 or by email ([Venice.Forbes@nyserdera.ny.gov](mailto:Venice.Forbes@nyserdera.ny.gov)).
- For commercialization-specific questions and questions on Attachment A2 - TRL/CRL Calculator, and Attachment A3 - Three-Year Financial Projections Worksheet, contact Erica Iannotti at (518) 862-1090 ext. 3285 or by email ([Erica.Iannotti@nyserdera.ny.gov](mailto:Erica.Iannotti@nyserdera.ny.gov)).

Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

Late proposals will be returned. Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal. Faxed or e-mailed proposals will not be accepted. Proposals will not be accepted at any other NYSERDA location other than the address above. If changes are made to this solicitation, notification will be posted on NYSERDA's web site at <https://www.nyserda.ny.gov>.

## I. Introduction

Buildings are a large user of energy, a major contributor to system peak demand and greenhouse gas emissions, and an important critical infrastructure for New York State. Heating, ventilation, and air conditioning equipment consumes approximately 40% of the energy used by residential and commercial buildings, making this end use responsible for approximately 25% of the total energy used and 36% of the greenhouse gas (GHG) emissions in NYS. Cooling requirements for buildings is the primary contributor to the difference between peak electric system demand (>32 GW) and average base-load system demand (<18 GW).

The NYSERDA NextGen HVAC program seeks to reduce the energy use of NYS consumers through advancements in the performance and capabilities of economically viable heating, ventilation, and air conditioning systems. By supporting HVAC innovations, the program will enable buildings to be more energy efficient, load flexible, and resilient. Many HVAC innovations also have the added benefit of improved indoor air quality and quality of life for consumers, providing not only economic value, but also consumer comfort.

Through the NextGen HVAC program, NYSERDA aims to focus resources on the successful commercialization of HVAC innovations. In addition to articulating the technical innovation, successful proposers must describe their commercialization strategy, including: securing intellectual property, fundraising needs, customer discovery, sales channel strategy, manufacturing and scale up milestones, competitive landscape, and team development.

All entities interested in applying for this program must submit a concept paper. All concept papers will be reviewed by a Scoring Committee (SC) based on the evaluation criteria listed in Section IV. After completion of the concept paper review, NYSERDA will issue a letter to each proposer indicating either a favorable or an unfavorable response. The favorably reviewed proposers may be invited to submit a full proposal. The invitation will include the date by which full proposals must be received. Full proposal requirements will be provided to those invited to participate in the second step of this solicitation.

## II. Technology Challenge Areas

This program will have four technology challenge rounds. Each round will have specified technology challenge areas. Over the course of the solicitation, NYSERDA expects to issue technology challenges in the following areas: Heat Pumps, Compressorless Air Conditioning, HVAC Controls, Thermal Distribution, Renewable Heating and Cooling, and Thermal Storage Integration.

Interested proposers should check each round for the specific technology challenge areas. NYSERDA reserves the right to add, delete, or modify any of the technology challenges over the course of the solicitation. All concept papers for Round 1 must address one of the following Technology Challenge Areas.

### **Technology Challenge Area 1: Heat Pumps**

See Attachment E1

Technical questions concerning Heat Pumps should be directed to Robert Carver (Designated Contact) at (518) 862-1090 ext. 3242 or by email ([Robert.Carver@nyserda.ny.gov](mailto:Robert.Carver@nyserda.ny.gov)).

### **Technology Challenge Area 2: HVAC Controls**

See Attachment E2

Technical questions concerning HVAC Controls should be directed to Michael Genovese (Designated Contact) at (518) 862-1090 ext. 3103 or by email ([Michael.Genovese@nyserda.ny.gov](mailto:Michael.Genovese@nyserda.ny.gov)).

### **Technology Challenge Area 3: Compressorless HVAC**

See Attachment E3

Technical questions concerning Compressorless HVAC should be directed to Michael Genovese (Designated Contact) at (518) 862-1090 ext. 3103 or by email ([Michael.Genovese@nyserda.ny.gov](mailto:Michael.Genovese@nyserda.ny.gov)).

### **Technology Challenge Area 4: Ground Source Heat Exchanger (GHEx)**

See Attachment E4

Technical questions concerning Ground Source Heat Exchanger should be directed to Joseph Borowiec (Designated Contact) at (518) 862-1090 ext. 3381 or by email ([Joseph.Borowiec@nyserda.ny.gov](mailto:Joseph.Borowiec@nyserda.ny.gov))

If the Designated Contact for a given technology area is not available, technology-specific questions should be directed to Joseph Borowiec (Designated Contact) at (518) 862-1090 ext. 3381 or by email ([Joseph.Borowiec@nyserda.ny.gov](mailto:Joseph.Borowiec@nyserda.ny.gov)).

### **III. Program Requirements**

Projects selected for funding must:

1. Show potential to reduce GHG emissions from the building sector in New York State.
2. Demonstrate the benefits to electric System Benefits Charge (SBC) ratepayers (<https://www.nyserda.ny.gov/About/Funding>), regardless of what technology stage is being proposed into.
3. Address an opportunity to increase the energy-efficiency and/or advance the energy performance of new and/or existing buildings in the residential, multi-family, commercial, or institutional sector.
4. Provide direct and quantifiable energy, environmental, and economic benefits to New York State such as energy savings, demand response, emissions reductions, job creation, product manufacturing and sales, and/or reduced energy costs.
5. Include a project budget using the attached Budget Form (Attachment B) showing total project cost and proposer cost-share. Include a task budget with cost-share breakdown in the Statement of Work (Attachment A1).
6. Agree to pay recoupment to NYSERDA for commercial sales or licensing revenues of new technologies, services, or products developed with NYSERDA funding (See Section V).
7. Demonstrate that the proposer and/or team is qualified to carry out the proposed work.
8. Describe what, if any, barriers exist and how the project will overcome them, and lead to increased market penetration/practices.
9. Feasibility activities should quickly and efficiently determine the technology or service and commercial feasibility.
10. Development activities should describe their commercialization strategy and include other commercialization activities (basic research is ineligible), such as: discuss potential benefits for end-users and/or distribution channels, provide a preliminary marketing strategy, and discuss potential plans for manufacturing in New York State.
11. Demonstration activities should describe how the demonstration will help overcome market and/or informational barriers to widespread market acceptance in New York State or commercial success. Demonstration projects must take place within New York State and include a letter of support from the site owner(s)/decision maker(s).
12. Provide a letter of support and commitment from all funding sources.
13. Demonstrate that the proposal addresses a current opportunity or gap that is not being addressed adequately by current industry practices and/or federal and/or other state research priorities and funding.
14. Include an analysis of project costs and benefits to justify allocation of funding.

**Technology Stages** Proposals will consist of one or more of the following technology stages. Only the following three technology stages will be considered for funding:

Technology Stages	TRL	Proposer Cost Share
Feasibility	1-4	20%
Development	4-7	50%
Demonstration	8-9	40%

1. **Feasibility Stage** (Proposer cost share 20% or greater)
  - a. Applied research aimed at early stage development of a new product or technology, policy, business and/or regulatory model.
  - b. Projects submitted in this category should have a TRL of 1-4. If the TRL is of a greater value, the proposer should apply under the development or demonstration technology stage.
  - c. A completed feasibility project will have the components validated and testing of the components together will be underway.
  - d. A completed feasibility project will confirm the innovation is commercially viable through discussions with potential customers and/or users.
  
2. **Development Stage** (Proposer cost share of 50% or greater)
  - a. Development and commercialization of products/services for improving the energy performance of either new or existing buildings in New York State. Technical and commercial feasibility of the technology/activity should have been demonstrated prior to submitting to this category. If feasibility has not been demonstrated, the proposer may apply under the Feasibility Stage.
  - b. Development activities may include field testing to help improve the product/service or expected performance.
  - c. Development activities in excess of \$300,000 may be broken down into phases at NYSERDA's discretion. Funding may be awarded for multiple phases with funding beyond the first phase conditional upon meeting predefined goals of prior phases and contingent upon availability of funds.
  - d. Projects submitted under this category should have a TRL of 4-7. If the TRL is less than 4, the proposer should submit under the Feasibility Stage. If the TRL is over 7, the proposer should submit under the Demonstration stage.
  - e. A completed development project will have a prototype that can perform all functions that would be required in an operating system.
  - f. A completed development project will have a strong, market-validated commercialization strategy that addresses commercialization activities.
  
3. **Demonstration Stage** (Proposer cost share of 40% or greater)
  - a. Demonstrations of new or under-utilized technologies or practices that advance the energy performance of either new or existing buildings in New York State.
  - b. Demonstration proposals should not include technology or product development activities. If technology or product development activities are appropriate, the proposer may propose under the Feasibility or Development Stage.
  - c. Demonstration proposals should clearly identify how this project will bring the product, technology or practice closer to commercial success and how such demonstration will lead to increased use of the technology or practice in New York State.
  - d. Demonstration proposals should include a detailed plan for disseminating project results to a wide audience.
  - e. The evaluation of the demonstration should be conducted by a recognized and independent third-party evaluator (i.e., evaluator has no financial interest in the outcome of the demonstration).



- f. The demonstration must take place at a site that pays into the Clean Energy Fund (<https://www.nyserdera.ny.gov/About/Funding>) through the electric SBC unless significant statewide benefits are demonstrated.
- g. Projects submitted under this technology stage should have a TRL of 8-9. If the TRL is less than 6, the proposer should submit under the Feasibility Stage or Development Stage.
- h. A completed demonstration project will be in its final form and ready for market.
- i. A completed demonstration project will have a strong, market-validated commercialization strategy.

Proposers should allocate 10-25% of the project budget for commercialization-related tasks, such as customer discovery, IP protection, business plan development, and design for manufacturing.

**Project Schedule, Staging, and Teaming:** All proposers should consider the following guidelines when developing their submissions:

1. Proposers must select an initial technology stage which must be indicated in the proposal. Unless the initial stage selected is Demonstration, the proposal will be a multi-stage proposal with commercialization as the end goal.
  - a. If the initial technology stage is Feasibility, the proposal should also include additional separate schedules and budgets for the Development Stage and Demonstration Stage. If the initial technology stage is Development, the proposal should also include an additional schedule and budget for the Demonstration Stage.
  - b. NYSERDA reserves the right to modify a project's Statement of Work and may offer to fund part of the proposal or stage therein at a level lower than that requested, such as offering to fund a feasibility study rather than a proposed development effort.
2. A project is expected to begin within nine months of the proposal due date. No project schedule should exceed 36 months, except to indicate commercialization activities beyond those of the proposed project.
3. For multi-stage proposals:
  - a. The proposer should briefly describe how they will complete their initial stage and any following stage along with significant milestones, and provide an estimate of the total cost and schedule for each stage.
  - b. Any contract awarded to fund one or more stage(s) of a multi-stage project does not in any way obligate NYSERDA to fund the later stages.
    - i. NYSERDA anticipates awarding contracts for either a single stage of a multi-stage project, or for multiple stages. In the case of a multi-stage award, NYSERDA anticipates issuing a contract with a maximum, "not-to-exceed" amount with subsequent stages only being awarded on a contingent basis as described below.
    - ii. NYSERDA reserves the right not to move forward with subsequent stages of a multi-stage award, dependent on project success and availability of funding. Later stages may be funded if, in NYSERDA's sole discretion, milestones from the previous stage have been satisfied, there is still significant potential market impact, and sufficient program funds remain.
    - iii. NYSERDA expects it may award more contingent funding than is available for this program.
    - iv. At the end of each stage, project outcomes will be evaluated to determine if the project will continue to be funded.
  - c. The proposal must meet the minimum proposer cost share for each stage (20% feasibility, 50% development, 40% demonstration).
4. A proposal may be considered non-responsive if it fails to comply with the requirements above, the Proposal Requirements of Section IV, or the General Conditions of Section VIII.
5. Prior to an award being made, proposers may be required to demonstrate confirmation of cost share, participation of key individuals and team, commitment from demonstration site, and the ability to qualify for an award under applicable laws and regulations.
6. Preference will be given to proposers that provide attractive leverage (cash co-funding, partnerships) opportunities for NYSERDA, and proposers who seek a path to commercialization.



NYSERDA seeks teaming arrangements that increase probability of success and commercialization of technologies that yield New York State benefits. Teams may include commercial firms, manufacturers, large original equipment manufacturers (OEM), industry associations, research organizations, universities, government agencies, corporate strategic partners, strategic investors, end-users, and other stakeholders. **Include letters of commitment or interest from each identified team member in the appendix to the proposal.**

**Letters of Commitment or Interest** - If you are relying on any other organization to do some of the work, provide services or equipment, or share in the non-NYSERDA cost, include a letter from that organization describing its planned participation. Also include letters of interest or commitment from businesses or other organizations critical to the future commercialization, demonstration, or implementation of the project. Absence of letters of commitment or interest may be interpreted as meaning that the proposer does not have support from the subject parties. Letters should not be solicited from NYSERDA personnel.

#### IV. Proposal Requirements

##### 1. Concept Paper

**Concept Paper Narrative:** Submission of a Concept Paper is required for initial consideration under this solicitation. Failure to submit a Concept Paper precludes submission of a Full Proposal. Concept Papers must conform to the following requirements:

- Concept Paper submitters are required to use the format of the Concept Paper Template provided as Attachment D. The intent of the template is to lead the proposer through the requirements in an orderly, organized manner, without repeating or restating necessary information. Accurate completion of Attachment D is a requirement of a complete and responsive Concept Paper. Concept Papers using a different format may be deemed unresponsive;
- The Concept Paper Template (Attachment D) must be complete. If a required question is not answered, the Concept Paper may be deemed unresponsive and may be returned;
- Concept Papers must be submitted in Adobe PDF format, be written in English, be single spaced, use black 11 point Times New Roman font (except in Figures and Tables), and be formatted to fit on 8.5 inch by 11-inch paper with margins no less than 1 inch;
- Concept Papers shall not exceed four (4) pages in length including graphics, figures, and/or tables;
- Concept Papers must prominently display on each page the Principle Investigator's Last Name and be completed in accordance with the Electronic Submittal Instructions.

##### 2. Full Proposal

If notified by NYSERDA of a favorable concept paper review, the proposer will be invited to submit a full proposal by the date listed on the first page of this solicitation. Full proposals must include the following:

##### **Proposal Narrative**

Proposers will be required to complete the Proposal Narrative (Attachment A) form-fillable document as part of the PON. The Technology Challenge Area and technology stage must be clearly indicated. The Proposal Narrative contains the following sections: executive summary; problem statement and proposed solution; business/commercialization plan or technology replication; New York State impacts and project benefits; schedule; proposer qualifications; and budget.

**The Proposal Narrative must have all the required questions/sections answered. If a required question is not answered, the proposal could be deemed non-responsive.**

Proposals should not be submitted in an elaborate format. Unnecessary appendices beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. Each page of the proposal should state the name of the proposer, the PON number, and the page number.

- Executive Summary
- Problem Statement and Proposed Solution
- State of Research and Technology Targets
  - Attachment A2: TRL/CRL Calculator
- Commercialization Potential of Proposed Product
  - Attachment A3: Three-year Financial Projects Worksheet
- Demonstration Project Information
- Feasibility Study Information (Feasibility Stage only)
- Statement of Work (Attachment A1) and Schedule
- Project Benefits
- Budget
- Proposer Qualifications
- Letters of Support
- Attachments

**Late, faxed, or emailed proposals will not be accepted.**

**Full proposals must also provide the following:**

**Cost Sharing** - The proposal should show non-NYSERDA funding of at least 20% of the feasibility stage, 50% of the development stage, and 40% of the demonstration stage. Cost sharing can be from the proposer, other team members, and other government or private sources. Contributions of direct labor (for which the laborer is paid as an employee) and purchased materials may be considered "cash" contributions. Unpaid labor, indirect labor, or other general overhead may be considered "in-kind" contributions. NYSERDA will not pay for efforts which have already been undertaken. The proposer or proposing team cannot claim as cost-share any expenses that have already been incurred. Show the cost-sharing plan in the following format (expand table as needed):

	<b>Cash</b>	<b>In-Kind Contribution</b>	<b>Total</b>
<b>NYSERDA</b>	\$	\$	\$
<b>Proposer</b>	\$	\$	\$
<b>Others (list individually)</b>	\$	\$	\$
<b>Total</b>	\$	\$	\$

NYSERDA reserves the right to audit any indirect rate presented in the proposal and to make adjustment for such difference. Requests for financial statements or other needed financial information may be made if deemed necessary.

A payment based on the final deliverable will be reserved until project completion. If awarded, NYSERDA may choose to negotiate the amount of such payment. If the project is a multi-stage project, a report should be delivered following the completion of each stage.

**V. Recoupment and Metrics**

**Recoupment** - For any new projects exceeding \$75,000 that involve product development, including business development, NYSERDA will require a royalty based on sales and/or licensing of the new product developed (Please see Attachment F – Sample Agreement for specific recoupment obligations). Recoupment is not required for demonstration projects. Please see the definitions below to determine if your project will be subject to recoupment. Please note that NYSERDA will make final determinations as to whether proposals fit within the demonstration or product development categories.

1. **Product Development:** the method of bringing a new or improved product or service to market, including technical feasibility, business case feasibility, market analysis, proof of concept, product design, engineering, scale up, and field testing. Field testing is the stage in which a technology, not yet commercially available with a warranty, is operated in real world conditions with results used for product iteration, market validation, or customer engagement.
2. **Demonstration:** a project intended to increase sales or usage of a commercialized product already in the marketplace, with results used to generate objective performance information for customers or policymakers. At this stage, the product is available for commercial sale and warranted. While incremental improvements may be incorporated based on the demonstration results, the final product design is essentially complete.

Projects where NYSERDA's share of funding is \$75,000 or less will not require recoupment. However, should subsequent funds be awarded for further product development of the same or a substantially similar product, any funds previously received under the \$75,000 threshold will be added to the future recoupment obligation.

Please note: NYSERDA may decline to contract with awardees that are delinquent with respect to recoupment payments or sales/metrics reporting for any previous NYSERDA agreement.

**Annual Metrics Reports** – If awarded, the proposer will be required to submit to NYSERDA's Project Manager on an annual basis, a prepared analysis and summary of metrics addressing the anticipated energy, environmental and economic benefits that are realized by the project. All estimates shall reference credible sources and estimating procedures, and all assumptions shall be documented. Reporting shall commence the first calendar year after the contract is executed. Reports shall be submitted by January 31st for the previous calendar years' activities (i.e. reporting period). Please see Attachment C - Metrics Reporting Guide for the metrics that you will be expected to provide and the reporting duration. NYSERDA may decline to contract with awardees that are delinquent with respect to metrics reporting for any previous or active NYSERDA agreement.

## VI. Proposal Evaluation

1. **Concept Papers:** Concept Papers determined compliant with application procedures and eligible and responsive to PON 3519 will be subject to NYSERDA review. Eligible Concept Papers will be reviewed and scored per the criteria and point system below. A score of 65 points is the minimum threshold of 100 possible points. No proposal with a score of less than 65 will be considered for an invitation to submit a Full Proposal.
  - **New York State Impact (25 points)**
    - Is the proposed approach an advancement over existing solutions which, if successful, will result in truly significant improvements in energy technology and in energy utilization, GHG emission reductions, building resiliency and utilization in New York State?
    - Is the proposed approach likely to enable benefits at scale, that is, if developed, could supplant existing technology and/or create entirely new marketplaces in New York State, stimulating clean technology manufacturing and business growth and improving consumer choice?
    - Is the proposed concept consistent with the technology challenge, and NYSERDA programmatic goals and mission?
  - **Innovation (20 Points)**
    - Is the proposed approach unique and innovative?
    - Is the proposed approach technically sound?
    - Is the proposed approach aimed at the development of technology or innovative business practice, as opposed to basic research aimed at discovery and fundamental knowledge generation?
    - Does the proposal have a market-based approach? Is the proposed commercialization strategy comprehensive and practical?

- **Competitive Landscape and Market Barriers (20 Points)**
    - Does the proposer demonstrate an understanding of existing and other emerging solutions?
    - Has the market been identified and characterized and are there sufficient markets or needs for the concept/technology, project, or study?
    - To what extent has the proposer engaged the market? To what extent does the proposer understand the market?
    - How significant are the barriers to market entry or adoption of the concept, product, or technology?
    - Is the value proposition sufficient that the concept or technology will likely be successful in the target market?
  - **Risks and Challenges (15 Points)**
    - Does the proposal clearly identify the technical and commercial risks and challenges?
    - Have key technical and commercial challenges been identified and prioritized?
    - Is there an understanding of competitive options being developed by others?
  - **Project Plan (10 Points)**
    - Does the proposal clearly outline how the key risks and challenges will be addressed?
    - Do the proposed project objectives, if achieved, validate the proposed concept?
    - Do the proposed project objectives, if achieved, outline a clear path to market?
    - Can the proposed work be reasonably accomplished for the amount of time, effort, and resources proposed?
  - **Team (10 Points)**
    - Does the proposed team have the necessary expertise and resources to carry out the proposed work?
2. **Review and Selection Process:** Selected Concept Paper applicants will be invited to submit Full Proposals. Only those demonstrating significant and clear technical merit and market viability will result in an invitation from NYSERDA to submit a Full Proposal.
3. **Full Proposal:** Full Proposals will be reviewed by a Scoring Committee (SC) and will be scored and ranked according to the following criteria, **listed in order of importance**. After the full proposals are reviewed, NYSERDA will issue a letter to each proposer indicating the proposal evaluation results. Proposers receiving favorable evaluations may be invited to enter into contract negotiations with NYSERDA. The proposer may be required to submit additional details for the Statement of Work, budget, and schedule, and may also be asked to address specific questions or recommendations of the SC before contract award.

Proposals that meet solicitation requirements will be reviewed by a Scoring Committee using the Evaluation Criteria below.

**Evaluation Criteria in Order of Importance:**

- **Proposed Solution/Scope.** Does the proposed project specifically address a problem or opportunity identified in a Technology Challenge Area and sub-category in the PON and does it show potential to make significant progress in support of the Technology Challenge Area? How significant is the identified problem or opportunity and how pertinent is it to New York State? Is the proposed project likely to solve the problem or exploit the opportunity? Is the proposed work technically feasible, innovative, and superior to alternatives? Is the work strategy sound? Is there a clear commercialization strategy that is market-based and likely to be successful? Can the technical and commercial strategies be tested, measured, and adjusted with ease?
- **Project Benefits.** How significant are the potential reductions in GHG emissions or energy use resulting from the project? Will there be economic benefits in New York State in the form

of subsequent manufacturing or technical service activity, intellectual property creation, revenue-generation, or job creation? Are there additional significant benefits, such as improvement in the building sector's resiliency to disasters? Will a significant part of the work on the project take place in New York State?

- **Market Potential.** Does the proposed project address a current challenge or opportunity that is not being addressed by others? Is the implementation or commercialization strategy well-conceived and appropriate for the stage(s) of development? Has the proposer adequately and correctly described the target customer, defined their value proposition, and identified a real demand for the proposed solution? Does the proposed solution have the potential for wide-scale replication? Is there a process or strategy in place to measure progress and success?
- **Project Value.** Is the overall project cost justified based on the expected benefits? Relative to the project cost, how significant is the potential market or deployment opportunity? How appropriate are the proposer's co-funding contributions (sources and amounts) in view of the proposer's overall financial resources, degree of risk exposure, and potential to benefit from the work? Does the proposer have a reasonable plan for pursuing any additional funding necessary for full commercialization?
- **Project Team and Support.** To what degree does the team have relevant and necessary technical and commercial background and experience? Has the proposer previously commercialized any products? How firm are the commitments and support from essential participants, co-funders, and other organizations? Has the proposer demonstrated support from necessary market actors and potential customers?

**Other Considerations.** Proposals and concept papers will be reviewed to determine if they meet all Program Requirements, fit well within the selected Technology Challenge Area and have been submitted to the proper technology stage. The proposal and concept paper's fit with NYSERDA's overall objectives will also be considered, including: risk/reward relationships; similar ongoing or completed projects; the general distribution of projects among technology challenges, industries, and other organizations and locations in New York State; and, the degree to which there is a diversity of technologies, approaches, time-to-market, geographic locations, methods, and institutions in the existing portfolio of projects funded by NYSERDA. NYSERDA reserves the right to accept or reject proposals based on the degree to which pricing and hourly rates are in line with the rest of the market.

## VII. GENERAL CONDITIONS

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

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





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

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

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

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

**State Finance Law sections 139-j and 139-k** - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx> . The attached Proposal Checklist calls for a signature certifying that the proposer will comply with State Finance Law sections 139-j and 139-k and the Disclosure of Prior Findings of Non-responsibility form includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years.

**Tax Law Section 5-a** - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf)). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department.

The Department has created a second form that must be completed by a prospective contractor prior to contacting and filed with NYSERDA. See, ST-220-CA (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220ca\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf> .

**Contract Award** - NYSERDA anticipates making one or multiple award(s) under this solicitation. It may award a contract based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the submitted proposal (see Proposal Checklist). Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately 7 weeks from the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

**Recoupment.** For any new product research and/or development, NYSERDA will generally require a royalty based on sales of the new product developed. NYSERDA's standard royalty terms are 1.5% of sales or ten percent (10%) of all license revenue accruing to the Contractor for products produced in New York State (for a period of fifteen years or until the Contractor pays NYSERDA an amount equal to the



amount of funds paid by NYSEERDA to the Contractor, whichever comes first) and 5% of sales or thirty percent (30%) of all licensing revenues accruing for products produced outside of New York State (for a period of fifteen years or until the Contractor pays NYSEERDA an amount equal to three times the amount of funds paid by NYSEERDA to the Contractor, whichever comes first).

**Accessibility Requirements** - NYSEERDA requires contractors producing content intended to be posted to the Web to adhere to New York State’s Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSEERDA's Accessibility Requirements](#).

**Limitation** - This solicitation does not commit NYSEERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSEERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSEERDA’s best interest. NYSEERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement. NYSEERDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information and the presence of a material possibility of any reputational or legal risk in making of the award.

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

**Annual Metrics Reports.** If awarded, the proposer will be required to submit to NYSEERDA's Project Manager on an annual basis, a prepared analysis and summary of metrics addressing the anticipated energy, environmental and economic benefits that are realized by the project. All estimates shall reference credible sources and estimating procedures, and all assumptions shall be documented. Reporting shall commence the first calendar year after the contract is executed. Reports shall be submitted by January 31st for the previous calendar year’s activities (i.e. reporting period). Please see Attachment C (Metrics Reporting Guide) for the metrics that you will be expected to provide and the reporting duration. NYSEERDA may decline to contract with awardees that are delinquent with respect to metrics reporting for any previous or active NYSEERDA agreement.

**VIII. Attachments:**

- Attachment A – Proposal Narrative
  - Attachment A1 – Statement of Work
  - Attachment A2 – TRL/CRL Calculator
  - Attachment A3 – Three-Year Financial Projections Worksheet
- Attachment B – Budget Form and Instructions
- Attachment C – Metrics Reporting Guide
- Attachment D – Concept Paper Template
- Attachment E1 – Heat Pumps
- Attachment E2 – HVAC Controls
- Attachment E3 – Compressorless HVAC
- Attachment E4 – Ground Source Heat Exchanger (GHEX)
  - Attachment E4a – GHEX Cost Breakdown
- Attachment F – Sample Agreement



Demonstrating Distributed Energy Storage for ‘Stacking’ Customer and Grid Values  
Program Opportunity Notice (PON) 3541  
**Up to \$15.5 million Available**

**Revised May 31, 2017**

*NYSERDA reserves the right to extend and/or add funding to the Solicitation should other program funding sources become available. All, some, or none, of the available funds may be awarded.*

Applications accepted through December 31, 2019 by 5:00 PM  
Eastern Time or until all funds are committed.

### **Program Summary**

New York State’s Reforming the Energy Vision (REV) initiative envisions Distributed Energy Resources, including energy storage, being an integral part of transforming the grid to one with more renewable energy and flexible consumption. NYSERDA is seeking field demonstration projects of commercial distributed energy storage systems that leverage the flexibility of energy storage to ‘stack’ two or more value streams by performing multiple functions for retail electric customers, distributed generation, utilities and the New York State Independent System Operator (NYISO). These demonstration projects should help electricity customers, storage vendors, developers, utilities, the NYISO, aggregators, etc. by tackling the operational, regulatory and business model complexities in real-world energy storage ‘use cases’ that can be repeatable and scalable in New York State.

This solicitation has a multi-step application process. The first step is to submit a Concept Paper explaining what would be demonstrated per the instructions in Attachment A. Concept Papers may propose to demonstrate values and services that distributed energy storage can monetize today, but face some complexity or barrier that will be addressed in the project. Alternatively, they may propose values and benefits that are of a pilot nature or not monetizable by tariff, regulation or programs today. In this case, submissions must support that the services not compensated are needed, should be demonstrated, and are better than other alternatives at meeting that need. The Papers will be reviewed and selected Concepts will be invited to submit a Feasibility Study proposal to fund further investigation of the viability of demonstrating the proposed concept, or a Full Demonstration proposal. The aim of a Concept Paper must be a demonstration, not merely obtaining support for feasibility work.

Energy storage use cases proposed for demonstration must support the State’s REV, renewable generation and greenhouse gas reduction objectives and illustrate how these use cases help:

- reduce the intermittency of solar and wind energy,
- avoid or delay the need for new electric system infrastructure,
- increase system efficiency and resiliency,
- reduce the requirement for fossil fuel plants to meet periods of peak electric demand, or
- compliment demand response and energy efficiency measures within buildings.





When invited to submit a proposal, the cost-share funding requested of NYSERDA for a Feasibility Study may not exceed \$100,000 and 75% of study’s budget (minimum 25% proposer cost-share). There is no maximum funding that may be requested of NYSERDA for Full Demonstrations, however it may not exceed 50% of total project budget (minimum 50% proposer cost-share) based on the requirements identified in Section IV.4.

Electronic submission is preferable. NYSERDA will also accept Concept Papers and Proposal submissions by mail or hand-delivery. If submitting electronically, proposers must submit in either PDF or MS Word format. PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility, rather than scanning. For ease of identification, all electronic files must be named using the proposer’s entity name in the title of the document. Concept Papers and Proposals may be submitted electronically by following the link for electronic submissions found on this PON’s webpage, which is located in the “Current Opportunities” section of NYSERDA’s website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>). Instructions for submitting electronically are located as Attachment F to this PON.

If mailing or hand-delivering, proposers must submit two (2) paper copies of their submission with required attachments, along with a CD or DVD containing both a PDF and a MS Word digital copy of the proposal, following the guidelines. Proposals (not Concept Papers) must be accompanied with a completed and signed Proposal Checklist. Mailed or hand-delivered proposals must be clearly labeled and submitted to:

**Proposals, PON 3541  
NYS Energy Research and Development Authority  
17 Columbia Circle  
Albany, NY 12203-6399**

No communication intended to influence this procurement is permitted except by contacting Tony Abate (Designated Contact) at (518) 862-1090, ext. 3522 or by e-mail [tony.abate@nyserda.ny.gov](mailto:tony.abate@nyserda.ny.gov), Ben Falber (Designated Contact) at (212) 971-5342, ext. 3050 or by e-mail [benjamin.falber@nyserda.ny.gov](mailto:benjamin.falber@nyserda.ny.gov) or Jason Doling (Designated Contact) at (212) 971-5342, ext. 3558 or by e-mail [jason.doling@nyserda.ny.gov](mailto:jason.doling@nyserda.ny.gov). If you have contractual questions concerning this solicitation, contact Venice Forbes at (518) 862-1090 ext. 3507 ([venice.forbes@nyserda.ny.gov](mailto:venice.forbes@nyserda.ny.gov)). Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer’s behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

\*Incomplete Concept Papers or Proposals may be subject to disqualification. It is the proposer’s responsibility to ensure that all pages have been included in the submission. Faxed or e-mailed proposals will not be accepted. Proposals will not be accepted at any other NYSERDA location other than the address above. If changes are made to this solicitation, notification will be posted on NYSERDA’s PON 3541 website at [https://portal.nyserda.ny.gov/CORE\\_Solicitation\\_Detail\\_Page?SolicitationId=a0rt00000000QoO1AAK](https://portal.nyserda.ny.gov/CORE_Solicitation_Detail_Page?SolicitationId=a0rt00000000QoO1AAK). Additional background information is available at this website including, webinar information, recording, slides and FAQs. Additional information may periodically be added or updated.

## I. Solicitation's Objective

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New York State's Reforming the Energy Vision (REV) initiative envisions Distributed Energy Resources, including energy storage, being an integral part of transforming the grid to one with more renewable energy and flexible consumption. NYSERDA is seeking field demonstration projects of commercial distributed energy storage systems that leverage the flexibility of energy storage to 'stack' two or more value streams by performing multiple functions for retail electric customers, distributed generation, utilities and the NYISO. Distributed energy storage with intelligent controls has unique flexibility to create value for the retail customer and provide services to utilities, the NYISO, load-serving entities, aggregators, etc. Leveraging the flexibility of energy storage to provide different services and 'stack' multiple values will be key to the adoption of distributed energy storage. Distributed energy storage systems are electrochemical, thermal or mechanical systems located either with load (e.g., at a customer site), co-located with a distributed energy resource such as solar, or connected directly to the distribution system (i.e. located with utility equipment).

Following a NYSERDA Review, selected Concept Papers will be invited to submit a proposal either for; i) a Feasibility Study to fund further investigation of the viability of the proposed business model, use cases and demonstration, or ii) Full Demonstration of the proposed concept demonstration. Demonstrations must install commercially available distributed energy storage to provide different services and 'stack' multiple values in scalable and replicable business models in New York State. This is not an incentive program, rather NYSERDA intends these as bellwether projects to demonstrate and solve practical challenges to leveraging the flexibility of distributed energy storage to solve multiple needs and obtain multiple values. This solicitation is also not intended to focus on demonstrations of utility owned storage or utility business models, which should be directed to a utility or to REV Connect ([info@nyrevconnect.com](mailto:info@nyrevconnect.com)) for consideration as a REV Demonstration Project idea.

These demonstration projects should help electricity customers, storage vendors, developers, utilities, the NYISO, aggregators, etc. by tackling the operational, regulatory and business model complexities in real-world energy storage 'use cases' that can be repeatable and scalable in New York State. Energy storage in off-grid applications is not eligible.

Stacking values from multiple services has some inherent complexities which these demonstration projects must address. First, is the operational complexity of determining which services to provide, in what combination and when during the day or year. Other operational complexities might include interconnection, aggregation, baselines and metering, interoperability and telemetry for dispatchable services such as those of a distribution utility or the NYISO. Second, is the complexity of transacting these services or functions with several different entities. Each entity uses different structures and rules to procure and compensate the values, including tariffs, market mechanisms, programs, auctions, and service contracts. A third complexity is the business and financing model that makes the capital investments of energy storage practical.

Concept Papers may be proposed that demonstrate distribution and/or wholesale grid services with values available today (program, tariff, market, etc.), but face some complexity or barrier that will be addressed in the project. Alternately, if the proposed values and benefits provided by the energy storage system are of a pilot nature, for which no tariff, program, etc. exist, submissions must assess the value of this service and support that the services that are not compensated today are better than other alternatives.

A main-focus of the demonstration projects should be to increase confidence in obtaining multiple values for distributed energy storage for various use cases. Proposals should justify that the amount of funding requested of NYSERDA for the demonstration is necessary and appropriate to the proposed demonstration. Concept Papers and Proposals must also specifically describe how the energy storage application and use case being demonstrated can eventually be commercially viable without incentives in the future because of cost reductions, improved value streams, better business models and financing, etc.

The deliverables of these Feasibility Studies and Full Demonstration projects will include case studies, fact sheets, aggregated energy storage system performance data, and best practice guides that can be broadly shared with stakeholders to improve the economics of distributed energy storage and encourage replication within New York State. These demonstrations may also provide guidance for utility REV demonstrations, future tariffs or regulations. This solicitation is not intended to support projects that develop or demonstrate new or unproven technology, nor use cases where obtaining the identified value streams are already understood and widely deployed.

## **II. Requirements**

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### **A. Energy storage use cases proposed for demonstration must support the State's REV, renewable generation and greenhouse gas reduction objectives**

The Concept Papers and Proposals for distributed energy storage demonstrations must illustrate how these use cases help:

- reduce the intermittency of solar and wind energy,
- avoid or delay the need for new electric system infrastructure,
- increase system efficiency and resiliency,
- reduce the requirement for fossil fuel plants to meet periods of peak electric demand, or
- complement demand response and energy efficiency measures within buildings.

### **B. The demonstration must be of a commercially available distributed energy storage system**

Storage systems demonstrated must be commercially available technologies with proven performance at the system size proposed. This must be demonstrated by prior commercial deployments and the product carrying a commercial warranty and any certification required by an Authority Having Jurisdiction such as UL 1973 and, as it is adopted, UL 9540 for energy storage systems and UL 1741 for inverters. This solicitation does not seek energy storage installed on the bulk transmission system. This solicitation is not exclusive to any particular energy storage technology and the solution should be suited to the use case requirements, site footprint, and desire for flexibility in use as the regulatory structure evolves. There is no minimum or maximum energy storage size requirement, but Concepts Papers should propose demonstration of storage sized appropriately to the application requirements.

### **C. The energy storage system may be located behind or in-front of a customer's meter**

Distributed energy storage systems are often referred to as either 'behind-the meter' (BTM) or 'in-front-of-the meter' (FTM). BTM energy storage systems are those located with a host load, as opposed to sites primarily injecting power into the grid, such as community solar. The primary benefits of an energy storage system to a host load may include enabling flexibility in electricity

consumption for peak load shaving, demand charge management, and responding to time-of-use commodity supply prices. Other benefits may include storing or shifting on-site Distributed Energy Resource (DER) generation, providing demand response (DR), providing a measure of power quality or back-up power. Target customers for BTM installations are those who may be able to reduce their utility demand charges by reducing their peak load. These customers are often described in two general groupings in New York State; i) interval-metered customers who typically are large commercial or industrial customers and ii) demand metered customers who typically are small to medium sized. Interval-metered consumption data, typically in 15 minute intervals, permits identifying customer load profiles that could best realize bill savings by reducing their electric demand peaks using energy storage. Demonstration of BTM energy storage may include commercial, industrial, campus and/or residential sites as well as aggregations of multiple energy storage systems or host sites.

FTM distributed energy storage systems are those typically injecting energy into the distribution system behind a meter where there is no customer load. FTM applications may take one of these three forms; i) stand-alone energy storage, ii) energy storage with a DER, or iii) energy storage connected directly to utility distribution system equipment, such as a substation. FTM demonstrations may also include aggregations of multiple energy storage systems or host sites.

**D. At least two services must be provided by the energy storage system to “stack value”**

Concept Papers for demonstrations submitted under this PON must focus on how distributed energy storage can address multiple needs and obtain or ‘stack’ two or more value streams in applications that could be scalable or broadly deployed in New York State. Concept Papers and Proposals should support that distributed energy storage is better in this use case than other alternative solutions. Services provided by the energy storage system may be those that are:

- i) monetized today and possible to stack, but require more demonstration to become replicable,
- ii) monetized today but complications exist to being able to stack those values, or
- i) value streams that are novel, conceptual or of a pilot nature for which no tariff, program, or means to monetize exists today. This may include value streams that would be possible as the [Value of DER](#) is implemented by the New York State Public Service Commission or those described in the [NYISO’s DER Roadmap](#). Submissions of this nature must support that these services/values are not compensated or fully compensated today, but the value to the grid and ratepayer does in fact exist. Care must be exercised to not ‘double count’ value for streams that are already embedded in retail rates.

The New York State Public Service Commission [Order Establishing the Benefit Cost Analysis \(BCA\) Framework](#) “identifies means for evaluating DER alternatives as substitutions for traditional utility solutions (and) support the developments of tariffs that place a value on DER”. Refer to this document in instances when potential system values are not otherwise monetizable as this presents a comprehensive list of system benefits that may be considered.

Tax credits, accelerated depreciation and incentives are not considered values for consideration of ‘stacking’ under this solicitation. However, submissions may need to address operational

considerations needed to obtain these available benefits, such as any requirement to charge the energy storage from solar<sup>1</sup>.

NYSERDA gives the following guidance on what constitutes ‘stacking’ in some prototypical example use cases. This guidance is not meant to be exhaustive nor prescribe use cases or types of values to ‘stack’, nor are the use cases presented in any order of preference. Any services may be proposed so long as they address an identified real electric system need in New York State.

1. BTM Commercial & Industrial Energy Storage for Retail Bill Savings – Energy storage primarily used to manage a customer’s peak electric demand to reduce a customer’s monthly electric bill under existing commodity and delivery tariffs or contracts, stacked with at least one additional value. This use case would include savings on, for example, ESCO commodity contracts, utility Mandatory Hourly Pricing (MHP), utility demand-delivery and standby tariffs, etc. For this solicitation, an additional value stream must be stacked beyond retail bill savings.

*Additional value streams that potentially may be ‘stacked’ onto this retail bill savings use case include, but are not limited to:*

- Utility and/or NYISO demand response program participation
- Time-shifting injection of BTM DER generation into the grid
- Values created under pilot or future tariffs including under the New York State Department of Public Service (DPS) [Value of DER proceeding](#) underway at the New York State Public Service Commission
- Contracted utility load relief under a peak shaving program or non-wires alternative
- NYISO market participation
- Value streams enabled by aggregation

2. Small BTM Energy Storage for Residential and Small Commercial – Small energy storage systems primarily used at small, consumption-metered, commercial and residential customers for back-up power, shifting load DER injections responding to a price or utility demand response program, stacked with at least one additional value. Aggregation may enable these small resources to capture additional values.

*Additional value streams that may be ‘stacked’ onto this small energy storage systems use case include, but are not limited to:*

- Time-of-use tariff or ‘smart home’ programs
- Utility or NYISO demand response reliability programs
- NYISO wholesale market or economic program participation

3. ES BTM or FTM for time-shifting of DER generation/injection – Energy storage primarily used to shift the production of a distributed generator, stacked with at least one additional value. New York State has made it possible for eligible DERs like solar to be located remotely from customer load and inject their production into the grid. Though historically remote net-metering has not presented an opportunity for energy storage to create value, the [Value of DER](#) being

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<sup>1</sup> Federal Investment Tax Credit <https://www.irs.gov/businesses/qualifying-advanced-energy-project-credit-section-48c>



implemented by the New York State Public Service Commission is changing this value proposition. Such an alternative ‘injection’ tariff may present multiple value elements encouraging time-shifting injections into the grid. For this solicitation, value generated under a tariff must be stacked with at least one additional value outside of the tariff.

*Additional value streams that may be ‘stacked’ onto this use case include, but are not limited to:*

- Wholesale market participation (products supplied in an economic program that are not redundant to values compensated under the retail ‘injection’ tariff)

4. ES BTM or FTM for contracted utility load relief – Energy storage primarily used and obligated to shift load to relieve utility infrastructure, stacked with at least one additional value. New York State utilities are being encouraged to consider where curtailment and non-wires alternatives may bolster capabilities of distribution infrastructure and result in ratepayer savings. This could include utilities procuring the services of DERs that reduce or modify the load profile of their territory or a distribution circuit. In these instances, the utility contracts with DERs for a prescribed performance.

*Additional value streams that may be ‘stacked’ onto this use case include, but are not limited to:*

- NYISO wholesale market or economic program participation
- Time-shifting of DER generation injection into the grid

5. Wholesale market or economic program participation – The NYISO currently has programs<sup>2</sup> that enable dispatchable energy storage to derive value from wholesale market participation. The NYISO, in its [Distributed Energy Resources Road Map](#) is considering if new structures could better enable economic participation of dispatchable DERs in the energy, capacity and ancillary services markets. Obtaining energy, capacity and ancillary service market revenue itself may constitute stacking values. Variations of this use case may include aggregations of BTM or FTM energy storage resources.

*Additional value streams that may be ‘stacked’ onto this wholesale market use case include, but are not limited to:*

- Contracted utility load relief as under a non-wires alternative
- Time-shifting of DER generation injection into the grid

**E. The energy storage application must have a strong potential to be commercially viable and repeatable in New York State**

Concept Papers and Proposals should justify that the scale of the demonstration and funding requested of NYSERDA are necessary and appropriate to the use case. Concept Papers and Proposals must also specifically describe how the energy storage application and use case being demonstrated can eventually be commercially viable without incentives in the future because of cost reductions based on historical trends, improved value streams, better business models and financing, etc.

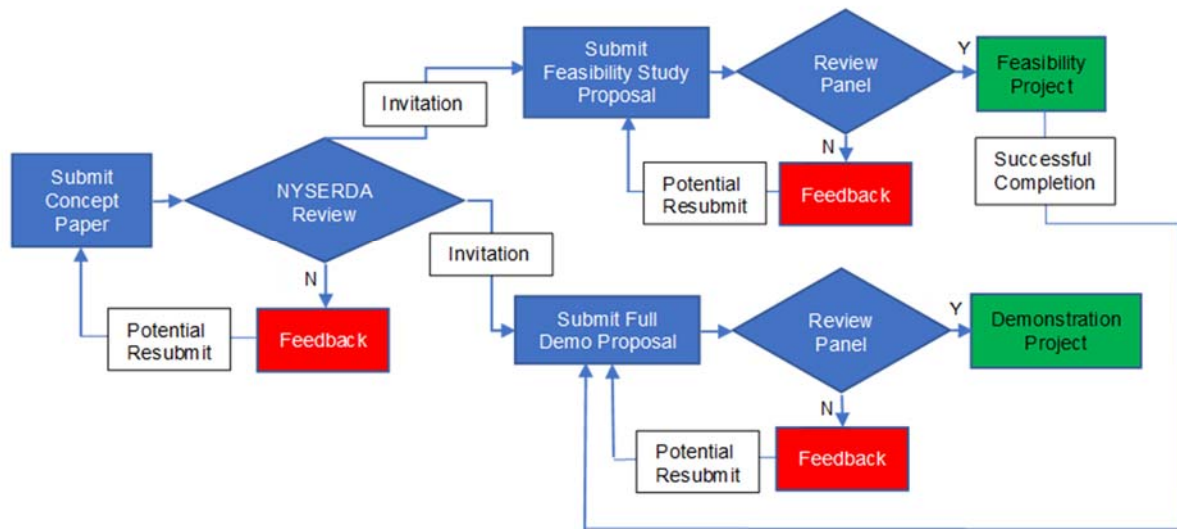
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<sup>2</sup> Energy Limited Resource (ELR), Limited Energy Storage Resource (LESR) and Demand Side Ancillary Services Program (DSASP)

### III. Multi-step Application Process

A multi-step application process is used for this solicitation. All proposers must first submit a maximum 4-page Concept Paper per the instructions/template in Attachment A. Concept Papers must concisely describe the use case for distributed energy storage to be demonstrated, why this is desirable and scalable in New York State, values to be sought and desired outcomes of the demonstration. NYSERDA will evaluate/score Concept Papers as they are received based on the Scoring Criteria in Section VI. Concept Papers may be submitted to NYSERDA at any time this solicitation remains open.

Following a NYSERDA Review, selected Concept Papers will be invited to submit a proposal either for: i) a Feasibility Study to fund further investigation of the viability of the proposed concept demonstration, or ii) a Full Demonstration of the proposed concept demonstration. Concept Papers invited to submit a proposal will be provided feedback, questions and concerns related to their concept that should be addressed in the subsequent proposal. Proposers that are invited to submit proposals must do so within 30 or 90 days of the invitation to propose a Feasibility Study or Full Demonstration, respectively. This process is depicted in the flow chart below and additional details are in the table below. Concept Papers not invited to submit a proposal may be resubmitted with changes within 30 days and after a debriefing of the strengths and weaknesses. See flow chart below.



Submission	1. Concept Paper (Mandatory)	2. Feasibility Study Proposal	3. Full Demonstration Proposal
<b>Intent of the Submission at Each Stage</b>	<ul style="list-style-type: none"> <li>description of the concept &amp; use case, values, economics, barriers, scalability and NYS impacts</li> <li>present any 'voice-of-customer' that substantiates value of the services provided by the energy storage system</li> <li>description of demonstration, anticipated location(s), budget, and duration estimates</li> </ul>	<ul style="list-style-type: none"> <li>detailed explanation of barriers or complexity to be addressed</li> <li>explain how these issues can be addressed and what determines feasibility of the concept demo</li> <li>detail use case requirements to be studied</li> <li>value estimates for services provided and to whom</li> <li>budget and schedule</li> </ul>	<ul style="list-style-type: none"> <li>how demonstration will overcome or address barrier or complexity</li> <li>evaluate effectiveness of system in achieving identified uses</li> <li>assess performance risk and values realized</li> <li>for not yet monetizable use cases, assess the value achieved</li> <li>examine system optimization techniques</li> <li>budget, schedule and M&amp;V</li> </ul>

	<ul style="list-style-type: none"> <li>desired outcomes of a demonstration</li> <li>discussion of the viability of a Full Demo vs. doing a Feasibility Study</li> <li>key members of the proposing team identified</li> <li>follow guidelines in Attachment A</li> </ul>	<ul style="list-style-type: none"> <li>operational strategy for system optimization to meet requirements</li> <li>limitations or requirements to monetize value streams</li> <li>needed cost/benefit analysis</li> <li>describe business model(s) inherent in the concept</li> </ul>	<ul style="list-style-type: none"> <li>detail budget and schedule</li> <li>site(s) identified and analyzed</li> <li>identify values known but at risk, estimate values not yet monetizable, discuss financial viability of use case and future improvements from cost declines</li> </ul>
<b>Attachments</b>	Required Attachment A, see Attachment F	Required Attachments B, C, D & E See Attachment F	Required Attachments B, C, D & E See Attachment F
<b>Submission/Review Timeframe</b>	4-page max. following guidelines in Attachment A. Submit anytime, reviewed and decision in 30 days	Submit anytime within 30 days of invitation, reviewed and decision in 60 days	Submit anytime within 90 days of invitation, reviewed and decision in 60 days
<b>Review Process</b>	NYSERDA internal reviewers. Outside expertise may be engaged.	Panel Review by NYSERDA and external experts.	Panel Review by NYSERDA and external experts.
<b>Review Outcomes</b>	<ul style="list-style-type: none"> <li>i) Score 85 and above may be invited to propose Full Demonstration within 90 days</li> <li>ii) Score above 70 may be invited to propose Feasibility Study within 30 days</li> <li>iii) Below 70 may resubmit with changes within 30 days if debriefed</li> </ul>	<ul style="list-style-type: none"> <li>i) Feasibility Study proposals scoring 85 and above deemed meritorious</li> <li>ii) Scoring 70 – 84, deemed not meritorious but invited to resubmit with changes within 30 days if debriefed</li> <li>iii) Below 70, deemed not meritorious, not invited to resubmit</li> </ul>	<ul style="list-style-type: none"> <li>i) Full Demonstration proposals scoring 85 and above deemed meritorious</li> <li>ii) Scoring 70 – 84, deemed not meritorious but invited to resubmit with changes within 30 days if debriefed</li> <li>iii) Below 70, deemed not meritorious and not invited to resubmit</li> </ul>
<b>Funding and Cost-share</b>	N/A	Up to \$100,000 NYSERDA cost share with min. 25% proposer co-funding	Min. 50% proposer co-funding. No max. funding request of NYSERDA, but amount must be justified by system value that is at performance risk, potential value not currently monetizable, and/or cost deficiencies that will be addressed through demonstrated cost declines.
<b>Host Site(s) Identified</b>	Not required, but may be stated.	Not required, but may be stated. Site characteristics and plan to acquire site(s) must be identified.	One or more host sites must be identified and support the Proposal.
<b>Host Site Eligibility</b>	Contribute to System Benefits Charge (SBC)/Clean Energy Fund (CEF) or benefit CEF contributing territory if FTM.	Contribute to SBC / CEF or benefit CEF contributing territory if FTM.	Contribute to SBC / CEF or benefit CEF contributing territory if FTM.
<b>Utility/NYISO Commitment</b>	Not required, but may be stated.	Not required, but initial contact to scope needed feasibility work is suggested.	Engagement of distribution utility is required for distribution needs addressed and NYISO for wholesale participation
<b>Other</b>		Non-proprietary aspects of the outcomes of Feasibility Study projects will be made public and be incorporated into case studies and fact sheets.	NYSERDA may require independent 3 <sup>rd</sup> party M&V through an approved contractor. NYSERDA will require collection and publication of basic project performance data (load reduction, aggregated savings) for inclusion in the NYSERDA <a href="#">Distributed Generation web portal</a> , case studies, fact sheets, etc.



#### IV. Details on Submissions

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##### 1. Prior to Submission

Prior to submitting a Concept Paper to this solicitation, proposers may communicate with NYSERDA's Designated Contact to discuss their concept and its potential responsiveness to this solicitation. Communication with NYSERDA staff prior to submission is entirely optional and is NOT required prior to Concept Paper submission.

##### 2. Concept Papers: Submissions, Review and Re-submittals

Concept Papers must use the format of the Concept Paper Template provided as Attachment A. The intent of the template is to present the Concept in an orderly, organized manner, without repeating, or restating information. Proposers are asked to submit only well conceptualized Concept Papers. Proposers may submit Concept Papers to NYSERDA for consideration under this solicitation at any time during the open period of this solicitation.

Concept Papers determined compliant with application procedures and responsive to the solicitation will be subject to NYSERDA Review by internal technical experts in accordance with Section VI, Concept Paper and Proposal Scoring Criteria. This review will take place and a determination made within 30 days. Only the most technically meritorious Concept Papers will receive an invitation from NYSERDA to submit either a Feasibility Study or Full Demonstration Proposal. A Concept Paper must receive a score of at least 85 to receive an invitation to submit a Full Demonstration proposal. A Concept Paper must receive a score of at least 70 to receive an invitation to submit a Feasibility Study proposal. Concept Papers receiving a score of less than 70, and where the proposer has been debriefed on the Paper's strengths and weaknesses, may resubmit the Paper with changes within 30 days of being notified of the results of the NYSERDA review.

##### 3. Feasibility Study and Full Demonstration Proposals: Submissions, Review and Re-submittals

Proposers may submit Feasibility Study and Full Demonstration proposals to NYSERDA for consideration under this solicitation only after review of a Concept Paper and an invitation is extended. Proposals for Feasibility Studies must be submitted within 30 calendar days from the date of the invitation and proposals for Full Demonstrations within 90 days. Feasibility Study and Full Demonstration proposals determined compliant with application procedures and responsive to the solicitation will be subject to panel review consisting of both NYSERDA and external technical experts in accordance with Section VI, Concept Paper and Proposal Scoring Criteria. Review of Feasibility Studies and Full Demonstration proposals will take place and a determination made and communicated within 60 days. No Feasibility Studies or Full Demonstration scoring less than 85 will be deemed technically meritorious. Feasibility Studies or Full Demonstrations scoring 85 or above may be invited to enter contract negotiations with NYSERDA for funding of the feasibility or demonstration work proposed. Completed Feasibility Studies may submit a proposal for a Full Demonstration within 90 days of completion. Feasibility Studies and Full Demonstration proposals that are not found meritorious may request a de-briefing of the proposal's strengths and weakness. Proposals reviewed as not meritorious, but having obtained a score between 70 and 84, and having been debriefed on their strengths and weaknesses, may re-submit their Proposal within 30 days of being notified of the results of the NYSERDA review.

Invited proposals for Feasibility Study and Full Demonstration projects should follow the outline provided below:

- Executive Summary – 2 pages
- Proposal for Feasibility Study or Full Demonstration - up to 20 pages, including, but not limited to the following topics:
  - Concept/demonstration explanation and benefits.
  - Problem statement, discussion of barriers, complexities and opportunities.
  - Use-case or project values, performance requirements, business model, benefit cost analysis proforma, project financing.
  - Impact on, replicability potential and market potential in New York State.
  - Project budget, requested NYSERDA cost-share, cost-share or co-funding provided and justifications.
  - Demonstration site identification or site requirements.
  - Stage of customer, utility, and/or NYISO engagement, necessary permitting, necessary milestones and timeframe to commissioning, plans or operation and maintenance expense.
  - Descriptions of outcomes, deliverables, use cases and lessons learned materials anticipated.
- Statement of Work, Schedule and Milestone Deliverables (Must use the template provided in solicitation Attachment D)
- Budget (solicitation Attachment E)
- Proposer Qualifications – up to 5 pages
- Letters of Support
- Solicitation Attachments B and C

#### **4. Funding Amounts, Required Cost-share, Existing Installations and Proposal Budget**

When invited to submit a Proposal, the cost-share funding requested of NYSERDA for a Feasibility Study may not exceed \$100,000 and 75% of study's budget (minimum 25% proposer cost-share). There is no maximum funding that may be requested of NYSERDA for Full Demonstrations, however it may not exceed 50% of total project budget (minimum 50% proposer cost-share). Proposer cost sharing that exceeds these minimums will be favorably considered in the evaluation criteria. Cost sharing can be from the proposer, other team members, and other government or private sources. Contributions of direct labor (for which the laborer is paid as an employee) and purchased materials may be considered "cash" contributions. Unpaid labor, indirect labor, or other general overhead may be considered "in-kind" contributions. NYSERDA will not pay for efforts which have already been undertaken. The proposer or proposing team cannot claim as cost-share any expenses that have already been incurred.

A proposer seeking to utilize an existing distributed generator with new energy storage or an existing energy storage project for stacking value may submit concepts for obtaining value streams distinct and additional to those already anticipated or being realized. Example, a proposer wishing to utilize an energy storage project that is currently operational or under development in Con Edison's Demand Management Program or Brooklyn-Queens Demand Management Program, or in a utility Non-Wires Alternative or REV demonstration, is eligible to propose concepts only for providing services additional to those for which the system was originally designed. NYSERDA will not cost share any portion of the capital expenses or other costs required for the project's original intended

purposes, services and value streams. NYSERDA cost share may only be requested for incremental costs associated with providing the additional functions, capacity, services or values.

The amount of funding requested as NYSERDA cost share must be based upon, and the proposal must specifically identify: (1) system benefits that are monetizable today and will be provided through the proposed project, but for which there is performance optimization or revenue risk that prevents this value from being readily monetized (e.g., customer’s demand peaks may not entirely align with a utility’s demand response call period); (2) system needs that are recognized in the Public Service Commission’s BCA framework (referenced in Section II.D above) but which are not yet monetizable. In this case, the system value or a range of value must be estimated based on alternatives currently meeting the system need in the marketplace; and (3) any shortfall in the project proforma that is expected to be improved or removed through cost declines based on historical track record. Specific categories of costs and anticipated timeframes for cost reduction should be included.

Proposals must include a complete Budget Form, Attachment E. Indicate requested NYSERDA funding in the column labeled "Funding & Co-funding via NYSERDA." Include non-NYSERDA cash and in-kind contributions in the column labeled "Cost-sharing and Other Co-funding." Proposers should also include a Budget for each sub-contractor that comprises greater than 20% of the total budget or more than \$50,000.

- Cost sharing can be from the proposer, other team members, and other government or private sources. Contributions of direct labor (for which the laborer is paid as an employee) and purchased materials may be considered "cash" contributions. Unpaid labor, indirect labor, or other general overhead may be considered "in-kind" contributions. The proposal should show the non-NYSERDA funding relative to cost share described directly above in BUDGET section.
- NYSERDA will not fund efforts that have already been undertaken. The proposing team cannot claim as cost-share any expenses that have already been incurred.
- Show the cost-sharing plan in the following format (expand table as needed) in your Proposal as a summary of the Budget. Make sure that this table agrees with your Budget.

	<b>Cash</b>	<b>In-Kind Contribution</b>	<b>Total</b>
<b>NYSERDA</b>	\$	\$	\$
<b>Proposer</b>	\$	\$	\$
<b>Others (list individually)</b>	\$	\$	\$
<b>Total</b>	\$	\$	\$

A payment based on the final deliverable will be reserved until project completion. If awarded, NYSERDA may choose to negotiate the amount of such payment. NYSERDA reserves the right to audit indirect rates presented in the proposal and adjust for differences. Requests for financial statements or other financial information may be made if deemed necessary.

## **5. Electronic Submission, Mail and Hand-delivery**

Electronic submission is preferable. NYSERDA will also accept Concept Papers and Proposal submissions by mail or hand-delivery. If submitting electronically, proposers must submit in either PDF or MS Word format. PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility, rather than scanning. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. Concept and Proposal may be submitted electronically by following the link for electronic submissions found on this PON's webpage, which is located in the "Current Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>). Instructions for submitting electronically are located as Attachment F to this PON.

If mailing or hand-delivering, proposers must submit two (2) paper copies of their submission with required attachments, along with a CD or DVD containing both a PDF and a MS Word digital copy of the proposal, following the guidelines. Proposals (not Concept Papers) must be accompanied with a completed and signed Proposal Checklist. Mailed or hand-delivered proposals must be clearly labeled and submitted to:

**Proposals, PON 3541**  
**NYS Energy Research and Development Authority**  
**17 Columbia Circle**  
**Albany, NY 12203-6399**

## **6. Program Policy Factors**

Proposals and Concept Papers that meet solicitation requirements will be reviewed by NYSERDA or a Review Panel using the Evaluation Criteria described in Section VI below. At NYSERDA's discretion, proposers may be requested to interview with all or part of the Review Panel to address any potential questions or clarifications outlined in the proposals. Proposers will be notified if they are requested to attend an interview.

NYSERDA reserves the right to accept or reject Proposals and Concept Papers based on the following factor(s):

- The degree to which pricing and hourly rates are in line with the rest of the market.
- Whether the proposed project will advance the goals of the State Energy Plan / Clean Energy Fund / REV. The State Energy Plan / Clean Energy Fund / REV goals include improving resilience and reducing greenhouse gas emissions.
- The degree to which the proposed project, including proposed schedule and cost shares, optimizes the use of available funding to achieve programmatic objectives.
- The degree to which the proposed concept or demonstration may be redundant to projects or work already being done in New York State.

- The degree to which the proposed concept or project addresses NYSERDA’s mission and strategic goals or would be complementary to and support NYSERDA’s existing portfolio of projects.
- Whether the proposed project will accelerate transformational advances in areas that industry by itself is not likely to undertake because of barriers or uncertainty.
- Diversity of awards, including multiple locations, territories, climates and customer types.
- The degree to which there are technical, market, organizational and/or environmental risks associated with the project.
- The degree to which there is portfolio diversity associated with time to market and / or development of pipeline.
- The degree to which the proposed concept or demonstration is relevant in the current and changing regulatory environment, market structures and building codes.
- The degree to which the proposer has the resources (human and financial) to be able to complete the project.

**7. Miscellaneous**

- This solicitation is planned to be open for more than two years over which period there may be regulatory, tariff, program, market structure or other changes that are impactful to distributed energy storage. Evaluation of Concept Papers and Proposals will be made considering the regulatory context at the time.
- NYSERDA reserves the right to vet concepts and claims of performance and capabilities in proposals. This includes contacting the proposer, any identified host site, and/or the local distribution utility or the NYISO to validate or seek clarification on any information contained in an application.
- NYSERDA will require submission and publication of performance data associated with the demonstrations including, at a minimum, kW and kWh of performance, peak reduction if applicable, and aggregated revenue and cost savings achieved. Specific performance requirements that will be utilized should be recommended in the Proposal and will be negotiated with successful proposers., NYSERDA may require third party measurement and verification of project performance data for Full Demonstrations. Such costs will be borne by NYSERDA.

**V. Proposer Eligibility**

To be eligible for selection under this solicitation, proposers must submit a complete Concept Paper or invited Proposal package and agree to the terms and requirements of this solicitation. All materials submitted to this solicitation become the property of NYSERDA. Proposers will not be reimbursed by NYSERDA for any costs associated with the preparation of their submissions.

For-profit and not-for-profit businesses and universities that are incorporated in the United States are eligible to apply as a stand-alone proposer or as the lead of a project team. This includes energy storage vendors, DER developers, DER host sites, demand response providers, wholesale market participants, and non-utility load serving entities. Government (Federal, State, Local) entities may participate on a project team but not serve as a stand-alone proposer. Utility, NYISO or NYPA support for the project and engagement or participation in the project team is expected and demonstrations that attempt to provide system value to one of these parties will not be supported

without the engagement of that party. For this reason, distribution utilities, NYISO, or NYPA may not serve as a stand-alone proposer nor project team lead. NYPA may propose projects on behalf of its energy services clients.

Demonstration locations proposed to benefit from NYSERDA’s cost-share funding must contribute to the System Benefits Charge or benefit utility territories that contribute to the Clean Energy Fund. This excludes demonstrations at locations receiving 100% commodity supply from NYPA and in LIPA, cooperative electric, and municipal electric territories.

## **VI. Concept Paper and Proposal Scoring Criteria**

Concept Papers and Proposals deemed compliant and responsive will be reviewed and scored by the Review Panel per the criteria below.

### **1. Quality of the Distributed Energy Storage Value-Stacking Concept/Use Case**

- Does the submission present a demonstration or a concept that can be demonstrated?
- Is the concept/use case description clear and address:
  - what functions or services the energy storage system would perform and how it is possible for the storage to perform multiple services
  - what are the desired impacts on the host load, grid or renewable injections
  - how technically and cost competitive the storage system is compared to alternative solutions
  - what regulations or business models exist or would be necessary to monetize and obtain values for who and how
- Does it describe what would be proven or addressed by a demonstration of this use case?
- Is the proposed concept/demonstration oriented towards commercial replication?
- Does it describe and prioritize the risks, barriers and complexities and possible solutions to stacking multiple values including issues of business model, monetization, system optimization and dispatching in the case of conflicting needs, tariff/program change, etc.?

### **2. Potential for Impact in New York State**

- Does the use case address issues that can reasonably be anticipated in New York or have the potential for substantial peak load reduction, reductions in GHG emissions or improvements that may increase the ease and installation of renewable energy?
- Are the values being stacked ones that are applicable and beneficial in New York State?
- Is the concept or use case potentially a transformational advancement over existing solutions used to address electric system needs which, if successful, could result in significant improvements and/or create entirely new marketplaces in New York State?
- Is the value proposition sufficient such that the concept or technology will likely be successful in the target market?

### **3. Value of the Demonstration**

- Is work scope presented in the Concept Paper, Feasibility Study proposal or Full Demonstration proposal appropriate, clear and complete including the Statement of Work, Budget and Schedule as required?
- Is the amount of time, effort, resources and co-funding in the Budget and Schedule



reasonable and appropriate for the work scope and/or scale of concept demonstration?

- Is the applicant’s cost-share adequate or more than adequate and is the NYSERDA cost share requested justified given the other commercial terms, revenues, incentives, etc. involved in the project? (see Section IV. 4.)
- Is the demo and plan presented likely to validate the proposed concept, overcome barriers to stacking values, adequately mitigate risks and position the project to remain technically and financially sustainable?
- Does the plan clearly articulate the deliverables, such as case studies, data, and lessons learned that will be valuable in New York State?

**4. Viability of Replication in New York State**

- Does the concept or proposal explain how and when this use case or market opportunity can be commercially viable without incentives?
- Has the market been identified and characterized and are there sufficient markets, needs or business cases to drive adoption?
- Does the concept or proposal discuss the addressable market and the realistic conditions/changes needed for adoption?
- How significant are the barriers to market entry or adoption of the concept or use case and how likely are they to be overcome?
- Is there an understanding of other competitive options providing the same values and services and is this proposed solution superior from a net cost perspective?

**5. Qualifications and Experience of Proposing Team**

- Does the proposed team have the necessary expertise and resources to execute the proposed concept in a demonstration in New York State?
- Is the proposer engaged in, and understanding, the markets in New York State applicable to the concept or demonstration?
- Does the team and energy storage vendor have sufficient expertise designing, permitting, installing and operating this technology solution in a commercial setting and what is the company’s track record and going concern?
- Does the team have experience in operating energy storage for obtaining the proposed or similar values elsewhere?
- Does the concept or proposal have letters of support or resource commitment as appropriate?

**VII. Submission Responsiveness Criteria**

The following types of submissions will be deemed **nonresponsive** and not reviewed or scored:

- Concept Papers that do not propose demonstration of distributed energy storage in New York State for multiple value streams or benefits.
- Proposals for Feasibility Studies or Full Demonstrations that were not reviewed as Concept Papers and invited to propose.
- Applications that focus on demonstrating a utility-owned storage solution.
- Applications that have been submitted in response to other currently issued NYSERDA solicitations.

- Applications focused on research and discovery/or fundamental knowledge generation or applications for technologies not yet commercialized as described in Section II.B.
- Applications including or contingent upon substantive technology or product development or products not adequately warranted or with necessary industry certification required by an Authority Having Jurisdiction for the proposed purpose.
- Incomplete applications, applications not complying with the solicitation instructions, Proposals not including a complete Proposal Checklist Attachment A or other required material.

Noncompliant and nonresponsive Concept Papers and proposals for Feasibility Studies and Full Demonstrations will be rejected and not scored. A notification letter will be sent by email to the points of contact designated on the submission cover sheet.

### **VIII. Attachments**

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- A. Concept Paper Template
- B. Proposal Checklist
- C. Disclosure of Prior Findings
- D. Statement of Work Format
- E. Budget Form
- F. Electronic Submittal Instructions
- G. Sample Agreement

### **IX. General Conditions**

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

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

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





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

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

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

**State Finance Law Sections 139-j and 139-k** - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx>. The attached Proposal Checklist calls for a signature certifying that the proposer will comply with State Finance Law sections 139-j and 139-k and the Disclosure of Prior Findings of Non-responsibility form includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years.

**Tax Law Section 5-a** - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf)). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department.

The Department has created a second form that must be completed by a prospective contractor prior to contacting and filed with NYSERDA. See, ST-220-CA (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220ca\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

**Contract Award** - NYSERDA anticipates making multiple awards under this solicitation. It may award a contract based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the submitted proposal (see Proposal Checklist). Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately 8 weeks from the receipt of a submission whether the Proposal has been selected to receive an award. NYSERDA may decline to contract with awardees



that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

**Accessibility Requirements** - NYSERDA requires contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSERDA's Accessibility Requirements](#).

**Limitation** - This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement. NYSERDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information and the presence of a material possibility of any reputational or legal risk in making of the award.

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



Manufacturing Corps (M-Corps) Pilot Program  
Program Opportunity Notice (PON) 3582  
**\$ 4,000,000 Available**

*NYSERDA reserves the right to extend and/or add funding to the Solicitation should other program funding sources become available.*

Proposals Due: September 14, 2017 by 5:00 PM Eastern Time\*

**Program Summary:** Scalable hardware startup companies are the engines of technology commercialization, job creation, and economic growth. In many cases, these promising companies struggle to traverse the many challenges of manufacturing to bring a physical product to market. This New York State Energy Research and Development Authority (NYSERDA) solicitation seeks proposals to establish partnerships in New York State focused on overcoming the challenges of product manufacturing for clean energy technology (“cleantech”) startup companies. By evolving the nature of engagements with cleantech startup companies, manufacturers, and investors, there is an increased likelihood the startup will successfully scale.

NYSERDA’s strategy through the Manufacturing Corps (M-Corps) Pilot Program is to provide operational and programming support to organizations offering services to manufacturers and cleantech startups to achieve key manufacturing milestones and accelerate the time it takes to move from a prototype to a commercial product. Selected awardees will develop potential curriculum topics and milestones for manufacturers, cleantech hardware startup founders and the organizations that support them including incubators, proof of concept centers, universities, and independent non-profits. Proposals will be evaluated based on innovative and high impact programming designed and developed for manufacturers and hardware-focused cleantech startup companies, utilization of existing institutional resources and regional assets, and collaboration with partners.

The funding opportunity described in the following pages includes activities designed to better prepare hardware startup companies and manufacturers for the challenges of working together to mobilize the manufacture of cleantech hardware in New York State. Funds will be awarded to establish and implement one or more M-Corps pilot programs that provide regional coverage in New York State. Up to \$4,000,000 of NYSERDA funding is available through this M-Corps Pilot Program. This M-Corps funding is intended to cover approximately 24 months of services. Future M-Corps funding may be available. Future solicitations, if deemed appropriate, will utilize the learnings from this pilot to provide services across the state over a period of years.

**Letter of Intent:** Proposing teams are required to submit a Letter of Intent (LOI) to the address below or via email submission to [Jillina.Baxter@nyserda.ny.gov](mailto:Jillina.Baxter@nyserda.ny.gov) as outlined in Attachment B no later than **August 31, 2017 5:00PM**. To the extent known, identify in the LOI the members of the proposing team. The LOI should be signed by an individual in a position to contractually commit the lead organization of the proposing team. NYSERDA will use the LOI respondent lists to eliminate Conflicts of Interest on the solicitation scoring committee. Refer to Attachment B for the LOI template.

#### **Informational Webinar:**

NYSERDA will conduct an informational webinar to be held **July 13, 2017 at 2:00-3:00PM**. NYSERDA staff will describe the Manufacturing Corps initiative and answer questions relating to possible projects, program applicability, selection criteria, and any other appropriate topics. Prior registration for the webinar conference is available but not required. Participants can join up to 30 minutes beforehand. Instructions to participate are as follows:



Step 1 – Join the webinar to view presentation slides and submit questions

From a web browser to go <http://bit.ly/2tZ4A5U>

Click REGISTER then enter your name, email, and phone number and click SUBMIT

You will be emailed a confirmation with information for entering the meeting at the appointed time

Step 2 – Join the audio conference

Dial (415) 655-0001

Enter passcode 668-876-931

Once in the conference and it has begun, enter your unique identifier # followed by the # key. This optional step will allow you to “raise your hand” to ask questions during the webinar by linking your phone and internet presence.

Questions addressed during the webinar will be posted to the NYSERDA webpage for the M-Corps Pilot Program by close of business July 20, 2017 via an M-Corps Frequently Asked Questions (FAQs) section. Proposers who are unable to attend the webinar should use these FAQs as a resource.

**Proposal Submission:** Electronic submission is preferable. Proposers may submit Word, Excel, or PDF files (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer’s entity name in the title of the document. NYSERDA will also accept proposals by mail or hand-delivery if electronic submission is not possible. For detailed instructions on how to submit a proposal, click the link “NYSERDA Solicitation User Guide [PDF]” located in the “Current Opportunities” section of NYSERDA’s website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted except by contacting Erica Iannotti at (518) 862-1090, ext. 3285 or by e-mail [erica.iannotti@nyserda.ny.gov](mailto:erica.iannotti@nyserda.ny.gov) or Nicholas Querques at (518) 862-1090, ext.3086 or by e-mail [nicholas.querques@nyserda.ny.gov](mailto:nicholas.querques@nyserda.ny.gov) (for technical questions). If you have contractual questions concerning this solicitation, contact Venice Forbes at (518) 862-1090, ext. 3507 or [venice.forbes@nyserda.ny.gov](mailto:venice.forbes@nyserda.ny.gov). Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer’s behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

If mailing or hand-delivering, proposers must submit (2) paper copies of their proposal with a completed and signed Proposal Checklist, along with a CD or DVD containing either a PDF or MS Word digital copy of the proposal, following the above guidelines. Mailed or hand-delivered proposals must be clearly labeled and submitted to:

**Proposals, PON 3582  
NYS Energy Research and Development Authority  
17 Columbia Circle  
Albany, NY 12203-6399**

**\* All proposals must be received by 5pm Eastern Standard Time on the date noted above. Late, faxed, or emailed proposals will not be accepted.** Incomplete proposals may be subject to disqualification. It is the proposer’s responsibility to ensure that all pages have been included in the proposal. Please note: for electronic submission, there are required questions that you will have to answer in addition to uploading attachments and you should allot at least 60 minutes to enter/submit proposals. The electronic proposal system closes promptly at 5pm, files in process or attempted edits or submission after 5pm Eastern Standard Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on NYSERDA’s web site at <https://www.nyserda.ny.gov/>.

## 1. Introduction

### 1.1 Background

Many startup companies commercializing clean energy technologies<sup>1</sup> face a difficult path to market because of the capital intensity and long lead times associated with the initial manufacturing of products for the clean energy market. There is often a lack of understanding among many startups of how or where their products can be made or if their cleantech product can be made profitably at scale. Furthermore, when a startup company does not have a strong manufacturing strategy, they often struggle to secure private investment or strategic corporate partnerships. Hardware<sup>2</sup> startup companies experience a cash flow squeeze when undertaking manufacturing. At the same time, manufacturers are often hesitant to work with startup companies because startups are not prepared with critical deliverables like technical drawings of a product designed for manufacturing at scale or the appropriate cash flow to fund production. This represents a significant risk for a manufacturing partner. In addition, the manufacturers themselves often do not understand the specific needs of startups and are underprepared to identify and leverage best practices for working with them. These challenges converge to create circumstances that are difficult for a startup company to overcome. These knowledge/resource gaps can result in the startup company's stall or outright failure.

NYSERDA has done extensive customer discovery and research at the intersection of hardware startup companies, manufacturers, and investors. This research indicates that closing the manufacturing gap for startups can help disruptive cleantech innovations effectively scale. Additional background information can be found in Attachment C.

### 1.2 Program Overview

The M-Corps Pilot Program includes education, mentoring, and strategies to de-risk the business relationship between hardware startup companies and manufacturing partners.

The activities that encompass NYSERDA's M-Corps Pilot Program include:

- Developing curriculum and a set of best practices that help startups and manufacturers work together more productively and profitably.
- Building an understanding of Design for Manufacture (DFM) among hardware entrepreneurs.
- Support for manufacturing strategy assessment and development.
- Curating and/or building resources for hardware startups to use that make bringing a hardware product to market easier.
- Matchmaking between manufacturing partners and startups.
- Mentorship of hardware startup founders
- Improving access to prototyping facilities and multi-use equipment.
- De-risking the business relationship between cleantech hardware startup companies and manufacturing partners.
- Improving access to scalable manufacturing space.

Most Manufacturing Corps (M-Corps) activities and time should be spent with hardware startups that have a works-like and/or looks-like prototype and a validated market who need help manufacturing. A smaller percentage of the activities and time should be spent educating and supporting earlier stage startups. Additional information about the suggested program activities can be found in Attachment D. It is not a requirement that a proposer use these activities but given that these suggestions are the result of more than 100 interviews with startups, manufacturers, investors, and venture development organizations, it is expected that any omissions or substantive changes would be discussed in the proposal.

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<sup>1</sup> Clean energy technologies, "cleantech", refers to energy-related technologies that generate commercial benefits to customers while addressing environmental concerns, such as global climate change, sustainability, and energy security.

<sup>2</sup> "Hardware" refers to a physical product that needs to be manufactured.



### 1.3 Expected Outcomes/Goals

The expected outcomes of NYSERDA's M-Corps Pilot Program include:

- Developed manufacturing strategies for cleantech hardware startup companies.
- Hardware startup companies that are prepared to work with manufacturers, both technically and financially.
- Agreements between hardware startup companies and manufacturing partners for the production of cleantech products.
- Accelerated time-to-market for cleantech hardware products.
- Increased revenue and margin rates for startups and manufacturers alike.
- Increased private investment, NYSERDA grants, and non-NYSERDA grants to cleantech hardware startup companies.
- Increased engagement from the manufacturing and investor communities in the hardware startup ecosystem.
- Increased NYS manufacturing content in cleantech products.
- Location of scalable manufacturing spaces.
- New opportunities for manufacturing partners to optimize designs and produce innovative cleantech products.
- Better prepared venture development organizations to support cleantech hardware startup companies.
- Established relationships with institutions, financial and otherwise, that can serve the de-risking function, partially or wholly, in the future.
- Expanded/strengthened hardware startup ecosystem.

### 1.4 Available Funding and Cost Sharing

Up to \$4,000,000 of NYSERDA funding is available through this PON. NYSERDA anticipates making two awards split between different geographic regions. There is no maximum award per proposing team but it is estimated that the **total** award(s) will be approximately \$4,000,000. The size of the award(s) will vary based on strategy and implementation plan. NYSERDA reserves the right to award some, all, or none of the available funds. NYSERDA reserves the right to interview some, all, or none of the proposers prior to funding the awards. NYSERDA further reserves the right to add additional time and/or funding to awarded contracts.

The proposal may include non-NYSERDA funding in the total cost of the project. Cost sharing can be from the proposer, other team members, and other government or private sources. Contributions of direct labor (for which the laborer is paid as an employee) and purchased materials may be considered "cash" contributions. Unpaid labor, indirect labor, or other general overhead may be considered "in-kind" contributions. NYSERDA will not pay for efforts which have already been undertaken. The proposer or proposing team cannot claim as cost-share any expenses that have already been incurred. The proposer's cost share may be cash or in-kind and may come from itself or partner organizations. Cost share is not required but demonstrates commitment to the long-term goals of M-Corps and will be evaluated.

## 2. Program Requirements

### 2.1 Eligibility and Proposer Qualifications

A wide array of proposers are eligible for the M-Corps Pilot Program including non-for-profit, for-profit, academic, incubators, etc. NYSERDA is eager to hear innovative ideas and approaches that can solve the challenges facing the hardware ecosystem throughout the M-Corps Pilot.

- Lead proposer must have their principal place of business in New York State.

- Lead proposer should have a proven track record of successfully supporting hardware-focused startup companies.

Ideal proposers have access to deal flow of hardware-focused cleantech startup companies, a strong network of New York State manufacturers with a wide range of capabilities, access to a network of investors, and have within their proposing team, the skills sets required to implement their Statement of Work.

The lead proposer is ultimately responsible for the overall implementation and performance of the pilot program and is responsible for the success of the collaboration with all associated partners. Ideal lead proposers have a track record of success leading productive collaborations.

## 2.2 Letters of Intent to Propose

Proposing teams are required to submit a Letter of Intent (LOI) to the address below or via email submission to [Jillina.Baxter@nyserda.ny.gov](mailto:Jillina.Baxter@nyserda.ny.gov) as outlined in Attachment B no later than **August 31, 2017 5:00PM**. To the extent known, identify in the LOI the members of the proposing team. The LOI should be signed by an individual in a position to contractually commit the lead organization of the proposing team. Refer to Attachment B for the LOI template.

## 2.3 Identify Your Region and Provide a Gap Analysis

The objective of the M-Corps Pilot Program is to provide operational and programming support to organizations offering services to startups and manufacturers to achieve key manufacturing milestones and accelerate the time it takes to move from a prototype to a commercial product. Programs and resources currently exist in New York that support portions of this objective. The proposer is requested to prepare an analysis that compares existing resources with the resources necessary to meet the objectives of the M-Corps program and identify the gaps that need to be filled. Programs should be developed and partners engaged based on the proposer's understanding of their region's gaps and the strategy to leverage existing programs.

- Proposers should define their region by county, Regional Economic Development Council, or other appropriate measure. It is not expected that any one proposer will have statewide coverage.
- Explain what infrastructure/participants/resources/talent your region has that makes your proposal compelling. These may be federal, state, or local, including private or public sector, as applicable.
- Describe what infrastructure/participants/resources/talents are missing from your region and how you propose to address those gaps.
- Describe which audiences are not being served that require support and how you will address those needs.

## 2.4 Statement of Work

Through extensive customer discovery, NYSERDA determined many cleantech hardware startup founders are unclear how to produce a manufactured product at scale. Founders are generally unaware of existing tools and often do not know enough about manufacturing to ask the right questions at the right time of the right resources. This results in wasted time and money for the startup. Some providers of startup education like incubators and venture development organizations are not prepared to guide startups through the scale manufacturing process. Startup founders are often left with an unclear path and few resources to bring their physical product to the marketplace. This often causes innovative cleantech products to stall or even fail before they reach a big enough market to make an impact.

Audiences for M-Corps include startups and manufacturers directly as well as the investment community and the venture development organizations that support the greater innovation ecosystem including incubators.

Suggested activities based on NYSERDA customer discovery can be found in Attachment D.

Interventions include activities focused on discovering, curating, and creating new resources and mentorship mechanisms that benefit startups, manufacturers, investors, and venture development organizations. De-risking interventions are characterized by the development and implementation of a program that de-risks the relationship between a cleantech hardware startup company, manufacturing partners, and investors. Proposers need to include Part 1 Curriculum Development, Part 2 Education, Awareness, Mentorship, and Consulting, and Part 3 De-risking as outlined below, in their proposal.

Most M-Corps funding and programs should be spent with hardware startups that have a works-like and/or looks-like prototype and a validated market who need help manufacturing. A smaller percentage of resources should be spent educating and supporting earlier stage startups. NYSERDA recognizes that early stage activities are high value, high impact, and likely can be funded with lower cost interventions. Product Development and Prototype stages are shown graphically in Attachment D.

- Part 1: Curriculum Development:
  - Proposers should describe potential curriculum topics and milestones for manufacturers, cleantech hardware startup founders and the organizations that support them including incubators, proof of concept centers, universities, and independent non-profits. Topics and milestones should be technology agnostic where possible. Where industry-specific detail is required, as in materials-based innovations or energy storage, curriculum development should also cover these topics. Proposers should consider curriculum topics covering early design work through stable production. The level of involvement with the startup should be appropriate for the product development stage.
  - Proposers should explain the best practices for startups and manufacturers to work together (or how they will gather that information) and provide curriculum plans or other interventions to reduce barriers between these two market actors.
  - Proposers should provide a description of the curriculum topics, the instructional development methodology, the delivery method(s), and the extent to which the curriculum will be supported beyond the pilot program.
  - Proposers should explain the mechanisms that will allow the curriculum to evolve over the life of the M-Corps program and beyond. This likely includes leveraging and curating existing and emerging tools available from outside sources. Proposer is responsible for securing the necessary permissions of any protected content and should provide an explanation for how this will be accomplished.
  - Proposers should describe development, review, and test of the curriculum.
  - NYSERDA will retain the right to use any/all content, including curriculum developed using M-Corps funding, freely and as NYSERDA sees fit. Content developers will also retain rights to the curriculum however it will be a requirement that the curriculum remain free of charge to startup companies and founders.
- Part 2: Education, Awareness, Mentorship and Consulting:
  - Proposers should describe how interventions will contribute to improving the understanding of manufacturability among early stage hardware startup founders. Interventions should be designed to minimize the number of preventable mistakes made by startups that cost time and money, and should maximize the likelihood that founders will ask the right questions of the right resources at the right time in their manufacturing journey. Office hours staffed by manufacturing experts, workshops, plant tours, investor pitch practice sessions that include manufacturing partners, founder meetups, etc. may all be a part of the strategy to reach early stage cleantech hardware startup companies.
  - Proposers should describe how interventions will contribute to improving the understanding of product manufacturing for growth stage startup companies. Interventions will likely be characterized by more hands-on, higher touch interventions including startup-manufacturer matchmaking, manufacturing strategy development, manufacturer sourcing and tours, Technology Readiness Level, Commercial Readiness Level and Manufacturing Readiness Level (TRL/CRL/MRL) stage assessment and planning, engagement with regulatory and testing bodies, use of a PLM, etc. Interventions may also include support for startups that are manufacturing cleantech



- products partially or wholly on their own including equipment identification, plant layout, LEAN, ISO:9001, quality management systems, etc.
  - Proposers should outline additional interventions to support and grow the cleantech hardware ecosystem potentially including the support, sponsorship, and/or hosting of hardware hackathons, and improved access to prototyping facilities and multi-use facilities including makerspaces.
  - Proposers should outline a program to identify manufacturing experts and provide manufacturing expertise to cleantech hardware startup companies for short-term engagements. Proposers should explain how they will use this program in collaboration with other interventions to prepare cleantech hardware startup companies for manufacturing.
- Part 3: De-Risking
  - Proposers should identify and describe interventions that de-risk transactions between startup companies and manufacturing partners. This may include market-validation, competitive landscapes, purchase order validation, match-making between startups and manufacturers, due diligence, or other interventions as the proposer deems fit.
  - Proposers should describe how project funding would be used to de-risk manufacturing engagements between startup companies and manufacturing partners. The proposer should further describe the nature of potential agreements. The intention of the de-risking activity is to use the smallest amount of NYSERDA funding to mobilize the transaction between the startup company and the manufacturer. Please note, M-Corps Pilot Program funding cannot be used to cover financing. If, however, a manufacturer or other partner wanted to work with the Proposer or the startup company in a way that mobilized non-NYSERDA funds or other creative means to provide financing, that would be acceptable. Proposers should describe how risk will be shared between parties.
  - Proposers should outline additional ways startups can effectively manage the financial challenges of manufacturing. These may include payment term discussions with manufacturers and/or customers, equipment rental, licensing agreements, etc. Proposers should describe how they will collaborate with cleantech startups involved in M-Corps to educate founders and manufacturing partners about these creative approaches to financial de-risking.
  - Identify and catalog a comprehensive list of scalable manufacturing spaces in New York State, with special attention on those that are 500-5000 square feet.
  - Proposals should de-risk manufacturing for both startup companies and manufacturing partners. If there are tollgates, like a vetted customer purchase order or TRL/CRL/MRL stages, please detail them in your proposal. Explain who will perform prospect due diligence and what will be included in the due diligence process. Identify who is excluded from accessing M-Corps resources.

Suggested activities based on NYSERDA customer discovery can be found in Attachment D. As noted, it is not a requirement that a proposer use these activities but given that these suggestions are the result of more than 100 NYSERDA interviews with startups, manufacturers, investors, and venture development organizations, it is expected that any omissions or substantive changes to the suggested activities would be discussed in the proposal. Additional activities, beyond those described in Attachment D are welcomed and encouraged.

Proposers should have any licenses or certifications required by New York State and federal statute.

Additional Considerations:

- Proposers should describe the communications strategy for marketing to and recruitment of M-Corps participants and the strategy for sharing program successes with stakeholders.
- Proposers should describe how they will engage and educate the investment community to better understand how M-Corps interventions de-risk investments in the cleantech startup ecosystem.
- Proposers should detail how suggested interventions would be implemented, explain reasons for omitting any of these interventions, and suggest additional interventions to help NYSERDA achieve its stated goals.

- Describe how startup, manufacturer, investor, and venture development audiences will be engaged during the M-Corps Pilot development to build the buy-in needed to ensure they will use M-Corps tools during the pilot and after.
- Proposers should develop an intake process for M-Corps program participants.
- Explain the stages of bringing a hardware product to market. Explain how you will identify what stage a prospect is at and what services they need to bring them to the next stage. Explain how you will engage experts at each stage to ensure startup success.
- Proposers are expected to outline how they will work with other NYSERDA and other NYS and national innovation assets to ensure the startup is addressing the appropriate business model development milestones concurrently with their M-Corps engagement.
- Identify organizations that might have an interest in the long-term outcomes of the M-Corps program and how your organization will engage them during the pilot phase.

## **2.5 Milestone Payment Plan**

Structure a performance-based payment plan such that 100% of requested NYSERDA funds are allocated to performance milestones.

Funding will be provided according to a milestone payment plan. NYSERDA will pay the successful proposer a negotiated fixed amount upon accomplishment of the milestones and provision of the associated deliverables in a form satisfactory to the NYSERDA Project Manager. Milestones may be thought of in terms of three Payment Groups.

Payment Group A includes management tasks and deliverables. These include items such as reporting, communication, program development and organization of the Advisory Board. It is expected that no more than 30% of total NYSERDA funding under this PON will be paid out under Payment Group A milestones.

Payment Group B includes tasks and deliverables related to project-specific activities providing direct services to startup companies and manufacturers. These project-specific tasks are expected to generate deliverables of value that merit milestone payments. It is expected that approximately 35% of total NYSERDA funding under this PON will be paid out under Payment Group B milestones.

Payment Group C includes outcome milestones related to startup company manufacturing success. A minimum of 35% of the NYSERDA funding under this PON will be reserved for such outcome milestones.

## **2.6 Advisory Board and Management Structure**

An Advisory Board can provide oversight of the proposing team and strategic vision for the M-Corps Pilot to ensure compliance with NYSERDA's program goals. Proposers should provide a roster of their Advisory Board and an outline of the board's responsibilities. Proposer should consider the breadth and depth of networks and relationships across the multitude of technology space that are relevant to cleantech.

NYSERDA recognizes the management of collaborations is challenging. The lead proposer is ultimately responsible for the success of the program. Proposers should provide a Management Table to define each team member's area of responsibility. Proposers should also provide a short narrative to describe the management structure of the collaboration and how the parties will communicate regularly to ensure cohesive strategy and execution of the program. Resumes of all team members are also required.

## **2.7 Reporting**

Reporting metrics through the pilot program is critical to understand what interventions are working and which need to be adjusted or discarded. These qualitative and quantitative reports will determine the approach for the long-term M-Corps program. Proposers should describe how data will be collected and verified and with what regularity for each of the metrics below, but no less than quarterly.

Proposers should provide an outline of a potential monthly report with qualitative takeaways, learnings, and suggestions for future interventions within the pilot program and beyond.

#### M-Corps Awardees

- Number of engaged startup companies
- Number of engaged manufacturing partners
- Number of contracts/agreements between startup companies and manufacturing partners to manufacture product
- Manufacturing strategies developed
- Cleantech products manufactured
- Percentage NYS manufacturing content in cleantech products produced
- Number of agreements to invest in startup companies
- Cost share by market participants including manufacturing partners
- Private investment raised
- Financing received
- Grants awarded, NYSERDA and non-NYSERDA
- Revenue generated by startup companies
- Percentage reduction of Cost of Goods Sold (COGS)
- Revenue generated by manufacturers specific to engagements with startup companies
- Jobs created/retained by startup companies
- Jobs created/retained by manufacturing partners
- Liquidity events realized
- Time-to-market for cleantech products

Proposers should assume there will be a project kick-off meeting and bi-weekly conference calls with NYSERDA to discuss program implementation and milestones throughout the M-Corps Pilot.

### **2.8 Risks Mitigation Strategies**

The nature of a pilot requires a commitment to prototyping/testing, evaluation, and refinement of the strategic and tactical approach. Proposers should provide a risk analysis matrix including mitigation strategies.

### **2.9 Schedule and Teaming**

To assist potential collaborators with finding each other, you may optionally add your name to a list of partners that will be collected by NYSERDA and shared among all those that opt-in. Email [manufacturing@nyserda.ny.gov](mailto:manufacturing@nyserda.ny.gov) to have your name added to this opt-in list. The email body should include your contact information, organization name, and areas of expertise. The list of potential collaborators and their specialties will be shared with all those who have opted-in five business days after the webinar then weekly until the LOI due date, August 31, 2017.

The following guidelines should be considered when developing proposals:

- Projects are expected to begin promptly following award notification and contract execution. The project schedule assumes approximately 6 months for curriculum development. The remaining program components can run concurrently. The M-Corps Pilot Program inclusive of all activities should be scheduled for approximately 24 months except to indicate the approximate duration of future phases (beyond the proposed phase) of a multi-phase project. Teaming arrangements and collaboration are highly encouraged, where appropriate, to enhance the likelihood of success and overall impact. Explain how you will leverage these partners to solve your region's challenges. Examples of strong teams may include partners such as venture development organizations, investors, lending institutions, financial professionals, experts in purchasing and sourcing, academic and research institutions, government agencies, startup incubators, manufacturers and manufacturing support partners, Manufacturing Extension Partnership (MEP), makerspaces and prototyping facilities, founder groups, and startup companies themselves. Include Letters of



Commitment or interest from each identified team member as well as CVs for key persons in an attachment to the proposal.

Awardees will be expected to work with startups and manufacturers inside and outside of their region with the goal of finding the best cost/lead time/quality/services fit situation for each product.

### **2.10 Letters of Commitment or Interest**

If you are relying on any other organization to do some of the work, provide services or equipment, participate as a key partner, or share in the non-NYSERDA cost, include a letter from that organization describing its planned participation. Also, include letters of interest or commitment from partners or other organizations critical to the development, implementation, and success of the project. Absence of letters of commitment or interest may be interpreted as meaning that the proposer does not have support from the subject parties. Letters should not be solicited from NYSERDA personnel. Proposers should expect to work with startup companies, manufacturing partners, and service providers both within and beyond their region. Out of state collaborators are not prohibited but the lead proposer should be a New York State organization.

### **2.11 Potential Conflicts of Interest**

Identify the nature of any potential conflicts of interest among team members and partners in providing services to NYSERDA under this PON. Fully discuss possible conflicts of interest, actual and perceived, which could arise in connect with performance by team members and partners of the proposed contract. Describe how your firm would resolve conflicts. In the event that NYSERDA determines that a team member may have a conflict of interest or the appearance of such, NYSERDA may: (1) take this into consideration in evaluating the proposal; (2) exclude the proposer from consideration for an award; (3) adjust the scope of work to avoid the conflict or appearance of conflict; or (4) negotiate other appropriate actions with the team member to avoid the conflict or appearance of conflict.

## **3. Proposal Requirements**

### **3.1 Proposal Narrative**

- Executive Summary: Provide a brief summary of the proposal. Outline interventions based on your region's characterization to help achieve NYSERDA's stated goals.
- Background, Opportunity: Explain who will be served by the materials, methods, and programs developed through the M-Corps Pilot. Describe how these audiences will be engaged during the M-Corps Pilot to build the buy-in needed to ensure they will use M-Corps tools during the pilot phase and full implementation of the program.
- Gap Analysis as outlined in section 2.3
- Statement of Work, Milestone Payment Plan, and Schedule
  - Action steps that address all items in section 2.4 Statement of Work, and section 2.5 Milestone Payment Plan along with an associated schedule
- Team and Resources:
  - Outline of the proposing team's track record of successfully supporting hardware-focused startup companies. Provide referrals.
  - Qualifications including resumes of key persons
  - Relationships between parties
  - Governance Structure for all collaborators including Management Table that clarifies each partner's area of responsibility and Management Structure narrative.
  - Advisory Board roster and responsibilities
- Project Benefits and Metrics including collection methods
- Risk Mitigation Strategies
- Letters of Commitment or Support
- Attachment A, Mission Model Canvas



- Attachment B, Letter of Intent to Propose, following the guidelines in section 2.2

#### **4. Proposal Evaluation**

Proposals that meet solicitation requirements will be reviewed by a Scoring Committee using the Evaluation Criteria below. The Scoring Committee will include NYSERDA staff plus external members with the appropriate level of expertise to provide insights to the evaluation. At NYSERDA's discretion, proposers may be requested to interview with all or part of the Scoring Committee to address any potential questions or clarifications outlined in the proposals. Proposers will be notified if they are requested to attend an interview.

In addition to the criteria listed below, NYSERDA may consider the following programmatic factors:

- The degree to which pricing and hourly rates are in line with the rest of the market.
- Geographic coverage and distribution of awardees.
- The degree to which the proposed project, including proposed cost shares, optimizes the use of available funding to achieve programmatic objectives.
- Promotion of job creation and/or preservation or the degree to which the proposed project is likely to lead to increased employment and manufacturing in New York State.
- The degree to which there is industry involvement and demonstrated ability to commercialize energy or related technologies.
- The degree to which the proposed project directly addresses NYSERDA's mission and strategic goals.
- The degree to which the applicant has the resources (human and financial) to be able to complete the project.
- The level of cost share funding, if any, by the proposing team.

#### **Proposal Evaluation**

The following items will serve as the primary criteria used to evaluate proposals. In each case, the proposal will be evaluated on the strategies, activities and interventions included in the proposal that will result in high levels of success. It is important the proposals include information and material in sufficient detail to allow the Scoring Committee to adequately evaluate the proposal.

#### **Part 1: Curriculum Development:**

- Does the proposal adequately describe appropriate curriculum topics and milestones to demonstrate an in-depth understanding of what is required to prepare hardware-based startup business for manufacturing their first commercial product?
- Does the proposal present a curriculum plan that meets industry best practice and standards?
- Does the proposal outline a strategy that could result in the support and use of the curriculum developed in the project beyond the pilot program?
- Does the proposal include a strategy that will result in ongoing review and improvement of the curriculum?
- Does the curriculum development and use strategy in the proposal identify existing training materials and organizations and leverage such resources to the fullest extent possible?
- Does the proposal acknowledge that NYSERDA will retain the right to use any and all content, including curriculum developed using M-Corps funding, freely and as NYSERDA sees fit? Curriculum should remain free of charge to startup companies and founders.

#### **Part 2: Education, Awareness, Mentorship and Consulting:**

- Does the proposal present a detailed strategy and approach to minimize the number of preventable mistakes made by early stage startups that cost time and money, and maximize the likelihood that founders will ask the right questions of the right resources at the right time to



prepare for commercial manufacturing? Office hours staffed by manufacturing experts, workshops, plant tours, investor pitch practice sessions that include manufacturing partners, founder meetups, etc. may all be a part of the strategy to reach early stage cleantech hardware startup companies.

- Does the proposal present a detailed strategy and approach that will contribute to improving the understanding of product manufacturing for growth stage startup companies?
- Does the proposal include additional activities to support and grow the cleantech hardware ecosystem? These could include the support, sponsorship, and/or hosting of hardware hackathons, and improved access to prototyping facilities and multi-use facilities including makerspaces.
- Does the proposal include a strategy to identify manufacturing experts and provide manufacturing expertise to cleantech hardware startup companies for short-term engagements?

**Part 3: De-Risking:**

- Does the proposal identify and describe appropriate strategies that may de-risk transactions with startup companies for manufacturing partners? This may include market-validation, competitive landscapes, purchase order validation, or other inventions as the proposer deems fit.
- Does the proposal include a detailed discussion on how NYSERDA funds will be administered to de-risk manufacturing engagements between startup companies and manufacturing partners that will minimize risk of losses to all parties including NYSERDA?
- Does the proposal describe the nature of potential agreements and how risk will be shared between the startup, the manufacturing partner, and NYSERDA?
- Does the proposal outline additional ways startups can effectively manage the financial challenges of manufacturing?
- Does the proposal include a discussion on collaboration with the cleantech hardware startup founders and manufacturing partners engaged in M-Corps to educate them about these creative approaches to de-risking?

**Additional Considerations:**

- Does the proposal describe a comprehensive strategy for marketing to and recruitment of M-Corps participants and the strategy for sharing program successes with stakeholders?
- Does the proposal include a comprehensive strategy to engage and educate the investment community to better understand how M-Corps interventions de-risk investments in the cleantech startup ecosystem?
- Does the proposal provide a detailed discussion of an intake process for M-Corps program participants?
- Does the proposal outline a process to leverage existing NYSERDA and non-NYSERDA programs and funding sources to ensure the startup is addressing the appropriate business development milestones concurrently with their M-Corps engagement?

**Advisory Board and Management Structure:**

- Does the proposed roster of Advisory Board members include membership that will leverage existing resources and provide the necessary breadth of expertise to meet the objective of the M-Corps initiative?
- Does the proposed management structure demonstrate adequate checks, balances and subcontractor oversight to minimize risk and increase the likelihood of success for the M-Corps initiative?
- Does the proposed staff have the correct training and expertise to meet the objectives of the program? Are the roles, responsibilities and expected time commitment of assigned staff appropriate to ensure a successful outcome?

- Has the proposing team demonstrated experience in supporting hardware-focused startup companies? Have they provided referrals?

**Measures of Success and Reporting:**

- Does the proposer include a clear methodology for data collection and quality assurance to meet the reporting requirements?

**Risks Mitigation Strategies**

- Does the proposal identify challenges and risks associated with project performance and propose mitigation strategies? How significant are these risks, and how effective are the mitigation strategies expected to be?

**Milestone Payment Plan**

- Does the proposed program targets and payment plan demonstrate an appropriate level of risk sharing? Are deliverables tangible? Do they represent progress towards program goals? Do they reward real outcomes? Does the proposing team's cost share funding represent a commitment to the project?

**Gap Analysis**

- Does the proposing team demonstrate sufficient understanding of existing resources and programs that can be leveraged to achieve M-Corps objectives?
- Does the proposal include a strategy to leverage the existing resources and programs and, to the fullest extent possible, not duplicate programs that already exist?

**5. General Conditions**

Proposals should not be excessively long or submitted in an elaborate format that includes expensive binders or graphics. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. Each page of the proposal should state the name of the proposer, the PON/RFP number, and the page number. The proposal must be in form fillable format

A payment based on the final deliverable will be reserved until project completion. If awarded, NYSERDA may choose to negotiate the amount of such payment.

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



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

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

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

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

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

**State Finance Law sections 139-j and 139-k** - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx> . Proposers are required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility (this includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years).

**Tax Law Section 5-a** - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf)). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department.

The Department has created a second form that must be completed by a prospective contractor prior to contacting and filed with NYSERDA. See, ST-220-CA (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220ca\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf> .

**Contract Award** - NYSERDA anticipates making one or more awards under this solicitation. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers approximately 10 weeks from the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

**Accessibility Requirements** - If awardees from this solicitation will be posting anything on the web, or if the awardee will produce a final report that NYSERDA will post to the web, the following language must be included. NYSERDA requires contractors producing content intended to be posted to the Web to





adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSEDA's Accessibility Requirements](#).

**Limitation** - This solicitation does not commit NYSEDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSEDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSEDA's best interest. NYSEDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement. NYSEDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information and the presence of a material possibility of any reputational or legal risk in making of the award.

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

## 6. Attachments

- Attachment A – Mission Model Canvas
- Attachment B – Letter of Intent to Propose
- Attachment C – M-Corps Background Information
- Attachment D – M-Corps Suggested Activities
- Attachment E – Sample Agreement

## **Energy Storage Technology & Product Development**

Program Opportunity Notice(PON) 3585

**Up to \$6.3 million Available**

*NYSERDA reserves the right to extend and/or add funding to this Solicitation should other program funding sources become available*

### **Round 1:**

Concept Papers Due: July 20, , 2017 by 5:00 PM Eastern Time\*

### **Round 2:**

Concept Papers Due: November 2, 2017 by 5:00 PM Eastern Time\*

### **Round 3:**

Concept Papers Due: February 8, 2018 by 5:00 PM Eastern Time\*

### **Round 4:**

Concept Papers Due: April 12, 2018 by 5:00 PM Eastern Time\*

## **Program Summary**

New York State's Reforming the Energy Vision (REV) initiative envisions Distributed Energy Resources, including energy storage, as an integral part of transforming the grid to one with more renewable energy and flexible consumption.

NYSERDA is seeking proposals to develop and field test innovative energy storage systems with focus on:

- Hardware (including balance-of-system hardware) cost reduction.
- Performance improvements (efficiency, energy & power density, and thermal stability), specifically for NY-specific applications' duty cycles (e.g., building demand response, electric vehicle charging, solar photovoltaics, and large-scale wind firming).
- Load-side and generation-side field testing of new energy storage technologies to reduce peak load, store and reuse solar PV and wind energy to aid firming up these resources, and provide ancillary services.

NYSERDA is employing a **two-step application process** in this solicitation. All proposers must initially submit a four-page concept paper using the Concept Paper Template provided in Attachment A. The Concept Paper should provide a concise overview of the proposer's energy storage innovation. The Concept Paper will be reviewed and scored by a scoring committee based on the Evaluation Criteria in Section IV. If favorably reviewed, proposers will then be invited to submit a full proposal.

**Funding:** Two rounds of solicitation are anticipated for 2017. The total available funding through Dec. 31, 2018 is \$6,300,000. Up to \$1,825,000 will be committed by Dec. 31, 2017 and the remaining funds will be committed during subsequent rounds. Proposers are encouraged to visit the Clean Energy Fund section of the NYSERDA website (<https://www.nyserdera.ny.gov/cef>) and review the Renewable Optimization Chapter of the Clean Energy Investment Plan, which is associated with this solicitation.

Eligible project categories include Early-Stage Product Development, Field Testing Feasibility Assessments, Technology Facilitation, Product Development, and Product Field Testing. Detailed descriptions of Project Categories and definitions of Eligible Technologies are provided in Section I.

**Concept Paper Submission:** Electronic submission is preferable. NYSERDA will also accept concept papers by mail or hand-delivery. Whether submitted electronically, by mail or hand delivery, concept papers must be

**received by NYSERDA** no later than 5:00 PM Eastern Standard Time on date noted above. Concept papers may be submitted electronically by following the link for electronic submissions found on this PON's webpage, which is located in the "Current Opportunities" section of NYSERDA's website (<http://www.nyserderda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>)

If mailing or hand-delivering, proposers must submit (2) paper copies of their concept paper along with a CD or DVD containing either a PDF or MS Word digital copy of the concept paper, following the above guidelines. Mailed or hand-delivered concept papers must be clearly labeled and submitted to:

**Proposals, PON 3585  
NYS Energy Research and Development Authority  
17 Columbia Circle  
Albany, NY 12203-6399**

**Full Proposal Submission:** For those invited to submit a full proposal, following a favorable review of their Concept Paper, the submission process will follow the same guidelines listed above for concept paper submission. Proposers may submit Word, Excel, or PDF files (file formats can include csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. Full Proposals will be reviewed and scored by a scoring committee based on the same Evaluation Criteria as concept Papers (See Section III).

**Please note that there are required questions that you will have to answer electronically in addition to uploading attachments and you should allot at least 60 minutes to enter/submit a Full Proposal. The electronic proposal system closes promptly at 5pm Eastern Standard Time on the due date noted above.** Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal. Faxed or e-mailed proposals will not be accepted. Proposals will not be accepted at any other NYSERDA location other than the address above. If changes are made to this solicitation, notification will be posted on NYSERDA's web site at <https://www.nyserderda.ny.gov>.

No communication intended to influence this procurement is permitted except by contacting the following (Designated Contacts):

Greg Pedrick, (518) 862-1090, ext. 3378 or e-mail [Gregory.Pedrick@nyserderda.ny.gov](mailto:Gregory.Pedrick@nyserderda.ny.gov) (technical)

Nancy Marucci, (518) 862-1090, ext. 3335 or e-mail [Nancy.Marucci@nyserderda.ny.gov](mailto:Nancy.Marucci@nyserderda.ny.gov) (contractual)

Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

## **I. Introduction**

NYSERDA seeks to stimulate and grow the energy storage innovation portfolio in NY State. Despite advances in storage technology, and ever increasing numbers of deployments, several technological optimization opportunities still exist including hardware cost reductions, enhanced system performance (efficiency, life cycle and thermal stability), and integration field testing with the grid and other applications. Improving and optimizing these areas will accelerate growth of energy storage deployment. This solicitation is focused on advancing, developing and field testing those storage technologies that will address cost, performance and integration challenges in NY State. Only innovative storage technologies which are yet to be commercialized will be considered in this PON. NYSERDA also has an additional funding opportunity through PON 3541, "Demonstrating Distributed Energy Storage for Stacking" Customer and Grid Values, which focuses on NY specific demonstrations of commercially available energy storage products.

Concept papers and proposals will be evaluated in select categories and scored on criteria listed in this solicitation. Full proposals will be reviewed by a scoring committee consisting of both internal NYSERDA staff and outside experts. All proposals will be evaluated per the quality and level of detail provided and must include substantive documentation addressing all evaluation criteria items.

**Project Categories**

This solicitation includes three categories of projects. The proposer must indicate to which category they are proposing; and should carefully choose the category under which they propose, as inappropriate category selection may negatively affect project selection results. Proposers are encouraged to contact one of the people listed as contacts for technical questions on the cover page of this solicitation to clarify project categories. The three project categories are described below:

<u>Category</u>	<u>Maximum NYSERDA Funding Per Award</u>	<u>Total Project Cost Share</u>
Category A: Early Stage: development, Assessment, Facilitation	\$ 200,000	50%
Category B: Product Development	No limit	50%
Category C: Product Field Testing	\$ 1,000,000	50%

Category A: Early-Stage Product Development (beyond basic research), Field Testing Feasibility Assessments, and Technology Facilitation projects: Maximum NYSERDA funding for this Category is \$200,000 per project. Minimum cost sharing is 25% for those proposals requesting \$75,000 or less and 50% for all other projects. Technology Readiness Level (TRL) at 2 or 3, typical for this category

- A.1 Early-Stage Product Development Projects: Early-stage innovative product or technology development to assess the technical and market feasibility of a product concept based on an Eligible Technology (below) that would be manufactured in New York State. The technology should be beyond basic research and the concept paper or proposal should focus on developing or improving a specific product that is in early stages of inception.
- A.2 Field Testing Feasibility Assessment: Engineering studies that assess the feasibility and effectiveness of field testing new or under-utilized Eligible Technologies (below) at a specific New York State site. Studies are expected to ultimately lead to a project proposal then ready for Category C: “Product Field Testing” and are intended to support project development activity such as site assessment and technical feasibility, economic analysis, permitting and interconnection, conceptual design, and a preliminary data analysis plan. The Eligible Technology should be near the commercial stage, and the assessment will help determine the appropriate scale of the field testing, if results can lead to future projects.
- A.3 Technology Facilitation Projects: Projects that will address barriers facing the commercialization or the use of an Eligible Technology (below). Proposals for technology facilitation projects should describe the issue or commercialization impediment being addressed and present a compelling case that the project is likely to result in reduction of the barriers addressed, *i.e.* streamline the permitting of the installation of an Eligible Technology.

Category B: Product Development

- Development of Eligible Technologies listed below, covering product design, engineering and scale up leading to the commercialization of products manufactured in New York State. Note that bench-scale or prototype testing may be included in Category B projects. Technical and economic feasibility of the technology should have been performed and documented prior to submitting a Category B proposal. If they have not, consider proposing to Category A. There is no maximum NYSERDA funding for this

Category, however Category B projects requesting over \$250,000 must be phased with no phase exceeding \$250,000 of the NYSERDA funding request. Minimum cost sharing is 50%. Technology Readiness Level (TRL) at 4 or 5, typical for this category

### Category C: Product Field Testing

Field Testing of Eligible Technologies (below) that are near the commercial stage, can exhibit a reproducible scale, but that are not yet commercially-ready or listed to industry standards such as Underwriters Laboratory (UL). Proposals in this category should clearly identify how this project will bring the product closer to commercial readiness and how such field test will lead to increased use of the product in New York State. Projects that test products at an appropriate scale, and will be manufactured in New York State are preferred. Maximum NYSERDA funding for this Category is \$1,000,000 per project. Minimum cost sharing is 50%.

### Additional Program Requirements for Category C: Field Test Projects Only

Category C projects selected for funding must:

- (1) Have a New York State test site.
- (2) Be installed within 36 months of contract.
- (3) Address safety issues, including public safety, that are applicable to the field test project.
- (4) Comply with all applicable building, fire, electrical, and interconnection codes, standards, and requirements.
- (5) Provide equipment sensors, instrumentation, and a complete data acquisition system for remote monitoring and reporting as specified below.
- (6) Field test the technology viability and monitor the performance, characteristics, and benefits for a period adequate to meeting project goals. If the period is under 18 months, the proposer must discuss why the proposed time is adequate. Unless the proposer demonstrates a compelling reason otherwise, at least 365 operating days of data will be required after commissioning.
- (7) Present an economic analysis of the proposed technology field testing including an estimated cost/benefit ratio, and a plan to measure the actual cost/benefit ratio during the field testing.
- (8) Clearly identify how this project will bring the product closer to commercial readiness and how such field testing will lead to increased use of the product in New York State.

### Data Acquisition Requirements for Category C: Field Test Projects Only

NYSERDA intends to provide system level operation and performance information, including economic performance information, to the public on each of the field testing projects funded under this solicitation. To meet this objective, each field test project must provide sufficient instrumentation and data transmittal, and analytical capabilities to allow the collection and analysis of technical and economic performance data. The field test project proposal should include system operating data to be used for evaluation and generation of reports on the overall performance of the technology being field tested. Data acquisition sampling rates must be adequate to characterize the benefits and the value proposition of the proposed application. For example, sampling rates for applications designed to enhance power quality or system stability would be much higher than sampling rates for peak shaving or arbitrage applications. If the system performs multiple activities, the system must provide for the collection of data for all activities. All raw and summary data collected at the project sites must be archived and protected from loss on permanent media. The project team member who will be responsible for the preparation and delivery of periodic written data reports should be identified. At a minimum, include the following:

- Raw data.
- System performance summary.
- Summary of system reliability and failure rates.
- A written summary of the economic benefit derived for the period, may include avoided demand (kW)

- charges.
- A written summary of all operations and maintenance activities for the period.
- Energy consumption breakdown of parasitic loads introduced by the field tested system, as appropriate.

## Eligible Technologies

Energy storage technologies that target the reduction of storage hardware costs including power electronics, improve the performance of storage devices, and those that successfully integrate energy storage in NY specific applications are targeted in this solicitation. The most probable innovations of interest are listed below.

- (1) Reduce cost of total hardware and installation of energy storage systems:
  - a. Advanced analytics and controls
  - b. Improved processes for system integration/packaging
  - c. Improved power electronics
  - d. Higher performing/longer lived materials
  - e. Advanced computational approaches for materials testing
  - f. Use of simulations and digital testing to reduce innovation cycle times
  - g. Advanced manufacturing processes
- (2) Improve performance (efficiency, duty life, thermal stability) of energy storage systems:
  - a. Increased number of allowable charge cycles and round trip charge/discharge efficiencies
  - b. Inherently stable chemistries with adequate energy densities for the intended use case that are suitable for installation in densely populated urban areas
- (3) De-risk integration of storage devices with the NY grid at transmission/distribution levels and in other applications:
  - a. Peak demand reduction
  - b. Integration with large scale wind/solar PV for improved predictability
  - c. Rail braking energy recovery associated with transit systems
  - d. Integration at distribution level to avoid costly substation upgrades
  - e. Ancillary services to the grid

## II. Program Requirements

To qualify for funding, Concept Papers and thereafter if invited, Full Proposals must:

- (1) Address an innovative, under-utilized technology that would benefit from public exposure with credible performance data.
- (2) Describe a planned, conceived path to market and commercialization strategy.
- (3) Include a project budget using Attachment D Budget showing total project cost and proposer cost-share. Include a cost-sharing breakdown by project task in the Statement of Work.
- (4) Demonstrate that the proposer and/or team of proposers are qualified to carry out the submitted project proposal.
- (5) Provide a strong rationale as to how the project will overcome barriers impeding the implementation or adoption of the technology.
- (6) For projects that develop technologies or products, emphasize development and/or application of marketable products for near-term commercialization, rather than basic research, provide an assessment of the addressable market, and discuss an appropriate commercialization path and potential for manufacturing in New York State. Note that even in early-stage projects, initial activities focusing on commercialization (or technology deployment) paths and challenges are essential to assessing benefits, risks, and future resource requirements.

- (7) Provide a letter of support and commitment from all funding sources and entities responsible for managing, operating and maintaining all electric delivery infrastructure impacted by project.
- (8) Provide validation through Voice of Customer (VOC) engagement(s) that the project and funding request addresses a current challenge to technology evolution that is not being addressed adequately by current industry practices and/or federal and/or other state research priorities and funding. Include a cost and New York statewide public benefit analysis to justify allocation of funds.

External funding partnerships are encouraged to leverage limited New York State resources. Proposers are encouraged to develop projects that leverage funding with external resources partners such as other research and development organizations.

### III. Concept Paper and Full Proposal Requirements

The solicitation will follow a two-step application process. All applicants must **initially submit a four-page concept paper** using the Concept Paper Template provided in Attachment A. The Concept Paper should provide a concise overview of the proposer's energy storage innovation. The Concept Paper will be reviewed and evaluated by a scoring committee. **If the Concept Paper receives a favorable review, the proposer will then be invited to submit a Full Proposal.**<sup>1</sup> The Full Proposal will be competitively evaluated by a scoring committee. NYSERDA reserves the right to interview proposers as part of the evaluation process. After the proposals are reviewed, NYSERDA will issue a letter to each proposer indicating the proposal evaluation results. Proposers receiving favorable evaluations will be invited to enter into contract negotiations with NYSERDA. The proposer may also be asked to address specific questions or recommendations of the scoring committee before contract award. Following are the steps and format for responding to this solicitation.

**Step 1-Submit Concept Paper:** Submit concept paper using the template provided in Attachment A by the due date indicated above. **STOP here!! (You will be notified if your Concept Paper was favorably reviewed, and you will then be invited to submit a Full Proposal).**

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**Step 2-Submit Full Proposal:** As indicated, NYSERDA scoring committee will review and evaluate the Concept Paper, yielding a favorable or un-favorable review of your Concept Paper. If favorable, the proposer will be notified and asked to submit a full proposal using the attachments listed below. **There will also be an associated due date.**

Attachment B – Proposal Narrative  
Attachment B1 - Statement of Work  
Attachment B2 – Business Model Canvas  
Attachment B3 – TRL/CRL Calculations Worksheet  
Attachment C – 3 Year Financial Projection Worksheet  
Attachment D – Budget

Full Proposals should not be excessively long or submitted in an elaborate format. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation. Each page of the proposal should state the name of the proposer, the PON number, and the page number.

**Those invited to submit full proposals will be notified of the due date at the time of invitation.** NOTE: NYSERDA reserves the right to negotiate scope of work, budget and funding levels on all projects recommended for funding.

<sup>1</sup> Applicants will be notified if the Concept Paper receives an unfavorable review.

**Late proposals will be returned. Faxed or e-mailed copies will not be accepted.**

In compliance with §139-j and §139-k of the State Finance Law (see Section V, General Conditions below for additional information), proposers will be required to answer questions electronically during proposal submission, which will include making required certifications under the State Finance Law, and to disclose any Prior Findings of Non-Responsibility.

Cost Sharing - The proposal should show non-NYSERDA funding of at least 50% of the total cost of the project.

Cost sharing can be from the proposer, other team members, and other government or private sources. Contributions of direct labor (for which the laborer is paid as an employee) and purchased materials may be considered "cash" contributions. Unpaid labor, indirect labor, or other general overhead may be considered "in-kind" contributions. NYSEDA will not pay for efforts which have already been undertaken. The proposer or proposing team cannot claim as cost-share any expenses that have already been incurred. Show the cost-sharing plan in the following format:

	<b>Cash</b>	<b>In-Kind Contribution</b>	<b>Total</b>
<b>NYSEDA</b>	\$	\$	\$
<b>Proposer</b>	\$	\$	\$
<b>Others (list individually)</b>	\$	\$	\$
<b>Total</b>	\$	\$	\$

Any payment based on the final deliverable will be reserved until project completion. If awarded, NYSEDA may choose to negotiate the amount of such payment.

**Recoupment** - For any new projects exceeding \$75,000 that involve product development, including business development, NYSEDA will require recoupment based on sales and/or licensing of the new product (please see Attachment E, Sample Agreement for specific recoupment obligations). Recoupment is not required for demonstration projects, as described below. Please see the definitions below to determine if your project will be subject to recoupment. Please note that NYSEDA will make final determinations as to whether proposals fit within the following demonstration or product development categories.

- **Product Development:** the method of bringing a new or improved product or service to market, including technical feasibility, business case feasibility, market analysis, proof of concept, product design, engineering, scale up, and field testing. Field testing is the stage in which a technology, not yet commercially available with a warranty, is operated in real world conditions with results used for product iteration, market validation, or customer engagement.

Projects where NYSEDA's share of funding is \$75,000 or less will generally not require recoupment. However, should subsequent funds be awarded for further product development of the same or a substantially similar



product, any funds previously received under the \$75,000 threshold will be added to the future recoupment obligation.

Please note: NYSERDA may decline to contract with awardees that are delinquent with respect to recoupment payments or sales reporting for any previous NYSERDA agreement.

**Annual Metrics Reports** – If awarded, at the Contracting stage, the proposer will be required to submit to NYSERDA's Project Manager on an annual basis, a prepared analysis and summary of metrics addressing the anticipated energy, environmental and economic benefits that are realized by the project. The applicable Metric Form relative to the type of project contracted will be included in the contracting package. Reporting shall commence the first calendar year after the contract is executed. Reports shall be submitted by January 31st for the previous calendar years activities.

#### **IV. Concept Paper and Full Proposal Evaluation**

Concept papers will be reviewed and scored by the scoring committee as per the evaluation criteria listed below. Those submitting Concept Papers that receive a favorable review, will then be invited to submit a Full Proposal.

Full proposals that meet solicitation requirements will be reviewed, scored and ranked by the scoring committee as per the evaluation criteria listed below. At NYSERDA's discretion, proposers may be requested to interview with all or part of the Scoring Committee to address any potential questions or clarifications outlined in the proposals. Proposers will be notified if they are requested to attend an interview.

In addition to considering how project proposals satisfy the evaluation criteria, NYSERDA reserves the right to accept or reject proposals based on the following factor(s):

- The degree to which pricing and hourly rates are in line with the rest of the market.
- NYSERDA's history/experience with contractors
- Geographic equity/distribution
- Customer diversity
- Scale of anticipated impacts
- Prospects for learning opportunities

Proposers receiving favorable evaluations will be invited to enter contract negotiations with NYSERDA.

#### **Evaluation Criteria:**

##### **Proposed Solution/Scope (max. 30 points)**

- The proposal identifies a core problem pertinent to NYS that is essential to the advancement of Energy Storage technical solutions.
- The proposed project is feasible, innovative, and superior to alternatives, and will make significant progress toward solving the identified problem.
- The approach is testable and flexible, and the work schedule is reasonable.

##### **Project Benefits (max. 20 points)**

- The proposed solution has the potential to significantly reduce GHG emissions or energy use.
- There are sizable economic benefits to NYS in the form of innovation, manufacturing, or technical services, and there will be NYS jobs created and/or retained because of this project.
- There are additional significant benefits, such as increased resiliency to disasters or air quality improvements.
- A significant portion of the work will take place in NYS.

##### **Market Potential (max. 20 points)**

- The proposed solution provides the potential for wide-scale replicability.
- The go-to-market strategy is well-conceived, appropriate for the current stage of development, and there is a sound plan for measuring progress and success.

- The proposer has exhibited a strong market demand for this solution and has already identified target customers or end-users evidenced by a list of these target customers/end-users and a summary of the VOC undertaken with these customers/end-users?

**Project Team/Support (max. 10 points)**

- The project team has both a strong technical and business background with the relevant and necessary expertise to complete the proposed work.
- The proposer has successfully commercialized one or more products or deployed services.
- The proposer has secured strong commitments from all essential team members and partners, including both letters and cost sharing, and has demonstrated strong support from necessary market actors.

**Project Value (max. 20 points)**

- The cost of the project is strongly justified with respect to the expected benefits and the potential market or deployment opportunity.
- The proposer has met or exceeded the recommended cost share amount, and these contributions are appropriate given the financial resources of the team and the degree of risk.
- The proposal outlines a plan for pursuing additional funding and development support, if necessary, to bring the proposed solution to full commercialization.

Other Considerations – Proposals will be reviewed to determine if they reflect NYSERDA’s overall objectives, and award decisions may depend on other considerations, including: risk/reward relationships, similar ongoing or completed projects, NYSERDA’s past experience with similar project objectives, and the general distribution of projects among categories, technologies, industries and other organizations, and geographically within New York State.

- A proposal may be considered non-responsive if it fails to comply with the requirements of this solicitation.
- Prior to an award being made, potential contractors may be required to demonstrate: access to financial resources sufficient to perform the proposed work, technical experience and adequate facilities (or the ability to access them), a good performance record, and the ability to qualify for an award under applicable laws and regulations.

Preference may be given to proposers that provide higher cash contributions towards project costs.

**V. GENERAL CONDITIONS**

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

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

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

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

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

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

**State Finance Law sections 139-j and 139-k** - NYSEDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx> . The attached Proposal Checklist calls for a signature certifying that the proposer will comply with State Finance Law sections 139-j and 139-k and the Disclosure of Prior Findings of Non-responsibility form includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years.

**Tax Law Section 5-a** - NYSEDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSEDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf)). Prior to contracting with NYSEDA, the prospective contractor must also certify to NYSEDA whether it has filed such certification with the Department. The Department has created a second form that must be completed by a prospective contractor prior to contacting and filed with NYSEDA. See, ST-220-CA (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220ca\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf> .

**Contract Award** - NYSEDA anticipates making multiple awards under this solicitation. It may award a contract based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most favorable cost and technical terms. NYSEDA may request additional data or material to support applications. NYSEDA will use the Sample Agreement to contract successful proposals. NYSEDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSEDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the submitted proposal (see Proposal Checklist). Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSEDA expects to notify proposers in approximately 10 weeks from the proposal due date whether your proposal has been selected to receive an award. NYSEDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSEDA agreement.

**Accessibility Requirements** - *If awardees from this solicitation will be posting anything on the web, or if the awardee will produce a final report that NYSEDA will post to the web, the following language must be included.* NYSEDA requires contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSEDA's Accessibility Requirements](#).

**Recoupment** - For any new product research and/or development, NYSEDA will generally require a royalty based on sales of the new product developed. NYSEDA's standard royalty terms are 1.5% of sales or ten percent (10%) of all license revenue accruing to the Contractor for products produced in New York State (for a period of fifteen years or until the Contractor pays NYSEDA an amount equal to the amount of funds paid by

NYSERDA to the Contractor, whichever comes first) and 5% of sales or thirty percent (30%) of all licensing revenues accruing for products produced outside of New York State (for a period of fifteen years or until the Contractor pays NYSEDA an amount equal to three times the amount of funds paid by NYSEDA to the Contractor, whichever comes first).

**Limitation** - This solicitation does not commit NYSEDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSEDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSEDA's best interest. NYSEDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement. NYSEDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information and the presence of a material possibility of any reputational or legal risk in making of the award.

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

**VI. Attachments:**

- Attachment A: Concept Paper Template
- Attachment B – Proposal Narrative Format (Storage Form-fillable document)
- Attachment B1 - Statement of Work Format
- Attachment B2 – Business Model Canvas Template
- Attachment B3 – TRL-CRL Calculations Worksheet
- Attachment C – 3 Year Financial Projection Worksheet
- Attachment D – Budget
- Attachment E - Sample Agreement with Exhibits

## **Energy Storage Technology & Product Development**

Program Opportunity Notice(PON) 3585

**Up to \$6.3 million Available**

*NYSERDA reserves the right to extend and/or add funding to this Solicitation should other program funding sources become available*

### **Round 1:**

Concept Papers Due: July 20, , 2017 by 5:00 PM Eastern Time\*

### **Round 2:**

Concept Papers Due: Dec. 28, 2017 by 5:00 PM Eastern Time\*

## **Program Summary**

New York State's Reforming the Energy Vision (REV) initiative envisions Distributed Energy Resources, including energy storage, as an integral part of transforming the grid to one with more renewable energy and flexible consumption.

NYSERDA is seeking proposals to develop and field test innovative energy storage systems with focus on:

- Hardware (including balance-of-system hardware) cost reduction.
- Performance improvements (efficiency, energy & power density, and thermal stability), specifically for NY-specific applications' duty cycles (e.g., building demand response, electric vehicle charging, solar photovoltaics, and large-scale wind firming).
- Load-side and generation-side field testing of new energy storage technologies to reduce peak load, store and reuse solar PV and wind energy to aid firming up these resources, and provide ancillary services.

NYSERDA is employing a **two-step application process** in this solicitation. All proposers must initially submit a four-page concept paper using the Concept Paper Template provided in Attachment A. The Concept Paper should provide a concise overview of the proposer's energy storage innovation. The Concept Paper will be reviewed and scored by a scoring committee based on the Evaluation Criteria in Section IV. If favorably reviewed (achieve a score of 75), proposers will then be invited to submit a full proposal.

**Funding:** Two rounds of solicitation are anticipated for 2017. The total available funding through Dec. 31, 2018 is \$6,300,000. Up to \$1,825,000 will be committed by Dec. 31, 2017 and the remaining funds will be committed during Round 2. Proposers are encouraged to visit the Clean Energy Fund section of the NYSERDA website (<https://www.nyserdera.ny.gov/cef>) and review the Renewable Optimization Chapter of the Clean Energy Investment Plan, which is associated with this solicitation.

Eligible project categories include Early-Stage Product Development, Field Testing Feasibility Assessments, Technology Facilitation, Product Development, and Product Field Testing. Detailed descriptions of Project Categories and definitions of Eligible Technologies are provided in Section I.

**Concept Paper Submission:** Electronic submission is preferable. NYSERDA will also accept concept papers by mail or hand-delivery. Whether submitted electronically, by mail or hand delivery, concept papers must be **received by NYSERDA** no later than 5:00 PM Eastern Standard Time on date noted above. Concept papers may be submitted electronically by following the link for electronic submissions found on this PON's webpage, which is located in the "Current Opportunities" section of NYSERDA's website (<http://www.nyserdera.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>). For detailed instructions on how to submit electronically, click the link "Proposer User Training Guide" which is also located on this PON's webpage.

If mailing or hand-delivering, proposers must submit (2) paper copies of their concept paper along with a CD or DVD containing either a PDF or MS Word digital copy of the concept paper, following the above guidelines. Mailed or hand-delivered concept papers must be clearly labeled and submitted to:

**Proposals, PON 3585  
NYS Energy Research and Development Authority  
17 Columbia Circle  
Albany, NY 12203-6399**

**Full Proposal Submission:** For those invited to submit a full proposal, following a favorable review of their Concept Paper, the submission process will follow the same guidelines listed above for concept paper submission. Proposers may submit Word, Excel, or PDF files (file formats can include csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. Full Proposals will be reviewed and scored by a scoring committee based on the same Evaluation Criteria as concept Papers (See Section III).

**Please note that there are required questions that you will have to answer electronically in addition to uploading attachments and you should allot at least 60 minutes to enter/submit a Full Proposal. The electronic proposal system closes promptly at 5pm Eastern Standard Time on the due date noted above.** Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal. Faxed or e-mailed proposals will not be accepted. Proposals will not be accepted at any other NYSERDA location other than the address above. If changes are made to this solicitation, notification will be posted on NYSERDA's web site at <https://www.nyserda.ny.gov>.

No communication intended to influence this procurement is permitted except by contacting the following (Designated Contacts):

Greg Pedrick, (518) 862-1090, ext. 3378 or e-mail [Gregory.Pedrick@nyserda.ny.gov](mailto:Gregory.Pedrick@nyserda.ny.gov) (technical)

Nancy Marucci, (518) 862-1090, ext. 3335 or e-mail [Nancy.Marucci@nyserda.ny.gov](mailto:Nancy.Marucci@nyserda.ny.gov) (contractual)

Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

## **I. Introduction**

NYSERDA seeks to stimulate and grow the energy storage innovation portfolio in NY State. Despite advances in storage technology, and ever increasing numbers of deployments, several technological optimization opportunities still exist including hardware cost reductions, enhanced system performance (efficiency, life cycle and thermal stability), and integration field testing with the grid and other applications. Improving and optimizing these areas will accelerate growth of energy storage deployment. This solicitation is focused on advancing, developing and field testing those storage technologies that will address cost, performance and integration challenges in NY State. Only innovative storage technologies which are yet to be commercialized will be considered in this PON. NYSERDA also has an additional funding opportunity through PON 3541, "Demonstrating Distributed Energy Storage for Stacking" Customer and Grid Values, which focuses on NY specific demonstrations of commercially available energy storage products.

Concept papers and proposals will be evaluated in select categories and scored on criteria listed in this solicitation. Full proposals will be reviewed by a scoring committee consisting of both internal NYSERDA staff and outside experts. All proposals will be evaluated per the quality and level of detail provided and must include substantive documentation addressing all evaluation criteria items.

## **Project Categories**

This solicitation includes three categories of projects. The proposer must indicate to which category they are proposing; and should carefully choose the category under which they propose, as inappropriate category selection may negatively affect project selection results. Proposers are encouraged to contact one of the people listed as contacts for technical questions on the cover page of this solicitation to clarify project categories. The three project categories are described below:

<u>Category</u>	<u>Maximum NYSERDA Funding Per Award</u>	<u>Total Project Cost Share</u>
Category A: Early Stage: Development, Assessment, Facilitation	\$ 200,000	50%
Category B: Product Development	No limit	50%
Category C: Product Field Testing	\$ ,000,000	50%

Category A: Early-Stage Product Development (beyond basic research), Field Testing Feasibility Assessments, and Technology Facilitation projects: Maximum NYSERDA funding for this Category is \$200,000 per project. Minimum cost sharing is 25% for those proposals requesting \$75,000 or less and 50% for all other projects. Technology Readiness Level (TRL) at 2 or 3, typical for this category

- A.1 Early-Stage Product Development Projects: Early-stage innovative product or technology development to assess the technical and market feasibility of a product concept based on an Eligible Technology (below) that would be manufactured in New York State. The technology should be beyond basic research and the concept paper or proposal should focus on developing or improving a specific product that is in early stages of inception.
- A.2 Field Testing Feasibility Assessment: Engineering studies that assess the feasibility and effectiveness of field testing new or under-utilized Eligible Technologies (below) at a specific New York State site. Studies are expected to ultimately lead to a project proposal then ready for Category C: “Product Field Testing” and are intended to support project development activity such as site assessment and technical feasibility, economic analysis, permitting and interconnection, conceptual design, and a preliminary data analysis plan. The Eligible Technology should be near the commercial stage, and the assessment will help determine the appropriate scale of the field testing, if results can lead to future projects.
- A.3 Technology Facilitation Projects: Projects that will address barriers facing the commercialization or the use of an Eligible Technology (below). Proposals for technology facilitation projects should describe the issue or commercialization impediment being addressed and present a compelling case that the project is likely to result in reduction of the barriers addressed, *i.e.* streamline the permitting of the installation of an Eligible Technology.

Category B: Product Development

- Development of Eligible Technologies listed below, covering product design, engineering and scale up leading to the commercialization of products manufactured in New York State. Note that bench-scale or prototype testing may be included in Category B projects. Technical and economic feasibility of the technology should have been performed and documented prior to submitting a Category B proposal. If they have not, consider proposing to Category A. There is no maximum NYSERDA funding for this Category, however Category B projects requesting over \$250,000 must be phased with no phase exceeding \$250,000 of the NYSERDA funding request. Minimum cost sharing is 50%. Technology Readiness Level (TRL) at 4 or 5, typical for this category

Category C: Product Field Testing

Field Testing of Eligible Technologies (below) that are near the commercial stage, can exhibit a reproducible scale, but that are not yet commercially-ready or listed to industry standards such as Underwriters Laboratory (UL). Proposals in this category should clearly identify how this project will bring the product closer to commercial readiness and how such field test will lead to increased use of the product in New York State. Projects that test products at an appropriate scale, and will be manufactured in New York State are preferred. Maximum NYSERDA funding for this Category is \$1,000,000 per project. Minimum cost sharing is 50%.

#### Additional Program Requirements for Category C: Field Test Projects Only

Category C projects selected for funding must:

- (1) Have a New York State test site.
- (2) Be installed within 36 months of contract.
- (3) Address safety issues, including public safety, that are applicable to the field test project.
- (4) Comply with all applicable building, fire, electrical, and interconnection codes, standards, and requirements.
- (5) Provide equipment sensors, instrumentation, and a complete data acquisition system for remote monitoring and reporting as specified below.
- (6) Field test the technology viability and monitor the performance, characteristics, and benefits for a period adequate to meeting project goals. If the period is under 18 months, the proposer must discuss why the proposed time is adequate. Unless the proposer demonstrates a compelling reason otherwise, at least 365 operating days of data will be required after commissioning.
- (7) Present an economic analysis of the proposed technology field testing including an estimated cost/benefit ratio, and a plan to measure the actual cost/benefit ratio during the field testing.
- (8) Clearly identify how this project will bring the product closer to commercial readiness and how such field testing will lead to increased use of the product in New York State.

#### Data Acquisition Requirements for Category C: Field Test Projects Only

NYSERDA intends to provide system level operation and performance information, including economic performance information, to the public on each of the field testing projects funded under this solicitation. To meet this objective, each field test project must provide sufficient instrumentation and data transmittal, and analytical capabilities to allow the collection and analysis of technical and economic performance data. The field test project proposal should include system operating data to be used for evaluation and generation of reports on the overall performance of the technology being field tested. Data acquisition sampling rates must be adequate to characterize the benefits and the value proposition of the proposed application. For example, sampling rates for applications designed to enhance power quality or system stability would be much higher than sampling rates for peak shaving or arbitrage applications. If the system performs multiple activities, the system must provide for the collection of data for all activities. All raw and summary data collected at the project sites must be archived and protected from loss on permanent media. The project team member who will be responsible for the preparation and delivery of periodic written data reports should be identified. At a minimum, include the following:

- Raw data.
- System performance summary.
- Summary of system reliability and failure rates.
- A written summary of the economic benefit derived for the period, may include avoided demand (kW) charges.
- A written summary of all operations and maintenance activities for the period.
- Energy consumption breakdown of parasitic loads introduced by the field tested system, as appropriate.



## Eligible Technologies

Energy storage technologies that target the reduction of storage hardware costs including power electronics, improve the performance of storage devices, and those that successfully integrate energy storage in NY specific applications are targeted in this solicitation. The most probable innovations of interest are listed below.

- (1) Reduce cost of total hardware and installation of energy storage systems:
  - a. Advanced analytics and controls
  - b. Improved processes for system integration/packaging
  - c. Improved power electronics
  - d. Higher performing/longer lived materials
  - e. Advanced computational approaches for materials testing
  - f. Use of simulations and digital testing to reduce innovation cycle times
  - g. Advanced manufacturing processes
- (2) Improve performance (efficiency, duty life, thermal stability) of energy storage systems:
  - a. Increased number of allowable charge cycles and round trip charge/discharge efficiencies
  - b. Inherently stable chemistries with adequate energy densities for the intended use case that are suitable for installation in densely populated urban areas
- (3) De-risk integration of storage devices with the NY grid at transmission/distribution levels and in other applications:
  - a. Peak demand reduction
  - b. Integration with large scale wind/solar PV for improved predictability
  - c. Rail braking energy recovery associated with transit systems
  - d. Integration at distribution level to avoid costly substation upgrades
  - e. Ancillary services to the grid

## II. Program Requirements

To qualify for funding, Concept Papers and thereafter if invited, Full Proposals must:

- (1) Address an innovative, under-utilized technology that would benefit from public exposure with credible performance data.
- (2) Describe a planned, conceived path to market and commercialization strategy.
- (3) Include a project budget using Attachment D Budget showing total project cost and proposer cost-share. Include a cost-sharing breakdown by project task in the Statement of Work.
- (4) Demonstrate that the proposer and/or team of proposers are qualified to carry out the submitted project proposal.
- (5) Provide a strong rationale as to how the project will overcome barriers impeding the implementation or adoption of the technology.
- (6) For projects that develop technologies or products, emphasize development and/or application of marketable products for near-term commercialization, rather than basic research, provide an assessment of the addressable market, and discuss an appropriate commercialization path and potential for manufacturing in New York State. Note that even in early-stage projects, initial activities focusing on commercialization (or technology deployment) paths and challenges are essential to assessing benefits, risks, and future resource requirements.
- (7) Provide a letter of support and commitment from all funding sources and entities responsible for managing, operating and maintaining all electric delivery infrastructure impacted by project.
- (8) Provide validation through Voice of Customer (VOC) engagement(s) that the project and funding request addresses a current challenge to technology evolution that is not being addressed adequately by current industry practices and/or federal and/or other state research priorities and

funding. Include a cost and New York statewide public benefit analysis to justify allocation of funds.

External funding partnerships are encouraged to leverage limited New York State resources. Proposers are encouraged to develop projects that leverage funding with external resources partners such as other research and development organizations.

### III. Concept Paper and Full Proposal Requirements

The solicitation will follow a two-step application process. All applicants must **initially submit a four-page concept paper** using the Concept Paper Template provided in Attachment A. The Concept Paper should provide a concise overview of the proposer's energy storage innovation. The Concept Paper will be reviewed and evaluated by a scoring committee. **If the review achieves an average score of 75, the proposer will then be invited to submit a Full Proposal.** The Full Proposal will be competitively evaluated for a contract award. Following are the steps and format for responding to this solicitation.

**Step 1-Submit Concept Paper:** Submit concept paper using the template provided in Attachment A by the due date indicated above. **STOP here!! (You will be notified if your Concept Paper achieved an average score of 75, and you will then be invited to submit a Full Proposal).**

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**Step 2-Submit Full Proposal:** As indicated, NYSERDA scoring committee will evaluate the Concept Paper and produce an average score for your Concept Paper. If the average score is 75 or greater, the proposer will be notified and asked to then submit a full proposal using the attachments listed below. There will also be an associated due date.

Attachment B – Proposal Narrative  
Attachment B1 - Statement of Work  
Attachment B2 – Business Model Canvas  
Attachment B3 – TRL/CRL Calculations Worksheet  
Attachment C – 3 Year Financial Projection Worksheet  
Attachment D – Budget

Full Proposals should not be excessively long or submitted in an elaborate format. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation. Each page of the proposal should state the name of the proposer, the PON number, and the page number.

Those invited to submit full proposals will be notified of the due date at the time of invitation. NOTE: NYSERDA reserves the right to negotiate scope of work, budget and funding levels on all projects recommended for funding.

**Late proposals will be returned. Faxed or e-mailed copies will not be accepted.**

In compliance with §139-j and §139-k of the State Finance Law (see Section V, General Conditions below for additional information), proposers will be required to answer questions electronically during proposal submission, which will include making required certifications under the State Finance Law, and to disclose any Prior Findings of Non-Responsibility.

Cost Sharing - The proposal should show non-NYSERDA funding of at least 50% of the total cost of the project.

Cost sharing can be from the proposer, other team members, and other government or private sources. Contributions of direct labor (for which the laborer is paid as an employee) and purchased materials may be considered "cash" contributions. Unpaid labor, indirect labor, or other general overhead may be considered "in-kind" contributions. NYSERDA will not pay for efforts which have already been undertaken. The proposer or proposing team cannot claim as cost-share any expenses that have already been incurred. Show the cost-sharing plan in the following format:

	<b>Cash</b>	<b>In-Kind Contribution</b>	<b>Total</b>
<b>NYSERDA</b>	\$	\$	\$
<b>Proposer</b>	\$	\$	\$
<b>Others (list individually)</b>	\$	\$	\$
<b>Total</b>	\$	\$	\$

Any payment based on the final deliverable will be reserved until project completion. If awarded, NYSERDA may choose to negotiate the amount of such payment.

**Recoupment** - For any new projects exceeding \$75,000 that involve product development, including business development, NYSERDA will require recoupment based on sales and/or licensing of the new product (please see Attachment E, Sample Agreement for specific recoupment obligations). Recoupment is not required for demonstration projects, as described below. Please see the definitions below to determine if your project will be subject to recoupment. Please note that NYSERDA will make final determinations as to whether proposals fit within the following demonstration or product development categories.

- Product Development: the method of bringing a new or improved product or service to market, including technical feasibility, business case feasibility, market analysis, proof of concept, product design, engineering, scale up, and field testing. Field testing is the stage in which a technology, not yet commercially available with a warranty, is operated in real world conditions with results used for product iteration, market validation, or customer engagement.

Projects where NYSERDA's share of funding is \$75,000 or less will generally not require recoupment. However, should subsequent funds be awarded for further product development of the same or a substantially similar product, any funds previously received under the \$75,000 threshold will be added to the future recoupment obligation.

Please note: NYSERDA may decline to contract with awardees that are delinquent with respect to recoupment payments or sales reporting for any previous NYSERDA agreement.

**Annual Metrics Reports** – If awarded, at the Contracting stage, the proposer will be required to submit to NYSERDA's Project Manager on an annual basis, a prepared analysis and summary of metrics addressing the anticipated energy, environmental and economic benefits that are realized by the project. The applicable Metric Form relative to the type of project contracted will be included in the contracting package. Reporting shall commence the first calendar year after the contract is executed. Reports shall be submitted by January 31st for the previous calendar years activities.

#### **IV. Concept Paper and Full Proposal Evaluation**

Concept papers will be reviewed and scored by the scoring committee as per the evaluation criteria listed below. Those submitting Concept Papers that receive an average score of 75, will then be invited to submit a Full Proposal.

Full proposals that meet solicitation requirements will be reviewed, scored and ranked by the scoring committee as per the evaluation criteria listed below. At NYSERDA's discretion, proposers may be requested to interview with all or part of the Scoring Committee to address any potential questions or clarifications outlined in the proposals. Proposers will be notified if they are requested to attend an interview.

In addition to considering how project proposals satisfy the evaluation criteria, NYSERDA reserves the right to accept or reject proposals based on the following factor(s):

- The degree to which pricing and hourly rates are in line with the rest of the market.
- NYSERDA's history/experience with contractors
- Geographic equity/distribution
- Customer diversity
- Scale of anticipated impacts
- Prospects for learning opportunities

Proposers receiving favorable evaluations will be invited to enter contract negotiations with NYSERDA.

#### **Evaluation Criteria:**

##### **Proposed Solution/Scope (max. 30 points)**

- The proposal identifies a core problem pertinent to NYS that is essential to the advancement of Energy Storage technical solutions.
- The proposed project is feasible, innovative, and superior to alternatives, and will make significant progress toward solving the identified problem.
- The approach is testable and flexible, and the work schedule is reasonable.

##### **Project Benefits (max. 20 points)**

- The proposed solution has the potential to significantly reduce GHG emissions or energy use.
- There are sizable economic benefits to NYS in the form of innovation, manufacturing, or technical services, and there will be NYS jobs created and/or retained because of this project.
- There are additional significant benefits, such as increased resiliency to disasters or air quality improvements.
- A significant portion of the work will take place in NYS.

##### **Market Potential (max. 20 points)**

- The proposed solution provides the potential for wide-scale replicability.
- The go-to-market strategy is well-conceived, appropriate for the current stage of development, and there is a sound plan for measuring progress and success.
- The proposer has exhibited a strong market demand for this solution and has already identified target customers or end-users evidenced by a list of these target customers/end-users and a summary of the VOC undertaken with these customers/end-users?

##### **Project Team/Support (max. 10 points)**

- The project team has both a strong technical and business background with the relevant and necessary expertise to complete the proposed work.
- The proposer has successfully commercialized one or more products or deployed services.
- The proposer has secured strong commitments from all essential team members and partners, including both letters and cost sharing, and has demonstrated strong support from necessary market actors.

##### **Project Value (max. 20 points)**

- The cost of the project is strongly justified with respect to the expected benefits and the potential market or deployment opportunity.
- The proposer has met or exceeded the recommended cost share amount, and these contributions are appropriate given the financial resources of the team and the degree of risk.
- The proposal outlines a plan for pursuing additional funding and development support, if necessary, to bring the proposed solution to full commercialization.

Other Considerations – Proposals will be reviewed to determine if they reflect NYSERDA’s overall objectives, and award decisions may depend on other considerations, including: risk/reward relationships, similar ongoing or completed projects, NYSERDA’s past experience with similar project objectives, and the general distribution of projects among categories, technologies, industries and other organizations, and geographically within New York State.

- A proposal may be considered non-responsive if it fails to comply with the requirements of this solicitation.
- Prior to an award being made, potential contractors may be required to demonstrate: access to financial resources sufficient to perform the proposed work, technical experience and adequate facilities (or the ability to access them), a good performance record, and the ability to qualify for an award under applicable laws and regulations.

Preference may be given to proposers that provide higher cash contributions towards project costs.

## V. GENERAL CONDITIONS

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

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

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

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

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

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

**State Finance Law sections 139-j and 139-k** - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx> . The attached Proposal Checklist calls for a signature certifying that the proposer will comply with State Finance Law sections 139-j and 139-k and the Disclosure of Prior Findings of Non-responsibility form includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years.

**Tax Law Section 5-a** - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf)). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department. The Department has created a second form that must be completed by a prospective contractor prior to contacting and filed with NYSERDA. See, ST-220-CA (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220ca\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf> .

**Contract Award** - NYSERDA anticipates making multiple awards under this solicitation. It may award a contract based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the submitted proposal (see Proposal Checklist). Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately 10 weeks from the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

**Accessibility Requirements** - *If awardees from this solicitation will be posting anything on the web, or if the awardee will produce a final report that NYSERDA will post to the web, the following language must be included.* NYSERDA requires contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSERDA's Accessibility Requirements](#).

**Recoupment** - For any new product research and/or development, NYSERDA will generally require a royalty based on sales of the new product developed. NYSERDA's standard royalty terms are 1.5% of sales or ten percent (10%) of all license revenue accruing to the Contractor for products produced in New York State (for a period of fifteen years or until the Contractor pays NYSERDA an amount equal to the amount of funds paid by NYSERDA to the Contractor, whichever comes first) and 5% of sales or thirty percent (30%) of all licensing revenues accruing for products produced outside of New York State (for a period of fifteen years or until the Contractor pays NYSERDA an amount equal to three times the amount of funds paid by NYSERDA to the Contractor, whichever comes first).

**Limitation** - This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement. NYSERDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information and the presence of a material possibility of any reputational or legal risk in making of the award.

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

**VI. Attachments:**

- Attachment A: Concept Paper Template
- Attachment B – Proposal Narrative Format (Storage Form-fillable document)
- Attachment B1 - Statement of Work Format
- Attachment B2 – Business Model Canvas Template
- Attachment B3 – TRL-CRL Calculations Worksheet
- Attachment C – 3 Year Financial Projection Worksheet
- Attachment D – Budget
- Attachment E - Sample Agreement with Exhibits



**Ground Source Heat Pumps Rebate Program<sup>1</sup>**  
Program Opportunity Notice (PON) 3620  
**\$ 15,000,000 Available**  
**NYSERDA reserves the rights to extend and/or add funding to this Solicitation should other Program funding become available.**

Applications accepted through June 30, 2019 by 5:00 PM Eastern Time, or until funds are fully committed, whichever occurs first.

**Program Summary:** The Ground Source Heat Pumps Rebate Program (“the Program”) will provide up to \$15,000,000 for the installation of ground source heat pump (GSHP) systems.<sup>2</sup> Funding for GSHP systems has been allocated by the New York Public Service Commission through the Clean Energy Fund (CEF) and is available only for projects located on sites that pay, or, in the case of systems installed as part of new construction projects, will pay the SBC/CEF surcharge. Rebates must be passed along to Site Owners.

Rebates are available on a first-come, first-served basis, as follows:

- Projects comprising small-scale GSHP systems (≤ 10 AHRI rated cooling tons) are eligible for a Rebate of \$1,500 per cooling ton; and
- Projects comprising large-scale GSHP systems (> 10 AHRI rated cooling tons) are eligible for a Rebate of \$1,200 per cooling ton.

For Projects installed in single-family homes, regardless of cooling ton capacity, Rebates are limited to no more than \$15,000 per home. Rebate amounts for Projects comprising large-scale GSHP systems (regardless of actual installed cooling capacity) are limited to no more than \$500,000 per building. The maximum funding available for any single Site is \$1,000,000. NYSERDA reserves the right to further limit the number and amount of Rebates per Participating Installer, Participating Designer, Site Owner, site, or meter.

No single Participant can receive more than 50% (\$7.5 Million) of the funding available through this Program.

Eligible Participants in the Program are limited to GSHP system designers, installers, and drillers who meet Program requirements as specified in the Ground Source Heat Pump Rebate Manual (Manual), found here: <https://nyserdera.ny.gov/All-Programs/Programs/Become-a-Contractor/Renewable-Heating-and-Cooling/Ground-Source-Heat-Pump-Installers>, and have submitted a completed Participation Agreement.

Although not eligible to apply for or receive Rebates under the Program, any driller that wants to participate on Projects receiving a Rebate under this Solicitation must apply to become a Participating Driller.

Additional Program descriptions and all Program requirements are provided in the Manual.

**Participant and Rebate Application Submission:** Prospective Participants can find, complete, and submit a

<sup>1</sup> Capitalized terms used but not defined herein have the meanings assigned to them in the Manual, which can be found at <https://beta.nyserdera.ny.gov/All-Programs/Programs/Become-a-Contractor/Renewable-Heating-and-Cooling/Ground-Source-Heat-Pump-Installers>

<sup>2</sup> NYSERDA may supplement or revise the funding available through this PON or any successor at any time.



Participation Application, Participation Agreement and, once approved, in the case of Participating Designers and Participating Installers, Rebate Applications (including uploading any required attachments and documents thereto) via NYSEDA's Salesforce application <https://portal.nyserda.ny.gov/login>

Incomplete or inaccurate applications will not be accepted. Faxed or e-mailed applications will not be accepted. Applications will not be accepted unless completed and delivered via NYSEDA's Salesforce application <https://portal.nyserda.ny.gov/login>.

**Contact Information:** For all program questions, please contact Program staff at [gshp@nyserda.ny.gov](mailto:gshp@nyserda.ny.gov). or Scott Smith at (518) 862-1090 ext. 3344.

All Contractual questions should be directed to: Nancy Marucci at [Nancy.Marucci@nyserda.ny.gov](mailto:Nancy.Marucci@nyserda.ny.gov) or 518-862-1090 ext. 3335.

If changes are made to this Solicitation, notification will be posted on <https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities>.

**NYSEDA reserves the right to make changes in the Rebate amount or availability (including the per Project Rebate cap and the total amount available) at any time. NYSEDA will make reasonable effort not to decrease Rebate levels within the term of this Program. If it becomes necessary to decrease the Rebate levels, NYSEDA will attempt to give as much notice as possible to Program Participants. Program changes will be posted on the NYSEDA website and can be found at the following web page:** <https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities>.

Attachments:

- GSHP Rebate Manual
- GSHP Rebate Participation Agreement
- GSHP Rebate Past Project Form
- GSHP Rebate Large Project Technical Analysis Form
- GSHP Rebate Small Project Completion Form
- GSHP Rebate Large Project Completion Form

## I. Introduction

Thermal energy used in the residential and commercial sectors for space heating and cooling and hot water accounts for 37% of net energy consumption and 32% of all combustion-based GHG emissions in New York State. Today, renewable heating and cooling (RH&C) technologies, in general, and GSHP systems, in particular, occupy a niche position in New York State, penetrating less than 1% of the heating and cooling market. Only a small fraction of statewide HVAC load can be cost effectively met by GSHP technology today, despite a large technical potential with significant opportunity to realize customer and societal benefits.

Several barriers currently stand in the way of widespread adoption, including: high upfront costs and low fossil fuel prices, inadequate access to low-cost investment capital, and limited customer awareness of and confidence in the technologies. Also, installing GSHP requires specialist contractors. Large-scale GSHP systems, in particular, are highly complex, face higher technical risk and, as a result, face higher pre-development costs.

The Ground Source Heat Pump Rebate Program (the "Program") will provide up to \$15,000,000 for the installation of ground source heat pump (GSHP) systems. Funding for GSHP systems has been allocated by the New York Public Service Commission through the Clean Energy Fund (CEF) and is available only for projects located on sites that pay, or, in the case of systems installed as part of new construction projects, will pay the SBC/CEF surcharge.

Rebates are available on a first-come, first-served basis, as follows:

- Projects comprising small-scale GSHP systems ( $\leq 10$  AHRI rated cooling tons) are eligible for a Rebate of \$1,500 per cooling ton; and
- Projects comprising large-scale GSHP systems ( $> 10$  AHRI rated cooling tons) are eligible for a Rebate of \$1,200 per cooling ton.

For Projects installed in single-family homes, regardless of cooling ton capacity, Rebates are limited to no more than \$15,000 per home. Rebate amounts for Projects comprising large-scale GSHP systems (regardless of actual installed cooling capacity) are limited to no more than \$500,000 per building. The maximum funding available for any single Site is \$1,000,000. NYSERDA reserves the right to further limit the number and amount of Rebates per Participating Installer, Participating Designer, Site Owner, site, or meter.

**No single Participant can receive more than 50% (\$7.5 Million) of the funding available through this Program.**

Additional Program description and requirements are provided in the Manual.

## II. Program Requirements

### **Eligible Applicants for Program Participation and Rebates**

An applicant to the Program can apply to become a Participating Installer, Participating Designer, and / or Participating Driller by completing and submitting a Participation Application and Participation Agreement at [http://nyserda-site.force.com/Core\\_ConApp\\_Program\\_Page](http://nyserda-site.force.com/Core_ConApp_Program_Page). Applicants must indicate the Program tier (small-scale GSHP system and/or large GSHP system) for which they intend to submit Rebate Applications.

If applicant's Participation Application and Participation Agreement are approved by NYSERDA, then the applicant will become a Participant (e.g., Participating Installer, Participating Designer, and / or Participating Driller).<sup>3</sup>

Only Participating Designers and Participating Installers are eligible to submit Rebate Applications. Participants need to be separately qualified for each tier and will be listed separately on NYSERDA's website. Each GSHP system MUST be installed by a Participating Installer.

A Participating Designer and Participating Installer (but not Participating Drillers) will initially be classified as provisional and may advance to full status by either:

- (i) Including in its Participation Application three projects it has either installed or designed (as the case

<sup>3</sup> If a Participant acts as more than one type of Participant it should only complete and submit one Participation Agreement.

- may be) during the prior year that are deemed satisfactory by NYSERDA; or
- (ii) Completing three projects under the Program that NYSERDA deems satisfactory.

Participants that fail to perform in accordance with or adhere to the Program requirements may be placed on probation, suspended, or terminated depending upon the severity and scope of non-performance, at NYSERDA's discretion.

Further participation eligibility requirements are specified in the Manual, which can be found online at <https://beta.nysERDA.ny.gov/All-Programs/Programs/Become-a-Contractor/Renewable-Heating-and-Cooling/Ground-Source-Heat-Pump-Installers>.

### **Eligible Project Requirements**

To be eligible to receive a Rebate under this Solicitation, the Rebate Application and Project referenced in the Rebate Application must meet certain requirements, including, but not limited to, the following:

- All components installed as part of an approved GSHP system must be new. The use of used or refurbished equipment is not permitted under the Program.
- All approved GSHP systems, system components, and installations must comply with any and all manufacturers' installation requirements, applicable laws, regulations, codes, licensing and permit requirements including, but not limited to, the New York State Environmental Quality Review (SEQR), the New York State Building Code, New York State Plumbing Code, the National Electric Code, Fire Codes and all applicable State, city, town, or local ordinances or permit requirements.
- All GSHP systems must be designed to pre-defined standards as described in the Manual.
- Equipment must meet efficiency requirements as described in the Manual.
- All projects must provide equipment, design, and labor warranties to customers.

Each Project that is referenced in a Rebate Application is subject to NYSERDA-mandated quality assurance and performance verification standards.

Additional information regarding these and additional Project application and Project eligibility and technical requirements are described in the Manual.

The purpose of these requirements is to ensure that GSHP systems installed under the Program are high-performing and high quality. High-performing, high-quality installations are critical to enabling market growth. However, NYSERDA encourages innovation in design and installation practices that improve performance and lower costs. If an applicant for a Rebate can substantiate to NYSERDA's satisfaction that a deviation from a specific Program requirement will maintain or improve Project performance at a similar or lower cost, NYSERDA will consider granting a waiver for that specific requirement.

### **How to participate in the Program**

#### **Becoming a Participating Designer, Installer or Driller**

**Step 1 – Confirm eligibility:** In order to be approved to participate in the Program, designers, installers and drillers must demonstrate that they meet the qualifications identified in Section 3 of the Manual.

**Step 2 – Review Manual and Complete Participation Agreement:** Prior to submitting a Participation Application, interested Participants must review the Manual and sign the Participation Agreement.

**Step 3 – Submit Participation Application:** To enroll, Participants must submit all required documentation, including the signed Participation Application and Participation Agreement.

A list of Participating Designers, Participating Installers, and Participating Drillers will be posted to NYSERDA's

website, here: <https://www.nysesda.ny.gov/Contractors/Find-a-Contractor/Ground-Source-Heat-Pump-Systems>.

### **Submitting Rebate Applications**

**Step 1-Confirm Project Site Eligibility:** All Sites must currently pay or, in the case of new construction, will pay the SBC/CEF surcharge. The charge will appear on the Site Owner's utility bill.

**Step 2- For Large-scale systems (>10 tons) only: Complete Preliminary Technical Analysis: *Before applying for a Rebate*,** the Participating Designer must complete a technical analysis and system design that meets the requirements outlined in Section 5 of the Manual.

**Step 3-Apply for Rebate:** Rebate Applications may only be submitted by the Participating Designer or Participating Installer involved in the Project referenced in the Rebate Application. The GSHP must be installed by a Participating Installer.

#### **Step 4-Receive Award:**

NYSERDA will notify the Participating Designer or Participating Installer of the status of each Rebate Application within thirty (30) Business Days of receipt, barring extenuating circumstances. If the Rebate Application meets all Program requirements and funding is available, NYSERDA will issue an approval email (for small-scale GSHP systems) or Award letter (for large-scale GSHP systems) to the Participant who submitted the Rebate Application via email that will provide details on the Rebate amount.

#### **Step 5-Complete Project Milestones:**

##### **For small systems (≤10 tons):**

Upon Project Completion, the Participant in cooperation with the System Owner will complete and submit the Project Completion Form in Salesforce and a completed GSHP manufacturer or distributor start-up sheet. If available, a summary of design software output, customer savings and economic summary and a summary of performance monitoring installed should also be submitted.

##### **For large systems (>10 tons):**

Subject to NYSERDA's review and approval, a Participant will be eligible to receive a portion of the total Rebate amount (a "Milestone Payment") based upon the completion of intermediate milestones and submission of Milestone Deliverables, as described in the Manual.

NYSERDA will review and either approve or deny each Milestone Deliverable.

**Step 6- Receive Rebate Payment:** Rebates will be paid to the Participant who submitted the Rebate Application. Upon approval of the Milestone Deliverables, payment will be issued according to NYSERDA's prompt payment policy (see Participation Agreement).

## General Conditions

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

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

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

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

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

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

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

**State Finance Law sections 139-j and 139-k** - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain new procurement lobbying requirements that can be found at <https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx>. The attached Proposal Checklist calls for a signature certifying that the proposer will comply with State Finance Law sections 139-j and 139-k and the Disclosure of Prior Findings of Non-responsibility form includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years.

**Tax Law Section 5-a** - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York

State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf)). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department. The Department has created a second form that must be completed by a perspective contractor prior to contacting and filed with NYSERDA. See, ST-220-CA (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220ca\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

**Accessibility Requirements** - NYSERDA requires contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSERDA's Accessibility Requirements](#).

**Limitation** - This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest. NYSERDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information and the presence of a material possibility of any reputational or legal risk in making of the award.

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



**Air-Source Heat Pump Program<sup>1</sup>**  
Program Opportunity Notice (PON) 3653  
**\$ 10,950,000 Available**

**NYSEDA reserves the rights to extend and/or add funding to this Solicitation should additional Program funding become available.**

Applications accepted through December 31, 2020 by 5:00 PM Eastern Time, or until funds are fully committed, whichever occurs first.

**Program Summary:** The Air-Source Heat Pump Program (“the Program”) will provide up to \$10,950,000 in incentives to Participating Installers for the installation of Program Qualified Air Source Heat Pump (ASHP) systems.<sup>2</sup> The New York Public Service Commission has allocated funding for this program through the Clean Energy Fund (CEF) to expand the ASHP market in New York and support installations for customers who pay (or will pay in the case of new construction) the SBC/CEF surcharge.

Incentives of \$500 per installed Program Qualified ASHP system are available only to Participating Installers on a first-come, first-served basis, up to \$500,000 per Participating Installer. Complete Program requirements and additional descriptions can be found in the Air Source Heat Pump Program Manual (Manual).

**Participating Installer and Incentive Application Submission:** Participating Installer and Incentive Applications (including uploading any required attachments and documents thereto) must be completed and submitted online at <https://nyserda.ny.gov/ashp>. Incomplete or inaccurate applications will not be accepted. Faxed or e-mailed applications will not be accepted.

**Contact Information:** For all program questions, please contact Program staff at [products@nyserda.ny.gov](mailto:products@nyserda.ny.gov) or Kerry Hogan at (518) 862-1090 ext. 3509.

All Contractual questions should be directed to: Nancy Marucci at [Nancy.Marucci@nyserda.ny.gov](mailto:Nancy.Marucci@nyserda.ny.gov) or 518-862-1090 ext. 3335.

If changes are made to this Solicitation, notification will be posted on <https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities>.

**NYSEDA reserves the right to make changes in the incentive offering (including but not limited to amount, timing, recipient, structure, incentive caps and total budget available) at any time. NYSEDA will make reasonable effort not to decrease incentive level within the term of this Program. If it becomes necessary to change the incentive offering, NYSEDA will attempt to give reasonable notice to Program Participants. Program changes will be posted on the NYSEDA website and can be found at the following web page: <https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities>.**

<sup>1</sup> Capitalized terms used but not defined herein have the meanings assigned to them in the Manual, which can be found as an attachment in this PON or online at <https://nyserda.ny.gov/ashp>.

<sup>2</sup> NYSEDA may supplement or revise the funding available through this PON or any successor at any time.

## I. Introduction

Through its Clean Energy Products strategy, NYSERDA seeks to accelerate the adoption of specific underutilized clean energy technologies – those with proven savings but limited adoption – by working to develop supply chains and expand service networks so that they are available in the market and supported by key actors, such as distributors and contractors.

ASHPs offer customers improved performance over other code-compliant HVAC technologies, reduced energy bills and a lower carbon footprint, but have not been widely adopted in the state. While ASHPs have been used consistently in warmer climates as an efficient cooling system, recent advances in technology have been incorporated into new ASHP models allowing them to meet the heating and cooling needs for customers in Northern climates. Market demand has begun to increase in New York, but action is needed to accelerate widespread adoption. Through PON 3653, incentives will be available to Program Installers to reduce the wholesale cost of the products and encourage sales, stocking, and service expansions.

The Program will provide up to \$10,950,000 in incentives for the installation of ASHP systems.<sup>3</sup> The New York Public Service Commission has allocated funding for this program through the Clean Energy Fund (CEF) to support installations for customers who pay (or will pay in the case of new construction) the SBC/CEF surcharge.

Incentives of \$500 per installed Program Qualified ASHP system are available to Participating Installers on a first-come, first-served basis, up to \$500,000 per Participating Installer. The Program provides flexibility to participating installers to decide how best to use these incentives to help grow that portion of their business. Program requirements and additional descriptions can be found in the Manual which can be found as an attachment in this PON or online at <https://nysesda.ny.gov/ashp>.

## II. Program Requirements

### **Eligible Applicants for Program Participation and Incentives**

ASHP Installers interested in participating in the Program must complete and submit a Participating Installer Application, which can be found as an attachment to this PON or online at <https://nysesda.ny.gov/ashp>, to become a Participating Installer. Only Participating Installers are eligible to submit Incentive Applications.

### **Eligible Project Requirements**

The Northeast/Mid-Atlantic Air Source Heat Pump Working Group (facilitated by the Northeast Energy Efficiency Partnership), developed a Cold Climate Air-Source Heat Pump (ccASHP) Specification intended to identify ASHPs that are best suited to heat efficiently in cold climates (IECC climate zone 4 and higher)

To be eligible to receive an Incentive under this Program, the ASHP(s) identified in each Incentive Application must be listed on the [ccASHP Specification Listing](#) at the time of installation. Each Incentive Application must meet certain requirements, including, but not limited to, the following:

- All components installed as part of an ASHP system must be new; the use of used or refurbished equipment is not permitted under the Program.
- All ASHP systems, system components, and installations comply with all manufacturers' installation requirements, applicable laws, regulations, codes, licensing and permit requirements including, but not limited to, the New York State Environmental Quality Review (SEQR), the New York State Building Code, New York State Plumbing Code, the National Electric Code, Fire

<sup>3</sup> NYSERDA may supplement or revise the funding available through this PON or any successor at any time.



- Codes and all applicable State, city, town, or local ordinances or permit requirements.
- All ASHP equipment, design, and labor warranties have been provided to the customer.
- Provide installation specific data (i.e., qualifying ASHP Manufacturer, Indoor and Outdoor Unit Model Numbers, Installation Address, Utility, Primary Fuel Type, Displaced Heating System).

Each ASHP that is referenced in an Incentive Application is subject to NYSERDA-mandated quality assurance and performance verification standards.

Additional information regarding these and additional Project application and Project eligibility and technical requirements are described in the Manual.

These requirements help to ensure quality and performance for ASHP installations, which are critical to enable market growth. However, NYSERDA encourages innovation in design and installation practices that improve performance and lower costs. If an applicant for an Incentive can substantiate to NYSERDA's satisfaction that a deviation from a specific Program requirement will maintain or improve ASHP performance at a similar or lower cost, NYSERDA will consider granting a waiver for that specific requirement. All waivers must be approved in advance of the submission of the specific incentive application.

### **Becoming a Participating Installer**

**Step 1 – Confirm eligibility:** To be approved to participate in the Program, ASHP Installers must demonstrate that they meet the qualifications identified in the Manual.

**Step 2 – Review Manual and Program Participation Agreement:** ASHP Installers must review the Manual and Participation Agreement identifying all Program procedures, terms and conditions.

**Step 3 – Submit Participating Installer Application:** To enroll, Participants must submit all required documentation, including the signed Participating Installer Application.

A list of Participating Installers will be posted to NYSERDA's website at <https://nyserdera.ny.gov/ashp>.

### **Submitting Incentive Applications for Participating Installers**

**Step 1 – Confirm Project Site Eligibility:** All ASHP installation sites must currently pay or, in the case of new construction, will pay the SBC/CEF surcharge. The charge will appear on the installation site owner's utility bill.

**Step 2 – Apply for Incentive:** The ASHP must be installed by a Participating Installer, who submits the Incentive Application once installation is complete and customer has been invoiced.

**Step 3 – Receive Award:** NYSERDA will notify the Participating Installer on the status of each Incentive Application within thirty (30) Business Days of receipt, barring extenuating circumstances. If the Incentive Application meets all Program requirements and funding is available, NYSERDA will issue an approval email to the Participating Installer with details on the Incentive amount.

**Step 4 – Receive Incentive Payment:** Incentives will be paid to the Participating Installer. Payment will be issued according to NYSERDA's prompt payment policy (see Participation Agreement).

## **III. General Conditions**

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

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

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

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

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Division for Small Business 625 Broadway  
Albany, NY 12207

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

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

**State Finance Law sections 139-j and 139-k** - NYSEDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain new procurement lobbying requirements that can be found at <https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx>. The attached Proposal Checklist calls for a signature certifying that the proposer will comply with State Finance Law sections 139-j and 139-k and the Disclosure of Prior Findings of Non-responsibility form includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years.

**Tax Law Section 5-a** - NYSEDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSEDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf)). Prior to contracting with NYSEDA, the prospective contractor must also certify to NYSEDA whether it has filed such certification with the Department. The Department has created a second form that must be completed by a perspective contractor prior to contacting and filed with NYSEDA. See, ST-220-CA (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220ca\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

**Accessibility Requirements** - NYSEDA requires contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSEDA's Accessibility Requirements](#).

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

accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest. NYSERDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information and the presence of a material possibility of any reputational or legal risk in making of the award.

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

#### **IV. Attachments:**

- Attachment A – Air-Source Heat Pump Program Manual
- Attachment B – Air-Source Heat Pump Program Participation Agreement



**NYSERDA**

**Renewable Energy Standard  
Purchase of New York Tier 1 Eligible Renewable  
Energy Credits  
Request for Proposals (RFP) No. RESRFP17-1**

**Step One Threshold Eligibility Application Packages Due:  
Thursday, July 13, 2017 by 5:00 pm Eastern Daylight Time (EDT)\***

NYSERDA SEEKS TO ACQUIRE APPROXIMATELY 1.5 MILLION NEW YORK TIER 1 ELIGIBLE RENEWABLE ENERGY CREDITS ANNUALLY

The New York State Energy Research and Development Authority (NYSERDA) seeks to procure Tier 1 eligible Renewable Energy Credits under the Renewable Energy Standard (RES), a component of the Clean Energy Standard (CES).

NYSERDA was created in 1975 by the New York State Legislature as a public benefit corporation. As designated in the Public Service Commission (PSC) [Order Adopting a Clean Energy Standard](#), issued and effective August 1, 2016, NYSERDA acts as the Central Administrator of the RES program. RESRFP17-1 will be implemented through a two-step process, consisting of (Step One) an application step that will prequalify Proposers, and (Step Two) a competitive Bid Proposal submission step. **Only those Proposers found prequalified through the Step One application process will be permitted to submit Bid Proposals or otherwise participate in Step Two.**

**Step One Threshold Eligibility Application Submission:** Step One Threshold Eligibility Application Packages must be **received\* by NYSERDA by 5:00 p.m. Eastern Daylight Time on Thursday, July 13, 2017 via electronic submission**.<sup>1</sup> For ease of identification, all electronic files must be named using the Proposer's Bid Facility name and New York Generation Attribute Tracking System (NYGATS) ID number in the title of the document. Proposals may be submitted electronically by following the link for electronic submissions found on [NYSERDA's Current Funding Opportunities website](#)<sup>2</sup>, located in the "Current Funding Opportunities" section of NYSERDA's website. Instructions for submitting electronically are located as Attachment A.

NYSERDA intends to notify all prospective Proposers as to their qualification status by Tuesday, August 22, 2017. Qualified Proposers will receive a Notice of Qualification, and will be provided detailed instructions for Step Two Bid Proposal submission at that time.

<sup>1</sup> If you are unable to submit by electronic means please contact the Designated Contact immediately.

<sup>2</sup> <http://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>

**Step Two Bid Proposal Submission:** For Proposers qualified for Step Two, Bid Proposals must be **received\* by NYSERDA by 5:00 p.m. Eastern Daylight Time on Thursday, September 28, 2017 via electronic submission**. Instructions for submitting electronically and the link for electronic submissions will be included in a Proposer's Notice of Qualification. Additional information regarding NYSERDA's Renewable Energy Solicitations are found on [NYSERDA's Renewable Energy Solicitations Standard \(RES\) Tier 1 website](#).<sup>3</sup>

**\*It is recommended that Proposers set aside ample time, well in advance of the deadlines, to understand the requirements to complete the Step One Threshold Eligibility and Step Two Bid Proposal processes and gather the associated documentation necessary. Both processes must be completed and submitted in their entirety on-line, before their respective 5:00 p.m. deadlines.**

Program questions should be directed to [res@nyserda.ny.gov](mailto:res@nyserda.ny.gov) (no phone calls). Contractual questions should be directed to Nancy Marucci, (518) 862-1090 ext. 3335, [nancy.marucci@nyserda.ny.gov](mailto:nancy.marucci@nyserda.ny.gov).

No communication intended to influence this procurement is permitted except by contacting **Abbey DeRocker at (518) 862-1090, ext. 3449 or [abbey.derocker@nyserda.ny.gov](mailto:abbey.derocker@nyserda.ny.gov) (Designated Contact)**. Contacting anyone other than the Designated Contact (either directly by the Proposer or indirectly through a lobbyist or other person acting on the Proposer's behalf) to influence the procurement: (1) may result in a Proposer being deemed a non-responsive offeror and (2) may result in the Proposer not being awarded a contract.

Incomplete proposals will be subject to disqualification. It is the Proposer's responsibility to ensure that all required forms and attachments have been completed and submitted. Late packages will not be accepted and those lacking the appropriate completed and signed Step One Threshold Eligibility Application Form may be returned. **Faxed, mailed, or e-mailed packages will not be accepted.**<sup>4</sup> Packages will not be accepted at any NYSERDA location.

If changes are made to this solicitation, notification will be posted on [NYSERDA's RES Tier 1 website](#)<sup>3</sup>. Please check the website periodically, as well as immediately before submitting in Step One or Step Two.

<sup>3</sup> <https://www.nyserda.ny.gov/All-Programs/Programs/Clean-Energy-Standard/Renewable-Generators-and-Developers/RES-Tier-One-Eligibility/Solicitations-for-Long-term-Contracts>

<sup>4</sup> Unless otherwise agreed by NYSERDA. See footnote 1.

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## I. BACKGROUND: THE NEW YORK STATE CLEAN ENERGY STANDARD AND RENEWABLE ENERGY STANDARD

On July 6, 2015, the State Energy Planning Board issued the 2015 New York State Energy Plan (SEP)<sup>5</sup> which proposed that the State achieve 50 percent of the State's electricity generated from renewable resources by 2030 (50 by 30 goal). In December 2015, Governor Cuomo directed the Department of Public Service (DPS) to develop a Clean Energy Standard (CES)<sup>6</sup> to help achieve the SEP goals.

The Public Service Commission's (PSC) [Order Adopting the Clean Energy Standard](#) issued on August 1, 2016, along with additional orders issued under Case 15-E-0302, Proceeding on Motion of the Commission to Implement a Large-Scale Renewable Program and a Clean Energy Standard (Orders), established the Renewable Energy Standard (RES) as the means of achieving the 50 by 30 goal. A component of the RES consists of a Tier 1 obligation on load serving entities (LSE) to procure Renewable Energy Credits (RECs) associated with new renewable energy resources.

The Orders authorize NYSERDA, as Central Procurement Administrator, to offer long-term contracts to generators for the purchase of Tier 1-eligible RECs, in the form of Tier 1 New York Generation Attribute Tracking System (NYGATS) certificates. Pursuant to the Orders, NYSERDA seeks to accomplish the RES objective by contracting with suppliers, through a series of competitive RFPs, for the RES Tier 1 RECs created by eligible generation resources.<sup>7</sup>

Information regarding current NYSERDA's implementation of the RES can be found on [NYSERDA's CES website](#)<sup>8</sup>.

Information on the Renewable Portfolio Standard, the precursor to the CES, and past Main Tier solicitations can be found on [NYSERDA's website](#)<sup>9</sup>.

<sup>5</sup> 2015 New York State Energy Plan is available from <http://energyplan.ny.gov/>

<sup>6</sup> Letter from Governor Andrew M. Cuomo to Audrey Zibelman, Chair, New York State Department of Public Service, December 2, 2105 (Cuomo Letter) available at [https://www.governor.ny.gov/sites/governor.ny.gov/files/atoms/files/Renewable\\_Energy\\_Letter.pdf](https://www.governor.ny.gov/sites/governor.ny.gov/files/atoms/files/Renewable_Energy_Letter.pdf)

<sup>7</sup> Directives pertaining to NYSERDA's RES Central Procurement role are contained in the February 22, 2017 [Order Approving Phase I Implementation Plan](#) and the [Final Phase I Implementation Plan](#) filed by NYSERDA on March 24, 2017. The March 9, 2017 [Order on the Value of Distributed Energy Resources](#) further clarifies the treatment of certain distributed energy resources (DERs) such resources under the CES and their eligibility to participate in NYSERDA's long term procurements for RECs.

<sup>8</sup> <https://www.nyserda.ny.gov/Clean-Energy-Standard/>

<sup>9</sup> <https://www.nyserda.ny.gov/All-Programs/Programs/Clean-Energy-Standard/Renewable-Portfolio-Standard/Past-Main-Tier-Solicitations>



The CES/RES Orders can be accessed from the [NYS Public Service Commission's website](#)<sup>10</sup>. All Proposers are strongly advised to review the Orders before participating in this RFP.

**CAPITALIZED TERMS AND ABBREVIATIONS USED IN THIS RFP ARE DEFINED IN ARTICLE I OF THE [RES STANDARD FORM AGREEMENT](#).**

## II. NOTIFICATION of RFP CHANGES

Notification of any changes in process or documents will be posted on [NYSERDA's RES Tier 1 website](#)<sup>3</sup> and sent via email to those parties who have submitted contact information to [NYSERDA's Renewable Generators and Developers sign-up website](#).<sup>11</sup>

## III. PROPOSERS WEBINAR & INQUIRIES

NYSERDA will hold a webinar for Proposers on **Wednesday, June 14, 2017 at 2:00 p.m. EDT** (Albany, NY time). Proposers are encouraged to submit questions prior to the webinar via the email address [res@nyserda.ny.gov](mailto:res@nyserda.ny.gov). On the webinar, NYSERDA will review the Step One Threshold Eligibility Application package requirements, the Step Two Bid Proposal requirements, the RES Standard Form Agreement, and provide an overview NYGATS. Questions will be taken and, to the extent possible, responses will be provided during the conference. **Proposers who intend to participate must sign up by 12:00 noon Tuesday, June 13, 2017 on [NYSERDA's website](#)**<sup>12</sup>.

Respondents will be provided with webinar credentials. All prospective Proposers are strongly encouraged to participate in the webinar.

Proposers may also submit written questions to [res@nyserda.ny.gov](mailto:res@nyserda.ny.gov), with the subject line "**RES Procurement Question**." Questions can be submitted at any time, but must be received before **5 p.m. on Thursday, June 15, 2017** to be included in NYSERDA's response indicated below.

NYSERDA will post questions anonymously, along with NYSERDA's responses, on [NYSERDA's RES Tier 1 website](#)<sup>3</sup>, on or about Tuesday, June 20, 2017. The written responses will supersede any responses given by NYSERDA during the Proposer's webinar. All questions regarding the RFP documents or the process **MUST** be directed as indicated. Questions may not be submitted directly to any individual at NYSERDA, DPS Staff, or to individuals working for or on behalf of NYSERDA.

<sup>10</sup> <http://documents.dps.ny.gov/public/MatterManagement/CaseMaster.aspx?MatterCaseNo=15-e-0302>

<sup>11</sup> <https://www.nyserda.ny.gov/All-Programs/Programs/Clean-Energy-Standard/Renewable-Generators-and-Developers/Renewable-Generators-and-Developers-Email-List>

<sup>12</sup> To sign up for the Proposers' Webinar please visit <https://nyserda-events.webex.com/nyserda-events/onstage/g.php?MTID=ea990f68307a7028742b97544ec93ed81>



#### IV. SCHEDULE

The timeline for this RFP is as follows (all times EDT):

RFP Release	Friday, June 2, 2017
Proposers' Webinar	Wednesday, June 14, 2017
Deadline to submit Written Questions	5 pm, Thursday, June 15, 2017
Responses to Questions posted on NYSERDA's website	Tuesday, June 20, 2017
Deadline to submit Tier 1 Eligibility Request	5 pm, Wednesday, June 28, 2017
NYSERDA responds with Tier 1 Eligibility Determination	Friday, July 7, 2017
Deadline to submit Step One Threshold Eligibility Application Packages (Step One)	5 pm, Thursday, July 13, 2017
NYSERDA notifies Proposers of Step One Qualification determinations	Tuesday, August 22, 2017
Deadline to submit Step Two Bid Proposal (Step Two)	5 pm, Thursday, September 28, 2017
NYSERDA notifies winning Proposers	November 2017

Please note that the above dates are subject to change. Notification of any changes to the RFP process or documents will be posted on [NYSERDA's RES Tier 1 website](#).<sup>3</sup>

#### V. INFORMATION FOR BID FACILITIES SIMULTANEOUSLY PARTICIPATING IN NYPA AND NYSERDA RFPs

NYSERDA RFP RESRFP17-1 is issued simultaneously with a [New York Power Authority \(NYPA\) Large-Scale Renewables RFQ Q17-6164MH](#). Depending on their characteristics, certain Bid Facilities will be eligible to bid in both solicitations; other Bid Facilities may only be eligible to participate in one solicitation. All Proposers are encouraged to carefully review both solicitations and the guidance provided below.

Close coordination between NYSERDA and NYPA has allowed the two opportunities to synchronize as thoroughly as possible. Continued alignment will ensure a seamless solicitation, award and contracting process for eligible Proposers.

Prospective Proposers in both (NYSERDA and NYPA) solicitations are therefore notified of the following requirements, timelines and restrictions:

1. Subject to eligibility determinations made independently by NYSERDA and NYPA, Proposers representing a Bid Facility may apply to both solicitations under the following conditions:
  - a. The same Proposer must represent the same Bid Facility under both solicitations.

- b. Using the forms provided with each solicitation, the Proposer associated with the Bid Facility must notify both NYSERDA and NYPA in writing of its intention to apply to both solicitations.
    - c. The generation associated with a single Bid Facility may not be divided between both solicitations.
  2. A Bid Facility that has been deemed eligible to participate in both solicitations will have a unilateral option to withdraw its Bid Proposal under NYSERDA RESRFP17-1. To be effective, this option to withdraw must be exercised in writing and must be received by NYSERDA on or before November 3, 2017. Bid Deposits provided to NYSERDA for Bid Facilities that properly exercise the option to withdraw will be returned to the Proposer in full.
  3. A Bid Facility that has been deemed eligible to participate in both solicitations and does not exercise the unilateral option to withdraw described in Item 2 will be removed from consideration under the NYPA solicitation if the Bid Facility receives an award under the NYSERDA RFP RESRFP17-1, immediately upon notification of the NYSERDA award. NYSERDA expects to issue notifications of award by late November.
  4. Proposers who are notified by NYSERDA that their bids have been waitlisted and subsequently receive a notice of award, during the pendency of the open offer,<sup>13</sup> will have a period of 5 business days from notice to accept the award. Should the Proposer fail to elect to accept the NYSERDA award, the NYSERDA award will be deemed rescinded, and the Bid Facility will remain eligible for consideration in NYPA's solicitation. Bid Deposits provided to NYSERDA for Bid Facilities that elect not to accept a NYSERDA award under these circumstances will be retained by NYSERDA.
  5. A Bid Facility which has been deemed eligible to participate in both solicitations and not offered an award or waitlist status by NYSERDA will automatically remain eligible for consideration in NYPA's solicitation.

Proposers representing the same Bid Facility in both solicitations will be required to complete a NYSERDA/NYPA Coordination Form with their Step Two Bid Proposal. Please refer to Appendix 4, NYSERDA and NYPA Frequently Asked Questions for additional information regarding participation in both solicitations.

## **VI. ELIGIBILITY FOR THIS RFP**

### **A. Eligible Generation**

To participate in this RFP each Bid Facility must qualify as a Tier 1 RES eligible resource under the [Order Adopting the Clean Energy Standard](#), as set forth at [Appendix A](#) of the August 1, 2016 Order. Pursuant to the Order, a Bid Facility must be located: (1) within the New York Control Area or in an adjacent control area and supplying energy into New York State, in accordance with the RES Delivery Requirements also specified in the

<sup>13</sup> The submission of a Bid Proposal will constitute a binding offer to contract under the terms of the RES Standard Form Agreement (Attachment I); such offer must remain open for a period of at least sixty (60) days from the deadline for submittal of a Step Two Bid Proposal.

Orders and in this RFP, (2) have first commenced Commercial Operation on or after January 1, 2015 or (3) must produce new, incremental energy and Tier 1 RECs from new Bid Capacity above a historical baseline, as established through the Operational or Provisional Certification process.

Note: As a prerequisite to participating in this RFP, a Bid Facility must have: (1) registered in NYGATS, and (2) received either a Statement of Qualification (SoQ) (for facilities in operation) or a Provisional Statement of Qualification (PSoQ) (for facilities not yet operating). The SoQ/PSoQ certifies that a facility has met or will meet the eligibility requirements under Tier 1 of the RES.

Applications for certification are completed in NYGATS. To obtain an SoQ or a PSoQ, a Proposer will need to create a NYGATS account, complete a project registration for the Bid Facility, and once the registration is approved, complete an application for either operational certification (for facilities in operation) or provisional certification (for facilities not yet in operation). For consideration in RESRFP17-1, **Proposers must apply for the RES Tier 1 Certification by 5 p.m. Wednesday, June 28, 2017** for NYSERDA to grant or deny a SoQ or PSoQ by 5 p.m. Friday, July 7, 2017.

More information on the certification process, including guidelines for documenting eligibility for certification, including the eligibility of distributed energy resources, upgrades, relocated facilities and facilities returning to service can be found on [NYSERDA's RES Tier 1 Eligibility website](#).<sup>14</sup> Training materials for using NYGATS to apply for certification may be found on the [NYGATS website](#).<sup>15</sup>

Energy Storage. Proposers who intend to include energy storage in the Step Two Bid Proposal must indicate that intention in the Step One Threshold Eligibility Application package. Proposals that include energy storage must also include, to the extent applicable, the operating parameters of the proposed storage facility. A Bid Facility paired with energy storage will be eligible for an award if the energy storage system is co-located with the generation behind a single wholesale or retail meter, or with separate sub-meters for the storage and generation. The energy storage system may store energy produced by the Bid Facility only, and may not charge from the grid. Additional details on the inclusion of Energy Storage are contained in Section XI(C) and Appendix 3.

Commercial Operation Milestone Date. Bid Facilities that receive awards under RESRFP17-1 will be required to enter Commercial Operation by November 30, 2019. The Commercial Operation Milestone Date may be extended (see Attachment I, RES Standard Form Agreement Article II, Purchase and Sale of Rights to Tier-1 Renewable Energy Certificate, Section 2.07, and Article XV, Contract Security).

<sup>14</sup> <https://www.nyserda.ny.gov/All-Programs/Programs/Clean-Energy-Standard/Renewable-Generators-and-Developers/RES-Tier-One-Eligibility>

<sup>15</sup> <https://www.nyserda.ny.gov/All-Programs/Programs/NYGATS>

## **B. Eligibility Limitations**

Tier 1 eligible RECs or environmental attributes that are the subject of a current NYSERDA RES contract, were the subject of an award under a previous NYSERDA RES or RPS Main Tier solicitation are not eligible under this RFP.

## **C. Subsequent Tier 1 Eligibility Changes**

Bid Facilities selected for award under this RFP will not be subject to subsequent changes in RES eligibility rules; however, if the Bid Facility fails to maintain eligibility consistent with the RES requirements as they existed on June 2, 2017, such ineligibility will extend to the RECs associated with the Bid Facility's production throughout the entire period in which the Bid Facility fails to maintain eligibility.

## **VII. PARTICIPATING IN THIS RFP**

NYSERDA has designed this solicitation as a two-step process, consisting of:

- (1) Step One: a Threshold Eligibility Determination step, and
- (2) Step Two: a competitive Bid Package Proposal review step.

Under Step One, Proposers will submit a Threshold Eligibility Application package containing information and documentation that NYSERDA will evaluate to determine whether the Application Package demonstrates meeting or exceeding a minimum standard in six minimum Threshold Eligibility categories.

Bid Facilities that satisfy the minimum Threshold Eligibility requirements, have received a PSoQ or SoQ, and provide a Bid Deposit will receive a Notice of Qualification allowing them to participate in Step Two. The Notice of Qualification will also identify the Bid Facility's Maximum Contract Tenor and will provide Proposers with a description of and access to the process and forms to be used in Step Two.

**Only those Proposers found prequalified through the Step One Threshold Eligibility Application process will be permitted to submit Bid Proposals or otherwise participate in Step Two.**

Under Step Two, Proposers will be invited to submit Bid Proposals with additional information including a bid price and more detailed information about the proposed project, the developer, and the maturity and experience of each. Step 2 Bid Proposals will be evaluated and scored based on: (1) the bid price, which will be weighted at 70% of the overall score, and (2) non-price factors, which will have a combined weight of 30% of the overall score.

The 30% non-price component is divided into three equally-weighted categories: (1) 10% incremental economic benefits to New York State, (2) 10% project viability, and (3) 10% operational flexibility and peak coincidence. Appendices 1, 2 and 3 provide detailed explanations of the scoring process in each of these categories.

NYSERDA will continue to utilize a confidential maximum acceptable bid price above which NYSERDA will not award a contract.

## VIII. STEP ONE THRESHOLD ELIGIBILITY APPLICATION PACKAGE

Proposers must first provide NYSERDA with a complete Step One Threshold Eligibility Application package. Application packages may identify a single Bid Facility only. NYSERDA will review each Threshold Eligibility Application package and determine the Bid Facility's qualification for participation in Step Two.

Deadline for Submitting a Step One Threshold Eligibility Application package: The complete Threshold Eligibility Application package must be **received\*** by NYSERDA no later than **5 p.m. EDT on Thursday, July 13, 2017 via electronic submission**. All information must be provided. **NYSERDA strongly recommends that you reserve ample time to address the requirements for each Bid Facility. The Step One Threshold Eligibility Application package must be completed and submitted on-line, before the deadline.**

Unless the proposed Bid Facility is in operation (i.e., the proposed Bid Facility is applying with an SoQ), the Step One Threshold Eligibility Application requires Proposers to include supporting evidence or documentation for Threshold Eligibility categories. NYSERDA encourages Proposers to assemble required supporting evidence/documentation well in advance of starting a submission. The application website will close promptly at 5 p.m. EDT on Thursday, July 13, 2017. Submissions in process will be truncated upon the 5 p.m. deadline.

All electronic signatures must be provided as indicated. Failure to provide any attachments or information requested may result in the Threshold Eligibility Application package being declared non-responsive and rejected. NYSERDA may request additional information and materials at any time. Threshold Eligibility Application Packages become the property of NYSERDA.

A complete Step One Threshold Eligibility Application package consists of the following:

- 1) Step One Threshold Eligibility Application Form (Attachment B);
- 2) Threshold Eligibility Supporting Evidence Documentation for the following six categories;
  1. Site Control;
  2. Interconnection;
  3. Permitting;
  4. Project Development;
  5. Project Financing;
  6. Resource Assessment;
- 3) Project Schedule Form (Attachment H);
- 4) Proof of Bid Deposit.

If the proposed Bid Facility is currently in operation, Proposers need only submit:

- 1) Step One Threshold Eligibility Application Form (Attachment B);
- 2) Threshold Eligibility Supporting Evidence Documentation;
  6. Resource Assessment;
- 4) Proof of Bid Deposit.

### **1) Step One Threshold Eligibility Application Form**

This form requires general information identifying the Bid Facility, the proposing party, and other relevant information. Note that this section must include the Bid Facility's NYGATS ID and whether the Bid Facility has a SoQ or PSoQ (see Section VII(A) Eligible Generation regarding the certification process). **Step One Threshold Eligibility Application Packages lacking a SoQ or PSoQ and complete Step One Threshold Eligibility Application Form may be rejected.** The form also includes an attestation by the Proposer regarding the accuracy and truthfulness of the information and documentation provided by the Proposer.

The Threshold Eligibility Application Form (Attachment B) requests that Proposer indicate whether Proposer wishes to have the information in the Threshold Eligibility Application Package treated as proprietary or confidential trade secret information. NYSERDA is subject to and must comply with the requirements of New York's Freedom of Information Law ("FOIL" see Public Officers' Law Article 6). Information in any tangible form including any document that Proposer wishes to be protected from disclosure to third parties including any information provided as a part of a proposal must be marked "Confidential" or "Proprietary" at the time such information is provided to NYSERDA.

### **2) Threshold Eligibility Supporting Evidence Documentation**

Threshold Eligibility Supporting Evidence Documentation should be uploaded as attachments as described in more detail below. Determinations regarding Threshold Eligibility will be made based on the information provided in the Step One Threshold Eligibility Application package in each of the following six categories:

- 1) Site Control;
- 2) Interconnection;
- 3) Permitting;
- 4) Project Development;
- 5) Project Finance;
- 6) Resource Assessment.

#### **Minimum Eligibility Thresholds**

The listing below identifies the supporting evidence documentation required to verify that the Bid Facility meets the minimum threshold for each category. **If the progress by**

**a Bid Facility exceeds the minimum threshold in any category, documentation as to the additional level of progress achieved should be provided by the Proposer in Step One.**<sup>16</sup> Bid Facilities that have exceeded the minimum thresholds will have the opportunity to demonstrate such progress and may receive additional points as a part of the 10% Project Viability evaluation in Step Two (see Section XI.A. Scoring Criteria and Appendix 2). An opportunity to submit additional documentation as to progress in any of the six Project Viability categories will be provided in the Step Two process.

#### Category 1: Site Control

The Site Control minimum threshold has two subcategories: Generation Facility Site Control, and Interconnection Right of Way Site Control.

##### Generation Facility Site Control

A Bid Facility must have at least an executed exclusivity agreement or letter of intent with site owner(s). The full site needed for the Bid Facility must be covered by the exclusivity agreement(s) or letter(s) of intent, unless the site is greater than 15 acres, in which case the exclusivity agreement(s) or letter(s) of intent must cover at least 50% of the site's acreage.

##### Interconnection Right of Way Control

Proposers must demonstrate that the Bid Facility either has (i) an exclusivity agreement(s) or letter(s) of intent for the necessary rights of way, and/or (ii) an executed right of way agreement(s), which provide necessary rights to the developer (if the generator lead facilities will be merchant-owned), or (ii) that the right of way is controlled by or assignable to the interconnecting utility that will own the interconnection facilities.

##### Supporting Evidence Documentation Required for Site Control<sup>17</sup>

Proposers must demonstrate that the proposed Bid Facility meets the threshold level of Generation Facility and Interconnection Right of Way Site Control by providing the following documents:

- Map of site layout indicating project and parcel boundaries, to scale, with parcel designation by owner.
- Summary description (table) of control status by parcel with parcel designation tied to site map using Attachment C.
- If available, a one-line diagram.

<sup>16</sup> For example, under Category 3, Permitting Progress, for a Bid Facility subject to Article 10, the documentation required to demonstrate achievement of the minimum threshold consists of a draft Public Involvement Program Plan (PIP). If a PIP has, in fact, been filed, attach a copy of the PIP that was filed. The filed PIP will satisfy the Minimum Eligibility Threshold and will also be considered as a part of the Project Viability evaluation in Step Two.

<sup>17</sup> Unless the proposed Bid Facility is currently in operation (i.e., proposed Bid Facility is applying with an SoQ).

## Category 2: Interconnection

Proposers must have researched the relevant interconnection process for the Bid Facility and what interconnection requirements are appropriate for their generation facility. For new distributed energy generation Bid Facilities located within New York, Proposers should review the most recent requirements and restrictions published by [New York's Department of Public Service](#).

The threshold requirements vary by the size and location of the Bid Facility:

- Large Generators (>20 MW) under the authority of the New York Independent System Operator (NYISO) or a similar interconnecting authority in an adjacent U.S. control area:<sup>18</sup> Proposer has submitted a valid interconnection request and demonstrate that all initial fees have been paid.
- Small Generators (<=20 MW) under jurisdiction of NYISO or a similar interconnecting authority in an adjacent U.S. control area:<sup>19</sup> Proposer has identified the applicable requirements, and has either (i) submitted an interconnection request or (ii) prepared drafts of all initial interconnection application documents such that they can submit initial documentation within 3 months following an award from NYSERDA.
- Small Generators with a Non-Federal Energy Regulatory Commission (FERC) Interconnection:<sup>20</sup> Proposer has discussed the Bid Facility with the relevant interconnecting utility company, and have identified the applicable requirements. Proposer has either (i) submitted an interconnection request or (ii) has prepared drafts of all initial interconnection application documents such that they can submit initial documents within 3 months following an award from NYSERDA.
- Behind-the-Meter Generators: Proposer has (i) contacted the local interconnecting utility about interconnection and (ii) has drafted interconnection request documents.
- Bid Facilities located in Ontario or Quebec, or other Bid Facilities that do not fall under any of the other interconnection categorizations: Proposer has met the equivalent threshold for projects of the same scale in the U.S.

### Supporting Evidence Documentation Required for Interconnection<sup>17</sup>

The Proposer must demonstrate that it meets the threshold level of interconnection progress by providing a summary or other evidentiary documentation confirming the extent of interconnection activities and the payment of any necessary fees. For Behind-the-Meter Generators, Proposer must also provide a draft of all interconnection request documents.

<sup>18</sup> FERC Jurisdiction, Large Generator Interconnection

<sup>19</sup> FERC Jurisdiction, Small Generator Interconnection, inclusive of 2 MW Fast Track

<sup>20</sup> Connecting Transmission Owner Interconnection under state jurisdiction (typically, utility distribution less than 5 MW).



### Category 3: Permitting

Proposers must be well informed of all applicable permitting requirements and sufficiently advanced in planning for the permitting process. To fulfill this requirement, all Proposers must meet the following threshold requirements:

- Complete Attachment D, NYSERDA Environmental Assessment form, modeled after the New York SEQRA Short Environmental Assessment Form.
- Provide a list of required permits at the local, state and federal level including any special use/conditional use permits, air permits, planning board approvals, U.S. Army Corps of Engineers (USACE) letters, and other applicable requirements, using Attachment E.
- Have performed an initial review of (i) cultural, historic, archeological and natural heritage impacts, as may be required; and (ii) wetland, fish and wildlife, and other applicable environmental impacts.
- If applicable, have developed emissions profiles for the Bid Facility that are consistent with state/federal emission regulations and RES eligibility requirements.
- If the project is subject to Article 10, have a reasonably complete Public Involvement Program Plan (PIP) prepared in accordance with the Article 10 regulations.

### Supporting Evidence Documentation Required for Permitting<sup>17</sup>

The Proposer must demonstrate that it meets the threshold level of permitting progress by providing the following documents:

- A completed Environmental Assessment form in Attachment D.
- List of required permits, using Attachment E.
- If Article 10 applies to the Bid Facility, a copy of the draft PIP.

### Category 4: Project Development

Proposers must demonstrate they have experience in developing electric generation facilities. Specifically, the Proposer or the principals in its development team must have developed at least one electrical generation facility of similar or larger scale. For the purposes of this criterion, similar scale is defined as follows:

- A project of at least 33% of the proposed Bid Facility capacity, in MW; or
- A project of at least 10% of the proposed Bid Facility capacity, in MW, if the Proposer has also successfully completed the same interconnection process in the same State or Jurisdiction as the proposed Bid Facility.

For a Proposal including a Bid Facility co-located with a qualified energy storage installation, the Proposer must also demonstrate that it has experience in developing at least one energy storage system of similar or larger scale using the same technology as proposed.

## Supporting Evidence Documentation Required for Project Development<sup>17</sup>

The Proposer must demonstrate it meets the threshold level of project development experience by providing the following document:

- A list of specific projects successfully developed, specifying the nameplate capacity, technology,<sup>21</sup> commercial operation date, and location using Attachment F.

### Category 5: Project Financing

Proposers must demonstrate they have completed a sufficient degree of planning and due diligence on how the project is to be financed by submitting a Financing Plan, as well as describing their experience in successfully financing electrical generation projects.

Proposers must submit a Financing Plan that includes the following:

- A plan to finance the proposed Bid Facility. This should include a reasonably complete description of the Proposer's plan to finance the proposed Bid Facility, including the type of finance approach and the investors (specified, or by type, depending on financing status).
- A plan for revenue streams other than RECs, if any, for the proposed Bid Facility. If applicable, describe the plans to monetize energy and, if applicable, capacity and ancillary services produced by the proposed Bid Facility. Please include:
  - the type of transaction (for example, PPA, forward energy and/or capacity sale, financial hedge, etc.).
  - If hedges have been secured for the proposed Bid Facility, please describe what proportion of the annual energy production has been secured and for what duration.
- If applicable, the Proposer should include and describe whether:
  - the proposed Bid Facility is under construction (with supporting evidence).<sup>22</sup>
  - the financing for project has been arranged and closed, along with a description of the type of financing commitment.
  - the Proposer is in the process of arranging financing for the facility, or provide a description of the plan to arrange financing.

<sup>21</sup> Resource and prime mover, e.g. solar; e.g., wind. Not meant to distinguish between different solar technologies, for example.

<sup>22</sup> For projects described as "under construction", Proposers must provide evidence of authorization to proceed, or similar, for an EPC contract, a major equipment purchase or similar material non-refundable capital commitment to constructing the project. A project qualifying for federal tax credits based on IRS begun construction thresholds or safe harbors will not qualify to be considered 'under construction' for this purpose solely by meeting associated IRS thresholds for PTC or ITC qualification, although activity to meet such qualification may be provided as contributing evidence.

- If available, the Proposer should include documentation of financial closing or financing commitment(s) which address any contingencies.

To document the project finance experience of the Proposer or its affiliates,<sup>23</sup> the Proposer must complete Attachment G, for previously financed renewable or non-renewable energy electric generation facilities, specifying:

- Project, experience with similar technology,<sup>24</sup> capacity (MW), location, operating status.
- Year of financial closing.
- Type of finance approach used, describing as fully as possible (for instance, project finance, balance sheet finance commitment, tax equity, YieldCo, host ownership, etc.). Identify whether projects were financed alone or together with other facilities; if the latter, describe the portfolio financed together.
- Value of financing (\$), by type of financing, if applicable.
- Description of Power & REC offtake arrangements (e.g., PPA(s), REC contracts, merchant, net metering, etc.).
- Clear identification of whose experience (corporate, affiliate, or individual's) is being described.

For a Proposal including a Bid Facility co-located with a qualified energy storage installation, describe experience financing energy storage installations alone and/or co-located with renewable energy facilities in similar detail to the requirements for renewable energy facilities described above.

#### Supporting Evidence Documentation Required for Project Financing<sup>17</sup>

The Proposer must demonstrate it meets the threshold level of project financing experience by providing the following documents:

- A copy of the Financing Plan as described above.
- Summary description of previous project financing experience using Attachment G.

<sup>23</sup> Proposer, its affiliates, or a senior executive or finance professional who is a principal of the Proposer. Experience of vendors or contractors to the bidding company do not count towards this requirement.

<sup>24</sup> Similar technology means the same resource and prime mover (e.g. solar or wind). It is not meant to distinguish between different solar technologies, for example.

## Category 6: Resource Assessment

Proposers must have conducted a resource assessment for the Bid Facility based on the Bid Facility's technology as follows:

- Solar: A P(50)<sup>25</sup> annual energy production estimate based on output from system performance model, using industry standard tools such as PVWatts, PVSyst, Helioscope or System Advisory Model (SAM).
- Wind: A P(50)<sup>25</sup> annual energy production estimate based on at least 6 months of site data that has been annually and climatologically adjusted via correlations with a high quality reference station with correlation data or detailed site-specific modeling by an independent meteorologist.
- Fuel Cell: Provide confirmation from the gas utility that gas is available at the proposed site at sufficient pressure and quantity to operate as proposed.
- Hydroelectric: For new hydroelectric projects, provide a P(50)<sup>25</sup> annual energy production estimate prepared by an independent Professional Engineer. For hydroelectric upgrades, the engineering report for the Bid Facility provided through the Certification process documenting the expected P(50)<sup>25</sup> for the Bid Facility will be sufficient to fulfil the Resource Assessment threshold eligibility criteria.
- Ocean/Tidal: A feasibility study by a qualified independent 3<sup>rd</sup> party demonstrating adequate resources for life of the project.
- Biomass/Biogas: A feasibility study by a qualified independent 3<sup>rd</sup> party demonstrating adequate resources for life of the project.

### Supporting Evidence Documentation Required for Resource Assessment

All Proposers must demonstrate the proposed Bid Facility meets the threshold level of resource assessment by providing a feasibility study, modeled annual energy production estimate or gas utility confirmation by providing documentation for the Bid Facility as described above.

### **3) Project Schedule**

The Threshold Eligibility Application package must include a completed Project Schedule Form detailing key development milestones, included as Attachment H.<sup>17</sup>

### **4) Bid Deposit**

The Threshold Eligibility Application package must be accompanied by a Bid Deposit, in the form of electronic wire deposit (preferred) or certified funds, in an amount determined by the Nameplate Capacity of the Bid Facility. Proposers must indicate that

<sup>25</sup> P(50) represents the annual energy production expected to be exceeded 50% of the time. This value shall be the expected value (i.e., the mean) based on (i) multi-year historical resource data or (ii) as applicable to the Bid Facility based on the criteria listed for the associated resource.

they have submitted a Bid Deposit with their application and by attaching proof of Bid Deposit, such as a receipt. No interest will be paid on any Bid Deposit.

Required Bid Deposit amounts are as follows:

Nameplate Capacity:	Bid Deposit Required:
Less than 5.00 MW	\$5,000
5.00 – 19.99 MW:	\$20,000
20.00 – 49.99 MW:	\$50,000
50.00 MW or more:	\$100,000

For information about how Bid Deposits are to be provided to NYSERDA and how they will be returned see Section XIII.

## **IX. STEP ONE NOTICE OF QUALIFICATION**

NYSERDA will evaluate Step One Threshold Eligibility Application Packages including all Threshold Eligibility Supporting Evidence Documentation for completeness and against the minimum eligibility qualification criteria specified in this RFP.

- Proposers whose Threshold Eligibility Application Packages are found not to satisfy the minimum thresholds or to be deficient in some other respect will receive notification that they are not eligible to participate in Step Two.
- Proposers deemed qualified to submit a Step Two Bid Proposal will be emailed a Notice of Qualification, which will include the Maximum Contract Tenor described below as well as instructions on how to submit a Step Two Bid Proposal.

### **Maximum Contract Tenor**

Information provided with the Step One Threshold Eligibility Application Packages will be used to determine the Maximum Contract Tenor available to the Bid Facility; the Notice of Qualification provided after Step One will include the Maximum Contract Tenor. The Contract Tenor offered for a Bid Facility will be limited by the term of the Maximum Contract Tenor. For all Bid Facilities, not in Commercial Operation as of June 2, 2017, the Maximum Contract Tenor will be calculated as the lesser of:

- (1) 20 years, or
- (2) The Bid Facility's Useful Life.

For all Bid Facilities in Commercial Operation as of June 2, 2017, the Maximum Contract Tenor applicable to the project's bid will be calculated as the lesser of:

- (1) 20 years (240 months) minus the number of years (months) between the year (month) of Commercial Operation and June 2017 (rounded to the nearest full year), or
- (2) The Bid Facility's Useful Life minus the number of years (months) between the year (month) of Commercial Operation and June 2017 (rounded to the nearest full year).

For a Returned to Service Facility, the date of Commercial Operation for purposes of calculating the Maximum Contract Tenor shall be the original date of Commercial Operation prior to the outage. For a Relocated Facility, the date of Commercial Operation for purposes of calculating the Maximum Contract Tenor shall be the first date of Commercial Operation in the original control area.

The following table lists the Useful Life by resource for use in the calculations of Maximum Contract Tenor for this RFP. This table was developed using references from published industry sources.

**Table 1. Default Values for Useful Life used to determine Maximum Contract Tenor**

<u>Resource</u>	<u>Useful Life (years)</u>
Anaerobic Digestion	20
Biomass/Liquid Biofuel	20
Fuel Cell <sup>26</sup>	20
Hydroelectric (New or Upgrade)	50
Landfill Gas to Electricity	15
Solar PV	20
Tidal/Ocean	10
Wind	20

## **X. STEP TWO BID PROPOSALS**

Proposers receiving a Notice of Qualification will be invited to submit a Step Two Bid Proposal. The submission of a Bid Proposal will constitute a binding offer to contract under the terms of the RES Standard Form Agreement (Attachment I); such offer must remain open for a period of at least sixty (60) days from the deadline for submittal of a Step Two Bid Proposal.

### **A. Deadline for Submitting a Step Two Bid Proposal**

The Step Two Bid Proposal must be completed via electronic submission on-line before the deadline. The complete Step Two Bid Proposal must be **received\*** by NYSERDA no later than **5 p.m. EDT on Thursday, September 28, 2017 via electronic submission.** NYSERDA recommends that you reserve ample time to address the Step Two Bid Proposal requirements for each Bid Facility.

<sup>26</sup> Proposers for Fuel Cell Bid Facilities offering a Contract Tenor more than 10 years on the Bid Proposal form will be required to provide, prior to NYSERDA's execution of an Agreement, an executed Bid Facility operations and maintenance agreement with the Bid Facility's host customer for a term which is greater than or equal to the proposed Contract Tenor.

Unless the proposed Bid Facility is in operation (i.e., the proposed Bid Facility is applying with an SoQ), the Step Two Bid Proposal requires Proposers to include supporting evidence or documentation for the Project Viability category. NYSERDA encourages Proposers to assemble required supporting evidence/documentation well in advance of starting a submission. The application website will close promptly at 5 p.m. EDT on Thursday, September 28, 2017. Submissions in process will be truncated upon the 5 p.m. deadline.

The Notice of Qualification will include instructions on how to submit a Step Two Bid Proposal. All electronic signatures must be provided as indicated. Failure to provide any information requested may result in the Step Two Bid Proposal being declared non-responsive and rejected. Additional information and materials beyond what is identified in this RFP may be requested by NYSERDA.

The Bid Proposal must be complete in all respects and uploaded using NYSERDA's specified website in accordance with the instructions provided. Proposer is responsible for the accuracy of all information delivered to NYSERDA. NYSERDA will only consider Bid Proposals that are substantially complete and include all the applicable and required information and representations.

#### **B. Submitting a Step Two Bid Proposal**

With the Notice of Qualification, Proposers will be provided with a complete Step Two Bid Proposal package that consists of relevant instructions and access to the following:

- 1) Bid Proposal Form;
- 2) Bid Price Form;
- 3) Incremental Economic Benefits Claims Form;
- 4) Project Viability – Instructions on process to provide documentation to demonstrate the current level of progress in any of the six Project Viability Categories beyond the documentation provided in Step One;
- 5) Project Viability – Instructions on how to pledge additional Contract Security (if so elected);
- 6) Operational Flexibility and Peak Coincidence Form;
- 7) NYSERDA/NYPA Bid Coordination Form.

If the proposed Bid Facility is currently in operation, the Step Two Bid Proposal package must include:

- 1) Bid Proposal Form;
- 2) Bid Price Form;
- 6) Operational Flexibility and Peak Coincidence Form;
- 7) NYSERDA/NYPA Bid Coordination Form.

If there are eligible incremental economic benefits attributed to the proposed Bid Facility currently in operation, Proposers may also include this form (see Incremental Economic Benefits Claims below). Proposed Bid Facilities that are currently in operation will automatically be given maximum available points awarded for the following Project Viability categories:

- 1) Site Control
- 2) Interconnection
- 3) Permitting
- 4) Project Development
- 5) Project Financing

For all Proposers submitting attachments, each page should state the Bid Facility Name, NYGATS ID, and the page number. Proposers should seek to balance responsiveness with brevity. Unnecessary attachments or length of responses beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal.

### **1) Bid Proposal Form**

NYSERDA will provide Qualified Proposers with a Bid Proposal Form based on project type and status. Proposers will be responsible for submitting one fully completed Bid Proposal Form with each Bid Proposal. The Bid Proposal Form requests relevant details about the Proposer and Bid Facility, and includes an attestation by the Proposer regarding the accuracy and truthfulness of the information and documentation provided by the Proposer.

In completing the Bid Proposal Form, the Proposer will also provide the quantity of Tier 1 RECs (Bid Quantity) offered to NYSERDA annually and the Contract Tenor, subject to the following restrictions:

- Proposers may submit bids for any Contract Tenor of a minimum of one year and a maximum of the Maximum Contract Tenor identified in the Bid Facility's Notice of Qualification.
- For wind, solar, and hydroelectric resource types, the Expected Annual Eligible Production shall not exceed the P(50) annual energy production provided under Step One, Resource Assessment or a refined P(50) provided under Step Two, (Project Viability, Category 6, Resource Assessment) (See Appendix 2).
- The Bid Quantity Percentage shall be no less than thirty percent (30%) and no greater than one hundred percent (100%) of the Expected Annual Eligible Production.

### **2) Bid Price Form**

NYSERDA will provide Qualified Proposers with a Bid Price Form. Proposers will be responsible for submitting one fully completed Bid Price Form with each Bid Proposal. The Bid Price Form provides the nominal price to be paid for each Tier 1 REC generated from the Bid Facility and accepted by NYSERDA for the term of the Contract Tenor.



### **3) Incremental Economic Benefits Claims**

One of the non-price evaluation criteria will consider the Incremental Economic Benefits expected to accrue to New York because of the development, construction/modification, and operation of the Bid Facility. Incremental Economic Benefits are those that a Proposer can demonstrate: (1) will accrue after an award under this RFP, and (2) would not have accrued but for the award of a contract under this RFP.

Incremental Economic Benefits previously claimed with respect to a Bid Facility that is subject to a pending award under a previous solicitation or that is the subject of a current NYSERDA RPS or RES contract are not eligible for evaluation.

Proposers must provide complete information along with the supporting documentation or requested data in the following four categories:

- 1) Long-Term New York State Jobs;
- 2) Payments/Benefits to New York State and/or its Municipalities;
- 3) Payments for Renewable Fuels and Resource Access;
- 4) In-State Purchases, Consumption of Goods, and Short-term Employment.

Independent audit and verification of the actual Incremental Economic Benefits of the Bid Facility, and comparison to the level of claimed Incremental Economic Benefits, will be required after the first three years of the Contract Delivery Term, as described in Section XIV. See Appendix 1 for a detailed description of eligibility and the evaluation and scoring process for Incremental Economic Benefits.

### **4) Project Viability – Additional Documentation**

One of the non-price evaluation criteria will consider the Bid Facility's Project Viability. Project Viability scoring will be made based on the information provided in the Step One Threshold Eligibility Application package and any supplemental information provided in the Step Two Bid Proposal in each of the following six categories:

- 1) Site Control;
- 2) Interconnection;
- 3) Permitting;
- 4) Project Development;
- 5) Project Finance;
- 6) Resource Assessment.

Proposers receiving a Notice of Qualification for participation in Step Two will be provided with the opportunity to demonstrate that they have exceeded the minimum eligibility threshold(s) beyond the information provided in Step One Threshold Eligibility Application Packages. NYSERDA will review in total the Minimum Threshold Eligibility and Project Viability information and documentation received in Step One and Step Two, which may result in the Bid Facility receiving additional points in Step Two. See Appendix 2 for a detailed description of the evaluation and scoring process for Project Viability.

### **5) Project Viability – Pledge of Additional Contract Security**

Proposers may pledge to commit amounts above the \$9/MWh minimum initial required contract security specified in Section XIII(3), to be provided within 10 business days following notification of an award. Proposers may note the pledge per MWh above the minimum in their Step Two Bid Proposal on the Bid Proposal form. Points will be awarded based on the size of the pledge relative to the maximum proposed pledge of all submissions on a \$/MWh basis. The maximum proposed pledge of additional security will receive 100% of the points allocated to this criterion.

### **6) Operational Flexibility and Peak Coincidence**

One of the non-price evaluation criteria will consider the Bid Facility's value in terms of its contribution towards Operational Flexibility and Peak Coincidence.

Proposers must provide complete information along with the supporting documentation or requested data to allow the TEP to complete an evaluation of the following three Operational Flexibility and Peak Coincidence categories:

- 1) Load Matching;
- 2) Dispatchability;
- 3) If applicable, Energy Storage.

See Appendix 3 for a detailed description of the evaluation and scoring process for Operational Flexibility and Peak Coincidence.

### **C. Energy Storage Configurations**

Energy Storage capabilities are new to the RES procurement, market rules are developing and are expected to evolve as the Energy Storage marketplace matures. Bid Proposals may include an electrical storage system co-located with a Bid Facility that must be configured so as not to allow the storage to be charged from the grid. If proposed for inclusion, Energy Storage must have an energy storage capability of at least one hour.<sup>27</sup>

Energy Storage must be installed and operate consistent with NYGATS rules and be located either (i) behind a single wholesale or retail revenue meter, or (ii) be independently metered from the eligible renewable technology.

If a Step Two Bid Proposal includes Energy Storage, the Proposer must:

- 1) include a detailed description of the Energy Storage component, including the Storage Unit(s), Interconnection Facilities up to the Point of Interconnection, Prevention Equipment, and Protective Apparatus together with all materials, equipment systems, structures, features and improvements necessary to store, charge and discharge electric energy at the facility, and

<sup>27</sup> i.e., the ratio of peak capacity (MW) to energy storage (MWh).

- 2) install commercially available, factory new equipment carrying a minimum 10-year warranty and must have at least one year of documented commercial performance at the time of application and (i) be listed to ANSI UL 9540, or 1973, and (ii) inverters must be listed to UL 1741, and (iii) that meets the latest National Electric Code 2017 requirements, including the newly published Article 706, Energy Storage Systems,<sup>28</sup> and
- 3) for Proposals with a Contract Tenor in excess of 10 years, prior to NYSERDA's execution of an Agreement, provide an executed energy storage operations and maintenance agreement for a term which is greater than or equal to the proposed Contract Tenor.

## **XI. STEP TWO BID PROPOSAL EVALUATION**

NYSERDA will employ a scoring system comprised of four evaluation components totaling 100 points:

- 1) Incremental Economic Benefits: 10 points
- 2) Project Viability: 10 Points
- 3) Operational Flexibility and Peak Coincidence: 10 Points
- 4) Bid Price: 70 Points

Pursuant to the [February 22, 2017 PSC Order](#) and the subsequent [Final Phase 1 Implementation Plan](#), a Technical Evaluation Panel (TEP), consisting of NYSERDA staff, DPS Staff, and Independent Evaluators (outside reviewers who possess unique proficiency in the evaluation of energy generation projects) will evaluate and award points for the non-price evaluation components of each Bid Proposal. The evaluation for each of these categories is described below.

TEP scoring will be conducted independently (without knowledge of bid prices) of Bid Price evaluation. The Bid Price evaluation will be conducted by NYSERDA.

### **A. Scoring Criteria**

#### **1. Incremental Economic Benefits: 10 Points**

The TEP will evaluate and award up to 10 points to Bid Proposals based on the degree to which each Bid Proposal demonstrates a contribution to the four economic benefits categories listed in Section XI(3). Only those economic benefits meeting the eligibility criteria and falling within the defined categories in Section XI(3) will be considered for evaluation. The TEP will award a maximum of 10 points across the four categories in proportion to the level of eligible claims, leveled across Proposers by dividing the eligible claims by the Bid Capacity (\$/MW). **See Appendix 1 for a detailed description of eligibility and the scoring process for Incremental Economic Benefits.**

<sup>28</sup> Equipment may also be eligible if system certification is obtained from a nationally recognized testing laboratory indicating that the technology meets the safety requirements of a nationally recognized standard.

## 2. Project Viability: 10 Points

The TEP will evaluate and award up to 10 points to Bid Proposals based on the extent to which the Bid Proposal demonstrates that the Bid Facility has exceeded the Minimum Eligibility Thresholds in the six categories listed in Section IX(4) as well as the Proposer's offer of additional contract security as described in Section XI(4). The TEP will award a maximum of 10 points across the combined seven categories in proportion to the level of achievement demonstrated. **See Appendix 2 for a detailed description of the scoring process for Project Viability.**

## 3. Operational Flexibility and Peak Coincidence: 10 Points

The TEP will evaluate and award up to 10 points to Bid Proposals based on the Operational Flexibility and Peak Coincidence evaluation of submissions in the three categories listed in Section XI(5). The TEP will award a maximum of 10 points across the three categories in proportion to the level of value demonstrated. **See Appendix 3 for a detailed description of the scoring process for Operational Flexibility and Peak Coincidence.**

## 4. Bid Price: 70 Points

For evaluation purposes only, Bid Prices will be converted according to the following calculation to allow for an equitable comparison between bids of varying Contract Tenor:

$$\text{Bid Price Evaluation Metric} = \frac{\text{NPV of Expected Contract Payments}}{\text{Bid Quantity} \times \text{Contract Tenor}}$$

Where:

$$\text{NPV of Expected Contract Payments} = \sum_{2017}^{2040} \frac{(\text{Bid Price} \times \text{Calendar Year Bid Quantity})_t}{(1 + i)^{t-2017}}$$

t = Calendar Years 2017 - 2040

i = 6.66%<sup>29</sup>

- Bid Facilities not operating as of June 2, 2017, will be evaluated as if the Contract Delivery Term commences on December 1, 2019.
- Bid Facilities operating as of June 2, 2017, will be evaluated as if the Contract Delivery Term commences on December 1, 2017.

**NYSERDA will employ a maximum acceptable Bid Price Evaluation Metric; NYSERDA will not award a contract for a Bid Facility where the Bid Price Evaluation Metric is above the maximum acceptable Bid Price Evaluation Metric.**

<sup>29</sup> The discount rate for Bid Price evaluation (DISCo Discount Rate or DDR) was established by the New York State Department of Public Service Office of Accounting, Audits and Finance.

Bids will be sorted in ascending order per the Bid Price Evaluation Metric. The lowest bid per the Bid Price Evaluation Metric will receive the maximum points available for the Bid Price component (70 points). For all other bids, points will be awarded in proportion to where a Bid Facility's Bid Price Evaluation Metric falls within the range of all Bid Price Evaluation Metrics (e.g., from lowest Bid Price Evaluation Metric to the highest eligible Bid Price Evaluation Metric). Bids which yield a Bid Price Evaluation Metric above the maximum acceptable Bid Price Evaluation Metric will be ineligible for award.

## **B. Evaluation & Selection**

Selection will be based on the TEP's final ranking, subject to the Portfolio Risk Assessment and the RFP's procurement target.

### **1. Preliminary Rank Order**

A preliminary final ranking of Bid Proposals will be developed by the TEP based on the points awarded based on the Operational Flexibility and Peak Coincidence Evaluation, points awarded based on the Project Viability Evaluation, points awarded based on the Incremental Economic Benefits Evaluation, and sum of points awarded for the Bid Price Evaluation Metric.

### **2. Portfolio Risk Assessment**

Following the development of the preliminary rank order, NYSERDA and DPS, in consultation with the TEP, will then consider whether to apply the following factors as they may apply to the preliminary award group in making a final award group recommendation, using information provided by the relevant Proposers.

The following portfolio risk assessment limits center around the ability of the portfolio to be constructed at the proposed locations and within the required timeframe. If considering whether to apply any of the limits, NYSERDA and DPS will consider the potential cost impact of such decision (relative to the generation portfolio that otherwise would have been selected), only exercising such a limit should the impact on the generation-weighted average cost of the portfolio increase by less than 10 percent with the application of the portfolio limits.

Such limits will include:

- Diversity of resources: NYSERDA and DPS may constrain any eligible technology to comprise no more than 80 percent (80%) of the award group on an annual generation basis.
- Diversity of owners: NYSERDA and DPS may constrain any owner or affiliate of an owner to comprise no more than 80 percent (80%) of the award group on an annual generation basis.

- Developer limitation: NYSERDA and DPS may limit awards to a specific project owner to a capacity of no more than five times the renewable capacity that the owner has successfully brought to commercial operation in the past.

### **3. Final Award Group**

After completing the Portfolio Risk Assessment and any necessary processes below, NYSERDA and DPS will arrive at a final award group. NYSERDA and DPS may also establish a waitlist of Bid Facilities in rank order, below those Bid Facilities offered an initial award. Bid Proposals represent offers to contract and must remain open for a period of at least sixty (60) days from the deadline for submittal of a Step Two Bid Proposal.

NYSERDA reserves the right to reject or accept any or all bids. NYSERDA may consider information provided by Proposer in response to Section XV(E) or otherwise obtained by NYSERDA as to indictments, convictions enforcement proceedings or investigations in accepting or rejecting a bid. NYSERDA also reserves the right to solicit revised Bid Prices and/or to make counteroffers as it deems appropriate. Notification of a re-bid, counteroffer or selection will be made by voice communication and email to the Proposer's Designated Agent(s), as identified on the Bid Price Form of this RFP. Proposer's Designated Agent(s) must be authorized to respond and to commit to counteroffers on behalf of Proposer.

NYSERDA will notify Proposers with Bid Facilities contained in the final award group (Award Notification).

## **XII. POST-AWARD PROCESS**

### **1. Reconciliation with PSoQ**

If necessary, NYSERDA will work with the proposer to rectify any discrepancies between a Bid Facility's PSoQ and the Step Two Bid Proposal. This may include the values associated with a Bid Facility's Nameplate Capacity, Capacity Factor, Expected Average Annual Production, and Expected Annual Eligible Production.

### **2. Confidentiality**

The Proposer shall not distribute any press release or contact the media until after the contract is executed by both parties and any New York State press releases regarding the awards have been issued. If the Proposer wishes to contact the press regarding the award, the Proposer must collaborate with NYSERDA's Large-Scale Renewables Team and the Director of Communications to prepare any press release and/or to plan for any announcement.

### **3. Provision of Contract Security**

Unless otherwise agreed by NYSERDA in writing, Contract Security in the amount of the product of the Bid Quantity and \$9.00 will be required within 10 business days of the Award Notification Date. If the Proposer pledged an additional amount of Contract

Security in the Step Two Bid Proposal, this additional amount will also be due within 10 business days of the Award Notification Date.

#### **4. Provision of Contract for Execution**

NYSERDA will prepare a conformed copy of the RES Standard Form Agreement (Attachment I) which will be delivered to Proposer, in a manner to be agreed upon, for Proposer's execution and return.

NYSERDA may withdraw and rescind awards to Proposers who fail to provide Contract Security within 10 business days of the Award Notification or who fail to execute the RPS Standard Agreement within a reasonable amount of time.

#### **5. Documents Required for Contracting Purposes**

NYSERDA requires the following documents prior to contract execution:

- Pursuant to Tax Law Section 5-a, a completed ST-220-CA (available at [www.tax.ny.gov](http://www.tax.ny.gov)). See: [https://www.tax.ny.gov/pdf/current\\_forms/st/st220ca\\_fill\\_in.pdf](https://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)
- A signed IRS W-9 form (available at [www.irs.gov](http://www.irs.gov)). See: <https://www.irs.gov/pub/irs-pdf/fw9.pdf>
- Certificate of Incorporation

#### **6. Statement of Qualification**

For Bid Facilities that apply to this RFP with a PSoQ, are awarded a contract and enter commercial operation, a Statement of Qualification (SoQ) must be applied for in NYGATS and must be granted by NYSERDA before payments under the RES Standard Form Agreement will be made. When applying for an SoQ through Operational Certification, the Proposer must submit information and documentation necessary for NYSERDA to verify that the Bid Facility has been constructed and has achieved commercial information. This information will allow NYSERDA to determine if a Bid Facility is operating as proposed. This information includes the installed generating capacity of the Bid Facility, the date under which it entered Commercial Operation, and any deviations from the as-proposed configuration and/or operations. Deviations in the capacity of the Bid Facility, configuration, and/or operations may result in contractual adjustments.

Once a facility receives an SoQ, NYSERDA will make payments for RECs properly transferred to NYSERDA under the terms in the RES Standard Form Agreement (Attachment I). REC payments will be based on monthly invoicing, in accordance with the terms of the RES Standard Form Agreement. More information on the Statement of Qualification process is available on NYSERDA's website.<sup>30</sup>

<sup>30</sup> For more information, please visit NYSERDA's NYGATS page on Certification: <https://www.nyserda.ny.gov/All-Programs/Programs/Clean-Energy-Standard/Renewable-Generators-and-Developers/RES-Tier-One-Eligibility/Certification>

### **XIII. BID DEPOSITS**

All Bid Deposits must be clearly labeled with a unique identifier comprised of the facility's NYGATS ID and the RFP Tracking Number, in the format: GENXXXXX\_RESRFP17-1 or PROXXXXX\_RESRFP17-1. Only facilities that have registered with and achieved approval from the NYGATS system are eligible to submit a Step One Threshold Eligibility Application package.

Bid Deposits provided via electronic wire deposit must have this unique identifier included within the Payment Details/ Description. Bid Deposits provided via cashier's check must have this unique identifier clearly labeled within the Memo or elsewhere on the check.

If the Proposer is submitting multiple Step One Threshold Eligibility Application Packages for more than one unit on the same meter, a separate Bid Deposit must be submitted for each unit, and the Bid Facility must be clearly identified on the payment method in addition to the unique identifier, e.g. Project Name, GENXXXXX\_RESRFP17-1 or PROXXXXX\_RESRFP17-1

#### Electronic Bid Deposit Instructions:

##### If paying via ACH:

Name of Bank: Bank of America  
For the Account of: NYSERDA MAC 30  
ABA #: 021000322  
Account #: 6010316543  
Description/reference: (NYGATS ID followed by RFP Tracking Number, e.g., GENXXXXX\_RESRFP17-1 or PROXXXXX\_RESRFP17-1

##### If paying via wire:

Name of Bank: Bank of America  
For the Account of: NYSERDA MAC 30  
ABA #: 026009593  
Account #: 6010316543  
Description/reference: (NYGATS ID followed by RFP Tracking Number, e.g., GENXXXXX\_RESRFP17-1 or PROXXXXX\_RESRFP17-1

##### If paying via Certified Funds:

If the Bid Deposit is provided via a cashier's check or other certified funds, the Bid Deposit must be clearly labeled with the facility's NYGATS ID followed by RFP Reference, e.g., GENXXXXX\_RESRFP17-1 or PROXXXXX\_RESRFP17-1, and sent to:

Joanne Sullivan, RESRFP17-1  
NYS Energy Research and Development Authority  
17 Columbia Circle  
Albany, NY 12203-6399



Return of Bid Deposit.

Bid Deposits will be refunded to Proposers who elect not to submit a Step Two Bid Proposal, or are deemed ineligible by NYSERDA to participate in Step Two. Bid Deposits will be refunded to Proposers whose Bid Proposals have not been selected for an award, if not before, immediately upon the expiration of the time during which the Bid Proposal remains an open offer.

Bid Deposits for Bid Facilities that have been deemed eligible to participate in both the NYSERDA and NYPA will be refunded to Proposers in full for Bid Facilities that properly exercise the unilateral option to withdraw described in Section VI.

Bid Deposits will be refunded to Proposers whose Bid Proposals have been selected by NYSERDA, upon execution of the RES Standard Form Agreement (Attachment I), and:

- 1) for Operating Facilities with a SoQ, upon (i) unless otherwise agreed by NYSERDA in writing, NYSERDA's receipt that a Forward Transfer of NYGATS Certificates has been created, and (ii) the first Tier 1 REC transfer to NYSERDA's designated account has occurred.
- 2) for not yet operational Facilities with a PSoQ, upon NYSERDA's receipt of Contract Security as described in Section XIII (3).

Bid Deposits will not be refunded if a facility is awarded a contract under RESRFP17-1 and Proposer fails to execute NYSERDA's RES Standard Form Agreement within a reasonable time following notification of an award.

## **XIV. SELECT PROVISIONS FROM RES STANDARD FORM AGREEMENT**

Some of the key terms and conditions that will be included in the agreement with proposals that receive an award are listed below. In the event of any inconsistency between the description in the RFP and the Agreement, the terms of the Agreement shall control. Capitalized terms may refer to terms defined in the Agreement (Proposer in RFP = Seller in Agreement).

### **DELIVERY REQUIREMENTS**

Section 3.01. Bid Facilities in the NYCA. The electricity associated with the Tier-1 Renewable Energy Certificates for Bid Facilities located within the New York Control Area must either be (1) delivered into a market administered by the NYISO for end-use in New York State, (2) delivered through a wholesale meter under the control of a utility, public authority or municipal electric company such that it can be measured, and such that consumption within New York State can be tracked and verified by such entity or by the NYISO; or (3) delivered through a Dedicated Generation Meter, in accordance with Section 2.10.

Section 3.02. External Bid Facilities. The electricity associated with the Tier-1 Renewable Energy Certificates for Bid Facilities in control areas adjacent to the New York Control Area shall be scheduled, transmitted, delivered to and settled in the NYISO energy market in each hour, and be accompanied with documentation of a unit-specific contract path between the Injection Point in the control area of origin to the Delivery Point in New York that includes the provision of transmission or transmission rights for delivering the generation via the NYISO using the North American Electric Reliability Corporation (NERC) tag fields Sending and Receiving Control Areas (CA) and Purchasing/Selling Entity (PSE) Name and Number. Compliance with this Delivery Requirement shall be verified by NYGATS which shall require an attestation from the importer that the information contained in the NYISO schedule is accurate and that the electricity associated with the import is being delivered solely from the selected resource. The Tier-1 Renewable Energy Certificates must follow the NYGATS Operating Rules for Unit-Specific Imports of Energy and Attributes under the Energy Scheduled and Delivered methodology. The number of Unit-Specific Import Certificates that will be created will be the lesser of the hourly energy schedule of the import, or the hourly meter reading of the Bid Facility.

Section 3.03. Bilateral Sales. Bilateral sales for electricity associated with the Quantity Obligation produced by the Bid Facility are permissible provided the Seller can demonstrate that the purchaser of the electricity associated with the Quantity Obligation is a New York State Load Serving Entity (LSE), or one or more New York State end-users.

## **PAYMENT**

Section 4.02. Payment. The amount payable in a given month shall be calculated as the lesser of: (1) the multiplicative product of (a) the Actual Eligible Production of the Bid Facility during the prior month; (b) the Bid Quantity Percentage; and (c) the Bid Price, and (2) the number of Tier-1 Renewable Energy Certificates Transferred into the NYSERDA NYGATS Account multiplied by the Bid Price. NYSERDA will not pay for Tier-1 Renewable Energy Certificates beyond one hundred and twenty percent (120%) of the Bid Quantity for any Contract Year.

Section 4.03. Prompt Payment Policy. NYSERDA will make payments to the Seller in accordance with and subject to its Prompt Payment Policy Statement, attached hereto as Exhibit C. Such payments shall be made by check or wire transfer to an account designated by the Seller. NYSERDA will not pay any invoice not accompanied by all information required in accordance with Section 6.01.

Section 4.04. Maximum Commitment/Limitation. The maximum number of Tier-1 Renewable Energy Certificates NYSERDA shall be obligated to purchase under this Agreement shall be equal to one hundred and twenty percent (120%) of the Bid Quantity multiplied by the number of years in the Contract Delivery Term.

## **ADJUSTMENTS**

Section 5.02. Other Adjustments. NYSERDA may adjust its contractual Payment obligations under this Agreement under the following circumstances:

- (a) NYSERDA may adjust amounts payable to Seller to reflect any costs borne by NYSERDA, if any, for participation in any renewable energy attribute accounting system operating in the Bid Facility's local control area, including all fees and charges, if any, for the delivery, registration and/or retirement of the attributes or certificates in such renewable energy attribute accounting system.
- (b) Should Seller fail to Transfer Tier-1 Renewable Energy Certificates to the NYSERDA NYGATS Account in a number at least 80% of the Bid Quantity for three (3) consecutive Contract Years, NYSERDA may at its option upon Notice to Seller, modify this Agreement by adjusting the Bid Quantity for the remainder of the Contract Delivery Term to equal the highest Actual Annual Eligible Production during any Contract Year over that three-year period multiplied by the Bid Quantity Percentage.
- (c) Should Seller fail to reasonably demonstrate that the total dollar amount of Incremental Economic Benefits having accrued to New York as a result of the development, construction, modification, and operation of the [Bid Facility/Upgrade from the Award Notification Date] through the end of the first three (3) Contract Years of operation (Verified Total Dollars), divided by Installed Bid Capacity, is at least 85% of Expected Total Dollars divided by the Bid Capacity, NYSERDA may

at its option upon Notice to Seller, modify this Agreement by reducing the Bid Price payable for the remainder of the Contract Delivery Term. Such reduction in the Bid Price will be made by an amount equal to the percentage shortfall between the Verified Total Dollars divided by the Installed Bid Capacity compared to the Expected Total Dollars divided by the Bid Capacity.

- (d) Should the Installed Bid Capacity differ from the Bid Capacity, Seller agrees that NYSERDA may at its option upon Notice to Seller modify the Contract by adjusting the Bid Quantity, Bid Quantity Percentage, or other relevant terms to reflect the Installed Bid Capacity.
- (e) For Bid Facilities that include Storage, should the Storage component not reach Commercial Operation with the proposed Storage capacity in MW on or before the Commercial Operation Milestone Date, NYSERDA may, upon Notice to Seller, reduce the Bid Price to an amount equal to \$\_\_\_\_\_ [a number to be agreed upon by the Parties and calculated by proportionately (installed Storage capacity/proposed Storage capacity) reducing any additional points awarded based on the Storage component in Step Two of the evaluation process and determining the Bid Price that would have been necessary to maintain the Bid Proposal's initial ranking].

## **ECONOMIC BENEFITS REPORT**

Section 6.03. Economic Benefits Report. Within sixty (60) days of the third anniversary of the commencement of the Contract Delivery Term, Seller shall submit an economic benefits report prepared by a New York State certified, independent certified public accountant, demonstrating the actual Incremental Economic Benefits that resulted from the construction and operation of the Bid Facility. To fulfill this requirement, the Seller's independent certified public accountant will be required to prepare an "agreed upon procedures" report in accordance with the procedures outlined in the Economic Benefits Audit Protocol and Economic Benefits Verification Standards that were released with the Step One Notice of Qualification provided to Seller. The Economic Benefits Audit Protocol will serve as a requirements document to guide the independent audit, allowing auditors to understand the process they are asked to perform. The Economic Benefits Verification Standards will define valid expense claims and standardize submission and documentation processes and best practices. The audit will verify the economic benefits created by the Bid Facility under the categories and within the eligibility requirements listed in RESRFP17-1. The Economic Benefits Report will be funded at the Seller's expense.

## **CONTRACT SECURITY; COMMERCIAL OPERATION MILESTONE DATE; SELLER EXTENSION OF THE MILESTONE DATES**

Commercial Operation Milestone Date: The Commercial Operation Milestone Date shall be November 30, 2019. The Commercial Operation Milestone Date may be extended (see Article II, Purchase and Sale of Rights to Tier-1 Renewable Energy Certificate, Section 2.07 and Article XV, Contract Security).

Section 15.01. Seller shall provide to NYSERDA Contract Security, in the form of cash, certified funds, or a Letter of Credit conforming to the requirements according to the following schedule and conditions:

- (a) Within ten (10) Business Days of the Award Notification Date, unless otherwise agreed to by NYSERDA, Seller must provide Contract Security in an amount equal to the product of (1) Bid Quantity and (2) nine dollars (\$9.00) [plus any amount pledged by Seller as a part of a RESRFP17-1 Step Two Bid Proposal]. **NYSERDA may rescind and cancel the award to Proposer/Seller under RESRFP17-1 should Seller fail to provide Contract Security within such 10-day period;**
- (b) On or before November 30, 2018, Seller must provide additional Contract Security in an amount equal to the product of (1) Bid Quantity and (2) six dollars (\$6.00). **Failure to provide the additional Contract Security by November 30, 2018 will constitute a default and may result in termination of this Agreement.**

Section 15.02. Extension of Commercial Operation Milestone Date. Seller may elect to extend the Commercial Operation Milestone Date as follows:

- (a) On or before October 30, 2019, Seller may elect to extend the Commercial Operation Milestone Date from November 30, 2019 to May 31, 2020 by providing to NYSERDA, in addition to the amounts provided under Section 15.01 (a) and (b), Contract Security in an amount equal to the product of (1) Bid Quantity and (2) two dollars (\$2.00);
- (b) On or before April 30, 2020, Seller may elect to extend the Commercial Operation Milestone Date from May 31, 2020 to November 30, 2020 by providing to NYSERDA, in addition to the amounts provided under Section 15.01 (a) and (b) and 15.02 (a), Contract Security in an amount equal to the product of (1) Bid Quantity and (2) two dollars (\$2.00);
- (c) On or before October 30, 2020, Seller may elect to extend the Commercial Operation Milestone Date from November 30, 2020 to May 31, 2021 by providing to NYSERDA, in addition to the amounts provided under Section 15.01 (a) and (b) and 15.02 (a) and (b), Contract Security in an amount equal to the product of (1) Bid Quantity and (2) two dollars (\$2.00);

- (d) On or before April 30, 2021, Seller may elect to extend the Commercial Operation Milestone Date from May 31, 2021 to November 30, 2021 by providing to NYSERDA, in addition to the amounts provided under Section 15.01 (a) and (b) and 15.02 (a), (b) and (c), Contract Security in an amount equal to the product of (1) Bid Quantity and (2) two dollars (\$2.00).

Section 15.03. Executed Interconnection Agreement. In lieu of Contract Security seller may provide under Section 15.02(c) and/or (d), Seller may extend the Commercial Operation Milestone Date from November 30, 2020 to November 30, 2021 by providing to NYSERDA proof that an interconnection agreement has been entered into by the NYISO or its counterpart in an adjacent control area, the Connecting Transmission Owner, and the Seller or a legal representative of the Seller. Bid Facilities seeking to satisfy the electricity delivery requirement through options 2 or 3 of Section 3.01 may provide proof that a comparable interconnection agreement has been entered into with all the necessary sites, service providers and parties that will be enable and permit the transmission of the energy from the Bid Facility to the point of its consumption.

## **REFUND/RETENTION OF CONTRACT SECURITY**

Section 15.06. Refund of Security. Amounts provided by Seller as Contract Security will be refunded to Seller by NYSERDA as follows:

- (a) In their entirety, upon the achievement by the Bid Facility of an SoQ (Operational Certification) if the Installed Bid Capacity is equal to or greater than the Bid Capacity.
- (b) At a prorated amount, upon the achievement by the Bid Facility of an SoQ (Operational Certification), if the Installed Bid Capacity is less than the Bid Capacity. Such amount that will be refunded, expressed as a percentage of the total Contract Security, will be equal to the Installed Bid Capacity divided by the Bid Capacity.

Section 15.07. Retention of Security. Amounts provided by Seller as Contract Security will be retained by NYSERDA as follows:

- (a) In their entirety if Seller fails to provide to NYSERDA, on or before November 30, 2018, Contract Security in the amount required under Section 15.01(b), above.
- (b) At a prorated amount if the Installed Bid Capacity is less than the Bid Capacity. Such amount that will be retained, expressed as a percentage of the total Contract Security, will be equal to the Bid Capacity minus the Installed Bid Capacity divided by the Bid Capacity.

## PERMITS/APPROVALS

Section 17.04. Permits and Approvals. The Seller shall be responsible to obtain all applicable permits and regulatory approvals that may be required in order to develop and/or operate the Bid Facility over the duration of the Contract Delivery Term. Neither the RES Program nor selection under RESRFP17-1 in any way replaces or modifies the necessity or applicability of any permit or approval process including SEQRA by any jurisdiction. NYSERDA's obligations to make payments to Seller are conditional on the acquisition by Seller of all such permits and approvals. Upon request by NYSERDA Seller must demonstrate such acquisition and/or provide copies of all permits and approvals acquired. Seller shall provide prompt Notice to NYSERDA of the initiation of any criminal or regulatory investigation, hearing, proceeding, or review process ("Process") by any federal or State entity regarding any actual or alleged violation of any permit or approval obtained or applied for with respect to the Bid Facility, as well as of any modification, penalty and/or fine that may be imposed or occur as a result of such a Process or violation. Upon the filing by Seller of an Article 10 Application, Seller shall promptly notify NYSERDA and shall comply with any restrictions NYSERDA may impose regarding communication with NYSERDA staff.

## XV. GENERAL CONDITIONS

### A. Proprietary Information

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

### B. State Finance Law Sections 139-j and 139-k

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

Threshold Eligibility Application form (Attachment B) calls for a signature certifying that the Proposer will comply with State Finance Law sections 139-j and 139-k and a disclosure statement regarding whether the Proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years.

### **C. Tax Law Section 5-a**

NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf)). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department. The Department has created a second form that must be completed by a prospective contractor prior to contacting and filed with NYSERDA. See, ST-220-CA (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220ca\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

### **D. Omnibus Procurement Act of 1992**

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

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

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

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

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



## **E. Disclosure Requirement**

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

## **F. Confidentiality**

NYSERDA is subject to and must comply with the requirements of New York's Freedom of Information Law ("FOIL;" see Public Officers' Law Article 6). Information in any tangible form including any document that Proposer wishes to be protected from disclosure to third parties, including any information provided as a part of a Bid Proposal Package, must be marked "Confidential" or "Proprietary" at the time such information is provided to NYSERDA.

The FOIL Law (Public Officers Law § 87(2)(d)) provides an exception to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." If NYSERDA receives a request from a third party for information or a document received from Seller and which has been marked "Confidential" or "Proprietary," NYSERDA will process such request under the procedures provided by NYSERDA's FOIL regulations (email [foil@nyserda.ny.gov](mailto:foil@nyserda.ny.gov) for additional information).

## **XVI. LIST OF ATTACHMENTS**

Appendix 1 – Incremental Economic Benefits Appendix  
Appendix 2 – Project Viability Appendix  
Appendix 3 – Operational Flexibility and Peak Coincidence Appendix  
Appendix 4 – NYSERDA and NYPA Frequently Asked Questions

Attachment A – Instructions for Electronic Submission of the Threshold Eligibility Application  
Attachment B – Threshold Eligibility Application Form  
Attachment C – Summary Description of Control Status by Parcel  
Attachment D – Environmental Assessment Form  
Attachment E – List of Required Permits  
Attachment F – List of Project Development Experience  
Attachment G – List of Project Financing Experience  
Attachment H – Project Schedule Form  
Attachment I – RES Standard Form Agreement  
    Exhibit A – Standard Terms and Conditions for all NYSERDA Agreements  
    Exhibit B – Letter of Credit  
    Exhibit C – Prompt Payment Policy Statement  
    Exhibit D – Requirements for Biomass-Fueled Bid Facilities

**APPENDIX 1 – INCREMENTAL ECONOMIC BENEFITS APPENDIX**

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## **INTRODUCTION**

The Bid Proposal evaluation process for RES Tier 1 REC solicitations includes the application of an Incremental Economic Benefits evaluation that makes up 10% (10 points) of the overall Step Two scoring as described in Section XII(2) Incremental Economic Benefits of the RFP. The inclusion of the Incremental Economic Benefits evaluation reflects the importance of positive impacts of the RES procurements on New York's economy. The Incremental Economic Benefits criterion employed in this RFP is intended to differentiate bids based on their effectiveness at meeting this objective.

As a part of Step Two, Proposers will be invited to demonstrate all the necessary information and documentation to evaluate the Bid Facility for its contribution to each category. NYSERDA may request additional documentation as a part of its review of Step Two Bid Proposals.

Incremental Economic Benefits are those that a Proposer can demonstrate: (1) will accrue after an award from this RFP, and (2) would not have accrued but for the award of a contract under this RFP. Only those Incremental Economic Benefits falling within the categories defined below will be considered, and in no instance, will NYSERDA or its Technical Evaluation Panel (TEP) consider any indirect benefits or those created by any "multiplier effect" or other attribution method under which the creation of peripheral spending and jobs might be credited to direct capital infused into the economy. Proposers are not permitted to apply escalation rates or cost of living adjustments.

Incremental economic benefits previously claimed with respect to a Bid Facility that is subject to a pending award under a previous solicitation or that is the subject of a current NYSERDA RPS or RES Standard Form Agreement are not eligible for evaluation.

As described in Section XIV of the RFP, independent verification of the actual Incremental Economic Benefits of the Bid Facility, and comparison to the level of claimed Incremental Economic Benefits (Expected Total Dollars), will be required after the end of the first three years of the Contract Delivery Term where the Bidder will submit an economic benefits report prepared by a New York State certified, independent certified public accountant, demonstrating the actual Incremental Economic Benefits that resulted from the construction and operation of the Bid Facility under the categories and within the eligibility requirements listed in the RFP. The Economic Benefits Report will be funded at the Bidder's expense. Should the Bidder fail to reasonably demonstrate that the total dollar amount of Incremental Economic Benefits divided by Installed Bid Capacity, is at least 85% of Expected Total Dollars divided by the Bid Capacity, NYSERDA may at its option upon Notice to Seller, modify the Agreement by reducing the Bid Price payable for the remainder of the Contract Delivery Term.

## INCREMENTAL ECONOMIC BENEFITS CATEGORIES

The total of 10 points for Incremental Economic Benefits has been distributed among four categories. The Proposer will provide the Expected Total Dollars for each category; the Expected Total Dollars will then be divided by the Bid Capacity of the Bid Facility for TEP evaluation purposes only.

The following table lists the Incremental Economic Benefits categories and the points available in each.

	Category	Maximum Points Awarded
1	Long-Term New York State Jobs	3.0
2	Payments/Benefits to New York State and/or its Municipalities	2.7
3	Payments for Renewable Fuels and Resource Access	2.3
4	In-State Purchases, Consumption of Goods, and Short-term Employment	2.0

The remainder of this Appendix will present the individual informational components of each of the four evaluation categories that make up the Incremental Economic Benefits criterion.

Additional information and instructions may be provided to each Proposer with the Notice of Qualification inviting the Proposer to submit a Step Two Bid Proposal.

### **CATEGORY 1: LONG-TERM NEW YORK STATE JOBS**

Describe the degree to which the operation of the Bid Facility will directly create (add) long term jobs (jobs lasting more than 3 years) in New York. Examples of such jobs include, but are not limited to, those associated with operations and maintenance, plant management, or similar. List and describe the type of jobs including the position title, specific role and responsibilities, and the expected duration of such jobs. Provide the number of jobs, in Full Time Equivalents (FTEs), and the expected average annual salary/and or total compensation and direct benefits (excluding overhead for normal operations) for all jobs. Provide expected total dollars for compensation/salaries and benefits from the Award Notification Date through the end of the first three (3) Contract Years of operation (Expected Total Dollars).

### **CATEGORY 2: PAYMENTS/BENEFITS TO NEW YORK STATE AND/OR ITS MUNICIPALITIES**

Describe the degree to which the operation of the Bid Facility will provide new or increased local property tax revenues to school districts, cities, towns or other taxing jurisdictions in New York, or alternatively, Payments in Lieu of Taxes (PILOT) or other

alternative taxing mechanisms and forms of compensation. List and describe separately all tax payment, PILOT arrangements and/or “host” community payment agreements with all affected New York jurisdictions. All other taxes, including New York State sales taxes and local sales taxes, paid by Seller are eligible only under Category 4. Provide expected total dollars paid to all taxing jurisdictions and municipal entities from the Award Notification Date through end of the first three (3) Contract Years of operation (Expected Total Dollars).

### **CATEGORY 3: PAYMENTS FOR RENEWABLE FUELS AND RESOURCE ACCESS**

Describe the degree to which the operation of the Bid Facility will provide royalties, production-based payments, land lease or land use payments or other forms of compensation, associated with securing rights to or directly acquiring fuel or access to wind resources for the Bid Facility (e.g., wind, biomass, biogas). Examples include payments for leases of land in New York, payments associated with the production of electricity, fuel purchases of biomass sourced or harvested in New York, and purchases for landfill gas produced in New York. Payments for non-renewable fuels such as natural gas are not eligible for consideration in this category or any Economic Benefits category. Provide total dollars expected to be paid from the Award Notification Date through the end of the first three (3) Contract Years of operation (Expected Total Dollars).

### **CATEGORY 4: IN-STATE PURCHASES, CONSUMPTION OF GOODS, AND SHORT-TERM EMPLOYMENT**

Describe the degree to which local and state economic activity will increase as a result of:

- a) the purchase and consumption of local goods and services by non-NY-resident workers, such as, but not limited to, food, lodging, vehicles, equipment, fuel, and/or
- b) the purchase of materials sourced from within New York such as, but not limited to, gravel, steel, concrete and similar materials and/or the purchase and use of equipment and products manufactured or assembled within New York and/or the use of rental equipment or similar supplies sourced from within New York. Wind turbine components not manufactured within New York State will not be considered and should not be included, and/or
- c) ongoing operations and maintenance expenses which are anticipated through the first three (3) years of Commercial Operation, and/or
- d) employment of New York workers on a short-term basis (less than 3 years). Illustrative examples include direct employment of NYS construction, rail and port workers, contractors and laborers, engineering or environmental service providers, consultants, financial service advisors, and legal service providers associated with the development and construction/modification of the Bid Facility. List and describe the type of jobs and the expected duration of such jobs. Provide the number of jobs, in Full Time Equivalents (FTEs), and the expected average annual salary and benefits for all jobs. Provide expected total dollars for salaries and benefits through the first three (3) Contract Years of operation.

List each type of purchase, service, or employment that will be used and provide total dollars, including New York State and local sales taxes, expected to be spent on all the purchases, consumption of local/in-state goods, or short-term employment from this category from the Award Notification Date through the end of the first three (3) Contract Years of operation (Expected Total Dollars).

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## INTRODUCTION

The Bid Proposal evaluation process for RES Tier 1 REC solicitations includes the application of a Project Viability evaluation criterion that makes up 10% (10 points) of the Step Two scoring as described in Section XII(2), Project Viability of the RFP. The inclusion of the Project Viability evaluation reflects the importance of project feasibility and ultimate project completion toward meeting the RES procurement goals. Proposers will initially submit information and attachments with their Step One Threshold Eligibility Application Packages that will confirm that the Bid Facility meets the required Minimum Threshold Eligibility Criteria, though Proposers may include with their Step One application documentation that they have exceeded the Minimum Threshold Eligibility Criteria in any of the categories (see RESRFP17-1 Section IX).

**If the progress by a Bid Facility exceeds the minimum threshold in any category, documentation as to the additional level of progress achieved should be provided by the Proposer in Step One.**<sup>31</sup> As a part of Step Two, Proposers will be invited to demonstrate that they have exceeded the required Minimum Threshold Eligibility Criteria, including but not limited to any additional progress made between the submittal dates for Steps One and Two.

As a part of the Step Two evaluation, the Technical Evaluation Panel (TEP) will award additional points to generation facilities that have demonstrably exceeded the Minimum Threshold Eligibility Criteria under the individual Project Viability categories described below. Projects achieving only the Minimum Threshold Eligibility Criteria will receive no points for Project Viability.

NYSERDA may request additional documentation as a part of its review of Step One Application Packages, Step Two Bid Proposals or both.

## PROJECT VIABILITY CATEGORIES

The total of 10 points for Project Viability has been distributed among seven categories. For Categories 1 through 6, each Bid Proposal will be eligible for the maximum points available in that category, depending on the extent to which it exceeds the Minimum Eligibility Thresholds. For Category 7, points will be awarded in a manner proportionate to the amount of additional Contract Security pledged as compared to all other Bid Proposals.

<sup>31</sup> For example, under Category 3, Permitting Progress, for a Bid Facility subject to Article 10, the documentation required to demonstrate achievement of the minimum threshold consists of a draft Public Involvement Program Plan (PIP). If a PIP has, in fact, been filed, attach a copy of the PIP that was filed. The filed PIP will satisfy the Minimum Eligibility Threshold and will also be considered as a part of the Project Viability evaluation in Step Two.

The following table lists the Project Viability categories and the points available in each:

	Category	Maximum Points Awarded
1	Site Control	2.0
2	Interconnection	2.0
3	Permitting	2.0
4	Project Development	1.0
5	Project Finance	1.0
6	Resource Assessment	1.0
7	Contract Security Above the Minimum	1.0

The remainder of this Appendix will present the individual informational components of each of the seven evaluation categories that make up the Project Viability criterion. **The tables shown below provide relevant details on descending levels of progress within each category.**

Additional information and instructions may be provided to each Proposer with the Notice of Qualification inviting the Proposer to submit a Step Two Bid Proposal.

### **CATEGORY 1: SITE CONTROL**

The Site Control evaluation category has two subcategories: Generation Facility Site Control, and Interconnection Right-of-Way (ROW) Site Control.

The Minimum Eligibility Thresholds for Site Control are described in Section IX(2) of RESRFP17-1. They require that the Proposer have entered *an exclusivity agreement or letter of intent* with the site owner(s) for percentages of the site (depending on site size) and the Interconnection Right-of-Way.

Under Step Two, Generation Facility Site Control will be evaluated according to the proportion of the total land area where the Bid Facility and interconnection facilities are or will be sited that the Proposer has under its control through *ownership, executed lease or executed binding option for ownership or lease*.<sup>32</sup>

<sup>32</sup> Note that the Minimum Threshold Eligibility Criteria require the existence of exclusivity agreements or letters of intent. In order to receive additional points under Step Two, Proposers will be required to have ownership interests or lease agreements enforceable by the Proposer without further material agreement with the owner(s).

The Project Viability evaluation will award additional points based on the demonstration of additional site ownership or control. Proposed Bid Facilities that are currently in operation will receive maximum points awarded for this category.

**CATEGORY 1.A: GENERATION FACILITY SITE CONTROL**

Generation Facility Site Control Criterion		
Measure of Generator Site Control	Percent of Site Controlled (as a % of total parcel area)	Maximum Points Awarded
Own, executed lease for, or executed binding option for a parcel	100%	1.50
Own, executed lease for, or executed binding option for a parcel	75%	1.25
Own, executed lease for, or executed binding option for a parcel	50%	1.00
Own, executed lease for, or executed binding option for a parcel	25%	0.50

**CATEGORY 1.B: INTERCONNECTION RIGHT-OF-WAY CONTROL**

Interconnection right-of-way (ROW) control will be evaluated and awarded points under Step Two by the level of progress toward ROW control that the Proposer has achieved through either *ownership, executed lease, executed option, or by virtue of the interconnection ROW being controlled by or assignable to the interconnecting utility* that will own interconnection facilities. Proposed Bid Facilities that are currently in operation will receive maximum points awarded for this category.

Interconnection ROW Control Criterion	Maximum Points Awarded
100% of total area is either (i) owned, or under executed lease or executed binding option by the Proposer, <b>or</b> (ii) controlled by or assignable to the interconnecting utility that will own interconnection facilities	0.50
50 % of total area is either (i) owned, or under executed lease or executed binding option by the Proposer, <b>or</b> (ii) controlled by or assignable to the interconnecting utility that will own interconnection facilities	0.25

## **SUPPORTING EVIDENCE DOCUMENTATION REQUIRED FOR SITE CONTROL**

Unless the Bid Facility is currently in operation, the Proposer may demonstrate that it has exceeded the Minimum Threshold Eligibility Criteria for Generation Facility and ROW Site Control by providing updated site control maps and summary descriptions by parcel, demonstrating the percentage of the site controlled.

## **CATEGORY 2: INTERCONNECTION**

Proposer demonstration of progress toward generation facility interconnection (IC) differs based on the size of the generation facility and the jurisdictional authorities governing the interconnection (i.e., FERC, a regional transmission operator,<sup>33</sup> a state agency, or a non-US agency).

The Minimum Eligibility Thresholds for Interconnection are described in Section IX(2) of RESRFP17-1.

The following two tables present the criteria that will be used to evaluate interconnection progress in excess of the Minimum Eligibility Threshold. The first table is relevant to most grid-connected generators in the United States and the second table is relevant to Canadian generators, generators not in other categories, and eligible behind-the-meter (BTM) generators.

The Project Viability evaluation will award additional points based on the demonstration of progress in the interconnection process; Bid Facilities in operation or those with executed interconnection (IC) agreements will be awarded the maximum points available for this category.

<sup>33</sup> New York Independent System Operator (NYISO) or adjacent RTOs that include New England Independent System Operator (NE-ISO), PJM.

*Grid-Connected Generators (U.S.)*

Large Generator (>20 MW) NYISO or similar IC Authority in Adj. U.S. Control Area <sup>34</sup>	Small Generator (up to 20 MW) NYISO or similar IC Authority in Adj. U.S. Control Area <sup>35</sup>	Small Generator Non-FERC Interconnection <sup>36</sup>	Maximum Points Awarded
Operating/interconnected, or executed IC agreement or equivalent relevant to scale and jurisdictional requirements			2.0
Evidence provided that Facilities Study is complete and Proposer has accepted the Cost Allocation, or equivalent evidence of progress	Evidence provided that the utility company has completed the Coordinated Electric System Interconnection Review (CESIR), or equivalent evidence of progress		1.6
Evidence provided that Feasibility Study and System Impact Study (SIS) (or equivalent) are complete. Documentation of agreement with ISO has been reached to forego either of these, if relevant	[no process equivalent, n/a]		1.2
Evidence provided that Feasibility Study (or equivalent) is complete	Evidence provided that utility has provided at least a Preliminary Analysis Report (or equivalent) that indicates the project is feasible including cost estimate for any required upgrades		0.6

<sup>34</sup> FERC Jurisdiction, Large Generator Interconnection

<sup>35</sup> FERC Jurisdiction, Small Generator Interconnection, inclusive of 2 MW Fast Track

<sup>36</sup> Connecting Transmission Owner (CTO) Interconnection under state jurisdiction (typically utility distribution less than 5MW).

*Canadian Generators, Generators Not in Other Categories, Eligible BTM Generators*

<b>Ontario &amp; Quebec; Generators not in another category</b>	<b>Behind-the-Meter Generators (if eligible)</b>	<b>Maximum Points Awarded</b>
Operating, interconnected, or has secured Ontario Energy Board Leave to Construct or a Generator License or equivalent.	Operating/interconnected.	2.0
Evidence provided that facilities study or equivalent is complete and Proposer has accepted the cost allocation	Formal determination from the interconnecting utility resulting from a completed feasibility study that IC is permissible	1.6
Evidence provided that feasibility study and System Impact Study (SIS) (or equivalent) are complete. Documentation of agreement with IC authority has been reached to forego either of these, if relevant	Determination from the interconnecting utility that IC is feasible but that further study is necessary	1.2
Evidence provided that System Feasibility Impact Study (for IESO) (or equivalent) is complete	Informal determination from the interconnecting utility that IC is feasible	0.6

## SUPPORTING EVIDENCE DOCUMENTATION REQUIRED FOR INTERCONNECTION

The Proposer may demonstrate that it has exceeded the Minimum Threshold Eligibility Criteria for Interconnection by providing the following documents with either its Step One Minimum Threshold Eligibility Application (preferred) or its Step Two Bid Proposal:

- A brief narrative summary of IC status including (but not limited to) stage of IC process completed (with applicable dates) and underway (with expected dates), IC authority, and if applicable, queue numbers.
- Copies of associated agreements or other evidence supporting the claimed level of progress as listed in the tables above.

### CATEGORY 3: PERMITTING

The Minimum Eligibility Thresholds for Permitting are described in Section IX(2) of RESRFP17-1.

The following two tables present the criteria necessary to evaluate permitting progress in excess of the Minimum Eligibility Thresholds. The first table covers informational requirements for wind, ground mounted solar, biomass, biogas, hydroelectric, and generators in other jurisdictions. The second table covers informational requirements for building mounted solar, fuel cells, and ocean and tidal energy facilities.

The Step Two Project Viability evaluation will award additional points based on the level of progress in the permitting process; projects in operation or those that have acquired all non-ministerial necessary permits and approvals will be awarded the maximum points available for this category.

#### *Wind, Ground-Mounted Solar, Biomass/Biogas, Hydro*

Hydroelectric in U.S. Jurisdictions <sup>37</sup>	Wind, Ground-Mounted Solar in NY	Biomass / Biogas in NY	Wind, Ground-Mounted Solar, Biomass or Biogas Requirements for Jurisdictions other than NY, and Canadian Hydroelectric	Maximum Points Awarded
Bid Facility is already operating, has permission to operate or has secured all non-ministerial permits.				2.0

<sup>37</sup> This approach does not reduce points for hydro licenses that may expire during the proposed contract term.

Hydroelectric in U.S. Jurisdictions <sup>37</sup>	Wind, Ground-Mounted Solar in NY	Biomass / Biogas in NY	Wind, Ground-Mounted Solar, Biomass or Biogas Requirements for Jurisdictions other than NY, and Canadian Hydroelectric	Maximum Points Awarded
Draft application including Exhibit E (Environmental Report) or Preliminary licensing proposal submitted	All requirements under State Environmental Quality Review Act (SEQRA) fully defined or fulfilled. Letter of negative declaration or conditional negative declaration from lead agency; or final Environmental Impact Statement (EIS) accepted. If applicable, provide documentation that Article 10 hearing has been conducted.		All requirements for environmental approval defined or fulfilled (e.g. Environmental Compliance Approval [ECA] or Environmental Activity and Sector Registry [EASR] registration in Ontario; Environmental Quality Act [EQA] assessment in Quebec)	1.6
Provide Environmental Impact Study Plan	Letter or signed approval form demonstrating that Local Zoning/ Ordinance requirements (such as Special Use/ Conditional Use Permit [SUP/CUP] or Permit by Rule [PBR] satisfied	Letter or signed approval form demonstrating that Local Zoning/ Ordinance requirements (such as CUP/SUP/PBR) satisfied. Draft Air Permit issued for review by New York State Department of Environmental Conservation (DEC) or equivalent authority	Local Zoning/Ordinance requirements satisfied (e.g. confirmation / comment letters from Ministry of Natural Resources [MNR] and Ministry of Tourism, Culture and Sport [MTCS] [ON] obtained)	1.2



Hydroelectric in U.S. Jurisdictions <sup>37</sup>	Wind, Ground-Mounted Solar in NY	Biomass / Biogas in NY	Wind, Ground-Mounted Solar, Biomass or Biogas Requirements for Jurisdictions other than NY, and Canadian Hydroelectric	Maximum Points Awarded
Evidence that FERC licensing process has been initiated and notice of intent filed	Documentation that local zoning process underway demonstrated by initial applications and preliminary documents having been submitted. If applicable, evidence that the Lead Agency for SEQRA process identified and engaged. If applicable, evidence that Article 10 public involvement plan (PIP) has been submitted.			0.4

*Building Mounted Solar, Fuel Cells, Ocean and Tidal, All Jurisdictions*

Building-Mounted Solar	Fuel Cells	Ocean & Tidal <sup>38</sup>	Maximum Points Awarded
Operating or has secured all permits	Operating or has secured all permits	Bid Facility is already operating, has permission to operate or has secured all non-ministerial permits.	2.0
In addition to meeting all requirements below, all other ministerial permit applications submitted consistent with list provided in threshold eligibility requirements	In addition to meeting all requirements below, all other ministerial permit applications, and air permit application, submitted consistent with list provided in the threshold eligibility requirements	All requirements for environmental approval defined or fulfilled (e.g. ECA or EASR registration in Ontario; EQA assessment in Quebec)	1.6

<sup>38</sup> To meet the “Key environmental & siting permit needed to proceed with the project is complete” scoring level, facilities must demonstrate that all FERC and state environmental/siting permits are complete and all other non-ministerial environmental/siting documents are approved or under final review. The key environmental/siting permits are those that are necessary for construction of the Bid Facility to proceed. To demonstrate that other documents are approved or under final review, the Proposer must identify all necessary permits and the status associated with their review and approval.

Building-Mounted Solar	Fuel Cells	Ocean & Tidal <sup>38</sup>	Maximum Points Awarded
Copy of construction permit issued by local jurisdictional authority	Copy of construction permit issued by local jurisdictional authority. For projects requiring zoning applications, letter or signed approval form demonstrating that local zoning/ ordinance requirements satisfied.	Evidence that the key environmental & siting permit needed to proceed with the project is complete	1.2
Construction permit application submitted	Construction permit application submitted	Evidence that the permitting process has started (i.e. key permit application submitted)	0.4

#### **SUPPORTING EVIDENCE DOCUMENTATION REQUIRED FOR PERMITTING**

The Proposer may demonstrate that it has exceeded the Minimum Threshold Eligibility Criteria for Permitting by providing the following documents with either its Step One Minimum Threshold Eligibility Application (preferred) or its Step Two Bid Proposal:

- List of permits and approvals and evidence supporting level of progress (e.g. letters, permits) as described in the tables above.

#### **CATEGORY 4: PROJECT DEVELOPMENT**

The Minimum Eligibility Thresholds for Project Development are described in Section IX(2) of RESRFP17-1.

The bidding company or the principals in its development team will be evaluated according to the extent of their prior experience in successfully developing similar projects.

The Step Two Project Viability evaluation will award additional points based on the level of Project Development experience demonstrated; proposals that demonstrate the development of two or more facilities of comparable scale<sup>39</sup> and similar technology,<sup>40</sup> at least one of which is in the state in which the Bid Facility is located, will be awarded the maximum points available for this category. Proposed Bid Facilities that are currently in operation will receive maximum points awarded for this category.

<sup>39</sup> Comparable scale is 50% or more of the proposed capacity.

<sup>40</sup> Similar technology is the same resource and prime mover, e.g. solar, wind. It is not meant to distinguish between different solar technologies, for example.

Developer / Corporate Experience <sup>41 42</sup>	Maximum Points Awarded
Have developed two or more facilities of comparable scale <sup>39</sup> and similar technology <sup>40</sup> , at least one of which is in the state in which the facility is located.	1.0
Have developed two or more facilities of comparable scale <sup>39</sup> and similar technology <sup>40</sup> , or one or more facilities of comparable scale <sup>39</sup> and similar technology <sup>40</sup> in the state in which the facility is located.	0.8
Have developed one or more facility of similar technology <sup>40</sup> and comparable scale <sup>39</sup> , or two or more facilities of any renewable energy technology of comparable scale <sup>39</sup>	0.6
Have developed two or more facilities of any renewable energy technology of similar or larger scale <sup>43</sup>	0.4
Have developed one or more facilities of any renewable energy technology of similar or larger scale <sup>43</sup> , or with renewable energy projects which in aggregate are of equal total capacity	0.2

## SUPPORTING EVIDENCE DOCUMENTATION REQUIRED FOR PROJECT DEVELOPMENT

Unless the Bid Facility is currently in operation, the Proposer may demonstrate that it has exceeded the Minimum Threshold Eligibility Criteria for Project Development by providing the following documents with its either its Step One Minimum Threshold Eligibility Application (preferred) or Step Two Bid Proposal:

- List of specific projects successfully developed, specifying the nameplate capacity, technology<sup>44</sup>, commercial operation date (COD), and location

<sup>41</sup> The bidding company or the principals in its development team must have the required experience successfully developing projects as indicated in this table. Experience of vendors or contractors to the bidding company or the principals in its development team **do not count** towards this experience requirement.

<sup>42</sup> If the Proposer is proposing a Bid Facility with a combination of generation and energy storage; for such a proposal to receive any points above the minimum threshold, the Proposer must also demonstrate its level of experience in developing at least one energy storage system of similar or larger scale using the same technology a proposed. The Proposer’s experience with energy storage will be evaluated on the same scale as shown on the table, by replacing renewable energy technology, wherever it appears, with energy storage using a similar technology.

<sup>43</sup> ‘Similar scale’ is defined as follows: A project of at least 33% of the proposed Bid Facility capacity; or A project of at least 10% of the proposed Bid Facility capacity if the Proposer has also successfully completed the same interconnection process as required for the Bid Facility.

<sup>44</sup> Categorized by resource and prime mover, e.g. solar; e.g., wind. Not meant to distinguish between different solar technologies, for example.

supporting the claimed scoring level; for each project, identify whose experience is being claimed (e.g., corporate or specific individual that is a Proposer principal).

**CATEGORY 5: PROJECT FINANCE**

The Minimum Eligibility Thresholds for Project Finance are described in Section IX(2) of RESRFP17-1.

Proposals will be evaluated according to the level project financing experience of the Proposer, a Proposer’s affiliate, or certain Proposer’s principals, and the level of progress with respect to developing and implementing an energy and capacity market commodity revenue hedging plan, as described in the two tables below.

**CATEGORY 5.A: FINANCING EXPERIENCE**

Experience of the Proposer, the Proposer’s affiliate, or a senior executive or finance professional who is a principal of the Proposer <sup>45</sup> in financing projects <sup>46</sup>	Maximum Points Awarded
(i) The proposed Bid Facility is operating, or (ii) Evidence that the entirety of the proposed Bid Facility has been financed and is under construction <sup>47</sup> , or (iii) Evidence to demonstrate that project financing for 100% of installed cost has been secured either through a specific “balance sheet” financing commitment or project financing, without contingencies other than award of a NYSERDA contract, interconnection approval and receipt of all necessary permits	0.5
Have financed at least 3 projects of at least the same capacity (MW) and similar technology <sup>48</sup>	0.38
Have financed at least 2 projects of at least the same capacity (MW) and similar technology <sup>48</sup> <b>OR</b> at least 3 renewable energy projects of at least the same capacity (MW)	0.25

<sup>45</sup> Experience of vendors or contractors to the bidding company or the principals in its development team **do not count towards this experience requirement.**

<sup>46</sup> If the Proposer is proposing a Bid Facility with a combination of generation and energy storage; for such a proposal to receive any points above the minimum threshold, the Proposer must also demonstrate that it has experience in financing at least one energy storage system of similar or larger scale using the same technology.

<sup>47</sup> For projects described as ‘under construction’, Proposers must provide evidence of authorization to proceed, or similar, for an EPC contract, or a major equipment purchase or similar material non-refundable capital commitment to constructing the project. A project qualifying for federal tax credits based on IRS begun construction thresholds or safe harbors will not qualify to be considered ‘under construction’ for this purpose solely by virtue of meeting associated IRS thresholds for PTC or ITC qualification, although activity to meet such qualification may be provided as contributing evidence.

<sup>48</sup> Same resource and prime mover, e.g. solar; e.g., wind. Not meant to distinguish between different solar technologies, for example.

Experience of the Proposer, the Proposer’s affiliate, or a senior executive or finance professional who is a principal of the Proposer <sup>45</sup> in financing projects <sup>46</sup>	Maximum Points Awarded
Have financed at least 1 project, or a portfolio of projects financed together, of at least the same capacity (MW) and similar technology <sup>48</sup> <b>OR</b> financing of any electric generation technology over the past three years that in aggregate amount to at least twice the same capacity (MW) of the proposed Bid Facility.	0.13

### CATEGORY 5.B: HEDGING PLAN

Plan for Hedging Energy and Capacity Commodities Scoring Scale and Associated Standard	Maximum Points Available
Evidence provided of energy and capacity hedge commitment conditioned only on proposed Bid Facility reaching commercial operation, corresponding to at least 90% of the [Bid Quantity * Contract Tenor].	0.5
Evidence provided of energy hedge commitment conditioned only on proposed Bid Facility reaching commercial operation, corresponding to at least 75% of the [Bid Quantity * Contract Tenor]; <b>OR</b> Bid Facility to have at least 80% of production consumed behind a retail meter or eligible for Net Energy Metering.	0.4
Specific and credible <sup>49</sup> hedging/offtake plan with one or more creditworthy entities, and identified for at least 75% of the [Bid Quantity * Contract Tenor], and documentation of experience securing energy commodity hedge of similar scale.	0.3
Specific and credible <sup>49</sup> hedging/offtake plan with one or more creditworthy entities, and identified for at least 40% of the [Bid Quantity * Contract Tenor].	0.2
Specific and credible <sup>49</sup> hedging/offtake plan with one or more creditworthy entities, and identified for at least 20% of the [Bid Quantity * Contract Tenor].	0.1

<sup>49</sup> The hedging or offtake plan must be specific and credible, and if a hedge has been entered into, the hedging counterparty must be minimally creditworthy. This means that one or more hedging/PPA counterparties are named in the plan, and that counterparty credit ratings (by Moody’s, S&P, or Fitch) are provided. If the counterparty is not rated by a major rating agency, then information sufficient to determine the counterparty’s ability to satisfy the terms of the hedging plan or PPA must be provided (e.g., audited financial statements). The plan shall include the quantity and duration of the hedge or PPA, by counterparty. If the hedging counterparty is an end-use customer, information about the customer type (institutional, governmental, commercial, industrial), and its load should be provided.

## **SUPPORTING EVIDENCE DOCUMENTATION REQUIRED FOR PROJECT FINANCE**

Unless the Bid Facility is currently in operation, the Proposer may demonstrate that it has exceeded the Minimum Threshold Eligibility Criteria for Project Finance by providing the following documents with its either its Step One Minimum Threshold Eligibility Application (preferred) or Step Two Bid Proposal:

- A list of specific projects successfully developed, specifying the nameplate capacity, technology<sup>50</sup>, commercial operation date (COD), and location
- Summary of financing including any hedging commitments, plan or strategy; documentation of financial closing, or in the event of balance sheet financing or project financing, documentation supporting use and commitment thereof, as appropriate.

## **CATEGORY 6: RESOURCE ASSESSMENT**

The Minimum Eligibility Thresholds for Resource Assessment are described in Section IX(2) of RESRFP17-1.

Proposals will be evaluated based on the level of progress in assessing the quality and accessibility of the renewable resource for the proposed Bid Facility. The content of a resource assessment varies by generating technology. The following tables present informational requirements necessary to evaluate the quality of the Proposer's resource assessment based on the resource type.

<sup>50</sup> Categorized by resource and prime mover, e.g. solar; e.g., wind. Not meant to distinguish between different solar technologies, for example.

*Biomass/Biogas, Solar, Wind, Hydro, Ocean & Tidal Scoring Scale and Associated Standard*

<b>Biomass/ Biogas</b>	<b>Solar</b>	<b>Wind</b>	<b>Maximum Points Awarded</b>
Provide evidence of contract of five years' duration or longer for the required resource with supplier for >75% of fuel required <sup>51</sup>	Provide a report from 3rd party independent Professional Engineer or analyst <sup>52</sup> , accounting for site-specific shading, refining the P(50) annual energy production estimate submitted in Step One. <sup>53</sup>	Provide a report from 3 <sup>rd</sup> -party independent Professional Engineer, meteorologist or analyst <sup>52</sup> refining the P(50) annual energy production submitted in Step One using proposed project layout, and based on at least one year of wind data of collected at the Bid Facility site, specifying all relevant loss factors. <sup>54</sup>	1.0
Provide evidence of 2+ year contract for required resource with supplier for >75% of fuel required <sup>51</sup>	n/a	n/a	0.8

<sup>51</sup> For biogas, evidence of fuel self-supply may be substituted.

<sup>52</sup> 3rd-party report must be performed by independent expert unaffiliated with the Proposer.

<sup>53</sup> The report must include the nearby measuring point/station used or system performance model for insolation data; and the specific system design input parameters used to generate the profile, using assumptions consistent with the proposed Bid Facility, including the system's azimuth, tilt, whether fixed or single axis tracking is used, inverter efficiencies, and any other parameters varied from default assumptions.

<sup>54</sup> Supporting documentation must reference the source of data and the assumed turbine power curve.

*Hydro, Ocean, Tidal and Fuel Cell Scoring Scale and Associated Standard*

Hydro, Ocean & Tidal	Fuel Cells	Maximum Points Awarded
Provide a report from 3 <sup>rd</sup> party independent Professional Engineer <sup>52</sup> refining the P(50) annual energy production estimate submitted in Step One.	Provide evidence that (i) system is interconnected and operating, or (ii) delivery service is currently in place to the site to provide natural gas at sufficient pressure and quantity to operate the system as proposed, and natural gas supply is provided either under gas utility tariff, or under a supply contract for >75% of fuel required.	1.0

**SUPPORTING EVIDENCE DOCUMENTATION REQUIRED FOR RESOURCE ASSESSMENT**

The Proposer may demonstrate that it has exceeded the Minimum Threshold Eligibility Criteria for Resource Assessment by providing the following documents with its either its Step One Minimum Threshold Eligibility Application (preferred) or Step Two Bid Proposal:

- The tables above describe all supporting evidence required to document progress in excess of the Minimum Threshold Eligibility Criteria.

**CATEGORY 7: CONTRACT SECURITY ABOVE THE MINIMUM**

Under this category, Proposers may pledge to commit amounts above the \$9/MWh minimum required contract security specified in Section XIII(3) of RESRFP17-1; the minimum required amount plus any amount pledged must be provided within 10 business days following Award Notification.

Scoring Scale and Associated Standard	Contract Security Pledged	Maximum Points Awarded
100%	Highest Proposer pledge per MWh above the minimum gets full credit for this category.	1.0
Scaled to maximum between 0 – 100% of category points	$[\text{bid pledged security } (\$/\text{MWh}) / \text{maximum bid security } (\$/\text{MWh})] * \text{Maximum points}$	Up to 0.99; Scaled

**SUPPORTING EVIDENCE DOCUMENTATION REQUIRED FOR CONTRACT SECURITY PLEDGED**

- Proposer will be asked to indicate, if elected, a pledge of additional security in the Step Two Bid Proposal.



## **APPENDIX 3 - OPERATIONAL FLEXIBILITY AND PEAK COINCIDENCE APPENDIX**

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## INTRODUCTION

The Bid Proposal evaluation process for RES Tier 1 REC solicitations includes the application of an Operational Flexibility and Peak Coincidence evaluation criterion that makes up 10% (10 points) of the Step Two scoring as described in Section XII(3) Operational Flexibility and Peak Coincidence of the RFP. The inclusion of this criterion is intended to incentivize renewable resources that provide grid services for cost minimization and reliability by addressing integration issues resulting from increased penetration of intermittent renewables, better matching generation to load, and encouraging dispatchable resources to balance the electric system, optimize generation dispatch, minimize operating reserve requirements, and address grid congestion and constraints. The Operational Flexibility and Peak Coincidence criterion employed in this RFP are intended to differentiate bids based on their effectiveness at meeting these objectives, as best possible under current market rules.

As a part of Step Two, Proposers will be invited to demonstrate all the necessary information and documentation to evaluate the Bid Facility for its contribution to each category. NYSERDA may request additional documentation as a part of its review of Step Two Bid Proposals.

## OPERATIONAL FLEXIBILITY AND PEAK COINCIDENCE CATEGORIES

The total of 10 points for Operational Flexibility and Peak Coincidence has been distributed among three categories.

The following table lists the Operational Flexibility and Peak Coincidence categories and the points available in each:

	Category	Maximum Points Available
1	Load Matching	4.0
2	Dispatchability	3.0
3	Energy Storage (if applicable)	3.0

The remainder of this Appendix will present the individual informational components of each of the three evaluation categories that make up the Operational Flexibility and Peak Coincidence criterion. **The tables shown below provide relevant details on levels of scoring within each category.**

Additional information and instructions may be provided to each Proposer with the Notice of Qualification inviting the Proposer to submit a Step Two Bid Proposal.

## **CATEGORY 1: LOAD MATCHING**

The Load Matching category evaluates a Bid Facility's ability to avoid over-generation, or producing energy at times and in locations where production can be problematic. Over-generation, for purposes of this criterion, means generation during periods when the system cannot accommodate the excess generation. The quantity of hours with negative locational based marginal prices, (LBMPs or spot energy prices) are a primary market indicator of locations where there is insufficient load to absorb the excess energy and/or transmission to export the energy. Production during these times in these zones could result in curtailments (including inducing curtailment of other renewable energy sources), and generally less efficient operation of the system. Additional generation, especially with production occurring during these low net load (or low LBMP) hours, could pose even greater issues with higher penetration.

This metric seeks to score a Bid Facility's impact accordingly with higher scores favoring resources that are less likely to exacerbate issues of curtailment, negative energy pricing, and low-load dispatch challenges based on a Bid Facility's expected energy production during the hours with lowest load in the Bid Facility's location.

The Load Matching category therefore evaluates proposals based on the location (NYISO market Zone) of the Bid Facility. For Bid Facilities located outside of the NYISO market Zones, the applicable Zone for evaluation purposes is the NYISO delivery Zone for the Bid Facility.

Scoring will reflect periods where adding additional generation could create or exacerbate over-generation. Bid Facilities located in Zones G through K will receive 100% of the category points and do not need to provide further documentation to obtain the maximum points in this category.<sup>55</sup> Bid Facilities located in Zones A through F will receive a score in proportion to its capacity factor during the lowest ten percent (10%) of historic annual load<sup>56</sup> hours for NYISO Zones A through F in aggregate. The lowest ten percent (10%) of historic annual load hours for NYISO Zones A through F in aggregate is called the Over-Generation Period (OGP).

<sup>55</sup> Over-generation resulting from additional electricity production is typically not an issue in Zones G-K, but poses potential issues in Zones A-F.

<sup>56</sup> Historic annual load will be based on 2016 data adjusted for leap year (removal of February 29<sup>th</sup>).

The Load Matching category scoring approach is summarized in the table below:

Bid Facility Zone <sup>57</sup>	Scoring	Maximum Points Awarded
Zones G-K	100% of category points (no P(50) annual expected hourly production profile is required)	4.0
Zones A-F	<b>Score<sup>58</sup> = 75% of category points * [1-CF<sub>OGP</sub>]</b> where CF <sub>OGP</sub> = Bid Facility's average capacity factor during the lowest 10% of aggregated Zone load hours	Up to 3.0; Scaled <sup>58</sup>

For Bid Facilities proposing co-located energy storage, the score for this category is based on the characteristics of only the Bid Facility. The role of energy storage in potentially reshaping the production profile is captured in the Energy Storage category.

### SUPPORTING EVIDENCE DOCUMENTATION REQUIRED FOR LOAD MATCHING

For Bid Facilities located in Zones A through F, the applicable capacity factors for evaluation purposes will be determined based on the Bid Facility's technology, as follows:

**Solar:** Proposers must provide, in a spreadsheet provided by NYSERDA, a typical year's 8,760 hourly production profile consistent with the P(50) output from the system performance model used in the Step One Application or, if applicable, the report from a 3rd party independent Professional Engineer or analyst as provided in Step Two (for Project Viability, Category 6).

The hourly production profile will be used by the TEP to calculate the system's capacity factor during the bottom 10% of load hours based on annual aggregate NYISO load data for Zones A through F.

**Wind:** Proposers must provide, in a spreadsheet provided by NYSERDA, a typical year's 8,760 hourly production profile consistent with the P(50) output from the model used in the Step One Application or, if applicable, the report from a 3rd party independent Professional Engineer, meteorologist or analyst as provided in Step Two (for Project Viability, Category 6).

<sup>57</sup> For imports, the applicable Zone for evaluation purposes is the NYISO delivery Zone for the Bid Facility.

<sup>58</sup> A Bid Facility with 0% average capacity factor (or no generation) during the lowest 10% of aggregated Zone load hours would receive 75% or 3.0 points of the Load Matching points available. A Bid Facility with 100% average capacity factor during the lowest 10% of aggregated Zone load hours would receive 0% or 0 points of the Load Matching points available. Bid Facilities with average capacity factors between 0% and 100% would receive between 75% (3.0 points) and 0% (0 points) of Load Matching points available, based on the Bid Facility's average capacity factor.

The hourly production profile will be used by the TEP to calculate the system’s capacity factor during the bottom 10% of load hours based on annual aggregate NYISO load data for Zones A through F.

**Biogas, biomass, landfill gas, and fuel cells, and ocean facilities:** These Bid Facilities will be assigned default capacity factors based on an assumption of equal production in every hour. The assumed capacity factor during the lowest 10% of load hours will therefore be treated as 95%.

**Hydroelectric and tidal facilities:** Proposers must provide, in a spreadsheet provided by NYSERDA, a typical year’s 8,760 hourly production profile consistent with the P(50) output used in the Step One Application or, if applicable, the report from a 3rd party independent Professional Engineer, as provided in Step Two (for Project Viability, Category 6).

The hourly production profile will be used by the TEP to calculate the system’s capacity factor during the bottom 10% of load hours based on annual aggregate NYISO load data for Zones A through F.

**CATEGORY 2 - DISPATCHABILITY**

This category addresses the concern associated with the potential for increasing integration costs that may be experienced to accommodate increasingly higher intermittent resource penetration. The purpose of the Dispatchability category is to attribute points relative to a Bid Facility’s ability to mitigate future system integration burdens on the system at higher future renewable energy penetrations.

Scores in this category will favor Bid Facilities that place the least integration burden on the system. The TEP will assign category points based on the characteristics listed in the table below. For Bid Facilities proposing co-located energy storage, the score for this category is based on the characteristics of only the Bid Facility (the role of energy storage in potentially reshaping the production profile is captured in the Energy Storage category). **Imports are not eligible for Dispatchability points.**

Characteristic	Eligible Resource	Maximum Points Awarded
<b>Dispatchable or Predictable resources visible to NYISO for resource commitment purposes</b>	Biomass, hydroelectric, biogas, landfill gas and fuel cell	3.0

Characteristic	Eligible Resource	Maximum Points Awarded
Intermittent and variable generation included in NYISO forecast and required to provide the NYISO Real Time economic offers as flexible resources	Wind <sup>59</sup>	2.0
Intermittent and variable generation included in NYISO forecast	Solar	1.0
Not visible in advance to NYISO	Behind-the-meter	0

### **SUPPORTING EVIDENCE DOCUMENTATION REQUIRED FOR DISPATCHABILITY**

All Bid Facilities located within the NYCA will be scored based on the Bid Facility's eligible technology as described in the table above; supporting evidence is not required.

### **CATEGORY 3. ENERGY STORAGE (IF APPLICABLE)**

Energy storage can provide various grid services and operational flexibility benefits, such as load shifting, regulation, operating reserves, and local distribution support. The bigger the system (capacity relative to the coupled renewable energy system) and the more hours of storage available (MWh relative to MW capacity), the greater the benefits. However, market rules today are not clear as to how energy storage can qualify to provide those services to NYISO, the electric distribution company, or the generator.

Thus, contributions of energy storage cannot be easily measured, but potential contributions can be valued. For the purposes of the Operational Flexibility and Peak Coincidence evaluation criteria, this scoring category values the ability to move energy over time to address the full range of challenges posed by intermittent renewables.

For purposes of this RFP, Bid Facilities may propose a co-located electrical storage installation, subject to eligibility criteria specified in Section VII(B) and XI(C) of this RFP.

<sup>59</sup> Wind is required to provide to NYISO real-time economic offers per Technical Bulletin 154: [http://www.nyiso.com/public/webdocs/markets\\_operations/documents/Technical\\_Bulletins/Technical\\_Bulletins/Technical\\_Bulletins/tb\\_154.pdf](http://www.nyiso.com/public/webdocs/markets_operations/documents/Technical_Bulletins/Technical_Bulletins/Technical_Bulletins/tb_154.pdf)

TEP scoring will be based on a combination of Effective Hours of Storage and the Capacity Ratio where:

$$\text{Effective Hours of Storage}^{60} = \text{Storage Energy (MWh)} / \text{Storage Capacity (MW)}$$

$$\text{Capacity Ratio} = \text{Storage Capacity (MW)} / \text{Bid Facility Capacity (MW)}$$

**Energy Storage Scoring Matrix (Maximum Points Available):**

		Capacity Ratio			
		0-5.00%	5.00-9.99%	10.00-14.99%	> 15.00%
Effective Hours of Storage	1 hour	1.35	2.05	2.30	2.50
	2 hours	1.50	2.20	2.45	2.70
	3 hours	1.60	2.35	2.60	2.85
	4+ hours	1.75	2.50	2.75	3.00

***SUPPORTING EVIDENCE DOCUMENTATION REQUIRED FOR ENERGY STORAGE***

Proposers must provide:

- Documentation of meeting the energy storage qualification requirements in Section XI(C).
- Documentation of the physical/technical parameters, i.e. the peak capacity (MW) and the energy (MWh) capability of the energy storage system, sufficient for the TEP to calculate a score for this category.

<sup>60</sup> Bid Proposal must have a minimum of 1 hour Effective Hours of Storage to be considered for points in this category.

## APPENDIX 4 - NYSERDA AND NYPA FREQUENTLY ASKED QUESTIONS

- 1) Will bid submissions be shared between NYSERDA and NYPA?
  - a. The NYSERDA solicitation is separate from the NYPA solicitation, and both NYPA and NYSERDA will be following their respective guidelines for the administration of their solicitations. To facilitate the coordination of the solicitations, Proposers are required to complete a NYSERDA/NYPA Coordination Form (when submitting a NYSERDA Step Two Bid Proposal) which will be shared between NYSERDA and NYPA. The bid submissions themselves will not be shared.
- 2) What if one Bid Facility is selected in both solicitations?
  - a. Mechanisms are in place so that a proposal cannot be selected for both solicitations. If a Proposer elects to participate in both solicitations, on October 31, 2017 the Proposer will be notified of their status in the NYPA solicitation and based on that information, should choose whether to remain in NYSERDA's process. If a Proposer remains in both solicitations and the Proposer receives an award from NYSERDA as a part of NYSERDA's initial award group, it will be automatically removed from NYPA's solicitation. Detailed guidance, including circumstances where a waitlist is established by NYSERDA, can be found in Section V of NYSERDA's RFP and Section 6 of NYPA's RFP, and should be reviewed carefully by those Proposers that choose to submit proposals in both solicitations.
- 3) What's the difference between the solicitations?
  - a. The solicitations seek different products. NYSERDA is seeking a REC only product for up to a 20-year term. NYPA is seeking a variety of products, including bundled and REC only products at different term lengths. Please refer to each solicitation for the specific products requested.
- 4) Will NYSERDA be present at the Proposer's conference for NYPA?
  - a. No, NYSERDA will be hosting a Proposer's webinar on June 14, 2017. Questions on coordination are welcome at both events, and Proposers are encouraged to submit their questions in writing to facilitate a written response.
- 5) Will staying in the NYPA solicitation preclude the Bid Facility from bidding into future NYSERDA solicitations?
  - a. No. If a proposal proceeds through the NYPA solicitation process and is ultimately not chosen, it can enter into future NYSERDA solicitations. Furthermore, if a proposal is in contract negotiations with NYPA if a subsequent NYSERDA solicitation commences, it is free to bid into



NYSERDA's subsequent solicitation, but should indicate to NYSERDA its status with NYPA and withdraw from NYSERDA's future solicitations if it executes a contract with NYPA.

- 6) If a proposal is chosen by NYSERDA, how would it withdraw from NYPA's solicitation?
  - a. If a proposal receives an award from NYSERDA as part of NYSERDA's initial award group, and is still in NYPA's solicitation, it will be automatically withdrawn from NYPA's solicitation.
- 7) Can different Bid Facilities be submitted to each RFP?
  - a. Yes. If different Bid Facilities are submitted to each RFP, the coordination guidelines do not apply. However, the submissions must follow the rules in Section V of the NYSERDA RFP and Section 6 of the NYPA RFP. The Proposer may not submit the same Bid Facility in both solicitations and represent it as a different project to each. Products from a single facility may also not be split between the two solicitations.
- 8) If a Bid Facility is selected in the NYSERDA RFP but then does not enter into a contract, is the Bid Facility still eligible for the NYPA RFP?
  - a. If a Bid Facility is included in NYSERDA's initial award group, it is then excluded from NYPA's solicitation. If the Bid Facility is waitlisted with NYSERDA, and declines a NYSERDA award, the Bid Facility may remain in NYPA's solicitation.

Proposals Due: Monday, June 26, 2017 by 5:00 PM Eastern Time\*

The **NY Residential Existing Homes Programs (Program)** has provided over 200,000 New York households with energy efficiency services. Services include the installation of measures such as attic or wall insulation, air sealing, heating or distribution repairs, or electric reduction measures. A network of approximately 230 Independent Participating Contractors provide comprehensive energy assessments and deliver appropriate energy improvements for these households. A goal of NYSERDA is to provide cutting edge energy efficiency measures to New Yorkers while developing a highly competent, professional independent contractor workforce ensuring that a cost effective and impactful approach to energy savings is provided across the State.

As a part of program delivery, NYSERDA requests proposals from interested parties to provide technical services for the Program. The selected contractor(s) will play an integral role in enhancing quality and ensuring that households receive the most effective energy package as possible, with quality installations, within allowable funding and objectives.

The objective of this Request for Proposals (RFP) is to award up to two contracts, for an initial contract term of twenty-four (24) months. After the initial term, each contract may be renewed annually, at NYSERDA's option, for up to an additional three years, pending availability of funds.

Interested parties may submit proposals to support either one or both of two service areas:

1. Service Area 1: Technical Support and Training
2. Service Area 2: Program Technical Review

NYSERDA will evaluate each Service Area separately. Proposers interested in having their responses evaluated based on an award for both service areas, rather than one or the other, must indicate so in the Cover Letter.

**Informational Webinar:** NYSERDA will conduct an Informational Webinar on May 24, 2017 at 1:00 p.m. Eastern Time during which NYSERDA will review the requirements of this solicitation and answer questions. Proposers who intend to participate can register at:

<https://nyserda-events.webex.com/nyserda-events/onstage/g.php?MTID=ea39431dbd72fd256f6b268da866c4d00>

Questions may be submitted to [sherri.calabrese@nyserda.ny.gov](mailto:sherri.calabrese@nyserda.ny.gov) prior to the webinar. Proposers will have the opportunity to type in questions during the webinar using the web platform Q&A chat function. NYSERDA will post questions and responses on the "Current Opportunities" section of NYSERDA's website (available at:

<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>) after the webinar. All questions will be posted anonymously, and NYSERDA's written responses will supersede any responses given during the webinar.

**Proposal Submission:** Electronic submission is preferable. Proposers may submit Word, Excel, or PDF files (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. NYSERDA will also accept proposals by

mail or hand-delivery if electronic submission is not possible. For detailed instructions on how to submit a proposal, click the link “NYSERDA Solicitation – User Guide” located in the “Current Opportunities” section of NYSEDA’s website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

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

If you have technical questions concerning this solicitation, contact the following:

- Kelvin Keraga – primary contact (Designated Contact)  
(518) 862-1090, ext. 3374  
e-mail [kelvin.keraga@nyserda.ny.gov](mailto:kelvin.keraga@nyserda.ny.gov)
- David Friello (Designated Contact)  
(518) 862-1090, ext. 3355  
by e-mail [david.friello@nyserda.ny.gov](mailto:david.friello@nyserda.ny.gov)

If you have contractual questions concerning this solicitation, contact Elsyda Sheldon (Designated Contact) at (518) 862-1090, ext. 3232 or [elsyda.sheldon@nyserda.ny.gov](mailto:elsyda.sheldon@nyserda.ny.gov).

Questions for the informational webinar regarding this solicitation maybe submitted ahead of time to Sherri Calabrese (Designated Contact) at [sherri.calabrese@nyserda.ny.gov](mailto:sherri.calabrese@nyserda.ny.gov).

**\* All proposals must be received by 5pm Eastern Standard Time on the date noted above. Late, faxed, or emailed proposals will not be accepted.** Incomplete proposals may be subject to disqualification. It is the proposer’s responsibility to ensure that all pages have been included in the proposal. Please note: for electronic submission, there are required questions that you will have to answer in addition to uploading attachments and you should allot at least 60 minutes to enter/submit proposals. The electronic proposal system closes promptly at 5pm, files in process or attempted edits or submission after 5pm Eastern Standard Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on NYSEDA’s web site at <https://www.nyserda.ny.gov/>.

## **I. Introduction**

The New York State Energy Research and Development Authority (NYSEDA) is a public benefit corporation established pursuant to Title 9 of Article 8 of the Public Authorities Law of the State of New York (State). NYSEDA’s principal mission is to develop innovative solutions to some of the State’s most difficult energy and environmental problems.

For reference, information regarding NYSEDA’s filings related to the Clean Energy Fund can be found on NYSEDA’s website (available at: <https://www.nyserda.ny.gov/>).

The Public Service Commission's (PSC's) Order Authorizing the Clean Energy Fund Framework (Case 14-M-0094) was issued January 21, 2016 and in support of the Resource Acquisition Transition Chapter of the Clean Energy Fund Investment Plan revised February 22, 2016, NYSERDA began operating under these guidelines as of March 1, 2016.

The Resource Acquisition Transition Chapter includes NYSERDA's NY Residential Existing Homes Programs (Sections 2.5 – 2.6) outlining services for Market Rate and Low-to-Moderate Income households. These programs are currently called Home Performance with ENERGY STAR® (including Assisted Home Performance with ENERGY STAR) and EmPower New York. Currently the two programs are managed by separate implementation contracts. NYSERDA is merging the administration of the two programs, and this RFP addresses the technical services needs of both programs.

The technical services component is intended to enhance the overall quality of the programs. As new cutting edge technologies are developed in the marketplace for auditing tools, installation techniques, available measures, etc., NYSERDA will continue to support the use of these technologies in order to achieve greater energy savings for residents of New Yorker. Further, NYSERDA and the technical services contractor will refine methodologies for measuring quality performance in the Program and assist Participating Contractors with the development of their own internal quality management systems.

The successful proposer(s) to this RFP will be responsible for providing the Technical Services being provided through the current implementers without disruption or lapses. The passing of the Technical Services to the successful proposer will require a transition period. The successful proposer must assume sole and full responsibility of Technical Support by the end of the transition period.

#### **Definitions for terms used in this RFP**

***Building Performance Institute, Inc. (BPI):*** BPI is an independent third party building science technology organization that sets the standards for assessing and improving the energy performance of homes. Additional information can be found at BPI's website ([http://www.bpi.org/home\\_pros.aspx](http://www.bpi.org/home_pros.aspx)).

***Centralized Services and Support:*** The proposers awarded a competitively selected contractor under RFP 3401 to provide administrative support to the NY Residential Existing Homes Program. Responsibilities include Program referral, application and invoice processing.

***Clean Energy Fund (CEF):*** The Clean Energy Fund (CEF), one of Reforming the Energy Vision's (REV) three strategic pillars, is designed to deliver on New York State's commitment to reduce ratepayer collections, drive economic development, and accelerate the use of clean energy and energy innovation. The CEF takes into consideration the State's clean energy policy initiatives and initiates the transition of earlier programs to initiatives consistent with the policy direction from the REV proceeding.

***Internal Quality Management (IQM):*** A company strategy of developing the culture, attitude and organization to create quality in the company's operations, with processes being done right the first time and defects and waste eradicated from operations.

***NY HP Portal:*** The tracking system used by the Program for day-to-day project management and communication with Participating Contractors.

***NY Residential Existing Homes Program (Program):*** The small homes residential program, currently including Home Performance with ENERGY STAR (HPwES), Assisted HPwES (AHPwES) and EmPower New York (EmPower) programs described below.

***Participating Contractors:*** Independent Home Performance contractors with an active Participation Agreement with NYSERDA to provide energy efficiency services through the NY Residential Existing Homes Program.

***Program Partners:*** Other organizations under contract with or providing input to or services for NYSERDA. The current Program Partner team includes, but is not limited to New York State electrical and gas utilities; State agencies, such as New York State Homes and Community Renewal (HCR) and New York State Office of Temporary and Disability Assistance (OTDA); trade allies and community-based organizations; Program implementation contractors, software vendors, and other NYSERDA program contractors.

***Program Technical Review contractor (Service Area 2):*** The proposer awarded a competitively selected contract through this RFP to provide quality assurance<sup>1</sup> services to the Program in the following areas: technical review of audit, workscope, and project completion submissions for accuracy of technical and program standards; conduct on-boarding activities for new Participating Contractors; contractor support with modeling tools and other program required software; ongoing contractor support for program procedures and requirements; provide HPXML expertise to the Program; coordination with Program Partners; maintain program documents; and, manage program records

***Quality Services Contractor:*** A competitively selected contractor to provide an independent review of the quality of work done through the NY Residential Existing Homes Program. The Quality Service Contractor is responsible for all post-completion quality control inspections that occur within one year of completion of the project.

***Residential F<sup>1</sup>inancing and Income Verification Services:*** A competitively selected contractor that provides origination services for NYSERDA's Residential Loan Program as well as income verification services for determining program eligibility.

***Statement of Work (workscope):*** A list of proposed energy efficiency measures established through a comprehensive home assessment or energy audit by the Participating Contractors to be installed in a customer's residence.

<sup>1</sup>In the Past, NYSERDA has referred to in-process inspections and project reviews as "Quality Control" and Post-Inspections as "Quality Assurance". Moving forward these terms will be realigned to conform with standard industry use of these terms. Refer to Appendix 1 – QA/QC Guidelines for definitions.

***Technical Support and Training contractor (Service Area 1):*** The proposer awarded a competitively selected contract through this RFP to provide quality assurance<sup>1</sup> services to the Program in the following areas: technical training in energy efficiency best practices as determined by the Program; technical consulting to support Participating Contractors in measure installation including troubleshooting; technical consulting to NYSERDA in determining best practices for materials and installation of energy improvements; coordination with program partners; administrative and in-home inspections as directed by NYSERDA and to include both work-in-process and post-installation inspections in situations where an inspection is required for a project over one year after completion; provide resolution support for customer and contractor disputes; and follow-up on quality issues identified by the Quality Services Contractor.

## **Background**

Information on the existing programs and financing options can be found on NYSERDA's website (available at: <https://www.nyserda.ny.gov/residential>).

## **NY Residential Existing Homes Program Description**

The NY Residential Existing Homes Program includes the HPwES, AHPwES and EmPower programs serving New York's existing one-to-four family residential buildings. NYSERDA is a sponsor of the national Home Performance with ENERGY STAR program. The Program is designed to: reduce energy use burden (percentage of the household income spent on energy bills); improve the health, safety and comfort of homes; capture heating fuel and electricity-related consumption savings; and provide incentives that address the up-front cost barrier for low and moderate income customers.

All Participating Contractors in the Program must be Building Performance Institute (BPI) Gold Star contractors, maintain BPI staff certifications and enter into a Participation Agreement with NYSERDA. The Program places a strong emphasis on building science, high performance technology, quality installations, health and safety, accurate energy saving projections, and sales and marketing techniques tailored to the residential contracting business.

Current program offerings are described below. NYSERDA intends to merge the administration of the existing programs into a single offering to provide a more seamless experience for customers as they seek to qualify for incentives based on their income.

EmPower, the low-income component (serving households earning less than 60% of the State Median Income), provides no-cost and low-cost electric reduction and home performance measures. In-home energy-use education provides customers with additional strategies for managing their energy costs.

<sup>1</sup>In the Past, NYSERDA has referred to in-process inspections and project reviews as "Quality Control" and Post-Inspections as "Quality Assurance". Moving forward these terms will be realigned to conform with standard industry use of these terms. Refer to Appendix 1 – QA/QC Guidelines for definitions.

AHPwES, the moderate-income component (serving households earning up to 80% of the Area Median Income), provides cost-sharing for approved electric reduction and home performance measures that are chosen by the homeowner.

HPwES, the market rate component (serving households earning greater than 80% of the Area Median Income), currently provides contractor incentives for approved electric reduction and home performance measures that are chosen by the homeowner.

Program participants meeting the current underwriting guidelines may access NYSERDA's residential financing for eligible services. Available interest rates range from 3.49% to 7.99% depending on eligible income level and measures installed.

It is anticipated that market rate contractor financial incentives may be reduced over time and eventually eliminated as the market evolves.

This Program provides services to electric customers of Central Hudson Gas & Electric, Con Edison, National Grid, NYS Electric and Gas, Orange and Rockland, and Rochester Gas and Electric. Limited funds are available for customers of municipal electric utilities.

Program materials, including the current policy and procedures manuals for the Program may be obtained by contacting David Friello at (518) 862-1090 ext. 3355 or via e-mail at [david.friello@nyserda.ny.gov](mailto:david.friello@nyserda.ny.gov).

## **Production**

It is anticipated that the Program will serve more than 18,000 households annually as follows:

Market Rate: 3,500

Moderate-Income: 2,500

Low-Income component: 12,000

For the purposes of responding to this solicitation, proposers should provide a budget based on the above estimated production goals. Production goals may be adjusted at time of contract award, and subsequently, should additional funding become available. In the event that production goals are adjusted or new funding initiatives become available, the contract will be modified to accommodate the need for additional or fewer resources.

## **II. Requirements**

The successful proposer(s) to this RFP must demonstrate their ability to provide at a minimum the services outlined in this section. NYSERDA has final responsibility for the Program and all the activities and materials involved in the implementation of the Program are subject to NYSERDA review and approval.

The successful proposer(s) will be required to coordinate with several Program Partners who provide support roles in the Program. These Program Partners have a substantial impact on the success of NYSERDA's residential energy efficiency services.

## **Technical Services Overview**

NYSERDA seeks to transition toward market-based quality assurance and control strategies. This includes a focus on understanding the needs of prospective consumers, implementing standards for the design, installation, and operation of clean energy technologies, workforce credentialing and company accreditation, and sharing quality and performance data with stakeholders to promote competition amongst providers, increase consumer confidence and encourage investment. It is anticipated that market-based strategies will highlight the work of high-performing providers and encourage overall growth in the clean energy sector.

### **Range of Services**

This RFP seeks to obtain up to two technical services contractor(s) who, under the guidance and direction of NYSERDA, will have responsibility for providing technical support to the Program. Proposers will have the option of submitting proposals for one or both Service Areas requested under this RFP. Further details regarding requested services are outlined in **Attachment A – Tasks and Deliverables**.

#### **1. Service Area 1: Technical Support and Training (TST)**

The successful proposer for Service Area 1, Technical Support and Training (TST) contractor, will provide quality assurance services to the Program in the following areas: targeted technical training in energy efficiency best practices as determined to be needed by the Program; technical consulting to support Participating Contractors in measure installation including troubleshooting; technical consulting to NYSERDA in developing best practices for materials and installation of energy improvements; coordination with program partners; administrative and in-home inspections (field visits) as directed by NYSERDA and to include both work-in-process and post-installation inspections in situations where an inspection is required for a project over one year after completion; provide resolution support for customer and contractor disputes; and follow-up on quality issues identified by the Quality Services Contractor.

Currently NYSERDA seeks to provide support for approximately 230 contractors statewide. NYSERDA estimates the need for an average of approximately four field visits per contractor by the TST (as per the attached list of Tasks and Deliverables, Attachment A). NYSERDA has developed a Field Inspection Checklist outlining the qualitative and quantitative data to be collected for the Program outlined in Appendix 2: Field Inspection Checklists. Experience has shown inspections require 2-3 hours on-site to complete data collection. Field Inspection Checklists are subject to change as the Program evolves.

#### **2. Service Area 2: Program Technical Review (PTR)**

The successful proposer for Service Area 2, Program Technical Review (PTR) contractor will provide quality assurance services to the Program in the following areas: technical review of audit, workscope, and project



completion submissions for accuracy of technical and program standards; conduct on-boarding activities for new Participating Contractors; contractor support with modeling tools and other program required software; ongoing contractor support for program procedures and requirements; provide HPXML expertise to the Program; coordination with Program Partners ; maintain program documents; and, manage program records.

A separate solicitation(s) has been issued to select a Quality Services Contractor for the Program (See “Definitions of terms used in this RFP). Please note that the successful proposer(s) for either of the technical services contractor service areas defined above cannot also serve as the Quality Services Contractor: Field Inspection and Desk Review.

NYSERDA reserves the right to:

- Incorporate Program changes as needed, thus modifying the services outlined;
- Tailor proposed services within the bounds of the contract based on cost-effectiveness, performance, participation or other considerations;
- Add other initiative areas and associated funding consistent with the tasks in **Attachment A – Tasks and Deliverables** in this solicitation.

#### **A. Proposer Qualifications**

NYSERDA requests proposals from individuals and firms with employees, or a plan and commitment to hire employees that have the requisite technical skill set to implement required tasks.

The successful proposer(s) must meet the following minimum qualifications:

- Understand goals and objectives of the Clean Energy Fund and NYSERDA’s mission.
- Have demonstrated experience in successful management of complex programs on time and within budget.
- Possess exceptional communication skills and ability to manage conflict.
- Ability to work effectively with a diverse group of stakeholders and as an effective member of a team.
- Be flexible and responsive to changing program needs.
- Demonstrate expertise in building science and appropriate energy efficiency technologies.
- Maintain staff that are willing and able to become fully versed in the policies and procedures of the Program.
- Provide capable, experienced technical field staff that is provided with information, training, and equipment necessary to ensure compliance with the Program, including BPI and industry standards.
- Maintain computer software proficiency in MS Excel, MS Access, MS PowerPoint, and MS Word.
- Familiarity with various energy modeling tools.
- Employ staff with professional credentialing as outlined below or demonstrated comparable experience or certifications, as follows:
  - BPI Building Analyst or BPI Home Energy Professional Energy Auditor
  - BPI Envelope Professional
  - BPI Heating (required within 3 months of award)
  - BPI Air Conditioning and Heat Pump (required within 3 months of award)
  - BPI Manufactured Housing (required within 3 months of award)

- The successful proposer will be expected to gain expertise in advanced system controls such as Home Energy Management Systems and provide guidance to NYSERDA in their application to the Programs
- Have access to a staff member with a working knowledge of renewables, including geothermal, to assist on occasion.

In addition, NYSERDA encourages proposers to employ staff who have, or commit to obtaining, additional certifications that may include:

- BPI Quality Control Inspector
- BPI Healthy Home Evaluator
- BPI Rater
- RESNET Home Energy Rater
- NATE certification for Heat Pumps
- NATE certifications for Air Distribution and/or HVAC

The successful proposer for the TST contractor (Service Area 1) must meet the following additional minimum qualifications:

- Maintain a staff strategically located to implement training and technical support services throughout the State in a manner conducive to timely response to customer, contractor, and Program needs. Proposals for the TST Contractor that do not include regionally located staff must demonstrate the ability to deliver cost-effective services statewide.
- Possess and be competent in the use of equipment to provide comprehensive inspections, per BPI and Program standards, including, but not limited to:
  - Blower door testing, including Zonal Pressure Diagnostics
  - Infrared scanning
  - Minor invasive inspection techniques, such as core sampling, and test drilling of dense pack areas
  - Combustion efficiency testing
  - Thorough inspections of all areas of the project, including insulated and air sealed attics
  - Health and safety testing, including gas leak testing and CO testing
- Employ inspection practices that include thorough but safe inspections of insulated attics, thorough wall insulation inspections and other tasks identified in **Appendix 1: QA-QC Guidelines**. Please note: QA-QC Guidelines are subject to change over time as the Program evolves.

In addition to these minimum qualifications, NYSERDA encourages proposers for the TST Contractor to meet requirements of regional staffing and training by partnering with, or subcontracting to, New York State organizations with experienced, qualified training staff and facilities that can provide competent, professional training and technical support to Participating Contractors.

## **B. Budget**

Based on past experience, an annual budget of \$2,800,000 was adopted for planning purposes and should be considered in the preparation of the proposer's statement of work and budget. Proposers are expected to provide a

breakdown of the number of staff required to fulfill the tasks of this solicitation and the estimated hourly per employee or subcontractor employee. Proposers are expected to identify opportunities for cost savings and efficiencies to provide the most cost-effective services to the Program and New York State ratepayers. Adjustments may occur as the Program evolves.

NYSERDA is in the process of developing new market transformation initiatives to dramatically increase the amount of energy efficiency work being accomplished in the residential sector, some of which may require support from the TST or PTR contractor. If such developments take place, NYSERDA reserves the right to update the Statement of Work with tasks consistent with this solicitation in order to provide such support, and negotiate an additional budget for these tasks with the successful proposer. These services may include technical support for new initiatives such as support for home energy performance raters; support and input for new methods of evaluating energy savings; technical knowledge transfer, or guidance and support for the inclusion of new technologies.

### **C. NYSERDA's Role and Responsibilities**

- NYSERDA will maintain overall management and control of all Program services. NYSERDA responsibilities relevant to Program technical services include, but are not limited to providing the TST and PTR contractor(s) with administrative processes and standard operating procedures, and requesting input regarding the same from the contractor(s) as needed.
- Establish and provide guidance on program rules, policies and procedures, and technical standards, and monitor adherence by all Participating Contractors and Program contractors.
- Review market and technical trends and insights provided by the TST or PTR contractor(s) and Program partners for consideration in current and future program design.
- Provide access to, and training on, relevant data systems.

## **III. Proposal Requirements**

As stated above, NYSERDA strongly encourages proposers to partner with professional organizations that are based in New York State and have demonstrated capabilities and facilities for providing building science training, business support or quality assurance guidance to participating contractors. In such arrangements, the lead proposer will have a direct contract with NYSERDA, and the partners will serve as subcontractors to the proposer. The successful proposer will have overall responsibility for compliance with the Agreement and completion of the Statement of Work.

All proposals submitted as part of the RFP solicitation process become the property of NYSERDA.

### **General Requirements**

All proposals must include the following:

1. Cover Letter
2. Table of Contents

3. Overall Experience and Capabilities
4. Personnel Qualifications
5. Statement of work
6. Attachment A – Tasks and Deliverables
7. Attachment B - Budget Form

## Proposal Format

Each proposal shall contain, at a minimum, the components listed below. Proposals must not exceed 50 pages, excluding resumes, letters of commitment and budgets. Nor should proposals be submitted in an elaborate format that includes expensive binders or graphics. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. Electronic submission is preferable. Proposers may submit Word, Excel, or PDF files (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. NYSERDA will also accept proposals by mail or hand-delivery if electronic submission is not possible. For detailed instructions on how to submit a proposal, click the link "NYSERDA Solicitation – User Guide" located in the "Current Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

### 1. Cover Letter (1 page)

Proposers shall submit a cover letter on company letterhead that:

- References RFP #3447
- Specifies which Service Area(s) are being proposed. Proposers interested having their responses evaluated for an award of both service areas, rather than one or the other, must indicate so.
- Briefly identifies key information about their organization, team members, and subcontractors.

### 2. Table of Contents (1 page)

Proposers should present a table of contents that outlines the section and page number for each Service Area proposed. *Proposals will be evaluated separately for each Service Area and therefore must be organized with a separate section for each Service Area.* If you are proposing for both service areas please provide a separate response to sections 4, 5, 6 and 7 below for each service area.

### 3. Overall Experience and Capabilities (2-4 pages)

Proposers must describe their experience and ability to deliver services for the Service Area. This should include the aggregate number of years working in this Service Area and a summary of at least one, and no more than three, similar contract(s) and include which team members were responsible for each program described. These summaries must also include the cost of the contract, description of the deliverables, project references and should be no more than one page in length. Firms with NYSERDA experience must identify a NYSERDA staff reference for those projects. Proposers are required to determine the economic benefits to New York State that would result from their selection.

**4. Personnel Qualifications (1-3 pages; resumes may be placed in an appendix and are not included in the page limit)**

Proposers must indicate the relevant qualifications for proposed personnel in accordance with **Section A. Proposer Qualifications** listed above for the Service Area. Proposers must include all of the following components:

- Identify the project manager within their firm who will serve as the primary point of contact as well as personnel to be involved with providing services under this RFP and their roles.
- Provide a clear description of the roles and responsibilities of each staff position in completing the work plan, including percentage of time devoted to the Program.
- Provide an organization chart for this program and plan for filling vacant positions in the organization chart, if any.
- Provide a description of the accomplishments, experiences and expertise of all individuals comprising the proposal, including the combined expertise that would enable successful completion of the Service Area proposed.
- Include one-page resumes that highlight recent experience of all individuals who will be directly involved in providing services; including all relevant certifications held and software proficiencies listed in this RFP.
- Identify the technical certifications and software competencies that are to be expected of any additional team members not yet hired.
- List experience key staff have in delivering training, including conference, class room and on-site trainings, and any technical or training publications that the staff has created.
- Describe how the proposer will deliver services to customers across New York State, including plans for geographic distribution of staff. Note that NYSERDA provides limited services on Long Island, as PSEG Long Island and National Grid are the primary administrators of programs in that region.

**5. Statement of Work**

The Statement of Work is a detailed work plan of how the Proposer will accomplish the Program's objectives, accomplish the tasks and provide the deliverables listed in **Attachment A - Tasks and Deliverables**. The

Statement of Work from the successful proposer will be used to form the basis of a contractual document, and must:

- Describe your approach/methodology and define your rationale for the proposed approach.
- Describe the actions you will take to complete each task and accomplish the Program’s objectives.
- Be prepared as an ordered set of tasks, including subtasks if necessary.
- Indicate who will perform the task, when it will be performed, and any anticipated deliverables.

In addition to responding to the tasks defined for the requested services, proposers are invited to present additional tasks or to recommend alternatives to the list of tasks as long as they are consistent with the goals and objectives of the Program.

## 6. Cost Proposal

Proposers must complete **Attachment B - Budget Form** for each proposed Service Area providing a cost proposal per the requirements with a 24-month project budget, including cost elements. The Budget Form requires a task budget that shows total costs and cost elements per task and sub-task identified in the Statement of Work. If applicable, a budget shall be provided for each subcontractor involved in the project.

The Cost Proposal section should include all assumptions and calculations; including detailed budget breakdowns for materials, equipment, and travel. The total price shall include all administrative, travel, and other expenses incurred in carrying out the standard inspection requirements of this solicitation. For Service Area 1, the cost estimate should include all costs to perform proposed tasks.

Cost Sharing – While cost sharing is not required, proposals that include cost-sharing will be considered and weighted higher. Cost sharing can be from the proposer, other team members, and other government or private sources. Contributions of direct labor (for which the laborer is paid as an employee) and purchased materials may be considered "cash" contributions. Unpaid labor, indirect labor, staff training expenses, tools and equipment to be provided, or other general overhead may be considered "in-kind" contributions. NYSERDA will not pay for efforts which have already been undertaken. The proposer or proposing team cannot claim as cost-share any expenses that have already been incurred. Show the cost-sharing plan in the following format (expand table as needed):

	<b>Cash</b>	<b>In-Kind Contribution</b>	<b>Total</b>
<b>NYSERDA</b>	\$	\$	\$
<b>Proposer</b>	\$	\$	\$
<b>Others (list individually)</b>	\$	\$	\$
<b>Total</b>	\$	\$	\$

## 7. Submittal

To be eligible for selection under this RFP, proposers must submit a complete bid package and agree to the terms and requirements of this RFP. Electronic submission is preferred. **All proposals must be received by 5pm Eastern Standard Time on the date noted above. Late, faxed, or emailed proposals will not be accepted.** Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal. Please note: for electronic submission, there are required questions that you will have to answer in addition to uploading attachments and you should allot at least 60 minutes to enter/submit proposals. The electronic proposal system closes promptly at 5pm, files in process or attempted edits or submission after 5pm Eastern Standard Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on NYSERDA's web site at <https://www.nyserda.ny.gov/>.

In compliance with §139-j and §139-k of the State Finance Law (see Section V, General Conditions below for additional information), proposers will be required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility.

## IV. Proposal Evaluation

Proposals that meet solicitation requirements will be reviewed by a Scoring Committee using the Evaluation Criteria below listed in order of importance within each section. At NYSERDA's discretion, proposers may be requested to interview with all or part of the Scoring Committee to address any potential questions or clarifications outlined in the proposals. Proposers will be notified if they are requested to attend an interview. NYSERDA retains the right to request any additional information pertaining to the Proposer's ability, qualifications, and procedures used to accomplish all work under the contract as it deems necessary to ensure safe and satisfactory work. Failure to provide required information may result in a proposal being deemed nonresponsive, in which case it may not be evaluated further.

NYSERDA may consider the following program policy factors in making selection decisions, to best achieve the overall goals and objectives of the NY Residential Existing Homes Programs:

- Proposal promotes job creation and/or preservation in New York State when making award selection decisions.
- Proposer has demonstrated the ability to implement continuous process improvements and continue to drive down costs over time.
- The degree to which the proposed project, including cost share, optimizes the use of available funding to achieve programmatic objectives.

The award selection process contains multiple steps including an initial eligibility review, ranking by a Scoring Committee of subject matter experts, and considerations such as program policy factors to make the selection decisions.

NYSERDA will negotiate contractors for services in fulfillment of the needs of this RFP based on demonstrated competence, qualifications, and rates. Contract negotiations may include the proposer's fee schedules to ensure work is accomplished at fair and reasonable rates. NYSERDA reserves the right to negotiate among finalists to assure services and to assure access to specific expertise.

## **I. General Requirement for both Contractors:**

### **1. Value:**

Is the Budget Form responsive to the RFP and clear? Does the budget reflect or demonstrate the ability to deliver cost effective services across New York State? Are the proposed rates in line with or better than market value?

Additional Considerations:

Does the Proposer offer cost-share in terms of staff training, software platforms, tools or other added values? Does the Proposer have business relationships with partners who have additional resources that can be brought into program development?

### **2. Software and infrastructure:**

Has the Proposer demonstrated the capability to use, and has experience with, program-approved modeling software including Cake, EmPCalc, OptiMiser, SnuggPro, and TREAT. Does the experience include data entry as well as review? Has the proposer demonstrated the capability to use computer software such as MS Excel, MS Access, MS Power Point, MS Word? Has the proposer articulated an acceptable plan for data quality control?

Additional Considerations:

Does the Proposer offer any innovative ideas for streamlining, data collection, evaluation and reporting functions?

## **II. Technical Support and Training Contractor Requirements**

### **3. Technical Support and Training Plan:**

Does the proposal demonstrate a clear understanding of the Clean Energy Fund, NYSERDA's mission, and the Technical Support and Training objectives of the RFP? Is the plan feasible? Does the plan clearly articulate an



appropriate and strategic plan for statewide coverage of services? Does the proposal include a strategy for coordination with all relevant parties, including NYSERDA, Participating Contractors, Partners, and Customers?

Additional Considerations:

Are innovative ideas presented for resource distribution, methods for achieving desired goals across the state, or staffing plans? Does the proposal include a strategy for employing, partnering, or subcontracting with NYS organizations with experienced staff and training facilities?

#### **4. Technical knowledge and support:**

Does the Proposer have a staff plan for essential team members with a strong technical background, skills, abilities, and experience relevant to the Program's needs? Does the proposal present a project team that contains staff, or has committed to obtaining staff, with documented certifications or comparable experience as required by the RFP: BPI Building Analyst or BPI Home Energy Professional Energy Auditor, BPI Envelop Professional, BPI Heating (required within 3 months of award), BPI Air Conditioning and Heat Pump (required within 3 months of award), BPI Manufactured Housing (required within 3 months of award)? Do current or proposed staff members have prior experience working for or as contractors in the energy efficiency industry?

Additional Considerations:

Does the proposal have staff with documented certifications beyond those required by the Program? Has the Proposer created and provided technical documents that have served other energy efficiency programs? Does the Proposer bring manuals, guidelines, procedural plans or other valuable assets to the program at no additional cost to NYSERDA?

#### **5. Demonstrated training and contractor development capacity:**

Has the Proposer provided examples of experience in training and contractor development? If so, for how many years? Has the Proposer demonstrated strong quality assurance or quality control skills and experience? Does the project team have demonstrated experience in hands-on and/or one-on-one training, group or classroom training, and webinars, or partnership with an organization capable and experienced in these activities? If so, how extensive, and how relevant?

Additional Considerations:

Will the Proposer's past experiences offer new approaches to achieve the Program's goals? Have team members served as trainers in industry formats such as certification training or energy efficiency technical conference? If so, how often?

### **III. Program Technical Review**

#### **6. Plan for Program Technical Review:**

Does the proposal demonstrate a clear understanding of the Clean Energy Fund, NYSERDA's mission, and the Program Technical Review objectives of the RFP? Is the plan feasible? Does it include a clearly defined staffing plan? Does the proposal include a strategy for coordination with all relevant parties, including NYSERDA, Participating Contractors, Partners, and Customers?

Additional Considerations:

Are innovative ideas presented for resource distribution, methods for achieving desired goals across the state, or staffing plans?

#### **7. Demonstrated capacity to review and evaluate technical workscopes**

Has the proposer has provided examples of experience in project management that involves the review and approval of technical workscopes? If so, how many projects and for how long? Has the Proposer demonstrated strong administrative experience?

Additional Considerations:

Will the Proposer's past experiences offer new approaches to achieve the Program's goals?

#### **8. Staffing plan for Program Technical Review**

Does the Proposer include a staffing plan that ensures timely and accurate workscope review? Does the proposal include strong commitments for review team members with a strong technical background, skills, abilities, and experience relevant to the Program's needs? Does the proposal present a project team that contains staff, or has committed to obtaining staff, with documented certifications or comparable experience as required by the RFP: BPI Building Analyst or BPI Home Energy Professional Energy Auditor, BPI Envelop Professional, BPI Heating (required within 3 months of award), BPI Air Conditioning and Heat Pump (required within 3 months of award), BPI Manufactured Housing (required within 3 months of award)? Do current or proposed staff members have prior experience working for or as contractors in the energy efficiency industry? Does the staffing plan include one or more people with working experience in HPXML?

Additional Considerations:

Does the proposal have staff with documented certifications beyond those required by the Program? Has the Proposer created and provided technical documents that have served other energy efficiency programs? Does the Proposer bring manuals, guidelines, procedural plans or other valuable assets to the program at no additional cost to NYSERDA? Does the proposer have staff proficient in HPXML?

## V. GENERAL CONDITIONS

**Proprietary Information** - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise."

Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <https://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

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

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

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

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

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

**State Finance Law sections 139-j and 139-k** - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx> . Proposers are required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility (this includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years).

**Tax Law Section 5-a** - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf)). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department.

The Department has created a second form that must be completed by a prospective contractor prior to contacting and filed with NYSERDA. See, ST-220-CA (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220ca\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf> .

**Contract Award** - NYSERDA anticipates making up to two awards under this solicitation. It may award a contract based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use **Attachment A – Tasks and Deliverables** and **Attachment C - Sample Agreement** to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement (**Attachment C**) to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately 4-6 weeks from the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

**Accessibility Requirements** - NYSERDA requires contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see NYSERDA's Accessibility Requirements.

**Limitation** - This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement (**Attachment C**). NYSERDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information and the presence of a material possibility of any reputational or legal risk in making of the award.

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

## **VI. Appendices**

- Appendix 1: QA-QC Guidelines
- Appendix 2: Field Inspection Checklist
- Appendix 3: Sample Reports
- Appendix 4: Eligible Measures Lists:
  - Low-income (EmPower) Electric Reduction Measures
  - Low-income (EmPower) Home Performance Measures
  - HPwES Eligible Measures & Accessories

## **VII. Attachments:**

- A. Tasks and Deliverables
- B. Budget Form
- C. Sample Agreement



## Staff Augmentation and Payroll Services Request for Proposal (RFP) 3525

Proposals Due: 07/3/2017 by 5:00 PM Eastern Time\*

The New York State Energy Research and Development Authority (NYSERDA) seeks proposals from a company, or team of companies, (hereinafter referred to as "Proposer") providing services to NYSEDA in the following categories on an as needed basis:

- 1) Payroll Services for Temporary Employees; and
- 2) Staff Augmentation Services

Proposals may be submitted by an individual firm or a team arrangement of firms, to provide optimal services to NYSEDA at the lowest cost possible. Individual engagements of services will vary based on the needs of each individual project or program, and may vary by skills sought, experience required, and geographic coverage needs.

**Proposal Submission:** Electronic submission is preferable. Proposers may submit Word, Excel, or PDF files (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. NYSEDA will also accept proposals by mail or hand-delivery if electronic submission is not possible. For detailed instructions on how to submit a proposal, click the link "NYSEDA Solicitation User Guide [PDF]" located in the "Current Opportunities" section of NYSEDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted except by contacting Lori Borowiak – primary contact (Designated Contact) at (518) 862-1090, ext.3004 or by e-mail [Lori.Borowiak@nyserda.ny.gov](mailto:Lori.Borowiak@nyserda.ny.gov) or Matt Brown – secondary contact (Designated Contact) at (518) 862-1090, ext. 3336 or by e-mail [Matthew.Brown@nyserda.ny.gov](mailto:Matthew.Brown@nyserda.ny.gov) (for technical questions). If you have contractual questions concerning this solicitation, contact (Elsyda Sheldon) (Designated Contact) at (518) 862-1090, ext. 3232 or [Elsyda.Sheldon@nyserda.ny.gov](mailto:Elsyda.Sheldon@nyserda.ny.gov). Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

**\* All proposals must be received by 5pm Eastern Standard Time on the date noted above. Late, faxed, or emailed proposals will not be accepted.** Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal. Please note: for electronic submission, there are required questions that you will have to answer in addition to uploading attachments and you should allot at least 60 minutes to enter/submit proposals. The electronic proposal system closes promptly at 5pm, files in process or attempted edits or submission after 5pm Eastern Standard Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on NYSEDA's web site at <https://www.nyserda.ny.gov/>.

## Background of NYSERDA

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NYSERDA offers objective information and analysis, innovative programs, technical expertise, and support to help New Yorkers increase energy efficiency, save money, use renewable energy, and reduce reliance on fossil fuels. As a public benefit corporation, NYSERDA has been advancing energy solutions and working to protect the environment since 1975. Visit [www.nyserdera.ny.gov](http://www.nyserdera.ny.gov) to learn more about NYSERDA's offerings.

## Services Being Sought

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NYSERDA requires additional staffing resources that can be engaged on an as-needed basis through a contractual agreement to supplement existing staff for the wind-down of legacy programs, the current management of transition programs, and current and future management of new initiatives. NYSERDA seeks Proposers that can fulfill this need by providing Payroll Services for temporary employees that have been identified by NYSERDA, as well as firms that will identify staffing resources (Staff Augmentation) that they will present to NYSERDA and can be brought on to fulfill specific technical or administrative positions.

The goal of this RFP is to competitively select and contract with one or more Proposers to be used for a period of approximately five (5) years to provide: 1) Payroll Services for Temporary Employees, and 2) Staff Augmentation Services. NYSERDA may choose to contract with one or more than one successful Proposers for each service category. Individual engagements of services will vary based on the needs of the project or program, and may vary by skills needed, experience required, and geographic coverage needs.

### **Service Category 1 – Payroll Services for Temporary Employees**

This service will provide timekeeping and payment for staff resources as requested and identified by NYSERDA, such as a candidate that has been identified for hire, or interns that are graduating out of internship positions. Successful Proposers will be the Temporary Employee Agency through which these candidates will be retained by NYSERDA. Proposers will be required to:

- Provide low-cost payroll services to NYSERDA for temporary-to-hire candidates identified by NYSERDA and/or current staff transitioning to a temporary assignment

### **Service Category 2 – Staff Augmentation Services**

This service will:

- Provide a low-cost source of flexible and well-qualified staffing resources to support NYSERDA's mission and programs;
- Enable a streamlined business process to quickly onboard staff resources;
- Provide a flexible pool of staff resources that augment NYSERDA staff across a large variety of knowledge, experience and geographic areas;
- Reduce NYSERDA's administrative overhead; and
- Enable project-based and full time resources based on individual project needs.

Selected Proposer(s) will enter into a master agreement, and work assignments will be issued on an individual Task Work Order basis. Proposer(s) may submit Proposals for one or both Service Categories. If submitting for both, each Service Category must be submitted as individual Proposals.

The specific Task Work Order issued for each work assignment will provide requirements for the exact location of work that is needed, expectations of skills, and experience necessary to be considered. NYSERDA reserves the right to end any specific Task Work Order or the contract as a whole at any time,

with or without cause. If replacement resources are needed, NYSERDA may obtain replacement resources for that work via the selected Proposer, or another source contracted separately at NYSERDA's sole discretion.

All billable hours completed during each calendar month shall be submitted in a valid and complete invoice by the 21st of the following month without exception. Invoices submitted late or missing hours may not be paid.

NYSERDA reserves the right to convert a candidate provided in response to this RFP to full-time NYSERDA staff. The Proposer must identify conditions, timelines and fees associated with converting a resource to NYSERDA staff.

It is the responsibility of the selected Proposer to complete background checks on all selected staff identified by the Proposer prior to placement. Upon selection, Proposer agrees that it shall perform or have performed, within the two years immediately preceding the placement of any candidate, a background check; by virtue of making such placement, Proposer shall certify that such background check on the candidate has been performed. Proposer agrees that it will inform NYSERDA's Director of Human Resources by phone or email (518.862.1090. ext. 3640; donna.rabito@nyserda.ny.gov), simultaneously with or preceding such placement, if:

- (1) such background check reveals, with respect to the referred employee, (a) a felony conviction, or (b) any other conviction involving theft, misrepresentation or violent behavior of any sort, or
- (2) immediately upon its becoming aware that such individual has been convicted of such a crime.

Each individual selected to perform work for NYSERDA shall be required to sign documents attesting agreement to abide by NYSERDA Policies and Procedures, the Temporary Employee Confidentiality Agreement, and Acknowledgement of General Employment Information (See Attachment B). Selected staff shall also complete mandatory training within 30 days of placement. Other documents may be required based on the type of activity being performed by an individual and would be specified in the Task Work Order.

### **All Proposers Must Demonstrate**

*For Service Category 1 – Payroll Services for Temporary Employees:*

- Reliable, first-rate, low-cost payroll services for temporary employees; and
- Successful experience, including engagements with other state agencies or authorities.

*For Service Category 2 - Staff Augmentation Services:*

- A proven track record of providing skilled staff and other services across a wide variety of skill sets;
- Lowest cost for the highest quality of service;
- Successful experience, including engagements with other state agencies or authorities; and
- Successful experience in engagements within the clean energy field.

### **Proposal Criteria for all Service Categories**

All Proposers must demonstrate a willingness and commitment to minimize costs for NYSERDA. NYSERDA reserves the right to negotiate lower or different fee structures during the contracting process with any Proposer.

If a Proposal does not include all required information, it may be deemed non-responsive.

The Proposer must agree to provide NYSERDA with access to documents, personnel and other



information necessary to conduct audits upon request during the terms of the Contract, and for up to six (6) years after the contract term expires.

## **Service Category 1**

### **Proposal Requirements and Format: Payroll Services for Temporary Employees**

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In compliance with §139-j and §139-k of the State Finance Law (see Section V, General Conditions below for additional information), proposers will be required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility

Proposals should not exceed fifteen pages, excluding attachments, or be submitted in an elaborate format that includes expensive binders, graphics, or page formats other than 8.5 x 11" letter sized paper. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. Each page of the proposal should state the name of the proposer, the RFP number, and the page number.

The Proposal for Payroll Services for Temporary Employees must follow the following format:

- Section 1: Executive Summary
- Section 2: Proposer Qualifications
- Section 3: Master Contract Cost Structure
- Appendices: Additional Items

#### **Section 1 – Executive Summary**

The purpose of the Executive Summary in the Proposal for Payroll Services for Temporary Employees is to provide a brief description of the Proposer's approach, flexibility, and demonstrated commitment to minimizing costs to NYSERDA.

Important Note: The intent of the Executive Summary is to be a brief summary, therefore, Executive Summaries that exceed two (2) pages may not be read by the Technical Evaluation Panel.

#### **Section 2 – Proposer Qualifications**

The purpose of the Proposer Qualifications section of the RFP is to demonstrate a Proposer's Qualifications as listed below, as well as a detailed description of the Proposer's Policies, Processes and Procedures for Payroll Services.

##### Proposer Qualifications

Details of the following qualifications and attributes:

- 1) Proposer's organizational structure, including the specific resumes of key partners or principals who will be responsible for managing the engagement with NYSERDA. NYSERDA reserves the right to modify organizational structures or remove staff supporting the contract at its sole discretion.
- 2) Successful experience, including engagements with other state agencies or authorities.
- 3) Note any special certifications relevant to this RFP that your firm or proposed staff may possess.

- 4) Applicable Certification of Minority or Women owned Business Enterprise (MWBE) with Empire State Development, or Service-Disabled Veteran Owned Business (SDVOB) Enterprise with the New York State Office of General Services attached as Appendices.
- 5) Describe the approach to meeting NYSERDA's needs for first-rate and reliable payroll services, at the lowest possible cost. Demonstrate the Proposer's willingness and commitment to minimize costs for NYSERDA.
- 6) Confirmation that the Proposer is immediately ready and able to provide all services requested or required in a timely manner.
- 7) Disclosure of any potential conflicts of interest, or state definitively that there are no potential conflicts of interest.
- 8) A confirmation that the Proposer accepts all terms and conditions of the RFP as written. Note: failure to accept all terms and conditions as written in this RFP may result in a Proposal being deemed non-responsive.

### Policies, Processes and Procedures

All Proposers must provide detailed information of the following processes and procedures utilized by the Proposer:

- 1) On-boarding process for candidates, inclusive of completion of paperwork and timeline;
- 2) Time keeping system (i.e. flat rate paid weekly/bi-weekly, or paid hourly rate based on annual salary, not to exceed an equivalent of 37.5 hours per work week);
- 3) Payroll process for exempt and non-exempt (internal or out-sourced; communication to candidates and managers; method for paystubs to be received by candidates);
- 4) Policies on candidates driving personal vehicles and option to telework from home;
- 5) Benefits provided to candidates (i.e. medical, dental, vision, paid vacation, holidays, etc.), including timeframes for eligibility, and costs.

### **Section 3 – Master Contract Cost Structure**

The purpose of this section is to provide NYSERDA a clear explanation of all fees and costs. Proposers must provide the required information in the order and format requested, please see Attachment A for Cost Structure format.

- 1) Provide: Rate per Hour (Expressed as a range, if appropriate), Multiplier, and Fully Burdened Billable Rate per Hour (Expressed as a Range, if appropriate).
- 2) List all costs and fees for which the Proposer would expect reimbursement.
  - a. Specifically list fees, if charged, for the following:
    - i. Mark-up for candidates provided by NYSERDA (waiting for hire and interns);
    - ii. Adjusted mark-up for opting out of health benefits;
    - iii. Adjusted mark-up for teleworking or driving personal vehicle;
    - iv. Background Checks;
- 3) Indicate any reductions in fees or rates from normal amounts, and the reason for those reductions (i.e. Standard Reduction Provided to all State Agencies, or Proposed Specific for this RFP, etc.).
- 4) Outline the conditions, timelines and fees associated with converting a resource into a NYSERDA staff, if an option. Note: Any costs or fees not specifically identified here may not be considered for inclusion in invoices or contracting at a later date.

NYSERDA reserves the right to negotiate lower or different fee structures during the contracting process with any Proposers recommended for contract negotiation as part of its evaluation process.

# Evaluation of Proposals: Payroll Services for Temporary Employees

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## General Selection Process

The evaluation process will begin immediately after the due date, with an initial completeness review of all Proposals properly received prior to the RFP due date to verify that they have met the minimum conditions necessary to be considered complete. Only Proposals determined to be complete will be shared with the Scoring Committee for full review. The Scoring Committee will then review and score each Proposal determined to be complete.

## Interviews

NYSERDA reserves the right to determine if an interview with the Proposer will be necessary. NYSERDA may interview some or all Proposers being considered. NYSERDA will set aside one day for interviews, and Proposers will be notified of the predetermined date by email following the due date of this RFP. If selected for an interview, the Proposer shall be required to further document the Proposer's ability to provide the required services at the best cost to NYSERDA. The Proposed lead principal and other key staff necessary to demonstrate the Proposer's capability to meet NYSERDA's needs should be present at the interview. The results of the interview will be included in the Scoring Committee's final scores for the Proposer.

## Evaluation Categories

The following categories and weighting shall be used by NYSERDA to evaluate each Proposal.

Category	Category Description	Total Available Points
1	Clear and concise description of all provided payroll services, policies, and processes as described in this RFP (Section 1 and Section 2)	20
2	Experience providing services described in this RFP (including Demonstrated success providing these services to other state agencies and authorities) (Section 2)	20
3	Competitiveness of proposed Master Contract Cost Structure (Section 3)	20
4	Ability of Candidates to drive Personal Vehicle and/or telework at no additional cost to NYSERDA (Section 3)	20
5	Other – Ability of Proposer to reduce NYSERDA's administrative overhead (Section 1, Section 2 and Section 3)	20

Once the members of the Scoring Committee have discussed and completed their review and provided a final score for all Proposals deemed complete, the results will be sorted and ranked by each reviewer. A final combined sum of ranks will be used to create a recommendation to NYSERDA's Senior Management for review and consideration. NYSERDA does not guarantee that a recommendation to move forward with contract negotiation will result from its review process. NYSERDA does not guarantee that if it enters into a contract negotiation that it will proceed with a contract. NYSERDA does not guarantee any work if a contract is executed.

## Service Category 2

### Proposal Requirements and Format: Staff Augmentation Services

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In compliance with §139-j and §139-k of the State Finance Law (see Section V, General Conditions below for additional information), proposers will be required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility.

Proposals should not exceed fifteen pages, excluding attachments and Sample Resumes (Section 5), or be submitted in an elaborate format that includes expensive binders, graphics, or page formats other than 8.5 x 11" letter sized paper. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. Each page of the proposal should state the name of the proposer, the RFP number, and the page number.

The Proposal for Staff Augmentation Services must follow the following format:

- Section 1: Executive Summary
- Section 2: Proposer Qualifications
- Section 3: Cost Example
- Section 4: Master Contract Cost Structure
- Section 5: Sample Resumes
- Appendices: Additional Items

#### Section 1 – Executive Summary

The purpose of the Executive Summary in the Proposal is to provide a brief description of the Proposer's qualifications, approach, flexibility, and demonstrated commitment to minimizing costs to NYSERDA.

Important Note: The intent of the Executive Summary is to be a brief summary, therefore, Executive Summaries that exceed two (2) pages may not be read by the Scoring Committee.

#### Section 2 – Proposer Qualifications

The purpose of the Proposer Qualifications section of the RFP is to demonstrate a Proposer's ability to meet any of the Staff Augmentation Services as well as a detailed description of the Proposer's Qualifications and Policies, Processes and Procedures, as listed below.

##### Staff Augmentation Services

A Proposer shall provide a description of their proven successful track record of delivering staff and other services across a wide variety of skill sets, such as but not limited to:

- 1) Clean Energy Project Management
  - a. Project Coordination
  - b. Project eligibility review
  - c. Schedule management
  - d. Ensuring projects meet all program requirements
  - e. Review and approval of deliverables
  - f. Oversight of sub-contracted work regarding technical reviews
  - g. Conducting post construction site inspections

- h. Reviewing reports
  - i. Reviewing modeling files
  - j. Reviewing and approving invoices
  - k. Customer and vendor communication
  - l. Project status and results reporting
- 2) Program reporting, data management, data governance, data analysis
  - 3) Clean Energy Research
  - 4) Technology Transfer
    - a. Outreach and Education
    - b. Sales and Marketing
  - 5) Evaluation, Measurement and Field Verification
  - 6) Energy Analysis - historical or forward looking analyses of energy and environmental markets
  - 7) General Administrative Services
  - 8) Financial Analysis - comparative financial assessments of program designs, financial implications, risks, costs and potential benefits of proposed policies or program strategies

Proposer's Qualifications

Details of the following qualifications and attributes:

- 1) Proposer's organizational structure- including the specific resumes of key partners or principals who will be responsible for managing the engagement with NYSERDA. NYSERDA reserves the right to modify organizational structures or remove staff supporting the contract at its sole discretion.
- 2) Successful experience, including engagements with other state agencies or authorities, and other program administrators in the energy field supporting energy efficiency and clean energy programs.
- 3) Note any special certifications relevant to this RFP that your firm or proposed staff may possess (i.e. Professional Engineer, Registered Architect, Certified Energy Modeler, etc.), and describe how your firm keeps staff current in their skills.
- 4) Applicable Certification of Minority or Women owned Business Enterprise (MWBE) with Empire State Development, or Service-Disabled Veteran Owned Business (SDVOB) Enterprise with the Office of General Services, attached as Appendices.
- 5) Describe the Proposer's approach to meeting NYSERDA's needs for first-rate and reliable candidates, at the lowest possible cost, including the monitoring and management of work assignments. Demonstrate the Proposers willingness and commitment to minimize costs for NYSERDA.
- 6) Confirmation that successful Proposers will be available to provide staff that are able to work at, or travel to, the following locations:
  - a. On-site at NYSERDA offices, located in Albany, New York City, Buffalo and West Valley;
  - b. Field work, if needed and appropriate for the program/project being supported, at NYSERDA customer sites; or
  - c. Remotely, either by working from Proposer's office or teleworking from home.

Note: The specific location(s) of work will be identified in writing in the specific Task Work Order issued for specific work assignments.
- 7) Identify the total number of resources currently available in each of the following regions of the State:
  - a. Capital Region (Albany, Columbia, Greene, Rensselaer, Saratoga, Schenectady, Warren, Washington);
  - b. Central New York (Cayuga, Cortland, Madison, Onondaga, Oswego);
  - c. Finger Lakes (Genesee, Livingston, Monroe, Ontario, Orleans, Seneca, Wayne,

- Wyoming, Yates);
  - d. Long Island (Nassau, Suffolk);
  - e. Mid-Hudson (Dutchess, Orange, Putnam, Rockland, Sullivan, Ulster, Westchester);
  - f. Mohawk Valley (Fulton, Herkimer, Montgomery, Oneida, Otsego, Schoharie);
  - g. New York City (Bronx, Kings, New York, Queens, Richmond);
  - h. North Country (Clinton, Essex, Franklin, Hamilton, Jefferson, Lewis, St. Lawrence);
  - i. Southern Tier (Broome, Chemung, Chenango, Delaware, Schuyler, Steuben, Tioga, Tompkins);
  - j. Western New York (Niagara, Erie, Chautauqua, Cattaraugus, Allegany).
- 8) A confirmation that the Proposer is immediately ready and able to provide all services requested or required in a timely manner.
  - 9) Disclosure of any potential conflicts of interest, or state definitively that there are no potential conflicts of interest.
  - 10) A confirmation that the Proposer accepts all terms and conditions of the RFP as written. Note: failure to accept all terms and conditions as written in this RFP may result in a Proposal being deemed non-responsive.

#### Policies, Processes & Procedures

All Proposers must provide detailed information of the following processes and procedures utilized by the Firm or Team:

- 1) On-boarding process for candidates, inclusive of completion of paperwork and timeline.
- 2) Time keeping system (i.e. flat rate paid weekly/bi-weekly, or paid hourly rate based on annual salary, not to exceed an equivalent of 37.5 hours per work week).
- 3) Payroll process for exempt and non-exempt (internal or out-sourced, communication to candidates and managers, method for paystubs to be received by candidates).
- 4) Policies on candidates driving personal vehicles and telework option (as noted above).
- 5) Benefits provided to candidates (i.e. medical, dental, vision, paid vacation, holidays, etc.), including timeframes for eligibility, and costs.

### **Section 3 – Cost Example**

The purpose of the Cost Example section of this RFP is to help NYSERDA compare all Proposers on an equal basis. All Proposals must provide a response to this RFP:

Sample Service Request: NYSERDA has administered the Clean Energy Widget Program for 10 years. NYSERDA historically had a program implementation contractor competitively selected to support and administer the program during this time. That program will not be continued into the Clean Energy Fund, and the contract term on the Program Implementation Contract is expiring shortly. NYSERDA believes it will need several staff, on a decreasing basis for the next two years as projects in the program complete. Specific staffing needs are as follows:

- 1) One (1) mid-level project manager. This staff person would typically have 6-12 years of professional experience managing all aspects of clean energy projects as described in Staff Augmentation Services, in Section 2 above. This staff person should be able to provide mentoring and guidance to other junior project managers also supporting this program wind down.
- 2) Three (3) entry-level project managers. Staff in this category would typically have 1-6 years of professional experience managing clean energy projects under the guidance and supervision of other more experienced project managers.
- 3) One (1) project coordinator. This staff person will support the team of project managers by ensuring documentation packages are complete for project manager review, coordinating on-site inspections, entering data, performing analysis and reporting of data, and generally helping to coordinate and perform program administrative needs.

As part of the response to Section 3 - Cost Example of the RFP, Proposers must provide the resumes of five (5) example staff that are currently in the Proposer's portfolio of staff that the Proposer could make available within 30 days of receiving this request. The Proposal must also provide the fully-loaded billing rates, identifying the direct pay rate, multiplier and profit in the format provided below.

Staff Title	Rate per Hour	Multiplier	Percent Profit*	Fully Burdened Billable Rate per Hour	Annual Rate**
Mid-level Project Manager					
Entry-level Project Manager					
Project Coordinator					
Additional Fees or Management Expense					

\* Note: Profit must be included within the multiplier.

\*\* Assume 2,000 hours annually

#### Section 4 – Master Contract Cost Structure

The purpose of this section is to provide NYSERDA a clear explanation of all fees and costs. If a Proposal does not include all required information, it may be deemed non-responsive. Proposers must provide the required information in the order and format requested, please see Attachment A for Cost Structure format.

- 1) Provide: Rate per Hour (Expressed as a range, if appropriate), Multiplier, and Fully Burdened Billable Rate per Hour (Expressed as a Range if appropriate).
- 2) List all costs and fees for which the Proposer would expect reimbursement.
  - a. Specifically list fees, if charged, for the following:
    - i. Mark-up for candidates provided by NYSERDA (i.e. waiting for hire or interns);
    - ii. Mark-up for candidates sourced by Proposer;
    - iii. Adjusted mark-up for opting out of health benefits;
    - iv. Adjusted mark-up for teleworking or driving personal vehicle;
    - v. Background Checks.
- 3) Indicate any reductions in fees or rates from normal amounts, and the reason for those reductions (e.g. Standard Reduction Provided to all State Agencies, or Proposed Specific for this RFP, etc.).
- 4) Outline the conditions, timelines and fees associated with converting a resource into a NYSERDA staff, if an option. Note: Any costs or fees not specifically identified here may not be considered for inclusion in invoices or contracting at a later date.

NYSERDA reserves the right to negotiate lower or different fee structures during the contracting process with any firms recommended for contract negotiation as part of its evaluation process.

#### Section 5 – Sample Resumes

The purpose of this section is to demonstrate that the Proposer has immediate access to staff that can meet NYSERDA's needs. The Proposer should provide a variety of skills, experience levels, and physical locations of candidates. Proposer should provide no less than five (5) and no more than twenty (20)

resumes. The resumes submitted as a part of the Cost Example in Section 3, may or may not be submitted as the Sample Resumes of staff immediately available, at the Proposer's discretion. Proposer must affirm that each of the staff whose resume is included in this section would be available for at least 25% of their time within the next three (3) months.

## Evaluation of Proposals: Staff Augmentation Services

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### General Selection Process

The evaluation process will begin immediately after the due date, with a review of all Proposals properly received to verify that they have met the minimum conditions necessary to be considered complete. Only Proposals determined to be complete will be shared with the Scoring Committee for full review. The Scoring Committee will then review and score each Proposal determined to be complete.

### Interviews

NYSERDA reserves the right to determine if an interview with the Proposer will be necessary. NYSERDA may interview some or all Proposers being considered. NYSERDA will set aside one day for interviews, and Proposers will be notified of the predetermined date by email following the due date of this RFP. If selected for an interview, the Proposer shall be required to further document the Proposer's ability to provide the required services at the best cost to NYSERDA. The Proposed lead principal and other key staff necessary to demonstrate the Proposer's capability to meet NYSERDA's needs should be present at the interview. The results of the interview will be included in the Scoring Committee's final scores for the Proposer.

### Evaluation Categories

The following categories and weighting shall be used by NYSERDA to evaluate each Proposal.

Category	Category Description	Total Points Available
1	Demonstrated ability to provide services as described in the RFP (Section 1 and Section 2)	20
2	Demonstrated ability to provide a flexible pool of staff resources that augment NYSERDA staff across a large variety of knowledge, experience and geographic areas (Section 2 and Section 5)	15
3	Competitiveness of Sample Project Cost and Sample Resumes (Section 3)	20
4	Experience providing services described in this RFP (including Demonstrated success providing these services to other state agencies and authorities) (Section 2)	15
5	Competitiveness of proposed Master Contract Cost Structure (Section 4)	20
6	Other– Ability of Proposer to reduce NYSERDA's administrative overhead (Section 1, Section 2 and Section 4)	10

Once the members of the Scoring Committee have discussed and completed their review and provided a final score for all Proposals deemed complete, the results will be sorted and ranked by each reviewer. A final combined sum of ranks will be used to create a recommendation to NYSERDA's Senior Management for review and consideration. NYSERDA does not guarantee that a recommendation to move forward with contract negotiation will result from its review process. NYSERDA does not guarantee



that if it enters into a contract negotiation that it will proceed with a contract. NYSERDA does not guarantee any work if a contract is executed.

## General Conditions for all Service Categories

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### PROPRIETARY INFORMATION

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

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

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

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

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

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

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

**State Finance Law sections 139-j and 139-k** - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain new procurement lobbying requirements which can be found at <https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx>. In compliance with §139-j and §139-k of the State Finance Law (see Section V, General Conditions below for additional information), proposers will be required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility.

**Tax Law Section 5-a** - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in

excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf)). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department. The Department has created a second form that must be completed by a perspective contractor prior to contacting and filed with NYSERDA. See, ST-220-CA (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220ca\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

**Limitation** - This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement (Attachment G). NYSERDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information and the presence of a material possibility of any reputational or legal risk in making of the award.

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

**Contract Award** - NYSERDA anticipates making one or multiple awards under this solicitation. It may award a contract based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement (Attachment D) to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the submitted proposal (see Attachment A: Proposal Checklist). Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately six (6) weeks from the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

**Accessibility Requirements** - NYSERDA requires contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSERDA's Accessibility Requirements](#).

**New York Executive Law Article 17-B** – NYSERDA is required under law to promote opportunities for maximum feasible participation of certified Service-Disabled Veteran-Owned Businesses (SDVOBs). The

SDVOB participation goals and obligations of the selected Contractor are set forth in Attachment F.

**Attachments**

Attachment A: Sample Cost Structure

Attachment B: Temporary Employee Confidentiality Agreement, and Acknowledgement of General Employment Information

Attachment C: Statement of Work

Attachment D: Sample Agreement

Attachment E: Article 15-A (MWBE) Provisions for Solicitation Documents (non-construction)

Attachment F: Article 17-B (SDVOB) Provisions for Solicitation Documents (non-construction)

Appendices: Additional Items

**Facilitation Services in Support of the West Valley Citizen Task Force**  
Request for Proposal (RFP) 3526

Proposals Due: May 18, 2017 by 5:00 PM Eastern Time\*

The New York State Energy Research and Development Authority (NYSERDA) is seeking proposals for facilitation services to support the West Valley Citizen Task Force near the Western New York Nuclear Service Center in West Valley, NY. The Task Force has been meeting for twenty years, providing advice to NYSERDA and DOE regarding cleanup and long-term management of facilities located at the Center. Continued success of the CTF will be, in part, dependent on securing the services of a highly-qualified, professional facilitator with experience in group facilitation. The facilitator will assist the West Valley Citizen Task Force (CTF) in its deliberations and communications with the site managers. NYSERDA has convened a Scoring Committee with representation by DOE, NYSERDA and the CTF to assist in selection of the facilitation contractor. This Scope of Work is being circulated to solicit bids from firms and/or individuals with facilitation expertise interested in managing the CTF meetings and interactions with NYSERDA and DOE as specifically outlined in the various tasks below. Work under this contract is expected to begin October 1, 2017 and continue through September 30, 2022 (a period of 5 years). This announcement is not a solicitation for proposals.

**For additional information on this and other funding opportunities at NYSERDA, please visit <https://www.nyserdera.ny.gov/Funding-Opportunities>**

**Proposal Submission:** Electronic submission is preferable. NYSERDA will also accept proposals by mail or hand-delivery. If submitting electronically, proposers must submit the proposal in either PDF or MS Word format with a completed and signed Proposal Checklist and Disclosure of Prior Findings of Non-Responsibility. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility, rather than scanning. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. Proposals may be submitted electronically by following the link for electronic submissions found on this RFP's webpage, which is located in the "Current Opportunities" section of NYSERDA's website (<https://www.nyserdera.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>). Instructions for submitting electronically are located as Attachment D to this RFP.

If mailing or hand-delivering, proposers must submit (2) paper copies of their proposal with a completed and signed Proposal Checklist, along with a CD or DVD containing either a PDF or MS Word digital copy of the proposal, following the above guidelines. Mailed or hand-delivered proposals must be clearly labeled and submitted to:

**Proposals, RFP 3256**  
**NYS Energy Research and Development Authority**  
**17 Columbia Circle**  
**Albany, NY 12203-6399**

No communication intended to influence this procurement is permitted except by contacting Lee Gordon (Designated Contact) at (716) 942-9960, ext. 4963 or [Lee.Gordon@nyserdera.ny.gov](mailto:Lee.Gordon@nyserdera.ny.gov) (for technical questions). If you have contractual questions concerning this solicitation, contact Venice Forbes at (518) 862-1090, ext. 3507 or [Venice.Forbes@nyserdera.ny.gov](mailto:Venice.Forbes@nyserdera.ny.gov). Contacting anyone other than the Designated Contact (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

\* Late proposals will be returned. Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal. Faxed or e-mailed proposals will not be accepted. Proposals will not be accepted at any other NYSERDA location other than the address above. If

changes are made to this solicitation, notification will be posted on NYSERDA's web site at <https://www.nyserderda.ny.gov>.

- I. **Introduction** The West Valley Citizen Task Force (CTF) has been functioning as an effective advisory group to DOE and NYSERDA on the cleanup and management of the West Valley Demonstration Project and Western New York Nuclear Service Center for 20 years. Part of the successful functioning of the CTF includes active expert facilitation.
  
- II. **Program Requirements** NYSERDA is seeking a facilitation expert to coordinate the work of the West Valley Citizen Task force (CTF), provide logistical support in anticipation of regular CTF meetings, facilitate meetings in a collaborative manner that shares information to achieve consensus, compile meeting summaries and information, and maintain effective working relationships within the CTF and the agencies. Close collaboration with all CTF members and agency representatives is essential to assure continued success of the CTF process. Duties of the facilitator also include overall maintenance of the CTF website, including hosting and IT-related services, content development, updates, and adherence with accessibility regulations.
  
- III. **Proposal Requirements** Proposals shall be no more than 12 pages of content (excluding cover and title pages and table of contents) in 10-12 point font. Proposals shall be specifically responsive to each of the tasks listed in the Statement of Work (Attachment E). Proposers shall describe the relevant experience and training of all project team members and of the proposing organization as a whole. Proposals shall describe the technical approach for completion of all tasks listed in the Scope of Work (Attachment E). Proposals shall contain a complete cost proposal according to the format of the Solicitation Budget Excel File (Attachment C) using all assumptions listed in the Statement of Work (Attachment E). Proposals shall include details on whether and/or how the proposal addresses NYSERDA's Minority and Women Owned Business goals as described in Attachment F (MWBE solicitation language).

A completed and signed Proposal Checklist must be attached as the first page of your proposal. **Late proposals will be returned and proposals lacking the appropriate completed and signed Proposal Checklist may be returned. Faxed or e-mailed copies will not be accepted.**

Proposals should not be excessively long or submitted in an elaborate format that includes expensive binders or graphics. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. Each page of the proposal should state the name of the proposer, the PON/RFP number, and the page number. The proposal must be in the following format:

- a. Introduction
  - i. Qualifications - Experience, Education, and Training
  - ii. Technical Approach for Providing Services
    - 1. Task 1 – Pre-Meeting Activities
    - 2. Task 2 – Meeting Management
    - 3. Task 3 – Post Meeting Activities
    - 4. Task 4 – Coordination of the CTF
    - 5. Task 5 – Communication with the Agencies
    - 6. Task 6 – Management of CTF Website
  - iii. Deliverables
  - iv. Schedule

v. Proposal Budget Details

**IV. Proposal Evaluation**

- Proposals that meet solicitation requirements will be reviewed by a Scoring Committee using the Evaluation Criteria below **listed in order of importance. Items (b) and (c) are equally important.** At NYSERDA's discretion, proposers may be requested to interview with all or part of the Scoring Committee to address any potential questions or clarifications outlined in the proposals. Proposers will be notified if they are requested to attend an interview.
  - (a) **Quality of the Organization** - Quality and depth of the resources and support systems necessary to complete the work requested in the RFP. Qualifications of the firm including years of experience, listing of similar group facilitation and group deliberation projects. Training, education and experience of facilitator and backup facilitator.
  - (b) **Technical Approach to the Work** - Ability to provide the necessary resources to conduct high quality work in a timely and high quality manner. Approach to managing CTF deliberations, advancing the mission of the CTF, building consensus within the CTF and with the agencies, and enhancing the organizational behavior, interpersonal relations, group dynamics, and communications of the CTF. Proposal addresses these elements with respect to all tasks listed in the RFP.
  - (c) **Cost** - The reasonableness of the unit rates proposed. A comparison of all proposers' costs and fees. A comparison of all proposers cost estimate for required activities. Consideration of cost saving measures.
  - (d) **Diversity** - Acceptance of the terms and conditions in sample agreement. Utilization of MWBE/SDVOB to meet NYSERDA's project goals.

NYSERDA reserves the right to accept or reject proposals based on the following factor(s):

- The degree to which pricing and hourly rates are in line with the rest of the market.
- A proposal is not responsive to each task listed in the Statement of Work (Attachment E)

**V. GENERAL CONDITIONS**

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



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

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

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

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

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

**State Finance Law sections 139-j and 139-k** - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx> . The attached Proposal Checklist calls for a signature certifying that the proposer will comply with State Finance Law sections 139-j and 139-k and the Disclosure of Prior Findings of Non-responsibility form includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years.

**Tax Law Section 5-a** - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf)). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department. The Department has created a second form that must be completed by a prospective contractor prior to contacting and filed with NYSERDA. See, ST-220-CA (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220ca\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf> .

**Contract Award** - NYSERDA anticipates making one award under this solicitation. It may award a contract based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the submitted proposal (see Proposal Checklist). Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately six to eight weeks from the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

**Accessibility Requirements** - NYSERDA requires contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSERDA's Accessibility Requirements](#).

**Limitation** - This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement. NYSERDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information and the presence of a material possibility of any reputational or legal risk in making of the award.

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

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**VI. Attachments:**

Attachment A – Proposal Checklist (required)

Attachment B – Disclosure of Prior Findings

Attachment C – Solicitation Budget (Excel File)

Attachment D – Instructions for Electronic Proposal Submission

Attachment E – Statement of Work

Attachment F – MWBE Language (non-construction)

Attachment G – Sample Agreement

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Residential Program Management Software  
Request for Proposal (RFP) 3545

*NYSERDA reserves the right to extend and/or add funding to the Solicitation should other program funding sources become available.*

Proposals Due: September 21, 2017 by 5:00 PM Eastern Time\*

The New York State Energy Research and Development Authority (NYSERDA) is seeking proposals for program management software for the NY Residential Existing Homes Programs (Program) which provides energy efficiency services to existing one-to-four family residential buildings in New York State. The objective of this RFP is to award a contract for a solution that provides a common web-based data and process management platform to multiple stakeholders, including program administration staff, contractors, customers, lenders, and outreach organizations that will manage residential energy efficiency projects from application intake through project completion and incentive payout. A strong reporting and data analysis component is desired.

**Proposal Submission:** Electronic submission is preferable. Proposers may submit Word, Excel, or PDF files (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. NYSERDA will also accept proposals by mail or hand-delivery if electronic submission is not possible. For detailed instructions on how to submit a proposal, click the link "NYSERDA Solicitation User Guide [PDF]" located in the "Current Opportunities" section of NYSERDA's website (<https://www.nyserdera.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted except by contacting Bill Keating – (Primary Designated Contact) at (518) 862-1090, ext.3089 or by e-mail [bill.keating@nyserdera.ny.gov](mailto:bill.keating@nyserdera.ny.gov) or Laura Geel – (Designated Contact) at (518) 862-1090, ext.3446 or by e-mail [laura.geel@nyserdera.ny.gov](mailto:laura.geel@nyserdera.ny.gov). If you have contractual questions concerning this solicitation, contact Elsyda Sheldon (Designated Contact) at (518) 862-1090, ext. 3232 or [elsyda.sheldon@nyserdera.ny.gov](mailto:elsyda.sheldon@nyserdera.ny.gov) or Venice Forbes (Designated Contact) at (518) 862-1090, ext. 3507 or [Venice.Forbes@nyserdera.ny.gov](mailto:Venice.Forbes@nyserdera.ny.gov). Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

**\* All proposals must be received by 5pm Eastern Standard Time on the date noted above. Late, faxed, or emailed proposals will not be accepted.** Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal. Please note: for electronic submission, there are required questions that you will have to answer in addition to uploading attachments and you should allot at least 60 minutes to enter/submit proposals. The electronic proposal system closes promptly at 5pm, files in process or attempted edits or submission after 5pm Eastern Standard Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on NYSERDA's web site at <https://www.nyserdera.ny.gov/>.

## I. Introduction

The New York State Energy Research and Development Authority (NYSERDA) is a public benefit corporation established pursuant to Title 9 of Article 8 of the Public Authorities Law of the State of New York (State). NYSERDA's principal mission is to develop innovative solutions to some of the State's most difficult energy and environmental problems.

The New York State Public Service Commission's (PSC) Order Authorizing the Clean Energy Fund Framework (Case 14-M-0094) was issued January 21, 2016, and in support of the Resource Acquisition Transition Chapter of the Clean Energy Fund Investment Plan revised February 22, 2016, NYSERDA began operating under these guidelines as of March 1, 2016. A revised Plan was submitted on June 23, 2017.

The approved investment plans include NYSERDA's NY Residential Existing Homes Programs outlining services for Market-Rate and Low-to-Moderate Income households. These programs are currently called Home Performance with ENERGY STAR® and EmPower New York under the umbrella term the NY Residential Existing Homes Program (the Program). NYSERDA intends to merge the administration of the Home Performance with ENERGY STAR and EmPower New York into a single offering to provide a more seamless experience for customers and contractors. References to "the Program" in this RFP refer to the combined Home Performance with ENERGY STAR and EmPower New York programs.

The Program is designed to: reduce energy use burden (percentage of the household income spent on energy bills); improve the health, safety and comfort of homes; capture heating fuel and electricity-related consumption savings; and provide incentives that address the up-front cost barrier for low-to moderate-income customers. Energy efficiency services are delivered by a network of more than 200 Participating Contractors.

This RFP addresses the program management needs of the Program as well as future, related residential energy efficiency programs. The program management software solution chosen in response to this RFP is a key component of the merged administrative function of the Home Performance with ENERGY STAR and EmPower New York Programs.

The current Program offerings are described below:

**EmPower**, the low-income component (serving households whose income is less than 60% of the State Median Income) provides no-cost and low-cost electric reduction and home performance upgrades. In-home energy-use education provides customers with additional strategies for managing their energy costs.

**Assisted Home Performance with ENERGY STAR (AHPwES)**, the moderate-income component (serving households whose income is up to 80% of the Area Median Income) provides cost-sharing for approved electric reduction and home performance upgrades that are chosen by the homeowner.

**Home Performance with ENERGY STAR (HPwES)** the market-rate component (serving households whose income is greater than 80% of the Area Median Income) currently provides contractor incentives for approved electric reduction and home performance upgrades that are chosen by the homeowner.

**Residential Financing**, Program Participants meeting the current underwriting guidelines may access NYSERDA's Residential Financing for eligible services. Available interest rates for eligible applicants range from 3.49% to 7.99% depending on income level, credit status, and upgrades installed.

Additional information on the existing Programs and financing options can be found on NYSERDA's website [www.nysERDA.ny.gov/residential](http://www.nysERDA.ny.gov/residential).

NYSERDA may add additional residential energy efficiency program and project types, and change features of existing project types, in the future to be supported by the system selected through this RFP.

## **Additional Definitions**

***Electronic Data Interchange (EDI):*** A data standard for transferring data between systems. For the purposes of this RFP, this specifically refers to the transfer of metered electricity and natural gas consumption data of consenting Program Participants from utilities to NYSERDA.

***Energy Modeling Software:*** Energy-modeling software provides computerized simulation of a building's energy performance that focuses on energy consumption, utility bills and costs and performance of various energy related upgrades such as insulation, air sealing, heating system, hot water systems, and appliances. NYSERDA has approved the following energy modeling software for Program use and may add additional approved tools in the future: Cake, OptiMizer, SnuggPro, and TREAT.

***HPXML:*** The Home Performance Extensible Markup Language (HPXML) is an open data standard created to support the home performance industry by facilitating communication and the exchange of information and data on residential building and energy performance. More information can be found at: <http://www.hpxmlonline.com>.

***Participating Contractors:*** Contractors with an active Participation Agreement with NYSERDA to provide residential energy efficiency services through the Program. There are approximately 230 contractors currently participating in the Program.

***Program Implementer:*** Organizations under contract with NYSERDA to provide administrative and implementation services to the Program, including application processing, technical work scope review, and loan processing.

***Program Partners:*** Other organizations under contract with NYSERDA or working in collaboration with NYSERDA to provide energy efficiency support services, such as outreach organizations or utilities.

***Program Participants:*** A customer, defined as an owner or renter of one-to-four family homes in New York State that has applied to or is participating in the Program.

## **II. Program Requirements**

### **A. Scope of Services to be Provided**

NYSERDA seeks to procure program management software that will enable the management of residential energy efficiency projects, using a software system or package that can be accessed by NYSERDA, the Implementation Contractors, Participating Contractors, Program Participants, and Program Partners.

This solicitation seeks a software system or package that can provide:

- An online consumer application for energy audit and income-based incentives that initiates a project workflow within the system.
- Workflow management systems, allowing Program Participants and/or Participating Contractors to submit information, upload data files, process paperwork, and easily track projects throughout the project lifecycle.
- Role-based access to allow NYSERDA staff, Program Implementers, Participating Contractors, Program Partners, and other program stakeholders to view and edit relevant data.
- Incentive processing, and budget and incentive expenditure tracking, including but not limited to: full project cost, NYSERDA's share of the project cost by funding type, customer cost share, and other cost share.
- Generation of documents and forms for Participating Contractor and Program Participants that includes output of information collected in or calculated by the system and HPXML data fields.
- Calculations of cost effectiveness, as defined by NYSERDA, for projects seeking NYSERDA's Residential Financing offers.
- Management of contractor participation data, including statistics of work completed, contact information, certifications, service areas, and other pertinent details.
- Data capturing and analysis capabilities that are compatible with HPXML.
- Data analysis capabilities that allow NYSERDA to track administrative processes, generate reports and track application referral sources.
- Ability to send and receive data among other program systems, such as Residential Financing lender's databases, NYSERDA's CRIS database (a customized .Net solution), NYSERDA's Salesforce platforms, NYSERDA's PeopleSoft Financials System and NYSERDA's Electronic Data Interchange (EDI) solutions, as needed. This includes project data, including upgrades installed, energy savings, buildings data, and project status.
- Capability to leverage HPXML data standard, or other alternate methods, to support logic-driven and automated decisioning for program project approvals.
- Flexibility in supporting new project types, program initiatives, and Program Partner collaboration as NYSERDA's residential energy efficiency initiatives evolve over time.

## **B. Project Types and Typical Lifecycle**

Incentive types and amounts are determined by the energy efficiency upgrades included in the project's workscope and a customer's income eligibility. In addition, the Program supports multiple project types that have different processes and eligibility criteria. The current project types and their typical lifecycles are described below.

All project types will start with a *universal residential energy efficiency customer application* to be hosted through the chosen software platform. This application should be dynamically driven to provide the applicable questions based on services for which the customer is applying and track application referral sources.

*Energy Audits* are offered at free or reduced costs to most New York State homeowners. The process begins with an application that would be completed using the program management software, which can be submitted by the customer or through a partner on behalf of a customer, such as a contractor or outreach partner. Upon application approval, customers are granted a unique reservation number and funding is reserved. Contractors report to the Program they are working with a customer and submit their

audit report to request payment after the audit is completed. NYSERDA receives approximately 20,000 audit applications annually.

*Low-Income Referrals* are sent to NYSERDA from various sources, including utilities, social services offices, community based organizations, and contractors. The referrals are tracked in a NYSERDA Salesforce system referred to as the Referral Database. The chosen software for program management must be able to communicate with the Referral Database by sharing unique identifiers and statuses based on key project milestones.

*Electric Reduction* projects are offered to low income customers who have applied for energy efficiency services and have been identified as having opportunities to reduce their electric usage, but have limited opportunities to reduce thermal usage. NYSERDA estimates approximately 5,700 electric reduction projects in 2017.

*Home Performance* projects are offered to applicants of all income levels and include a wide variety of upgrades, such as air sealing, insulation, heating systems, water heaters, lighting, appliances, etc. Workscopes are typically submitted through energy modeling software and supporting documentation.

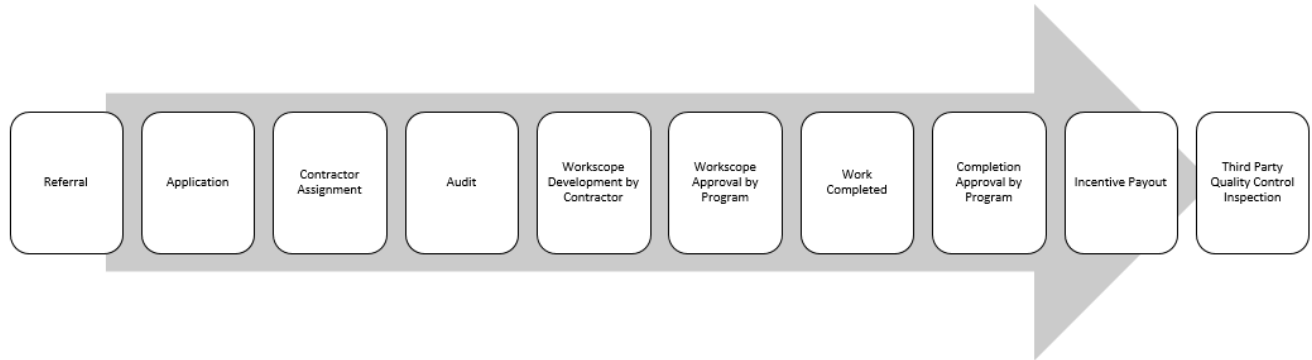
For both Electric Reduction and Home Performance projects, NYSERDA seeks a system that can manage the document submissions and approval processes throughout the lifecycle different project types.

In addition, NYSERDA seeks a system that can receive HPXML output from the approved energy modeling tools, parse the HPXML files and use logic for automated decision making to reduce the need for manual reviews. NYSERDA estimates approximately 15,800 home performance jobs, among all income levels, in 2017. With the implementation of HPXML data standard for auto decisioning is it expected that 80% of projects could be reviewed through the system automatically.

*Projects receiving financing through NYSERDA* require workscopes to meet certain cost effectiveness criteria. Financing is originated through a third-party lender.

- NYSERDA seeks a software platform that can effectively communicate data to and receive data from lenders. In addition, the software platform shall have the ability to screen program loans for cost effectiveness in accordance with program requirements. More information about NYSERDA's residential financing programs can be found at <https://www.nyserdera.ny.gov/All-Programs/Programs/Residential-Financing-Options>.
- The Proforma calculator for cost effectiveness for the Program, in an excel format, is located at: [http://hpwescontractorsupport.com/wp-content/uploads/2014/09/Copy-of-HPwES\\_ProForma\\_Financial\\_Worksheet\\_v6.33.xlsm](http://hpwescontractorsupport.com/wp-content/uploads/2014/09/Copy-of-HPwES_ProForma_Financial_Worksheet_v6.33.xlsm). Proposers must document how they can support these calculations within their software system.

Diagram 1 explains the typical project lifecycle.



It is expected that new projects types will be introduced over time to support pilot projects and special initiatives. The software solution must be able to support new processes and workflow steps, track projects by initiative and multiple funding sources, add new project, incentive and funding source types in a flexible and timely manner, with minimal disruptions to program processing. Other Program Partners, such as utilities, must have the ability to coordinate with the Program with minimal modifications needed to the software solution.

In the future, NYSERDA may seek to share project data with other lending entities. The system selected through this RFP shall have the capabilities to communicate with outside systems to support data sharing with market based lenders.

### **C. Program Tracking and Reporting**

NYSERDA seeks a system that allows transparent tracking of project metrics, including upgrades installed, housing characteristics, and energy savings metrics as provided through Program approved energy modeling software. NYSERDA has mandatory reporting requirements on a monthly, quarterly, and annual basis. In addition, NYSERDA receives numerous ad-hoc reports with requests that are not always predictable. The system must be able to accept HPXML files and store data in a way that is easily accessible and usable for reporting and data transfer purposes.

NYSERDA must also have readily available access to Program analytics including processing times by Program Implementation Contractors, performance of Participating Contractors, budget tracking, and metrics regarding projects in progress.

The ideal system will allow Program staff to easily retrieve, manipulate, and analyze data.

In addition to tracking program data within the software, NYSERDA also requires data sharing via API or other mechanism with other Program systems, including but not limited to:

- NYSERDA's Comprehensive Residential Information System (CRIS) - a customized .Net solution which houses key project metrics
- NYSERDA's Salesforce platform
- Residential Financing Lenders' systems
- NYSERDA's SQL Server based data warehouse

- NYSERDA’s Electronic Data Interchange (EDI)

**D. Technical Requirements**

- Universal residential energy efficiency customer application must be able to be completed leveraging a browser-based interface and available as a responsive interface (desktop, tablet and phone).
- Systems should have the capability to exchange data between their proposed Software Platform and the platforms identified in the RFP already in use by NYSERDA.
- The program management software system must meet NYS Information Security Policy NYS-P03-002. The NYS Information Security policy details are available at: <https://its.ny.gov/document/information-security-policy>
- The program management software system must meet NYS-PO8-OO5 Accessibility of Web-Based Information and Applications Compliance Reporting”, NYS Accessibility Requirement details are available at: [https://its.ny.gov/sites/default/files/documents/nys\\_p08-005\\_memo\\_09102010.pdf](https://its.ny.gov/sites/default/files/documents/nys_p08-005_memo_09102010.pdf)
- The program management software system must meet NYS policy NYS-S15-OO2 Enterprise Vulnerability Scanning”, The NYS Enterprise Vulnerability Scanning details are available at: <https://www.its.ny.gov/document/vulnerability-scanning-standard>

**E. NYSERDA’s Roles and Responsibility**

The major responsibilities of NYSERDA are to:

- Provide a NYSERDA point person to provide details and support to the selected software vendor
- Provide detailed instructions about current processes and reporting requirements that need to be supported by the software
- Provide requirements for interfacing with other NYSERDA systems
- Provide review and testing of deliverables in a timely manner

NYSERDA reserves the right to:

- Incorporate programmatic changes as needed, thus modifying or adding to the selected system
- Add other project types and processes within NYSERDA’s residential energy efficiency portfolio to be supported by the selected system
- Request modifications or enhancements to the system to meet NYSERDA’s need, and negotiate the budget for new features

**F. Minimum Qualifications**

Proposals must demonstrate that/how the software solution can meet the following minimum qualifications:

- Hosted on a secure, web-based platform with role-based access permissions to Program Participants and partners
- Commercial off-the-shelf functionality meets most or all of the requirements explained in this RFP

- Store documents and provide access to files submitted by Program Participants, Participating Contractors, and Program Partners and have the ability to transfer these files to NYSERDA upon contract completion.
- Accept HPXML uploads and save related fields for data analysis and reporting purposes
- Have a flexible, and easy to use data analysis capabilities
- Ability to share data across multiple Program systems

Proposers must meet the following minimum qualifications:

- Demonstrated experience working with similar organizations or programs
- Ability to collaborate with NYSERDA to drive continuous process improvements and cost reductions over time
- Ability to customize the customer-facing interface with NYSERDA logo and color palette.
- Possess staff, or partners with staff, with an understanding of fundamental building science principles and the residential energy efficiency market
- Possess staff, or partners with staff, with HPXML expertise

### **Contract Term**

The initial contract will be for a period of 24-months and cover initial configuration work for Program management software, and ongoing maintenance. NYSERDA may issue annual contract renewals for up to three additional years. NYSERDA reserves the right to add additional time and/or funding to the awarded contract.

### **III. Proposal Requirements**

Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. The proposal must be in the following format:

- Introduction and General Information
- Description of Product and System Capabilities
- Data exchange capabilities, options and plan for communication protocols between systems
- Statement of Work (See Attachment C)
- Management Plan/Schedule
- Project Personnel
- Budget/Rates (See Attachment A)
- Examples of Similar Work

#### Introduction and General Information (Up to 3 pages plus financial reports)

Proposers must include the following information in their response:

- Firm or organization name, address, telephone and fax number, e-mail address, website URL (if applicable), and primary contact person
- Year firm or organization was established
- Name and address of parent company (if applicable)



Proposers should include key information about their organization and their software solution and how they are qualified to provide the services requested under this RFP. Proposers should also provide financial reports, or links to their website with financial reports.

Proposer must include any information related to license agreements and terms of use for their software.

Description of Product and System Capabilities (Up to 10 pages)

Proposers should provide detailed information about their product(s) and services about how it meets each of the requirements listed in this RFP. Proposers should clearly articulate their execution strategy, including: process to write system specifications based on NYSERDA's needs, software configuration and/or development processes, training/delivery of the product, and ongoing support to NYSERDA.

Proposers should clearly articulate how their product meets each of NYSERDA's needs and articulate if each of the needs can be met as basic, off-the-shelf offerings or if configuration or development work is needed. NYSERDA encourages proposers to describe other features of their software that are benefits beyond the minimum requirements of this RFP. (For example, homeowner access to the system, advanced analytical capabilities, etc.). The proposers should clearly articulate if these additional features are part of a core package, or if the features are optional, whether they have off-the-shelf capability or require configuration or development, and what, if any, additional fees are applicable.

Data exchange capabilities, options, and plan between systems (Up to 2 pages)

Proposers should detail capabilities and options to exchange data between their proposed Software Platform and the platforms identified in the RFP already in use by NYSERDA.

Statement of Work (Up to 6 pages)

Proposers should clearly articulate their execution strategy consistent with the requested tasks and deliverables outlined in Attachment C. Details around the approach, methodology, and rationale for the proposed execution strategy should be included in a similar format as presented in Attachment C.

Management Plan/Schedule (Up to 2 pages)

Proposers should describe their approach to software set-up, configuration, or development (e.g., waterfall, agile). Proposals must include an estimated timeline (in weeks) of delivery of the initial product for NYSERDA's needs, based on the proper's understanding of the requirements of this RFP.

Project Personnel (Up to 4 pages)

The proposer should describe the experience, qualifications (skills and abilities), and proposed responsibilities of each of the key persons to be utilized in the execution of the statement of work, including subcontractor personnel. An organization chart showing the relationships among all personnel should also be included. State the individual and combined expertise that would enable successful execution of the Statement of Work.

The proposer should highlight the abilities of the primary contact, who will be responsible for communications with NYSERDA, development of work specifications, and oversight of product delivery. This description of the primary contact's expertise should provide assurance of successful execution of the Statement of Work.

Rates (Attachment A and up to 1 page of written details)

The proposers selected under this solicitation will be awarded a contract for an initial two-year term, with the potential for a single or multiple contract extensions for up to a total of three additional years based on performance and NYSERDA's needs. Please provide rates for services to be provided for a 2-year contract period. Any anticipated year over year price changes for the duration of the agreement with NYSERDA must be identified.

Proposers should clearly articulate the cost structure of their products and services, such as: initial configuration or development work; project management fees, annual or monthly service fees, annual or monthly licensing fees, ongoing maintenance/development fees.

Proposers should complete the Attachment A - Budget form to clearly indicate hourly salary rate range for each title classification proposed under the agreement with NYSERDA. Proposers are also offered the opportunity to convey an alternative staffing / pricing model based upon their understanding of this RFP.

Preference will be given to proposers that can demonstrate the lowest "all in" cost to NYSERDA while providing the highest quality product.

Examples of Similar Work (Up to 4 pages)

Proposers should describe their experience supporting similar projects or programs with the proposed software product. For each example, an abbreviated scope of product/services and budget must be included to demonstrate the similarity, execution strategy, and cost-effectiveness of previous work. Proposers should indicate personnel involved and their level of responsibility for each example provided.

Proposers can include website links or pictures that help to demonstrate their product.

At least two (2) references that address the proposer's experience and performance in providing products and services comparable to those being requested in this RFP should also be included. Please include client contact information for each reference.

In compliance with §139-j and §139-k of the State Finance Law (see Section V, General Conditions below for additional information), proposers will be required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility.

#### **IV. Proposal Evaluation**

**All proposals must be received by 5pm Eastern Standard Time on September 21, 2017** as noted on the first page of this solicitation. Late, faxed, or emailed proposals will not be accepted. Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal. Please note: for electronic submission, there are required questions that you must answer in addition to uploading attachments and you should allot at least 60 minutes to enter/submit proposals. The electronic proposal system closes promptly at 5pm, files in process or attempted edits or submission after 5pm Eastern Standard Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on NYSERDA's web site at <https://www.nyserda.ny.gov/>. All proposals submitted as part of the solicitation process become the property of NYSERDA.

- Respondents must address all product needs described in the RFP, which will serve as a basis for evaluation.

For detailed instructions on how to submit a proposal, click the link “NYSERDA Solicitation User Guide [PDF]” located in the “Current Opportunities” section of NYSERDA’s website (<https://www.nysesda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

Proposals that meet solicitation requirements will be reviewed by a Scoring Committee using the Evaluation Criteria below **listed in order of importance**. At NYSERDA’s discretion, proposers may be requested to interview or provide a demonstration with all or part of the Scoring Committee to address any potential questions or clarifications outlined in the proposals. Proposers will be notified if they are requested to attend an interview or provide a demonstration.

Proposals that meet RFP requirements will be evaluated based **only** on the information submitted. Only proposals for products that meet the requirements in the RFP will be evaluated. NYSERDA reserves the right to request clarification on the information submitted within the proposals. A Scoring Committee will review and assign scores based on the criteria detailed below. Final rankings and contract award(s) will be based on the following:

**System Capabilities:** Does the product meet the product requirements stated in this RFP? Does the Proposer demonstrate flexibility in the product to respond to NYSERDA’s evolving needs? Is the security protocol acceptable? Are the analytical systems clearly explained and does it meet NYSERDA’s needs?

**Execution:** Is the proposed execution of the Statement of Work thorough and consistent with the RFP’s stated objectives? Is it evident that the Proposer demonstrates appropriate understanding and expertise to fulfill the requested tasks? Is there clear evidence that the Proposer possesses the capacity to implement, coordinate and monitor the tasks assigned? Has the software set-up, configuration or development approach been clearly defined? Is a schedule for delivery clearly defined? Can the product be delivered in a timely manner? Has the Proposer demonstrated the ability to implement continuous system improvements to improve service and drive down costs over time?

**Cost:** How cost effective is the proposal? Is the Budget example responsive, comprehensive, and clear? Does the proposal clearly break out the various cost elements, such as configuration fees, development fees, monthly license or service fees, ongoing maintenance, etc.? Are billing rates reasonable and appropriate? Are a sufficient number of staff with appropriate skills assigned to the tasks?

**Responsiveness:** Has the Proposer demonstrated a clear understanding of the objectives, scope of services, and requirements of the RFP? Does the proposal exhibit responsiveness, experience, and ability to provide the product and services cost-effectively and in a timely manner? Does the Proposer demonstrate operational excellence, industry expertise, and adaptability?

**Staffing:** Is the staffing plan and schedule clear and well-defined? Do key personnel have sufficient qualifications as it relates to computer skills, data management, and customer service? Was an organizational chart included? Does the staffing plan include staff with knowledge of building science? Does the staffing plan include staff with expertise in HPXML?

**Relevant Experience:** Did the Proposer adequately demonstrate experience working with similar energy efficiency organization or programs? How comparable were the examples to the services requested in this RFP? Do the references provided align with the proposer’s stated skills and experience?

The award selection process contains multiple steps including an initial eligibility review, ranking by a Scoring Committee of subject matter experts, and considerations such as program policy factors to make the selection decisions. NYSERDA may consider the following program policy factors in making award selection decisions;

- The degree to which the proposed product meets NYSERDA's needs, as explained in the RFP, with minimal additional development work needed.
- The degree to which there are technical, market or organizational risks associated with the project.
- Prior experience working with the proposer and/or software solution.

Contract negotiations may include the proposer's fee schedules to ensure work is accomplished at fair and reasonable rates. NYSERDA reserves the right to negotiate among finalists to assure services, and to assure access to specific expertise.

## V. GENERAL CONDITIONS

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

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

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

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

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

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

**New York Executive Law Article 15-A** - NYSERDA is required under the law to promote opportunities for maximum feasible participation of certified minority-and women-owned business enterprises and the employment of minority group members and women in the performance of NYSERDA contracts. The MWBE participation goals and obligations of the selected Contractor are set forth in the Sample Agreement.

**New York State Executive Law Article 17-B**, NYSERDA recognizes its obligation under the law to promote opportunities for maximum feasible participation of certified service-disabled veteran-owned business enterprises (SDVOB) in the performance of NYSERDA contracts. Executive Law Article 17-B and its associated regulations require, among other things, that NYSERDA establish goals for maximum feasible participation of New York State Certified SDVOBs in the performance of New York State contracts. The SDVOB participations goals and obligations of the selected Contractor are set forth in the Sample Agreement.

**State Finance Law sections 139-j and 139-k** - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx> . Proposers are required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility (this includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years).

**Tax Law Section 5-a** - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf)). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department.

The Department has created a second form that must be completed by a prospective contractor prior to contacting and filed with NYSERDA. See, ST-220-CA (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220ca\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf> .

**Contract Award** - NYSERDA anticipates making one award under this solicitation. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA may at its discretion elect to

extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately (4) weeks from the (proposal due date) whether your (proposal) has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

**Accessibility Requirements** - If awardees from this solicitation will be posting anything on the web, or if the awardee will produce a final report that NYSERDA will post to the web, the following language must be included. NYSERDA requires contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSERDA's Accessibility Requirements](#).

**Limitation** - This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement. NYSERDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information and the presence of a material possibility of any reputational or legal risk in making of the award.

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

## **VI. Attachments:**

Attachment A – Budget

Attachment B – Sample Agreement

Attachment C – Statement of Work Template

Attachment D - Diversity Practices Questionnaire

Attachment E - Article 15-A (MWBE) Solicitation Provisions (non-construction)

Attachment F - Article 17-B (SDVOB) Solicitation Provisions (non-construction)

REVitalize  
Request for Proposal (RFP) 3584  
**\$ 325,000 Available**

*NYSERDA reserves the right to extend and/or add funding to the Solicitation should other program funding sources become available.*

Proposals Due: September 11, 2017 by 5:00 PM Eastern Time\*

Governor Cuomo's Reforming the Energy Vision (REV) initiative is providing New York consumers and communities with new opportunities to participate in their energy future. Policy and regulatory developments will result in the proliferation of distributed energy resources (DER) such as community solar and provide consumers and communities with unprecedented control over how they use and source energy, including community ownership of DER. However, low-to moderate-income (LMI) and environmental justice (EJ) areas often lack the technical expertise and financial resources to plan for, develop, and implement a community-scale clean energy project, preventing these communities from fully taking advantage of the opportunities provided by REV and necessary to realizing its success. Through REVitalize, NYSERDA seeks to support the planning of community-scale clean energy projects that benefit low- to moderate-income communities and EJ areas.

NYSERDA requests proposals from Community Based Organizations (CBOs) that serve or otherwise represent LMI communities or EJ areas who need technical assistance in the planning of a community-scale clean energy project. For the purpose of this funding opportunity, a CBO is defined as a public or private nonprofit organization that provides programs or services to address energy, environmental, housing, health, education, or other human service needs at the local level for the benefit of residents of LMI communities or EJ areas; or otherwise represents the communities in an organizing or advocacy role. Selected proposals will be awarded with funding that the CBO can use to procure the technical assistance needed to carry out the planning and development activities necessary for the implementation of a community-scale clean energy project.

NYSERDA will also provide awardees with a set of toolkits to assist in the planning and development of the project. Awardees will be required to work with NYSERDA to refine the toolkits by providing feedback on the content and the development of best practices.

NYSERDA expects to fund up to five (5) proposals under this solicitation, with a maximum award of \$65,000 per agreement. Each agreement will be for two years with a one year option to renew at NYSERDA's discretion if additional time is needed. NYSERDA reserves the right to add additional time of funding to awarded contracts.

NYSERDA is seeking diversity in project type and geographic distribution of projects. Eligible project types include, but are not limited to: community solar, district geothermal or biomass, micro grid, and aggregated energy efficiency and weatherization and geographic distribution of projects. NYSERDA reserves the right to adjust awards based on statewide portfolio or regional distribution needs.

NYSERDA requires a minimum cost share of 30% of the total project cost. For example, if a proposer requests \$65,000 (70%) of NYSERDA funding; \$27,857.15 (30%) cost share is required on a total project of \$92,857.15.

**Prequalification Criteria:** Proposals that do not meet the below criteria will be eliminated without further evaluation:

- The lead proposer must meet the definition of a CBO provided in this RFP.
- The proposal must demonstrate that some level of community energy planning such as an inventory of energy assets, identification of community energy needs and load zones, etc. has occurred.
- Funded projects must be located in and benefit residents in a LMI community, as defined by the [United States Department of Housing and Urban Development \(HUD\)](#)<sup>1</sup> or a potential EJ area as defined by the [New York State Department of Environmental Conservation \(DEC\)](#)<sup>2</sup>. If the siting of a project location falls outside of the LMI community or EJ area, the project proposers must demonstrate how LMI or EJ residents will receive benefits from the project.
- Funded projects must provide benefits (e.g. energy credits, direct energy cost savings, etc.) to LMI customers.
- Funded projects must lead to the development of a community-managed clean energy project that is either located in or benefits an LMI or EJ community.

An **informational webinar** for potential proposers will be held on July 12, 2017 at 3:00 – 4:00 p.m. (Eastern Time) during which NYSERDA will review the requirements of this solicitation and answer questions. Proposers who intend to participate can register at: [RFP 3584 REVitalize](#).

If changes are made to this solicitation, notification will be posted on NYSERDA’s web site at <https://www.nyserda.ny.gov>.

Questions may be submitted to [lori.clark@nyserda.ny.gov](mailto:lori.clark@nyserda.ny.gov) prior to the Webinar. Proposers will also have the opportunity to submit questions during the webinar using the webinar Q&A chat function. NYSERDA will post questions and responses in the link for this solicitation on the NYSERDA current funding opportunities page, after the webinar. All questions will be posted anonymously, NYSERDA’s written responses will supersede any responses given during the webinar.

**Proposal Submission:** Electronic submission is preferable. Proposers may submit Word, Excel, or PDF files (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer’s entity name in the title of the document. NYSERDA will also accept proposals by mail or hand-delivery if electronic submission is not possible. For detailed instructions on how to submit a proposal, click the link “NYSERDA Solicitation –

<sup>1</sup> HUD uses tabulations of Census data to determine areas where at least 51% of households have incomes at or below 80% of the area median income (AMI). Detail on HUD low and moderate income areas can be found online at: <https://catalog.data.gov/dataset/hud-low-and-moderate-income-areas>.

<sup>2</sup> Potential environmental justice area is a minority or low-income community that may bear a disproportionate share of the negative environmental consequences resulting from industrial, municipal and commercial operations or the execution of federal, state, local and tribal programs and policies.



User Guide” located in the “Current Opportunities” section of NYSERDA’s website (<https://www.nysерda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>)

No communication intended to influence this procurement is permitted except by contacting Lori Clark – primary contact (Designated Contact) at (518) 862-1090, ext. 3202 or by e-mail [Lori.Clark@nysерda.ny.gov](mailto:Lori.Clark@nysерda.ny.gov) or Chris Coll – secondary contact (Designated Contact) at (518) 862-1090, ext. 3425 or by e-mail [Christopher.Coll@nysерda.ny.gov](mailto:Christopher.Coll@nysерda.ny.gov) (for technical questions). If you have contractual questions concerning this solicitation, contact Elsyda Sheldon (Designated Contact) at (518) 862-1090, ext. 3232 or [elsyda.sheldon@nysерda.ny.gov](mailto:elsyda.sheldon@nysерda.ny.gov). Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer’s behalf) to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

**\* All proposals must be received by 5pm Eastern Standard Time on the date noted above. Late, faxed, or emailed proposals will not be accepted.** Incomplete proposals may be subject to disqualification. It is the proposer’s responsibility to ensure that all pages have been included in the proposal. Please note: for electronic submission, there are required questions that you will have to answer in addition to uploading attachments and you should allot at least 60 minutes to enter/submit proposals. The electronic proposal system closes promptly at 5pm, files in process or attempted edits or submission after 5pm Eastern Standard Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on NYSERDA’s web site at <https://www.nysерda.ny.gov/>.

## I. Introduction

Nearly half of the households in New York State have low- to moderate-incomes (LMI)<sup>3</sup> and more than 2.3 million of these households have annual incomes below 60 percent of the state median income (SMI) and are eligible for energy bill payment assistance and no-cost energy efficiency and weatherization services. The financial burden of paying monthly energy bills can leave low- to moderate-income New Yorkers stretching every dollar. A household's energy burden<sup>4</sup> can be more than 20 percent for low-income households, compared to less than 6 percent energy burden for higher-income households. In addition to the large LMI population in the State, there are potential environmental justice (EJ) areas<sup>5</sup> in 56 counties in New York State that often face the disproportionate impacts of pollution associated with industrial activities, transportation, and energy generation. In addition, these communities are subject to the risks of climate change and have lacked avenues to address problems of resiliency and affordability posed by traditional electric power infrastructure.

Governor Cuomo's Reforming the Energy Vision (REV) initiative will provide New York State consumers and communities with new opportunities<sup>6</sup> to participate in their energy future by enabling the deployment of distributed energy resources (DER)<sup>7</sup>, such as community solar projects. While these opportunities will provide consumers and communities with greater control over how they consume and source their energy, LMI communities and EJ areas often lack the technical expertise and financial resources to plan for, develop, and implement a community-scale clean energy project, preventing these communities/areas from fully benefiting from the opportunities provided by REV and necessary to realizing its success.

<sup>3</sup> In the context of New York State energy programs, a low-income household is defined as having an annual income of 60% of SMI, or approximately \$53,000 for a family of four. A moderate-income household has an annual income above 60% of SMI, but below 80% of the Area Median Income (AMI) or SMI, whichever is higher. 80% of the SMI is approximately \$70,761 for a family of four.

<sup>4</sup> A household's energy burden is defined as the ratio of energy costs to income.

<sup>5</sup> As established in DEC Commissioner Policy 29 on Environmental Justice and Permitting (CP-29), Potential EJ Areas are U.S. Census block groups of 250 to 500 households each that, in the 2000 Census, had populations that met or exceeded at least one of the following statistical thresholds:

1. At least 51.1% of the population in an urban area reported themselves to be members of minority groups; or
2. At least 33.8% of the population in a rural area reported themselves to be members of minority groups; or
3. At least 23.59% of the population in an urban or rural area had household incomes below the federal poverty level.

<sup>6</sup> Through the REV initiative, the NYS Public Service Commission (PSC) is considering opportunities to create access to community distributed generation (CDG) project for low-income customers through Case 15-E-0082. In 2015, through Case 14-M-0024, the PSC enabled Community Choice Aggregation (CCA), which allows municipalities to procure the total amount of energy and related services being purchased by local residents or small businesses, effectively giving them more control to lower their overall energy costs. Through the value of DER proceeding, case 15-E-0751 the PSC is considering the compensation structure for DER in New York State. Under the Clean Energy Fund, which is a pillar of REV, NYSERDA has a strong commitment to provide access to clean energy solutions and energy affordability to LMI households through a series of initiatives that provide financial incentives for clean energy projects, as well as address the non-monetary barriers that can prevent clean energy projects from occurring.

<sup>7</sup> DER is used to describe a wide variety of distributed energy resources, including end-use energy efficiency, demand response, distributed generation, and distributed storage.

Through REVitalize, NYSERDA seeks to bridge the gap in access to clean energy solutions for LMI communities and EJ areas by supporting the planning of community-scale clean energy projects that benefit LMI communities and EJ areas through two primary components:

1. Provide funding through this solicitation to community-based organizations (CBOs)<sup>8</sup> that provide services or otherwise represent LMI communities or EJ areas to aid the planning and development of a community-scale clean energy project.
2. Develop best practices for planning a community scale clean energy project through the creation of toolkits to overcome knowledge gaps and accelerate the timeline from project planning to implementation. NYSERDA will provide draft toolkits to the projects selected through the RFP to test and refine throughout the project planning and development process. The toolkits will then be made available to community-based organizations across the state.

With a funding award under REVitalize, NYSERDA expects to foster the CBOs' knowledge and technical understanding to accelerate the project planning and development process and achieve the following goals:

- encourage a grass roots approach to community energy planning that integrates considerations for a community's energy needs;
- develop a replicable framework for conducting LMI community energy planning, focused on a cornerstone community-scale clean energy project;
- create templates and toolkits to aid in the project planning process and facilitate best practice adoption statewide;
- identify innovative models for community ownership and finance of DER, which can be applied to similar community-scale energy projects; and
- boost the ability of community-based organizations to carry out local clean energy priorities in the context of REV-enabled programs and projects.

Funds awarded under this RFP can be used by CBOs to procure technical assistance to address key planning and development issues such as identifying successful models of community engagement, site selection, identifying ownership and finance structures, customer enrollment, and mechanics for the allocation of benefits. The planning and development process from REVitalize projects will be used to foster technology transfer and replication of processes in similar communities so that best practices are scaled statewide. To ensure that the REVitalize funds are used most effectively, NYSERDA will prioritize funding to proposals that are able to demonstrate that initial community energy planning activities have occurred.

## **II. Program Requirements**

### **Proposer Eligibility and Qualifications**

The lead proposer shall be a CBO that represents or otherwise serves LMI communities or EJ areas. NYSERDA expects that the CBO will partner with other entities necessary to accomplish the tasks

<sup>8</sup> For the purpose of this funding opportunity, a CBO is defined as a public or private nonprofit organization that provides programs or services to address energy, environmental, housing, health, education, or other human service needs at the local level for the benefit of residents of LMI communities or EJ areas; or otherwise represents the communities in an organizing or advocacy role.

associated with planning, developing and implementing a community-scale clean energy project. Therefore, teaming of community organizations, finance institutions, foundations, utilities, local governments, and project developers is strongly encouraged.

In addition to meeting the proposer eligibility requirements above, proposers shall have the following qualifications, which will be considered during the proposal evaluation process.

- Demonstrated experience in representing or providing services to LMI communities or EJ areas particularly those services related to energy.
- Dedicated staff to support the project.
- Proposers may be a single organization or a team of organizations but shall clearly identify the lead organization, key employees, subcontractors, or relevant affiliates of all entities who are proposed to fulfill the requirements of this RFP. The lead organization must demonstrate experience and success in managing grants or contracts.
- Demonstrate the ability to provide, at a minimum, all tasks as outlined in this RFP including the ability to work effectively as a team member with a diverse group of stakeholders; the ability to be flexible and responsive to changing program needs.
- Previous experience in the successful management of complex projects (on time and within budget).

#### **Program and Project Eligibility**

To be considered eligible for this funding opportunity, proposals shall meet the following criteria:

- proposals must demonstrate that some level of community energy planning such as an inventory of energy assets, identification of community energy needs and load zones, etc. has occurred;
- funded projects must be located in and benefit residents in a LMI community, as defined by the [United States Department of Housing and Urban Development \(HUD\)](#)<sup>9</sup> or a potential EJ area as defined by the [New York State Department of Environmental Conservation \(DEC\)](#)<sup>10</sup>. If the siting of a project location falls outside of a the LMI community or EJ area, the project proposers must demonstrate how LMI or EJ residents will receive benefits from the project;
- funded projects must provide benefits e.g., energy credits, direct energy cost savings, etc. to LMI customers;
- funded projects must lead to the development a community-scale clean energy project that benefits LMI residents.

NYSERDA seeks to support a variety of project types under this RFP. Eligible project types include, but are not limited to, community solar, district geothermal or biomass, micro grid, and aggregated energy efficiency and weatherization.

Selected projects must be ready to commence within two months of agreement execution and should be completed within two years of agreement execution.

<sup>9</sup> HUD uses tabulations of Census data to determine areas where at least 51% of households have incomes at or below 80% of the area median income (AMI). Detail on HUD low and moderate income areas can be found online at: <https://catalog.data.gov/dataset/hud-low-and-moderate-income-areas>.

<sup>10</sup> Potential environmental justice area is a minority or low-income community that may bear a disproportionate share of the negative environmental consequences resulting from industrial, municipal and commercial operations or the execution of federal, state, local and tribal programs and policies.

### **Services Required**

The focus of the funding awarded under this RFP is on the planning and development process around a community-scale clean energy project and the development of replicable models for planning and development of community-scale clean energy projects. Awardees will be expected to procure the technical assistance required to conduct necessary project planning and development activities.

Upon execution of the agreement, NYSERDA will provide the Contractor with a set of toolkits that will outline best practices and provide guidance on key issues associated with the planning and development of the community-scale clean energy project. The Contractor will be expected to consult the toolkit over the course of the planning process and provide NYSERDA with feedback and insights on areas for refinement. Upon completion of the project, the toolkits will be finalized and will be made available to other CBOs to support community-scale clean energy projects that benefit LMI communities and EJ areas statewide.

All tasks outlined in this RFP are subject to change, based on the needs of the community-scale clean energy project. Ownership of any work product created and tested as part of the Contractor's fulfillment of services funded under the agreement will reside with NYSERDA. Eligible uses of the award include activities necessary for the planning and development of a community-scale clean energy project, such as community engagement, developer identification and what questions to ask, site selection, feasibility work, development of ownership and finance models, and other planning or development activities.

### **Available Funds**

Up to \$325,000 is available through this competitive solicitation, NYSERDA expects to fund up to five (5) proposals with a funding cap of \$65,000 per award. Proposers are required to provide a minimum cost share of 30 percent of the total project budget, which may take the form of in-kind services, such as staffing, or in additional grant funds that can be leveraged by the proposer. For example, if a proposer requests \$65,000 (70%) of NYSERDA funding; \$27,857.15 (30%) cost share is required on a total project of \$92,857.15.

Available funds are intended to accelerate community energy planning efforts that are underway.

### **Project activities not eligible for funding through this RFP include direct design, engineering, and other implementation or construction-related activities such as:**

- system design and engineering, except for preliminary site feasibility studies;
- permitting, interconnection studies and upgrades, inspections;
- installation labor;
- installation hardware; and
- other activities representing the existing standard business operations for development of the clean energy project.

Although funding provided to the Contractor cannot be used for direct costs associated with implementation of a project (e.g.: equipment costs, installation costs, etc.), NYSERDA encourages Contractors to leverage other sources of funding through NYSERDA, utilities, and other local, New York State, federal, private, and non-profit entities for the implementation of projects that result from this RFP.

Payment schedules will be based on a milestone basis. All projects will include at minimum three milestone points as described below:

Milestone 1: Mobilization- 40 percent of award following identification of key stakeholders and the completion of the workplan.

Milestone 2: Detailed Plans- 30 percent of award following completion of the detailed community engagement and project development plans.

Milestone 3: Toolkit Testing & Analysis - 20 percent of award following feedback on the toolkits, resources, best practices, case studies, etc.

Milestone 4: Final Report- 10 percent of award following the successful implementation of the project and submission of the Final Report. For projects that did not move forward, the submission of a Final Report detailing the barriers, failures, lessons learned, etc.

Upon completion of the milestones, the Contractor shall submit an invoice, along with appropriate documentation to receive payment.

### **Proposal Requirements**

The proposal will be the mechanism for proposing teams to demonstrate their readiness for undertaking the planning and development efforts around a community-scale clean energy project and should articulate their needs with regard to technical assistance. In addition, the proposal should provide an energy and resource assessment of the community, an overview of the community-scale clean energy project being considered, as well as an introduction to the project team and management structure.

To facilitate the proposal evaluation process, proposers should submit the proposal according to the following structure:

#### **Section 1. Introduction and General Information**

- Overview of the proposed project.
- Summary of the proposer's understanding of the objectives, scope of services, and requirements of the RFP.
- Narrative of how the proposer meets the definition of a Community-Based Organization.
- Key information about the proposer's organization and how it is uniquely qualified to perform and complete the services requested under this RFP.

#### **Section 2. Community Energy Needs and Opportunities**

- Identification of the community.
- Energy vision and priorities.
- Demographics/insights on energy burden.
- Community assets e.g., available land/brownfields, engaged community, etc.
- Identification of available resources and/or funding available for implementation of the project, including installation and construction activities.
- Overview of community energy planning undertaken to date.

- Describe how will the project be promoted or used as an educational opportunity to transfer knowledge and stimulate future projects of this type (replicability).

### **Section 3. Identification of Community Scale Clean Energy Project**

- Describe the project and technology being considered.
- Anticipated location of the project, if identified.
- Expected benefit to the community and residents.
- Explain any societal benefits such as emissions reductions, grid benefits, etc.
- Provide an estimated timeline for planning and implementation of the project.
- Describe the local support for the project. Is there local support for the project? What approvals have been secured to date?

### **Section 4. Identify Challenges and Barriers to Bringing a Clean Energy Project into Your Community**

- Describe the barriers and challenges.
- Identify resources that would help overcome the barriers and challenges.
- Identify how you have tried to address these barriers and challenges and what worked and what did not.
- Explain how the resources identified will align/build on work that has already been completed or is currently underway.

### **Section 5. Project Team and Management Structure**

- Identify the organizations and key staff involved in the proposed project.
- Provide an outline of the management structure.
- Identify technical consultants, service providers or developers, if known.

### **Section 6. Qualifications**

- Describe the qualifications and expertise of each team member.
- Describe how the team members will contribute to successful completion of the objectives of this RFP.

### **Section 7. Statement of Work**

The Statement of Work (SOW) is a detailed work plan of how the Proposer shall accomplish the objectives of the program and is the primary contractual document that identifies the deliverables and milestones, and provides a basis for payment. The SOW shall clearly articulate strategies consistent with the Program Requirements section of this RFP and detail the approach and rationale for accomplishing tasks necessary to implement a community-managed clean energy project. Tasks shall include the following:

The Contractor shall be responsible for the timely completion of all required tasks per a schedule formalized in the contracted Statement of Work and including Tasks 1 through 5 below.

Definitions:

Project Team: At the beginning of the Project Period, the Project Team for this Agreement shall consist of the Contractor and the Subcontractors/Technical Consultants listed under Task 3. The

Contractor shall notify the NYSERDA Project Manager in writing of any subcontractor/technical consultant change or inclusion of additional subcontractors/technical consultants.

The Contractor shall have the sole responsibility for satisfactory completion of all Tasks and Deliverables outlined in this Agreement. NYSERDA reserves the right to terminate this agreement if the Contractor or its subcontractor(s)/technical consultants fail to satisfactorily perform the Tasks and Deliverables, outlined within the SOW.

The Contractor shall identify one person to serve as the Project Manager, from the Project's team to serve as the main point of contact and submit all project deliverables. Should the Project Manager become unavailable to serve in this capacity for any reason, the Contractor shall notify the NYSERDA Project Manager in writing at least two weeks in advance of such change and has within two weeks to identify a replacement. NYSERDA reserves the right to review and approve the Project Manager assigned to this project. NYSERDA will work with the Project Manager to address any program deficiencies and reserves the right to require the Contractor to add additional staff, reduce staff assignments, or entirely remove staff or subcontractors/technical consultants from this contract based on performance, misrepresentation, or other criteria determined by NYSERDA.

**Task 1: Project Management**

Communication and progress reporting responsibilities shall include; but not be limited to the following:

- a. Coordination of a contract kick-off meeting with relevant project team members and the NYSERDA Project Manager.
- b. Regular check-in calls to discuss progress, on a minimum bi-weekly basis or as necessary.
- c. Use of Microsoft Outlook email and calendar functionality to facilitate communication.
- d. Monthly status reports that include quantitative/qualitative metrics about all initiative activities.
- e. All reports referenced in Tasks 2 through 6 below.
- f. Ad hoc reports, as needed.

**Task 2: Community-Scale Energy Project Planning**

- a. Identification of key stakeholders
- b. Workplan outlining key components to the planning process and associated milestones.
- c. Detailed plan for community engagement
- d. Detailed plans for project development, including approaches for:
  - i. Developer engagement
  - ii. Ownership model
  - iii. Finance model
  - iv. Resident/customer enrollment and associated mechanics
  - v. Allocation of benefits to participating residents
  - vi. Estimated impacts (environmental, energy, affordability, and equity)

**Task 3: Subcontractors/Technical Consultants**



- a. Identification of technical consultant(s) (subcontractors)
  - i. Define roles and expectations

**Task 4: Toolkit Testing and Analysis**

- a. Provide regular feedback to NYSERDA Project Manager on toolkits provided by NYSERDA.
- b. Provide input for the development of case studies that will be used to highlight the community project and planning process.

**Task 5: Progress Towards Project Implementation**

While the funds awarded through this RFP may not be used for implementation (installation) purposes, the Contractor shall report to NYSERDA progress towards implementation.

**Task 6: Final Report**

A final report shall be submitted to the NYSERDA Project Manager upon successful implementation of the project. For projects that did not move forward, the submission of a Final Report detailing the barriers, failures, lessons learned, etc.

**Section 8. Cost Proposal**

Please use the Budget Form, Attachment A.

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

In compliance with §139-j and §139-k of the State Finance Law (see Section V, General Conditions below for additional information), proposers will be required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility.

**Proposal Format:**

Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. The proposal must be in the following format:

- Section 1: Introduction and General Information (up to 2 pages)
- Section 2: Community, Energy Needs and Opportunities (2-6 pages)
- Section 3: Identification of Community-Scale Clean Energy Project (1-2 pages)
- Section 4: Identify Challenges and Barriers to Bringing a Clean Energy Project into Your Community (1-2 pages)
- Section 5: Project Team and Management Structure (1-2 pages)
- Section 6: Qualifications (1-2 pages)
- Section 7: Statement of Work (2-4 pages)
- Section 8: Cost Proposal – Budget Form
- Appendices: Resumes of Key Personnel (1 page each)  
Letters of Support from community residents, local government, developers, etc.  
(Not to exceed 5 letters)

**Cost Sharing** - The proposal should show non-NYSERDA funding of at least 30 percent of the total cost of the project. Cost sharing can be from the proposer, other team members, and other government or

private sources. Contributions of direct labor (for which the laborer is paid as an employee) and purchased materials may be considered "cash" contributions. Unpaid labor, indirect labor, or other general overhead may be considered "in-kind" contributions. NYSERDA will not pay for efforts which have already been undertaken. The proposer or proposing team cannot claim as cost-share any expenses that have already been incurred. Show the cost sharing plan in the following format (expand table as needed):

	<b>Cash</b>	<b>In-Kind Contribution</b>	<b>Total</b>
<b>NYSERDA</b>	\$	\$	\$
<b>Proposer</b>	\$	\$	\$
<b>Others (list individually)</b>	\$	\$	\$
<b>Total</b>	\$	\$	\$

### **Contractor's Responsibility**

The selected proposers shall be responsible for timely completion of the requirements described in this RFP.

### **NYSERDA's Responsibility**

The NYSERDA Project Manager shall be responsible for managing and overseeing all tasks undertaken by the selected proposers, including but not limited to, reviewing and approving tasks and subsequent deliverables. The NYSERDA Project Manager shall provide selected proposers with the toolkits to test and analyze during the planning and development stages of the community-managed clean energy project. The NYSERDA Project Manager shall coordinate all technology transfer and marketing activities with NYSERDA's Marketing team.

## **III. Proposal Evaluation**

Proposals that meet solicitation requirements will be reviewed by a Scoring Committee using the Evaluation Criteria below **listed in order of importance**. At NYSERDA's discretion, proposers may be requested to interview with all or part of the Scoring Committee to address any potential questions or clarifications outlined in the proposals. Proposers will be notified if they are requested to attend an interview.

NYSERDA reserves the right to accept or reject proposals based on the following factor(s):

- The degree to which pricing and hourly rates are in line with the rest of the market.
- Regional distribution of projects.
- The degree to which the proposed project, including proposed cost shares, optimizes the use of available funding to achieve programmatic objectives.
- Whether the proposed project will advance the goals of the State Energy Plan / Clean Energy Fund / REV. The State Energy Plan / Clean Energy Fund / REV goals include improving resilience and reducing greenhouse gas emissions.
- Diversity of awards, including multiple locations, climates and program structures.
- Consideration of the impact on, and benefits to, a diversity of communities, including low-income and rural communities

#### **Project Readiness (25 points)**

- Does the proposal demonstrate that community energy planning activities have taken place?
- Does the proposal identify a community-managed clean energy project to be developed?
- Is the timeline for planning and project implementation reasonable, realistic and sufficient?
- Does the proposal include a plan for identifying and incorporating additional funds that can be used for the implementation of the project, including construction and installation activities?

#### **Partnerships (25 points)**

- To what extent does the proposal include partnerships with municipalities, utilities, developers, financial institutions, and other community-based organizations?
- Is there local support for the project and did the proposer include documentation to show this local support exists?

**Responsiveness to the Program Components and Requirements of the RFP (18 points)**

- Does the proposal comply with program, proposer, and proposal requirements?
- Does the proposal identify the anticipated market barriers, infrastructure deficiencies, and/or regulatory issues and propose solutions for how they will be overcome?
- Does the proposal outline efforts that have been taken to assess and reduce risk during implementation?
- Does the proposal demonstrate attention to detail on the part of the proposer?
- Is the proposal clear and well organized?
- Does the proposal include a plan for engaging community and identifying energy needs?
- Does the proposal include the required 30 percent cost share?
- Will the project be ready to commence within two months of agreement execution and should be completed within two years of agreement execution?

**Qualifications, Experience, and Management Structure (15 points)**

- Does the proposal demonstrate that the proposer and team members have necessary qualifications and experience to undertake this project?
- Is the team adequately organized?
- How well does the management plan coordinate team resources?
- Do references confirm the ability of the team to perform this work?

**Potential for Replication (12 points)**

- Does the proposed project have the potential for replication in communities across the state?
- To what extent does the proposer document the potential for replication?

**Utilization of Existing Community Assets (5 points)**

- Does the project incorporate redevelopment or adaptive reuse of [brownfield or greyfield](#) sites?
- Does the project make use of community assets?
- Does the project make use of municipal buildings or property?
- Does the project reinvest in existing neighborhoods, connect to adjacent development, and/or incorporate redevelopment of existing buildings?

**IV. GENERAL CONDITIONS**

**Proprietary Information** - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause **substantial injury to the competitive position** of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501

<https://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

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

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

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

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

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

#### **State Finance Law sections 139-j and 139-k -**

**State Finance Law sections 139-j and 139-k** - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx> . Proposers are required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility (this includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years). .

**Tax Law Section 5-a** - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf)). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department.

The Department has created a second form that must be completed by a prospective contractor prior to contacting and filed with NYSERDA. See, ST-220-CA (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220ca\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf> .

**Contract Award** - NYSERDA anticipates making up to five awards under this solicitation. It may award a contract based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the submitted proposal (see Proposal Checklist). Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately eight (8) weeks from the proposal due

date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

**Accessibility Requirements** - NYSERDA requires contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSERDA's Accessibility Requirements](#).

**Limitation** - This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement. NYSERDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information and the presence of a material possibility of any reputational or legal risk in making of the award.

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

**V. Attachments:**

- Attachment A - Budget Form
- Attachment B - Intent to Propose
- Attachment C - Sample Agreement

**Community Energy Engagement Program**  
Request for Proposal (RFP) 3588 Revision 1  
**\$979,882 Available**

*NYSERDA reserves the right to extend and/or add funding to the Solicitation should other program funding sources become available.*

**Proposals Due: October 10, 2017 by 5:00 PM Eastern Time\***

The New York State Energy Research and Development Authority (NYSERDA) requests proposals from qualified organizations to provide locally-based engagement (energy awareness and education) services via the Community Energy Engagement Program to drive energy efficiency and renewable energy deployment to residential, multifamily, and small business customers. The objective of this RFP is to competitively select and award up to two (2) contracts to organizations covering each of the two (2) [Economic Development Regions](#). These organizations will deploy Community Energy Advisers to conduct engagement activities to New York State residents, small businesses, and multifamily building owners, with an emphasis on low-to-moderate-income (LMI) households and communities. These Community Energy Advisers will focus on improving energy affordability and increasing deployment of distributed energy resources for community members of all income levels, by increasing the amount of funding and financing leveraged for the completion of clean energy projects. Proposers can bid on one or more of the Regions but must demonstrate a strong local presence in each Region and outline how they are uniquely qualified to provide services to communities within each Region.

NYSERDA previously issued this RFP in May 2017 and is in the process of executing contracts for the other eight (8) Economic Development Regions (ten (10) total). NYSERDA is re-issuing this solicitation in the Mid-Hudson and North Country regions only due to no proposals being selected through the first issuance of the solicitation in these two (2) regions. A total of up to \$979,882 is available through this RFP for Base Activities (as outlined in [Section III-E](#)) in the Mid-Hudson and North Country regions for an initial one-year term contract with the ability to renew for an additional two (2) years. The \$600,000 funding for the Regional Specific Initiatives outlined in the solicitation is available for all ten (10) contracts awarded through this solicitation and the previous release of RFP 3588.

The proposing organization must meet the qualifications under one or both category(ies) outlined below. More information on these categories and other requirements are outlined in Section III of this solicitation.

- Category A, Locally-Based Organizations
- Category B, Constituency-Based Organizations (CBOs)

**Informational Webinar:** NYSERDA conducted an informational webinar on Tuesday, May 9, 2017 during which NYSERDA will review the requirements of this solicitation and answer questions. The webinar recording and document summarizing questions and answers can be found at [www.nyserda.ny.gov/ceep](http://www.nyserda.ny.gov/ceep). NYSERDA's written responses will supersede any responses given during the webinar.

**Proposal Submission:** Electronic submission is preferable. NYSERDA will also accept proposals by mail or hand-delivery. If submitting electronically, proposers may submit Word, Excel, or PDF files (file formats can include csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. Proposals may be submitted electronically by following the link for electronic submissions found on this RFP's webpage, which is located in the "Current Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>). For detailed instructions on how to submit electronically, click the link "NYSERDA Solicitation – User Guide" which is also located on this PON/RFP's webpage.

If mailing or hand-delivering, proposers must submit (2) paper copies of their proposal with a completed and signed Proposal Checklist, along with a CD or DVD containing either a PDF or MS Word digital copy of the proposal, following the above guidelines. Mailed or hand-delivered proposals must be clearly labeled and submitted to:

**Jillina Baxter, RFP 3588**  
**NYS Energy Research and Development Authority**  
**17 Columbia Circle**  
**Albany, NY 12203-6399**

No communication intended to influence this procurement is permitted except by contacting (Jessica Waldorf – primary contact) (Designated Contact) at (518) 862-1090, ext. 3454 or [jessica.waldorf@nyserda.ny.gov](mailto:jessica.waldorf@nyserda.ny.gov) or Sharon Griffith – secondary contact) (Designated Contact) at (212) 971-5342, ext. 3010 or [Sharon.Griffith@nyserda.ny.gov](mailto:Sharon.Griffith@nyserda.ny.gov). If you have contractual questions concerning this solicitation, contact Venice Forbes (Designated Contact) at (518) 862-1090, ext. 3507 or [venice.forbes@nyserda.ny.gov](mailto:venice.forbes@nyserda.ny.gov). Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

\* Late, faxed, or emailed proposals will not be accepted. All unaccepted mailed proposals will be returned to sender. Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal. Proposals will not be accepted at any other NYSERDA location other than the address above. If changes are made to this solicitation, notification will be posted on NYSERDA's web site at <https://www.nyserda.ny.gov> and Contract Reporter. Please note that there are required questions that you will have to answer electronically in addition to uploading attachments and you should allot at least 60 minutes to enter/submit proposals. The electronic proposal system closes promptly at 5pm Eastern Time on the due date noted above. Files in process or attempted for submission after 5pm will be locked out of the system and not accepted.



## I. Introduction

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Many residential, multifamily and small business customers are not aware of the clean energy opportunities that are available to them or are unable to access them due to financial barriers to project implementation. Residential, low- to moderate-income (LMI) consumers<sup>1</sup> are less likely than higher income consumers to take action in completing clean energy projects due to lack of funding. These consumers also pay a disproportionate share of their income toward the cost of energy.<sup>2</sup> LMI households are an important targeted community for enhancing access to and uptake of renewable and energy efficiency solutions under Governor Cuomo’s Reforming the Energy Vision (REV). REV is designed to achieve a clean, resilient and affordable energy system for all New Yorkers. REV is providing new opportunities for all customers to choose how they procure and use energy. Education will be necessary to ensure that community members of all income levels are aware of their options and the new opportunities presented by REV.<sup>3</sup> Community organizations are critical partners in developing locally driven solutions to the barriers customers face and achieving equitable access to the benefits of clean energy opportunities in New York.

NYSERDA’s Community Energy Engagement Program seeks to increase adoption rates for existing clean energy products and services by residential, multifamily and small business customers of all income levels. Engagement activities will focus on economically distressed, LMI communities and make linkages to local energy contractors for completion of clean energy projects. Additionally, the program seeks to accomplish the following goals:

- Address the energy affordability needs and reduce the energy bills of households and businesses within communities.
- Increase participation in energy efficiency and renewable energy solutions and programs for residential, multifamily and small business customers by forming strong relationships with energy contractors that perform the work and leveraging multiple sources of funding for clean energy projects.
- Ensure residential, multifamily and small business customers’ awareness of, and access to, financing options for energy efficiency and renewable energy projects.
- Educate households and communities to achieve greater energy literacy and an understanding of the value proposition of clean energy solutions, enable informed energy decisions, facilitate action in completing clean energy projects, and decrease energy consumption.

The selected proposer(s) will deploy Community Energy Advisers that can demonstrate a strong local presence in their Region(s) to provide engagement services. Community Energy Advisers will be responsible for providing services throughout the entire region. These organizations will implement strategic engagement services to drive energy efficiency and renewable energy deployment to residential, multifamily, and small business customers with a focus on improving energy affordability and increasing deployment of distributed energy resources for LMI households and communities throughout New York State.

The Community Energy Engagement Program incorporates and builds upon the success of previous engagement efforts including the Green Jobs, Green New York (GJGNY) Outreach Initiative. The GJGNY Act of 2009<sup>4</sup> directs NYSERDA to establish and administer the Green Jobs– Green New York program. Section 1894 authorizes NYSERDA, among other things, to issue one or more solicitations seeking proposals from “partnerships or consortiums of Constituency-Based Organizations (CBOs)” that can facilitate awareness and enrollment of community members in the Green Jobs– Green New York program and from CBOs

<sup>1</sup> NYSERDA defines the low-income market segment as households with annual incomes at or below 60% of the State Median Income (SMI), and the moderate-income market segment as households with an annual income between 60% and 80% of the SMI or the Area Median Income (AMI), whichever is greater. Together these form the LMI market segment. NYSERDA reserves the right to modify this definition.

<sup>2</sup> 2015 New York State Energy Plan: <http://energyplan.ny.gov/Plans/2015>

<sup>3</sup> Reforming the Energy Vision (REV): <https://rev.ny.gov/>

<sup>4</sup> A.8901/S.5888 and Chapter amendment A.9031/S.6032.

partnering with energy contractors, workforce development organizations, or organized trades to facilitate awareness of and enrollment in the training services program created under section 1897 of the Act.

## II. Terminology

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For this solicitation, terminology related to NYSERDA's Community Energy Engagement Program is defined as follows:

- Aggregation is a collection of eligible homes, businesses and/or not-for-profits in the same neighborhood, brought to the program by an organization under contract (or subcontract) to NYSERDA for engagement services, and who have all agreed up-front to use the same energy contractor or energy contractor team to perform assessments and the ensuing retrofit work. This practice includes a community benefits agreement that comes with discounts for customers getting the retrofit as well as benefits that create pathways for people to attain jobs (wage and hiring standards). Additionally, multiple energy contractors should be included in an aggregation effort.
- Constituency-Based Organization is an organization incorporated for the purpose of providing services or other assistance to economically or socially disadvantaged persons within a specified community, and which is supported by, or whose actions are directed by, members of the community in which it operates.<sup>5</sup> Additionally, the statutory language refers to "partnerships or consortia" of CBOs, thereby requiring that each entity performing outreach services (under Category B) must itself meet the definition of a CBO.
- Community Energy Adviser refers to the locally-based representative hired by the Contractor and approved by NYSERDA, to perform the program tasks defined in the Statement of Work (Attachment C). Community Energy Advisers must be located within the Region they serve.
- Contractor(s) refers to the organization(s) that are successfully awarded contracts through this solicitation.
- Energy Contractor refers to contractors that perform the work for energy efficiency and renewable energy projects including, but not limited to, Home Performance with ENERGY STAR® (HPwES), NY-SUN Participating Contractor, Combined Heat and Power (CHP) Approved Vendor, Renewable Heat NY Contractors, Multifamily Building Solutions Network Provider, Ground Source Heat Pump Contractors, etc.
- Local Partners are groups, organizations, and/or individuals representing constituency groups that may include, but are not limited to: economic development agencies, business associations, community action agencies, chambers of commerce, municipal governments, foundations, business leaders, nonprofits, civic groups, utilities, Energy Contractors, other NYSERDA contractors, and others.
- Region refers to one of the [ten \(10\) Economic Development Regions](#). Regions include: North Country, Capital District, Mid-Hudson, Long Island, New York City, Mohawk Valley, Southern Tier, Central New York, Finger Lakes and Western New York.
- Regional Economic Development Councils (REDCs) are appointed by the Governor and oversee the regional growth and development strategies they have defined to meet the goals and objectives for regional growth. (See <https://regionalcouncils.ny.gov/>).
- Renewable Energy refers to energy generated by a renewable energy generating system for the generation of electric or thermal energy, by means of solar thermal, solar photovoltaic, wind, geothermal, air source heat pumps, anaerobic digester gas-to-electricity systems, fuel cell technologies, high efficiency, low emission wood heating systems, energy storage systems (including electrochemical and thermal energy storage systems), or other renewable energy technology.
- Partnerships are strategic business relationships created with Local Partners by the engagement organization with the intention of extending NYSERDA's engagement to residential, small business, and multifamily customers that do not involve a contractual relationship with the Contractor under the Community Energy Engagement Program.

<sup>5</sup> Public Authorities Law Section 1891(3).

### III. Program Requirements

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#### A. Proposer Eligibility

The proposing organization, and all the outreach services team members (subcontractors), must meet the qualifications under one or both of the category(ies) outlined below and the Proposer Qualifications outlined in [Section III-B](#). NYSERDA reserves the right to ensure an adequate number of proposals are awarded to CBOs under Category B. NYSERDA will consider proposals from proposing organizations that are denied eligibility under category B through category A.

- **Category A, Locally-Based Organizations:** Locally-based organizations are defined as those organizations that can demonstrate strong ties to the communities in their region and an established group of Local Partners that are well-positioned to engage the regional market to influence and drive clean energy actions of homeowners, renters, and other community stakeholders. Examples of these types of organizations, which may or may not also meet the definition of Category B below, include community action agencies, economic development organizations, businesses, colleges, universities, and other organizations that offer a range of services that provide assistance to homeowners, renters, and other community stakeholders including low-income, disadvantaged, and marginalized individuals and families; housing programs; career services; and energy services which allow households and businesses to conserve energy and fuel usage.
- **Category B, Constituency-Based Organizations (CBOs):** CBOs, and all the outreach services team members (subcontractors), must meet the definition of a CBO as defined in the Green Jobs-Green New York (GJGNY) statute (and in Section II of this solicitation) and must submit proof of eligibility, or equivalent, to NYSERDA to be considered for funding. CBOs who have already been qualified as a CBO under previous solicitations will have an abbreviated qualification process, which is outlined in this RFP. All proposers are encouraged to submit their proof of eligibility in accordance with solicitation requirements as soon as possible (for pre-approval), but no later than the proposal due date. More information about GJGNY can be found on the program web site, <https://www.nyserda.ny.gov/Researchers-and-Policymakers/Green-Jobs-Green-New-York>. Proposers must submit one copy of Attachment G CBO Eligibility Requirements if proposing under this category.

CBOs who have already been determined to be an eligible CBO by NYSERDA through RFP 2038, 2327 or 2773 can submit a letter attesting that the organizational chart, Board of Directors and contact information, and mission statement have not changed since the previous solicitation, and the documentation NYSERDA currently has on file for the organization remains accurate. However, CBOs still need to submit a copy of the Board minutes approving the submittal of an Outreach proposal under the new RFP, a copy of the most recent audit or financial statement, as well as a signed Attachment G - CBO Eligibility Requirements. The Letter attesting that the information has not changed can be attached to Attachment G. Only those CBOs, and consortia of CBOs, determined to be “eligible” can be considered and will have their proposals evaluated under Category B of this RFP. Under New York State law, corporations must file a Certificate of Incorporation with the Department of State, adopt bylaws, elect Directors, and keep correct and complete books and records, including a record of the names and addresses of all its members.

For Category B, the applicant AND each team member (if applicable), **MUST complete and submit Attachment G**, CBO Eligibility Requirements, and all the following supporting documentation:

- Certificate of Incorporation (must be in good standing with the Department of State).
- List of the Board of Directors.
- Information about the Directors or members (proof that they are members of the Community) or other evidence of meeting the criteria that the organization is “supported by, or whose actions are directed by, members of the community in which it operates.”

- An indication of the number of times a full quorum was present at regular Board meetings during the past year.
- Organizational Chart.
- Copy of bylaws.
- Mission Statement and any existing strategic or long-range plan.
- Most recent audit or financial statement.
- Board minutes approving GJGNY proposal submittal (note that this may be submitted with the proposal if not available for the pre-approval process).

Any organization that meets the definition of CBO as provided in the Act, and as evidenced by the documentation listed above, is eligible to apply under Category B. To address confusion over eligibility, NYSERDA will review an organization's proof of eligibility upon receipt, if received prior to the due date of the proposal. Proposers are not required to obtain pre-approval of eligibility prior to submitting their proposal; however, pre-approval is strongly recommended. NYSERDA will notify every proposer submitting Attachment G and supporting documentation of the findings of the review of those materials on a first-come, first-served basis. NYSERDA will make every effort to determine eligibility within 15 days of receiving the request for pre-approval; actual response time will depend on volume of submissions and the completeness of the application. If a proposer is found not to be eligible under Category B, their proposal will be evaluated under Category A.

#### **B. *Proposer Qualifications***

In addition to meeting the eligibility requirements above, proposers should have the following qualifications, which will be considered during the proposal evaluation process.

- Demonstrated experience in providing services in the community, particularly those services related to residential, multifamily, and small-business customers.
- Demonstrated experience providing engagement services.
- Demonstrated success in leveraging and coordinating funds (local, state, federal, private, and non-profit) for clean energy projects for residential, multifamily, and small-business customers.
- Demonstrated experience working with financial institutions and leveraging sources of financing for completion of clean energy projects.
- Demonstrated experience with project development and successfully assisting residential, multifamily, and small-business customers with completion of projects, including clean energy projects.
- Clear understanding of the goals of the Community Energy Engagement Program and detailed plan for how the proposer will accomplish them.
- The proposer will need to have a basic-level understanding of clean energy including the ability to understand electric and fuel (e.g. oil, propane, natural gas, etc.) energy usage and potential savings. Each organization must be able to demonstrate this basic-level understanding of clean-energy through one of the following options:
  - At least one individual who completed the BPI Building Science Principals Certificate Course;
  - At least one individual who completed the BPI Building Analyst and/or Envelope Professional certifications;
  - At least one individual with three (3) years of experience working with residential, multifamily, and small-business building owners and with a technical background in energy efficiency and/or renewable energy in residential buildings; or
  - If none of the above three options can be met by the proposer, the proposer must include a detailed plan for staff training and education in the clean energy industry.
- Strong familiarity with the types of energy efficiency and renewable energy measures that would be applicable to residential, multifamily, and small-business customers.
- Dedicated staffing resources to support the Community Energy Engagement Program.
- Proficiency in Microsoft Office, including, Word, PowerPoint, and Excel, as well as

databases, with the ability to produce and deliver professional-quality reports, presentations, and other documents.

- Proposers may be a single company or teams of companies but must, in their response, clearly identify the key employees, subcontractors, or relevant affiliates of all entities who are proposed to fulfill the requirements of this RFP. Each proposal involving multiple organizations must designate a lead organization to act as the contracting and fiscal agent for project funds. The lead organization must demonstrate experience and success in managing grants or contracts.
- Proposers must demonstrate the ability to provide, at a minimum, all services as outlined in this RFP including the ability to work effectively as a team member with a diverse group of stakeholders; the ability to be flexible and responsive to changing program needs; and any previous experience in the successful management of complex programs (on time and within budget).
- The proposer should also demonstrate experience developing and tracking program and project metrics. Data management, project tracking, tracking program activities, reporting and metrics development will be a task assigned to the Contractor as outlined in [Section III-C](#) below.

### **C. Contractor Responsibility**

NYSERDA seeks to contract with up to two (2) Contractors who will have responsibility for the implementation of the program in the [two \(2\) Regions of New York State](#). Proposers may respond with respect to one or more Regions. A Community Energy Adviser must work within the Region they serve. While Community Energy Advisers will be responsible for providing services throughout the entire Region, proposers should identify target communities in their proposal for each Region.

The Contractor(s) selected will utilize Community Energy Advisers within the Region to provide information about the benefits of and opportunities to undertake clean energy projects; along with clean energy program and funding opportunities primarily to single-family residential customers, as well as multifamily and small business customers, with the intention of increasing the amount of clean energy projects taking place within their community. Community Energy Advisers are locally-based representatives hired by the Contractor and approved by NYSERDA to perform the program tasks defined in the Statement of Work (Attachment C). The Contractor will use strategic relationships with local community-based organizations, local departments of social service, local offices for the aging, regional and local economic development agencies, local governments, federal agencies, utilities, and other organizations to maximize the leveraging of funding from a variety of sources for residential, multifamily, and small business clean energy projects and to ensure these organizations are informed about offerings through NYSERDA. Additionally, they will work other locally-based service organizations that engage consumers on related practices (i.e., lead paint abatement) to form partnerships and extend the engagement efforts for mutually beneficial results. The Community Energy Advisers will be required to coordinate outreach efforts and leads, as necessary, with other NYSERDA contractors (such as Clean Energy Communities Program Coordinators) to ensure a streamlined approach which results in a favorable customer experience. By promoting clean energy funding opportunities at the local level, Community Energy Advisers will help NYSERDA achieve New York State's goals to reduce energy consumption in buildings, to increase the percentage of electricity used in NY from renewable sources, and to decrease greenhouse gas (GHG) emissions.

The Contractor will be required to submit quarterly plans for approval by the NYSERDA Project Manager covering both engagement activities and goals. Contractors will be required to maintain a database of customer contacts and details of program impacts. Contractor success will be monitored through required reporting on metrics. Some of the below metrics may be pulled from NYSERDA program data systems for customers that participate in NYSERDA programs. Awardees will be required to use Salesforce.com or an equivalent customer relations management system as approved and directed

by NYSERDA. Awardees may need to maintain and utilize several tracking systems. The metrics will capture, but are not limited to:

- Number of residents, small businesses, and multifamily building owners assisted with clean energy applications (audit, grant (mainly federal, local, and other state funding outside of NYSERDA), and finance applications)
- Number of new partnerships developed with other locally-based organizations as well as activities completed with these local partners. The success of these partnerships will not be measured on the number of partnerships or activities, but on the value of those partnerships and activities and how they help fulfil the goals of the Community Engagement Program and any resulting energy savings
- Number of completed (closed) loans
- Amount of funding received by customers (NYSERDA, NYSEDA plus other, or other funding)
- Number of projects completed with NYSERDA, NYSEDA plus other, or other funding
- Number of Local Partners promoting clean energy and other benefits to households and communities without direct support from NYSERDA and how they help fulfil the goals of the Community Energy Engagement Program.
- Energy savings associated with clean energy projects supported directly by the Community Energy Engagement Program (kWh, kW, and MMBtu savings as applicable)

The Contractor is responsible for hiring and deploying appropriately skilled personnel. Acceptable candidates are those that have strong skills in the areas of project management; community coordination; residential buildings and communities with a focus on LMI households and communities; clean energy services and technologies; and excellent public speaking, writing, verbal, and computer skills. Community Energy Advisers and sub-contractors chosen by the selected Contractors must be approved by NYSERDA. Changes in staffing must also be pre-approved by NYSERDA. The Contractor is required to train Community Energy Advisers to deliver the tasks outlined in the Attachment C Statement of Work (SOW) within the Region(s). In addition, the Contractor is required to manage the work of the Community Energy Advisers on a day-to-day basis and provide fiscal oversight of the program. Community Energy Advisers may be required to work outside normal business hours and on weekends. Invoicing must include regional breakdowns, provide all necessary backup documentation, and be submitted monthly using the Proposal Budget form (Attachment D). The Contractor is responsible for reporting metrics and attending regularly scheduled meetings with NYSERDA Project Managers.

NYSERDA reserves the right to terminate the Contract Agreement if the Contractor, its Clean Energy Advisers, and/or subcontractor(s) fail to satisfactorily perform the Tasks and Deliverables, outlined herein, after careful consideration and consultation with the Contractor. NYSERDA also reserves the right to directly contract with the Clean Energy Advisers and other Subcontractors, or to have other contractors enter such agreements including the case in which the Contract Agreement is terminated for cause or not renewed.

**D. Staffing**

**To ensure a minimum level of coverage, the following requirements will be set for the Community Energy Advisers in each Region:**

- Each Region must have a minimum of one (1) full time equivalent (FTE) per Region.

**Table 1. Regional Staffing Allocations for Community Energy Advisers**

Region	Minimum # of Full-Time Equivalents
Mid-Hudson	1
North Country	1



Proposals that can provide more than the minimum level of financial support, including through leveraging of cost-shared funds, are strongly encouraged. Preference will be given to those proposals that include at least one full time position in their Region(s) and those that can provide additional Community Energy Advisers in their Region(s).

**E. Funding**

This statewide program anticipates overall three-year funding of \$5.5 million, including \$979,882 for the Mid-Hudson and North Country Regions. The initial contract term will last for one year and is expected to commence in 2017. An option to renew in either one or two increments, will be exercised at NYSERDA’s discretion. NYSERDA reserves the right to adjust the total amount of funding based on the program’s success, funding source approval requirements, availability of new funds, or other factors. NYSERDA will retain the right to terminate the contract(s) at any time. Funding for the Community Energy Engagement Program is separated into two sets of activities:

1. **Base activities:** These activities refer to the ongoing services that selected Contractors will perform to conduct outreach and provide support to New York State residents, small businesses, and multifamily building owners, with an emphasis on LMI engagement. More information on this set of activities is included under [Section III-F](#) below.
2. **Regional-specific initiatives:** NYSERDA will reserve funds (approximately \$600,000) for complementary activities for the statewide program that the organizations selected through this RFP can submit proposals to during the duration of the program on a quarterly basis. Proposals will be reviewed each quarter on a competitive basis subject to a set of specific view criteria and detailed scoring rubric. More information on this set of activities is included under [Section III-F](#) below.

Table 2 represents amounts available for the three-year program term per Region for base activities. Amounts per region below were developed based on a variety of factors including costs per region in past, similar efforts and evaluation of potential demand for services.

**Table 2. Regional Funding Allocations for Base Activities**

Region	Counties Associated with the Region	Total Outreach Budget*
<b>North Country</b>	Clinton, Essex, Franklin, Hamilton, Jefferson, Lewis, and St. Lawrence Counties	\$379,882
<b>Mid-Hudson</b>	Sullivan, Ulster, Dutchess, Orange, Putnam, Westchester, and Rockland Counties	\$600,000
<b>Total</b>		<b>\$979,882</b>

*\*NYSERDA reserves the right to adjust the budgets per region above in response to program needs, opportunities, and the addition of new available funding.*

The geographic area covered by a proposal **must be clearly labeled on the proposal**. If a proposer seeks to provide services in more than one region, a separate proposal must be prepared and submitted for each region, and the proposer must be determined to be eligible within each region. The Community Energy Engagement Program requires that services be targeted to economically-distressed communities and communities with high energy costs in relation to income. Proposers should identify target communities for services within the region(s) for which they are applying and consider those communities when establishing budgets for different team members, if applicable. Funds awarded under RFP 3588 may not be used to support any other program, project or purposes.

**F. Services Required**

All the activities and materials associated with the Contractor's delivery of services are subject to NYSERDA review and approval. Tasks and deliverables outlined in this RFP and in the Statement of Work (Attachment C) may be modified throughout the duration of the Contract, based on the evolving needs of the Community Energy Engagement Program and subject to the approval of the NYSERDA Project Manager. Ownership of work product created as part of the Contractor's fulfillment of services funded under this contract will reside with NYSERDA, unless otherwise established through written agreement with NYSERDA.

**Base activities:**

Brief descriptions of activities included in the Statement of Work (Attachment C) include but are not limited to those described below along with key questions the proposer must address as part of their proposal. Resources related to each activity should vary considerably across Regions given the needs of the market within each Region. As such, proposers are required to present new and creative approaches not listed here either within the base activities listed below or as additional base activities. Proposers should identify how these approaches will help assist the Community Energy Engagement Program to successfully reach objectives and goals, as well as meet specific needs identified by the proposer in the Region they are proposing to serve. Any additional base activities need to be clearly outlined with clear deliverables. Proposers should include in their proposal descriptions of how they will be implemented and how the required metrics for each task will be measured to ensure the success of this program.

1. **Educating consumers about clean energy programs and resources:** Involves working with energy contractors and funding entities to help residents, small businesses, and multifamily building owners (with a focus on LMI households and communities) understand and access NYSERDA and other State, Federal, and local funding resources to complete clean energy projects and to reduce energy burden. Additionally, organizations will need to leverage funding for non-energy related tasks that are necessary (e.g. roof repair, electrical work, health and safety) for completion of clean energy projects.
2. **Energy Contractor engagement:** Involves developing strong relationships with energy contractors including routine coordination meetings to create tools and templates to help make work scopes easier for customers (mainly market rate and moderate-income customers) to understand and make decisions about, and providing qualified customer leads to energy contractors.
3. **Develop local partnerships:** Involves working with other locally-based service organizations that engage consumers on related practices (i.e., lead paint abatement) to form partnerships, extending the outreach efforts for mutually beneficial results. Proposers will be expected to form relationships with local social service organizations, other community-based organizations, and offices for the aging to ensure they are updated with information about programs and services available through NYSERDA and utilities for clean energy projects.
4. **Consumer outreach:** Involves participation in events, conducting energy literacy activities (e.g. energy workshops and seminars), and one on one outreach to community leaders (includes speaking at rotary clubs, chambers of commerce, block clubs, community groups, church groups, etc. and responding to customer inquiries). NYSERDA expects Community Energy Advisers to incorporate materials and lessons learned from the Consumer Education Program for Residential Energy Efficiency (CEPREE)<sup>6</sup> into the energy literacy activities completed under this task. Proposers should include an estimated number of educational workshops per year they will complete as part of this task in the proposal. Proposers will be expected to complete a minimum of two (2) workshops per county for the heating season in each Region per year. Each workshop must contain at least twenty (20). The workshops should be provided throughout the target area and distributed according to the low-income population with adjustments for population density.

<sup>6</sup> 2011 EmPower New York Save Energy - Save Dollars Workshop Evaluation:  
<https://www.sri.cornell.edu/sri/files/EmPower-Evaluation-Report.pdf>



5. Facilitate loan applications: Assisting customers with processing loan applications (including assisting with paperwork and loan qualification). Often, customers do not feel comfortable providing personal financial information to energy contractors so Community Energy Advisers can fill a critical role in the process.

### **Regional-Specific Initiatives - (approximately \$600,000)**

Funding available for the Regional Specific Initiatives outlined in the solicitation is available for all ten (10) contracts awarded through this solicitation and the previous release of RFP 3588. To supplement the base activities, NYSERDA will reserve funds for complementary initiatives to which organizations selected under the base activities solicitation can submit proposals during the duration of the initiative on a quarterly basis. Proposals will be reviewed each quarter on a competitive basis subject to a set of specific review criteria including the extent to which the project helps to reduce the energy bills of residents, small businesses, and multifamily building owners; estimated energy savings, renewable energy generation, and greenhouse gas emission savings; amount of external funding leveraged; etc. NYSERDA reserves the right to review and solicit proposals more or less frequently.

NYSERDA will announce when proposals will be accepted for regional-specific initiatives in the winter of 2017. However, NYSERDA reserves the right to solicit proposals prior to this date. Proposers should include in their proposal a detailed strategy for how they will identify and develop regional-specific initiatives, as well as note any early stage initiatives in their region that might be proposed later. Any regional-specific initiatives would not be implemented separately from the Contractors other base activities within the region. Instead, the proposer must address how any regional-specific initiatives will support and relate to the other base activities in their Contract.

Examples of what NYSERDA anticipates these regional-specific initiatives may include:

- Energy Efficiency and/or Renewable Energy Aggregation Project: Bringing together eligible homes, businesses and/or not-for-profits in a neighborhood who have all agreed to use the same energy contractor(s) to perform audits and the ensuing retrofit and/or renewable energy installation work. This will include a community benefits agreement that comes with discount for people getting the retrofit as well as benefits that create pathways for people to attain jobs.
- Workforce Development: Facilitating and connect energy contractors with resources in the community that they may not be aware of, such as courses or training programs with the goal of attaining new or advanced job positions in the clean energy industry.
- Affordability Strategies for LMI Households and Communities: Potential projects could include oil to gas conversions on a community scale where organizations work to obtain funding from non-profits, state, federal, or other entities to create and maintain a program for assistance to LMI customers.

### **G. *NYSERDA Responsibility***

NYSERDA will maintain overall management and control for the Community Energy Engagement Program. The major responsibilities of NYSERDA are to:

- Provide the Contractor(s) with administrative procedures.
- Monitor the progress of the Contractor(s) through ongoing telephone contact, review of monthly reports and field monitoring activities, etc. to meet customer needs, identify problems, and initiate corrective action.
- Facilitate sharing of information between the Community Engagement Contractors and various program groups within NYSERDA.
- Provide final review of metrics reports to ensure they conform to NYSERDA's reporting requirements.
- Ensure adherence to NYSERDA's established policies and procedures.
- Oversee the Contractor's maintenance of a database to store all customer information, metrics outlined under [Section II-C](#) above, reports, case studies, fact sheets, etc.

- Process properly documented Contractor invoices.
- Provide final approval on all reports, case studies, press releases, and other marketing materials.
- Work with the Contractor and NYSERDA’s Market Characterization and Evaluation Team on Community Energy Engagement Program evaluations.
- Be involved in all monthly or quarterly status meetings.
- Provide marketing support for Community Energy Advisers. Support may include templates for case studies, brochures and fact sheets, NYSERDA web pages with lead nurturing capabilities, call scripts, and boilerplate language for use in social media applications or other Community Energy Adviser generated customer materials.

#### **IV. Proposal Requirements**

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##### **A. Submittal:**

Electronic submission is preferable. NYSERDA will also accept proposals by mail or hand-delivery. If submitting electronically, proposers may submit Word, Excel, or PDF files (file formats can include csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer’s entity name in the title of the document. Proposals may be submitted electronically by following the link for electronic submissions found on this PON/RFP’s webpage, which is located in the “Current Opportunities” section of NYSERDA’s website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>). For detailed instructions on how to submit electronically, click the link ““NYSERDA Solicitation – User Guide”” which is also located on this RFP’s webpage.

If mailing or hand-delivering, proposers must submit (2) paper copies of their proposal with a completed and signed Proposal Checklist, along with a CD or DVD containing either a PDF or MS Word digital copy of the proposal, following the above guidelines. A completed and signed Proposal Checklist must be attached as the front cover of your proposal. \* Late, faxed, or emailed proposals will not be accepted. All unaccepted mailed proposals will be returned to sender. Incomplete proposals may be subject to disqualification.

In compliance with §139-j and §139-k of the State Finance Law (see Section V, General Conditions below for additional information), proposers will be required to answer questions electronically during proposal submission, which will include making required certification under the State Finance Law, and to disclose any Prior Findings of Non-Responsibility.

##### **B. Length:**

Proposals must not exceed 30 pages (excluding the appendices listed below). Attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. Each page of the proposal should state the name of the proposer, the RFP number, and the page number. NYSERDA may request additional data or material to support proposals.

##### **C. Proposal Format:**

The proposal **must** be in the following format:

- **Proposal Checklist – Mailed or Hand Delivered Proposals ONLY:** Attach as the front cover of your proposal a signed copy of the Proposal Checklist (Attachment A) including required certifications under the State Finance Law.
- **Disclosure of Prior Findings of Non-Responsibility Form – Mailed or Hand Delivered Proposals ONLY:** Included as the second page of your proposal a signed copy of the Disclosure of Prior Findings of Non-Responsibility Form (Attachment B)
- **Section 1: Introduction and General Information (not to exceed 5 pages)**

Proposers must include the following information in their response:

- Firm or organization name, address, telephone and fax number, e-mail address, website URL (if applicable), and primary contact person
- Year firm or organization was established
- Name and address of parent company (if applicable)
- Location of the local office within the Region(s) the proposer is submitting to serve that will support the Community Energy Engagement Program
- Category the proposer is submitting under (A or B)
- Identification of target communities with each Region and description of how the proposer will specifically engage LMI households and communities
- Summary of the proposer's understanding of the objectives, scope of services, and requirements of the RFP
- Key information about the proposer's organization and how it is uniquely qualified to perform and complete the services requested under this RFP
- Description of the strategy for coordination and interaction with all the relevant parties, including NYSERDA, key stakeholders, training partners and energy contractors, utilities, and various regional organizations
- Plan for how the proposer will adequately track, monitor, and report program activities including all the metrics listed in [Section III-C](#) above. Please describe how you will identify goals and measure progress towards those goals.
- List of existing partnerships within the region with a description of what those partnerships entail, as well as a description for how the proposer will secure new Local Partners and to further develop existing partnerships to achieve the goals of the Community Energy Engagement Program. Please describe your current Local Partner network and what new Local Partners you would target and why.
- Detailed strategy for how the proposer will leverage multiple sources of funding and financing for completion of clean energy projects
- Detailed strategy for how the proposer will engage residential, multifamily, and small business energy contractors in your Region in assisting customers with completion of clean energy projects
- Description of proposed energy literacy activities the proposer will conduct throughout their Region(s). Please describe ways your proposal will create opportunities to provide education to the community at large, about both clean energy programs and general energy education.

Proposers to this RFP must demonstrate their ability to provide objective, third-party assistance to NYSERDA and its participants. The selected organization(s) and their personnel must not have any financial interest in products or services that may conflict or appear to conflict with the services provided to NYSERDA and its participants. Proposers must include a listing of current or past (within the last three (3) years) subcontractors, affiliations, partnerships or company divisions, as well as a listing of current contracts with NYSERDA and describe their ability to remain objective and avoid conflict.

- **Section 2: Statement of Work – Attachment C (not to exceed 15 pages)**

Attachment C is an actionable document that specifically delineates each step or action required to complete the requested tasks. This document shall serve as the template Statement of Work which outlines potential tasks to be performed by the Contractor for the Community Energy Engagement Program. The Statement of Work shall be supplemented by individual Task Work Orders that are awarded to Contractors through the Regional Specific Initiatives throughout the duration of the Program. The text in red indicates text that should be modified by the proposer. The proposer must include all modifications to this document in tracked changes as red text in their proposal.

Proposers are required to present new and creative approaches not listed in the Statement of Work either within the base activities or as additional base activities. Proposers should identify how these

approaches will help assist the Community Energy Engagement Program to successfully reach objectives and goals, as well as meet specific needs identified by the proposer in the Region they are proposing to serve. Any additional base activities need to be clearly outlined with clear deliverables. Proposers should include in their proposal descriptions of how they will be implemented and how the required metrics for each task will be measured to ensure the success of this program.

Confidential and proprietary participant information shared with the selected organization(s) while providing services is to be kept confidential by the selected organization(s). Such information is not to be shared with other parties or used by the organization(s) for any purpose outside of the specific assignment or agreement. The proposer should include a description of how they will ensure the confidentiality of the shared information in the proposal.

- **Section 3: Management Structure and Staffing Plan (not to exceed 5 pages)**

The proposer should highlight the abilities of the primary contact, who will be responsible for communications with NYSERDA, development of Task Work Orders (Regional Specific Initiatives), oversight of work performed, and initiative support tasks. This description of the primary contact's expertise should provide assurance of successful execution of the Statement of Work. If the proposal includes multiple project partners/teaming arrangement, the proposer must include a clear description including identification of a lead proposer that will be responsible for overall contract management and how the proposer will effectively manage the team.

Additionally, the proposer should include a staffing plan identifying the key personnel, their associated responsibilities, and other resources for completing each task identified in the Statement of Work. The staffing plan should also account for staff back-up, cross-training of tasks, and general quality control/quality assurance responsibilities. An organization chart showing the relationships among all personnel should also be included. The organization chart should state the individual and combined expertise that would enable successful execution of the Statement of Work.

- **Section 4: Qualifications (Not to exceed 5 pages)**

Proposers must include the following information in their response:

- Description of the experience, qualifications (skills and abilities), and proposed responsibilities of each of the key persons to be utilized in the execution of the Statement of Work. Descriptions should highlight critical abilities such as quick-learning, setting priorities independently, computer skills, data management, handling multiple projects simultaneously in a fast-paced environment, and having a high degree of accuracy
- Proposers must demonstrate familiarity with the programs offered through NYSERDA, utilities, and other sources for residents, small businesses, and multifamily building owners
- Proposers must demonstrate their experience successfully managing complex programs on time and within budget, along with the ability to work effectively with a diverse group of stakeholders and as an effective member of a team. Proposers should be flexible and responsive to changing program needs
- Proposers must demonstrate their ability to provide cost-effective, high quality services across their Region(s)
- Demonstrated success of leveraging multiple sources of grant and financing opportunities for completion of clean energy projects with residents, small businesses, and multifamily building owners including supporting metrics.
- Proposers should describe their experience providing services similar to the tasks in this RFP and experience working with NYSERDA, utilities and other entities with residents, small businesses, and multifamily building owners. Examples provided must be consistent with the objectives of this RFP. For each example, an abbreviated scope of work and budget must be included to demonstrate the similarity, execution strategy, and cost-effectiveness of previous work. Proposers should indicate personnel involved and their level of responsibility for each example provided.

- **Section 5: Proposal Budget– (not to exceed Attachment D)**

Proposers must complete the Attachment D - Proposal Budget including a breakout of the budget each year and then a total three-year budget. The budget must not exceed the total budget for the region, as indicated in Table 2, and must ensure that an adequate level of effort will be provided over the full three-year contract term.

Attach supporting documentation to support indirect cost (overhead) rate(s) included in your proposal as follows:

- Describe the basis for the rates proposed (i.e., based on prior period actual results, based on projections, based on federal government or other independently-approved rates). If rate(s) is (are) approved by an independent organization, such as the federal government, provide a copy of such approval.
- If rate(s) is (are) based on estimated costs or prior period actual results, include calculations to support proposed rate(s). Calculation should provide enough information for NYSERDA to evaluate and confirm that the rate(s) are consistent with generally accepted accounting principles for indirect costs.
- Provide detailed budget breakdowns (using the Supporting Schedule for the CPPF) for materials, equipment, and travel. Cost sharing is not required, but if it is a part of the proposal, it should be documented in the format below. Letters of commitment for any third parties providing cost sharing must be included in an appendix. Proposers cannot include other New York State funds as part of the cost share.

NYSERDA reserves the right to audit any indirect rate presented in the proposal and to make adjustment for such difference. Requests for financial statements or other needed financial information may be made if deemed necessary

- **Section 6: Appendices**

- Resumes – One (1) page/each
- Letters of Commitment – One (1) for each subcontractor on company letterhead
- Letters of support to demonstrate successful experience working with residents, small businesses, and multifamily building owners from communities, partner organizations, and customers (not to exceed five (5) letters of support).
- CBO Eligibility Requirements (Attachment G) – If applicable.

Cost sharing is not required, but is strongly encouraged. Cost sharing can be from the proposer, other team members, and other government or private sources. Contributions of direct labor (for which the laborer is paid as an employee) and purchased materials may be considered "cash" contributions. Unpaid labor, indirect labor, or other general overhead may be considered "in-kind" contributions. NYSERDA will not pay for efforts which have already been undertaken. The proposer or proposing team cannot claim as cost-share any expenses that have already been incurred. Show the cost-sharing plan in the following format (expand table as needed):

	<b>Cash</b>	<b>In-Kind Contribution</b>	<b>Total</b>
<b>NYSERDA</b>	\$	\$	\$
<b>Proposer</b>	\$	\$	\$
<b>Others (list individually)</b>	\$	\$	\$
<b>Total</b>	\$	\$	\$

## **V. Proposal Evaluation**

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Proposals that meet RFP requirements will be evaluated based only on the information submitted. NYSERDA reserves the right to request clarification on the information submitted within the proposals. Proposals that meet solicitation requirements will be reviewed by a Scoring Committee using the Evaluation Criteria below **listed in order of importance**. At NYSERDA's discretion, proposers may be requested to interview with all or part of the Scoring Committee to address any potential questions or clarifications outlined in the proposals. Proposers will be notified if they are requested to attend an interview.

**Responsiveness:** Has the proposer demonstrated an understanding of the Community Energy Engagement program goals and objectives? Does the proposer present a realistic and effective plan and strategy to support the Program? Does the proposal exhibit objectivity, responsiveness, experience, and ability to provide services cost-effectively? Does the proposer demonstrate operational excellence, industry expertise, transformation capabilities, and adaptability? Does the proposer clearly and concisely describe the target communities to be served?

**Execution:** Does the Statement of Work adequately address all the program tasks? Does the proposer demonstrate the ability to perform outreach in an effective and economical manner? Are results and deliverables clearly stated and consistent with the proposer's activities? Does the plan include a strategy for coordination and interaction with all the relevant parties, including NYSERDA, key stakeholders, training partners and energy contractors, utilities, various regional organizations, and other existing, similar efforts? Are the program management/implementation plan and time line complete and does it include specific activities, target dates for completion, collaborative agencies, and responsible personnel? Does the team have the capability to adequately track, monitor, and report program activities including all the metrics listed in [Section III-C](#) above? Does the proposal include additional new and creative approaches not listed here that will help assist the Community Energy Engagement Program to successfully reach objectives and goals, as well as meet specific needs identified by the proposer in the Region they are proposing to serve? Does the proposal include a detailed plan for how the proposer will specifically engage LMI households and communities? Does the proposal include a detailed strategy for how the proposer will leverage multiple sources of funding and financing for completion of clean energy projects? Does the proposal include a detailed strategy for how the proposer will engage residential, multifamily, and small business energy contractors in your Region in assisting customers with completion of clean energy projects? Does the proposal include a list of existing partnerships within the region with a description of what those partnerships entail? Does the proposal include a detailed strategy for how the proposer will secure new Local Partners and to further develop existing partnerships to achieve the goals of the Community Energy Engagement Program? Does the proposal include a description of how they will ensure the protection of confidential information shared with them by NYSERDA?

**Staffing:** Is their sufficient staffing to implement the program? Is the project organization, including the staffing plan and schedule, clear and well-defined? Does the proposal include multiple project partners/teaming arrangement and clearly articulate a lead proposer that will be responsible for overall contract management? Do key personnel have sufficient qualifications as it relates to computer skills, data management, and customer service? Is the proposed staffing plan and the qualifications, experience, and time commitment of staff appropriate and adequate for implementation of the program? Does the project lead, responsible for oversight of the program, have the commitment, skill set, and managerial experience to ensure successful completion of the program?

**Relevant Experience:** Does the team have experience implementing programs that deal with residential, multifamily and small business customers? Does the proposer demonstrate familiarity with the programs offered through NYSERDA, utilities, and other sources for residents, small businesses, and multifamily building owners with a focus on LMI households and communities? Does the proposal demonstrate successful experience working with NYSERDA, utilities and other entities that work with these customers? Does the proposal include demonstrated success of leveraging multiple sources of grant and financing opportunities for completion of clean energy projects with residents, small businesses, and multifamily building owners?

**Cost Effectiveness:** Is the proposal cost effective? Are hourly rates and total hours reasonable and appropriate for completion of each task and for the personnel or subcontractors completing the tasks? Is the proposer's allocation of costs appropriate? Are travel costs reasonable? Are marketing costs reasonable? Are pricing and hourly rates in line with the rest of the market? Are resources clearly described and accounted for? Does the budget include all identified potential expenses required to achieve successful completion of the Statement of Work? Does the proposal outline a clear and efficient use of funds in the management plan with a focus on minimizing overhead and administrative costs? Does the proposal provide more than the minimum level of financial support allocated by NYSERDA (cost-sharing) and/or includes at least one full time position in their Region?

In addition to the above criteria, the Scoring Committee will also ensure an adequate number of proposals are awarded to CBOs under Category B. NYSERDA will consider proposals from proposing organizations that are denied under Category B through Category A. NYSERDA reserves the right to award a Contractor multiple Regions if no eligible or fundable proposals are received for a Region. NYSERDA may consider the proposer's performance in other NYSERDA contracts to help determine the proposer's ability to fulfill a Community Energy Engagement Program contract and any perceived conflicts of interest.

NYSERDA may consider the following program policy factors in making award selection decisions, to best achieve the overall goals and objectives of the Community Energy Engagement Program:

- The degree to which the proposed project, including cost share, optimizes the use of available funding to achieve programmatic objectives.
- The degree to which there are technical, market or organizational risks associated with the project.
- The degree to which the proposed project duplicates, complements, or avoids duplication of projects in terms of geographic location, market barrier or market approach addressed.
- Consideration of the impact on, and benefits to, a diversity of communities, including low-income and rural communities.
- The degree to which the proposed project directly addresses NYSERDA's mission and strategic goals.
- The degree to which the applicant has the resources (human and financial) to be able to complete the project.

The award selection process contains multiple steps including an initial eligibility review, ranking by a Scoring Committee of subject matter experts, and considerations such as program policy factors to make the selection decisions. The number of proposers selected for contracts will be determined by the number of providers required to provide all sought services efficiently and effectively relative to the expected volume and workload, while ensuring statewide and sector-wide coverage.

NYSERDA will negotiate contracts for services in fulfillment of the needs of this RFP based on demonstrated competence, qualifications, and rates. Contract negotiations may include the proposer's fee schedules to ensure work is accomplished at fair and reasonable rates. NYSERDA reserves the right to negotiate among finalists to assure services, and to assure access to specific expertise.

## **VI. GENERAL CONDITIONS**

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**Proprietary Information** - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." (emphasis added). Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified



and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <https://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

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

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

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

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

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

**State Finance Law sections 139-j and 139-k** - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx>. The attached Proposal Checklist (Attachment A) calls for a signature certifying that the proposer will comply with State Finance Law sections 139-j and 139-k and the Disclosure of Prior Findings of Non-responsibility form (Attachment B) includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years.

**Tax Law Section 5-a** - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective Contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the Contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective Contractor to readily make such certification. See, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf)). Prior to contracting with NYSERDA, the prospective Contractor must also certify to NYSERDA whether it has filed such certification with the Department.

The Department has created a second form that must be completed by a prospective Contractor prior to contacting and filed with NYSERDA. See, ST-220-CA (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220ca\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for Contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

**Contract Award** - NYSERDA anticipates making up to ten (10) awards under this solicitation. It may award a contract based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement (Attachment J) to contract successful proposals. NYSERDA may at its discretion



elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the submitted proposal (see Proposal Checklist). Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately (2) weeks from the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

**Accessibility Requirements** - NYSERDA requires Contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSERDA's Accessibility Requirements](#).

**Limitation** - This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement. NYSERDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information and the presence of a material possibility of any reputational or legal risk in making of the award.

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

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## **VII. Attachments**

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Attachment A – Proposal Checklist – **Mailed or Hand Delivered Proposals ONLY**

Attachment B – Disclosure of Prior Findings of Non-Responsibility – **Mailed or Hand Delivered Proposals ONLY**

Attachment C – Statement of Work

Attachment D – Proposal Budget

Attachment E – Scoring Guide

Attachment F – CBO Eligibility Requirements

Attachment G – Intent to Propose (Optional)

Attachment H – Sample Agreement



**NYSERDA**

**FlexTech Consultant  
Statewide Services  
Request for Proposals (RFP) 3628**

Proposals accepted continuously through July 1, 2024 by 5:00 PM Eastern Time\*

The New York State Energy Research and Development Authority (NYSERDA) requests proposals from firms interested in becoming FlexTech Consultants. FlexTech Consultants provide objective customized technical services to inform clean energy management and investment decisions. FlexTech Consultants may also be selected to provide support directly to NYSERDA on a variety of initiatives, pilots and alternative approaches to identifying opportunities for implementation of clean energy and energy efficiency technologies. FlexTech Consultants must demonstrate experience and a thorough understanding of clean energy services delivery to commercial and industrial customers in New York State. The credibility of FlexTech Consultants and the quality of technical services they deliver are essential to NYSERDA's success.

Consultants approved through this RFP will receive an agreement that will remain in effect until June 30, 2026 with yearly performance requirements. The agreement does not guarantee work from NYSERDA. FlexTech Consultants are primarily responsible for creating and maintaining their own workload. Applicants are not required to have offices located in New York State to respond to this RFP.

**Questions:**

No communication intended to influence this procurement is permitted except by contacting the following Designated Contacts:

- If you have technical questions, contact Sophie Cardona at (518) 862-1090, ext. 3590 or [FlexTech@nyserda.ny.gov](mailto:FlexTech@nyserda.ny.gov).
- If you have contractual questions, contact Nancy Marucci at (518) 862-1090, ext. 3335 or [nancy.marucci@nyserda.ny.gov](mailto:nancy.marucci@nyserda.ny.gov)

Contacting anyone other than these Designated Contacts (either directly by the Applicant or indirectly through a lobbyist or other person acting on the person's behalf) in an attempt to influence the procurement may result in (1) an applicant being deemed a non-responsible offerer, and (2) an applicant not being awarded a contract.

**Proposal Review:**

Proposals will be reviewed on a rolling basis and applicants will be notified of acceptance or rejection within 4 weeks after a complete proposal is received. See Section VI (Proposal Submission and Review Process) for more information.

\*Late, incomplete, or unsigned proposals will be returned. NYSERDA reserves the right to close or extend the Solicitation at any time and/or add funding to the Solicitation should other program funding sources become available. If changes are made to this solicitation, notification will be posted on NYSERDA's website at [www.nyserda.ny.gov](http://www.nyserda.ny.gov).

## **INTRODUCTION**

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This RFP contains the following sections:

Section I	NYSERDA's Technical Assistance Initiatives Overview
Section II	Technical Assistance Service Categories
Section III	Eligibility
Section IV	Proposal Requirements
Section V	Annual Performance Requirements
Section VI	Proposal Submittal and Review Process
Section VII	General Conditions
Section VIII	Attachments

### **I. NYSERDA's Technical Assistance Initiatives Overview**

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NYSERDA provides technical assistance to drive better decision making with respect to the implementation of cost-effective clean energy, energy efficiency and carbon reduction measures. NYSERDA offers this assistance, including cost-shared energy studies, to support customers in a variety of sectors, such as the commercial, institutional and industrial sectors; retail, colleges and universities; and the agricultural sector. This technical assistance can encompass a wide range of technologies, including on-site power, energy storage and renewable heat. The primary goal of the technical assistance is to reduce the soft costs associated with acquiring objective quality data and pertinent information that, if acted upon, will mitigate carbon impacts, increase productivity and economic competitiveness throughout the state.

As NYSERDA service offerings change over time, FlexTech Consultants will have the opportunity to participate in new initiatives, based on their interest, capabilities and areas of expertise. FlexTech Consultants may also be engaged to provide technical expertise to assist NYSERDA in program development, technical review and guidance, and other program support activities.

### **II. Technical Assistance Service Categories**

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Through this RFP, NYSERDA shall retain a network of FlexTech Consultants to provide a range of technical services. During the contract period, the number and type(s) of services performed by FlexTech Consultants depends upon customer demand and needs, the FlexTech Consultant's expertise, the volume of requests, geographic distribution of requests, and the FlexTech Consultant's performance under the contract.

In responding to this RFP, applicants must demonstrate expertise in one or more of the following service categories (please refer to Section IV for additional information on proposal requirements):

1. General feasibility studies
2. Technical support/clean energy activities
3. Carbon mitigation strategies
4. Industrial and process efficiency analysis
5. Data center efficiency analysis
6. Peak load reduction strategies
7. Combined heat and power, distributed generation, storage, and renewable generation

8. Energy procurement
9. Retro- and continuous commissioning services
10. Alternate fuel technologies
11. High performance buildings
12. Energy advisor services
13. Geothermal
14. Water and wastewater services
15. Agricultural technical assistance

These categories are not inclusive of all technical assistance expertise that might be needed during the length of the contract. Additional expertise may be needed as NYSERDA initiatives are developed, clean energy technologies evolve, and market needs change. As such, FlexTech Consultants may perform technical assistance in categories beyond this list, and applicants are encouraged to provide information supportive of the entire range of their capabilities. Customer requests for services not supported by a NYSERDA program may be directed to FlexTech Consultants capable of assisting them outside of NYSERDA's existing program infrastructure.

For a description of each service category listed above, please refer to Attachment A.

### **III. ELIGIBILITY**

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Eligible firms include, but are not limited to, energy consultants, engineering companies and energy service companies. Interested firms must demonstrate experience with and a thorough understanding of providing clean energy services to commercial and/or industrial customers in New York State. NYSERDA expects FlexTech Consultants to provide expert assistance relating to electric and fossil fuel efficiency, as well as carbon reduction strategies, to achieve NYSERDA's goals and deliver impacts in the most efficient and cost-effective manner. NYSERDA reserves the right to change the FlexTech Consultant qualifications criteria at any time.

### **IV. PROPOSAL REQUIREMENTS**

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Proposers should respond to each qualification criteria listed below and structure the proposal to clearly reflect each category. Proposers are encouraged to use appropriate narratives and descriptions to demonstrate how they meet the requirements of this solicitation as well as the intent of NYSERDA's technical assistance efforts.

Proposals should not be excessively long or submitted in an elaborate format that includes expensive binders or graphics. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal.

#### **A. Specialized Expertise**

All applicants must outline their ability to provide specialized expertise as per Section II (Technical Assistance Service Categories) above. Please also ensure the Areas of Expertise Checklist (Attachment B) is properly filled out.

## **B. Program Priorities**

NYSERDA's technical assistance initiatives emphasize flexibility, objectivity, responsiveness, experience and cost-effectiveness. Applicants must also demonstrate how they will support these program priorities:

### **Flexibility**

One of the keys to the success of NYSERDA's technical assistance offerings is the flexibility of the FlexTech Consultants and the services they provide. As necessary, FlexTech Consultants may be asked to provide expertise and support to other NYSERDA initiatives and staff. Applicants should not only outline their expertise in one or more of the service categories outlined in Section II, but also demonstrate other potential areas of interest or experience that could support NYSERDA's goal of reaching the aggressive carbon reduction targets set by New York State and reducing the soft costs associated with clean energy initiatives.

### **Objectivity**

NYSERDA emphasizes fuel-neutral, objective technical services for its customers. It is important that the analysis provided through NYSERDA's technical assistance offerings is based on customer need. Applicants must demonstrate their ability to provide an objective, third-party perspective on these projects.

### **Responsiveness**

The applicant's ability to respond in a timely manner to customer and NYSERDA requests will be considered in the evaluation process. Applicants must delineate how they plan to respond to customer and NYSERDA assistance requests while managing other contract commitments.

### **Experience**

Applicants shall be awarded contracts based upon their experience, ability, and qualifications to perform one or more of the services outlined in this RFP. Applicants should submit proposals highlighting their specialized expertise as per Section II. Applicants will be evaluated based on their expertise, existing relationships, as well as their ability to develop and maintain new relationships with commercial and/or industrial energy users.

Note: Multifamily and residential experience

In general, multifamily facilities and residences are handled by NYSERDA's residential programs. Multifamily residences are defined as properties that provide residential housing and contain five or more units. However, FlexTech Consultants may be needed on a case-by-case basis to provide services to this sector and, as such, are encouraged to reference their expertise in servicing this sector. Applicants wishing only to serve multifamily facilities might reconsider applying to this solicitation.

Note: FlexTech Consultants may undergo additional review before being approved to perform certain types of activities. Examples include but are not limited to Combined Heat and Power feasibility studies, energy advisor engagements, and industrial and process efficiency analyses

### **Cost-Effectiveness**

Cost-effective strategies are essential to meeting aggressive carbon reduction and energy savings goals adopted by New York State. Applicants are encouraged to propose

strategies to minimize overall expenses (travel, indirect overhead, etc.) and maximize the benefits to customers. Applicants should clearly specify the office locations and qualified personnel at those locations that will participate in NYSERDA's technical assistance initiatives and the corresponding geographic locations they will serve. Applicants are not required to have offices located in New York State to respond to this RFP.

### **C. Additional Qualification Criteria**

In addition to the above, applicants must demonstrate how they meet the following qualifications criteria and provide all required supporting documentation. NYSERDA reserves the right to request additional data or material to support a FlexTech Consultant proposal.

**1. Combined Staff Experience:**

Documentation showing combined staff experience in clean energy for a minimum of five years.

**2. References:**

Provide 2 letters of reference with contact information

**3. Statement of Understanding:**

Applicants must submit a statement highlighting their understanding of NYSERDA's needs for technical services support, describe what value they bring to the clean energy space and explain how they will support NYSERDA in continually striving to accomplish its mission. Applicants should also explain how they intend to meet the yearly performance requirements outlined in Section V (Annual Performance Requirements).

**4. Licensed Professional Engineer:**

The applicant must identify a current staff member that is a Licensed Professional Engineer (P.E.).

**5. Relevant experience:**

Applicants must submit evidence of clean energy experience. Please use the checklist in Attachment B to indicate areas where the applicant has expertise and provide relevant work samples that demonstrate the quality of the applicant's work, methodology, breadth of analysis and reporting. The following documentation must be submitted:

o **Final report sample**

- i. Submit one (1) final report for energy related work completed *within the past two years*, for an existing and occupied facility.
- ii. The associated project scope of work and budget must be attached.
- iii. The report must include an executive summary (not to exceed 10 pages) that outlines the project background, results, and recommendations.
- iv. Adequate calculations and data to support the energy savings estimates.
- v. A list of personnel who completed the project.
- vi. The customer's contact information for reference checks.

o **Case studies**

For each area of expertise selected in the Checklist in Attachment B, submit two (2) case studies of clean energy projects *that resulted in implementation or that demonstrate successful engagement of customers in clean energy*. The case studies should be a minimum of one page each and:

- i. Demonstrate the quality of the Applicant’s work, methodology, and types of energy analyses performed.
- ii. Include the qualified personnel listed in the staffing chart.
- iii. Provide the customer’s contact information for reference checks.

**6. Location and staffing chart**

A chart depicting the office(s) from which services will be provided, the geographic region the office(s) will serve and the personnel located in each office that will be providing technical services.

**7. Personnel resumes**

One-page resumes that highlight recent experience of the personnel who will be directly involved in providing the technical services. The P.E.’s resume must be included.

Submission of a company-wide resume representing general services to be provided by various personnel does not meet the submission requirement.

**8. Rate schedule**

The Applicant shall use the Project Personnel and Billing Rates form (Attachment E) to clearly indicate hourly salary rate range for each title classification proposed under the agreement with NYSERDA and other overhead multipliers you propose to use for the duration of the agreement with NYSERDA. (FlexTech Consultants selected under this solicitation shall be awarded an Agreement that is valid until June 30, 2026).

Provide rates and multiplier for services to be provided from date of proposal submission. These rates shall be independent annual rates. The multiplier stated shall include all overhead, profit, and other costs. NYSERDA reserves the right to conduct a rate comparison amongst consultants and request changes to rate schedule as applicable. *Please do not provide fully burdened rates in the chart.*

**9. Acceptance of Standard Agreement Terms and Conditions (Attachment F)**

Provide a statement that the applicant accepts all terms and conditions in the Sample Agreement – Attachment F. If certain terms and conditions are not accepted, the firm must define these exceptions within the proposal. A redlined agreement should be submitted for such purposes. Please note NYSERDA will only consider exceptions specifically listed in the proposal during contract negotiations. Also, NYSERDA cannot accept any changes to Section 10 – Indemnification; there are no exceptions to this rule.

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**V. ANNUAL PERFORMANCE REQUIREMENTS**

FlexTech Consultants will be held to high standards to ensure active and satisfactory participation in clean energy initiatives. To remain in good standing, FlexTech Consultants must meet a set of yearly performance criteria throughout the duration of their contract. Failure to comply with the criteria set forth below will result in contract cancellation.

The FlexTech Consultant contract performance period begins every year on July 1st and ends the following year on June 30. NYSERDA may prorate performance criteria over the course of the year depending on when an agreement is issued.

All supporting documentation demonstrating compliance with the performance requirements must be submitted by August 15<sup>th</sup> of every year.

The annual performance requirements are listed below, but may change over time. Any changes

to the performance requirements will be posted on this webpage <https://www.nyserda.ny.gov/FTC-Performance>. FlexTech Consultants will be notified in a timely fashion of any changes to these criteria.

### **1. Annual Report**

FlexTech Consultants will be required to provide an Annual Report (potentially through an online survey). Among other things, Consultants may be asked to report on their firm's ongoing clean energy related activities, particularly interesting or innovative projects the firm is engaged in, any changes in annual participation with NYSERDA programs, and how the firm can continue to deliver value as a FlexTech Consultant to NYSERDA and its stakeholders in the coming year. Information contained in the annual report may be published on the NYSERDA website.

### **2. Project Highlights**

FlexTech Consultants must provide a project summary for a minimum of two (2) clean energy projects initiated or completed within each agreement year. The synopsis should include a brief narrative and technical details if needed. Projects do not have to be completed, but completed projects should include projected or achieved energy savings. For non-NYSERDA projects, a reference with contact information must be provided for each project summary.

### **3. Assessment of Capabilities**

FlexTech Consultant's capabilities may change over time for a variety of reasons. The Clean Energy Capabilities Checklist (Appendix C) must be submitted to provide any updates to the FlexTech Consultant's capabilities from one year to the next. This will help NYSERDA keep track of the expertise and capabilities represented within the FlexTech Consultant pool at any given time. For each new capability a FlexTech Consultant adds over time, two case studies must be submitted to demonstrate said new capability. The case studies should be a minimum of one page each and:

- i. Demonstrate the quality of the Applicant's work, methodology, and types of energy analyses performed.
- ii. Include the qualified personnel included in the organizational chart.
- iii. Provide the customer's contact information for reference checks.

Note: The FlexTech Consultants' capabilities will be posted on the NYSERDA website. FlexTech Consultants are listed on the NYSERDA website with information pertinent to their FlexTech engagement, which may include but is not limited to: geographic locations served, the year they became a FlexTech Consultant, historic NYSERDA work as applicable, number of completed reports, areas of expertise and sectors served, as approved by NYSERDA.

### **4. NYSERDA Program Feedback**

Each agreement year, the FlexTech Consultants shall have at least one representative participate in FlexTech Consultant calls and webinars, respond to surveys and requests for information (such as feedback on market conditions, ideas for pilots or other clean energy opportunities, etc.) issued by NYSERDA's technical services staff, and provide feedback as requested pertaining to the services outlined in this agreement.



## **Performance Evaluation Process**

FlexTech Consultants will be informed whether they have met the yearly performance criteria by September 30th of every year.

NYSERDA reserves the right to request additional material to corroborate any information included in the annual performance deliverables, and to make a final determination about a FlexTech Consultant's yearly performance. Any work not meeting the high standards of quality expected of FlexTech Consultants will not be accepted and may be grounds for contract cancellation. NYSERDA reserves the right to change the FlexTech Consultant performance criteria at any time.

Failure to meet the performance criteria will result in cancellation of the FlexTech Consultant Agreement, and the consultant will be barred from re-applying to the program for a minimum of one year from the time the Agreement is cancelled.

## **VI. PROPOSAL SUBMITTAL AND REVIEW PROCESS**

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To submit a proposal, please email the proposal and all required documentation to [FlexTech@nyserda.ny.gov](mailto:FlexTech@nyserda.ny.gov). A completed proposal includes:

1. A narrative showcasing how the applicant intends to meet the expectations and requirements outlined in this solicitation (Refer to Section IV. Proposal Requirements)
2. Area of Expertise Checklist (Attachment B)
3. FlexTech Consultant Application Form (Attachment D)
4. Supporting documentation
  1. Combined staff experience
  2. Letters of reference
  3. Statement of Understanding
  4. Proof of Professional Engineer (PE) on staff
  5. Samples of energy-related work (1 sample scope of work and final report, minimum 2 case studies per area of expertise)
  6. Organizational chart
  7. Personnel resumes
  8. Rate schedule (Attachment E - please submit in excel spreadsheet format)
  9. Statement of Acceptance of Standard Terms & Conditions or redlined agreement

### **FlexTech Consultant Proposal Process Overview**

1. NYSERDA will review proposals for compliance with the requirements set forth in this RFP on a rolling basis. Proposals missing required information may be rejected. Applicants will be notified of their acceptance or rejection within four (4) weeks of proposal receipt.
2. NYSERDA will issue an Agreement to selected consultants. The Agreement will be valid until June 30, 2026. This Agreement does not guarantee work with NYSERDA. The Agreement will be issued approximately four (4) weeks after proposal acceptance.
3. The awardees have 60 days to sign and return the FlexTech Agreement. Failure to execute the Agreement within 60 days of issuance will result in loss of Agreement.
4. Once signed and returned, the Agreement will be fully executed within 1-2 weeks.
5. All FlexTech Consultants will be assessed each summer, based on the fulfillment of the annual performance criteria to determine whether their Agreement will continue for another performance period (one year).

## **VII. GENERAL CONDITIONS**

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

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

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

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

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

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

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

**State Finance Law sections 139-j and 139-k** - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx>. Applicants are required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility (this includes a disclosure statement regarding whether the applicant has been found non-responsible under section 139-j of the State Finance Law within the previous four years).

**Tax Law Section 5-a** - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and

compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. *See*, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf)).

Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department. The Department has created a second form that must be completed by a perspective contractor prior to contacting and filed with NYSERDA. *See*, ST-220-CA (available at [http://www.tax.ny.gov/pdf/2006/killin/st/st220ca\\_606\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/2006/killin/st/st220ca_606_fill_in.pdf).)

The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

**Limitation** - This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement (Attachment F). NYSERDA reserves the right to disqualify applicants based upon the results of a background check into publicly available information and the presence of a material possibility of any reputational or legal risk in making of the award.

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

**Contract Award for FlexTech Consultants** - NYSERDA anticipates making multiple awards under this solicitation. It may award a contract based on initial proposals without discussion, or following discussion or negotiations. Each proposal should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support proposals. NYSERDA will use the Sample Agreement (Attachment F) to contract successful proposals.

## **VIII. ATTACHMENTS**

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- A. Technical Assistance Service Areas
- B. Areas of Expertise Checklist
- C. Assessment of Capabilities Checklist
- D. FlexTech Consultant Application
- E. Project Personnel and Billing Rates Form
- F. NYSERDA Sample Agreement for FlexTech Consultants

NYSERDA Commercial and Industrial Sector Market Engagement & Outreach  
Request for Proposal (RFP) 3631

\$4,675,000.00 Available

*NYSERDA reserves the right to extend and/or add funding to the Solicitation should other program funding sources become available.*

Proposals Due: **September 20, 2017** by 5:00 PM Eastern Time\*  
Informational Webinar will be held on  
August 23, 2017 from 11:00 a.m. – 12:00 p.m.

The New York State Energy Research and Development Authority (NYSERDA) is issuing this solicitation to competitively select contractors with demonstrated experience and success in market engagement and knowledge of commercial and industrial (C&I) sectors in New York State to assist in the success of NYSERDA Clean Energy Fund (CEF) efforts.

NYSERDA intends to establish a list of contractors to provide NYSERDA with outreach, market engagement, marketing, and education support services for a diverse set of C&I programs and initiatives that vary in scope, audience and objective. This list will be used on an as-needed basis through the length of the CEF, ending in 2025. The selected contractors are expected to offer support in the areas identified in this solicitation as well as new initiatives as they are approved by the Department of Public Service, introduced to the New York State market and assigned by NYSERDA. Projects will vary in scope and budget. The expected start date for work under this solicitation is January 2018.

Contractors may submit a proposal to provide services for one or more of the following areas:

1. Commercial Market
2. Industrial Market
3. Data Centers Market

NYSERDA will select and rank contractors for each area listed above and anticipates selecting three contractors for each area. Contractors may be asked to coordinate and work together to deliver the maximum effective outreach for a particular initiative.

**Informational Webinar:** NYSERDA will conduct an informational webinar on August 23, 2017 from 11:00 a.m. – 12:00 p.m. Eastern Time during which NYSERDA will review this RFP, the application requirements, and answer questions. Applicants who intend to participate can send an email to [commercialprograms@nyserda.ny.gov](mailto:commercialprograms@nyserda.ny.gov) with the subject line “RFP3631 Applicant Webinar” and information on how to participate will be provided. Applicants are encouraged to submit written questions [commercialprograms@nyserda.ny.gov](mailto:commercialprograms@nyserda.ny.gov) prior to the webinar and will also have the opportunity to type in questions during the webinar through the webinar portal. Following the

webinar, NYSERDA will post questions and responses on this webpage. NYSERDA will post all questions anonymously, and NYSERDA's written responses will supersede any responses given during the Applicant Webinar.

**Proposal Submission:** Electronic submission is preferable. Proposers may submit Word, Excel, or PDF files (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. NYSERDA will also accept proposals by mail or hand-delivery if electronic submission is not possible. For detailed instructions on how to submit a proposal, click the link "NYSERDA Solicitation User Guide [PDF]" located in the "Current Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted except by contacting Emily Startz (Designated Contact) at (212) 971-5342, ext.3036 or by e-mail at [Emily.Startz@nyserda.ny.gov](mailto:Emily.Startz@nyserda.ny.gov) or Stacey Sabo (secondary contact) at (212) 971-5342, ext.3037 or by e-mail at [Stacey.Sabo@nyserda.ny.gov](mailto:Stacey.Sabo@nyserda.ny.gov). If you have contractual questions concerning this solicitation, contact Nancy Marucci (Designated Contact) at (518) 862-1090, ext. 3335 or [Nancy.Marucci@nyserda.ny.gov](mailto:Nancy.Marucci@nyserda.ny.gov). Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

**\* All proposals must be received by 5pm Eastern Standard Time on the date noted above. Late, faxed, or emailed proposals will not be accepted.** Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal. Please note: for electronic submission, there are required questions that you will have to answer in addition to uploading attachments and you should allot at least 60 minutes to enter/submit proposals. The electronic proposal system closes promptly at 5pm, files in process or attempted edits or submission after 5pm Eastern Standard Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on NYSERDA's web site at <https://www.nyserda.ny.gov>.

## I. Introduction

NYSERDA's ten-year (2015-2025) Clean Energy Fund (CEF) supports development and innovation in the clean energy market and is a foundational component of Reforming the Energy Vision (REV), which is designed to achieve a clean, resilient and affordable energy system in New York. The CEF initiatives are designed to increase adoption of smart technology and catalyze energy-related improvements across sub-sectors that can have a profound impact on C&I markets. To meet NYSERDA's new CEF overarching market goals, additional effort and attention needs to be focused on strategically engaging the market, performing outreach and customer education. Outreach teams that have versatile, well-rounded expertise are needed.

The selected contractors will support programs that focus on strategies to reduce soft costs and other non-monetary barriers by: Providing information, data and education to all market actors identified as influential to the effort; recruiting pilot and program participants; offering technical assistance and providing standardized, simple, robust tools; providing quality assurance and

limited incentives; pilots; Demonstrations and replicating of new technologies and business models; and promoting aggregation to reduce costs through economies of scale. Outreach strategies must be grounded in a strategic understanding of the market and business goals as outlined in the CEF Investment plans.

Outreach strategies to consider including are, but not limited to: one-on-one interaction; training; leveraging partnerships with trade associations and market partners; integration with local, state, regional, and national efforts; recognition of vertical leaders; suggestions and execution of key marketing tactics and approaches; and guidance for and assistance to NYSERDA program participants. Outreach activities and communication materials will require close coordination with NYSERDA's internal Communications, Marketing and/or Events teams and contracted Advertising agency.

## **II. Program Requirements**

### **Proposal Categories**

We are seeking consultants to provide strategic market engagement, education and outreach in the following areas:

1. Commercial Markets
2. Industrial Markets
3. Data Centers Markets

Contractors may respond to one or any area combination. If responding to more than one area, contractors should submit separate targeted approaches and highlight relationships and expertise in each area to demonstrate the breadth and depth of experience, and detail how assigned personnel are able to fulfill those roles.

NYSERDA will select and rank contractors for each area listed above. NYSERDA anticipates selecting three contractors for each area. Contractors are expected to coordinate and work together to deliver the maximum effective outreach for a particular initiative as requested by NYSERDA.

Contractors selected under this solicitation will enter into Task Order Agreements with NYSERDA for one or more of the identified categories. The term of the Task Order Agreement will be through 2025.

### **Contractor Requirements**

#### **a. Program Areas**

- a. Commercial Markets
  - i. For the purposes of this RFP, the Commercial Market includes hospitals, colleges and universities, commercial real estate, large retail chains and small and medium-size business end-users, as well as the vendors, consultants and stakeholder groups who serve those markets. Within the programs for the Commercial Market, there is the potential for both existing building retrofit energy upgrades as well as new construction. The selected contractors will need to engage appropriate architecture, engineering, design and vendor firms serving the vertical end-users.

- ii. Approved CEF initiatives currently include Real Time Energy Management, Commercial Tenant Program, Flexible Technical Assistance, and REV Campus Challenge.
- b. Industrial Markets
  - i. The Industrial Market includes the manufacturing sector in New York State and targets key industries such as: chemicals and pharmaceuticals; primary metals, non-metallic minerals; pulp and paper; automotive; computers and electronics; food processing; and forest products. It includes manufacturing facilities, or support operations such as warehousing and distribution sites. Mining and extraction, as well as water and wastewater facilities, are also included.
  - ii. Approved CEF initiatives currently include Flexible Technical Assistance, Industrial and Process Efficiency, Strategic Energy Management, and On-Site Energy Manager.
- c. Data Centers Markets
  - i. Data Center Markets are found in nearly every sector. Key target sectors for data centers include financial services, technology services, cable and telecommunications, insurance and medical, as well as colleges and universities. Data centers are similar to the Industrial sector as their process energy consumption resembles manufacturing consumption in its load shape, process-oriented characteristics, economic development impact, power quality requirements and mission-critical nature. Data centers primarily contain electronic equipment used for data processing (servers), data storage (storage equipment), and communications (network equipment). Collectively, this equipment processes, stores, and transmits digital information and is known as “information technology” (IT) equipment. Data centers also usually contain specialized power conversion and backup equipment to maintain reliable, high-quality power as well as environmental control equipment to maintain the proper temperature and humidity for the IT equipment.
  - ii. Approved CEF initiatives currently include Industrial and Process Efficiency.

NYSERDA will continue developing new initiatives to introduce to the market during the ten-year CEF. Feedback collected through outreach activities will be invaluable for informing the continued development of new programs that address customer and market needs. Contractors selected through this solicitation may be utilized to provide outreach for the approved initiatives listed above, those under development, and those yet to be determined.

## **b. Responsibilities**

The selected contractors will be responsible for the development and execution of tactical outreach strategies and the generation of new and quality leads. Outreach work includes providing customized assistance to facilitate project closure and vetting leads to ensure that there is quality project potential. Contractors shall provide outreach to, and interact, with all third party upstream market actors that serve desired end users. The contractor should not replace trusted advisors to customers but learn how to leverage their influence and relationships with the customer. NYSERDA will provide an existing list of stakeholders and the contractor should also offer access to a well-developed network of new contacts.

Fluency in other NYSERDA programs outside of the targeted ones listed above will be important to the success of the outreach efforts. To reduce market confusion, the contractors need to be able to recommend to NYSERDA and vendors who incorporate NYSERDA program incentives into their sales models, clear ways of communicating existing programs and their changes, new programs and the synergies between programs. Having technical expertise and knowledge to be able to speak to technology or system details is valued. Selected contractors will be expected to collect and share market feedback with NYSERDA to further develop programs and inform program modifications, strategy and market engagement to ensure success.

In addition to identifying and becoming familiar with energy-related benefits, contractors should have a working knowledge of non-energy benefits such as improving productivity, reducing waste, promoting economic development, improving indoor environmental quality, reducing greenhouse gases, and implementing operational and maintenance savings, can be leveraged to influence energy efficiency decisions.

The contractors will supplement NYSERDA project manager's capacities and help to facilitate long-lasting relationships between priority stakeholders and customers and NYSERDA's project managers. The selected contractors will introduce customers, market actors and stakeholders to NYSERDA commercial, industrial and data center initiatives and continue to engage with them, providing support and accessibility during participation to answer questions. As additional initiatives launch in the market, the contractors are to include those initiatives as instructed in their outreach strategies. The contractors will also seek speaking opportunities for NYSERDA including utility events, stakeholder meetings, and industry conferences. Contractors will be asked to recommend and in some instances, create and execute, marketing tactics and strategies. The NYSERDA project manager and contractor will work with NYSERDA's internal Communications, Marketing and/or Events teams and contracted Advertising agency.

The contractors are also encouraged to provide feedback to NYSERDA on the structure of its programs and initiatives based on their outreach. Suggestions for improvements and assistance in structuring those may be requested. Contractors may also be requested to assist in coordinating workshops targeting at obtaining market feedback. The outreach work should not end when the project is approved but should continue through project completion to share success stories, lessons learned and to communicate the benefits and outcomes of the project to others, as a form of market outreach.

### **c. Funding**

NYSERDA has identified \$4 million available at this time. Additional funding may be available as assignments and initiatives are identified.

### **d. Contracting and Assignment of Work**

The contract term will be through 2025. NYSERDA will issue a task order agreement to the selected contractors. The contract will be a zero dollar contract with assignments and funding being assigned through task work orders



A task work order agreement is used because no estimate can be made in advance as to the type, amount, and complexity of the work each contractor will be required to perform. This allows NYSERDA the flexibility to request services for a variety of activities and assignments. New areas may be added as they are identified. While it is preferred that Contractors are able to provide coverage across most of New York State, this is not required. However, Contractors must clearly identify the areas where they are able to provide the necessary outreach support and market engagement.

NYSERDA will assign task work orders to individual contractors based on but not limited to the following criteria:

- The degree to which the contractor has the expertise needed for a given task.
- The degree to which the contractor can support the location needed for a given task.
- The degree to which the contractor has performed previously assigned tasks.
- The degree to which the contractor has the capacity to perform the workload for a given task.
- The degree to which the contractor is cost competitive for a given task.
- The ability of the contractor to provide high quality and timely services.

For projects that span multiple areas, NYSERDA will determine a primary area based on the specific needs of that project and award a scope of work based on the criteria above. NYSERDA reserves the right to mini-bid the contractor list by area or to ALL areas if the criteria above are not adequate to select an appropriate contractor(s) for a given effort. NYSERDA reserves the right to adjust the total amount of funding based on the C&I outreach contractor's success, funding source approval requirements, availability of new funds, or other factors affecting the C&I Program(s).

Task Work Orders will be developed by the contractor at the request of NYSERDA. A NYSERDA project manager will be designated to manage the specific work performed under the Task Work Order. Initiative details and specific program procedures will be provided to the contractor during Task Work Order development.

For each Task Work Order, the contractor is expected to:

- Develop an approach and budget for review and approval by NYSERDA according to the task(s) assigned. Negotiate the scope and cost of the support service.
- Upon agreement by both NYSERDA and the contractor, provide the required assistance within the agreed upon time frames.
- Submit required deliverables to NYSERDA for review and approval.
- Provide required documentation of expenditures by task based on the approved Task Work Order when seeking payment from NYSERDA.
- The Task Work Order must reflect that appropriate staff and resources will be available for the services requested including day to day support of the initiative assigned.

As Task Work Orders are issued, regular check-ins will be scheduled with the assigned NYSERDA project manager. Regular reporting by the outreach contractor will include, but not be limited to, meeting and phone calls held and with whom, number of received or pending applications, associated savings, qualitative information as needed and explanations of slippage if goals are not met.

Performance criteria will be specified within the awarded contracts. Failure to meet the annual performance criteria may result in termination of the contract.

Contractors should consider developing teams to better leverage a diverse range of expertise and deliver cost-effective and timely services. If a proposer is in a unique position to provide or leverage services from their own and/or other organizations, this opportunity should be identified in the proposal. NYSERDA also reserves the right to negotiate among finalists to ensure access to specific technical expertise sought through this RFP. A prime contractor and a single contact will be required for each proposal.

### **III. Proposal Requirements**

Proposing contractors are required to submit all Proposal Requirements for each area (commercial, industrial or data center) in which they wish to be considered for qualification. Contractors are not required to propose for every area and are encouraged to propose for those areas in which they have expertise and experience. Contractors will only be considered for qualification in areas for which all Proposal Requirements have been submitted. Contractors must clearly identify which areas are included in their proposals. To meet the evaluation criteria listed below in this solicitation, contractors must provide adequate information to effectively demonstrate the capability to perform all the work and services required. There is no page limit, font style or size requirements for Part 1 below. Please use best judgement as to how many pages are required to adequately address all components in Part 1.

Each area being proposed to must include the items listed below, regardless of whether they have been presented in another section:

#### **Part 1:**

##### **a. Reporting and Data Management**

Contractors will be required to use NYSERDA's Salesforce customer relationship management (CRM) system to record all interactions. Success will be tracked and monitored in the CRM system for the length of the contract. Inputs will include reporting on project impacts, maintaining a state-wide database of contacts and details of exchanged communications. The proposal must include experience using a CRM system such as Salesforce to maintain updated records and a plan for using this system to measure a program's success.

##### **b. Market Knowledge**

Experience within New York State is crucial to gaining access to market stakeholders and providing effective outreach. For each area, contractors must describe experience with, and understanding of, the market area. Existing relationships in New York State provide a necessary foundation for success.

Proposals must include:

- Explanation of the proposer's existing relationships (including duration) with:
  - Respective market stakeholders
  - Service providers including but not limited to technical consultants, architecture and design firms, vendors, energy engineers.
  - End-use customers
  - Trade and professional associations

- Demonstrate knowledge of the market’s unique energy and technical challenges
- Geographic coverage and ability to provide service in New York State.

**c. Staff Experience and Ability**

Teams that have versatile, well-rounded expertise are needed. Having a technical background to be able to speak to technology or system details, matched with sales and marketing experience is invaluable to communicating program benefits and impacts. NYSERDA recognizes that these skills may reside in different team members and require resumes or other supporting documentation be submitted to demonstrate specific capabilities and how these combinations of skills can increase the likelihood of closing high-impact projects. NYSERDA’s CEF programs are focused on market transformation and as such, outreach contractors’ expertise must be reflective of this larger goal. Proposals should include details on how team members’ collective expertise will be used, not only to engage and educate the market, but also to provide value after the projects are complete to help transform the broader market.

In order to demonstrate relevant knowledge of the industry, experience with outreach, marketing and market engagement, and New York State experience, please include the following information:

- Identify all team members (name, business address, telephone number), including the lead party who will assume the ultimate responsibility for success and their qualifications to undertake the proposed work
- Attach resumes of team members
- Provide an organization chart displaying relevant staff and define their roles and responsibilities
- Demonstration of five (5) or more years of experience with a description of specific energy-related outreach work performed in the specific area for which you are proposing an approach. Reference three (3) project examples to demonstrate experience including this information:
  - Type(s) of facility (ex.: manufacturing plant sector, data center, hospital, college and/or university, buildings within the commercial retail sector, or big box retail)
  - Type of assistance provided (marketing, educational, information dissemination, market transformation, etc.)
  - Activities related to outreach, market engagement and education, market transformation, information dissemination
  - Understanding of decision-making and business processes, financial and cost impacts, cost-benefit ratio, and of the business case and justification for energy investments
  - Drivers beyond energy efficiency (corporate mission, sustainability, productivity increases, reduced scrap, increased throughput, waste reduction, cost reduction, etc.)
  - Results and outcomes of the above efforts

**d. References**

Proposals must provide a list of five (5) clients for reference. At least two (2) of these references must be for work performed in New York State.

**e. Personnel and Rates**

NYSERDA is open to a time and materials, performance-based or hybrid performance-based and time and materials payment method. The intention should be to align outreach results with payments to the contractor(s). For example, there could be a set dollar amount per received and approved application while some tasks may remain on a time and materials basis. Please provide a budget for your approach outlined in Part 2 below for NYSERDA to evaluate the total cost during the proposal evaluation. Indicate which tasks in your proposal would be performance based and which would be time and materials based. Please provide billing rates in the form of Attachment A: Rate Sheet for each of the services that your firm is proposing, corresponding with the Tasks listed in Attachment B: Sample Statement of Work, all unique functional titles, disbursements or other services for which the firm would expect reimbursement. Rates should cover the entire contract term and if they differ by year or activity, it should be clearly stated.

**f. Letters of Commitment**

Include letters of commitment from any subcontractors, co-funders, or other organization directly involved.

**Part 2:**

**Outreach, Market Engagement and Education Approach**

NYSERDA's CEF initiatives are designed to increase adoption of smart technology and catalyze energy-related improvements across sub-sectors that can have a profound impact on C&I markets. As stated above, current CEF programs include Real Time Energy Management, Commercial Tenant Program, Flexible Technical Assistance, Industrial and Process Efficiency, Strategic Energy Management, On-Site Energy Manager, and REV Campus Challenge. Information on NYSERDA's approved CEF initiatives as listed above is on NYSERDA's website to meet NYSERDA's new CEF overarching market goals, additional effort and attention needs to be focused on strategically engaging the market, performing outreach and customer education.

The proposal must include an outreach approach. If responding to serve more than one (1) area, please submit separate responses for each area. This is a request for not a detailed outreach plan, but a high-level outreach and market engagement approach. All potential services should be clearly presented for a full understanding of resources. The outreach approach should be no longer than ten pages.

Outreach activities can include, but are not limited to:

- Helping customers and their trusted contractors or vendors with program requirements, project ideas, project packaging and applications

- Communicating energy and non-energy benefits that align with the objectives, goals and metrics of the participants
- Working directly with CEOs, CFOs, property owners and managers, plant managers, facility engineers, process engineers, data center engineers, and decision-makers to develop action plans and take advantage of energy efficiency, productivity improvements, and demand management. The intent is to invigorate existing and develop new, long-term relationships to support projects and look for new opportunities.
- Working directly with trusted contractors, vendors, architects and engineers that influence and serve end-users. The intent is to leverage existing relationships to achieve scale and not duplicate or eradicate existing working relationships.
- Engaging with stakeholder groups, utility representatives and market organizations and participants including, when applicable, energy service companies and equipment manufacturers
- Presenting at key trade associations and conferences
- Supporting NYSERDA in the development of outreach material content, messages, and informational resources designed to motivate key market stakeholders to act.

The educational opportunities for each area should include an approach for developing the markets' understanding of energy efficiency benefits, best practices and how to leverage NYSERDA's programs to meet customer energy or sustainability goals. Capitalizing on existing events and opportunities should be emphasized. As part of the educational strategies, contractors will be asked to recommend and in some instances, create and execute, marketing tactics and strategies. Educational strategies can include, but are not limited to:

- Educating c-level, senior management, sustainability/energy personnel on the benefits of creating a working environment where energy savings are rewarded and recognized
- Educating facility managers, engineers and operators on energy benefits inherent in system improvements, advanced control and management systems
- Developing objective, credible information about energy efficiency and best practices
- Engaging with and understanding decision-makers needs and process to be able to develop materials and resources that support and influence the prioritization of energy efficiency
- Educating the existing list of and recruiting new service providers, modelers, designers, architecture firms, or energy contractors whose customers can benefit from NYSERDA program participation.
- Developing content for marketing materials, recommending effective marketing strategies, and an execution plan. NYSERDA project manager and contractor will coordinate with NYSERDA's internal Communications, Marketing and/or Events teams and contracted Advertising agency.

#### **a. Leverage Other Funding Opportunities**

NYSERDA's CEF programs are primarily focused on reducing the soft-costs associated with the adoption of energy efficiency measures. Therefore, it is especially important to leverage utility, non-profit and other organization's implementation incentives to communicate a

complete offering to customers. The proposal must present an approach for leveraging these other funding resources.

#### **IV. Proposal Evaluation**

Proposals that meet solicitation requirements will be reviewed by a Scoring Committee using the following evaluation criteria and competencies. At NYSERDA's discretion, contractors may be requested to interview with all or part of the Scoring Committee to address any potential questions or clarifications outlined in the proposals. Proposals will be evaluated independently for each area.

- Experience with use of a CRM such as Salesforce for program pipeline tracking, management and recording. Specific knowledge of Salesforce should be highlighted.
- Geographic coverage and ability in New York State
- Versatility of team expertise including technical, sales and marketing experience
- Existing market relationships
- Demonstration of knowledge of area for which work is proposed and experience with energy-related work
- The potential of the approach to achieve program goals
- Reference to past projects and client references related to proposed work
- Cost effectiveness and competitive rates

#### **General Selection Process**

The selection process will begin with the review and evaluation of each of the written proposals. The purpose of this evaluation process is twofold: (1) to examine the responses for compliance with this solicitation; (2) to identify the complying firms that have the highest probability of satisfactorily performing the scope of services at a reasonable cost to NYSERDA. All written proposals will be reviewed and evaluated by a Scoring Committee selected by NYSERDA. The Scoring Committee will score each proposal per the criteria described herein. The Scoring Committee will rank the proposers' final scores which will form the basis for the award recommendation to NYSERDA Management. It is anticipated that there will be multiple selections depending on the number of qualified contractors.

#### **V. GENERAL CONDITIONS**

**Proprietary Information** - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures

set forth in 21 NYCRR Part 501 <https://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

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

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

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

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

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

**State Finance Law sections 139-j and 139-k** - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx>. Proposers are required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility (this includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years).

**Tax Law Section 5-a** - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf)). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department.

The Department has created a second form that must be completed by a prospective contractor prior to contacting and filed with NYSERDA. See, ST-220-CA (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220ca\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

**Contract Award** - NYSERDA anticipates making multiple awards under this solicitation. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most

favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately eight weeks from the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

**Accessibility Requirements** - If awardees from this solicitation will be posting anything on the web, or if the awardee will produce a final report that NYSERDA will post to the web, the following language must be included. NYSERDA requires contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSERDA's Accessibility Requirements](#).

**Limitation** - This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement. NYSERDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information and the presence of a material possibility of any reputational or legal risk in making of the award.

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

## **VI. Attachments:**

Attachment A – Rate Sheet

Attachment B – Sample Statement of Work

Attachment C – Sample Agreement





**Salesforce Application Development**  
Request for Proposal (RFP) 3634

Proposals Due: September 12, 2017 by 5:00 PM Eastern Daylight Time\*

The New York State Energy Research and Development Authority (NYSERDA) requests proposals from providers interested in delivering design and build services for the implementation of Salesforce as an integrated enterprise solution. The selected service provider(s) shall execute assigned operational and technical tasks in a manner that will leverage and build-out NYSEDA's already established Salesforce functionality, seek to establish standardized workflow processes, and utilize configuration rather than customization to the greatest extent possible. This effort shall further develop and enhance NYSEDA's existing Salesforce installation. The successful service provider(s) will accelerate NYSEDA's goals of continuous improvement and end-user satisfaction by providing flexibility in executing design and development work, minimizing risks, and lowering ongoing operating costs to NYSEDA.

Proposer(s) will be awarded contracts based on experience, qualifications, cost, and demonstrated ability to deliver the services identified in this RFP. Any anticipated contract(s) are expected to be for an initial three-year term, with the potential for a single or multiple contract extension(s) for up to a total of two additional years. The maximum contracted term is five (5) years in total. NYSEDA reserves the right to extend the contract and / or add funding should other resources become available. NYSEDA expects to award one or more contracts for this solicitation.

**Proposal Submission:** Electronic submission is preferable. Proposers may submit Word, Excel, or PDF files (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should **not be scanned**. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. NYSEDA will also accept proposals by mail or hand-delivery if electronic submission is not possible. For detailed instructions on how to submit a proposal (electronic or paper submission), click the link "NYSEDA Solicitation User Guide [PDF]" located in the "Current Opportunities" section of NYSEDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted except by contacting Steve Lebel (Designated Contact) at (518) 862-1090, ext. 3240 or by e-mail [steven.lebel@nyserda.ny.gov](mailto:steven.lebel@nyserda.ny.gov) or Marc Franzoni (Designated Contact) at (518) 862-1090, ext. 3109 or by e-mail [marc.franzoni@nyserda.ny.gov](mailto:marc.franzoni@nyserda.ny.gov) (for technical questions). If you have contractual questions concerning this solicitation, contact Elsyda Sheldon (Designated Contact) at (518) 862-1090, ext. 3232 or [Elsyda.Sheldon@nyserda.ny.gov](mailto:Elsyda.Sheldon@nyserda.ny.gov). Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offeror, and (2) may result in the proposer not being awarded a contract.

**\* All proposals must be received by 5pm Eastern Daylight Time on the date noted above. Late, faxed, or emailed proposals will not be accepted.** Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal. Please note: for electronic submission, there are required questions that you will have to answer in addition to uploading attachments and you should allot at least 60 minutes to enter / submit proposals. The electronic proposal system closes promptly at 5pm, files in process or attempted edits or submission after 5pm Eastern Standard Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on NYSEDA's web site at <https://www.nyserda.ny.gov/>.

## 1. Introduction

The New York State Energy Research and Development Authority (NYSERDA) is a public benefit corporation established pursuant to Title 9 of Article 8 of the Public Authorities Law of the State of New York. NYSEDA's principal mission is to develop innovative solutions to some of the State's most difficult energy and environmental problems.

NYSERDA works with customers and market actors including home owners, property managers, architects, engineers, building contractors and developers. NYSEDA programs typically offer a benefit to one or more of these customers such as a service or financial incentive. Financial incentives are provided for actions taken, commonly referred to as "measures" to reduce energy consumption or generate clean energy.

### 1.1 Typical Business Process

NYSERDA typically provides services and/or financial incentives to secure energy and environmental benefits.

Each transaction is initiated with either a bid for a competitive program or an application for an open enrollment program. After a review process, a decision is made whether to award a bid for a competitive program or to accept an application for an open enrollment program. NYSEDA then enters into a contract with selected bidders and applicants.

The selected bidders and applicants complete the work required by the contract and provide proof of completion as well as other information as stated in the contract. NYSEDA then issues payment of the incentive or grant. Some programs issue only one payment for the work performed while others issue multiple payments over time based on a pre-defined schedule or on demonstrated operational performance. NYSEDA often continues to collect energy and economic data after the final payment.

### 1.2 Systems Background

There are four types of front line systems currently supporting NYSEDA's project management, workflow and program reporting functions:

- Custom web applications (usually Microsoft .NET) built and maintained by internal staff.
- Salesforce based Customer Relationship Management ("CRM") and program management applications (contained in one Salesforce Org).
- External systems on various platforms that are hosted and maintained by program implementation partners.
- Spreadsheets and other data sources created and maintained by program staff.

These systems contain information about project details, contacts, location, energy production and savings, project and payment statuses, and incentive amounts and payments.

NYSERDA's financial accounting and contract administration system (NEIS) is on an Oracle PeopleSoft platform using a Microsoft SQL database. The system is hosted externally, but maintained by internal Information Technology (IT) staff as well as the hosting contractor. There is limited integration of NEIS and the project/program management systems described above.

NYSERDA has developed and currently maintains a custom data warehouse on a SQL Server platform that utilizes Informatica as a data quality rules engine and Tableau as a front-end reporting tool. This system is used to improve data quality and to centralize much of the program reporting requirements at NYSEDA.

NYSERDA recently installed Salesforce to combine disparate CRM data as well as to consolidate and streamline disparate program management solutions across the Authority. This platform serves as the enterprise solution and foundation for the additional development efforts described in this RFP.

### 1.3 Systems Strategy

NYSERDA's strategy with regards to systems and technology is to:

- Consolidate disparate commercial and internally developed products and platforms onto commercial off-the-shelf software (COTS) or enterprise solutions.
- Reduce complexity, integration points, and the ongoing cost of operations.
- Reduce customization wherever possible by modifying workflow in order to fit out-of-the-box or configured solutions.

This strategy will enhance NYSERDA's ability to calibrate and adapt its technology layer to best support its evolving programmatic and policy goals. Consolidating disparate program-specific systems on the Salesforce platform is an integral part of NYSERDA's overall technology strategy.

### 1.4 Salesforce Program Management Implementation Strategy

#### 1.4.1 Modular Approach

NYSERDA has developed its Salesforce platform through the formation of a series of modules that each represent discrete functionality occurring within the Authority. The modular approach has created the ability for NYSERDA to rapidly assemble and deploy new program applications by utilizing combinations of existing modules and emphasizing configuration rather than customization. NYSERDA programs can leverage as many existing modules as necessary to support their programmatic needs. While the catalog of modules is available to each program, typically only a small subset of modules is required to fulfill business requirements.

This strategy enhances NYSERDA's capacity to establish and maintain standard processes, increase efficiency of deployment, and provide common User Interface (UI) experiences for NYSERDA's customers, contractors, and employees. Modules that have been developed include:

Module Name	Description
Contractor Application	A custom built and configurable wizard which is utilized to onboard prospective Contractors for a specific program.
Incentive or Rebate Application	A custom built and configurable wizard which is utilized to receive Incentive or Rebate Applications for a specific program. Incentive or Rebate Applications can be made available for Contractors within the NYSERDA portal or directly from the NYSERDA website for open-enrollment programs.
DocuSign Signature	DocuSign has been implemented to securely manage electronic signatures within the Contractor Application, Incentive Application, or Invoice submittal processes.
Project Role Tracking	Project Roles allow for the identification of Contacts and relates their corresponding project functions.
Document Storage	Document Storage allows for the ability to upload and store documents within the Contractor App, Incentive Application, Invoices, and Project Deliverables. Stored documents are made available both through the NYSERDA Portal and the standard Salesforce UI.

Module Name	Description
Document Generation	Document Generation allows for the ability to generate PDF files based on Application input or Invoice submittals which are utilized to easily share project details.
Project Management	Project Management allows NYSERDA programs and Implementation Partners to track projects within the standard Salesforce UI for the duration of the project's lifecycle.
Workflow Notifications	Workflow notifications allow for configurable system generated alerts triggered by events, activities or SLA expectations.
CPPF Budget Form	The CPPF Budget Form allows for project budget and deliverables to be created and tracked.
Task and Deliverables	Task and Deliverables allows NYSERDA Project Managers and Contractors to define specific tasks, deliverables, milestones and payments as per contracted SOW.
Milestones Tracking	Milestone Tracking allows NYSERDA Project Managers to monitor program specific project milestones and payments.
Deliverable Tracking	Deliverable Tracking allows for the ability to trace project or invoice deliverables and to allow for the NYSERDA Project Manager's approval or rejection.
Approval Tracking	Approval Tracking allows for the ability to approve or reject applications and/or documents using standard approval processes.
Stage Tracking	Stage Tracking allows for the assignment of event based status changes which are marked with a timestamp for proper reporting.
Site Tracking	Site Tracking allows for projects to be identified with specific locational sites and allows for site level attributes to be recorded.
Activity, Task and Event Tracking	Activity, Task and Event Tracking allows Project Managers to track specific interactions with project related entities. All notifications are stored to retain transparent communication trails.
Invoice Creation	Invoice Creation allows for the submittal of a Contractor Invoice through the NYSERDA Portal or the internal creation of an Invoice depending on Program needs.
Invoice Approval in Salesforce	Invoice approval allows NYSERDA Project Managers to review invoices submitted by Contractors.
Project Modification	Project Modification allows for NYSERDA Contractors and Staff to initiate contract modification requests to be reviewed by NYSERDA. This functionality preserves historical data for archiving purposes.
Extension Request	Extension Request allows Contractors to formally request an extension of their NYSERDA contract through the NYSERDA Portal.
Cost Share Classification	Cost Share Classification allows NYSERDA Project Managers to identify and track different types of cost sharing for approved projects.
Contract Records Creation	Contract Records Creation allows for the ability to configure solicitation funding sources for NEIS Supplier Contract, Supplier Contract Line, and Distribution Line creation.
NEIS Integration - Contract CSV file	NEIS Integration – Contract CSV file is a Salesforce report allowing for data to be generated from Salesforce and loaded into NEIS to create Supplier Contracts in batches.

Module Name	Description
NEIS Integration - Invoice CSV file	NEIS Integration – Contract CSV file is a Salesforce report allowing for data to be generated from Salesforce and loaded into NEIS to generate Invoices.
NEIS Integration - Sync Contract Info to Salesforce	NEIS Integration - Sync Contract Info to Salesforce is a nightly sync from NEIS to Salesforce of Supplier Contract related attributes.
NEIS Integration - Sync PO info to Salesforce	NEIS Integration - Sync PO information to Salesforce is a nightly sync from NEIS to Salesforce of Purchase Order related attributes.
NEIS Integration - Sync Payment info to Salesforce	NEIS Integration - Sync Payment Info to Salesforce is a nightly sync from NEIS to Salesforce of Invoice and Payment related attributes.
Partner Communities	Partner Communities allows NYSERDA Contractors access to NYSERDA's portal; enabling management of projects, and submittal invoices, deliverables, and applications.
Contractor Management - Program Partnership	Contractor Management - Program Partnership allows each program to manage its Contractor pool without impacting the Contractor's relationship with other NYSERDA programs.
Contractor Relationships	Contractor Relationships allow Contractors access to a NYSERDA approved list of Installers. Contractors can then enter into an agreement with an Installer from the list and participate in programs which require a pairing of approved Contractors and Installers.
Manage Users in Portal	Manage Users in Portal is a self-service approach to allow a Contractor who has been designated as their organization's Administrator to grant additional logins to individuals within only their own organization.
Contractor Listing - Filter by County (website)	Contractor Listing is a module which creates an unauthenticated page displaying approved Contractors by Program Area on the NYSERDA Website.
Self-Registration by Contractor	Self-Registration by Contractor allows external users to self-register for access to the NYSERDA Portal.
Provision Contractor	A step-by-step guide provided to approved Contractors to ensure all associated attributes are entered according to data quality best practices.
Proposal Submission	Proposal Submission allows for the creation of external facing solicitations, establishment of solicitation requirements, and tracking of proposal submission, scoring, and approval or rejection of concept papers and/or proposals.
Scoring Committee Review Process	Scoring Committee Review Process allows for scoring and tracking of Scoring Committee evaluations for competitively awarded programs.
Dashboard Component for Website using HighChart	Dashboard Component for Website using HighChart allows for visual representations of program budgets and remaining balances.
Project Naming Rule Enforcement	Project Naming Rule Enforcement allows for project names to be defaulted to a standardized format for ease of reporting and minimal data entry.

Module Name	Description
Data Quality	Data Quality allows for the implementation of field-level validation for manual data entry to detect matches or avoid duplicates. Validation rules are also enforced during Account and Contact creation, linking data inputs with NYSERDA CRM objects.
Survey	Survey Force is installed from the Salesforce AppExchange and has been enhanced for program needs to allow for detailed surveying of NYSERDA's Contractors and Customers.
Research Project Update (RPU)	Research Project Update allows for case studies and other project-related content to be published online for Contractors or Proposers. This module allows NYSERDA Project Managers to review content before publishing online.
Project Closeout & Evaluation (PC&E)	Project Closeout & Evaluation allows NYSERDA Project Managers to track due diligence activities at project closeout towards the end of the project lifecycle.

### 1.4.2 Salesforce – Current New Build Process

A high level view of NYSERDA's current new build process is detailed below. In an effort to continuously improve, NYSERDA shall seek guidance from the selected Contractor(s) to further streamline this process to build efficiencies and to reduce cycle time, effort, and costs.

- NYSERDA Program staff initiate a new build request by completing a System Planning Questionnaire (Questionnaire). The goal of the Questionnaire is to determine the functions and systems components needed to most effectively support NYSERDA's initiatives by articulating the Program's specific needs for service delivery, workflow support, reporting, and so forth. The Questionnaire helps the development team understand the required functionality, modules to be leveraged, and expected timing for program launch to help understand the critical paths.
- A Business Analyst reviews and analyzes the Questionnaire to determine completeness and feasibility of the information contained in the Questionnaire response. If necessary, the Business Analyst shall follow-up with program staff to refine the scope of requirements. Once a strong understanding of need is established, the development team schedules a demonstration of existing Salesforce (modular) functionality tailored to the Program's documented needs. Additional requirements are often fleshed out at this stage.
- Additional requirements are identified and added to the Questionnaire and the development team creates a Level of Effort (LOE) estimate to scope the prospective build, including the number of hours (by role) anticipated to complete development, testing, training, and rollout of the build.
- The LOE estimate is presented to the Salesforce Steering Committee, a team comprised of NYSERDA Management charged with oversight of the Salesforce build. The Steering Committee reviews the LOE, obtains clarifications to any questions they may have, and either approves or denies the build request. If approved, the Steering Committee assigns a priority level to project and places it in a queue of build requests to be scheduled and completed.
- The project is scheduled and once the start date has arrived, a four-week preparation period is initiated to define and document detailed business requirements, processes, and to assess and plan for risk management and mitigation. Business requirements are driven by true business need and the ability to leverage the available pre-built modules. The requirements and processes are translated into user stories, data dictionaries, reporting requirements, and program content. Each of which are recorded within a Salesforce project management module. Program staff must review and approve this documentation *prior to the start* of the development period.



- Developers review the stories and documentation with the program team to assure alignment and when agreement is met, the developers will begin building out the modules needed to support the programs operations. Development efforts are tested in an agile methodology by the Program staff to assure continued agreement with needs, and to begin to familiarize Program staff with the system. Any changes to requirements that are discovered are documented in the user stories.
- User Acceptance Testing (UAT) is completed by Program staff and any additional Program stakeholders. UAT test scripts are created and tracked by the developers and testing is completed by program staff. Any required training is provided by the development team and the program is scheduled for a target launch date.
- When the program is launched, it becomes publicly available on NYSERDA's website. The developer shall provide a dedicated window of technical and training support for a period of two weeks' time, *post-launch* date. After the two-week period has ended, Program staff shall submit any enhancement requests or bug fixes through the Salesforce Cases module to the Salesforce Governance Committee (Governance) for assessment, prioritization and remediation.

### 1.4.3 Salesforce Governance Committee

NYSERDA has established a Salesforce Governance Committee (Governance) to support the post go-live needs of NYSERDA's Salesforce implementation. The Governance team is a decision-making group that receives input from NYSERDA's 30+ divisions and works to harmonize requirements and business outcomes. The Governance team is comprised of a group of core delegates that represent specific groupings of the various business units. Representatives have the responsibility to make appropriate prioritization decisions. These priorities span all business units and reflect NYSERDA as a whole.

Through careful analysis and prioritization of new business requirements and change requests, the Governance team upholds their responsibility to drive the standardization of processes across business units whenever possible. The team guides consensus, standards and best practices across business units (business processes, reporting/analytics, etc.). If conflicts arise that are unable to be resolved immediately by the Governance team or if they pose substantial risk to the implementation, these conflicts are escalated to the Salesforce Steering Committee to de-conflict and re-focus efforts on prioritized items.

## 2. Project Scope and Requirements

### 2.1 Objectives

This project shall integrate multiple business processes on the existing NYSERDA Salesforce platform to allow for the rapid deployment of new NYSERDA programs and the replacement of bespoke program-specific systems used to track projects and workflow. NYSERDA expects this project to achieve the following objectives, which together constitute the aim of the build:

- Provide a cost effective, secure and accessible program management platform with minimal customization.
- Streamline business processes around standard operations and common workflows.
- Integrate contacts and customers with project information and financial transactions.
- Provide a flexible configuration to meet new and changing business requirements and programs.
- Reduce administrative overhead and maintenance costs associated with maintaining multiple systems on multiple platforms.
- Improve data quality through point-of-entry controls and systems integration.
- Enhance reporting capabilities, accuracy and accessibility.
- Create a solution that will enable ease of communication and data sharing with external organizations as driven by business and policy needs.

## 2.2 Scope of Work

The scope of this project is to design, scope, build and implement a set of Salesforce applications to support NYSERDA's core business processes. The types of engagements are broken into three primary types: (1) rapid new program build based on previously developed application modules, (2) custom application build, only when necessary, and (3) ongoing development support to implement bug fixes and enhancements to the NYSERDA Salesforce platform.

### 2.2.1 Rapid New Program Build Based on Previously Developed Application Modules

This type of engagement is the most common within the NYSERDA environment and entails the creation of program applications where 80-90% of the needed functionality already exists within the NYSERDA library of Salesforce modules, with the remaining 10-20% covered by configuration. It is anticipated that initially there will be 25-30 projects of this type in the first year of the contract, and potentially 10-15 more per year the subsequent 2 years. Very rapid, assembly line type planning, development and testing must be done to bring projects online in 6-10 weeks per program measured from the kickoff date to the go-live date. Minimal to no data migration is anticipated for these new builds.

The anticipated Tasks and Deliverables for this type of engagement may include, but are not limited to the following:

#### Part A: Requirements Definition and Design

##### Tasks:

1. Complete System Planning Questionnaire with program and other team members.
2. Develop demo for program requesting new build by utilizing established modules currently in production.
3. Develop level of effort estimate at a program build level including hours, costs, and project schedule.
4. Identify additional changes to existing modules or configuration needed to support any unique business requirements.
5. Identify integration opportunities and plans for integration with NYSERDA's DataMart, Data Warehouse, and NEIS.
6. Size and document the types of data that will need to be collected, migrated, integrated or reported on.
7. Conduct business process review sessions with staff and document desired state.

##### Deliverables:

1. Application Configuration Design.
2. Desired Process Documentation.
3. Integration Plan.
4. Data Collection, Integration and Reporting Plan.
5. Data Migration Plan (if needed).
6. Risk Management and Mitigation Plan.
7. User Acceptance Test Plan.
8. Training and Knowledge Transfer Plan.
9. Obtain user sign-off for all business process.
10. Obtain NYSERDA sign-off on all Deliverables.

#### Part B: Application Development and Integration

##### Tasks:

1. Develop the approved application to meet the functional requirements.
2. Execute the approved Integration Plan.
3. Create unit test plans for source code and integration services and perform as necessary.
4. Establish roles and security configuration.



5. Maintain and adhere to the Risk Management and Mitigation Plan.
6. Update documentation on permissions sets with attention to complex relationships among permissions sets.

Deliverables:

1. Accurately configured test and production instances.
2. Well documented source code, integration services and security configuration.
3. Unit testing documentation.
4. Data dictionary update.
5. Risk Management and Mitigation Plan update.
6. Obtain NYSERDA sign-off on all Deliverables.
7. Maintain User Permissions Sets Document.
8. Billing with sufficient detail to allow charge-backs to programs internal to NYSERDA.

Part C: Implementation and Quality Assurance

Tasks:

1. Execute Data Migration Plan (if needed).
2. Perform post-migration testing of data quality and completeness.
3. Create and execute end-to-end integration testing and performance testing.
4. Develop and conduct user acceptance testing for data accuracy and required functionality. Resolve any issues identified during user acceptance testing and regression test to ensure functionality.
5. Create initial training materials and execute training for internal and external support staff.
6. Implement applications in production.
7. Maintain and adhere to the Risk Management and Mitigation Plan.

Deliverables:

1. Extract, Transform, Load (ETL) and other migration scripts (if needed).
2. Documented integration and performance testing results.
3. User acceptance test plan and testing results, including a requirements traceability matrix.
4. Issues and defects tracking log with resolutions.
5. Obtain user sign-off and successful test script execution.
6. End User training documentation and execution.
7. Knowledge transfer to NYSERDA in-house development team.
8. Fully functional and integrated solution on the Salesforce platform.
9. Risk Management and Mitigation Plan update.
10. Obtain NYSERDA sign-off on all Deliverables.

### 2.2.2 Custom Application Build

This type of engagement is the most complicated of the three build-types and is defined as a NYSERDA program with needs not already accommodated by and established in the existing NYSERDA Salesforce module library. This type of engagement could also require extensive custom development. Usually, but not always, this effort involves the retiring of a legacy system that NYSERDA is paying licensing fees for, and requires the archiving and migration of data *either* to the new Salesforce application *or* making available in some other fashion that leverages existing NYSERDA tools.

During these types of engagements, new modules may be identified, developed, and added to the NYSERDA library. Typically, there needs to be ground-up business process evaluation and re-engineering. Projects of this type can usually only leverage 40-80% of the functionality already built within the NYSERDA Salesforce platform. It is anticipated that 1-2 projects per year for the next 3 years may fall into this category. Data migration from legacy systems is anticipated for these builds.

The anticipated Tasks and Deliverables for this type of engagement may include, but are not limited to the following:

## Part A: Requirements Definition and Design

### Tasks:

1. Conduct business process review sessions with staff to ensure buy-in and adherence to established standardized processes wherever possible. Document any differences from standardized processes that are unique to the business unit and unavoidable.
2. Determine and document functional and data requirements.
3. Analysis of requirements to determine fit to existing architecture and modules to minimize customization and redundant functionality.
4. Where deemed necessary by NYSERDA, design custom objects, define record types, and establish common naming conventions based on functional requirements, data definitions and desired business processes.
5. Develop an integration plan for integrating with the CRM system, the Oracle PeopleSoft financial system (known as "NEIS"), the Informatica rules engine, the Data Warehouse, Data Mart, NYSERDA's Website and SharePoint (in Office 365).
6. Identify integration opportunities and plans for integration with other vendor systems as applicable to individual applications.
7. Establish a data migration plan for migrating and data from existing legacy systems into the Salesforce environment.
8. Size and document the types of data that will need to be collected, migrated, integrated or reported on.

### Deliverables:

1. Current and Desired Process Documentation (use cases and process flow diagrams).
2. Functional Requirements Document.
3. Data Dictionary.
4. Application Configuration Design.
5. Integration Plan.
6. Data Collection, Integration and Reporting Plan.
7. Data Migration Plan.
8. Entity Relationship (ER) Diagrams or ERDs.
9. User Acceptance Test Plan.
10. Training and Knowledge Transfer Plan.
11. Risk Management and Mitigation Plan.
12. Obtain user sign-off for all business processes.
13. Obtain NYSERDA sign-off on all Deliverables.

## Part B: Application Development and Integration

### Tasks:

1. Develop the approved applications to meet the functional requirements.
2. Execute the approved Integration Plan.
3. Create unit test plans for source code and integration services and perform as necessary.
4. Establish roles and security configuration.
5. Maintain and adhere to the Risk Management Plan.
6. Update documentation on permissions sets with attention to complex relationships among permissions sets.

### Deliverables:

1. Accurately configured test and production instances.
2. Well-documented source code, integration services and security configuration.
3. Unit testing documentation.
4. Data Dictionary updates.
5. Risk Management and Mitigation Plan updates.
6. Obtain NYSERDA sign-off on all deliverables.

7. Maintain User Permissions Sets Document.
8. Billing with sufficient detail to allow charge-backs to programs internal to NYSERDA.

#### Part C: Implementation and Quality Assurance

##### Tasks:

1. Execute Data Migration Plan.
2. Perform post-migration testing of data quality and completeness.
3. Create and execute end-to-end integration testing and performance testing.
4. Develop and conduct user acceptance testing for data accuracy and to test for required functionality. Resolve any issues identified during user acceptance testing and regression test to ensure functionality.
5. Create initial training materials and execute training for internal and external support staff.
6. Implement applications in production.
7. Maintain and adhere to the Risk Management and Mitigation Plan.

##### Deliverables:

1. ETL and other Migration Scripts.
2. Documented integration and performance testing results.
3. User Acceptance Test Plan and testing results, including a requirements traceability matrix.
4. Issues and defects tracking log with resolutions.
5. Obtain user sign-off and successful test script execution.
6. End User Training documentation and execution.
7. Knowledge transfer to NYSERDA's in-house development team.
8. Fully functional and integrated solution on the Salesforce platform.
9. Risk Management and Mitigation Plan update.
10. Obtain NYSERDA sign-off on all Deliverables.

### 2.2.3 Ongoing Development and Support

This type of engagement is largely classified as bug fixes and incremental enhancements. There are primarily three types of resources needed for this type of engagement, business analysts, developers, and quality assurance personnel. Working within NYSERDA's Salesforce cases, tickets would be assigned to partner resources for development after any pertinent analysis and requirements gathering had been completed. Other examples of potential enhancements can also include integrations with external data sources, augmentation of Business Analysis Tools, and integration of Salesforce Apps from the AppExchange.

The anticipated Tasks and Deliverables for this type of engagement may include, but are not limited to the following:

#### Part A: Application Development and Integration

##### Tasks:

1. Elicit, analyze and document the functional requirements.
2. Develop the enhancement to meet the functional requirements.
3. Apply system patches, and upgrades.
4. Maintain system documentation.
5. Create unit test plans for source code and integration services and perform as necessary.
6. Update documentation on permissions sets with attention to complex relationships among permissions sets.

##### Deliverables:

1. Accurately configured test and production instances.
2. Well documented source code, integration services and security configuration.
3. Unit testing documentation.

4. Data dictionary update.
5. Obtain user sign-off on all business processes and testing.
6. Risk Management and Mitigation Plan update.
7. Obtain NYSERDA sign-off on all Deliverables.
8. Maintain User Permissions Sets Document.
9. Billing with sufficient detail to allow charge-backs to programs internal to NYSERDA.

## Part B: Implementation and Quality Assurance

### Tasks:

1. Perform post-migration testing of data quality and completeness.
2. Create and execute end-to-end integration testing and performance testing.
3. Develop and conduct user acceptance testing for data accuracy and required functionality. Resolve any issues identified during user acceptance testing and regression test to ensure functionality.

### Deliverables:

1. Documented integration and performance testing results.
2. User acceptance test plan and testing results, including a requirements traceability matrix.
3. Issues and defects tracking log with resolutions.
4. Fully functional and integrated solution on the Salesforce platform.
5. Obtain user sign-off on all business processes and testing.
6. Risk Management and Mitigation Plan update.
7. Obtain NYSERDA sign-off on all Deliverables.

## 2.3 Engagement Requirements

Once under contract, the selected Proposer(s) (hereinafter referred to as “the Contractor”) will be fully responsible for driving the successful completion of the project by utilizing a management approach and software development methodology suitable for the design and build nature of this engagement. NYSERDA will make available a cross-functional team to support the project throughout its lifecycle including a dedicated business analyst and a dedicated project manager to manage the contract, facilitate project activities, and communicate with upper management and staff. This project will undergo Independent Verification and Validation (IV&V) throughout its lifecycle.

The Contractor will be expected to be on-site at NYSERDA’s offices in Albany for most of the Requirements Definition and Design phases of the project, for periodic progress meetings and demonstrations, for certain implementation and training activities, and for other key events. NYSERDA will provide on-site work space and computers, if necessary, to all project team staff. It is expected that much of the development will be conducted off site.

The cost structure of the project will consist of a time and materials basis, with maximum specified hourly rates for each team role. NYSERDA will allow at its discretion, use of off-shore technical resources. So hourly rates should disclose both on-shore and off-shore rates, as well as approximate weightings of on-shore to off-shore usage for each category of project.

## 2.4 Service Provider Qualifications

Proposers must demonstrate skill and expertise in developing successful integrated and customized Salesforce solutions, including the successful completion of no less than three (3) (but ideally at least six (6)), *non-CRM* Salesforce projects involving system architecture, custom application development, and external system integration. Details of this experience must be provided as part of the Technical Proposal described in Section 3, *Proposal Content and Format* of this RFP.

In addition, NYSERDA prefers the following qualifications:

- Salesforce Alliance Partner (Gold Level or above preferred).

- Staff certified on the Salesforce platform (e.g., administrator, developer, architect, implementation expert).  
Experience working in a related business area (e.g., energy programs, government, construction and finance industry).

### 3. Proposal Content and Format

Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. The proposal must be in the following format:

- Section I: Executive Summary.
- Section II: Technical Proposal.
- Section III: Cost Proposal.

Cost information must **not** be included in the Technical Proposal section.

#### 3.1 Executive Summary

Provide a brief description of the overall approach and work effort. Please limit the Executive Summary to no more than three (3) pages in length.

#### 3.2 Technical Proposal

##### 3.2.1 Technical Approach

Proposers should submit a Statement of Work that describes the proposed approach to performing the work and accomplishing the objectives of each type of work identified in section two and corresponding subsections of this RFP. Where appropriate, Proposers are encouraged to include schematics and diagrams that provide both conceptual and technical descriptions of the proposed solutions.

The approach should address, at a minimum, the following:

- Overall approach to customized Salesforce implementation projects.
- Overall approach to Salesforce implementation projects leveraging previously developed code.
- Proposed system development methodology.
- Approach for project discovery and requirements definition.
- Approach for integrating with existing external systems.
- Approach for migrating data in a cloud-based environment.
- Approach to training and deployment.

Additionally, the Proposer should provide hardware and operating system specifications for the proposed solution sufficient to enable NYSERDA to determine whether it will be necessary for the authority to procure additional hardware and/or operating system software. Any such hardware and/or operating system software will be procured separately from this RFP.

##### 3.2.2 Company Experience and References

Describe company qualifications and prior experience implementing customized Salesforce solutions. Identify and describe all (no less than three (3) but ideally at least six (6)) completed *non-CRM* Salesforce projects and provide, at a minimum, information regarding:

- Type of Salesforce implementation.
- Project start and end dates.
- Parameters indicating project size and complexity (e.g., number of end-users and locations, annual revenues, duration).
- Duration of any ongoing support or training relationships after initial deployment.
- Integration requirements with external systems.
- Type of client (e.g., government, non-profit, private) and industry sector.

Provide a minimum of three (3) reachable references that can verify all offered experience. NYSERDA reserves the right to request information from any source so named, and further reserves the right to contact additional references (including appropriate references not specifically named by the Proposer) to completely verify all offered experience, as well as to request additional references. Failure to provide reachable and responsive references will lead to the downgrading of a proposal's experience score. If the Proposer's team includes subcontractors, they must be identified and at least one (1) additional reference for each subcontractor must be provided.

### 3.2.3 Staffing Plan and Team Profile

Provide a proposed staffing plan that includes:

- Overall staffing approach to cover all facets of the project. Assume for purposes of sizing there will be two (2) Custom Application Builds per year, twenty (20) Rapid New Program Builds Based on Previously Developed Application Modules per year, and ongoing support to cover all new build activities plus ten (10) existing program applications.
- Project organization chart for section 2.2.1 Rapid New Program Build Based on Previously Developed Application Modules (including size, composition of team(s), and the percentage of onshore versus off-shore resources).
- Project organization chart for section 2.2.2 Custom Application Build (including size, composition of team(s), and the percentage of onshore versus off-shore resources).
- Proposed number of Developers and QA resources including the percentage of onshore versus off-shore resources for section 2.2.3 Ongoing Support and Development (including size and composition of team).
- For subcontractors, a description of the specific need for the expertise and the arrangements for achieving subcontracting.
- Role description for each specified role, inclusive of job duties, minimum expected experience, and any relevant Salesforce certifications that role should have.

Provide a profile/résumé – limited to no more than two (2) pages – for each proposed primary team member. Each profile/résumé should include, at a minimum:

- Name.
- Proposed role on this project.
- Number of years of relevant experience.
- Description of relevant experience.
- Relevant certifications.

### 3.2.4 Management Approach

Describe the proposed approach to managing the project. The management approach should, at a minimum, address the following:

- Project management methodology including a change control process, cost management approach, risk management plan, document control methodology, and a communication plan.
- Proposed problem resolution/escalation process, including identification of the Engagement Manager.

## 3.3 Cost Proposal

The Cost Proposal sets forth the fees for performing the work described in this RFP and provides a resource schedule consistent with the level of effort identified in the Technical Proposal. Proposers must complete the Cost Proposal Worksheet (Attachment C) which shall include the fully loaded on-site and off-site hourly rates per resource type to be used. For purposes of cost comparison rates should be provided for the following roles:

- Technical Architect.
- Solution Architect.
- Project Manager.

- Technical Lead.
- Integration Architect.
- Data Migration Specialist.
- Business Analyst.
- UX/UI Lead.
- UX/UI Developer.
- Trainer.
- Admin.
- On-shore Developer.
- Off-shore Developer.
- On-shore QA.
- Off-shore QA.

Additional roles and rates may be noted, but will not be used in comparing costs across proposers.

Proposers are to submit fully loaded hourly rates that reflect applicable labor, overhead and fee costs including but not limited to printing, secretarial, program entry, computer charges, and postage. Direct costs such as equipment, specialized testing or other external costs must be detailed in the required budget.

NYSERDA will accept as a direct charge only that travel required to perform the statement of work. Details indicating the need for proposed travel including the estimated number of person-trips required, destinations, mode and cost of transportation, and number of days per trip for each destination must be included in the budget.

Sub-contract expenses must be included in the budget. For each sub-contractor explain the specific technical area in which such service is to be used and identify the contemplated consultants. State the number of days and the hours per day of such service estimated to be required and the consultant's quoted rate per day. Explain any administrative hours needed to manage sub-contractors and include those hours in the direct labor category. NYSERDA does not accept a percentage-based mark-up on subcontractor tasks.

#### 4. Proposal Evaluation

Proposals that meet solicitation requirements will be reviewed by a Scoring Committee using the Evaluation Criteria. At NYSERDA's discretion, proposers may be requested to interview with all or part of the Scoring Committee to address any potential questions or clarifications outlined in the proposals. Proposers will be notified if they are requested to attend an interview.

##### 4.1 General Selection Process

All proposals will be reviewed and evaluated by a Scoring Committee selected by NYSERDA. The Scoring Committee will score each Technical and Costs Proposals according to the criteria and scoring process described herein. The total proposal score will be calculated using the formula stated below. At NYSERDA's discretion, proposers may be requested to interview with all or part of the Scoring Committee to address any potential questions or clarifications outlined in the proposals. Proposers will be notified if they are requested to attend an interview.

##### 4.2 Evaluation Process

The evaluation will be conducted in a comprehensive and impartial manner as set forth herein using the following criteria:



	<b>Title</b>	<b>Scoring Method</b>
<b>1</b>	<b>Mandatory Requirements and Minimum Qualifications</b>	Pass/Fail
<b>2</b>	<b>Technical Proposal</b>	70%
<b>3</b>	<b>Cost Proposal</b>	30%

#### 4.2.1 Mandatory Requirements Review

NYSERDA will review submitted proposals for the mandatory requirements and minimum qualifications set forth in this RFP. Mandatory Requirements review shall generally consist of:

- From section 3, is the proposal broken into 3 sections with an Executive Summary no more than 3 pages in length?
- From section 3.2, is there a description of no less than three (3) completed non-CRM Salesforce projects?

#### 4.2.2 Technical Proposal Score

Technical proposals shall be evaluated on the following:

- Has the Proposer demonstrated a clear understanding of the objectives, scope of services, and requirements of the RFP?
- Does the proposal exhibit objectivity, responsiveness, experience, and ability to provide services cost-effectively?
- Does the proposer demonstrate an effective approach to implementing the Salesforce build activities in the RFP?
- Does the proposer demonstrate an effective development methodology?
- Does the proposer demonstrate the ability to execute the integration and data migration activities set forth in the RFP?
- Does the proposer demonstrate an effective methodology for discovery, requirement definition, training and deployment?
- Does the proposer demonstrate the ability to manage and coordinate the scope of services set forth in the RFP?
- Does the Proposer demonstrate operational excellence, industry expertise, transformation capabilities, and adaptability?
- Does the proposer demonstrate relevant experience and technical expertise?
- Does the proposer demonstrate the necessary background and historic performance with delivering prior Salesforce implementations?
- Does the proposer provide adequate references for prior Salesforce implementations?
- Does the proposal sufficiently address all of the tasks as outlined in the scope of work (Section 2)?
- Does the proposer identify a single lead that will insure program consistency and budget compliance?
- Do the résumés reflect the ability to deliver the services of the RFP?
- Are key personnel's education, experience, and capability relevant to the RFP?
- Does the proposer show a balance of technical, development, training, administrative or other expertise necessary to accomplish the objectives of the RFP?

#### 4.2.2 Cost Proposal Score

Cost Proposals shall be evaluated generally on the following:

- How cost effective is the proposal?
- Is the example Proposal Budget responsive, comprehensive, and clear?



- Are billing rates reasonable and appropriate?
- Does the budget reflect or demonstrate the ability to deliver high quality cost effective services across New York State?
- Are a sufficient number of staff with appropriate the skills assigned to the tasks?

#### 4.3 Additional Selection Considerations

NYSERDA may consider the following program policy factors in making award selection decisions; the degree to which the:

- Proposed approach optimizes the use of available funding.
- Proposal promotes job creation and/or preservation in New York State when making award selection decisions.
- Proposer has demonstrated the ability to implement continuous process improvements and continue to drive down costs over time.
- The degree to which pricing and hourly rates are in line with the rest of the market.

The award selection process contains multiple steps including an initial eligibility review, ranking by a Scoring Committee of subject matter experts, and considerations such as program policy factors to make the selection decisions.

The number of proposers selected for contracts will be determined by the number of providers required to provide all sought after services efficiently and effectively relative to the expected volume and workload, while ensuring statewide and sector-wide coverage.

NYSERDA will negotiate contracts for services in fulfillment of the needs of this RFP on the basis of demonstrated competence, qualifications, and rates. Contract negotiations may include the proposer's fee schedules to ensure work is accomplished at fair and reasonable rates. NYSERDA reserves the right to negotiate among finalists to assure services, and to assure access to specific expertise. A contract will not guarantee any specific amount of work, but may contain a maximum dollar amount.

The amount of work assigned to the service provider(s) will depend on, but not be limited to, particular expertise, current NYSERDA workload and prioritization of efforts, and the ability of the service provider(s) to provide high quality, cost effective, and timely services.

#### 5. General Conditions

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

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

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

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

**New York Executive Law Article 15-A** - NYSEDA is required under the law to promote opportunities for maximum feasible participation of certified minority-and women-owned business enterprises and the employment of minority group members and women in the performance of NYSEDA contracts. The MWBE participation goals and obligations of the selected Contractor are set forth in the Sample Agreement.

**New York State Executive Law Article 17-B**, NYSEDA recognizes its obligation under the law to promote opportunities for maximum feasible participation of certified service-disabled veteran-owned business enterprises (SDVOB) in the performance of NYSEDA contracts. Executive Law Article 17-B and its associated regulations require, among other things, that NYSEDA establish goals for maximum feasible participation of New York State Certified SDVOBs in the performance of New York State contracts. The SDVOB participations goals and obligations of the selected Contractor are set forth in the Sample Agreement.

**State Finance Law sections 139-j and 139-k** - NYSEDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx> . Proposers are required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility (this includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years).

**Tax Law Section 5-a** - NYSEDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSEDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf)). Prior to contracting with NYSEDA, the prospective contractor must also certify to NYSEDA whether it has filed such certification with the Department.

The Department has created a second form that must be completed by a prospective contractor prior to contacting and filed with NYSEDA. See, ST-220-CA (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220ca\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf> .

**Contract Award** - NYSEDA anticipates making one or multiple awards under this solicitation. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most favorable cost and technical terms. NYSEDA may request additional data or material to support applications. NYSEDA will use the Sample Agreement to contract successful proposals. NYSEDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSEDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in

the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately four (4) weeks from the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

**Accessibility Requirements** - If awardees from this solicitation will be posting anything on the web, or if the awardee will produce a final report that NYSERDA will post to the web, the following language must be included. NYSERDA requires contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSERDA's Accessibility Requirements](#).

**Limitation** - This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement. NYSERDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information and the presence of a material possibility of any reputational or legal risk in making of the award.

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

## 6. Attachments

Attachment A: Article 15-A (MWBE) Contract Provisions (non-construction contract)

Attachment B: Article 17-B (SDVOB) Provisions for Solicitation Documents (non-construction)

Attachment C: Cost Proposal Worksheet

Attachment D: Sample Agreement

Attachment E: Information Security Policies and Procedures Manual

The following request REQ 3634 was submitted on May 15, 2017 by wjf  
Paste Amendment Text Here

**INDIAN POINT TASK FORCE CONSULTATION SERVICES  
Request for Proposals (RFP) No. 3640**

**Proposals Due July 24, 2017, by 5:00 PM Eastern Time**

The New York State Energy Research and Development Authority (NYSERDA) seeks assistance from qualified individuals or firms to assist the Indian Point Task Force, through NYSERDA, to provide a report and other consultation services in furtherance of the Task Force's mission.

**Background**

On February 28, 2017, New York State Governor Cuomo announced the appointment of a task force to provide guidance and support to affected local municipalities and employees with regard to Entergy's decision to close the Indian Point nuclear power plant in Westchester County (the "Task Force"). The Task Force was formed to partner with local governments to offer guidance on employment and property tax impacts and new economic opportunities, evaluate site reuse options, and identify work force retraining programs and opportunities.

The Task Force is required by law to submit, no later than April 30, 2018, a study evaluating the future reuse and reutilization options of the land where the facility is located. The Task Force, through NYSERDA, seeks consultation services to assist in the preparation of this report and other tasks as needed to meet the Task Force's objectives.

A Proposer will be awarded a contract based on their experience, qualifications, cost, and demonstrated ability to provide the services identified in this RFP.

**Proposal Submission:** Electronic submission is preferable. Proposers may submit Word, Excel, or PDF files (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. NYSERDA will also accept proposals by mail or hand-delivery if electronic submission is not possible. For detailed instructions on how to submit a proposal, click the link "NYSERDA Solicitation User Guide [PDF]" located in the "Current Opportunities" section of NYSERDA's website (<https://www.nyserderda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted except by contacting Alyse Peterson at (518) 862-1090, ext. 3274 or by e-mail at [alyse.peterson@nyserderda.ny.gov](mailto:alyse.peterson@nyserderda.ny.gov). If you have contractual questions concerning this solicitation, contact Venice Forbes at (518) 862-1090, ext. 3507 or [venice.forbes@nyserderda.ny.gov](mailto:venice.forbes@nyserderda.ny.gov). Contacting anyone other than the Designated Contacts (either directly by

the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

**\* All proposals must be received by 5pm Eastern Standard Time on the date noted above. Late, faxed, or emailed proposals will not be accepted.** Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal. Please note: for electronic submission, there are required questions that you will have to answer in addition to uploading attachments and you should allot at least 60 minutes to enter/submit proposals. The electronic proposal system closes promptly at 5pm, files in process or attempted edits or submission after 5pm Eastern Standard Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on NYSERDA's web site at <https://www.nyserda.ny.gov/>.

If mailing or hand-delivering, proposers must submit (2) paper copies of their proposal with a completed and signed Proposal Checklist, along with a CD or DVD containing both a PDF or MS Word digital copy of the proposal, following the above guidelines. Mailed or hand-delivered proposals must be clearly labeled and submitted to:

**Jill Baxter, RFP No. 3640  
NYS Energy Research and Development Authority  
17 Columbia Circle  
Albany, NY 12203-6399**

## **I. INTRODUCTION**

On January 9, 2017, Entergy and New York State Governor Cuomo announced the planned closure of Indian Point Units 2 and 3, located in Buchanan (Westchester County), New York. On February 28, 2017, Governor Cuomo announced the appointment of a task force to provide guidance and support to affected local municipalities and employees with regard to the closure of Indian Point (the “Task Force”). The Task Force was formed to partner with local governments to address employment and property tax impacts and new economic opportunities, evaluate site reuse options, and identify work force retraining programs and opportunities.

The purpose of the Task Force is to support and advise local municipalities with regard to the announced closure of the Indian Point facilities and evaluate, among other things, reuse options, economic development opportunities, real property tax collections or payments in lieu of taxes, public safety, labor, and decommissioning and site restoration programs, strategies, and timelines, as well as spent fuel storage issues. The task force will also monitor impacts on electric reliability and rates. The Task Force will also monitor the closure and related decommissioning and site restoration issues, coordinate ongoing safety inspections, and review reliability and environmental concerns such as the removal of radioactive spent nuclear fuel rods from spent fuel pools into onsite dry storage casks and groundwater issues.

Task Force Members include:

State Representatives: Senator Terrence Murphy; Assemblywoman Sandy Galef; and several state agencies, including the Office of the Governor; Education Representatives; Department of Public Service; Department of Environmental Conservation; Department of Labor; Department of Tax and Finance; Empire State Development; New York State Energy Research & Development Authority; Department of State; New York State Division of Homeland Security & Emergency Services; and the New York Power Authority.

Local Representatives: Catherine Borgia, Majority Leader, Westchester County Board of Legislators; John G. Testa, Minority Leader, Westchester County Board of Legislators; Linda D. Puglisi, Supervisor, Town of Cortlandt; Joseph Hochreiter, Superintendent, Hendrick Hudson School District; and Theresa Knickerbocker, Mayor, Village of Buchanan.

Labor Representatives: Teamsters Local 456; Utility Workers Union of America Local 1-2; and Westchester Putnam Central Labor Council.

The Task Force is required by law to submit, no later than April 30, 2018, a study evaluating the future reuse and reutilization options of the land where the facility is located. Such study shall consider all aspects of possible uses of the lands and buildings at such facility, together with such other and further information that the Task Force and the entities with which it shall consult, shall choose to include. In examining such reutilization, the study shall further consider the infrastructure currently at and near such facility, the costs and measures that would need to be taken by the owners of the facility, regulators and/or governmental bodies in order to achieve any such reutilization, and any other factors that the Task Force and the entities with which it shall consult, shall choose to include in its considerations.

The Task Force, through NYSERDA, seeks consultation services to assist in the preparation of this report.

The full text of the Indian Point Task Force legislation, enacted as part of the 2017-18 State Budget, can be found here (See Part RR, page 23):

[http://www.assembly.state.ny.us/leg/?default\\_fld=&leg\\_video=&bn=A03008&term=&Summary=Y&Text=Y](http://www.assembly.state.ny.us/leg/?default_fld=&leg_video=&bn=A03008&term=&Summary=Y&Text=Y)

The contract(s) is expected to start in September, 2017, for an initial two-year term, with the potential for a single or multiple contract extensions for up to a total of four additional years. NYSERDA reserves the right to extend the contract and/or add funding should other resources become available. NYSERDA expects to award one contract for this solicitation. The selected Contractor will be responsible for completing all or some of the tasks outlined below in Section II – Specific Requirements. Work shall be issued on an individual Task Work Order basis that is specific to each initiative assigned.

**Informational Meeting:** A webinar will be held on July 12<sup>th</sup>, 2017 at 10:00am. Please visit <https://nyserda-events.webex.com/nyserda-events/onstage/g.php?MTID=e2ae4746528552a706e87641e5a96d323> to register for the webinar. In advance of the webinar, please submit questions to [alyse.peterson@nyserda.ny.gov](mailto:alyse.peterson@nyserda.ny.gov). Registration and questions are due by July 11<sup>th</sup>, 2017. The frequently asked questions (FAQ) list resulting from the webinar will be posted on NYSERDA’s website.

## II. PROGRAM REQUIREMENTS

### Task One: Site Restoration and Reuse Summary

The Contractor shall provide a summary of site release, restoration, and reuse possibilities:

- a. Identify which governmental entity(ies) are responsible for making decisions regarding restoration and future reuse of the Indian Point site.
- b. Identify the potential future site restoration and reuse options at Indian Point. Include onsite features and amenities that may be reused or subdivided prior to or during the decommissioning process, such as buildings, parking lots, or structures located adjacent to or adjoining developed parcels that would not be impacted or utilized for the decommissioning process. If this information is not yet known or knowable, identify the prerequisites to being able to provide this information.

This deliverable shall consider factors including, but not limited to:

- (i) The specific attributes of the IP site including, but not limited to, parcel size, operational history, subsurface characteristics, nearby infrastructure, radiological profile, site contamination (radiological and non-radiological), spent fuel storage.
- (ii) Site reuse options and experience of other nuclear sites in the United States.
- (iii) Costs and measures that would need to be taken by the owners of the facility, the federal government and regulators, and/or governmental bodies in order to achieve site



reuse potential.

To the extent necessary to identify such restoration and reuse options, the summary shall also:

- Provide a summary of the critical steps in the closure and decommissioning of Indian Point under the appropriate United States Nuclear Regulatory Commission regulations and guidance documents, relevant history of similar shutdowns and decommissioning and site restoration decisions at nuclear power plants around the United States.
- Identify the required, potential, and possible roles in the decommissioning process for:
  - (i) The licensee (owner & operator)
  - (ii) U.S. Nuclear Regulatory Commission
  - (iii) Other federal agencies
  - (iv) New York State agencies
  - (v) Westchester County
  - (vi) Other affected counties and local governments
  - (vii) Community groups and members
  - (viii) Other Stakeholders
- Identify critical timelines under different radiological decommissioning scenarios authorized by NRC regulations, i.e., ENTOMB, SAFSTOR or DECON.
- Identify the likely impacts of all possible decommissioning scenarios on local communities and the State of New York, considering:
  - i. Fiscal impacts;
  - ii. Economic development impacts;
  - iii. Environmental impacts, including potential noise and air quality concerns associated with decommissioning;
  - iv. Identification of when actual deconstruction, demolition, and waste transportation will occur under different decommissioning scenarios;
  - v. Determine and evaluate critical infrastructure needs required for the decommissioning. Identify impacts to local roads for heavy vehicles and equipment, staging and storage needs, impacts to potable water supply and sanitary sewers.

The summary shall also:

- Identify when non-radiological and site restoration activities can occur under different decommissioning scenarios.
- Identify at what point in the process the site can be released for “unrestricted use,” in accordance with Nuclear Regulatory Commission or other applicable standards.
- Identify short- and long-term opportunities for partial site release, if applicable.
- Identify portions of the site that are not required for, or substantially impacted by, the decommissioning and evaluate the feasibility of releasing those portions of the site from the license prior to the completion of decommissioning.
- Identify potential cost ranges for different site restoration and reuse options.

## **Task Two: On Demand Support Tasks**

In addition to the above deliverables, NYSERDA may seek assistance with additional, on-demand tasks, to be contracted under Task Two upon request from NYSERDA on an as-needed basis. These tasks would relate to the mission of the Task Force as spelled out in the legislation and may include, but not be limited to, participation in Task Force meetings.

### **III. PROPOSAL REQUIREMENTS**

Proposals should not be excessively long or submitted in an elaborate format that includes expensive binders or graphics. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. Each page of the proposal should state the name of the proposer, the RFP number, and the page number. The proposal must be in the following format:

#### **Part 1 - Technical and Management:**

- Background/Objectives (one-page maximum).
- Technical Approach (six-page maximum) – Describe the technical approach for completing the work scope in Task 1.
- Management Plan and Schedule for the Work (six-page maximum). Describe the approach for managing the contract, including the structure of the project team, identifying the lead and technical team members and roles. Prepare a schedule for completing Task 1, in weeks from the date of contract award.
- Qualifications of the Project Team (ten pages maximum) - Present the proposer’s qualifications and experience relevant to the Scope of Services. In submitting a proposal for consideration, applicants should identify and summarize previous nuclear facility site reuse and redevelopment evaluation work and radiological decommissioning consulting work they may have performed, including, but not limited to, work with other States, local governments, and federal agencies. Applicants should also provide a list of references and contacts. Qualification statements for each member of the project team should include years of relevant experience, relevant roles, and professional affiliation at the time of engagement at those facilities.

Discuss fully any conflicts of interest, actual or perceived, that might arise in connection with your firm’s involvement with NYSERDA or the Task Force. If conflicts do or might exist, describe how your firm would resolve them.

- Corporate Qualifications (four page maximum) – Describe the corporate resources available to support the task(s).

#### **Part 2 - Cost and Disclosures:**

Cost proposal for Task 1, Proposers must complete the Attachment A - Project Personnel and Billing Rates form to clearly indicate hourly salary rate range for each title classification proposed under the agreement with NYSERDA. Any anticipated year over year price changes for the duration of the agreement with NYSERDA should be identified. The Proposer shall also provide their hourly rate(s) for

On-Demand Support Tasks as described in Task 2.

### Disclosures

- Indictment/Conviction of Felony (if applicable).
- NYSERDA Contracts awarded (if applicable).
- Prior and/or Competing Proposals (if applicable).

### **Proposal Evaluation**

Proposals that meet solicitation requirements will be reviewed by a Scoring Committee using the Evaluation Criteria below **listed in order of importance**. NYSERDA retains the right to request any additional information pertaining to the Proposer's ability, qualifications, and procedures used to accomplish all work under the contract as it deems necessary to ensure safe and satisfactory work.

- Strong technical and business background with the relevant and necessary expertise to complete the proposed work. The proposer has successfully advised on site reuse at a decommissioning nuclear facility. The proposer has secured strong commitments from all essential team members and partners (if applicable), and has demonstrated strong support from its corporate structure to be able to complete Task 1 and also any future On-Demand Tasks. The proposer provides extensive resources to conduct high quality work in a timely manner, has identified no limitations on schedule for commencement and timely performance of work, and has identified an efficient and effective method of providing the required services.
- Experience advising governmental entities on Nuclear Regulatory Commission or other relevant regulatory requirements.
- Excellent individual and combined experience, qualifications, and expertise; Skills and experience of the primary contact well-aligned with RFP; Demonstrated ability to collect, collate and triage required documentation; Multiple examples of excellent organizational and communication skills;
- Ability to accept NYSERDA's standard terms and conditions.

At NYSERDA's discretion, proposers may be requested to interview with all or part of the Scoring Committee to address any potential questions or clarifications outlined in the proposals. Proposals will be reviewed by a technical evaluation panel consisting of NYSERDA staff and external individuals. Proposers will be notified if they are requested to attend an interview.

NYSERDA may consider the following program policy factors in making award selection decisions; the degree to which the:

- The degree to which pricing and hourly rates are in line with the rest of the market.
- Institutional diversity or partnership with minority serving institutions.

- The degree to which the applicant has the resources (human and financial) to be able to complete the project.
- Proposed approach optimizes the use of available funding.
- Conflict of interest considerations.

The award selection process contains multiple steps including an initial eligibility review, ranking by a Scoring Committee of subject matter experts, and considerations such as program policy factors to make the selection decisions.

NYSERDA will negotiate contracts for services in fulfillment of the needs of this RFP on the basis of demonstrated competence, qualifications, and rates. Contract negotiations may include the proposer's fee schedules to ensure work is accomplished at fair and reasonable rates. NYSERDA reserves the right to negotiate among finalists to assure services, and to assure access to specific expertise. This contract will not guarantee any specific amount of work, but may contain a maximum dollar amount.

## **GENERAL CONDITIONS**

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

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

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

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

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

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

**State Finance Law sections 139-j and 139-k** - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx>. Proposers are required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility (this includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years).

**Tax Law Section 5-a** - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf)). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department.

The Department has created a second form that must be completed by a prospective contractor prior to contacting and filed with NYSERDA. See, ST-220-CA (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220ca\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

**Contract Award** - NYSERDA anticipates making one award under this solicitation. It may award a contract based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the submitted proposal (see Proposal Checklist). Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting

process. NYSERDA expects to notify proposers in approximately four weeks from the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

**Limitation** - This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement. NYSERDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information and the presence of a material possibility of any reputational or legal risk in making of the award.

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

#### **IV. Attachments:**

Attachment A – Project Personnel and Rate Form

Attachment B – Sample Agreement

## **Voice over Internet Protocol – Unified Communications**

Request for Proposal (RFP 3670)

**\$ 750,000**

*NYSERDA reserves the right to extend and/or add funding to the Solicitation should other program funding sources become available.*

Proposals Due: 10/18/2017 by 5:00 PM Eastern Time*
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The New York State Energy Research and Development Authority (NYSERDA) is soliciting proposals from qualified contractors offering Unified Communications solutions to serve the voice communication needs of NYSERDA. A qualified vendor will be selected to provide design, implementation and possibly hosting services related to the Authority's unified Voice Communications over Internet Protocol (VoIP) system replacement. NYSERDA will consider proposals that meet the requirements outlined in this solicitation including on-premise managed service solutions, hosted solutions and Unified Communications as a Service (UCaaS). The term of the agreement will be 5 years.

**Proposal Submission:** Electronic submission is preferable. Proposers may submit Word, Excel, or PDF files (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. NYSERDA will also accept proposals by mail or hand-delivery if electronic submission is not possible. For detailed instructions on how to submit a proposal (electronic or paper submission), click the link "NYSERDA Solicitation User Guide [PDF]" located in the "Current Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

**All proposals must be received by NYSERDA by 5 pm on 10/18/2017.**

Technical questions concerning this RFP may be submitted to Tom Girard, IT Operations Manager at [tom.girard@nyserda.ny.gov](mailto:tom.girard@nyserda.ny.gov) with the subject line "RFP 3670 Question." For contractual questions concerning this RFP, contact Venice Forbes at (518) 862-1090, ext. 3507 or [Venice.Forbes@nyserda.ny.gov](mailto:Venice.Forbes@nyserda.ny.gov)

No communication intended to influence this procurement is permitted except by contacting Tom Girard at (518) 862-1090, ext. 3115 or [tom.girard@nyserda.ny.gov](mailto:tom.girard@nyserda.ny.gov). Contacting anyone other than this Designated Contact (either directly by a Proposer or indirectly through a lobbyist or other person acting on a Proposer's behalf) in an attempt to influence the procurement: (1) may result in the Proposer being deemed a non-responsible offerer, and (2) may result in the Proposer not being awarded a contract.

**\* All proposals must be received by 5pm Eastern Standard Time on the date noted above. Late, faxed, or emailed proposals will not be accepted.** Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal. Please note: for electronic submission, there are required questions that you will have to answer in addition to uploading attachments and you should allot at least 60 minutes to enter/submit proposals. The electronic proposal system closes promptly at 5pm, files in process or attempted edits or submission after 5pm Eastern Standard Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on NYSERDA's web site at <https://www.nyserda.ny.gov/>

## BACKGROUND

### Corporate Background

NYSERDA is a public benefit organization committed to identifying opportunities for reducing commercial and residential energy consumption, promoting the use of renewable energy sources, and protecting the environment. NYSERDA provides financial and technical assistance to help consumers, businesses and institutions assess and implement cost-saving energy efficiency measures.

Energy efficiency programs offered at NYSERDA also strive to provide affordable energy and a cleaner environment for all New Yorkers. This is accomplished by increasing public awareness of the multiple benefits of energy efficiency, by providing residential building performance services, and by making energy-efficient products more widely available to consumers.

### Current VoIP Systems Background

Definitions:

- **Mbps** – Megabits per second – data service rate of one million bits per second
- **Gbps** – Gigabits per second – data service rate of one billion bits per second
- **PRI** – Primary Rate Interface – A 24 channel digital link providing access to a carrier's switched telephone network
- **POTS** – Plain Old Telephone Service – Basic analog wireline telephone service provided over copper circuits
- **IPT/VoIP** – Internet Protocol Telephony/Voice over Internet Protocol – Voice service provided by digital transmission of voice data over Internet Protocol
- **UC** – Unified Communications – Service combining digital voice and other features such as voicemail-to-email, click-to-call, cell phone pairing, and integration into other desktop computer applications
- **MPLS** – Multi-Protocol Label Switching – Data service between sites using packet labeling to identify virtual paths as provided by the carrier
- **VDI** – Virtual Desktop Infrastructure – Delivery of desktop services to end users via virtual machines and zero clients

NYSERDA's Information Technology division is responsible for the digital toolsets used by Authority personnel to conduct business including computer resources, digital storage and voice communications. Voice telephony remains an important aspect of the Authority's ability to conduct business and execute its mission.

Housed in the datacenter located at 17 Columbia Circle in Albany, NYSERDA's voice infrastructure currently consists of an 8-year-old Cisco Unified Communications Manager (Unity) system which delivers digital voice service over Internet Protocol to the Authority's roughly 450 phone handsets distributed throughout four major office locations in New York State. Including the Unity server, subscriber and publisher, there are also voice gateway routers located at the Albany, New York City, Buffalo and West Valley offices.

- Current handsets in use are Cisco IP Phones with 1Gbps pass-through RJ45 Ethernet jacks for desktop computers.



- NYSERDA’s edge-to-desktop infrastructure consists of Cisco network switches capable of Power over Ethernet (PoE) deployed in February of 2017.
- The voice gateways reach the public telephone network via 3 x PRI at the Albany location, 2 x PRI in New York City and via POTS at both the West Valley and Buffalo offices.
- Data connectivity between NYSERDA offices consists of the following:
  - Albany to NYC: 1Gbps
  - Albany to Buffalo: 10Mbps
  - Albany to West Valley: 3Mbps
- Internet service at each location consists of the following:
  - Albany: 1Gbps
  - NYC: 1Gbps
  - Buffalo: 10Mbps
  - West Valley: 3Mbps

The current system is no longer supported by Cisco or any Cisco partner due to age. The software associated with the current system is not eligible for update nor is the hardware easily replaceable in the event of a failure. NYSERDA intends to identify a replacement system that not only provides a fully supported and upgradable solution, but also satisfies business needs.

NYSERDA is seeking proposals from IPT/VoIP vendors of both cloud hosted and on premise unified communications (UC) solutions to provide competitive, descriptive proposals for NYSERDA's consideration.

### **NYSERDA Office Locations, User Counts and Desktop Computing Environment**

The resulting solution will serve VoIP/Unified Communications to the following NYSERDA office locations with estimated User Counts:

Site Name	Address	User Count
Albany	15 & 17 Columbia Circle Albany, NY 12203	250
Buffalo	726 Exchange Street Buffalo, NY 14210	20
New York City	1359 Broadway, 19 <sup>th</sup> Floor New York, NY 10018-7842	100
West Valley	9030-B Route 219 West Valley, NY 14171-9500	15

The NYSERDA end-user desktop computer environment consists of 25% personal computers running Microsoft Windows 7 and Windows 10. The remaining 75% are assigned to Virtual Desktops delivered to Wyse Zero Client endpoints via VMware Horizon View. Of the virtual machine users, over 200 users are assigned to a floating pool of non-persistent virtual machines. User customization is carried out through roaming profiles delivered via VMware View Persona Management.

The following tables outline the typical resources assigned to the desktop computers, both virtual and physical:

Virtual Machine Hardware Resources	
CPU	2 x vCPUs

RAM	Typically 3GB
OS	Microsoft Windows
Endpoints	Wyse PCoIP zero clients

Physical PC Hardware Resources	
CPU	Intel Core i5
RAM	4 – 8GB
OS	Microsoft Windows

## Special Considerations

There are four primary user profiles for NYSERDA staff:

- 1) Standard Profile (most common) – In this scenario a voice service end user is typically stationed at one of NYSERDA’s offices and requires basic voice, voicemail and extension portability/call forwarding.
- 2) Executive Profile, multi-office – Users in this classification typically have multiple offices and are also highly mobile with frequent travel. These users will also typically desire a greater number of programmable shortcuts on their handsets to speed dialing to frequently called extensions.
- 3) Reception Profile – The main reception desk is located in the 17 Columbia Circle location. The reception staff receive calls for all branch offices and will transfer incoming calls as needed, driving the need for programmable sidecars which may be customized to handle program and project-specific contacts. These contacts may change over time due to the various call loads associated with current and future projects as advertised.
- 4) Financial Specialist Profile, NY Greenbank – Phone users within the NY Greenbank located in the New York City Office rely upon extended programmable sidecars with call merge, join, conference and split functions to facilitate their business model.

## PROJECT SCOPE AND REQUIREMENTS

### Objectives

NYSERDA’s VoIP/Unified Communications project will provide a replacement IPT/VoIP solution leveraging today’s common voice service solutions. NYSERDA will consider proposals for on-premise, cloud-hosted and hybrid systems that meet the business requirements outlined in this solicitation.

More specifically, proposals submitted to NYSERDA will be required to deliver a clear solution to achieve the following objectives:

- Provide a cost-effective VoIP/Unified Communications solution to replace the existing system.
- Deliver a robust and resilient mechanism to deliver voice services to NYSERDA staff including:
  - A web-based management console to administer the proposed solution by NYSERDA IT staff.
  - Voice telephony with physical handsets, handsets with sidecars.
  - Voicemail & Voicemail-to-email.
  - Internal voice conference rooms supporting a minimum of 25 participants.
  - Integration with Microsoft Outlook, “click-to-call”.
  - Provide a scalable solution to handle growth.
  - Provide a flexible configuration to meet new and changing dial plans, business requirements and programs.

- Provide 24-hour network operations center (NOC) support and monitoring for hosted systems.
- Reduce the load on internal information technology (IT) staff by providing basic support and maintenance services for hosted systems.

## Scope of Work

The resulting Agreement with NYSERDA will provide a Voice and Unified Communications (UC) solution, including, but not limited to, the following task areas:

1. Research, design, implement and support an appropriate VoIP/UC solution which meets NYSERDA's requirements as specified in the following table entitled: **Table 1. Required VoIP/Unified Communications Features.**
2. Detailed plans for seamless migration from the existing Cisco Unity platform to the proposed solution.
3. Provide extensive documentation of the hardware deployed, network configuration (including Public Switched Telephone Network (PSTN) details), and administrative tasks/practices associated with the proposed solution.
4. Provide license management and accounting for all VoIP/UC hardware and software modules requiring feature-based licensing.
5. Deliver a secure solution following industry-standard practices in accordance with NYS Cyber Security Policy P03-002 [https://its.ny.gov/sites/default/files/documents/nys-p03-002\\_information\\_security\\_0.pdf](https://its.ny.gov/sites/default/files/documents/nys-p03-002_information_security_0.pdf).
6. Design and deliver backup strategies for all firmware, software, voicemail and individual user configurations associated with the proposed solution.
7. Deliver training for NYSERDA staff covering administrative tasks associated with move/add/delete/change (MADC), voicemail administration and deployment and management of UC features.

***The following tables define required and optional feature sets desired by NYSERDA. NOTE: The required features must be included with all proposals; exclusion of a required feature will result in disqualification of the proposal.***

**Table 1. Required VoIP/Unified Communications Features**

<b>Required VoIP/Unified Communications Features</b>	
<b>Category</b>	<b>Detail</b>
Centralized IPT/VoIP call management	UC solutions should provide for a centralized method for call routing and dial plan management including auto-attend, IVR menuing, voicemail with a voicemail-to-email feature, and perform as a gateway to the public telephone system. The call management solution must include options for redundancy in the event of hardware and/or voice gateway failure to ensure continuity of service. NYSERDA remains open to all on-premise and cloud-based UC solutions.
Voice gateway(s)	Responses should include detail as to how the voice gateway function will be handled by a new UC solution. NYSERDA remains open to all options including local T1/PRI handoff, SIP trunking over MPLS and other cloud-based solutions.
Handsets	Desk handsets matched to the afore-mentioned call management solution must support Gigabit (1000Mbps) pass-through ethernet connections for desktop computer network support. Handsets must be capable of accepting extended sidecar expansion keypads for reception and specialized department use.
Microsoft Outlook Integration	Ability to integrate with Microsoft Outlook and deliver a “click-to-call” feature.
Internal teleconference rooms	Ability to host internal conference calls with a minimum of 25 participants.
<b>Required VoIP/Unified Communications Features (continued)</b>	
<b>Category</b>	<b>Detail</b>
Twinning or “Find Me/Follow Me”	Ability to pair a mobile device to an end user’s extension.
Custom dial plans	Ability to customize dial plans to meet unique needs of departments who have special use cases.
Redundancy provision	Provisions to mitigate impact to service in the event of circuit or Internet outages.
Support	The proposing vendors must provide detailed plans for providing MADC, voice network and hardware support.
Implementation & Support Experience	Demonstrated experience of proposing vendor to deliver and support enterprise-class VoIP/Unified Communications solutions to multi-site customers with more than 300 end users.
U.S. Based Datacenter(s) for hosted solutions	In accordance with NYS Cyber Security Policy P03-002, all datacenters housing NYSERDA information and services must be located in the continental United States.  NYS Cyber Security Policy P03-002 documentation may be found at the following URL: <a href="https://its.ny.gov/sites/default/files/documents/nys-p03-002_information_security_0.pdf">https://its.ny.gov/sites/default/files/documents/nys-p03-002_information_security_0.pdf</a>

**Table 2. Optional VoIP/Unified Communications Features**

The following table outlines optional unified communications features that interest NYSERDA and would increase efficiency by augmenting current employee communication needs.

Optional VoIP/Unified Communications Features	
Category	Detail
Soft phone – Desktop based	NYSERDA currently deploys virtual, non-persistent desktops to roughly 275 end users via VMware Horizon View with WYSE Dell/Teredici PCoIP Zero Clients. A soft phone solution must effectively operate within the virtual desktop environment and allow the use of USB microphone headsets to be used with the zero clients.
Mobile App-based Soft Phone	Allow end users to fully extend the features of their office handset to their mobile devices.
Salesforce Integration	NYSERDA currently employs the Salesforce platform for CRM and other workflows throughout the enterprise. Proposals may outline provisions for screen pops and automatic client record recall within Salesforce based upon incoming caller ID information.
Skype for Business	Ability to integrate with Skype for Business to provide “click-to-call”. NYSERDA is also interested in proposals that outline possible video call/conferencing via Skype for Business integrated with the proposed VoIP/UC solution.

If a proposal is selected, the proposing entity will be allowed to provide services if requested to do so by the Authority, even if these services are not part of the above listed scope.

### Engagement Requirements

1. Proposers must demonstrate a proven track record of providing VoIP/Unified Communications solutions and services for public sector entities.
2. Proposers must be able to provide hosting and support services within the continental United States.
3. For all hosted services, proposers must be able to provide an environment that complies with NYS Cyber Security Policy P03-002.
4. Experience in engagements with the Authority’s existing network and software or operating environment.
5. Proposers must be able to meet a 30% MWBE (minority or woman owned business entity) or 6% SDVOB (service disabled veteran owned business) requirement for this contract. Any MWBE/SDVOB firms responding to this RFP that are seeking MWBE/SDVOB status must submit proof that the firm is certified as an MWBE/SDVOB with the New York State Department of Economic Development. Any firm that currently has an approved contract through the NYS Office of General Services Procurement Services has already met this requirement.
6. Upon issuance of a contract from NYSERDA, the selected firm will be required to show evidence of General Liability, Disability and Workers Compensation Insurances. In some instances,

Professional Liability insurance may also be required.

7. The willingness to work with the Authority to minimize costs.
8. NYSERDA retains the right to end an engagement at any time with or without cause.
9. For hosted VoIP services and/or hosted elements supporting such services, NYSERDA may require periodic external auditing and compliance with SSAE16 or similar guidelines.
10. All hardware and software must be under support for the duration of the contract.
11. All billable hours for a given month will be invoiced by the 21<sup>st</sup> of the following month.

## 1. PROPOSAL CONTENT AND FORMAT

Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. The proposal must be in the following format:

- Section I: Executive Summary
- Section II: Technical Proposal
- Section III: Cost Proposal

Cost information must **not** be included in the Technical Proposal section.

### Special Note:

Due to the differences in on-premise versus hosted IPT/VoIP/UC solutions, respondents submitting multiple proposals consisting of meeting the requirements outlined in **Table 2. Required VoIP/Unified Communications Features** must clearly separate the corresponding Technical and Cost Proposals to clearly differentiate between on-premise and hosted solutions.

### 1.1 Section I: Executive Summary

Provide a brief description of the firm's overall qualifications and approach. Please limit to 2 pages maximum.

### 1.2 Section II: Technical Proposal

Following is a listing of the information required to be provided by the proposer. A technical proposal that does not provide all the information requested below may be subject to rejection. Provide the information in the same order in which it is requested. Your technical proposal must contain sufficient information to assure NYSERDA of its accuracy.

1. Provide a separate numbered section corresponding with each item listed in Section 2.2 Scope of Work documenting the firm's qualifications in the respective area. If you are not seeking consideration for a particular item, include a numbered section and indicate that no response is being provided.
2. Provide a description of the firm's organization and the resumes of partners, principals, associates and other staff proposed to provide services to NYSERDA. Note any sub-consultants that your firm may be using to fulfill the scope of services.
3. Provide a description of the firm's experience providing similar services including recent relevant project experience to the public and private sector. Include the names, titles and phone numbers of at least three

(3) references excluding NYSERDA employees for whom similar services have been provided and a summary of the services provided.

4. Provide a description of the firm's approach to providing the scope of services including the monitoring and management of the environment. Indicate any areas in which you believe the firm has special expertise. Provide item-by-item detail on how the proposal meets the requirements as listed in **Table 3. Required VoIP/Unified Communications Features.**
5. Provide item-by-item detail on how the proposal meets the optional features as listed in **Table 4. Optional VoIP/Unified Communications Features.**
6. Provide a description of the firm's approach to migrating from the existing VoIP system.
7. The proposer must agree to provide NYSERDA with pre- and post-audit access to documents, personnel and other information necessary to conduct audits upon request during the term of the Contract and for six years thereafter.
8. The proposal submitted must contain a representation that the proposer is willing and ready to provide any services requested or required in a timely manner.
9. Disclose any potential conflicts of interest.
10. Note any special certifications relevant to this RFP that your firm or proposed staff may possess, and outline opportunities that consulting staff have to keep skills current.

### **1.3 Section III - Cost Proposal**

Following is a listing of the information required to be provided by the proposer. A cost proposal that does not provide all the information requested below may be subject to rejection. Provide the information in the same order in which it is requested. Your cost proposal must contain sufficient information to assure NYSERDA of its accuracy.

1. Provide billing rates for ad-hoc/hourly services provided such as dial plan architecture, server patching, antivirus/malware remediation, network support, Move/Add/Delete/Change (MADC), etc.
2. List all fixed price services offered and the corresponding pricing.
3. Indicate any reductions from normal billing rates charged other issuers or public entities in New York State.
4. Indicate any startup/one-time costs.
5. Indicate any monthly recurring charges.
6. Indicate incremental charges incurred with the addition of each new server or appliance.
7. Indicate any charges associated with providing external SSAE 16 audits for systems or components hosted in non-NYSERDA datacenters.
8. Indicate any reductions due to missed service level agreements (SLAs).
9. Indicate charges associated with migration to the platform.
10. Indicate charges associated with leaving the platform at the end of the contract.

- 11. A plan for meeting the MWBE/SDVOB requirement MUST be submitted with the proposal (if applicable).
- 12. Detailed requirements and charges for additional 3<sup>rd</sup> party data or voice network services (such as dedicated circuits or other carrier-provided services) needed as part of the proposal.

**2. EVALUATION OF PROPOSALS**

**General Selection Process**

The selection process will begin with the review and evaluation of each of the written proposals. The purpose of this evaluation process is twofold: (1) to examine the responses for compliance with this RFP; (2) to identify the complying firms that have the highest probability of satisfactorily performing the scope of services at a reasonable cost to NYSERDA. All written proposals will be reviewed and evaluated by a Scoring Committee selected by NYSERDA. The Scoring Committee will score each Technical Proposal according to the criteria and scoring process described herein.

**Interviews**

NYSERDA reserves the right to determine whether interviews will be necessary and for which firms. The purpose of the interview is to further document the proposer’s ability to provide the required services, and to impart to the Scoring Committee an understanding of how specific services will be furnished. The proposed lead principal, as well all other key personnel proposed to provide the services must be present and participate in the interview. The interview will be evaluated on the basis of whether it substantiates the characteristics and attributes claimed by the proposer in its written response to this RFP and any other information requested by the Scoring Committee prior to the interview.

At NYSERDA’s discretion, selected proposing vendors may be asked to perform an onsite demonstration and/or facilitate a site visit to a comparable customer already employing the proposed solution.

**Evaluation Process**

The evaluation will be conducted in a comprehensive and impartial manner as set forth herein by scoring the following evaluation items and then applying the steps described later in this section.

<b>Evaluation Item</b>	<b>Title</b>	<b>Scoring Method</b>
<b>1</b>	<b>Demonstrated capacity to perform the types of activities that have been described in the Scope of Work and to meet the basic requirements of the solicitation as outlined in <i>Table 5. Required VoIP/Unified Communications Features.</i></b>	25%
<b>2</b>	<b>Demonstrated ability to deliver additional features as outlined in <i>Table 6. Optional VoIP/Unified Communications Features</i> beyond the basic requirements.</b>	15%
<b>3</b>	<b>Experience in engagements with the hardware and software utilized by NYSERDA.</b>	20%
<b>4</b>	<b>Quality of work product. For those firms who have previously done work for NYSERDA, quality of work on those transactions will be considered.</b>	20%



Evaluation Item	Title	Scoring Method
5	Cost Proposal rates evaluated on reasonableness in comparison to other respondents.	20%

**Step 1: Technical Proposal Score**

The Scoring Committee will evaluate the extent to which the Proposer’s Technical Proposal meets the requirements as specified in this RFP as to how well each proposal satisfies evaluation items 1 through 5 above. Scoring Committee Members will independently score each Technical Proposal and then meet to discuss the merits and scoring justifications of each Proposer. Evaluators will be allowed to revise scores based on the panel discussions.

**Step 2: Cost Proposal Score**

Cost Proposals will be evaluated relative to each other based on a total cost over the term of the contract.

**Step 3: Total Proposal Score**

The Total Proposal Score will be the sum of the Technical Proposal Score and the Cost Proposal Score.

The Scoring Committee will rank proposals in descending order from highest to lowest Total Proposal Score. Top-ranked acceptable Proposers will proceed in the evaluation process and may be invited to present a solution relevant to this project. NYSERDA may, at its discretion, invite other Proposers to give a presentation.

**Step 4: Recommendation and Board Approval**

The Scoring Committee will rank the Proposers’ final scores in descending order, from highest to lowest score, which will form the basis for the Scoring Committee award recommendation to NYSERDA Management. It is anticipated that there will be a single selected vendor.

Any Proposer recommended by the Scoring Committee must be approved by the Board of NYSERDA prior to any award under this RFP.

## GENERAL CONDITIONS

**Proprietary Information** - Careful consideration should be given before confidential information is submitted to NYSEDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSEDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSEDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501

<https://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSEDA-Regulations.ashx>. However, NYSEDA cannot guarantee the confidentiality of any information submitted.

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

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

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

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

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

**New York Executive Law Article 15-A** - In compliance with §139-j and §139-k of the State Finance Law (see Section V, General Conditions below for additional information), proposers will be required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility.

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

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

**Tax Law Section 5-a** - NYSEDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSEDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf)).

Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department. The Department has created a second form that must be completed by a prospective contractor prior to contacting and filed with NYSERDA. See, ST-220-CA (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220ca\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

**Contract Award** - NYSERDA anticipates making more than one award under this solicitation. It may award a contract based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the submitted proposal (see Proposal Checklist). Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately 4 weeks from the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

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

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

## ATTACHMENTS

- Attachment A: Sample Agreement
- Attachment B: Cost Proposal Worksheet
- Attachment C: MWBE Article 15
- Attachment D: SDVOB Article 17 B

REV Campus Challenge – Energy to Lead Competition 2017  
Request for Proposal (RFP) 3675  
**\$3,000,000 Available**

**Proposals Due: January 29, 2018 by 5:00 PM Eastern Standard Time\***

Informational webinars will be held on:  
August 31, 2017, October 31, 2017, and December 6, 2017

In October 2015, Governor Cuomo announced the **Energy to Lead Competition** to challenge colleges and universities to develop innovative plans for clean energy projects. The competition is part of the Reforming the Energy Vision (REV) Campus Challenge, an effort led by NYSERDA in close collaboration with the New York Power Authority (NYPA) to promote clean energy efforts by recognizing and supporting colleges and universities in New York State that implement clean energy projects and principles on campus, in the classroom, and in surrounding communities. Awards for Round 1 of the Energy to Lead Competition were made in May 2016. Additional information about the 2015-2016 Energy to Lead Competition can be viewed here: <https://www.nyserda.ny.gov/All-Programs/Programs/REV-Campus-Challenge/Program-Opportunities/Past-Opportunities>.

The REV Campus Challenge is issuing a second round of the Energy to Lead Competition to challenge higher education institutions across NYS to develop and implement projects that advance clean energy on their campuses and local communities in new ways. *For the purposes of this solicitation, **clean energy** is inclusive of energy efficiency, energy conservation, and renewable energy.* NYSERDA will award up to \$3 million, ranging from \$250,000 to \$1,000,000 per award, to the institutions with the leading solutions for implementing replicable clean energy projects that significantly reduce greenhouse gas emissions.

NYSERDA will hold three (3) **informational webinars**. Links to register for the webinar are provided below, and are also available at <http://www.nyserda.ny.gov/rev-campus-challenge>.

- To attend the August 31, 2017 webinar, register at <https://nyserda-events.webex.com/nyserda-events/onstage/g.php?MTID=e7a3713faf72a14f5d1f7138099295587>.
- To attend the October 31, 2017 webinar, register at <https://nyserda-events.webex.com/nyserda-events/onstage/g.php?MTID=e1ec0777800a03cbcc4faae723e87914>.
- To attend the December 6, 2017 webinar, register at <https://nyserda-events.webex.com/nyserda-events/onstage/g.php?MTID=e32e9c0383f8e6a90fc07ffbe8b94c6b8>.

**Proposal Submission:** Electronic submission is preferable. Proposers may submit Word, Excel, or PDF files (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. NYSERDA will also accept proposals by mail or hand-delivery if electronic submission is not possible. For detailed instructions on how to submit a proposal, click the link "NYSERDA Solicitation User Guide [PDF]" located in the "Current Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted except by Lindsay Holle (Designated Contact) at (518) 862-1090, ext. 3051 or by e-mail [REVCampusChallenge@nyserda.ny.gov](mailto:REVCampusChallenge@nyserda.ny.gov)

for technical questions. If you have contractual questions concerning this solicitation, contact Nancy Marucci (Designated Contact) at (518) 862-1090, ext. 3335 or [Nancy.Marucci@nyserda.ny.gov](mailto:Nancy.Marucci@nyserda.ny.gov). Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

**\* All proposals must be received by 5pm Eastern Standard Time on the date noted above. Late, faxed, or emailed proposals will not be accepted.** Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal. Please note: for electronic submission, there are required questions that you will have to answer in addition to uploading attachments and you should allot at least 60 minutes to enter/submit proposals. The electronic proposal system closes promptly at 5pm, files in process or attempted edits or submission after 5pm Eastern Standard Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on NYSERDA's web site at <https://www.nyserda.ny.gov/>.

## I. Introduction

The Energy to Lead Competition is administered through the REV Campus Challenge, part of Governor Cuomo's REV strategy to build a clean, resilient, and affordable energy system for all New Yorkers. The REV Campus Challenge promotes clean energy efforts by recognizing and supporting colleges and universities in New York State that implement clean energy projects and principles on campus, in the classroom, and in surrounding communities. The Energy to Lead Competition was first announced by Governor Andrew M. Cuomo in October 2015. The first offer of the Energy to Lead Competition, launched in January 2016, made \$1 million awards to three New York State colleges and universities who proposed innovative solutions for implementing clean energy projects. Additional information about Energy to Lead Competition 2016, including the winning applicants, can be viewed here: <https://www.nysesda.ny.gov/All-Programs/Programs/REV-Campus-Challenge/Program-Opportunities/Past-Opportunities>

The REV Campus Challenge is administering the Energy to Lead Competition 2017, which will span the 2017-2018 academic year. NYSERDA will award up to \$3 million, ranging from \$250,000 to \$1,000,000 per award, to the colleges or universities with the leading solutions for implementing replicable clean energy projects that significantly reduce greenhouse gas (GHG) emissions. *For the purposes of this solicitation, **clean energy** is inclusive of energy efficiency, energy conservation, and renewable energy.* Applicants are encouraged to think of unique, replicable approaches to planning, funding, and implementing projects while maximizing energy savings impact on campuses and in surrounding communities. Proposed projects should utilize commercially-viable technologies, incorporate strong student involvement, and consider on- and off-campus community engagement.

Teams are invited to submit plans to implement clean energy projects that demonstrate unique approaches to reducing energy usage and GHG emissions. **Proposals must incorporate at least one (1) of the following Focus Areas:**

- **Project design:** Integrating concepts or established technologies in a new kind of application or bundled in new ways that increases the overall energy savings impact or future replicability.
- **Business model:** A new way of paying for a project, lowering costs, or creating new revenue streams.
- **Innovative partnerships:** An approach to develop an on-campus project to advance clean energy in the surrounding community by partnering with other institutions, businesses or communities across NYS.
- **Curriculum integration:** A model for integrating clean energy project construction, implementation, or operations into student coursework, workforce training, or internships.

For those familiar with the first offering of Energy to Lead issued in January 2016, the following are a summary changes or additions:

- **Award structure:** Funding will be awarded in the amount of \$250,000 to \$1,000,000 per project pursuant to the scope and merit of the proposals received. NYSERDA may make award offers at amounts lower than those for which the applicant proposed.
- **Feedback sessions:** Participating teams are invited, but not required, to present preliminary proposals to NYSERDA staff. The session will provide constructive feedback and raise critical questions to help participating teams strengthen and increase the impact of their proposals. Feedback sessions will be hosted in-person at the State of New York Sustainability Conference on the afternoon of November 16, 2017. For those interested, but unable to attend, NYSERDA will also host virtual **group** feedback sessions between November 27 and December 8, 2017. Registration information for in-person and virtual feedback sessions will be made available on the REV Campus Challenge website: [www.nysesda.ny.gov/rev-campus-challenge](http://www.nysesda.ny.gov/rev-campus-challenge).
- **Evaluation criteria:** Applicants should carefully review the evaluation criteria in Section IV: Proposal Evaluation as they differ from the evaluation criteria in Energy to Lead Round 1.

NYSERDA reserves the right to extend and/or add funding to the Solicitation should other program funding sources become available.

## II. Program Requirements

### Program Requirements

The following requirements must be met for a proposal to be considered for funding.

- **Colleges and universities must be REV Campus Challenge members to apply.** All two- and four-year higher education institutions in New York State can become REV Campus Challenge members. There are no fees associated with membership. Visit [www.nyserdera.ny.gov/rev-campus-challenge](http://www.nyserdera.ny.gov/rev-campus-challenge) to become a member.
- Proposals must:
  - Show a potential to provide direct and quantifiable energy benefits in NYS;
  - Demonstrate a unique approach to energy and GHG emissions reduction;
  - Incorporate at least one of the Focus Areas established in Section I: Introduction;
  - Include at least one undergraduate or graduate student enrolled at the respective institution in NYS as of April 22, 2017; and
  - Be submitted by a staff or faculty member currently employed by the respective institution.

### Project Considerations

- The project must include an investment on a NYS campus but the project does not necessarily need to be limited to the campus.
- Projects should utilize commercially viable products and solutions that have already been accepted by the market. Projects should **NOT** fund technology development and/or pilot demonstrations of unproven technologies.
- Proposers may include one specific project in their application or may target multiple projects or initiatives in a single application.
- Projects must be ready to commence within the calendar year of award notification (i.e. before December 31, 2018) and in accordance with the implementation schedule provided by the proposer as part of the proposal.

### Optional Collaboration

- Teams may include external entities, including other colleges and universities, community organizations, government entities, third party consultants, and other service providers or private entities.
- A group or consortium of institutions may choose to collaborate and submit a single proposal. The proposal shall designate a single institution to be the lead applicant.
  - The lead applicant must provide letters of support from each institution involved in the project.
  - At least one student from each participating institution must be included on the project team.
  - The lead applicant, if successful, will have a contractual obligation to NYSERDA and will act as the main point of contact for NYSERDA for all project-related matters.
  - At a minimum, the lead institution must be a REV Campus Challenge member.

### Other Considerations

- Work associated with the development and submittal of this proposal may **NOT** be included in the proposal budget (Contract Pricing Proposal Form attached to this RFP as Attachment C). Any portion of the project commenced prior to the establishment of a fully executed contract with NYSERDA is **NOT** eligible for reimbursement.
- Proposals will be evaluated based on the degree to which the proposal responds to the requirements outlined in Section III: Proposal Requirements.
- Awardees will be required to publicly share project updates, participate in awards ceremonies as

appropriate, and participate in at least one conference to present the project, to be determined during contract negotiation.

Cost-sharing is NOT required, but if it is a part of the proposal, it must be documented in the format below as well as in the budget (see Attachment C). Cost-sharing can be from the proposer, other team members, and/or other government or private sources. Contributions of direct labor (for which the laborer is paid as an employee) and purchased materials may be considered 'cash' contributions. Unpaid labor, indirect labor, and/or other general overhead may be considered 'in-kind' contributions. NYSERDA will NOT pay for efforts which have already be undertaken. The proposer can NOT claim as cost-share any expenses that have already been incurred. If applicable, show the cost-sharing plan in the following format (expand the table as needed). Letters of commitment for any third parties providing cost-sharing must be included as part of the Proposal Narrative (see Section III: Proposal Requirements).

	Cash	In-Kind Contribution	Total
<b>NYSERDA</b>	\$	\$	\$
<b>Proposer</b>	\$	\$	\$
<b>Others (list individually)</b>	\$	\$	\$
<b>Total</b>	\$	\$	\$

### III. Proposal Requirements

The proposer's goal should be to concisely present the information needed to fully address the evaluation criteria (see Section IV: Proposal Evaluation). Proposals that grossly exceed word limits or fail to follow format guidelines may be rejected as non-responsive.

Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective proposal may reduce, rather than increase, a proposal's standing per the evaluation criteria.

Each page of the proposal should state the name of the lead institution (proposer), the RFP number (RFP 3675), and the page number. **Proposals MUST be in the following format, with items in the sequence shown.**

Late proposals and proposals lacking the following content in the sequence described may be rejected.

#### Proposal Checklist

Complete the Proposal Checklist as part of the proposal submission process. Proposals lacking the appropriate completed and signed Proposal Checklist may be returned.

- Indicate whether you accept the standard terms and conditions as contained in the Sample Agreement (Attachment D). If you do not accept the standard terms and conditions, provide alternate terms with justification based on the risk and benefit to NYS. NYSERDA reserves the right to consider only exceptions to terms that are specifically included with the proposal. Any negotiation of terms will be at NYSERDA's sole discretion.
- Do not leave any blanks. If a specific question is not applicable, indicate N/A.
- Be sure the individual signing the Proposal Checklist is authorized to commit the institution to the proposal as submitted.

#### Disclosure of Prior Findings of Non-responsibility

Complete the Disclosure of Prior Findings of Non-responsibility as part of the proposal submission process.



### Proposal Narrative

Complete the Proposal Narrative by responding to the questions provided in Attachment A: Proposal Narrative. The Proposal Narrative contains the following sections:

- Project Overview
- Focus Area(s)
- Purpose
- Objective(s)
- Statement of Work (see also Attachment B – Statement of Work Template)
- Schedule
- Project Benefits
- Budget (see also Attachment C – Contractor Pricing Proposal Form)
- Project Team
- Letters of Support

Proposers must carefully review the Proposal Narrative to ensure that all required sections are completed, adhere to established word counts, and follow the order set in Attachment A: Proposal Narrative. The selected Focus Area(s), established in Section I: Introduction, must be clearly indicated. Failure to do so may result in the proposal being rejected as non-responsive.

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

In compliance with §139-j and §139-k of the State Finance Law (see Section V, General Conditions below for additional information), proposers will be required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility.

## **IV. Proposal Evaluation**

Proposals will be reviewed by a Scoring Committee and will be scored and ranked according to the **Evaluation Criteria, listed below in order of importance**. After proposals are reviewed, NYSERDA will issue a letter to each proposer indicating the proposal evaluation results. Proposers receiving favorable evaluations will be invited to enter into contract negotiations with NYSERDA.

### Requirements

A negative response to any one of the following questions may eliminate the proposal from further consideration. Does the proposal:

- Have a REV Campus Challenge member institution as the lead applicant? See Section II: Program Requirements for information on joining the REV Campus Challenge.
- Show a potential to provide direct and quantifiable energy benefits in NYS?
- Demonstrate a unique approach to energy and GHG emissions reduction?
- Incorporate at least one (1) of the Focus Areas identified in Section I: Introduction?
- Include at least one (1) student on the project team?

### Evaluation Criteria in Order of Importance

#### **Overall Proposal**

- Are the proposed project overview, purpose and objective(s) clearly and concisely defined? Does the proposed project clearly incorporate at least one of the Focus Areas established in RFP Section I: Introduction? Does the proposed project demonstrate a unique approach to furthering clean energy on NYS campuses?

#### **Project Impact and Benefits**

- Does the proposal provide a clear estimate of annual energy savings and GHG reductions for the first five (5) years after project implementation, as well as an estimate of the energy savings and GHG reductions over the lifetime of the project? Is there a brief description/methodology to

support these estimates? How significant are the potential reductions in energy use or GHG emissions resulting from the project?

#### **Project Replicability**

- Does the proposed project have the potential for wide-scale replication? Does the proposal provide a plan for sharing best practices and lessons learned? How will the proposer know if the project is successful? What metrics, performance indicators, and/or milestones will illustrate success? Is there a process or strategy in place to measure progress and success?

#### **Project Scope of Work (SOW)**

- Does the proposed SOW have well-defined tasks and deliverables? Do the tasks cover all activities needed to complete the proposed project? Does the SOW establish a process or strategy for tracking and evaluating project impact and energy savings?

#### **Project Team and Stakeholder Commitment**

- To what degree does the team have relevant and necessary background and experience to ensure project success? Is there at least one student on the project team? How firm are the commitments and support from essential internal and external entities? If collaborating with another institution, is the value of this collaboration clearly defined?

#### **Project Value**

- Does the proposal clearly identify the requested funding amount? Is the funding requested between \$250,000 and \$1,000,000? Is the budget broken down by Task to match the Tasks established in the scope of work? Is the overall project cost justified based on the expected benefits? Does the proposal include cost-sharing? If cost-sharing is included, is it documented in the format provided in Section II: Program Requirements?

#### Program Policy Factors

A Scoring Committee will review and rank all proposals. NYSERDA will review this evaluation and ranking, and may consider the following program policy factors in making award selections; the degree to which:

- There is diversity in geographic location of awardees
- There is diversity in electric utility of awardees
- There is diversity of technologies, approaches, methods, and institutions within this Energy to Lead competition year and previous years
- The degree to which the projects, including proposed cost shares, optimizes the use of available funding to achieve programmatic objectives

## **V. GENERAL CONDITIONS**

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

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

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

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

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

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

**State Finance Law sections 139-j and 139-k** - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx> . Proposers are required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility (this includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years).

**Tax Law Section 5-a** - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf)). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department.

The Department has created a second form that must be completed by a prospective contractor prior to contacting and filed with NYSERDA. See, ST-220-CA (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220ca\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf> .

**Contract Award** - NYSERDA anticipates making multiple awards under this solicitation. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement (Attachment D) to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately 10-12 weeks from the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

**Accessibility Requirements** - If awardees from this solicitation will be posting anything on the web, or if the awardee will produce a final report that NYSERDA will post to the web, the following language must be included. NYSERDA requires contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg,

.avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSERDA's Accessibility Requirements](#).

**Limitation** - This solicitation does not commit NYSEERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSEERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSEERDA's best interest. NYSEERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement. NYSEERDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information and the presence of a material possibility of any reputational or legal risk in making of the award.

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

## **VI. Attachments:**

- Attachment A – Proposal Narrative
- Attachment B – Statement of Work Template
- Attachment C – Contract Pricing Proposal Form
- Attachment D – Sample Agreement



## Remote Energy Management (REM) Program

Request for Proposal (RFP) 3683

**\$3 million available**

*NYSERDA reserves the right to extend and/or add funding to the Solicitation should other program funding sources become available.*

**Proposals Due: October 30, 2017 by 5:00 PM Eastern Time\***

Informational Webinar will be held on  
September 20, 2017, 2:30-3:30pm Eastern Time

The New York State Energy Research and Development Authority (NYSERDA) is seeking creative proposals from Remote Energy Management (REM) service providers (Vendors) that will utilize whole-building level energy data analytics to support energy management, provide insights on energy savings opportunities, and carry out implementation support activities and/or services that will help customers leverage those insights to achieve energy savings. The selected Vendors will use REM platforms to provide data analysis utilizing monthly or interval meter whole-building level energy data. NYSERDA has a total of \$3 million available with up to \$750,000 available per Vendor.

NYSERDA is striving to expand the REM market in New York State. The objective of this RFP is to achieve energy efficiency savings of 24 GWh and gain a deeper understanding of the following:

- Role of REM platforms in energy management
- Role and type of ongoing services provided by REM Vendors to achieve energy savings
- Barriers and solutions to REM platform adoption specific to New York State
- Ideal customer and building types for REM
- Quality and level of accuracy of recommendations resulting from REM
- Opportunities and limitations for using REM platforms to measure and verify (M&V) savings

### **Informational Webinar:**

NYSERDA will conduct an informational webinar on September 20, 2017 from 2:30 - 3:30pm Eastern Time during which NYSERDA will review this RFP, the application requirements, and answer questions.

- **Registration:** Interested applicants should email [commercialprograms@nyserda.ny.gov](mailto:commercialprograms@nyserda.ny.gov) with the subject line "RFP3683 Info Webinar" to receive instructions on how to attend.
- **Submitting Questions:** Applicants should submit written questions via email to [commercialprograms@nyserda.ny.gov](mailto:commercialprograms@nyserda.ny.gov) by Friday, September 15, 2017 to ensure sufficient time to incorporate into the webinar. Attendees will be able to type in questions during the webinar through the webinar portal. Following the webinar, NYSERDA will post questions and responses on this webpage. NYSERDA will post all questions anonymously, and NYSERDA's written responses will supersede any responses given during the Applicant Webinar.

**Proposal Submission:** Electronic submission is preferable. Proposers may submit Word, Excel, or PDF files. Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. NYSERDA will also accept proposals by mail or hand-delivery if electronic submission is not possible. For detailed instructions on how to submit a proposal, click the link "NYSERDA Solicitation User Guide [PDF]" located in the "Current Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted except by contacting Simonne Li (Designated Contact) at (212) 971-5342, ext. 3082 or by e-mail at [Simonne.Li@nyserda.ny.gov](mailto:Simonne.Li@nyserda.ny.gov). If you have contractual questions concerning this solicitation, contact Nancy Marucci (Designated Contact) at (518) 862-1090, ext. 3335 or [Nancy.Marucci@nyserda.ny.gov](mailto:Nancy.Marucci@nyserda.ny.gov). Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

**\* All proposals must be received by 5pm Eastern Standard Time on the date noted above.**

Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal. Please note: for electronic submission, there are required questions that you will have to answer in addition to uploading attachments and you should allot at least 60 minutes to enter/submit proposals. The electronic proposal system closes promptly at 5pm, files in process or attempted edits or submission after 5pm Eastern Standard Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on NYSERDA's website at <https://www.nyserda.ny.gov/>.

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## Introduction

This RFP is seeking creative proposals from REM service providers that will utilize whole-building level energy data analytics to support energy management, provide insights on energy savings opportunities, and carry out implementation support activities and/or services that will help customers leverage those insights to achieve energy savings. Proposals should describe the approach to carrying out the following expected tasks (see proposal details in [VI: Proposal Requirements](#)):

1. Business development and outreach activities to identify, engage, and acquire Customers for the REM Program;
2. Utilizing a REM Platform that meets the requirements in this RFP;
3. Develop and carry out implementation support activities and/or services to identify and implement energy savings. Vendors should propose the type and extent of services needed for each Customer to deliver energy savings;
4. Reporting of energy savings per site along with a list of actions, operational or capital improvements made per energy savings claimed; and
5. Periodic reporting on REM Program status.

NYSERDA defines **REM Platforms** as the data analytics software that uses monthly or interval meter whole-building level energy data to:

- (1) Monitor and track energy performance within a single building or across a portfolio of buildings;
- (2) Provide data visualization and energy insights; and
- (3) Provide measurement and verification (M&V) for savings achieved at the whole-building level.

While platforms may also utilize available real-time and system/equipment-level data, platform eligibility will be determined based on the ability to analyze whole-building level monthly or interval meter data. For Customers or Vendors who are interested in real-time energy, NYSERDA currently has a separate solicitation for the Real-Time Energy Management (RTEM PON 3689) program that provides a cost-share for the hardware, software and ongoing consulting services associated with real-time, system- and equipment-level energy monitoring. More information on this offering is available at <https://www.nyserda.ny.gov/rtem>.



### **Definitions:**

- **Customer:** Building owner or entity that receives the utility bill for the participating building. The same customer may be associated with multiple projects (buildings) within a portfolio.
- **Project:** Each building that participates in the REM Program.
- **REM Program:** Overarching NYSERDA-funded activity that will encompass all the activities provided by Vendors.
- **Technical Consultant:** NYSERDA contracted firm who will provide objective third-party technical review services for the REM Program.
- **Vendor:** REM service provider and proposer to this RFP. May partner with other entities to carry out the proposed activities.

### **I. Responsibilities**

NYSERDA will be responsible for:

1. Overseeing and managing all tasks undertaken by the selected Vendor;
2. Validating and monitoring Vendor performance;
3. Validating savings and evaluating REM Platform and Program performance;
4. Disseminating learnings regarding each Vendor's REM Platform capabilities and performance; and
5. Publicizing Vendor progress and impacts (e.g. # of customers, savings achieved, etc.).

### **II. Funding**

NYSERDA has a total of \$3 million available for the REM Program, up to \$750,000 per Vendor.

- Proposers can request **up to \$450,000** to complete the tasks needed to comply with their responsibilities stated above, and
- Selected Vendors can earn **up to an additional \$300,000** based on energy savings achieved at a rate of \$0.05/kWh, based on the calculated annual savings for 12 months of participation in the Vendor's REM Program. NYSERDA Technical Consultant will validate Vendor-reported savings. An M&V plan will be negotiated during contracting process. M&V methodologies to evaluate the savings achieved for this performance-based component that include, but are not limited to: site visits/inspections, engineering calculations, billing analysis, or other methods to review or adjust Vendor-reported savings values for projects. Additional information needed for validating these savings provided in [Section 5: Project Management and Reporting Requirements](#). This funding component will depend on the selected Vendor's total annual energy savings achieved and be paid upon actual verification of savings.

### **III. Contracting**

Selected Vendors will be issued agreements with NYSERDA to complete work (Sample Agreement attached to this RFP as Attachment D). It is anticipated that completion will take approximately three years with an additional year of M&V. Exact agreement lengths will be negotiated during the contracting process.

### **IV. Customer and Project Requirements**

- Eligible customers to receive services under this solicitation include any existing commercial facility in New York State that pays into the electric System Benefits Charge (SBC). NYSERDA defines commercial facilities as non-industrial and non-residential buildings.
- Projects may not receive funding from other programs (NYSERDA, utilities, etc.) for the same services.

- Only new services are eligible for NYSERDA funding through this Program; Customers cannot already be receiving the same REM Platform/service.
- Projects are required to utilize the REM Platform for a minimum 12 months to allow for necessary M&V.

## V. REM Platform Requirements

Selected Vendors must use an REM Platform that is able to:

- Use monthly or interval (i.e. daily, hourly, sub-hourly) meter data at the whole-building level to provide analysis;
- Conduct whole-building multi-variable regression modeling and be able to:
  - Describe the model type and list and explain all independent variables used;
  - Calculate energy savings from the multi-variable model and actual energy use:
    - $kWh\ Savings = Expected\ (modeled)\ kWh - Actual\ kWh$
  - Account for routine adjustments<sup>1</sup> (e.g., weather, degree days, time of day, day of week, etc.); and
  - Account for non-routine adjustments<sup>2</sup> (e.g. retrofit projects, change in building use, data center loads, major occupancy/vacancy changes, etc.)
- Document statistical/model fitness characteristics, including:
  - R<sup>2</sup>: coefficient of determination; and
  - NMBE: normalized mean bias error
- Document confidence/precision measurements, including:
  - CV-RMSE: coefficient of variation of the root mean-square error; and
  - $\sigma$ : Standard deviation or  $\sigma^2$ : Variance.

## VI. Proposal Requirements

### Section 1. Executive Summary (1 page)

Proposing Vendors must exhibit a thorough understanding of the intention of this RFP and provide a clear approach to: (1) business development and Customer acquisition in New York State and (2) how their REM Platform and the proposed set of implementation support activities and/or services will result in energy savings.

Proposing Vendors must provide an overview of relevant information about their organization as well as any other organizations that are involved in the implementation. Proposing Vendors may propose to subcontract with appropriate individuals or firms. These individuals and firms must be identified in the proposal and have signed Letters of Commitment attached as part of the proposal. A more detailed summary of the services the partnering individuals and firms will provide is requested in [Section 7: Experience and Team Qualifications](#).

Proposing Vendors must also complete the [Attachment A: Key Metrics Summary Table](#) and [Attachment B: Budget Table](#).

### Section 2. REM Platform (1-3 pages)

This section should confirm that the proposed REM Platform meets the minimum requirements of the RFP as well provide an overview of the steps and timeframe needed to set up and provide this service.

<sup>1</sup> Routine adjustments are defined as adjustments to account for changes in selected independent variables within the measurement boundary since the baseline period.

<sup>2</sup> Non-routine adjustments are defined as calculations used to account for changes in static factors within the measurement boundary since the baseline period. When non-routine adjustments are applied to the baseline energy, they are sometimes referred to simply as baseline adjustments.



### *Technical Capabilities*

- Complete Attachment C: REM Platform Tech Specs Checklist
- Describe the protocol and methodology for making routine and non-routine adjustments (as defined in the REM Platform Eligibility section) to your model

### *Data Acquisition*

- Describe what data the REM Platform will need to conduct analysis (monthly data and/or interval data) and how you plan to obtain each type of Customer energy data for the REM Platform, including the challenges you might encounter
- Describe your approach to data cleaning and how missing data will be handled
- Describe what steps, if any, are taken to ensure customer data is secure

### *Customer Access*

- Describe the process through and frequency with which Customers will access or receive REM Platform information

## **Section 3. Business Development/Customer Acquisition Plan (1-3 pages)**

In this Section, proposing Vendors are required to provide a business development plan to acquire a set of target Customers in New York State.

The business development plan should:

- Clearly describe the characteristics of the target Customers and buildings;
- Demonstrate an understanding of the New York state market and the proposing Vendor's ability to successfully initiate the Project(s) quickly;
- Highlight any existing resources or relationships that can support the effort;
- Discuss the mechanism which will guarantee ability to deliver services in New York State in a cost-effective manner and establish your business within the REM Program time period. This is especially important for proposers not based in New York State; and
- Describe the activities and deliverables that will be provided.

## **Section 4. Proposed REM Program (2-5 pages)**

In this Section, the proposing Vendors are required to provide an overview of the proposed REM Program that will include both the use of a REM software and implementation support activities and/or services that will drive Customer participation and energy savings.

Proposals should:

- Demonstrate a strong understanding of Customer needs, barriers to adopting energy efficiency measures or making behavioral changes and the type of savings this offering expects to generate (e.g. behavioral vs. capital);
- Describe what implementation support activities and/or services activities will be provided to help Customers act and achieve energy savings. Will the approach change with the type of data available (monthly vs interval)? *Examples include: training, technical assistance, implementation support, data display panels, competitions, coupons, swag, incentives, strategic energy management, etc.;*
- Describe the role of the REM Platform and how it is integrated into the offering; and
- Describe the activities and deliverables that will be provided.

## **Section 5. Project Management and Reporting Requirements**

The Vendors are required to report on progress throughout the duration of the REM Program. Proposals must include a budget and schedule for reporting on the following:

- Customer acquisition updates
- Customer information

- Customer activity log
- Energy savings, M&V results
- Supporting Deliverables and documentation

## **Section 6. Schedule and Project Timeline**

In this Section, the proposing Vendors are required to provide an overview of when the proposed activities will take place and an example individual project.

1. **REM Program Schedule:** Provide a schedule and timeline for the completion of each activity in the proposal. The schedule may be provided in the form of “months after contract award” in a Gantt chart format. It is anticipated that completion will take approximately three years with an additional year of M&V.
2. **Individual Project Timeline:** Provide a timeline for an individual Project that captures all phases of the process, from lead generation through to implementing measures and measuring savings. *(Example activities for timeline can include: expected Customer lead generation, REM setup/data acquisition, develop model, give info to Customers, participation in REM Program offering activities, etc.)*

*\*\*Note: Projects are required to utilize the REM Platform for a minimum 12 months to allow for necessary M&V.*

## **Section 7. Experience and Team Qualifications (1-2 pages, excluding attached documents)**

Proposing Vendors must identify and provide qualifications for all collaborating entities included in the proposal. More specifically, the proposing Vendor is required to provide a summary of key information about their organization, and all other organizations that may be part of the proposing Vendor’s team. Proposing Vendors may subcontract with appropriate individuals or firms. Proposals that include teaming arrangements must designate one party as the prime contractor who will be responsible for the administration of the contract.

In addition, proposals should include the following:

- Please provide 1- 3 case studies or summaries of engagements where your REM Platform has been implemented. The following is required information to include:
  - Services and product offered;
  - Participating facilities (type, size, quantity);
  - Types of measures/projects implemented;
  - Impacts (energy and cost savings);
  - Example deliverables/reports/screenshots from your REM Platform;
  - Examples of the implementation support activities and/or services provided, if any; and
  - Customer references (name, phone number, and email) that NYSERDA can contact directly.
- Please provide up to 5 resumes of key personnel who will be regularly involved in implementing the REM Program.

In compliance with §139-j and §139-k of the State Finance Law (see Section VII, General Conditions below for additional information), proposers will be required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility.

## **VII. Proposal Evaluation**

Proposals that meet the requirements of this RFP will be reviewed by a Scoring Committee using the following evaluation criteria. At NYSERDA's discretion, proposing Vendors may be requested to interview with all or part of the Scoring Committee to address potential questions or clarifications outlined in their proposal.

### ***Evaluation Criteria (in order of importance)***

#### **REM Program and Implementation**

*Does the proposal:*

- Provide a clear and effective approach to business development and customer acquisition that would generate high program participation?
- Clearly identify target customer and building types?
- Demonstrate an understanding of the New York state market and the Vendor's ability to begin promptly?
- Provide a creative and feasible set of activities that would enable customers to achieve energy savings?
- Provide an understanding of how the type of data (monthly vs interval) may impact the activities needed to drive energy savings?
- Clearly describe the expected measures and actions taken (e.g. O&M and/or capital)?

#### **REM Platform**

*Does the proposal:*

- Leverage REM data analytics in a meaningful way that fulfills the objectives of the RFP?
- Provide an understanding of and a clear and reasonable plan for acquiring customer data?
- Provide a clear and reasonable plan for cleaning energy data?
- Provide a user-friendly method for customers to receive and access REM Platform information?
- Provide additional abilities beyond the minimum requirements (Attachment C)?

#### **Cost-Effectiveness**

*Proposal details as well as information provided in the Key Metrics Summary Data Table, REM Program schedule, and project timelines will be evaluated based on cost-effectiveness and measured against other submitted proposals, specifically on:*

- How realistic are the (1) total annual kWh energy savings target and (2) total number of buildings?
- How cost-effective is the proposal relative to other submitted proposals?
- Is the proposed Budget (template attached to this RFP as Attachment B) reasonable given: (1) the project goals and (2) ability to achieve them?
- Does proposed REM Program Schedule seem reasonable?
- Does the proposed Individual Project Timeline seem reasonable and appropriate?

#### **Experience, Case Studies and Team Qualifications**

*Does the proposal:*

- Provide qualification for all collaborating entities? Are the qualifications adequate?
- Provide case studies relevant to the REM Program proposed?
- Demonstrate the proposing Vendor can successfully implement the entire REM Program?
- Justify the roles of the proposing team and any partner organizations involved?

#### ***Program Policy Factors***

A Scoring Committee will review and rank all proposals. NYSERDA will review this evaluation and ranking, and may consider the following program policy factors in making award selections; the degree to which:

- There is diversity in geographic location of awardees
- There is diversity in electric utility of awardees
- There is diversity of technologies, approaches, methods, and institutions within this Remote Energy Management program
- The proposals, including proposed cost shares, optimizes the use of available funding to achieve programmatic objectives

## VII. General Conditions

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

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

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

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

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

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

**State Finance Law sections 139-j and 139-k** - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx>. Proposers are required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility (this includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years).

**Tax Law Section 5-a** - NYSEDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSEDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf)). Prior to contracting with NYSEDA, the prospective contractor must also certify to NYSEDA whether it has filed such certification with the Department.

The Department has created a second form that must be completed by a prospective contractor prior to contacting and filed with NYSEDA. See, ST-220-CA (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220ca\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

**Contract Award** - NYSEDA anticipates making multiple award(s) under this solicitation. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most favorable cost and technical terms. NYSEDA may request additional data or material to support applications. NYSEDA will use the Sample Agreement to contract successful proposals. NYSEDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSEDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement (Attachment D) to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSEDA expects to notify proposers in approximately ten (10) weeks from the proposal due date whether your proposal has been selected to receive an award. NYSEDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSEDA agreement.

**Accessibility Requirements** - NYSEDA requires contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSEDA's Accessibility Requirements](#).

**Limitation** - This solicitation does not commit NYSEDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSEDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSEDA's best interest. NYSEDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement. NYSEDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information and the presence of a material possibility of any reputational or legal risk in making of the award.

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

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

**List of Attachments**

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- Attachment A: REM Key Metrics Summary Table
- Attachment B: Budget Template
- Attachment C: REM Platform Tech Specs Checklist
- Attachment D: Sample Agreement



**Routine Sampling of Adirondack Long Term Monitoring (ALTM) Lakes and Streams  
Request for Proposal (RFP) 3702  
\$1,000,000 Available**

*NYSERDA reserves the right to extend and/or add funding to the Solicitation should other program funding sources become available.*

**Proposals Due: October 26, 2017, 5:00 PM Eastern Standard Time\***

The Adirondack Long Term Monitoring (ALTM) Program was instituted to evaluate the effectiveness of acid deposition controls called for under the Federal Clean Air Act Amendments of 1990. In conjunction with various contractors, the New York State Energy Research and Development Authority (NYSERDA), the NYS Department of Environmental Conservation (DEC), and the U.S. Environmental Protection Agency (EPA) have supported the ALTM Program since 1998. This cooperative arrangement has proven to be successful in providing high quality data documenting environmental change over several decades and providing a better understanding of the processes involved in ecosystem acidification and its recovery through interpretation of the trends and other data analysis.

NYSERDA seeks proposals from knowledgeable and experienced organizations or teams interested in conducting the routine sampling of Adirondack lakes and streams as part of the ALTM Program. The selected contractor(s) will be responsible for the field activities, which includes collecting water samples, measuring field parameters, documenting all field and sampling activities, packing and delivering samples for analysis, maintenance of field equipment, and communicating with private and public entities to schedule and gain access to sampling locations. In addition, the selected contractor(s) will work effectively with NYSERDA, DEC, EPA, and the U.S. Geological Survey (USGS) in maintaining the consistency and continuation of this long-term monitoring data set and advancing the goals of the ALTM Program to better inform policy decisions.

This Request for Proposals (RFP) makes up to \$1,000,000 available for this effort over a five-year period. NYSERDA anticipates selecting up to three (3) contractors for this effort. Proposers may elect to submit a proposal for any combination of, or for all of the following ALTM Program components: ALTM Lake Monitoring, ALTM Bi-weekly Stream Monitoring, and ALTM Spatial Stream Monitoring.

**Proposal Submission:** Electronic submission is preferable. Proposers may submit Word, Excel, or PDF files (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. NYSERDA will also accept proposals by mail or hand-delivery if electronic submission is not possible. For detailed instructions on how to submit a proposal (electronic or paper submission), click the link "NYSERDA Solicitation User Guide [PDF]" located in the "Upcoming Funding Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Upcoming-Funding-Opportunities.aspx>) and on this RFP's webpage.

If mailing or hand-delivering, proposers must submit (2) paper copies of their proposal with a completed and signed Proposal Checklist and Disclosure of Prior Findings of Non-Responsibility Form, along with a CD or DVD containing both a PDF and MS Word digital copy of the proposal, following the above guidelines. Mailed or hand-delivered proposals must be clearly labeled and submitted to:

**Jillina Baxter, Proposals, RFP 3702**  
**NYS Energy Research and Development Authority**  
**17 Columbia Circle**  
**Albany, NY 12203-6399**

No communication intended to influence this procurement is permitted except by contacting Diane Bertok (Designated Contact) at (518) 862-1090, ext. 3608 or [diane.bertok@nyserda.ny.gov](mailto:diane.bertok@nyserda.ny.gov) or Gregory Lampman (Designated Contact) at (518) 862-1090, ext. 3372 or [gregory.lampman@nyserda.ny.gov](mailto:gregory.lampman@nyserda.ny.gov). If you have contractual questions concerning this solicitation, contact Nancy Marucci (Designated Contact) at (518) 862-1090, ext. 3335 or [nancy.marucci@nyserda.ny.gov](mailto:nancy.marucci@nyserda.ny.gov). Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

**\* All proposals must be received by 5pm Eastern Standard Time on the date noted above. Late, faxed, or emailed proposals will not be accepted.** Late proposals will be returned. Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal. Please note: for electronic submission, there are required questions that you will have to answer in addition to uploading attachments and you should allot at least 60 minutes to enter/submit proposals. The electronic proposal system closes promptly at 5pm, files in process or attempted edits or submission after 5pm Eastern Standard Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on NYSERDA's web site at <https://www.nyserda.ny.gov/>.



## I. INTRODUCTION

Electricity generation is a major source of nitrogen and sulfur oxides (NO<sub>x</sub> and SO<sub>x</sub>), volatile organic compounds, fine particles, air toxics such as mercury, and greenhouse gases. These pollutants are associated with acid rain, smog, visibility degradation, climate change, and increased human mortality and morbidity. They also impose economic burdens by increasing health care costs; degrading building materials; and reducing the value of tourism, recreational and scenic resources, and other environmental services. Monitoring data and research are necessary to formulate effective and equitable public policies at the federal and State levels.

NYSDERDA's Environmental Research Program (Program) seeks to increase the understanding and awareness of the environmental impacts of energy choices and emerging energy options, and to provide a scientific, technical foundation for formulating effective, equitable, energy-related environmental policies and resource management practices. The Ecosystems component of the Program has supported long-term monitoring of sulfur (S), nitrogen (N), mercury (Hg), and other electricity generation pollutants for nearly 20 years and has been adapting to better track environmental indicators of climate change and other cross-cutting issues.

Long-term monitoring is essential for understanding long-term environmental trends and short-term events. The data collected provides accountability for existing policies while also providing surveillance for unanticipated changes. When possible, environmental policy decisions should be based on sound scientific data. Similarly, long-term monitoring data should be collected with the purpose of providing those data for multiple uses, including informing policy. Long-term monitoring efforts, such as the ALTM Program, need to evolve, but must always provide high quality, reliable data that documents environmental change. To be most effective, these efforts must actively engage in providing those data and analyses in the forms necessary to inform policy decisions.

NYSDERDA has prioritized and supported long-term monitoring in a variety of forms. Additionally, NYSDERDA has undertaken periodic reassessments of these monitoring activities to help assure that the right environmental samples are collected at the most statistically appropriate frequency, and at the best spatial and temporal scales to maximize the value of each monitoring activity (<https://www.nysed.gov/-/media/Files/Publications/Research/Environmental/Monitoring-Nitrogen-Sulfur-Mercury-Long-Term.pdf>).

The goal of the ALTM Program is to conduct environmental monitoring to inform public policy relating to atmospheric deposition of acid rain precursors (NO<sub>x</sub> and SO<sub>x</sub>) and to better understand how climate change may effect acidification and recovery trends. To accomplish this goal, the ALTM Program has four (4) separate, but highly coordinated components:

- 1) Consistent field collection and handling of water samples and data;
- 2) Methodical chemical analysis of samples including appropriate quality assurance/quality control (QA/QC) procedures;
- 3) Making data publicly available with outreach specific to scientists and policy makers; and
- 4) Periodic review and modification of sampling strategies as statistical trends and policy needs dictate.

In order to best meet the goal of the ALTM Program, sampling strategies have been developed to provide an understanding of the processes involved in lake and stream acidification and recovery. (<https://www.nysерda.ny.gov/-/media/Files/Publications/Research/Environmental/Adirondack-Waters-Long-Term-Monitoring-Program.pdf>).

This RFP seeks up to three (3) entities or teams to conduct the routine sampling of Adirondack lakes and streams identified as part of the ALTM Program for the next five (5) years, beginning in January 2018 through December 2022. The selected contractor(s) will be responsible for lake and stream field sampling and working with private and public land owners, State and federal agencies (e.g. DEC, EPA and USGS), and universities towards accomplishing the goals of the ALTM Program.

## **II. PROGRAM REQUIREMENTS**

### **A. ALTM Lake Monitoring**

Background - The ALTM Program was initiated in 1982 to evaluate monthly chemistry of 17 Adirondack lakes. The lakes were selected from the Regionalization of the Integrated Lake Watershed Acidification Study. From 1984 to 1987 an intensive chemical and biological survey of nearly 1,500 lakes within the Adirondack Park was completed by the Adirondack Lakes Survey Corporation (ALSC). Following the analysis of the data collected, the ALTM Program was expanded to 52 lakes to provide a better representation of lakes across the region. Monthly sampling of the 52 lakes began in 1992 and continued through 2013.

There were some notable changes made to the routine sampling design of the ALTM lakes beginning in 2014. A reduction in the monthly sampling design at some locations was initiated after determining that the integrity and value of the data record and the lake monitoring program would be retained (<https://www.nysерda.ny.gov/-/media/Files/Publications/Research/Environmental/Monitoring-Nitrogen-Sulfur-Mercury-Long-Term.pdf>). Sampling frequency was reduced from collecting samples monthly at all locations to a combination of collecting samples seasonally (with samples collected in February, April, May, July, September and November) and annually (one sample collected per year in July or August).

Descriptions of the ALTM lake study sites are available at: (<https://www.nysерda.ny.gov/-/media/Files/Publications/Research/Environmental/altm-compendium.pdf>). This document contains physical, chemical, and biological information as well as previous research completed for each of the lake study sites.

Sampling - The selected contractor will routinely monitor 58 lake sites (51 lakes and 7 outlets) identified in Table 1 on a seasonal basis (samples collected in February, April, May, July, September and November) or annual basis (samples collected in July or August).

**Table 1. Sampling Frequency of ALTM Lakes (2018-2022)**

<b>EPA ALTM ID</b>	<b>Site Name</b>	<b>Sampling Frequency</b>
1A1-052O	ARBUTUS LAKE	Seasonal*
050707O	AVALANCHE LAKE	Seasonal*
040905	BARNES LAKE	Annual**
020059O	BIG HOPE POND	Seasonal*
1A1-103O	BIG MOOSE LAKE	Seasonal*
1A1-071S	BLACK POND STREAM	Seasonal*
040874O	BROOK TROUT LAKE	Seasonal*
1A1-113O	BUBB LAKE	Seasonal*
1A1-113S	BUBB LAKE STREAM	Seasonal*
050669E	CARRY POND	Annual**
1A1-105O	CASCADE LAKE	Seasonal*
1A1-105S	CASCADE LAKE STREAM	Seasonal*
1A2-077O	CLEAR POND	Seasonal*
050706O	LAKE COLDEN	Seasonal*
1A1-017O	CONSTABLE POND	Seasonal*
1A1-017S	CONSTABLE POND STREAM	Seasonal*
1A1-106O	DART LAKE	Seasonal*
020138O	EAST COPPERAS POND	Seasonal*
070859O	G LAKE	Seasonal*
030171E	GRASS POND (3)	Annual**
040706O	GRASS POND (4)	Seasonal*
1A1-102O	HEART LAKE	Seasonal*
040852O	INDIAN LAKE	Seasonal*
1A2-066O	JOCKEYBUSH LAKE	Seasonal*
030172E	LITTLE CLEAR POND	Seasonal*
1A1-107E	LITTLE ECHO POND	Seasonal*
020058O	LITTLE HOPE POND	Annual**
040186O	LOON HOLLOW POND	Seasonal*
040826O	LIMEKILN LAKE	Seasonal*
050649O	LONG POND	Annual**
040887O	LOST POND	Annual**
060182O	LITTLE SIMON POND	Annual**
040707O	MIDDLE BRANCH LAKE	Seasonal*
1A1-029O	MIDDLE POND	Annual**
1A1-109O	MOSS LAKE	Seasonal*
040704O	MIDDLE SETTLEMENT LAKE	Seasonal*
1A3-001O	NATE POND	Annual**
041007O	NORTH LAKE	Seasonal*

<b>EPA ALTM ID</b>	<b>Site Name</b>	<b>Sampling Frequency</b>
1A2-078O	OTTER LAKE	Seasonal*
1A2-078S	OTTER LAKE STREAM	Seasonal*
1A2-028O	OWEN POND	Annual**
1A1-089O	QUEER LAKE	Seasonal*
060315AO	RAQUETTE LAKE RESERVOIR	Seasonal*
1A1-110O	LAKE RONDAXE	Seasonal*
1A1-059O	SAGAMORE LAKE	Seasonal*
020197E	SOCHIA POND	Annual**
041004O	SOUTH LAKE	Seasonal*
1A1-111O	SQUASH POND	Seasonal*
1A1-111S	SQUASH POND STREAM	Seasonal*
040850O	SQUAW LAKE	Seasonal*
020188E	SUNDAY POND	Annual**
1A1-087O	WINDFALL POND	Annual**
1A1-087S	WINDFALL POND STREAM	Annual**
050215O	WILLIS LAKE	Annual**
040210O	WILLYS LAKE	Seasonal*
1A1-112O	WEST POND	Seasonal*
1A1-112S	WEST POND STREAM	Seasonal*
040576O	WOODS LAKE	Seasonal*

\*Seasonal = Sampling in February, April, May, July, September, and November

\*\*Annual = Sampling in July or August

Lakes with outlets are sampled at or near the outlet by surface grab method. Lakes with no outlets will be sampled from watercraft at or near the deepest part of the lake at a depth of 0.5 m with a Kemmerer sampler. Ready-to-use sample bottles and necessary documentation forms will be provided by the USGS. The selected contractor will be responsible for transporting/shipping samples from the field in chilled coolers to the USGS laboratory in Troy, NY. At the time of sampling, the selected contractor may be required to collect temperature, field pH, and if conditions allow, vertical lake profiles of temperature and dissolved oxygen at the surface, at one-meter intervals, and 0.5 m from the sediment. Note: Periodic access to a New York State helicopter may be possible. Such access will need to be approved, coordinated and negotiated by the selected contractor with the DEC.

The selected contractor will be responsible for creating and maintaining all documentation created in the field such as field books, site logs, and documentation needed for transporting/shipping the samples once collected. In addition, the selected contractor will be responsible for providing equipment and gear needed to access the sampling locations and perform the routine monitoring of the ALTM lakes under all weather conditions, as described above. Equipment that will be the responsibility of the selected contractor includes, but is not limited to, watercraft, Kemmerer samplers, necessary probes (e.g., temperature, dissolved

oxygen, pH), and coolers and ice for shipping. The selected contractor may also be assigned other work relating to Adirondack lake and stream monitoring over the duration of their contract.

#### **B. ALTM Bi-weekly Stream Monitoring – Buck and Boreas Watersheds**

Background - The bi-weekly streams component of the ALTM Program began in June 1992 following the completion of the EPA Episodic Response Project (ERP). Starting at that time, Buck Creek, Bald Mountain Brook, and Fly Pond Outlet were sampled on a weekly basis. In September 2006, the stream sampling interval was changed to bi-weekly for Buck Creek and Bald Mountain Brook and to monthly at Fly Pond Outlet.

Led by the USGS, bi-weekly and episodic sampling and flow-monitoring at the North Tributary, South Tributary, and main channel of Buck Creek (collectively called “Buck Creek”) has been taking place since 2001. Based on the evaluation of stream trends in samples collected and analyzed through 2013, a new sampling strategy was developed. Starting in 2014, the sampling at Bald Mountain Brook and Fly Pond Outlet were discontinued and sampling of three (3) stream sampling sites (Durgin Brook, Maple Stream, and Balsam Creek) near the Boreas River (collectively called “Boreas”) were added to represent a more buffered watershed than Buck Creek.

Descriptions of the ALTM stream study sites are described in (<https://www.nyserda.ny.gov/-/media/Files/Publications/Research/Environmental/Adirondack-Waters-Long-Term-Monitoring-Program.pdf>).

Sampling - Under the guidance of the USGS, the selected contractor will be instructed to collect surface grab samples from six (6) stream sampling sites: Buck Creek (main), North Tributary Buck, South Tributary Buck, Durgin Brook (Boreas), Maple Stream (Boreas), and Balsam Stream (Boreas) on a bi-weekly basis.

During these bi-weekly visits, the selected contractor will also be responsible for retrieving stream samples collected by automated ISCO samplers, downloading all electronic data collected at these sites (e.g, stream stage, soil moisture, temperature, and photos), maintaining the equipment (e.g., battery replacement, calibrating equipment, notification of system errors, etc.), and communicating with the USGS. High-flow samples from the automated ISCO samplers will be submitted up to six (6) times per year at the six (6) stream sites. In addition, the selected contractor will collect surface grab high-flow samples during the winter/early spring (when ISCO samplers are inactive) up to four (4) times a year at all six (6) stream sites. The timing of the collection of high-flow samples will be determined by the USGS.

Ready-to-use grab and ISCO sample bottles and necessary documentation forms will be provided by the USGS. The selected contractor will be responsible for transporting/shipping samples from the field in chilled coolers to the USGS laboratory in Troy, NY.

The selected contractor will be responsible for creating and maintaining all documentation created in the field such as field books, site logs, and documentation needed for transporting/shipping the samples once collected. In addition, the selected contractor will be responsible for providing equipment and gear needed to access the sampling locations and perform the monitoring of the ALTM bi-weekly streams under all weather conditions, as described above. Equipment that will be the responsibility of the selected contractor includes,

but is not limited to, coolers and ice for shipping. The selected contractor may also be assigned other work relating to Adirondack lake and stream monitoring over the duration of their contract.

**C. ALTM Spatial Stream Monitoring – Re-Sampling of Western and East-Central Adirondack Stream Survey Waters and Historical and High Elevation Streams**

Background - Prior to 2003, there was insufficient information to assess the regional status of streams with regards to acidification in the Adirondacks. The Western Adirondack Stream Survey (WASS) and East-Central Adirondack Stream Survey (ECASS) were conducted to provide an assessment of stream chemistry throughout the Adirondack region. Historical streams (streams first sampled in the 1980's) and high elevation streams located in the High Peaks region of the Adirondacks were also sampled as part of the stream monitoring program. The stream surveys were designed to assess the chemical and biological conditions of over 400 streams within the Adirondacks.

Beginning in 2003, five seasonal surveys of streams in the western Adirondacks (WASS) were conducted over three-day periods. Similarly, beginning in 2010, three seasonal surveys of streams in the eastern-central Adirondacks (ECASS) were conducted over three-day periods. During each of these surveys, approximately 200 streams were sampled. In addition, historical streams were sampled during the WASS and high elevation streams were sampled during the ECASS. Beginning in 2014, 64 of the WASS streams were resampled to evaluate changes over time, and this approach is currently underway for 64 ECASS streams. In addition, samples were collected from 12 historical streams eight (8) times in 2016, and 13 high elevation streams are currently being sampled.

Descriptions of the WASS, ECASS, historical, and high elevation studies are included in <https://www.nyserda.ny.gov/-/media/Files/Publications/Research/Environmental/Adirondack-Waters-Long-Term-Monitoring-Program.pdf>.

Sampling - To assess the response of streams to decreases in wet deposition of sulfate (and possibly nitrogen) and changes in climate within the region, the sampling of the WASS, ECASS, historical, and high elevation streams will be repeated over the next five (5) years. This effort will be led by the USGS and in collaboration with DEC, NYSERDA, and the selected contractor.

The total number of WASS, ECASS, historical, and high elevation streams sampled will vary from year to year (Table 2). The stream sites where samples will be collected and the timing of when these sampling events will take place will be determined by the USGS. Sample collection will be conducted jointly by the USGS and the selected contractor, under the supervision of the USGS. The selected contractor will collect approximately 50% of the 64 streams sampled during both the WASS and ECASS, and collect all samples from historical and high elevation streams. These streams will be located in the approximate northern half of the Adirondack State Park. WASS surveys should be completed within two (2) days and ECASS surveys should be completed within one (1) day.

**Table 2. Expected Sampling Schedule of ALTM Spatial Streams (2018-2022)**

Year / Season	Stream Monitoring Study - Estimate of Samples Collected				Total Number of Samples
	WASS	ECASS	Historical Streams	High Elevation Streams	
<b>2018 – Spring Snowmelt</b>	32	32	-	13	77
<b>2018 – Summer</b>	32	-	-	-	32
<b>2018 – Fall</b>	32	-	-	-	32
<b>2019 – Spring Snowmelt</b>	32	-	-	-	32
<b>2019 – Summer</b>	-	-	-	-	0
<b>2019 – Fall</b>	-	-	-	-	0
<b>2020 – Spring Snowmelt</b>	-	-	96	-	96
<b>2020 – Summer</b>	-	-	-	-	0
<b>2020 – Fall</b>	-	-	-	-	0
<b>2021 – Spring Snowmelt</b>	-	32	-	13	45
<b>2021 – Summer</b>	-	32	-	13	45
<b>2021 – Fall</b>	-	32	-	13	45
<b>2022 – Spring Snowmelt</b>	-	32	-	13	45
<b>2022 – Summer</b>	-	-	-	-	0
<b>2022 – Fall</b>	-	-	-	-	0

Ready-to-use sample bottles, sampling location information, calibrated thermometers, and necessary documentation forms will be provided by the USGS. The selected contractor will be responsible for transporting/shipping samples from the field in chilled coolers to the USGS laboratory in Troy, NY.

The selected contractor will be responsible for creating and maintaining all documentation created in the field such as field books, site logs, and documentation needed for transporting/shipping the samples once collected. In addition, the selected contractor will be responsible for providing equipment and gear needed to access the sampling locations and perform the routine monitoring of the ALTM spatial streams under all weather conditions, as described above. Equipment that will be the responsibility of the selected contractor includes, but is not limited to, coolers and ice for shipping. The selected contractor may also be assigned other work relating to Adirondack lake and stream monitoring over the duration of their contract.

### III. PROPOSAL REQUIREMENTS

All responses submitted as part of this solicitation process become the property of NYSERDA. Proposers will not be reimbursed by NYSERDA for any costs associated with the preparation of their proposals. A total of up to \$1,000,000, approximately \$200,000 per year over a period of five years, is available to support this effort. Proposers may elect to submit a proposal for any combination of, or for all of the following ALTM Program components: ALTM Lake Monitoring (*Section II. A.*), ALTM Bi-weekly Stream Monitoring - Buck and Boreas Watersheds (*Section II.B.*), and ALTM Spatial Stream Monitoring - Re-Sampling of Western and East-Central Adirondack Stream Survey Waters and Historical and High Elevation Streams (*Section II.C.*).

#### **Submittal**

To be eligible for selection under this RFP, proposers must submit a complete bid package and agree to the terms and requirements of this RFP. Electronic submission is preferable. Proposers are strongly encouraged to use NYSERDA's online electronic proposal submission portal. NYSERDA will also accept proposals by mail or hand-delivery. Late, faxed, or e-mailed proposals will not be accepted.

1. If submitting electronically, proposers must submit the proposal in either PDF or MS Word format. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility, rather than scanning. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. Proposals may be submitted electronically by following the link for electronic submissions found on this RFP's webpage, which is located in the "Current Opportunities" section of NYSERDA's website (<http://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx> ).
2. If not submitting electronically, proposers must submit (2) paper copies of their proposal with a completed and signed Proposal Checklist and Disclosure of Prior Findings of Non-Responsibility Form, along with a CD or DVD containing both a PDF and MS Word digital copy of the proposal, following the above guidelines to the attention of Jillina Baxter at the address on the front of this Request for Proposal. A completed and signed Proposal Checklist must be attached as the front cover of the proposal, one of which must contain an original signature.

Proposals must follow the format below. Proposers should include sufficient, succinct information to demonstrate their experience with similar work and detail their approach for this project. Each page of the proposal should state the name of the proposer, "RFP 3702", and the page number. The maximum length of each proposal section is shown.

In compliance with §139-j and §139-k of the State Finance Law (see Section V, General Conditions below for additional information), proposers will be required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility.

#### **Proposal Format**

Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. Each proposal shall contain, at a minimum, the following:



1. Proposal Checklist (1 page)

Attach as the front cover of the proposal, if mailing or hand-delivering, a signed copy of the Proposal Checklist including required certifications under the State Finance Law and acceptance of the standard terms and conditions as contained in the Sample Agreement (Attachment D). If submitting electronically, this checklist will be included as a set of questions required to be answered in order to successfully complete the electronic submittal of the proposal.

2. ALTM Program Component Checklist (1 page)

Proposers may elect to submit a proposal for any combination of, or for all three ALTM Program components (*Section II.A., B., and C.*). Proposers should indicate which components are being applied to on the ALTM Program Component Checklist (Attachment A).

2. Project Overview (1-2 pages)

Proposers must briefly describe their sampling approach in a succinct Project Overview that contains all the necessary information to understand how the proposer will provide the required services as outlined in Section II. In this overview, alternatives or options (e.g. shipping or delivering samples to the USGS laboratory) to accomplishing the work should be explained. A description of how transportation routes will be managed must be described. The Overview should summarize what resources (e.g., personnel, transportation, equipment, etc.) are needed to successfully complete the required services. If applicable, include a description of areas where efficiencies may be incorporated to make this sampling more efficient and cost-effective, without losing the integrity of the long-term monitoring record of the ALTM Program's data sets. The Project Overview should be a complete summary of the proposed sampling and sample delivery approach.

3. Project Management Plan and Qualifications (3-5 pages)

Proposers must briefly describe the Project Management Plan at a high level that includes the key personnel and organizations participating in the project and the role that each will play. Include in this description why each of the entities on the team are important to the project and how the strengths of each improve the overall project.

The Project Management Plan must include an Organizational Chart that lists all personnel participating in the project. Include any subcontractors and other sponsors involved in the project, showing their roles and responsibilities.

Include brief descriptions (1-2 paragraphs each) of related projects that have been undertaken by involved personnel that demonstrates experience with lake and stream sampling; knowledge of short- and long-term acidic deposition research projects in the Adirondack region; successful collaboration with public and private land owners, universities, State and federal agencies, and other organizations. The project descriptions should specify the level of involvement of the proposing firm and subcontractors and the results/deliverables of the project.

Include the relevant portions of resumes for involved personnel that include education and experience that are relevant to the proposed work (1 page each – not included in page count).

4. Conflicts (1-2 pages)

The proposer, its principals, subcontractors, and any personnel must be free from any financial or similar interest in any product or service which may conflict with or appear to conflict with the objectivity of the services provided to NYSERDA. Please describe all relevant affiliations to organizations currently or recently involved in research and monitoring activities related to acidic deposition, mercury or climate change in New York State. If any affiliations exist, you must provide a statement verifying these affiliations do not conflict with or appear to conflict with the objectivity of providing services to NYSERDA. Non-disclosure of any affiliation can result in the termination of a contract, if awarded.

5. Cost Proposal – Budget Form (1-2 pages)

Complete the attached Budget Form (Attachment B) for the entire project, including any in-kind contributions and other cost-sharing. Include any supplemental information necessary to fully understand the project costs on a separate sheet. Care should be taken to allow the reviewers to understand what each of the components of the project is expected to cost (personnel, transportation, equipment, etc.) as project modifications may be negotiated based on Scoring Committee feedback and at NYSERDA's discretion.

The degree and type of cost-sharing will be considered in the evaluation of proposals. Cost-sharing of 25% is encouraged, but is not required. In-kind cost-sharing is acceptable. Cost-sharing can be from the proposer, other team members, other government entities, or private sources. Contributions of direct labor (for which the laborer is paid as an employee) and purchased materials may be considered "cash" contributions. Unpaid labor, indirect labor, or other general overhead may be considered in-kind contributions.

6. Indirect Cost (Provide as an Attachment)

Attach supporting documentation to support indirect cost (overhead) rate(s) included in the proposal as follows:

- a. Describe the basis for the rates proposed (i.e., based on prior period actual results; based on projections; based on federal government or other independently approved rates).
- b. If rate(s) is approved by an independent organization, such as the federal government, provide a copy of such approval.
- c. If rate(s) is based on estimated costs or prior period actual results, include calculations to support proposed rate(s). Calculation should provide enough information for NYSERDA to evaluate and confirm that the rate(s) are consistent with generally accepted accounting principles for indirect costs.

NYSERDA reserves the right to audit any indirect rate presented in the proposal and to make adjustment for such difference. Requests for financial statements or other needed financial information may be made if deemed necessary.

7. Disclosure of Prior Findings of Non-Responsibility (1 page)

Complete and attach a signed copy of the Disclosure of Prior Findings of Non-Responsibility Form, if mailing or hand-delivering. If submitting electronically, this form will be included as a set of questions required to be answered in order to successfully complete the electronic submittal of the proposal.

8. Letters of Commitment or Support (1 page each)

If the proposal relies on other organizations or businesses to do work; provide services, equipment, or data; or share in the non-NYSERDA cost, include a letter from that organization or business describing their commitment. The absence of letters of commitment or support will be interpreted as the proposer not having commitment/support from those parties.

**IV. PROPOSAL EVALUATION**

Proposals that meet the solicitation requirements will be reviewed by a Scoring Committee and will be scored and ranked according to the following Technical Evaluation Criteria, **listed in order of importance**. Additionally, proposal selection will be based on experience, proposed management plan, key personnel and staff, overall cost, and other factors relevant to achieving the objectives of the project. At NYSERDA's discretion, proposers may be asked to provide contact information for professional references, or asked to participate in telephone or in-person interviews. Proposers will be notified if they are requested to attend an interview. To develop the strongest program possible, proposed approaches may be modified at NYSERDA's discretion.

**A. Technical Evaluation Criteria in Order of Importance**

Management Plan and Qualifications - How well has the proposer organized a management plan and a project team with the necessary technical, operations, and administrative experience for successfully completing the tasks needed for meeting the goals of the project? How familiar is the team with the Adirondack region and the environmental research work that is currently taking place in the area? Is there sufficient depth to the team to ensure that there are no breaks in the ALTM Program's routine sampling or monitoring activities? If proposing for more than one ALTM Program component, has the proposer clearly identified how their team will manage the multiple activities taking place concurrently? Was an Organizational Chart included (if appropriate)? Have letters of support from subcontractors or supporting entities been included (if appropriate)?

Project Experience - Are the project descriptions provided clear and concise and show what the proposer's capabilities are for fulfilling this RFP's requirements? Do the project descriptions show the team's experience in water sampling and monitoring activities as described in this RFP? How experienced is the team with coordinating activities and collaborating with others to meet the goals of a program with multiple components in a timely manner?

Cost Criteria - How justifiable and reasonable are the overall costs compared to the expected scope of the project? How justified and reasonable are the proposer's cost allocations? Are the billing rates reasonable and appropriate for the staff performing specific tasks? Does the proposal include cost-sharing or in-kind funding?

Soundness of Project Methods - How suitable is the proposed approach for meeting the project objectives? Does the approach reflect a clear understanding of the objectives, scope of services, and requirements of this RFP to be effective? Has the proposer proved that their team has the right resources (personnel and equipment) to complete the proposed project?

## **B. Other Considerations**

If an investigator(s) identified in a proposal is an investigator on a current NYSERDA awarded project, for which project deliverables (such as reports) have been consistently delinquent, such delinquency will be considered negatively in the evaluation of the current proposal.

If applicable, the responsiveness of the proposer in conducting other NYSERDA-funded work will be considered.

The following factors may also be considered during this evaluation:

- Effective response to proposal requirements specified in this RFP.
- Experience and expertise in providing the services listed in Section II.
- The ability to deliver services safely, efficiently, and economically.
- The relevance of the project descriptions showing similar work performed.
- Experience working with other State and federal agencies on environmental research projects or programs.

## **V. GENERAL CONDITIONS**

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

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

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

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

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

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

**State Finance Law sections 139-j and 139-k** - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx> . Proposers are required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility (this includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years).

**Tax Law Section 5-a** - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf)). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department.

The Department has created a second form that must be completed by a prospective contractor prior to contacting and filed with NYSERDA. See, ST-220-CA (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220ca\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf> .

**Contract Award** - NYSERDA anticipates making up to three (3) awards under this solicitation. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately six weeks from the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

**Accessibility Requirements** - If awardees from this solicitation will be posting anything on the web, or if the awardee will produce a final report that NYSERDA will post to the web, the following language must be included. NYSERDA requires contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSERDA's Accessibility Requirements](#).

**Limitation** - This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement. NYSERDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information and the presence of a material possibility of any reputational or legal risk in making of the award.

**Annual Metrics Reports** - If awarded, the proposer will be required to submit to NYSERDA's Project Manager on an annual basis, a prepared analysis and summary of metrics addressing the anticipated energy, environmental and economic benefits that are realized by the project. All estimates shall reference credible sources and estimating procedures, and all assumptions shall be documented. Reporting shall commence the first calendar year after the contract is executed. Reports shall be submitted by January 31st for the previous calendar years' activities (i.e. reporting period). Please see Attachment C: Sample Metrics Reporting Guides for the metrics that you will be expected to provide and the reporting duration. NYSERDA may decline to contract with awardees that are delinquent with respect to metrics reporting for any previous or active NYSERDA agreement.

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

## **VI. ATTACHMENTS**

Attachment A – ALTM Program Components Checklist

Attachment B – Budget Form

Attachment C – Metrics Reporting Guide: Information Dissemination

Attachment D – Sample Agreement



**Environmental Research and Monitoring: Planning for Environmental Change in New York State  
Request for Proposal (RFP) 3622  
Approximately \$200,000 Available**

*NYSERDA reserves the right to extend and/or add funding to the Solicitation should other program funding sources become available.*

**Proposals Due: October 3, 2017, 5:00 PM Eastern Standard Time\***

Electricity generation results in a range of adverse environmental and economic impacts including: degradation of ecosystems from acid deposition, deposition and subsequent bioaccumulation of mercury by wildlife, and a wide range of issues stemming from climate change. Together, these changes have direct and indirect impacts on ecosystem function, health, structure, services and the economy. The New York State Energy Research and Development Authority (NYSERDA) has supported energy-related environmental research for almost 20 years with a goal of providing a more informed scientific basis for energy and environmental policies. NYSEDA's routine research planning exercise is one approach used to ensure that the environmental research questions and monitoring needs remain current with scientific understanding and policy needs.

NYSERDA seeks proposals from knowledgeable and objective organizations or teams interested in conducting a comprehensive, collaborative, energy-related environmental research and monitoring planning effort. The goal will be to develop an appropriately-scaled research and monitoring plan that, once executed, will inform and provide accountability for State and federal energy-related environmental policies. The selected contractor will be responsible for literature synthesis, assessment of on-going activities, seeking input from experts to identify and prioritize environmental research and monitoring needs, formulating research and monitoring approaches, and, with NYSEDA's support, development of the final Environmental Research Plan (Plan). Following the completion of the Plan, NYSEDA may elect to require the selected contractor to ensure the Plan is appropriately integrated, coordinated and leverages regional and national efforts.

This Request for Proposals (RFP) makes approximately \$200,000 available for this effort, which includes funding for the optional task of integrating the finalized Plan with other regional and national monitoring efforts. NYSEDA anticipates selecting a single contractor to lead the effort. The research and development of the updated Plan is expected to be completed within six to eight months of the executed contract date. Additional time would be made available for the optional post-Plan task described above.

**Proposal Submission:** Electronic submission is preferable. Proposers may submit Word, Excel, or PDF files (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. NYSEDA will also accept proposals by mail or hand-delivery if electronic submission is not possible. For detailed instructions on how to submit a proposal (electronic or paper submission),

click the link “NYSERDA Solicitation User Guide [PDF]” located in the “Upcoming Funding Opportunities” section of NYSEDA’s website (<https://www.nyserda.ny.gov/Funding-Opportunities/Upcoming-Funding-Opportunities.aspx>) and on this RFP’s webpage.

If mailing or hand-delivering, proposers must submit (2) paper copies of their proposal with a completed and signed Proposal Checklist and Disclosure of Prior Findings of Non-Responsibility Form, along with a CD or DVD containing both a PDF and MS Word digital copy of the proposal, following the above guidelines. Mailed or hand-delivered proposals must be clearly labeled and submitted to:

**Jillina Baxter, Proposals, RFP 3622**  
**NYS Energy Research and Development Authority**  
**17 Columbia Circle**  
**Albany, NY 12203-6399**

No communication intended to influence this procurement is permitted except by contacting Diane Bertok (Designated Contact) at (518) 862-1090, ext. 3608 or [diane.bertok@nyserda.ny.gov](mailto:diane.bertok@nyserda.ny.gov) or Gregory Lampman (Designated Contact) at (518) 862-1090, ext. 3372 or [gregory.lampman@nyserda.ny.gov](mailto:gregory.lampman@nyserda.ny.gov). If you have contractual questions concerning this solicitation, contact Nancy Marucci (Designated Contact) at (518) 862-1090, ext. 3335 or [nancy.marucci@nyserda.ny.gov](mailto:nancy.marucci@nyserda.ny.gov). Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer’s behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

**\* All proposals must be received by 5pm Eastern Standard Time on the date noted above. Late, faxed, or emailed proposals will not be accepted.** Late proposals will be returned. Incomplete proposals may be subject to disqualification. It is the proposer’s responsibility to ensure that all pages have been included in the proposal. Please note: for electronic submission, there are required questions that you will have to answer in addition to uploading attachments and you should allot at least 60 minutes to enter/submit proposals. The electronic proposal system closes promptly at 5pm, files in process or attempted edits or submission after 5pm Eastern Standard Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on NYSEDA’s web site at <https://www.nyserda.ny.gov/>.



## I. INTRODUCTION

NYSERDA's Environmental Research Program supports environmental monitoring and research to provide objective, science-based information to help address immediate and long-term energy-related environmental challenges across New York State. The goal of the program is to increase understanding and awareness of the environmental impacts of energy choices and emerging energy options and provide a scientific, technical foundation for formulating effective, equitable, energy-related environmental policies and resource management practices. The Ecosystems component of the Environmental Research Program has traditionally focused on acidic deposition and mercury-related monitoring and research. However, in addition to being an environmental driver, climate change is also altering how ecosystems respond to these pollutants and needs to be considered in research and monitoring planning.

Long-term monitoring is essential for understanding long-term environmental trends and short-term events. The data collected provides accountability for existing policies while also providing surveillance for unanticipated changes. Consistent, high quality monitoring of multiple ecosystem components affords researchers, policy makers, and resource managers the ability to make environmentally-sound decisions based on scientific and quantitative information and understand the rate of change, and the response of different ecosystem components over time, which ultimately helps inform policy goals. NYSERDA has prioritized monitoring to help 200,000 that the right environmental samples are collected at the most statistically appropriate frequency, and at the best spatial and temporal scales to maximize the value of each monitoring activity (<https://www.nyserdera.ny.gov/-/media/Files/Publications/Research/Environmental/Monitoring-Nitrogen-Sulfur-Mercury-Long-Term.pdf>). However, environmental monitoring activities currently supported by NYSERDA were set up with a focus on acidic deposition and mercury, and may not be optimal for assessing trends in climate-related changes. Too often, climate-related environmental indicators are either missing or incomplete, making it difficult for scientists and resource managers to track or even identify trends over time.

NYSERDA-supported environmental research seeks to understand ecosystem function and response to energy-related environmental pollutants. The findings enhance the understanding of the source types, source regions, modeling of trends and specific pollution components contributing to major energy-related environmental problems in New York State. This information provides the State with the capability to better address these issues. To maintain the value of the Environmental Research Program, as policies change and scientific knowledge increases, NYSERDA periodically reevaluates and updates the program's Environmental Research Plan (<https://www.nyserdera.ny.gov/-/media/Files/Publications/Research/Environmental/environmental-research-program-plan.pdf>) to ensure that the environmental research questions and monitoring needs remain current with scientific understanding and the policy needs.

This RFP seeks a knowledgeable and objective entity or team to review and describe State and federal policies relating to acidic deposition, mercury, and climate change. The selected contractor will then employ a stakeholder-driven process to identify opportunities to optimize existing long-term monitoring activities for acidic deposition and mercury, and adapt them to better track environmental indicators of climate change and other cross-cutting issues. Through this collaborative process, the selected contractor will also identify the most pressing environmental research needs to inform State and federal policies on ecosystem response and

recovery in times of climate change. The selected contractor will use these findings to update the Ecosystems component of NYSERDA's Environmental Research Plan, building upon and refining previous Environmental Monitoring, Evaluation and Protection (EMEP) research plans, which were derived through other stakeholder processes in 2001, 2007 and 2013

<https://www.nysерda.ny.gov/All-Programs/Programs/Environmental-Research/Research-Planning>.

## **II. PROGRAM REQUIREMENTS**

As a first step, the selected contractor will undertake a literature and policy review, briefly summarizing the state of the knowledge around oxides of sulfur and nitrogen (SO<sub>2</sub> and NO<sub>x</sub>), mercury, and climate change, and the State and federal policies that are, or could be, informed with new data and research. This effort should focus on the key policies, and for those that have not been implemented, the scientific uncertainty associated with their implementation. For the key policies that have been implemented, the accountability of that underlying research should be clearly identified. For example, Secondary Standards under the Clean Air Act have not yet been implemented. This review would consider what research would best inform the process and mechanism involved in the development of these standards and lay out the goals of the updated Plan to inform this process. Similarly, accountability for the Mercury and Air Toxics Standards is also warranted.

With this information, the selected contractor will organize appropriate scientific and policy working groups comprised of subject experts to inform the project. The working groups could be organized around specific subject areas (e.g. lakes, forests, soils, streams, biota), policies (e.g. Clean Air Act Secondary Standards, State Acid Deposition Control Act, Mercury and Air Toxics Standards) or environmental issues (e.g. acidic deposition, mercury, climate change). The selected contractor will seek input from each of the working groups, initially focusing around their areas of expertise. Following that, the selected contractor will build a synthesized team comprised of key representatives from across each of the working groups.

Working with NYSERDA and this cross-disciplinary team, the selected contractor will develop an updated Environmental Research Plan that considers current monitoring efforts and historic datasets described in part in: (<https://www.nysерda.ny.gov/-/media/Files/Publications/Research/Environmental/Compendium-of-Research-Activities-in-NYS.xlsx>). In developing the Plan, the selected contractor will identify program goals, develop a prioritized list of research needs including background, justification and the relevance of the research to other activities taking place regionally and nationally.

The selected contractor may be asked to collaborate with researchers involved with other monitoring and research programs. Following the adoption of the updated Plan, and as appropriate, the selected contractor may be asked to assist NYSERDA in implementing the goals set forth in the Plan to ensure the Plan is appropriately integrated, coordinated and leverages regional and national efforts. The information obtained through long-term monitoring efforts has proven valuable in assessing temporal and spatial trends in acidic deposition and mercury throughout New York State. These long-term monitoring efforts will continue to provide value in the future for assessing the impacts of climate change on how, and at what rate, ecosystems recover. This collaboration is key to helping NYSERDA inform and provide accountability for future State and federal energy-related environmental policies.

Respondents to this RFP should be well-informed about the science and policies relevant to the issues and should put forth effective approaches that can maximize our understanding of climate change monitoring signals. The goal is not to initiate an entirely new environmental monitoring program, but to adapt existing monitoring networks as appropriate, shifting resources and activities to better accomplish stated goals. The overarching goal is to collect and provide objective, science-based data and information to decision-makers and the public in a defensible and cost-effective way, to help ensure that policy decisions are made in a scientifically-informed manner.

Specific goals include:

- Identify relevant State and federal policies that the research and monitoring would inform, and describe the structure or form in which the information should best be provided;
- Identify optimized monitoring and research needs to inform these policies. Provide justifications and outline the relevance of the research and monitoring to other similar efforts in the region or in the nation;
- To the extent possible, provide statistical support for the optimized spatial and temporal scale of the monitoring to inform and provide accountability for specific energy and environmental policies at the State and federal levels;
- Foster collaboration among monitoring networks and researchers working on topics relevant to the Environmental Research Program in New York State, across the region, and across the country; and
- Document the outcome in a formal, recommended Environmental Research Plan.

### **III. PROPOSAL REQUIREMENTS**

All responses submitted as part of this solicitation process become the property of NYSERDA. Proposers will not be reimbursed by NYSERDA for any costs associated with the preparation of their proposals. Alternative approaches to achieve the goals of this effort may be proposed. Approximately \$200,000 is available to support this effort. However, it is anticipated that these funds would support a very extensive program, which includes post-Plan support with coordination regionally and nationally.

#### **Submittal**

To be eligible for selection under this RFP, proposers must submit a complete bid package and agree to the terms and requirements of this RFP. Electronic submission is preferable. Proposers are strongly encouraged to use NYSERDA's online electronic proposal submission portal. NYSERDA will also accept proposals by mail or hand-delivery. Late, faxed, or e-mailed proposals will not be accepted.

1. If submitting electronically, proposers must submit the proposal in either PDF or MS Word format. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility, rather than scanning. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. Proposals may be submitted electronically by following the link for electronic submissions found on this RFP's webpage, which is located in the "Current Opportunities" section of NYSERDA's website (<http://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx> ).

2. If not submitting electronically, proposers must submit (2) paper copies of their proposal with a completed and signed Proposal Checklist and Disclosure of Prior Findings of Non-Responsibility Form, along with a CD or DVD containing both a PDF and MS Word digital copy of the proposal, following the above guidelines to the attention of Jillina Baxter at the address on the front of this Request for Proposal. A completed and signed Proposal Checklist must be attached as the front cover of the proposal, one of which must contain an original signature.

Proposals must follow the format below. Proposers should include sufficient, succinct information to demonstrate their experience with similar work and detail their approach for this project. Each page of the proposal should state the name of the proposer, "RFP 3622", and the page number. The maximum length of each proposal section is shown.

In compliance with §139-j and §139-k of the State Finance Law (see Section V, General Conditions below for additional information), proposers will be required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility.

### **Proposal Format**

Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. Each proposal shall contain, at a minimum, the following:

1. Proposal Checklist (1 page)

Attach as the front cover of your proposal, if mailing or hand-delivering, a signed copy of the Proposal Checklist including required certifications under the State Finance Law and acceptance of the standard terms and conditions as contained in the Sample Agreement (Attachment C). If submitting electronically, this checklist will be included as a set of questions required to be answered in order to successfully complete the electronic submittal of the proposal.

2. Project Overview (3 pages)

Proposers must describe the proposed project approach and activities in a succinct Project Overview that contains all the necessary information for a basic understanding of the proposed approach. Describe how an assessment of State and federal policies will be undertaken and accomplished. Summarize how the project will seek to build upon or adapt existing monitoring or research data and activities, and how new monitoring needs will be identified. Include a description of the limitations of the project, if appropriate. The Project Overview should be a complete summary of the project.

3. Overall Experience, Capabilities and References (2-3 pages)

Proposers must describe their expertise and ability as a team/entity to deliver the requested services. This should include a brief summary of at least one, and no more than three, similar projects requiring some or all of the following: environmental analysis, policy review, facilitated formation and use of working groups, synthesis of feedback, and plan implementation. The project descriptions should specify the level of involvement of the proposing firm and subcontractors and the results/deliverables of the project.

4. Project Management Plan and Qualifications (1 page)

Proposers must briefly describe the Project Management Plan at a high level that includes the key personnel and organizations participating in the project and the role that each will play. Include in this description relevant experience and demonstrated success at developing and/or operating monitoring or research programs. Describe why each of the entities on the team are important to the project and how the strengths of each improve the overall project.

5. Conflicts (1-2 pages)

The proposer, its principals, subcontractors, and any personnel must be free from any financial or similar interest in any product or service which may conflict with or appear to conflict with the objectivity of the services provided to NYSERDA. Please describe all relevant affiliations to organizations currently or recently involved in research and monitoring activities related to acidic deposition, mercury or climate change in New York State. If any affiliations exist, you must provide a statement verifying these affiliations do not conflict with or appear to conflict with the objectivity of providing services to NYSERDA. Non-disclosure of any affiliation can result in the termination of a contract, if awarded.

6. Master Schedule (1 page)

Proposers must provide a complete schedule showing starting and completion times for all major tasks, in terms of months after project initiation. Include project kick-off, policy synthesis, establishment of working groups, tentative workshop/webinar/conference call development, planned briefings and other key events, including the optional task of integrating with other regional and national efforts post-Plan. The Schedule should not be overly optimistic, but seek to include the realities of organizing a time to discuss specific subject matters, policies, and environmental issues with busy professionals.

7. Cost Proposal – Project Personnel and Rate Form (1 page)

Proposers must provide a Project Personnel and Billing Rates Form (Attachment A) and submit the name, job title, and fully-burdened hourly salary range for each individual in the proposal and all subcontractors who will perform the work under an Agreement with NYSERDA.

8. Indirect Cost (Provide as an Attachment)

Attach supporting documentation to support indirect cost (overhead) rate(s) included in the proposal as follows:

- a. Describe the basis for the rates proposed (i.e., based on prior period actual results; based on projections; based on federal government or other independently approved rates).
- b. If rate(s) is approved by an independent organization, such as the federal government, provide a copy of such approval.
- c. If rate(s) is based on estimated costs or prior period actual results, include calculations to support proposed rate(s). Calculation should provide enough information for NYSERDA to evaluate and confirm that the rate(s) are consistent with generally accepted accounting principles for indirect costs.

NYSERDA reserves the right to audit any indirect rate presented in the proposal and to make adjustment for such difference. Requests for financial statements or other needed financial information may be made if deemed necessary.

9. Individual Résumés (1 page each)

Proposers must include, as an attachment, one-page résumés that highlight recent experiences of all individuals (proposer and any subcontractors) who will be directly involved in providing services.

10. Disclosure of Prior Findings of Non-Responsibility (1 page)

Complete and attach a signed copy of the Disclosure of Prior Findings of Non-Responsibility Form, if mailing or hand-delivering. If submitting electronically, this form will be included as a set of questions required to be answered in order to successfully complete the electronic submittal of the proposal.

11. Letters of Commitment or Support (1 page each)

If you are relying on other organizations or businesses to do work; provide services, equipment, or data; or share in the non-NYSERDA cost, include a letter from that organization or business describing their commitment. The absence of letters of commitment or support will be interpreted as the proposer not having commitment/support from those parties.

#### **IV. PROPOSAL EVALUATION**

Proposals that meet the solicitation requirements will be reviewed by a Scoring Committee and will be scored and ranked according to the following Technical Evaluation Criteria, **listed in order of importance**. Additionally, proposal selection will be based on experience, proposed project plan, proposed schedule, overall cost, salary requirements, level of external support, and other factors relevant to achieving the objectives of the project. At NYSERDA's discretion, proposers may be asked to provide contact information for professional references, or asked to participate in telephone or in-person interviews. Proposers will be notified if they are requested to attend an interview. To develop the strongest project possible, proposed approaches may be modified at NYSERDA's discretion. NYSERDA anticipates making a single award under this solicitation.

##### **A. Technical Evaluation Criteria in Order of Importance**

Management Plan and Qualifications — How well has the proposer organized a management plan and a project team with the necessary technical, operations, and administrative experience for successfully completing the project? Have letters of support from subcontractors been included (if appropriate)?

Soundness of Project Methods and Research Design, Tasks and Schedule — How qualified and experienced is the team with the relevant science and policy questions? How qualified and experienced is the team with coordinating similar efforts? How suitable is the proposed approach for meeting the project objectives? How comprehensive, realistic, and explicit are the project tasks with respect to the project objectives and proposal requirements?

Usefulness and Value of Project Results — Given the experience of the proposer and the proposed approach, how successful will the project be at clearly defining a credible research and monitoring plan that provides accountability for New York State or federal policies or

regulations? Does the proposed project consider and build on existing monitoring activities? To what extent is the project coordinating with other research/monitoring initiatives (e.g., field sampling, use of existing datasets, other on-going monitoring or research, etc.) to provide maximum value to New York State? Did the proposer review, consider or build upon the findings of the Assessment of Long-Term Monitoring of Nitrogen, Sulfur, and Mercury Deposition and Environmental Effects in New York State?

Cost Criteria — How justifiable and reasonable are the overall costs compared to the expected value of the project? Is the level of effort and duration of the project appropriate to the goals? How justified and reasonable are the proposer's cost allocations? To what degree does the proposal include meaningful cost-sharing from other key organizations?

#### **B. Other Considerations**

If an investigator(s) identified in a proposal is an investigator on a current NYSERDA awarded project, for which project deliverables (such as reports) have been consistently delinquent, such delinquency will be considered negatively in the evaluation of the current proposal.

If applicable, the responsiveness of the proposer in conducting other NYSERDA-funded work will be considered.

Projects will be reviewed to determine whether they reflect the overall needs and objectives of the Environmental Research Program, including:

- The balance among projects of long- and short-term benefits and risk/reward relationships, and whether similar projects are presently or have been previously funded.
- The general distribution of projects of diverse topics related to Program goals.
- The ways in which the proposed project fits with currently funded projects.
- The ease of measuring project success in quantifiable ways.

#### **V. GENERAL CONDITIONS**

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

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

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

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

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

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

**State Finance Law sections 139-j and 139-k** - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx> . Proposers are required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility (this includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years).

**Tax Law Section 5-a** - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf)). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department.

The Department has created a second form that must be completed by a prospective contractor prior to contacting and filed with NYSERDA. See, ST-220-CA (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220ca\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf> .

**Contract Award** - NYSERDA anticipates making one award under this solicitation. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to



support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately six weeks from the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

**Accessibility Requirements** - If awardees from this solicitation will be posting anything on the web, or if the awardee will produce a final report that NYSERDA will post to the web, the following language must be included. NYSERDA requires contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSERDA's Accessibility Requirements](#).

**Limitation** - This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement. NYSERDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information and the presence of a material possibility of any reputational or legal risk in making of the award.

**Annual Metrics Reports** - If awarded, the proposer will be required to submit to NYSERDA's Project Manager on an annual basis, a prepared analysis and summary of metrics addressing the anticipated energy, environmental and economic benefits that are realized by the project. All estimates shall reference credible sources and estimating procedures, and all assumptions shall be documented. Reporting shall commence the first calendar year after the contract is executed. Reports shall be submitted by January 31st for the previous calendar years' activities (i.e. reporting period). Please see Attachment B: Sample Metrics Reporting Guides for the metrics that you will be expected to provide and the reporting duration. NYSERDA may decline to contract with awardees that are delinquent with respect to metrics reporting for any previous or active NYSERDA agreement.

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

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

**VI. ATTACHMENTS**

Attachment A – Project Personnel and Billing Rates Form

Attachment B – Metrics Reporting Guide: Information Dissemination

Attachment C – Sample Agreement

New York State Flexible Energy Technical Analysis  
Request for Qualifications (RFQL) 3685  
**No Funding is Associated with this Solicitation**

Proposals Due: **October 23**, 2017 by 5:00 PM Eastern Time\*

The New York State Energy Research and Development Authority (NYSERDA) is issuing this solicitation (RFQL 3685) to establish a pool of consulting firms qualified to provide NYSERDA with diverse technical, energy, economic, and environmental analytical capacity, some of which may be requests for services on short notice (with exceptions, short notice is typically considered to be three to six months). NYSERDA's mission includes the provision of research, analytic and modeling support on a range of topics, often with finite time horizons. Access to a pool of consultants with wide-ranging high quality technical expertise established through this solicitation will augment and enhance NYSERDA's expertise when undertaking individual, discrete projects with firm timelines. These retained resources will be made available to all NYSERDA Programs, providing technical expertise when such services are needed and appropriate.

NYSERDA anticipates entering into zero-dollar Task Work Order Agreements with successful proposers. As needs arise, individual Task Work Orders will emanate from these Agreements and will clearly define the Contractors' required obligations that, if fulfilled, would result in payment. Work issued under this solicitation will vary in scope and budget. The earliest expected start date for any potential work under this effort is January 2018. The expected length of the Task Work Order Agreements is five years with an anticipated end date of December 31, 2023. RFQL 3685 will also allow for an "open enrollment" mechanism whereby potential contractors may submit additional proposals until December 31, 2022. Further information regarding the process for participation in the open enrollment mechanism is provided in this document.

NYSERDA has broadly defined potential needs across the following Support Areas, which are described in greater detail in this solicitation document:

- A. Electric System Analysis
- B. Life-Cycle Assessment
- C. Macroeconomic Analysis and Modeling
- D. Forecasting of Energy Use, Prices, and Greenhouse Gas Emissions
- E. Benefit Cost Analysis
- F. Transportation Systems Analysis
- G. Health and Environmental Impacts
- H. Fossil Fuel Infrastructure

- I. Nuclear Safety
- J. Policy Analysis and Technology Assessment

Proposers may submit a proposal to provide services in one, multiple, or all of the above Support Areas. **Proposers should clearly identify which of the Support Areas the proposal is intended to address.**

A bidder's conference call will be held on Thursday October 5, 2017 at 10:00 AM Eastern Time. The call-in number is (866) 394-2346, and the conference code is 4305159465.

**Bidders Conference Call Information:**

**Call-in Number:** (866) 394-2346

**Conference Code:** 4305159465

**Date & Time:** Thursday, October 5, 2017 at 10:00 a.m.

**Conference Title:** New York State Flexible Energy Technical Analysis

***For participation in the Bidders Conference, please RSVP to [Anna.Gifford@nyserda.ny.gov](mailto:Anna.Gifford@nyserda.ny.gov) by 12:00 p.m. on Wednesday October 4, 2017***

**Proposal Submission:** Electronic submission is preferable. Proposers may submit Word, Excel, or PDF files (file formats include: csv, doc, docx, pdf, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. NYSERDA will also accept proposals by mail or hand-delivery if electronic submission is not possible. For detailed instructions on how to submit a proposal (electronic or paper submission), click the link "NYSERDA Solicitation User Guide [PDF]" located in the "Current Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

Communication related to this procurement is permitted by contacting Anna Gifford (Designated Contact) at (518) 862-1090, ext. 3085 or by e-mail [anna.gifford@nyserda.ny.gov](mailto:anna.gifford@nyserda.ny.gov) or Frank Ciampa (Designated Contact) at (518) 862-1090, ext. 3087 or by e-mail [frank.ciampa@nyserda.ny.gov](mailto:frank.ciampa@nyserda.ny.gov). If you have contractual questions concerning this solicitation, contact Nancy Marucci (Designated Contact) at (518) 862-1090, ext. 3335 or [nancy.marucci@nyserda.ny.gov](mailto:nancy.marucci@nyserda.ny.gov). Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

**\* All proposals must be received by 5pm Eastern Standard Time on October 23, 2017, as noted above. Late, faxed, or emailed proposals will not be accepted.** Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal. Please note: for electronic submission, there are required

questions that you will have to answer in addition to uploading attachments and you should allot at least 60 minutes to enter/submit proposals. The electronic proposal system closes promptly at 5pm, files in process or attempted edits or submission after 5pm Eastern Standard Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on NYSERDA's web site at <https://www.nyserdera.ny.gov/>.

## Introduction

NYSERDA Program areas engage in policy and technical analysis support to groups within NYSERDA and to other external State energy policy and decision-makers. NYSERDA also routinely works collaboratively with other State agencies and entities to develop, implement, and evaluate energy policies and programs. Often, NYSERDA is called upon to support these efforts by undertaking research and analytic work to advance deliberations on general or specific energy and environmental proposals. NYSERDA also has the lead in conducting analysis for the *New York State Energy Plan*.

RFQL 3685 will establish a pool of consulting firms qualified to support NYSERDA's program areas, with diverse technical, energy, economic, and environmental analytical capacity, and which can provide some services on short notice. NYSERDA frequently provides research, analytic, and modeling support on a range of topics, often with constrained time horizons. Access to the pool of consultants, with wide-ranging, high-quality technical expertise, established through this RFQL will augment and enhance NYSERDA's ability to undertake individual, time-sensitive projects. These retained resources will also be available to all NYSERDA Programs, providing technical expertise, as needed. The Support Areas described in this solicitation illustrate NYSERDA's current and anticipated mission.

## Program Requirements

### Services Requested

As a result of RFQL 3685, NYSERDA expects to retain qualified contractors to provide services in each of the specified Support Areas. The number and type of services requested from the selected contractors will depend on the nature and complexity of the project, the contractor's expertise, the volume and frequency of the services requested by NYSERDA, the contractor's past performance and the absence of conflicts of interest. NYSERDA does not guarantee that all types of services will be requested or that all selected contractors will receive work pursuant to executed Task Work Order Agreements.

Upon a successful demonstration within a proposal, NYSERDA may designate contractors that have demonstrated "specialized capabilities" in specific areas. For example, a contractor may be designated as having specialized capabilities for a particular type of service requested if it demonstrates that it possesses exceptionally scarce qualifications or experience; specialized equipment or facilities not readily available from other sources; or proprietary data or methods. Submitted proposals should clearly articulate any proposed specialized capabilities, supported

by a justification as to why these attributes may be exceptionally scarce, specialized or proprietary. NYSERDA reserves the right to make all decisions regarding a successful demonstration of a specialized capability.

Proposers are permitted, but not required, to team with partners (subcontractors) they consider would offer complementary expertise in the identified Support Areas.

### Support Areas<sup>1</sup>

Proposers are invited to submit a proposal, describing their qualifications, skills, expertise with documented references, and personnel rates in any or all the support areas described below.

- A. Electric System Analysis: Assistance may be requested for analysis and modeling of the electric power system. Assessments may include the economic and physical impacts of changes and additions to elements of the electricity system such as generation, transmission, and distribution. Analyses may include electricity system optimization, simulation modeling, and thermal, voltage, and stability power flow analyses; and any other similar activities.

For illustration, some of the software packages with which the Proposer is conversant may include, but are not limited to, the following:

Network Reliability

GE Multi-Area Reliability Simulation (MARS), GE Positive Sequence Load Flow (PSLF), Siemens/PTI Power System Simulator for Engineering (PSS/E), PowerGEM TARA, and ASPEN.

Production Cost (Unit Commitment and Dispatch)

GE Multi-Area Production Simulation Software program (MAPS), PROMOD, GridView, and PLEXOS.

Capacity Expansion Models

National Energy Modeling System (NEMS), Regional Energy Deployment System (ReEDS), Integrated Planning Model (IPM), and PLEXOS.

- B. Life-Cycle Assessment: Assistance may be requested to perform life cycle assessments for clean technologies and products as well as life cycle analysis, including total fuel cycle analysis, for all relevant fuel pathways and energy end-uses in New York. Fuels of interest may include, but not be limited to, fossil fuels, nuclear power, renewable fuels, and energy carriers (*e.g.* electricity and hydrogen). Fuel cycle analysis may include, but not be limited to, the following processes: energy feedstock production; feedstock transportation and storage; fuel production; fuel transportation, storage and distribution; provision of energy service involving a conversion process (*e.g.* combustion in an engine or boiler). The primary analytic outputs of interest may include: embodied energy by fuel type, energy required to

<sup>1</sup> It is important to note that NYSERDA's listing of representative software packages in this solicitation is **not** an endorsement of any of the listed products; does not imply that NYSERDA believes the listed products to be superior to any other similar products (listed or not listed); nor is it a guarantee that NYSERDA intends to use any of the listed software products or to not use additional, unlisted products.

produce a fuel, energy required to perform a service (e.g. miles of travel or space heating), fossil fuel energy requirements, emission levels of the major greenhouse gases, criteria air pollutants, particle characterization (size, number, composition), particle and ozone precursors, and air toxics; and any other similar activities.

For illustration, modeling systems may include, but are not limited to, the following:  
Argonne National Laboratory's Greenhouse Gases, Regulated Emissions, and Energy Use in Transportation (GREET) Model.

- C. Macroeconomic Analysis and Modeling: Assistance may be requested to assess the impacts of energy and environmental policies on New York's employment, income, output, mobility, and other parameters. Analyses may be required to account for changes in investment and incremental costs of new technologies, energy savings from use of new technologies, changes in the price of electricity and other fuels, changes in energy expenditures and revenue to energy providers, opportunity costs, and changes from consumer and business expenditure patterns due to revenue that may be collected to cover the costs of the policies. Analyses may be conducted on a net impact basis; and any other similar activities.

For illustration, software may include, but are not limited to, the following:  
Macroeconomic Modeling  
Regional Economic Models, Inc. (REMI) and IMPLAN, Decision Time and SYSTAT 9 software created by SPSS Inc.

- D. Forecasting of Energy Use, Prices, & Greenhouse Gas Emissions: Assistance may be requested to model New York State's energy system on a "bottom-up" or "top-down" basis and produce long-term scenarios and forecasts. Output may include projections of energy demand by sector, subsector, technology, and fuel/energy carrier; projections of energy supply by technology and fuel; and projections of fuel and electricity prices. Outputs may also include emissions associated with these scenarios and forecasts. Fuels may include natural gas; distillate and residual oil with varying sulfur content; various types and grades of coal; renewable resources including wind, biomass, landfill gas, and photovoltaic systems; and nuclear power. Sectors may include electricity, commercial, industrial, residential, and transportation. Prices for each fuel and customer sector may include commodity prices (e.g., the price at Henry Hub for natural gas or the price of crude oil for petroleum products) and transportation prices to various New York delivery points; and any other similar activities.
- E. Benefit Cost Analysis (BCA): Assistance may be requested to develop inputs necessary to conduct BCA of NYSEDA's public benefits programs including programs that target electric energy efficiency, natural gas and fuel oil efficiency, demand response, renewable electricity and fuels, distributed generation, and transportation efficiency. Inputs to BCA include estimation of benefits such as avoided energy and capacity costs, avoided distribution and transmission costs, wholesale price suppression, system reliability benefits, options benefits, macroeconomic impacts, and monetization of non-market goods such as

comfort, health, and environmental impacts. In addition, the proposer must have experience with monetizing impacts of innovative building technologies as well as experience with estimating positive and negative impacts on operations and maintenance (O&M), water use, waste, and labor costs associated with the energy efficiency and other programs. Proposers must also have experience in identifying appropriate baselines, development of incremental measure costs, use of appropriate discount rates and time horizons, and life cycle analysis. Specific types of benefit-cost analyses will follow those in the New York State BCA Handbook for Total Resource Cost Test, and may also include Societal Cost Test, Utility Cost Test, Participant Cost Test, and Ratepayer Impact Measure; and any other similar activities.

- F. Transportation Systems Analysis: Assistance may be requested to analyze the effects of transportation programs and policies on energy efficiency and consumption and the effects of energy policies and pricing on transportation demand and use. The proposer should be knowledgeable about alternative fuels and vehicle technologies; transportation demand; advanced transportation technologies, such as intelligent transportation systems; transportation systems management and operations; and travel demand modeling. Examples of possible requests could include: evaluation of the regional or statewide impact of alternative transportation fuel facilities such as liquefied or compressed natural gas and other alternative transportation fuel facilities; conducting projects related to energy and fuel supply infrastructure; systems modeling and assessment; safety issues; fuel supply adequacy studies; and electric vehicle infrastructure deployment; and any other similar activities.
- G. Health and Environmental Impacts: Assistance may be requested to perform environmental and health impact assessments related to energy policy options in support of a multi-pollutant policy analysis framework. This may include but not be limited to emissions measurements, emission inventory estimates, regional or micro-scale air quality modeling, or health impacts analysis. An example could be the use of the U.S. Environmental Protection Agency (U.S. EPA) Benefits Modeling and Analysis Program (BenMAP) or the use of health data for NYS populations. Activities may include compiling and analyzing best practices for energy technology deployment; development of realistic test-methods for technology energy efficiency and emissions performance characterization, and developing representative emissions inventories; measuring or modeling air quality with high time resolutions or performing health impact assessments due to emissions from existing and emerging energy technologies. Successful proposers may be requested to conduct analyses of environmental issues associated with energy policy and planning and development including:
- Technology operational duty-cycle characterization;
  - Emissions estimates (e.g., PM<sub>2.5</sub> and precursors, SO<sub>2</sub>, CO, NO<sub>x</sub>, CO<sub>2</sub>, CH<sub>4</sub> and other greenhouse gases, NH<sub>3</sub>, mercury, particulate number, size, and composition, volatile organic compounds, particulate matter, ozone precursors, and air toxics);
  - Air quality monitoring or modeling using various existing and emerging tools for ozone, secondary PM, and the pollutants listed above;
  - Estimates of the direct and indirect effects of energy production, use, transport, and



storage on:

- o local, regional, national, or global air quality including climate
  - o human exposure health effects, and public health impacts
  - o wildlife,
  - o performance and costs of technologies,
  - o water quality,
  - o changes in ecosystems, and
  - o economic impacts of ecosystem degradation and recovery
- Impacts of climate change;
  - Costs and benefits of mitigation of environmental impacts; and
  - Costs and benefits of incumbent and emerging energy technologies on health impacts.

Activities could also include reviewing and commenting on draft environmental or energy regulations; draft environmental impact assessments and statements, as well as State and federal licensing and permitting actions; providing technical analysis to support the review and development of studies related to such actions; and identifying viable alternatives to proposed activities addressed in the assessments and categorizing and developing responses to public comments; and any other similar activities.

- H. Fossil Fuel Infrastructure: Assistance may be requested to undertake projects (1) evaluating changes in domestic gas supply and pipeline projects on the cost, reliability and capabilities of the natural gas infrastructure serving New York and the Northeast, (2) using modeling software to simulate pipeline operating conditions, (3) customizing and running models to produce simulations of day-to-day operations, (4) using transient hydraulic modeling software to look at changing system conditions following contingency events, (5) using the Contractor's database of gas pipelines operating in New York to analyze the effects of increasing demand, new supply sources, and limited transportation capacity, and (6) identifying the potential natural gas system impact from emerging end-use applications such as, but not limited to, compressed natural gas (CNG) and liquefied natural gas (LNG) for transportation related uses.

For illustration, some of the software packages with which the Proposer is conversant may include, but are not limited to, the following:

Natural Gas Infrastructure Analysis

Gregg Engineering's WinFlow and Gregg Engineering's WinTran

Assistance may also be requested to analyze fuel supply and associated infrastructure in New York. This may include assessment of current and possible future supply and demand of petroleum products, coal, natural gas, renewable fuels (e.g. gaseous and liquid biofuels as well as solid biomass), and alternative energy carriers such as hydrogen. Such assessment may include fuel specific analysis of production costs, characterization of technological change (i.e. extraction or conversion technologies), and market dynamics affecting supply, demand, and prices. Analyses may also include an assessment of the current and future required infrastructure to develop, produce, process, refine, transport, and deliver these fuels to end-users in New York. The contractor may be requested to identify possible energy

assurance issues such as supply disruption scenarios and strategies to respond to such events; and any other similar activities.

- I. Nuclear Safety: Assistance may be requested related to nuclear power plants that are operating or undergoing decommissioning. Assistance may be requested for: (1) review and evaluation of license amendment, exemption, and relief requests, as they relate to plant safety, design, and engineering issues; (2) review and evaluation of decommissioning reports, submittals, and activities; (3) review and evaluation of reports, initiatives, rulemakings, and guidance from industry and the state and federal government pertaining to nuclear safety, security, or environmental impact of nuclear generating and other nuclear fuel cycle facilities; (4) decommissioning fund evaluation and analysis including sufficiency of funds and appropriate use; and (5) providing technical expertise and advice on nuclear power matters as they may relate to potential health, radiological, economic, and environmental risks and impacts; and any other similar activities.
  
- J. Policy Analysis and Technology Assessment: Assistance may be requested to perform analyses and assessments of energy-related public policy initiatives and novel technologies. Analyses sought may be qualitative or quantitative and include: assessments of best practices regarding regulatory and market-based policies to promote clean energy goals and objectives; analysis of proposed policy initiatives in regards to energy supply and costs, estimated effects on businesses in the State, impacts on consumers (i.e., ratepayers or taxpayers), direct job impacts, and fiscal and tax implications for the State's general fund; technology assessments of energy efficiency and clean energy measures; and penetration studies including analysis of market activity of specific energy technologies, relative to other technologies, and changes over time, including historic information and forecasting of future activity; and any other similar activities.

For illustration, some of the software packages with which the Proposer is conversant may include, but are not limited to, the following:

Energy, Economic, and Environmental  
MARKet Allocation (MARKAL) Model

Proposers may submit a proposal to provide services in one, multiple, or all the above Support Areas. Proposers should clearly identify which of the Support Areas the proposal is intended to address.

NYSERDA reserves the right to create new Support Areas to address any needs that arise outside of the defined support areas included in the issuance of this RFQL. In this instance, all existing firms in the Task Work Order Agreement pool, along with any new proposers will be eligible to submit a proposal for the new Support Area(s).

### **Task Work Order Agreements & Task Work Orders**

A pool of qualified proposers will be selected through this RFQL to fulfill the needs of each of the identified Support Areas. NYSERDA will enter into zero-dollar Task Work Order Agreements

with the qualified contractor(s) for each Support Area, enabling NYSERDA to retain services as needs arise. A Task Work Order Agreement is used because no estimate can be made in advance as to the type, amount, and complexity of the work each contractor will be requested to perform. A Task Work Agreement is not a guarantee for any specific amount of future work.

There will be no initial cap to the number of proposers in any one subject matter area. However, NYSERDA may subsequently institute a cap for any or all Support Areas as a means of managing the number of resultant contracts. NYSERDA anticipates the Scoring Committee to convene periodically, as frequently as quarterly, to review and evaluate new proposals on a schedule depending on NYSERDA's needs and on the number of new proposals that are received. Upon appropriate notice, NYSERDA may forego or discontinue the rolling open enrollments to manage the number of resultant contracts. In deference to the established end of the contract period of December 31, 2023, the open enrollment mechanism will be active through the end of the fourth year, discontinuing on December 31, 2022 barring an earlier discontinuance upon appropriate notice.

When NYSERDA identifies a specific need under any of the Support Areas, the process options for retaining services include: 1) issuing a mini-bid to all of the qualified firms within the Support Area; 2) selecting any qualified firm in the Support Area for projects with a funding amount of \$50,000 or less; or 3) selecting a qualified firm that has successfully demonstrated specialized capabilities, as determined by NYSERDA.

The amount of work assigned to each contractor will depend on the contractor's particular expertise, the amount of work requested in the contractor's support area, past performance, current workload, actual or perceived conflicts of interest, references, deadline requirements, and the ability of the contractor to fulfill a Support Area, provide high quality, cost-effective, and timely services.

The Task Work Order is representative of a discrete project (typically, a series of tasks) which requires external support and is assigned to a qualified contractor under the terms of the executed Task Work Order Agreement between NYSERDA and that contractor. A direct contract or mini-bid process may be employed, at NYSERDA's discretion, to select the appropriate contractor(s) within a given support area. In response to a Task Work Order Request issued by NYSERDA, respondents provide a detailed response to the request, including staffing, hours, budget, and scope of work. A Task Work Order will not guarantee any specific amount of work, but may contain a maximum dollar amount.

## **Funding & Schedule**

Funding will be identified on a project-specific basis, and will be determined, in part, on the scope and subject matter of the Task Work Orders as they are developed according to needs expressed by NYSERDA. NYSERDA cannot anticipate whether the need will arise or if funding will be available for any, or all, of the Support Areas listed above.

The general Task Work Agreements that result from this RFQL will remain in effect until December 31, 2023, and no new Task Work Orders will be issued after this date. Task Work Orders initiated prior to December 31, 2023 are intended to remain in effect until all tasks are completed, final work products are delivered to NYSERDA, and payment is issued.

## Contractor Responsibilities & Compensation

NYSERDA expects to issue, to selected Contractors, requests for services, in the form of a Task Work Order Request, in one or more of the Support Areas. For each such Request, the selected contractor shall be required to:

- Prepare a Task Work Order Plan with budget, for each project for review and approval by NYSERDA;
- Negotiate the scope and cost of the technical assistance with NYSERDA;
- Upon agreement by all parties to the Task Work Order Plan, provide the required assistance within the required time frame;
- Submit any deliverables to NYSERDA for review and approval; NYSERDA's review will ensure that the deliverable conforms to the Task Work Order Plan, and;
- Provide required documentation of expenditures by Task, based on the Task Work Order Plan, when seeking reimbursement from NYSERDA.

Compensation will be based on the contractor's direct and indirect personal services costs (included in the proposal) plus allowable expenses. Fees will be based on the contractor's hourly rates for the appropriate level of staff as well as for any subcontractors listed in the proposal. NYSERDA will negotiate each Task Work Order on the basis of demonstrated competence and qualifications, at fair and reasonable fees. Fee schedules shall be included in each proposal that identify rates for each member of the team by title, including subcontractors. Proposers are asked to consider the length of the Task Work Order (five years) in proposing their fee schedules and annual escalation rates.

Budgets for all work conducted will be included in the Task Work Order Plan and approved by NYSERDA. The Task Work Order Plan will also place a ceiling, or not-to-exceed amount, for each project. Contractors who accrue billable hours beyond the ceiling in the Task Work Order Plan, without approval in writing by NYSERDA, will do so at their own risk. **Contractors will not be compensated for time spent in the preparation of any Task Work Order Plan.** Preparation of the Task Work Order Plan is considered to be covered by the contractor's overhead expense.

## Proposal Requirements

### Identified Support Areas

Proposers are invited to submit, in the format described in this solicitation, a proposal describing their skills, expertise, qualifications, and personnel rates in any or all of the Support Areas listed in this solicitation. Proposers must clearly identify Support Area(s) to which the proposal responds. Proposers are permitted, but not required, to team with partners (subcontractors) they consider would offer complementary expertise in the Support Areas:

- A. Electric System Analysis
- B. Life-Cycle Assessment
- C. Macroeconomic Analysis, Modeling
- D. Forecasting of Energy Use, Prices and Greenhouse Gas Emissions
- E. Benefit Cost Analysis
- F. Transportation Systems Analysis
- G. Health and Environmental Impacts
- H. Fossil Fuel Infrastructure
- I. Nuclear Safety
- J. Policy Analysis and Technology Assessment

This RFQL allows for new support areas to be created when unforeseen and ongoing needs are desired by NYSERDA. The ability to create new support areas will be restricted to the first two years of the contract, until December 31, 2020. Firms may submit up to two proposals to new and existing support areas over the course of the open enrollment period to accommodate any changes of in-house capabilities. This open-enrollment allows contractors to submit proposals up to a defined due date of December 31, 2022 to reflect the planned end date of the anticipated term of the Task Work Order Agreements of December 31, 2023.

### Length & Format

Proposals should not be excessively long, or submitted in an elaborate format that includes expensive binders or graphics. Refer to the Proposal Format section for guidance. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. Each page of the proposal should state the name of the proposer, RFQL 3685, and the page number.

### Outline

Each proposal shall contain, at a minimum, the following:

**1) Cover Letter(s) (1 page suggested)**

Proposers shall submit a cover letter on company letterhead that:

- References RFQL 3685
- Specifies each specific Support Area, by name and number, where services are being offered
- Summarizes the proposer's ability to perform such services
- Is signed by a person with authority to enter into a contract with NYSERDA

Letters from subcontractors included in the proposal must be attached to the proposal and include the same information included in the proposer's cover letter.

**2) Table of Contents (1 page)**

Proposers should present a comprehensive table of contents that outlines the page number and section where each Support Area proposal can be found. For each Support Area offered, the items listed below must be provided, regardless of whether they have been presented in another section:

- (a) Overall Experience, Capabilities, and References
- (b) Personnel and Qualifications
- (c) Cost Proposal

### **3) Support Area Proposal(s)**

Proposals will be evaluated independently for each Support Area. Salesforce requires each proposer to submit a separate proposal for each Support Area with distinct language for each. Each individual proposal for the Support Area must also include all generic uploads. Attachments will be carried over to each proposal from the initial login. Salesforce allows proposers to save and restart solicitations to allow for ample time to complete before the deadline. A proposer must be organized in clearly designating a separate section for each Support Area where services are being offered, even if information is provided for another section/Support Area.

Each Support Area section must include the following subsections:

a) **Overall Experience, Capabilities, and References** (2-4 pages)

Proposers must describe their expertise and ability as a team/firm to deliver services in the proposed Support Area(s). This should include the aggregate number of years working in this Support Area(s) and a brief summary of at least one, and no more than three, similar projects. The project descriptions should specify the level of involvement of the proposing firm and subcontractors and the results/deliverables of the project. For at least one of the projects mentioned, proposers must include customer contact names and phone numbers. Proposers with specialized capabilities are encouraged to articulate those capabilities in the proposal to assist NYSERDA's understanding of them and the capabilities that may be available to address specific needs identified among broader support areas. Proposers can reference Support Area section of this RFQL for further explanation.

b) **Personnel and Qualifications Summary** (2 pages; résumés to be provided as an Attachment)

Proposers must: identify and describe the company or organization that will be the prime contractor under this RFQL and identify all staff members, teams, and subcontractors that are to be involved in providing services in the Support Area(s), with descriptions of qualifications and past working relationships among team members and subcontractors. Proposals should include an organizational

chart, if necessary. Proposers must identify the project manager who will serve as the single point of contact under this RFQL. Proposals must describe the accomplishments, experiences, and expertise of the individuals comprising the proposing team relevant to the Support Area and reference one-page résumés (provided as an attachment) that highlight recent experiences of all individuals who would be directly involved in providing services.

**c) Cost Proposal – Project Personnel and Rate Form (1 page)**

Proposers must provide a Project Personnel and Rate form (Attachment A) and submit the name, job title, and fully-burdened hourly salary for each individual in the proposal and all subcontractors who would perform the work under an Agreement with NYSERDA. Note: Any escalation rates must be identified for the full five-year contract term.

NYSERDA is not requiring proposers to estimate travel or other direct costs as part of proposals, but reasonable costs for these may be included as an element of TWOs, as appropriate.

**4) Conflicts (To be provided as an Attachment)**

The firm, its principals, subcontractors, and any personnel of the firm must be free from any financial or similar interest in any product or service which may conflict with or appear to conflict with the objectivity of the services provided to NYSERDA. Proposers must submit a statement of conflict of interest and on a yearly basis if a TWO is assigned following the previous year's conflict of interest form. If any affiliations exist, a statement must be provided verifying these affiliations do not conflict with or appear to conflict with the objectivity of providing services to NYSERDA and its customers. Non-disclosure of any affiliation can result in the termination of a contract, if awarded.

**5) Indirect Cost (To be provided as an Attachment)**

Attach supporting documentation to describe indirect cost (overhead) rate(s) included in your proposal as follows:

- (a) Describe the basis for the rates proposed (i.e., based on prior period actual results; projections; federal government or other independently approved rates).
- (b) If rate(s) is approved by an independent organization, such as the federal government, provide a copy of such approval.
- (c) If rate(s) is based on estimated costs or prior period actual results, include calculations to support proposed rate(s). Calculation should provide enough information for NYSERDA to evaluate and confirm that the rate(s) are consistent with generally accepted accounting principles for indirect costs.

NYSERDA reserves the right to audit any indirect rate presented in the proposal and to make adjustment for such difference. Requests for financial statements or other needed financial information may be made if deemed necessary.

**6) Résumés** (Provide as an Attachment)

Include one-page résumés that highlight recent experiences of all individuals (proposer and any subcontractors) who would be directly involved in providing services. For ease of reference, organize the résumés in alphabetical order by last name of the individuals providing services, referencing in each résumé header the Support Area(s) they will be directly involved with. Individual résumés shall not exceed one (1) page each.

### **Proposal Materials & Effort**

All material submitted as part of this RFQL process becomes the property of NYSERDA. Proposers will not be reimbursed by NYSERDA for any costs associated with the preparation of their proposals.

### **Proposal Evaluation**

All proposals that meet the submission requirements will be reviewed by a Scoring Committee consisting of NYSERDA staff, whether submitted in accordance with the initial due date as provided in this document or in response to the open enrollment period that allows new prospective contractors to submit proposals beyond the first RFQL deadline. NYSERDA Staff will evaluate all proposals based on the same pre-established evaluation criteria of the initial RFQL.

Proposals will be evaluated based on the pre-established qualitative criteria that will require a minimum score in order to be accepted as a successful proposer in any one Support Area. Firms may apply to any number of Support Areas. The criterion for firms to successfully demonstrate a specialized capability will be determined by the evaluation criteria, the Scoring Committee recommendation, and NYSERDA's discretion. At NYSERDA's discretion, as part of the evaluation process, proposers may be asked to have appropriate representatives participate in an in-person interview in Albany, New York, through a webinar, or by conference call prior to final selection. Proposers will be notified if they are requested to participate in an interview.

Responses to this RFQL will be reviewed and assigned scores based on the criteria highlighted below, as well as other programmatic and management factors deemed appropriate by NYSERDA.

#### **Overall Experience, Capabilities, and References**

- Previous experience in the conduct and delivery of similar or related services.
- Demonstrated ability to complete projects on schedule.
- Quality and relevance of previous work as evidenced by sample projects.
- References substantiating with evidence the contractor's abilities and past performance.



- Responsiveness to NYSERDA's request as specified in this RFQL, including overall clarity and organization of the proposal.

#### **Personnel and Qualifications**

- Adequacy/depth of corporate resources to provide requested services.
- Qualifications and expertise of the personnel/team in relevant Support Areas
- Clear identification of staff that will be assigned to various project types.

#### **Other Considerations**

- Past experiences with contractor, notable position within the firm's industry, accomplishments on similar projects.
- Combination of contractors needed to deliver all services needed in a timely and professional manner.
- Demonstrated specialized unique capability that is considered a priority to a specific TWO which cannot be predetermined. Therefore, contractors must articulate specialized capabilities (e.g., unique or exceptionally scarce qualifications or experience, specialized equipment, or facilities).

#### **Fee Schedule**

- Reasonableness and relative competitiveness of labor rates, associated fees, escalation rates and overhead.

### **General Conditions**

**Proprietary Information** - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501

<http://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted for this RFQL.

**Omnibus Procurement Act of 1992** - It is the policy of New York State to maximize opportunities for the participation of New York State business enterprises, including minority-

and women-owned business enterprises, as bidders, subcontractors, and suppliers on its procurement Agreements.

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

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

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

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

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

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

Proposers are required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility (this includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years).

**Tax Law Section 5-a** - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf)).

Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department. The Department has created a second form that must be completed by a prospective contractor prior to contacting and filed with NYSERDA. See, ST-220-CA (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220ca\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

**Contract Award** – NYSERDA anticipates making multiple selections under this RFQL. In addition, this RFQL has an open enrollment mechanism that allows for new contractors to submit proposals on a quarterly basis. The open enrollment period has an ongoing evaluation process

up to a defined due date of December 31, 2022. Upon appropriate notice, NYSERDA may forego or discontinue the rolling open enrollments to manage the number of resultant contracts. NYSERDA may award a contract based on initial proposals without discussion, or following limited discussion or negotiations pertaining to the Task Work Order Agreement. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Attachment B Sample Agreement to those specifically identified during the proposal submission process. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately 6-8 weeks from the proposal due date whether their proposals have been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

**Limitation** - This RFQL does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the RFQL when it is in NYSERDA's best interest. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement. NYSERDA reserves the right to cancel the open RFQL evaluation process prior to December 31, 2022.

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

## Attachments

Attachment A: Project Personnel and Rates Form  
Attachment B: Sample Agreement

**NYSERDA**  
**Public Authority Law Report**  
**April 1, 2017 to September 30, 2017**

**Section Break**

## Projects Selected for Funding by Region

Period 4/1/2017 through 9/30/2017

REDC Region	County	Electric Utility	Total Funded Amount	
<b>Capital Region</b>	Albany	Central Hudson Gas and Electric	674,423	
		National Grid	13,954,730	
	Columbia	National Grid	191,182	
		NYS Electric and Gas	37,204	
	Greene	Central Hudson Gas and Electric	6,533,489	
		NYS Electric and Gas	56,280	
	Rensselaer	National Grid	4,469,084	
		NYS Electric and Gas	27,735	
	Saratoga	National Grid	1,907,938	
		NYS Electric and Gas	1,455,724	
	Schenectady	National Grid	1,214,387	
	Warren	National Grid	36,868	
	Washington	National Grid	3,309,539	
		NYS Electric and Gas	32,884	
	<b>Total</b>		33,901,467	
<b>Central New York</b>	Cayuga	NYS Electric and Gas	62,272	
		Rochester Gas and Electric	19,440	
	Cortland	National Grid	2,551,209	
		NYS Electric and Gas	13,164	
	Madison	National Grid	1,491,515	
		NYS Electric and Gas	17,852	
	Onondaga	National Grid	1,557,614	
		NYS Electric and Gas	294,787	
	Oswego	National Grid	2,779,672	
	<b>Total</b>		8,787,524	
	<b>Finger Lakes</b>	Genesee	National Grid	2,215,438
		Livingston	National Grid	495,874
NYS Electric and Gas			10,806	
Rochester Gas and Electric			62,048	
Monroe		National Grid	1,040,339	
		Rochester Gas and Electric	17,247,678	
		SPENCERPORT	1,881,053	
Ontario		National Grid	1,006,888	
		NYS Electric and Gas	3,231,254	
		Rochester Gas and Electric	1,838,822	
Orleans		National Grid	44,796	
Seneca		NYS Electric and Gas	62,259	
Wayne		NYS Electric and Gas	937,433	
		Rochester Gas and Electric	2,847,325	
Wyoming		National Grid	13,500	
		NYS Electric and Gas	29,417	
		Rochester Gas and Electric	18,800	
		SILVER SPRINGS	98,961	
Yates	NYS Electric and Gas	46,298		

## Projects Selected for Funding by Region

Period 4/1/2017 through 9/30/2017

REDC Region	County	Electric Utility	Total Funded Amount	
<b>Finger Lakes</b>	<b>Total</b>		33,128,989	
<b>Long Island</b>	Nassau	FREEPORT	1,025,066	
		Long Island Power Authority	1,986,506	
		ROCKVILLE CENTRE	1,000,000	
	Suffolk	Long Island Power Authority	2,067,319	
	<b>Total</b>		6,078,891	
<b>Mid-Hudson</b>	Dutchess	Central Hudson Gas and Electric	5,076,116	
		NYS Electric and Gas	906,171	
	Orange	Central Hudson Gas and Electric	881,999	
		NYS Electric and Gas	21,360	
		Orange and Rockland Utilities	13,250,245	
	Putnam	Central Hudson Gas and Electric	31,576	
		NYS Electric and Gas	63,339	
	Rockland	Orange and Rockland Utilities	230,905	
	Sullivan	NYS Electric and Gas	3,089,285	
		Orange and Rockland Utilities	1,707,418	
	Ulster	Central Hudson Gas and Electric	6,331,549	
		NYS Electric and Gas	18,399	
	Westchester	Consolidated Edison	2,263,155	
		NYS Electric and Gas	275,196	
	<b>Total</b>		34,146,713	
	<b>Mohawk Valley</b>	Fulton	National Grid	2,446,656
		Herkimer	ILION	65,000
National Grid			25,667	
NYS Electric and Gas			9,765	
Montgomery		National Grid	2,665,561	
Oneida		BOONVILLE	7,216	
		National Grid	2,408,236	
		NYS Electric and Gas	5,000	
Otsego		National Grid	10,180	
		NYS Electric and Gas	2,367,214	
Schoharie		National Grid	244,309	
<b>Total</b>			10,254,803	
<b>New York City</b>	Bronx	Consolidated Edison	6,023,785	
	Kings	Consolidated Edison	5,440,397	
	New York	Consolidated Edison	19,781,173	
	Queens	Consolidated Edison	7,560,653	
		Long Island Power Authority	99,104	
	Richmond	Consolidated Edison	822,419	
<b>Total</b>		39,727,532		
<b>North Country</b>	Clinton	NYS Electric and Gas	2,007,303	
	Essex	National Grid	313,578	
		NYS Electric and Gas	24,768	
	Franklin	National Grid	69,174	

## Projects Selected for Funding by Region

Period 4/1/2017 through 9/30/2017

REDC Region	County	Electric Utility	Total Funded Amount	
<b>North Country</b>	Franklin	NYS Electric and Gas	2,500	
	Jefferson	National Grid	2,812,654	
	Lewis	National Grid	2,546,768	
	St. Lawrence	National Grid	410,910	
	<b>Total</b>		8,187,656	
<b>Southern Tier</b>	Broome	NYS Electric and Gas	4,397,462	
	Chemung	NYS Electric and Gas	5,735,126	
	Chenango	National Grid	845,159	
		NYS Electric and Gas	1,623,354	
	Delaware	NYS Electric and Gas	876,376	
	Schuyler	NYS Electric and Gas	21,164	
	Steuben	NYS Electric and Gas	359,678	
	Tioga	NYS Electric and Gas	2,624,426	
	Tompkins	NYS Electric and Gas	4,939,982	
<b>Total</b>		21,422,727		
<b>Statewide</b>	STATEWIDE	Statewide	321,658,028	
	<b>Total</b>		321,658,028	
<b>Western New York</b>	Allegany	National Grid	347,024	
		NYS Electric and Gas	85,634	
		Rochester Gas and Electric	1,063,184	
	Cattaraugus	National Grid	3,896,857	
		NYS Electric and Gas	5,300	
	Chautauqua	National Grid	156,238	
		NYS Electric and Gas	43,920	
	Erie	National Grid	4,100,646	
		NYS Electric and Gas	2,549,239	
	Niagara	National Grid	2,586,056	
		NYS Electric and Gas	36,856	
	<b>Total</b>		14,870,954	
	<b>Grand Total</b>			532,165,284

**Projects Selected for Funding by Region**  
**Period 4/1/2017 through 9/30/2017**

REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount	
Capital Region	Active Solar Development, LLC	Rensselaer	National Grid	<200KW PV, NY Sun	5,220	
		Saratoga	National Grid	<200KW PV, NY Sun	9,100	
			NYS Electric and Gas	<200KW PV, NY Sun	10,000	
	Schenectady	National Grid	<200KW PV, NY Sun	620,488		
	Adam C. Boese	Columbia	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
	ADP, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, 2016 ACA Reporting	2,500	
				NYSERDA ADMINISTRATION, ADP Payroll and HR Svcs 2017	180,521	
	Albany County Sewer District	Albany	National Grid	OTHER PROGRAM AREA, Renewable Optimz Energy Storge	50,000	
	Albany Solar Solutions L.L.C.	Rensselaer	National Grid	<200KW PV, NY Sun	15,200	
AlienVault, Inc.	Albany	National Grid	Security Internet Events Mgt.	48,356		
Allen Power, Inc.	Albany	National Grid	SMART GRID SYSTEMS, RFP 3044 R2	993,819		
Amberjack Solar LLC	Greene	Central Hudson Gas a..	>200KW PV, NY Sun	845,093		
American Energy Care, Inc.	Albany	National Grid	<200KW PV, NY-Sun	28,304		
			Greene	Central Hudson Gas and Electric	<200KW PV, NY Sun	72
	Rensselaer	NYS Electric and Gas	<200KW PV, NY-Sun	5,760		
			<200KW PV, NY-Sun	6,880		
			<200KW PV, NY-Sun	6,208		
Apex Solar Power LLC	Albany	Central Hudson Gas a..	<200KW PV, NY-Sun	5,280		
	Rensselaer	National Grid	<200KW PV, NY Sun	24,383		
	Saratoga	National Grid	<200KW PV, NY Sun	5,060		
	Warren	National Grid	<200KW PV, NY Sun	22,339		
	Washington	National Grid	<200KW PV, NY-Sun	10,850		
			NYS Electric and Gas	<200KW PV, NY Sun	13,100	
	Arcadis of New York, Inc.	Washington	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
Arcadis U.S., Inc.	Saratoga	NYS Electric and Gas	Commercial New Construc, Technical Review and Program S	30,000		
			NEW CONSTRUCTION PROGRAM, Technical Review and Program S	170,000		
	Schenectady	National Grid	Industrial Process Effic, Technical Review and Program S	11,939		
Aviator Way Solar, LLC	Washington	National Grid	>200KW PV, NY Sun	845,093		
Best Buy Store, L.P.	Albany	National Grid	NYSERDA ADMINISTRATION, Plotter Printer - West Valley	5,598		
Blue Heron Trail I Housing Development F	Saratoga	National Grid	Low Rise New Construction, New Construction	70,200		
Bogart Solar, LLC	Greene	Central Hudson Gas a..	>200KW PV, NY Sun	992,984		
Borrego Solar Systems, Inc.	Rensselaer	National Grid	>200KW PV, NY Sun	925,043		
Buckley Road East Solar 1, LLC	Washington	National Grid	>200KW PV, NY-Sun C&I	597,701		
Buckley Road West Solar 1, LLC	Washington	National Grid	>200KW PV, NY-Sun C&I	597,701		
Business Environments	Albany	National Grid	NYSERDA Administration	29,952		
Carahsoft Technology Corporation	Albany	National Grid	EVALUATION, Performance Management	34,000		
Center for Internet Security Inc	Albany	National Grid	NYSERDA ADMINISTRATION, Information Security Malicious	7,440		
CHA Consulting Inc.	Greene	Central Hudson Gas a..	RENEWABLE HEAT NY, Technical Review and Program S	2,200		
	Rensselaer	National Grid	RENEWABLE HEAT NY, Technical Review and Program S	2,200		
Clifton Park LF Solar LLC	Saratoga	National Grid	NY-SUN, PV System @ Town of Clifton Pa	294,181		
Cogen Power Technologies LLC	Albany	National Grid	SMART GRID SYSTEMS, RFP 3044 R2	990,000		
Comalli Group, Inc.	Rensselaer	National Grid	<200KW PV, NY Sun	4,761		
Concur Technologies, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Concur annual cost estimate	17,000		
Costanza Solar, LLC	Albany	Central Hudson Gas a..	>200KW PV, NY Sun	654,947		
Craig Street Limited Partnership	Schenectady	National Grid	Low Rise New Construction, New Construction	15,000		
Dell, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Dell Desktops for Buffalo	12,842		
			NYSERDA ADMINISTRATION, Dell- Upgrade IT and Buffalo	23,143		
			NYSERDA ADMINISTRATION, MS Project and Visio	114,755		
			NYSERDA ADMINISTRATION, VLM-2000-KEMP-LOADBALANCER	12,026		
Dynamic Energy Solutions, LLC	Washington	National Grid	>200KW PV, NY Sun	611,686		
Ellsworth Solar II, LLC	Saratoga	NYS Electric and Gas	>200KW PV, NY Sun	1,014,112		
EME Consulting Engineering Group, LLC	Rensselaer	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500		
Employee Leasing of Greater NY	Albany	National Grid	NYSERDA ADMINISTRATION, Temp Employee Services	73,914		
ENER-G Rudox Inc.	Albany	National Grid	COMBINED HEAT AND POWER, CHPA - Albany VA Medical Cente	1,042,210		
Energy & Resource Solutions, Inc.	Albany	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	1,925		
			Rensselaer	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	4,425
			Washington	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
Enerwise Global Technologies	Albany	National Grid	ADVANCED BUILDINGS, EFP2391 - Enerwise - Multisite	7,440		
Enlighten Power Solutions, LLC	Rensselaer	National Grid	>200KW PV, NY Sun	10,438		
ESRI, Incorporated	Albany	National Grid	NYSERDA ADMINISTRATION, ArcGIS Desktop and Spatial	19,633		
Executive Information Systems, LLC	Albany	National Grid	NYSERDA ADMINISTRATION, Purchase SAS Analytical Softwa	32,453		
Fallen Tree Solar, LLC	Greene	Central Hudson Gas a..	>200KW PV, NY Sun	845,093		
Fiber Technologies Networks, LLC	Albany	National Grid	NYSERDA ADMINISTRATION, Information Technology	20,935		
First Columbia Property Services, LLC	Albany	National Grid	NYSERDA ADMINISTRATION, Property Management Services	233,447		
			Property Management Services	60,271		



**Projects Selected for Funding by Region**  
**Period 4/1/2017 through 9/30/2017**

REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Capital Region	FlexEnergy Energy Systems Inc	Saratoga	National Grid	COMBINED HEAT AND POWER, CHPA - Saratoga Hospital	1,159,375
	FM Office Express	Albany	National Grid	8 NYC Work Stations	15,345
	ForeFront Power, LLC	Albany	National Grid	>200KW PV, NY Sun	45,103
		Rensselaer	National Grid	>200KW PV, NY Sun	459,736
		Schenectady	National Grid	>200KW PV, NY Sun	459,736
		Greene	Central Hudson Gas a..	>200KW PV, NY Sun	992,984
	GCOM Software Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Salesforce Implementation	373,605
				NYSERDA ADMINISTRATION, Salesforce Licenses (Q:50)	33,129
				NYSERDA ADMINISTRATION, Staff Augmentation	267,150
	Golub Corporation	Rensselaer	National Grid	NEW CONSTRUCTION PROGRAM, NCP13094 - Market 32 Brunswick	42,401
	Grandview Solar, LLC	Greene	Central Hudson Gas a..	>200KW PV, NY Sun	654,947
	Greenmount Lane Solar 1, LLC	Washington	National Grid	>200KW PV, NY-Sun C&I	542,553
	Greenskies Renewable Energy LLC	Albany	National Grid	>200KW PV, NY Sun	98,211
	Harris Beach PLLC	Saratoga	National Grid	SARATOGA TECHNOLOGY & ENERGY PARK, RFP 3300 Outside Co..	49,000
	High Peaks Solar	Albany	National Grid	<200KW PV, NY Sun	6,240
		Rensselaer	National Grid	>200KW PV, NY Sun	942,474
		Schenectady	National Grid	<200KW PV, NY Sun	15,200
		Albany	National Grid	<200KW PV, NY Sun	5,755
	Hudson Solar	Columbia	NYS Electric and Gas	<200KW PV, NY Sun	30,484
		Greene	Central Hudson Gas a..	<200KW PV, NY Sun	7,480
		Rensselaer	National Grid	>200KW PV, NY Sun	156,896
			NYS Electric and Gas	<200KW PV, NY Sun	5,363
		Saratoga	National Grid	<200KW PV, NY Sun	14,612
		Schenectady	National Grid	<200KW PV, NY Sun	6,278
	Ingalside Solar, LLC	Greene	Central Hudson Gas a..	>200KW PV, NY Sun	654,947
	Interaction Associates	Albany	National Grid	ENERGY ANALYSIS, Energy & EnvironmentalAnalysis	9,500
				EVALUATION, Performance Management	9,500
	Kasselman Solar LLC	Albany	National Grid	<200KW PV, NY Sun	11,296
				<200KW PV, NY-Sun	5,232
		Columbia	NYS Electric and Gas	<200KW PV, NY Sun	6,720
		Greene	Central Hudson Gas a..	<200KW PV, NY-Sun	112
		Rensselaer	National Grid	<200KW PV, NY Sun	5,600
		Saratoga	National Grid	<200KW PV, NY Sun	9,322
				<200KW PV, NY-Sun	5,532
			NYS Electric and Gas	<200KW PV, NY Sun	6,612
		Schenectady	National Grid	<200KW PV, NY Sun	23,498
		Warren	National Grid	<200KW PV, NY Sun	6,726
				<200KW PV, NY-Sun	2,634
		Washington	NYS Electric and Gas	<200KW PV, NY Sun	5,040
				<200KW PV, NY-Sun	9,744
	KayDev Technology, LLC	Albany	National Grid	NYSERDA ADMINISTRATION, TestComplete Pro	8,015
	L&S Energy Services, Inc.	Albany	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
		Columbia	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
		Greene	NYS Electric and Gas	Industrial Process Effic, Technical Review and Program S	5,680
		Rensselaer	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
				NYS Electric and Gas	Industrial Process Effic, Technical Review and Program S
		Saratoga	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
		Schenectady	National Grid	RENEWABLE HEAT NY, Technical Review and Program S	2,174
		Washington	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	15,000
				RENEWABLE HEAT NY, Technical Review and Program S	1,873
	LaBella Associates, P.C.	Albany	National Grid	Flexible Tech Assistance, Novus PO Assignment	2,144
				REV CAMPUS CHALLENGE, Novus PO Assignment	21,469
	Lampman Hill Solar LLC	Greene	Central Hudson Gas a..	>200KW PV, NY Sun	876,870
	Lincoln Life & Annuity Company of NY	Albany	National Grid	NYSERDA ADMINISTRATION, Long Term Disability Premium	71,844
	Lotus Energy, Inc.	Columbia	National Grid	<200KW PV, NY Sun	7,504
	Marshall & Sterling, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Property Liability and Other	413,459
	Milliman, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, April 1 2017 Gasb 45 Valuation	15,000
	mindSHIFT Technologies, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Media Destruction	10,794
	MJ Mechanical Services, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, HVAC Design and Installation	11,520
	Mohonasen Central School District	Schenectady	National Grid	NEW CONSTRUCTION PROGRAM, NCP12897 - Mohonasen High Scho	20,690
	Monolith Solar Associates, LLC	Albany	National Grid	<200KW PV, NY Sun	71,300
		Rensselaer	National Grid	<200KW PV, NY Sun	40,402
				<200KW PV, NY-Sun	244
		Saratoga	National Grid	<200KW PV, NY Sun	14,640
		Schenectady	National Grid	<200KW PV, NY Sun	5,640

**Projects Selected for Funding by Region**  
**Period 4/1/2017 through 9/30/2017**

REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Capital Region	NASEO	Albany	National Grid	NYSERDA ADMINISTRATION, NASEO Mem. Dues & Meeting Fees	14,789
	Network Experts of New York, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Adoption /Training Coordinator	90,000
				NYSERDA ADMINISTRATION, Helpdesk Technician - Campagna	130,000
				NYSERDA ADMINISTRATION, PeopleSoft Administrator/DBA	351,900
	New York Power Authority	Albany	National Grid	Flexible Tech Assistance, FlexTech MOU NYSERDA-NYPA	15,162
	New York State Forum for IRM	Albany	National Grid	NYSERDA ADMINISTRATION, NYS Forum Membership 17 - 18	5,500
	Infrastructure	Albany	National Grid	2 HP VDI Servers	37,136
				NYSERDA ADMINISTRATION, SMARTnet - Maintenance - 2020	42,423
	Northeast Agriculture Technology Corp	Washington	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	NYS Office For Technology	Albany	National Grid	NYSERDA ADMINISTRATION, Office 365 - 2016 - 2017	67,766
	NYS Office of Children & Family Services	Columbia	National Grid	EXISTING FACILITIES, EFP2445 - NYS OCFS	14,966
	NYS Office of Parks, Recreation and	Rensselaer	National Grid	<200KW PV, NY Sun	12,528
	Old Stage Road Solar 1, LLC	Albany	National Grid	>200KW PV, NY-Sun C&I	597,701
	OneEnergy Development LLC	Rensselaer	National Grid	>200KW PV, NY Sun	633,826
	Oracle America, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, User Productivity Kit (UPK)	8,968
	PCMG, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Antivirus Replacement, Symatec	7,852
	Phire, Inc	Albany	National Grid	NYSERDA ADMINISTRATION, Phire Maintenance - 1 Year	14,600
	Price Chopper Operating Company of NY	Albany	National Grid	Commercial New Construc, NCP15019--Market32 VF-OFLT	71,896
		Washington	National Grid	Commercial New Construc, NCP15001 - Market 32 Ft Edward	57,142
	Randstad North America, L.P.	Albany	National Grid	>200KW PV, Temp Services Contract	19,744
				ENERGY ANALYSIS, Temp Services	33,224
				ENERGY ANALYSIS, Temp Services Contract	22,425
				EVALUATION, Temp Services	98,500
				EVALUATION, Temp Services Contract	6,974
				NY-SUN, Temp Services	68,777
				NY-SUN, Temp Services Contract	19,745
				NYSERDA ADMINISTRATION, Temp Services	323,225
				NYSERDA ADMINISTRATION, Temp Services Contract	351,901
				NYSERDA ADMINISTRATION, Temporary Services	257,000
	Red Mill Solar, LLC	Greene	Central Hudson Gas a.	>200KW PV, NY Sun	654,947
	Rensselaer Polytechnic Institute	Rensselaer	National Grid	CLEAN TRANSPORTATION, RPI - PON 3198	150,000
	Rensselaer Polytechnic Institute-LRC	Rensselaer	National Grid	Clean Energy Communities, LED Street Lights Outreach	50,000
	Research Foundation of SUNY	Albany	National Grid	ENVIRONMENTAL RESEARCH, Combining Measurements and Mod	382,848
				ENVIRONMENTAL RESEARCH, IDEA-NYS air quality forecast	358,781
	Rosenblum Property Services, LLC	Saratoga	National Grid	SARATOGA TECHNOLOGY & ENERGY PARK, STEP Property Mgmt ..	243,092
	Schodack Central School District	Rensselaer	National Grid	NEW CONSTRUCTION PROGRAM, NCP12924 - High School Renovat	26,263
	Seed Renewables Inc.	Albany	National Grid	<200KW PV, NY Sun	6,840
				<200KW PV, NY-Sun	5,600
	SHI, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, 1 Year - Adobe Acrobat Pro DC	20,378
				NYSERDA ADMINISTRATION, Embarcadero ER Studio Licenses	14,162
				NYSERDA ADMINISTRATION, Licensing for Adobe Creative C	9,848
	Sitecore USA, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Sitecore Web Support 17-18	25,300
	SolarCity Corporation	Albany	National Grid	<200KW PV, NY Sun	6,630
				>200KW PV, NY Sun	981,556
		Rensselaer	National Grid	<200KW PV, NY Sun	7,769
				<200KW PV, NY-Sun	530
				>200KW PV, NY Sun	825,608
		Schenectady	National Grid	<200KW PV, NY Sun	12,564
		Warren	National Grid	<200KW PV, NY Sun	5,169
		Washington	National Grid	<200KW PV, NY Sun	7,440
	South Colonie Central Schools	Albany	National Grid	NEW CONSTRUCTION PROGRAM, NCP11976 - Colonie 2020 Capita	10,690
	Sumintra	Albany	Central Hudson Gas a.	<200KW PV, NY Sun	7,920
	SunRun, Inc	Saratoga	National Grid	<200KW PV, NY Sun	8,960
		Schenectady	National Grid	<200KW PV, NY Sun	6,180
	Systems Management Planning, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, VMWare Support for View - 3 yr	92,399
	T.McElligott, Inc.	Rensselaer	National Grid	OTHER PROGRAM AREA, Hoosick Falls Removal Project	97,000
	Tarah Rowse	Washington	National Grid	Low Rise New Construction, New Construction	5,000
	Tech Valley Talent, LLC	Albany	National Grid	NYSERDA ADMINISTRATION, Staff Augmentation	890,425
				REC:CES REC System Dev Costs, Staff Augmentation	177,450
				ZEC:CES ZEC System Dev Costs, Staff Augmentation	177,450
	Tern Construction & Development, LLC	Greene	NYS Electric and Gas	Low Rise New Construction, New Construction	50,600
	The Radiant Store	Rensselaer	National Grid	RENEWABLE HEAT NY, Renewable Heating & Cooling	5,000
				RENEWABLE HEAT NY, RHNY PON 3010 Incentive - Empi	10,625
			NYS Electric and Gas	RENEWABLE HEAT NY, Renewable Heating & Cooling	7,500
		Saratoga	National Grid	RENEWABLE HEAT NY, The Radiant Store - Incentive	7,500

**Projects Selected for Funding by Region**  
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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount	
Capital Region	Trane	Columbia	National Grid	Real Time Enrgy Management, Hudson City Schools-RTEM	163,712	
	TRC Energy Services	Saratoga	NYS Electric and Gas	Commercial New Construc, Technical Review and Program S	33,750	
					NEW CONSTRUCTION PROGRAM, Technical Review and Program S	191,250
	Triad Technology Partners LLC	Albany	National Grid	NYSERDA ADMINISTRATION, Tableau Maintenance 2017 - 18	67,292	
	Trinity Heating & Air, Inc.	Albany	Central Hudson Gas a..	<200KW PV, NY-Sun	6,276	
		Saratoga	National Grid	<200KW PV, NY Sun	6,156	
	Troy Web Consulting, LLC	Albany	National Grid	NYSERDA ADMINISTRATION, SEP Comment Sysytem	14,985	
	TurnKey Internet, Inc.	Albany	National Grid	Industrial Process Effic, Industrial Process Efficiency	34,523	
	Unique Comp Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, I.T. Staff Augmentation	1,166,785	
	University of Rochester	Albany	National Grid	OTHER PROGRAM AREA, Annual Support for Laboratory	825,000	
	USS New Scotland 1 LLC	Albany	National Grid	>200KW PV, NY Sun	404,332	
	Vecino Group New York, LLC	Albany	National Grid	Low Rise New Construction, New Construction	61,800	
	Vincents Heating and Fuel Service, LLC	Schenectady	National Grid	RENEWABLE HEAT NY, Renewable Heating & Cooling	15,000	
		Washington	National Grid	RENEWABLE HEAT NY, RHNY Incentive - O'Brien	15,000	
	Vivint Solar	Albany	National Grid	<200KW PV, NY Sun	11,855	
		Rensselaer	National Grid	<200KW PV, NY Sun	5,512	
	<b>Total</b>					33,901,467
	Central New York	AEP Onsite Partners, LLC	Madison	National Grid	NY-SUN, PV System @ Madison County	974,616
		Alternative Power Solutions of NY, LLC	Cayuga	NYS Electric and Gas	<200KW PV, NY-Sun	5,936
Rochester Gas and El..				<200KW PV, NY Sun	12,720	
Madison			National Grid	<200KW PV, NY Sun	6,272	
Onondaga			National Grid	<200KW PV, NY Sun	38,288	
			NYS Electric and Gas	<200KW PV, NY Sun	6,240	
Oswego		National Grid	<200KW PV, NY Sun	7,680		
Apex Solar Power LLC		Cortland	National Grid	<200KW PV, NY Sun	8,360	
				<200KW PV, NY-Sun	5,520	
		Madison	National Grid	<200KW PV, NY Sun	5,628	
		Onondaga	National Grid	<200KW PV, NY Sun	1,316	
Arcadis U.S., Inc.		Onondaga	NYS Electric and Gas	Industrial Process Effic, Technical Review and Program S	4,437	
Bergmann Associates		Cortland	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	4,870	
		Madison	National Grid	Flexible Tech Assistance, FlexTech Consultant Selection	10,088	
		Onondaga	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
				Industrial Process Effic, Technical Review and Program S	25,250	
CDH Energy Corporation		Cayuga	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000	
		Madison	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	23,935	
				NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	12,500
		Onondaga	National Grid	Industrial Process Effic, Technical Review and Program S	5,540	
		Oswego	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
Central New York Regional Planning and		Onondaga	National Grid	SMART GRID SYSTEMS, RFP 3044 R2	999,140	
CNY Solar, Inc.		Madison	National Grid	<200KW PV, NY Sun	6,240	
			NYS Electric and Gas	<200KW PV, NY Sun	352	
		Onondaga	National Grid	<200KW PV, NY Sun	7,056	
					<200KW PV, NY-Sun	6,096
		Oswego	National Grid	<200KW PV, NY-Sun	5,344	
Earth Sensitive Solutions, LLC		Cayuga	NYS Electric and Gas	Campus/Technical Assistance, Auburn Heritage Center	22,300	
Ecovis, Inc.		Onondaga	National Grid	<200KW PV, NY Sun	5,292	
EME Consulting Engineering Group, LLC		Cayuga	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
		Cortland	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
		Madison	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
				NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
ForeFront Power, LLC		Madison	National Grid	>200KW PV, NY Sun	459,736	
		Oswego	National Grid	>200KW PV, NY Sun	459,736	
Fort Leazier Solar, LLC		Oswego	National Grid	>200KW PV, NY Sun	654,947	
Fourth Coast, Inc.		Onondaga	National Grid	<200KW PV, NY Sun	84	
Freedom Solar Inc.		Cortland	National Grid	<200KW PV, NY Sun	7,800	
Halcyon, Inc.		Cortland	National Grid	<200KW PV, NY Sun	5,360	
		Onondaga	National Grid	<200KW PV, NY Sun	8,024	
		Oswego	National Grid	<200KW PV, NY Sun	5,040	
High Peaks Solar		Oswego	National Grid	>200KW PV, NY Sun	603,651	
Howland Solar, LLC		Oswego	National Grid	>200KW PV, NY Sun	992,984	
IBC Engineering PC		Onondaga	National Grid	Commercial New Construc, IBC - EMP	31,235	
L&S Energy Services, Inc.		Cortland	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
		Onondaga	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
				NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	Oswego	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500		

**Projects Selected for Funding by Region**  
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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount	
Central New York	New Energy Equity LLC	Onondaga	NYS Electric and Gas	>200KW PV, NY Sun	279,110	
	Nickels Energy Solutions LLC	Onondaga	National Grid	<200KW PV, NY Sun	17,028	
		Oswego	National Grid	<200KW PV, NY Sun	5,490	
	Northeast Agriculture Technology Corp	Cortland	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
		Madison	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
			NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
		Onondaga	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
	Onondaga Community College	Onondaga	National Grid	REV CAMPUS CHALLENGE, RM6 - Onondaga CC	113,862	
	Paradise Energy Solutions, LLC	Oswego	National Grid	<200KW PV, NY Sun	5,760	
	Pyramid Company of Onondaga	Onondaga	National Grid	Commercial New Construc, NCP15002 - Destiny USA Hotel	45,167	
	QwikSolar, LLC	Cayuga	Rochester Gas and El.	<200KW PV, NY Sun	6,720	
	Rapid Response Monitoring Services, Inc	Onondaga	National Grid	Industrial Process Effic, Industrial Process Efficiency	33,792	
	Renovus Energy, Inc.	Cortland	National Grid	<200KW PV, NY Sun	9,360	
			NYS Electric and Gas	<200KW PV, NY-Sun	5,664	
	Skyline Solar Inc.	Oswego	National Grid	<200KW PV, NY Sun	29,040	
	SolarCity Corporation	Cortland	National Grid	>200KW PV, NY Sun	883,593	
	sun8 PDC LLC	Cortland	National Grid	>200KW PV, NY Sun	1,500,158	
	Sustainable Energy Developments Inc.	Onondaga	National Grid	<200KW PV, NY Sun	8,160	
	Taitem Engineering, P.C.	Cayuga	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
		Cortland	National Grid	<200KW PV, NY-Sun	6,576	
				On-Site Energy Manager, FlexTech Consultant Selection	117,113	
			NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
		Onondaga	National Grid	<200KW PV, NY Sun	8,064	
				<200KW PV, NY-Sun	91,556	
				Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,996	
				Commercial New Construc, Taitem - EMP	23,947	
	Trane	Cayuga	NYS Electric and Gas	Flexible Tech Assistance, FlexTech Consultant Selection	24,036	
	Ultra Dairy, LLC	Onondaga	National Grid	Industrial Process Effic, Industrial Process Efficiency	71,001	
	Upstate Alternative Energy	Onondaga	National Grid	<200KW PV, NY Sun	6,720	
	Vautrin Construction	Oswego	National Grid	Low Rise New Construction, New Construction	5,000	
	<b>Total</b>				<b>8,787,524</b>	
	Finger Lakes	Abundant Solar Power Inc.	Monroe	Rochester Gas and El.	>200KW PV, NY Sun	414,870
			Wayne	Rochester Gas and El.	>200KW PV, NY Sun	1,703,407
		ACM Medical Laboratory, Inc.	Monroe	Rochester Gas and El.	>200KW PV, NY Sun	193,402
		American Packaging Corp.	Monroe	Rochester Gas and El.	Commercial New Construc, NCP15059 - American Packaging	130,267
		Antares Group, Inc.	Monroe	Rochester Gas and El.	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Program ..	1,307
			Seneca	NYS Electric and Gas	Commercial Imp Assist, Technical Review and Program S	3,532
			Wyoming	SILVER SPRINGS	Industrial Process Effic, Technical Review and Program S	6,501
		Apex Solar Power LLC	Genesee	National Grid	<200KW PV, NY Sun	5,610
			Livingston	National Grid	<200KW PV, NY Sun	5,940
		Monroe	National Grid	<200KW PV, NY Sun	5,500	
		Wyoming	NYS Electric and Gas	<200KW PV, NY Sun	6,360	
Baldwin Real Estate Development, Corp.		Ontario	Rochester Gas and El.	Low Rise New Construction, New Construction	78,600	
Bausch & Lomb		Monroe	Rochester Gas and El.	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	123,409	
Bergmann Associates		Genesee	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000	
		Monroe	Rochester Gas and Electric	Commercial Imp Assist, Technical Review and Program S	14,300	
				Industrial Process Effic, Technical Review and Program S	70,670	
		Ontario	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	8,200	
		Orleans	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
		Wyoming	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	3,650	
		Yates	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
Buffalo Solar Solutions Inc		Genesee	National Grid	<200KW PV, NY Sun	5,640	
		Wyoming	NYS Electric and Gas	<200KW PV, NY Sun	5,304	
			Rochester Gas and El.	<200KW PV, NY Sun	13,800	
C.J. Brown Energy, P.C.		Monroe	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	3,498	
		Orleans	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
		Wayne	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	3,498	
		Wyoming	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
			NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	11,603	
			Rochester Gas and El.	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
CDH Energy Corporation		Ontario	Rochester Gas and El.	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
CDS Monarch Inc		Monroe	Rochester Gas and El.	Low Rise New Construction, New Construction	78,600	
CHA Consulting Inc.		Monroe	Rochester Gas and Electric	Industrial Process Effic, Technical Review and Program S	84,900	
				INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Program ..	1,800	
		Ontario	Rochester Gas and El.	Industrial Process Effic, Technical Review and Program S	12,100	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Finger Lakes	CHA Consulting Inc.	Orleans	National Grid	Industrial Process Effic, Technical Review and Program S	25,800
	Charles Settlement House, Inc.	Monroe	Rochester Gas and El.	Low Rise New Construction, New Construction	54,000
	Dawes Solar, LLC	Wayne	NYS Electric and Gas	>200KW PV, NY Sun	654,947
	Delaware River Solar, LLC	Monroe	Rochester Gas and El.	>200KW PV, NY Sun	3,762,106
			SPENCERPORT	>200KW PV, NY Sun	1,881,053
	DePaul Properties, Inc.	Livingston	Rochester Gas and El.	Low Rise New Construction, New Construction	56,000
	Distributed Sun, LLC	Ontario	NYS Electric and Gas	>200KW PV, NY Sun	718,334
	Ecovis, Inc.	Livingston	Rochester Gas and El.	<200KW PV, NY Sun	6,048
		Monroe	National Grid	<200KW PV, NY Sun	7,056
				<200KW PV, NY-Sun	5,280
		Ontario	Rochester Gas and El.	<200KW PV, NY Sun	9,936
	EMCOR Services Betlem	Monroe	Rochester Gas and El.	Flexible Tech Assistance, FlexTech Consultant Selection	24,197
		Wayne	NYS Electric and Gas	On-Site Energy Manager, FlexTech Consultant Selection	152,610
	Erdman Anthony & Associates, Inc.	Monroe	Rochester Gas and El.	Industrial Process Effic, Technical Review and Program S	5,624
		Ontario	Rochester Gas and Electric	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
				Flexible Tech Assistance, FlexTech Consultant Selection	17,958
		Orleans	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	Finger Lakes Community College	Ontario	Rochester Gas and El.	REV CAMPUS CHALLENGE, RM3 - Finger Lakes Community C	54,307
	Finger Lakes Extrusion	Ontario	Rochester Gas and El.	>200KW PV, NY Sun	121,298
	ForeFront Power, LLC	Genesee	National Grid	>200KW PV, NY Sun	58,276
		Monroe	National Grid	>200KW PV, NY Sun	946,551
	Fusion Energy Services LLC	Ontario	National Grid	<200KW PV, NY Sun	8,568
	Garlock Sealing Technologies, LLC	Wayne	NYS Electric and Gas	Industrial Process Effic, Industrial Process Efficiency	91,099
	Genesee Valley Rural Preservation	Livingston	National Grid	Low Rise New Construction, New Construction	56,000
	George E Denmark II	Livingston	NYS Electric and Gas	<200KW PV, NY Sun	8,208
	Geotherm Inc.	Genesee	National Grid	<200KW PV, NY Sun	8,352
		Monroe	Rochester Gas and El.	<200KW PV, NY Sun	6,528
		Ontario	National Grid	<200KW PV, NY Sun	5,336
		Yates	NYS Electric and Gas	<200KW PV, NY Sun	6,726
	Goulds Pumps	Seneca	NYS Electric and Gas	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	53,727
	GWE Project HoldCo 3, LLC	Ontario	NYS Electric and Gas	NY-SUN, PV System @ Ithaca College	1,620,369
	Halfpenny Solar LLC	Ontario	National Grid	>200KW PV, NY Sun	992,984
	High Falls Operating Co, LLC	Monroe	Rochester Gas and El.	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	870,261
	High Tech Rochester Inc.	Monroe	Rochester Gas and El.	NEW CONSTRUCTION PROGRAM, NCP12988 - SibleyBuilding 6 FI	9,782
	ICF Resources, LLC	Monroe	Rochester Gas and El.	Commercial Imp Assist, Technical Review and Program S	12,582
	Johnson Controls Inc.	Genesee	National Grid	Flexible Tech Assistance, FlexTech Consultant Selection	31,084
	L&S Energy Services, Inc.	Monroe	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
			Rochester Gas and Electric	Industrial Process Effic, Technical Review and Program S	5,064
				INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Program ..	1,538
		Ontario	Rochester Gas and El.	Industrial Process Effic, Technical Review and Program S	5,835
	LaBella Associates, P.C.	Genesee	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
		Monroe	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
		Wayne	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
			Rochester Gas and El.	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	Lumalon LLC	Monroe	Rochester Gas and El.	Commercial Imp Assist, CIAP008 - Lumalon; RRHH	150,000
	M/E Engineering, P.C.	Monroe	Rochester Gas and El.	Commercial Imp Assist, Technical Review and Program S	8,870
		Wayne	NYS Electric and Gas	Industrial Process Effic, Technical Review and Program S	6,635
	Morton Salt Inc	Wyoming	SILVER SPRINGS	Industrial Process Effic, Industrial Process Efficiency	92,460
	Muckdog Solar II, LLC	Genesee	National Grid	>200KW PV, NY Sun	845,093
	Muckdog Solar, LLC	Genesee	National Grid	>200KW PV, NY Sun	845,093
	Norbut Solar Farm LLC	Monroe	Rochester Gas and El.	>200KW PV, NY Sun	700,067
	Northeast Agriculture Technology Corp	Wyoming	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
			NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
			Rochester Gas and El.	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	NYS Office of Children & Family Services	Monroe	National Grid	EXISTING FACILITIES, EFP2445 - NYS OCFS	31,819
	O'Connell Electric Company	Wayne	Rochester Gas and El.	>200KW PV, NY Sun	1,084,031
	OneEnergy Development LLC	Monroe	Rochester Gas and El.	>200KW PV, NY Sun	3,527,245
	Paradise Energy Solutions, LLC	Genesee	National Grid	<200KW PV, NY Sun	20,360
		Yates	NYS Electric and Gas	<200KW PV, NY Sun	6,200
	Partners in Community Development	Monroe	Rochester Gas and El.	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residen..	560,482
	Pathstone Corporation	Monroe	Rochester Gas and El.	CLEANER GREENER COMMUNITIES, Green Jobs Green New York	14,500
	PlugPV, LLC	Monroe	Rochester Gas and El.	<200KW PV, NY Sun	6,000
	Plymouth Gardens, Inc.	Monroe	Rochester Gas and El.	Low Rise New Construction, New Construction	70,000
	Power & Construction Group, Inc.	Monroe	National Grid	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	5,791
	Power Management Co., LLC	Monroe	Rochester Gas and El.	<200KW PV, NY Sun	8,004

**Projects Selected for Funding by Region**  
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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount	
Finger Lakes	Providence Housing Development Corp	Monroe	Rochester Gas and El..	Low Rise New Construction, New Construction	63,000	
	QwikSolar, LLC	Livingston	National Grid	<200KW PV, NY Sun	6,048	
		Monroe	Rochester Gas and El..	<200KW PV, NY Sun	5,264	
		Ontario	NYS Electric and Gas	<200KW PV, NY Sun	94,684	
				<200KW PV, NY-Sun	6,880	
			Rochester Gas and El..	<200KW PV, NY Sun	13,664	
		Wayne	NYS Electric and Gas	<200KW PV, NY Sun	7,168	
				Rochester Gas and El..	<200KW PV, NY-Sun	9,568
		Yates	NYS Electric and Gas	<200KW PV, NY Sun	18,544	
				<200KW PV, NY-Sun	7,328	
		RED Rochester	Monroe	Rochester Gas and El..	Industrial Process Effic, Industrial Process Efficiency	2,000,000
	Renovus Energy, Inc.	Wayne	NYS Electric and Gas	<200KW PV, NY Sun	8,976	
	RER Energy Group LLC	Livingston	National Grid	>200KW PV, NY Sun	422,174	
	Solar and Wind FX, Inc. (Chris Schaefer)	Monroe	National Grid	<200KW PV, NY Sun	10,000	
	Solar Liberty Energy Systems, Inc	Livingston	NYS Electric and Gas	<200KW PV, NY Sun	98	
	Sustainable Energy Developments Inc.	Livingston	National Grid	<200KW PV, NY Sun	5,712	
				<200KW PV, NY Sun	17,344	
		Monroe	Rochester Gas and Electric	<200KW PV, NY Sun	6,000	
				>200KW PV, NY Sun	1,838,334	
		Ontario	Rochester Gas and El..	<200KW PV, NY Sun	21,360	
		Orleans	National Grid	<200KW PV, NY Sun	6,480	
		Wayne	NYS Electric and Gas	<200KW PV, NY Sun	10,000	
				Rochester Gas and El..	<200KW PV, NY Sun	132
		Wyoming	National Grid	<200KW PV, NY Sun	6,000	
		Taitem Engineering, P.C.	Livingston	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	Seneca		NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000	
	Yates		NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000	
	United Wind Project I, LLC	Genesee	National Grid	SMALL WIND, Wind Turbine Incentive	388,430	
		Wayne	Rochester Gas and El..	SMALL WIND, Wind Turbine Incentive	39,847	
	University of Rochester	Monroe	Rochester Gas and Electric	ENVIRONMENTAL RESEARCH, Energy Related Air Quality	49,805	
				Industrial Process Effic, Industrial Process Efficiency	76,699	
	Upstate Alternative Energy	Wayne	Rochester Gas and El..	<200KW PV, NY-Sun	7,840	
	Viola Homes Inc.	Monroe	Rochester Gas and El..	<200KW PV, NY Sun	30,828	
		Ontario	Rochester Gas and El..	<200KW PV, NY Sun	5,101	
	Volunteers of America Western New York	Monroe	Rochester Gas and El..	NEW YORK ENERGY STAR HOMES, New Construction	120,000	
	Whitestone Solar, LLC	Ontario	Rochester Gas and El..	>200KW PV, NY Sun	845,093	
	Xerox Corp	Monroe	Rochester Gas and El..	Industrial Process Effic, Industrial Process Efficiency	487,630	
	Xzerta Energy Group LLC	Monroe	Rochester Gas and El..	>200KW PV, NY Sun	1,587,138	
	YMCA of Greater Rochester	Monroe	Rochester Gas and El..	Commercial Imp Assist, Commercial	67,500	
	You Save Green Incorporated	Monroe	Rochester Gas and El..	<200KW PV, NY-Sun	5,104	
		Ontario	NYS Electric and Gas	>200KW PV, NY Sun	782,787	
				Rochester Gas and Electric	<200KW PV, NY Sun	16,016
				>200KW PV, NY Sun	632,555	
		Orleans	National Grid	<200KW PV, NY Sun	5,016	
	<b>Total</b>				<b>33,128,989</b>	
	Long Island	110 Petroleum Corp	Suffolk	Long Island Power Au..	FUEL NY, PGI00278 - 110 Petroleum Corp	68,400
		Centereach Fuel	Suffolk	Long Island Power Au..	FUEL NY, PGI00297 - Centereach Fuel	17,708
		Chris's Service Center	Nassau	Long Island Power Au..	FUEL NY, PGI00276 - Chris's Service Cen	66,900
		Duplex Inc	Suffolk	Long Island Power Au..	FUEL NY, PGI00301 - Duplex Inc.	18,691
		Lakegrove Mart Inc	Suffolk	Long Island Power Au..	FUEL NY, PGI00298 - Lakegrove Mart Inc	18,777
		Second Street Enterprise Inc.	Nassau	Long Island Power Au..	FUEL NY, PGI00265 - Second Street Enter	82,950
		TROPICANA MART INC	Suffolk	Long Island Power Au..	FUEL NY, PGI00249 - Tropicana Mart Inc.	21,015
		7-Eleven Inc.	Suffolk	Long Island Power Au..	FUEL NY, PGI00234 - 7-Eleven Inc.	35,700
		171 Carleton Ave Energy Inc	Suffolk	Long Island Power Au..	FUEL NY, PGI00116 - 171 Carleton Avenue	34,824
		1185 Straight Path Corp.	Suffolk	Long Island Power Au..	FUEL NY, PGI00026 - 1185 Straight Path	11,746
		ARJ Gas N Mart Inc.	Suffolk	Long Island Power Au..	FUEL NY, PGI00241 - ARJ Gas N Mart Inc.	12,985
		Astrum Solar, Inc.	Nassau	Long Island Power Au..	<200KW PV, NY Sun	108,838
		Blue Sea Development Company, LLC	Suffolk	Long Island Power Au..	COMMUNITY SOLAR, Affordable Solar Predevelopmen	83,000
		Bolla Operating LI Corp.	Nassau	FREEPORT	FUEL NY, PGI00098 - Bolla Operating LI	1,905
					Long Island Power Authority	FUEL NY, PGI00043 - Bolla Operating LI
					FUEL NY, PGI00143 - Bolla Operating LI	69,911
			Suffolk	Long Island Power Au..	FUEL NY, PGI00033 - Bolla Operating LI	75,676
		Built Well Solar Corp	Nassau	Long Island Power Au..	<200KW PV, NY Sun	8,663
		East End Marketing Corp.	Suffolk	Long Island Power Authority	FUEL NY, PGI00166 - East End Marketing	59,270
					FUEL NY, PGI00187 - East End Marketing	65,032

**Projects Selected for Funding by Region**  
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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount		
Long Island	Eastern Energy Systems Inc.	Nassau	Long Island Power Au..	<200KW PV, NY Sun	8,978		
		Suffolk	Long Island Power Au..	<200KW PV, NY Sun	30,277		
	Empower CES, LLC	Suffolk	Long Island Power Au..	<200KW PV, NY Sun	9,038		
		Genesis Petroleum Inc.	Nassau	FREEPORT	FUEL NY, PGI00252 - Genesis Petroleum	23,161	
			Long Island Power Au..	FUEL NY, PGI00253 - Genesis Petroleum	23,161		
	Suffolk		Long Island Power Authority	FUEL NY, PGI00251 - Genesis Petroleum	22,705		
				FUEL NY, PGI00254 - Genesis Petroleum	17,190		
			FUEL NY, PGI00255 - Genesis Petroleum	23,750			
	Global Common, LLC	Nassau	FREEPORT	SMART GRID SYSTEMS, RFP 3044 R2	1,000,000		
	Global Montello Group Corp.	Nassau	Long Island Power Au..	FUEL NY, PGI00027 - Global Montello Gro	63,839		
		Suffolk	Long Island Power Authority	FUEL NY, PGI00209 - Global Montello Gro	67,898		
				FUEL NY, PGI00212 - Global Montello Gro	74,000		
	Green Sulcrete LLC	Suffolk	Long Island Power Au..	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Sulcrete Pilo..	400,000		
	H.O. 110 Inc.	Suffolk	Long Island Power Au..	FUEL NY, PGI00266 - H.O. 110 Inc.	82,950		
	Harvest Power, LLC	Nassau	Long Island Power Authority	<200KW PV, NY Sun	5,280		
				<200KW PV, NY-Sun	7,327		
		Suffolk	Long Island Power Authority	<200KW PV, NY Sun	66,085		
				<200KW PV, NY-Sun	238		
	Hawaii Energy Connection	Suffolk	Long Island Power Au..	<200KW PV, NY Sun	5,830		
	Hill Enterprises Inc.	Nassau	Long Island Power Au..	FUEL NY, PGI00262 - Hill Enterprises In	78,750		
	IPPsolar Integration LLC	Nassau	Long Island Power Au..	<200KW PV, NY Sun	12,592		
	JAV Petroleum	Suffolk	Long Island Power Au..	FUEL NY, PGI00176 - JAV Petroleum	95,450		
	Leon Petroleum	Nassau	Long Island Power Au..	FUEL NY, PGI00274 - Leon Petroleum	68,400		
		Suffolk	Long Island Power Au..	FUEL NY, PGI00029 - Leon Petroleum	20,664		
	Melville Fuel Inc.	Suffolk	Long Island Power Au..	FUEL NY, PGI00302 - Melville Fuel Inc.	17,708		
	OK Petroleum Distribution Corp	Nassau	Long Island Power Authority	FUEL NY, PGI00158 - OK Petroleum Distri	70,760		
				FUEL NY, PGI00159 - OK Petroleum Distri	89,852		
		Suffolk	Long Island Power Au..	FUEL NY, PGI00123 - OK Petroleum Distri	65,736		
	PMG Northeast LLC	Nassau	Long Island Power Authority	FUEL NY, PGI00046 - PMG Northeast LLC	1,838		
				FUEL NY, PGI00059 - PMG Northeast LLC	54,853		
				FUEL NY, PGI00081 - PMG Northeast LLC	4,062		
				FUEL NY, PGI00120 - PMG Northeast LLC	57,936		
				FUEL NY, PGI00173 - PMG Northeast LLC	64,276		
				FUEL NY, PGI00182 - PMG Northeast LLC	9,729		
				FUEL NY, PGI00198 - PMG Northeast LLC	8,141		
				FUEL NY, PGI00203 - PMG Northeast LLC	11,684		
				FUEL NY, PGI00230 - PMG Northeast LLC	74,000		
				Suffolk	Long Island Power Authority	FUEL NY, PGI00079 - PMG Northeast LLC	69,280
						FUEL NY, PGI00178 - PMG Northeast LLC	6,114
						FUEL NY, PGI00179 - PMG Northeast LLC	1,363
						FUEL NY, PGI00180 - PMG Northeast LLC	5,696
						FUEL NY, PGI00192 - PMG Northeast LLC	65,514
	FUEL NY, PGI00199 - PMG Northeast LLC	1,459					
			FUEL NY, PGI00200 - PMG Northeast LLC	7,556			
	Prime Petro Inc	Nassau	Long Island Power Au..	FUEL NY, PGI00300 - Prime Petro Inc.	18,691		
	R. Edge Contracting LLC	Suffolk	Long Island Power Au..	<200KW PV, NY Sun	16,898		
	Sentar Fuel Co	Nassau	Long Island Power Au..	FUEL NY, PGI00258 - Sentar Fuel Inc.	81,200		
	Shamir Ent LLC	Suffolk	Long Island Power Au..	FUEL NY, PGI00264 - Shamir Ent LLC	69,400		
	Sinai Fuels LLC	Suffolk	Long Island Power Au..	FUEL NY, PGI00213 - Sinai Fuels LLC	74,000		
	SPJ LLC	Suffolk	Long Island Power Au..	FUEL NY, PGI00284 - SPJ LLC	84,000		
	SuNation Solar Systems, Inc.	Nassau	Long Island Power Au..	<200KW PV, NY Sun	8,058		
		Suffolk	Long Island Power Au..	<200KW PV, NY Sun	106,003		
	SunPower Capital, LLC	Suffolk	Long Island Power Au..	<200KW PV, NY Sun	5,234		
	SUNRISE ELECTRICAL SERVICES	Nassau	Long Island Power Au..	<200KW PV, NY-Sun	94,000		
Suten Inc	Suffolk	Long Island Power Au..	FUEL NY, PGI00257 - Suten Inc.	29,165			
The Source Service Station, Inc.	Nassau	Long Island Power Au..	FUEL NY, PGI00259 - The Source Service	71,250			
Town of North Hempstead	Nassau	Long Island Power Au..	CLEANER GREENER COMMUNITIES, CGC41786 - EVSE along LIE	625,000			
Trinity Heating & Air, Inc.	Nassau	Long Island Power Au..	<200KW PV, NY Sun	33,770			
Village of Rockville Centre	Nassau	ROCKVILLE CENTRE	SMART GRID SYSTEMS, RFP 3044 R2	1,000,000			
Willdan Energy Solutions	Suffolk	Long Island Power Au..	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Program ..	3,294			
<b>Total</b>				<b>6,078,891</b>			
Mid-Hudson	Access Supports for Living Inc.	Sullivan	NYS Electric and Gas	Low Rise New Construction, New Construction	137,200		
	ACE Solar LLC	Westchester	Consolidated Edison	<200KW PV, NY Sun	230		
	Active Solar Development, LLC	Ulster	Central Hudson Gas a..	>200KW PV, NY Sun	82,759		
	Adam C. Boese	Dutchess	Central Hudson Gas a..	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	7,500		

**Projects Selected for Funding by Region**  
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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount	
Mid-Hudson	Adam C. Boese	Dutchess	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
		Orange	Central Hudson Gas a..	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	12,500	
			NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	15,000	
			Orange and Rockland..	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	60,500	
		Putnam	Central Hudson Gas a..	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
			NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
		Sullivan	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000	
		Ulster	Central Hudson Gas a..	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	17,500	
		AHOLD USA INC	Putnam	NYS Electric and Gas	Commercial New Construc, NCP16010 - Stop & Shop Mahopac	27,282
		Amergy Solar Inc.	Westchester	Consolidated Edison	<200KW PV, NY-Sun	8,698
		Apex Solar Power LLC	Orange	Orange and Rockland..	<200KW PV, NY Sun	5,632
			Ulster	Central Hudson Gas a..	<200KW PV, NY Sun	7,260
			Westchester	NYS Electric and Gas	<200KW PV, NY Sun	6,240
		Arcadis U.S., Inc.	Orange	Central Hudson Gas a..	Industrial Process Effic, Technical Review and Program S	2,910
		Astrum Solar, Inc.	Dutchess	Central Hudson Gas a..	<200KW PV, NY Sun	5,280
			Orange	NYS Electric and Gas	<200KW PV, NY Sun	6,360
				Orange and Rockland..	<200KW PV, NY Sun	6,742
			Sullivan	Orange and Rockland..	<200KW PV, NY Sun	6,380
			Ulster	Central Hudson Gas a..	<200KW PV, NY-Sun	5,424
Best Energy Power	Westchester	Consolidated Edison	<200KW PV, NY Sun	170,221		
Borrego Solar Systems, Inc.	Orange	Orange and Rockland..	>200KW PV, NY Sun	1,872,795		
	Ulster	Central Hudson Gas a..	>200KW PV, NY Sun	1,819,217		
Brenner Builders	Westchester	NYS Electric and Gas	Low Rise New Construction, New Construction	5,000		
Buselli Plumbing & Heating	Sullivan	NYS Electric and Gas	<200KW PV, NY Sun	16,000		
C.T. Male Associates Engineering,	Orange	Orange and Rockland..	Industrial Process Effic, Technical Review and Program S	9,617		
Callanan Industries	Ulster	Central Hudson Gas a..	Industrial Process Effic, Industrial Proce Efficiency	26,091		
Calliope Solar, LLC	Sullivan	Orange and Rockland..	>200KW PV, NY Sun	845,093		
Carlisle Construction Materials	Orange	Central Hudson Gas a..	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	132,195		
CDM Smith, Inc.	Orange	Orange and Rockland..	Industrial Process Effic, Technical Review and Program S	3,949		
CEC Solar #1201, LLC	Orange	Orange and Rockland..	>200KW PV, NY Sun	651,990		
Community Energy Solar, LLC	Orange	Orange and Rockland..	>200KW PV, NY Sun	611,982		
CON EDISON SOLUTIONS, INC.	Orange	Orange and Rockland..	>200KW PV, NY Sun	101,105		
CyrusOne	Dutchess	Central Hudson Gas a..	Industrial Process Effic, Indutrial Process Efficiency	116,727		
Danfoss Holding Security Corporation	Westchester	Consolidated Edison	EXISTING FACILITIES, EFP2417 - Danfoss Holding Secu	21,240		
		NYS Electric and Gas	EXISTING FACILITIES, EFP2417 - Danfoss Holding Secu	8,400		
Dejager Solar, LLC	Ulster	Central Hudson Gas a..	>200KW PV, NY Sun	845,093		
Delaware River Solar, LLC	Sullivan	NYS Electric and Gas	>200KW PV, NY Sun	1,853,791		
EcoMen Solar, LLC	Orange	Central Hudson Gas a..	<200KW PV, NY Sun	8,004		
Eldor Contracting Corporation	Westchester	Consolidated Edison	<200KW PV, NY Sun	20,230		
Empire Solar Solutions LLC	Dutchess	Central Hudson Gas a..	<200KW PV, NY Sun	14,160		
	Orange	Central Hudson Gas a..	<200KW PV, NY Sun	20,400		
		Orange and Rockland..	<200KW PV, NY Sun	33,938		
	Putnam	Central Hudson Gas a..	<200KW PV, NY Sun	5,040		
	Rockland	Orange and Rockland..	<200KW PV, NY Sun	5,160		
	Sullivan	Orange and Rockland..	<200KW PV, NY Sun	5,400		
	Ulster	Central Hudson Gas a..	<200KW PV, NY Sun	22,800		
Empire State Realty OP, LP	Westchester	Consolidated Edison	EXISTING FACILITIES, EFP2350 - Empire State Realty	70,820		
Energy & Resource Solutions, Inc.	Dutchess	Central Hudson Gas a..	Industrial Process Effic, Technical Review and Program S	45,685		
	Westchester	Consolidated Edison	Industrial Process Effic, Technical Review and Program S	17,495		
Florenton River LLC	Orange	Orange and Rockland..	<200KW PV, NY Sun	7,906		
	Rockland	Orange and Rockland..	<200KW PV, NY Sun	10,480		
	Westchester	Consolidated Edison	<200KW PV, NY Sun	37,268		
			<200KW PV, NY-Sun	5,984		
Fordemoor Solar, LLC	Ulster	Central Hudson Gas a..	>200KW PV, NY Sun	654,947		
Frog Hollow Solar, LLC	Ulster	Central Hudson Gas a..	>200KW PV, NY Sun	845,093		
Global Montello Group Corp.	Westchester	Consolidated Edison	FUEL NY, PGI00208 - Global Montello Gro	73,793		
Golden Hill Solar, LLC	Orange	Orange and Rockland..	>200KW PV, NY Sun	992,984		
Green Hybrid Energy Solutions Inc.	Westchester	Consolidated Edison	<200KW PV, NY Sun	50,620		
Green Street Power Partners LLC	Orange	Orange and Rockland..	>200KW PV, NY Sun	393,636		
	Putnam	NYS Electric and Gas	<200KW PV, NY Sun	7,200		
	Westchester	Consolidated Edison	<200KW PV, NY Sun	22,300		
			>200KW PV, NY Sun	151,718		
Greenskies Renewable Energy LLC	Rockland	Orange and Rockland..	>200KW PV, NY Sun	116,398		
Group-S LLC	Westchester	Consolidated Edison	Flexible Tech Assistance, FlexTech Consultant Selection	7,363		
Hackley School	Westchester	Consolidated Edison	NEW CONSTRUCTION PROGRAM, NCP14060 - HealthWellness-OFLT	137,216		



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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount	
Mid-Hudson	Howell Solar, LLC	Orange	Orange and Rockland..	>200KW PV, NY Sun	845,093	
	Hudson River Trading	Westchester	Consolidated Edison	Industrial Process Effic, Industrial Process Efficiency	232,764	
	Hudson Solar	Dutchess	Central Hudson Gas and Electric	<200KW PV, NY Sun	79,144	
				>200KW PV, NY Sun	122,617	
		Orange	Central Hudson Gas a..	<200KW PV, NY-Sun	5,447	
				Orange and Rockland Utilities	<200KW PV, NY Sun	22,295
				>200KW PV, NY Sun	84,888	
		Putnam	Central Hudson Gas a..	<200KW PV, NY Sun	6,324	
				NYS Electric and Gas	<200KW PV, NY Sun	6,720
		Ulster	Central Hudson Gas and Electric	<200KW PV, NY Sun	5,814	
				<200KW PV, NY-Sun	5,372	
		Janiak Solar, LLC	Orange	Orange and Rockland..	>200KW PV, NY Sun	845,093
	Jessup Switch Solar LLC	Orange	Orange and Rockland..	>200KW PV, NY Sun	611,982	
	Johnson Controls Inc.	Dutchess	Central Hudson Gas a..	Flexible Tech Assistance, FlexTech Consultant Selection	30,328	
	Kasselman Solar LLC	Dutchess	Central Hudson Gas a..	<200KW PV, NY Sun	11,984	
		Sullivan	NYS Electric and Gas	<200KW PV, NY Sun	5,088	
	Kuhl Solar, LLC	Sullivan	Orange and Rockland..	>200KW PV, NY Sun	845,093	
	L&S Energy Services, Inc.	Westchester	Consolidated Edison	Industrial Process Effic, Technical Review and Program S	9,873	
	LaBella Associates, P.C.	Orange	Central Hudson Gas a..	NEW CONSTRUCTION PROGRAM, New Construction	8,909	
				NYS Electric and Gas	NEW CONSTRUCTION PROGRAM, New Construction	14,114
		Westchester	Consolidated Edison	NEW CONSTRUCTION PROGRAM, New Construction	10,434	
	Landau Solar, LLC	Ulster	Central Hudson Gas a..	>200KW PV, NY Sun	654,947	
	Lockenhurst Pond Solar LLC	Orange	Orange and Rockland..	>200KW PV, NY Sun	530,365	
	Long Island Power Solutions	Westchester	Consolidated Edison	<200KW PV, NY Sun	6,720	
	Lotus Energy, Inc.	Putnam	Central Hudson Gas a..	<200KW PV, NY Sun	6,336	
		Ulster	Central Hudson Gas a..	<200KW PV, NY Sun	5,760	
	Mannino Electric, Inc.	Dutchess	Central Hudson Gas a..	<200KW PV, NY Sun	6,528	
	Mastercard International	Westchester	Consolidated Edison	>200KW PV, NY Sun	254,412	
	McCarthy Solar, LLC	Orange	Orange and Rockland..	>200KW PV, NY Sun	654,947	
	Minisink Solar LLC	Orange	Orange and Rockland..	>200KW PV, NY Sun	222,090	
	Mt. Kisco Snacks Inc.	Westchester	Consolidated Edison	FUEL NY, GSP00744 - Mt. Kisco Snacks In	20,710	
	New Beginnings Solar, LLC	Ulster	Central Hudson Gas a..	>200KW PV, NY Sun	654,947	
	New York State Solar Farm Inc.	Orange	Orange and Rockland..	<200KW PV, NY Sun	670	
		Ulster	Central Hudson Gas a..	<200KW PV, NY Sun	17,004	
		Dutchess	Central Hudson Gas a..	>200KW PV, NY Sun	524,579	
	Nexamp Inc.	Orange	Orange and Rockland..	>200KW PV, NY Sun	568,104	
				Ulster	Central Hudson Gas a..	>200KW PV, NY Sun
		Orange	Orange and Rockland..	Industrial Process Effic, Technical Review and Program S	5,733	
	Novel Approaches Solar Applications, LLC	Orange	Orange and Rockland..	<200KW PV, NY Sun	8,432	
	Novus Engineering, P.C.	Rockland	Orange and Rockland..	Commercial New Construc, Novus-Energy Modeling Partner	10,401	
	NYS Office of Children & Family Services	Orange	Orange and Rockland..	EXISTING FACILITIES, EFP2445 - NYS OCFS	4,982	
		Ulster	Central Hudson Gas a..	EXISTING FACILITIES, EFP2445 - NYS OCFS	30,864	
	OLA Consulting Engineers, P.C.	Dutchess	NYS Electric and Gas	Flexible Tech Assistance, FlexTech Consultant Selection	5,100	
	Omni-Navitas - MAP-ES NY LLC	Dutchess	Central Hudson Gas a..	>200KW PV, NY Sun	2,406,585	
NYS Electric and Gas				>200KW PV, NY Sun	892,332	
Paradise Energy Solutions, LLC	Orange	Orange and Rockland..	<200KW PV, NY Sun	54,800		
	Ulster	NYS Electric and Gas	<200KW PV, NY Sun	13,192		
Peter Reynolds	Ulster	Central Hudson Gas a..	Low Rise New Construction, New Construction	5,000		
Pine Plains School District	Dutchess	Central Hudson Gas a..	>200KW PV, NY Sun	124,677		
Powerhouse Dynamics, Inc	Ulster	Central Hudson Gas a..	Real Time Enrgy Management, TexasRoadhouse-MultiSites-RTEM	27,356		
Produttiva LLC	Westchester	Consolidated Edison	Commercial New Construc, NCP15026-DeCicco Sons Millwood	46,722		
Ruggirello Solar, LLC	Orange	Central Hudson Gas a..	>200KW PV, NY Sun	654,947		
Rural Ulster Preservation Company	Ulster	Central Hudson Gas a..	GJGNY REVOLVING LOAN FUND, Green Jobs Green New York Outr	22,000		
Salt Point Solar, LLC	Dutchess	Central Hudson Gas a..	>200KW PV, NY Sun	992,984		
Slate Hill Solar LLC	Orange	Orange and Rockland..	>200KW PV, NY Sun	388,900		
Solar Alchemy, Inc.	Ulster	Central Hudson Gas a..	<200KW PV, NY Sun	43,940		
Solar Generation, Inc.	Dutchess	Central Hudson Gas and Electric	<200KW PV, NY Sun	13,224		
			<200KW PV, NY-Sun	3,456		
	Ulster	Central Hudson Gas a..	<200KW PV, NY Sun	32,586		
Solar Liberty Energy Systems, Inc	Sullivan	Orange and Rockland..	<200KW PV, NY Sun	5,452		
Solar Maximum LLC	Westchester	Consolidated Edison	<200KW PV, NY Sun	11,412		
SolarCity Corporation	Dutchess	Central Hudson Gas and Electric	<200KW PV, NY Sun	27,370		
			<200KW PV, NY-Sun	2,108		
	Orange	Central Hudson Gas a..	<200KW PV, NY Sun	16,644		
		Orange and Rockland	<200KW PV, NY Sun	26,171		

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Mid-Hudson	SolarCity Corporation	Orange	Orange and Rockland Utilities	>200KW PV, NY Sun	582,795
		Putnam	Central Hudson Gas a..	<200KW PV, NY Sun	5,760
			NYS Electric and Gas	<200KW PV, NY Sun	12,652
		Ulster	Central Hudson Gas a..	<200KW PV, NY Sun	12,618
		Westchester	Consolidated Edison	<200KW PV, NY Sun	54,249
				<200KW PV, NY-Sun	57,414
	STR Systems NY, LLC	Dutchess	Central Hudson Gas a..	<200KW PV, NY Sun	15,066
	Sun Source Technologies	Dutchess	Central Hudson Gas a..	<200KW PV, NY Sun	13,500
		Orange	Orange and Rockland..	<200KW PV, NY Sun	5,400
		Rockland	Orange and Rockland..	<200KW PV, NY Sun	19,856
		Ulster	Central Hudson Gas a..	<200KW PV, NY Sun	58,154
	SunPower Capital, LLC	Dutchess	NYS Electric and Gas	<200KW PV, NY Sun	5,664
		Orange	Central Hudson Gas a..	<200KW PV, NY Sun	20,043
			Orange and Rockland..	<200KW PV, NY Sun	26,842
		Putnam	NYS Electric and Gas	<200KW PV, NY Sun	6,900
		Rockland	Orange and Rockland..	<200KW PV, NY Sun	34,154
		Ulster	Central Hudson Gas a..	<200KW PV, NY Sun	12,035
			NYS Electric and Gas	<200KW PV, NY Sun	5,207
		Westchester	Consolidated Edison	<200KW PV, NY Sun	31,017
	Sunrise Solar Solutions, LLC	Putnam	Central Hudson Gas a..	<200KW PV, NY Sun	5,616
		Westchester	Consolidated Edison	<200KW PV, NY Sun	36,596
			NYS Electric and Gas	<200KW PV, NY Sun	5,556
	SunRun, Inc	Dutchess	Central Hudson Gas a..	<200KW PV, NY Sun	19,400
		Rockland	Orange and Rockland..	<200KW PV, NY Sun	7,800
	Svenski Solar, LLC	Orange	Orange and Rockland..	>200KW PV, NY Sun	785,936
	Tarbell Solar, LLC	Orange	Orange and Rockland..	>200KW PV, NY Sun	1,014,112
	TerraForm Solar XVIII, LLC	Westchester	Consolidated Edison	>200KW PV, Blue Mountain Middle School	83,363
				>200KW PV, Buchanan Verplanck School	99,659
				>200KW PV, Frank Lindsey School	91,505
				>200KW PV, Furnace Woods Middle School	108,937
				>200KW PV, Henrick Hudson High School	64,328
	The Trust Account of Marc Elefant, PC	Westchester	Consolidated Edison	NY-SUN, Assignment of payment	133,034
	Ticon NY , Inc.	Rockland	Orange and Rockland..	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	20,000
	Town of Bedford	Westchester	NYS Electric and Gas	CLEANER GREENER COMMUNITIES, CGC62563 - Town of Bedford	250,000
	Trane	Dutchess	Central Hudson Gas a..	Real Time Enrgy Management, HydeParkCSD - Multisite - RTEM	364,127
		Westchester	Consolidated Edison	Real Time Enrgy Management, SimonePropDev-3010West-RTEM	100,600
	TRC Energy Services	Ulster	Central Hudson Gas a..	Industrial Process Effic, Technical Review and Program S	3,650
	Trinity Heating & Air, Inc.	Dutchess	Central Hudson Gas and Electric	<200KW PV, NY Sun	6,156
				<200KW PV, NY-Sun	6,960
		Putnam	NYS Electric and Gas	<200KW PV, NY Sun	85
	US Energy Concierge Inc	Dutchess	Central Hudson Gas a..	<200KW PV, NY Sun	7,200
		Westchester	Consolidated Edison	<200KW PV, NY Sun	6,944
	Vassar College	Dutchess	Central Hudson Gas a..	REV CAMPUS CHALLENGE, RM5 - Vassar College	103,438
	Vivint Solar	Dutchess	Central Hudson Gas a..	<200KW PV, NY Sun	5,336
				NYS Electric and Gas	<200KW PV, NY Sun
		Rockland	Orange and Rockland..	<200KW PV, NY Sun	6,656
	Wawayanda Solar LLC	Orange	Orange and Rockland..	>200KW PV, NY Sun	214,854
White Plains Hospital Center	Westchester	Consolidated Edison	NEW CONSTRUCTION PROGRAM, NCP98601 - White Plains Hospit	7,267	
Windgate Solar, LLC	Orange	Orange and Rockland..	>200KW PV, NY Sun	992,984	
Xzerta Energy Group LLC	Sullivan	NYS Electric and Gas	>200KW PV, NY Sun	1,058,092	
<b>Total</b>				<b>34,146,713</b>	
Mohawk Valley	Adam C. Boese	Otsego	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
			NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	Alternative Power Solutions of NY, LLC	Oneida	National Grid	<200KW PV, NY-Sun	7,024
	American Energy Care, Inc.	Fulton	National Grid	<200KW PV, NY-Sun	11,520
		Herkimer	National Grid	<200KW PV, NY-Sun	12,976
		Montgomery	National Grid	<200KW PV, NY Sun	11,648
				<200KW PV, NY-Sun	6,400
	Apex Solar Power LLC	Montgomery	National Grid	<200KW PV, NY Sun	9,240
		Oneida	National Grid	<200KW PV, NY-Sun	5,280
	Arcadis of New York, Inc.	Montgomery	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
		Schoharie	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	BHP Energy LLC	Schoharie	National Grid	COMBINED HEAT AND POWER, CHPA - Bouck Pool Building - S	193,050
	Borrego Solar Systems, Inc.	Fulton	National Grid	>200KW PV, NY Sun	1,050,044
	Candlewyck Associates LLC	Oneida	National Grid	Multifam Performance Pgm, Candlewyck Apartments	14,400

**Projects Selected for Funding by Region**  
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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Mohawk Valley	CDH Energy Corporation	Oneida	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	10,000
			NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	CNY Solar, Inc.	Oneida	National Grid	<200KW PV, NY-Sun	33,564
				<200KW PV, NY-Sun	6,624
	Doherty Electric, LLC	Otsego	National Grid	<200KW PV, NY Sun	7,680
			NYS Electric and Gas	<200KW PV, NY Sun	22,064
	Downstream Construction, LLC	Oneida	BOONVILLE	<200KW PV, NY-Sun	7,216
	Elmwood East Solar 1, LLC	Fulton	National Grid	>200KW PV, NY-Sun C&I	434,770
	Elmwood West Solar 1, LLC	Fulton	National Grid	>200KW PV, NY-Sun C&I	597,701
	EME Consulting Engineering Group, LLC	Herkimer	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
			National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
			NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	Energy & Resource Solutions, Inc.	Fulton	National Grid	Industrial Process Effic, Technical Review and Program S	10,405
		Herkimer	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	4,765
	ForeFront Power, LLC	Oneida	National Grid	>200KW PV, NY Sun	919,472
	Great Brook Solar NRG, LLC	Otsego	NYS Electric and Gas	<200KW PV, NY Sun	14,518
	Greater Johnstown School District	Fulton	National Grid	NEW CONSTRUCTION PROGRAM, NCP13117 - JohnstownHighSchool	34,052
				NEW CONSTRUCTION PROGRAM, NCP13118 - Glebe Street School	5,048
				NEW CONSTRUCTION PROGRAM, NCP13119 - Warren Street Schoo	5,160
	Janus Solar Fund LP	Oneida	National Grid	NY-SUN, PV System at Janus Solar Fund	1,277,332
	Kasselman Solar LLC	Fulton	National Grid	<200KW PV, NY-Sun	5,088
				Herkimer	ILION
			National Grid	<200KW PV, NY Sun	2,400
		Montgomery	National Grid	<200KW PV, NY Sun	17,316
		Schoharie	National Grid	<200KW PV, NY Sun	19,360
				<200KW PV, NY-Sun	6,880
	Kingsborough Apartments, LP	Fulton	National Grid	RENEWABLE THERMAL, Renewable Heating & Cooling	58,969
	L&S Energy Services, Inc.	Herkimer	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
				RENEWABLE HEAT NY, Technical Review and Program S	1,753
		Montgomery	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
		Otsego	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
		Schoharie	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
	Minaville North Solar 1, LLC	Montgomery	National Grid	>200KW PV, commerical/industrial PV	589,426
	Minaville South Solar 1, LLC	Montgomery	National Grid	>200KW PV, NY-Sun C&I	589,426
	Minaville West Solar 1, LLC	Montgomery	National Grid	>200KW PV, NY-Sun C&I	589,426
	Municipal Housing Authority of the	Oneida	National Grid	NEW YORK ENERGY STAR HOMES, New Construction	127,000
	Northeast Agriculture Technology Corp	Fulton	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	Oppenheim Solar South, LLC	Fulton	National Grid	>200KW PV, NY-Sun C&I	73,631
	Paradise Energy Solutions, LLC	Montgomery	National Grid	<200KW PV, NY Sun	46,184
				Schoharie	National Grid
	SolarCity Corporation	Herkimer	National Grid	<200KW PV, NY Sun	6,038
				Montgomery	National Grid
		Oneida	National Grid	<200KW PV, NY Sun	5,040
	sun8 PDC LLC	Otsego	NYS Electric and Gas	>200KW PV, NY Sun	1,267,739
	SUNY Cobleskill	Schoharie	National Grid	NEW CONSTRUCTION PROGRAM, NCP13043 - Prentice Hall	7,791
	SUNY Oneonta	Otsego	NYS Electric and Gas	NEW CONSTRUCTION PROGRAM, NCP12786 - Bugbee Hall	8,986
				NEW CONSTRUCTION PROGRAM, PON1601 R2	127,975
Trane	Fulton	National Grid	Real Time Enrgy Management, Multi Campus-100 Bridge-RTEM	157,770	
Xzerta Energy Group LLC	Otsego	NYS Electric and Gas	>200KW PV, NY Sun	920,932	
<b>Total</b>				10,254,803	
New York City	Mukti 166 Petroleum Inc	Queens	Consolidated Edison	FUEL NY, PGI00287 - Mukti 166 Petroleum	84,850
	5 Hanover Square NY Owner LLC	New York	Consolidated Edison	Flexible Tech Assistance, FlexTech Program - Pon 1746	28,200
	139 East 56th Street Landlord, LLC	New York	Consolidated Edison	Commercial New Construc, NCP15062 - 139 E 56th St	79,308
	150 Charles St. Holdings, LLC	New York	Consolidated Edison	NEW CONSTRUCTION PROGRAM, NCP10793 - 150 Charles	203,368
	985 Bruckner Boulevard	Bronx	Consolidated Edison	Multifam New Construction, MFNCP PHI T3-985 Bruckner Blvd	300,000
	Accord Power, Inc.	Bronx	Consolidated Edison	<200KW PV, NY Sun	25,200
				Queens	Consolidated Edison
				>200KW PV, NY Sun	559,705
	Adam C. Boese	Kings	Consolidated Edison	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	Aegis Energy Services Inc.	New York	Consolidated Edison	COMBINED HEAT AND POWER, CHPA - The Buchanan	171,000
	Airport Enterprises Inc	Queens	Consolidated Edison	FUEL NY, PGI00292 - Airport Enterprises	77,800
	AKF-engineers	New York	Consolidated Edison	Flexible Tech Assistance, FlexTech Consultants Statewide	16,000
	Albert Einstein College of Medicine Inc.	Bronx	Consolidated Edison	Flexible Tech Assistance, FlexTech Program - Pon 1746	33,523
	Albireo Energy, LLC	New York	Consolidated Edison	Real Time Enrgy Management, 1 Dag Hammarskjold Plaza-RTEM	78,120
				Real Time Enrgy Management, Cushman/Wakefield-RTEM	93,023

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
New York City	Albireo Energy, LLC	New York	Consolidated Edison	Real Time Enrgy Management, Signature Theatre - RTEM	23,235
	Allen Operating Company LLC	New York	Consolidated Edison	Flexible Tech Assistance, FlexTech Program - Pon 1746	8,703
	Alliance Energy LLC	Queens	Consolidated Edison	FUEL NY, PGI00035 - Alliance Energy LLC	19,770
				FUEL NY, PGI00101 - Alliance Energy LLC	20,019
				FUEL NY, PGI00153 - Alliance Energy LLC	68,171
				FUEL NY, PGI00155 - Alliance Energy LLC	26,995
	FUEL NY, PGI00157 - Alliance Energy LLC	24,676			
	Altus Power America, Inc	Bronx	Consolidated Edison	>200KW PV, NY Sun	527,368
	Amergy Solar Inc.	Kings	Consolidated Edison	<200KW PV, NY Sun	45,153
		Queens	Consolidated Edison	<200KW PV, NY Sun	5,040
		Richmond	Consolidated Edison	<200KW PV, NY Sun	5,600
	Arab Banking Corporation B.S.C.	New York	Consolidated Edison	Industrial Process Effic, Industrial Process Efficiency	16,835
	Best Energy Power	Kings	Consolidated Edison	<200KW PV, NY Sun	96,300
		New York	Consolidated Edison	<200KW PV, NY Sun	42,749
		Queens	Consolidated Edison	<200KW PV, NY Sun	1,245,701
	Bhavishya Gas Inc	Kings	Consolidated Edison	FUEL NY, PGI00268 - Bhavishya Gas Inc.	67,400
	Bolla EM Realty LLC	Kings	Consolidated Edison	FUEL NY, PGI00144 - Bolla EM Realty LLC	27,220
	Bolla Operating Corp.	Kings	Consolidated Edison	FUEL NY, PGI00037 - Bolla Operating Cor	27,178
				FUEL NY, PGI00096 - Bolla Operating Cor	35,572
				FUEL NY, PGI00141 - Bolla Operating Cor	14,734
	Queens	Consolidated Edison	FUEL NY, PGI00083 - Bolla Operating Cor	66,556	
	Booz Allen Hamilton, Inc.	Queens	Consolidated Edison	OTHER PROGRAM AREA, RFP 3044 R2	999,977
	Bridge Land Vestry LLC	New York	Consolidated Edison	NEW CONSTRUCTION PROGRAM, NCP12093 - 268 West Street	208,784
	Bright Power, Inc.	Bronx	Consolidated Edison	<200KW PV, NY Sun	319,695
				<200KW PV, NY Sun	32,288
				<200KW PV, NY Sun	82,107
		Queens	Consolidated Edison	Flexible Tech Assistance, FlexTech Consultant Selection	46,285
				<200KW PV, NY Sun	72,926
				Long Island Power Au..	94,000
	Brooklyn Solar One LLC	Kings	Consolidated Edison	>200KW PV, NY Sun	303,210
	Brooklyn Solar Two LLC	Kings	Consolidated Edison	>200KW PV, NY Sun	547,570
	Brooklyn SolarWorks LLC	Kings	Consolidated Edison	<200KW PV, NY Sun	8,820
				Queens	Consolidated Edison
	CEC Stuyvesant Cove, Inc.	New York	Consolidated Edison	NY-SUN, Affordable Solar Predevelopmen	132,995
	CHA Consulting Inc.	New York	Consolidated Edison	EXISTING FACILITIES, Technical Review and Program S	62,500
	Citigroup Technology, Inc.	New York	Consolidated Edison	COMBINED HEAT AND POWER, CHPA - 390 Greenwich St	2,500,000
				FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Program - PON1746	68,000
	Code Green Solutions, Inc.	New York	Consolidated Edison	Real Time Enrgy Management, Hines Hold-155 Ave of Ame-RTEM	31,377
				Real Time Enrgy Management, Hines Hold-200 Hudson St-RTEM	22,057
				COMBINED HEAT AND POWER, CHPA - Compass Residences 2A	117,000
	Cogeneration Contractors, Inc.	Bronx	Consolidated Edison	COMBINED HEAT AND POWER, CHPA - Compass Residences 2B	117,000
				COMBINED HEAT AND POWER, CHPA - Fresh Direct	1,350,000
				COMBINED HEAT AND POWER, CHPA - NYU 370 Jay Street	1,485,000
		New York	Consolidated Edison	COMBINED HEAT AND POWER, CHPA - 1049 Fifth Avenue Condo	364,238
		Queens	Consolidated Edison	COMBINED HEAT AND POWER, CHPA - Five Pointz Towers	447,200
	Colliers International Holdings USA, Inc	Kings	Consolidated Edison	Flexible Tech Assistance, Commercial	5,675
	Columbia University	New York	Consolidated Edison	Industrial Process Effic, Industrial Process Efficiency	57,192
	Comverge Incorporated	New York	Consolidated Edison	EXISTING FACILITIES, EFP2246 - Comverge - Bass Real	22,098
	Control Solutions Group, Inc.	New York	Consolidated Edison	NYSERDA ADMINISTRATION, Facilities Management	10,238
	Cooper Union	New York	Consolidated Edison	REV CAMPUS CHALLENGE, RM7 - Cooper Union University	154,000
	Cornell University	New York	Consolidated Edison	>200KW PV, NY Sun	516,417
	CPG Distribution Corp	Kings	Consolidated Edison	FUEL NY, PGI00295 - CPG Distribution Co	78,600
	Credit Agricole CIB	New York	Consolidated Edison	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	5,246
	Cutone & Company Consultants, LLC	New York	Consolidated Edison	Commercial Imp Assist, CIAP001 - Cutone; 200 Lex	19,522
				EXISTING FACILITIES, EFP2633 - Cutone & Company	55,101
				EXISTING FACILITIES, EFP3014 - Cutone Company Consu	159,787
				EXISTING FACILITIES, Existing Facilities Program -	129,134
	Cypress Hills Local Development Corporat	Kings	Consolidated Edison	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	99,962
	DFB Sales Inc.	New York	Consolidated Edison	Black-out shades for NYC	6,325
	Dithold Associates LLC	Kings	Consolidated Edison	NEW CONSTRUCTION PROGRAM, NCP13141 - Ditmas Park Care Ce	36,778
	EcoMen Solar, LLC	Kings	Consolidated Edison	<200KW PV, NY Sun	14,784
	Eldor Contracting Corporation	Bronx	Consolidated Edison	<200KW PV, NY Sun	475,498
		New York	Consolidated Edison	<200KW PV, NY Sun	87,164
	Emacx Systems, Inc.	Kings	Consolidated Edison	ADVANCED BUILDINGS, EFP1839 - Emacx - NY Presbyter	1,632
	EME Consulting Engineering Group, LLC	Bronx	Consolidated Edison	Industrial Process Effic, Technical Review and Program S	8,375

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
New York City	EME Consulting Engineering Group, LLC	Kings	Consolidated Edison	Industrial Process Effic, Technical Review and Program S	3,800
		New York	Consolidated Edison	Commercial New Construc, EME - EMP	34,550
				Flexible Tech Assistance, FlexTech Consultant Selection	7,500
				NEW CONSTRUCTION PROGRAM, Technical Review and Program S	2,040
		Queens	Consolidated Edison	Commercial New Construc, EME - EMP	45,000
				NEW CONSTRUCTION PROGRAM, EME - EMP	21,500
	ENER-G Rudox Inc.	New York	Consolidated Edison	COMBINED HEAT AND POWER, CHPA - 685 1st Avenue	432,381
	Eneractive Solutions	New York	Consolidated Edison	Flexible Tech Assistance, FlexTech Consultant EnerActive	11,133
Energy & Resource Solutions, Inc.		Kings	Consolidated Edison	EXISTING FACILITIES, Technical Review and Program S	4,935
		New York	Consolidated Edison	ADVANCED BUILDINGS, Technical Review and Program S	3,905
				EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION..	28,900
				EXISTING FACILITIES, Technical Review and Program S	20,790
				NEW CONSTRUCTION PROGRAM, Technical Review and Program S	7,810
		Queens	Consolidated Edison	EXISTING FACILITIES, Technical Review and Program S	3,695
	Energy Conservation & Supply, Inc.	New York	Consolidated Edison	EXISTING FACILITIES, EFP2280 - ECS	8,044
	Energy Technology Savings, Inc.	New York	Consolidated Edison	Real Time Enrgy Management, Edison Prop-5020 Broadway-RTEM	11,022
	Enerwise Global Technologies	Queens	Consolidated Edison	ADVANCED BUILDINGS, EFP2391 - Enerwise - Multisite	2,026
	Entic, Inc.	New York	Consolidated Edison	Real Time Enrgy Management, EquityOffice-1065 6th Ave-RTEM	28,800
	ERY Retail Podium LLC	New York	Consolidated Edison	COMBINED HEAT AND POWER, Supplier Name Change	2,400,000
	Ery Tenant LLC	New York	Consolidated Edison	NEW CONSTRUCTION PROGRAM, NCP10227 - 30 Hudson Yards	309,847
	First Jamaica Community & Urban	Queens	Consolidated Edison	Multifam New Construction, MFNCP PHIUS T3-Tree of Life	300,000
	Forest City Jay St. Assoc.	Kings	Consolidated Edison	EXISTING FACILITIES, EFP/DMP2249 - Forest City Jay	62,361
	G & S Realty 1, LLC	New York	Consolidated Edison	EXISTING FACILITIES, EFP2502 - Savitt Partners LLC	82,055
Gaseteria Oil Corp.		Bronx	Consolidated Edison	FUEL NY, PGI00163 - Gaseteria Oil Corp.	36,565
		Queens	Consolidated Edison	FUEL NY, PGI00125 - Gaseteria Oil Corp.	44,027
				FUEL NY, PGI00221 - Gaseteria Oil Corp.	108,770
GB Lighting Corp		Richmond	Consolidated Edison	ADVANCED BUILDINGS, EFP2434 - GB Lighting Corporat	72,000
				EXISTING FACILITIES, EFP2434 - GB Lighting Corporat	91,724
	Geatrain Engineering PLLC	New York	Consolidated Edison	Flexible Tech Assistance, FlexTech Consultant Selection	9,000
	Go Solar/Green NY, LLC	Queens	Consolidated Edison	<200KW PV, NY Sun	22,890
Goldman Copeland Associates, P.C.		New York	Consolidated Edison	Commercial Real Estate Ten, Facebook-770 Broadway-CommTen	24,989
				Flexible Tech Assistance, FlexTech Consultant Selection	13,408
Green Street Power Partners LLC		Bronx	Consolidated Edison	<200KW PV, NY Sun	92,441
		Queens	Consolidated Edison	<200KW PV, NY Sun	426,515
				<200KW PV, NY-Sun	5,539
		Richmond	Consolidated Edison	>200KW PV, NY Sun	155,717
	GRID Alternatives Tri-State, Inc.	Kings	Consolidated Edison	<200KW PV, NY Sun	17,052
	Grid City Electric Corp	Kings	Consolidated Edison	<200KW PV, NY Sun	24,488
	Group Solar USA	Queens	Consolidated Edison	<200KW PV, NY Sun	5,016
	Group-S LLC	New York	Consolidated Edison	Flexible Tech Assistance, FlexTech Consultant Selection	37,500
	HESP Solar, LLC	New York	Consolidated Edison	<200KW PV, NY Sun	44,180
	Hyatt Corporation as agent for Hyatt Equ	New York	Consolidated Edison	EXISTING FACILITIES, EFP2363 - Grand Hyatt New York	114,444
	IESI NY Corporation	New York	Consolidated Edison	NYSERDA ADMINISTRATION, Trash Removal from NYC Office	10,086
IntelliGen Power Systems, LLC		Kings	Consolidated Edison	COMBINED HEAT AND POWER, CHPA - Bay Park 1	648,960
				COMBINED HEAT AND POWER, CHPA - Bay Park 2	648,960
		New York	Consolidated Edison	COMBINED HEAT AND POWER, CHPA - London Terrace	924,055
				COMBINED HEAT AND POWER, CHPA - New York Towers	1,520,685
	KAP Fuel & Food Inc.	Richmond	Consolidated Edison	FUEL NY, GSP00763 - KAP Fuel & Food Inc	19,618
	Kilowatt Engineering, Inc.	New York	Consolidated Edison	Industrial Process Effic, Technical Review and Program S	28,577
L&S Energy Services, Inc.		Kings	Consolidated Edison	NEW CONSTRUCTION PROGRAM, Technical Review and Program S	11,279
		New York	Consolidated Edison	Industrial Process Effic, Technical Review and Program S	12,117
	LaBella Associates, P.C.	New York	Consolidated Edison	NEW CONSTRUCTION PROGRAM, New Construction	9,913
Level Solar Inc.		Queens	Consolidated Edison	<200KW PV, NY Sun	5,292
				<200KW PV, NY-Sun	6,156
				Long Island Power Au..	<200KW PV, NY Sun
	Lincoln Center for the Performing Arts	New York	Consolidated Edison	EXISTING FACILITIES, EFP2133-Lincoln Center - 70 Li	289
	Lycee Francais de New York School	New York	Consolidated Edison	Flexible Tech Assistance, FlexTech Program - PON1746	7,500
	M/E Engineering, P.C.	Queens	Consolidated Edison	Commercial New Construc, M/E - EMP	31,775
	Maurice Petroleum LLC	Queens	Consolidated Edison	FUEL NY, PGI00070 - Maurice Petroleum L	23,764
	Meals on Wheels of Staten Island, Inc.	Richmond	Consolidated Edison	NEW CONSTRUCTION PROGRAM, NCP12670 - MOWs Staten Is OFLT	33,665
	MEPT/Cove Two Rector REIT LLC	New York	Consolidated Edison	Commercial New Construc, NCP15011 - 2 Rector St	232,470
	Mosholu Petro Realty LLC	Bronx	Consolidated Edison	FUEL NY, PGI00068 - Mosholu Petro Real	23,317
	MOVE Systems International, LLC	Queens	Consolidated Edison	CLEAN TRANSPORTATION, Ambulance Anti-Idling Stations	384,980
	NationalGrid Energy Management, LLC	Richmond	Consolidated Edison	<200KW PV, NY Sun	15,015
	Neptune Group LLC	New York	Consolidated Edison	NEW CONSTRUCTION PROGRAM, NCP12146 - Neptune Realty	60,649

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount	
New York City	New Savoy Park Porfolio LLC	New York	Consolidated Edison	Multifam Performance Pgm, Multifamily	405,000	
	New York City Energy Efficiency Corp	New York	Consolidated Edison	CLEANER GREENER COMMUNITIES, CGC32252 - NYCEEC	500,000	
	New York Wheel LLC	Richmond	Consolidated Edison	NEW CONSTRUCTION PROGRAM, NCP11781 - Staten Island Wheel	236,434	
	Nexant, Incorporated	New York	Consolidated Edison	EXISTING FACILITIES, Technical Review and Program S	2,000	
	NJP Consulting Inc.	Richmond	Consolidated Edison	<200KW PV, NY Sun	8,330	
	Nor Crest Service Station Inc.	Queens	Consolidated Edison	FUEL NY, PGI00285 - Nor Crest Service S	75,400	
	Nor-Pike Service Station Inc.	Queens	Consolidated Edison	FUEL NY, PGI00282 - Nor-Pike Service St	85,400	
	Noresco LLC	New York	Consolidated Edison	Commercial Real Estate Ten, NORESKO-55 Water St-CRE Tenant	33,900	
	North Shore Long Island Jewish Health Ce	New York	Consolidated Edison	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	139,506	
	Northwell Health, Inc.	Queens	Consolidated Edison	NEW CONSTRUCTION PROGRAM, NCP10696 - Lenox Hill Center f	292,375	
	NYCHA III Parent Housing Development		Bronx	Consolidated Edison	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	249,600
			Kings	Consolidated Edison	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	75,300
			New York	Consolidated Edison	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	472,500
	Olatokumbo Shobowale	Kings	Consolidated Edison	Low Rise New Construction, New Construction	9,000	
	OnForce Solar	Queens	Consolidated Edison	<200KW PV, NY Sun	20,468	
	Onyx Renewable Partners, LP	New York	Consolidated Edison	<200KW PV, NY Sun	1,064,945	
	Park Monroe II Rehab HDFC	Kings	Consolidated Edison	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	25,200	
	Pepsi Cola Bottling Co of NY	Queens	Consolidated Edison	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	546,001	
	Pro Custom Solar LLC	Kings	Consolidated Edison	<200KW PV, NY Sun	6,832	
	Quixotic Systems, Inc.		Kings	Consolidated Edison	<200KW PV, NY-Sun	8,736
			New York	Consolidated Edison	<200KW PV, NY Sun	61,100
			Queens	Consolidated Edison	<200KW PV, NY-Sun	49,760
			Richmond	Consolidated Edison	<200KW PV, NY Sun	24,721
	R3 Energy Management Audit & Review, LLC	New York	Consolidated Edison	Real Time Enrgy Management, Resnick&Sons-485MadisonAv-RTEM	21,210	
				Real Time Enrgy Management, SteinbergPokoik-1430Brdwy-RTEM	21,296	
	Randstad North America, L.P.	Kings	Consolidated Edison	NEW YORK GREEN BANK, Temp Services	91,689	
				ENERGY ANALYSIS, Temporary Services	14,630	
				NEW YORK GREEN BANK, Temp Serivces	16,284	
				NEW YORK GREEN BANK, temp services - Pedro Barros	25,000	
				NEW YORK GREEN BANK, Temporary Services	409,389	
				NY-SUN, Temporary Services	82,250	
				NYSERDA ADMINISTRATION, Temp Services	146,279	
				NYSERDA ADMINISTRATION, Temp Services Contract	55,428	
				NYSERDA ADMINISTRATION, temp to hire Zach Zill	59,000	
				NYSERDA ADMINISTRATION, Temporary Services	180,090	
	Remica Property Group Corp.	Kings	Consolidated Edison	FUEL NY, PGI00250 - Remica Property Gro	78,000	
	Research Foundation of CUNY	New York	Consolidated Edison	ENVIRONMENTAL RESEARCH, Integrated Air Quality Monitor	199,730	
	Riseboro Community Partnership, Inc.	Kings	Consolidated Edison	NY-SUN, Affordable Solar Predevelopmen	200,000	
	Robert Derector Associates	New York	Consolidated Edison	Commercial Real Estate Ten, 200 Madison Ave - CRE Tennant	10,700	
				Commercial Real Estate Ten, 1301Ave of Americas-CRE Tenant	8,150	
				Commercial Real Estate Ten, THilfiger-285Madison-CRETenant	19,150	
	Royal Petroleum Management Inc	Bronx	Consolidated Edison	FUEL NY, PGI00194 - Royal Petroleum Man	2,838	
	Sea Bright Solar, LLC	Richmond	Consolidated Edison	<200KW PV, NY Sun	8,844	
	SLG 220 News Owner, LLC	New York	Consolidated Edison	EXISTING FACILITIES, EFP2288 - SLG 220News Owner LL	264,981	
	SLG Tower 45 LLC	New York	Consolidated Edison	EXISTING FACILITIES, EFP/DMP2286 - SLG Tower 45 LL	18,937	
	SLGreen	New York	Consolidated Edison	EXISTING FACILITIES, EFP/DMP2289 - Green 461 Fifth	18,808	
	Solar Energy Systems, LLC	Kings	Consolidated Edison	<200KW PV, NY Sun	17,080	
				>200KW PV, NY Sun	328,176	
	Solar Plumbing Design Inc	Bronx	Consolidated Edison	<200KW PV, NY Sun	20,815	
	SolarCity Corporation	Bronx	Consolidated Edison	<200KW PV, NY Sun	36,694	
	St. John's University	Queens	Consolidated Edison	EXISTING FACILITIES, EFP2116-St Johns University -	43,323	
	Steven Winter Associates, Inc.	Kings	Consolidated Edison	Commercial New Construc, SWA - EMP	26,096	
				Flexible Tech Assistance, FlexTech Consultant Selection	7,500	
		New York	Consolidated Edison	NEW CONSTRUCTION PROGRAM, Technical Review and Program S	24,914	
	Sunnova Energy Corp	Richmond	Consolidated Edison	<200KW PV, NY Sun	11,506	
	SunPower Capital, LLC	Bronx	Consolidated Edison	<200KW PV, NY Sun	5,313	
				<200KW PV, NY-Sun	5,712	
<200KW PV, NY Sun				15,644		
<200KW PV, NY Sun				75,704		
<200KW PV, NY Sun				99,203		
SunRun, Inc	Bronx	Consolidated Edison	<200KW PV, NY Sun	5,280		
			<200KW PV, NY Sun	5,568		
			<200KW PV, NY Sun	25,894		
SunVest, Solar INC	Kings	Consolidated Edison	<200KW PV, NY Sun	17,745		
Syska Hennessy Group	New York	Consolidated Edison	Flexible Tech Assistance, FlexTech Consultant Selection	27,500		

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount	
New York City	Tangent Energy Solutions, Inc.	Kings	Consolidated Edison	>200KW PV, NY Sun	345,003	
		New York	Consolidated Edison	>200KW PV, NY Sun	145,848	
		Queens	Consolidated Edison	>200KW PV, NY Sun	322,401	
	Tecogen	Kings	Consolidated Edison	COMBINED HEAT AND POWER, CHPA - Caton Towers	188,100	
				COMBINED HEAT AND POWER, CHPA - Domino Building E	350,000	
		New York	Consolidated Edison	COMBINED HEAT AND POWER, CHPA - Hotel Edison	350,000	
				COMBINED HEAT AND POWER, CHPA - Village View 1	223,438	
				COMBINED HEAT AND POWER, CHPA - Village View 3	223,438	
				COMBINED HEAT AND POWER, CHPA - Village View 4	223,438	
				COMBINED HEAT AND POWER, CHPA - Village View 5	223,438	
				COMBINED HEAT AND POWER, CHPA - Village View 6	223,438	
				COMBINED HEAT AND POWER, CHPA - Village View 7	223,438	
		Queens	Consolidated Edison	COMBINED HEAT AND POWER, On-Site Power	223,438	
		Queens	Consolidated Edison	COMBINED HEAT AND POWER, CHPA - Taxi 302-02 39th St	350,000	
		Tetra Tech Engineers, Architects and Lan	New York	Consolidated Edison	Commercial New Construc, Tetra Tech (Consentini) RFP303	25,000
		The New York Times Company	Queens	Consolidated Edison	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	3,372
	Thomson Reuters	New York	Consolidated Edison	Flexible Tech Assistance, FlexTech Program - Pon 1746	13,959	
	Time Warner	Kings	Consolidated Edison	Industrial Process Effic, Industrial Process Efficiency	77,350	
	Trane	Kings	Consolidated Edison	Real Time Enrgy Management, Fountain House-425 W 47th-RTEM	33,870	
				Real Time Enrgy Management, KingsTheater-1027Flatbush-RTEM	24,279	
		New York	Consolidated Edison	Real Time Enrgy Management, Americas Soc-680 Park Ave-RTEM	25,412	
				Real Time Enrgy Management, AmericasSociety-680ParkAv-RTEM	18,953	
				Real Time Enrgy Management, Charter - 75 9th Ave - RTEM	103,265	
				Real Time Enrgy Management, Hilton - 237 W 54th St - RTEM	31,825	
				Real Time Enrgy Management, Kaplan School-131 W 56th-RTEM	56,940	
				Real Time Enrgy Management, YaleClub-50Vanderbilt Ave-RTEM	125,527	
				Queens	Consolidated Edison	Real Time Enrgy Management, RitzCarltonBatPark-2West-RTEM
		Trinity Heating & Air, Inc.	Bronx	Consolidated Edison	<200KW PV, NY Sun	48,282
		U.S. Green Building Council, NY Chapter	New York	Consolidated Edison	ADVANCED BUILDINGS, Improving Steam Distribution	50,000
					Workforce Industry Partnership, Energy Efficiency Training	12,000
		UGE USA Inc.	Bronx	Consolidated Edison	>200KW PV, NY Sun	1,623,613
	Kings		Consolidated Edison	<200KW PV, NY Sun	53,810	
	Unique Electric Solutions of NYS LLC	Bronx	Consolidated Edison	CLEAN TRANSPORTATION, UPS All-Electric Vehicle Demo	499,657	
	Utilities Program & Metering, Inc.	New York	Consolidated Edison	Real Time Enrgy Management, Hines - 1251 6th Ave - RTEM	76,445	
	Venture Home Solar LLC	Kings	Consolidated Edison	<200KW PV, NY Sun	5,092	
	Vidaris, Inc.	New York	Consolidated Edison	Commercial New Construc, Vidaris - EMP	47,400	
	Voltaic Solaire LLC	Kings	Consolidated Edison	<200KW PV, NY Sun	5,616	
	Whole Foods Market Group, Inc.	New York	Consolidated Edison	EXISTING FACILITIES, EFP2232 - Whole Foods Market -	32,396	
				NEW CONSTRUCTION PROGRAM, NCP12343 - Whole Foods Harlem	39,945	
				NEW CONSTRUCTION PROGRAM, NCP13143 - WholeFoodsBryantPk	43,585	
	Wilfrid Developers, LLC	Bronx	Consolidated Edison	Multifam New Construction, MFNCP - The Wilfrid	100,000	
	Wilidan Energy Solutions	Kings	Consolidated Edison	Flexible Tech Assistance, FlexTech Consultant Selection	75,206	
				Flexible Tech Assistance, FlexTech Consultant Selection	59,439	
		New York	Consolidated Edison	Industrial Process Effic, Technical Review and Program S	2,493	
				INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Program ..	56,793	
	WSP USA Corp.	New York	Consolidated Edison	Industrial Process Effic, Technical Review and Program S	3,052	
		Queens	Consolidated Edison	Flexible Tech Assistance, FlexTech Consultant Selection	8,500	
	You Save Green Incorporated	Richmond	Consolidated Edison	Commercial New Construc, WSP-Energy Modeling Partner	23,420	
				<200KW PV, NY Sun	5,676	
				<200KW PV, NY-Sun	8,472	
	<b>Total</b>				<b>39,727,532</b>	
	North Country	Abundant Solar Power Inc.	Lewis	National Grid	>200KW PV, NY Sun	878,701
		AEP Onsite Partners, LLC	Lewis	National Grid	NY-SUN, PV System @ Camden Central Sch	974,616
		Albany Solar Solutions L.L.C.	Clinton	NYS Electric and Gas	<200KW PV, NY Sun	5,856
			Essex	National Grid	<200KW PV, NY Sun	5,856
		Alternative Power Solutions of NY, LLC	Jefferson	National Grid	<200KW PV, NY Sun	8,160
			St. Lawrence	National Grid	<200KW PV, NY Sun	20,248
		Apex Solar Power LLC	Clinton	NYS Electric and Gas	<200KW PV, NY Sun	8,840
			Essex	NYS Electric and Gas	<200KW PV, NY Sun	110
			Jefferson	National Grid	<200KW PV, NY Sun	12,926
					<200KW PV, NY-Sun	5,150
		St. Lawrence	National Grid	<200KW PV, NY-Sun	6,420	
		Arcadis of New York, Inc.	Clinton	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	31,956
			Essex	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
			Franklin	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500

**Projects Selected for Funding by Region**  
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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount	
North Country	CHA Consulting Inc.	St. Lawrence	National Grid	Flexible Tech Assistance, FlexTech Consultant CHA	12,500	
	Clinton County Chapter NYSARC, Inc.	Clinton	NYS Electric and Gas	Low Rise New Construction, New Construction	41,000	
	Cornerstone Energy Services	Clinton	NYS Electric and Gas	RENEWABLE HEAT NY, Renewable Heating & Cooling	23,000	
		Franklin	National Grid	RENEWABLE HEAT NY, Renewable Heating & Cooling	13,495	
		St. Lawrence	National Grid	RENEWABLE HEAT NY, RHNY PON 3010 Incentive - Holm	10,000	
		St. Lawrence	National Grid	RENEWABLE HEAT NY, Cornerstone Energy Services	20,000	
	Crest Solar LLC	Clinton	NYS Electric and Gas	<200KW PV, NY-Sun	6,576	
	EME Consulting Engineering Group, LLC	Lewis	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
	Evoworld	Essex	National Grid	RENEWABLE HEAT NY, PO for DEC MOU for Agmt 61083	300,000	
	ForeFront Power, LLC	Jefferson	National Grid	>200KW PV, NY Sun	459,736	
	Fourth Coast, Inc.	Franklin	National Grid	<200KW PV, NY Sun	26,672	
		Jefferson	National Grid	<200KW PV, NY Sun	5,968	
	Frederick A Proven	St. Lawrence	National Grid	<200KW PV, NY Sun	17,522	
	Golub Corporation	Clinton	NYS Electric and Gas	NEW CONSTRUCTION PROGRAM, NCP13091 - M32 Plattsburgh	65,483	
	Green Volt Solutions LLC	Lewis	National Grid	<200KW PV, NY-Sun	28,453	
	High Peaks Solar	Jefferson	National Grid	<200KW PV, NY Sun	5,760	
	John Siegenthaler	Essex	National Grid	ENVIRONMENTAL RESEARCH, Technical Eval of Hydronics Sy	4,000	
	L&S Energy Services, Inc.	Clinton	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
		Essex	National Grid	RENEWABLE HEAT NY, Technical Review and Program S	3,722	
			Essex	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
			Essex	NYS Electric and Gas	RENEWABLE HEAT NY, Technical Review and Program S	2,158
			Franklin	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
			Franklin	National Grid	RENEWABLE HEAT NY, Technical Review and Program S	14,007
			Jefferson	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	12,500
			Lewis	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
			St. Lawrence	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
			Essex	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	Northeast Agriculture Technology Corp	Lewis	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000	
		St. Lawrence	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
		Jefferson	National Grid	>200KW PV, NY Sun	2,070,304	
	Omni-Navitas - MAP-ES NY LLC	Jefferson	National Grid	<200KW PV, NY Sun	15,456	
	Paradise Energy Solutions, LLC	Jefferson	National Grid	<200KW PV, NY Sun	15,456	
	Potters Industries	St. Lawrence	National Grid	Industrial Process Effic, Industrial Process Efficiency	197,500	
	Saranac Central School District	Clinton	NYS Electric and Gas	EXISTING FACILITIES, EFP2515 - Saranac CSD	102,113	
	Scott Shipley	St. Lawrence	National Grid	<200KW PV, NY Sun	5,124	
			St. Lawrence	National Grid	<200KW PV, NY-Sun	96
	Solar Liberty Energy Systems, Inc	Jefferson	National Grid	>200KW PV, NY Sun	206,402	
	St. Lawrence County	St. Lawrence	National Grid	COMMUNITY SOLAR, Solarize 2017	5,000	
	St. Lawrence University	St. Lawrence	National Grid	REV CAMPUS CHALLENGE, RM10 - St Lawrence University	116,500	
	sun8 PDC LLC	Lewis	National Grid	>200KW PV, NY Sun	654,998	
	Taitem Engineering, P.C.	Clinton	NYS Electric and Gas	<200KW PV, NY Sun	27,032	
		Franklin	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
		Jefferson	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000	
		St. Lawrence	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
		Essex	NYS Electric and Gas	RENEWABLE HEAT NY, RHNY PON 3010 Incentive - Mann	15,000	
	WGS Arsenal Housing Associates, LLC	Jefferson	National Grid	Multifam Performance Pgm, MPPTargeted-TruscottTerrace	5,292	
	Xzerta Energy Group LLC	Clinton	NYS Electric and Gas	>200KW PV, NY Sun	1,692,948	
<b>Total</b>				<b>8,187,656</b>		
Southern Tier	Adam C. Boese	Delaware	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	17,500	
	Apex Solar Power LLC	Schuyler	NYS Electric and Gas	<200KW PV, NY Sun	1,320	
	Bergmann Associates	Broome	NYS Electric and Gas	RENEWABLE HEAT NY, Technical Review and Program S	2,600	
		Tompkins	NYS Electric and Gas	Flexible Tech Assistance, FlexTech Consultant Selection	7,195	
		Tompkins	NYS Electric and Gas	RENEWABLE HEAT NY, Technical Review and Program S	2,400	
	BHP Energy LLC	Chemung	NYS Electric and Gas	COMBINED HEAT AND POWER, CHPA - Coming Innovation Supp	1,425,000	
	Binghamton University	Broome	NYS Electric and Gas	NEW CONSTRUCTION PROGRAM, NCP13089 - School of Pharmacy	162,994	
	Broome Community College	Broome	NYS Electric and Gas	REV CAMPUS CHALLENGE, REV Campus Challenge	1,000,000	
	Candor Central School	Tioga	NYS Electric and Gas	>200KW PV, NY Sun	22,759	
	CDH Energy Corporation	Chenango	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	10,000	
	CDS Monarch Inc	Chemung	NYS Electric and Gas	Low Rise New Construction, New Construction	51,000	
	CHA Consulting Inc.	Chemung	NYS Electric and Gas	Industrial Process Effic, Technical Review and Program S	30,600	
		Steuben	NYS Electric and Gas	Industrial Process Effic, Technical Review and Program S	88,600	
	Citizens Enterprises Corporation	Broome	NYS Electric and Gas	>200KW PV, NY Sun	1,750,240	
	City of Binghamton	Broome	NYS Electric and Gas	SMART GRID SYSTEMS, RFP 3044 R2	995,649	
	CNY Solar, Inc.	Broome	NYS Electric and Gas	<200KW PV, NY Sun	29,863	
	Delaware River Solar, LLC	Chemung	NYS Electric and Gas	>200KW PV, NY Sun	1,619,796	
	DePaul Properties, Inc.	Broome	NYS Electric and Gas	Low Rise New Construction, New Construction	56,000	



**Projects Selected for Funding by Region**  
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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Southern Tier	Downtown Ithaca Alliance	Tompkins	NYS Electric and Gas	CLEAN TRANSPORTATION, Ithaca TDM/TMA Demonstration	170,636
	EMCOR Services Betlem	Tompkins	NYS Electric and Gas	Flexible Tech Assistance, FlexTech Consultant Selection	20,831
				INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	4,141
	Extraterrestrial Materials Inc.	Broome	NYS Electric and Gas	<200KW PV, NY Sun	11,884
		Tompkins	NYS Electric and Gas	<200KW PV, NY Sun	8,640
	Fingerlakes Renewables	Tompkins	NYS Electric and Gas	<200KW PV, NY Sun	6,960
	First Ward Action Council, Inc.	Broome	NYS Electric and Gas	Low Rise New Construction, New Construction	40,000
	Freedom Solar Inc.	Broome	NYS Electric and Gas	<200KW PV, NY Sun	6,762
	G.W. Ehrhart, Inc.	Broome	NYS Electric and Gas	RENEWABLE HEAT NY, Renewable Heating & Cooling	10,000
		Tompkins	NYS Electric and Gas	RENEWABLE HEAT NY, G.W. Ehrhart, Inc. - George	13,533
				RENEWABLE HEAT NY, G.W. Ehrhart, Inc. - Wheatley	15,184
				RENEWABLE HEAT NY, RHHY PON 3010 Incentive - Jack	20,611
	Gateway Owego LLC	Tioga	NYS Electric and Gas	Low Rise New Construction, New Construction	9,000
	George E Denmark II	Steuben	NYS Electric and Gas	<200KW PV, NY Sun	17,362
		Tompkins	NYS Electric and Gas	<200KW PV, NY Sun	15,192
	Halcyon, Inc.	Steuben	NYS Electric and Gas	<200KW PV, NY-Sun	5,200
	Ithaca Carshare, Inc.	Tompkins	NYS Electric and Gas	CLEAN TRANSPORTATION, Ithaca Bikeshare Demonstration	218,757
	Ithaca College	Tompkins	NYS Electric and Gas	Flexible Tech Assistance, FlexTech Program - PON1746V3	15,833
	Katya Solar, LLC	Delaware	NYS Electric and Gas	>200KW PV, NY Sun	845,093
	L&S Energy Services, Inc.	Chenango	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
		Delaware	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
		Tompkins	NYS Electric and Gas	Industrial Process Effic, Technical Review and Program S	78,504
				INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Program ..	7,895
	M/E Engineering, P.C.	Broome	NYS Electric and Gas	Commercial New Construc, M/E - EMP	13,800
		Tompkins	NYS Electric and Gas	Flexible Tech Assistance, FlexTech Consultant Selection	210,590
	Netzero NRG LLC	Tompkins	NYS Electric and Gas	NEW YORK ENERGY STAR HOMES, New Construction	97,000
	NYS Office of Children & Family Services	Delaware	NYS Electric and Gas	EXISTING FACILITIES, EFP2445 - NYS OCFS	1,491
		Tompkins	NYS Electric and Gas	EXISTING FACILITIES, EFP2445 - NYS OCFS	11,219
	QwikSolar, LLC	Schuyler	NYS Electric and Gas	<200KW PV, NY-Sun	17,344
		Steuben	NYS Electric and Gas	<200KW PV, NY Sun	5,152
	Renovus Energy, Inc.	Broome	NYS Electric and Gas	<200KW PV, NY Sun	15,952
		Chemung	NYS Electric and Gas	<200KW PV, NY Sun	17,616
				>200KW PV, NY Sun	2,304,308
		Tioga	NYS Electric and Gas	>200KW PV, NY Sun	1,280,171
		Tompkins	NYS Electric and Gas	<200KW PV, NY Sun	6,195
				<200KW PV, NY-Sun	16,768
				>200KW PV, NY Sun	990,783
	Renovus Rock, LLC	Chemung	NYS Electric and Gas	>200KW PV, NY-Sun C&I	286,806
	Solar Liberty Energy Systems, Inc	Broome	NYS Electric and Gas	>200KW PV, NY Sun	268,577
		Steuben	NYS Electric and Gas	<200KW PV, NY Sun	6,540
		Tompkins	NYS Electric and Gas	<200KW PV, NY Sun	6,120
	sun8 PDC LLC	Chenango	National Grid	>200KW PV, NY Sun	845,159
			NYS Electric and Gas	>200KW PV, NY Sun	1,605,854
		Tioga	NYS Electric and Gas	>200KW PV, NY Sun	1,309,997
	SUNY Broome Community College	Broome	NYS Electric and Gas	Commercial New Construc, NCP15064 - SUNY Broome Mechani	30,641
	Taitem Engineering, P.C.	Broome	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
		Delaware	NYS Electric and Gas	<200KW PV, NY Sun	9,792
Schuyler		NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
Steuben		NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
				On-Site Energy Manager, FlexTech Consultant Selection	234,324
Tioga		NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
Tompkins		NYS Electric and Gas	<200KW PV, NY Sun	33,877	
				Agriculture Energy Eff Pgm, FlexTech Consultant Selection	6,500
			Industrial Process Effic, Technical Review and Program S	2,908	
TRC Energy Services	Chenango	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000	
Xzerta Energy Group LLC	Tompkins	NYS Electric and Gas	>200KW PV, NY Sun	2,951,711	
<b>Total</b>				<b>21,422,727</b>	
Statewide	205 Wolf Holdings, LLC	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, 6/27/17 NYSERDA All-Staff Mtg	6,103
				NYSERDA ADMINISTRATION, 2017 NYSERDA All-Staff Mtg	910
	ABB, Incorporated	STATEWIDE	Statewide	DER Integration(Intrcnct), PON 3404 DER Integration	189,105
	Abt Associates Inc.	STATEWIDE	Statewide	ENVIRONMENTAL RESEARCH, Environmental Res. Outreach	250,000
				ENVIRONMENTAL RESEARCH, Flex Energy Tech Analysis 2	144,413
	Adirondack Center for Loon	STATEWIDE	Statewide	ENVIRONMENTAL RESEARCH, Loons: monitor biotic mercury	103,515
	ADM Associates, Inc.,	STATEWIDE	Statewide	EVALUATION, ADM Associates Inc. TWO	193,200
				Industrial Process Effic, ADM Associates Inc. TWO	36,800

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Statewide	Adviser Compliance Associates, LLC	STATEWIDE	Statewide	NEW YORK GREEN BANK, ACA Compliance Assessment	49,000
	Affordable Comfort, Inc.	STATEWIDE	Statewide	Home Perf w Energy Star, 2018 NY Regional Home Perf Con	45,000
				Low Rise New Construction, 2018 NY Regional Home Perf Con	2,500
				Multifam New Construction, 2018 NY Regional Home Perf Con	2,500
	Alliance for Sustainable Energy, LLC	STATEWIDE	Statewide	ADVANCED BUILDINGS, Advanced Buildings Technology	223,587
	American Council for an Energy Efficient	STATEWIDE	Statewide	Prof & Expert Engagement, 2017 ACEEE Ally Program	10,000
				Subscription/Data Access, Market Insights	12,500
	Ampersand Tannery Island Hydro, LLC	STATEWIDE	Statewide	REC:CES REC Contracts, 11th Main Tier Solicitation	154,375
	Amphora Consulting	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Energy Efficiency Markets	50,000
	Andrew Kessler	STATEWIDE	Statewide	NEW YORK GREEN BANK, Transaction Support	50,000
	Antares Group, Inc.	STATEWIDE	Statewide	Geothermal Incentive Program, Technical Review and Program S	115,821
				Industrial Process Effic, Technical Review and Program S	6,990
				INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Program ..	2,719
	Applied Energy Group, Inc.	STATEWIDE	Statewide	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION..	500,000
	Apprise, Incorporated	STATEWIDE	Statewide	On-Site Energy Manager, RFQ 3183 Apprise Incorporated	67,487
				Strategic Energy Manager, RFQ 3183 Apprise Incorporated	67,487
	APX Inc.	STATEWIDE	Statewide	REC:CES REC System Dev Costs, NYGATS	164,125
				ZEC:CES ZEC System Dev Costs, NYGATS	164,125
	Arcadis U.S., Inc.	STATEWIDE	Statewide	EXISTING FACILITIES, Technical Review and Program S	93,119
				Industrial Process Effic, Technical Review and Program S	41,446
	Arch Street Communications, Inc.	STATEWIDE	Statewide	Clean Energy Communities, Marketing Support for NYSERDA	533,000
				NYSERDA ADMINISTRATION, Marketing Support for NYSERDA	8,000
	Arnold & Porter Kaye Scholer LLP	STATEWIDE	Statewide	WEST VALLEY DEVELOPMENT PROGRAM, RFP 3300 Outside Coun..	50,000
	Atlas Public Policy	STATEWIDE	Statewide	OTHER PROGRAM AREA, EVaulateNY support	18,313
	AWS Truepower	STATEWIDE	Statewide	Off-Shore Wind Pre-Dev Act, RFP 3462	58,500
	B & W Sound Services, Inc.	STATEWIDE	Statewide	OTHER PROGRAM AREA, A/V service for 76West Event	11,950
	Battelle Memorial Institute	STATEWIDE	Statewide	ENERGY ANALYSIS, Code Enable: NYStretch-Energy	99,365
	BDO USA LLP	STATEWIDE	Statewide	NEW YORK GREEN BANK, Background Investigation Servi	9,350
	Benchmark Printing, Inc.	STATEWIDE	Statewide	OTHER PROGRAM AREA, Printing Services - EV Rebate	24,500
	Bergmann Associates	STATEWIDE	Statewide	EXISTING FACILITIES, Technical Review and Program S	2,470
	Black River Hydroelectric, LLC	STATEWIDE	Statewide	REC:CES REC Contracts, 11th Main Tier Solicitation	9,258,795
	Bond, Schoeneck & King, PLLC	STATEWIDE	Statewide	Clean Energy Communities, RFP 3300 Outside Counsel Servi	5,000
				CLEAN TRANSPORTATION, RFP 3300 Outside Counsel Servi	5,000
	Brookfield District Energy Microgrid LLC	STATEWIDE	Statewide	SMART GRID SYSTEMS, RFP 3044 R2	994,000
	Brookhaven National Lab	STATEWIDE	Statewide	ENVIRONMENTAL RESEARCH, Technical Assistance	450,000
				HEX Beam Line	10,000,000
				OTHER PROGRAM AREA, HEX Beam Line	0
	BTMI Engineering, PC	STATEWIDE	Statewide	OTHER PROGRAM AREA, Technical Assistance	100,000
				Off-Shore Wind Pre-Dev Act, RFP 3462	186,500
	Buffalo Niagara Medical Campus, Inc.	STATEWIDE	Statewide	CLEAN TRANSPORTATION, Buffalo Smart Corridor Plan	74,859
	Calstart	STATEWIDE	Statewide	CLEAN TRANSPORTATION, Implementation contractor for	300,000
	Capital District Regional Planning Comm.	STATEWIDE	Statewide	CGC53356 - CDRPC	110,000
	CDH Energy Corporation	STATEWIDE	Statewide	EVALUATION, Technical Review and Program S	86,240
				Geothermal Incentive Program, Technical Review and Program S	124,370
	Centerstate Corporation for	STATEWIDE	Statewide	Cleantech Startup Growth, PON3413 Clean Energy Incubator	1,500,000
	CHA Consulting Inc.	STATEWIDE	Statewide	>200KW PV, SEQR Services	50,000
				COMBINED HEAT AND POWER, Technical Review and Program S	225,828
				Flexible Tech Assistance, Technical Review and Program S	50,000
				INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Program ..	9,100
	Claire Weisz Architects	STATEWIDE	Statewide	Optimizing the Curb	145,009
	Clean Energy States Alliance	STATEWIDE	Statewide	ENERGY ANALYSIS, Coordination of USDOE Grant	40,000
				Prof & Expert Engagement, CESA Membership Dues 2017/2018	60,000
	CLEAResult Consulting, Inc.	STATEWIDE	Statewide	>200KW PV, Centralized Services & Support	173,036
				ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Centralize..	12,867
				ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Program I..	46,501
				EMPOWER NY, Centralized Services & Support	61,761
Geothermal Incentive Program, Centralized Services & Support				98,115	
Home Perf w Energy Star, Centralized Services & Support				936,708	
Home Perf w Energy Star, Empower QA Services				299,955	
Home Perf w Energy Star, Program Implementation Service				2,033,233	
HOME PERFORMANCE WITH ENERGY STAR, Centralized Services &..				18,014	
HOME PERFORMANCE WITH ENERGY STAR, Program Implementati..				68,500	
Low Rise New Construction, Centralized Services & Support				125,000	
Multifam New Construction, Centralized Services & Support				100,000	
NEW YORK ENERGY STAR HOMES, Centralized Services & Support				49,957	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Statewide	CLEARresult Consulting, Inc.	STATEWIDE	Statewide	Underutilized Products, Centralized Services & Support	111,948
	Cohen Ventures Inc	STATEWIDE	Statewide	Underutilized Products, FlexTech Consultant Selection	105,000
	Color Methods	STATEWIDE	Statewide	Electric Vehicles - Innovation, 2018 Drive Clean Rebate Press	5,192
	Compressed Air Challenge, Inc.	STATEWIDE	Statewide	Prof & Expert Engagement, Industrial Process Efficiency	7,500
	Consortium for Energy Efficiency, Inc.	STATEWIDE	Statewide	Prof & Expert Engagement, Industrial Process Efficiency	48,000
	Cornell University	STATEWIDE	Statewide	OTHER PROGRAM AREA, 76West Building a Clean Energy	1,194,323
	Couch White, LLP	STATEWIDE	Statewide	WEST VALLEY DEVELOPMENT PROGRAM, RFP 3300 Outside Coun..	6,313
	Crowne Plaza Times Square Manhattan	STATEWIDE	Statewide	REV Connect, 2017 REV Connect '17 Conferenc	100,000
	D.L. English Consulting, Inc.	STATEWIDE	Statewide	ENERGY ANALYSIS, Indian Point Consultant	349,815
	Daniel J Jacob	STATEWIDE	Statewide	ENVIRONMENTAL RESEARCH, Sci Adv Agmt with Daniel Jacob	40,000
	Darling Advertising Agency Inc.	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Marketing Support for NYSERDA	78,200
	DNV GL Energy Services USA Inc.	STATEWIDE	Statewide	ENVIRONMENTAL RESEARCH, Building-Resiliency Assessment	177,965
	Dowd-Witbeck Printing Corp.	STATEWIDE	Statewide	Low-Income Forum on Energy, Printing Services	1,423
				NYSERDA ADMINISTRATION, Printing Services-MWBE	182
	Eastern Research Group, Inc.	STATEWIDE	Statewide	ENVIRONMENTAL RESEARCH, Environmental Outreach	250,000
	Ecology and Environment Engineering, PC	STATEWIDE	Statewide	Off-Shore Wind Pre-Dev Act, RFP 3462	1,026,722
	Electric Power Research Institute	STATEWIDE	Statewide	DER Integration(Intrcnct), PON 3404 DER Integration	599,920
				ENVIRONMENTAL RESEARCH, Climate & future electric syst	299,652
				High Performing Grid, PON 3397 CAT B	255,015
	Electrical Distribution Design, Inc.	STATEWIDE	Statewide	DER Integration(Intrcnct), PON 3404 DER Integration	318,293
	EME Consulting Engineering Group, LLC	STATEWIDE	Statewide	NY-SUN, Technical Review and Program S	202,792
				NYSERDA ADMINISTRATION, Technical Review and Program S	22,532
	Employee Leasing of Greater NY	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Temp Employee Services	50,994
	Energetics, Incorporated	STATEWIDE	Statewide	CLEAN TRANSPORTATION, Oneida County ITS Study	150,000
	Energy & Environmental Research	STATEWIDE	Statewide	ENERGY ANALYSIS, EEA Project and Program Review	25,000
	Energy & Resource Solutions, Inc.	STATEWIDE	Statewide	COMBINED HEAT AND POWER, Technical Review and Program S	588,160
				EVALUATION, Energy & Resource Sol. TWO	772,800
				Flexible Tech Assistance, FlexTech Consultant Selection	30,000
				Industrial Process Effic, Energy & Resource Sol. TWO	147,200
				Rmve Barriers Dist Enrgy Storg, RFP 3407 Categories 2 & 3A	408,656
	Energy and Environmental Economics Inc.	STATEWIDE	Statewide	ENERGY ANALYSIS, Tech Assist, REV Pool	829,780
				ENVIRONMENTAL RESEARCH, Flex Energy Tech Analysis 2	190,629
				Mkt Char: Tech Assist, Tech Assist, REV Pool	760,361
				OTHER PROGRAM AREA, Tech Assist, REV Pool	200,000
	Energy Week Holdings, LLC	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, 2017 New York Energy Week	5,000
	EnergySavvy Inc	STATEWIDE	Statewide	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, HPWES Pr..	4,000
				Home Perf w Energy Star, HPWES Program Mgmt Portal	411,518
				HOME PERFORMANCE WITH ENERGY STAR, HPWES Program Mg..	4,000
	Environment & Energy Publishing, LLC	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Counsel's Office	11,525
	Environmental Design & Research	STATEWIDE	Statewide	Off-Shore Wind Pre-Dev Act, RFP 3462	60,675
	Erie Boulevard Hydropower LP	STATEWIDE	Statewide	REC:CES REC Contracts, 11th Main Tier Solicitation	543,901
	ESS Group, Inc.	STATEWIDE	Statewide	Off-Shore Wind Pre-Dev Act, RFP 3462	100,000
	Essense Partners Inc.	STATEWIDE	Statewide	NEW YORK GREEN BANK, Material development for NYGB	150,000
				NYSERDA ADMINISTRATION, Marketing Support for NYSERDA	8,000
				OTHER PROGRAM AREA, Marketing Support for NYSERDA	89,000
				REV Connect, Marketing Support for NYSERDA	115,000
	Evolved Energy Research	STATEWIDE	Statewide	ENERGY ANALYSIS, Modeling and Analytics	45,000
	Eworld	STATEWIDE	Statewide	NextGen HVAC, Advanced Buildings	48,089
	Exelon Generation Company, LLC	STATEWIDE	Statewide	ZEC:CES ZEC Payments, ZEC Nuclear Facilities	107,492,335
	Gas Technology Institute	STATEWIDE	Statewide	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION..	199,991
	Greater NY Auto Dealers Association	STATEWIDE	Statewide	OTHER PROGRAM AREA, 2017 exhibit at NY Auto Show	5,500
	Green City Force	STATEWIDE	Statewide	WORKFORCE DEVELOPMENT, Career pathways training	60,000
	GreenBiz Group, Inc.	STATEWIDE	Statewide	OTHER PROGRAM AREA, 2017 VERGE Sponsorship 76West	7,500
	H.T. Lyons, Incorporated	STATEWIDE	Statewide	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION..	250,000
	Harris Wiltshire & Grannis LLP	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Counsel's Office	24,999
	Hearthlab Solutions, LLC	STATEWIDE	Statewide	RENEWABLE HEAT NY, Cordwood test mthd wood stoves	150,000
	High Tech Rochester Inc.	STATEWIDE	Statewide	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, NYSERDA E..	250,000
				OTHER PROGRAM AREA, NYSERDA Entrepreneurs-in-Resid	500,000
	Holland & Knight LLP	STATEWIDE	Statewide	Off-Shore Wind Pre-Dev Act, RFP 3300 Outside Counsel Servi	24,539
	Honeywell International Inc.	STATEWIDE	Statewide	EMPOWER NY, Program Implementation Service	109,290
				Home Perf w Energy Star, Program Implementation Service	477,235
	Huttner Strategies	STATEWIDE	Statewide	Anaerobic Digesters, Accel RE/AD Development	100,000
	ICF Resources, LLC	STATEWIDE	Statewide	ENERGY ANALYSIS, Flex Energy Tech Analysis 2	125,000
				ENERGY ANALYSIS, Tech Assist, REV Pool	359,688
				OTHER PROGRAM AREA, Flex Energy Tech Analysis 2	40,717

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Statewide	ICF Resources, LLC	STATEWIDE	Statewide	OTHER PROGRAM AREA, Tech Assist, REV Pool	47,289
				REC:CES REC System Dev Costs, Flex Energy Tech Analysis 2	18,000
	iCone Products, LLC	STATEWIDE	Statewide	Connecting WNY Work Zones	331,000
	IHS Global Inc.	STATEWIDE	Statewide	FUEL NY, Renew OPIS Rack Price Subscrip	7,728
	Industrial Economics, Incorporated	STATEWIDE	Statewide	SMART GRID SYSTEMS, Flex Energy Tech Analysis 2	58,000
	INSPIRE Environmental, LLC	STATEWIDE	Statewide	Off-Shore Wind Pre-Dev Act, Offshore Wind Mstr Plan Study	966,000
	Institute for Building Technology and Sa	STATEWIDE	Statewide	<200KW PV, RFQL 3434 IBTS Standards & QA	87,330
ASSISTED HOME PERFORMANCE WITH ENERGY STAR, RFQL 343..				8,000	
COMMUNITY SOLAR, RFQL 3434 IBTS Standards & QA				21,875	
Home Perf w Energy Star, RFQL 3434 IBTS Standards & QA				379,600	
HOME PERFORMANCE WITH ENERGY STAR, RFQL 3434 IBTS Stan..				7,200	
NY-SUN, RFQL 3434 IBTS Standards & QA				667,400	
	Integration Strategy, Inc.	STATEWIDE	Statewide	NEW YORK GREEN BANK, Strategy Material Development	24,050
	International Energy Program	STATEWIDE	Statewide	EVALUATION, IEPEC Conference Sponsorship	5,000
	iPROMOTEu.com Inc.	STATEWIDE	Statewide	Clean Energy Communities, Branded Marketing	12,000
	Jasper Van den Munckhof	STATEWIDE	Statewide	Retrofit NY, Multifamily	200,000
	JCB Specialties, Inc.	STATEWIDE	Statewide	POLICY DEVELOPMENT, 2017 NYS Fair Promotional Mate	48,261
	John Siegenthaler	STATEWIDE	Statewide	WORKFORCE DEVELOPMENT, RFP 3165 Hydronic System Desig	121,014
	Kearns & West, Inc.	STATEWIDE	Statewide	Off-Shore Wind Pre-Dev Act, OWE InteragencyMeeting support	20,235
	Kelleher Samets Volk	STATEWIDE	Statewide	Commercial Imp Assist, Marketing Support for NYSERDA	10,000
Commercial Real Estate Ten, Marketing Support for NYSERDA				265,346	
Community RH&C, Marketing Support for NYSERDA				35,000	
ENERGY ANALYSIS, Marketing Support for NYSERDA				121,000	
Flexible Tech Assistance, Marketing Support for NYSERDA				420,872	
Geothermal Incentive Program, Marketing Support for NYSERDA				35,000	
On-Site Energy Manager, Marketing Support for NYSERDA				25,000	
Real Time Enrgy Management, Marketing Support for NYSERDA				593,354	
Retrofit NY, Marketing Support for NYSERDA				225,000	
REV CAMPUS CHALLENGE, Marketing Support for NYSERDA				90,000	
REVitalize, Marketing Support for NYSERDA				48,000	
Strategic Energy Manager, Marketing Support for NYSERDA	145,000				
Underutilized Products, Marketing Support for NYSERDA	375,000				
	KEMA Incorporated	STATEWIDE	Statewide	EVALUATION, RFQ 3183 KEMA, Inc	300,000
	Kroll Bond Rating Agency, Inc.	STATEWIDE	Statewide	GJGNY REVOLVING LOAN FUND, Office of the Treasurer	65,000
	L&S Energy Services, Inc.	STATEWIDE	Statewide	Flexible Tech Assistance, FlexTech Consultant Selection	75,000
Flexible Tech Assistance, Technical Review and Program S				35,000	
Geothermal Incentive Program, Technical Review and Program S				168,785	
	LaBella Associates, P.C.	STATEWIDE	Statewide	Commercial New Construc, New Construction	0
	LC DRives	STATEWIDE	Statewide	OTHER PROGRAM AREA, PON 3249 ACE	500,000
	Lime Energy	STATEWIDE	Statewide	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION..	246,000
	Loeb & Loeb LLP	STATEWIDE	Statewide	NEW YORK GREEN BANK, Green Bank Outside Legal Couns	20,000
	Long Island High Technology Incubator	STATEWIDE	Statewide	Cleantech Startup Growth, PON3413 Clean Energy Incubator	1,500,000
	Long Island Power Authority	STATEWIDE	Statewide	NY-SUN, LIPA MOU RGGI Compliance Progr	30,600,000
	Marketresearch.com Inc	STATEWIDE	Statewide	Subscription/Data Access, Freedonia HVAC Report	5,300
	Marshall & Sterling, Inc.	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Property Liability and Other	5,000
	MCCCK Syracuse Hotel No 2 LP	STATEWIDE	Statewide	Home Perf w Energy Star, 2017 NYREH Training - Syracuse	6,000
	Meister Consultants Group, Inc.	STATEWIDE	Statewide	OTHER PROGRAM AREA, Renewable Heating Cooling TA	100,000
REV CAMPUS CHALLENGE, REV CC - Meister CG				125,000	
	Metropolitan Washington Council	STATEWIDE	Statewide	OTHER PROGRAM AREA, DOE UER - MWCOG	48,000
	Micatu, Inc.	STATEWIDE	Statewide	High Performing Grid, PON 3397 CAT D	2,033,083
	Modern Grid Solutions	STATEWIDE	Statewide	ENERGY ANALYSIS, Tech Assist, REV Pool	50,000
	Mohawk Innovative Technology, Inc.	STATEWIDE	Statewide	OTHER PROGRAM AREA, PON 3249 ACE	322,566
	Morgan Stanley Services Holding, LLC	STATEWIDE	Statewide	LARGE SCALE RENEWABLES, 10th RPS Main Tier Solicitatio	30,860
REC:CES REC Contracts, 10th RPS Main Tier Solicitatio				2,498,740	
	National Economic Research	STATEWIDE	Statewide	ENERGY ANALYSIS, Tech Assist, REV Pool	50,000
Mkt Char: Tech Assist, Tech Assist, REV Pool				387,000	
OTHER PROGRAM AREA, Tech Assist, REV Pool				50,000	
	National Home Performance Council	STATEWIDE	Statewide	Home Perf w Energy Star, 2018 NY Regional Home Perf Con	45,000
Low Rise New Construction, 2018 NY Regional Home Perf Con				2,500	
Multifam New Construction, 2018 NY Regional Home Perf Con				2,500	
	Navigant Consulting Inc.	STATEWIDE	Statewide	NEW YORK GREEN BANK, Outside Technical and Eng. Srv	49,799
Subscription/Data Access, 2017 Energy Storage Sub Renew				37,000	
	NECEC Institute	STATEWIDE	Statewide	OTHER PROGRAM AREA, 2017 NECEC Cleantech Open	75,000
	NESCAUM	STATEWIDE	Statewide	OTHER PROGRAM AREA, Tech Assist, REV Pool	66,284
Prof & Expert Engagement, Clean Transportation				50,000	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Statewide	NESCAUM	STATEWIDE	Statewide	RENEWABLE HEAT NY, Tech Assist, REV Pool	120,000
	NESEA	STATEWIDE	Statewide	Commercial Real Estate Ten, 2017 sponsorship BuildingNYC	4,083
				Multifam Performance Pgm, 2017 sponsorship BuildingNYC	7,833
				Real Time Enrgy Management, 2017 sponsorship BuildingNYC	4,084
	New Buildings Institute, Inc.	STATEWIDE	Statewide	ENERGY ANALYSIS, Codes Enable: NYStretch-Energy	165,000
				Prof & Expert Engagement, Codes	25,000
	New York Battery and Energy Storage	STATEWIDE	Statewide	Rmve Barriers Dist Enrgy Storg, RFP 3407 Category 3B	494,189
	New York Geothermal Energy Organization	STATEWIDE	Statewide	Geothermal Incentive Program, GSHP Mentoring Program	44,700
	New York Passive House Inc.	STATEWIDE	Statewide	Low Rise New Construction, NYPH 2017 Conference & Expo	2,125
				Multifam New Construction, NYPH 2017 Conference & Expo	2,125
				Multifam Performance Pgm, NYPH 2017 Conference & Expo	2,125
				Retrofit NY, NYPH 2017 Conference & Expo	2,125
	New York Power Authority	STATEWIDE	Statewide	Flexible Tech Assistance, FlexTech MOU NYSERDA-NYPA	109,080
				FLEXIBLE TECHNICAL ASSISTANCE, FlexTech MOU NYSERDA-NYP..	46,789
				High Performing Grid, PON 3397 CAT B	400,000
	New York Power Authority,	STATEWIDE	Statewide	Campus/Technical Assistance, Geothermal Campus Challenge	3,775,000
	New York Press & Graphics Inc.	STATEWIDE	Statewide	OTHER PROGRAM AREA, Printing Services	515
	New York State Ag & Markets	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, 2017 NYS Fair Exhibit	9,475
				POLICY DEVELOPMENT, 2017 NYS Fair Exhibit- PSC	10,925
	New York State Smart Grid Consortium Inc	STATEWIDE	Statewide	Prof & Expert Engagement, 2017 NYS Smart Grid Membership	60,000
	New York University	STATEWIDE	Statewide	Cleantech Startup Growth, PON3413 Clean Energy Incubator	2,000,000
	Nexant, Inc.	STATEWIDE	Statewide	MARKET PATHWAYS, Behavioral Demonstrations Prog	13,050
	NIC Holding Corp	STATEWIDE	Statewide	FUEL NY, NYS Strategic Gasoline Reserve	475,000
	Nixon Peabody LLP	STATEWIDE	Statewide	NEW YORK GREEN BANK, Green Bank Outside Legal Serv.	28,439
	Normandeau Associates, Inc.	STATEWIDE	Statewide	ENVIRONMENTAL RESEARCH, Digital Aerial Baseline Survey	168,397
	Northeast Energy Efficiency Partnerships	STATEWIDE	Statewide	Community RH&C, NEEP 2017 Membership	2,528
				Prof & Expert Engagement, NEEP 2017 Membership	7,022
				Strategic Energy Manager, NEEP 2017 Membership	1,124
				Underutilized Products, NEEP 2017 Membership	17,090
	Northern Plains Power Technologies	STATEWIDE	Statewide	DER Integration(Intrcnct), PON 3404 DER Integration	132,000
	NYS Office of General Services	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, 2016 Sustainable Dev Conf	8,990
				POLICY DEVELOPMENT, 2017 Brochures	17,378
	O'Brien & Gere Engineers, Inc.	STATEWIDE	Statewide	DER Integration(Intrcnct), PON 3404 DER Integration	162,597
	Omicap Group, LLC	STATEWIDE	Statewide	Financial Advisory Services	46,000
	Open Energy Efficiency Inc.	STATEWIDE	Statewide	EVALUATION, Testing Open EE Meter	12,600
	Opinion Dynamics Corporation	STATEWIDE	Statewide	Commercial Real Estate Ten, Opinion Dynamics Corp	586,200
				Real Time Enrgy Management, Opinion Dynamics Corp	527,215
				Remote Energy Management, Opinion Dynamics Corp	172,456
	Pedro Barretto Leite de Barros	STATEWIDE	Statewide	NEW YORK GREEN BANK, Pedro Barros - Strategy	50,000
	PitchBook Data, Inc.	STATEWIDE	Statewide	OTHER PROGRAM AREA, PitchBook Database Subscriptio	21,000
	PRIME Coalition Inc.	STATEWIDE	Statewide	OTHER PROGRAM AREA, Climate Impact Assessment Tool	49,000
	Pterra, LLC	STATEWIDE	Statewide	DER Integration(Intrcnct), FlexTech Consultant Selection	200,000
				DER Integration(Intrcnct), PON 3404 DER Integration	358,350
	Pyramid Energy Engineering Services PLLC	STATEWIDE	Statewide	NextGen HVAC, FlexTech Consultant Selection	48,000
	Quanta Technology LLC	STATEWIDE	Statewide	Off-Shore Wind Pre-Dev Act, RFP 3462	105,000
	RD & Associates Consulting LLC	STATEWIDE	Statewide	OTHER PROGRAM AREA, RFP3267 Innovation Advis Pilot	175,000
	REACH Strategies	STATEWIDE	Statewide	Electric Vehicles - Innovation, Ev Ride & Drive Events	50,000
	RENEW Energy Partners, LLC	STATEWIDE	Statewide	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION..	65,400
	Rensselaer Polytechnic Institute	STATEWIDE	Statewide	ADVANCED BUILDINGS, ASSIST Membership	50,000
				ENVIRONMENTAL RESEARCH, AEAP Data compilation - RPI	12,231
				High Performing Grid, PON 3397 CAT A	245,482
				Prof & Expert Engagement, Advanced Buildings	120,000
	Research Foundation of CUNY	STATEWIDE	Statewide	Rmve Barriers Dist Enrgy Storg, RFP 3407 Category 1	529,791
	Research Foundation of SUNY	STATEWIDE	Statewide	ENVIRONMENTAL RESEARCH, Forest Biomass	49,982
				ENVIRONMENTAL RESEARCH, Seiche in Eastern Lake Erie	265,696
				Prof & Expert Engagement, Industrial Process Efficiency	25,000
	Research Into Action, Inc.	STATEWIDE	Statewide	Cleantech Startup Growth, Research Into Action TWO	143,589
				Energy Storage Tech/Prod Dev, Research Into Action TWO	48,181
				Workforce Industry Partnership, Research Into Action TWO	280,616
	Resources for the Future	STATEWIDE	Statewide	ENERGY ANALYSIS, Macroeconomic Methods	50,000
				ENERGY ANALYSIS, Modeling and Analytics	50,000
	Robert O Gurman	STATEWIDE	Statewide	SMART GRID SYSTEMS, NY Prize Stage 3 Advisement	49,500
	Rochester Institute of Technology	STATEWIDE	Statewide	Cleantech Startup Growth, PON3413 Clean Energy Incubator	1,800,000
	Roedel Partners of Mt. Kisco, LLC	STATEWIDE	Statewide	Home Perf w Energy Star, 2017 NYREH Training-Mt. Kisco	6,000
	Sea Risk Solutions LLC	STATEWIDE	Statewide	Off-Shore Wind Pre-Dev Act, Fisheries Liaison/ Consulting	50,000

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount				
Statewide	Sive Paget & Riesel PC	STATEWIDE	Statewide	Off-Shore Wind Master Plan, RFP 3300 Outside Counsel Servi	200,000				
				WEST VALLEY DEVELOPMENT PROGRAM, RFP 3300 Outside Coun..	1,356				
	Skadden, Arps, Slate, Meagher & Flom LL	STATEWIDE	Statewide	NEW YORK GREEN BANK, Green Bank Outside Legal Couns	60,000				
	Smarter Grid Solutions, Inc.	STATEWIDE	Statewide	High Performing Grid, PON 3397 CAT A	241,560				
				High Performing Grid, PON 3397 CAT B	203,950				
	Sperry Energy	STATEWIDE	Statewide	OTHER PROGRAM AREA, RFP3267 Innovation Advis Pilot	175,000				
	Stantec Consulting Services, Inc.	STATEWIDE	Statewide	Off-Shore Wind Pre-Dev Act, RFP 3462	169,400				
	Stem Inc	STATEWIDE	Statewide	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION..	250,000				
	Steven Winter Associates, Inc.	STATEWIDE	Statewide	NextGen HVAC, Linkage-Less Burner Retrofit	18,499				
	Stonework Capital LLC	STATEWIDE	Statewide	OTHER PROGRAM AREA, RFP3267 Innovation Advis Pilot	175,000				
	SUNY - ESF	STATEWIDE	Statewide	ENVIRONMENTAL RESEARCH, Biofiltration drainage media	292,911				
	SUNY at Albany	STATEWIDE	Statewide	ENVIRONMENTAL RESEARCH, Climate Change & Renewables	317,926				
	Sustainable CUNY CUNY/RF	STATEWIDE	Statewide	NY-SUN, 2017 NY Solar Summit sponsor	10,000				
	Sustainable Energy Advantage, LLC		STATEWIDE	Statewide	>200KW PV, Large Scales Renewables Techni	200,000			
					ENERGY ANALYSIS, Large Scales Renewables Techni	12,600			
					LARGE SCALE RENEWABLES, Large Scales Renewables Techni	33,033			
					Off-Shore Wind Pre-Dev Act, Large Scales Renewables Techni	120,113			
					OTHER PROGRAM AREA, Large Scales Renewables Techni	99,902			
					REC:CES REC System Dev Costs, Large Scales Renewables Techni	65,391			
					ZEC:CES ZEC System Dev Costs, Large Scales Renewables Techni	65,391			
					T.Y. Lin International	STATEWIDE	Statewide	CLEANER GREENER COMMUNITIES, Energy Code Support Services	500,000
					Tagup Inc.	STATEWIDE	Statewide	High Performing Grid, PON 3397 CAT C	185,621
					Taitem Engineering, P.C.	STATEWIDE	Statewide	Community RH&C, Technical Review and Program S	49,996
	EVALUATION, Technical Review and Program S	64,425							
	Geothermal Incentive Program, Technical Review and Program S	155,881							
	Taylor Group LTD	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, 2017 NYS Fair Skyline svcs	24,767				
				OTHER PROGRAM AREA, Display Materials	5,528				
	Tetra Tech Engineers, Architects and Lan	STATEWIDE	Statewide	Commercial New Construc, Tetra Tech (Consentini) RFP303	0				
	The Cadmus Group, Inc.	STATEWIDE	Statewide	>200KW PV, RFQL3434 Cat1 NYSUN C/I	464,566				
				NY-SUN, RFQL3434 Cat1 NYSUN C/I	157,089				
				Residential-Engaging New Mkts, RFQ 3183 The Cadmus Group Inc	224,570				
				Rmve Barriers Dist Enrgy Storg, RFP 3407 Category 4	573,447				
	The Great Plains Institute for	STATEWIDE	Statewide	OTHER PROGRAM AREA, DOE grant - UER - Minnesota	48,000				
	The McAulay Smith Firm, LTD	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, SrLdr Smart Grid Search Firm	50,000				
	The Renewables Consulting Group, LLC	STATEWIDE	Statewide	Off-Shore Wind Pre-Dev Act, RFP 3462	749,353				
	The Research Foundation of SUNY at Bing	STATEWIDE	Statewide	Cleantech Startup Growth, PON3413 Clean Energy Incubator	1,500,000				
	The Trustees of Columbia University	STATEWIDE	Statewide	ENVIRONMENTAL RESEARCH, CU Health&Air Quality Wrkshop	15,051				
				ENVIRONMENTAL RESEARCH, GIS flood mapping tool	120,666				
				ENVIRONMENTAL RESEARCH, Tropical Cyclone Risk Model	299,873				
				ENVIRONMENTAL RESEARCH, Upstate building footprints	292,829				
	Theron Jay Egg, Jr.	STATEWIDE	Statewide	Geothermal Incentive Program, GSHP Training Series 2017	22,600				
	Town of Huntington	STATEWIDE	Statewide	OTHER PROGRAM AREA, RFP 3044 R2	1,000,000				
	TRC Energy Services	STATEWIDE	Statewide	Flexible Tech Assistance, Technical Review and Program S	70,000				
				Industrial Process Effic, Technical Review and Program S	20,500				
				Low-Income Forum on Energy, LIFE Implementation Services	173,089				
				Multifam New Construction, MF Energy Perf Portfolio Imple	863,624				
				Multifam Performance Pgm, MF Energy Perf Portfolio Imple	836,640				
				MULTIFAMILY PERFORMANCE PROGRAM, MF Energy Perf Portfolio ..	993,753				
	Tully Rinckey PLLC	STATEWIDE	Statewide	CLEAN TRANSPORTATION, Outside Counsel Services	5,000				
	U.S. Department of Transportation	STATEWIDE	Statewide	CLEAN TRANSPORTATION, Smart Mobility Program Support	48,000				
	U.S. Green Building Council, NY Chapter	STATEWIDE	Statewide	NextGen HVAC, Manufacturing Barriers for Ene	50,000				
	University of Maryland	STATEWIDE	Statewide	OTHER PROGRAM AREA, DOE UER - Maryland	48,000				
	Upstate Venture Association of New York,	STATEWIDE	Statewide	Prof & Expert Engagement, InnovationCap&BizDev'inactive	30,000				
	Vermont Energy Investment Corporation	STATEWIDE	Statewide	CLEAN TRANSPORTATION, EV Dealer Incentive Program	149,778				
				Industrial Process Effic, Technical Review and Program S	29,777				
				Strategic Energy Manager, RFP 3352	1,335,730				
	Willdan Energy Solutions	STATEWIDE	Statewide	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Program ..	15,554				
				Real Time Enrgy Management, Technical Review and Program S	945,750				
	Yale University	STATEWIDE	Statewide	ENERGY ANALYSIS, Financing Solutions	30,000				
	<b>Total</b>					<b>321,658,028</b>			
	Western New York	3M Company	Erie	National Grid	Industrial Process Effic, Industrial Process Efficiency	148,578			
		Active Solar Development, LLC	Chautauqua	National Grid	<200KW PV, NY Sun	81,080			
			Erie	National Grid	<200KW PV, NY Sun	85,300			
		AECOM Technical Services Inc.	Cattaraugus	National Grid	WEST VALLEY DEVELOPMENT PROGRAM, Environmental Monitorin..	456,942			
		AES Holland Solar, LLC	Erie	NYS Electric and Gas	NY-SUN, NY-Sun C&I	103,142			

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount	
Western New York	American Solar Partners, LLC	Erie	National Grid	<200KW PV, NY Sun	60,344	
	Apex Solar Power LLC	Allegany	National Grid	<200KW PV, NY-Sun	2,851	
	Bergmann Associates	Cattaraugus	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
			Chautauqua	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
			Niagara	National Grid	RENEWABLE HEAT NY, Technical Review and Program S	2,400
	Buffalo Niagara Medical Campus, Inc.	Erie	National Grid	SMART GRID SYSTEMS, RFP 3044 R2	807,500	
	Buffalo Renewables, Inc.	Erie	National Grid	SMALL WIND, Wind Turbine Incentive	166,800	
		Niagara	National Grid	SMALL WIND, Wind Turbine Incentive	35,000	
	Buffalo Solar Solutions Inc	Cattaraugus	National Grid	<200KW PV, NY Sun	10,524	
		Chautauqua	National Grid	<200KW PV, NY Sun	6,240	
		Erie	National Grid	<200KW PV, NY Sun	28,440	
	C.J. Brown Energy, P.C.	Allegany	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	9,125	
			NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
			Rochester Gas and El..	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
		Chautauqua	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	10,000	
			NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000	
		Erie	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	3,498	
			NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	841	
		CHA Consulting Inc.	Erie	National Grid	Flexible Tech Assistance, FlexTech Consultant CHA	24,400
	National Grid			Industrial Process Effic, Technical Review and Program S	13,000	
	Chenango Contracting, Inc.	Cattaraugus	National Grid	WEST VALLEY DEVELOPMENT PROGRAM, RFP 3456	988,102	
	CIR ELECTRICAL CONSTRUCTION CORP.	Allegany	Rochester Gas and El..	<200KW PV, NY Sun	10,000	
			Cattaraugus	National Grid	<200KW PV, NY Sun	6,000
		Erie	National Grid	<200KW PV, NY Sun	5,200	
			National Grid	<200KW PV, NY-Sun	11,704	
			NYS Electric and Gas	<200KW PV, NY Sun	25,376	
		Niagara	National Grid	<200KW PV, NY Sun	23,456	
			NYS Electric and Gas	<200KW PV, NY Sun	10,640	
	Collegiate Builders	Erie	National Grid	<200KW PV, NY Sun	5,160	
	County of Erie Comptrollers Office	Erie	National Grid	NEW CONSTRUCTION PROGRAM, NCP12832-ECCNorthCampusST..	81,408	
	Delaware River Solar, LLC	Erie	NYS Electric and Gas	>200KW PV, NY Sun	1,881,053	
	DePaul Properties, Inc.	Erie	NYS Electric and Gas	Low Rise New Construction, New Construction	86,000	
	ECR Renovations Inc	Chautauqua	National Grid	<200KW PV, NY Sun	6,120	
	Enercon Services Inc	Cattaraugus	National Grid	WEST VALLEY DEVELOPMENT PROGRAM, RFP 3305 Licence Cons..	125,652	
	Erdman Anthony & Associates, Inc.	Cattaraugus	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
		Chautauqua	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
		Erie	National Grid	Commercial New Construc, EAA - EMP	14,453	
	Freedom Solar Inc.	Allegany	Rochester Gas and El..	<200KW PV, NY Sun	14,904	
			Cattaraugus	National Grid	<200KW PV, NY Sun	13,362
		Erie	National Grid	<200KW PV, NY-Sun	8,120	
			National Grid	<200KW PV, NY Sun	16,550	
			NYS Electric and Gas	<200KW PV, NY Sun	17,910	
		Niagara	National Grid	<200KW PV, NY-Sun	5,000	
	Niagara	National Grid	<200KW PV, NY Sun	10,368		
	Globe Metallurgical	Niagara	National Grid	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	1,655,615	
	Goya Foods, Inc.	Erie	National Grid	>200KW PV, NY Sun	359,007	
	Grand Island Solar, LLC	Erie	National Grid	>200KW PV, NY Sun	856,534	
	LaBella Associates, P.C.	Chautauqua	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
		Erie	National Grid	Flexible Tech Assistance, FlexTech Consultant Selection	12,896	
			NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
	M/E Engineering, P.C.	Cattaraugus	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
		Erie	National Grid	Flexible Tech Assistance, FlexTech Consultant Selection	34,000	
		Niagara	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,980	
	McMahon and Mann Consulting Engineers	Cattaraugus	National Grid	WEST VALLEY DEVELOPMENT PROGRAM, Engineering Services WV	200,000	
	MJW Technical Services, Inc.	Cattaraugus	National Grid	WEST VALLEY DEVELOPMENT PROGRAM, Radiation Protection Sup..	124,084	
	Monolith Solar Associates, LLC	Erie	NYS Electric and Gas	<200KW PV, NY-Sun	52,914	
	New York Power Authority	Allegany	NYS Electric and Gas	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech MOU NYSERDA-NYP..	77,950	
	NYS Department of Health	Cattaraugus	National Grid	WEST VALLEY DEVELOPMENT PROGRAM, RML Triennial Bill	5,500	
	NYSDEC	Cattaraugus	National Grid	WEST VALLEY DEVELOPMENT PROGRAM, WV-Admin	250,000	
	O'Connell Electric Company	Niagara	NYS Electric and Gas	<200KW PV, NY Sun	26,216	
	Pathfinder Engineers & Architects, LLP	Erie	National Grid	Flexible Tech Assistance, FlexTech Consultant Selection	17,024	
	Randstad North America, L.P.	Erie	National Grid	NYSERDA ADMINISTRATION, Temp Services Contract	26,500	
	Royalton Solar, LLC	Niagara	National Grid	>200KW PV, NY Sun	785,936	
	Seven Springs West LLC	Cattaraugus	National Grid	WEST VALLEY DEVELOPMENT PROGRAM, Operations and Maintena..	1,695,000	

## Projects Selected for Funding by Region

Period 4/1/2017 through 9/30/2017

REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount	
Western New York	Solar and Wind FX, Inc. (Chris Schaefer)	Erie	NYS Electric and Gas	<200KW PV, NY Sun	10,000	
	Solar Liberty Energy Systems, Inc	Cattaraugus	National Grid	<200KW PV, NY Sun	5,220	
			NYS Electric and Gas	<200KW PV, NY-Sun	5,300	
	Chautauqua	National Grid	<200KW PV, NY Sun	2,400		
			<200KW PV, NY-Sun	5,424		
	Erie	National Grid	<200KW PV, NY Sun	26,753		
			NYS Electric and Gas	<200KW PV, NY Sun	18,268	
			>200KW PV, NY Sun	300,175		
	Niagara	National Grid	<200KW PV, NY Sun	11,868		
			<200KW PV, NY-Sun	5,016		
	Solar Provider Group LLC	Allegany	National Grid	>200KW PV, NY Sun	335,049	
			Rochester Gas and El..	>200KW PV, NY Sun	1,035,780	
	Stratford Arms Housing LP	Erie	National Grid	Multifam Performance Pgm, Multifamily	19,475	
	Taitem Engineering, P.C.	Allegany	NYS Electric and Gas	<200KW PV, NY Sun	5,184	
	TM Montante Solar Developments, LLC	Erie	National Grid	>200KW PV, NY Sun	395,347	
		Niagara	National Grid	<200KW PV, NY Sun	24,305	
	UB Associates, Inc.	Erie	National Grid	Commercial New Construc, NCP15027 - Conventus Center fo	68,461	
	United Wind Project I, LLC	Chautauqua	National Grid	SMALL WIND, Wind Turbine Incentive	37,474	
			NYS Electric and Gas	SMALL WIND, Wind Turbine Incentive	38,920	
		Erie	NYS Electric and Gas	SMALL WIND, Wind Turbine Incentive	39,401	
	Village of Ellicottville	Cattaraugus	National Grid	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	851	
	Viola Homes Inc.	Erie	National Grid	<200KW PV, NY Sun	5,755	
	Wendel Energy Services, LLC	Erie	National Grid	Flexible Tech Assistance, FlexTech Consultant Selection	15,025	
		Niagara	National Grid	Industrial Process Effic, Technical Review and Program S	3,907	
	Whitehaven Solar A, LLC	Erie	National Grid	>200KW PV, NY Sun-Assignment	395,347	
	Whitehaven Solar C, LLC	Erie	National Grid	>200KW PV, NY Sun - Assignment	395,347	
	Wurlitzer Industrial Park Inc	Niagara	National Grid	NEW CONSTRUCTION PROGRAM, NCP12461 - The Wurlitzer Bldg	22,205	
	<b>Total</b>					14,870,954
	<b>Grand Total</b>					532,165,284



NYSERDA  
Public Authority Law Report  
April 1, 2017 to September 30, 2017

Section Break

**Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation**  
**Period 4/1/2017 through 9/30/2017**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
1st Light Energy, Inc.	<200KW PV, NY Sun	129,649
	<200KW PV, NY-Sun	110,118
3Gi CNYIP, Inc.	CLEANER GREENER COMMUNITIES, CGC26840 - 3Gi CNYIP	31,250
3M Company	Industrial Process Effic, Industrial Process Efficiency	71,400
18th Street Fulton Equities LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	31,600
20 East 9th Street Corp.	COMBINED HEAT AND POWER, DG CHP at Brevoort East	3,644
24th Street LIC, LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	189,450
25 WA Associates, LLC	NEW CONSTRUCTION PROGRAM, NCP98322 - Steiner Studios	182,384
46 Nevins Street Associates LLC	NEW CONSTRUCTION PROGRAM, NCP12450 - EVEN Hotel Brookl..	37,161
55 Prospect Owner LLC	NEW CONSTRUCTION PROGRAM, NCP11957 - 55 Prospect Street	30,072
77 Sands Owner LLC	NEW CONSTRUCTION PROGRAM, NCP11962 - 77 Sands Street Bro	18,643
95 Evergreen Building Investors III LLC	NEW CONSTRUCTION PROGRAM, NCP13055 - 95 Evergreen	3,000
100 S Clinton LLC	EXISTING FACILITIES, EFP3000 - 100 S. Clinton - 100	28,109
117 Adams Owners LLC	NEW CONSTRUCTION PROGRAM, NCP11960 - 117 Adams Street ..	46,061
125 Broad Condominium	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Program - Pon 1746	12,000
125th Street Equities LLC	NEW CONSTRUCTION PROGRAM, NCP10652 - Corn Exchange	25,249
133 Equities, LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	54,040
133 Greenwich St Associates LLC	NEW CONSTRUCTION PROGRAM, NCP11289 - 133 Greenwich St	94,864
150 Charles St. Holdings, LLC	NEW CONSTRUCTION PROGRAM, NCP10793 - 150 Charles	203,368
155 East Main LLC	NEW CONSTRUCTION PROGRAM, NCP12398 - Hilton Garden Inn R	10,120
175 Pearl Owner LLC	NEW CONSTRUCTION PROGRAM, NCP11972 - 175 Pearl Street Br	8,946
215 WEST 91ST STREET CORP	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	24,000
220/67 Owners Corp	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	34,500
300 Schemerhorn Realty LLC	NEW CONSTRUCTION PROGRAM, NCP11974 - Holiday Inn Brookly	65,744
315 East 68th Street Corp.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	72,840
328 East Main LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	86,000
375 Park Avenue Investors LP	EXISTING FACILITIES, EFP2484 - 375 Park Ave LP - 37	952,224
470 Realty Associates LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	71,000
500 Trinity LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	26,550
555 Storage Group LLC	NEW CONSTRUCTION PROGRAM, NCP13109 - Hampton Inn Yonk..	8,673
591 Ocean Realty LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	72,000
622 VCA LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	21,000
625 Ownership LLC	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Program - Pon 1746	5,000
675 Realty Associates LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	28,000
860 Washington Street LLC	NEW CONSTRUCTION PROGRAM, NCP11560 - 860 Washington St..	80,233
907 Driggs Avenue Associates L.P.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	21,000
985 Ocean Ave LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	37,000
1012 Ocean Ave Realty LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	52,000
1018 E. 163 St. Co.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	48,500
1120 Bergen Street LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	32,000
1185 Straight Path Corp.	FUEL NY, PGI00026 - 1185 Straight Path	81,810
1215 Realty Associates LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	35,000
1233 Realty Associates LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	35,000
1325 Realty Associates LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	42,000
1414 Holdings, LLC	NEW CONSTRUCTION PROGRAM, NCP10451 - 1414 Holdings LLC	107,137
2764-66 Realty LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	56,000
3475 Third Avenue Owner Realty LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	30,600
Able Electrical Services, LLC	<200KW PV, NY-Sun	1,734
Abt Associates Inc.	ENVIRONMENTAL RESEARCH, Community Flood Risk	25,308
	ENVIRONMENTAL RESEARCH, Environmental Res. Outreach	86,392

**Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation**  
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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Abt Associates Inc.</b>	ENVIRONMENTAL RESEARCH, Flex Energy Tech Analysis 2	4,407
<b>Access Supports for Living Inc.</b>	NEW YORK ENERGY STAR HOMES, New Construction	215,000
<b>Accord Power, Inc.</b>	<200KW PV, NY Sun	74,445
<b>ACE Solar LLC</b>	<200KW PV, NY Sun	6,440
<b>Action Research Inc.</b>	ADVANCED BUILDINGS, Behavior Research Pilot Design	24,538
	CLEAN TRANSPORTATION, Behavior Research Pilot Design	5,354
<b>Adam C. Boese</b>	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	105,261
<b>Adirondack Center for Loon</b>	ENVIRONMENTAL RESEARCH, Loons: monitor biotic mercury	33,000
<b>Adirondack Farms LLC</b>	ANAEROBIC DIGESTER, RPS ADG - Adirondack	186,260
<b>Adirondack North Country Association</b>	CLEANER GREENER COMMUNITIES, CGC42502 - CGC One Stop ..	268,090
	CLEANER GREENER COMMUNITIES, Green Jobs Green New York ..	23,728
	GJGNY REVOLVING LOAN FUND, Green Jobs Green New York Outr	21,797
<b>ADM Associates, Inc.,</b>	EVALUATION, ADM Associates Inc. TWO	4,410
	Industrial Process Effic, ADM Associates Inc. TWO	840
<b>Advanced Climate Technologies, LLC</b>	RENEWABLE HEAT NY, Automated Manufacturing System	75,000
<b>AECOM Technical Services Inc.</b>	WEST VALLEY DEVELOPMENT PROGRAM, Environmental Monitori..	260,970
<b>Aegis Energy Services Inc.</b>	COMBINED HEAT AND POWER, CHPA - 300 Central Park West	44,550
	COMBINED HEAT AND POWER, CHPA - 400 Central Park West	79,200
	COMBINED HEAT AND POWER, CHPA - Avalon Fort Greene	154,000
	COMBINED HEAT AND POWER, CHPA - DO & CO Catering	120,929
	COMBINED HEAT AND POWER, CHPA - Grace Towers Apartment	41,580
	COMBINED HEAT AND POWER, CHPA - Green Hills Home	19,058
	COMBINED HEAT AND POWER, CHPA - Park Lane	62,284
	COMBINED HEAT AND POWER, CHPA - Patrick Gorman	115,500
	COMBINED HEAT AND POWER, CHPA - Plaza Residences 23-25	62,284
	COMBINED HEAT AND POWER, CHPA - Plaza Residences 250	41,580
	COMBINED HEAT AND POWER, CHPA - Remeeder House - Sheffi	20,790
	COMBINED HEAT AND POWER, CHPA - Remeeder House - Sutter	20,790
	COMBINED HEAT AND POWER, CHPA - Remeeder Houses - Alaba	20,790
	COMBINED HEAT AND POWER, CHPA - The Buchanan	56,430
	COMBINED HEAT AND POWER, CHPA - The Westmont	59,400
	COMBINED HEAT AND POWER, CHPA - Village Mall Hillcrest	79,200
	COMBINED HEAT AND POWER, CHPA - West 96th	59,400
	COMBINED HEAT AND POWER, CHPA- Remeeder House - Blake	20,790
<b>Aeonsolar</b>	<200KW PV, NY-Sun	7,949
<b>Affordable Housing Partnership</b>	CLEANER GREENER COMMUNITIES, Green Jobs Green New York ..	14,449
	GJGNY REVOLVING LOAN FUND, Green Jobs Green New York Outr	48,033
<b>AKF-engineers</b>	Flexible Tech Assistance, FlexTech Consultants Statewide	23,304
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	15,376
<b>Albany Energy, LLC</b>	LARGE SCALE RENEWABLES, Albany 2	107,670
	LARGE SCALE RENEWABLES, Albany Energy LLC	26,177
<b>Albany Engineering Corp.</b>	LARGE SCALE RENEWABLES, Mechanicville Hydro	254,678
	LARGE SCALE RENEWABLES, Stuyvesant Falls Hydroelectric	213,467
<b>Albany, City of,</b>	CLEANER GREENER COMMUNITIES, CGC28993 - City of Albany	73,088
<b>Albee Development</b>	NEW CONSTRUCTION PROGRAM, NCP98814 - Albee Developmen..	107,580
<b>Alembic Development Company</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	12,771
<b>All Systems Cogeneration, Inc.</b>	COMBINED HEAT AND POWER, CHPA - Morrisania	59,400
<b>Allegany County</b>	CLEANER GREENER COMMUNITIES, CGC27929 - Allegany County	43,769
<b>Allen Power, Inc.</b>	SMART GRID SYSTEMS, RFP 3044 R2	255,000
<b>Alliance Energy LLC</b>	FUEL NY, PGI00035 - Alliance Energy LLC	89,741

**Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation**  
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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Alliance Energy LLC</b>	FUEL NY, PGI00101 - Alliance Energy LLC	100,888
	FUEL NY, PGI00155 - Alliance Energy LLC	89,861
	FUEL NY, PGI00157 - Alliance Energy LLC	90,716
<b>Alliance for Green Heat</b>	RENEWABLE HEAT NY, Energy and Environmental Perfo	14,500
<b>Alliance for Housing Inc.</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	100,261
<b>Alliance for Sustainable Energy, LLC</b>	ADVANCED BUILDINGS, Advanced Buildings Technology	56,250
	MARKET PATHWAYS, Residential Products	10,455
<b>Allied West Farms (NY) LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	142,200
<b>Altanova LLC</b>	Flexible Tech Assistance, FlexTech Consultant Selection	19,999
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	23,764
<b>Alternative Power Solutions of NY, LLC</b>	<200KW PV, NY Sun	110,464
	<200KW PV, NY-Sun	12,960
<b>AltPOWER, Inc.</b>	<200KW PV, RES-NewConst(no longer in use)	17,935
<b>Ambrosino, DePinto &amp; Schmieder</b>	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	27,183
<b>Amdor, LLC</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	28,333
<b>American DG Energy Incorporated</b>	EXISTING FACILITIES, PON1219EE3	68,388
<b>American Energy Care, Inc.</b>	<200KW PV, NY Sun	23,248
	<200KW PV, NY-Sun	47,680
	<200KW PV, RES-NewConst(no longer in use)	139,340
<b>American Express Company</b>	EXISTING FACILITIES, EFP2552 - AMEX - 200 Vesey Str	2,941
<b>American Fuel Cell</b>	CLEAN TRANSPORTATION, NY-BEST Bench-to-Prototype	50,000
<b>American Organic Energy, LLC</b>	CLEANER GREENER COMMUNITIES, CGC31123 - AO Energy	203,143
<b>American Solar Partners, LLC</b>	<200KW PV, NY Sun	26,106
	<200KW PV, NY-Sun	8,640
	<200KW PV, RES-NewConst(no longer in use)	14,310
<b>Ampersand Olcott Harbor Hydro LLC</b>	LARGE SCALE RENEWABLES, 11th Main Tier Solicitation	1,800
<b>Ampersand Tannery Island Hydro, LLC</b>	LARGE SCALE RENEWABLES, 11th Main Tier Solicitation	1,663
	REC:CES REC Contracts, 11th Main Tier Solicitation	3,316
<b>Antares Group, Inc.</b>	COMBINED HEAT AND POWER, Technical Review and Program S	20,170
	ENVIRONMENTAL RESEARCH, Wood Heat & Power LCA Lit Rev	4,147
	EXISTING FACILITIES, Technical Review and Program S	7,032
	Geothermal Incentive Program, Technical Review and Program S	1,351
	Industrial Process Effic, Technical Review and Program S	10,614
	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	2,881
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	31,224
	NYSERDA ADMINISTRATION, Renewable Portfolio Standard T	7,957
<b>Anthony J Berejka</b>	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, EB & XRa..	15,000
<b>Apex Solar Power LLC</b>	<200KW PV, NY Sun	176,452
	<200KW PV, NY-Sun	116,259
<b>Applied Energy Group, Inc.</b>	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATI..	41,688
<b>Applied Power Systems, Inc.</b>	CLEAN TRANSPORTATION, NY-BEST Bench-to-Prototype	76,061
<b>Apprise, Incorporated</b>	On-Site Energy Manager, RFQ 3183 Apprise Incorporated	20,488
	Strategic Energy Manager, RFQ 3183 Apprise Incorporated	20,488
<b>APX Inc.</b>	LARGE SCALE RENEWABLES, NYGATS	260,900
	REC:CES REC System Dev Costs, NYGATS	81,300
<b>Arcadis of New York, Inc.</b>	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	41,928
	Flexible Tech Assistance, FlexTech Consultant Selection	12,254
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	2,787
	OTHER PROGRAM AREA, Large Scales Renewables Techni	66,341
<b>Arcadis U.S., Inc.</b>	COMBINED HEAT AND POWER, Technical Review and Program S	8,896

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Arcadis U.S., Inc.</b>	EXISTING FACILITIES, Technical Review and Program S	164,995
	FLEXIBLE TECHNICAL ASSISTANCE, Technical Review and Progra..	705
	FUEL NY, Technical Review and Program S	800,455
	Industrial Process Effic, Technical Review and Program S	23,948
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	5,641
	NY-SUN, Technical Review and Program S	79,502
	NYSERDA ADMINISTRATION, Greenling the Bronx M&V	27,784
<b>Arch Street Communications, Inc.</b>	Clean Energy Communities, Marketing Support for NYSERDA	27,143
	NYSERDA ADMINISTRATION, Marketing Support for NYSERDA	8,000
<b>Argos Solar, LLC</b>	NY-SUN, PV System @ Cornell - Geneva	469,375
<b>Arnold &amp; Porter Kaye Scholer LLP</b>	WEST VALLEY DEVELOPMENT PROGRAM, RFP 3300 Outside Co..	5,356
<b>Arts Center and Theater of Schenectady,</b>	CLEANER GREENER COMMUNITIES, CGC27842 - Marquee Power..	776,186
<b>Asian Americans for Equality, Inc.</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	34,650
<b>Astrum Solar, Inc.</b>	<200KW PV, NY Sun	6,380
	<200KW PV, NY-Sun	10,512
<b>Atelier Ten</b>	NEW CONSTRUCTION PROGRAM, ATEN - EMP	25,315
	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	17,867
<b>Autronic Plastics, Inc.</b>	ADVANCED BUILDINGS, LED Lighting	80,865
	CLEAN TRANSPORTATION, LED Roadway Sign Retrofit	5,000
<b>Avangrid Renewables, LLC</b>	LARGE SCALE RENEWABLES, Hardscrabble Wind Energy	619,372
	LARGE SCALE RENEWABLES, Hardscrabble Wind Power LLC	731,817
<b>Avenue D Investors LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	16,500
<b>AWS Truepower</b>	Off-Shore Wind Pre-Dev Act, RFP 3462	48,000
<b>Baker Victory Services</b>	NEW CONSTRUCTION PROGRAM, NCP10326 - RTF	45,226
<b>Balsam View Dairy</b>	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	12,472
<b>Barclay Heights</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	7,350
<b>Bard College</b>	REV CAMPUS CHALLENGE, REV Campus Challenge	171,091
<b>Batavia, City of</b>	CLEANER GREENER COMMUNITIES, CGC42749 - City of Batavia	25,200
<b>Battery Energy Storage System</b>	OTHER PROGRAM AREA, RFQL3101 76W Clean Energy Comp	25,000
<b>Bausch &amp; Lomb</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	242,070
<b>BBL Construction Services LLC</b>	NEW CONSTRUCTION PROGRAM, NCP13202 - Courtyard Marriot	37,758
<b>BCD:A, LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	49,200
<b>BDO USA LLP</b>	NEW YORK GREEN BANK, Background Investigation Servi	9,350
<b>Beecher , Marshall</b>	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	5,664
<b>Behavioral Ideas Lab, Inc.</b>	ADVANCED BUILDINGS, Behavior Overview & Design	127,022
<b>Bergman Associates, P.C.</b>	CLEAN TRANSPORTATION, Mkt Trn (no longer in use)	2,900
<b>Bergmann Associates</b>	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	34,135
	Commercial Imp Assist, Technical Review and Program S	4,320
	EXISTING FACILITIES, Technical Review and Program S	575
	Flexible Tech Assistance, FlexTech Consultant Selection	19,087
	Flexible Tech Assistance, Technical Review and Program S	701
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	3,375
	FLEXIBLE TECHNICAL ASSISTANCE, Technical Review and Progra..	63,436
	Industrial Process Effic, Technical Review and Program S	20,592
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	47,270
	On-Site Energy Manager, FlexTech Consultant Selection	57,473
RENEWABLE HEAT NY, Technical Review and Program S	4,399	
<b>Best Energy Power</b>	<200KW PV, NY Sun	91,299
	<200KW PV, NY-Sun	198,595
<b>Better Cities &amp; Towns, Inc.</b>	CLEANER GREENER COMMUNITIES, CGC31774 - Better Cities To..	4,150

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
Bettergy Corporation	CLEAN TRANSPORTATION, Prototype Development	24,215
Beulah Housing Development Fund Company,	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	5,250
BGCH Apartments LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	35,550
Bigwood Systems Inc	SMART GRID SYSTEMS, EPTD Smart Grid	32,000
Binghamton City School District	NEW CONSTRUCTION PROGRAM, NCP11437 - MacArthur School	184,015
Binghamton University	NEW CONSTRUCTION PROGRAM, NCP12485 - Lecture Hall Studen	50,072
BJ's Wholesale Club	EXISTING FACILITIES, EFP2231 - BJ's 4 Sites	97,467
Black Cherry Services Group, Inc.	<200KW PV, NY-Sun	10,884
Black River Hydroelectric, LLC	LARGE SCALE RENEWABLES, 11th Main Tier Solicitation	-55,888
	REC:CES REC Contracts, 11th Main Tier Solicitation	394,198
Blue Sea Development Company, LLC	COMMUNITY SOLAR, Affordable Solar Predevelopmen	8,300
Bolla Operating Corp.	FUEL NY, PGI00141 - Bolla Operating Cor	85,253
Bolla Operating LI Corp.	FUEL NY, PGI00043 - Bolla Operating LI	82,298
	FUEL NY, PGI00098 - Bolla Operating LI	72,307
	FUEL NY, PGI00191 - Bolla Operating LI	33,742
Bond, Schoeneck & King, PLLC	Clean Energy Communities, RFP 3300 Outside Counsel Servi	2,599
	CLEAN TRANSPORTATION, RFP 3300 Outside Counsel Servi	4,748
	NYSERDA ADMINISTRATION, Outside Legal Services	7,922
	OTHER PROGRAM AREA, RFP 3300 Outside Counsel Servi	7,500
Borg Warner-Morse TEC	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	63,756
Boro Park Village - Phase II	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	18,200
Bowery Residents' Committee, Inc	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	54,400
BPC Green Builder, Inc.	NEW YORK ENERGY STAR HOMES, New Construction	8,000
BQ Energy, LLC	NY-SUN, Town of Esopus Landfill	60,746
Brattle Group Inc.	Off-Shore Wind Master Plan, Large Scales Renewables Techni	342,175
Brian Firestone	Low Rise New Construction, New Construction	4,500
Bright Power, Inc.	<200KW PV, NY Sun	90,876
	<200KW PV, NY-Sun	223,918
	ADVANCED BUILDINGS, PV Battery backup system demo	20,000
	Flexible Tech Assistance, FlexTech Consultant Selection	15,950
Brighton 50 LLC	NEW CONSTRUCTION PROGRAM, NCP11021 - Oceana Bld P	47,307
Broadway 52nd LP	EXISTING FACILITIES, EFP2513 - Broadway 52nd LP - 1	481,871
Broadway Housing Development Fund Compan	GREEN AFFORDABLE HOUSING, Multifamily	12,759
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	0
Bronx Park Phase I Preservation LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	408,000
Brooke Pointe, LLC	NEW YORK ENERGY STAR HOMES, RES-NewConst(no longer in u..	58,500
Brookhaven National Lab	RENEWABLE HEAT NY, Next-Gen Test Method Devel	67,940
Brooklyn Navy Yard Development Corp.	NEW CONSTRUCTION PROGRAM, NCP98815 - Green Manufacturi..	20,921
Brooklyn SolarWorks LLC	<200KW PV, NY Sun	6,496
BRP Renny LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	40,200
BSREP UA Greenfit LLC	COMBINED HEAT AND POWER, Transfer of ownership	14,958
BTMI Engineering, PC	Off-Shore Wind Pre-Dev Act, RFP 3462	123,757
Buckeye Terminals, LLC	SFRUP:Upstate Strat Fuel Res, Upstate NY Strategic Fuels Res	678,664
Buckhurst, Fish, Jacquemart, Inc.	CLEAN TRANSPORTATION, Institutionalizing Integrated	3,543
Buckingham Properties LLC	NEW CONSTRUCTION PROGRAM, NCP11705 - Midtown Tower - O..	174,698
Buffalo Renewables, Inc.	SMALL WIND, Wind Turbine Incentive	143,420
Buffalo Solar Solutions Inc	<200KW PV, NY Sun	45,064
Buffalo State College	NEW CONSTRUCTION PROGRAM, NCP11084 - Caudell Hall Renova	89,637
Building Media, Inc.	ADVANCED ENERGY CODES, Energy Code Training and Suppo	38,325
Burke Electric	<200KW PV, RES-NewConst(no longer in use)	13,750

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>BW Research Partnership</b>	OTHER PROGRAM AREA, New York Clean Energy Jobs Stu	74,590
<b>C Speed, LLC</b>	CLEAN TRANSPORTATION, NextGen 3D Antenna	15,000
<b>C.J. Brown Energy, P.C.</b>	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	55,835
	Flexible Tech Assistance, FlexTech Consultant Selection	837
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	596
<b>C.T. Male Associates Engineering,</b>	Flexible Tech Assistance, FlexTech Consultant Selection	3,731
<b>Calm Energy Inc.</b>	EXISTING FACILITIES, Low-cost buildng load controls	50,000
<b>Calstart</b>	CLEAN TRANSPORTATION, Implementation contractor for	93,448
	CLEANER GREENER COMMUNITIES, CGC54612 - CALSTART	55,889
<b>Cambray Housing Corporation</b>	NEW YORK ENERGY STAR HOMES, New Construction	177,500
<b>Capital Construction Services of NY, Inc</b>	NEW YORK ENERGY STAR HOMES, New Construction	241,000
<b>Capital District Regional Planning Comm.</b>	CLEANER GREENER COMMUNITIES, CGC53356 - CDRPC	426,673
<b>Carlisle Construction Materials</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	132,195
	NY-SUN, New York Sun Competitive PV Pr	184,111
<b>Cary Institute of Ecosystem Studies</b>	ENVIRONMENTAL RESEARCH, Forest Ecosytem Model	4,690
<b>Cascade Tissue Group-New York Inc.</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	101,539
<b>Caton Towers Owners Corporation</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	71,500
<b>Catskill Mountainkeeper, Inc</b>	CLEANER GREENER COMMUNITIES, CGC39425 - Renewable NY	351,009
<b>CDH Energy Corporation</b>	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	55,744
	ANAEROBIC DIGESTER, RPS-CST Quality Assurance/Qual	7,375
	COMBINED HEAT AND POWER, CHP System Inspection	60,518
	COMBINED HEAT AND POWER, RFP 3328	188,750
	COMBINED HEAT AND POWER, Technical and Logistic Support	14,634
	COMBINED HEAT AND POWER, Technical Review and Program S	34,785
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATI..	13,882
	EVALUATION, Technical Review and Program S	41,650
	EXISTING FACILITIES, EFP Task Work Order	26,544
	EXISTING FACILITIES, Technical Review and Program S	70
	Geothermal Incentive Program, Technical Review and Program S	4,720
	Industrial Process Effic, Technical Review and Program S	9,985
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	10,841
<b>CE Towers LLC</b>	EXISTING FACILITIES, EFP2367 - CE Towers Co Inc. -	319,132
<b>CEC Stuyvesant Cove, Inc.</b>	CLEANER GREENER COMMUNITIES, CGC55294 - Solar One	326,869
<b>Cellco Partnership</b>	Industrial Process Effic, Industrial Process Efficiency	44,457
<b>Center for Economic Growth</b>	COMMUNITY SOLAR, Solarize 2017	5,000
<b>Center for Sustainable Energy</b>	OTHER PROGRAM AREA, ChargeNY ZEV Rebate Imp Contra	184,949
<b>Central Hudson Gas and Electric Corporat</b>	RENEWABLES & DER INTEGRATION, Distribution Smart Grid	225,635
<b>Central New York Regional Planning and</b>	CLEANER GREENER COMMUNITIES, CGC31214 - CNYRPDB	20,376
	CLEANER GREENER COMMUNITIES, CGC42070 - CNY Mitigation ..	78,000
	CLEANER GREENER COMMUNITIES, CGC57053 - CNY RPDB	398,187
	COMMUNITY SOLAR, Central New York Solar	28,761
	OTHER PROGRAM AREA, Central New York Solar	9,448
	WORKFORCE DEVELOPMENT, Central New York Solar	9,448
<b>Centurion Solar Energy, LLC</b>	<200KW PV, NY-Sun	8,190
<b>CHA Consulting Inc.</b>	Agriculture Energy Eff Pgm, Technical Review and Program S	31,743
	COMBINED HEAT AND POWER, Technical Review and Program S	43,272
	EXISTING FACILITIES, Technical Review and Program S	22,915
	Flexible Tech Assistance, FlexTech Consultant CHA	109,099
	Flexible Tech Assistance, Technical Review and Program S	29,985
	FLEXIBLE TECHNICAL ASSISTANCE, Technical Review and Progra..	93,567

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>CHA Consulting Inc.</b>	Industrial Process Effic, Commercial & Industrial Outrea	220,786
	Industrial Process Effic, Technical Review and Program S	152,306
	INDUSTRIAL PROCESS EFFICIENCY, Commercial & Industrial Outr..	55,362
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	224,916
	On-Site Energy Manager, Commercial & Industrial Outrea	33,771
	On-Site Energy Manager, FlexTech Consultant CHA	129,910
	OTHER PROGRAM AREA, FlexTech Consultant CHA	15,156
	RENEWABLE HEAT NY, Technical Review and Program S	3,103
	Strategic Energy Manager, Commercial & Industrial Outrea	37,370
<b>Charge CCCV, LLC</b>	OTHER PROGRAM AREA, RFQL3101 76W Clean Energy Comp	75,000
<b>Chautauqua County</b>	LARGE SCALE RENEWABLES, Chautauqua LFGE	143,800
<b>ChromaNanoTech LLC</b>	OTHER PROGRAM AREA, RFQL3101 76W Clean Energy Comp	25,000
<b>CHV 560 Winthrop Street Housing Developm</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	175,800
<b>CIR ELECTRICAL CONSTRUCTION CORP.</b>	<200KW PV, NY Sun	113,930
	<200KW PV, NY-Sun	36,261
<b>Citigroup Technology, Inc.</b>	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Program - PON1746	68,000
<b>City of Auburn</b>	LARGE SCALE RENEWABLES, Mill Street Dam Hydro	11,745
<b>City of Beacon</b>	NEW CONSTRUCTION PROGRAM, NCP12347 - Beacon Hwy - OFLT	14,831
<b>City of Cohoes</b>	CLEANER GREENER COMMUNITIES, CGC42156 - City of Cohoes	15,000
<b>City of Lackawanna</b>	CLEANER GREENER COMMUNITIES, CGC27923 - City of Lackawa..	15,000
<b>City of Lockport Housing Authority</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	25,200
<b>City Of New York</b>	CLEANER GREENER COMMUNITIES, CGC43226 - New York City	124,785
	NEW CONSTRUCTION PROGRAM, CGC43226 - New York City	39,205
<b>City of New York, Dept. of Citywide</b>	>200KW PV, PV System @ NYC School K515	40,419
	>200KW PV, PV System @ NYC School M070	31,958
	>200KW PV, PV System @ NYC School Q226	23,920
	>200KW PV, PV System @ NYC School R075	19,909
	>200KW PV, PV System @ NYC School R445	24,244
	>200KW PV, PV System @ NYC School X131	28,183
	>200KW PV, PV System @ NYC School X144	30,856
	>200KW PV, PV System @ NYC School X192	21,073
	>200KW PV, PV System @ NYC School X425	22,951
<b>City of Niagara Falls</b>	NEW CONSTRUCTION PROGRAM, NCP10087 - NF International Ra	48,515
<b>City of Poughkeepsie</b>	CLEANER GREENER COMMUNITIES, CGC40849 - City of Poughke..	48,300
<b>City of Rensselaer</b>	CLEANER GREENER COMMUNITIES, CGC41631 - City of Renssel..	54,500
<b>City of Rochester</b>	CLEANER GREENER COMMUNITIES, CGC28144 - City of Rochester	100,000
<b>City of Saratoga Springs, NY</b>	CLEANER GREENER COMMUNITIES, CGC31779 - City of Saratoga	63,015
<b>City of White Plains</b>	CLEANER GREENER COMMUNITIES, CGC30408-City of White Plai..	618,776
<b>Clarkson Univ., Research Div.</b>	ENVIRONMENTAL RESEARCH, Energy Related Air Quality	158,397
<b>Clarkson University</b>	ADVANCED BUILDINGS, Wood Pellet Boiler Demo	7,230
	ENVIRONMENTAL RESEARCH, Guidance for Thermal Storage	0
	ENVIRONMENTAL RESEARCH, HE Wood Pellet Boiler & ECT	15,177
	ENVIRONMENTAL RESEARCH, Wood Pellet Boiler Demo	5,911
	NEW CONSTRUCTION PROGRAM, NCP14057 - Damon Hall - OFLT	200,000
	RENEWABLE HEAT NY, CO off-gassing pellet storage	113,284
	RENEWABLE HEAT NY, Community Exposure to WS Roch	129,858
	RENEWABLE HEAT NY, Guidance for Thermal Storage	116,391
<b>Clean Energy States Alliance</b>	ENERGY ANALYSIS, Coordination of USDOE Grant	58,040
<b>Clean Technologies A LLC</b>	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	23,121
<b>CLEAResult Consulting, Inc.</b>	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Centrali..	1,647



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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>CLEARresult Consulting, Inc.</b>	EMPOWER NY, Centralized Services & Support	7,905
	EMPOWER NY, Empower QA Services	54,920
	Geothermal Incentive Program, Centralized Services & Support	5,608
	GJGNY REVOLVING LOAN FUND, GJGNY TIC	110,016
	Home Perf w Energy Star, Centralized Services & Support	119,887
	Home Perf w Energy Star, Empower QA Services	201,329
	HOME PERFORMANCE WITH ENERGY STAR, Centralized Service..	2,305
	Low Rise New Construction, Centralized Services & Support	411
	Low Rise New Construction, Implementation and Support con	38,102
	Multifam New Construction, Centralized Services & Support	328
	NEW YORK ENERGY STAR HOMES, Centralized Services & Support	164
	NEW YORK ENERGY STAR HOMES, Implementation and Support c..	10,541
	NYSERDA ADMINISTRATION, Phone Email & Web Support	90,606
	<b>ClearStak LLC</b>	RENEWABLE HEAT NY, Round-Robin Testing Program
<b>ClosedLoops, LLC</b>	CLEAN TRANSPORTATION, Pneumatic Waste Transfer Study	47,251
<b>Clough, Harbour &amp; Associates, LLP</b>	INDUSTRIAL PROCESS EFFICIENCY, EFP Task Work Order	101
<b>Club One Property, LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	5,400
<b>CNY Solar, Inc.</b>	<200KW PV, NY Sun	45,552
	<200KW PV, NY-Sun	21,170
	RENEWABLE THERMAL, NY-Sun	25,000
<b>Coach, Inc.</b>	NEW CONSTRUCTION PROGRAM, NCP12237 - Coach Hq - OFLT	69,654
<b>Code Green Solutions, Inc.</b>	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	51,078
<b>Cogeneration Contractors, Inc.</b>	COMBINED HEAT AND POWER, CHPA - 626 Flatbush	38,610
	COMBINED HEAT AND POWER, CHPA - 1049 Fifth Avenue Condo	120,199
	COMBINED HEAT AND POWER, CHPA - Compass Residences 2A	38,610
	COMBINED HEAT AND POWER, CHPA - Compass Residences 2B	38,610
	COMBINED HEAT AND POWER, CHPA - Five Pointz Towers	147,576
	COMBINED HEAT AND POWER, CHPA - Fresh Direct	445,500
	COMBINED HEAT AND POWER, CHPA - Hudson Yards Tower C	495,000
	COMBINED HEAT AND POWER, CHPA - Morris Avenue Apartment	38,610
	COMBINED HEAT AND POWER, CHPA - POD Hotel	76,577
	COMBINED HEAT AND POWER, CHPA - Riu Hotel New York	180,985
	COMBINED HEAT AND POWER, CHPA - Riu Hotel Times Square	76,577
	COMBINED HEAT AND POWER, CHPA - San Remo	112,774
<b>Cohen Ventures Inc</b>	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATI..	183,133
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATI..	17,650
<b>Colliers International Holdings USA, Inc</b>	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Program - PON1746	6,450
<b>Columbia University</b>	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Proof-of-C..	715,000
	RENEWABLES & DER INTEGRATION, Advanced Concepts Data Ce..	108,960
<b>Columbia University Medical Center</b>	NEW CONSTRUCTION PROGRAM, NCP10439 - Columbia Universit	84,509
	NEW CONSTRUCTION PROGRAM, NCP98430 - Jerome L. Greene ..	1,066,247
<b>Combined Energies LLC</b>	CLEAN TRANSPORTATION, Power/energy module dev & demo	1,566
<b>Commack Fuel Inc.</b>	FUEL NY, GSP00229 - Commack Fuel Inc.	9,945
<b>Common Ground Community II HDFC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	68,400
<b>Communications Specialists, Inc.</b>	<200KW PV, NY-Sun	5,400
<b>Community Access, Inc</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	25,200
<b>Comunilife, Inc</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	35,456
<b>Comverge Incorporated</b>	ADVANCED BUILDINGS, EFP2246 - Comverge - Bass Real	15,600
	EXISTING FACILITIES, EFP2246 - Comverge - Bass Real	58,340
<b>Concord Servicing Corporation</b>	GJGNY REVOLVING LOAN FUND, Multifamily	427

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
Concord Servicing Corporation	GJGNY REVOLVING LOAN FUND, Products	1,215
Congregation Ohav Sholom HDFC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	211,000
Consolidated Edison Company	SMART GRID SYSTEMS, Competitive Greenhouse Gas	212,500
Cooke Solar White Plains, LLC	NY-SUN, RPS CST Regional Program	71,560
COOPER ELECTRIC SUPPLY INC	NY-SUN, NY-Sun Comp. Monroe Cable	241,365
COR Inner Harbor Company LLC	NEW CONSTRUCTION PROGRAM, NCP11794 - Syracuse Inner Ha..	7,328
COR Rensselaer Company III Inc	CLEANER GREENER COMMUNITIES, CGC31256 - COR Inner Harb..	172,000
Cornell Cooperative Ext. Dutchess County	CLEANER GREENER COMMUNITIES, CGC40518 - Cornell Coop Ext	22,500
Cornell Cooperative Extension - Tompkins	CLEANER GREENER COMMUNITIES, CGC30635 - Southern Tier B..	178,047
	ENVIRONMENTAL RESEARCH, Residential Biomass Heating	18,146
Cornell University	CLEAN TRANSPORTATION, Anion Exchange Regen. Fuel Cel	40,280
	ENVIRONMENTAL RESEARCH, Energy Related Air Quality	72,992
	ENVIRONMENTAL RESEARCH, improve EE of crop production	2,421
	ENVIRONMENTAL RESEARCH, optimize LED for greenhouses	107,776
	NEW CONSTRUCTION PROGRAM, NCP11498 - Klarman Hall	127,112
	OTHER PROGRAM AREA, 76West Building a Clean Energy	323,973
Cornell University-Office of Sponsored P	ENVIRONMENTAL RESEARCH, Accelerated Recovery and Envir	4,000
	ENVIRONMENTAL RESEARCH, Building Downwash Effect	5,683
	RENEWABLE HEAT NY, Biomass-Fired Emission Sources	55,994
	SMART GRID SYSTEMS, Anaerobic Digestion Assistance	82,769
Cornerstone Energy Services	RENEWABLE HEAT NY, RHNY Award Letter/PO-Meissner	15,000
Corning Inc.	Industrial Process Effic, Industrial Process Efficiency	60,854
	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	258,880
Couch White, LLP	WEST VALLEY DEVELOPMENT PROGRAM, RFP 3300 Outside Co..	3,301
Courtney-Strong Inc.	CLEANER GREENER COMMUNITIES, CGC53012 - Courtney Strong	124,421
Credit Agricole CIB	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	106,805
Credit Suisse USA	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	247,452
	NEW CONSTRUCTION PROGRAM, NCP12010 - Eleven Madison Av..	51,680
	NEW CONSTRUCTION PROGRAM, NCP12339 - Eleven Madison Av..	122,922
CUNY Institute for Urban Systems - CIUS	ADVANCED BUILDINGS, Assist operators of BAS	27,400
	ADVANCED BUILDINGS, Behav Pilot w/ Bldg Operators	45,112
Custom Electronics, Inc.,	CLEAN TRANSPORTATION, NY-BEST Bench to Prototype Sol	0
Cutone & Company Consultants, LLC	ADVANCED BUILDINGS, Existing Facilities Program -	-1,130
	EXISTING FACILITIES, EFP2460 - Cutone - 345 Hudson	1,130,885
	EXISTING FACILITIES, EFP2633 - Cutone & Company	55,101
	EXISTING FACILITIES, EFP/DMP2499 - Cutone; Fordham	695,656
	EXISTING FACILITIES, Existing Facilities Program -	380,041
	EXISTING FACILITIES, PON1219EE5	76,786
CWC INC	NEW CONSTRUCTION PROGRAM, NCP12395 - 219 East 44th Stree	27,870
Cypress Hills Local Development Corporat	GREEN AFFORDABLE HOUSING, Multifamily	31,445
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	66,641
Dairyland USA Corporation	NEW CONSTRUCTION PROGRAM, NCP11123 - 240 Food Center Dri	69,736
Dalton Farms LLC	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	2,558
Danfoss Holding Security Corporation	EXISTING FACILITIES, EFP2417 - Danfoss Holding Secu	99,792
Darling Advertising Agency Inc.	NYSERDA ADMINISTRATION, Marketing Support for NYSERDA	40,800
	Off-Shore Wind Master Plan, Marketing Support for NYSERDA	136,164
DCG Development Co.	NEW CONSTRUCTION PROGRAM, NCP12366 - Homewood Suites ..	118,924
DealCloud Inc.	NEW YORK GREEN BANK, DealCloud Licensing	64,303
Dewberry Engineers Inc	ENVIRONMENTAL RESEARCH, Transportation Climate ADP	4,461
Dimien LLC	ADVANCED BUILDINGS, Chromatic Window Coating	5,000

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
DNV GL Energy Services USA Inc.	ENVIRONMENTAL RESEARCH, Building-Resiliency Assessment	38,309
Doherty Electric, LLC	<200KW PV, NY Sun	7,560
Dow Jones & Company Inc	FLEXIBLE TECHNICAL ASSISTANCE, PON1746 - FlexTech Program	40,500
Dowd-Witbeck Printing Corp.	Home Perf w Energy Star, Printing Services	2,744
	Low-Income Forum on Energy, Printing Services	1,423
Downstate Technology Center, Inc.	NEW CONSTRUCTION PROGRAM, NCP98745 - Downstate Biotech..	27,672
Downstream Construction, LLC	<200KW PV, NY-Sun	7,216
Duane Allen	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	3,320
Ducommun Aerostructures New York, Inc.	NEW CONSTRUCTION PROGRAM, NCP12893 - Building 171-OFLT	11,980
Dunn Development Corp	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	21,150
Dynamic Energy Solutions, LLC	>200KW PV, NY-Sun C&I	43,803
E&S Environmental Chemistry Inc.	ENVIRONMENTAL RESEARCH, Acid deposition on forests	10,177
	ENVIRONMENTAL RESEARCH, Acid Deposition and Understory	47,366
Eagle Creek Hydro Power LLC	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	71,875
East Avenue Apts LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	100,000
East Harlem Council for Human Services	NEW CONSTRUCTION PROGRAM, NCP10156 - Boriken Neighborh..	19,471
East House Corporation	NEW YORK ENERGY STAR HOMES, New Construction	151,000
East Syracuse - Minoa Central Schools	NEW CONSTRUCTION PROGRAM, NCP11526 - Pine Grove Middle ..	79,847
East Village 14 LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	45,000
Eastern Energy Systems Inc.	<200KW PV, NY-Sun	24,474
Eastern Research Group, Inc.	ENVIRONMENTAL RESEARCH, Environmental Outreach	40,277
EB Realty of Albany	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	42,300
ECNY Electric Inc.	<200KW PV, NY-Sun	46,375
Ecology and Environment Engineering, PC	CLEANER GREENER COMMUNITIES, CGC Implementation Contrac..	203,668
	Off-Shore Wind Pre-Dev Act, RFP 3462	523,623
EcoMarkets LLC	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	21,480
Ecovative Design LLC	ADVANCED BUILDINGS, Advanced Buildings Program	17,079
Ecovis, Inc.	<200KW PV, NY Sun	12,600
ECR Renovations Inc	<200KW PV, NY Sun	6,120
Efficient Energy of Tennessee, LLC	<200KW PV, NY-Sun	98,850
El Puente	CLEANER GREENER COMMUNITIES, Green Jobs Green New York ..	39,612
Eldor Contracting Corporation	<200KW PV, NY Sun	13,936
Electric Power Research Institute	ADVANCED BUILDINGS, Modular DR-ready HVAC	40,897
	CLEAN TRANSPORTATION, Advanced Transportation Tech	94,007
	ENVIRONMENTAL RESEARCH, Climate & future electric syst	36,037
	ENVIRONMENTAL RESEARCH, Energy Related Air Quality	49,055
	OTHER PROGRAM AREA, FS to evaluate MFC/UF	807
	SMART GRID SYSTEMS, EPTD Smart Grid	150,185
	SMART GRID SYSTEMS, EPTD Smart Grid Program	20,000
	SMART GRID SYSTEMS, Urban Microgrid	90,440
Electron Coil Inc.	CLEAN TRANSPORTATION, Lightweight Inductor	20,461
Elmira, City of	CLEANER GREENER COMMUNITIES, CGC39531 - City of Elmira	26,700
Emacx Systems, Inc.	ADVANCED BUILDINGS, EFP1839 - Emacx - NY Presbyter	1,632
	EXISTING FACILITIES, EFP1839 - Emacx - NY Presbyter	24,873
EMCOR Services Betlem	Flexible Tech Assistance, FlexTech Consultant Selection	28,017
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	15,211
	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	129,104
	On-Site Energy Manager, FlexTech Consultant Selection	19,906
EME Consulting Engineering Group, LLC	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	25,000
	Commercial New Construc, EME - EMP	28,598

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>EME Consulting Engineering Group, LLC</b>	EXISTING FACILITIES, Technical Review and Program S	120,656
	Flexible Tech Assistance, Technical Review and Program S	61,745
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	379,076
	MARKET PATHWAYS, FlexTech Consultant Selection	37,970
	NEW CONSTRUCTION PROGRAM, EME - EMP	1,688
	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	16,247
	NEW CONSTRUCTION PROGRAM, Technical Review and Program S	40,556
	NY-SUN, Technical Review and Program S	123,155
	NYSERDA ADMINISTRATION, Technical Review and Program S	13,684
<b>Emerling Sustainable Dairy Digester LLC</b>	ANAEROBIC DIGESTER, RPS CST ADG-Emerling Farms LLC	161,729
<b>EMG International, Inc.</b>	RENEWABLES & DER INTEGRATION, Development of small AFBD	23,525
<b>Empire Solar Solutions LLC</b>	<200KW PV, NY Sun	99,260
<b>Empower CES, LLC</b>	<200KW PV, NY Sun	15,662
	<200KW PV, NY-Sun	5,520
<b>Enbala Power Networks USA Inc.</b>	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATI..	76,209
<b>ENER-G ROTORS, Inc</b>	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Waste hea..	55,500
<b>ENER-G Rudox Inc.</b>	COMBINED HEAT AND POWER, CHPA - Michaelangelo Hotel	150,196
	COMBINED HEAT AND POWER, CHPA - Mima Apartments	277,217
<b>Eneractive Solutions</b>	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant EnerActi..	39,799
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	45,254
<b>Enercon Services Inc</b>	WEST VALLEY DEVELOPMENT PROGRAM, RFP 3305 Licence Co..	350
<b>Energetics, Incorporated</b>	CLEAN TRANSPORTATION, Battery LCA for Lev 3 EVSE	26,248
	CLEAN TRANSPORTATION, Electric Vehicle Supply Equipm	29,237
	CLEAN TRANSPORTATION, Planning Board EVSE Promotion	34,352
	CLEAN TRANSPORTATION, Strategies for reducing EVSE I	14,952
	CLEAN TRANSPORTATION, Truck Platooning Study	26,958
	CLEANER GREENER COMMUNITIES, Animating the EV market in N..	172,608
<b>Energy &amp; Resource Solutions, Inc.</b>	ADVANCED BUILDINGS, Technical Review and Program S	4,345
	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	15,000
	AGRICULTURE ENERGY EFFICIENCY, FlexTech Consultant Selecti..	8,378
	COMBINED HEAT AND POWER, Technical and Logistic Support	448,546
	COMBINED HEAT AND POWER, Technical Review and Program S	54,773
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATI..	1,455
	EVALUATION, Energy & Resource Sol. TWO	46,408
	EXISTING FACILITIES, EFP Task Work Orders	637
	EXISTING FACILITIES, Technical Review and Program S	39,080
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant ERS	17,282
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	14,940
	Industrial Process Effic, Commercial & Industrial Outrea	168,802
	Industrial Process Effic, Energy & Resource Sol. TWO	8,840
	Industrial Process Effic, Technical Review and Program S	4,127
	INDUSTRIAL PROCESS EFFICIENCY, Commercial & Industrial Outr..	39,572
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	68,903
	NEW CONSTRUCTION PROGRAM, Technical Review and Program S	8,402
	On-Site Energy Manager, Commercial & Industrial Outrea	24,139
	Rmve Barriers Dist Enrgy Storg, RFP 3407 Categories 2 & 3A	75,676
	Strategic Energy Manager, Commercial & Industrial Outrea	26,711
<b>Energy and Environmental Economics Inc.</b>	>200KW PV, Tech Assist, REV Pool	14,413
	CLEAN TRANSPORTATION, BCA of EV grid impacts	44,997
	ENERGY ANALYSIS, Tech Assist, REV Pool	168,533

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<b>Energy and Environmental Economics Inc.</b>	ENVIRONMENTAL RESEARCH, Flex Energy Tech Analysis 2	193,428
	Mkt Char: Tech Assist, Tech Assist, REV Pool	171,836
	OTHER PROGRAM AREA, Renewable Heating Cooling TA	23,487
	OTHER PROGRAM AREA, Tech Assist, REV Pool	169,816
<b>Energy Conservation &amp; Supply, Inc.</b>	EXISTING FACILITIES, EFP2280 - ECS	106,933
<b>Energy Futures Group, Inc.</b>	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATI..	63,865
<b>Energy Improvement Corporation</b>	CLEANER GREENER COMMUNITIES, CGC39896 - EIC	449,486
	MARKET PATHWAYS, Behavioral Demonstrations Prog	112,992
<b>Energy Power investment Company, LLC</b>	LARGE SCALE RENEWABLES, Large-Scale Renewables	409,763
<b>Energy Reduction Assets LLC</b>	EXISTING FACILITIES, EFP2351 - Energy Reduction Ass	46,891
<b>Enerlife Consulting Inc.</b>	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATI..	1,427
<b>EnerNex LLC</b>	SMART GRID SYSTEMS, Major Disturbance Mitigation	54,600
<b>Enerwise Global Technologies</b>	ADVANCED BUILDINGS, EFP2391 - Enerwise - Multisite	9,466
<b>Ensave, Inc.</b>	Agriculture Energy Eff Pgm, AEEP Implementation Contractor	240,897
	AGRICULTURE ENERGY EFFICIENCY, AEEP Implementation Contr..	86,040
<b>EnterSolar LLC</b>	<200KW PV, NY-Sun	62,500
	>200KW PV, NY Sun	42,731
	NY-SUN, New York Sun Competitive PV Pr	214,751
<b>Environmental Control Inc.</b>	<200KW PV, NY-Sun	5,940
<b>Environmental Design &amp; Research</b>	Off-Shore Wind Pre-Dev Act, RFP 3462	17,690
<b>Eonix LLC</b>	CLEAN TRANSPORTATION, Next Generation Electrolytes	84,657
<b>EQR-Fresca 2009 Limited Partnership</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	63,570
<b>Erdman Anthony &amp; Associates, Inc.</b>	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	10,906
	Commercial New Construc, EAA - EMP	9,814
	Flexible Tech Assistance, FlexTech Consultant Selection	14,170
	Industrial Process Effic, Technical Review and Program S	17,438
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	1,143
	NEW CONSTRUCTION PROGRAM, EAA - EMP	5,340
<b>Erie Boulevard Hydropower LP</b>	LARGE SCALE RENEWABLES, 11th Main Tier Solicitation	4,615
	LARGE SCALE RENEWABLES, RPS Program Purchase of Renewa	6,053
	LARGE SCALE RENEWABLES, School Street Hydro Project	113,842
	LARGE SCALE RENEWABLES, Stewarts Bridge Hydro Project	168,357
	REC:CES REC Contracts, 11th Main Tier Solicitation	14,870
<b>Erie County</b>	CLEANER GREENER COMMUNITIES, CGC40859 - Erie County	2,000
<b>Erie, County of</b>	EXISTING FACILITIES, EFP2322 - Erie Correctional	40,506
<b>ERY Retail Podium LLC</b>	COMBINED HEAT AND POWER, Supplier Name Change	300,000
<b>ESS Group, Inc.</b>	Off-Shore Wind Pre-Dev Act, RFP 3462	10,933
<b>Essense Partners Inc.</b>	NYSERDA ADMINISTRATION, Marketing Support for NYSERDA	7,918
	OTHER PROGRAM AREA, Marketing Support for NYSERDA	377,778
<b>Essex County Government Center</b>	CLEANER GREENER COMMUNITIES, CGC31777 - Essex County	84,982
<b>EV Connect Inc.</b>	CLEANER GREENER COMMUNITIES, CGC55811 - EV Connect	101,048
<b>Evergreen Foundation</b>	NEW CONSTRUCTION PROGRAM, NCP13015 - Evergreen Health ..	12,531
<b>Excelsior Orthopaedic</b>	NEW CONSTRUCTION PROGRAM, NCP13174 - Buffalo Surgery Cen	11,383
<b>Extraterrestrial Materials Inc.</b>	<200KW PV, NY Sun	24,792
<b>EYP Architecture &amp; Engineering, PC</b>	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	22,568
<b>Fastrac Markets, LLC</b>	EXISTING FACILITIES, EFP2476-Fastrac Markets - Mult	10,703
<b>Fieldbridge Associates LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	461,300
<b>Finch Paper, LLC</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	712,057
<b>Findlay Teller Housing Development Fund</b>	COMBINED HEAT AND POWER, Findlay Plaza CHP Demo	132,150
<b>Finger Lakes Community Development Corpo</b>	NEW YORK ENERGY STAR HOMES, New Construction	121,000

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Finger Lakes ReUse, Inc.	CLEANER GREENER COMMUNITIES, CGC41134 - Finger Lakes R..	8,000
Fingerlakes Renewables	<200KW PV, NY Sun	5,040
Finkelstein Timberger Real Estate	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	99,000
First Columbia Property Services, LLC	NYSERDA ADMINISTRATION, Property Management Services	101,821
	Property Management Services	74,729
First Property LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	12,800
Florenton River LLC	<200KW PV, NY Sun	29,210
	<200KW PV, NY-Sun	5,984
Flow Energy LLC	EXISTING FACILITIES, EFP1894-FlowEnergy;MSKCC	64,463
Food & Gas of Yorktown 202 Inc.	FUEL NY, GSP00622 - Food & Gas of Yorkt	10,000
Foodlink, Inc.	NEW CONSTRUCTION PROGRAM, NCP13149 - Foodlink Expansion	17,472
Fort Drum Mountain Community Homes	HOME PERFORMANCE WITH ENERGY STAR, Fort Drum Low-Rise..	158,223
Fort Schuyler Management Corporation	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	59,911
	NEW CONSTRUCTION PROGRAM, NCP12678 - Riverbend	278,037
	NEW CONSTRUCTION PROGRAM, NCP12679 - Buffalo IT - OFLT	27,000
Fourth Coast, Inc.	<200KW PV, NY Sun	25,736
	<200KW PV, RES-NewConst(no longer in use)	8,910
Frederick A Proven	<200KW PV, NY Sun	6,962
	<200KW PV, NY-Sun	6,320
Freedom Mechanical, LLC	RENEWABLE HEAT NY, Renewable Heating & Cooling	16,423
	RENEWABLE HEAT NY, RHNY PON 3010 Incentive - Nort	16,000
Freedom Solar Inc.	<200KW PV, NY Sun	40,593
	<200KW PV, NY-Sun	19,465
French Apartments Housing	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	52,200
Friars of the Atonement, Inc.	NEW CONSTRUCTION PROGRAM, NCP11432 - Graymoor Friary	47,864
Friends of the Gardenaerial Inc.	CLEANER GREENER COMMUNITIES, CGC40708 - Rochester Eco..	18,012
Frontier Abstract and Research Services	GJGNY REVOLVING LOAN FUND, Title Company in Support of On	-6,234
Fund for Public Health in New York, Inc.	ENVIRONMENTAL RESEARCH, Climate ADP--Health and Energy	74,633
FXFOWLE Architects, LLP	ADVANCED BUILDINGS, Implement Pass. House Standard	5,115
G & S Realty 1, LLC	EXISTING FACILITIES, EFP2502 - Savitt Partners LLC	82,055
G. W. Lisk Co. Inc.	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	21,464
G.W. Ehrhart, Inc.	RENEWABLE HEAT NY, Renewable Heating & Cooling	10,000
	RENEWABLE HEAT NY, RHNY PON 3010 Incentive - Cayu	24,600
	RENEWABLE HEAT NY, RHNY PON 3010 Incentive - Robe	13,893
G&M Realty I LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	29,500
Gallagher Bus Service Corp.	NY-SUN, Commercial/Industrial -	23,974
Garlock Sealing Technologies, LLC	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	120,820
Garner Environmental Services, Inc.	FUEL NY, Fuel NY Portable Emergency Gen	4,523
Gas Technology Institute	ADVANCED BUILDINGS, Market evaluation of VRV GHP	19,880
Gaseteria Oil Corp.	FUEL NY, PGI00221 - Gaseteria Oil Corp.	108,770
GB Lighting Corp	ADVANCED BUILDINGS, EFP2434 - GB Lighting Corporat	72,000
	EXISTING FACILITIES, EFP2434 - GB Lighting Corporat	216,000
GCOM Software Inc.	NYSERDA ADMINISTRATION, Salesforce Implementation	984,760
	NYSERDA ADMINISTRATION, Staff Augmentation	289,701
Geatrain Engineering PLLC	Flexible Tech Assistance, FlexTech Consultant Selection	4,547
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	34,530
General Electric Company	NEW CONSTRUCTION PROGRAM, NCP13122 - GE Building 40-OF..	11,704
General Motors of NY Inc.	>200KW PV, Assignee/Vendor # 37085	51,844
Genesee Region Clean Communities, Inc.	CLEAN TRANSPORTATION, GRCC will seek proposals for A	78,945
Genesys Engineering, P.C.	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	51,885

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George E Denmark II	<200KW PV, NY Sun	15,390
George J. Martin & Son	<200KW PV, NY Sun	32,720
GHP Strang LLC	EXISTING FACILITIES, EFP2439-GHP Strang LLC - Tacon	11,288
Global Foundries U.S. Inc.	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	224,376
Global Thermostat Operations LLC	OTHER PROGRAM AREA, RFQL3101 76W Clean Energy Comp	100,000
Gloversville-Johnstown Joint Wastewater	ANAEROBIC DIGESTER, Gloversville-Johnstown Joint W	168,273
Go Solar/Green NY, LLC	<200KW PV, NY Sun	8,175
	<200KW PV, NY-Sun	1,349
God's Love We Deliver	NEW CONSTRUCTION PROGRAM, NCP11513 - God's Love We De..	17,043
Goldman Copeland Associates, P.C.	Commercial Real Estate Ten, BBH 140 Broadway - CRE Tenant	11,000
	Commercial Real Estate Ten, JLL - 140 Broadway Generic CRE	7,494
	Commercial Real Estate Ten, VNO 330 West 34th St - CRE Ten	8,985
	Flexible Tech Assistance, FlexTech Consultant Selection	7,432
	FLEXIBLE TECHNICAL ASSISTANCE, Flexible Technical Assistance	8,500
Goodfellow Construction Management, Ltd.	NEW YORK ENERGY STAR HOMES, RES-NewConst(no longer in u..	8,000
GRE Fund II Holdco LLC	>200KW PV, NY-Sun Payment assignee	42,241
	NY-SUN, NY-Sun	253,775
Great Brook Solar NRG, LLC	<200KW PV, NY Sun	6,710
Green Charge Networks	CLEAN TRANSPORTATION, PEV Enabling Technology Demons	4,600
Green Hybrid Energy Solutions Inc.	<200KW PV, NY Sun	12,651
	<200KW PV, NY-Sun	34,630
Green Light Energy Conservation	EXISTING FACILITIES, EFP2456 - Greenlight Energy Co	11,770
Green Light New York, Inc.	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATI..	37,500
Green Options Buffalo	CLEAN TRANSPORTATION, Bicycling Education Campaign	17,468
Green Street Power Partners LLC	<200KW PV, NY Sun	804,281
	<200KW PV, NY-Sun	42,357
GreenLogic, LLC	<200KW PV, NY Sun	33,412
	<200KW PV, NY-Sun	48,738
Greenskies Renewable Energy LLC	>200KW PV, NY Sun	24,553
Greenwood Millennium Broadway LLC	EXISTING FACILITIES, EFPCHP - PON1219	32,500
Grid City Electric Corp	<200KW PV, NY Sun	8,360
	<200KW PV, NY-Sun	23,501
Grober Nutrition LLC	NEW CONSTRUCTION PROGRAM, NCP13017 - Gladys	73,768
Group-S LLC	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	165,729
GWE Project HoldCo 3, LLC	NY-SUN, PV System @ Ithaca College	486,111
H.E.L.P Development Corp.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	12,000
H/R Tech Residential LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	105,600
Habitat for Humanity Dean Street Housing	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	4,500
Halcyon, Inc.	<200KW PV, NY Sun	35,452
	<200KW PV, NY-Sun	5,200
Halder MacDougall Investment Company	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	11,865
Harbor District Associates LLC	NEW CONSTRUCTION PROGRAM, NCP11026 - Donovan Building	42,801
HARBORcenter Development LLC	NEW CONSTRUCTION PROGRAM, NCP11384 - HARBORcenter	170,199
Harris Beach PLLC	SARATOGA TECHNOLOGY & ENERGY PARK, RFP 3300 Outside ..	23,556
Harvest Power, LLC	<200KW PV, NY Sun	34,239
	<200KW PV, NY-Sun	106,625
Hawaii Energy Connection	<200KW PV, NY-Sun	95,884
Hazen & Sawyer, P.C.	ENVIRONMENTAL RESEARCH, Climate & algal blooms	60,483
Health Research, Inc.	RENEWABLE HEAT NY, Ultrafine Particle Emissions	36,386
Helix Power Corporation	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Advanced ..	106,927

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
Henningson, Durham & Richardson PC	OTHER PROGRAM AREA, Toward Zero-Net Energy Wastewa	7,685
Heritage Village Apartments, LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	280,000
HFC Hudson Fisonic Corp	ADVANCED BUILDINGS, Development of Fisonic Device	27,100
High Falls Operating Co, LLC	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	268,779
High Peaks Solar	<200KW PV, NY Sun	30,976
	<200KW PV, NY-Sun	11,355
High Tech Rochester Inc.	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, NYSERDA..	250,076
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Proof-of-C..	364,875
Highbridge Community Housing Development	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	54,807
Hills Construction Management, Inc.	Low Rise New Construction, New Construction	5,500
Hillside Associates of Albany LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	73,500
Holbrook Development Corp.	FUEL NY, GSP00496 - Holbrook Developmen	9,607
Holland & Knight LLP	Off-Shore Wind Pre-Dev Act, RFP 3300 Outside Counsel Servi	24,539
	ZEC:CES ZEC Pgm Non-Rec Exp, RFP 3300 Outside Counsel Servi	1,031
Hollingsworth & Vose Company	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech - PON1746	9,426
HOLT Architects PC	NEW CONSTRUCTION PROGRAM, NCP14017 - HOLT Building	8,758
Home Leasing Services, LLC	NEW YORK ENERGY STAR HOMES, New Construction	51,000
Home Leasing, LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	23,400
Homes for New Yorkers, Inc	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	79,600
Honeywell International Inc.	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, QA Serv..	0
	ASSISTED NEW YORK ENERGY STAR HOMES, QA Services HPw..	0
	EMPOWER NY, Program Implementation Service	124,688
	Home Perf w Energy Star, Program Implementation Service	1,084,400
	Home Perf w Energy Star, QA Services HPwES and NYESH	105,111
	HOME PERFORMANCE WITH ENERGY STAR, QA Services HPwE..	36,203
	NEW YORK ENERGY STAR HOMES, QA Services HPwES and NYE..	1,069
	OTHER PROGRAM AREA, QA Services HPwES and NYESH	0
	RENEWABLE HEAT NY, RHNY Pellet Stove QA Services	10,263
Hope Community, Inc.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	73,000
Housing Visions Consultants, Inc.	NEW YORK ENERGY STAR HOMES, RES-NewConst(no longer in u..	22,500
Howard Wind LLC	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	101,972
	LARGE SCALE RENEWABLES, Howard Wind Farm	873,688
	LARGE SCALE RENEWABLES, Howard Wind Farm - Expansion	121,610
Howitt Enterprises - LeRoy, LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	9,600
HPP NY I	NY-SUN, FedEx Phase 2	143,529
	NY-SUN, PV System @ Fed Ex 29-01 Borde	94,974
HRBI Dream Partners LLC	NEW CONSTRUCTION PROGRAM, NCP10482 - HRBI Dream Partn..	115,763
HSF New York, Inc.	NEW CONSTRUCTION PROGRAM, NCP11354 - RIU Hotel New York	93,020
	NEW CONSTRUCTION PROGRAM, NCP11439 - Hotel Times Square	79,066
Hudson Gateway III LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	172,200
Hudson Headwaters Health Network	NEW CONSTRUCTION PROGRAM, NCP13010 - North Country Famil	20,263
Hudson Metropolitan LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	30,000
Hudson PLG, LLC	GREEN AFFORDABLE HOUSING, Multifamily	59,574
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	119,150
Hudson River HealthCare Inc	NEW CONSTRUCTION PROGRAM, NCP12757 - Peekskill Health Ce	15,803
Hudson River Trading	Industrial Process Effic, Industrial Process Efficiency	232,764
Hudson Solar	<200KW PV, NY Sun	103,017
	<200KW PV, NY-Sun	14,827
Hudson Valley Lighting LLC	NEW CONSTRUCTION PROGRAM, NCP14051-HV Lighting HQ	63,091
Hunter Mountain Ski Bowl Inc.	Industrial Process Effic, Industrial Process Efficiency	26,262



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HW Cortelyou Realty LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	43,000
HW Ditmas Realty LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	71,000
Hyatt Corporation as agent for Hyatt Equ	EXISTING FACILITIES, EFP2363 - Grand Hyatt New York	357,195
Hydronic Specialty Supply	ENVIRONMENTAL RESEARCH, Logwood Boiler Res & Com. App	20,000
	RENEWABLE HEAT NY, Smart Thermal Storage System	10,000
Hyland Facility Associates	LARGE SCALE RENEWABLES, RFP 2226-RPS Purchase of RE At	119,989
I-Square, LLC	CLEANER GREENER COMMUNITIES, CGC32476 - I-Square	364,667
IBM - East Fishkill Site	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	579,919
ICF Jones & Stokes	ENVIRONMENTAL RESEARCH, NYS Energy Research and Develo	128,439
ICF Resources, LLC	ADVANCED BUILDINGS, Flex Energy Tech Analysis 2	57,040
	ADVANCED ENERGY CODES, ECode Microsite	58,495
	ENERGY ANALYSIS, Flex Energy Tech Analysis 2	14,125
	ENERGY ANALYSIS, Tech Assist, REV Pool	38,469
	EXISTING FACILITIES, Technical Review and Program S	409
	OTHER PROGRAM AREA, Flex Energy Tech Analysis 2	7,780
	OTHER PROGRAM AREA, Tech Assist, REV Pool	38,469
	REC:CES REC System Dev Costs, Flex Energy Tech Analysis 2	18,000
IGS Ventures, Inc.	NY-SUN, PV@ Church of the Gateway	95,921
Indian River Central School District	NEW CONSTRUCTION PROGRAM, NCP12782 - Evans Mills Primary	7,927
Industrial Economics, Incorporated	ENVIRONMENTAL RESEARCH, Flex Energy Tech Analysis 2	90,727
	EVALUATION, Evaluation Contractor for T&MD	340,423
Infinity Solar Systems, LLC	<200KW PV, NY-Sun	5,723
Infosys International Inc	NYSERDA ADMINISTRATION, RFP3365 Private Cloud Hosting	188,798
Innovative Energy Systems, LLC	LARGE SCALE RENEWABLES, DANC LFGE	245,232
Institute for Building Technology and Sa	ADVANCED ENERGY CODES, Energy Code Training: EPros	135,501
	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, RFQL 3..	318
	Home Perf w Energy Star, RFQL 3434 IBTS Standards & QA	15,071
	HOME PERFORMANCE WITH ENERGY STAR, RFQL 3434 IBTS St..	286
IntelliGen Power Systems, LLC	COMBINED HEAT AND POWER, CHPA - 4C Foods	217,800
	COMBINED HEAT AND POWER, CHPA - Bay Park 1	178,464
	COMBINED HEAT AND POWER, CHPA - Bay Park 2	178,464
	COMBINED HEAT AND POWER, CHPA - New York Towers	418,189
Intelligent Green Solutions	RENEWABLE THERMAL, NY-Sun	68,741
	RENEWABLE THERMAL, Renewable Heating & Cooling	1,170,564
Intergate, Manhattan LLC	INDUSTRIAL PROCESS EFFICIENCY, Industrial and Process Efficie	34,573
International Business Machines,	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	47,095
International Electronic Machines Corp.,	CLEAN TRANSPORTATION, Noncontact Elect. Wheel Gauge	51,628
	CLEAN TRANSPORTATION, Optical Wheel Flaw Detection	35,437
	CLEAN TRANSPORTATION, WISE Wheel Profile Demo	171,204
Intrepid Museum Foundation	COMBINED HEAT AND POWER, Distributed Generation as CHP	510,000
Intrinsic Materials, Inc.	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Advanced ..	7,751
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, EEM of Pri..	18,000
IPPsolar Integration LLC	<200KW PV, NY Sun	59,525
Islip Resource Recovery Agency	CLEANER GREENER COMMUNITIES, CGC31134 - IRRRA	350,000
Ithaca Carshare, Inc.	CLEAN TRANSPORTATION, H+T index for Tompkins County	4,122
	CLEAN TRANSPORTATION, Low-Carbon Travel Choices	0
Ithaca College	ADVANCED BUILDINGS, Contractor-Led Social Marketin	27,000
J & D II Realty LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	47,000
Jane Street Capital	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	117,153
Jasper Van den Munckhof	Retrofit NY, Multifamily	42,450

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Jefferson-Lewis BOCES</b>	CLEANER GREENER COMMUNITIES, CGC42181 - BOCES	123,750
<b>Jeffrey L Kinzler</b>	CLEAN TRANSPORTATION, Urban Intermodal Freight Sys	7,384
<b>Jiten LLC</b>	NEW CONSTRUCTION PROGRAM, NCP13196 - Comfort Inn Bronx	11,476
<b>Joe Strickland</b>	NEW YORK ENERGY STAR HOMES, New Construction	8,000
<b>John Siegenthaler</b>	WORKFORCE DEVELOPMENT, RFP 3165 Hydronic System Desig	26,787
<b>Johnson Controls Inc.</b>	Flexible Tech Assistance, FlexTech Consultant Selection	46,067
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	60,225
<b>JPMorgan Chase Bank National Association</b>	EXISTING FACILITIES, EFP2380 - JPMorgan Chase - Mul	1,325,046
<b>Kaleida Health</b>	NEW CONSTRUCTION PROGRAM, NCP11426 - Kaleida Health	36,244
<b>KAP Fuel &amp; Food Inc.</b>	FUEL NY, GSP00763 - KAP Fuel & Food Inc	19,618
<b>Kapsch TrafficCom Transportation NA Inc.</b>	CLEAN TRANSPORTATION, Corporate Name Change	373,697
<b>Karpman Consulting, LLC</b>	ADVANCED ENERGY CODES, Ecode Performance Enforcement	22,554
<b>Kasselman Solar LLC</b>	<200KW PV, NY Sun	149,652
	<200KW PV, NY-Sun	35,316
<b>Katonah Lewisboro UFSD</b>	EXISTING FACILITIES, EFP2452-Katonah-Lewisboro Scho	47,241
<b>Kelleher Samets Volk</b>	Commercial Imp Assist, Marketing Support for NYSERDA	6,503
	Commercial Real Estate Ten, Marketing Support for NYSERDA	6,504
	Community RH&C, Marketing Support for NYSERDA	2,498
	ENERGY ANALYSIS, Marketing Support for NYSERDA	45,585
	Flexible Tech Assistance, Marketing Support for NYSERDA	6,503
	Geothermal Incentive Program, Marketing Support for NYSERDA	2,498
	Home Perf w Energy Star, Marketing Support for NYSERDA	49,985
	Multifam Performance Pgm, Marketing Support for NYSERDA	81,265
	NY-SUN, Marketing Support for NYSERDA	275,813
	On-Site Energy Manager, Marketing Support for NYSERDA	16,258
	Real Time Enrgy Management, Marketing Support for NYSERDA	6,503
	Retrofit NY, Marketing Support for NYSERDA	58,425
	REV CAMPUS CHALLENGE, Marketing Support for NYSERDA	18,248
	REVitalize, Marketing Support for NYSERDA	18,248
Strategic Energy Manager, Marketing Support for NYSERDA	94,299	
Underutilized Products, Marketing Support for NYSERDA	26,145	
<b>KEMA Incorporated</b>	EVALUATION, RFQ 3183 KEMA, Inc	60,516
<b>Keystone Dairy</b>	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	11,128
<b>Kiit Renewable Energy LLC</b>	>200KW PV, Commercial/Industrial PV	88,142
<b>Kilowatt Engineering, Inc.</b>	Commercial Real Estate Ten, FlexTech Consultant Selection	17,824
	EXISTING FACILITIES, Technical Review and Program S	5,023
	Industrial Process Effic, Technical Review and Program S	21,289
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	5,373
<b>Kilowatt Financial, LLC</b>	<200KW PV, NY Sun	4,704
<b>KLD Engineering, P.C.</b>	CLEAN TRANSPORTATION, Connected Eco-Driving Tech	47,761
	CLEAN TRANSPORTATION, ICM Framework Suffolk County	15,108
	CLEAN TRANSPORTATION, Transportation Resiliency	13,557
<b>KPMG LLP</b>	NYSERDA ADMINISTRATION, Audit services	95,000
<b>Kraft Power Corporation</b>	COMBINED HEAT AND POWER, CHPA - Mount Vernon High Schoo	175,725
<b>Kreher's Farm Fresh Eggs, LLC</b>	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	6,927
<b>L'Oreal USA, Inc.</b>	NEW CONSTRUCTION PROGRAM, NCP12669 - L'Oreal Hudson Ya..	293,908
<b>L&amp;S Energy Services, Inc.</b>	>200KW PV, Technical Review and Program S	37,166
	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	101,322
	ANAEROBIC DIGESTER, RPS-CST Quality Assurance/Qual	6,500
	COMBINED HEAT AND POWER, Technical Review and Program S	3,920

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>L&amp;S Energy Services, Inc.</b>	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATI..	9,066
	Flexible Tech Assistance, FlexTech Consultant Selection	5,950
	Flexible Tech Assistance, Technical Review and Program S	143,031
	FLEXIBLE TECHNICAL ASSISTANCE, Technical Review and Progra..	136,196
	Geothermal Incentive Program, Technical Review and Program S	7,480
	Industrial Process Effic, Technical Review and Program S	45,396
	INDUSTRIAL PROCESS EFFICIENCY, .	421
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	50,872
	NEW CONSTRUCTION PROGRAM, Technical Review and Program S	18,171
	RENEWABLE HEAT NY, Technical Review and Program S	13,088
REV CAMPUS CHALLENGE, Technical Review and Program S	12,197	
<b>LaBella Associates, P.C.</b>	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	9,482
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATI..	9,124
	Flexible Tech Assistance, FlexTech Consultant Selection	15,139
	GJGNY REVOLVING LOAN FUND, Technical Review and Program S	4,828
	Industrial Process Effic, Technical Review and Program S	6,308
	NEW CONSTRUCTION PROGRAM, New Construction	6,323
REV CAMPUS CHALLENGE, Novus PO Assignment	16,079	
<b>Lafayette Development LLC</b>	NEW CONSTRUCTION PROGRAM, NCP11520 - Lafayette	53,445
<b>Lamb Farms Inc.</b>	ANAEROBIC DIGESTER, Lamb Farms Inc. Scrubber	13,600
<b>Lawnhurst Farms</b>	ANAEROBIC DIGESTER, 21426 - Lawnhurst Energy Biodi	126,238
<b>LC DRives</b>	CLEAN TRANSPORTATION, Advanced Transportation Tech	13,341
	OTHER PROGRAM AREA, PON 3249 ACE	250,000
<b>LED Specialists Inc</b>	ADVANCED BUILDINGS, Advanced Buildings Technology	62,940
<b>Level Solar Inc.</b>	<200KW PV, NY Sun	12,600
	<200KW PV, NY-Sun	5,130
<b>Lewis Custom Homes, Inc.</b>	NEW YORK ENERGY STAR HOMES, New Construction	30,000
<b>Lewiston Porter CSD</b>	NEW CONSTRUCTION PROGRAM, NCP12130 - Lewiston Porter C..	37,986
<b>Lincoln Center for the Performing Arts</b>	EXISTING FACILITIES, EFP2133-Lincoln Center - 70 Li	18,586
<b>Livingston Apartments, LP</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	40,000
<b>Lockheed Martin Corporation</b>	MARKET PATHWAYS, Products Program	43,935
<b>Loeb &amp; Loeb LLP</b>	NEW YORK GREEN BANK, Green Bank Outside Legal Couns	20,000
<b>London Terrace Towers Owners Inc.</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	491,400
<b>Long Island High Technology Incubator</b>	CLEAN TRANSPORTATION, Clean Energy Business Incubato	53,500
<b>Long Island Power Authority</b>	NY-SUN, LIPA MOU RGGI Compliance Progr	17,300,000
<b>Long Island Progressive Coalition</b>	CLEANER GREENER COMMUNITIES, GJGNY Outreach CBO	166,760
	GJGNY REVOLVING LOAN FUND, GJGNY Outreach CBO	2,592
<b>Lor-Rob Sustainable Dairy Digester LLC</b>	ANAEROBIC DIGESTER, RPS CST ADG-Lor-Rob Dairy Farm	159,854
<b>Lotus Energy, Inc.</b>	<200KW PV, NY Sun	7,301
	<200KW PV, NY-Sun	5,392
<b>Luthin Associates, Inc.</b>	REV CAMPUS CHALLENGE, C&I Buildings Outreach	88,581
<b>M.J. Bradley &amp; Associates</b>	CLEAN TRANSPORTATION, BCA of EV grid impacts	35,697
<b>M/E Engineering, P.C.</b>	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	18,480
	Commercial Imp Assist, Technical Review and Program S	6,760
	Commercial New Construc, M/E - EMP	32,848
	Flexible Tech Assistance, FlexTech Consultant Selection	54,868
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	97,638
	Industrial Process Effic, Technical Review and Program S	1,610
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	1,840
	NEW CONSTRUCTION PROGRAM, M/E - EMP	7,455

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>M/E Engineering, P.C.</b>	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	6,449
	OTHER PROGRAM AREA, FlexTech Consultant Selection	91,858
<b>Macquesten Development, LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	32,400
<b>Madison House Apartments, LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	19,800
<b>Malcolm Pirnie, Inc.</b>	COMBINED HEAT AND POWER, EFP Task Work Orders	2,216
	EXISTING FACILITIES, Existing Facilities Tech Assis	4,668
	INDUSTRIAL PROCESS EFFICIENCY, EFP Task Work Orders	414
<b>Malone Central School District</b>	NEW CONSTRUCTION PROGRAM, NCP12894 - Malone CSD Bus ..	18,109
<b>Malta Development Company Inc</b>	NEW YORK ENERGY STAR HOMES, New Construction	15,000
<b>Manhattan Country School</b>	NEW CONSTRUCTION PROGRAM, NCP12913 - Manhattan Country..	9,850
<b>Manheim Remarketing Inc.</b>	NY-SUN, New York Sun Competitive PV Pr	369,199
<b>Maple Housing Development Fund Corp</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	23,000
<b>Marble River Wind Farm LLC</b>	LARGE SCALE RENEWABLES, Marble River Wind Farm	5,967,785
<b>Mark Galezo and Associates</b>	NEW YORK ENERGY STAR HOMES, New Construction	3,000
<b>Marsh Hill Energy, LLC</b>	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	920,609
<b>Marshall &amp; Sterling, Inc.</b>	NYSERDA ADMINISTRATION, Property Liability and Other	206,073
<b>Mary McDowell Friends School</b>	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Program - Pon 1746	17,100
<b>Mastercard International</b>	>200KW PV, NY Sun	63,603
<b>Maurice Petroleum LLC</b>	FUEL NY, PGI00070 - Maurice Petroleum L	98,730
<b>MBD Community Housing Corp</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	128,000
<b>Meals on Wheels of Chemung County Inc</b>	NEW CONSTRUCTION PROGRAM, NCP12519-MealsWhlsChemun..	11,342
<b>MEG Control Products, LLC</b>	ADVANCED BUILDINGS, Demo of Solid-State lighting	15,000
<b>Meister Consultants Group, Inc.</b>	COMMUNITY SOLAR, NY-SUN PVBOS Training and Educ	53,159
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATI..	75,997
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Renewabl..	20
	NY-SUN, NY-SUN PVBOS Training and Educ	361,265
	OTHER PROGRAM AREA, New York PV BOS Cost Survey	4,730
	OTHER PROGRAM AREA, Renewable Heating Cooling TA	53,954
	REV CAMPUS CHALLENGE, REV CC - Meister CG	13,784
	WORKFORCE DEVELOPMENT, New York PV BOS Cost Survey	4,730
WORKFORCE DEVELOPMENT, NY-SUN PVBOS Training and Educ	268,567	
<b>Memorial Hospital for Cancer &amp; Allied Di</b>	EXISTING FACILITIES, Existing Facilities Program -	20,993
<b>Mercy College</b>	NEW CONSTRUCTION PROGRAM, NCP12143 - Mercy College Res..	42,288
<b>Mesa Bioenergy Supply, LLC</b>	CLEANER GREENER COMMUNITIES, CGC32404 Reassignment to ..	52,040
	RENEWABLE HEAT NY, RHHY Award Letter & PO- Clark	9,980
<b>MetLife</b>	MARKET PATHWAYS, CRETP - Metlife - 200 Park - I	140,000
<b>Metropool, Inc.</b>	CLEAN TRANSPORTATION, Tri-Cities Mobility Challenge	36,725
<b>Micatu, Inc.</b>	High Performing Grid, PON 3397 CAT D	450,000
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Advanced ..	150,575
	OTHER PROGRAM AREA, RFQL3101 76W Clean Energy Comp	200,000
	SMART GRID SYSTEMS, EPTD Smart Grid Round 2	482,522
<b>Michaels Energy, Inc.</b>	Industrial Process Effic, RFQ 3183 Michaels Energy	63,671
<b>Midstate Printing Corp</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	51,511
<b>mindSHIFT Technologies, Inc.</b>	NYSERDA ADMINISTRATION, Website Development	148,521
<b>MJW Technical Services, Inc.</b>	WEST VALLEY DEVELOPMENT PROGRAM, Radiation Protection S..	322,442
<b>Mobile Fleet Inc</b>	CLEAN TRANSPORTATION, Battery-based Anti-Idling Sys.	180,652
<b>Modern Grid Solutions</b>	ENERGY ANALYSIS, Tech Assist, REV Pool	50,000
<b>Mohonasen Central School District</b>	NEW CONSTRUCTION PROGRAM, NCP12896 - Mohonasen New T..	21,376
	NEW CONSTRUCTION PROGRAM, NCP12898 - Mohonasen Trans..	16,279
<b>Molloy College</b>	CLEANER GREENER COMMUNITIES, CGC42044 - Molloy College	270,320

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Monolith Solar Associates, LLC</b>	<200KW PV, NY Sun	287,180
	<200KW PV, NY-Sun	2,479,188
	<200KW PV, RES-NewConst(no longer in use)	2,190,390
<b>Monroe County</b>	NEW CONSTRUCTION PROGRAM, NCP12033 - MCC Downtown C..	284,177
<b>Montague Pierrepoint Apartments LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	14,620
<b>Morgan Cos Management LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	136,000
<b>Morgan Stanley Services Holding, LLC</b>	LARGE SCALE RENEWABLES, 10th RPS Main Tier Solicitatio	30,860
	REC:CES REC Contracts, 10th RPS Main Tier Solicitatio	19,700
<b>Morris Avenue Apartments, LP</b>	GREEN AFFORDABLE HOUSING, Multifamily	38,862
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	0
<b>Mount Sinai Queens</b>	NEW CONSTRUCTION PROGRAM, NCP11594 - New Building and Cl	57,809
<b>MOVE Systems International, LLC</b>	CLEAN TRANSPORTATION, Ambulance Anti-Idling Stations	3,600
<b>MPW Enterprises LLC</b>	FUEL NY, PGI00082 - MPW Enterprises LLC	24,750
<b>Mt. Kisco Snacks Inc.</b>	FUEL NY, GSP00744 - Mt. Kisco Snacks In	20,710
<b>NanoAnalytics Inc.</b>	RENEWABLE HEAT NY, Wood combustion nanoparticles	38,857
<b>Natale Builders</b>	NEW YORK ENERGY STAR HOMES, RES-NewConst(no longer in u..	24,000
<b>National Economic Research</b>	Mkt Char: Tech Assist, Tech Assist, REV Pool	21,709
<b>National Energy Cost Services Inc</b>	ADVANCED BUILDINGS, Existing Facilities Program -	41,200
	EXISTING FACILITIES, Existing Facilities Program -	115,600
<b>National Oilheat Research Alliance</b>	ADVANCED BUILDINGS, Advanced Buildings Technology	4,987
	ADVANCED BUILDINGS, Tankless Coil Boilers	4,752
<b>National Pipe Inc</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial and Process Efficie	282,083
<b>NationalGrid Energy Management, LLC</b>	<200KW PV, NY-Sun	8,192
<b>Navigant Consulting Inc.</b>	ENERGY ANALYSIS, Flex Energy Tech Analysis 2	70,321
	NEW YORK GREEN BANK, Outside Technical and Eng. Srv	43,396
	REV Connect, REV Connect	413,441
<b>NECEC Institute</b>	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Cleantech ..	6,000
<b>Neighborhood Housing Services of Jamaica</b>	CLEANER GREENER COMMUNITIES, Green Jobs Green New York ..	85,663
	GJGNY REVOLVING LOAN FUND, Green Jobs Green New York Outr	25,278
<b>Neighborhood Housing Services Staten Isl</b>	GJGNY REVOLVING LOAN FUND, Green Jobs Green New York Outr	52,485
<b>Neptune Group LLC</b>	NEW CONSTRUCTION PROGRAM, NCP12146 - Neptune Realty	28,282
<b>NESCAUM</b>	ENVIRONMENTAL RESEARCH, Performance of Biomass-fired	15,175
	OTHER PROGRAM AREA, Tech Assist, REV Pool	39,793
	RENEWABLE HEAT NY, Mobile Woodsmoke PM Monitoring	46,426
	RENEWABLE HEAT NY, Next Gen Test Methods Research	68,259
	RENEWABLE HEAT NY, Tech Assist, REV Pool	68,740
<b>New 56th and Park NY Owner LLC</b>	NEW CONSTRUCTION PROGRAM, NCP10655 - 432 Park Avenue	1,009,204
<b>New Buildings Institute, Inc.</b>	ADVANCED ENERGY CODES, NYStretch	5,000
<b>New Energy Equity LLC</b>	>200KW PV, commercial industrial PV	114,655
	NY-SUN, Commercial/Industrial	137,236
	NY-SUN, Commercial/Industrial -	212,564
<b>New England Waste Services of NY Inc.</b>	LARGE SCALE RENEWABLES, Clinton Co. Landfill	65,399
<b>New Hope View Farm</b>	ANAEROBIC DIGESTER, PON 2684 - RPS CST ADG-to-Elec	278,455
<b>New York Academy of Sciences</b>	EVALUATION, Innovation and Business Develo	5,996
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Innovation..	35,182
	OTHER PROGRAM AREA, Innovation and Business Develo	9,913
<b>New York Historical Society</b>	NEW CONSTRUCTION PROGRAM, NCP12870 - NHYS 4th Floor Re..	9,300
<b>New York Power Authority</b>	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech MOU NYSERDA-N..	525,643
<b>New York Power Authority,</b>	SMART GRID SYSTEMS, Above Ground CAES Phase 1	190,000

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New York Press & Graphics Inc.	OTHER PROGRAM AREA, Printing Services	515
New York Restoration Project	GREENING THE BRONX, Greening The Bronx	109,685
New York State Marine	CLEAN TRANSPORTATION, NYS Canal Marine Freight	653
New York State Solar Farm Inc.	<200KW PV, NY Sun	22,900
New York University	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Clean Tec..	54,000
	NEW CONSTRUCTION PROGRAM, NCP11361 - NYU 55 East 10th ..	24,777
	NEW CONSTRUCTION PROGRAM, NCP98341 - 58 Washington Sq..	39,387
New York University Langone Medical Cent	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	64,604
Newport Ventures, Inc.	ADVANCED ENERGY CODES, Energy Code Training	440,696
Nexant, Inc.	MARKET PATHWAYS, Behavioral Demonstrations Prog	20,665
Nexant, Incorporated	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATI..	2,417
	EXISTING FACILITIES, .	2,177
	EXISTING FACILITIES, Technical Review and Program S	4,456
	FLEXIBLE TECHNICAL ASSISTANCE, Technical Review and Progra..	32,079
	Industrial Process Effic, Technical Review and Program S	8,311
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	4,804
Nextera Energy Capital Holdings Inc	NY-SUN, New York Sun Competitive PV Pr	513,126
	NY-SUN, NY Sun	406,519
	NY-SUN, PV System - Oneida County Suttl	248,031
	NY-SUN, PV System @ Oneida County Suttl	324,937
Niagara Frontier Transportation Authorit	CLEAN TRANSPORTATION, Buffalo Niagara TMA	16,283
	CLEAN TRANSPORTATION, Integrated Corridor Management	51,864
Niagara Lodging	NEW CONSTRUCTION PROGRAM, NCP12765 -La Quinta Inn-OFLT	3,975
NIC Holding Corp	FUEL NY, NYS Strategic Gasoline Reserve	259,382
Nicholas Noyes Memorial Hospital	NEW CONSTRUCTION PROGRAM, NCP13051 - NNMH - OFLT	6,599
Nickels Energy Solutions LLC	<200KW PV, NY Sun	5,856
Nixon Peabody LLP	NEW YORK GREEN BANK, Green Bank Outside Legal Serv.	28,439
Noble Wethersfield Windpark, LLC	LARGE SCALE RENEWABLES, Smart Grid Syst & Dist Eng Int	1,731,836
Noblehurst Farms, Inc.	ANAEROBIC DIGESTER, RPS CST ADG-to-Electricity Dai	72,270
Noresco LLC	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	49,737
Normandeau Associates, Inc.	ENVIRONMENTAL RESEARCH, Digital Aerial Baseline Survey	281,953
North American Board of Certified Energy	WORKFORCE DEVELOPMENT, Workforce Development and Trai	58,500
Northeast Agriculture Technology Corp	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	30,975
Northeast States for Coordinated Air Use	ENVIRONMENTAL RESEARCH, Energy Related Air Quality	197
	ENVIRONMENTAL RESEARCH, NY climate clearinghouse	32,174
Northeast Wind Partners II LLC	LARGE SCALE RENEWABLES, Smart Grid Syst & Dist Eng Int	285,896
	LARGE SCALE RENEWABLES, Steel Winds II	345,740
Northern Plains Power Technologies	DER Integration(Intrcnct), PON 3404 DER Integration	37,000
Nostrand Place LLC	NEW CONSTRUCTION PROGRAM, NCP12792 - 2361 Norstrand Av..	7,533
Novel Approaches Solar Applications, LLC	<200KW PV, NY Sun	20,944
Novus Engineering, P.C.	Flexible Tech Assistance, FlexTech Consultant Selection	1,058
	NEW CONSTRUCTION PROGRAM, Novus-Energy Modeling Partner	2,882
	REV CAMPUS CHALLENGE, FlexTech Consultant Selection	7,136
NRG Residential Solar Solutions, LLC	<200KW PV, NY-Sun	61,298
	<200KW PV, RES-NewConst(no longer in use)	16,195
NRP Contractors LLC	NEW YORK ENERGY STAR HOMES, New Construction	120,000
NYC Partnership Housing Dev. Fund Co.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	513,202
NYCHA III Parent Housing Development	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	212,212
NYS Economic Development Council	CLEANER GREENER COMMUNITIES, EDGE Territory 1	300
NYS Office For Technology	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	22,012

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
NYS Office of General Services	NEW CONSTRUCTION PROGRAM, NCP98179 - Mohawk Correctio..	65,571
NYS Office of Parks, Recreation and	<200KW PV, NY-Sun	10,528
NYU Hospital Center	NEW CONSTRUCTION PROGRAM, NCP12113 - NYULMC ACLS Vi..	508,561
O'Brien & Gere Engineers, Inc.	COMBINED HEAT AND POWER, FlexTech Consultant Selection	34,128
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	24,080
O'Connell Electric Company	<200KW PV, NY Sun	12,668
	<200KW PV, NY-Sun	50,144
Oakvale Construction Co. Ltd.	LARGE SCALE RENEWABLES, Black Brook Hydro	34,600
OCC Purchase LLC	EXISTING FACILITIES, PON1219EE3	62,857
Ocean Towers Partners LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	34,400
OK Petroleum Distribution Corp	FUEL NY, PGI00090 - OK Petroleum Distri	79,430
	FUEL NY, PGI00091 - OK Petroleum Distri	69,776
OLA Consulting Engineers, P.C.	Commercial New Construc, Energy Modeling Partner - OLA	6,431
	Flexible Tech Assistance, FlexTech Consultant Selection	7,259
	NEW CONSTRUCTION PROGRAM, NCP TA Services - OLA 20136	1,309
OLEDWorks LLC	ADVANCED BUILDINGS, OLED Panel and Luminiare	50,000
Olin Corporation	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	32,001
Olympic Tower Condominium	Flexible Tech Assistance, FT11541 - Olympic Towers - 641	13,000
Omnicap Group, LLC	Financial Advisory Services	6,488
	GJGNY REVOLVING LOAN FUND, Financial Advisory Services	34,031
Oneida Healthcare Center	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Program - Pon 1746	15,249
OnForce Solar	<200KW PV, NY Sun	112,008
	NY-SUN, PV System at ASI Specialties,	-280,159
	NY-SUN, RPS CST Regional Program	174,981
Open Market ESCO LLC	CLEANER GREENER COMMUNITIES, CGC41141 - Sibley Redev.	1,224,845
Opinion Dynamics Corporation	EVALUATION, Commercial Statewide Baseline	112,201
Optimized Thermal Systems Inc.	ADVANCED BUILDINGS, Energy Storage for Cooling	16,196
Oracle America, Inc.	MARKET PATHWAYS, Behavioral Demonstrations Prog	310,970
Orange / Ulster BOCES	NEW CONSTRUCTION PROGRAM, NCP11033 - OrangeUlster Boces	6,970
Orange and Rockland Utilities, Inc.	SMART GRID SYSTEMS, EPTD Smart Grid	26,481
Orange Regional Medical Center	NEW CONSTRUCTION PROGRAM, NCP12977 - ORMC Physicians ..	110,130
Owego Apalachin CSD	NEW CONSTRUCTION PROGRAM, NCP11386 - Owego Maintenan..	1,817
OwnSolar, LLC	NY-SUN, NY-Sun	82,445
	NY-SUN, PV System @ Stewart's Shops	223,333
Ozz Solar Development Inc.	>200KW PV, NY Sun C&I	57,851
Pace University Energy & Climate Center	COMBINED HEAT AND POWER, Logistic Support for CHP	5,893
Pace University School of Law	CLEANER GREENER COMMUNITIES, CGC31911 - Pace Law Scho..	135,832
Palmetto Hospitality of Manhattan LLC	NEW CONSTRUCTION PROGRAM, NCP11336 - Hampton Inn W 41st	73,016
Paradise Energy Solutions, LLC	<200KW PV, NY Sun	62,480
Park City Estates Tenants Corp.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	262,250
Park Monroe II Rehab HDFC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	21,000
Pathfinder Engineers & Architects, LLP	Commercial New Construc, Pathfinder - EMP	10,896
	NEW CONSTRUCTION PROGRAM, Pathfinder - EMP	9,029
	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	3,962
Pathstone Corporation	CLEANER GREENER COMMUNITIES, Green Jobs Green New York	29,830
	GJGNY REVOLVING LOAN FUND, Green Jobs Green New York	39,034
Patriot Energy Solutions Corp	<200KW PV, NY-Sun	4,083
Pawling Corporation	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	20,511
People United for Sustainable Housing In	CLEANER GREENER COMMUNITIES, CGC42826 - PUSH	48,442
	GJGNY REVOLVING LOAN FUND, Green Jobs Green New York Outr	35,584

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<b>Pepsi Cola Bottling Co of NY</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	1,393,177
<b>Pepsico, Inc.</b>	NEW CONSTRUCTION PROGRAM, NCP11395 - Project Renew	395,064
<b>PMG Northeast LLC</b>	FUEL NY, PGI00046 - PMG Northeast LLC	54,004
	FUEL NY, PGI00180 - PMG Northeast LLC	64,260
	FUEL NY, PGI00182 - PMG Northeast LLC	85,483
	FUEL NY, PGI00198 - PMG Northeast LLC	75,329
	FUEL NY, PGI00199 - PMG Northeast LLC	54,465
	FUEL NY, PGI00203 - PMG Northeast LLC	76,973
<b>Polytechnic University,</b>	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Early Stag..	5,100
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Proof-of-C..	410,000
<b>Poseidon Systems, LLC</b>	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Advanced ..	12,500
<b>Power &amp; Construction Group, Inc.</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	37,381
<b>Power Management Co., LLC</b>	<200KW PV, NY Sun	8,004
<b>PPD Partners II LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	67,049
<b>Prism Solar Technologies Inc.</b>	CLEAN TRANSPORTATION, InnovationCap&BizDev*inactive	82,352
<b>Project Company Phase I-F, LLC</b>	NY-SUN, PV System @ FedEx Ground	55,476
<b>Promesa Housing Development Fund Corp</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	53,080
<b>Pterra, LLC</b>	DER Integration(Intrcnct), FlexTech Consultant Selection	89,670
	DER Integration(Intrcnct), PON 3404 DER Integration	50,000
<b>PTS Data Center Solutions Inc</b>	Industrial Process Effic, Industrial Process Efficiency	29,257
<b>Public Policy and Education Fund of NY</b>	CLEANER GREENER COMMUNITIES, Green Jobs Green New York ..	32
	GJGNY REVOLVING LOAN FUND, Green Jobs Green New York Outr	43,634
<b>Quad Graphics, Incorporated</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	392,992
<b>Quanta Technology LLC</b>	Off-Shore Wind Pre-Dev Act, RFP 3462	67,646
<b>Quixotic Enterprises, LLC</b>	RENEWABLE THERMAL, Solar Thermal Incentive	6,000
<b>Quixotic Systems, Inc.</b>	<200KW PV, NY Sun	94,924
	<200KW PV, NY-Sun	12,624
	RENEWABLE THERMAL, NY-Sun	114,422
<b>QwikSolar, LLC</b>	<200KW PV, NY Sun	133,326
	<200KW PV, NY-Sun	41,120
	<200KW PV, RES-NewConst(no longer in use)	51,638
<b>R Roopnarine</b>	CLEAN TRANSPORTATION, Switched Reulctance Motor	28,981
<b>R-Display and Lighting LLC</b>	ADVANCED BUILDINGS, Advanced Buildings Technology	55,788
<b>R. Edge Contracting LLC</b>	<200KW PV, NY Sun	16,898
	<200KW PV, NY-Sun	17,021
<b>RD &amp; Associates Consulting LLC</b>	OTHER PROGRAM AREA, RFP3267 Innovation Advis Pilot	50,678
<b>ReEnergy Black River LLC</b>	LARGE SCALE RENEWABLES, Black River Facility	4,953,564
<b>Regeneron Pharmaceuticals Inc.</b>	NEW CONSTRUCTION PROGRAM, NCP11664 - Regeneron RTI	592,508
<b>Renovus Energy, Inc.</b>	<200KW PV, NY Sun	114,920
	<200KW PV, NY-Sun	5,441
	>200KW PV, NY Sun	18,024
<b>Renovus Rock, LLC</b>	>200KW PV, NY-Sun C&I	71,702
<b>Rensselaer Polytechnic Institute</b>	ADVANCED BUILDINGS, Behavior Research & Energy Dec	10,780
	CLEAN TRANSPORTATION, High Energy Density Cathode Ma	0
	CLEAN TRANSPORTATION, Off Hour Delivery Trusted Vend	31,331
<b>Rensselaer Polytechnic Institute-LRC</b>	ADVANCED BUILDINGS, EE LED Lighting Controls	34,676
	ADVANCED BUILDINGS, Facilitating OLEDs in NYS	8,119
	CLEAN TRANSPORTATION, LED Roadway Lighting Demo	42,037
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATI..	63,000
<b>RER Energy Group LLC</b>	<200KW PV, RES-NewConst(no longer in use)	18,950



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<b>Research Foundation of CUNY</b>	CLEAN TRANSPORTATION, HPTM Waterborne Transport	42,783
	CLEAN TRANSPORTATION, Social media as incident mgmt	30,641
	ENVIRONMENTAL RESEARCH, Optical Assessment of CMAQ	7,000
<b>Research Foundation of SUNY</b>	ADVANCED BUILDINGS, Warm-Water Server Cooling	45,000
	CLEAN TRANSPORTATION, Clean Energy Business Incubato	0
	ENVIRONMENTAL RESEARCH, CEHA Delineation	0
	ENVIRONMENTAL RESEARCH, Combining Measurements and Mod	28,279
	ENVIRONMENTAL RESEARCH, Eco. services/Env. Economics	5,895
	ENVIRONMENTAL RESEARCH, IDEA-NYS air quality forecast	36,936
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Clean Ene..	95,000
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, EFRC co-f..	138,725
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Transform..	75,000
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Ultraviolet ..	35,000
	OTHER PROGRAM AREA, Regional Economic Development	1,462
	OTHER PROGRAM AREA, Roof Integrated Light Weight P	6,147
	RENEWABLE HEAT NY, College Woodstove design team	0
	WORKFORCE DEVELOPMENT, Roof Integrated Light Weight P	6,147
<b>Research Foundation of SUNY (Buffalo)</b>	CLEAN TRANSPORTATION, InnovationCap&BizDev*inactive	422,397
	RENEWABLE HEAT NY, College Woodstove design team	18,252
<b>Research Foundation of The City</b>	CLEAN TRANSPORTATION, SunShot NY Rooftop Solar Chall	0
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Birnessite ..	171,267
	OTHER PROGRAM AREA, NYC Grid Ready Solar	26,377
	WORKFORCE DEVELOPMENT, NYC Grid Ready Solar	26,377
<b>Research Into Action, Inc.</b>	ADVANCED BUILDINGS, Pilot Evaluation Services	2,908
	Clean Energy Communities, Research Into Action TWO	64,375
	Cleantech Startup Growth, Research Into Action TWO	37,270
	Energy Storage Tech/Prod Dev, Research Into Action TWO	0
	Rmve Barriers Dist Enrgy Storg, Research Into Action TWO	54,525
<b>Rich &amp; Gardner Construction Co., Inc.</b>	Low Rise New Construction, New Construction	39,000
<b>Richardson Center Corporation</b>	NEW CONSTRUCTION PROGRAM, NCP11581 - Richardson Olmsted	34,694
<b>Riverdale Country School</b>	NEW CONSTRUCTION PROGRAM, NCP13229 - Natatorium	19,398
<b>Riverside Center Parcel 2 BIT Associates</b>	NEW CONSTRUCTION PROGRAM, NCP11157 - Riverside Center	57,239
<b>RNY Solar LLC</b>	ENVIRONMENTAL RESEARCH, Solar Photobioreactor Illumina	1,145
<b>Robert Derector Associates</b>	Commercial Real Estate Ten, 200 Madison Ave - CRE Tennant	1,070
	Commercial Real Estate Ten, 1301Ave of Americas-CRE Tenant	5,850
	Commercial Real Estate Ten, THilfiger-285Madison-CRETenant	6,210
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	11,743
	MARKET PATHWAYS, CRETP - Robert Derector Associ	30,923
<b>Rochester Genesee Regional Transportatio</b>	NEW CONSTRUCTION PROGRAM, NCP11919 - RGRTA -OFLT	32,671
<b>Rochester Institute of Technology</b>	CLEAN TRANSPORTATION, PON 2301, RD 2: MYFLEETDEPT.co	173
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Innovation..	121,000
	SMART GRID SYSTEMS, EPTD Smart Grid Program	23,540
<b>Rockland Housing Action Coalition, Inc.</b>	NEW YORK ENERGY STAR HOMES, New Construction	83,500
<b>Rosenblum Property Services, LLC</b>	SARATOGA TECHNOLOGY & ENERGY PARK, STEP Property Man..	61,992
	SARATOGA TECHNOLOGY & ENERGY PARK, STEP Property Mgm..	26,422
<b>Ross Solar Group, LLC</b>	<200KW PV, NY Sun	25,520
	>200KW PV, NY-Sun C&I	113,163
<b>Roswell Park Cancer Institute</b>	NEW CONSTRUCTION PROGRAM, NCP10757 - Clinical Sciences C	69,940
<b>Royal Petroleum Management Inc</b>	FUEL NY, PGI00194 - Royal Petroleum Man	68,925
<b>Ruby Mountain, Inc.</b>	CLEAN TRANSPORTATION, Biogas for Transportation	3,812

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Rudin Management Co. Inc.	MARKET PATHWAYS, CRETP - Rudin Management - 345	66,335
Run 178 LLC	NEW CONSTRUCTION PROGRAM, NCP12396 - 321-325 West 35th..	16,709
Rural Ulster Preservation Company	CLEANER GREENER COMMUNITIES, Green Jobs Green New York ..	79,936
Rustic Village	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	9,900
RXR Atlas LLC	NEW CONSTRUCTION PROGRAM, NCP11905 - 75 Rockefeller Plaz	327,521
S & L Electric, Inc.	NY-SUN, NY-Sun	66,770
Safari Energy LLC	<200KW PV, NY Sun	62,072
	<200KW PV, NY-Sun	5,823
	<200KW PV, RES-NewConst(no longer in use)	46,272
Sandy Clarkson LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	51,000
SAP America Inc	NEW CONSTRUCTION PROGRAM, NCP12768-SAP Office	57,136
Sara Silverstone	ADVANCED BUILDINGS, Behavior Research & Energy Dec	39,000
Saranac Central School District	EXISTING FACILITIES, EFP2515 - Saranac CSD	102,113
SAVD Solar, Inc.	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Self-Aligni..	1,107
SCA Tissue of North America	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	154,561
Schenectady City School District	NEW CONSTRUCTION PROGRAM, NCP13107 - Oneida Middle Sch..	53,831
Scott Shipley	<200KW PV, NY-Sun	5,280
	<200KW PV, RES-NewConst(no longer in use)	9,520
SDTC - The Center for Discovery	NEW CONSTRUCTION PROGRAM, NCP13159 - Maker's Lab/Learnin	6,429
SEC Newco, LLC	NY-SUN, NY-Sun Competitive PV Program	796,478
Seed Renewables Inc.	<200KW PV, NY Sun	6,840
Seneca Energy II, LLC	LARGE SCALE RENEWABLES, Ontario LFGE	250,120
	LARGE SCALE RENEWABLES, Seneca Energy	925,652
Seneca Spear Point Solar I, LLC	NY-SUN, New York Sun Competitive PV Pr	123,559
Seneca Strategic Consulting, LLC	CLEANER GREENER COMMUNITIES, CGC43425 -Ithaca 2030 Dist..	9,000
Settlement Housing Fund, Inc.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	19,950
Seven Springs West LLC	WEST VALLEY DEVELOPMENT PROGRAM, Operations and Mainte..	833,338
Shared Mobility, Inc.	CLEAN TRANSPORTATION, Shared Mobility Network	11,299
Sheldon Energy, LLC	LARGE SCALE RENEWABLES, High Sheldon Wind Farm	2,399,339
Silver Lining Solar	<200KW PV, NY Sun	46,554
Simpson Thacher & Bartlett LLP	EXISTING FACILITIES, EFP2355 - Simpson Thacher Bart	308,084
Site 1 DSA Owner LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	24,750
Site 5 DSA Owner LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	84,400
Site 6 DSA Owner LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	40,000
Sive Paget & Riesel PC	WEST VALLEY DEVELOPMENT PROGRAM, RFP 3300 Outside Co..	4,067
Sixty-Six Washington Street, Inc.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	27,200
SJP TS LLC	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Program - PON	20,583
Skadden, Arps, Slate, Meagher & Flom LL	NEW YORK GREEN BANK, Green Bank Outside Legal Couns	60,000
Skyline Solar Inc.	<200KW PV, NY Sun	7,200
SL Green Realty Corp.	EXISTING FACILITIES, EFP2285 - SL Green Realty Corp	9,895
SLG 220 News Owner, LLC	EXISTING FACILITIES, EFP2288 - SLG 220News Owner LL	264,981
SLG Tower 45 LLC	EXISTING FACILITIES, EFP/DMP2286 - SLG Tower 45 LL	18,937
SLGreen	EXISTING FACILITIES, EFP2290 - 555 W 57 St Tenants	63,200
	EXISTING FACILITIES, EFP2291 - Reckson Associates -	16,234
	EXISTING FACILITIES, EFP/DMP2289 - Green 461 Fifth	18,808
SmartCloud Inc.	ADVANCED BUILDINGS, FastDR from Comm Bldgs	39,000
Smarter Grid Solutions, Inc.	DER Integration(Intrcnct), PON 3404 DER Integration	24,000
Snow Belt Housing Company, Inc.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	11,400
Solar Alchemy, Inc.	<200KW PV, NY-Sun	5,670
Solar and Wind FX, Inc. (Chris Schaefer)	<200KW PV, NY Sun	6,832

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<b>Solar Census LLC</b>	OTHER PROGRAM AREA, Remote Rooftop Shade Tool	3,697
	WORKFORCE DEVELOPMENT, Remote Rooftop Shade Tool	3,697
<b>Solar Dad and Sons Inc</b>	<200KW PV, NY-Sun	62,802
<b>Solar Energy Systems, LLC</b>	<200KW PV, NY Sun	70,415
<b>Solar Generation, Inc.</b>	<200KW PV, NY Sun	32,378
<b>Solar Liberty Energy Systems, Inc</b>	<200KW PV, NY Sun	97,648
	<200KW PV, NY-Sun	22,012
	<200KW PV, RES-NewConst(no longer in use)	21,750
	NY-SUN, New York Sun Competitive PV Pr	103,870
	NY-SUN, PV System @ Wegmans Store 71	99,074
	NY-SUN, PV System @ Wegmans, 300 Marke	92,771
	NY-SUN, PV System @ Wegmans, 745 Calki	88,703
	NY-SUN, PV System @ Wegmans, 1885 Chil	57,351
<b>Solar Maximum LLC</b>	<200KW PV, NY Sun	16,596
	<200KW PV, NY-Sun	5,642
<b>Solar One, Inc.</b>	<200KW PV, NY-Sun	18,903
	<200KW PV, RES-NewConst(no longer in use)	1,800
<b>SolarCity Corporation</b>	<200KW PV, NY Sun	230,221
	<200KW PV, NY-Sun	262,211
	<200KW PV, RES-NewConst(no longer in use)	100,984
	NY-SUN, NY-Sun	69,202
	NY-SUN, PV System @ Orange County DPW	156,512
	NY-SUN, PV System at Millbrook School	278,262
	NY-SUN, PV System at Onondaga County -	225,194
<b>South Street Seaport Limited Partnership</b>	NEW CONSTRUCTION PROGRAM, NCP13219 - Fulton Market Build	8,950
<b>Southern Tier Central Regional Planning</b>	CLEANER GREENER COMMUNITIES, CGC28019 - STCRPBD	50,994
	CLEANER GREENER COMMUNITIES, CGC40255 - Cooperative Co..	5,378
<b>Sperry Energy</b>	OTHER PROGRAM AREA, RFP3267 Innovation Advis Pilot	70,500
<b>SS&amp;C Technologies, Inc.</b>	NEW YORK GREEN BANK, Fund Administration/Loan Inves	196,825
<b>St. Joseph's Hospital Health Center</b>	COMBINED HEAT AND POWER, PON1219EE5	600,000
<b>St. Lawrence County</b>	COMMUNITY SOLAR, Solarize 2017	5,000
<b>St. Timothy's Park Villa HDFC, Inc.</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	7,500
<b>Stantec Consulting Services, Inc.</b>	Commercial New Construc, Stantec-Energy Modeling Partne	19,214
	EXISTING FACILITIES, Technical Review and Program S	4,425
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	3,434
	NEW CONSTRUCTION PROGRAM, Stantec-Energy Modeling Partne	1,316
<b>State University of NY @ New Platz</b>	NEW CONSTRUCTION PROGRAM, NCP10071 - New Science Buildin	76,026
	NEW CONSTRUCTION PROGRAM, NCP10072 - Wooster Building (S	7,480
<b>Steed Energy LLC</b>	<200KW PV, NY Sun	6,624
	<200KW PV, RES-NewConst(no longer in use)	31,417
<b>Steven Winter Associates, Inc.</b>	ADVANCED BUILDINGS, cold climate heat pumps	10,000
	ADVANCED BUILDINGS, Linkage-Less Burner Retrofit	7,174
	ADVANCED BUILDINGS, Scale Up Deep Energy Retrofits	10,678
	Commercial New Construc, SWA - EMP	33,441
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATI..	32,025
	EXISTING FACILITIES, Technical Review and Program S	402
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	11,083
	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	7,208
	NEW CONSTRUCTION PROGRAM, Technical Review and Program S	4,411
	<b>Stewart Title Insurance Company</b>	GJGNY REVOLVING LOAN FUND, Title Company in Support of On

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Stonework Capital LLC</b>	OTHER PROGRAM AREA, RFP3267 Innovation Advis Pilot	41,728
<b>Stony Creek Energy LLC</b>	LARGE SCALE RENEWABLES, Stony Creek Wind Farm	2,932,893
<b>STR Systems NY, LLC</b>	<200KW PV, NY-Sun	1,440
<b>Sullivan Solar Garden, LLC</b>	NY-SUN, PV System @ Sullivan County Co	718,618
<b>Sun Edison, LLC</b>	NY-SUN, 31335A-Kohl's #1048 Newburgh	34,365
<b>Sun Garden Homes Association, Inc.</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	10,500
<b>Sun Source Technologies</b>	<200KW PV, NY Sun	15,460
	<200KW PV, NY-Sun	6,128
<b>SuNation Solar Systems, Inc.</b>	<200KW PV, NY Sun	62,769
	<200KW PV, NY-Sun	72,720
<b>Sunderland Farms</b>	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	14,445
<b>SunE P11C Holdings, LLC</b>	NY-SUN, 31309A-Kohl's #770 Greece	57,182
	NY-SUN, 31310A-Kohl's #1079 Auburn	52,165
	NY-SUN, 31311A-Kohl's #1203 Ithaca	35,752
	NY-SUN, 31312A-Kohl's #35 Horseheads	28,427
	NY-SUN, 31313A-Kohls 963 North Amherst	30,101
	NY-SUN, 31336A-Kohl's #988 Kingston	48,286
	NY-SUN, 33523A-Kohl's #1113 Amherst	40,694
	NY-SUN, 33548A-Kohl's #1411 Hudson	36,214
	NY-SUN, NY Sun PV Program Pr	46,069
<b>Sungevity Development, LLC</b>	<200KW PV, NY-Sun	5,000
<b>SunPower Capital, LLC</b>	<200KW PV, NY Sun	412,786
	<200KW PV, NY-Sun	622,396
	<200KW PV, RES-NewConst(no longer in use)	57,977
<b>SUNRISE ELECTRICAL SERVICES</b>	<200KW PV, NY-Sun	218,666
<b>Sunrise Solar Solutions, LLC</b>	<200KW PV, NY Sun	33,126
	<200KW PV, NY-Sun	95,666
	>200KW PV, NY-Sun C&I	71,959
<b>SunRun, Inc</b>	<200KW PV, NY Sun	32,948
	<200KW PV, NY-Sun	24,162
	<200KW PV, RES-NewConst(no longer in use)	3,575
<b>Sunthru LLC</b>	ADVANCED BUILDINGS, Advanced Buildings Technology	12,070
<b>Sunvestment Group LLC</b>	OTHER PROGRAM AREA, Sunvestment Community PPA II	15,350
	WORKFORCE DEVELOPMENT, Sunvestment Community PPA II	15,350
<b>SUNY - ESF</b>	ENVIRONMENTAL RESEARCH, Biofiltration drainage media	5,984
<b>SUNY Brockport</b>	NEW CONSTRUCTION PROGRAM, NCP11193 - SUNY Lathrop Neff..	25,538
<b>SUNY Buffalo</b>	EXISTING FACILITIES, Existing Facilities Program -	10,984
<b>SUNY College of Technology @ Alfred</b>	NEW CONSTRUCTION PROGRAM, NCP11845 - Sustainable Advan..	6,204
<b>SUNY Oneonta</b>	NEW CONSTRUCTION PROGRAM, NCP12787 - Oneonta Auxiliary S	25,595
	NEW CONSTRUCTION PROGRAM, PON1601 R2	72,853
<b>SUNY Oswego</b>	NEW CONSTRUCTION PROGRAM, NCP10478 - Park Hall	4,017
<b>SUNY Upstate Medical University</b>	NEW CONSTRUCTION PROGRAM, NCP10283 - Clinical Cancer Cen	61,349
	NEW CONSTRUCTION PROGRAM, NCP11083 - New Academic Bui..	51,049
	NEW CONSTRUCTION PROGRAM, NCP98635 - CNY Biotech Rese..	56,276
<b>Sure Energy, LLC</b>	<200KW PV, NY-Sun	1,594
<b>Sustainable Dairy Technologies Digester</b>	ANAEROBIC DIGESTER, RPS CST ADG-Allen Farms LLC	159,854
<b>Sustainable Energy Advantage, LLC</b>	ENERGY ANALYSIS, Large Scales Renewables Techni	12,599
	LARGE SCALE RENEWABLES, Large Scales Renewables Techni	9,880
	LARGE SCALE RENEWABLES, Renewable Portfolio Standard T	14,807
	NYSERDA ADMINISTRATION, Renewable Portfolio Standard T	26,296

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Sustainable Energy Advantage, LLC</b>	Off-Shore Wind Pre-Dev Act, Large Scales Renewables Techni	97,762
	OTHER PROGRAM AREA, Large Scales Renewables Techni	96,583
	REC:CES REC Pgm Non-Rec Exp, Large Scales Renewables Techni	54,824
	REC:CES REC System Dev Costs, Large Scales Renewables Techni	103,765
	REC:CES REC System Dev Costs, Renewable Portfolio Standard T	86,835
	ZEC:CES ZEC System Dev Costs, Large Scales Renewables Techni	0
<b>Sustainable Energy Developments Inc.</b>	<200KW PV, NY Sun	116,770
<b>Sustainable Performance Consulting, Inc.</b>	Commercial New Construc, Outrch and Pjct Consulting NCP	199,470
	NEW CONSTRUCTION PROGRAM, Outrch and Pjct Consulting NCP	528,483
<b>Sustainable South Bronx Inc.</b>	CLEANER GREENER COMMUNITIES, Green Jobs Green New York ..	32,541
	GJGNY REVOLVING LOAN FUND, Green Jobs Green New York Outr	23,938
<b>Susten Corp</b>	<200KW PV, NY-Sun	4,536
<b>Suten Inc</b>	FUEL NY, PGI00257 - Suten Inc.	109,165
<b>SV OPERATING THREE LLC</b>	FLEXIBLE TECHNICAL ASSISTANCE, Commercial	6,000
<b>Syl-Len Realty Corp.</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	43,750
<b>SyntheZyme, LLC</b>	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Biomimeti..	10,000
<b>Syracuse Community Hotel Restoration Com</b>	NEW CONSTRUCTION PROGRAM, NCP12740 - Hotel Syracuse Rest	74,780
<b>Syracuse University</b>	ADVANCED BUILDINGS, Combinatorial Air Filter	0
	ADVANCED BUILDINGS, Flame-Assisted Fuel Cell	52,250
	CLEAN TRANSPORTATION, Syracuse Transp Alternatives	65,072
	ENVIRONMENTAL RESEARCH, Estimating Soil Weathering	34,327
	ENVIRONMENTAL RESEARCH, Monitoring of NYS fish for Hg	48,813
<b>SYSCO Food Services, LLC</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	111,101
<b>Syska Hennessy Group</b>	Commercial New Construc, Syska - EMP	10,850
	Flexible Tech Assistance, FlexTech Consultant Selection	26,100
<b>T.Y. Lin International</b>	ADVANCED ENERGY CODES, Energy Code Support Services	1,133,003
<b>Taitem Engineering, P.C.</b>	<200KW PV, NY Sun	28,338
	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	73,630
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATI..	52,113
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATI..	46,511
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATI..	153
	EXISTING FACILITIES, Technical Review and Program S	25,103
	Flexible Tech Assistance, FlexTech Consultant Selection	4,753
	Geothermal Incentive Program, Technical Review and Program S	8,443
	GJGNY REVOLVING LOAN FUND, Technical Review and Program S	7,003
	GREEN AFFORDABLE HOUSING, MEPP Quality Assurance Contrac	5,185
	Industrial Process Effic, Technical Review and Program S	2,552
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	4,050
	MULTIFAMILY PERFORMANCE PROGRAM, MEPP Quality Assuran..	150,871
	NEW YORK ENERGY STAR HOMES, Technical Review and Progra..	27,502
	On-Site Energy Manager, FlexTech Consultant Selection	56,463
Solar Thermal, Technical Review and Program S	35,706	
<b>Talen Energy Marketing, LLC</b>	LARGE SCALE RENEWABLES, Locust Ridge Wind Farm	971,086
<b>Tannery Road Solar, LLC</b>	NY-SUN, PV System at City of Rome	388,702
<b>Tech Valley Talent, LLC</b>	NYSERDA ADMINISTRATION, Staff Augmentation	1,021,312
	REC:CES REC System Dev Costs, Staff Augmentation	9,896
	ZEC:CES ZEC System Dev Costs, Staff Augmentation	9,896
<b>Tecogen</b>	COMBINED HEAT AND POWER, CHPA - 260 Herkimer	20,790
	COMBINED HEAT AND POWER, CHPA - Fulton South	69,795
	COMBINED HEAT AND POWER, CHPA - Greenwich Club Residenc	115,500

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Tecogen</b>	COMBINED HEAT AND POWER, CHPA - Hotel Edison	115,500
	COMBINED HEAT AND POWER, CHPA - Village View 1	73,735
<b>Tern Construction &amp; Development, LLC</b>	NEW YORK ENERGY STAR HOMES, New Construction	90,000
<b>Texas A&amp;M</b>	ADVANCED BUILDINGS, Behavior Research & Energy Dec	21,420
<b>TF Cornerstone QW 4 GC, LLC</b>	EXISTING FACILITIES, EFP2403 - TF Cornerstone Inc -	186,201
<b>TGC Elizabeth Drive (Chester) LLC</b>	NY-SUN, NY-Sun	201,610
<b>The Bridge Inc</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	13,200
<b>The Camdus Group, Inc.</b>	<200KW PV, Quality Assurance Services for	165,678
	>200KW PV, Quality Assurance Services for	0
	>200KW PV, RFQL3434 Cat1 NYSUN C/I	3,142
	COMMUNITY SOLAR, Quality Assurance Services for	0
	EVALUATION, Quality Assurance Services for	0
	NY-SUN, Quality Assurance Services for	296,097
	NY-SUN, RFQL3434 Cat1 NYSUN C/I	13,545
	On-Site Energy Manager, RFQ 3183 The Camdus Group Inc	82,375
	RENEWABLE THERMAL, Quality Assurance Services for	22,896
	Residential-Engaging New Mkts, RFQ 3183 The Camdus Group Inc	8,665
Solar Thermal, Quality Assurance Services for	0	
Strategic Energy Manager, RFQ 3183 The Camdus Group Inc	82,375	
<b>The Community Builders, Inc.</b>	GREEN AFFORDABLE HOUSING, Multifamily	12,911
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	0
<b>The Flea Theater</b>	NEW CONSTRUCTION PROGRAM, NCP10839 - The Flea Theater	16,384
<b>The Garrick Co., LLC</b>	WEST VALLEY DEVELOPMENT PROGRAM, Probabilistic Evaluation	12,073
<b>The Jericho Project</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	36,000
<b>The Levy Partnership, Inc.</b>	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATI..	18,705
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATI..	10,400
<b>The Logue Group</b>	WEST VALLEY DEVELOPMENT PROGRAM, Facilitation Services	10,052
<b>The Masters School</b>	NEW CONSTRUCTION PROGRAM, NCP10544 - Community Arts	67,066
<b>The Nature Conservancy / Albany Pine Bus</b>	ENVIRONMENTAL RESEARCH, Spatial Map for Climate Adapt	94,599
<b>The New York Times Company</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	17,174
<b>The Nightingale-Bamford School</b>	NEW CONSTRUCTION PROGRAM, NCP11514 - Nightingale Bamford	22,207
<b>The Radiant Store</b>	RENEWABLE HEAT NY, RHNY PON 3010 Incentive - Pine	10,000
	RENEWABLE HEAT NY, RHNY PON 3010 Incentive - Wyso	6,000
<b>The Raymond Corporation</b>	CLEAN TRANSPORTATION, Li-Ion for Lift Truck Applicat	29,000
<b>The Renewables Consulting Group, LLC</b>	Off-Shore Wind Pre-Dev Act, RFP 3462	603,201
<b>The Research Foundation for the State</b>	ENVIRONMENTAL RESEARCH, Wood Pellet Heating System Dem	8,633
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Fermentati..	58,372
	RENEWABLE HEAT NY, Lignocellulosic pellets	6,870
<b>The Research Foundation of SUNY (UB)</b>	ADVANCED BUILDINGS, Wood Burning Hydronic Heaters	66,109
	REV CAMPUS CHALLENGE, REV Campus Challenge	89,000
<b>The Research Foundation of SUNY at Bing</b>	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, EFRC co-f..	199,250
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Ultraviolet ..	20,000
<b>The Southern Tier High Technology Incuba</b>	NEW CONSTRUCTION PROGRAM, NCP11856 - Southern Tier High	31,262
<b>The Trustees of Columbia University</b>	ENVIRONMENTAL RESEARCH, Buildings Climate Adaptation	46,129
<b>The Uniland Partnership of Delaware LP</b>	NEW CONSTRUCTION PROGRAM, NCP11757 - 250 Delaware	131,779
	NEW CONSTRUCTION PROGRAM, NCP12964-400 Airbrn Pkwy-OF..	62,049
<b>The Vertex Companies, Inc.</b>	ADVANCED BUILDINGS, LIPA tracer gas technology	0
<b>The Weidt Group, Inc.</b>	Commercial New Construc, EMP - Weidt	14,222
<b>Theatre for A New Audience</b>	NEW CONSTRUCTION PROGRAM, NCP9056 - Theatre for a New Au	1,189
<b>ThinkEco, Inc.</b>	MARKET PATHWAYS, Behavioral Demonstrations Prog	53,125

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Tiffany &amp; Co</b>	EXISTING FACILITIES, EFP/DMP2300 - Tiffany's & Co	234,517
<b>Time Warner Cable Enterprises, LLC</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	1,752,455
<b>TM Montante Solar Developments, LLC</b>	<200KW PV, NY Sun	25,064
	<200KW PV, RES-NewConst(no longer in use)	642,779
<b>Tompkins County</b>	CLEANER GREENER COMMUNITIES, CGC42165 - Tompkins County	49,978
<b>Town of Babylon</b>	CLEANER GREENER COMMUNITIES, CGC32035 - Town of Babylon	100,000
<b>Town of Chester</b>	RENEWABLE HEAT NY, Biomass Steam Boiler System	190,000
<b>Town of Clarkstown</b>	CLEANER GREENER COMMUNITIES, CGC41249 - Nanuet Transit ..	54,000
<b>Town of Crawford</b>	NEW CONSTRUCTION PROGRAM, NCP12867 - Senior Community ..	8,179
<b>Town of Hyde Park</b>	CLEANER GREENER COMMUNITIES, CGC41658 - Retrofitting Hyd..	7,700
<b>Town of Seneca Falls NY</b>	NEW CONSTRUCTION PROGRAM, NCP13165 - Town of Seneca Fall	4,988
<b>Town of Springwater</b>	CLEANER GREENER COMMUNITIES, CGC29614 - Town of Spring..	6,477
<b>Trane</b>	Real Time Enrgy Management, 310 Prospect Park West - RTEM	8,501
	Real Time Enrgy Management, CtrSynagogue-652Lexington-RTEM	23,000
	Real Time Enrgy Management, SimonePropDev-3010West-RTEM	75,000
<b>TransCore ITS LLC</b>	CLEAN TRANSPORTATION, Green Traffic Control Cabinet	8,842
<b>TRC Energy Services</b>	ADVANCED BUILDINGS, Technical Review and Program S	21,676
	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	9,951
	Commercial Real Estate Ten, Technical Review and Program S	22,341
	EXISTING FACILITIES, Technical Review and Program S	60,811
	Flexible Tech Assistance, FlexTech Consultant Selection	8,987
	Flexible Tech Assistance, Technical Review and Program S	29,853
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	94,185
	FLEXIBLE TECHNICAL ASSISTANCE, Technical Review and Progra..	103,008
	GREEN AFFORDABLE HOUSING, MF Energy Perf Portfolio Imple	0
	Industrial Process Effic, Technical Review and Program S	5,071
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	8,747
	Multifam New Construction, MF Energy Perf Portfolio Imple	445,869
	Multifam Performance Pgm, MF Energy Perf Portfolio Imple	157,319
	MULTIFAMILY PERFORMANCE PROGRAM, MF Energy Perf Portfol..	830,139
	Real Time Enrgy Management, Technical Review and Program S	35,581
	RENEWABLE HEAT NY, Technical Review and Program S	44,417
	Workforce Industry Partnership, Technical Review and Program S	21,997
<b>Tremont Renaissance, LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	51,200
<b>Trevor Day School</b>	NEW CONSTRUCTION PROGRAM, NCP98720 - Trevor Day School (	166,797
<b>Trinity Heating &amp; Air, Inc.</b>	<200KW PV, NY Sun	50,998
<b>Trojan Powder Coating Company, Inc.</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	28,427
<b>Troy Boiler Works, Inc.</b>	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, IMCET - V..	34,656
<b>Trust for Conservation Innovation</b>	ADVANCED ENERGY CODES, Energy Code Support Services	81,488
<b>Two Charlton Owners Corp</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	61,600
<b>U.S. Geological Survey (Troy).</b>	ENVIRONMENTAL RESEARCH, Acid Deposition and Mercury	34,917
<b>U.S. Green Building Council, NY Chapter</b>	ADVANCED ENERGY CODES, Energy Code Training: A/Es	88,702
<b>UB Associates, Inc.</b>	Commercial New Construc, NCP15027 - Conventus Center fo	68,461
<b>Ultra Dairy, LLC</b>	Industrial Process Effic, Industrial Process Efficiency	71,001
<b>Unilux Advanced Manufacturing LLC</b>	ADVANCED BUILDINGS, Large Scale Condensing Boiler	55,000
<b>Union College</b>	NEW CONSTRUCTION PROGRAM, NCP12929 - Roger Hull - OFLT	18,766
<b>Unique Comp Inc.</b>	NYSERDA ADMINISTRATION, I.T. Staff Augmentation	694,700
<b>Unique Electric Solutions of NYS LLC</b>	CLEAN TRANSPORTATION, UPS All-Electric Vehicle Demo	111,411
<b>United Talmudical Academy</b>	NEW CONSTRUCTION PROGRAM, NCP9257 - Bais Ruchel High Sch	81,910
<b>United Wind Project I, LLC</b>	SMALL WIND, Wind Turbine Incentive	734,969

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>University at Albany</b>	NEW CONSTRUCTION PROGRAM, NCP11874 - Building 25 Gut Reh	13,781
	NEW CONSTRUCTION PROGRAM, NCP12868 - UAlbany Onondag..	10,804
<b>University of Rochester</b>	ENVIRONMENTAL RESEARCH, Energy Related Air Quality	58,065
	ENVIRONMENTAL RESEARCH, Impact of environmental polici	108,293
	ENVIRONMENTAL RESEARCH, Long-Term Monitoring of Methan	95,975
	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	76,278
	NEW CONSTRUCTION PROGRAM, NCP12144 - UofR Outpatient Ima	41,610
<b>Upstate Alternative Energy</b>	<200KW PV, NY Sun	6,720
<b>Upstate Energy Solutions</b>	<200KW PV, NY-Sun	5,164
<b>Urban Electric Power, LLC</b>	CLEAN TRANSPORTATION, Zinc MO2 battery scale up	77,000
<b>USGS National Center MS270</b>	ENVIRONMENTAL RESEARCH, ALTM fish assemblage	7,813
	ENVIRONMENTAL RESEARCH, Environmental Research	17,330
<b>V&amp;R Energy Systems Research, Inc.</b>	SMART GRID SYSTEMS, Advanced State Estimation	120,000
<b>Vanguard Energy Partners, LLC</b>	<200KW PV, NY-Sun	265,845
<b>Varta Microbattery, Inc</b>	CLEAN TRANSPORTATION, Advanced Battery Storage Syste	55,151
<b>Vassar College</b>	NEW CONSTRUCTION PROGRAM, NCP10277 - Integrated Science	62,808
	NEW CONSTRUCTION PROGRAM, NCP10278 - Vassar New Engla..	12,537
	NEW CONSTRUCTION PROGRAM, NCP10279 - Sanders Physics B..	19,712
<b>Vautrin Construction</b>	Low Rise New Construction, New Construction	5,000
<b>Venture Home Solar LLC</b>	<200KW PV, NY Sun	12,263
	<200KW PV, NY-Sun	5,494
<b>Verizon NY Inc.</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	990,193
<b>Verizon Sourcing LLC</b>	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	66,051
<b>Vermont Energy Investment Corporation</b>	MARKET PATHWAYS, Res Upstream HVAC Initiative	40,000
	Strategic Energy Manager, RFP 3352	48,593
<b>Versar, Inc</b>	EXISTING FACILITIES, Technical Review and Program S	1,740
<b>Vice Media LLC</b>	NEW CONSTRUCTION PROGRAM, NCP12876 - Vice Media Headq..	55,215
<b>Vidaris, Inc.</b>	Commercial New Construc, Vidaris - EMP	116,382
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	42,733
	NEW CONSTRUCTION PROGRAM, Technical Assistant Services..	51,953
<b>VIII Hotel II Tribeca Holdings LLC</b>	NEW CONSTRUCTION PROGRAM, NCP10660 - Baccarat Hotel & R	218,688
<b>Village of Babylon</b>	SMART GRID SYSTEMS, Village of Babylon, NY Prize	99,290
<b>Village of Ellicottville</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	59,819
<b>Village of Tupper Lake</b>	OTHER PROGRAM AREA, Tupper Lake District Heat	40,000
<b>Village of Wappinger Falls</b>	NY-SUN, New York Sun Competitive PV Pr	43,737
<b>Vincents Heating and Fuel Service, LLC</b>	CLEANER GREENER COMMUNITIES, CGC37964 - Pellet Hub	70,750
	ENVIRONMENTAL RESEARCH, Pneumatic Wood Pellet Truck	9,750
	RENEWABLE HEAT NY, Renewable Heating & Cooling	15,000
	RENEWABLE HEAT NY, RHNY Incentive - O'Brien	15,000
	RENEWABLE HEAT NY, RHNY PON 3010 Incentive - Hart	15,000
	RENEWABLE HEAT NY, RHNY PON 3010 Incentive - Mann	15,000
<b>Viola Homes Inc.</b>	<200KW PV, NY Sun	9,936
<b>Visual Arts Research and Resouce Center</b>	NEW CONSTRUCTION PROGRAM, NCP98420 - East 125th St Fireh	16,949
<b>Vital Vio, Inc.</b>	ADVANCED BUILDINGS, Advanced Buildings Technology	15,000
	ADVANCED BUILDINGS, SSL Disinfection	37,000
<b>Vivint Solar</b>	<200KW PV, NY Sun	39,524
<b>Vnomics Corp</b>	CLEAN TRANSPORTATION, Truck Trip Fleet Study	25,000
<b>Voltaic Solaire LLC</b>	<200KW PV, NY-Sun	26,290
<b>Volunteers of America Western New York</b>	NEW YORK ENERGY STAR HOMES, New Construction	120,000
<b>Vornado Office Management LP</b>	EXISTING FACILITIES, EFP/DMP2276 - Vornado	629,933



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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Wappingers Falls Hydroelectric, LLC</b>	LARGE SCALE RENEWABLES, RPS Program Purchase of Renewa	8,620
<b>Warren Pinnacle Consulting, Inc.</b>	ENVIRONMENTAL RESEARCH, SLAMM adaptation	70,134
<b>Washington Gas Energy Systems Inc.</b>	NY-SUN, Competitive PV Program - Macy'	106,732
	NY-SUN, Hollingsworth & Vose	466,170
	NY-SUN, New York Sun Competitive PV Pr	426,241
	NY-SUN, NY-Sun	151,519
	NY-SUN, PV System @ Skidmore College	1,008,643
	NY-SUN, Town of Walworth	152,320
<b>Washington Square Southeast Apts., Inc.</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	139,200
<b>Watchtower Bible &amp;</b>	NEW CONSTRUCTION PROGRAM, NCP10424-Office/Pub Space-O..	292,349
	NEW CONSTRUCTION PROGRAM, NCP10425 - Home Services	235,019
	NEW CONSTRUCTION PROGRAM, NCP10426 - Maintenance and Fit	167,162
	NEW CONSTRUCTION PROGRAM, NCP10427 - Powerhouse and R..	348,856
	NEW CONSTRUCTION PROGRAM, NCP10428 - Watchtower Bible	98,092
	NEW CONSTRUCTION PROGRAM, NCP10429 - Watchtower OFLT	79,804
	NEW CONSTRUCTION PROGRAM, NCP10430 - Residence C - OFL..	81,791
	NEW CONSTRUCTION PROGRAM, NCP10431 - Residence D	70,105
	NEW CONSTRUCTION PROGRAM, NCP10432 - Vehicle Mainten..	20,972
	NEW CONSTRUCTION PROGRAM, NCP13033 - Watchtower Walkkill	32,993
<b>Water Environment &amp; Reuse Foundation</b>	ENVIRONMENTAL RESEARCH, Cofunding energy R&D projects.	74,000
<b>Watt Fuel Cell Corporation</b>	CLEAN TRANSPORTATION, 1.0 kW Portable CHP Fuel Cell	107,374
<b>Weaver Wind Energy, LLC</b>	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Weaver W..	66,569
<b>Webster Community Coalition for Economic</b>	CLEANER GREENER COMMUNITIES, CGC38562 - Webster Cold ..	27,000
<b>Wendel Energy Services, LLC</b>	EXISTING FACILITIES, Technical Review and Program S	2,191
	Flexible Tech Assistance, FlexTech Consultant Selection	14,800
<b>West 39th Street LLC</b>	NEW CONSTRUCTION PROGRAM, NCP9032 - West 39th Street LLC	27,056
<b>West 60th Realty LLC</b>	NEW CONSTRUCTION PROGRAM, NCP10656 - West 60th Realty	58,712
<b>West 62nd Street LLC</b>	NEW CONSTRUCTION PROGRAM, NCP10172 - 49 Amsterdam Ave..	85,147
<b>Westage Towers East Condominium</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	88,900
<b>Westchester Chamber Educational</b>	CLEANER GREENER COMMUNITIES, CGC26702 - WGBC	36,972
<b>Westhab, Inc.</b>	GREEN AFFORDABLE HOUSING, Multifamily	0
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	60,824
<b>White &amp; Case, LLP</b>	MARKET PATHWAYS, CRETP - White & Case - 1221 Av	140,000
<b>White Plains Hospital Center</b>	NEW CONSTRUCTION PROGRAM, NCP12086 - Dickstein Cancer Tr	8,199
	NEW CONSTRUCTION PROGRAM, NCP98601 - White Plains Hospit	6,066
<b>Whole Foods Market Group, Inc.</b>	EXISTING FACILITIES, EFP2232 - Whole Foods Market -	527,223
	NEW CONSTRUCTION PROGRAM, NCP13110 - Whole Foods Mark..	70,482
<b>Willdan Energy Solutions</b>	ADVANCED BUILDINGS, C&I Outreach	0
	Commercial Real Estate Ten, C&I Outreach	118,221
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATI..	2,153
	EXISTING FACILITIES, C&I Outreach	0
	EXISTING FACILITIES, Technical Review and Program S	84,990
	Flexible Tech Assistance, FlexTech Consultant Selection	32,902
	FLEXIBLE TECHNICAL ASSISTANCE, Technical Review and Progra..	129,459
	Industrial Process Effic, C&I Outreach	44,033
	Industrial Process Effic, Technical Review and Program S	13,586
	INDUSTRIAL PROCESS EFFICIENCY, C&I Outreach	88,066
	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	11,420
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	149,161
	On-Site Energy Manager, C&I Outreach	7,339

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Willdan Energy Solutions</b>	Real Time Enrgy Management, Technical Review and Program S	0
	Strategic Energy Manager, C&I Outreach	7,339
<b>William J &amp; Maryann M Christie</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	0
<b>Willowbrooke FP LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	76,000
<b>Willows PFA LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	26,000
<b>WM Group Services, LLC</b>	Flexible Tech Assistance, FlexTech Consultant WMGroup	5,906
<b>Wolfe Landing, Llc</b>	NEW YORK ENERGY STAR HOMES, New Construction	12,000
<b>Woodrow Housing Development Fund</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	30,000
<b>Woody Hill Farm Inc.</b>	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	46,490
<b>WSP USA Corp.</b>	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	24,103
	NEW CONSTRUCTION PROGRAM, Technical Assistance NCP	23,035
<b>XC Associates, Inc.</b>	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Smart Win..	188,235
<b>Xerox Corp</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	141,734
<b>Yancey's Fancy Inc.</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	52,365
<b>York Town Solar Development, LLC</b>	NY-SUN, PV System @	147,379
<b>You Save Green Incorporated</b>	<200KW PV, NY-Sun	2,344
<b>Zero Carbon Corporation</b>	<200KW PV, NY Sun	16,121
<b>ZEV Technologies, Inc.,</b>	CLEAN TRANSPORTATION, PEV Enabling Technology Demons	7,177
	CLEAN TRANSPORTATION, Promoting Workplace Charging	78,744
<b>Zotos International, Inc.</b>	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	12,816
<b>Grand Total</b>		183,320,786

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
1 Stop Electronics Center, Inc.	Home Perf w Energy Star, Single Family Residential	68,341
440 Jericho Turnpike Auto Sales, LLC	Clean Transportation	42,900
	Electric Vehicles - Rebate, Clean Transportation	1,100
1135 Millersport HWY LLC	Electric Vehicles - Rebate, Clean Transportation	15,400
1581 Hylan BLVD Auto LLC	Clean Transportation	5,100
	Electric Vehicles - Rebate, Clean Transportation	39,100
1591 Hylan Blvd Auto LLC	Electric Vehicles - Rebate, Clean Transportation	12,100
2679bhwl llc	Electric Vehicles - Rebate, Clean Transportation	26,400
3955 WH Road, LLC	Electric Vehicles - Rebate, Clean Transportation	48,500
A Johnson Home Comfort, Inc.	Home Perf w Energy Star, Single Family Residential	33,312
Adirondack Chevrolet Buick	Electric Vehicles - Rebate, Clean Transportation	11,700
Adirondack Community Action	EMPOWER NY, Single Family Residential	1,186
	Home Perf w Energy Star, Single Family Residential	33,168
ADR Home Energy Solutions LLC.	EMPOWER NY, Single Family Residential	293
	Home Perf w Energy Star, Single Family Residential	85,997
Advanced Energy Systems of NY, LLC	Home Perf w Energy Star, Single Family Residential	23,375
Advantage Title Agency, Inc.	GJGNY REVOLVING LOAN FUND, Single Family Residential	102,900
Airtight Services, Inc.	Home Perf w Energy Star, Single Family Residential	15,693
	NEW YORK ENERGY STAR HOMES, New Construction	1,000
Albany Auto Managment	Electric Vehicles - Rebate, Clean Transportation	29,700
All Star Energy, Inc.	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family Re..	500
	EMPOWER NY, Single Family Residential	59,064
	Home Perf w Energy Star, Single Family Residential	337,312
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	1,800
Arnold Chevrolet LLC	Clean Transportation	7,400
Arroway Chevrolet Inc	Electric Vehicles - Rebate, Clean Transportation	60,400
Arthur C. Pakatar	Home Perf w Energy Star, Single Family Residential	79,926
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	250
Automall Imports LLC	Clean Transportation	14,200
	Electric Vehicles - Rebate, Clean Transportation	9,100
Autosaver Ford	Clean Transportation	1,100
	Electric Vehicles - Rebate, Clean Transportation	8,800
Aztech Geothermal, LLC	Geothermal Incentive Program, Renewable Heating & Cooling	27,750
	Home Perf w Energy Star, Single Family Residential	1,400
Banta Home Corp	Low Rise New Construction, New Construction	25,000
	NEW YORK ENERGY STAR HOMES, RES-NewConst(no longer in use)	2,500
Barton Chevrolet Inc	Electric Vehicles - Rebate, Clean Transportation	12,500
Belmonte Builders	Low Rise New Construction, New Construction	10,750
Bensol Tech LLC	Home Perf w Energy Star, Single Family Residential	56,364
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	100
Berg Family Enterprises LLC	Clean Transportation	2,000
	Electric Vehicles - Rebate, Clean Transportation	14,800
Best Fire	RENEWABLE HEAT NY, Renewable Heating & Cooling	20,500
Betlem Service Corporation	Home Perf w Energy Star, Single Family Residential	6,760
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	1,500
Better Energy Solutions Inc.	Home Perf w Energy Star, Single Family Residential	327,466
Bical Chevrolet Corp	Clean Transportation	5,700
	Electric Vehicles - Rebate, Clean Transportation	4,000
Black Cherry Services Group, Inc.	Home Perf w Energy Star, Single Family Residential	3,951
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	250
BMW of Manhattan Inc.	Clean Transportation	3,200

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>BMW of Manhattan Inc.</b>	Electric Vehicles - Rebate, Clean Transportation	14,000
<b>BOC Capital Corp</b>	GJGNY REVOLVING LOAN FUND, Commercial	2,379
<b>BPTC</b>	EMPOWER NY, Single Family Residential	8,741
	Home Perf w Energy Star, Single Family Residential	676
	Low Rise New Construction, New Construction	2,800
	Low Rise New Construction, RES-NewConst(no longer in use)	800
	NEW YORK ENERGY STAR HOMES, New Construction	700
	NEW YORK ENERGY STAR HOMES, RES-NewConst(no longer in use)	12,500
<b>Breathe Easy of CNY Inc.</b>	Home Perf w Energy Star, Single Family Residential	17,800
<b>Bright Home Energy Solutions, LLC</b>	EMPOWER NY, Single Family Residential	5,681
	Home Perf w Energy Star, Single Family Residential	149,027
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	700
<b>Brooklyn Cooperative FCU</b>	GJGNY REVOLVING LOAN FUND, Products	300
<b>Bruni &amp; Campisi Energy &amp;</b>	Home Perf w Energy Star, Single Family Residential	110,697
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	350
<b>Buffalo Energy, Inc.</b>	EMPOWER NY, Single Family Residential	222,579
	Home Perf w Energy Star, Single Family Residential	34,264
<b>Buffalo Geothermal Heating</b>	Geothermal Incentive Program, Renewable Heating & Cooling	12,750
	Home Perf w Energy Star, Single Family Residential	500
<b>Building Efficiency Resources</b>	Low Rise New Construction, New Construction	3,900
	Low Rise New Construction, RES-NewConst(no longer in use)	3,300
	NEW YORK ENERGY STAR HOMES, New Construction	8,500
	NEW YORK ENERGY STAR HOMES, RES-NewConst(no longer in use)	6,500
<b>Burdick Motors Inc.</b>	Electric Vehicles - Rebate, Clean Transportation	23,100
<b>Buzz Chew Chevrolet Cadillac Inc</b>	Clean Transportation	7,700
	Electric Vehicles - Rebate, Clean Transportation	5,700
<b>Capital Heat</b>	Home Perf w Energy Star, Single Family Residential	13,329
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	500
<b>Cars Unlimited of Suffolk LLC</b>	Clean Transportation	22,500
<b>Cayuga/Seneca Community Action Agency, I</b>	Home Perf w Energy Star, Single Family Residential	14,905
<b>Central Heating &amp; Cooling, Inc.</b>	Home Perf w Energy Star, Single Family Residential	6,183
<b>Central Hudson Gas and Electric Corporat</b>	GJGNY REVOLVING LOAN FUND, Single Family Residential	2,980
<b>Central Nissan, LTD</b>	Electric Vehicles - Rebate, Clean Transportation	5,100
<b>Chautauqua Opportunities, Inc.</b>	EMPOWER NY, Single Family Residential	16,310
	Home Perf w Energy Star, Single Family Residential	2,009
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	250
<b>Cheektowaga, Town of</b>	CLEANER GREENER COMMUNITIES, Communities & Local Government	5,000
<b>City of Auburn</b>	CLEANER GREENER COMMUNITIES, Communities & Local Government	2,500
<b>City of Troy</b>	CLEANER GREENER COMMUNITIES, Communities & Local Government	5,000
<b>City of Utica</b>	CLEANER GREENER COMMUNITIES, Communities & Local Government	5,000
<b>Clarkson Univ., Research Div.</b>	ENVIRONMENTAL RESEARCH, Environmental Research	3,200
<b>Clifton Park Imports, Inc.</b>	Electric Vehicles - Rebate, Clean Transportation	20,900
<b>CNY Insulation Plus, Inc</b>	Home Perf w Energy Star, Single Family Residential	95,320
<b>Colonie Import Distributors LTD</b>	Electric Vehicles - Rebate, Clean Transportation	48,400
<b>Columbia Opportunities Inc.</b>	Home Perf w Energy Star, Single Family Residential	30,597
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	250
<b>Commission on Economic Opportunity</b>	Home Perf w Energy Star, Single Family Residential	22,945
<b>Community Action Planning Council of Jef</b>	Home Perf w Energy Star, Single Family Residential	56,550
<b>Competition Imports Inc</b>	Clean Transportation	7,700
<b>Concord Servicing Corporation</b>	GJGNY REVOLVING LOAN FUND, Single Family Residential	566,329
	OTHER PROGRAM AREA, Products	116

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Consolidated Edison Company</b>	GJGNY REVOLVING LOAN FUND, Products	1,180
	GJGNY REVOLVING LOAN FUND, Single Family Residential	13,521
<b>Cornell Cooperative Ext. Dutchess County</b>	EMPOWER NY, Single Family Residential	250
<b>Cornell Cooperative Extension of Albany</b>	EMPOWER NY, Single Family Residential	250
	Home Perf w Energy Star, Single Family Residential	31,206
<b>Cornerstone Energy Services</b>	Home Perf w Energy Star, Single Family Residential	115,137
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	1,250
<b>Cortland County Community Action Program</b>	Home Perf w Energy Star, Single Family Residential	19,402
<b>Country Club Chevrolet, Inc</b>	Electric Vehicles - Rebate, Clean Transportation	13,400
<b>Cowles Company of Northern New York, Inc</b>	EMPOWER NY, Single Family Residential	1,061
	Home Perf w Energy Star, Single Family Residential	90,819
	RENEWABLE HEAT NY, Renewable Heating & Cooling	5,000
<b>Crossfield Home Energy Solutions</b>	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family Re..	255
	EMPOWER NY, Single Family Residential	1,079
	Home Perf w Energy Star, Single Family Residential	116,530
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	1,377
	Underutilized Products, Products	500
<b>Crown Ford Inc.</b>	Clean Transportation	17,600
	Electric Vehicles - Rebate, Clean Transportation	3,300
<b>Curry Motor Cars LLC</b>	Electric Vehicles - Rebate, Clean Transportation	52,700
<b>D.A. Goudreau, Inc</b>	Home Perf w Energy Star, Single Family Residential	56,940
	Underutilized Products, Products	37,000
<b>Dana Motors, Ltd.</b>	Electric Vehicles - Rebate, Clean Transportation	22,000
<b>Dave Feldman Heating &amp; Cooling, Inc.</b>	EMPOWER NY, Single Family Residential	7,419
	Home Perf w Energy Star, Single Family Residential	10,644
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	250
<b>David Homebuilders, Inc.</b>	Low Rise New Construction, New Construction	11,900
	NEW YORK ENERGY STAR HOMES, New Construction	6,000
	NEW YORK ENERGY STAR HOMES, RES-NewConst(no longer in use)	18,000
<b>Davidson Chevrolet Inc</b>	Electric Vehicles - Rebate, Clean Transportation	9,400
<b>DCH Mamaroneck LLC</b>	Electric Vehicles - Rebate, Clean Transportation	14,300
<b>DCH NY Motors LLC</b>	Electric Vehicles - Rebate, Clean Transportation	31,900
<b>Degraff Bloom Custom Builders, Inc.</b>	Low Rise New Construction, New Construction	5,700
<b>Delaware Opportunities, Inc.</b>	Home Perf w Energy Star, Single Family Residential	31,896
<b>Den Kelly Chevrolet Buick GMC Inc</b>	Electric Vehicles - Rebate, Clean Transportation	5,100
<b>DeNooyer Chevrolet, Inc.</b>	Electric Vehicles - Rebate, Clean Transportation	43,300
<b>Depaula Chevrolet Inc.</b>	Electric Vehicles - Rebate, Clean Transportation	43,900
<b>DH Berry Inc.</b>	Home Perf w Energy Star, Single Family Residential	14,343
<b>Driver's Village, Inc</b>	Electric Vehicles - Rebate, Clean Transportation	5,700
<b>Driver's Village, Inc.</b>	Electric Vehicles - Rebate, Clean Transportation	5,400
<b>Drumriver Consultants, Inc.</b>	Home Perf w Energy Star, Single Family Residential	15,762
<b>Eagle Auto Mall Sales Inc</b>	Clean Transportation	19,900
	Electric Vehicles - Rebate, Clean Transportation	2,000
<b>East Syracuse Sales Co Inc</b>	Electric Vehicles - Rebate, Clean Transportation	21,400
<b>Easthills Chevrolet Oldsmobile Inc.</b>	Clean Transportation	14,800
	Electric Vehicles - Rebate, Clean Transportation	5,700
<b>Eco Heating &amp; Cooling Inc</b>	Home Perf w Energy Star, Single Family Residential	25,556
<b>Economic Opportunity Program</b>	Home Perf w Energy Star, Single Family Residential	10,445
<b>Elm Chevrolet Co Inc</b>	Electric Vehicles - Rebate, Clean Transportation	8,000
<b>Energy Answers</b>	EMPOWER NY, Single Family Residential	6,165
	Home Perf w Energy Star, Single Family Residential	50,518

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
Energy Efficiency Solutions NY LLC	Home Perf w Energy Star, Single Family Residential	9,319
Energy Evolution Inc	Home Perf w Energy Star, Single Family Residential	61,071
Energy Management Solutions, LLC	Home Perf w Energy Star, Single Family Residential	85,222
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	400
Energy Savers Inc	Home Perf w Energy Star, Single Family Residential	339,061
Energy Saving Solutions, LLC	EMPOWER NY, Single Family Residential	112,733
	Home Perf w Energy Star, Single Family Residential	42,417
Environmental Contracting LLC	Home Perf w Energy Star, Single Family Residential	5,823
Euro and American Contracting	Home Perf w Energy Star, Single Family Residential	16,694
Farnsworth Chevrolet, Inc.	Electric Vehicles - Rebate, Clean Transportation	5,700
Foam It Insulation, LLC	EMPOWER NY, Single Family Residential	3,352
	Home Perf w Energy Star, Single Family Residential	50,419
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	400
Foothills MotorCar Corp	Electric Vehicles - Rebate, Clean Transportation	16,500
Forbes-Capretto Homes	Low Rise New Construction, New Construction	20,650
Fox Imports, Inc	Electric Vehicles - Rebate, Clean Transportation	6,600
Franzoso Energy Solutions, Inc.	Home Perf w Energy Star, Single Family Residential	1,950
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	250
Fred F. Collis & Sons, Inc.	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family Re..	400
	Home Perf w Energy Star, Single Family Residential	51,746
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	1,388
Frontier Abstract and Research Services	GJGNY REVOLVING LOAN FUND, Commercial	1,175
	GJGNY REVOLVING LOAN FUND, Low/Moderate Income	6,023
	GJGNY REVOLVING LOAN FUND, Single Family Residential	58,609
Fuccillo Ventures Inc	Electric Vehicles - Rebate, Clean Transportation	141,800
Fulmont Community Action Agency Inc.	Home Perf w Energy Star, Single Family Residential	52,251
G.W. Ehrhart, Inc.	RENEWABLE HEAT NY, Renewable Heating & Cooling	8,000
Gary Boyd	EMPOWER NY, Single Family Residential	2,828
	Home Perf w Energy Star, Single Family Residential	50,082
Gary Goodman	Home Perf w Energy Star, Single Family Residential	28,085
Gault Auto Mall Co. Inc.	Electric Vehicles - Rebate, Clean Transportation	23,100
Geotherm Inc.	Geothermal Incentive Program, Renewable Heating & Cooling	6,660
Get Green Home Improvements LLC	Home Perf w Energy Star, Single Family Residential	10,001
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	650
Global Dwelling, LLC	Home Perf w Energy Star, Single Family Residential	222,605
GPB 5 LLC	Clean Transportation	6,800
	Electric Vehicles - Rebate, Clean Transportation	1,700
Graphenix Development Inc.	CLEAN TRANSPORTATION, Clean Transportation	54,000
Graves Bros.	EMPOWER NY, Single Family Residential	4,066
	Home Perf w Energy Star, Single Family Residential	305,843
Great Neck Ford LLC	Clean Transportation	8,800
	Electric Vehicles - Rebate, Clean Transportation	2,200
Green Audit USA, Inc.	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family Re..	2,911
	EMPOWER NY, Single Family Residential	4,476
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	2,578
Green City Force	Home Perf w Energy Star, Single Family Residential	145,623
Green Home Innovations, Inc	EMPOWER NY, Single Family Residential	68,419
	Home Perf w Energy Star, Single Family Residential	24,472
Green Home Logic, Inc.	Home Perf w Energy Star, Single Family Residential	23,582
Greenhill Contracting Inc.	NEW YORK ENERGY STAR HOMES, New Construction	8,000
	NEW YORK ENERGY STAR HOMES, RES-NewConst(no longer in use)	8,000

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>GREENTECH Certified Energy Specialists,</b>	Home Perf w Energy Star, Single Family Residential	8,156
<b>Habberstad Motorsport Inc.</b>	Clean Transportation	6,200
		10,700
	Electric Vehicles - Rebate, Clean Transportation	1,500
<b>Habitat For Humanity (Buffalo) Inc</b>	Low Rise New Construction, New Construction	5,200
<b>Habitat for Humanity (Capital District)</b>	Low Rise New Construction, New Construction	5,400
<b>Hawn Heating &amp; Energy Services LLC</b>	Home Perf w Energy Star, Single Family Residential	33,458
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	1,000
<b>Healey Chevrolet Inc.</b>	Electric Vehicles - Rebate, Clean Transportation	13,700
<b>Health Research, Inc.</b>	ENVIRONMENTAL RESEARCH, Environmental Research	1,369
<b>Healthy Home Energy &amp; Consulting, Inc.</b>	Home Perf w Energy Star, Single Family Residential	66,652
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	300
<b>Hearths A Fire Inc.</b>	RENEWABLE HEAT NY, Renewable Heating & Cooling	59,500
<b>Hempstead Lincoln Mercury Motors Corp.</b>	Clean Transportation	37,400
	Electric Vehicles - Rebate, Clean Transportation	7,700
<b>Home Energy Consultants Inc.</b>	Home Perf w Energy Star, Single Family Residential	109,960
<b>Home Energy Performance By Halco</b>	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family Re..	782
	EMPOWER NY, Single Family Residential	83,696
	Home Perf w Energy Star, Single Family Residential	1,269,250
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	5,200
<b>Home Performance Professionals, Inc.</b>	EMPOWER NY, Single Family Residential	105,301
	Home Perf w Energy Star, Single Family Residential	9,700
<b>Honeywell International Inc.</b>	Home Perf w Energy Star, Single Family Residential	2,583
<b>Hoselton Chevrolet, Inc.</b>	Electric Vehicles - Rebate, Clean Transportation	61,200
<b>Hoselton Imports, Inc</b>	Electric Vehicles - Rebate, Clean Transportation	72,600
<b>Hoselton Nissan Inc</b>	Electric Vehicles - Rebate, Clean Transportation	51,000
<b>Ideal Energy Solutions LLC</b>	EMPOWER NY, Single Family Residential	324,868
	Home Perf w Energy Star, Single Family Residential	128,327
<b>IGM Holdings, Inc.</b>	Home Perf w Energy Star, Single Family Residential	494,257
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	250
<b>Ingersoll Auto of Pawling LLC</b>	Electric Vehicles - Rebate, Clean Transportation	5,100
<b>Innovation Now, LLC</b>	Home Perf w Energy Star, Single Family Residential	11,984
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	500
<b>Installed Building Products</b>	EMPOWER NY, Single Family Residential	259,963
	Home Perf w Energy Star, Single Family Residential	95,066
<b>Isaac Heating and Air Conditioning, Inc.</b>	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family Re..	2,159
	Home Perf w Energy Star, Single Family Residential	860,014
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	26,461
<b>Island Design and Contracting, LLC</b>	Home Perf w Energy Star, Single Family Residential	15,836
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	750
<b>Ivy Lea Construction</b>	EMPOWER NY, Single Family Residential	219,069
	Home Perf w Energy Star, Single Family Residential	30,485
<b>J Synergy Green Inc</b>	Home Perf w Energy Star, Single Family Residential	12,622
<b>Jack Serman Inc.</b>	Electric Vehicles - Rebate, Clean Transportation	8,800
<b>Jagodzinski Construction, Inc</b>	Home Perf w Energy Star, Single Family Residential	5,541
<b>James Chevrolet of Johnstown LLC</b>	Electric Vehicles - Rebate, Clean Transportation	10,200
<b>James Richard Meehan III</b>	Home Perf w Energy Star, Single Family Residential	8,892
<b>Jardine Inc</b>	Electric Vehicles - Rebate, Clean Transportation	23,100
<b>JCB Specialties, Inc.</b>	POLICY DEVELOPMENT, Consumer Serv & Events Managem	7,365
<b>Jim Barnard Chevrolet Inc</b>	Electric Vehicles - Rebate, Clean Transportation	5,400
<b>Joe Basil Chevrolet, Inc.</b>	Electric Vehicles - Rebate, Clean Transportation	13,100

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>John Betlem Heating &amp; Cooling Inc</b>	Home Perf w Energy Star, Single Family Residential	89,035
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	3,404
<b>Joint Council of Economic Opportunity</b>	EMPOWER NY, Single Family Residential	7,182
	Home Perf w Energy Star, Single Family Residential	61,907
<b>JPK Imports of Oneonta</b>	Electric Vehicles - Rebate, Clean Transportation	8,800
<b>JS Huntington Auto Sales LLC</b>	Clean Transportation	12,100
	Electric Vehicles - Rebate, Clean Transportation	3,300
<b>JS Huntington Motors LLC</b>	Clean Transportation	14,800
	Electric Vehicles - Rebate, Clean Transportation	19,600
<b>K&amp;L Green Operations LLC</b>	EMPOWER NY, Single Family Residential	27,380
<b>Karp Automotive, Inc</b>	Clean Transportation	13,000
	Electric Vehicles - Rebate, Clean Transportation	3,400
<b>Keller Chevrolet Inc</b>	Electric Vehicles - Rebate, Clean Transportation	12,800
<b>KI-PO Motors Chevrolet Inc</b>	Electric Vehicles - Rebate, Clean Transportation	9,100
<b>Kinderhook Sales Inc</b>	Electric Vehicles - Rebate, Clean Transportation	8,800
<b>Kingston Automotive LLC</b>	Clean Transportation	1,700
	Electric Vehicles - Rebate, Clean Transportation	81,600
<b>Knoth Heating &amp; Mechanical</b>	Home Perf w Energy Star, Single Family Residential	15,115
<b>Kool-Temp Heating &amp; Cooling</b>	Home Perf w Energy Star, Single Family Residential	5,379
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	500
<b>L2 Automotive, Inc.</b>	Electric Vehicles - Rebate, Clean Transportation	25,900
<b>Lasorsa Chevrolet Buick, Inc</b>	Electric Vehicles - Rebate, Clean Transportation	7,700
<b>LeBrun LLC</b>	Electric Vehicles - Rebate, Clean Transportation	14,300
<b>Levittown Ford LLC</b>	Clean Transportation	6,600
<b>Lia Automotive, LLC</b>	Electric Vehicles - Rebate, Clean Transportation	7,700
<b>LinLi HVAC Inc</b>	Underutilized Products, Products	5,500
<b>LJ Marchese Chevrolet Inc</b>	Electric Vehicles - Rebate, Clean Transportation	15,600
<b>Lloyd Hamilton</b>	Geothermal Incentive Program, Renewable Heating & Cooling	7,380
<b>Lofink Motor Co. Inc</b>	Electric Vehicles - Rebate, Clean Transportation	6,100
<b>Long Island Power Authority</b>	GJGNY REVOLVING LOAN FUND, Products	2,337
	GJGNY REVOLVING LOAN FUND, Single Family Residential	56,297
<b>Lotze Insulation Design, Inc.</b>	Home Perf w Energy Star, Single Family Residential	417,932
<b>Lucas Ford Lincoln Mercury Inc</b>	Clean Transportation	14,300
	Electric Vehicles - Rebate, Clean Transportation	1,100
<b>Luxury Vehicles of Hudson Valley</b>	Electric Vehicles - Rebate, Clean Transportation	7,300
<b>Lyford Motors</b>	Electric Vehicles - Rebate, Clean Transportation	16,500
<b>Maguire Chevrolet LLC</b>	Electric Vehicles - Rebate, Clean Transportation	6,800
<b>Maguire Motors LLC</b>	Electric Vehicles - Rebate, Clean Transportation	15,900
<b>Malcarne Contracting, Inc.</b>	Home Perf w Energy Star, Single Family Residential	55,635
<b>Malta Development Company Inc</b>	Low Rise New Construction, New Construction	3,750
<b>Mangino Chevrolet Inc</b>	Electric Vehicles - Rebate, Clean Transportation	14,800
<b>Meadowbrook Ford Inc</b>	Clean Transportation	19,700
<b>Mercedes-Benz Manhattan, Inc.</b>	Electric Vehicles - Rebate, Clean Transportation	5,100
<b>Metro Ford Sales Inc</b>	Electric Vehicles - Rebate, Clean Transportation	6,600
<b>Metro NY Insulation LLC</b>	Home Perf w Energy Star, Single Family Residential	76,483
<b>Metropolitan Truck Sales Inc</b>	CLEAN TRANSPORTATION, Clean Transportation	14,400
<b>Michael B Kearney</b>	EMPOWER NY, Single Family Residential	5,610
	Home Perf w Energy Star, Single Family Residential	150
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	250
<b>Michaels Group</b>	Low Rise New Construction, New Construction	19,950
<b>Mike Basil Motors Inc.</b>	Electric Vehicles - Rebate, Clean Transportation	15,400



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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
Milea Truck Sales Inc	CLEAN TRANSPORTATION, Clean Transportation	466,000
Millennium Super Store, LLC	Clean Transportation	6,600
	Electric Vehicles - Rebate, Clean Transportation	4,400
Mohawk Valley Community Action Agency	EMPOWER NY, Single Family Residential	6,936
	Home Perf w Energy Star, Single Family Residential	46,913
Mullarney's Garden Center	RENEWABLE HEAT NY, Renewable Heating & Cooling	54,500
Neighborhood Housing Services	Home Perf w Energy Star, Single Family Residential	194,074
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	1,900
Neighborhood Housing Services (N.H.S) of	EMPOWER NY, Single Family Residential	35,058
	Home Perf w Energy Star, Single Family Residential	2,840
NESCAUM	ENVIRONMENTAL RESEARCH, Environmental Research	2,950
New Buffalo Impact, Inc.	EMPOWER NY, Single Family Residential	7,914
	Home Perf w Energy Star, Single Family Residential	3,898
New York Battery and Energy Storage	OTHER PROGRAM AREA, Consumer Serv & Events Managem	500
New York Conservation Services Corp	Home Perf w Energy Star, Single Family Residential	114,622
New York Homeowners Construction Co., LL	Home Perf w Energy Star, Single Family Residential	41,426
Newins Bay Shore Ford Inc	Clean Transportation	11,000
Niagara Mohawk Power Corporation	GJGNY REVOLVING LOAN FUND, Single Family Residential	7,323
Nispen Building Performance, Inc.	Home Perf w Energy Star, Single Family Residential	80,323
Nissan of Westbury	Clean Transportation	5,100
North Country Windows	Home Perf w Energy Star, Single Family Residential	8,334
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	400
North East Underlayments LLC	Home Perf w Energy Star, Single Family Residential	8,850
Northeast Home Improvement, LLC	Home Perf w Energy Star, Single Family Residential	87,843
Northeast Project Solutions	Home Perf w Energy Star, Single Family Residential	132,785
Northern Automotive Group Inc.	Electric Vehicles - Rebate, Clean Transportation	13,200
Northstar Chevrolet Inc	Electric Vehicles - Rebate, Clean Transportation	5,100
NR Automotive Inc	Electric Vehicles - Rebate, Clean Transportation	6,600
Nunda Farm Service Inc.	RENEWABLE HEAT NY, Renewable Heating & Cooling	10,000
Nye Automotive Group, Inc	Electric Vehicles - Rebate, Clean Transportation	11,000
NYLSI, INC	Clean Transportation	52,800
	Electric Vehicles - Rebate, Clean Transportation	6,600
NYS Dept. Taxation & Finance	Admin-General Charges	23,000,000
	ENERGY ANALYSIS, Energy & EnvironmentalAnalysis	1,000,000
	OTHER PROGRAM AREA, Admin-General Charges	150,000
NYS Energy Audits, Inc.	EMPOWER NY, Single Family Residential	350
	Home Perf w Energy Star, Single Family Residential	485,783
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	250
O'Connor Chevrolet, Inc.	Electric Vehicles - Rebate, Clean Transportation	36,100
ODA Community Development Corp.	Home Perf w Energy Star, Single Family Residential	8,861
Olum's of Binghamton, Inc.	Home Perf w Energy Star, Single Family Residential	23,262
Opportunities for Chenango, Inc.	Home Perf w Energy Star, Single Family Residential	68,185
Opportunities for Otsego, Inc.	EMPOWER NY, Single Family Residential	16,391
	Home Perf w Energy Star, Single Family Residential	97,181
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	250
Orange and Rockland Utilities, Inc.	GJGNY REVOLVING LOAN FUND, Single Family Residential	3,363
Orange County Rural Development Advisory	Home Perf w Energy Star, Single Family Residential	9,629
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	250
Orange EV LLC	CLEAN TRANSPORTATION, Clean Transportation	750,000
Otis Ford Inc	Clean Transportation	7,100
	Electric Vehicles - Rebate, Clean Transportation	2,200

**Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation**  
 Period 4/1/2017 through 9/30/2017

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
Otsego County	CLEANER GREENER COMMUNITIES, Communities & Local Government	5,000
Paddock Chevrolet, Inc.	Electric Vehicles - Rebate, Clean Transportation	28,700
PAG Greenwich B1, LLC	Clean Transportation	500
	Electric Vehicles - Rebate, Clean Transportation	10,800
Pana Nissan, LLC	Clean Transportation	3,400
	Electric Vehicles - Rebate, Clean Transportation	44,200
Parkside Fuel, Inc.	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family Re..	500
	Home Perf w Energy Star, Single Family Residential	4,699
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	7,250
Parkway II LLC	Electric Vehicles - Rebate, Clean Transportation	14,300
Patchogue 112 Motors LLC	Clean Transportation	28,600
	Electric Vehicles - Rebate, Clean Transportation	1,100
Pathstone Corporation	Home Perf w Energy Star, Single Family Residential	5,525
PEG	Low Rise New Construction, New Construction	12,000
	Low Rise New Construction, RES-NewConst(no longer in use)	2,300
Penns Worldwide Auto Superstore LTD	Clean Transportation	26,400
	Electric Vehicles - Rebate, Clean Transportation	4,400
People's Equal Action & Community Effort	Home Perf w Energy Star, Single Family Residential	41,842
Performance Systems Development, Inc.	Low Rise New Construction, RES-NewConst(no longer in use)	4,000
	NEW YORK ENERGY STAR HOMES, New Construction	16,000
	NEW YORK ENERGY STAR HOMES, RES-NewConst(no longer in use)	1,000
Phoenix Mechanical	Home Perf w Energy Star, Single Family Residential	14,194
	Underutilized Products, Products	1,000
Pioneer Spray Foam LLC	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family Re..	125
	EMPOWER NY, Single Family Residential	5,779
	Home Perf w Energy Star, Single Family Residential	33,344
Plaza Automotive, Ltd.	Clean Transportation	6,800
	Electric Vehicles - Rebate, Clean Transportation	34,000
Polsinello Fuels, Inc	Home Perf w Energy Star, Single Family Residential	8,072
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	250
Poughkeepsie Nissan, Inc	Electric Vehicles - Rebate, Clean Transportation	5,100
Prestige Automobiles Inc.	Electric Vehicles - Rebate, Clean Transportation	37,400
Prime Time Energy Services, Inc.	EMPOWER NY, Single Family Residential	153,487
	Home Perf w Energy Star, Single Family Residential	84,496
Pro Action of Steuben & Yates, Inc.	EMPOWER NY, Single Family Residential	8,046
	Home Perf w Energy Star, Single Family Residential	19,200
R. McLagan, Inc.	Home Perf w Energy Star, Single Family Residential	15,690
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	250
Rallye Westbury, LLC	Clean Transportation	14,800
	Electric Vehicles - Rebate, Clean Transportation	4,900
Ramp Motors Inc	Clean Transportation	50,700
Real Goods Energy Tech, Inc	<200KW PV, NY-Sun	145,000
Rebuilding Homes, LLC	NEW YORK ENERGY STAR HOMES, New Construction	10,000
	NEW YORK ENERGY STAR HOMES, RES-NewConst(no longer in use)	12,500
Regional Economic Community Action	Home Perf w Energy Star, Single Family Residential	33,713
RHM Inc.	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family Re..	715
	EMPOWER NY, Single Family Residential	3,148
	Home Perf w Energy Star, Single Family Residential	27,476
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	250
Rivera Auto Group Inc	Electric Vehicles - Rebate, Clean Transportation	25,300
Riverhead Motors, Inc.	Clean Transportation	24,800

**Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation**  
 Period 4/1/2017 through 9/30/2017

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
Riverhead Motors, Inc.	Electric Vehicles - Rebate, Clean Transportation	1,100
RJ Chevrolet Inc	Electric Vehicles - Rebate, Clean Transportation	54,400
Robert Chevrolet Inc	Clean Transportation	19,900
	Electric Vehicles - Rebate, Clean Transportation	3,700
Rodney Lind	Home Perf w Energy Star, Single Family Residential	28,190
Romano Toyota	Electric Vehicles - Rebate, Clean Transportation	42,900
Romeo Chevrolet Buick GMC	Electric Vehicles - Rebate, Clean Transportation	61,600
Ruge's Automotive, Inc.	Electric Vehicles - Rebate, Clean Transportation	9,400
Rural Ulster Preservation Company	Home Perf w Energy Star, Single Family Residential	860
Ryan Homes (Virginia)	Low Rise New Construction, New Construction	162,450
Ryan Plumbing Heating Air Conditioning	Home Perf w Energy Star, Single Family Residential	38,142
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	830
Rycor LLC	Underutilized Products, Products	7,500
S & H Associates LLC	Electric Vehicles - Rebate, Clean Transportation	17,400
SANFILIPPO SOLUTIONS INC.	EMPOWER NY, Single Family Residential	14,591
	Home Perf w Energy Star, Single Family Residential	6,115
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	2,964
	RENEWABLE HEAT NY, Renewable Heating & Cooling	5,000
Saratoga County EOC	EMPOWER NY, Single Family Residential	1,004
	Home Perf w Energy Star, Single Family Residential	7,184
Saratoga Imports Inc	Electric Vehicles - Rebate, Clean Transportation	23,100
SC Auto Corp	Clean Transportation	115,500
	Electric Vehicles - Rebate, Clean Transportation	14,300
Scarsdale Ford, Inc.	Electric Vehicles - Rebate, Clean Transportation	11,000
Sealed Inc.	Home Perf w Energy Star, Single Family Residential	9,116
Seneca County Water & Sewer Di	CLEANER GREENER COMMUNITIES, Communities & Local Government	5,000
Seneca County Weatherization	Home Perf w Energy Star, Single Family Residential	46,971
Sharp's Bulk Food Store	RENEWABLE HEAT NY, Renewable Heating & Cooling	54,500
Sigma Tremblay, LLC	Home Perf w Energy Star, Single Family Residential	64,195
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	250
Sky Business Credit LLC	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family Re..	500
	Home Perf w Energy Star, Single Family Residential	39,381
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	4,515
Smith Cairns Ford, Inc	Clean Transportation	1,100
	Electric Vehicles - Rebate, Clean Transportation	7,700
Snug Planet, LLC	Home Perf w Energy Star, Single Family Residential	39,004
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	1,157
Snyder Manufacturing, Inc	Geothermal Incentive Program, Renewable Heating & Cooling	10,380
South Shore Motors Corp	Clean Transportation	40,700
St. Lawrence County Development Program	Home Perf w Energy Star, Single Family Residential	7,136
Stallmer & Sun Energy Efficiency Special	Home Perf w Energy Star, Single Family Residential	13,705
Standard Insulating Company	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family Re..	343
	EMPOWER NY, Single Family Residential	40,398
	Home Perf w Energy Star, Single Family Residential	508,549
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	1,599
Stateside Auto Sales Inc.	Electric Vehicles - Rebate, Clean Transportation	14,300
Steet Ponte Inc	Electric Vehicles - Rebate, Clean Transportation	17,600
Steven Winter Associates, Inc.	NEW YORK ENERGY STAR HOMES, New Construction	5,500
Stewart Title Insurance Company	GJGNY REVOLVING LOAN FUND, Single Family Residential	46,772
STNO, LLC	Clean Transportation	39,600
	Electric Vehicles - Rebate, Clean Transportation	1,100

**Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation**  
 Period 4/1/2017 through 9/30/2017

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Stoler Gold Coast</b>	Clean Transportation	13,500
	Electric Vehicles - Rebate, Clean Transportation	2,000
<b>Stoler of Westbury</b>	Clean Transportation	25,300
	Electric Vehicles - Rebate, Clean Transportation	1,100
<b>Sun Dance Pool N Patio Inc.</b>	RENEWABLE HEAT NY, Renewable Heating & Cooling	14,000
<b>Sunset Park Redevelopment Comm</b>	Home Perf w Energy Star, Single Family Residential	30,611
<b>Superior Energy Innovations, LLC</b>	EMPOWER NY, Single Family Residential	164,924
	Home Perf w Energy Star, Single Family Residential	93,851
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	2,750
<b>Superior Insulation Co., LLC</b>	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family Re..	419
	EMPOWER NY, Single Family Residential	24,366
	Home Perf w Energy Star, Single Family Residential	331,079
<b>Supervisor Town of Clay</b>	CLEANER GREENER COMMUNITIES, Communities & Local Government	5,000
<b>Sustainable Comfort, Inc</b>	NEW YORK ENERGY STAR HOMES, New Construction	10,800
<b>Syracuse University</b>	ENVIRONMENTAL RESEARCH, Environmental Research	4,750
<b>T &amp; C Sales &amp; Service Inc.</b>	Electric Vehicles - Rebate, Clean Transportation	14,900
<b>T.J.Nik Corp</b>	Clean Transportation	13,000
	Electric Vehicles - Rebate, Clean Transportation	1,700
<b>TAG Mechanical Systems, Inc.</b>	Home Perf w Energy Star, Single Family Residential	21,338
<b>Tall Pines Farm Inc.</b>	RENEWABLE HEAT NY, Renewable Heating & Cooling	5,500
<b>Taylor Group LTD</b>	Clean Energy Communities, Corporate Marketing	724
	OTHER PROGRAM AREA, Corporate Marketing	180
<b>Taylor Heating Inc.</b>	EMPOWER NY, Single Family Residential	1,218
	Home Perf w Energy Star, Single Family Residential	231,407
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	2,203
<b>TBS Acquisition Corp</b>	Clean Transportation	19,400
	Electric Vehicles - Rebate, Clean Transportation	4,000
<b>Tesla Motors New York LLC</b>	Clean Transportation	38,000
	Electric Vehicles - Rebate, Clean Transportation	11,500
<b>Tesla Motors NY LLC</b>	Clean Transportation	4,000
	Electric Vehicles - Rebate, Clean Transportation	6,500
<b>The ACF Group, LLC</b>	CLEAN TRANSPORTATION, Clean Transportation	70,152
<b>The Business Council of NYS, Inc.</b>	POLICY DEVELOPMENT, Consumer Serv & Events Managem	1,129
<b>The Dorschel Group</b>	Electric Vehicles - Rebate, Clean Transportation	49,500
		40,800
<b>The Energy Doctors</b>	Home Perf w Energy Star, Single Family Residential	30,156
<b>The Insulation Man LLC</b>	Home Perf w Energy Star, Single Family Residential	134,386
<b>The Radiant Store</b>	Home Perf w Energy Star, Single Family Residential	9,099
<b>The Trust Account of Marc Elefant, PC</b>	NY-SUN, On-Site Power	280,159
<b>Three Peaks Energy Corp.</b>	Home Perf w Energy Star, Single Family Residential	27,640
<b>Tioga Opportunities Inc.</b>	EMPOWER NY, Single Family Residential	2,910
	Home Perf w Energy Star, Single Family Residential	249,976
<b>TLL Motors Inc</b>	Clean Transportation	89,100
	Electric Vehicles - Rebate, Clean Transportation	6,600
<b>Tompkins Community Action</b>	Home Perf w Energy Star, Single Family Residential	90,895
<b>Tower Ford Inc</b>	Clean Transportation	16,600
	Electric Vehicles - Rebate, Clean Transportation	7,700
<b>Town of Amherst</b>	CLEANER GREENER COMMUNITIES, Communities & Local Government	5,000
<b>Town of Avon</b>	CLEANER GREENER COMMUNITIES, Communities & Local Government	5,000
<b>Town of Irondequoit</b>	CLEANER GREENER COMMUNITIES, Communities & Local Government	5,000
<b>Towne Ford, Inc.</b>	Electric Vehicles - Rebate, Clean Transportation	6,600

**Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation**  
 Period 4/1/2017 through 9/30/2017

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
Tradition Chevrolet Buick Inc.	Electric Vehicles - Rebate, Clean Transportation	7,400
TRS Heating and Air Conditioning Co., In	EMPOWER NY, Single Family Residential	455
	Home Perf w Energy Star, Single Family Residential	5,889
True Building Performance LLC	Home Perf w Energy Star, Single Family Residential	61,301
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	250
True Energy Solutions	Home Perf w Energy Star, Single Family Residential	168,311
U.S. Geological Survey (Troy).	ENVIRONMENTAL RESEARCH, Environmental Research	1,357
Ulster County Community Action, Inc.	Home Perf w Energy Star, Single Family Residential	83,200
United Parcel Service	OTHER PROGRAM AREA, Corporate Marketing	3,780
University of Rochester	ENVIRONMENTAL RESEARCH, Environmental Research	3,456
Upstate Holding Group, LLC	RENEWABLE HEAT NY, Renewable Heating & Cooling	17,000
Upstate Imports Inc	Electric Vehicles - Rebate, Clean Transportation	6,600
Upstate Spray Foam Insulation, LLC	EMPOWER NY, Single Family Residential	17,510
	Home Perf w Energy Star, Single Family Residential	50,348
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	250
Van Bortel Chevrolet, Inc.	Electric Vehicles - Rebate, Clean Transportation	18,500
Van Hee Mechanical	Geothermal Incentive Program, Renewable Heating & Cooling	34,635
Vanderstyn Motor Sales Inc	Electric Vehicles - Rebate, Clean Transportation	16,500
Victor Auto Group LLC	Electric Vehicles - Rebate, Clean Transportation	8,800
Village of Port Washington North	CLEANER GREENER COMMUNITIES, Communities & Local Government	5,000
Village of Sodus	CLEANER GREENER COMMUNITIES, Communities & Local Government	5,000
Waite Motor Sales Inc	Electric Vehicles - Rebate, Clean Transportation	8,800
Warren/Hamilton Counties ACEO	Home Perf w Energy Star, Single Family Residential	37,897
Wayne County Action Program	Home Perf w Energy Star, Single Family Residential	9,644
West Herr Chevrolet Inc	Electric Vehicles - Rebate, Clean Transportation	5,100
West Herr Ford of Amherst LLC	Electric Vehicles - Rebate, Clean Transportation	8,800
West Herr Imports LLC	Clean Transportation	1,100
	Electric Vehicles - Rebate, Clean Transportation	28,600
West Nyack Motor Cars LLC	Clean Transportation	8,500
	Electric Vehicles - Rebate, Clean Transportation	78,200
Westhab, Inc.	NEW YORK ENERGY STAR HOMES, RES-NewConst(no longer in use)	8,000
Whiteman Chevrolet Inc	Electric Vehicles - Rebate, Clean Transportation	9,100
Willie Oxendine	Home Perf w Energy Star, Single Family Residential	9,124
Wisconsin Energy Conservation Corp	>200KW PV, NY-Sun	22,560
	>200KW PV, Single Family Residential	4,480
	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family Re..	152,484
	GJGNY REVOLVING LOAN FUND, Single Family Residential	228,230
	Home Perf w Energy Star, Single Family Residential	3,408,807
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	56
	Solar Thermal, Renewable Heating & Cooling	6,470
Wise Home Energy, LLC	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family Re..	288
	EMPOWER NY, Single Family Residential	4,169
	Home Perf w Energy Star, Single Family Residential	383,857
Woodbridge Construction Inc.	Home Perf w Energy Star, Single Family Residential	28,494
Woodstone Custom Homes, Inc.	Low Rise New Construction, New Construction	5,000
WS Healey Chevrolet Buick Inc.	Electric Vehicles - Rebate, Clean Transportation	13,400
Wyoming Nursing Facility	CLEANER GREENER COMMUNITIES, Communities & Local Government	5,000
Yale Robbins Publications, LLC	COMBINED HEAT AND POWER, Consumer Serv & Events Managem	4,729
	POLICY DEVELOPMENT, Consumer Serv & Events Managem	2,500
Zenner and Ritter Inc.	EMPOWER NY, Single Family Residential	9,419
	Home Perf w Energy Star, Single Family Residential	12,191

**Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation**  
Period 4/1/2017 through 9/30/2017

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
Zenner and Ritter Inc.	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	500
Zerodraft of CNY - Syracuse	EMPOWER NY, Single Family Residential	255
	Home Perf w Energy Star, Single Family Residential	260,528
<b>Grand Total</b>		<b>49,668,043</b>

NYSERDA  
Public Authority Law Report  
April 1, 2017 to September 30, 2017

Section Break

**Contracts Executed**  
**Period 4/1/2017 through 9/30/2017**

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Second Street Enterprise Inc.	5/4/2017	FUEL NY, PGI00265 - Second Street Enter	82,950
5 Hanover Square NY Owner LLC	8/11/2017	Flexible Tech Assistance, FlexTech Program - Pon 1746	28,200
110 Petroleum Corp	5/4/2017	FUEL NY, PGI00278 - 110 Petroleum Corp	68,400
Centereach Fuel	5/4/2017	FUEL NY, PGI00297 - Centereach Fuel	17,708
Chris's Service Center	5/25/2017	FUEL NY, PGI00276 - Chris's Service Cen	66,900
Duplex Inc	5/4/2017	FUEL NY, PGI00301 - Duplex Inc.	18,691
Lakegrove Mart Inc	5/4/2017	FUEL NY, PGI00298 - Lakegrove Mart Inc	18,777
Mukti 166 Petroleum Inc	4/28/2017	FUEL NY, PGI00287 - Mukti 166 Petroleum	84,850
TROPICANA MART INC	5/11/2017	FUEL NY, PGI00249 - Tropicana Mart Inc.	21,015
3M Company	8/7/2017	Industrial Process Effic, Industrial Process Efficiency	148,578
7-Eleven Inc.	5/23/2017	FUEL NY, PGI00234 - 7-Eleven Inc.	35,700
139 East 56th Street Landlord, LLC	8/18/2017	Commercial New Construc, NCP15062 - 139 E 56th St	79,308
150 Charles St. Holdings, LLC	4/26/2017	NEW CONSTRUCTION PROGRAM, NCP10793 - 150 Charles	203,368
171 Carleton Ave Energy Inc	4/14/2017	FUEL NY, PGI00116 - 171 Carleton Avenu	34,824
205 Wolf Holdings, LLC	4/5/2017	NYSERDA ADMINISTRATION, 2017 NYSERDA All-Staff Mtg	910
	6/27/2017	NYSERDA ADMINISTRATION, 6/27/17 NYSERDA All-Staff Mtg	6,103
985 Bruckner Boulevard	5/22/2017	Multifam New Construction, MFNCP PHI T3-985 Bruckner Blvd	300,000
1185 Straight Path Corp.	8/11/2017	FUEL NY, PGI00026 - 1185 Straight Path	11,746
ABB, Incorporated	5/15/2017	DER Integration(Intrcnct), PON 3404 DER Integration	189,105
Abt Associates Inc.	8/23/2017	ENVIRONMENTAL RESEARCH, Flex Energy Tech Analysis 2	144,413
	9/13/2017	ENVIRONMENTAL RESEARCH, Environmental Res. Outreach	250,000
Abundant Solar Power Inc.	7/18/2017	>200KW PV, NY Sun	567,802
	8/2/2017	>200KW PV, NY Sun	439,350
	8/3/2017	>200KW PV, NY Sun	414,870
	8/7/2017	>200KW PV, NY Sun	1,574,955
Access Supports for Living Inc.	9/29/2017	Low Rise New Construction, New Construction	137,200
Accord Power, Inc.	6/6/2017	<200KW PV, NY Sun	74,060
	6/9/2017	<200KW PV, NY Sun	34,034
	7/20/2017	<200KW PV, NY Sun	25,200
	8/1/2017	<200KW PV, NY Sun	48,140
	9/13/2017	>200KW PV, NY Sun	559,705
ACE Solar LLC	4/26/2017	<200KW PV, NY Sun	230
ACM Medical Laboratory, Inc.	4/4/2017	>200KW PV, NY Sun	193,402
Active Solar Development, LLC	4/12/2017	<200KW PV, NY Sun	15,220
	6/5/2017	<200KW PV, NY Sun	56,408
	6/6/2017	<200KW PV, NY Sun	169,224
	6/7/2017	<200KW PV, NY Sun	225,632
	6/12/2017	<200KW PV, NY Sun	169,224
	6/21/2017	<200KW PV, NY Sun	20,300
	7/3/2017	<200KW PV, NY Sun	15,600
	7/6/2017	<200KW PV, NY Sun	65,000
	7/31/2017	<200KW PV, NY Sun	9,100
	8/7/2017	>200KW PV, NY Sun	82,759
	8/10/2017	<200KW PV, NY Sun	480
	9/20/2017	<200KW PV, NY Sun	65,000
Adam C. Boese	4/11/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	12,500
	4/14/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	5/1/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	5/9/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
	5/17/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	5/19/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	6/8/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	7,500
	6/13/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	6/22/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	7/19/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	15,000
	7/21/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	7,500



**Contracts Executed**  
**Period 4/1/2017 through 9/30/2017**

<b>Contractor</b>	<b>Date Encumbered</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>Adam C. Boese</b>	7/28/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	8/10/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	10,000
	8/29/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	26,000
	8/31/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	12,500
	9/7/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	3,500
	9/13/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
	9/15/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
	9/19/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
	9/26/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	9/29/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	18,500
	<b>Adirondack Center for Loon</b>	6/6/2017	ENVIRONMENTAL RESEARCH, Loons: monitor biotic mercury
<b>ADM Associates, Inc.,</b>	5/31/2017	EVALUATION, ADM Associates Inc. TWO	193,200
		Industrial Process Effic, ADM Associates Inc. TWO	36,800
<b>ADP, Inc.</b>	4/26/2017	NYSERDA ADMINISTRATION, 2016 ACA Reporting	2,500
	6/5/2017	NYSERDA ADMINISTRATION, ADP Payroll and HR Svcs 2017	180,521
<b>Adviser Compliance Associates, LLC</b>	9/27/2017	NEW YORK GREEN BANK, ACA Compliance Assessment	49,000
<b>AECOM Technical Services Inc.</b>	8/3/2017	WEST VALLEY DEVELOPMENT PROGRAM, Environmental M..	456,942
<b>Aegis Energy Services Inc.</b>	6/7/2017	COMBINED HEAT AND POWER, CHPA - The Buchanan	171,000
<b>AEP Onsite Partners, LLC</b>	4/18/2017	NY-SUN, PV System @ Camden Central Sch	974,616
		NY-SUN, PV System @ Madison County	974,616
<b>AES Holland Solar, LLC</b>	9/29/2017	NY-SUN, NY-Sun C&I	103,142
<b>Affordable Comfort, Inc.</b>	4/27/2017	Home Perf w Energy Star, 2018 NY Regional Home Perf Con	45,000
		Low Rise New Construction, 2018 NY Regional Home Perf Con	2,500
		Multifam New Construction, 2018 NY Regional Home Perf Con	2,500
<b>AHOLD USA INC</b>	7/3/2017	Commercial New Construc, NCP16010 - Stop & Shop Mahopac	27,282
<b>Airport Enterprises Inc</b>	5/11/2017	FUEL NY, PGI00292 - Airport Enterprises	77,800
<b>AKF-engineers</b>	4/27/2017	Flexible Tech Assistance, FlexTech Consultants Statewide	16,000
<b>Albany County Sewer District</b>	7/20/2017	OTHER PROGRAM AREA, Renewable Optimz Energy Storge	50,000
<b>Albany Solar Solutions L.L.C.</b>	7/31/2017	<200KW PV, NY Sun	5,856
	9/15/2017	<200KW PV, NY Sun	15,200
	9/18/2017	<200KW PV, NY Sun	5,856
<b>Albert Einstein College of Medicine Inc.</b>	6/22/2017	Flexible Tech Assistance, FlexTech Program - Pon 1746	33,523
<b>Albireo Energy, LLC</b>	7/7/2017	Real Time Enrgy Management, 1 Dag Hammarskjold Plaza-RT..	78,120
	7/19/2017	Real Time Enrgy Management, Cushman/Wakefield-RTEM	93,023
	7/20/2017	Real Time Enrgy Management, Signature Theatre - RTEM	23,235
<b>AlienVault, Inc.</b>	9/12/2017	Security Internet Events Mgt.	48,356
<b>Allen Operating Company LLC</b>	6/29/2017	Flexible Tech Assistance, FlexTech Program - Pon 1746	8,703
<b>Allen Power, Inc.</b>	4/7/2017	SMART GRID SYSTEMS, RFP 3044 R2	993,819
<b>Alliance Energy LLC</b>	5/24/2017	FUEL NY, PGI00153 - Alliance Energy LLC	68,171
	8/9/2017	FUEL NY, PGI00157 - Alliance Energy LLC	24,676
	8/11/2017	FUEL NY, PGI00035 - Alliance Energy LLC	19,770
		FUEL NY, PGI00101 - Alliance Energy LLC	20,019
		FUEL NY, PGI00155 - Alliance Energy LLC	26,995
<b>Alliance for Sustainable Energy, LLC</b>	6/30/2017	ADVANCED BUILDINGS, Advanced Buildings Technology	223,587
<b>Alternative Power Solutions of NY, LLC</b>	4/3/2017	<200KW PV, NY Sun	10,000
	4/5/2017	<200KW PV, NY Sun	5,376
		<200KW PV, NY-Sun	5,936
	4/10/2017	<200KW PV, NY Sun	5,440
	4/18/2017	<200KW PV, NY Sun	7,344
	4/26/2017	<200KW PV, NY Sun	7,752
	5/12/2017	<200KW PV, NY-Sun	7,024
	5/22/2017	<200KW PV, NY Sun	7,680
	6/20/2017	<200KW PV, NY Sun	8,160
	7/10/2017	<200KW PV, NY Sun	6,272
	8/1/2017	<200KW PV, NY Sun	6,240
	8/4/2017	<200KW PV, NY Sun	6,240

## Contracts Executed

Period 4/1/2017 through 9/30/2017

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Alternative Power Solutions of NY, LLC	8/25/2017	<200KW PV, NY Sun	6,528
	9/4/2017	<200KW PV, NY Sun	5,712
	9/22/2017	<200KW PV, NY Sun	272
	9/27/2017	<200KW PV, NY Sun	16,592
Altus Power America, Inc	4/17/2017	>200KW PV, NY Sun	527,368
Amberjack Solar LLC	4/4/2017	>200KW PV, NY Sun	845,093
Amergy Solar Inc.	8/28/2017	<200KW PV, NY Sun	6,773
	9/19/2017	<200KW PV, NY Sun	49,020
		<200KW PV, NY-Sun	8,698
American Council for an Energy Efficient	7/20/2017	Subscription/Data Access, Market Insights	12,500
	7/26/2017	Prof & Expert Engagement, 2017 ACEEE Ally Program	10,000
American Energy Care, Inc.	4/4/2017	<200KW PV, NY Sun	6,496
	4/10/2017	<200KW PV, NY-Sun	7,104
	4/14/2017	<200KW PV, NY-Sun	7,216
	5/1/2017	<200KW PV, NY-Sun	6,096
	5/4/2017	<200KW PV, NY-Sun	8,448
	5/16/2017	<200KW PV, NY Sun	5,152
	6/21/2017	<200KW PV, NY-Sun	5,760
	6/22/2017	<200KW PV, NY-Sun	5,536
	6/26/2017	<200KW PV, NY-Sun	6,880
	6/28/2017	<200KW PV, NY Sun	72
	7/3/2017	<200KW PV, NY-Sun	6,400
	7/13/2017	<200KW PV, NY-Sun	5,088
	8/3/2017	<200KW PV, NY-Sun	6,432
	8/17/2017	<200KW PV, NY-Sun	6,208
	8/31/2017	<200KW PV, NY-Sun	6,880
American Packaging Corp.	6/1/2017	Commercial New Construc, NCP15059 - American Packaging	130,267
American Solar Partners, LLC	6/5/2017	<200KW PV, NY Sun	60,344
Ampersand Tannery Island Hydro, LLC	7/26/2017	REC:CES REC Contracts, 11th Main Tier Solicitation	154,375
Amphora Consulting	7/3/2017	NYSERDA ADMINISTRATION, Energy Efficiency Markets	50,000
Andrew Kessler	7/6/2017	NEW YORK GREEN BANK, Transaction Support	50,000
Antares Group, Inc.	5/19/2017	Industrial Process Effic, Technical Review and Program S	6,501
		INDUSTRIAL PROCESS EFFICIENCY, Technical Review and ..	1,307
	6/14/2017	Industrial Process Effic, Technical Review and Program S	6,990
	7/28/2017	Geothermal Incentive Program, Technical Review and Program S	115,821
	8/14/2017	Commercial Imp Assist, Technical Review and Program S	3,532
	9/1/2017	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and ..	2,719
Apex Solar Power LLC	4/5/2017	<200KW PV, NY Sun	1,320
	4/14/2017	<200KW PV, NY Sun	5,610
	4/18/2017	<200KW PV, NY Sun	9,240
	4/19/2017	<200KW PV, NY Sun	3,840
	4/20/2017	<200KW PV, NY-Sun	5,280
	5/4/2017	<200KW PV, NY Sun	5,632
		<200KW PV, NY-Sun	5,280
	5/8/2017	<200KW PV, NY-Sun	5,700
	5/9/2017	<200KW PV, NY-Sun	5,150
	5/30/2017	<200KW PV, NY-Sun	5,150
	6/6/2017	<200KW PV, NY Sun	24,383
	6/14/2017	<200KW PV, NY Sun	7,700
	6/16/2017	<200KW PV, NY Sun	2,510
	6/20/2017	<200KW PV, NY Sun	6,986
	6/21/2017	<200KW PV, NY-Sun	5,520
	6/23/2017	<200KW PV, NY Sun	5,949
	6/29/2017	<200KW PV, NY Sun	8,840
	7/11/2017	<200KW PV, NY Sun	7,260
	7/13/2017	<200KW PV, NY Sun	5,940

**Contracts Executed**  
 Period 4/1/2017 through 9/30/2017

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Apex Solar Power LLC	7/13/2017	<200KW PV, NY-Sun	2,851
	7/17/2017	<200KW PV, NY Sun	5,060
	7/20/2017	<200KW PV, NY Sun	5,400
	8/14/2017	<200KW PV, NY Sun	5,500
	8/15/2017	<200KW PV, NY Sun	6,360
	8/18/2017	<200KW PV, NY Sun	1,307
	8/23/2017	<200KW PV, NY Sun	15,078
		<200KW PV, NY-Sun	6,420
	8/24/2017	<200KW PV, NY Sun	8,360
	9/4/2017	<200KW PV, NY Sun	5,628
	9/27/2017	<200KW PV, NY Sun	6,240
9/28/2017	<200KW PV, NY Sun	1,021	
Applied Energy Group, Inc.	6/30/2017	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALI..	500,000
Apprise, Incorporated	4/13/2017	On-Site Energy Manager, RFQ 3183 Apprise Incorporated	67,487
		Strategic Energy Manager, RFQ 3183 Apprise Incorporated	67,487
APX Inc.	8/30/2017	REC:CES REC System Dev Costs, NYGATS	164,125
		ZEC:CES ZEC System Dev Costs, NYGATS	164,125
Arab Banking Corporation B.S.C.	8/8/2017	Industrial Process Effic, Industrial Process Efficiency	16,835
Arcadis of New York, Inc.	4/17/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	10,000
	4/18/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	5/1/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	5/2/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	7,500
	5/5/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	5/9/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	5/19/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	5/24/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	5/31/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	6,956
	6/8/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
7/28/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
Arcadis U.S., Inc.	4/11/2017	Industrial Process Effic, Technical Review and Program S	45,884
	6/14/2017	EXISTING FACILITIES, Technical Review and Program S	93,119
	7/12/2017	Industrial Process Effic, Technical Review and Program S	2,910
	8/25/2017	Commercial New Construc, Technical Review and Program S	30,000
	Industrial Process Effic, Technical Review and Program S	11,939	
	NEW CONSTRUCTION PROGRAM, Technical Review and Pro..	170,000	
Arch Street Communications, Inc.	5/5/2017	NYSERDA ADMINISTRATION, Marketing Support for NYSERDA	8,000
	6/15/2017	Clean Energy Communities, Marketing Support for NYSERDA	533,000
ARJ Gas N Mart Inc.	5/18/2017	FUEL NY, PGI00241 - ARJ Gas N Mart Inc.	12,985
Arnold & Porter Kaye Scholer LLP	7/17/2017	WEST VALLEY DEVELOPMENT PROGRAM, RFP 3300 Outsid..	50,000
Astrum Solar, Inc.	5/1/2017	<200KW PV, NY Sun	6,742
		<200KW PV, NY-Sun	5,424
	6/15/2017	<200KW PV, NY Sun	6,360
	7/19/2017	<200KW PV, NY Sun	5,280
	7/27/2017	<200KW PV, NY Sun	6,380
9/21/2017	<200KW PV, NY Sun	108,838	
Atlas Public Policy	6/5/2017	OTHER PROGRAM AREA, EVaulateNY support	18,313
Aviator Way Solar, LLC	5/24/2017	>200KW PV, NY Sun	845,093
AWS Truepower	9/8/2017	Off-Shore Wind Pre-Dev Act, RFP 3462	58,500
B & W Sound Services, Inc.	6/30/2017	OTHER PROGRAM AREA, A/V service for 76West Event	11,950
Baldwin Real Estate Development, Corp.	7/19/2017	Low Rise New Construction, New Construction	78,600
Battelle Memorial Institute	8/1/2017	ENERGY ANALYSIS, Code Enable: NYStretch-Energy	99,365
Bausch & Lomb	7/27/2017	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Effici..	123,409
BDO USA LLP	5/18/2017	NEW YORK GREEN BANK, Background Investigation Servi	9,350
Benchmark Printing, Inc.	5/10/2017	OTHER PROGRAM AREA, Printing Services - EV Rebate	24,500
Bergmann Associates	4/14/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	4,870
	4/17/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500

**Contracts Executed**  
**Period 4/1/2017 through 9/30/2017**

<b>Contractor</b>	<b>Date Encumbered</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>Bergmann Associates</b>	4/18/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
		Industrial Process Effic, Technical Review and Program S	5,650
	4/21/2017	Flexible Tech Assistance, FlexTech Consultant Selection	10,088
	5/2/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,700
	5/9/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
		Industrial Process Effic, Technical Review and Program S	7,900
	5/15/2017	RENEWABLE HEAT NY, Technical Review and Program S	2,400
	5/19/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	5/24/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	6/7/2017	Industrial Process Effic, Technical Review and Program S	28,120
	6/22/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	1,150
		Flexible Tech Assistance, FlexTech Consultant Selection	7,195
	6/30/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	7/7/2017	RENEWABLE HEAT NY, Technical Review and Program S	2,400
	7/19/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	7/26/2017	Commercial Imp Assist, Technical Review and Program S	4,300
	7/28/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
		Commercial Imp Assist, Technical Review and Program S	10,000
	7/31/2017	EXISTING FACILITIES, Technical Review and Program S	2,470
	8/25/2017	Industrial Process Effic, Technical Review and Program S	25,250
8/29/2017	Industrial Process Effic, Technical Review and Program S	29,000	
8/31/2017	RENEWABLE HEAT NY, Technical Review and Program S	2,600	
<b>Best Buy Store, L.P.</b>	5/3/2017	NYSERDA ADMINISTRATION, Plotter Printer - West Valley	5,598
<b>Best Energy Power</b>	5/10/2017	<200KW PV, NY Sun	47,523
	5/12/2017	<200KW PV, NY Sun	36,494
	6/5/2017	<200KW PV, NY Sun	209,776
	7/13/2017	<200KW PV, NY Sun	15,477
	9/11/2017	<200KW PV, NY Sun	31,423
	9/12/2017	<200KW PV, NY Sun	466,186
	9/15/2017	<200KW PV, NY Sun	748,092
<b>Bhavishya Gas Inc</b>	6/5/2017	FUEL NY, PGI00268 - Bhavishya Gas Inc.	67,400
<b>BHP Energy LLC</b>	8/2/2017	COMBINED HEAT AND POWER, CHPA - Corning Innovation S..	1,425,000
	9/14/2017	COMBINED HEAT AND POWER, CHPA - Bouck Pool Building ..	193,050
<b>Binghamton University</b>	7/21/2017	NEW CONSTRUCTION PROGRAM, NCP13089 - School of Ph..	162,994
<b>Black River Hydroelectric, LLC</b>	7/26/2017	REC:CES REC Contracts, 11th Main Tier Solicitation	9,258,795
<b>Blue Heron Trail I Housing Developmen..</b>	4/5/2017	Low Rise New Construction, New Construction	70,200
<b>Blue Sea Development Company, LLC</b>	7/14/2017	COMMUNITY SOLAR, Affordable Solar Predevelopmen	83,000
<b>Bogart Solar, LLC</b>	4/4/2017	>200KW PV, NY Sun	992,984
<b>Bolla EM Realty LLC</b>	9/26/2017	FUEL NY, PGI00144 - Bolla EM Realty LLC	27,220
<b>Bolla Operating Corp.</b>	4/24/2017	FUEL NY, PGI00083 - Bolla Operating Cor	66,556
	8/11/2017	FUEL NY, PGI00141 - Bolla Operating Cor	14,734
	9/26/2017	FUEL NY, PGI00037 - Bolla Operating Cor	27,178
		FUEL NY, PGI00096 - Bolla Operating Cor	35,572
<b>Bolla Operating LI Corp.</b>	4/24/2017	FUEL NY, PGI00033 - Bolla Operating LI	75,676
		FUEL NY, PGI00143 - Bolla Operating LI	69,911
	6/12/2017	FUEL NY, PGI00098 - Bolla Operating LI	1,905
	7/26/2017	FUEL NY, PGI00043 - Bolla Operating LI	1,815
<b>Bond, Schoeneck &amp; King, PLLC</b>	8/17/2017	Clean Energy Communities, RFP 3300 Outside Counsel Servi	5,000
		CLEAN TRANSPORTATION, RFP 3300 Outside Counsel Servi	5,000
<b>Booz Allen Hamilton, Inc.</b>	5/18/2017	OTHER PROGRAM AREA, RFP 3044 R2	999,977
<b>Borrego Solar Systems, Inc.</b>	4/4/2017	>200KW PV, NY Sun	3,774,251
	4/17/2017	>200KW PV, NY Sun	73,631
	8/18/2017	>200KW PV, NY Sun	1,364,413
	8/22/2017	>200KW PV, NY Sun	454,804
<b>Brenner Builders</b>	5/17/2017	Low Rise New Construction, New Construction	5,000
<b>Bridge Land Vestry LLC</b>	5/26/2017	NEW CONSTRUCTION PROGRAM, NCP12093 - 268 West Str..	208,784

**Contracts Executed**  
 Period 4/1/2017 through 9/30/2017

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Bright Power, Inc.	4/10/2017	<200KW PV, NY Sun	86,719
	4/13/2017	<200KW PV, NY Sun	94,000
	6/5/2017	<200KW PV, NY Sun	88,127
	6/21/2017	<200KW PV, NY Sun	38,420
	7/13/2017	<200KW PV, NY Sun	60,133
	7/17/2017	<200KW PV, NY Sun	38,116
	8/4/2017	<200KW PV, NY Sun	536
	8/11/2017	Flexible Tech Assistance, FlexTech Consultant Selection	15,390
	8/24/2017	<200KW PV, NY Sun	8,181
	8/30/2017	<200KW PV, NY Sun	81,836
	9/18/2017	<200KW PV, NY Sun	60,912
	9/19/2017	<200KW PV, NY Sun	7,560
	9/20/2017	<200KW PV, NY Sun	36,476
	9/29/2017	Flexible Tech Assistance, FlexTech Consultant Selection	30,895
Brookfield District Energy Microgrid LLC	9/11/2017	SMART GRID SYSTEMS, RFP 3044 R2	994,000
Brookhaven National Lab	8/16/2017	ENVIRONMENTAL RESEARCH, Technical Assistance	450,000
		OTHER PROGRAM AREA, Technical Assistance	100,000
	8/29/2017	HEX Beam Line	10,000,000
		OTHER PROGRAM AREA, HEX Beam Line	0
Brooklyn Solar One LLC	9/14/2017	>200KW PV, NY Sun	303,210
Brooklyn Solar Two LLC	9/14/2017	>200KW PV, NY Sun	547,570
Brooklyn SolarWorks LLC	4/12/2017	<200KW PV, NY Sun	6,496
	6/5/2017	<200KW PV, NY Sun	8,820
Broome Community College	5/10/2017	REV CAMPUS CHALLENGE, REV Campus Challenge	1,000,000
BTMI Engineering, PC	5/5/2017	Off-Shore Wind Pre-Dev Act, RFP 3462	126,500
	6/30/2017	Off-Shore Wind Pre-Dev Act, RFP 3462	30,000
	8/23/2017	Off-Shore Wind Pre-Dev Act, RFP 3462	30,000
Buckley Road East Solar 1, LLC	8/21/2017	>200KW PV, NY-Sun C&I	597,701
Buckley Road West Solar 1, LLC	8/11/2017	>200KW PV, NY-Sun C&I	597,701
Buffalo Niagara Medical Campus, Inc.	4/13/2017	SMART GRID SYSTEMS, RFP 3044 R2	807,500
	8/7/2017	CLEAN TRANSPORTATION, Buffalo Smart Corridor Plan	74,859
Buffalo Renewables, Inc.	5/10/2017	SMALL WIND, Wind Turbine Incentive	35,000
	5/24/2017	SMALL WIND, Wind Turbine Incentive	166,800
Buffalo Solar Solutions Inc	4/5/2017	<200KW PV, NY Sun	5,520
	4/12/2017	<200KW PV, NY Sun	5,304
	5/1/2017	<200KW PV, NY Sun	10,000
	6/13/2017	<200KW PV, NY Sun	5,640
	7/24/2017	<200KW PV, NY Sun	5,640
	7/25/2017	<200KW PV, NY Sun	7,560
	8/7/2017	<200KW PV, NY Sun	13,284
	8/16/2017	<200KW PV, NY Sun	5,360
	8/22/2017	<200KW PV, NY Sun	5,400
	9/27/2017	<200KW PV, NY Sun	6,240
	Built Well Solar Corp	9/11/2017	<200KW PV, NY Sun
Buselli Plumbing & Heating	6/13/2017	<200KW PV, NY Sun	10,000
	7/3/2017	<200KW PV, NY Sun	6,000
Business Environments	6/1/2017	NYSERDA Administration	29,952
C.J. Brown Energy, P.C.	4/11/2017	Flexible Tech Assistance, FlexTech Consultant Selection	841
	4/18/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	5/1/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	5/2/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	5/9/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
	5/19/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	5/25/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	5/31/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	10,123
	6/1/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	3,498

**Contracts Executed**  
 Period 4/1/2017 through 9/30/2017

Contractor	Date Encumbered	Contract Description	Total Contract Amount
C.J. Brown Energy, P.C.	6/2/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	3,498
	6/8/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	6/13/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	1,603
	6/30/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
	7/19/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	7/28/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
	8/10/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
	8/29/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
	8/31/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	9/20/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
C.T. Male Associates Engineering,	8/14/2017	Industrial Process Effic, Technical Review and Program S	9,617
Callanan Industries	5/11/2017	Industrial Process Effic, Industrial Proces Efficiency	26,091
Calliope Solar, LLC	4/5/2017	>200KW PV, NY Sun	845,093
Calstart	8/25/2017	CLEAN TRANSPORTATION, Implementation contractor for	300,000
Candlewyck Associates LLC	9/22/2017	Multifam Performance Pgm, Candlewyk Apartments	14,400
Candor Central School	7/18/2017	>200KW PV, NY Sun	22,759
Capital District Regional Planning Com..	6/20/2017	CGC53356 - CDRPC	110,000
Carahsoft Technology Corporation	9/25/2017	EVALUATION, Performance Management	34,000
Carlisle Construction Materials	6/1/2017	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Effic..	132,195
CDH Energy Corporation	4/11/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	3,500
	4/18/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	7,500
	4/21/2017	Industrial Process Effic, Technical Review and Program S	5,540
	5/2/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	5/3/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	5/11/2017	EVALUATION, Technical Review and Program S	86,240
	5/19/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	5/24/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	6/8/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	6/22/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	7/7/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	7/19/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	7/21/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	7/27/2017	Geothermal Incentive Program, Technical Review and Program S	124,370
	7/28/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	10,435
	8/10/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	15,000
	8/29/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	7,500
	8/31/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
CDM Smith, Inc.	8/14/2017	Industrial Process Effic, Technical Review and Program S	3,949
CDS Monarch Inc	7/25/2017	Low Rise New Construction, New Construction	51,000
	8/7/2017	Low Rise New Construction, New Construction	78,600
CEC Solar #1201, LLC	6/9/2017	>200KW PV, NY Sun	651,990
CEC Stuyvesant Cove, Inc.	7/6/2017	NY-SUN, Affordable Solar Predevelopmen	132,995
Center for Internet Security Inc	8/28/2017	NYSERDA ADMINISTRATION, Information Security Malicious	7,440
Centerstate Corporation for	7/20/2017	Cleantech Startup Growth, PON3413 Clean Energy Incubator	1,500,000
Central New York Regional Planning and	7/6/2017	SMART GRID SYSTEMS, RFP 3044 R2	999,140
CHA Consulting Inc.	4/11/2017	Industrial Process Effic, Technical Review and Program S	110,000
	4/13/2017	COMBINED HEAT AND POWER, Technical Review and Progra..	225,828
	4/14/2017	Industrial Process Effic, Technical Review and Program S	25,800
	5/15/2017	RENEWABLE HEAT NY, Technical Review and Program S	2,200
	5/17/2017	>200KW PV, SEQR Services	50,000
	7/19/2017	Industrial Process Effic, Technical Review and Program S	88,600
	7/20/2017	Industrial Process Effic, Technical Review and Program S	30,600
	7/28/2017	Flexible Tech Assistance, Technical Review and Program S	50,000
		INDUSTRIAL PROCESS EFFICIENCY, Technical Review and ..	9,100
	8/25/2017	Flexible Tech Assistance, FlexTech Consultant CHA	25,400
8/29/2017	EXISTING FACILITIES, Technical Review and Program S	62,500	

**Contracts Executed**  
 Period 4/1/2017 through 9/30/2017

Contractor	Date Encumbered	Contract Description	Total Contract Amount
CHA Consulting Inc.	8/31/2017	RENEWABLE HEAT NY, Technical Review and Program S	2,200
	9/1/2017	Flexible Tech Assistance, FlexTech Consultant CHA	11,500
	9/21/2017	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and ..	1,800
Charles Settlement House, Inc.	8/7/2017	Low Rise New Construction, New Construction	54,000
Chenango Contracting, Inc.	6/27/2017	WEST VALLEY DEVELOPMENT PROGRAM, RFP 3456	988,102
CIR ELECTRICAL CONSTRUCTION CORP.	4/3/2017	<200KW PV, NY Sun	5,360
	4/6/2017	<200KW PV, NY Sun	104
	5/9/2017	<200KW PV, NY Sun	14,472
	5/22/2017	<200KW PV, NY Sun	10,000
	5/25/2017	<200KW PV, NY Sun	5,360
	6/5/2017	<200KW PV, NY Sun	5,280
	6/9/2017	<200KW PV, NY Sun	7,772
	6/20/2017	<200KW PV, NY Sun	6,000
	7/28/2017	<200KW PV, NY Sun	5,200
	7/31/2017	<200KW PV, NY-Sun	6,616
	8/14/2017	<200KW PV, NY-Sun	5,088
	8/18/2017	<200KW PV, NY Sun	7,524
	8/29/2017	<200KW PV, NY Sun	5,440
	9/7/2017	<200KW PV, NY Sun	8,160
Citigroup Technology, Inc.	4/10/2017	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Program - PO..	68,000
	7/7/2017	COMBINED HEAT AND POWER, CHPA - 390 Greenwich St	2,500,000
Citizens Enterprises Corporation	7/18/2017	>200KW PV, NY Sun	875,120
	7/21/2017	>200KW PV, NY Sun	875,120
City of Binghamton	7/6/2017	SMART GRID SYSTEMS, RFP 3044 R2	995,649
Claire Weisz Architects	9/13/2017	Optimizing the Curb	145,009
Clean Energy States Alliance	5/5/2017	ENERGY ANALYSIS, Coordination of USDOE Grant	40,000
	6/20/2017	Prof & Expert Engagement, CESA Membership Dues 2017/2018	60,000
CLEAResult Consulting, Inc.	4/5/2017	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Pr..	40,001
		Home Perf w Energy Star, Program Implementation Service	1,410,764
		HOME PERFORMANCE WITH ENERGY STAR, Program Imple..	60,000
	5/9/2017	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Ce..	12,867
		EMPOWER NY, Centralized Services & Support	61,761
		Home Perf w Energy Star, Centralized Services & Support	936,708
		HOME PERFORMANCE WITH ENERGY STAR, Centralized Se..	18,014
	6/6/2017	Geothermal Incentive Program, Centralized Services & Support	98,115
	6/23/2017	Home Perf w Energy Star, Empower QA Services	299,955
	6/27/2017	Low Rise New Construction, Centralized Services & Support	125,000
		Multifam New Construction, Centralized Services & Support	100,000
		NEW YORK ENERGY STAR HOMES, Centralized Services & S..	49,957
	6/30/2017	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Pr..	6,500
		Home Perf w Energy Star, Program Implementation Service	622,469
HOME PERFORMANCE WITH ENERGY STAR, Program Imple..		8,500	
7/26/2017	>200KW PV, Centralized Services & Support	173,036	
8/4/2017	Underutilized Products, Centralized Services & Support	111,948	
Clifton Park LF Solar LLC	8/21/2017	NY-SUN, PV System @ Town of Clifton Pa	294,181
Clinton County Chapter NYSARC, Inc.	8/7/2017	Low Rise New Construction, New Construction	41,000
CNY Solar, Inc.	4/6/2017	<200KW PV, NY-Sun	6,096
	5/1/2017	<200KW PV, NY Sun	16,016
		<200KW PV, NY-Sun	6,624
	5/10/2017	<200KW PV, NY Sun	6,144
	6/15/2017	<200KW PV, NY Sun	5,120
		<200KW PV, NY-Sun	5,344
	7/13/2017	<200KW PV, NY Sun	7,020
	8/1/2017	<200KW PV, NY Sun	352
	8/16/2017	<200KW PV, NY Sun	80
	8/21/2017	<200KW PV, NY Sun	6,240

## Contracts Executed

Period 4/1/2017 through 9/30/2017

Contractor	Date Encumbered	Contract Description	Total Contract Amount
CNY Solar, Inc.	9/18/2017	<200KW PV, NY Sun	6,240
	9/19/2017	<200KW PV, NY Sun	29,863
Code Green Solutions, Inc.	8/2/2017	Real Time Enrgy Management, Hines Hold-155 Ave of Ame-RT..	31,377
		Real Time Enrgy Management, Hines Hold-200 Hudson St-RTE..	22,057
Cogen Power Technologies LLC	4/5/2017	SMART GRID SYSTEMS, RFP 3044 R2	990,000
Cogeneration Contractors, Inc.	6/9/2017	COMBINED HEAT AND POWER, CHPA - 1049 Fifth Avenue C..	364,238
	6/13/2017	COMBINED HEAT AND POWER, CHPA - Compass Residence..	117,000
		COMBINED HEAT AND POWER, CHPA - Compass Residence..	117,000
		COMBINED HEAT AND POWER, CHPA - Five Pointz Towers	447,200
	6/27/2017	COMBINED HEAT AND POWER, CHPA - Fresh Direct	1,350,000
	9/22/2017	COMBINED HEAT AND POWER, CHPA - NYU 370 Jay Street	1,485,000
Cohen Ventures Inc	9/26/2017	Underutilized Products, FlexTech Consultant Selection	105,000
Collegiate Builders	5/30/2017	<200KW PV, NY Sun	5,160
Colliers International Holdings USA, Inc	9/8/2017	Flexible Tech Assistance, Commercial	5,675
Color Methods	5/4/2017	Electric Vehicles - Innovation, 2018 Drive Clean Rebate Press	5,192
Columbia University	8/21/2017	Industrial Process Effic, Industrial Process Efficiency	57,192
Comalli Group, Inc.	8/8/2017	<200KW PV, NY Sun	4,761
Community Energy Solar, LLC	8/3/2017	>200KW PV, NY Sun	611,982
Compressed Air Challenge, Inc.	6/2/2017	Prof & Expert Engagement, Industrial Process Efficiency	7,500
Comverge Incorporated	8/24/2017	EXISTING FACILITIES, EFP2246 - Comverge - Bass Real	22,098
CON EDISON SOLUTIONS, INC.	5/24/2017	>200KW PV, NY Sun	101,105
Concur Technologies, Inc.	7/5/2017	NYSERDA ADMINISTRATION, Concur annual cost estimate	17,000
Consortium for Energy Efficiency, Inc.	6/2/2017	Prof & Expert Engagement, Industrial Process Efficiency	48,000
Control Solutions Group, Inc.	8/1/2017	NYSERDA ADMINISTRATION, Facilities Management	10,238
Cooper Union	8/29/2017	REV CAMPUS CHALLENGE, RM7 - Cooper Union University	154,000
Cornell University	4/20/2017	>200KW PV, NY Sun	516,417
	6/15/2017	OTHER PROGRAM AREA, 76West Building a Clean Energy	232,497
	7/18/2017	OTHER PROGRAM AREA, 76West Building a Clean Energy	335,472
	8/31/2017	OTHER PROGRAM AREA, 76West Building a Clean Energy	602,736
	9/13/2017	OTHER PROGRAM AREA, 76West Building a Clean Energy	23,619
Cornerstone Energy Services	8/7/2017	RENEWABLE HEAT NY, RHNY PON 3010 Incentive - Holm	10,000
	8/9/2017	RENEWABLE HEAT NY, Renewable Heating & Cooling	23,000
	8/31/2017	RENEWABLE HEAT NY, Renewable Heating & Cooling	13,495
	9/21/2017	RENEWABLE HEAT NY, Cornerstone Energy Services	10,000
	9/27/2017	RENEWABLE HEAT NY, Cornerstone Energy Services	10,000
Costanza Solar, LLC	8/3/2017	>200KW PV, NY Sun	654,947
Couch White, LLP	5/3/2017	WEST VALLEY DEVELOPMENT PROGRAM, RFP 3300 Outsid..	1,313
	7/20/2017	WEST VALLEY DEVELOPMENT PROGRAM, RFP 3300 Outsid..	5,000
County of Erie Comptrollers Office	5/5/2017	NEW CONSTRUCTION PROGRAM, NCP12832-ECCNorthCa..	81,408
CPG Distribution Corp	5/3/2017	FUEL NY, PGI00295 - CPG Distribution Co	78,600
Craig Street Limited Partnership	5/5/2017	Low Rise New Construction, New Construction	15,000
Credit Agricole CIB	4/6/2017	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Effic..	5,246
Crest Solar LLC	6/20/2017	<200KW PV, NY-Sun	6,576
Crowne Plaza Times Square Manhattan	9/6/2017	REV Connect, 2017 REV Connect '17 Conferenc	100,000
Cutone & Company Consultants, LLC	4/14/2017	Commercial Imp Assist, CIAP001 - Cutone; 200 Lex	19,522
	6/30/2017	EXISTING FACILITIES, Existing Facilities Program -	129,134
	8/7/2017	EXISTING FACILITIES, EFP3014 - Cutone Company Consu	159,787
	8/14/2017	EXISTING FACILITIES, EFP2633 - Cutone & Company	55,101
Cypress Hills Local Development Corp..	8/14/2017	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	99,962
CyrusOne	5/2/2017	Industrial Process Effic, Industrial Process Efficiency	116,727
D.L. English Consulting, Inc.	9/21/2017	ENERGY ANALYSIS, Indian Point Consultant	349,815
Danfoss Holding Security Corporation	9/13/2017	EXISTING FACILITIES, EFP2417 - Danfoss Holding Secu	29,640
Daniel J Jacob	8/30/2017	ENVIRONMENTAL RESEARCH, Sci Adv Agmt with Daniel Jac..	40,000
Darling Advertising Agency Inc.	6/21/2017	NYSERDA ADMINISTRATION, Marketing Support for NYSERDA	78,200
Dawes Solar, LLC	4/17/2017	>200KW PV, NY Sun	654,947
Dejager Solar, LLC	4/17/2017	>200KW PV, NY Sun	845,093



**Contracts Executed**  
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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Delaware River Solar, LLC	4/4/2017	>200KW PV, NY Sun	2,546,691
	4/5/2017	>200KW PV, NY Sun	3,748,475
	4/10/2017	>200KW PV, NY Sun	940,526
	4/17/2017	>200KW PV, NY Sun	3,762,106
Dell, Inc.	5/23/2017	NYSERDA ADMINISTRATION, MS Project and Visio	114,755
	6/1/2017	NYSERDA ADMINISTRATION, Dell- Upgrade IT and Buffalo	23,143
	8/18/2017	NYSERDA ADMINISTRATION, VLM-2000-KEMP-LOADBALAN..	12,026
	9/20/2017	NYSERDA ADMINISTRATION, Dell Desktops for Buffalo	12,842
DePaul Properties, Inc.	7/19/2017	Low Rise New Construction, New Construction	56,000
	9/15/2017	Low Rise New Construction, New Construction	86,000
	9/29/2017	Low Rise New Construction, New Construction	56,000
DFB Sales Inc.	6/26/2017	Black-out shades for NYC	6,325
Distributed Sun, LLC	4/10/2017	>200KW PV, NY Sun	718,334
Dithold Associates LLC	5/5/2017	NEW CONSTRUCTION PROGRAM, NCP13141 - Ditmas Park ..	36,778
DNV GL Energy Services USA Inc.	5/12/2017	ENVIRONMENTAL RESEARCH, Building-Resiliency Assessme..	177,965
Doherty Electric, LLC	4/5/2017	<200KW PV, NY Sun	7,680
	7/13/2017	<200KW PV, NY Sun	22,064
Dowd-Witbeck Printing Corp.	4/11/2017	Low-Income Forum on Energy, Printing Services	1,423
		NYSERDA ADMINISTRATION, Printing Services-MWBE	182
Downstream Construction, LLC	4/5/2017	<200KW PV, NY-Sun	7,216
Downtown Ithaca Alliance	7/20/2017	CLEAN TRANSPORTATION, Ithaca TDM/TMA Demonstration	170,636
Dynamic Energy Solutions, LLC	5/12/2017	>200KW PV, NY Sun	611,686
Earth Sensitive Solutions, LLC	8/28/2017	Campus/Technical Assistance, Auburn Heritage Center	22,300
East End Marketing Corp.	4/28/2017	FUEL NY, PGI00166 - East End Marketing	59,270
		FUEL NY, PGI00187 - East End Marketing	65,032
Eastern Energy Systems Inc.	6/7/2017	<200KW PV, NY Sun	5,803
	7/12/2017	<200KW PV, NY Sun	24,474
	8/30/2017	<200KW PV, NY Sun	8,978
Eastern Research Group, Inc.	8/15/2017	ENVIRONMENTAL RESEARCH, Environmental Outreach	250,000
Ecology and Environment Engineering, PC	5/18/2017	Off-Shore Wind Pre-Dev Act, RFP 3462	330,496
	5/25/2017	Off-Shore Wind Pre-Dev Act, RFP 3462	462,976
	6/13/2017	Off-Shore Wind Pre-Dev Act, RFP 3462	199,632
	8/15/2017	Off-Shore Wind Pre-Dev Act, RFP 3462	33,618
EcoMen Solar, LLC	6/21/2017	<200KW PV, NY Sun	14,784
	8/16/2017	<200KW PV, NY Sun	8,004
Ecovis, Inc.	4/12/2017	<200KW PV, NY Sun	6,048
	4/13/2017	<200KW PV, NY-Sun	5,280
	5/16/2017	<200KW PV, NY Sun	9,936
	6/26/2017	<200KW PV, NY Sun	5,292
	9/27/2017	<200KW PV, NY Sun	7,056
ECR Renovations Inc	5/10/2017	<200KW PV, NY Sun	6,120
Eldor Contracting Corporation	6/6/2017	<200KW PV, NY Sun	38,663
	6/7/2017	<200KW PV, NY Sun	229,857
	6/8/2017	<200KW PV, NY Sun	38,663
	6/15/2017	<200KW PV, NY Sun	87,164
	6/21/2017	<200KW PV, NY Sun	168,315
	7/6/2017	<200KW PV, NY Sun	20,230
Electric Power Research Institute	5/12/2017	ENVIRONMENTAL RESEARCH, Climate & future electric syst	299,652
	6/5/2017	High Performing Grid, PON 3397 CAT B	255,015
	6/14/2017	DER Integration(Intrcnct), PON 3404 DER Integration	399,920
	7/13/2017	DER Integration(Intrcnct), PON 3404 DER Integration	200,000
Electrical Distribution Design, Inc.	7/13/2017	DER Integration(Intrcnct), PON 3404 DER Integration	318,293
Ellsworth Solar II, LLC	4/18/2017	>200KW PV, NY Sun	1,014,112
Elmwood East Solar 1, LLC	8/11/2017	>200KW PV, NY-Sun C&I	434,770
Elmwood West Solar 1, LLC	8/11/2017	>200KW PV, NY-Sun C&I	597,701
Emacx Systems, Inc.	8/8/2017	ADVANCED BUILDINGS, EFP1839 - Emacx - NY Presbyter	1,632

**Contracts Executed**  
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Contractor	Date Encumbered	Contract Description	Total Contract Amount
<b>EMCOR Services Betlem</b>	4/11/2017	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Effici..	4,141
	5/2/2017	Flexible Tech Assistance, FlexTech Consultant Selection	24,197
		On-Site Energy Manager, FlexTech Consultant Selection	152,610
	7/28/2017	Flexible Tech Assistance, FlexTech Consultant Selection	20,831
<b>EME Consulting Engineering Group, LLC</b>	4/17/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
	4/20/2017	Commercial New Construc, EME - EMP	34,550
	4/21/2017	Industrial Process Effic, Technical Review and Program S	8,375
	5/9/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	5/16/2017	NEW CONSTRUCTION PROGRAM, EME - EMP	21,500
	6/7/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	6/19/2017	NY-SUN, Technical Review and Program S	202,792
		NYSERDA ADMINISTRATION, Technical Review and Program ..	22,532
	6/22/2017	Flexible Tech Assistance, FlexTech Consultant Selection	7,500
	7/7/2017	Industrial Process Effic, Technical Review and Program S	3,800
	7/17/2017	Commercial New Construc, EME - EMP	45,000
	7/19/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	7,500
	7/28/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	9/12/2017	NEW CONSTRUCTION PROGRAM, Technical Review and Pro..	2,040
	9/21/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	9/26/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	<b>Empire Solar Solutions LLC</b>	4/18/2017	<200KW PV, NY Sun
5/12/2017		<200KW PV, NY Sun	2,160
5/25/2017		<200KW PV, NY Sun	8,160
5/26/2017		<200KW PV, NY Sun	8,640
5/30/2017		<200KW PV, NY Sun	23,760
6/8/2017		<200KW PV, NY Sun	3,840
6/21/2017		<200KW PV, NY Sun	10,200
6/22/2017		<200KW PV, NY Sun	5,280
7/3/2017		<200KW PV, NY Sun	5,760
7/5/2017		<200KW PV, NY Sun	6,178
7/10/2017		<200KW PV, NY Sun	10,000
7/13/2017		<200KW PV, NY Sun	12,120
7/21/2017		<200KW PV, NY Sun	5,040
<b>Empire State Realty OP, LP</b>	8/7/2017	EXISTING FACILITIES, EFP2350 - Empire State Realty	70,820
<b>Employee Leasing of Greater NY</b>	4/24/2017	NYSERDA ADMINISTRATION, Temp Employee Services	8,029
	5/1/2017	NYSERDA ADMINISTRATION, Temp Employee Services	48,030
	5/8/2017	NYSERDA ADMINISTRATION, Temp Employee Services	7,864
	6/13/2017	NYSERDA ADMINISTRATION, Temp Employee Services	38,610
	7/17/2017	NYSERDA ADMINISTRATION, Temp Employee Services	22,376
<b>Empower CES, LLC</b>	5/2/2017	<200KW PV, NY Sun	9,038
<b>ENER-G Rudox Inc.</b>	7/21/2017	COMBINED HEAT AND POWER, CHPA - 685 1st Avenue	432,381
	9/11/2017	COMBINED HEAT AND POWER, CHPA - Albany VA Medical C..	1,042,210
<b>Eneractive Solutions</b>	6/22/2017	Flexible Tech Assistance, FlexTech Consultant EnerActive	11,133
<b>Enercon Services Inc</b>	6/8/2017	WEST VALLEY DEVELOPMENT PROGRAM, RFP 3305 Licenc..	125,652
<b>Energetics, Incorporated</b>	9/18/2017	CLEAN TRANSPORTATION, Oneida County ITS Study	150,000
<b>Energy &amp; Environmental Research</b>	9/27/2017	ENERGY ANALYSIS, EEA Project and Program Review	25,000
<b>Energy &amp; Resource Solutions, Inc.</b>	4/11/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
		NEW CONSTRUCTION PROGRAM, Technical Review and Pro..	7,810
	4/13/2017	COMBINED HEAT AND POWER, Technical Review and Progra..	588,160
	4/14/2017	Industrial Process Effic, Technical Review and Program S	7,765
	4/17/2017	EXISTING FACILITIES, Technical Review and Program S	3,695
	4/26/2017	EVALUATION, Energy & Resource Sol. TWO	772,800
		Industrial Process Effic, Energy & Resource Sol. TWO	147,200
	5/9/2017	Industrial Process Effic, Technical Review and Program S	10,405
	5/12/2017	EXISTING FACILITIES, Technical Review and Program S	4,935
5/19/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	

**Contracts Executed**  
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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Energy & Resource Solutions, Inc.	6/8/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	1,925
	6/12/2017	Rmve Barriers Dist Enrgy Storg, RFP 3407 Categories 2 & 3A	41,080
	6/13/2017	Rmve Barriers Dist Enrgy Storg, RFP 3407 Categories 2 & 3A	367,576
	6/14/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	6/26/2017	ADVANCED BUILDINGS, Technical Review and Program S	3,905
		Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,265
		EXISTING FACILITIES, Technical Review and Program S	20,790
	6/30/2017	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALI..	28,900
	7/7/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	1,925
	7/28/2017	Industrial Process Effic, Technical Review and Program S	45,685
	8/29/2017	Industrial Process Effic, Technical Review and Program S	9,730
	9/15/2017	Flexible Tech Assistance, FlexTech Consultant Selection	30,000
	Energy and Environmental Economics Inc.	4/20/2017	Mkt Char: Tech Assist, Tech Assist, REV Pool
5/15/2017		ENVIRONMENTAL RESEARCH, Flex Energy Tech Analysis 2	190,629
5/16/2017		ENERGY ANALYSIS, Tech Assist, REV Pool	50,000
		OTHER PROGRAM AREA, Tech Assist, REV Pool	200,000
8/23/2017		Mkt Char: Tech Assist, Tech Assist, REV Pool	160,361
9/1/2017		ENERGY ANALYSIS, Tech Assist, REV Pool	779,780
9/13/2017		Mkt Char: Tech Assist, Tech Assist, REV Pool	50,000
9/15/2017		Mkt Char: Tech Assist, Tech Assist, REV Pool	125,000
9/21/2017		Mkt Char: Tech Assist, Tech Assist, REV Pool	350,000
Energy Conservation & Supply, Inc.	5/15/2017	EXISTING FACILITIES, EFP2280 - ECS	8,044
Energy Technology Savings, Inc.	8/2/2017	Real Time Enrgy Management, Edison Prop-5020 Broadway-R..	11,022
Energy Week Holdings, LLC	5/3/2017	NYSERDA ADMINISTRATION, 2017 New York Energy Week	5,000
EnergySavvy Inc	6/23/2017	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, H..	4,000
		Home Perf w Energy Star, HPWES Program Mgmt Portal	411,518
		HOME PERFORMANCE WITH ENERGY STAR, HPWES Progr..	4,000
Enerwise Global Technologies	9/5/2017	ADVANCED BUILDINGS, EFP2391 - Enerwise - Multisite	9,466
Enlighten Power Solutions, LLC	8/3/2017	>200KW PV, NY Sun	10,438
Entic, Inc.	7/26/2017	Real Time Enrgy Management, EquityOffice-1065 6th Ave-RTEM	28,800
Environment & Energy Publishing, LLC	8/18/2017	NYSERDA ADMINISTRATION, Counsel's Office	11,525
Environmental Design & Research	7/5/2017	Off-Shore Wind Pre-Dev Act, RFP 3462	60,675
Erdman Anthony & Associates, Inc.	4/14/2017	Industrial Process Effic, Technical Review and Program S	5,624
	5/9/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
	5/17/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	6/7/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	7/20/2017	Commercial New Construc, EAA - EMP	14,453
	8/7/2017	Flexible Tech Assistance, FlexTech Consultant Selection	17,958
Erie Boulevard Hydropower LP	7/27/2017	REC:CES REC Contracts, 11th Main Tier Solicitation	543,901
ERY Retail Podium LLC	6/21/2017	COMBINED HEAT AND POWER, Supllier Name Change	2,400,000
Ery Tenant LLC	7/12/2017	NEW CONSTRUCTION PROGRAM, NCP10227 - 30 Hudson Y..	309,847
ESRI, Incorporated	8/15/2017	NYSERDA ADMINISTRATION, ArcGIS Desktop and Spatial	19,633
ESS Group, Inc.	5/18/2017	Off-Shore Wind Pre-Dev Act, RFP 3462	100,000
Essense Partners Inc.	4/7/2017	NYSERDA ADMINISTRATION, Marketing Support for NYSERDA	8,000
	7/26/2017	NEW YORK GREEN BANK, Material development for NYGB	150,000
	8/23/2017	OTHER PROGRAM AREA, Marketing Support for NYSERDA	89,000
	9/14/2017	REV Connect, Marketing Support for NYSERDA	115,000
Evolved Energy Research	5/17/2017	ENERGY ANALYSIS, Modeling and Analytics	45,000
Evoworld	5/23/2017	NextGen HVAC, Advanced Buildings	48,089
	8/3/2017	RENEWABLE HEAT NY, PO for DEC MOU for Agmt 61083	300,000
Executive Information Systems, LLC	8/28/2017	NYSERDA ADMINISTRATION, Purchase SAS Analytical Softwa	32,453
Exelon Generation Company, LLC	8/1/2017	ZEC:CES ZEC Payments, ZEC Nuclear Facilities	107,492,335
Extraterrestrial Materials Inc.	5/9/2017	<200KW PV, NY Sun	6,844
	5/16/2017	<200KW PV, NY Sun	5,040
	5/30/2017	<200KW PV, NY Sun	8,640
Fallen Tree Solar, LLC	4/4/2017	>200KW PV, NY Sun	845,093

## Contracts Executed

Period 4/1/2017 through 9/30/2017

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Fiber Technologies Networks, LLC	6/23/2017	NYSERDA ADMINISTRATION, Information Technology	20,935
Finger Lakes Community College	7/28/2017	REV CAMPUS CHALLENGE, RM3 - Finger Lakes Community C	54,307
Finger Lakes Extrusion	4/20/2017	>200KW PV, NY Sun	121,298
Fingerlakes Renewables	8/30/2017	<200KW PV, NY Sun	6,960
First Columbia Property Services, LLC	4/19/2017	NYSERDA ADMINISTRATION, Property Management Services	15,576
	5/1/2017	NYSERDA ADMINISTRATION, Property Management Services	217,871
	6/6/2017	Property Management Services	53,813
	8/8/2017	Property Management Services	6,458
First Jamaica Community & Urban	5/22/2017	Multifam New Construction, MFNCP PHIUS T3-Tree of Life	300,000
First Ward Action Council, Inc.	8/24/2017	Low Rise New Construction, New Construction	40,000
FlexEnergy Energy Systems Inc	6/27/2017	COMBINED HEAT AND POWER, CHPA - Saratoga Hospital	1,159,375
Florenton River LLC	5/4/2017	<200KW PV, NY Sun	5,120
	6/9/2017	<200KW PV, NY-Sun	5,984
	7/5/2017	<200KW PV, NY Sun	5,148
	8/1/2017	<200KW PV, NY Sun	32,120
	9/4/2017	<200KW PV, NY Sun	7,906
	9/27/2017	<200KW PV, NY Sun	5,360
FM Office Express	5/3/2017	8 NYC Work Stations	15,345
Fordemoor Solar, LLC	4/4/2017	>200KW PV, NY Sun	654,947
ForeFront Power, LLC	7/21/2017	>200KW PV, NY Sun	45,103
	8/3/2017	>200KW PV, NY Sun	2,325,758
	8/7/2017	>200KW PV, NY Sun	27,627
	8/10/2017	>200KW PV, NY Sun	459,736
	8/18/2017	>200KW PV, NY Sun	950,121
	9/14/2017	>200KW PV, NY Sun	459,736
Forest City Jay St. Assoc.	8/14/2017	EXISTING FACILITIES, EFP/DMP2249 - Forest City Jay	62,361
Fort Leazier Solar, LLC	5/24/2017	>200KW PV, NY Sun	654,947
Fourth Coast, Inc.	5/25/2017	<200KW PV, NY Sun	5,940
	6/5/2017	<200KW PV, NY Sun	26,672
	7/10/2017	<200KW PV, NY Sun	84
	9/1/2017	<200KW PV, NY Sun	28
Frederick A Proven	5/26/2017	<200KW PV, NY Sun	6,962
	7/20/2017	<200KW PV, NY Sun	10,560
Freedom Solar Inc.	4/14/2017	<200KW PV, NY Sun	9,360
	5/11/2017	<200KW PV, NY Sun	5,184
	5/16/2017	<200KW PV, NY Sun	7,800
	6/20/2017	<200KW PV, NY Sun	4,290
	6/22/2017	<200KW PV, NY Sun	5,330
	7/28/2017	<200KW PV, NY Sun	5,184
	8/17/2017	<200KW PV, NY Sun	5,184
		<200KW PV, NY-Sun	5,000
	8/23/2017	<200KW PV, NY Sun	7,560
	8/24/2017	<200KW PV, NY Sun	1,512
	8/25/2017	<200KW PV, NY Sun	5,460
	8/31/2017	<200KW PV, NY Sun	5,544
	9/11/2017	<200KW PV, NY Sun	9,790
	9/12/2017	<200KW PV, NY Sun	8,120
	9/20/2017	<200KW PV, NY-Sun	8,120
	9/21/2017	<200KW PV, NY Sun	576
	9/27/2017	<200KW PV, NY Sun	6,762
Freehold Solar, LLC	8/10/2017	>200KW PV, NY Sun	992,984
Frog Hollow Solar, LLC	4/5/2017	>200KW PV, NY Sun	845,093
Fusion Energy Services LLC	8/23/2017	<200KW PV, NY Sun	8,568
G & S Realty 1, LLC	5/25/2017	EXISTING FACILITIES, EFP2502 - Savitt Partners LLC	82,055
G.W. Ehrhart, Inc.	7/10/2017	RENEWABLE HEAT NY, Renewable Heating & Cooling	10,000
	7/12/2017	RENEWABLE HEAT NY, RHNY PON 3010 Incentive - Jack	20,611

**Contracts Executed**  
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Contractor	Date Encumbered	Contract Description	Total Contract Amount
G.W. Ehrhart, Inc.	9/27/2017	RENEWABLE HEAT NY, G.W. Ehrhart, Inc. - George	13,533
		RENEWABLE HEAT NY, G.W. Ehrhart, Inc. - Wheatley	15,184
Garlock Sealing Technologies, LLC	7/18/2017	Industrial Process Effic, Industrial Process Efficiency	91,099
Gas Technology Institute	8/24/2017	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALI..	199,991
Gaseteria Oil Corp.	5/12/2017	FUEL NY, PGI00125 - Gaseteria Oil Corp.	44,027
		FUEL NY, PGI00163 - Gaseteria Oil Corp.	36,565
		FUEL NY, PGI00221 - Gaseteria Oil Corp.	44,027
	8/31/2017	FUEL NY, PGI00221 - Gaseteria Oil Corp.	64,743
Gateway Owego LLC	8/24/2017	Low Rise New Construction, New Construction	9,000
GB Lighting Corp	8/7/2017	ADVANCED BUILDINGS, EFP2434 - GB Lighting Corporat	72,000
		EXISTING FACILITIES, EFP2434 - GB Lighting Corporat	91,724
GCOM Software Inc.	7/7/2017	NYSERDA ADMINISTRATION, Staff Augmentation	267,150
	8/18/2017	NYSERDA ADMINISTRATION, Salesforce Licenses (Q:50)	33,129
	9/25/2017	NYSERDA ADMINISTRATION, Salesforce Implementation	373,605
Geatrain Engineering PLLC	6/14/2017	Flexible Tech Assistance, FlexTech Consultant Selection	9,000
Genesee Valley Rural Preservation	8/24/2017	Low Rise New Construction, New Construction	56,000
Genesis Petroleum Inc.	5/1/2017	FUEL NY, PGI00251 - Genesis Petroleum	22,705
		FUEL NY, PGI00252 - Genesis Petroleum	23,161
		FUEL NY, PGI00253 - Genesis Petroleum	23,161
		FUEL NY, PGI00255 - Genesis Petroleum	23,750
	6/19/2017	FUEL NY, PGI00254 - Genesis Petroleum	17,190
George E Denmark II	4/6/2017	<200KW PV, NY Sun	8,352
	5/22/2017	<200KW PV, NY Sun	8,208
	8/25/2017	<200KW PV, NY Sun	6,840
	8/29/2017	<200KW PV, NY Sun	9,522
	8/30/2017	<200KW PV, NY Sun	7,840
Geotherm Inc.	4/24/2017	<200KW PV, NY Sun	6,528
	9/15/2017	<200KW PV, NY Sun	8,352
	9/27/2017	<200KW PV, NY Sun	12,062
Global Common, LLC	5/3/2017	SMART GRID SYSTEMS, RFP 3044 R2	1,000,000
Global Montello Group Corp.	4/19/2017	FUEL NY, PGI00212 - Global Montello Gro	74,000
		FUEL NY, PGI00027 - Global Montello Gro	63,839
		FUEL NY, PGI00208 - Global Montello Gro	73,793
		FUEL NY, PGI00209 - Global Montello Gro	67,898
Globe Metallurgical	5/9/2017	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Effic..	1,655,615
Go Solar/Green NY, LLC	6/15/2017	<200KW PV, NY Sun	22,890
Golden Hill Solar, LLC	4/10/2017	>200KW PV, NY Sun	992,984
Goldman Copeland Associates, P.C.	4/7/2017	Flexible Tech Assistance, FlexTech Consultant Selection	8,408
	9/13/2017	Commercial Real Estate Ten, Facebook-770 Broadway-CommT..	24,989
	9/15/2017	Flexible Tech Assistance, FlexTech Consultant Selection	5,000
Golub Corporation	6/1/2017	NEW CONSTRUCTION PROGRAM, NCP13094 - Market 32 Br..	42,401
	9/29/2017	NEW CONSTRUCTION PROGRAM, NCP13091 - M32 Plattsbu..	65,483
Goulds Pumps	4/14/2017	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Effic..	53,727
Goya Foods, Inc.	4/24/2017	>200KW PV, NY Sun	359,007
Grand Island Solar, LLC	4/4/2017	>200KW PV, NY Sun	856,534
Grandview Solar, LLC	8/3/2017	>200KW PV, NY Sun	654,947
Great Brook Solar NRG, LLC	7/10/2017	<200KW PV, NY Sun	6,710
	9/7/2017	<200KW PV, NY Sun	7,808
Greater Johnstown School District	6/7/2017	NEW CONSTRUCTION PROGRAM, NCP13117 - JohnstownHi..	34,052
	6/21/2017	NEW CONSTRUCTION PROGRAM, NCP13118 - Glebe Street ..	5,048
	9/11/2017	NEW CONSTRUCTION PROGRAM, NCP13119 - Warren Stree..	5,160
Greater NY Auto Dealers Association	4/4/2017	OTHER PROGRAM AREA, 2017 exhibit at NY Auto Show	5,500
Green City Force	5/5/2017	WORKFORCE DEVELOPMENT, Career pathways training	60,000
Green Hybrid Energy Solutions Inc.	4/10/2017	<200KW PV, NY Sun	40,220
	4/18/2017	<200KW PV, NY Sun	5,040
	9/18/2017	<200KW PV, NY Sun	5,360

**Contracts Executed**  
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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Green Street Power Partners LLC	4/5/2017	<200KW PV, NY Sun	170,879
	4/6/2017	<200KW PV, NY Sun	186,799
	4/13/2017	<200KW PV, NY Sun	38,292
	4/14/2017	<200KW PV, NY Sun	37,745
	4/18/2017	<200KW PV, NY Sun	64,057
	4/20/2017	>200KW PV, NY Sun	151,718
	5/31/2017	<200KW PV, NY Sun	17,194
	7/21/2017	>200KW PV, NY Sun	155,717
	8/14/2017	<200KW PV, NY-Sun	5,539
	8/28/2017	>200KW PV, NY Sun	393,636
	9/27/2017	<200KW PV, NY Sun	33,490
Green Sulcrete LLC	7/25/2017	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Sulfc..	400,000
Green Volt Solutions LLC	9/28/2017	<200KW PV, NY-Sun	28,453
GreenBiz Group, Inc.	9/14/2017	OTHER PROGRAM AREA, 2017 VERGE Sponsorship 76West	7,500
Greenmount Lane Solar 1, LLC	8/11/2017	>200KW PV, NY-Sun C&I	542,553
Greenskies Renewable Energy LLC	4/20/2017	>200KW PV, NY Sun	116,398
	7/18/2017	>200KW PV, NY Sun	98,211
GRID Alternatives Tri-State, Inc.	8/29/2017	<200KW PV, NY Sun	17,052
Grid City Electric Corp	5/22/2017	<200KW PV, NY Sun	8,360
	7/26/2017	<200KW PV, NY Sun	16,128
Group Solar USA	7/3/2017	<200KW PV, NY Sun	5,016
Group-S LLC	5/19/2017	Flexible Tech Assistance, FlexTech Consultant Selection	7,363
	6/26/2017	Flexible Tech Assistance, FlexTech Consultant Selection	37,500
GWE Project HoldCo 3, LLC	5/18/2017	NY-SUN, PV System @ Ithaca College	1,620,369
H.O. 110 Inc.	5/4/2017	FUEL NY, PGI00266 - H.O. 110 Inc.	82,950
H.T. Lyons, Incorporated	6/12/2017	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALI..	250,000
Hackley School	7/12/2017	NEW CONSTRUCTION PROGRAM, NCP14060 - HealthWellne..	137,216
Halcyon, Inc.	5/31/2017	<200KW PV, NY Sun	5,040
	6/5/2017	<200KW PV, NY Sun	8,024
		<200KW PV, NY-Sun	5,200
	9/11/2017	<200KW PV, NY Sun	5,360
Halfpenny Solar LLC	4/17/2017	>200KW PV, NY Sun	992,984
Harris Beach PLLC	4/13/2017	SARATOGA TECHNOLOGY & ENERGY PARK, RFP 3300 Out..	49,000
Harris Wiltshire & Grannis LLP	7/18/2017	NYSERDA ADMINISTRATION, Counsel's Office	24,999
Harvest Power, LLC	4/25/2017	<200KW PV, NY-Sun	238
	5/12/2017	<200KW PV, NY-Sun	7,207
	6/5/2017	<200KW PV, NY Sun	31,201
	6/21/2017	<200KW PV, NY Sun	7,140
	7/24/2017	<200KW PV, NY-Sun	120
	7/31/2017	<200KW PV, NY Sun	27,744
	9/12/2017	<200KW PV, NY Sun	5,280
Hawaii Energy Connection	8/10/2017	<200KW PV, NY Sun	5,830
Hearthlab Solutions, LLC	8/3/2017	RENEWABLE HEAT NY, Cordwood test mthd wood stoves	150,000
HESP Solar, LLC	7/6/2017	<200KW PV, NY Sun	44,180
High Falls Operating Co, LLC	7/19/2017	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Effici..	870,261
High Peaks Solar	4/4/2017	>200KW PV, NY Sun	942,474
	4/6/2017	<200KW PV, NY Sun	5,760
	4/20/2017	>200KW PV, NY Sun	603,651
	6/5/2017	<200KW PV, NY Sun	9,440
	6/8/2017	<200KW PV, NY Sun	12,000
High Tech Rochester Inc.	5/23/2017	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, NYS..	250,000
	6/5/2017	NEW CONSTRUCTION PROGRAM, NCP12988 - SibleyBuildin..	9,782
	9/18/2017	OTHER PROGRAM AREA, NYSERDA Entrepreneurs-in-Resid	500,000
Hill Enterprises Inc.	5/4/2017	FUEL NY, PGI00262 - Hill Enterprises In	78,750
Holland & Knight LLP	6/2/2017	Off-Shore Wind Pre-Dev Act, RFP 3300 Outside Counsel Servi	24,539
Honeywell International Inc.	6/23/2017	EMPOWER NY, Program Implementation Service	109,290

**Contracts Executed**  
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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Honeywell International Inc.	6/23/2017	Home Perf w Energy Star, Program Implementation Service	477,235
Howell Solar, LLC	8/29/2017	>200KW PV, NY Sun	845,093
Howland Solar, LLC	8/3/2017	>200KW PV, NY Sun	992,984
Hudson River Trading	5/2/2017	Industrial Process Effic, Industrial Process Efficiency	232,764
Hudson Solar	4/6/2017	<200KW PV, NY Sun	5,814
	4/17/2017	>200KW PV, NY Sun	156,896
	4/25/2017	<200KW PV, NY Sun	14,144
	5/2/2017	<200KW PV, NY Sun	7,480
	6/15/2017	<200KW PV, NY-Sun	5,372
	6/21/2017	<200KW PV, NY Sun	65,000
	7/3/2017	<200KW PV, NY Sun	6,720
	7/6/2017	<200KW PV, NY Sun	6,324
	7/17/2017	<200KW PV, NY Sun	6,720
	7/18/2017	>200KW PV, NY Sun	122,617
	7/21/2017	>200KW PV, NY Sun	84,888
	7/26/2017	<200KW PV, NY Sun	6,100
	8/2/2017	<200KW PV, NY-Sun	5,447
	8/9/2017	<200KW PV, NY Sun	10,000
	8/24/2017	<200KW PV, NY Sun	12,295
	9/19/2017	<200KW PV, NY Sun	17,664
	9/27/2017	<200KW PV, NY Sun	32,008
Huttner Strategies	5/26/2017	Anaerobic Digesters, Accel RE/AD Development	100,000
Hyatt Corporation as agent for Hyatt Equ	8/2/2017	EXISTING FACILITIES, EFP2363 - Grand Hyatt New York	114,444
IBC Engineering PC	6/23/2017	Commercial New Construc, IBC - EMP	31,235
ICF Resources, LLC	4/7/2017	ENERGY ANALYSIS, Tech Assist, REV Pool	47,289
		OTHER PROGRAM AREA, Tech Assist, REV Pool	47,289
	6/13/2017	OTHER PROGRAM AREA, Flex Energy Tech Analysis 2	40,717
		REC:CES REC System Dev Costs, Flex Energy Tech Analysis 2	18,000
	7/6/2017	ENERGY ANALYSIS, Flex Energy Tech Analysis 2	125,000
	8/8/2017	Commercial Imp Assist, Technical Review and Program S	7,873
	8/11/2017	Commercial Imp Assist, Technical Review and Program S	4,709
	9/5/2017	ENERGY ANALYSIS, Tech Assist, REV Pool	312,399
iCone Products, LLC	9/6/2017	Connecting WNY Work Zones	331,000
IESI NY Corporation	7/14/2017	NYSERDA ADMINISTRATION, Trash Removal from NYC Office	10,086
IHS Global Inc.	4/5/2017	FUEL NY, Renew OPIS Rack Price Subscrip	7,728
Industrial Economics, Incorporated	6/2/2017	SMART GRID SYSTEMS, Flex Energy Tech Analysis 2	58,000
Ingalside Solar, LLC	5/24/2017	>200KW PV, NY Sun	654,947
INSPIRE Environmental, LLC	4/17/2017	Off-Shore Wind Pre-Dev Act, Offshore Wind Mstr Plan Study	966,000
Institute for Building Technology and Sa	8/28/2017	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, RF..	8,000
		Home Perf w Energy Star, RFQL 3434 IBTS Standards & QA	379,600
		HOME PERFORMANCE WITH ENERGY STAR, RFQL 3434 IB..	7,200
	9/25/2017	<200KW PV, RFQL 3434 IBTS Standards & QA	87,330
		COMMUNITY SOLAR, RFQL 3434 IBTS Standards & QA	21,875
		NY-SUN, RFQL 3434 IBTS Standards & QA	667,400
Integration Strategy, Inc.	6/13/2017	NEW YORK GREEN BANK, Strategy Material Development	24,050
IntelliGen Power Systems, LLC	6/8/2017	COMBINED HEAT AND POWER, CHPA - Bay Park 2	648,960
		COMBINED HEAT AND POWER, CHPA - London Terrace	924,055
	6/12/2017	COMBINED HEAT AND POWER, CHPA - Bay Park 1	648,960
	6/13/2017	COMBINED HEAT AND POWER, CHPA - New York Towers	1,520,685
Interaction Associates	5/10/2017	ENERGY ANALYSIS, Energy & EnvironmentalAnalysis	9,500
		EVALUATION, Performance Management	9,500
International Energy Program	4/27/2017	EVALUATION, IEPEC Conference Sponsorship	5,000
IPPsolar Integration LLC	5/8/2017	<200KW PV, NY Sun	12,592
iPROMOTEu.com Inc.	6/7/2017	Clean Energy Communities, Branded Marketing	12,000
Ithaca Carshare, Inc.	6/12/2017	CLEAN TRANSPORTATION, Ithaca Bikeshare Demonstration	218,757
Ithaca College	6/8/2017	Flexible Tech Assistance, FlexTech Program - PON1746V3	15,833

**Contracts Executed**  
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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Janiak Solar, LLC	8/29/2017	>200KW PV, NY Sun	845,093
Janus Solar Fund LP	8/21/2017	NY-SUN, PV System at Janus Solar Fund	1,277,332
Jasper Van den Munckhof	9/11/2017	Retrofit NY, Multifamily	200,000
JAV Petroleum	5/19/2017	FUEL NY, PGI00176 - JAV Petroleum	95,450
JCB Specialties, Inc.	7/26/2017	POLICY DEVELOPMENT, 2017 NYS Fair Promotional Mate	28,395
	9/26/2017	POLICY DEVELOPMENT, 2017 NYS Fair Promotional Mate	19,866
Jessup Switch Solar LLC	8/18/2017	>200KW PV, NY Sun	611,982
John Siegenthaler	5/2/2017	WORKFORCE DEVELOPMENT, RFP 3165 Hydronic System D..	119,814
	7/7/2017	ENVIRONMENTAL RESEARCH, Technical Eval of Hydronics Sy	4,000
	7/27/2017	WORKFORCE DEVELOPMENT, RFP 3165 Hydronic System D..	1,200
Johnson Controls Inc.	4/11/2017	Flexible Tech Assistance, FlexTech Consultant Selection	30,328
	5/2/2017	Flexible Tech Assistance, FlexTech Consultant Selection	31,084
KAP Fuel & Food Inc.	4/27/2017	FUEL NY, GSP00763 - KAP Fuel & Food Inc	19,618
Kasselman Solar LLC	4/5/2017	<200KW PV, NY-Sun	5,532
	4/7/2017	<200KW PV, NY Sun	5,264
	4/18/2017	<200KW PV, NY Sun	2,400
	4/27/2017	<200KW PV, NY Sun	5,568
	5/2/2017	<200KW PV, NY Sun	6,720
	5/4/2017	<200KW PV, NY Sun	5,040
	5/9/2017	<200KW PV, NY Sun	5,600
	5/11/2017	<200KW PV, NY Sun	464
	5/15/2017	<200KW PV, NY-Sun	2,400
	5/26/2017	<200KW PV, NY Sun	9,344
	5/30/2017	<200KW PV, NY-Sun	9,744
	6/5/2017	<200KW PV, NY Sun	6,720
	6/9/2017	<200KW PV, NY-Sun	234
	6/12/2017	<200KW PV, NY Sun	5,280
	6/13/2017	<200KW PV, NY Sun	6,612
	6/23/2017	<200KW PV, NY-Sun	112
	7/10/2017	<200KW PV, NY Sun	2,400
	7/12/2017	<200KW PV, NY Sun	5,040
	8/1/2017	<200KW PV, NY Sun	6,726
		<200KW PV, NY-Sun	65,000
	8/4/2017	<200KW PV, NY-Sun	5,088
	8/8/2017	<200KW PV, NY Sun	5,600
	8/14/2017	<200KW PV, NY Sun	18,740
	8/15/2017	<200KW PV, NY Sun	3,658
	8/17/2017	<200KW PV, NY-Sun	6,880
	8/22/2017	<200KW PV, NY Sun	6,272
	9/7/2017	<200KW PV, NY Sun	3,658
	9/12/2017	<200KW PV, NY-Sun	5,232
	9/21/2017	<200KW PV, NY Sun	2,400
	9/27/2017	<200KW PV, NY Sun	17,456
Katya Solar, LLC	4/10/2017	>200KW PV, NY Sun	845,093
KayDev Technology, LLC	9/8/2017	NYSERDA ADMINISTRATION, TestComplete Pro	8,015
Kearns & West, Inc.	9/19/2017	Off-Shore Wind Pre-Dev Act, OWE InteragencyMeeting support	20,235
Kelleher Samets Volk	4/11/2017	Commercial Imp Assist, Marketing Support for NYSERDA	10,000
		Commercial Real Estate Ten, Marketing Support for NYSERDA	10,000
		Flexible Tech Assistance, Marketing Support for NYSERDA	10,000
		On-Site Energy Manager, Marketing Support for NYSERDA	25,000
		Real Time Enrgy Management, Marketing Support for NYSERDA	10,000
		REV CAMPUS CHALLENGE, Marketing Support for NYSERDA	10,000
		Strategic Energy Manager, Marketing Support for NYSERDA	145,000
	5/25/2017	ENERGY ANALYSIS, Marketing Support for NYSERDA	121,000
		Retrofit NY, Marketing Support for NYSERDA	225,000
		REVitalize, Marketing Support for NYSERDA	48,000



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<b>Contractor</b>	<b>Date Encumbered</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>Kelleher Samets Volk</b>	7/31/2017	Community RH&C, Marketing Support for NYSERDA	35,000
		Geothermal Incentive Program, Marketing Support for NYSERDA	35,000
		REV CAMPUS CHALLENGE, Marketing Support for NYSERDA	80,000
	8/31/2017	Underutilized Products, Marketing Support for NYSERDA	375,000
	9/13/2017	Commercial Real Estate Ten, Marketing Support for NYSERDA	255,346
		Flexible Tech Assistance, Marketing Support for NYSERDA	410,871
Real Time Enrgy Management, Marketing Support for NYSERDA		583,353	
<b>KEMA Incorporated</b>	5/10/2017	EVALUATION, RFQ 3183 KEMA, Inc	300,000
<b>Kilowatt Engineering, Inc.</b>	5/10/2017	Industrial Process Effic, Technical Review and Program S	28,577
<b>Kingsborough Apartments, LP</b>	8/11/2017	RENEWABLE THERMAL, Renewable Heating & Cooling	58,969
<b>Kroll Bond Rating Agency, Inc.</b>	5/24/2017	GJGNY REVOLVING LOAN FUND, Office of the Treasurer	65,000
<b>Kuhl Solar, LLC</b>	8/31/2017	>200KW PV, NY Sun	845,093
<b>L&amp;S Energy Services, Inc.</b>	4/11/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
	4/17/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	7,500
		RENEWABLE HEAT NY, Technical Review and Program S	5,475
	4/18/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
		Flexible Tech Assistance, FlexTech Consultant Selection	75,000
	4/21/2017	Industrial Process Effic, Technical Review and Program S	12,117
	5/2/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	17,500
	5/9/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	5/17/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
		INDUSTRIAL PROCESS EFFICIENCY, Technical Review and ..	1,538
	5/19/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	7,500
	6/7/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	6/8/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
		NEW CONSTRUCTION PROGRAM, Technical Review and Pro..	11,279
	6/26/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
		INDUSTRIAL PROCESS EFFICIENCY, Technical Review and ..	7,895
		RENEWABLE HEAT NY, Technical Review and Program S	1,873
	6/30/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	7/7/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	7/19/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
	7/21/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	7/27/2017	RENEWABLE HEAT NY, Technical Review and Program S	10,754
	7/28/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
		Flexible Tech Assistance, Technical Review and Program S	35,000
		Geothermal Incentive Program, Technical Review and Program S	168,785
		Industrial Process Effic, Technical Review and Program S	37,968
	8/4/2017	Industrial Process Effic, Technical Review and Program S	40,536
8/11/2017	RENEWABLE HEAT NY, Technical Review and Program S	5,411	
8/25/2017	Industrial Process Effic, Technical Review and Program S	14,937	
8/29/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000	
8/31/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
	RENEWABLE HEAT NY, Technical Review and Program S	2,174	
9/5/2017	Industrial Process Effic, Technical Review and Program S	11,515	
9/7/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000	
9/13/2017	Industrial Process Effic, Technical Review and Program S	7,992	
9/19/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	7,500	
<b>LaBella Associates, P.C.</b>	5/17/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	5/19/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	5/24/2017	Flexible Tech Assistance, FlexTech Consultant Selection	12,896
	6/26/2017	Commercial New Construc, New Construction	0
	7/7/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
		NEW CONSTRUCTION PROGRAM, New Construction	43,369
	8/2/2017	Flexible Tech Assistance, Novus PO Assignment	885
REV CAMPUS CHALLENGE, Novus PO Assignment		21,469	

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
LaBella Associates, P.C.	8/3/2017	Flexible Tech Assistance, Novus PO Assignment	1,259
	8/29/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
	8/31/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
Lampman Hill Solar LLC	8/3/2017	>200KW PV, NY Sun	876,870
Landau Solar, LLC	4/5/2017	>200KW PV, NY Sun	654,947
LC DRives	7/27/2017	OTHER PROGRAM AREA, PON 3249 ACE	500,000
Leon Petroleum	5/12/2017	FUEL NY, PGI00274 - Leon Petroleum	68,400
	9/26/2017	FUEL NY, PGI00029 - Leon Petroleum	20,664
Level Solar Inc.	5/1/2017	<200KW PV, NY Sun	5,292
	8/17/2017	<200KW PV, NY Sun	5,104
		<200KW PV, NY-Sun	6,156
Lime Energy	7/6/2017	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALI..	246,000
Lincoln Center for the Performing Arts	8/10/2017	EXISTING FACILITIES, EFP2133-Lincoln Center - 70 Li	289
Lincoln Life & Annuity Company of NY	5/1/2017	NYSERDA ADMINISTRATION, Long Term Disability Premium	71,844
Lockenurst Pond Solar LLC	8/10/2017	>200KW PV, NY Sun	530,365
Loeb & Loeb LLP	6/13/2017	NEW YORK GREEN BANK, Green Bank Outside Legal Couns	20,000
Long Island High Technology Incubator	6/7/2017	Cleantech Startup Growth, PON3413 Clean Energy Incubator	1,500,000
Long Island Power Authority	4/26/2017	NY-SUN, LIPA MOU RGGI Compliance Progr	30,600,000
Long Island Power Solutions	7/3/2017	<200KW PV, NY Sun	6,720
Lotus Energy, Inc.	5/1/2017	<200KW PV, NY Sun	6,336
	5/22/2017	<200KW PV, NY Sun	5,760
	9/15/2017	<200KW PV, NY Sun	7,504
Lumalon LLC	9/8/2017	Commercial Imp Assist, CIAP008 - Lumalon; RRHH	150,000
Lycee Francais de New York School	4/17/2017	Flexible Tech Assistance, FlexTech Program - PON1746	7,500
M/E Engineering, P.C.	5/16/2017	Commercial New Construc, M/E - EMP	31,775
	5/17/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	5/19/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,980
	6/2/2017	Commercial New Construc, M/E - EMP	13,800
	6/26/2017	Commercial Imp Assist, Technical Review and Program S	8,870
	7/19/2017	Industrial Process Effic, Technical Review and Program S	6,635
	9/26/2017	Flexible Tech Assistance, FlexTech Consultant Selection	210,590
	9/29/2017	Flexible Tech Assistance, FlexTech Consultant Selection	34,000
Mannino Electric, Inc.	7/5/2017	<200KW PV, NY Sun	6,528
Marketresearch.com Inc	5/10/2017	Subscription/Data Access, Freedomia HVAC Report	5,300
Marshall & Sterling, Inc.	4/5/2017	NYSERDA ADMINISTRATION, Property Liability and Other	413,459
	4/6/2017	NYSERDA ADMINISTRATION, Property Liability and Other	5,000
Mastercard International	4/17/2017	>200KW PV, NY Sun	254,412
Maurice Petroleum LLC	8/11/2017	FUEL NY, PGI00070 - Maurice Petroleum L	23,764
McCarthy Solar, LLC	4/20/2017	>200KW PV, NY Sun	654,947
MCKK Syracuse Hotel No 2 LP	7/5/2017	Home Perf w Energy Star, 2017 NYREH Training - Syracuse	6,000
McMahon and Mann Consulting Engine..	5/12/2017	WEST VALLEY DEVELOPMENT PROGRAM, Engineering Serv..	200,000
Meals on Wheels of Staten Island, Inc.	6/1/2017	NEW CONSTRUCTION PROGRAM, NCP12670 - MOWs State..	33,665
Meister Consultants Group, Inc.	7/11/2017	OTHER PROGRAM AREA, Renewable Heating Cooling TA	100,000
	9/21/2017	REV CAMPUS CHALLENGE, REV CC - Meister CG	125,000
Melville Fuel Inc.	5/4/2017	FUEL NY, PGI00302 - Melville Fuel Inc.	17,708
MEPT/Cove Two Rector REIT LLC	7/12/2017	Commercial New Construc, NCP15011 - 2 Rector St	232,470
Metropolitan Washington Council	9/7/2017	OTHER PROGRAM AREA, DOE UER - MWCOG	48,000
Micatu, Inc.	8/18/2017	High Performing Grid, PON 3397 CAT D	2,033,083
Milliman, Inc.	7/21/2017	NYSERDA ADMINISTRATION, April 1 2017 Gasb 45 Valuation	15,000
Minaville North Solar 1, LLC	8/11/2017	>200KW PV, commercial/industrial PV	589,426
Minaville South Solar 1, LLC	8/21/2017	>200KW PV, NY-Sun C&I	589,426
Minaville West Solar 1, LLC	8/11/2017	>200KW PV, NY-Sun C&I	589,426
mindSHIFT Technologies, Inc.	5/24/2017	NYSERDA ADMINISTRATION, Media Destruction	10,794
Minisink Solar LLC	8/18/2017	>200KW PV, NY Sun	222,090
MJ Mechanical Services, Inc.	6/9/2017	NYSERDA ADMINISTRATION, HVAC Design and Installation	11,520
MJW Technical Services, Inc.	7/26/2017	WEST VALLEY DEVELOPMENT PROGRAM, Radiation Protect..	124,084

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Modern Grid Solutions	4/26/2017	ENERGY ANALYSIS, Tech Assist, REV Pool	50,000
Mohawk Innovative Technology, Inc.	8/16/2017	OTHER PROGRAM AREA, PON 3249 ACE	322,566
Mohonasen Central School District	4/24/2017	NEW CONSTRUCTION PROGRAM, NCP12897 - Mohonasen ..	20,690
Monolith Solar Associates, LLC	5/16/2017	<200KW PV, NY-Sun	52,914
	6/8/2017	<200KW PV, NY Sun	3,472
	6/9/2017	<200KW PV, NY Sun	5,640
	6/20/2017	<200KW PV, NY-Sun	244
	7/12/2017	<200KW PV, NY Sun	31,530
	7/19/2017	<200KW PV, NY Sun	6,900
	7/27/2017	<200KW PV, NY Sun	8,400
	8/8/2017	<200KW PV, NY Sun	5,400
	8/18/2017	<200KW PV, NY Sun	64,400
	9/15/2017	<200KW PV, NY Sun	6,240
Morgan Stanley Services Holding, LLC	4/28/2017	LARGE SCALE RENEWABLES, 10th RPS Main Tier Solicitatio	30,860
	7/26/2017	REC:CES REC Contracts, 10th RPS Main Tier Solicitatio	2,498,740
Morton Salt Inc	5/17/2017	Industrial Process Effic, Industrial Process Efficiency	92,460
Mosholu Petro Realty LLC	8/11/2017	FUEL NY, PGI00068 - Mosholu Petro Real	23,317
MOVE Systems International, LLC	9/18/2017	CLEAN TRANSPORTATION, Ambulance Anti-Idling Stations	384,980
Mt. Kisco Snacks Inc.	5/4/2017	FUEL NY, GSP00744 - Mt. Kisco Snacks In	20,710
Muckdog Solar II, LLC	5/24/2017	>200KW PV, NY Sun	845,093
Muckdog Solar, LLC	8/3/2017	>200KW PV, NY Sun	845,093
Municipal Housing Authority of the	8/29/2017	NEW YORK ENERGY STAR HOMES, New Construction	127,000
NASEO	7/21/2017	NYSERDA ADMINISTRATION, NASEO Mem. Dues & Meeting ..	14,789
National Economic Research	4/7/2017	ENERGY ANALYSIS, Tech Assist, REV Pool	50,000
		OTHER PROGRAM AREA, Tech Assist, REV Pool	50,000
	9/5/2017	Mkt Char: Tech Assist, Tech Assist, REV Pool	387,000
National Home Performance Council	5/24/2017	Home Perf w Energy Star, 2018 NY Regional Home Perf Con	45,000
		Low Rise New Construction, 2018 NY Regional Home Perf Con	2,500
		Multifam New Construction, 2018 NY Regional Home Perf Con	2,500
NationalGrid Energy Management, LLC	5/16/2017	<200KW PV, NY Sun	15,015
Navigant Consulting Inc.	5/17/2017	Subscription/Data Access, 2017 Energy Storage Sub Renew	37,000
	9/26/2017	NEW YORK GREEN BANK, Outside Technical and Eng. Srv	49,799
NECEC Institute	4/10/2017	OTHER PROGRAM AREA, 2017 NECEC Cleantech Open	75,000
Neptune Group LLC	6/6/2017	NEW CONSTRUCTION PROGRAM, NCP12146 - Neptune Rea..	60,649
NESCAUM	4/4/2017	OTHER PROGRAM AREA, Tech Assist, REV Pool	66,284
	6/2/2017	RENEWABLE HEAT NY, Tech Assist, REV Pool	120,000
	6/27/2017	Prof & Expert Engagement, Clean Transportation	50,000
NESEA	9/15/2017	Commercial Real Estate Ten, 2017 sponsorship BuildingNYC	4,083
		Multifam Performance Pgm, 2017 sponsorship BuildingNYC	7,833
		Real Time Enrgy Management, 2017 sponsorship BuildingNYC	4,084
Network Experts of New York, Inc.	5/12/2017	NYSERDA ADMINISTRATION, Adoption /Training Coordinator	90,000
	7/7/2017	NYSERDA ADMINISTRATION, PeopleSoft Administrator/DBA	351,900
	9/22/2017	NYSERDA ADMINISTRATION, Helpdesk Technician - Campag..	130,000
Netzero NRG LLC	8/28/2017	NEW YORK ENERGY STAR HOMES, New Construction	97,000
New Beginnings Solar, LLC	7/19/2017	>200KW PV, NY Sun	654,947
New Buildings Institute, Inc.	6/12/2017	Prof & Expert Engagement, Codes	25,000
	6/13/2017	ENERGY ANALYSIS, Codes Enable: NYStretch-Energy	165,000
New Energy Equity LLC	8/3/2017	>200KW PV, NY Sun	279,110
New Savoy Park Porfolio LLC	6/21/2017	Multifam Performance Pgm, Multifamily	405,000
New York Battery and Energy Storage	7/26/2017	Rmve Barriers Dist Enrgy Storg, RFP 3407 Category 3B	494,189
New York City Energy Efficiency Corp	4/28/2017	CLEANER GREENER COMMUNITIES, CGC32252 - NYCEEC	500,000
New York Geothermal Energy Organizat..	8/29/2017	Geothermal Incentive Program, GSHP Mentoring Program	44,700
New York Passive House Inc.	6/13/2017	Low Rise New Construction, NYPH 2017 Conference & Expo	2,125
		Multifam New Construction, NYPH 2017 Conference & Expo	2,125
		Multifam Performance Pgm, NYPH 2017 Conference & Expo	2,125
		Retrofit NY, NYPH 2017 Conference & Expo	2,125

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New York Power Authority	4/18/2017	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech MOU NYSER..	124,739
	6/22/2017	Flexible Tech Assistance, FlexTech MOU NYSERDA-NYPA	15,162
	8/10/2017	Flexible Tech Assistance, FlexTech MOU NYSERDA-NYPA	109,080
	8/29/2017	High Performing Grid, PON 3397 CAT B	400,000
New York Power Authority,	9/22/2017	Campus/Technical Assistance, Geothermal Campus Challenge	3,775,000
New York Press & Graphics Inc.	4/20/2017	OTHER PROGRAM AREA, Printing Services	515
New York State Ag & Markets	5/26/2017	NYSERDA ADMINISTRATION, 2017 NYS Fair Exhibit	9,475
		POLICY DEVELOPMENT, 2017 NYS Fair Exhibit- PSC	10,925
New York State Forum for IRM	9/5/2017	NYSERDA ADMINISTRATION, NYS Forum Membership 17 - 18	5,500
New York State Smart Grid Consortium ..	5/2/2017	Prof & Expert Engagement, 2017 NYS Smart Grid Membership	60,000
New York State Solar Farm Inc.	5/1/2017	<200KW PV, NY Sun	670
	6/5/2017	<200KW PV, NY Sun	17,004
New York University	8/29/2017	Cleantech Startup Growth, PON3413 Clean Energy Incubator	2,000,000
New York Wheel LLC	9/1/2017	NEW CONSTRUCTION PROGRAM, NCP11781 - Staten Island..	236,434
Nexamp Inc.	7/21/2017	>200KW PV, NY Sun	1,092,682
	8/18/2017	>200KW PV, NY Sun	413,317
Nexant, Inc.	4/21/2017	MARKET PATHWAYS, Behavioral Demonstrations Prog	13,050
Nexant, Incorporated	4/11/2017	Industrial Process Effic, Technical Review and Program S	5,733
	4/18/2017	EXISTING FACILITIES, Technical Review and Program S	2,000
nrastructure	8/18/2017	2 HP VDI Servers	37,136
	9/20/2017	NYSERDA ADMINISTRATION, SMARTnet - Maintenance - 2020	42,423
NIC Holding Corp	6/2/2017	FUEL NY, NYS Strategic Gasoline Reserve	475,000
Nickels Energy Solutions LLC	6/20/2017	<200KW PV, NY Sun	5,856
	8/14/2017	<200KW PV, NY Sun	5,490
	8/29/2017	<200KW PV, NY Sun	11,172
Nixon Peabody LLP	5/3/2017	NEW YORK GREEN BANK, Green Bank Outside Legal Serv.	28,439
NJP Consulting Inc.	4/6/2017	<200KW PV, NY Sun	8,330
Nor Crest Service Station Inc.	5/3/2017	FUEL NY, PGI00285 - Nor Crest Service S	75,400
Nor-Pike Service Station Inc.	5/8/2017	FUEL NY, PGI00282 - Nor-Pike Service St	85,400
Norbut Solar Farm LLC	5/24/2017	>200KW PV, NY Sun	700,067
Noresco LLC	9/12/2017	Commercial Real Estate Ten, NORESCO-55 Water St-CRE Ten..	33,900
Normandeau Associates, Inc.	7/12/2017	ENVIRONMENTAL RESEARCH, Digital Aerial Baseline Survey	168,397
North Shore Long Island Jewish Health ..	4/21/2017	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Effic..	139,506
Northeast Agriculture Technology Corp	5/5/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	5/15/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
	5/19/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	10,000
	5/24/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	6/8/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	6/22/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	10,000
	7/28/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
Northeast Energy Efficiency Partnerships	7/6/2017	Community RH&C, NEEP 2017 Membership	2,528
		Prof & Expert Engagement, NEEP 2017 Membership	7,022
		Strategic Energy Manager, NEEP 2017 Membership	1,124
		Underutilized Products, NEEP 2017 Membership	17,090
Northern Plains Power Technologies	4/5/2017	DER Integration(Intrcnct), PON 3404 DER Integration	132,000
Northwell Health, Inc.	6/21/2017	NEW CONSTRUCTION PROGRAM, NCP10696 - Lenox Hill Ce..	292,375
Novel Approaches Solar Applications, ..	5/31/2017	<200KW PV, NY Sun	8,432
Novus Engineering, P.C.	6/9/2017	Commercial New Construc, Novus-Energy Modeling Partner	10,401
NYCHA III Parent Housing Development	4/7/2017	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	75,300
	5/16/2017	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	722,100
NYS Department of Health	6/20/2017	WEST VALLEY DEVELOPMENT PROGRAM, RML Triennial Bill	5,500
NYS Office For Technology	5/2/2017	NYSERDA ADMINISTRATION, Office 365 - 2016 - 2017	67,766
NYS Office of Children & Family Servic..	6/21/2017	EXISTING FACILITIES, EFP2445 - NYS OCFS	95,342
NYS Office of General Services	4/17/2017	NYSERDA ADMINISTRATION, 2016 Sustainable Dev Conf	8,990
		POLICY DEVELOPMENT, 2017 Brochures	17,378
NYS Office of Parks, Recreation and	6/7/2017	<200KW PV, NY Sun	12,528

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
NYSDEC	4/26/2017	WEST VALLEY DEVELOPMENT PROGRAM, WV-Admin	250,000
O'Brien & Gere Engineers, Inc.	8/10/2017	DER Integration(Intrcnct), PON 3404 DER Integration	162,597
O'Connell Electric Company	8/18/2017	<200KW PV, NY Sun	26,216
		>200KW PV, NY Sun	1,084,031
OK Petroleum Distribution Corp	6/15/2017	FUEL NY, PGI00123 - OK Petroleum Distri	65,736
		FUEL NY, PGI00158 - OK Petroleum Distri	70,760
		FUEL NY, PGI00159 - OK Petroleum Distri	89,852
OLA Consulting Engineers, P.C.	5/12/2017	Flexible Tech Assistance, FlexTech Consultant Selection	5,100
Olatokumbo Shobowale	5/1/2017	Low Rise New Construction, New Construction	9,000
Old Stage Road Solar 1, LLC	8/11/2017	>200KW PV, NY-Sun C&I	597,701
Omni-Navitas - MAP-ES NY LLC	4/17/2017	>200KW PV, NY Sun	892,332
	7/19/2017	>200KW PV, NY Sun	435,344
	7/21/2017	>200KW PV, NY Sun	1,036,991
	8/3/2017	>200KW PV, NY Sun	2,404,746
	8/18/2017	>200KW PV, NY Sun	599,808
Omnicap Group, LLC	5/2/2017	Financial Advisory Services	46,000
OneEnergy Development LLC	4/4/2017	>200KW PV, NY Sun	1,170,499
	4/10/2017	>200KW PV, NY Sun	981,409
	5/12/2017	>200KW PV, NY Sun	1,375,337
	7/18/2017	>200KW PV, NY Sun	633,826
OnForce Solar	4/12/2017	<200KW PV, NY Sun	20,468
Onondaga Community College	8/4/2017	REV CAMPUS CHALLENGE, RM6 - Onondaga CC	113,862
Onyx Renewable Partners, LP	8/18/2017	<200KW PV, NY Sun	129,120
	8/30/2017	<200KW PV, NY Sun	148,740
	9/15/2017	<200KW PV, NY Sun	85,400
	9/27/2017	<200KW PV, NY Sun	174,125
	9/28/2017	<200KW PV, NY Sun	527,560
Open Energy Efficiency Inc.	4/26/2017	EVALUATION, Testing Open EE Meter	12,600
Opinion Dynamics Corporation	4/26/2017	Real Time Enrgy Management, Opinion Dynamics Corp	527,215
	6/27/2017	Commercial Real Estate Ten, Opinion Dynamics Corp	586,200
	9/13/2017	Remote Energy Management, Opinion Dynamics Corp	172,456
Oppenheim Solar South, LLC	8/21/2017	>200KW PV, NY-Sun C&I	73,631
Oracle America, Inc.	6/2/2017	NYSERDA ADMINISTRATION, User Productivity Kit (UPK)	8,968
Paradise Energy Solutions, LLC	4/4/2017	<200KW PV, NY Sun	9,728
	5/9/2017	<200KW PV, NY Sun	13,192
	5/10/2017	<200KW PV, NY Sun	11,388
	6/5/2017	<200KW PV, NY Sun	6,200
	6/15/2017	<200KW PV, NY Sun	43,412
	6/21/2017	<200KW PV, NY Sun	20,360
	7/6/2017	<200KW PV, NY Sun	46,184
	7/26/2017	<200KW PV, NY Sun	5,760
	8/29/2017	<200KW PV, NY Sun	15,456
Park Monroe II Rehab HDFC	4/4/2017	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	25,200
Partners in Community Development	8/15/2017	HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	560,482
Pathfinder Engineers & Architects, LLP	7/19/2017	Flexible Tech Assistance, FlexTech Consultant Selection	17,024
Pathstone Corporation	6/20/2017	CLEANER GREENER COMMUNITIES, Green Jobs Green New..	14,500
PCMG, Inc.	4/24/2017	NYSERDA ADMINISTRATION, Antivirus Replacement, Symatec	7,852
Pedro Barretto Leite de Barros	7/26/2017	NEW YORK GREEN BANK, Pedro Barros - Strategy	50,000
Pepsi Cola Bottling Co of NY	8/24/2017	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Effici..	546,001
Peter Reynolds	7/19/2017	Low Rise New Construction, New Construction	5,000
Phire, Inc	6/26/2017	NYSERDA ADMINISTRATION, Phire Maintenance - 1 Year	14,600
Pine Plains School District	8/29/2017	>200KW PV, NY Sun	124,677
PitchBook Data, Inc.	9/22/2017	OTHER PROGRAM AREA, PitchBook Database Subscriptio	21,000
PlugPV, LLC	8/31/2017	<200KW PV, NY Sun	6,000
Plymouth Gardens, Inc.	8/28/2017	Low Rise New Construction, New Construction	70,000
PMG Northeast LLC	4/28/2017	FUEL NY, PGI00059 - PMG Northeast LLC	54,853

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PMG Northeast LLC	4/28/2017	FUEL NY, PGI00079 - PMG Northeast LLC	69,280
		FUEL NY, PGI00230 - PMG Northeast LLC	74,000
	5/22/2017	FUEL NY, PGI00120 - PMG Northeast LLC	57,936
		FUEL NY, PGI00173 - PMG Northeast LLC	64,276
		FUEL NY, PGI00192 - PMG Northeast LLC	65,514
	7/20/2017	FUEL NY, PGI00046 - PMG Northeast LLC	1,838
		FUEL NY, PGI00198 - PMG Northeast LLC	8,141
		FUEL NY, PGI00199 - PMG Northeast LLC	1,459
	8/10/2017	FUEL NY, PGI00178 - PMG Northeast LLC	6,114
		FUEL NY, PGI00179 - PMG Northeast LLC	1,363
		FUEL NY, PGI00180 - PMG Northeast LLC	5,696
		FUEL NY, PGI00182 - PMG Northeast LLC	9,729
		FUEL NY, PGI00200 - PMG Northeast LLC	7,556
		FUEL NY, PGI00203 - PMG Northeast LLC	11,684
	8/31/2017	FUEL NY, PGI00081 - PMG Northeast LLC	4,062
Potters Industries	6/26/2017	Industrial Process Effic, Industrial Process Efficiency	197,500
Power & Construction Group, Inc.	8/29/2017	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Effic..	5,791
Power Management Co., LLC	4/25/2017	<200KW PV, NY Sun	8,004
Powerhouse Dynamics, Inc	6/23/2017	Real Time Enrgy Management, TexasRoadhouse-MultiSites-RT..	27,356
Price Chopper Operating Company of NY	6/21/2017	Commercial New Construc, NCP15001 - Market 32 Ft Edward	57,142
	8/28/2017	Commercial New Construc, NCP15019--Market32 VF-OFLT	71,896
PRIME Coalition Inc.	6/29/2017	OTHER PROGRAM AREA, Climate Impact Assessment Tool	49,000
Prime Petro Inc	5/4/2017	FUEL NY, PGI00300 - Prime Petro Inc.	18,691
Pro Custom Solar LLC	5/2/2017	<200KW PV, NY Sun	6,832
Produttiva LLC	6/5/2017	Commercial New Construc, NCP15026-DeCicco Sons Millwood	46,722
Providence Housing Development Corp	9/12/2017	Low Rise New Construction, New Construction	63,000
Pterra, LLC	4/20/2017	DER Integration(Intrcnct), PON 3404 DER Integration	358,350
	8/29/2017	DER Integration(Intrcnct), FlexTech Consultant Selection	200,000
Pyramid Company of Onondaga	6/21/2017	Commercial New Construc, NCP15002 - Destiny USA Hotel	45,167
Pyramid Energy Engineering Services ..	9/13/2017	NextGen HVAC, FlexTech Consultant Selection	48,000
Quanta Technology LLC	4/17/2017	Off-Shore Wind Pre-Dev Act, RFP 3462	105,000
Quixotic Systems, Inc.	4/13/2017	<200KW PV, NY Sun	24,721
	6/6/2017	<200KW PV, NY-Sun	49,760
	7/6/2017	<200KW PV, NY Sun	61,100
	8/7/2017	<200KW PV, NY-Sun	8,736
QwikSolar, LLC	4/13/2017	<200KW PV, NY Sun	19,440
	4/18/2017	<200KW PV, NY Sun	6,720
		<200KW PV, NY-Sun	9,120
		<200KW PV, NY-Sun	8,224
	5/1/2017	<200KW PV, NY Sun	9,828
	5/3/2017	<200KW PV, NY Sun	7,168
	5/8/2017	<200KW PV, NY-Sun	6,880
	5/31/2017	<200KW PV, NY Sun	10,080
	6/13/2017	<200KW PV, NY Sun	5,600
	6/20/2017	<200KW PV, NY Sun	14,112
	6/21/2017	<200KW PV, NY-Sun	9,568
	7/26/2017	<200KW PV, NY-Sun	7,328
	8/1/2017	<200KW PV, NY Sun	6,720
	8/3/2017	<200KW PV, NY Sun	6,720
	8/9/2017	<200KW PV, NY Sun	8,064
8/14/2017	<200KW PV, NY Sun	41,000	
8/15/2017	<200KW PV, NY Sun	6,048	
8/22/2017	<200KW PV, NY Sun	5,264	
8/23/2017	<200KW PV, NY Sun	5,104	
8/29/2017	<200KW PV, NY Sun	5,152	
9/22/2017	<200KW PV, NY Sun	224	

## Contracts Executed

Period 4/1/2017 through 9/30/2017

Contractor	Date Encumbered	Contract Description	Total Contract Amount
R3 Energy Management Audit & Review, LLC	4/19/2017	Real Time Enrgy Management, Resnick&Sons-485MadisonAv-..	21,210
	5/9/2017	Real Time Enrgy Management, SteinbergPokoik-1430Brdwy-RT..	21,296
R. Edge Contracting LLC	5/3/2017	<200KW PV, NY Sun	16,898
Randstad North America, L.P.	4/4/2017	NYSERDA ADMINISTRATION, Temp Services Contract	18,428
	4/11/2017	NYSERDA ADMINISTRATION, Temp Services Contract	26,500
	4/20/2017	NEW YORK GREEN BANK, Temp Services	91,689
		NY-SUN, Temp Services	68,777
		NYSERDA ADMINISTRATION, Temp Services	282,241
	4/24/2017	>200KW PV, Temp Services Contract	19,744
		EVALUATION, Temp Services	58,500
		NY-SUN, Temp Services Contract	19,745
		NYSERDA ADMINISTRATION, Temp Services Contract	69,567
	4/25/2017	NEW YORK GREEN BANK, Temp Services	16,284
	5/11/2017	ENERGY ANALYSIS, Temp Services	33,224
	5/16/2017	ENERGY ANALYSIS, Temp Services Contract	22,425
	5/19/2017	NYSERDA ADMINISTRATION, Temp Services Contract	40,125
	5/22/2017	NYSERDA ADMINISTRATION, Temp Services Contract	22,380
		NYSERDA ADMINISTRATION, Temporary Services	55,250
	5/24/2017	ENERGY ANALYSIS, Temporary Services	14,630
		EVALUATION, Temp Services Contract	6,974
		NYSERDA ADMINISTRATION, Temp Services Contract	28,374
		NYSERDA ADMINISTRATION, Temporary Services	43,890
	5/30/2017	NYSERDA ADMINISTRATION, Temp Services Contract	36,855
		NYSERDA ADMINISTRATION, Temporary Services	136,200
	6/13/2017	NEW YORK GREEN BANK, Temporary Services	292,000
		NYSERDA ADMINISTRATION, Temp Services Contract	60,000
		NYSERDA ADMINISTRATION, Temporary Services	45,500
	6/14/2017	NYSERDA ADMINISTRATION, Temp Services	55,263
	6/15/2017	NYSERDA ADMINISTRATION, Temp Services Contract	10,000
	6/22/2017	NYSERDA ADMINISTRATION, Temporary Services	75,000
	7/28/2017	NYSERDA ADMINISTRATION, Temporary Services	81,250
	8/4/2017	NYSERDA ADMINISTRATION, Temp Services Contract	56,000
	8/8/2017	NYSERDA ADMINISTRATION, Temp Services Contract	19,000
8/9/2017	NEW YORK GREEN BANK, Temporary Services	111,225	
8/10/2017	NEW YORK GREEN BANK, Temporary Services	6,164	
	NY-SUN, Temporary Services	57,250	
8/16/2017	NEW YORK GREEN BANK, temp services - Pedro Barros	25,000	
	NYSERDA ADMINISTRATION, Temp Services Contract	22,000	
8/18/2017	NYSERDA ADMINISTRATION, Temp Services Contract	18,000	
8/22/2017	NY-SUN, Temporary Services	25,000	
8/31/2017	NYSERDA ADMINISTRATION, Temp Services	40,000	
	NYSERDA ADMINISTRATION, Temp Services Contract	6,600	
	NYSERDA ADMINISTRATION, temp to hire Zach Zill	59,000	
9/1/2017	NYSERDA ADMINISTRATION, Temp Services	92,000	
9/5/2017	EVALUATION, Temp Services	40,000	
Rapid Response Monitoring Services, I..	8/28/2017	Industrial Process Effic, Industrial Process Efficiency	33,792
RD & Associates Consulting LLC	4/26/2017	OTHER PROGRAM AREA, RFP3267 Innovation Advis Pilot	175,000
REACH Strategies	9/15/2017	Electric Vehicles - Innovation, Ev Ride & Drive Events	50,000
Red Mill Solar, LLC	4/17/2017	>200KW PV, NY Sun	654,947
RED Rochester	5/17/2017	Industrial Process Effic, Industrial Process Efficiency	2,000,000
Remica Property Group Corp.	9/20/2017	FUEL NY, PGI00250 - Remica Property Gro	78,000
RENEW Energy Partners, LLC	6/21/2017	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALI..	65,400
Renovus Energy, Inc.	4/4/2017	<200KW PV, NY Sun	8,976
	4/17/2017	>200KW PV, NY Sun	481,034
	4/24/2017	>200KW PV, NY Sun	509,749
	5/1/2017	<200KW PV, NY Sun	6,048

**Contracts Executed**  
**Period 4/1/2017 through 9/30/2017**

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Renovus Energy, Inc.	5/26/2017	<200KW PV, NY Sun	7,616
	6/2/2017	<200KW PV, NY Sun	19,968
	7/3/2017	<200KW PV, NY Sun	9,360
	7/19/2017	<200KW PV, NY-Sun	10,016
		>200KW PV, NY Sun	853,447
	7/21/2017	>200KW PV, NY Sun	1,024,137
	8/3/2017	>200KW PV, NY Sun	1,706,895
	8/8/2017	<200KW PV, NY Sun	5,984
		<200KW PV, NY-Sun	6,752
	8/24/2017	<200KW PV, NY-Sun	5,664
	9/28/2017	<200KW PV, NY Sun	147
Renovus Rock, LLC	5/18/2017	>200KW PV, NY-Sun C&I	286,806
Rensselaer Polytechnic Institute	7/5/2017	CLEAN TRANSPORTATION, RPI - PON 3198	150,000
	7/12/2017	ADVANCED BUILDINGS, ASSIST Membership	50,000
	7/13/2017	High Performing Grid, PON 3397 CAT A	245,482
	7/26/2017	Prof & Expert Engagement, Advanced Buildings	120,000
	8/10/2017	ENVIRONMENTAL RESEARCH, AEAP Data compilation - RPI	12,231
Rensselaer Polytechnic Institute-LRC	7/18/2017	Clean Energy Communities, LED Street Lights Outreach	50,000
RER Energy Group LLC	8/29/2017	>200KW PV, NY Sun	422,174
Research Foundation of CUNY	5/12/2017	ENVIRONMENTAL RESEARCH, Integrated Air Quality Monitor	199,730
	9/5/2017	Rmve Barriers Dist Enrgy Storg, RFP 3407 Category 1	529,791
Research Foundation of SUNY	5/8/2017	Prof & Expert Engagement, Industrial Process Efficiency	25,000
	5/12/2017	ENVIRONMENTAL RESEARCH, Combining Measurements an..	382,848
		ENVIRONMENTAL RESEARCH, IDEA-NYS air quality forecast	358,781
	5/15/2017	ENVIRONMENTAL RESEARCH, Forest Biomass	49,982
	8/16/2017	ENVIRONMENTAL RESEARCH, Seiche in Eastern Lake Erie	265,696
Research Into Action, Inc.	6/7/2017	Cleantech Startup Growth, Research Into Action TWO	143,589
	6/27/2017	Energy Storage Tech/Prod Dev, Research Into Action TWO	48,181
	9/11/2017	Workforce Industry Partnership, Research Into Action TWO	140,182
	9/18/2017	Workforce Industry Partnership, Research Into Action TWO	140,434
Resources for the Future	9/14/2017	ENERGY ANALYSIS, Macroeconomic Methods	50,000
		ENERGY ANALYSIS, Modeling and Analytics	50,000
Riseboro Community Partnership, Inc.	9/12/2017	NY-SUN, Affordable Solar Predevelopmen	200,000
Robert Derector Associates	4/17/2017	Commercial Real Estate Ten, THilfiger-285Madison-CRE Tenant	19,150
	5/9/2017	Commercial Real Estate Ten, 1301Ave of Americas-CRE Tenant	8,150
	6/19/2017	Commercial Real Estate Ten, 200 Madison Ave - CRE Tennant	10,700
Robert O Gurman	9/21/2017	SMART GRID SYSTEMS, NY Prize Stage 3 Advisement	49,500
Rochester Institute of Technology	7/24/2017	Cleantech Startup Growth, PON3413 Clean Energy Incubator	1,800,000
Roedel Partners of Mt. Kisco, LLC	7/12/2017	Home Perf w Energy Star, 2017 NYREH Training-Mt. Kisco	6,000
Rosenblum Property Services, LLC	6/21/2017	SARATOGA TECHNOLOGY & ENERGY PARK, STEP Propert..	235,500
	9/1/2017	SARATOGA TECHNOLOGY & ENERGY PARK, STEP Propert..	7,592
Royal Petroleum Management Inc	6/26/2017	FUEL NY, PGI00194 - Royal Petroleum Man	2,838
Royalton Solar, LLC	5/24/2017	>200KW PV, NY Sun	785,936
Ruggirello Solar, LLC	4/20/2017	>200KW PV, NY Sun	654,947
Rural Ulster Preservation Company	8/4/2017	GJGNY REVOLVING LOAN FUND, Green Jobs Green New Yo..	22,000
Salt Point Solar, LLC	4/4/2017	>200KW PV, NY Sun	992,984
Saranac Central School District	5/25/2017	EXISTING FACILITIES, EFP2515 - Saranac CSD	102,113
Schodack Central School District	4/24/2017	NEW CONSTRUCTION PROGRAM, NCP12924 - High School ..	26,263
Scott Shipley	5/9/2017	<200KW PV, NY-Sun	96
	7/26/2017	<200KW PV, NY Sun	5,040
	9/19/2017	<200KW PV, NY Sun	84
Sea Bright Solar, LLC	8/15/2017	<200KW PV, NY Sun	8,844
Sea Risk Solutions LLC	5/31/2017	Off-Shore Wind Pre-Dev Act, Fisheries Liaison/ Consulting	50,000
Seed Renewables Inc.	5/1/2017	<200KW PV, NY Sun	6,840
	7/27/2017	<200KW PV, NY-Sun	5,600
Sentar Fuel Co	5/4/2017	FUEL NY, PGI00258 - Sentar Fuel Inc.	81,200



## Contracts Executed

Period 4/1/2017 through 9/30/2017

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Seven Springs West LLC	6/8/2017	WEST VALLEY DEVELOPMENT PROGRAM, Operations and ..	1,695,000
Shamir Ent LLC	5/4/2017	FUEL NY, PGI00264 - Shamir Ent LLC	69,400
SHI, Inc.	4/4/2017	NYSERDA ADMINISTRATION, Licensing for Adobe Creative C	9,848
	4/5/2017	NYSERDA ADMINISTRATION, 1 Year - Adobe Acrobat Pro DC	20,378
	8/15/2017	NYSERDA ADMINISTRATION, Embarcadero ER Studio Licens..	14,162
Sinai Fuels LLC	4/25/2017	FUEL NY, PGI00213 - Sinai Fuels LLC	74,000
Sitecore USA, Inc.	5/11/2017	NYSERDA ADMINISTRATION, Sitecore Web Support 17-18	25,300
Sive Paget & Riesel PC	4/11/2017	WEST VALLEY DEVELOPMENT PROGRAM, RFP 3300 Outsid..	1,356
	9/26/2017	Off-Shore Wind Master Plan, RFP 3300 Outside Counsel Servi	200,000
Skadden, Arps, Slate, Meagher & Flom ..	6/13/2017	NEW YORK GREEN BANK, Green Bank Outside Legal Couns	60,000
Skyline Solar Inc.	6/20/2017	<200KW PV, NY Sun	10,800
	6/21/2017	<200KW PV, NY Sun	5,760
	7/10/2017	<200KW PV, NY Sun	7,200
	7/12/2017	<200KW PV, NY Sun	5,280
Slate Hill Solar LLC	8/3/2017	>200KW PV, NY Sun	388,900
SLG 220 News Owner, LLC	4/20/2017	EXISTING FACILITIES, EFP2288 - SLG 220News Owner LL	264,981
SLG Tower 45 LLC	4/21/2017	EXISTING FACILITIES, EFP/DMP2286 - SLG Tower 45 LL	18,937
SLGreen	4/19/2017	EXISTING FACILITIES, EFP/DMP2289 - Green 461 Fifth	18,808
Smarter Grid Solutions, Inc.	7/6/2017	High Performing Grid, PON 3397 CAT A	241,560
	7/13/2017	High Performing Grid, PON 3397 CAT B	203,950
Solar Alchemy, Inc.	5/12/2017	<200KW PV, NY Sun	3,840
	6/21/2017	<200KW PV, NY Sun	38,660
	6/26/2017	<200KW PV, NY Sun	1,440
Solar and Wind FX, Inc. (Chris Schaefer)	7/24/2017	<200KW PV, NY Sun	10,000
	9/27/2017	<200KW PV, NY Sun	10,000
Solar Energy Systems, LLC	5/12/2017	<200KW PV, NY Sun	17,080
	8/3/2017	>200KW PV, NY Sun	328,176
Solar Generation, Inc.	4/19/2017	<200KW PV, NY Sun	7,930
	7/3/2017	<200KW PV, NY Sun	5,184
	7/11/2017	<200KW PV, NY Sun	5,184
	8/4/2017	<200KW PV, NY-Sun	3,456
	8/8/2017	<200KW PV, NY Sun	9,472
	8/9/2017	<200KW PV, NY Sun	10,000
	9/19/2017	<200KW PV, NY Sun	8,040
Solar Liberty Energy Systems, Inc	4/14/2017	<200KW PV, NY-Sun	5,424
	4/26/2017	<200KW PV, NY Sun	5,916
	5/1/2017	<200KW PV, NY Sun	5,220
	5/2/2017	<200KW PV, NY Sun	6,448
	5/11/2017	<200KW PV, NY Sun	104
	5/15/2017	<200KW PV, NY Sun	2,400
	5/25/2017	<200KW PV, NY Sun	5,452
	7/18/2017	<200KW PV, NY Sun	204
	8/3/2017	<200KW PV, NY Sun	6,624
		>200KW PV, NY Sun	568,752
	8/7/2017	>200KW PV, NY Sun	206,402
	8/15/2017	<200KW PV, NY Sun	7,182
	8/16/2017	<200KW PV, NY Sun	98
	9/15/2017	<200KW PV, NY Sun	13,223
		<200KW PV, NY-Sun	5,016
	9/19/2017	<200KW PV, NY Sun	6,264
		<200KW PV, NY-Sun	5,300
	9/27/2017	<200KW PV, NY Sun	23,584
Solar Maximum LLC	4/5/2017	<200KW PV, NY Sun	5,616
	5/1/2017	<200KW PV, NY Sun	5,796
Solar Plumbing Design Inc	8/22/2017	<200KW PV, NY Sun	20,815
Solar Provider Group LLC	8/7/2017	>200KW PV, NY Sun	1,016,616

**Contracts Executed**  
 Period 4/1/2017 through 9/30/2017

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Solar Provider Group LLC	8/18/2017	>200KW PV, NY Sun	354,212
SolarCity Corporation	4/4/2017	<200KW PV, NY Sun	5,760
		>200KW PV, NY Sun	1,682,586
	4/6/2017	<200KW PV, NY Sun	42,616
	4/10/2017	<200KW PV, NY Sun	15,024
	4/17/2017	>200KW PV, NY Sun	582,795
	5/1/2017	<200KW PV, NY-Sun	2,108
	5/5/2017	<200KW PV, NY Sun	11,905
	5/8/2017	<200KW PV, NY Sun	7,440
	5/9/2017	<200KW PV, NY Sun	6,240
	5/11/2017	<200KW PV, NY Sun	6,600
	5/26/2017	<200KW PV, NY Sun	7,769
	5/30/2017	<200KW PV, NY Sun	6,061
	5/31/2017	<200KW PV, NY Sun	5,169
	6/2/2017	<200KW PV, NY Sun	6,076
	6/5/2017	<200KW PV, NY Sun	33,465
	6/12/2017	<200KW PV, NY-Sun	57,414
	6/13/2017	<200KW PV, NY Sun	5,488
	6/15/2017	<200KW PV, NY Sun	5,040
	6/20/2017	<200KW PV, NY Sun	15,171
	6/28/2017	<200KW PV, NY Sun	6,630
	7/3/2017	<200KW PV, NY Sun	5,160
	7/5/2017	<200KW PV, NY Sun	12,002
	7/10/2017	<200KW PV, NY Sun	5,746
	7/18/2017	>200KW PV, NY Sun	568,752
	7/20/2017	<200KW PV, NY Sun	6,600
	7/21/2017	<200KW PV, NY Sun	74
	7/26/2017	<200KW PV, NY Sun	6,972
	8/2/2017	<200KW PV, NY Sun	8,316
		>200KW PV, NY Sun	412,804
	8/7/2017	>200KW PV, NY Sun	825,608
	8/16/2017	<200KW PV, NY-Sun	530
	8/22/2017	<200KW PV, NY Sun	5,964
	8/23/2017	<200KW PV, NY Sun	5,520
South Colonie Central Schools	6/1/2017	NEW CONSTRUCTION PROGRAM, NCP11976 - Colonie 2020..	10,690
Sperry Energy	4/7/2017	OTHER PROGRAM AREA, RFP3267 Innovation Advis Pilot	175,000
SPJ LLC	6/7/2017	FUEL NY, PGI00284 - SPJ LLC	84,000
St. John's University	7/19/2017	EXISTING FACILITIES, EFP2116-St Johns University -	43,323
St. Lawrence County	5/25/2017	COMMUNITY SOLAR, Solarize 2017	5,000
St. Lawrence University	9/5/2017	REV CAMPUS CHALLENGE, RM10 - St Lawrence University	116,500
Stantec Consulting Services, Inc.	9/1/2017	Off-Shore Wind Pre-Dev Act, RFP 3462	169,400
Stem Inc	4/12/2017	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALI..	250,000
Steven Winter Associates, Inc.	4/26/2017	NEW CONSTRUCTION PROGRAM, Technical Review and Pro..	24,914
	5/8/2017	Flexible Tech Assistance, FlexTech Consultant Selection	7,500
	8/8/2017	Commercial New Construc, SWA - EMP	26,096
	9/26/2017	NextGen HVAC, Linkage-Less Burner Retrofit	18,499
Stonework Capital LLC	5/15/2017	OTHER PROGRAM AREA, RFP3267 Innovation Advis Pilot	175,000
STR Systems NY, LLC	5/22/2017	<200KW PV, NY Sun	15,066
Stratford Arms Housing LP	9/18/2017	Multifam Performance Pgm, Multifamily	19,475
Sumintra	7/26/2017	<200KW PV, NY Sun	7,920
Sun Source Technologies	4/5/2017	<200KW PV, NY Sun	13,500
	5/4/2017	<200KW PV, NY Sun	5,400
	6/15/2017	<200KW PV, NY Sun	5,520
	6/26/2017	<200KW PV, NY Sun	19,856
	6/29/2017	<200KW PV, NY Sun	5,720
	8/8/2017	<200KW PV, NY Sun	130

**Contracts Executed**  
 Period 4/1/2017 through 9/30/2017

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Sun Source Technologies	8/22/2017	<200KW PV, NY Sun	8,844
	9/12/2017	<200KW PV, NY Sun	5,632
	9/18/2017	<200KW PV, NY Sun	19,592
	9/27/2017	<200KW PV, NY Sun	6,000
	9/28/2017	<200KW PV, NY Sun	6,716
sun8 PDC LLC	4/4/2017	>200KW PV, NY Sun	2,112,898
	4/10/2017	>200KW PV, NY Sun	1,605,854
	4/17/2017	>200KW PV, NY Sun	845,159
	4/24/2017	>200KW PV, NY Sun	654,998
	5/12/2017	>200KW PV, NY Sun	1,309,997
	7/21/2017	>200KW PV, NY Sun	654,998
SuNation Solar Systems, Inc.	4/26/2017	<200KW PV, NY Sun	47,000
	6/1/2017	<200KW PV, NY Sun	38,260
	7/19/2017	<200KW PV, NY Sun	20,743
	9/11/2017	<200KW PV, NY Sun	8,058
Sunnova Energy Corp	6/21/2017	<200KW PV, NY Sun	5,040
	6/26/2017	<200KW PV, NY Sun	6,466
SunPower Capital, LLC	4/4/2017	<200KW PV, NY Sun	6,486
	4/6/2017	<200KW PV, NY Sun	23,660
	4/12/2017	<200KW PV, NY Sun	6,210
	4/13/2017	<200KW PV, NY Sun	12,228
	4/14/2017	<200KW PV, NY Sun	5,232
	4/18/2017	<200KW PV, NY Sun	14,972
	4/19/2017	<200KW PV, NY Sun	5,167
	4/20/2017	<200KW PV, NY Sun	5,494
	4/26/2017	<200KW PV, NY Sun	9,246
	4/27/2017	<200KW PV, NY Sun	5,825
	5/1/2017	<200KW PV, NY Sun	11,247
	5/4/2017	<200KW PV, NY Sun	5,959
		<200KW PV, NY-Sun	5,712
	5/9/2017	<200KW PV, NY Sun	5,244
	5/10/2017	<200KW PV, NY Sun	6,900
	5/12/2017	<200KW PV, NY Sun	16,788
	5/16/2017	<200KW PV, NY Sun	12,006
	5/25/2017	<200KW PV, NY Sun	5,244
	5/26/2017	<200KW PV, NY Sun	5,896
	5/30/2017	<200KW PV, NY Sun	8,764
	5/31/2017	<200KW PV, NY Sun	5,494
	6/1/2017	<200KW PV, NY Sun	8,004
	6/14/2017	<200KW PV, NY Sun	6,210
	6/15/2017	<200KW PV, NY Sun	7,452
	6/20/2017	<200KW PV, NY Sun	5,232
	6/21/2017	<200KW PV, NY Sun	5,360
	7/3/2017	<200KW PV, NY Sun	13,320
	7/11/2017	<200KW PV, NY Sun	10,557
	7/19/2017	<200KW PV, NY Sun	5,234
	7/25/2017	<200KW PV, NY Sun	12,950
	7/27/2017	<200KW PV, NY Sun	18,525
	8/7/2017	<200KW PV, NY Sun	24,057
	8/8/2017	<200KW PV, NY Sun	5,040
8/14/2017	<200KW PV, NY Sun	6,900	
8/16/2017	<200KW PV, NY Sun	18,177	
8/22/2017	<200KW PV, NY Sun	6,900	
9/15/2017	<200KW PV, NY Sun	5,184	
9/18/2017	<200KW PV, NY Sun	5,796	
SUNRISE ELECTRICAL SERVICES	8/17/2017	<200KW PV, NY-Sun	94,000

**Contracts Executed**  
 Period 4/1/2017 through 9/30/2017

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Sunrise Solar Solutions, LLC	8/22/2017	<200KW PV, NY Sun	21,168
	8/29/2017	<200KW PV, NY Sun	15,428
	8/30/2017	<200KW PV, NY Sun	5,556
	9/28/2017	<200KW PV, NY Sun	5,616
SunRun, Inc	4/7/2017	<200KW PV, NY Sun	7,800
	4/14/2017	<200KW PV, NY Sun	7,638
	5/11/2017	<200KW PV, NY Sun	134
	6/8/2017	<200KW PV, NY Sun	5,280
	6/15/2017	<200KW PV, NY Sun	8,960
	7/14/2017	<200KW PV, NY Sun	5,568
	7/18/2017	<200KW PV, NY Sun	7,260
	7/27/2017	<200KW PV, NY Sun	5,016
	8/9/2017	<200KW PV, NY Sun	6,612
	8/28/2017	<200KW PV, NY Sun	5,940
	9/11/2017	<200KW PV, NY Sun	13,704
	9/28/2017	<200KW PV, NY Sun	5,170
SunVest, Solar INC	8/3/2017	<200KW PV, NY Sun	17,745
SUNY - ESF	5/12/2017	ENVIRONMENTAL RESEARCH, Biofiltration drainage media	292,911
SUNY at Albany	6/20/2017	ENVIRONMENTAL RESEARCH, Climate Change & Renewables	317,926
SUNY Broome Community College	9/15/2017	Commercial New Construc, NCP15064 - SUNY Broome Mechani	30,641
SUNY Cobleskill	6/5/2017	NEW CONSTRUCTION PROGRAM, NCP13043 - Prentice Hall	7,791
SUNY Oneonta	4/12/2017	NEW CONSTRUCTION PROGRAM, PON1601 R2	127,975
	6/19/2017	NEW CONSTRUCTION PROGRAM, NCP12786 - Bugbee Hall	8,986
Sustainable CUNY CUNY/RF	6/27/2017	NY-SUN, 2017 NY Solar Summit sponsor	10,000
Sustainable Energy Advantage, LLC	4/5/2017	OTHER PROGRAM AREA, Large Scales Renewables Techni	99,902
	4/17/2017	Off-Shore Wind Pre-Dev Act, Large Scales Renewables Techni	120,113
	5/18/2017	ENERGY ANALYSIS, Large Scales Renewables Techni	12,600
	7/19/2017	LARGE SCALE RENEWABLES, Large Scales Renewables Tec..	33,033
		REC:CES REC System Dev Costs, Large Scales Renewables T..	65,391
		ZEC:CES ZEC System Dev Costs, Large Scales Renewables T..	65,391
9/18/2017	>200KW PV, Large Scales Renewables Techni	200,000	
Sustainable Energy Developments Inc.	4/4/2017	>200KW PV, NY Sun	1,047,107
	6/21/2017	<200KW PV, NY Sun	13,920
	7/14/2017	<200KW PV, NY Sun	11,832
	8/3/2017	<200KW PV, NY Sun	5,640
	8/11/2017	<200KW PV, NY Sun	8,640
	8/15/2017	<200KW PV, NY Sun	6,000
	8/22/2017	<200KW PV, NY Sun	6,000
	8/29/2017	<200KW PV, NY Sun	6,960
	9/1/2017	<200KW PV, NY Sun	226
	9/7/2017	<200KW PV, NY Sun	6,480
	9/11/2017	>200KW PV, NY Sun	447,261
	9/12/2017	<200KW PV, NY Sun	10,000
	9/13/2017	>200KW PV, NY Sun	343,965
	9/15/2017	<200KW PV, NY Sun	5,490
	Suten Inc	8/10/2017	FUEL NY, PGI00257 - Suten Inc.
Svenski Solar, LLC	9/14/2017	>200KW PV, NY Sun	785,936
Syska Hennessy Group	6/5/2017	Flexible Tech Assistance, FlexTech Consultant Selection	27,500
Systems Management Planning, Inc.	6/9/2017	NYSERDA ADMINISTRATION, VMWare Support for View - 3 yr	92,399
T.McElligott, Inc.	4/4/2017	OTHER PROGRAM AREA, Hoosick Falls Removal Project	97,000
T.Y. Lin International	9/26/2017	CLEANER GREENER COMMUNITIES, Energy Code Support S..	500,000
Tagup Inc.	7/31/2017	High Performing Grid, PON 3397 CAT C	185,621
Taitem Engineering, P.C.	4/6/2017	On-Site Energy Manager, FlexTech Consultant Selection	117,113
	4/10/2017	<200KW PV, NY Sun	14,257
	4/17/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	1,500
	5/1/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500

**Contracts Executed**  
**Period 4/1/2017 through 9/30/2017**

<b>Contractor</b>	<b>Date Encumbered</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>Taitem Engineering, P.C.</b>	5/2/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	5/9/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
		Industrial Process Effic, Technical Review and Program S	2,908
	5/12/2017	On-Site Energy Manager, FlexTech Consultant Selection	234,324
	5/15/2017	EVALUATION, Technical Review and Program S	64,425
	5/25/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	6/2/2017	<200KW PV, NY Sun	5,184
	6/5/2017	<200KW PV, NY Sun	6,017
		Commercial New Construc, Taitem - EMP	23,947
	6/8/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
	6/13/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	6/22/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	7/28/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	7,500
		Community RH&C, Technical Review and Program S	49,996
		Geothermal Incentive Program, Technical Review and Program S	155,881
	8/10/2017	<200KW PV, NY Sun	8,064
		Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	8/18/2017	<200KW PV, NY Sun	27,032
	8/29/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
	8/31/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
	9/11/2017	<200KW PV, NY-Sun	91,556
	9/15/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	3,496
	9/20/2017	<200KW PV, NY-Sun	6,576
		Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	9/27/2017	<200KW PV, NY Sun	23,395
	9/29/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	<b>Tangent Energy Solutions, Inc.</b>	9/13/2017	>200KW PV, NY Sun
9/14/2017		>200KW PV, NY Sun	341,591
<b>Tarah Rowse</b>	6/19/2017	Low Rise New Construction, New Construction	5,000
<b>Tarbell Solar,LLC</b>	4/4/2017	>200KW PV, NY Sun	1,014,112
<b>Taylor Group LTD</b>	4/25/2017	OTHER PROGRAM AREA, Display Materials	5,528
	7/21/2017	NYSERDA ADMINISTRATION, 2017 NYS Fair Skyline srvc	24,767
<b>Tech Valley Talent, LLC</b>	4/4/2017	NYSERDA ADMINISTRATION, Staff Augmentation	96,525
	6/13/2017	NYSERDA ADMINISTRATION, Staff Augmentation	195,000
	7/26/2017	REC:CES REC System Dev Costs, Staff Augmentation	88,725
		ZEC:CES ZEC System Dev Costs, Staff Augmentation	88,725
	8/21/2017	NYSERDA ADMINISTRATION, Staff Augmentation	214,750
	9/21/2017	NYSERDA ADMINISTRATION, Staff Augmentation	384,150
	9/27/2017	REC:CES REC System Dev Costs, Staff Augmentation	88,725
	ZEC:CES ZEC System Dev Costs, Staff Augmentation	88,725	
<b>Tecogen</b>	4/25/2017	COMBINED HEAT AND POWER, CHPA - Hotel Edison	350,000
	7/18/2017	COMBINED HEAT AND POWER, CHPA - Domino Building E	350,000
	8/31/2017	COMBINED HEAT AND POWER, CHPA - Caton Towers	188,100
	9/26/2017	COMBINED HEAT AND POWER, CHPA - Village View 1	223,438
		COMBINED HEAT AND POWER, CHPA - Village View 4	223,438
		COMBINED HEAT AND POWER, CHPA - Village View 6	223,438
		COMBINED HEAT AND POWER, On-Site Power	223,438
	9/27/2017	COMBINED HEAT AND POWER, CHPA - Village View 3	223,438
		COMBINED HEAT AND POWER, CHPA - Village View 5	223,438
	9/28/2017	COMBINED HEAT AND POWER, CHPA - Taxi 302-02 39th St	350,000
		COMBINED HEAT AND POWER, CHPA - Village View 7	223,438
	<b>Tern Construction &amp; Development, LLC</b>	8/28/2017	Low Rise New Construction, New Construction
<b>TerraForm Solar XVIII, LLC</b>	8/15/2017	>200KW PV, Blue Mountain Middle School	83,363
		>200KW PV, Buchanan Verplanck School	99,659
		>200KW PV, Frank Lindsey School	91,505
		>200KW PV, Furnace Woods Middle School	108,937

**Contracts Executed**  
**Period 4/1/2017 through 9/30/2017**

Contractor	Date Encumbered	Contract Description	Total Contract Amount
TerraForm Solar XVIII, LLC	8/15/2017	>200KW PV, Henrick Hudson High School	64,328
Tetra Tech Engineers, Architects and Lan	5/4/2017	Commercial New Construc, Tetra Tech (Consentini) RFP303	0
	8/8/2017	Commercial New Construc, Tetra Tech (Consentini) RFP303	25,000
The Cadmus Group, Inc.	8/4/2017	>200KW PV, RFQL3434 Cat1 NYSUN C/I	464,566
		NY-SUN, RFQL3434 Cat1 NYSUN C/I	157,089
	8/21/2017	Rmve Barriers Dist Enrgy Storg, RFP 3407 Category 4	573,447
	8/30/2017	Residential-Engaging New Mkts, RFQ 3183 The Camdus Group..	224,570
The Great Plains Institute for	8/31/2017	OTHER PROGRAM AREA, DOE grant - UER - Minnesota	48,000
The McAulay Smith Firm, LTD	9/28/2017	NYSERDA ADMINISTRATION, SrLdr Smart Grid Search Firm	50,000
The New York Times Company	9/19/2017	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Effici..	3,372
The Radiant Store	8/7/2017	RENEWABLE HEAT NY, RHNY PON 3010 Incentive - Empi	10,625
	8/31/2017	RENEWABLE HEAT NY, Renewable Heating & Cooling	5,000
	9/5/2017	RENEWABLE HEAT NY, Renewable Heating & Cooling	7,500
	9/19/2017	RENEWABLE HEAT NY, The Radiant Store - Incentive	7,500
The Renewables Consulting Group, LLC	5/5/2017	Off-Shore Wind Pre-Dev Act, RFP 3462	362,786
	7/5/2017	Off-Shore Wind Pre-Dev Act, RFP 3462	70,878
	9/1/2017	Off-Shore Wind Pre-Dev Act, RFP 3462	68,838
	9/26/2017	Off-Shore Wind Pre-Dev Act, RFP 3462	246,851
The Research Foundation of SUNY at B..	8/23/2017	Cleantech Startup Growth, PON3413 Clean Energy Incubator	1,500,000
The Source Service Station, Inc.	5/4/2017	FUEL NY, PGI00259 - The Source Service	71,250
The Trust Account of Marc Elefant, PC	4/18/2017	NY-SUN, Assignment of payment	133,034
The Trustees of Columbia University	5/12/2017	ENVIRONMENTAL RESEARCH, Tropical Cyclone Risk Model	299,873
		ENVIRONMENTAL RESEARCH, Upstate building footprints	292,829
	7/19/2017	ENVIRONMENTAL RESEARCH, GIS flood mapping tool	120,666
	8/14/2017	ENVIRONMENTAL RESEARCH, CU Health&Air Quality Wrksh..	15,051
Theron Jay Egg, Jr.	9/8/2017	Geothermal Incentive Program, GSHP Training Series 2017	22,600
Thomson Reuters	5/8/2017	Flexible Tech Assistance, FlexTech Program - Pon 1746	13,959
Tilcon NY , Inc.	9/8/2017	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Effici..	20,000
Time Warner	7/3/2017	Industrial Process Effic, Industrial Process Efficiency	77,350
TM Montante Solar Developments, LLC	7/6/2017	<200KW PV, NY Sun	24,305
	8/18/2017	>200KW PV, NY Sun	395,347
Town of Bedford	8/3/2017	CLEANER GREENER COMMUNITIES, CGC62563 - Town of B..	250,000
Town of Huntington	5/5/2017	OTHER PROGRAM AREA, RFP 3044 R2	1,000,000
Town of North Hempstead	6/19/2017	CLEANER GREENER COMMUNITIES, CGC41786 - EVSE alo..	625,000
Trane	4/11/2017	Flexible Tech Assistance, FlexTech Consultant Selection	24,036
	5/15/2017	Real Time Enrgy Management, SimonePropDev-3010West-RT..	100,600
	6/14/2017	Real Time Enrgy Management, Kaplan School-131 W 56th-RTE..	56,940
		Real Time Enrgy Management, KingsTheater-1027Flatbush-RT..	24,279
		Real Time Enrgy Management, YaleClub-50Vanderbilt Ave-RTE..	125,527
	6/30/2017	Real Time Enrgy Management, AmericasSociety-680ParkAv-RT..	18,953
		Real Time Enrgy Management, RitzCarltonBatPark-2West-RTEM	17,172
	7/20/2017	Real Time Enrgy Management, Charter - 75 9th Ave - RTEM	103,265
	7/26/2017	Real Time Enrgy Management, Hudson City Schools-RTEM	163,712
	8/7/2017	Real Time Enrgy Management, Fountain House-425 W 47th-RT..	33,870
		Real Time Enrgy Management, HydeParkCSD - Multisite - RTEM	364,127
	8/8/2017	Real Time Enrgy Management, Multi Campus-100 Bridge-RTEM	157,770
	8/10/2017	Real Time Enrgy Management, Americas Soc-680 Park Ave-RT..	25,412
	9/27/2017	Real Time Enrgy Management, Hilton - 237 W 54th St - RTEM	31,825
TRC Energy Services	4/11/2017	Industrial Process Effic, Technical Review and Program S	3,650
		Multifam New Construction, MF Energy Perf Portfolio Imple	863,624
		Multifam Performance Pgm, MF Energy Perf Portfolio Imple	836,640
		MULTIFAMILY PERFORMANCE PROGRAM, MF Energy Perf ..	993,753
	6/8/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	7/28/2017	Flexible Tech Assistance, Technical Review and Program S	70,000
	8/10/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	8/24/2017	Commercial New Construc, Technical Review and Program S	33,750

**Contracts Executed**  
**Period 4/1/2017 through 9/30/2017**

<b>Contractor</b>	<b>Date Encumbered</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>TRC Energy Services</b>	8/24/2017	NEW CONSTRUCTION PROGRAM, Technical Review and Pro..	191,250
	9/15/2017	Industrial Process Effic, Technical Review and Program S	20,500
	9/27/2017	Low-Income Forum on Energy, LIFE Implementation Services	173,089
<b>Triad Technology Partners LLC</b>	6/14/2017	NYSERDA ADMINISTRATION, Tableau Maintenance 2017 - 18	67,292
<b>Trinity Heating &amp; Air, Inc.</b>	4/5/2017	<200KW PV, NY Sun	6,156
	4/19/2017	<200KW PV, NY Sun	6,156
	4/24/2017	<200KW PV, NY Sun	33,770
	6/28/2017	<200KW PV, NY-Sun	6,960
	7/3/2017	<200KW PV, NY-Sun	6,276
	7/6/2017	<200KW PV, NY Sun	48,282
	7/19/2017	<200KW PV, NY Sun	85
<b>Troy Web Consulting, LLC</b>	9/1/2017	NYSERDA ADMINISTRATION, SEP Comment Sysytem	14,985
<b>Tully Rinckey PLLC</b>	9/13/2017	CLEAN TRANSPORTATION, Outside Counsel Services	5,000
<b>TurnKey Internet, Inc.</b>	8/10/2017	Industrial Process Effic, Industrial Process Efficiency	34,523
<b>U.S. Department of Transportation</b>	5/10/2017	CLEAN TRANSPORTATION, Smart Mobility Program Support	48,000
<b>U.S. Green Building Council, NY Chapter</b>	6/1/2017	Workforce Industry Partnership, Energy Efficiency Training	12,000
	9/26/2017	NextGen HVAC, Manufacturing Barriers for Ene	50,000
	9/27/2017	ADVANCED BUILDINGS, Improving Steam Distribution	50,000
<b>UB Associates, Inc.</b>	5/30/2017	Commercial New Construc, NCP15027 - Conventus Center fo	68,461
<b>UGE USA Inc.</b>	6/7/2017	<200KW PV, NY Sun	53,810
	7/21/2017	>200KW PV, NY Sun	1,623,613
<b>Ultra Dairy, LLC</b>	4/19/2017	Industrial Process Effic, Industrial Process Efficiency	71,001
<b>Unique Comp Inc.</b>	5/8/2017	NYSERDA ADMINISTRATION, I.T. Staff Augmentation	222,300
	8/21/2017	NYSERDA ADMINISTRATION, I.T. Staff Augmentation	359,775
	8/29/2017	NYSERDA ADMINISTRATION, I.T. Staff Augmentation	199,000
	8/30/2017	NYSERDA ADMINISTRATION, I.T. Staff Augmentation	204,360
	9/5/2017	NYSERDA ADMINISTRATION, I.T. Staff Augmentation	181,350
<b>Unique Electric Solutions of NYS LLC</b>	5/10/2017	CLEAN TRANSPORTATION, UPS All-Electric Vehicle Demo	499,657
<b>United Wind Project I, LLC</b>	4/20/2017	SMALL WIND, Wind Turbine Incentive	38,058
	4/25/2017	SMALL WIND, Wind Turbine Incentive	115,688
	5/9/2017	SMALL WIND, Wind Turbine Incentive	74,594
	5/10/2017	SMALL WIND, Wind Turbine Incentive	39,209
	5/16/2017	SMALL WIND, Wind Turbine Incentive	40,649
	5/24/2017	SMALL WIND, Wind Turbine Incentive	156,519
	5/25/2017	SMALL WIND, Wind Turbine Incentive	39,568
	6/7/2017	SMALL WIND, Wind Turbine Incentive	39,787
<b>University of Maryland</b>	7/6/2017	OTHER PROGRAM AREA, DOE UER - Maryland	48,000
<b>University of Rochester</b>	5/2/2017	Industrial Process Effic, Industrial Process Efficiency	76,699
	7/10/2017	OTHER PROGRAM AREA, Annual Support for Laboratory	825,000
	7/12/2017	ENVIRONMENTAL RESEARCH, Energy Related Air Quality	49,805
<b>Upstate Alternative Energy</b>	6/29/2017	<200KW PV, NY Sun	6,720
	9/20/2017	<200KW PV, NY-Sun	7,840
<b>Upstate Venture Association of New Yo..</b>	4/18/2017	Prof & Expert Engagement, InnovationCap&BizDev*inactive	30,000
<b>US Energy Concierge Inc</b>	5/1/2017	<200KW PV, NY Sun	6,944
	5/3/2017	<200KW PV, NY Sun	7,200
<b>USS New Scotland 1 LLC</b>	8/3/2017	>200KW PV, NY Sun	404,332
<b>Utilities Program &amp; Metering, Inc.</b>	8/2/2017	Real Time Enrgy Management, Hines - 1251 6th Ave - RTEM	76,445
<b>Vassar College</b>	6/23/2017	REV CAMPUS CHALLENGE, RM5 - Vassar College	103,438
<b>Vautrin Construction</b>	4/10/2017	Low Rise New Construction, New Construction	5,000
<b>Vecino Group New York, LLC</b>	8/7/2017	Low Rise New Construction, New Construction	61,800
<b>Venture Home Solar LLC</b>	8/3/2017	<200KW PV, NY Sun	5,092
<b>Vermont Energy Investment Corporation</b>	5/31/2017	CLEAN TRANSPORTATION, EV Dealer Incentive Program	149,778
	6/9/2017	Strategic Energy Manager, RFP 3352	1,335,730
	7/31/2017	Industrial Process Effic, Technical Review and Program S	29,777
<b>Vidaris, Inc.</b>	4/26/2017	Commercial New Construc, Vidaris - EMP	37,000
	6/9/2017	Commercial New Construc, Vidaris - EMP	10,400

## Contracts Executed

Period 4/1/2017 through 9/30/2017

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Village of Ellicottville	8/29/2017	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Effici..	851
Village of Rockville Centre	5/17/2017	SMART GRID SYSTEMS, RFP 3044 R2	1,000,000
Vincents Heating and Fuel Service, LLC	4/19/2017	RENEWABLE HEAT NY, RHNY Incentive - O'Brien	15,000
	7/12/2017	RENEWABLE HEAT NY, RHNY PON 3010 Incentive - Mann	15,000
	8/9/2017	RENEWABLE HEAT NY, Renewable Heating & Cooling	15,000
Viola Homes Inc.	4/4/2017	<200KW PV, NY Sun	30,560
	8/16/2017	<200KW PV, NY Sun	268
	8/29/2017	<200KW PV, NY Sun	5,101
	9/11/2017	<200KW PV, NY Sun	5,755
Vivint Solar	4/14/2017	<200KW PV, NY Sun	6,171
	4/24/2017	<200KW PV, NY Sun	5,336
	4/26/2017	<200KW PV, NY Sun	6,424
	5/11/2017	<200KW PV, NY Sun	575
	9/15/2017	<200KW PV, NY Sun	5,512
	9/27/2017	<200KW PV, NY Sun	5,916
Voltaic Solaire LLC	8/4/2017	<200KW PV, NY Sun	5,616
Volunteers of America Western New Yo..	6/19/2017	NEW YORK ENERGY STAR HOMES, New Construction	120,000
Wawayanda Solar LLC	4/27/2017	>200KW PV, NY Sun	214,854
Wendel Energy Services, LLC	6/14/2017	Industrial Process Effic, Technical Review and Program S	3,907
	7/28/2017	Flexible Tech Assistance, FlexTech Consultant Selection	15,025
WGS Arsenal Housing Associates, LLC	8/24/2017	Multifam Performance Pgm, MPPTargeted-TruscottTerrace	5,292
White Plains Hospital Center	5/23/2017	NEW CONSTRUCTION PROGRAM, NCP98601 - White Plains ..	7,267
Whitehaven Solar A, LLC	8/28/2017	>200KW PV, NY Sun-Assignment	395,347
Whitehaven Solar C, LLC	8/28/2017	>200KW PV, NY Sun - Assignment	395,347
Whitestone Solar, LLC	5/24/2017	>200KW PV, NY Sun	845,093
Whole Foods Market Group, Inc.	4/25/2017	NEW CONSTRUCTION PROGRAM, NCP12343 - Whole Foods..	39,945
	5/2/2017	EXISTING FACILITIES, EFP2232 - Whole Foods Market -	32,396
	6/19/2017	NEW CONSTRUCTION PROGRAM, NCP13143 - WholeFoods..	43,585
Wilfrid Developers, LLC	8/9/2017	Multifam New Construction, MFNCP - The Wilfrid	100,000
Willdan Energy Solutions	4/7/2017	Flexible Tech Assistance, FlexTech Consultant Selection	59,439
	4/14/2017	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and ..	40,347
	4/17/2017	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and ..	10,567
	6/7/2017	Industrial Process Effic, Technical Review and Program S	2,493
		Real Time Enrgy Management, Technical Review and Program S	945,750
	6/8/2017	Industrial Process Effic, Technical Review and Program S	3,052
	7/11/2017	Flexible Tech Assistance, FlexTech Consultant Selection	75,206
	7/28/2017	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and ..	3,294
	8/25/2017	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and ..	21,432
Windgate Solar, LLC	4/10/2017	>200KW PV, NY Sun	992,984
WSP USA Corp.	4/14/2017	Flexible Tech Assistance, FlexTech Consultant Selection	8,500
	5/8/2017	Commercial New Construc, WSP-Energy Modeling Partner	23,420
Wurlitzer Industrial Park Inc	7/26/2017	NEW CONSTRUCTION PROGRAM, NCP12461 - The Wurlitzer..	22,205
Xerox Corp	5/17/2017	Industrial Process Effic, Industrial Process Efficiency	33,552
	8/24/2017	Industrial Process Effic, Industrial Process Efficiency	454,078
Xzerta Energy Group LLC	4/4/2017	>200KW PV, NY Sun	4,507,499
	8/3/2017	>200KW PV, NY Sun	2,116,184
	8/18/2017	>200KW PV, NY Sun	1,587,138
Yale University	4/7/2017	ENERGY ANALYSIS, Financing Solutions	30,000
YMCA of Greater Rochester	9/6/2017	Commercial Imp Assist, Commercial	67,500
You Save Green Incorporated	5/12/2017	>200KW PV, NY Sun	782,787
	5/25/2017	<200KW PV, NY Sun	5,016
	6/7/2017	<200KW PV, NY Sun	16,016
	7/13/2017	<200KW PV, NY-Sun	5,104
	7/21/2017	>200KW PV, NY Sun	632,555
	8/24/2017	<200KW PV, NY-Sun	8,472
	9/19/2017	<200KW PV, NY Sun	5,676



<b>Contractor</b>	<b>Date Encumbered</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
NYCBS FINCO, LLC	5/18/2017	NY Green Bank, Motivate - Citibike	\$ 48,280,000.00
NYGB-CCRD Borrower, LLC	8/2/2017	NY Green Bank, Cypress Creek Bridge Loan	\$ 11,500,000.00
Sunrun Neptune Portfolio 2016-A, LLC	5/9/2017	NY Green Bank, Sunrun - Neptune	\$ 15,000,000.00
Plug Power Inc.	7/21/2017	NY Green Bank, Plug Power - Upsize #1	\$ 20,000,000.00

## Contracts Executed

Period 4/1/2017 through 9/30/2017

Contractor	Date Encumbered	Contract Description	Total Contract Amount
<b>Grand Total</b>			532,165,284

**Contracts Completed**  
**Period 4/1/2017 through 9/30/2017**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
1st Light Energy, Inc.	<200KW PV, NY Sun	21,968
24th Street LIC, LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	378,900
100 S Clinton LLC	EXISTING FACILITIES, EFP3000 - 100 S. Clinton - 100	97,356
110-114 Union Street Associates LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	46,000
125 Broad Condominium	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Program - Pon 1746	12,000
125th Street Equities LLC	NEW CONSTRUCTION PROGRAM, NCP10652 - Corn Exchange	25,249
133 Equities, LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	222,119
150 Charles St. Holdings, LLC	NEW CONSTRUCTION PROGRAM, NCP10793 - 150 Charles	203,368
178 Bruckner Commissary LLC	NEW CONSTRUCTION PROGRAM, NCP11902 - 178 Bruckner Blvd	15,436
184 Clarkson Realty LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	88,750
205 Wolf Holdings, LLC	NYSERDA ADMINISTRATION, 6/27/17 NYSERDA All-Staff Mtg	6,103
	NYSERDA ADMINISTRATION, 2017 NYSERDA All-Staff Mtg	5,910
215 WEST 91ST STREET CORP	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	27,500
220/67 Owners Corp	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	115,000
315 West 106th Street Owners, Inc.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	36,400
328 East Main LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	86,000
375 Park Avenue Investors LP	EXISTING FACILITIES, EFP2484 - 375 Park Ave LP - 37	1,004,653
470 Realty Associates LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	71,000
520 East Ave Apts LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	41,000
555 Storage Group LLC	NEW CONSTRUCTION PROGRAM, NCP13109 - Hampton Inn Yonke..	8,673
590 Parkside Avenue Owners HDFC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	38,000
591 Ocean Realty LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	72,000
622 VCA LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	42,000
625 Ownership LLC	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Program - Pon 1746	10,000
675 Realty Associates LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	28,000
751 St. Marks Realty LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	142,600
985 Ocean Ave LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	37,000
1012 Ocean Ave Realty LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	52,000
1018 E. 163 St. Co.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	97,000
1120 Bergen Street LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	32,000
1185 Straight Path Corp.	FUEL NY, PGI00026 - 1185 Straight Path	81,810
1417 Realty Associates, LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	99,875
1701 Albemarle Owners Corp	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	71,400
Able Electrical Services, LLC	<200KW PV, NY-Sun	6,936
Abundant Solar Power Inc.	>200KW PV, NY Sun	567,802
Access Supports for Living Inc.	NEW YORK ENERGY STAR HOMES, New Construction	216,000
Accord Power, Inc.	>200KW PV, NY Sun	187,782
ACE Solar LLC	<200KW PV, NY Sun	6,440
Actasys	CLEAN TRANSPORTATION, Truck Aero Control System	100,000
Action Research Inc.	ADVANCED BUILDINGS, Linking Behavioral Insights to	85,000
	CLEAN TRANSPORTATION, Linking Behavioral Insights to	39,984
	OTHER PROGRAM AREA, Linking Behavioral Insights to	39,984
	RENEWABLES & DER INTEGRATION, Linking Behavioral Insights to	225,032
Active Solar Development, LLC	<200KW PV, NY-Sun	25,184
	RENEWABLE THERMAL, Renewable Heating & Cooling	58,969
Adam C. Boese	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	106,000

**Contracts Completed**  
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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>Adam C. Boese</b>	Flexible Tech Assistance, FlexTech Consultant Selection	9,600
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	29,200
<b>Adirondack North Country Association</b>	CLEANER GREENER COMMUNITIES, Green Jobs Green New York ..	41,923
	GJGNY REVOLVING LOAN FUND, Green Jobs Green New York Outr	265,600
<b>ADP, Inc.</b>	NYSERDA ADMINISTRATION, 2016 ACA Reporting	10,444
	NYSERDA ADMINISTRATION, HR Payroll and Timecards serv	255,000
<b>Advantage Title Agency, Inc.</b>	GJGNY REVOLVING LOAN FUND, Title Company in Support of On	349,999
<b>Aegis Energy Services Inc.</b>	COMBINED HEAT AND POWER, CHPA - 400 Central Park West	198,000
	COMBINED HEAT AND POWER, CHPA - Avalon Fort Greene	385,000
	COMBINED HEAT AND POWER, CHPA - The Westmont	148,500
	COMBINED HEAT AND POWER, CHPA - Village Mall Hillcrest	198,000
	COMBINED HEAT AND POWER, CHPA - West 96th	148,500
<b>Aeonsolar</b>	<200KW PV, NY-Sun	41,246
<b>Affordable Comfort, Inc.</b>	Home Perf w Energy Star, 2018 NY Regional Home Perf Con	45,000
	Low Rise New Construction, 2018 NY Regional Home Perf Con	2,500
	Multifam New Construction, 2018 NY Regional Home Perf Con	2,500
<b>Affordable Housing Partnership</b>	CLEANER GREENER COMMUNITIES, Green Jobs Green New York ..	20,362
	GJGNY REVOLVING LOAN FUND, Green Jobs Green New York Outr	473,755
<b>AKF-engineers</b>	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	71,670
<b>Alembic Development Company</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	58,312
<b>All HVAC Service Co.</b>	EXISTING FACILITIES, EFP2081 - Bright Energy	104,632
<b>Allegany County</b>	CLEANER GREENER COMMUNITIES, CGC27929 - Allegany County	67,669
<b>Alliance Energy LLC</b>	FUEL NY, PGI00035 - Alliance Energy LLC	89,741
	FUEL NY, PGI00101 - Alliance Energy LLC	100,888
	FUEL NY, PGI00155 - Alliance Energy LLC	89,861
	FUEL NY, PGI00157 - Alliance Energy LLC	90,716
<b>Alliance for Housing Inc.</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	416,065
<b>Allied West Farms (NY) LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	284,400
<b>Altanova LLC</b>	Flexible Tech Assistance, FlexTech Consultant Selection	20,001
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	6,305
<b>Alternative Power Solutions of NY, LLC</b>	<200KW PV, NY Sun	110,464
	<200KW PV, NY-Sun	32,768
<b>AltPOWER, Inc.</b>	<200KW PV, RES-NewConst(no longer in use)	73,706
<b>Amberjack Solar Energy LLC</b>	NY-SUN, New York Sun Competitive PV Pr	171,057
<b>Ambrosino, DePinto &amp; Schmieder Consultin</b>	NEW CONSTRUCTION PROGRAM, NCP TA Contract - ST10133	54,446
<b>Amdor, LLC</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	28,333
<b>American Council for an Energy Efficient</b>	Prof & Expert Engagement, 2017 ACEEE Ally Program	10,000
<b>American DG Energy Incorporated</b>	EXISTING FACILITIES, PON1219EE3	350,358
<b>American Energy Care, Inc.</b>	<200KW PV, NY Sun	23,248
	<200KW PV, NY-Sun	162,640
	<200KW PV, RES-NewConst(no longer in use)	139,340
<b>American Fuel Cell</b>	CLEAN TRANSPORTATION, NY-BEST Bench-to-Prototype	250,000
<b>American Renewable Energy, Inc.</b>	<200KW PV, NY Sun	10,640
	<200KW PV, NY-Sun	8,698
<b>American Solar Partners, LLC</b>	<200KW PV, NY-Sun	86,461
	<200KW PV, RES-NewConst(no longer in use)	38,760

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>Ampericon</b>	<200KW PV, NY-Sun	5,338
<b>Antares Group, Inc.</b>	ENVIRONMENTAL RESEARCH, Wood Heat & Power LCA Lit Rev	49,058
	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	80,003
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	18,314
<b>Anthony J Berejka</b>	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, EB & XRay..	185,000
<b>Apex Solar Power LLC</b>	<200KW PV, NY Sun	189,212
	<200KW PV, NY-Sun	248,808
<b>Applied Energy Group, Inc.</b>	EXISTING FACILITIES, Technical Review and Program S	1,718
<b>Applied Power Systems, Inc.</b>	CLEAN TRANSPORTATION, NY-BEST Bench-to-Prototype	205,686
<b>AquaZephyr, LLC</b>	NEW YORK ENERGY STAR HOMES, New Construction	97,000
<b>Aramark Management Srvc Ltd Prtnshp</b>	EXISTING FACILITIES, Technical Review and Program S	3,675
<b>Arcadis of New York, Inc.</b>	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	35,000
<b>Arcadis U.S., Inc.</b>	EXISTING FACILITIES, Technical Review and Program S	6,451
<b>Arch Street Communications, Inc.</b>	NYSERDA ADMINISTRATION, Marketing Support for NYSERDA	8,000
<b>Arctic Air Mechanical Corp</b>	NYSERDA ADMINISTRATION, HVAC NYC	11,200
<b>Astrum Solar, Inc.</b>	<200KW PV, NY Sun	18,952
	<200KW PV, NY-Sun	34,359
<b>Atelier Ten</b>	Commercial New Construc, ATEN - EMP	26,118
<b>Autronic Plastics, Inc.</b>	CLEAN TRANSPORTATION, LED Roadway Sign Retrofit	126,234
<b>B &amp; W Sound Services, Inc.</b>	OTHER PROGRAM AREA, A/V service for 76West Event	11,950
<b>Baker Victory Services</b>	NEW CONSTRUCTION PROGRAM, NCP10326 - RTF	48,086
<b>Balsam View Dairy</b>	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	46,549
<b>Baptist Health Nursing and Rehab Center</b>	NEW CONSTRUCTION PROGRAM, NCP11405 - Skilled Nursing F	95,060
<b>Barclay Heights</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	56,350
<b>Barry Frohlinger</b>	NEW YORK GREEN BANK, Credit Training for NYGB Staff	27,500
<b>BBL Construction Services LLC</b>	NEW CONSTRUCTION PROGRAM, NCP13202 - Courtyard Marriot	37,758
<b>BDO USA LLP</b>	NEW YORK GREEN BANK, Background Investigation Servi	9,350
<b>Beecher , Marshall</b>	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	12,384
<b>Belair Corp.</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	294,100
<b>Bergmann Associates</b>	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	30,150
	EXISTING FACILITIES, Technical Review and Program S	15,800
	Flexible Tech Assistance, FlexTech Consultant Selection	11,420
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	78,600
	RENEWABLE HEAT NY, Technical Review and Program S	4,800
<b>Best Buy Store, L.P.</b>	NYSERDA ADMINISTRATION, Plotter Printer - West Valley	5,598
<b>Best Energy Power</b>	<200KW PV, NY Sun	82,731
	<200KW PV, NY-Sun	433,178
<b>Beulah Housing Development Fund Company,</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	80,500
<b>BGCH Apartments LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	71,100
<b>Binghamton University</b>	NEW CONSTRUCTION PROGRAM, NCP12485 - Lecture Hall Studen	50,072
<b>BJ's Wholesale Club</b>	EXISTING FACILITIES, EFP2231 - BJ's 4 Sites	127,940
<b>Black Cherry Services Group, Inc.</b>	<200KW PV, NY-Sun	38,120
<b>Black Oak Wind Partners, LLC</b>	REC:CES REC Contracts, 8th RPS Main Tier Solicitation	16,337,153
<b>Blue Pearl Hospitality LLC</b>	Low-Income Forum on Energy, 2017 LIFE Regional Mtg. - LI	9,000
<b>Blueland LLC</b>	<200KW PV, NY-Sun	202,348
<b>Bolla Operating Corp.</b>	FUEL NY, PGI00141 - Bolla Operating Cor	85,253

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>Bolla Operating LI Corp.</b>	FUEL NY, PGI00043 - Bolla Operating LI	82,298
	FUEL NY, PGI00098 - Bolla Operating LI	72,307
	FUEL NY, PGI00191 - Bolla Operating LI	33,742
<b>Bond, Schoeneck &amp; King, PLLC</b>	OTHER PROGRAM AREA, RFP 3300 Outside Counsel Servi	7,500
<b>Borrego Solar Systems, Inc.</b>	>200KW PV, Commercial/Industrial PV	4,546,978
	>200KW PV, commerical/industrial PV	589,426
	>200KW PV, NY Sun	73,631
	NY-SUN, PV System @ Ithaca College	1,620,369
<b>BPC Green Builder, Inc.</b>	NEW YORK ENERGY STAR HOMES, New Construction	9,000
<b>BPCA NYS Inc.</b>	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, BPCA R..	17,820
	HOME PERFORMANCE WITH ENERGY STAR, BPCA Round Table ..	31,680
<b>Bright Power, Inc.</b>	<200KW PV, NY Sun	35,368
	<200KW PV, NY-Sun	75,955
	Flexible Tech Assistance, FlexTech Consultant Selection	15,950
<b>Broadway 52nd LP</b>	EXISTING FACILITIES, EFP2513 - Broadway 52nd LP - 1	481,871
<b>Bronx NY East 188th St. Apartments, L.P.</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	78,569
<b>Brooke Pointe, LLC</b>	NEW YORK ENERGY STAR HOMES, RES-NewConst(no longer in us..	59,500
<b>Brooklyn Navy Yard Development Corp.</b>	NEW CONSTRUCTION PROGRAM, NCP98815 - Green Manufacturing	159,575
<b>Brooklyn SolarWorks LLC</b>	<200KW PV, NY Sun	6,496
<b>BRP VYSE LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	84,600
<b>BSREP UA Greenfit LLC</b>	COMBINED HEAT AND POWER, Transfer of ownership	245,589
<b>Buckingham Properties LLC</b>	NEW CONSTRUCTION PROGRAM, NCP11705 - Midtown Tower - O..	219,753
<b>Buffalo Niagara Solar 3 LLC</b>	NY-SUN, PV System @ Buffalo Niagara Me	233,066
<b>Buffalo Renewables, Inc.</b>	SMALL WIND, Wind Turbine Incentive	35,000
<b>Buffalo Solar Solutions Inc</b>	<200KW PV, NY Sun	45,064
<b>Buffalo State College</b>	NEW CONSTRUCTION PROGRAM, NCP11084 - Caudell Hall Renova	92,560
<b>Burke Electric</b>	<200KW PV, RES-NewConst(no longer in use)	70,000
<b>Burrows Paper Corporation</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	991,320
<b>C Speed, LLC</b>	CLEAN TRANSPORTATION, NextGen 3D Antenna	495,000
<b>C.J. Brown Energy, P.C.</b>	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	51,326
	Flexible Tech Assistance, FlexTech Consultant Selection	841
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	7,789
<b>C'Ville Yoghurt, Inc.</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	148,695
<b>Cambray Housing Corporation</b>	NEW YORK ENERGY STAR HOMES, New Construction	178,500
<b>Campus View II Apartments (ALB), LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	149,500
<b>Captive Plastics LLC</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	244,653
<b>Carahsoft Technology Corporation</b>	NYSERDA ADMINISTRATION, DocuSign Licensing 17-18	83,231
	NYSERDA ADMINISTRATION, Renewal: Docusign Licensing	49,400
<b>Carlisle Construction Materials</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	132,195
	NY-SUN, New York Sun Competitive PV Pr	964,226
<b>Cary Institute of Ecosystem Studies</b>	ENVIRONMENTAL RESEARCH, Forest Ecosystem Model	39,641
<b>Caton Towers Owners Corporation</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	271,700
<b>CDH Energy Corporation</b>	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	62,435
	EVALUATION, Technical Review and Program S	48,340
	Industrial Process Effic, Technical Review and Program S	5,540
	INDUSTRIAL PROCESS EFFICIENCY, EFP Task Work Order	9,300

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>CDH Energy Corporation</b>	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	10,360
<b>CDM Smith, Inc.</b>	EXISTING FACILITIES, Technical Review and Program S	4,929
<b>CE Towers LLC</b>	EXISTING FACILITIES, EFP2367 - CE Towers Co Inc. -	410,555
<b>CEC Stuyvesant Cove, Inc.</b>	WORKFORCE DEVELOPMENT, WF Training Energy Efficiency	104,023
<b>Cedars of Chili Housing Development</b>	HOME PERFORMANCE WITH ENERGY STAR, Cedars of Chili Low-..	560,482
<b>Cellco Partnership</b>	Industrial Process Effic, Industrial Process Efficiency	69,860
<b>Center for Economic Growth</b>	COMMUNITY SOLAR, Solarize 2017	5,000
<b>Center for Internet Security Inc</b>	NYSERDA ADMINISTRATION, Information Security Malicious	7,440
<b>Central Hudson Gas and Electric Corporat</b>	RENEWABLES & DER INTEGRATION, Distribution Smart Grid	1,500,000
<b>Central New York Regional Planning and</b>	CLEANER GREENER COMMUNITIES, CGC31214 - CNYRPDB	390,000
<b>Centurion Solar Energy, LLC</b>	<200KW PV, NY-Sun	8,190
<b>CHA Consulting Inc.</b>	EXISTING FACILITIES, Technical Review and Program S	13,750
	Flexible Tech Assistance, FlexTech Consultant CHA	108,240
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant CHA	5,600
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	53,400
	RENEWABLE HEAT NY, Technical Review and Program S	2,200
<b>CHV 560 Winthrop Street Housing Developm</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	351,600
<b>CIR ELECTRICAL CONSTRUCTION CORP.</b>	<200KW PV, NY Sun	103,076
	<200KW PV, NY-Sun	36,261
<b>Citi Realty Services</b>	ADVANCED BUILDINGS, EFP/DMP2465 - Citigroup	314,713
	EXISTING FACILITIES, EFP/DMP2465 - Citigroup	5,862,650
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Program - Pon 1746	68,000
	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	3,489,321
<b>Citigroup Technology, Inc.</b>	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Program - PON1746	68,000
<b>City of Beacon</b>	NEW CONSTRUCTION PROGRAM, NCP12347 - Beacon Hwy - OFLT	14,831
<b>City of Lackawanna</b>	CLEANER GREENER COMMUNITIES, CGC27923 - City of Lackawa..	60,000
<b>City of Lockport Housing Authority</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	93,600
<b>City of Niagara Falls</b>	NEW CONSTRUCTION PROGRAM, NCP10087 - NF International Ra	71,990
<b>City of Rochester</b>	CLEANER GREENER COMMUNITIES, CGC28144 - City of Rochester	100,000
<b>City of White Plains</b>	CLEANER GREENER COMMUNITIES, CGC30408-City of White Plains	1,000,000
<b>Clarkson University</b>	ENVIRONMENTAL RESEARCH, Environmental Economics	168,682
<b>Clean Energy States Alliance</b>	Prof & Expert Engagement, CESA Membership Dues 2017/2018	60,000
	SMALL WIND, Membership in ITAC	15,000
<b>Clifton Park Solar Partners, LLC</b>	NY-SUN, PV System @ Town of Clifton Pa	420,258
<b>Clinton Essex Warren Washington</b>	WORKFORCE DEVELOPMENT, GJGNY Lab Houses	172,045
<b>Clough, Harbour &amp; Associates, LLP</b>	COMBINED HEAT AND POWER, FlexTech Consultant Selection	98,415
	EXISTING FACILITIES, EFP Task Work Order	14,000
	INDUSTRIAL PROCESS EFFICIENCY, Existing Facilities Tech Assis	3,500
<b>Club One Property, LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	41,400
<b>CNY Solar, Inc.</b>	<200KW PV, NY Sun	46,064
	<200KW PV, NY-Sun	532,712
	RENEWABLE THERMAL, NY-Sun	25,000
<b>Coach, Inc.</b>	NEW CONSTRUCTION PROGRAM, NCP12237 - Coach Hq - OFLT	448,155
<b>Code Green Solutions, Inc.</b>	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	52,403
<b>Colliers International Holdings USA, Inc</b>	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Program - PON1746	6,450
<b>Colonial Square Housing Development</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	207,900

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>Color Methods</b>	Electric Vehicles - Innovation, 2018 Drive Clean Rebate Press	5,192
<b>Columbia Street Development, LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	46,809
<b>Columbia University</b>	RENEWABLES & DER INTEGRATION, Advanced Concepts Data Ce..	447,200
<b>Commack Fuel Inc.</b>	FUEL NY, GSP00229 - Commack Fuel Inc.	13,000
<b>Communications Specialists, Inc.</b>	<200KW PV, NY-Sun	11,286
<b>Compressed Air Challenge, Inc.</b>	Prof & Expert Engagement, Industrial Process Efficiency	7,500
<b>Comunilife, Inc</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	86,318
<b>Comverge Incorporated</b>	ADVANCED BUILDINGS, EFP2246 - Comverge - Bass Real	15,600
	EXISTING FACILITIES, EFP2246 - Comverge - Bass Real	58,340
<b>Conifer Lechase Construction</b>	NEW YORK ENERGY STAR HOMES, New Construction	120,000
<b>Consortium for Energy Efficiency, Inc.</b>	Prof & Expert Engagement, Industrial Process Efficiency	48,000
<b>Cooke Solar White Plains, LLC</b>	NY-SUN, RPS CST Regional Program	369,097
<b>Cornell University</b>	NEW CONSTRUCTION PROGRAM, NCP11498 - Klarman Hall	128,993
<b>Cornell University-Office of Sponsored P</b>	EMPOWER NY, CEPREEQ	709,172
	ENVIRONMENTAL RESEARCH, Accelerated Recovery and Envir	40,000
<b>Cornerstone Energy Services</b>	RENEWABLE HEAT NY, RHHY Award Letter/PO-Meissner	15,000
<b>Corning Inc.</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	119,913
<b>Couch White, LLP</b>	WEST VALLEY DEVELOPMENT PROGRAM, RFP 3300 Outside Cou..	6,313
<b>Credit Agricole CIB</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	240,998
<b>Credit Suisse USA</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	539,978
<b>CUNY Institute for Urban Systems - CIUS</b>	ADVANCED BUILDINGS, Behav Pilot w/ Bldg Operators	99,112
<b>Custom Electronics, Inc.,</b>	CLEAN TRANSPORTATION, NY-BEST Bench to Prototype Sol	250,000
<b>Cutone &amp; Company Consultants, LLC</b>	ADVANCED BUILDINGS, Existing Facilities Program -	32,771
	EXISTING FACILITIES, EFP2633 - Cutone & Company	55,101
	EXISTING FACILITIES, Existing Facilities Program -	690,692
	EXISTING FACILITIES, PON1219EE5	354,039
<b>Cypress Creek Renewables LLC</b>	>200KW PV, NY Sun C&I	1,109,185
	>200KW PV, NY-Sun	2,281,751
	>200KW PV, NY-Sun C&I	1,109,185
<b>Danfoss Holding Security Corporation</b>	EXISTING FACILITIES, EFP2307 - Danfoss LLC	74,399
	EXISTING FACILITIES, EFP2417 - Danfoss Holding Secu	126,804
<b>Daniel J. Tagliamonte</b>	NEW YORK ENERGY STAR HOMES, New Construction	10,000
<b>Delaware River Solar, LLC</b>	>200KW PV, NY Sun	3,762,106
<b>Dell, Inc.</b>	NYSERDA ADMINISTRATION, Dell- Upgrade IT and Buffalo	23,143
	NYSERDA ADMINISTRATION, VLM-2000-KEMP-LOADBALANCER	12,026
<b>Direct Packet Inc.</b>	NYSERDA ADMINISTRATION, Video Conf. upgrade WV, Buff.	15,892
<b>District Sun</b>	<200KW PV, NY-Sun	26,735
<b>DNC Parks &amp; Resorts at Gideon Putnam LLC</b>	ENVIRONMENTAL RESEARCH, 2017 NERC Biennial Conference	15,000
<b>Doherty Electric, LLC</b>	<200KW PV, NY Sun	7,680
<b>Dow Jones &amp; Company Inc</b>	FLEXIBLE TECHNICAL ASSISTANCE, PON1746 - FlexTech Program	40,500
<b>Dowd-Witbeck Printing Corp.</b>	Home Perf w Energy Star, Printing Services	2,744
	Low-Income Forum on Energy, Printing Services	1,423
	NYSERDA ADMINISTRATION, Printing Services-MWBE	182
<b>Downstream Construction, LLC</b>	<200KW PV, NY-Sun	7,216
<b>Duane Allen</b>	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	114,190
<b>Ducommun Aerostructures New York, Inc.</b>	NEW CONSTRUCTION PROGRAM, NCP12893 - Building 171-OFLT	11,980



**Contracts Completed**  
**Period 4/1/2017 through 9/30/2017**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
Dunn Development Corp	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	42,300
Dynamic Energy Solutions, LLC	>200KW PV, Assignee-DE	1,022,236
E&S Environmental Chemistry Inc.	ENVIRONMENTAL RESEARCH, Acid depotion on forests	39,979
	ENVIRONMENTAL RESEARCH, Acid Deposition and Understory	200,000
Earth Sensitive Solutions, LLC	Campus/Technical Assistance, Auburn Heritage Center	22,300
East Avenue Apts LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	100,000
East Harlem Council for Human Services	NEW CONSTRUCTION PROGRAM, NCP10156 - Boriken Neighborhood	34,788
East House Corporation	NEW YORK ENERGY STAR HOMES, New Construction	151,000
Eastern Energy Systems Inc.	<200KW PV, NY-Sun	24,474
EB Realty of Albany	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	47,000
ECNY Electric Inc.	<200KW PV, NY-Sun	64,410
Ecovative Design LLC	ADVANCED BUILDINGS, Advanced Buildings Program	442,079
Ecovis, Inc.	<200KW PV, NY Sun	12,600
ECR Renovations Inc	<200KW PV, NY Sun	6,120
Edge Design and Consulting, Inc.	<200KW PV, NY-Sun	35,000
Efficiency First New York, Inc.	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Efficiency..	11,880
	HOME PERFORMANCE WITH ENERGY STAR, Efficiency First CIW..	21,120
Efficient Energy of Tennessee, LLC	<200KW PV, NY-Sun	98,850
Eldor Contracting Corporation	<200KW PV, NY Sun	13,936
Electric Power Research Institute	CLEAN TRANSPORTATION, Advanced Transportation Tech	228,098
	SMART GRID SYSTEMS, Urban Microgrid	334,990
Emacx Systems, Inc.	ADVANCED BUILDINGS, EFP1839 - Emacx - NY Presbyter	185,450
	ADVANCED BUILDINGS, EFP2491 - Emacx Systems Inc. -	140,629
	EXISTING FACILITIES, EFP1839 - Emacx - NY Presbyter	813,808
	EXISTING FACILITIES, EFP2491 - Emacx Systems Inc. -	603,058
EMCOR Services Betlem	Flexible Tech Assistance, FlexTech Consultant Selection	16,476
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	40,143
	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	155,000
	On-Site Energy Manager, FlexTech Consultant Selection	153,906
EME Consulting Engineering Group, LLC	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	25,000
	Commercial New Construc, EME - EMP	33,000
	EXISTING FACILITIES, Technical Review and Program S	72,500
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	57,549
	NEW CONSTRUCTION PROGRAM, EME - EMP	9,760
	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	65,920
EMG International, Inc.	RENEWABLES & DER INTEGRATION, Development of small AFBD	347,732
Empire Solar Solutions LLC	<200KW PV, NY Sun	99,260
	<200KW PV, NY-Sun	5,130
Employee Leasing of Greater NY	NYSERDA ADMINISTRATION, Temp Employee Services	27,904
Empower CES, LLC	<200KW PV, NY Sun	15,662
	<200KW PV, NY-Sun	5,520
Eneractive Solutions	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	439,681
Energy & Resource Solutions, Inc.	ADVANCED BUILDINGS, EFP Task Work Orders	5,142
	ADVANCED BUILDINGS, Technical Review and Program S	14,012
	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	15,000
	AGRICULTURE ENERGY EFFICIENCY, FlexTech Consultant Selecti..	25,000

**Contracts Completed**  
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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>Energy &amp; Resource Solutions, Inc.</b>	EXISTING FACILITIES, EFP Task Work Orders	129,832
	EXISTING FACILITIES, Technical Review and Program S	271,917
	EXISTING FACILITIES, Technical Review Services	46,188
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant ERS	34,535
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	14,940
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	90,570
<b>Energy and Environmental Economics Inc.</b>	ENVIRONMENTAL RESEARCH, Flex Energy Tech Analysis 2	490,629
<b>Energy Conservation &amp; Supply, Inc.</b>	EXISTING FACILITIES, EFP2280 - ECS	209,382
<b>Energy Reduction Assets LLC</b>	EXISTING FACILITIES, EFP2351 - Energy Reduction Ass	46,891
<b>Energy Spectrum Inc.</b>	EXISTING FACILITIES, Existing Facilities Program	199,200
<b>Energy Spectrum, Inc.</b>	NEW CONSTRUCTION PROGRAM, NCP12146 - Neptune Realty	60,649
<b>Energy Week Holdings, LLC</b>	NYSERDA ADMINISTRATION, 2017 New York Energy Week	5,000
<b>Enerlife Consulting Inc.</b>	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATIO..	113,847
<b>EnerNex LLC</b>	SMART GRID SYSTEMS, Major Disturbance Mitigation	210,000
<b>Enerwise Global Technologies</b>	ADVANCED BUILDINGS, EFP2391 - Enerwise - Multisite	9,466
	EXISTING FACILITIES, EFP2391 - Enerwise - Multisite	30,614
<b>Energia LLC</b>	EXISTING FACILITIES, EFP2374-Energia LLC - 100 Park	286,385
<b>Enlighten Power Solutions, LLC</b>	<200KW PV, NY-Sun	102,500
<b>Entergy Nuclear Fitzpartrick, LLC</b>	ZEC:CES ZEC Payments, Large-Scale Renewables	107,492,335
<b>EnterSolar LLC</b>	<200KW PV, NY-Sun	349,610
	NY-SUN, New York Sun Competitive PV Pr	1,070,736
<b>Environment &amp; Energy Publishing, LLC</b>	NYSERDA ADMINISTRATION, Counsel's Office	11,525
<b>Environmental Control Inc.</b>	<200KW PV, NY-Sun	5,940
<b>Eonix LLC</b>	CLEAN TRANSPORTATION, Next Generation Electrolytes	249,995
<b>Epergy, LLC</b>	<200KW PV, NY-Sun	15,624
<b>Erdman Anthony &amp; Associates, Inc.</b>	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	14,500
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	3,159
<b>Erie, County of</b>	EXISTING FACILITIES, EFP2322 - Erie Correctional	175,000
<b>Ery Hypis LLC</b>	COMBINED HEAT AND POWER, PON2701-Performance Incentive	2,400,000
<b>ESRI, Incorporated</b>	NYSERDA ADMINISTRATION, ArcGIS Desktop and Spatial	19,633
<b>Essense Partners Inc.</b>	NEW YORK GREEN BANK, Marketing materials for NYGB	50,000
<b>Evoworld</b>	RENEWABLE HEAT NY, PO for DEC MOU for Agmt 61083	300,000
<b>Excelsior Orthopaedic</b>	NEW CONSTRUCTION PROGRAM, NCP13174 - Buffalo Surgery Cen	11,383
<b>Executive Information Systems, LLC</b>	NYSERDA ADMINISTRATION, Purchase SAS Analytical Softwa	32,453
<b>Extraterrestrial Materials Inc.</b>	<200KW PV, NY Sun	24,792
	<200KW PV, RES-NewConst(no longer in use)	34,128
<b>Fastrac Markets, LLC</b>	EXISTING FACILITIES, EFP2476-Fastrac Markets - Mult	10,703
<b>Finger Lakes Community Development Corpo</b>	NEW YORK ENERGY STAR HOMES, New Construction	121,000
<b>Fingerlakes Renewables</b>	<200KW PV, NY Sun	5,376
<b>Finkelstein Timberger Real Estate</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	198,000
<b>First Columbia Property Services, LLC</b>	NYSERDA ADMINISTRATION, Property Management Services	243,619
<b>Fiveboro Solar, LLC</b>	<200KW PV, NY-Sun	18,144
<b>Florenton River LLC</b>	<200KW PV, NY Sun	18,080
	<200KW PV, NY-Sun	5,984
<b>Flow Energy LLC</b>	EXISTING FACILITIES, EFP1894-FlowEnergy;MSKCC	207,601
<b>Fluor Industrial Services</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	1,361,703

**Contracts Completed**  
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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>FM Office Express</b>	NYSERDA Administration	77,728
<b>Foley Hoag, LLP</b>	Off-Shore Wind Master Plan, Off Shore Wind Legal Consultin	25,000
<b>Food &amp; Gas of Yorktown 202 Inc.</b>	FUEL NY, GSP00622 - Food & Gas of Yorkt	13,000
<b>Foodlink, Inc.</b>	NEW CONSTRUCTION PROGRAM, NCP13149 - Foodlink Expansion	17,472
<b>Fordham University</b>	EXISTING FACILITIES, EFP/DMP2132 - Fordham Univ.	1,135,404
<b>Fort Drum Mountain Community Homes</b>	HOME PERFORMANCE WITH ENERGY STAR, Fort Drum Low-Rise ..	2,096,343
<b>Fort Orange Press Incorporated</b>	RENEWABLE THERMAL, Printing Services	583
<b>Fort Schuyler Management Corporation</b>	NEW CONSTRUCTION PROGRAM, NCP12679 - Buffalo IT - OFLT	27,000
<b>Fourth Coast, Inc.</b>	<200KW PV, NY Sun	25,736
	<200KW PV, NY-Sun	43,920
	<200KW PV, RES-NewConst(no longer in use)	35,640
<b>FRANCES FORBES</b>	NEW CONSTRUCTION PROGRAM, NCP98601 - White Plains Hospit	7,267
<b>Frederick A Proven</b>	<200KW PV, NY Sun	6,962
	<200KW PV, NY-Sun	6,320
<b>Freedom Mechanical, LLC</b>	RENEWABLE HEAT NY, Renewable Heating & Cooling	16,423
	RENEWABLE HEAT NY, RHNY PON 3010 Incentive - Nort	16,000
<b>Freedom Solar Inc.</b>	<200KW PV, NY Sun	59,898
	<200KW PV, NY-Sun	62,860
<b>French Apartments Housing</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	191,400
<b>Friars of the Atonement, Inc.</b>	NEW CONSTRUCTION PROGRAM, NCP11432 - Graymoor Friary	53,320
<b>Frontier Abstract and Research Services</b>	GJGNY REVOLVING LOAN FUND, Title Company in Support of On	349,999
<b>FXFOWLE Architects, LLP</b>	ADVANCED BUILDINGS, Implement Pass. House Standard	100,000
<b>G &amp; S Realty 1, LLC</b>	EXISTING FACILITIES, EFP2502 - Savitt Partners LLC	82,055
<b>G. W. Lisk Co. Inc.</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	21,464
<b>G.W. Ehrhart, Inc.</b>	RENEWABLE HEAT NY, Renewable Heating & Cooling	10,000
	RENEWABLE HEAT NY, RHNY PON 3010 Incentive - Cayu	41,000
	RENEWABLE HEAT NY, RHNY PON 3010 Incentive - Robe	23,155
<b>Garden Village LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	379,200
<b>Gartner Inc.</b>	NYSERDA ADMINISTRATION, Gartner Renewal 2017-2018	35,321
<b>Gas Technology Institute</b>	ADVANCED BUILDINGS, Market evaluation of VRV GHP	99,922
<b>Gaseteria Oil Corp.</b>	FUEL NY, PGI00221 - Gaseteria Oil Corp.	108,770
<b>GB Lighting Corp</b>	ADVANCED BUILDINGS, EFP2434 - GB Lighting Corporat	72,000
	EXISTING FACILITIES, EFP2434 - GB Lighting Corporat	599,884
	EXISTING FACILITIES, EFP2475 - GB Lighting - Bay Pa	140,786
	EXISTING FACILITIES, EFP2496 - GB Lighting - Shoref	233,102
	EXISTING FACILITIES, EFP2546 - GB Lighting Corp - E	92,027
<b>GCOM Software Inc.</b>	NYSERDA ADMINISTRATION, Salesforce Licenses (Q:50)	33,129
<b>GDS Associates, Inc.</b>	OTHER PROGRAM AREA, Res Baseline Excel File Rework	49,279
<b>Gehring</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	202,301
<b>General Electric Company</b>	NEW CONSTRUCTION PROGRAM, NCP13122 - GE Building 40-OF..	12,874
<b>Genesys Engineering, P.C.</b>	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	64,129
<b>Geo of Camden, LLC</b>	<200KW PV, NY-Sun	17,490
<b>George E Denmark II</b>	<200KW PV, NY Sun	15,390
<b>George J. Martin &amp; Son</b>	<200KW PV, NY Sun	32,720
<b>Geoscape Solar LLC</b>	<200KW PV, NY-Sun	6,867
<b>Geotherm Inc.</b>	<200KW PV, NY-Sun	5,700

**Contracts Completed**  
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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>GH Graf Realty Corp.</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	36,000
<b>GHP Strang LLC</b>	EXISTING FACILITIES, EFP2439-GHP Strang LLC - Tacon	78,830
<b>Go Solar/Green NY, LLC</b>	<200KW PV, NY Sun	8,175
	<200KW PV, NY-Sun	64,751
<b>God's Love We Deliver</b>	NEW CONSTRUCTION PROGRAM, NCP11513 - God's Love We Deliv	17,118
<b>Goldman Copeland Associates, P.C.</b>	Commercial Real Estate Ten, BBH 140 Broadway - CRE Tenant	11,000
	Commercial Real Estate Ten, JLL - 140 Broadway Generic CRE	7,494
	Commercial Real Estate Ten, VNO 330 West 34th St - CRE Ten	8,985
<b>Gomez and Sullivan Engineers, D.P.C.</b>	ENVIRONMENTAL RESEARCH, NYS Hydropower Database	48,949
<b>Gove Group, Inc.</b>	Low-Income Forum on Energy, LIFE 2017 Reg Mtg Reg Services	19,886
<b>Great Brook Solar NRG, LLC</b>	<200KW PV, NY Sun	6,710
<b>Greater NY Auto Dealers Association</b>	OTHER PROGRAM AREA, 2017 exhibit at NY Auto Show	5,500
<b>Green Charge Networks</b>	ADVANCED BUILDINGS, EFP2295 - Green Charge Network	52,800
	EXISTING FACILITIES, EFP2295 - Green Charge Network	132,000
<b>Green Hybrid Energy Solutions Inc.</b>	<200KW PV, NY Sun	5,040
	<200KW PV, NY-Sun	81,899
<b>Green Light Energy Conservation</b>	ADVANCED BUILDINGS, EFP2129 - Green Light Energy C	20,451
	EXISTING FACILITIES, EFP2129 - Green Light Energy C	126,697
	EXISTING FACILITIES, EFP2456 - Greenlight Energy Co	237,500
<b>Green Light New York, Inc.</b>	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATIO..	150,000
<b>Green Power Solutions, Inc.</b>	<200KW PV, NY-Sun	49,653
	<200KW PV, RES-NewConst(no longer in use)	80,098
<b>Green Street Power Partners LLC</b>	<200KW PV, NY Sun	7,200
	<200KW PV, NY-Sun	186,103
	>200KW PV, NY-Sun	707,728
<b>GreenBiz Group, Inc.</b>	OTHER PROGRAM AREA, 2017 VERGE Sponsorship 76West	7,500
<b>GreenLogic, LLC</b>	<200KW PV, NY Sun	33,412
	<200KW PV, NY-Sun	208,127
<b>Grid City Electric Corp</b>	<200KW PV, NY Sun	8,360
	<200KW PV, NY-Sun	20,412
<b>Grober Nutrition LLC</b>	NEW CONSTRUCTION PROGRAM, NCP13017 - Gladys	73,768
<b>Group-S LLC</b>	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	131,067
<b>GUSTOMSC US INC.</b>	ENERGY ANALYSIS, OSW Project 4: US Vessel Study	49,000
<b>Halcyon, Inc.</b>	<200KW PV, NY Sun	57,808
	<200KW PV, NY-Sun	5,200
<b>Halder MacDougall Investment Company</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	11,865
<b>Harbor District Associates LLC</b>	NEW CONSTRUCTION PROGRAM, NCP11026 - Donovan Building	179,362
<b>Harris Beach PLLC</b>	GJGNY REVOLVING LOAN FUND, Outside Counsel	125,000
	HOME PERFORMANCE WITH ENERGY STAR, Outside Counsel	10,000
	NYSERDA ADMINISTRATION, Outside Counsel	40,000
	SARATOGA TECHNOLOGY & ENERGY PARK, Outside Counsel	185,000
<b>Harvest Power, LLC</b>	<200KW PV, NY Sun	34,239
	<200KW PV, NY-Sun	106,625
<b>Haus Enterprises, LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	10,251
<b>Hawaii Energy Connection</b>	<200KW PV, NY-Sun	95,884
<b>Henningson, Durham &amp; Richardson PC</b>	OTHER PROGRAM AREA, Toward Zero-Net Energy Wastewa	65,000

**Contracts Completed**  
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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>Heritage Village Apartments, LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	280,000
<b>High Peaks Solar</b>	<200KW PV, NY Sun	39,264
	<200KW PV, NY-Sun	11,355
<b>Hills Construction Management, Inc.</b>	Low Rise New Construction, New Construction	5,500
<b>Hobbs &amp; Towne, Inc.</b>	NYSERDA ADMINISTRATION, recruitment services	50,000
<b>Hoffman Development Corporation</b>	EXISTING FACILITIES, EFP2411 - GexPro - Hoffman Car	49,710
<b>Holbrook Development Corp.</b>	FUEL NY, GSP00496 - Holbrook Developmen	10,000
<b>Holland &amp; Knight LLP</b>	Off-Shore Wind Pre-Dev Act, RFP 3300 Outside Counsel Servi	24,539
<b>Home Leasing Services, LLC</b>	NEW YORK ENERGY STAR HOMES, New Construction	51,000
<b>Home Leasing, LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	46,800
<b>Honeywell International Inc.</b>	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, QA Servi..	467,859
	ASSISTED NEW YORK ENERGY STAR HOMES, QA Services HPwE..	20,277
	Home Perf w Energy Star, QA Services HPwES and NYESH	496,125
	HOME PERFORMANCE WITH ENERGY STAR, QA Services HPwES..	1,753,837
	NEW YORK ENERGY STAR HOMES, QA Services HPwES and NYE..	381,436
	OTHER PROGRAM AREA, QA Services HPwES and NYESH	9,968
<b>Housing Visions Consultants, Inc.</b>	NEW YORK ENERGY STAR HOMES, RES-NewConst(no longer in us..	22,500
<b>Howitt Enterprises - LeRoy, LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	73,600
<b>HRBI Dream Partners LLC</b>	NEW CONSTRUCTION PROGRAM, NCP10482 - HRBI Dream Partne..	115,763
<b>Hudson Gateway III LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	344,400
<b>Hudson Headwaters Health Network</b>	NEW CONSTRUCTION PROGRAM, NCP13010 - North Country Famil	20,263
<b>Hudson PLG, LLC</b>	GREEN AFFORDABLE HOUSING, Multifamily	211,729
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	377,449
<b>Hudson River HealthCare Inc</b>	NEW CONSTRUCTION PROGRAM, NCP12757 - Peekskill Health Ce	16,628
<b>Hudson River Trading</b>	Industrial Process Effic, Industrial Process Efficiency	232,764
<b>Hudson Solar</b>	<200KW PV, NY Sun	121,186
	<200KW PV, NY-Sun	164,650
<b>Hunter Mountain Ski Bowl Inc.</b>	Industrial Process Effic, Industrial Process Efficiency	26,262
<b>HW Cortelyou Realty LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	43,000
<b>HW Ditmas Realty LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	71,000
<b>Hyatt Corporation as agent for Hyatt Equ</b>	EXISTING FACILITIES, EFP2363 - Grand Hyatt New York	721,321
	EXISTING FACILITIES, PON1219EE3	206,111
<b>Hydronic Specialty Supply</b>	ADVANCED BUILDINGS, Logwood Boiler Res & Com. App	227,500
	ENVIRONMENTAL RESEARCH, Logwood Boiler Res & Com. App	45,000
<b>IBM - East Fishkill Site</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	1,943,118
<b>IBM Corporation</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	323,684
<b>ICF Resources, LLC</b>	EVALUATION, Eco. & Env. Impact Evaluation	63,492
	EXISTING FACILITIES, Technical Review and Program S	38,281
	REC:CES REC System Dev Costs, Flex Energy Tech Analysis 2	18,000
<b>IESI NY Corporation</b>	NYSERDA ADMINISTRATION, Trash Pick-up for NYC	9,647
<b>IHS Global Inc.</b>	ENERGY ANALYSIS, Energy forecast subscription	33,235
	FUEL NY, Renew OPIS Rack Price Subscrip	7,728
<b>IIA Quality Services, LLC</b>	NYSERDA ADMINISTRATION, Internal Audit Assessment	25,000
<b>Indian River Central School District</b>	NEW CONSTRUCTION PROGRAM, NCP12782 - Evans Mills Primary	7,927
<b>Industrial Economics, Incorporated</b>	ENVIRONMENTAL RESEARCH, Flex Energy Tech Analysis 2	138,620
	EVALUATION, Evaluation Contractor for T&MD	8,850,000

**Contracts Completed**  
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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
Infinity Solar Systems, LLC	<200KW PV, NY-Sun	13,048
Integration Strategy, Inc.	NEW YORK GREEN BANK, Strategy Material Development	24,050
Intellastar, LLC	EXISTING FACILITIES, Dynamic Load Profile Optimizer	35,000
Intelligent Green Solutions	RENEWABLE THERMAL, NY-Sun	41,064
	RENEWABLE THERMAL, PV Incentive Program	13,185
	RENEWABLE THERMAL, Renewable Heating & Cooling	1,284,527
Intergate, Manhattan LLC	INDUSTRIAL PROCESS EFFICIENCY, Industrial and Process Efficie	793,649
	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	499,831
International Business Machines,	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	47,095
International Energy Program	EVALUATION, IEPEC Conference Sponsorship	5,000
Interstate Renewable Energy Council, Inc	WORKFORCE DEVELOPMENT, Implementation Support for WFD	1,200,000
Intrinsiq Materials, Inc.	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Advanced ..	789,047
Inverters Unlimited, Inc.	<200KW PV, NY-Sun	130,000
IPPsolar Integration LLC	<200KW PV, NY Sun	59,525
Ithaca Carshare, Inc.	CLEAN TRANSPORTATION, Low-Carbon Travel Choices	136,515
J & D II Realty LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	47,000
Jack Douglas Farm	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	35,010
James A. Maguire, Jr	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	84,000
Jane Street Capital	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	140,272
Jefferson on Rainbow LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	115,200
Jefferson-Lewis BOCES	CLEANER GREENER COMMUNITIES, CGC42181 - BOCES	150,000
Jiten LLC	NEW CONSTRUCTION PROGRAM, NCP13196 - Comfort Inn Bronx	11,751
Joe Strickland	NEW YORK ENERGY STAR HOMES, New Construction	9,000
John Siegenthaler	WORKFORCE DEVELOPMENT, RFP 3165 Hydronic System Desig	1,200
Johnson Controls Inc.	Flexible Tech Assistance, FlexTech Consultant Selection	46,067
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	267,521
KAP Fuel & Food Inc.	FUEL NY, GSP00763 - KAP Fuel & Food Inc	32,618
Karpman Consulting, LLC	WORKFORCE DEVELOPMENT, WF Training Energy Efficiency	598,565
Kasselman Solar LLC	<200KW PV, NY Sun	151,092
	<200KW PV, NY-Sun	141,010
Katonah Lewisboro UFSD	EXISTING FACILITIES, EFP2452-Katonah-Lewisboro Scho	175,608
Kedex Properties LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	171,600
Keystone Dairy	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	19,440
Kilowatt Engineering, Inc.	ADVANCED BUILDINGS, Technical Review and Program S	3,241
	EXISTING FACILITIES, Technical Review and Program S	58,808
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	22,972
Kilowatt Financial, LLC	<200KW PV, NY Sun	5,096
	<200KW PV, NY-Sun	34,028
Kiss Electric	<200KW PV, NY-Sun	11,550
Kreher's Farm Fresh Eggs, LLC	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	24,579
L'Oreal USA, Inc.	NEW CONSTRUCTION PROGRAM, NCP12669 - L'Oreal Hudson Yard	293,908
L&S Energy Services, Inc.	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	103,500
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATIO..	22,052
	EXISTING FACILITIES, Technical Review and Program S	31,445
	Industrial Process Effic, Technical Review and Program S	22,903
	RENEWABLE HEAT NY, Technical Review and Program S	13,770

**Contracts Completed**  
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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>LaBella Associates, P.C.</b>	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
	EXISTING FACILITIES, Technical Review and Program S	25,190
	Flexible Tech Assistance, FlexTech Consultant Selection	35,326
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	10,000
<b>Lawnhurst Farms</b>	ANAEROBIC DIGESTER, 21426 - Lawnhurst Energy Biodi	1,000,000
<b>LC DRives</b>	CLEAN TRANSPORTATION, Advanced Transportation Tech	300,000
	OTHER PROGRAM AREA, Advanced Transportation Tech	250,000
<b>Level Solar Inc.</b>	<200KW PV, NY Sun	12,600
	<200KW PV, NY-Sun	5,130
<b>Lewis Custom Homes, Inc.</b>	NEW YORK ENERGY STAR HOMES, New Construction	90,000
<b>Lewiston Porter CSD</b>	NEW CONSTRUCTION PROGRAM, NCP12130 - Lewiston Porter CSD	57,750
<b>Lincoln Center for the Performing Arts</b>	EXISTING FACILITIES, EFP2133-Lincoln Center - 70 Li	18,586
<b>Lionshead Energy LLC</b>	<200KW PV, NY-Sun	154,016
<b>Livingston Apartments, LP</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	250,000
<b>Loeb &amp; Loeb LLP</b>	NEW YORK GREEN BANK, Green Bank Outside Legal Couns	20,000
<b>London Terrace Towers Owners Inc.</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	596,700
<b>Long Island High Technology Incubator</b>	CLEAN TRANSPORTATION, Clean Energy Business Incubato	1,500,000
<b>Long Island Jewish Medical Center</b>	EXISTING FACILITIES, EFP1740 - LIJ Medical Center -	251,010
<b>Lotus Energy, Inc.</b>	<200KW PV, NY Sun	11,924
	<200KW PV, NY-Sun	64,474
<b>Louis Feil</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	364,000
<b>Lycee Francais de New York School</b>	Flexible Tech Assistance, FlexTech Program - PON1746	7,500
<b>M/E Engineering, P.C.</b>	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	18,480
	Commercial Imp Assist, Technical Review and Program S	4,435
	Commercial New Construc, M/E - EMP	21,125
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	165,000
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	3,840
	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	68,090
	OTHER PROGRAM AREA, FlexTech Consultant Selection	165,000
<b>Madison House Apartments, LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	118,800
<b>Malcolm Pirnie, Inc.</b>	EXISTING FACILITIES, Existing Facilities Tech Assis	17,500
<b>Malta Development Company Inc</b>	NEW YORK ENERGY STAR HOMES, RES-NewConst(no longer in us..	39,000
<b>Manhattan Country School</b>	NEW CONSTRUCTION PROGRAM, NCP12913 - Manhattan Country S	9,850
<b>Manheim Remarketing Inc.</b>	NY-SUN, New York Sun Competitive PV Pr	859,934
<b>Mannino Electric, Inc.</b>	<200KW PV, NY-Sun	17,568
<b>Maple Housing Development Fund Corp</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	115,000
<b>Marketresearch.com Inc</b>	Subscription/Data Access, Freedonia HVAC Report	5,300
<b>Mary McDowell Friends School</b>	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Program - Pon 1746	18,000
<b>Maurice Petroleum LLC</b>	FUEL NY, PGI00070 - Maurice Petroleum L	98,730
<b>MCKK Syracuse Hotel No 2 LP</b>	Home Perf w Energy Star, 2017 NYREH Training - Syracuse	6,000
<b>McWane, Inc</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	135,000
<b>Meals on Wheels of Chemung County Inc</b>	NEW CONSTRUCTION PROGRAM, NCP12519-MealsWhlsChemung..	11,342
<b>MEG Control Products, LLC</b>	ADVANCED BUILDINGS, Demo of Solid-State lighting	211,727
<b>Meister Consultants Group, Inc.</b>	OTHER PROGRAM AREA, New York PV BOS Cost Survey	40,477
	WORKFORCE DEVELOPMENT, New York PV BOS Cost Survey	40,477
<b>Memorial Hospital for Cancer &amp; Allied Di</b>	EXISTING FACILITIES, Existing Facilities Program -	31,046

**Contracts Completed**  
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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>Mercy College</b>	NEW CONSTRUCTION PROGRAM, NCP12143 - Mercy College Resid	42,288
<b>Mesa Bioenergy Supply, LLC</b>	RENEWABLE HEAT NY, RHNY Award Letter & PO- Clark	16,634
<b>MetLife</b>	MARKET PATHWAYS, CRETP - Metlife - 200 Park - I	140,000
<b>Mill Rock Owners Corp</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	275,500
<b>Milliman, Inc.</b>	NYSERDA ADMINISTRATION, April 1 2017 Gasb 45 Valuation	15,000
<b>mindSHIFT Technologies, Inc.</b>	NYSERDA ADMINISTRATION, Media Destruction	10,794
<b>MJ Mechanical Services, Inc.</b>	NYSERDA ADMINISTRATION, HVAC Design and Installation	11,520
<b>Modern Grid Solutions</b>	ENERGY ANALYSIS, Tech Assist, REV Pool	50,000
<b>Mohonasen Central School District</b>	NEW CONSTRUCTION PROGRAM, NCP12896 - Mohonasen New T..	23,455
	NEW CONSTRUCTION PROGRAM, NCP12898 - Mohonasen Transp..	18,417
<b>Monolith Solar Associates, LLC</b>	<200KW PV, NY Sun	290,240
	<200KW PV, NY-Sun	2,270,844
	<200KW PV, RES-NewConst(no longer in use)	2,723,495
<b>Monroe County</b>	NEW CONSTRUCTION PROGRAM, NCP12033 - MCC Downtown Ca..	284,177
<b>Move Systems, Inc.</b>	CLEAN TRANSPORTATION, Ambulance Anti-Idling Stations	384,980
<b>MPW Enterprises LLC</b>	FUEL NY, PGI00082 - MPW Enterprises LLC	24,750
<b>Mt. Kisco Snacks Inc.</b>	FUEL NY, GSP00744 - Mt. Kisco Snacks In	33,710
<b>MTECH Laboratories, LLC</b>	SMART GRID SYSTEMS, NASA Phase II SBIR Inverter	50,000
<b>NASEO</b>	NYSERDA ADMINISTRATION, NASEO Mem. Dues & Meeting Fees	14,789
<b>Natale Builders</b>	NEW YORK ENERGY STAR HOMES, RES-NewConst(no longer in us..	94,000
<b>National Energy Cost Services Inc</b>	ADVANCED BUILDINGS, Existing Facilities Program -	100,000
	EXISTING FACILITIES, Existing Facilities Program -	300,000
<b>NationalGrid Energy Management, LLC</b>	<200KW PV, NY-Sun	32,768
<b>Natural History Museum of the Adirondack</b>	ENVIRONMENTAL RESEARCH, Wild Center Climate Workshops	13,070
<b>Navigant Consulting Inc.</b>	ENERGY ANALYSIS, Flex Energy Tech Analysis 2	100,000
	Subscription/Data Access, 2017 Energy Storage Sub Renew	37,000
<b>NBC Universal LLC</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	142,811
<b>NECEC Institute</b>	OTHER PROGRAM AREA, 2017 NECEC Cleantech Open	75,000
<b>NEE Solar Investment 7, LLC</b>	NY-SUN, Commercial/Industrial	379,689
<b>Neighborhood Housing Services of Jamaica</b>	CLEANER GREENER COMMUNITIES, Green Jobs Green New York ..	136,728
	GJGNY REVOLVING LOAN FUND, Green Jobs Green New York Outr	525,451
<b>Neighborhood Housing Services Staten Isl</b>	GJGNY REVOLVING LOAN FUND, Green Jobs Green New York Outr	229,351
<b>NESCAUM</b>	ADVANCED BUILDINGS, Dev. of Alt. Test methods	150,000
	ENVIRONMENTAL RESEARCH, Analysis of Res Wood Heating	49,925
	ENVIRONMENTAL RESEARCH, Dev. of Alt. Test methods	28,000
	Prof & Expert Engagement, Clean Transportation	50,000
<b>New Buildings Institute, Inc.</b>	Prof & Expert Engagement, Codes	25,000
<b>New York Families for Autistic Children</b>	NEW CONSTRUCTION PROGRAM, NCP98502 - NYFAC Recreation &	25,627
<b>New York Historical Society</b>	NEW CONSTRUCTION PROGRAM, NCP12870 - NHYS 4th Floor Re..	9,300
<b>New York Passive House Inc.</b>	Low Rise New Construction, NYPH 2017 Conference & Expo	2,125
	Multifam New Construction, NYPH 2017 Conference & Expo	2,125
	Multifam Performance Pgm, NYPH 2017 Conference & Expo	2,125
	Retrofit NY, NYPH 2017 Conference & Expo	2,125
<b>New York Power Authority</b>	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech MOU NYSERDA-NY..	566,616
<b>New York Press &amp; Graphics Inc.</b>	OTHER PROGRAM AREA, Printing Services	515
<b>New York State Ag &amp; Markets</b>	POLICY DEVELOPMENT, 2017 NYS Fair Exhibit- PSC	10,925



**Contracts Completed**  
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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>New York State Smart Grid Consortium Inc</b>	Prof & Expert Engagement, 2017 NYS Smart Grid Membership	60,000
<b>New York State Solar Farm Inc.</b>	<200KW PV, NY Sun	22,900
	<200KW PV, NY-Sun	11,565
<b>New York University Langone Medical Cent</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	67,796
<b>Nexant, Incorporated</b>	ADVANCED BUILDINGS, .	8,908
	EXISTING FACILITIES, .	49,810
	EXISTING FACILITIES, Exidting Facilities Tech Assit	13,806
	EXISTING FACILITIES, Technical Review and Program S	140,419
	FLEXIBLE TECHNICAL ASSISTANCE, Technical Review and Progra..	100,000
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	40,378
<b>Nextera Energy Capital Holdings Inc</b>	NY-SUN, New York Sun Competitive PV Pr	2,166,371
	NY-SUN, SUNY Poly Buskirk 1	781,453
	NY-SUN, SUNY Poly Buskirk 2	851,940
<b>nrastructure</b>	NYSERDA ADMINISTRATION, nFrastructure-NE-Architect	38,205
	NYSERDA ADMINISTRATION, Tintri T620 Support, 29 Months	17,189
<b>Niagara Wind &amp; Solar Inc.</b>	SMALL WIND, Wind Turbine Incentive	50,000
<b>Nicholas Noyes Memorial Hospital</b>	NEW CONSTRUCTION PROGRAM, NCP13051 - NNMH - OFLT	6,599
<b>Nickels Energy Solutions LLC</b>	<200KW PV, NY Sun	5,856
<b>NIRAS A/S</b>	Off-Shore Wind Master Plan, Large-Scale Renewables	50,000
<b>Nixon Peabody LLP</b>	NEW YORK GREEN BANK, Green Bank Outside Legal Serv.	28,439
<b>NMR Group, Inc.</b>	EVALUATION, General Eval Assis. Contractor	1,599,850
<b>Noresco LLC</b>	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	175,676
<b>Norstar Solar LLC</b>	>200KW PV, NY Sun	1,838,576
<b>North American Board of Certified Energy</b>	WORKFORCE DEVELOPMENT, Workforce Development and Trai	300,000
<b>Northeast Agriculture Technology Corp</b>	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	32,500
<b>Northeast Energy Efficiency Partnerships</b>	Community RH&C, NEEP 2017 Membership	2,528
	EVALUATION, Evaluation, Measurement and Ve	2,348,156
	Prof & Expert Engagement, NEEP 2017 Membership	7,022
	Strategic Energy Manager, NEEP 2017 Membership	1,124
	Underutilized Products, NEEP 2017 Membership	17,090
<b>Northeast States for Coordinated Air Use</b>	ENVIRONMENTAL RESEARCH, Energy Related Air Quality	212,678
<b>Nostrand Place LLC</b>	NEW CONSTRUCTION PROGRAM, NCP12792 - 2361 Norstrand Aven	28,178
<b>Novel Approaches Solar Applications, LLC</b>	<200KW PV, NY Sun	20,944
<b>Novus Engineering, P.C.</b>	Flexible Tech Assistance, FlexTech Consultant Selection	15,389
	NEW CONSTRUCTION PROGRAM, Novus-Energy Modeling Partner	46,569
	REV CAMPUS CHALLENGE, FlexTech Consultant Selection	36,508
<b>NRG Residential Solar Solutions, LLC</b>	<200KW PV, NY-Sun	93,587
	<200KW PV, RES-NewConst(no longer in use)	20,080
<b>NY SunEdison Residential Services LLC</b>	<200KW PV, NY-Sun	18,002
<b>NYC Partnership Housing Dev. Fund Co.</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	744,689
<b>NYCHA III Parent Housing Development</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	146,363
<b>NYS Department of Health</b>	WEST VALLEY DEVELOPMENT PROGRAM, RML Triennial Bill	5,500
<b>NYS Labor Management Cooperation Committ</b>	WORKFORCE DEVELOPMENT, Workforce Development and Trai	134,608
<b>NYS Office For Technology</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	95,113
<b>NYS Office of General Services</b>	NYSERDA ADMINISTRATION, 2016 Sustainable Dev Conf	8,990
	OTHER PROGRAM AREA, Thermal Sub-Metering Project	425,000

**Contracts Completed**  
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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
NYS Office of General Services	POLICY DEVELOPMENT, 2017 Brochures	17,378
NYS Office of Parks, Recreation and	<200KW PV, NY-Sun	10,528
O'Brien & Gere Engineers, Inc.	COMBINED HEAT AND POWER, FlexTech Consultant Selection	43,227
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	360,995
O'Connell Electric Company	<200KW PV, NY Sun	12,668
	<200KW PV, NY-Sun	50,144
Oak Leaf Energy Partners Ohio, LLC	<200KW PV, NY-Sun	203,938
OCC Purchase LLC	EXISTING FACILITIES, PON1219EE3	289,758
Ocean Towers Partners LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	394,400
OK Petroleum Distribution Corp	FUEL NY, PGI00090 - OK Petroleum Distri	79,430
	FUEL NY, PGI00091 - OK Petroleum Distri	69,776
OLA Consulting Engineers, P.C.	Flexible Tech Assistance, FlexTech Consultant Selection	23,675
Olympic Tower Condominium	Flexible Tech Assistance, FT11541 - Olympic Towers - 641	13,000
Omni-Navitas - MAP-ES NY LLC	>200KW PV, NY Sun	2,716,678
Omnicap Group, LLC	NEW YORK GREEN BANK, Financial Advisory Services	8,500
Oneida Healthcare Center	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Program - Pon 1746	15,249
OnForce Solar	<200KW PV, NY Sun	13,029
	<200KW PV, NY-Sun	10,369
	NY-SUN, RPS CST Regional Program	1,106,493
Open Energy Efficiency Inc.	EVALUATION, Testing Open EE Meter	50,000
Oracle America, Inc.	NYSERDA ADMINISTRATION, Oracle License - UPK renewal	8,968
Orange / Ulster BOCES	NEW CONSTRUCTION PROGRAM, NCP11033 - OrangeUlster Boces	105,297
ORE F4 ProjectCo, LLC	<200KW PV, NY-Sun	10,865
Owego Apalachin CSD	NEW CONSTRUCTION PROGRAM, NCP11386 - Owego Maintenanc..	6,342
Pace University	CLEANER GREENER COMMUNITIES, CGC31911 - Pace Law School	510,000
Pace University Energy & Climate Center	COMBINED HEAT AND POWER, Logistic Support for CHP	600,000
Paradise Energy Solutions, LLC	<200KW PV, NY Sun	62,480
	<200KW PV, NY-Sun	45,362
Park City Estates Tenants Corp.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	524,500
Pathfinder Engineers & Architects, LLP	NEW CONSTRUCTION PROGRAM, Pathfinder - EMP	11,570
	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	39,615
Patriot Energy Solutions Corp	<200KW PV, NY-Sun	16,330
Pawling Corporation	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	25,512
PCMG, Inc.	NYSERDA ADMINISTRATION, Antivirus Replacement, Symatec	7,852
People United for Sustainable Housing In	GJGNY REVOLVING LOAN FUND, Green Jobs Green New York Outr	797,891
Pepsi Cola Bottling Co of NY	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	1,925,009
Pepsico, Inc.	NEW CONSTRUCTION PROGRAM, NCP11395 - Project Renew	466,400
Performance Systems Development, Inc.	WORKFORCE DEVELOPMENT, WF Training Energy Efficiency	278,460
Phire, Inc	NYSERDA ADMINISTRATION, Phire Maintenance - 1 Year	14,600
PJM Environmental Information Services	LARGE SCALE RENEWABLES, PJM GATS Fees Payments	11,563
PMG Northeast LLC	FUEL NY, PGI00046 - PMG Northeast LLC	54,004
	FUEL NY, PGI00059 - PMG Northeast LLC	54,853
	FUEL NY, PGI00079 - PMG Northeast LLC	69,280
	FUEL NY, PGI00180 - PMG Northeast LLC	64,260
	FUEL NY, PGI00182 - PMG Northeast LLC	85,483
	FUEL NY, PGI00198 - PMG Northeast LLC	75,329

**Contracts Completed**  
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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>PMG Northeast LLC</b>	FUEL NY, PGI00199 - PMG Northeast LLC	54,465
	FUEL NY, PGI00203 - PMG Northeast LLC	76,973
<b>Polytechnic University,</b>	CLEAN TRANSPORTATION, Early Stage Support for Develo	60,350
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Early Stage..	1,200,000
<b>Port Authority of NY/NJ</b>	NEW CONSTRUCTION PROGRAM, NCP10354 - Stewart Internation	20,934
<b>Power &amp; Construction Group, Inc.</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	37,381
<b>Power Management Co., LLC</b>	<200KW PV, NY Sun	16,008
	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	114,644
<b>PowerHub Systems</b>	CLEAN TRANSPORTATION, High Density SiC Power Convert	249,925
<b>PPD Partners II LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	134,100
<b>Premium 600 Realty Corp</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	57,000
<b>PTS Data Center Solutions Inc</b>	Industrial Process Effic, Industrial Process Efficiency	29,257
<b>Public Policy and Education Fund of NY</b>	CLEANER GREENER COMMUNITIES, Green Jobs Green New York ..	48,394
	GJGNY REVOLVING LOAN FUND, Green Jobs Green New York Outr	313,080
<b>Quad Graphics, Incorporated</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	773,149
<b>Quixotic Enterprises, LLC</b>	RENEWABLE THERMAL, Solar Thermal Incentive	6,000
<b>Quixotic Systems, Inc.</b>	<200KW PV, NY Sun	24,721
	<200KW PV, NY-Sun	37,076
	RENEWABLE THERMAL, NY-Sun	114,422
<b>QwikSolar, LLC</b>	<200KW PV, NY Sun	158,054
	<200KW PV, NY-Sun	74,200
	<200KW PV, RES-NewConst(no longer in use)	268,582
<b>R. Edge Contracting LLC</b>	<200KW PV, NY Sun	16,898
	<200KW PV, NY-Sun	68,084
<b>Rafferty Enterprises, Inc.</b>	NY-SUN, Temp Employee Services	25,041
	NY-SUN, Temp Servies	44,154
	RENEWABLE THERMAL, Temp Employee Services	43,878
<b>Rainbow Associates LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	66,200
<b>Randstad North America, L.P.</b>	EVALUATION, Temp Services Contract	6,974
	NEW YORK GREEN BANK, Temp Services	61,514
	NEW YORK GREEN BANK, temp services - Pedro Barros	25,000
	NYSERDA ADMINISTRATION, Temp Services	155,576
	NYSERDA ADMINISTRATION, Temp Services Contract	213,635
	NYSERDA ADMINISTRATION, Temporary Services	80,194
<b>Real Goods Energy Tech, Inc</b>	<200KW PV, NY-Sun	11,348
<b>Regeneron Pharmaceuticals Inc.</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	406,315
<b>Renovus Energy, Inc.</b>	<200KW PV, NY Sun	124,712
	<200KW PV, NY-Sun	176,166
	>200KW PV, NY-Sun C&I	291,359
<b>Rensselaer Polytechnic Institute</b>	ADVANCED BUILDINGS, Behavior Research & Energy Dec	110,147
	CLEAN TRANSPORTATION, High Energy Density Cathode Ma	122,009
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, RPI-Ecovat..	50,000
	Prof & Expert Engagement, Advanced Buildings	120,000
<b>Rensselaer Polytechnic Institute-LRC</b>	WORKFORCE DEVELOPMENT, WF Training Energy Efficiency	443,884
<b>RER Energy Group LLC</b>	<200KW PV, NY-Sun	92,113
	<200KW PV, RES-NewConst(no longer in use)	232,000

**Contracts Completed**  
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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>RER Energy Group LLC</b>	>200KW PV, Commercial/Industrial PV	1,583,010
	NY-SUN, PV System @ Camden Central Sch	974,616
	NY-SUN, PV System @ Madison County	974,616
<b>Research Foundation of CUNY</b>	WORKFORCE DEVELOPMENT, CUNY DG Hub	50,000
<b>Research Foundation of SUNY</b>	ENVIRONMENTAL RESEARCH, CEHA Delineation	290,546
	ENVIRONMENTAL RESEARCH, Eco. services/Env. Economics	165,113
	Prof & Expert Engagement, Industrial Process Efficiency	25,000
<b>Research Foundation of SUNY (Buffalo)</b>	CLEAN TRANSPORTATION, InnovationCap&BizDev*inactive	1,449,897
<b>Research Foundation of The City</b>	CLEAN TRANSPORTATION, SunShot NY Rooftop Solar Chall	100,000
<b>Research Into Action, Inc.</b>	EVALUATION, Process and Market Evaluation	11,500,000
<b>Rich &amp; Gardner Construction Co., Inc.</b>	Low Rise New Construction, New Construction	39,000
<b>Rimple Inc</b>	FUEL NY, PGI00217 - Rimple Inc.	70,000
<b>Robert Derector Associates</b>	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	51,590
<b>Rochester Genesee Regional Transportatio</b>	NEW CONSTRUCTION PROGRAM, NCP11919 - RGRTA -OFLT	32,671
<b>Rockland Housing Action Coalition, Inc.</b>	NEW YORK ENERGY STAR HOMES, New Construction	83,500
<b>Roedel Partners of Mt. Kisco, LLC</b>	Home Perf w Energy Star, 2017 NYREH Training-Mt. Kisco	6,000
<b>Rome Steel Solar, LLC</b>	NY-SUN, PV System at Rome Strip Steel	1,823,645
<b>Roosevelt Residences LLC</b>	NEW YORK ENERGY STAR HOMES, New Construction	127,000
<b>Ross Solar Group, LLC</b>	<200KW PV, NY Sun	25,520
<b>Roswell Park Cancer Institute</b>	NEW CONSTRUCTION PROGRAM, NCP10757 - Clinical Sciences C	105,328
<b>Royal Petroleum Management Inc</b>	FUEL NY, PGI00194 - Royal Petroleum Man	68,925
<b>Royalton Solar, LLC</b>	>200KW PV, NY Sun	785,936
<b>Ruby Mountain, Inc.</b>	CLEAN TRANSPORTATION, Biogas for Transportation	49,550
<b>Rudin Management Co. Inc.</b>	MARKET PATHWAYS, CRETP - Rudin Management - 345	140,000
<b>Run 178 LLC</b>	NEW CONSTRUCTION PROGRAM, NCP12396 - 321-325 West 35th S	18,659
<b>Rural Generation &amp; Wind (Rodney Weaver)</b>	<200KW PV, NY-Sun	13,974
<b>Rustic Village</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	75,900
<b>Safari Energy LLC</b>	<200KW PV, NY Sun	62,072
	<200KW PV, NY-Sun	23,290
	<200KW PV, RES-NewConst(no longer in use)	185,089
<b>Sara Silverstone</b>	ADVANCED BUILDINGS, Behavior Research & Energy Dec	100,000
<b>Saranac Central School District</b>	EXISTING FACILITIES, EFP2515 - Saranac CSD	102,113
<b>Schenectady City School District</b>	NEW CONSTRUCTION PROGRAM, NCP13107 - Oneida Middle Sch..	53,831
<b>Scott Shipley</b>	<200KW PV, NY-Sun	5,280
	<200KW PV, RES-NewConst(no longer in use)	9,520
<b>SDTC - The Center for Discovery</b>	NEW CONSTRUCTION PROGRAM, NCP13159 - Maker's Lab/Learnin	6,429
<b>Sea Risk Solutions LLC</b>	Off-Shore Wind Pre-Dev Act, Fisheries Liaison/ Consulting	50,000
<b>Seakill, Inc.</b>	Low Rise New Construction, New Construction	7,500
<b>Seed Renewables Inc.</b>	<200KW PV, NY Sun	6,840
	<200KW PV, NY-Sun	5,488
<b>Seneca Spear Point Solar I, LLC</b>	NY-SUN, New York Sun Competitive PV Pr	902,739
<b>Sharon Sherrard</b>	NEW YORK GREEN BANK, Fund Admin Implementation	50,000
<b>SHI, Inc.</b>	NYSERDA ADMINISTRATION, 1 Year - Adobe Acrobat Pro DC	20,378
	NYSERDA ADMINISTRATION, Embarcadero ER Studio Licenses	14,162
	NYSERDA ADMINISTRATION, Licensing for Adobe Creative C	9,848
<b>Simpson Thacher &amp; Bartlett LLP</b>	EXISTING FACILITIES, EFP2355 - Simpson Thacher Bart	396,957

**Contracts Completed**  
**Period 4/1/2017 through 9/30/2017**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
Sitecore USA, Inc.	NYSERDA ADMINISTRATION, Sitecore Web Support 17-18	25,300
SJP TS LLC	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Program - PON	20,583
Skadden, Arps, Slate, Meagher & Flom LL	NEW YORK GREEN BANK, Green Bank Outside Legal Couns	60,000
Skyline Solar Inc.	<200KW PV, NY Sun	7,200
SL Green Management	EXISTING FACILITIES, EFP2284 - SL Green Realty Corp	32,546
SL Green Realty Corp.	EXISTING FACILITIES, EFP2285 - SL Green Realty Corp	9,895
SLG 220 News Owner, LLC	EXISTING FACILITIES, EFP2288 - SLG 220News Owner LL	264,981
SLG 625 Lessee LLC	EXISTING FACILITIES, EFP2093-SL Green - 625 Madison	18,786
SLG Tower 45 LLC	EXISTING FACILITIES, EFP/DMP2286 - SLG Tower 45 LL	18,937
SLGreen	EXISTING FACILITIES, EFP2290 - 555 W 57 St Tenants	63,200
	EXISTING FACILITIES, EFP2291 - Reckson Associates -	16,234
	EXISTING FACILITIES, EFP/DMP2289 - Green 461 Fifth	18,808
Smith Engineering PLLC	Flexible Tech Assistance, FlexTech Consultant Selection	13,170
Snow Belt Housing Company, Inc.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	63,000
Social Enterprise and Training Center	WORKFORCE DEVELOPMENT, Contract reassignment	575,825
Sojitz Corporation of America	RENEWABLES & DER INTEGRATION, Li-ion trackside energy storag	228,060
Solaire Generation Inc.	<200KW PV, NY-Sun	91,556
Solar Alchemy, Inc.	<200KW PV, NY-Sun	5,670
Solar and Wind FX, Inc. (Chris Schaefer)	<200KW PV, NY Sun	6,832
Solar Dad and Sons Inc	<200KW PV, NY-Sun	62,802
Solar Energy International	WORKFORCE DEVELOPMENT, Workforce Development and Trai	313,653
Solar Energy Systems, LLC	<200KW PV, NY Sun	70,415
Solar Generation, Inc.	<200KW PV, NY Sun	32,378
Solar Liberty Energy Systems, Inc	<200KW PV, NY Sun	97,648
	<200KW PV, NY-Sun	298,341
	<200KW PV, RES-NewConst(no longer in use)	201,827
	>200KW PV, Commercial/Industrial PV	241,278
	>200KW PV, Commercial/IndustrialPV	170,132
	NY-SUN, New York Sun Competitive PV Pr	534,876
	NY-SUN, NY-Sun	103,142
Solar Maximum LLC	<200KW PV, NY Sun	16,596
	<200KW PV, NY-Sun	5,642
Solar One, Inc.	<200KW PV, NY-Sun	75,613
	<200KW PV, RES-NewConst(no longer in use)	7,200
SolarCity Corporation	<200KW PV, NY Sun	247,441
	<200KW PV, NY-Sun	355,709
	<200KW PV, RES-NewConst(no longer in use)	124,852
	>200KW PV, Commercial/Industrial	463,496
	>200KW PV, Commercial/Industrial PV	887,482
	>200KW PV, NY Sun	497,190
	>200KW PV, NY-Sun	951,969
Solepoxy	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	59,544
Sologistics, LLC	NYSERDA ADMINISTRATION, Salesforce CRM Implementation	200,000
Source One	EXISTING FACILITIES, Technical Review and Program S	9,920
South Street Seaport Limited Partnership	NEW CONSTRUCTION PROGRAM, NCP13219 - Fulton Market Build	8,950
Specialized Packaging Radisson, LLC	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	108,535

**Contracts Completed**  
**Period 4/1/2017 through 9/30/2017**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>SRI International</b>	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Characteriz..	49,800
<b>St. Joseph's Hospital Health Center</b>	COMBINED HEAT AND POWER, PON1219EE5	2,000,000
<b>St. Lawrence County</b>	COMMUNITY SOLAR, Solarize 2017	5,000
<b>St. Timothy's Park Villa HDFC, Inc.</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	57,500
<b>Stantec Consulting Services, Inc.</b>	EXISTING FACILITIES, Technical Review and Program S	40,050
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	22,885
<b>Staten Island Renewable Energy Corp.</b>	<200KW PV, NY-Sun	51,855
<b>Steed Energy LLC</b>	<200KW PV, NY Sun	6,624
	<200KW PV, NY-Sun	38,065
	<200KW PV, RES-NewConst(no longer in use)	173,500
<b>Sterling Molded Products</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	95,104
<b>Steven Winter Associates, Inc.</b>	ADVANCED BUILDINGS, cold climate heat pumps	80,353
	ADVANCED BUILDINGS, Technical Review and Program S	22,098
	EXISTING FACILITIES, Technical Review and Program S	250,374
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	3,635
	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	30,999
	NEW CONSTRUCTION PROGRAM, Technical Review and Program S	6,777
<b>Stewart Title Insurance Company</b>	GJGNY REVOLVING LOAN FUND, Title Company in Support of On	349,999
<b>STR Systems NY, LLC</b>	<200KW PV, NY-Sun	5,760
<b>Sun Edison, LLC</b>	NY-SUN, 31335A-Kohl's #1048 Newburgh	245,741
<b>Sun Garden Homes Association, Inc.</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	49,000
<b>Sun Source Technologies</b>	<200KW PV, NY Sun	15,460
	<200KW PV, NY-Sun	84,727
	<200KW PV, RES-NewConst(no longer in use)	86,870
<b>sun8 PDC LLC</b>	>200KW PV, NY Sun	2,313,623
<b>SuNation Solar Systems, Inc.</b>	<200KW PV, NY Sun	109,769
	<200KW PV, NY-Sun	72,720
<b>Sunderland Farms</b>	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	49,077
<b>Sundog Solar, Inc.</b>	<200KW PV, NY-Sun	6,048
<b>SunE P11C Holdings, LLC</b>	NY-SUN, 31309A-Kohl's #770 Greece	325,321
	NY-SUN, 31310A-Kohl's #1079 Auburn	216,232
	NY-SUN, 31311A-Kohl's #1203 Ithaca	187,147
	NY-SUN, 31312A-Kohl's #35 Horseheads	171,885
	NY-SUN, 31313A-Kohls 963 North Amherst	189,782
	NY-SUN, 31336A-Kohl's #988 Kingston	377,987
	NY-SUN, 33523A-Kohl's #1113 Amherst	204,339
	NY-SUN, 33548A-Kohl's #1411 Hudson	216,431
	NY-SUN, NY Sun PV Program Pr	274,074
<b>SunEdison Governmental Solutions, LLC</b>	>200KW PV, Commercial/Industrial PV	2,451,874
	>200KW PV, Commercial/Industrial PV Progr	2,972,897
	>200KW PV, Commercial/IndustrialPV	6,095,818
	>200KW PV, Commerical/IndustrialPV	1,634,582
<b>SunEdison Holdings Corporation</b>	>200KW PV, Blue Mountain Middle School	112,439
	>200KW PV, Buchanan Verplanck School	135,713
	>200KW PV, Frank Lindsey Elementary Schoo	124,070
	>200KW PV, Furnace Woods Elementary Schoo	147,317

**Contracts Completed**  
**Period 4/1/2017 through 9/30/2017**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
SunEdison Holdings Corporation	>200KW PV, NY-Sun	85,263
Sungevity Development, LLC	<200KW PV, NY-Sun	5,000
Sungevity, Inc.	<200KW PV, NY Sun	10,776
Sunnova Energy Corp	<200KW PV, NY-Sun	5,616
SunPower Capital, LLC	<200KW PV, NY Sun	418,720
	<200KW PV, NY-Sun	1,140,662
	<200KW PV, RES-NewConst(no longer in use)	151,267
SUNRISE ELECTRICAL SERVICES	<200KW PV, NY-Sun	218,666
Sunrise Solar Solutions, LLC	<200KW PV, NY Sun	33,798
	<200KW PV, NY-Sun	167,001
SunRun, Inc	<200KW PV, NY Sun	38,683
	<200KW PV, NY-Sun	40,232
	<200KW PV, RES-NewConst(no longer in use)	7,840
SunUp Solar Energy, LLC	<200KW PV, NY-Sun	6,885
	<200KW PV, RES-NewConst(no longer in use)	6,656
Sunvestment Group LLC	OTHER PROGRAM AREA, Sunvestment Community PPA II	70,000
	WORKFORCE DEVELOPMENT, Sunvestment Community PPA II	70,000
SUNY - ESF	ENVIRONMENTAL RESEARCH, Stat. Assess. Loon Monitoring	49,962
SUNY Atmospheric Science Research Ctr	ENVIRONMENTAL RESEARCH, NYS Wood Smoke Initiative	510,000
SUNY Brockport	NEW CONSTRUCTION PROGRAM, NCP11193 - SUNY Lathrop Neff ..	44,812
SUNY College of Technology @ Alfred	NEW CONSTRUCTION PROGRAM, NCP11845 - Sustainable Advance	7,918
SUNY Construction Fund	NEW CONSTRUCTION PROGRAM, PON1601 R2	127,975
SUNY Oswego	NEW CONSTRUCTION PROGRAM, NCP10478 - Park Hall	78,622
Sure Energy, LLC	<200KW PV, NY-Sun	6,375
Sustainable CUNY CUNY/RF	NY-SUN, 2017 NY Solar Summit sponsor	10,000
Sustainable Energy Advantage, LLC	ENERGY ANALYSIS, Renewable Portfolio Standard T	150,000
	LARGE SCALE RENEWABLES, Renewable Portfolio Standard T	73,396
Sustainable Energy Developments Inc.	<200KW PV, NY Sun	165,520
Sustainable Performance Consulting, Inc.	Commercial New Construc, Outrch and Pjct Consulting NCP	494,280
	NEW CONSTRUCTION PROGRAM, Outrch and Pjct Consulting NCP	13,994,704
Sustainable South Bronx Inc.	CLEANER GREENER COMMUNITIES, Green Jobs Green New York ..	37,763
	GJGNY REVOLVING LOAN FUND, Green Jobs Green New York Outr	312,003
Susten Corp	<200KW PV, NY-Sun	18,800
Suten Inc	FUEL NY, PGI00257 - Suten Inc.	109,165
SV OPERATING THREE LLC	FLEXIBLE TECHNICAL ASSISTANCE, Commercial	6,000
Syl-Len Realty Corp.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	87,500
SyntheZyme, LLC	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Biomimetic ..	100,000
Syracuse Community Hotel Restoration Com	NEW CONSTRUCTION PROGRAM, NCP12740 - Hotel Syracuse Rest	163,586
Syracuse University	ADVANCED BUILDINGS, Accelerating Innovation	112,500
	ADVANCED BUILDINGS, Advanced Buildings	500,000
	ADVANCED BUILDINGS, Combinatorial Air Filter	99,999
	NextGen HVAC, 2016 Syracuse CoE Symposium	10,000
Syska Hennessy Group	Commercial New Construc, Syska - EMP	10,850
Systems Management Planning, Inc.	NYSERDA ADMINISTRATION, VMWare Support for View - 3 yr	92,399
T.McElligott, Inc.	OTHER PROGRAM AREA, Hoosick Falls Removal Project	97,000
Tabors Caramanis Rudkevich Inc.	ENERGY ANALYSIS, Competitive Electricity Market	576,200

**Contracts Completed**  
**Period 4/1/2017 through 9/30/2017**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>TAG Mechanical Systems, Inc.</b>	<200KW PV, NY-Sun	53,398
	<200KW PV, RES-NewConst(no longer in use)	23,850
<b>Taitem Engineering, P.C.</b>	<200KW PV, NY Sun	28,338
	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	80,732
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATIO..	154,208
	EXISTING FACILITIES, Technical Review and Program S	32,172
	Flexible Tech Assistance, FlexTech Consultant Selection	9,399
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	8,535
<b>TAM Ceramics Group of NY, LLC</b>	INDUSTRIAL PROCESS EFFICIENCY, Existing Facilities - IPE 2	120,150
<b>Tarbell Solar,LLC</b>	>200KW PV, NY Sun	1,014,112
<b>Target Corporation</b>	NEW CONSTRUCTION PROGRAM, NCP12202 - Target Throggs Neck	119,133
<b>Taylor Group LTD</b>	NYSERDA ADMINISTRATION, 2017 NYS Fair Skyline srvc	24,767
	OTHER PROGRAM AREA, Display Materials	5,528
<b>Tech Valley Talent, LLC</b>	NYSERDA ADMINISTRATION, QA Analyst / Testing Manager	200,000
	NYSERDA ADMINISTRATION, Staff Augmentation	195,000
<b>Technology Professionals Group Inc.</b>	NYSERDA ADMINISTRATION, IT Advisory Services - ECM	26,760
<b>Tecogen</b>	COMBINED HEAT AND POWER, CHPA - 54 Canal Street	413,000
<b>Telx Group, Inc.</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	548,091
<b>Tern Construction &amp; Development, LLC</b>	NEW YORK ENERGY STAR HOMES, New Construction	223,500
<b>TF Cornerstone QW 4 GC, LLC</b>	EXISTING FACILITIES, EFP2403 - TF Cornerstone Inc -	186,201
<b>The Bridge Inc</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	54,725
<b>The Business Council of NYS, Inc.</b>	NYSERDA ADMINISTRATION, Renewal of Membership	5,706
<b>The Community Builders, Inc.</b>	GREEN AFFORDABLE HOUSING, Multifamily	91,376
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	238,282
<b>The Dow Chemical Company</b>	<200KW PV, NY-Sun	6,487
<b>The Nature Conservancy / Albany Pine Bus</b>	ENVIRONMENTAL RESEARCH, Spatial Map for Climate Adapt	299,298
<b>The New York Times Company</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	17,174
<b>The Nightingale-Bamford School</b>	NEW CONSTRUCTION PROGRAM, NCP11514 - Nightingale Bamford	59,373
<b>The Radiant Store</b>	RENEWABLE HEAT NY, RHNY PON 3010 Incentive - Pine	10,000
	RENEWABLE HEAT NY, RHNY PON 3010 Incentive - Wyso	10,000
<b>The Raymond Corporation</b>	CLEAN TRANSPORTATION, Li-Ion for Lift Truck Applicat	250,000
<b>The Renewables Consulting Group, LLC</b>	Off-Shore Wind Pre-Dev Act, Technical Support for OSW Mast	50,000
<b>The Research Foundation for the State</b>	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Fermentati..	99,027
<b>The Research Foundation of SUNY (UB)</b>	ADVANCED BUILDINGS, Wood Burning Hydronic Heaters	367,126
<b>The Research Foundation of SUNY at Bing</b>	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Ultraviolet ..	100,000
<b>The Southern Tier High Technology Incuba</b>	NEW CONSTRUCTION PROGRAM, NCP11856 - Southern Tier High	31,262
<b>The Uniland Partnership of Delaware LP</b>	NEW CONSTRUCTION PROGRAM, NCP12964-400 Airbrn Pkwy-OF..	62,049
<b>The Weidt Group, Inc.</b>	Commercial New Construc, EMP - Weidt	9,730
<b>The Witkoff Group</b>	NEW CONSTRUCTION PROGRAM, NCP10793 - 150 Charles	203,368
<b>Theodore Theodoropoulos</b>	<200KW PV, NY-Sun	74,500
<b>Time Warner Center Condominium</b>	EXISTING FACILITIES, EFP2487 - Time Warner - Relate	662,831
<b>TM Montante Solar Developments, LLC</b>	<200KW PV, NY Sun	29,360
	<200KW PV, NY-Sun	26,803
	<200KW PV, RES-NewConst(no longer in use)	401,825
<b>Tompkins County</b>	CLEANER GREENER COMMUNITIES, CGC42165 - Tompkins County	91,000
<b>Touro College</b>	SMALL WIND, Model Wind Ordinance Project	49,540



**Contracts Completed**  
**Period 4/1/2017 through 9/30/2017**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>Towers on the Park Condominium</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	290,700
<b>Town of Crawford</b>	NEW CONSTRUCTION PROGRAM, NCP12867 - Senior Community ..	10,229
<b>Town of East Hampton</b>	CLEANER GREENER COMMUNITIES, CGC40717 - Town of East Ha..	75,000
<b>Trane</b>	Real Time Enrgy Management, AmericasSociety-680ParkAv-RTEM	18,953
	Real Time Enrgy Management, KingsTheater-1027Flatbush-RTEM	24,279
<b>TRC Energy Services</b>	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	10,000
	EXISTING FACILITIES, Technical Review and Program S	139,444
	Flexible Tech Assistance, FlexTech Consultant Selection	9,000
	Industrial Process Effic, Technical Review and Program S	4,260
	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	6,870
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	17,584
	RENEWABLE HEAT NY, Technical Review and Program S	162,000
<b>Tree of Life 164, LLC</b>	Multifam New Construction, MFNCP PHIUS T3-Tree of Life	300,000
<b>Trevor Day School</b>	NEW CONSTRUCTION PROGRAM, NCP98720 - Trevor Day School (	166,797
<b>Triad Technology Partners LLC</b>	NYSERDA ADMINISTRATION, Tableau Maintenance 2017 - 18	67,292
<b>Triborough Preservation LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	295,900
<b>Trinity Heating &amp; Air, Inc.</b>	<200KW PV, NY Sun	51,106
	<200KW PV, NY-Sun	38,139
<b>Two Charlton Owners Corp</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	123,200
<b>U.S. Department of Transportation</b>	CLEAN TRANSPORTATION, Smart Mobility Program Support	48,000
<b>U.S. Geological Survey (Troy).</b>	ENVIRONMENTAL RESEARCH, Acid Deposition and Mercury	24,969
<b>UB Associates, Inc.</b>	Commercial New Construc, NCP15027 - Conventus Center fo	68,461
<b>Ultra Dairy, LLC</b>	Industrial Process Effic, Industrial Process Efficiency	71,001
<b>United Health Services Hospitals Inc</b>	EXISTING FACILITIES, Commercial	39,840
	EXISTING FACILITIES, EFP3012 - United Health Servic	85,934
<b>United Wind Project I, LLC</b>	SMALL WIND, Wind Turbine Incentive	679,370
<b>University of Rochester</b>	ENVIRONMENTAL RESEARCH, Performance of Biomass-fired	346,581
	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	194,645
	NEW CONSTRUCTION PROGRAM, NCP11125 - Golisano Child	263,552
	NEW CONSTRUCTION PROGRAM, NCP12144 - UofR Outpatient Ima	41,610
<b>Upstate Alternative Energy</b>	<200KW PV, NY Sun	6,720
	<200KW PV, NY-Sun	6,160
<b>Upstate Energy Solutions</b>	<200KW PV, NY-Sun	20,655
<b>Upstate Venture Association of New York,</b>	Prof & Expert Engagement, InnovationCap&BizDev*inactive	30,000
<b>USGS National Center MS270</b>	ENVIRONMENTAL RESEARCH, ALTM fish assemblage	39,605
<b>Varun Sivaram</b>	ENERGY ANALYSIS, Consulting Services	49,025
<b>Vassar College</b>	NEW CONSTRUCTION PROGRAM, NCP10278 - Vassar New England	20,412
	NEW CONSTRUCTION PROGRAM, NCP10279 - Sanders Physics Bui	33,499
<b>Vautrin Construction</b>	Low Rise New Construction, New Construction	5,000
<b>Venture Home Solar LLC</b>	<200KW PV, NY Sun	12,263
	<200KW PV, NY-Sun	13,734
<b>Verizon NY Inc.</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	1,304,794
<b>Verizon Sourcing LLC</b>	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	2,037,915
<b>Vermont Energy Investment Corporation</b>	ENERGY ANALYSIS, EE in Cacpacity Markets Study	40,000
	OTHER PROGRAM AREA, EE in Cacpacity Markets Study	9,500
<b>Vice Media LLC</b>	NEW CONSTRUCTION PROGRAM, NCP12876 - Vice Media Headqu..	123,508

**Contracts Completed**  
**Period 4/1/2017 through 9/30/2017**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>Vidaris, Inc.</b>	NEW CONSTRUCTION PROGRAM, Technical Assistant Services..	389,000
<b>Village of Babylon</b>	SMART GRID SYSTEMS, Village of Babylon, NY Prize	99,290
<b>Village of Ellicottville</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	59,819
<b>Village of Wappinger Falls</b>	NY-SUN, New York Sun Competitive PV Pr	311,426
<b>Vincents Heating and Fuel Service, LLC</b>	ENVIRONMENTAL RESEARCH, Pneumatic Wood Pellet Truck	126,800
	RENEWABLE HEAT NY, Renewable Heating & Cooling	15,000
	RENEWABLE HEAT NY, RHHY Incentive - O'Brien	15,000
	RENEWABLE HEAT NY, RHHY PON 3010 Incentive - Hart	15,000
	RENEWABLE HEAT NY, RHHY PON 3010 Incentive - Mann	15,000
<b>Viola Homes Inc.</b>	<200KW PV, NY Sun	9,936
<b>Vital Vio, Inc.</b>	ADVANCED BUILDINGS, SSL Disinfection	300,000
<b>Vivint Solar</b>	<200KW PV, NY Sun	44,102
	<200KW PV, NY-Sun	11,372
<b>Voltaic Solaire LLC</b>	<200KW PV, NY-Sun	43,707
<b>Volunteers of America Western New York</b>	NEW YORK ENERGY STAR HOMES, New Construction	120,000
<b>Vornado Office Management LP</b>	ADVANCED BUILDINGS, EFP/DMP2276 - Vornado	200,000
	EXISTING FACILITIES, EFP/DMP2276 - Vornado	1,265,831
<b>Waldron Engineering of New York, P.C.</b>	COMBINED HEAT AND POWER, FlexTech Consultant Selection	32,528
<b>Washington Gas Energy Systems Inc.</b>	NY-SUN, PV System @ Skidmore College	2,350,090
<b>Washington Square Southeast Apts., Inc.</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	174,000
<b>Watchtower Bible &amp;</b>	NEW CONSTRUCTION PROGRAM, NCP10424-Office/Pub Space-O..	292,349
	NEW CONSTRUCTION PROGRAM, NCP10425 - Home Services	235,019
	NEW CONSTRUCTION PROGRAM, NCP10427 - Powerhouse and R..	348,856
	NEW CONSTRUCTION PROGRAM, NCP10428 - Watchtower Bible	98,092
	NEW CONSTRUCTION PROGRAM, NCP10429 - Watchtower OFLT	79,804
	NEW CONSTRUCTION PROGRAM, NCP10430 - Residence C - OFLT	81,791
	NEW CONSTRUCTION PROGRAM, NCP10431 - Residence D	70,105
	NEW CONSTRUCTION PROGRAM, NCP10432 - Vehicle Maintenance	20,972
<b>Watt Fuel Cell Corporation</b>	CLEAN TRANSPORTATION, 1.0 kW Portable CHP Fuel Cell	249,704
<b>Weitsman Shredding</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	35,202
<b>Wendel Energy Services, LLC</b>	EXISTING FACILITIES, Technical Review and Program S	6,527
	Flexible Tech Assistance, FlexTech Consultant Selection	35,500
<b>Westage Towers East Condominium</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	88,900
<b>WestRock</b>	Industrial Process Effic, Industrial Process Efficiency	18,170
<b>White &amp; Case, LLP</b>	MARKET PATHWAYS, CRETP - White & Case - 1221 Av	140,000
<b>Whole Foods Market Group, Inc.</b>	NEW CONSTRUCTION PROGRAM, NCP13110 - Whole Foods Market	74,088
<b>Willdan Energy Solutions</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	60,357
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	188,320
<b>Willows PFA LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	149,500
<b>WKTV, Smith Media, LLC</b>	<200KW PV, RES-NewConst(no longer in use)	14,310
<b>WM Group Services, LLC</b>	Flexible Tech Assistance, FlexTech Consultant WMGroup	39,375
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	139,498
<b>Woodrow Housing Development Fund</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	130,000
<b>Woody Hill Farm Inc.</b>	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	193,234
<b>WSP USA Corp.</b>	EXISTING FACILITIES, EFP0966 - Assignment Agreement	102,007
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	212,750

## Contracts Completed

Period 4/1/2017 through 9/30/2017

Contractor	Contract Description	Total Contract Amount
WSP USA Corp.	NEW CONSTRUCTION PROGRAM, Technical Assistance NCP	23,035
Xerox Corp	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	712,543
XO Communications Services Inc	INDUSTRIAL PROCESS EFFICIENCY, Pre-Encumbered	231,095
Xzerta Energy Group LLC	>200KW PV, Commercial/Industrial	1,068,064
	>200KW PV, Commercial/Industrial PV	3,845,031
	>200KW PV, NY Sun	6,338,394
You Save Green Incorporated	<200KW PV, NY-Sun	9,374
<b>Grand Total</b>		<b>389,494,180</b>